



## **Global Opportunities for Long-term Development of ASGM in C?te d'Ivoire**

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

#### **Name of Parent Program**

**Global Opportunities for Long-term Development of artisanal and small-scale gold mining ASGM)  
Sector Plus - GEF GOLD +**

#### **GEF ID**

10845

#### **Project Type**

FSP

#### **Type of Trust Fund**

GET

#### **CBIT/NGI**

**CBIT No**

**NGI No**

#### **Project Title**

Global Opportunities for Long-term Development of ASGM in C?te d'Ivoire

#### **Countries**

Cote d'Ivoire

#### **Agency(ies)**

UNEP

#### **Other Executing Partner(s)**

IMPACT and CASE

#### **Executing Partner Type**

CSO

#### **GEF Focal Area**

Chemicals and Waste

**Sector**

Technology Transfer/Innovative Low-Carbon Technologies

**Taxonomy**

Focal Areas, Sustainable Land Management, Land Degradation, Community-Based Natural Resource Management, Chemicals and Waste, Mercury, Artisanal and Scale Gold Mining, Sound Management of chemicals and waste, Waste Management, Hazardous Waste Management, Open Burning, Best Available Technology / Best Environmental Practices, Influencing models, Convene multi-stakeholder alliances, Demonstrate innovative approaches, Transform policy and regulatory environments, Strengthen institutional capacity and decision-making, Deploy innovative financial instruments, Stakeholders, Civil Society, Trade Unions and Workers Unions, Non-Governmental Organization, Community Based Organization, Academia, Private Sector, Financial intermediaries and market facilitators, SMEs, Large corporations, Individuals/Entrepreneurs, Local Communities, Beneficiaries, Type of Engagement, Participation, Information Dissemination, Consultation, Partnership, Communications, Strategic Communications, Behavior change, Education, Awareness Raising, Gender Equality, Gender Mainstreaming, Sex-disaggregated indicators, Gender-sensitive indicators, Capacity, Knowledge and Research, Capacity Development, Learning, Indicators to measure change, Theory of change, Adaptive management, Knowledge Generation, Workshop, Training, Innovation, Knowledge Exchange, Peer-to-Peer, Field Visit, South-South

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

No Contribution 0

**Climate Change Adaptation**

No Contribution 0

**Biodiversity**

No Contribution 0

**Land Degradation**

No Contribution 0

**Submission Date**

7/30/2022

**Expected Implementation Start**

10/1/2022

**Expected Completion Date**

9/30/2027

**Duration**

60In Months

**Agency Fee(\$)**

354,375.00

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

<b>Objectives/Programs</b>	<b>Focal Area Outcomes</b>	<b>Trust Fund</b>	<b>GEF Amount(\$)</b>	<b>Co-Fin Amount(\$)</b>
CW-1-1	Reduction of anthropogenic releases/emissions of mercury from Artisanal and Small-Scale Gold mining into the environment	GET	3,937,500.00	13,375,000.00
<b>Total Project Cost(\$)</b>			<b>3,937,500.00</b>	<b>13,375,000.00</b>

## B. Project description summary

### Project Objective

To reduce the use of mercury in the ASGM sector in Cote d'Ivoire through a holistic, multisectoral, integrated formalization approach, and increase access to traceable gold supply chains and finance for adoption of sustainable mercury free technologies.

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Formalization Optimization	Technical Assistance	Outcome 1: Government and other national stakeholders increased their capacity to formalize the ASGM sector.	<p>Output 1.1: Analysis of formalization framework in CI completed and shared with stakeholders.</p> <p>Output 1.2: Support mining vocational training schools (chantiers ?coles) to roll-out programmes in alignment with the government's ASGM formalization strategy.</p> <p>Output 1.3: Lessons learned from piloting the jurisdictional approach are available to inform government policy related to ASM/LSM</p>	GET	1,008,893.00	1,250,000.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Financial Inclusion and Responsible Supply Chains	Technical Assistance	Outcome 2: Increased access to financing for C?te d'Ivoire mining cooperatives	<p>Output 2.1: Opportunities and challenges for ASGM access to finance in C?te d'Ivoire is better understood.</p> <p>Output 2.2: Support nascent/early stage cooperatives to improve 'credit profile' for accessing finance</p> <p>Output 2.3: Support ASGM cooperatives to engage with international market actors</p>	GET	1,287,139.00	10,100,000.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 3: Enhancing Uptake of Mercury-free Technologies	Technical Assistance	Outcome 3: Miners in Cote d'Ivoire adopted mercury-free processing techniques.	<p>Output 3.1: ASGM miners and communities are sensitized on the health and environmental risks of mercury usage.</p> <p>Output 3.2: ASGM miners and communities are capacitated to use mercury-free technologies.</p>	GET	692,503.00	1,250,000.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 4: Knowledge sharing, communication and local capacity building support	Technical Assistance	Outcome 4: Knowledge and information produced through the project leads to better management of the ASGM sector in Cote d'Ivoire.	Output 4.1: Knowledge products and tools developed through the project are made available nationally to all planetGOLD project stakeholders in Cote d'Ivoire.  Output 4.2: Knowledge products and tools developed through the project are available globally through the planetGOLD programme	GET	752,090.00	250,000.00
Monitoring and Evaluation	Technical Assistance	Project achieves objective on time through effective monitoring and evaluation	Project monitored and evaluated	GET	60,000.00	100,000.00
<b>Sub Total (\$)</b>					<b>3,800,625.00</b>	<b>12,950,000.00</b>



**Project Management Cost (PMC)**

GET	136,875.00	425,000.00
<b>Sub Total(\$)</b>	<b>136,875.00</b>	<b>425,000.00</b>
<b>Total Project Cost(\$)</b>	<b>3,937,500.00</b>	<b>13,375,000.00</b>

**Please provide justification**

**C. Sources 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>
Private Sector	Argor Heraeus	In-kind	Investment mobilized	10,000,000.00
Private Sector	SAP	In-kind	Recurrent expenditures	250,000.00
Private Sector	LBMA	In-kind	Recurrent expenditures	100,000.00
Civil Society Organization	CASE	In-kind	Recurrent expenditures	100,000.00
Civil Society Organization	IMPACT	In-kind	Recurrent expenditures	425,000.00
Recipient Country Government	Ministry of Environment and Sustainable Development	In-kind	Recurrent expenditures	2,500,000.00
<b>Total Co-Financing(\$)</b>				<b>13,375,000.00</b>

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

The investment mobilized via Argor Heraeus was identified via ongoing collaboration between the project implementing and executing agency. The investment mobilized pertains to envisioned supply chain partnerships between Argor Heraeus and ASGM cooperatives identified as partners to the project. This builds off of existing collaboration between Argor Heraeus and IMPACT which was carried out in the context of the Just Gold project in C?te d'Ivoire.

**D. Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the 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>	<b>Total(\$)</b>
UNEP	GET	Cote d'Ivoire	Chemicals and Waste	Mercury	3,937,500	354,375	4,291,875.00
<b>Total Grant Resources(\$)</b>					<b>3,937,500.00</b>	<b>354,375.00</b>	<b>4,291,875.00</b>

**E. Non Grant Instrument**

NON-GRANT INSTRUMENT at CEO Endorsement

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Includes Non grant instruments? **No**

Includes reflow to GEF? **No**

**F. Project Preparation Grant (PPG)**

PPG Required **true**

**PPG Amount (\$)**

150,000

**PPG Agency Fee (\$)**

13,500

<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>	<b>Total(\$)</b>
UNEP	GET	Cote d'Ivoire	Chemicals and Waste	Mercury	150,000	13,500	<b>163,500.00</b>
<b>Total Project Costs(\$)</b>					<b>150,000.00</b>	<b>13,500.00</b>	<b>163,500.00</b>

## Core Indicators

### 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)
0.00	6.12	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)
	6.12		

#### 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)
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**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)
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**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)
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**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)
<b>Female</b>		1,511		
<b>Male</b>		2,839		
<b>Total</b>	0	4350	0	0

Provide additional explanation on targets, other methodologies used, and other focal area specifics (i.e., Aichi targets in BD) including justification where core indicator targets are not provided

## **Part II. Project Justification**

### **1a. Project Description**

#### **1.A.1 Global Environment Problem, Root Causes & Barriers**

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<sup>[2]</sup> 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>[3]</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, and 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 and several bilateral initiatives. At a global scale, the Programme supports countries' commitments under the Minamata Convention on Mercury entered into force in August 2017<sup>[4]</sup>. These efforts have contributed to addressing mercury reduction through addressing root causes for more than a decade.

##### **1.A.1.1 Global Environmental Problem**

###### **The Properties of Mercury**

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. Mercury can be found in three main forms: elemental (or metallic), inorganic compounds, and organic compounds.<sup>[5]</sup> Elemental mercury is liquid at room temperature and 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 released into the air when burned. Inorganic mercury is formed when mercury combines with other elements, creating inorganic mercury compounds. These can occur naturally and are primarily used in industrial processes. Organic mercury is formed when mercury attaches itself to carbon. A common form of organic mercury compound – methylmercury – is created when small microorganisms found in water or soil convert inorganic and elemental mercury into methylmercury.<sup>[6]</sup>



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>[7]</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. In contrast, direct exposure to the organic mercury compound dimethylmercury can be deadly in even the smallest amounts (i.e., several drops) if absorbed into the skin.<sup>[8]</sup>

Mercury sulfide (HgS), or cinnabar is a red shaded ore with deposits located throughout much of the world. The term cinnabar is believed to come from the Persian *zinjifrah*, meaning dragon's blood. Elementary mercury, which is liquid at room temperature, is obtained by heating or roasting HgS with calcium oxide (CaO) at 600°C<sup>[9]</sup> to extract vapors. These vapors are captured and condensed as liquid, 'quicksilver', mercury.<sup>[10]</sup> The USGS defined 26 belts in which mercury deposits occur in three different types: silica-carbonate, hot-springs, and Almaden (additionally, around 5% of the world's production resides in gold-silver by-products).<sup>[11]</sup> China is responsible for the vast majority of mercury production globally. According to the USGS, the country produces 3,500 tons annually, far outpacing the second producer, Mexico with 240 tons and Tajikistan with 100 tons.<sup>[12]</sup> Mercury is also released from the earth through natural processes, such as volcanic activity, as well as through mining processes.

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, meaning as it passes from one animal to another or to a human - it becomes more and more concentrated along the way, increasing the threat from one level to another<sup>[13]</sup>. This leads to a phenomenon known as 'bioaccumulation', in which those at the highest tiers of the food chain - including humans and larger animals - are exposed to the greatest amounts of mercury.<sup>[14]</sup>

### **Uses of Mercury**

Mercury was once used in a wide range of products and processes, in a variety of its forms. For a long period, it was once believed to be a key ingredient in a variety of medicines and medical treatments, such as calomel - a treatment used for teething toddlers and other illnesses in the early 1900s - or in steam baths that were once deemed beneficial to the health of individuals.<sup>[15]</sup> In the 1800s, the metal was even used in the felting process to make hats, leading to mercury poisoning for hatters and the birth of the expression 'mad as a hatter'.<sup>[16]</sup> As an effective tool for keeping moisture at bay, mercury has been used in fungicides to protect agricultural products from mold, as well as in batteries to prevent the buildup of gases that can lead to leakages.<sup>[17]</sup> Typical uses for mercury have also included dental restoration products (e.g. fillings), thermometers, incandescent lights, and more.

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, an international convention designed to protect the health of people and the environment from the negative impacts of mercury. The Minamata Convention on Mercury is discussed in greater depth in section 1.1.3.

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.<sup>[18]</sup>

### **Prevalence of Mercury Around the World**

It is difficult to assess the extent to which mercury contamination occurs worldwide, especially in regions with less government oversight. The United Nations Environmental Programme (UNEP) has conducted several global mercury impact assessments to help fill this void, with the most recent edition released in 2018. This report estimated that approximately 2,220 tons of mercury were released into the air from anthropogenic sources in 2015, reflecting a 20% increase from previous estimates in 2010<sup>[19]</sup>. Of this amount, the ASGM sector contributed 838 tons to global air emissions, with Latin America, Sub-Saharan Africa, and East and Southern Asia serving as the largest contributors with 340 tons, 252 tons, and 214 tons respectively<sup>[20]</sup>. Further, the report estimated that the artisanal and small-scale mining contributed approximately 1,220 tons of mercury to soil and water sources worldwide, and twice the amount released by other sectors. Geographically, South America represents 53%, East and Southeast Asia 36%, and Sub-Saharan Africa 8% of ASGM releases to water and soils.<sup>[21]</sup>

### **Impact of mercury on human health and the environment**

There is no known physiological role for mercury in the human body, and it is one of the most harmful heavy metals to both humans and animals. Mercury can spread throughout the human body and be difficult to excrete, leading to a range of negative health impacts, depending on type, quantity, and frequency of exposure<sup>[22]</sup>. It is widely accepted within the health community that frequent or direct exposure to significant quantities of both elemental and methyl mercury can cause serious harm to humans and animals. While there is somewhat less certainty regarding the exact point at which more negligible or low-level exposure to mercury becomes more threatening, the global consensus with respect to mercury has been to eliminate it to the extent possible from various uses and products.

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. In tropical regions with heavy rainfall, water, and consequently fisheries are particularly impacted. Consumption of mercury-contaminated fish exposes communities to methyl-mercury, an organic form of mercury that bio-accumulates and bio-magnifies along aquatic food webs.<sup>[23]</sup>

According to the World Health Organization (WHO), elemental mercury exposure can cause several harmful effects if inhaled, consumed or through direct contact, including various neurological and behavioral disorders that include symptoms such as tremors, insomnia, memory loss, neuromuscular effects, headaches and cognitive and motor dysfunction.<sup>[24]</sup> Some studies have shown that young children and women of childbearing age (and especially pregnant women) are at heightened risk of negative impacts from mercury exposure.<sup>[25]</sup> For example, a study of mercury concentration in Nile tilapia in Kenya concludes that "consumption of [the fish] from the studied area carries a significant risk of Hg exposure in frequent fish-eaters, pregnant women, and developing children, but is safe for the general population."<sup>[26]</sup> Hence, the extent to which mercury can be harmful varies depending on the pathway to exposure, the type of mercury, and the concentration levels.

Methylmercury is a powerful neurotoxin with exposure primarily identified through the food chain. Exposure to high levels of the toxicant often results in adverse health effects such as loss of vision, tingling of hands and feet, lack of coordination, impairment of speech, hearing and walking and muscle weakness. Methylmercury toxins bypass the placenta and can negatively impact fetuses. The toxicant can transfer to unborn children via breast milk<sup>[27]</sup> and the mothers' food diet,<sup>[28]</sup> and expose the forming brains and nervous system, resulting in impact in the children's cognitive abilities<sup>[29]</sup>.

While mercury is also in use at Large-Scale Mining (LSM) operations<sup>[30]</sup>, ASGM remain the main source of mercury emissions. Studies have shown the effects of mercury usage on individuals working in the ASGM sector who are exposed to elemental mercury when processing ore and extracting gold. From Brazil<sup>[31]</sup> to Indonesia<sup>[32]</sup> and China<sup>[33]</sup> to Mongolia<sup>[34]</sup>, mercury contamination from ASGM usage has been widely reported. These studies also highlight the impacts of mercury usage nearby communities, exposed through contamination of air, soil and water. Downstream communities are impacted by methylmercury contamination through the food chain.<sup>[35]</sup> While the effect is most acute for workers in the sector working directly with mercury and having skin contact or inhaling vapor, mercury vapor can stay in the air and be transported beyond the site of emission.<sup>[36]</sup> A recent study estimated that 25-33% of those working in the ASGM sector suffered around the world suffered from chronic mercury vapor inhalation, and that this resulted in an approximate global disease burden of 1.22 to 2.39 million disability-adjusted life years. The authors note that the study was impacted by a lack of accessibility of accurate and credible data and suggest that this figure presents an underestimated disease burden due to mercury usage by those working in the ASGM sector.<sup>[37]</sup>

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.<sup>[38]</sup> Additionally, mercury, as a basic chemical element, cannot be broken down or degraded. Once released into the biosphere the toxic metal readily moves and cycles through the environment. Once in the environment, the extent to which it can move between the atmosphere and further into waterways is influenced by its form. The harmful effects that different forms of mercury can have on living organisms are greatly influenced by bioaccumulation (build up inside an organism) and biomagnification (build up along the food chain), as described above. In particular, methylmercury is taken up at a faster rate than other forms and bioaccumulates to a greater extent. In fish, methylmercury becomes so tightly bound in the tissues that, even if exposure ceases, recovery only occurs a long time after.<sup>[39]</sup>

The use of mercury differs between geological areas. Depending on the areas where gold is concentrated among hard rock more mercury is needed for its extraction. The scale of mining capacity in each village and the geology of the site, therefore, also have important implications for rural development, environmental protection, and mercury usage. Any intervention in such context must include in-depth understanding of these dynamics to appropriately tackle the issue at stake.

#### **1.A.1.2 The ASGM Global Context**

Artisanal and small-scale gold mining (ASGM) is carried out in over 70 countries by 10-15 million women and men,<sup>[40]</sup> many of whom with several dependents relying on the mining sector as a source of livelihood. Unfortunately, there are also a significant number of children that can be found working in artisanal and small-scale gold mines in a variety of direct and indirect roles.<sup>[41]</sup> ASGM is defined in the Minamata Convention on Mercury as "gold mining conducted by individual miners or small enterprises with limited capital investment and production".<sup>[42]</sup> Globally, it is the main source of income for many rural and low-income communities, particularly in developing countries where alternative economic opportunities are scarce.<sup>[43]</sup> ASGM is a key part of the artisanal and small-scale mining (ASM) sector, and accounts for approximately 20% of global gold supply,<sup>[44]</sup> making it a USD35 billion industry per year.<sup>[45]</sup>

ASGM is typically carried out in the informal sector, poorly controlled by local authorities, either due to an absence of an effective regulatory framework, lack of enforcement capacity or corruption.<sup>[46]</sup> Consequently, ASGM is highly susceptible to predatory actors, including those complicit in human rights violations. Artisanal and small-scale gold miners often have no formally recognized access to resource rights and are thus frequently criminalized by extractive companies and government bureaucrats. This makes them vulnerable to extortion by corrupt officials who frequently demand payments for using mine sites. Unlicensed, informal gold production presents a missed opportunity for economic growth. Where mining activities are operating outside the law, national governments are not able to collect tax revenue. Coupled with illicitly traded gold, facilitated by the sector's informality, significant losses in government revenues are associated with ASGM. Such complex issues of mining taxation, land tenure and fraudulent financing put the sector at a disadvantage to larger scale industrial mining. These factors are crucial in determining the contribution the ASGM sector makes to national economic growth.

Forced to secure financing through informal means, miners and their families often become trapped in a cycle of poverty.<sup>[47]</sup> To achieve their livelihood goals, "push" factors at the micro level force people to engage in ASGM. For example, impoverished subsistence farmers may turn to ASGM as an alternative source of income due to local population growth or negative climatic impacts on agriculture. "Pull" factors that attract people to ASGM may typically include higher wages and the chance to inject greater cash flows for small business growth. However, it remains important to avoid viewing individuals only as maximization agents attracted to the hopes of getting rich quick.<sup>[48]</sup> In this context, mercury amalgamation is the quickest and least expensive method of recovering gold for individual miners. It is often the most trusted method for artisanal and small-scale miners, as it gives them a better sense of control over the recovery process. Low productivity, limited incomes, and difficulties to access financial opportunities<sup>[49]</sup> make it harder for many ASGM operators to invest in alternative mercury-free technologies. Not only does this perpetuate environmental damage and deteriorating health outcomes, but it keeps miners in debt to their financiers, further limiting their economic options.

The ASGM sector is also responsible for 35% of all global mercury pollution into the environment, which makes it the largest source of emissions worldwide.<sup>[50]</sup> A key reason for this is the fact that ASGM uses rudimentary techniques of extraction, often undertaken by miners with little technical knowledge of its impacts on the environment or their health. With limited capacity to mitigate the hazards, workers operate under dangerous conditions. As noted above, the open burning of mercury-gold amalgam in ASGM and refining facilities provides major risks to health and safety. Additionally, these practices raise questions around gender-related concerns in the ASGM sector, a growing field of inquiry.<sup>[51]</sup> Female miners are at risk of toxic exposure from mercury with the majority working in the amalgam-processing stage.<sup>[52]</sup> Even women and children not directly involved in mining activities share this danger due to amalgam burning in residential areas.<sup>[53]</sup>

### **1.A.1.3 Global Efforts to Reduce and Eliminate the Use of Mercury**

In recognition of the harmful effects of mercury on the human population and the global environment, governments came together, supported by the Chemicals and Health Branch of the UNEP Economy Division, to establish the Minamata Convention on Mercury<sup>[54]</sup>, a global treaty to protect human health and the environment from the adverse effects of mercury. Signed in 2013, the Minamata Convention on Mercury came into force in August 2017, and currently has 137 parties. The African continent is leading with 37 countries parties to the convention (out of 54 countries), followed by the Asia Pacific region with 35 countries parties to the convention.<sup>[55]</sup>

Main components of the Minamata Convention include banning new mercury mines and phasing out existing ones, phasing out mercury usage in various processes and products, addressing proper mercury storage and disposal, and regulating the artisanal and small-scale gold mining sector.

Countries that have ratified the Minamata Convention and determined their domestic artisanal and small-scale gold mining sector is, in the words of the convention, more than insignificant, are required to develop a National Action Plan (NAP). NAPs are tailored to the individual country context but must include several key elements as outlined in the Minamata Convention, such as strategies to facilitate formalization and regulation of the ASM sector and to increase the use of mercury-free technologies. NAPs should be submitted to the convention's Secretariat no longer than 3 years after entry into force of the convention or notification to the Secretariat. Finally, parties should provide a review every three years of the progress made to date.<sup>[56]</sup>

As underlined by article 9, the convention promotes a collaborative approach between parties and with intergovernmental organizations. To implement the Minamata Convention on Mercury, many governments require capacity building and resources to carry out relevant activities. As such, funding mechanisms have been established, including through the Global Environmental Facility (GEF), which is the primary source of financial contributions for the implementation of the Minamata Convention. The GEF supports governments and implementing partners to carry out assessments of mercury usage and risks within their national contexts, to conduct needs assessments for reducing and eliminating mercury usage, to create their NAPs and to undertake activities in a number of strategic areas to help reduce and eliminate the use of mercury in ASM gold supply chains, such as support for formalization, adaptation of mercury-free technologies, access to financing and awareness raising. In this regard, GEF has created a specific program ? planetGOLD ? that brings together several governments, private sector, and civil society organizations to support ASGM communities in these key areas. Additionally, many donor governments, multilateral institutions, industry actors and civil society organizations have prioritized the reduction and/or elimination of mercury from ASGM supply chains in a variety of formalization, governance and environmental focused projects and initiatives.

While efforts to tackle mercury usage in the ASGM should be continued and increased, awareness of criticisms remains critical. As listed in a recent article, limitations of these programs implemented for decades create inefficiencies constraining the ability to effectively tackle mercury use in the ASGM sector. While these criticisms are not specifically targeted at the planetGOLD programs, they bring important lessons as to how defining and orienting programmatic priorities. Criticisms include (1) lack of consultation with stakeholders in previous projects; (2) short-term assistance without continuity; (3) lack of consultation on the need to mine and the ability of miners to learn new technologies; (4)

concentration on assessment of environmental and health impact and not reduction or elimination of mercury; (5) fund used to convince partnering government and not to facilitate formalization; (6) limited knowledge of geological topic; (7) perception that gravity concentration can eliminate the use of mercury in all types of ores; and (8) lack of focus on how capital-intensive are mercury-free technologies.<sup>[57]</sup>

#### **1.A.1.4 Root Causes and Barriers to be Addressed**

There is a myriad of intertwined health, environmental and socio-economic challenges related to high mercury usage and emissions in the ASGM. Informality is a defining feature of the sector worldwide and is a key obstacle to capital investment in more responsible mining infrastructure. Despite ongoing efforts to encourage alternative extractive techniques, mercury use is still the primary method of recovering gold across West Africa. The main barriers to the adoption of mercury-free practices include:

##### **Poverty**

Participation in ASGM has become a primary means of survival for many miners and their families, with some miners depending on the sector to address food insecurity.<sup>[58]</sup> Most alternative work is low paid and hard to come by. Despite its intensive labor demands, ASGM has lucrative income generating potential, especially in certain areas where other income generating activities are more difficult. ASGM provides an opportunity for these groups to supplement their seasonal earnings. 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 the *2014 Code Minier* recognizes artisanal operations in its Title IV, Chapter II, ASGM activities remain predominantly informal, meaning that the operators do not have the requisite licenses and permits. Artisanal mining throughout West Africa, including Cote d'Ivoire, is the result of negotiated agreement allowing farmers, miners, and other land users to perform their own activities. In Cote d'Ivoire the vast majority of land is not titled and belongs to a village or community under customary rights.<sup>[59]</sup> This situation often leads to a clash between customary and legal rights, the former often taking prominence on the latter. This provides a substantial barrier for mining communities in acquiring enforceable property rights or accessing finance that can support improvements to their operations.<sup>[60]</sup> 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. Despite exploring various forms of land

access by ASGM, which include working in sites managed by license holders, landlords, pit owners or machine owners, the sector remains highly informal. Its informality and migratory nature weaken the organizations structuring the industry – namely ASGM associations – which are in most cases inactive.

Legislation prioritizing large-scale mining has also often put ASGM practitioners at a big disadvantage, who struggle to comply with the rules. In Côte d'Ivoire, this industry, in particular the illicit operations, are considered an epidemic by the government for threatening the industrial investments in the sector. Bureaucratic tapes have greatly limited the ability of artisanal miners to request authorization to establish an ASGM operation while the Mining Code's requirement that the authorization be renewed every two years makes it improbable to secure a title. Additionally, artisanal mining areas are often established on the leftovers of industrial operations, with limited and difficult to access ore.<sup>[61]</sup> These types of requirements, if not adapted to the realities of the ASM sector, risk giving monopolized access to mineral bearing land for large-scale mining companies, thus marginalizing the ASM sector to an even greater extent. The issue of land ownership is therefore a significant source of conflict.<sup>[62]</sup> Informality also allows ASGM communities to operate in remote areas in the absence of appropriate social and environmental impact oversight.

Beyond an effective regulatory and legislative framework for formalizing the ASGM sector, a lack of resources and capacity have 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 and government officials 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 labor 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 labor, mercury usage and corruption provide the threat of reputational damage for lenders.<sup>[63]</sup> Investors are often discouraged by the fact that ASGM is largely financed through informal channels,<sup>[64]</sup> 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 in West Africa, and more globally, 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>[65]</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.<sup>[66]</sup>

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.

### **High Exposure to Risks**

For years now, the ASM sector, and in particular the gold industry has been at the fore in discussions around risks and human rights abuses. Section 1502 of the Dodd-Frank Act placed this issue to the core of corporate due diligence in 2010, in particular in the Central African region.<sup>[67]</sup> This year, the implementation of the EU Regulation 2017/821 brought these concerns to the global stage.<sup>[68]</sup> The attractiveness of gold, which requires only small quantities for significant gains, has gathered the attention of armed groups, militias, and other groups as a financing mechanism through illegal taxation. Beyond this issue, ASGM is often at the center of disasters linked to the remoteness and low technological development of the extractive practices. Collapse of mine pits are frequent, while disease propagation has been rampant. Regarding this last point, epidemics and pandemics have had a significant impact on artisanal and industrial<sup>[69]</sup> operations throughout Africa. The case of Ebola in the DRC<sup>[70]</sup> and Sierra Leone<sup>[71]</sup>, and even more visible the impact of the COVID-19 pandemic on artisanal gold mining<sup>[72]</sup> highlights these critical limitations for intervention. Research shows that these events and the government response to tackle major health issues deeply impacts the movement of people, a critical aspect of artisanal gold mining. In Guinea, most of the artisanal mining population is migratory while the export of gold can only be performed with a highly mobile workforce. As governments put regions in lockdowns, particularly during the Ebola epidemic, the livelihoods of millions of people are threatened. Similar dynamics are at stake with the COVID-19 pandemic. However, the scope of the pandemic impacted the gold market as whole and cut export routes, hence limiting the ability of miners to sell their production and earn money.<sup>[73]</sup>

The exposure to risks greatly limits intervention by legitimate private actors, including risk averse refiners and downstream purchasers. In part due to the increasing scrutiny around sourcing practices, especially in the gold sector, these actors abstain from directly intervening in the risky ASGM sector, hence limiting financing for artisanal operators and stifling their ability to tackle these risks' root causes. The involvement of traders and refiners with poor sourcing practices, without established price control, and negatively impacts the miners' ability to secure a living wage, while evading taxes in the countries in which they operate.<sup>[74]</sup>

### **Intertwining of Illegal Mercury and Gold Trade**



Globally, mercury is a highly regulated substance, controlled by different mechanisms restricting its trade. For example, under the Mercury Export Ban Act of 2008, the United States made it illegal to export elemental mercury, and other countries adopted similar measures aim at curbing the trade in mercury. Hence 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. 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.<sup>[75]</sup> Targeting behavioral changes in the use of mercury at the mine site level then appears the most promising intervention.

## **Gender Inequality**

Representing a significant part of the workforce women in ASGM, recognition of the role of women is critical to all formalization efforts, including mercury reduction.<sup>[76]</sup> Powerful cultural and patriarchal norms, where it is considered taboo for women to participate in the sector, where women are consigned to domestic and childcare responsibilities, and where women do not have equal access to and control over gold resources, have marginalized their perceived role in ASGM. The traditional view that mining is a male activity limits women's direct involvement at mine sites.<sup>[77]</sup> However, this situation doesn't mean that women are absent from the mining process. Instead, they are mostly engaged in non-digging activities such as sluicing, washing, sieving, and processing, including using mercury-gold amalgamation.<sup>[78]</sup> Consequently, women are exposed to serious health risks, as they can often be the ones to perform ore purification with mercury.<sup>[79]</sup> 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.<sup>[80]</sup> 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. Despite these challenges and barriers, it is important to note that the ASM sector, and in this case gold, also provides many economic and social benefits for women participants, as documented through research in Africa.<sup>[81]</sup> Women are often able to use the income generated from the sector to meet their household needs and to invest in other types of income generating activities, which can also support them in advancing their social status.<sup>[82]</sup>

Given the challenges and barriers that women face in the ASGM, and the gendered roles they play that are linked to mercury usage ? it's important to consider the extent to which gender inequality in the sector serves as a root cause for women's exposure to mercury contamination. While from the perspective of sheer numbers, men are the most impacted by mercury contamination in the ASGM sector, this is explained by their larger representation in the sector, and not necessarily driven by gender inequality. This is contrasted with the experiences of women, by which they find themselves, in some circumstances, dependent on the use of mercury to guarantee their income related to the sector given their more limited access to other income generating activities.

## **1.A.2 National Baseline: ASGM Context in Cote d'Ivoire**

Cote d'Ivoire is located in West Africa, bordering Liberia and Guinea to its west, Mali and Burkina Faso to its north, Ghana in the east, and the Atlantic Ocean to the south. According to preliminary census results for 2021, the country has a population of 28 million<sup>[83]</sup> people spread along the 322,462km<sup>2</sup> of its territory.<sup>[84]</sup> With a gross domestic product (GDP) of USD 61.35 billion the country is an economic giant in the region.<sup>[85]</sup> While the mining sector, in particular linked to gold and diamonds, is booming, the country's economy suffered from the COVID-19 pandemic and its GDP annual growth fell to two percent in 2020. The economy of Cote d'Ivoire is largely dominated by agricultural activities with 22 percent of its GDP produced by the sector and 75 percent of its exports.<sup>[86]</sup>

Historically, artisanal gold mining in the region dates back to the second half of the 18th Century, particularly around veins and alluvial deposits. Communities involved in mining provided guidance to the first colonial explorers and European mining prospectors.<sup>[87]</sup> The Baoulé region, in the center of current Cote d'Ivoire, was a hub of gold mining during the 18th Century while neighboring areas focused on slave trade.<sup>[88]</sup> The social and economic roles of the precious metal in Baoulé and Akan communities<sup>[89]</sup> have also been recorded.

AGSM mining in the country is located mainly in the center, east, north-east and north-west of the country. However, gold is extracted in 24 of the Cote d'Ivoire's 31 regions, with a concentration around Bouaflé, Oumé, Bouaké and Katiola. In this region, up to 28 legal artisanal areas were identified by the government in 2017.<sup>[90]</sup> The sector is governed by the Ministry of Mines and Geology and gold operations dominate the sector. In 2020, a total of 42 ASM mining licenses were in operation, a significant jump from 29 the year before. Of these 42 operations, 38 were for gold (the remaining four for diamonds).<sup>[91]</sup> However, beyond the legal sites, a vast network of clandestine operators extract gold in the country. A report by IMPACT estimated that around 500,000 artisanal miners are active in the country, many of which migrate from neighboring countries or other countries in the region.<sup>[92]</sup> Generally speaking, the population in artisanal mines is largely young and uneducated. But in the three regions of Hambol, Poro, Bagoué, Allou, the miners were at least 35-year-old.<sup>[93]</sup> Finally, only 5 percent of the miners said to have moved to the mine sites with their family.<sup>[94]</sup> However, Allou also showed that 68 percent of the workers in the mines earn less than FCFA 60,000 per month (around USD 104).<sup>[95]</sup>

The government of Cote d'Ivoire has adopted a repressive policy towards illegal artisanal miners, particularly in the AGSM sector. In 2018, the Minister of Mines and Geology, announced the establishment of an anti-artisanal mining brigade in charge of clandestine activities (*Brigade de Répression contre les Infractions au Code Minier (BRICM)*).<sup>[96]</sup> In July 2021, the country's National Security Council, presided by the President, created the Groupement Spécial de Lutte contre l'Orpillage Illégal (GS-LOI), which is a special security force created to control artisanal mining, including through evictions. Since its creation, the group has organized several repressive actions to control artisanal gold mining, leading to the arrest of hundreds of people, seizures of equipment and other enforcement acts. The narrative adopted by the government appears to link illegal artisanal miners with terrorist financing, a dangerous trajectory that often occults the poverty dynamics at stake in the sector.<sup>[97]</sup>

In the past decades, the country has also been subjected to critical challenges that have deeply influenced the sector. The First Civil War in 2002 and the Second Civil War (2010-2011) profoundly reshaped the economic situation of the country's population pushing many toward artisanal, and often

clandestine, mining. The activity has been a fertile source of funding for rebel groups during and in the aftermath of the crisis.<sup>[98]</sup>

The ASGM industry in the country is a highly migratory practice. Studies have shown that miners from Burkina Faso and Mali represent a significant part of the workforce. Hence, Allou found, on the sites he studied in the northern part of the country, that 28 percent of the workforce was Burkinabe and 18 percent travelled from Mali. If adding the other nationalities, it appears that Ivorian miners are in minority compared to foreigners as 55 percent of the workforce comes from outside C?te d'Ivoire.<sup>[99]</sup> A preliminary *Plan d'Action National* (National Action Plan<sup>[100]</sup>), prepared in 2016, finds slightly different numbers in Hir? with 37 percent of Burkinab?s, 34 percent of Ivoirians, 21 percent of Malians, and 8 percent of Guineans.<sup>[101]</sup> It also provides in-depth assessment of the socio-economic status of miners. Finally, Yapo and Ligue find that 80 percent of the workforce in artisanal mines at the country level is born outside of C?te d'Ivoire and that only 35 percent of the workers live in the country for more than five years.<sup>[102]</sup> These numbers highlight the booming nature of the industry and the attractiveness of the country for neighboring populations. It is surprising, for example, that the first population of miners are students (37 percent), followed by farmers (29 percent) and small business owners (14 percent).<sup>[103]</sup>

Similar to many African jurisdictions, C?te d'Ivoire?s artisanal gold sector suffers from significant challenges. First the poor working conditions and inexistent occupational health and safety (OHS) monitoring under which artisanal miners operate are directly related to the high number of accidents in mine sites. For example, in 2014, five people died in the collapse of a pit.<sup>[104]</sup> This situation led the government to adopt a repressive policy toward ASGM, geared toward the closure of artisanal sites. Following the 2014 accident, the authorities closed 148 sites<sup>[105]</sup>, but this strategy appears to have little long-term effects as miners open new sites. Beyond these incidents, other challenges remain, including the use of mercury in the extraction process (explored in more details in the subsequent parts), conflicts with large-scale mining operators<sup>[106]</sup>, gender inequality and violence<sup>[107]</sup>, and the general informal nature of the sector.<sup>[108]</sup>

### **1.A.2.1. Governance of the Sector: Administrative, Legal, and Regulatory Framework**

Administratively, the artisanal sector, including the ASGM industry, is under the supervision of the Minist?re des Mines et de la G?ologie (MMG, Ministry of Mines and Geology). The ministry includes the Direction G?n?rale des Mines et de la G?ologie (DGMG, General Directorate of Mines and Geology), which is organized in four directorates:

- Direction de la Cartographie et de la Prospection G?ologique (Directorate of Mapping and Geological Prospecting)
- Direction de l'Information Mini?re et du Cadastre Minier (Directorate of Mining Information and Mining Registry)
- Direction du D?veloppement Minier (Directorate of Mining Development)
- Direction de l'Exploitation Mini?re Artisanale et des Carri?res (Directorate of Artisanal Mining and Quarries)

The ASM sector, and in particular ASGM, is organized by the latest directorate. The Directorate of Artisanal Mining and Quarries includes two separate sub-directorates, one focused on quarries and the second one on ASM operations.

The mining sector is currently governed by the 2014 Mining Code (*la loi N° 2014-138 du 24 mars 2014 relative au code minier*).<sup>[109]</sup> The mining code replaced a previous law in place since 1995, Law No. 95-553, and includes sections on the artisanal mining sector. In particular, articles 64 to 82 discuss the authorization for both semi-industrial and artisanal operations and the rules applied to the sector. Specific to ASGM, the seventh title focuses on mineral-specific questions, including gold, and the specific rules governing their extraction and trade. Hence, the mining code is the backbone of industrial, semi-mechanized, and artisanal mining operations in Côte d'Ivoire. The implementation of the code remains the prerogative of the MMG and the different directorates we described above.

Artisanal mining licenses are defined in the code as square or rectangular parcels of maximum 25 hectares (61 acres) with shafts not exceeding 15 meters in depth. The artisanal mining license is valid for a two-year period after which the beneficiary shall renew it or abandon it. Interestingly, the use of any toxic substance (as well as explosives) is prohibited by article 68. This applies to mercury as well, which is the core of this baseline. The requirements of the mining code in terms of environmental remediation are a significant issue. Article 70 argues that 'he [the miner] must exploit mining substances in a rational way and to protect the quality of the environment.'<sup>[110]</sup> This article does not provide any specific requirements of the ways in which to protect the environment and lacks the definition of 'rational'. Additionally, the mining code requires the artisanal operator to reclaim agricultural land and irrigation systems impacted by its activities.

The mining code is implemented by the Décret déterminant les modalités d'application de la loi portant code minier (Decree governing the modalities of implementation of the law establishing the mining code).<sup>[111]</sup> This decree establishes draconian systems to require a mining authorization. In particular the law doesn't differentiate between LSM and ASM and requires all demands to be mailed with signature, and to provide an address and phone number where to contact the person.<sup>[112]</sup> While this is justified for industrial mines, it appears to be quite complex to implement in the ASM sphere. Even more troubling, the ASM operator is required to provide a quarterly report to the mining administration on their activities (article 73). Hence, the legal condition of exploitation is disconnected with the realities of artisanal mining and risk discouraging artisanal operators to formalize.

Finally, article 149 of the Mining Code, spelled out by a decree, defines the taxes applicable to the artisanal mining industry. ASM operator must pay 100,000 FCFA (approx. USD 160) for authorization application, 200,000 FCFA (approx. USD 320) for renewing an existing , and 200,000 FCFA for the transmission of the authorization. Additionally, a fixed tax of 20,000 FCFA (USD 34.5) per hectare (knowing that the maximum is 25 hectares, the maximum is around USD 850) is applied per year. Finally, authorized individuals and miners are also covered by a tax system, which includes the license owners and the workers. Those with an authorization pay a one-time sum of 5,000 FCFA (USD 8.6) while workers pay a one-time sum of 5,000 FCFA (USD 8.6) and a bi-annual tax of 500 FCFA (USD 0.86) to renew it.<sup>[113]</sup>

The regulatory framework is also specific to the gold artisanal mining sector. The Arrêt Ministeriel portant création du cadre institutionnel du projet de rationalisation de l'orpaillage et déterminant ses attributions, son organisation et son fonctionnement (Ministerial Decree governing the creation of an institutional framework for the rationalization project of gold artisanal gold mining and its roles, structure, and functioning), published in 2014, aimed at streamlining the artisanal gold sector. The decree had five goals:

- Organizing and promote artisanal gold mining to increase knowledge of the environment in which it takes place;
- Capacity building of the different actors of the sector to eliminate the risks linked to the use of environmentally toxic products [this encompasses mercury];
- Organizing the trading systems and creating expertise centers on products linked to artisanal gold mining;
- Developing the activities allowing for a social reintegration of artisanal gold miners;
- Promoting cooperation between industrial mining operators and artisanal gold miners.[114]

In addition to the documents cited above, including the Mining Act of 2014, there are several other pieces of legislation, regulation or policies that are relevant to the ASGM sector. While these texts usually do not deal directly with artisanal mining, their content is important to appropriately address ASGM-related topics. In particular, laws governing natural resources and activities competing with ASGM for access to land are critical. These include:

- Loi no. 98-750 du 23 décembre 1998 relative au domaine foncier rural telle que modifiée par la loi n° 2004-412 du 14 août 2004 (governing Rural Property). The law recognizes two types of property types, including a permanent one (land owned by the State, public collectivities and private owners, and land without owners) and a transitory one (land governed by customary law)
- Loi no. 96-766 du 3 octobre 1996 portant Code de l'environnement en Côte d'Ivoire (governing the Environmental Code in Côte d'Ivoire). However, the government announced major changes to the law in 2020 to include broader issues such as deforestation, marine ecology, agriculture, and climate change.
- Loi no. 98-755 du 23 décembre 1998 Portant Code de l'Eau (governing Water Code)
- Loi no. 94-442 du 16 août 1994 portant modification de la loi n° 65-255 du 4 août 1965 relative à la protection de la faune et à l'exercice de la chasse (governing fauna protection and hunting rules)
- Loi no. 2019-675 du 23 juillet 2019 portant Code forestier (governing Forest Code)
- In-development: Code de l'élevage (Farming Code).

More specific legal instruments also apply, in particular on child labor, OHS, environmental, and corruption issues. These include:

- Loi no. 2010-272 du 30 septembre 2010 portant interdiction de la traite et des pires formes de travail des enfants (governing the prohibition of slavery and the worst forms of child labor).
- Loi no. 2015-532 du 20 juillet 2015 portant code du travail (governing Labor Code)
- Ordonnance no. 2013-660 du 20 septembre 2013 relative à la prévention et à la lutte contre la corruption et les infractions assimilées (governing the prevention and fight against corruption and similar offences)

- Strat?gie Nationale de D?veloppement Durable. 2011. Minist?re de l'Environnement, et du D?veloppement Durable. (National Strategy for Sustainable Development, NSSD).

- Cadre de Coop?ration des Nations Unies pour le D?veloppement Durable. 2020. Gouvernement de C?te d'Ivoire et Syst?me des Nations Unies pour le D?veloppement. (United Nations? Framework for Sustainable Development).

The country has not adopted a law or decree specific to mercury usage in the ASGM sector. However, the environmental code includes article 8 which encompasses mercury. The article supports that the environmental code addresses ?substances or compounds of substances manufactured or in natural state, susceptible, because of their toxic, radioactive, corrosive or damaging nature, to be a danger for the health of people, protection of soils and subsoils, waters and fauna and flora, the environment in general, when they are used or drained in the natural environment.? Additionally, in 2018 a draft decree regarding the protection of populations affected by heavy metals (including mercury) was proposed by the Ministry of Health, in partnership with the MINEDD and Centre Africain de la Sant? Environnementale (CASE).<sup>[115]</sup> However, as of 2021, no decree has been officially adopted. While C?te d'Ivoire signed the Minamata Convention in 2013, the country has not yet adopted a National Action Plan (NAP) ? though this is expected to take place imminently. It also devised a Plan National de Rationalisation de l'Orpaillage 2013-2016 (PNRO, National Plan for the Streamlining of Gold Artisanal Mining 2013-2016). This document is explored more in-depth in the last section of the National Baseline.

Beyond the existence of strict laws and regulations on the sector, customary governance of ASGM remains central. The complex tenure regimes that govern artisanal mining in the country are linked to the continuous use of these traditional means of organization. Land management issues, particularly in cases of competing claims are often managed in customary settings, using traditional laws instead of statutory regimes. De Jong and Sauerwein show that customary shared property rights frameworks, in particular village-owned systems have had a positive impact on managing conflicts in the artisanal extraction of diamonds in the country. They argue that the existence of this hybrid form of governance between the state (in their case a state-owned company) and artisanal diamond miners was highly beneficial to the stability of the activity.<sup>[116]</sup> Nevertheless, the limited knowledge and adoption of mercury-free practices, and the general disregard for environmental issues in the ASGM translated a need for more government involvement and formalization processes. Hence any intervention in the ASGM sector should consider these factors and adopt a holistic approach with a deep understanding of the specific local customary practices.

### **1.A.2.2 Access to Finance**

The informality of the ASGM sector often limits the ability of various supply chain actors, including miners, traders, and exporters, to access legitimate forms of financing. According to a report on the barriers for access to financing in the ?conflict minerals? sector in the African Great lakes Region (GLR), one critical limitation to ASGM access to funding mechanism is its pervasive association with money laundering.<sup>[117]</sup> Globally, the access to finance in the ASM sector is an important obstacle to its formalization and the improvement of livelihoods for individual operators.<sup>[118]</sup> In the case of C?te d'Ivoire, there are no formal financing systems in ASGM sites and miners are reticent to contact loan

providers due to their lack of understanding of the system. There are many factors that contribute to this reality. For one, the lack of a formal business entity upon which legitimate financiers can enter a lending relationship presents a significant barrier.

As is the case in other regions, without access to formal and legitimate sources of financing, ASGM actors are often reliant on informal lending actors and networks, some of which engage in predatory lending behaviours. These often leave miners at risk of receiving unfavourable terms and heavily indebted to informal dealers. Informal dealers advance cash or mercury to miners, who then must sell their gold back to the dealer in order to repay their debt. These debt relationships can often create a dependency on mercury usage. Other sources of informal lending often occur amongst friends and family ? whether through an organized vehicle or one-on-one.

More broadly, Village Saving and Loan Associations (VSLAs) have been developed in C?te d'Ivoire with an important focus on women?s empowerment. Care International and the National Democratic Institute (NDI) established a VSLA program through microcredit loans to enhance civic participation. While not geared specifically toward the mining areas, and non-gender specific, the program aims at establishing links between Ivorians from different political perspectives in the hopes to mitigate tensions and resolve conflicts before it explodes.[119] Another program implemented by the International Rescue Committee (IRC) is also targeting conflict settings with VSLAs meeting weekly for trainings and including a strong gender component. The results are promising with a decrease by half of the percentage of women reporting physical (excluding sexual) violence from their partner. However, sexual, and emotional violence rates didn?t see any change. Similarly, economic abuse, with men withholding funds from women, decreased by 13 percent in a year.[120]

In 2008, the Premi?re Agence de Microfinance C?te d'Ivoire (PAMF-CI) was established and is now supported by the Luxembourg Microfinance Development Fund.[121] It is now one of the only microfinance agencies to operate in rural regions, especially in the northern parts of the country. Currently PAMF-CI portfolio is 50 percent rural and 50 percent urban, and women constitute one third of its loans. The organization focuses on improving agricultural productivity, acquiring livestock, and assisting in establishing small enterprises in rural and urban areas. With 40 percent of its borrowers now being savers, PAMF-CI has a strong financial basis[122] and reaches more than 17,000 people.[123]

Structures such as PAMF-CI could provide access to finance for artisanal miners. As the European Investment Bank research found, more than 94 percent of borrowers were financially excluded prior to gaining access to a PAMF-CI loan.[124] Hence, artisanal miners would be an important diversification strategy. PAMF-CI, or any other institution of microfinance involved in the remote regions of C?te d'Ivoire, should also be supported to provide larger loans applicable to the ASGM operations, potentially through new grouping loans (loans with multiple individuals to increase their collaterals). As ASGM necessitates larger investments than other economic activities, this strategy would integrate miners in the financial system and ensure that they have enough funding to also access mercury-free technologies.

### **1.A.2.3 Mercury Usage & Mercury-free Technology**

The use of mercury in ASGM was introduced relatively late in Cote d'Ivoire, mainly through migratory populations from neighbouring countries.[125] It seems that until 2002 and the beginning of the first political-security crisis, little to no mercury was used by gold miners. However, during the rebellion, a massive influx of small-scale gold miners from neighbouring countries, first of which Burkina Faso, was observed in the northern part of the country, introducing amalgamation techniques. The Artisanal Miners Association reports that nearly 95 percent of miners come from Mali, Burkina Faso, Guinea, Ghana, and even China. Large amounts of mercury are reported to be used, but no definite figures exist and a mercury to gold ratio is of 2:1 is typically reported. In 2010, a study conducted by the Global Mercury Assessment estimated the consumption at 0.1 - 0.5 t/year but an analysis of the consumption based on the number of miners using it (30,000-50,000) provides a range between 0.5 and 5.0 t/year.[126] Finally, in 2017, the UNEP emission inventory suggested that around 56 percent of mercury release in the atmosphere originated mainly from artisanal and industrial gold.[127] Finally, at the national level, Yapo and Ligue find a Hg to Au ratio between 1.24 and 1.49 and an annual consumption of mercury up to 9,979 kilograms.[128]

Currently, data collected by the Ministry of Mines and Geology shows that there are about 500,000 miners in Cote d'Ivoire. Thus, if these figures are reliable, then mercury consumption by artisanal gold miners has probably increased significantly from the estimated 0.5 - 5 tonnes of Hg/year. Hence, based on these numbers, in 2018, the inventory report of the Ministry of Health, Environment and Sustainable Development estimated that the mining sector, including ASGM, released an estimated 10,224 kg Hg/year.[129]

**Table 1: Average mercury prices in Cote d'Ivoire according to various sources**

Source	Year	Average reported prices of mercury
Lassen et al.	2016	USD 85/Kg
Plan d'Action National (PAN), 1st draft	2016	USD 86/kg to USD 121/kg

Mercury use in artisanal gold mining is a significant environmental and health concern, impacting agriculture and whole ecosystems. Located in the tropics, the heavy waterfall that Cote d'Ivoire sees annually increases even more the pollution of soil and water with mercury releases.[130] In Cote d'Ivoire mercury emissions levels are located around 0.09 grams per person per year, a much lower average than the global one.[131]

However, ASGM in Cote d'Ivoire lead to high level of mercury and methylmercury concentrations dissolved in streams and soils. Konkel finds a total mercury contamination of the sediments greater than 100 ng per gram while the methylmercury contamination ranged from 0.03 to 4.4 percent. Concentrations in fish exceeded 0.3 µg per gram of wet weight, especially for carnivores and fish caught in the western region of the country.[132]

A study conducted in sites with the highest concentration in mercury found that large rivers had concentrations above 100 mg L<sup>-1</sup>. The lowest concentration was found in the drainage basin of the abandoned Abouli mine with 47 ± 2mg L<sup>-1</sup>. The highest concentration was found in a small pool of wastes associated with commercial mining activities outside the village of Bonikro with 297 ± 34 mg L<sup>-1</sup>. [133]



The 2016 preliminary National Action Plan finds that the use of mercury is significantly different considering the sites. The study identifies sites with use as little as 5 grammes a day and other with more than 1,800 grammes per day. These correspond to an annual consumption located between 1.5 kilograms and 558 kilograms.<sup>[134]</sup>

Many of the abandoned mining sites in the country have been recolonised, making these sites severe mercury black spots. This is particularly problematic in the Tchianan site in the department of Tengrela in the north of the country, the commune of Hir?, and the locality of Kokoumbo in the center-west of C?te d'Ivoire.<sup>[135]</sup>

As previously noted, the trade increased significantly in the past decade, and numbers highlight the difficulty to find relevant and reliable data. According to research, three routes of mercury importation can be identified: (1) Burkina Faso and Mali supplying the Northern region; (2) Guinea supplying the Western region; and (3) Mali and Burkina-Faso supplying the Central-North region.<sup>[136]</sup> The same study cites a mine site owner in the northern part of the country. The study argues that mercury supply for ASGM in the region is organized by miners, buyers and suppliers from Burkina Faso. The suppliers work with Ghanaian wholesalers preventing site owners from directly buying from wholesalers.<sup>[137]</sup> Finally, financiers supply miners with mercury and sometimes, large scale miners provide mercury to ASGM as they buy their production.<sup>[138]</sup>

However, more detailed and updated information is expected to be publicly available once the GEF-funded Enabling Activity project titled Minamata National Action Plan on Mercury in C?te d'Ivoire is finalized by the end of 2022.

#### **1.A.2.4. Gold Pricing and Costs**

The identification of gold pricing is particularly complex in C?te d'Ivoire as limited on-the-ground research has been performed. The prices also fluctuate significantly depending on global prices of gold and the complex taxation systems (legal and illegal) add to this fluidity.

The preliminary NAP carried out in 2016 found that prices for a gram of gold ranged from 15,000-18,000 FCFA (approximately 26-28 USD<sup>[139]</sup>). Research carried out during the PPG phase in different regions from those considered in the 2016 NAP (notably, Gontougo, Bounkani and Bagou?), found a higher price average of 23,000 FCFA (approximately 36 USD per gram).

##### **1.A.2.4.1. Cost of establishing a legal artisanal operation**

- ? Costs for defining the environmental reclaiming;
- ? Costs associated with the yearly application to renew mine site license;
- ? Costs associated with accurate record keeping of production from artisanal mining permit areas;
- ? Costs associated with the quarterly report to the mining administration;
- ? Costs associated with abiding by the measures for health, safety and environmental protection prescribed by regulations.
- ?

##### **1.A.2.4.2. Cost of exporting gold**

In the Economic Community of West African States (ECOWAS), Côte d'Ivoire is the country with the highest royalty rate for gold exports. The 6 percent tax rate is double that of neighboring Ghana and contrasts with the absence of royalties in Guinea. Additionally, the full cost of export includes a CFA 70,000 (around USD 120) per kilogram assay fee. UNIDO estimates the cost of exporting one kilogram of Ivorian gold to be USD 2 231 while the exporter makes a profit of USD 32,845.<sup>[140]</sup> This estimation from 2018 can almost be doubled today as the global gold prices reach new highs.<sup>[141]</sup>

Table 2: Administrative and Legal Costs of Exporting 1 kg of gold in some ECOWAS countries

<i>Country</i>	<i>Royalties and other costs (fees, taxes)</i>	<i>Average Total Costs (per kg)</i>	<i>Average Profit (per kg)</i>
Benin	? 5% gold export ? 0.85% taxe de voirie	\$2 052	\$33 024
Burkina Faso (selling to ANEEMAS)	? 1% royalty ? CFA 200/g assay fee	\$711	\$34 365
Côte d'Ivoire	? 6% royalty ? CFA 70,000/kg assay fee	\$2 231	\$32 845
Ghana	? 3% royalty ? 0.176% assay fee	\$1 114	\$33 962
Guinea	? 0% royalty ? GNF 300/g assay and smelting fee	\$33	\$35 043
Liberia	? 3% royalty	\$1 052	\$34 024
Mali	? 2% royalty	\$702	\$34 374
Niger	? 3% royalty on 80% of value ? CFA 5,000/g assay fee	\$850	\$34 225
Nigeria	? 3%	\$1 052	\$34 024
Senegal (refined locally)	? 3.5% royalty ? CFA 300/g assay fee	\$1 768	\$33 308
Senegal (refined externally)	? 3% royalty	\$2 294	\$32 782
Sierra Leone	? 3%	\$1 052	\$34 024
Togo	? 3% royalty	\$ 1 052	\$34 024
Togo (en transit)	? CFA 45/g tax rate	\$81	\$34 995

**Source:** UNIDO, Government of Switzerland and The Global Initiative Against Transnational Organized Crime (p. 26)

#### 1.A.2.4.3. Other Costs Related to the Sale and Export of Artisanal Gold

Establishing an export office in Côte d'Ivoire is governed by a set of different rules and is subject to specific taxation. Legally, artisanal miners must sell their production to a *collecteur* (collector). The *collecteur* in turn sell gold to a *bureau d'achat* (Buying Office) which can only be opened following modalities established by a decree of the Ministry of Mines. The office itself must receive authorization of the ministry of mines to be opened. The table below provides more details on the taxes and costs of setting up such an office.

Table 3: Taxes applicable to the trade and export of artisanal gold materials

Applicability	Tax in French	English translation	Cost in FCFA	Cost in USD*
Taxes applicable to the establishment of a gold buying and exporting office.	Droits d'agrément des bureaux d'achat et de vente des métaux précieux - établissement	Tax on the establishment of a buying center of precious metals	3,000,000	5176
	Droits d'agrément des bureaux d'achat et de vente des métaux précieux - renouvellement	Tax on the renewing of a buying center of precious metals	3,000,000 every 3 years	5176
	Attribution d'autorisations d'achat et de vente des métaux précieux - individus	Fixed tax on the attribution of the authorization to buy and sell precious metals	200,000	345
	Renouvellement d'autorisations d'achat et de vente des métaux précieux	Fixed tax on the renewing of the authorization to buy and sell precious metals	200,000 every 3 years	345
Additional taxes applicable to gold exports.	Frais de contrôle des métaux précieux et des pierres précieuses	Control tax for precious metals and gemstones	80/g	0.14/g

	Frais de v?rification de titre	Verification of the title tax	150/g	0.26/g
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\* Based on a currency change of USD 1 equals 579 FCFA

#### **1.A.2.5. Knowledge Sharing and Efforts to Date**

The Ivorian government presented its PNRO in 2013. The framework provides avenues to clean up, organize, and regulate the ASGM sector in order to insert it into formal legal activities. The program was designed by the Ministry of Mines and Industry (MIM) with a budget of FCFA 2.3 billion (almost USD 4 million) and implemented between 2013 and 2016.<sup>[142]</sup> The government has stated that it intends to gradually bring informal people into the legal system through training, organizing sector operators into groups and teaching many new agricultural methods that preserve wildlife.

In 2013 C?te d'Ivoire became a signatory of the Minamata Convention. This move followed the implementation by UNIDO of a mercury reduction program started in 2012. The project for the reduction of risks related to mercury in artisanal and small-scale gold mines in C?te d'Ivoire carried out until August 2014 aimed to reduce the risks associated with the use of mercury in ASM while improving the environmental and economic performance of the sector. UNIDO's mercury program led and facilitated the introduction of clean technologies and policy reform to minimize use and releases. It promotes the best available technologies and best environmental practices through awareness raising, capacity building and technology transfer.

The country is developing a GEF-funder Enabling Activity project titled National Action Plan (NAP), implemented by UNEP and expected to be finalized by December 2022. However, in 2013, the government released the *Programme National de Rationalisation de l'Orpillage 2013-2016* (PNRO, National Plan for the Streamlining of Gold Artisanal Mining 2013-2016). With a FCFA budget of 2.3 billion, the program was defined by the ministry in charge of mines and had a five steps approach: (1) preparatory, (2) knowledge of the terrain, (3) classification and organization, (4) training, and (5) social and environmental impacts.

Finally, it is important to mention that national NGOs are active in the field of mercury reduction in C?te d'Ivoire. Coeur de Mine C?te d'Ivoire, a local partner of Heart of Mine, itself a GoldFinX Foundation initiative focuses its efforts on mercury reduction in ASGM.<sup>[143]</sup> In addition, IMPACT, a Canadian international NGO is present in the country through the 'Just Gold Project', funded by the European Union. While the project targeted mercury-reduction, among others, it did also work with a local cooperative to transition to the use of mercury-free technologies, providing an opportunity to build off of the lessons learned through this project as well as a continuation of efforts to ensure a sustainable transition to mercury-free technology.<sup>[144]</sup>

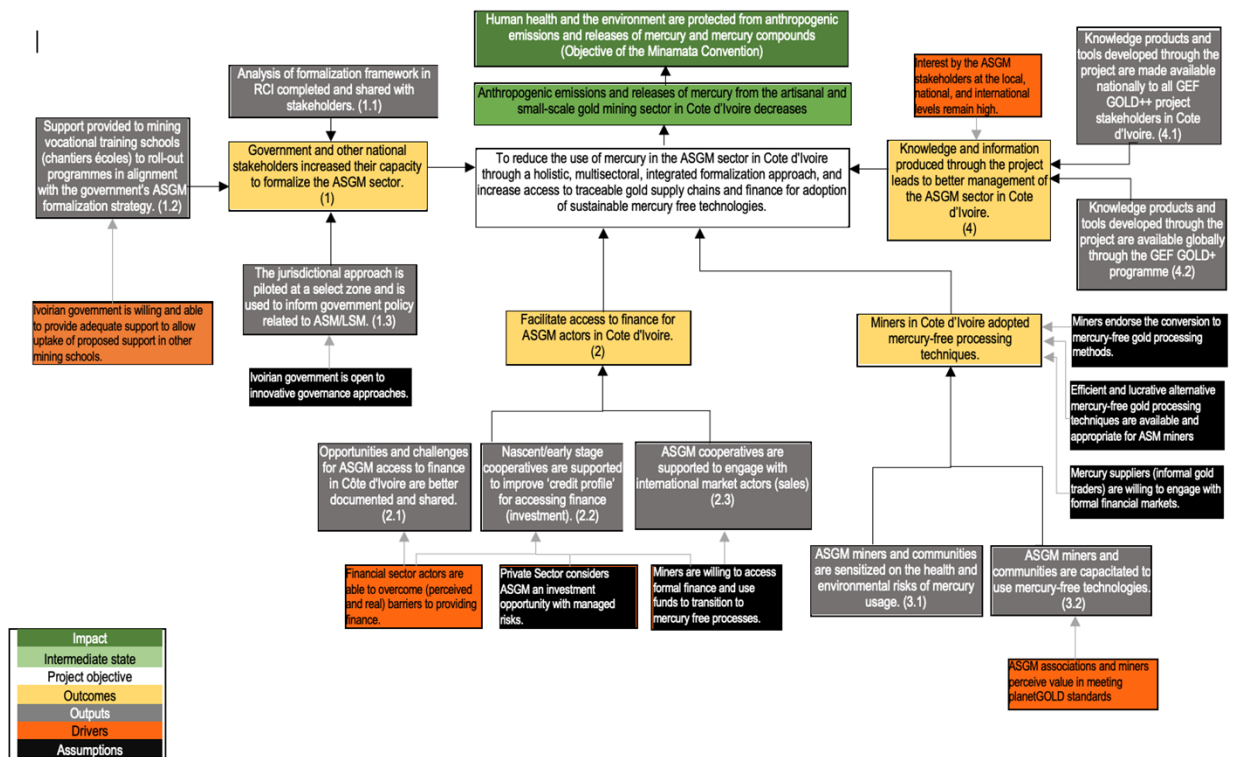
### 1.A.3. Alternative Scenario

The project structure is built around 4 components that reflect the identified needs in terms of activities, outcomes, and key outputs. The components are:

1. The promotion of formalization in the national 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 figure below, where based on a few assumptions taken, the project aims to reach several outputs. Thanks to the action of different drivers at the national and international levels, the outputs will contribute to the 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.



## Component 1: Formalization Optimization

### Outcome 1: Government and other national stakeholders increased their capacity to formalize the ASGM sector.

#### Output 1.1: Analysis of formalization framework in CI completed and shared with stakeholders.

##### Activity 1.1.1 Present an analysis of the current regulatory framework for the ASGM sector in Cote d'Ivoire

The project will support an analysis of the existing legal, regulatory and policy framework applicable to the ASM gold sector, which will explore both the theoretical framework as well as how it is implemented in practice. This analysis will build on previous work conducted throughout the development of Cote d'Ivoire's National Action Plan prepared by CASE and information gathered through previous projects, such as IMPACT's Just Gold project. The Executing Agency will help to coordinate the analysis, which will be co-led by the Ministry of Environment and Sustainable Development (French acronym, MINEDD) and the Ministry of Mines, Petroleum and Energy. The analysis will be presented to stakeholders during the first Annual Stakeholder Workshop (referred to below in Activity 4.1.1).

#### Output 1.2 Support mining vocational training schools (*chantiers coles*) to roll-out programmes in alignment with the government's ASGM formalization strategy.

On January 18th 2018, the Government of Cote d'Ivoire launched the first vocational training school (referred to in French as *chantiers coles*) in Bozi (Bouafl, in the Marahou zone). Since this time, 12 vocational schools<sup>[145]</sup> have been created with the objective of providing high quality training and continuous support to artisanal miners. The vocational schools are operated by SODEMI, as designated by the MINEDD. The creation of the schools is seen as supporting broader objectives, including targeting high unemployment rates amongst youth in the country. The creation of the schools was part of a larger objective to move away from unregulated artisanal mining to develop small-scale mining operations and combat high levels of youth unemployment. The schools aim to support 1000 artisanal miners per year with the skills and expertise required to work in artisanal, small scale and semi-industrial mining. According to figures from the Ministry of Mines, this programme, in December 2020, had 330 artisanal miners undergoing training, 120 who had completed training, and 44 past trainees who were active in the sector.<sup>[146]</sup>

However, many of the schools face significant resource challenges, operating without a well-structure programme and firm budget. The planetGOLD project in Cote d'Ivoire will provide support to the efforts of the Ministry of Mines by engaging with the vocational schools and carrying out the activities outlined below. The approach is one by which the project will support the development of resources that can be used across all of the vocational schools, while selecting a smaller number of schools to engage with in-depth and support specific sensitization and training activities.

##### Activity 1.2.1 Priority locations and thematic areas identified with Ministry of Mines

The first activity will be to confirm both the specific vocational schools to receive support, as well as the priority thematic areas for intervention with the Ministry of Mines and the vocational training schools. The Executing Agency will facilitate this selection through a meeting with the Project Steering Committee and selected technical experts (or other pertinent individuals affiliated with the vocational training schools). Preliminarily, the project proposes to intervene in the locations of Bouaflé, Dimbokro, Boundiali and Agnibilékrou.

Preliminary thematic areas to be considered include:

- 1) Understanding the regulatory and legislative framework in Côte d'Ivoire for artisanal and small-scale mining (i.e. processes for formalization)
- 2) Prospecting techniques
- 3) Exploration and geology
- 4) Equipment and mechanization
- 5) Environmental management and risk mitigation (incl. mercury)
- 6) Mercury-free processing
- 7) Managing mine sites
- 8) Health and safety
- 9) Gender equality in ASM
- ?

#### Activity 1.2.2 Sensitization and training programme designed.

Once the priority areas are confirmed, the project will support the Ministry of Mines in conjunction with SOEDMI, who is running the vocational schools to design a sensitization and training programme with respect to the regulatory and legislative framework for the ASM sector and other thematic areas identified. To the extent possible, the project will attempt to rely on existing resources that can be directly applicable or adaptable to the context in Côte d'Ivoire, such as previous materials created by the vocational schools themselves, existing videos (e.g. IMPACT's training videos, created in the context of the Just Gold project in Côte d'Ivoire<sup>[147]</sup>), pamphlets, posters, booklets and other materials created through the planetGOLD programme. Further, the materials created will target national audiences meaning that they can be used by other vocational training schools present throughout the country, but not receiving direct support from the project.

#### Activity 1.2.3 Support selected vocational schools to carry out sensitization and training programme

The project will support a select group of vocational schools (approximately 2) to carry out the sensitization and training programme, by providing logistical resources, pedagogical material, as well as technical expertise where needed. This may include:

- Personal protective equipment
- Mining and processing equipment
- Uniforms
- Fuel / vehicle rental
- GPS system(s)
- Tablets
- Other

The specific support will be determined together with the selected schools, based on the budget available.

Technical experts will be procured on behalf of the school to help direct and facilitate the training sessions, where needed ? especially in areas where there is traditionally a lack of knowledge or expertise amongst SODEMI agents, which are primarily tasked with training (e.g. gender equality, certain areas of environmental management, etc.). Additional partnerships will be sought to identify resources and potential efficiencies with actors engaged in similar work, such as with other ministries, educational institutions and universities, as well as non-governmental organizations and community development organizations. Vocational school ?staff? (agents of SODEMI) will have the opportunity to co-facilitate and learn from the experts in order for them to be able to reproduce the training with future groups.

The project will support a minimum of 1 cohort of students to complete training (per vocational school), which is carried out for an average duration of 6 months. There are approximately 25-30 students in each cohort. The project will work with SODEMI to identify ways of supporting greater participation of women in the vocational schools, which is generally less than 10% at the moment.

The project will provide guidance and technical support to students that have completed the programme at the selected vocational schools to request authorization permits as a cooperative (in French, an *Autorisations d'exploitation artisanale*). This will primarily be carried out through one-on-one mentoring and guidance provided by experts in the project and project staff. The project will aim to support the formulation of 1-2 cooperatives.. These cooperatives will then receive additional support through other activities in the project noted in Component 2 and 3.

### **Output 1.3: Lessons learned from piloting the jurisdictional approach are available to inform government policy related to ASM/LSM.**

#### Activity 1.3.1 Introduction of the jurisdictional approach to stakeholders in Bouafl?

The project will introduce the jurisdictional approach to various stakeholders in Bouafl?, in order to familiarize them with the concept and approach. This will include, notably, both ASM and LSM stakeholders, with the goal of exploring how the jurisdictional approach could potentially help these stakeholders and the government identify opportunities for peaceful and mutually beneficial coexistence between ASM and LSM. It can also help to inform needed discussions from a regulatory perspective on how to ensure the regulatory and legislative framework is conducive for positive relationships. Principles of multistakeholderism, gender equality and inclusive participation and representation will be also be embedded in this sensitization, recognizing that women are often excluded or dismissed within these types of governance efforts. Support will be provided by Conservation International to carry out this activity, given their expertise in applying this approach within the conservation sector.

Within the introduction of the JA/LA approach, the project will integrate lessons learned from other efforts to improve engagement between ASM and LSM, such as previous efforts by SODEMI in the diamond sector. This includes a specific instance where a special permit (referred to in French as an *Arr?ter Ministerielle*) was provided for artisanal diamond miners to operate on a large-scale mining concession, given that the current law does not allow for this.



Activity 1.3.2 Support local stakeholders to conduct a gap and SWOT analysis of existing formalization/access to credit/mercury reduction programs/services available at the local level

The group of local stakeholders in Bouafl? will be supported to conduct a gap and SWOT analysis of the existing incentives, programmes and services supporting ASGM formalization, including access to finance and mercury reduction efforts. The project will lend support to the group of local stakeholders to conduct the gap and SWOT analysis ? such as through the provision of facilitators, sensitization on thematic issues, meeting and workshop support, etc. ? but the gap and SWOT analysis itself will be led and driven by the group of local stakeholders. The SWOT analysis will rely on various types of assessment tools identified through the JA/LA methodology of the global project, under the guidance of Conservation International. These will include, at minimum:

- 1) *Underlying Drivers Assessment*: This assessment will serve to identify current barriers to sustainable practices in ASGM (i.e. what are the current incentive structures that are leading ASGM actors to put aside their environment and health) and identify potential value propositions and policies that could motivate a coalition of stakeholders to act, help to lower costs of interventions and improve the feasibility of sustainable action. This assessment will be conducted by the MSG with the support of the project and expert facilitators, using the CUDLs approach (Changing Underlying Drivers in Landscapes). This approach primarily relies on directed focus group discussions, surveys and desk-based research.
- 2) *Governance Assessment*: Using a tool developed by LandScale called the Sustainable Landscape Rating Tool, the project will support the MSG to undertake a governance assessment to identify strengths and weaknesses of the governance of the sector in the targeted districts, and where there are priorities for improvement.

?

The project will support the group of local stakeholders to discuss the findings of these assessments, both amongst those who directly participated but also additional stakeholders that may increasingly become interested in the findings, and will use these to formulate the basis of a dialogue on how a multistakeholder process or grouping at the prefecture level could begin to address the findings of the assessments.

Activity 1.3.3 Create a multi-stakeholder group to coordinate the JA/LA approach in Bouafl?

Once stakeholders express a sound understanding of the analysis conducted in Activity 1.2.2, as well as an interest to implement the approaches defined in the JA/LA sensitization sessions, local stakeholders will be supported to formulate a multi-stakeholder group (MSG) to continue implementing the JA/LA approaches. Members of the MSG will be identified, with particular focus on ensuring an inclusive and gender balanced set of representatives. This is a process that may take time. It will be important to ensure all the different actors are engaged, with government taking a leading jurisdictional role.

**Outcome 2: Increased access to financing for C?te d'Ivoire mining cooperatives.**

**Output 2.1: Opportunities and challenges for ASGM access to finance in C?te d'Ivoire is better understood.**

### Activity 2.1.1 Carry out an analysis of access to financing in ASGM (gaps, existing initiatives, etc.)

The project will carry out a study to map out the existing financial structures and programmes (both public and private sector) and analyze how these respond to the needs of the ASGM sector. This will include identifying traditional financial institutions (e.g. the banking and investment sector), alternative financial inclusion initiatives (microfinance institutions) as well as the presence and maturity of community lending schemes (village savings and loans associations (VSLAs), for example) that have taken place in the targeted areas – either as initiatives targeting the mining sector or other informal non-mining sectors, such as agriculture. The scoping study will review efforts and initiatives based on the options identified in planetGOLD's *Unlocking Finance for Artisanal and Small-Scale Gold Mining A Frontier Investment Sector*.

The purpose of identifying these existing initiatives is two-fold. In addition to identifying potential actors that can provide access to financing to the ASGM sector, the study will also provide an opportunity to identify what has and hasn't been successful to date, and what the lessons learned from these efforts have been. To the extent possible, the study will build off of previous studies to assess the state of finance and financial inclusion in Cote d'Ivoire, but which may not have included the ASGM sector and its unique context, or which may have been conducted prior to significant political developments in Cote d'Ivoire over the past couple of years. Where such studies are not available (noting that none were found during the PPG phase), the project will interview and engage with actors involved in other projects to increase access to financing in other areas, such as recent initiatives by the World Bank in Cote d'Ivoire's agricultural sector<sup>[148]</sup>, or the IFC's recent announcement of its support to improve access to financing to SMEs through leasing.<sup>[149]</sup>

The project will identify various opportunities for sharing the findings of the study with stakeholders pertinent for financing of the ASGM sector, including banks and financial institutions, investment actors, government ministries and departments, as well as the mining sector more broadly. This will include during the Annual Stakeholder Workshop as well as other routine meetings and events that are held by and for financial institutions, such as the annual meetings of select banks, investment forums and events, and government-sponsored forums addressing areas such as investment and microfinancing.

### **Output 2.2: Support nascent/early stage cooperatives to improve credit profile for accessing finance**

#### Activity 2.2.1 Support selected ASGM groups/cooperatives (see activity 1.1.4) to improve their governance and management capacity

The project will provide support to the student groups selected to support cooperative registration and formalization in Activity 1.1.4 to create and/or improve their governance and management structures in the view of professionalizing the cooperative and increasing their likelihood to secure finance from potential investors or downstream actors. This includes clarifying ownership and decision-making structures, policies (i.e. including on responsible sourcing areas, such as human rights, environment, etc.), membership management, equipment management, documentation, financial management, and others. This expertise will be provided by the project through both staff experts and expert consultants on an ongoing basis through regular site visits and technical meetings.

Within this support, an emphasis will be made on gender-inclusive governance and management processes that afford women the opportunity to also be part of the decision-making apparatus of ASGM

groups and increase their access to mine sites. This will build off of sessions within the Chantiers Ecoles that will emphasize the importance and benefits of women's participation in the sector.

#### Activity 2.2.2 Develop credit portfolio to engage financiers

The project will support the selected groups/cooperatives and associated exporter(s) to disseminate and present their investment portfolio to interested investors and supply chain actors, for example LBMA refiners. This will create a learning opportunity for the groups/cooperatives to better understand the expectations of the market, especially as it pertains to disclosure of information, transparency, compliance and investment terms.

#### Activity 2.2.3 Support engagement with potential financiers

The project will support the groups/cooperatives to engage with potential financiers using their investment portfolio and additional knowledge acquired on the expectations of financiers and downstream companies. This may include arranging opportunities for one-on-one meetings or group presentations by the groups/cooperatives at various investment or showcasing opportunities, such as downstream industry events or investment conferences in Côte d'Ivoire and globally.

### **Output 2.3: Support ASGM cooperatives to engage with international market actors**

The project will build off of the work carried out under IMPACT's Just Gold project, which was implemented from 2019 to 2021 near the town of Dabakala in Hambol region. The project sought to pilot the Just Gold model to incentivize artisanal gold miners, cooperatives and traders to implement traceability and due diligence and use legal sales channels for selling their gold. The project worked with a cooperative ? COOPEDA ? and SICOM, a gold exporter. Project activities included gender-sensitive trainings for supply chain actors and local community representatives on a number of important themes, such as human rights, gender equality, health and safety, environmental risks and the harms of mercury-usage. An environmental assessment was conducted, and both mercury-free and mercury-reducing equipment was provided to the cooperative.

In addition, the project supported some early market engagement with downstream actors ? including two LBMA refiners. While these discussions were progressing well, challenges were encountered with renewing the permit for COOPEDA, which extended into the final months of the project. While the conversations have continued since the end of the project, the lack of dedicated support has slowed progress. The planetGOLD project provides an excellent opportunity to continue supporting access to financing through downstream actors.

#### Activity 2.3.1 Provide coaching and mentoring to ASGM partners to better understand the expectations of LBMA refiners and other downstream actors

The project will support its ASGM partners to understand and engage with refiners and investment actors able to implement an inventory financing model to help secure financing for gold production and sale. This includes increasing their understanding of how the international market works and its expectations, including with respect to compliance, risks pertaining to money laundering and terrorist financing, and reputational concerns. It will also help to support them to understand different business models and approaches to engaging with these actors, as these are often outside the norms in which groups are informally financed.

### Activity 2.3.2 Engage LBMA refiners and/or other investors in securing an inventory financing model for the project's ASGM partners (e.g. COOPEDA)

The project will pursue an inventory finance model with either an LBMA refiner, for example Argor Heraeus, or other investment institutions interested in supporting the ASGM sector. The inventory financing will be used as a rotating fund for cooperatives/exporters to purchase artisanal gold from registered miners (with the assumption that artisanal gold production will progressively meet the expectations established through the planetGOLD criteria). This gold will then be sold to the international market, targeting LBMA refiners such as Argor Heraeus (with whom discussions have already begun). Other refiners will also be engaged throughout the project, in order to increase the likelihood of securing an agreement for the partner cooperatives/exporters. Note that inventory financing and gold sales will not be initiated until the results of appropriate responsible sourcing assessments and due diligence processes demonstrate the absence of red flags (as defined by the OECD DDG).

To achieve this, the project will engage in outreach with LBMA refiners (e.g. Argor Heraeus), supporting relationship building between the supply chain actors, and exploring possible business model arrangements between the supply chain actors that can incentivize sustained and scalable responsible ASGM practices ? including mercury-reduction. This includes the identification and implementation of an incentive-based business model ? such as the Just Gold model<sup>[150]</sup> ? which incorporate pricing incentives for miners to formalize or adapt to mercury-free technologies. This model has been tested, in part, in C?te d'Ivoire, and therefore is already familiar to COOPEDA and SICOM. This type of model meets the need for more immediate incentives for miners, as well as longer-term incentives for associations and cooperatives (via inventory financing and/or other types of investment). In return, miners and ASGM associations or cooperatives are expected to progressively improve their practices and to document these by sharing pertinent data and information on their supply chain with the refiner in order to demonstrate progressive improvement. This can include traceability and due diligence data, such as purchase records, daily gold production, numbers of miners registered.

In this model, the Just Gold price received by the miners is calculated as the LBMA spot price, minus any deductions from the exporter and cooperative to cover various costs (e.g. logistics, taxes, impurities, etc.). The Just Gold model was originally developed to incentivize legal sales and due diligence implementation (including traceability), by offering a price for both gold and the data provided to the refiner to meet traceability and due diligence expectations. However, as noted in the infographic, the model is flexible and can be adjusted to account for incentivizing additional good practice, such as mercury-free extraction methods, by offering discounted prices for gold produced with mercury. Alternatively, if the supply chain dynamics allow, a higher price could be offered for gold produced without mercury, rather than a discount.

The project will offer an opportunity to further test the application of this type of model in Dabakala ? to reducing the use of mercury in artisanal gold mining. It is important to note that the implementation of this type of model requires significant sensitization with ASGM associations and member miners, in order for them to understand the pricing model, to ensure that the model is offering an attractive option compared to what is on offer in the informal market, as well as to reduce the potential for unintended consequences. This includes ensuring transparency of the pricing model (e.g. posting daily LBMA prices, explaining pricing calculations, sharing assay results, etc.). Equal considerations need to be made with respect to a transitional phase and/or pilot phase that is implemented at the right time (i.e. once miners and associations have had received the necessary support in transitioning to mercury-free technologies ? including technical expertise and equipment). This is necessary to create local buy-in and ownership for the model amongst ASGM associations and miners, as well as to ensure that miners

and ASGM associations actually have the ability to produce gold without the use of mercury (i.e. to ensure that this is achievable and realistic).

Further, the project will provide an opportunity to engage in sensitization of refiners and other downstream actors on the realities of ASGM actors in Côte d'Ivoire in order to temper expectations with what is realistically achievable in short, medium and long-term. This includes understanding how business relations are carried out in a different cultural context – one that relies heavily on customary and traditional ways of building trust and relationships both socially and economically.

### Component 3: Mercury-Free Technologies

#### Outcome 3: Miners in Côte d'Ivoire adopted mercury-free processing techniques.

The third component will deepen ASGM transition to mercury-free gold processing through application of acceptable mercury-free technologies and educating stakeholders on their role and responsibilities in supporting mercury elimination in the sector. The target areas will be reconfirmed upon the commencement of the project by the Project Steering Committee. Those preliminarily selected are outlined in Table 4 below, and have been selected due to the high prevalence of mercury-usage on the sites.

**Table 4: Potential ASGM sites retained for mercury sensitization activities**

Zone	Region	Department/Locality
North East	Gontougo	Bondoukou: Songori, Kouassi-N'ɔdawa, Soko, Flaki'dougou
	Boukani	Bouna ; Koutouba ; Nassian ; L'omidouo ; Ond'fidouo
North West	Bagouɔ	Boundiali ; Ponondougou, Kati'rɔ, Landiougou
		Tengrela ; Zanikaha, Papara
Center West	Marahouɔ	Bozi; Kouakougnanou
Center	N'zi	Dimbokro, Boorɔ Akpokro, djangkro

#### Output 3.1: ASGM miners and communities are sensitized on the health and environmental risks of mercury usage

##### Activity 3.1.1 – Develop sensitization materials on the harms of mercury usage and safer practices/equipment

This activity will support the MINEDD to develop a set of sensitization and training tools to be used at the targeted project sites. To build on past efforts, the project will first compile existing tools and guidance, and will then analyze any gaps where new material may be required, or where potential improvements may be made for existing materials. PlanetGOLD documents, resources from the Global Mercury Partnership, and existing training tools that are appropriate to the context (e.g. IMPACT's

video on the harmful effects of mercury usage<sup>[151]</sup>) will be useful resources to use directly, or to build off of and guide the development of tools relevant to stakeholders in C?te d'Ivoire.

Particular attention will be paid to ensuring that the sensitization and training tools are gender-sensitive ? meaning that they not only represent both women and men in how they experience the sector, but that they address potential differences in how women and men learn. This includes considering things like which languages are most commonly spoken by both women and men, or the levels of literacy common for women and men. Additionally, the training materials will be created in a manner that avoids overly stigmatizing or demonizing the ASGM sector for its use of mercury, but rather present the risks and negative impacts to ASGM actors themselves and the broader community, and how these may be addressed.

### Activity 3.1.2 Support sensitization sessions in the targeted areas

The project will support sensitization sessions for the target audience at project sites, which includes miners, associations/cooperative representatives, gold and mercury traders, pit owners. This will include providing technical expertise from CASE, resources for trainings (e.g. demonstrative equipment, PPE, etc.) and other operational support. To maximize participation and convenience for participants, the trainings will be hosted as close to the mine sites as possible, and will be practical in nature (e.g. demonstrations of safer techniques, safer equipment for individuals ? such as use of retorts, better sluices or pans, visuals showcasing the effects of mercury usage, etc.). The project will deliver a trainings in each area through half-day sessions that will target between 25-35 people, and will cover a range of topics, including the harmful characteristics of mercury, the dangers posed to miners and surrounding community members, alternatives to mercury, and protective measures through proper personal protection equipment (PPE) and safer handling techniques.

To incentivize participation and complement the sensitization and training, as well as to increase interest in safer practices and mercury-free methods, the project will provide small equipment, including PPE (gloves, masks, boots, etc.) and retorts to participants of the sensitization and training sessions. While retorts do not fully eliminate the use of mercury, their usage could significantly decrease mercury emissions from the sector, and provides a cost-effective reduction mechanism as a step towards full elimination. The equipment will target the specific needs of the particular sites (e.g. based on the type of mining at the site, existing equipment, etc.), and consider the needs of both women and men ? which are often very different based on their different roles in production process.

Like the sensitization and training materials, the execution of the trainings will also take a gender-sensitive and inclusive approach. Provisions to remove barriers for women's participation will be made ? such as offering childcare supervision or hosting sessions at appropriate times.

In addition to the target audience, the project will support participation by officials from the MINEDD, universities, training institutes (e.g. ?cole Polytechnique), and NGOs or community development organizations who are active in this area, in order to provide a capacity building opportunity for them to learn from the trainers, and carry out these sensitizations themselves ? using the materials created through the project ? during future engagements in the same zones or in other zones not considered during the project.

Following the training sessions, the project will reinforce the messaging regarding the harms of mercury and importance of using PPE using large-format sensitization tools (e.g. radio spots, posters, etc.). This will help to communicate these messages to a larger audience within the targeted communities.

## **Output 3.2: ASGM miners and communities are capacitated to use mercury-free technologies**

### Activity 3.2.1 Create a training programme for mercury-free equipment

In collaboration with the vocational schools (described in Component 1), the project will support the development of a training programme on small and large mercury-free equipment. This will include the creation of training materials, provision of small equipment and logistical support for the training sessions to be carried out through the school (e.g. refreshments, consultant fees for technical experts, etc.).

In addition to small equipment, the project will also capitalize on previously purchased mercury-free equipment for COOPEDA, which was procured through IMPACT's Just Gold project. This equipment includes:

- 1) Crusher (x1): 250x150 Jaw Crusher, Hoffman Diesel Engine (Value of approx. 11,000 USD)
- 2) Goldkacha (x3): Goldkacha concentrator MK4 (value of approx. 7,500 USD)
- 3) Gold Masta (x3): Gold masta sluice (value of approx. 1,000 USD)
- 4) Gold Konka (x2): Frames, washing trays, water container, sluice, pump, piping etc. (value of approx. 4,000 USD)
- 5) Shaker Table (x1): ST 140 Upgrade Bullion Table (value of approx. 12,000 USD)
- 6) Smelter (x1): P42 Bench top electric smelter (value of approx. 4,000 USD)

Delays in delivering this equipment to COOPEDA – namely due to the Covid-19 pandemic as well as administrative delays – led to a reduced amount of time to support activities to help sustain use of the equipment (e.g., trainings, development of management plan, etc.). The planetGOLD project thus has an excellent opportunity to build off of existing work and mercury-free equipment to support its long-term adoption, while also using it as a demonstrative site to other cooperatives (or nascent cooperatives). Two peer visits will be organized through the project to bring vocational school students (approximately 15) to Dabakala in order to be exposed to the equipment as well as to receive training on its use.

The project will assess the use of the equipment to date by COOPEDA – including gender-disaggregated challenges as well as positive impacts. This analysis will support a revised adaptation plan, which the project will support. Lessons learned will be documented (linked to Activity 4.2.2 described below) to share with the vocational schools, other stakeholders in Côte d'Ivoire and the planetGOLD global programme.

## **Outcome 4: Knowledge and information produced through the project leads to better management of the ASGM sector in Côte d'Ivoire**

### **Output 4.1: Knowledge products and tools developed through the project are made available nationally to all planetGOLD project stakeholders in Côte d'Ivoire**

#### Activity 4.1.1 Host an Annual Stakeholder Workshop

The Annual Stakeholder Workshop will provide a key opportunity to bring together stakeholders from across Cote d'Ivoire to provide updates on their respective activities, share experiences and lessons learned, as well as to provide input into annual project planning. Opportunities can be taken to organize side sessions amongst specific stakeholders, as well as to provide networking opportunities amongst stakeholders from different regions, especially women miners. The location of the Annual Stakeholder Workshop will be determined by the Project Steering Committee based on cost effectiveness as well as programmatic opportunities (e.g. where it may be beneficial to combine a workshop in one of the targeted prefectures with learning opportunities in specific prefectures).

#### Activity 4.1.2 Localization and distribution of planetGOLD programme EIC

The project will facilitate the localization and distribution of planetGOLD programme Education, Information and Communication (EIC) materials to local stakeholder in Cote d'Ivoire. This will be done by translating appropriate EIC materials into local languages, adapting or simplifying existing resources where necessary, and incorporating these into sensitization and training activities conducted in components 1, 2 and 3. As noted in the above activities, additional material that has already been identified as also being useful to the project, such as a series of videos produced by IMPACT on responsible production (including the harms of mercury usage), images and posters for mine sites to convey risks, which can also be used throughout the project as an additional sensitization and knowledge-sharing tool.<sup>[152]</sup>

#### Activity 4.1.3 Support participation in national and regional knowledge sharing opportunities and events

The project will support various stakeholders participating in the planetGOLD project in Cote d'Ivoire to attend knowledge sharing activities and events hosted in Cote d'Ivoire, as well as additional opportunities for sharing information with regional stakeholders in West Africa (e.g. mining investment conferences, national-level conferences, etc.). This will allow these stakeholders to share lessons learned with their peers in Cote d'Ivoire and in other countries.

This project is a child project of the global planetGOLD programme. Hence, the project will benefit from the support of the global programme in achieving upscaling and replication, not only within the country, but at the regional level with the coordination with other planetGOLD child projects in the West-Africa region such as Burkina Faso, Guinea, Mali or Nigeria. Earmarked budget and resources from the global component are available for child projects to foster efforts related to upscaling and replication.

#### Activity 4.1.4 Increase knowledge and understanding of project staff and stakeholders on applying Jurisdictional and Landscape Approaches to the ASGM sector in CI

The project will facilitate a training session for project staff (either jointly through the planetGOLD programme, or separately if required) to ensure they have the foundational knowledge to support the piloting of this approach throughout the project. This will include participation by project staff, Project Steering Committee representatives, and other interested or pertinent actors who may be involved in supporting the implementation of these activities during the course of the project.

**Output 4.2: Knowledge products and tools developed through the project are available globally through the planetGOLD programme**



#### Activity: 4.2.1 Participate in planetGOLD Knowledge sharing activities and events

The project will support various stakeholders participating in the planetGOLD project in Cote d'Ivoire to attend knowledge sharing activities and events hosted by the global component, both virtually and in-person (Covid-19 restrictions permitting). This will allow these stakeholders to share lessons learned with their peers in other countries, and create a community of practice upon which different stakeholders can rely on. This will include an Annual Programme Meeting (APM) and the planetGOLD Global Forum (GF), as well as one other international forum per year, depending on the particular focus and agenda (e.g. the OECD Forum for Responsible Mineral Supply Chains, the Intergovernmental Forum on Mining, Minerals, Metals and Sustainable Development, etc.).

In addition, the project's Communication Manager will participate in a programme communications network that includes monthly calls, a digital communications platform, trainings and sharing of information of major country-level events and activities. The Communication Manager will also attend the GF and the communications network side meeting at the APM.

Additional opportunities for sharing lessons learned and experiences from the project will also be identified, such as by hosting, either independently or through the global programme, webinars and workshops on particular thematic issues to international stakeholders.

#### Activity 4.2.2 Produce knowledge products (Components 1, 2 and 3)

The project will produce a series of knowledge products that document the approach taken in each of the first three components, as well as the successes, challenges and lessons learned throughout the implementation of the project. These may be adapted as other planetGOLD projects develop complementary knowledge products, in order to avoid duplication or redundancy. The following knowledge products are planned:

- Lessons learned in applying the JA/LA approach in areas with artisanal and large-scale mining activities in Cote d'Ivoire (Blog Posts): This publication will focus on sharing the lessons learned from applying the JA/LA in areas that are specifically looking to improve co-existence between ASM and LSM. The publication will share both the challenges that were encountered, opportunities for improvement or replication, as well as accomplishments and successes. These lessons learned will specifically look to informing future legislative and regulatory approaches to managing ASM and LSM in Cote d'Ivoire.
- *Impact of Access to Finance for the ASGM Sector (Short case studies or blog posts)*: Infographics documenting the impact of access to finance to artisanal miners and cooperatives.
- *Reducing harm and negative impacts of mercury usage (radio spots/posters)*: Radio spots and posters will be used to help communicate the potential harms of mercury usage, and what people can do to reduce this harm through PPE, use of retorts, mercury-free processing, etc.

#### Activity 4.2.3 Contribute to the planetGOLD knowledge platform

The project will share information and learnings with the planetGOLD knowledge platform through various communications means, such as technical briefs, blogs, news articles, videos, or photographs. These will be coordinated with the global programme to ensure maximum added value based on existing resources produced by the programme.

#### **1.A.4 Alignment with GEF Focal Areas**

The project is directly aligned with the Chemicals and Waste Focal area, Industrial Chemicals Program (program 1) which seeks to eliminate or significantly reduce chemicals subject to better management, in this case mercury, within the framework of the Minamata convention. The relevant focal area element is CW1-1: Strengthen the sound management of industrial chemicals and their waste through better control, and reduction and/or elimination. Within the Chemicals and Waste Focal Area, program 1, a specific objective is the reduction and elimination of mercury from the Artisanal and Small-Scale Gold Mining Sector. The Côte d'Ivoire Child Project within the planetGOLD programme will contribute directly to this objective, building upon the on-going GEF-7 planetGOLD programme.

Other GEF funded programs implemented or currently being implemented in Côte d'Ivoire that provide alignment with the proposed project include:

- Development of Minamata Convention Mercury Initial Assessment in Africa (2015)
- Development of National Action Plan for the Artisanal and Small-Scale Gold Mining in Côte d'Ivoire
- Sustainability and Scaling Up Approaches for Transformational Management, Restoration and Conservation of Forests Landscapes and Biodiversity in Côte d'Ivoire (SSATMARC & FOLAB) (2019)

The piloting of on JA/LA approaches in formalization have a potential to integrate other stakeholders implementing GEF 7 funded projects (or projects related to GEF Focal Areas) in climate change, biodiversity and land degradation. These will be identified in the SWOT Analysis that will be conducted in the pilot area using assessment tools identified by Conservation International, such as Landscape.

#### **1.A.5 Incremental/Additional Cost Reasoning and Expected Contributions from the Baseline, the GEFTF, LDCE, SCCF, and co-financing;**

The use of mercury in Côte d'Ivoire's ASGM sector is a prevalent and systemic challenge, which is driven by a number of factors that include poverty, limited awareness, migratory patterns, lack of formalization and support to the sector, and a lack of access to formal markets and access to financing. As a low-income country, the Government of Côte d'Ivoire lacks the resources needed to tackle this challenge which has national, regional and global environmental impacts.

Despite limited resources, the Government of Côte d'Ivoire has shown its political commitment to reducing mercury usage in the sector via its ratification of the Minamata Convention in 2019. Since this time, a Mercury Impact Assessment (MIA) was completed, and the National Action Plan for tackling mercury usage in the ASGM sector is currently being completed.

With the support of the GEF Trust Fund, the project will provide incremental funding for formalization, access to finance and reduction of mercury use in ASGM by building on past and current mercury reduction initiatives being implemented in the country.

The project will provide support to a more coordinated effort between various government ministries, organizations, and stakeholders. The Project Steering Committee (PSC) will host an annual workshop for stakeholders of the project to come together, provide input, share lessons learned and planned activities, and identify collective opportunities. The project is designed to play a supportive role to national and local level actors, ensuring that they effectively continue to lead efforts in this area and providing them with the necessary resources and expertise to do so. The project is proposed as a cost-effective way of linking together a multitude of government and non-government efforts in tackling mercury reduction, which will in the end significantly increase the impact and overall value-for-money of all of these projects as duplication and redundancy is avoided, while synchronicity and alignment allow for better results.

In addition, the project will also benefit from knowledge sharing, lessons learned and capacity building materials that have been created within the planetGOLD global component, as well as any future resources created through the planetGOLD programme. The project will build on lessons learned from private sector engagement via other planetGOLD projects in West Africa, which may have similar political, socioeconomic and logistical contexts.

The project will support national and local actors to coordinate their efforts, and will directly or partially contribute to their planned interventions identified in the NAP, including in the areas of formalization, financial inclusion and mercury reduction. In particular, the project will contribute to the following key interventions outlined in Côte d'Ivoire's workplan outlined in its draft NAP.

Through the piloting of JA/LA approaches, additional environmental benefits related to biodiversity, climate change and land degradation will be added to the baseline. This process will also provide an opportunity to deepen discussion and dialogue on how to create a more conducive environment for both ASGM and industrial mining to operate in a manner that creates positive outcomes for nearby communities and minimizes conflict.

The project boasts a number of co-financing partners, including various ministries of the Ivorian government (notably, Ministry of Environment and Sustainable Development) along with other national and international organizations, such as Argor Heraeus, SAP, IMPACT, CASE and the LBMA. All of these actors have been and are continuing to contribute to formalization, access to financing and mercury reduction in Côte d'Ivoire's ASGM sector, and will be able to capitalize on the coordination and collaboration that is facilitated through the project.

The project will provide opportunities for up-scale and replication by building on lessons learned on the mercury reduction efforts in country and through lessons from global efforts. It is expected that mercury reduction efforts will be deepened through holistic and innovative approaches to formalization with technical support such as research, networking and knowledge exchange being provided by the Global Component.

The project will support the development of catalytic relationships between ASGM cooperatives (existing as well as nascent) with downstream market actors and financing instruments, in order to provide enhanced access to incentives, resources and support for transitioning to mercury-free practices. By supporting ASGM actors to progressively meet responsible sourcing expectations of downstream and financing markets, the project can help bridge a gap that currently exists between

those wanting to engage with ASGM actors and their need to ensure that they are sourcing according to international best practice and legal requirements. At the same time, the project can also help to establish realistic expectations for downstream market and financing actors to better understand the ASGM sector and how it can support mercury-free production through their provision of access to financing.

#### **1.A.6.1 Global Environmental Benefits**

Mercury reduction targets in Côte d'Ivoire are estimated based on mercury use in the national ASGM sector as stated in the Minamata Initial Assessment (MIA). Several variables were used to estimate current mercury use in each ASGM area, such as yearly volume of gold production by ASGM, and the mercury to gold ratios given the type of amalgamation technologies used in different mercury-using areas.

Mercury reduction targets are furthermore estimated based on variables such as number and location of ASGM sites, number of ASGM miners, current practices, capacities, and distribution of achievable reductions over the years of project implementation.

The Côte d'Ivoire child project is expected to deliver global environmental benefits in chemicals and waste and to some extent biodiversity, waterways, land degradation particularly through application of landscape approaches. The country is expected to achieve a 1.53 metric tonnes reduction in mercury over a 5-year period.

It is expected that mercury use reduction will be replicated as a consequence of the project's theory of change which will support formalization efforts, remove barriers to access to finance and promote access to finance, increase adoption of mercury-free technologies, and promote increased knowledge amongst all stakeholders on the impacts of mercury usage and how to reduce its use. Côte d'Ivoire's experiences will further contribute to GEB through replication in other countries. As such, in the 10 years following the program, it is anticipated that a replication by a factor of 3 will be achieved, representing an additional 4.59 metric tonnes reduction in mercury, bringing total expected reduction and avoidance to 6.12 metric tonnes.

These activities in the reduction of mercury use are directly aligned with GEF's long term goal of curbing the exposure of humans and the environment to harmful chemicals through a significant reduction in the use and release of mercury.

With respect to biodiversity, international waters, land degradation, the primary benefits will derive from broader programming on production of responsible artisanal gold, which will take a progressive improvement approach. ASGM partners with whom the project will work with will benefit from environmental impact assessments that will reach beyond the use of mercury to include other harmful environmental processes (e.g. non-remediation of land, deforestation, impacts on biodiversity, etc.), and mitigation plans will identify, communicate and support best practice in these areas.

The project will also endeavor to partner with other actors engaged in environmental programming in these areas that may not be focused on the ASGM sector, and whom ASGM partners and local communities could potentially collaborate in order to expand the extent to which they can address a myriad of environmental issues.

The number of direct beneficiaries of GEF's investment in this programme includes 1,511 women and 2,839 men, including women and men artisanal miners (including those engaged in non-digging tasks, such as washing, crushing, processing, etc.), traders, exporters, ASM community members, government officials supporting the ASM sector, and private sector actors supporting the sector (e.g. representatives of artisanal miner associations).

Numbers are based on data provided in the NAP report. For the region of Bagoua, no data was provided so averages of the 3 other targeted regions were used. While no site specific data is available, regional data was used and divided by the number of mine sites in that region. Hence, the data represents the addition of mine-site level averages for each region. Taking into account the available information from the NAP, the average sex segregation per mining site is 70% men and 30% women.

### **1.A.7.1 Innovation, Sustainability and Potential for Scaling Up**

#### **Innovation**

The project ToC provides key innovation in areas of formalization and further reducing mercury usage through the exploration of the Jurisdictional Approach (JA)/Landscape Approach (LA) and its application of the approach to the ASGM sector, identifying collaborative partnerships with the private sector, and strengthening financial inclusion and bankability of miners. The project is seeking to pilot this approach in the context of ongoing discussions in Cote d'Ivoire regarding the nexus of ASM and LSM mining, and has specifically targeted a pilot area that has this dimension with the objective of testing the ability of this approach to further dialogue with relevant stakeholders. The learnings from this pilot will help inform these very pertinent discussions within the country.

#### **Piloting JA/LA approaches**

The legal and regulatory approach to formalization has failed in many countries. Legal frameworks are hardly implemented nor adequately address the various and often conflicting priorities of stakeholders within landscapes. JA approaches with jurisdictional authorities and coalition of stakeholders have potential to address ASGM formalization in a more holistic manner. In addition to formalization and mercury reduction, other environmental benefits such as biodiversity and water protection will be addressed.

#### **Approach to financial inclusion and access to finance**

The challenge of ASGM accessing formal financing and markets includes informality, poor record keeping, lack of information about mineral deposits, lack of provenance of mineral supply chains and poor understanding of formal financial systems of ASGM. The project has identified a two-pronged approach to addressing the barriers created by a lack of access to financing. The first approach is to identify and collaborate with a gold refiner further downstream to establish a supply chain relationship with two ASGM associations that includes inventory financing ? a source of financing for associations that allows them to create a consistent and predictable sourcing relationship with a reputable downstream actor. The project will support the exploration of a business model that will be beneficial to all supply chain actors, and which will serve as an incentive for continued improvement of practices related to mercury usage and responsible ASGM (as described in the planetGOLD criteria). Embedding an incentive driven model amongst the supply chain actors is more likely to be sustainable past the life of the project. Furthermore, a successful business model in this context could be replicated with other ASGM associations once the right economic incentives and drivers are considered.

In addition to working directly with a gold refiner further downstream, the project will seek to mobilize financial institutions in Côte d'Ivoire through a study that identifies both the needs of the ASGM and the financial sector. The study will also take stock of learnings from other sectors (e.g. agriculture), which have already explored access to finance for small-scale actors with limited bankability. The project will also provide technical assistance to support ASGM cooperatives in developing an investment portfolio that will allow them to more clearly articulate and demonstrate the investment case for ASGM. In doing so, the programme will consider the unique challenges that women face in accessing financing, and streamline this work with its support to women's leadership and professional development in the sector.

### **Private sector engagement**

The project will explore collaboration with private sector to enhance formalization, access to finance and markets. Past experiences from gold formalization projects have demonstrated that creating sourcing relationships between upstream ASGM supply chains with downstream gold refiners can be challenging, and require long-term investment in engagement, collaboration and identifying the appropriate incentives for all actors. As such, the project will focus on early engagement with the private sector in Côte d'Ivoire and internationally, while identifying opportunities for and investing in progressive improvements amongst upstream supply chain actors in line with OECD Due diligence guidance and the planetGOLD criteria. With committed and engaged downstream and financing actors, the project can test different business models for mercury-free supply chains that encourage and incentivize mercury-free techniques, increasing the likelihood of continued uptake.

Further, the project will engage with large-scale mining companies in order to explore the role that LSM could play in reducing mercury in the ASGM sector – such as through technical and processing assistance, as well as the promotion of gender equality in the sector.

### **Sustainability and Scaling Up**

The project will provide support to a core group of stakeholders committed to implementing Côte d'Ivoire's National Action Plan and reducing mercury usage in the ASGM sector. Notably, it will provide support to national and regional governments to clarify formalization processes in the sector and sensitize ASGM actors on this process via a formalization guide that can be replicated and distributed widely. The project will invest in training for national level government officials, so that they can in turn build the capacity and support local stakeholders in key mining areas.

A key element of sustainability will be achieved through the JA/LA approaches. The process of building multistakeholder collaboration amongst interested parties and setting landscape priorities and linkages with market actors can help to build relationships that outlive the timeframe of the project. Landscape plans can continue being implemented long after the project. Care is needed with leadership changes at the jurisdictional level as experience shows that this can at times impact the momentum for the stakeholders and approach. Engaging private sector actors establishes collaborative business relationships with ASGM which if profitable and mutually beneficial, could continue beyond the life of the project. Models of access to finance to aid transition to mercury free technologies, once developed and functional, will ensure upscaling and continuous access by the sector over the longer term.

Efforts to understand incentives for responsible and mercury-free gold production are key to sustainability, and will underpin engagement with ASGM partners that will be supported through the project to improve their practices and access financing via downstream actors and/or financial institutions. Incentives that are immediate, such as a higher price or more convenient selling location,

often work best in the sector. The project will therefore seek to identify both immediate and long-term incentives for progressively adopting improved practices, which can promote continued implementation beyond the life of the project. Further, successes from these models can serve as positive examples and potential incentive to other ASGM actors in order to encourage uptake and investment in responsible and mercury-free processes.

Knowledge sharing in Côte d'Ivoire (at national level and within mining regions) and with other countries in the planetGOLD programme, along with capacity building of local structures and institutions will ensure technical knowledge, support services and skills are built close to the mining operations. Embedding the project into local structures and stakeholder mandates (local training institutions, ASM organizations, etc.) will also assist the project's sustainability.

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### **1b. Project Map and Coordinates**

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



# CÔTE D'IVOIRE

UNITED NATIONS  
Geospatial



## **GPS Coordinates :**

### **Bouafl? :**

Latitude : 7.086602687835693

Longitude : -5.805832386016846

### **Dabakla :**

Latitude : 8.363238

Longitude : -4.428486

### **Dimbroko :**

Latitude : 6.6494254

Longitude : -4.7040555

### **Agnibilekrou :**

Latitude : 7.0698018074035645

Longitude : -3.3032472133636475

### **Boundiali :**

Latitude : 9.5255789

Longitude : -6.4837639

### **1c. Child Project?**

**If this is a child project under a program, describe how the components contribute to the overall program impact.**

This child project is part of the planetGOLD programme. The objective of the programme is to reduce the use of mercury in the ASGM sector in the participating countries through a holistic, multisectoral integrated formalization approach, and increase access to finance leading to adoption of sustainable mercury free technologies and access to traceable gold supply chains.

The Child project's theory of change and objectives are thus aligned with the overall programme and focus on 4 key pathways to achieve the programmatic outcome. These include an emphasis on supporting formalization of the ASGM sector, promoting access to finance for the ASGM sector through making ASGM supply chains more responsible, introducing mercury-free technologies and equipment, and supporting knowledge sharing of best practices and learnings.

Under the first component, the project will support the C?te d'Ivoire governments project to promote a more formalized ASGM sector via vocational training schools for ASGM. Furthermore, the project will support the piloting of jurisdictional/landscape approaches in Bouafl?, promoting a broader, multistakeholder and holistic approach to formalization. Given that this approach has not been widely used in the ASGM sector, the pilot project will provide lessons learned and help generate potential best

practices for its application in the ASGM sector of other countries both in and external to the global programme.

Under the second component, the project will support improvements to the responsible sourcing practices of nascent or existing ASGM cooperatives, and engage with various actors involved in access to financing and microcredit efforts in C?te d'Ivoire (e.g. refiners, banking institutions, credit associations, government-led lending programmes) to promote the expansion of their services or the provision of pre-financing to the ASGM sector. This work will include an initial scoping study to identify the potential opportunities and challenges for financing the ASGM sector both on the part of lenders and ASGM actors. Activities under this component will contribute to increased knowledge, understanding and willingness to provide access to financing to the ASGM sector.

Under the third component, the project will carry out sensitization on the harms of mercury usage and practices to reduce these harms and eliminate the use of mercury altogether, including through the use of mercury-free processing equipment and protective equipment. Transition to mercury-free equipment is necessary to reducing usage of mercury in the sector, but has proven difficult for a variety of reasons. The project will consider existing lessons learned from prior efforts to introduce new equipment, and share additional lessons learned throughout the project. This includes support for sustainable adoption of mercury-free processing equipment that has already been procured via other projects (e.g. Just Gold C?te d'Ivoire), as well as peer visits to promote learning about mercury-free processing. This component will be the main driver on contributing towards mercury reduction from the child project towards the programme as a whole.

The fourth component will focus on taking lessons learned, knowledge products and tools or resources from the global coordinating project and supporting the dissemination of these amongst Ivorian stakeholders. Additionally, the project will also support the development of knowledge products from the project and share these with the rest of the programme and the rest of the global ASGM community. This will allow a fluid exchange of ideas, experiences, lessons learned and best practices across a wide range of countries and stakeholders. The project will also make use of existing products that have been created by the Executing Agency in C?te d'Ivoire, such as sensitization videos about the harms of mercury or the importance of responsible production and sourcing.

At the national level, the project will support the creation of a space in which efforts of multiple stakeholders ? including various levels of government, private sector, academia and civil society ? can better coordinate and streamline their efforts related to mercury reduction, so that both resources and impact can be maximized. It can also help elevate the importance of the ASGM sector from a livelihoods and economic perspective, and help to reduce more harmful rhetoric that has traditionally casted the sector in a negative light.

And finally, the project will contribute to the overall objectives of the planetGOLD programme by participating in joint communications and planning activities to ensure alignment, efficiency and effective communication throughout the project's duration.

## **2. Stakeholders**

**Select the stakeholders that have participated in consultations during the project identification phase:**

**Civil Society Organizations** Yes

**Indigenous Peoples and Local Communities** Yes

**Private Sector Entities Yes**

**If none of the above, please explain why:**

**Please provide the Stakeholder Engagement Plan or equivalent assessment.**

This Stakeholder Engagement Plan (SEP) is designed to be an operational tool that will define principles and protocols for effective engagement of a variety of stakeholders throughout the planetGOLD project in C?te d'Ivoire. This will help the project to: (1) enhance ownership of/accountability for project outcomes by stakeholders of the project in Cote d'Ivoire; (2) address the specific needs of beneficiaries of the project and other people affected; (3) build partnerships between stakeholders; (4) make use of skills, experiences and knowledge of communities, local groups and businesses.

The project's stakeholders will be categorized in two groups namely: primary and secondary stakeholders. The stakeholder engagement envisioned will be holistic, aiming to achieve identification of affected, interested, and concerned stakeholders; provision of timely and accessible information; relevant and contextually sensitive consultation; wide participation by all relevant stakeholders. The project, throughout its lifetime, will maintain dialogue between government ministries, agencies and departments, mining communities, private sector actors, civil society organizations and development partners.

Type of stakeholders	Examples	Role
<b>Affected by the program</b>		
<b>Miners</b>	<ol style="list-style-type: none"><li>1. Diggers</li><li>2. Transporters</li><li>3. Processors (e.g. crushing, washing, sluicing, etc.)</li></ol>	Provide information and perspectives on their needs, realities, concerns, risks and incentives/ideas related to formalization and addressing mercury use; participate directly in project activities
<b>Miners? cooperatives and associations</b>	<ol style="list-style-type: none"><li>1. COOPEDA</li><li>2. SCOOP-COOMICI</li><li>3. GPMCI (Groupement des professionnels miniers en C?te d'Ivoire)</li><li>4. FEMICI (Association des femmes du r?seau minier de Cote d'Ivoire)</li></ol>	Provide information and perspectives regarding their needs, realities, concerns, risks and incentives/ideas related to formalization and addressing mercury use; participate directly in project activities

<b>Gold traders</b>	GPMA-CI (Groupement des Petites Mines et Acheteurs de C?te d'Ivoire)	Provide information and perspectives regarding their needs, realities, concerns, risks and incentives/ideas related to formalization and addressing mercury use
<b>Land owners / investors</b>		Provide input and engaged in good faith discussions related to land use and planning for ASGM actors
<b>Community leaders</b>		Assisting in the development and implementation of the project within ASGM communities, and in monitoring and evaluating progress and impact
<b>Marginalized groups</b>	Women, youth, elderly, minorities, etc.	Provide information and perspectives regarding their needs, realities, concerns, risks and incentives/ideas related to formalization and addressing mercury use; provide input regarding potential positive and negative impacts of the ASGM sector on their lives
<b>Women association in ASGM</b>	1. FEMICI R?seau des Femmes Mini?res de C?te d'Ivoire)	Provide information and perspectives regarding their needs, realities, concerns, risks and incentives/ideas related to formalization and addressing mercury use; participate directly in project activities
<b>Traditional and customary leaders</b>		Traditional leaders play an informal governance role in the ASGM sector, having significant influence in their communities. Provide public support to the project and encouragement for all stakeholders to participate.
<b>Local government and administration</b>		Provide overall support and buy-in for the project; participate in project activities
<b>Downstream buyers</b>		Provide financial and in-kind support; engage in supply chain relationships with relevant and appropriate actors; provide mentorship and capacity building.

<b>Affecting the program</b>		
<b>Universities</b>	<ol style="list-style-type: none"> <li>1. U. Felix Houphouet-Boigny</li> <li>2. Institut National Polytechnique FHB - Yamoussoukro</li> <li>3. Université Alassane Ouattara - Bouaké</li> <li>4. Ecole Nationale de Statistique et Economie Appliquée - Abidjan</li> <li>5. Ecole Nationale d'Administration de la Côte d'Ivoire</li> </ol>	<p>Conduct research and share knowledge with stakeholders on relevant issues; Provide trainings and knowledge transfer to miners/cooperatives; incorporate ASGM into university programming and curriculum; participate in data collection and monitoring, where possible.</p>
<b>Ministries</b>	<ol style="list-style-type: none"> <li>1. Ministry of Mining, Petroleum and Energy</li> <li>2. Ministry of Environment, and Sustainable Development</li> <li>3. Ministry of Water and Forestry</li> <li>4. Ministry of Planning and Development</li> <li>5. Ministry of Health and Public Hygiene</li> <li>6. Ministry of the Interior</li> </ol>	<p>Play a leadership role within the project (e.g. participation in the Project Steering Committee); provide input into project activities; share knowledge and experience; participate in capacity building opportunities; carry out implementation of respective activities.</p>
<b>Public services</b>	<ol style="list-style-type: none"> <li>1. Directorate of cartography and geological prospecting</li> <li>2. Directorate of Mining Information and Mining Cadastre</li> <li>3. Mining Development Branch</li> <li>4. Directorate of Artisanal Mining and Quarries</li> <li>5. Technical Controls Department</li> <li>6. Ivorian Antipollution Center</li> <li>7. Customs Service</li> <li>8. Migration Service</li> <li>9. ANDE (National Environment Agency)</li> <li>10. OIPR (Office Ivoirien des Parcs et Réserves)</li> </ol>	<p>Provide input into project activities; share knowledge and experience; participate in capacity building opportunities; carry out implementation of respective activities.</p>
<b>Civil society organizations</b>	<ol style="list-style-type: none"> <li>11. CASE</li> <li>12. Artisanal Gold Council</li> <li>13. GRPIE (Groupe de recherche et plaidoyer sur les industries extractives)</li> <li>14. FERREAD (Fédération des Réseaux des ONGs et Associations de l'Environnement)</li> <li>15. IRAA (Institut de recherche et action en Afrique)</li> <li>16. Action Environnement Plus</li> <li>17. Agir pour l'Environnement</li> </ol>	<p>Provide sensitization and awareness-raising on the impacts of mercury usage; promote alternatives; conduct research; participate in and facilitate dialogue; attend workshops and events; share experiences and learning; etc.</p>

<b>Industrial mining</b>	<ol style="list-style-type: none"> <li>1. Soci?t? des Mines d'Ity (SMI)</li> <li>2. Randgold ressources</li> <li>3. SODEMI (Soci?t? d'Etat)</li> <li>4. Perseus Mining ltd</li> <li>5. Red Rock Resources</li> </ol>	Engage in discussion regarding land use with ASGM actors, explore models for co-existence (where relevant) and opportunities for providing support for ASGM (e.g. technical support, buying programs, etc.)
<b>Banks and microfinance institutions</b>	<ol style="list-style-type: none"> <li>1. Microcred</li> <li>2. COOPEC</li> </ol>	Provide financing for ASGM; provide financial support to the project. Provide insight into risk perception of ASGM sector and perspectives on ASGM related issues and proposed solutions.
<b>Media</b>	-	Share information regarding the issues (impacts of mercury on health and environment, for example) and on the project.

In addition, provide a summary on how stakeholders will be consulted in project execution, the means and timing of engagement, how information will be disseminated, and an explanation of any resource requirements throughout the project/program cycle to ensure proper and meaningful stakeholder engagement

The project?s stakeholder engagement plan can be found in Appendix 7 (Stakeholders Engagement Plan). The project plans to use the following methods for engaging with stakeholders throughout the project?s implementation phase:

- 1) An Annual project workshop in Abidjan where participants can learn about the project, share information and knowledge, and provide input into success and challenges;
- 2) Side meetings and dialogue sessions with particular stakeholder groups alongside the Annual Workshop or other events (e.g. representatives of women in ASGM, gold traders, etc.);
- 3) Planned technical meetings or workshops targeting specific actors, such as financial institutions and investors;
- 4) Use of various communications outlets, such as e-mail, Blogposts, social media, and WhatsApp;
- 5) One-on-one meetings with stakeholders to discuss particular issues, opportunities or challenges;
- 6) Participation on the Project Steering Committee, which will meet annually or ad-hoc if needed.

**Select what role civil society will play in the project:**

**Consulted only;** No

**Member of Advisory Body; Contractor;** Yes

**Co-financier;** Yes

**Member of project steering committee or equivalent decision-making body;**

**Executor or co-executor;** Yes

**Other (Please explain)**

Please, refer to section 6 Institutional Arrangements and Coordination to see the role of the different civil society entities involved in the project's implementation phase.

### **3. Gender Equality and Women's Empowerment**

**Provide the gender analysis or equivalent socio-economic assesment.**

Further information can be found in Appendix 6 ? Gender Analysis and Action Plan.

Cote d'Ivoire artisanal mining sector has received very little attention when it comes to gender-related issues. As described in the Gender Annex, there is no agreement on the number of women involved in the industry and numbers range from 10 to 57 percent.<sup>[1]</sup> Inequality in terms of access to mine sites, economic benefits, and recognition of the role of women has shaped the industry and are driven by cultural taboos and stigmatization. While some initiatives have taken place, they are generally infusion, misinformed, and male-driven, questioning both their feasibility and adequacy.

Women play a critical role in the industry as they take the ore out of the pit, clean it and process it, and establish support systems to the extractive process in the form of small businesses. Women's activities at the mine site are particularly exposed to mercury as they process minerals contaminated with toxic agents.

Research has highlighted the beneficial role of the ASGM sector to provide economic benefits for women as they can earn a much higher income than in other livelihoods. The notion of economic empowerment is critical to understand changes in the social sphere. As women earn increased income, their status in society evolves and often translates in increased social standing. The contributions of women to the household and the community more broadly can also trickle down to the political representation of women in the regions where ASGM operates.

As the Gender Analysis and Action Plan highlights (see Appendix 6), changes need to be made to efficiently address the gender inequalities in the ASGM industry. Administrative, legislative, regulatory, and policy changes need to be informed by in-depth engagement with women in the mine sites and reflect their position and needs. In many cases, we have seen interventions implemented without proper consideration to on-the-ground realities having significant negative impacts and perpetuate of increased gender inequality. The project's Executing Agencies experience in this field has been defined by a careful impact and unintended consequences analysis that informed the structure, design, and implementation of gender-related activities at artisanal mine sites. Throughout this project, gender will be given full consideration and an assessment will be conducted using IMPACT's Toolkit: Gender Impact Assessments for Projects and Policies Related to Artisanal and Small-Scale Mining.



The toolkit, released in 2020, provides a set of resources and guidance to policymakers and project implementers on meaningfully considering the gender implications of particular policies or projects. Based on experiences in the DRC, Uganda and Rwanda, it will be tailored to the specific needs of C?te d'Ivoire. As such, the project recognizes the need for context specific actions inscribed in a broader knowledge context of gender in ASM.

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[1] Allou, Tolla Koffi. 2020. ? Secteur informel et march? d'emplois : l'image de l'artisanat minier au nord de la C?te d'Ivoire. ? *Canadian Journal of Tropical Geography* 7, no. 2 : 22-28.

**Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment?**

Yes

**Closing gender gaps in access to and control over natural resources; Yes**

**Improving women's participation and decision making Yes**

**Generating socio-economic benefits or services or women Yes**

**Does the project's results framework or logical framework include gender-sensitive indicators?**

Yes

#### **4. Private sector engagement**

**Elaborate on the private sector's engagement in the project, if any.**

Private sector engagement is pivotal to the success mercury reduction projects, including in C?te d'Ivoire. Addressing this challenge necessitates a coordinated approach between artisanal miners, traders, service providers, ASGM association and cooperatives, refiners, and large-scale miners. Mercury use is the result of complex socio-economic root causes that can only be tackled using an inclusive and holistic approach. Hence, the private sector will be actively engaged during this project.

As primary users, miners and their association and cooperatives are the primary group to be engaged with for behavioral change. To ensure the long-term sustainability of the project, miners were at the core of the design and development of the project and were actively consulted in the PPG phase. During the project itself, the stakeholder engagement plan will provide the necessary avenue for miners to provide feedback informing the subsequent actions implemented. While miners will inform the on-the-ground implementation of the project, their associations and cooperatives will also provide important learnings regarding institutional, administrative, and legal aspects of ASGM.

To better understand the supply chain component of gold mining, the project will engage with traders. Creating a legal supply of artisanal mined gold will not only need the formalization of the mine sites, but also the streamlining and legalization of gold trading. This will also avoid smuggling and the loss of significant tax revenues for the country. Beyond the gold trade, as we have discussed in the national baseline, many of the mercury inputs are brought in C?te d'Ivoire by gold traders from neighboring countries. Hence, understanding the gold trading system will allow us to understand the mercury trade as well. The knowledge created by this engagement will inform potential evolutions of the legal instruments that govern artisanal gold mining. In particular, in the context of the ECOWAS, the diversity of tax systems is a significant obstacle promoting smuggling.

Developing a clean supply of artisanal gold from C?te d'Ivoire is also dependent on the ability to sell the production on global markets. Hence, the project will engage refiners located abroad to develop sourcing relationships with artisanal miners. As one of the main challenges to economically sustainable artisanal mining, financing will be provided through the provision of inventory funding to traders and cooperatives. Considering the risks in artisanal sourcing, most of the internationally accredited refiners (LBMA, RJC and RMI) are hesitant to source from the sector. However, the project has been engaging with Swiss-based refiner Argor Heraeus to source from artisanal sites in C?te d'Ivoire (notably, in Dabakala which was the location of IMPACT's Just Gold project) while slowly raising the bar in terms of responsible production. In this respect, IMPACT, one of the project Executing Agencies is also a member of a recently launched working group led by a group of Swiss stakeholders (notably the Swiss Better Gold Association and SwissAid) to help promote responsible gold amongst Swiss businesses. Specifically focused on mercury, this project will target a sustainable business model in which toxic processes are reduced to a minimum while maintaining equilibrium for both the miners and the refiner.

Large-scale miners also play a significant role in addressing the formalization of their ASM counterparts. In particular, the LSM sector necessitates wide swath of land that are traditionally used by artisanal miners. The eviction of the ASGM workers often leads to violence and their relocation in economically and geologically unsustainable spaces. Engaging the industrial sector will provide lessons on potential changes to the mining code as to enhance cohabitation between the two industries. Additionally, LSM miners could develop sourcing from artisanal sites to facilitate the exportation of artisanal and responsibly produced gold.

Finally, the banking and micro loans sector will be an important interlocutor. As discussed in the National Baseline, the banking sector is not currently appropriately equipped to support artisanal mining operations. First, trust in ASGM operators is lacking, excluding them from loans. Second, banks are often implanted in urban areas with very few branches in rural parts. Third, the structure of micro lending agencies does not allow them to positively support artisanal mining as their loans are too little for a capital-intensive industry. While artisanal mining does not necessitate immense financing inputs, the current structure of micro lending agencies is based on agricultural work, which consumes less capital than mining.

## **5. Risks to Achieving Project Objectives**

Elaborate on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, the proposed measures that address these risks at the time of project implementation.(table format acceptable):

Further information can be found in Appendix 9 ? Risk Mitigation Plan

**Table 5: Identified Project Risks**

Risk	Risk rating	Proposed mitigation measures
<b>Covid-19 related risks</b>		
Covid-19 restrictions (movement, large gatherings, travel, etc.)	Low-Medium	The Covid-19 pandemic ? and potential new developments, such as those relating to emerging variants ? continue to pose a challenge and could result in the application of various measures, such as lockdowns and restrictions on gatherings. The project team will closely monitor the Covid-19 case numbers and analysis in order to shift activities as needed. Activities will either be postponed to a later date post-lockdown, or may be adapted to account for restrictions (i.e. small meetings, outdoors, online events, etc.). Covid-19 precautions will be followed (e.g. working from home when needed, wearing face masks, hand sanitizing, etc.).
Shifting priorities due to Covid-19 pandemic	Low-Medium	It is possible that national and local government authorities are preoccupied with combatting Covid-19 and future recovery efforts. The project will rely on its stakeholder engagement plan in order to ensure that adequate consultation and engagement is had to validate project interventions and adapt as needed. Given the economic importance of the ASGM sector to many local communities, the project may be in a position to link its activities to local development plans in order to support economic recovery post-covid.
<b>Political / Governance-Related Risks</b>		

Political Buy-in	Medium -High	The ASGM sector has not been a significant priority for the government of Cote d'Ivoire, and in some ways has been viewed negatively and problematically. While there has been some softening in the views towards ASGM, it is often still challenging to promote and secure political buy-in for efforts supporting the sector. These risks can in part be mitigated via strong working relationships at the bureaucratic and technical level, as well as through clear demonstrations of the benefits the sector brings (and can bring, with support). This has been considered amongst the knowledge sharing activities proposed for the project, which will focus on demonstrating the positive aspects of the ASGM sector in Cote d'Ivoire.
Staff turnover within government ministries/departments	Low	The project is emphasizing institutional capacity building across a number of ministries and departments, as well as levels of government (national and local) in order to maximize the impact of the project. This will help mitigate against potential shifts in key personnel that are trained. Furthermore, the identification and partnership with other training institutions or partners (e.g. universities, NGOs) will also help to mitigate this risk.
Limited functioning of vocational schools following the project	Medium	There is a risk that following the support provided by the project to a cohort of vocational school students, that the vocational schools struggle to find the resources to continue running ? which would limit the extent to which the material support provided can help future students (i.e. limiting the number of beneficiaries). To help mitigate this risk, the project will support SODEMI (operator of the vocational schools) to carry out longer term planning as well as a management strategy for the equipment and materials supported, to promote sustainable usage over time.
<b>Environmental / Climate Risks</b>		
Miners do not trust or buy-in to mercury-free technologies	Medium	Miners in Cote d'Ivoire have demonstrated that they do not always trust that mercury-free technology captures gold as efficiently as mercury amalgamation. This can present a risk to the project in promoting uptake of mercury-free technologies. This risk will be mitigated via effective trainings that include demonstrations and clear communication (as well as the provision of equipment), as well as a number of sensitization sessions that continue to highlight the harms of mercury usage.

Lack of prioritization of reducing mercury usage by miners, including when financing is available (or miners simply do not endorse mercury-free processing methods)	Medium	Poverty often prevents miners from prioritizing health and environmental impacts, as they often are more focused on addressing basic needs (food, housing, school fees, etc.). The project will mitigate these risks by engaging with ASGM associations supported by the project on expectations and goals, focusing on identifying incentives that can encourage miners to prioritize mercury reduction, as well as on securing access to the financing needed to invest in mercury-free technologies. Project activities on sensitization on the harmful effects of mercury, and a broad-based approach to sensitization (i.e. multistakeholder) will help to mitigate the potential for miners or ASGM associations to reject mercury-free processing.
Negative impacts of climate change (e.g. extreme weather events such as droughts, floods, etc.)	Medium	Extreme weather events exacerbated by the effects of climate change ? such as flooding or droughts ? could impact the project in a number of ways, such as limiting transportation, delaying activities, or shifting the patterns of artisanal miners (e.g. relocating to new areas, destroying other livelihoods leading to an influx of miners, etc.). In this respect, the project will partner with Climate Genius, a project start-up from the MIT University (US) which is currently developing a climate change risk analysis focused on the ASGM sector. Introductory trainings and capacity-building sessions will be provided through the project EAs.
<b>Programmatic / Other Risks</b>		
Risk-aversion of gold refiners	Medium	Some gold refiners have been hesitant to source from artisanal gold supply chains, or are actively avoiding them, due to perceived human rights, social, labour and environmental risks. This has contributed to the difficulty the sector has had to access formal markets (formal and transparent supply chains with formal financing). The project has sought to mitigate this by identifying several downstream initiatives and industry associations whom are supportive of increasing ASGM market share amongst reputable refiners.

<p>Supply chain partners (including investors and financiers) are unable to establish commercial terms (or, competitive commercial terms compared to the informal market)</p>	<p>Medium</p>	<p>It is possible that the ASGM associations and supply chain actors further downstream (trader, refiner, etc.) are unable to agree to commercial terms (e.g. price, timing of payments, etc.) that are comparable with the informal market, or competitors in the formal market that do not promote responsible or mercury-free gold production. To help mitigate this risk, the project plans to carry out engagement with supply chain actors and conduct a supply chain mapping to identify the incentive structures, pricing dynamics, relationships and other dynamics (e.g. logistics, services, etc.) to support the establishment of an economically feasible model that benefits all actors in the supply chain and promotes improved practices.</p>
<p>Low risk threshold by financial institutions / other potential providers of access to credit</p>	<p>Medium</p>	<p>Like gold refiners, financial institutions and other lenders have been hesitant to provide access to financing for the ASGM sector due to reputational risks and financial risks. The project will carry out a study to help educate the financial, investment and ASGM sectors on ASGM financing, and engage actors to help dispel common misconceptions but also better understand each others perspectives.</p>
<p>Land conflict / Social tension</p>	<p>Low</p>	<p>The lack of an effective formalization framework for the ASGM sector coupled with the prioritization of large-scale mining has led to some conflict over access to land in some parts of Côte d'Ivoire. There have been a number of evictions of artisanal miners over the past years. Additionally, disputes can arise between local communities and external actors (from both within or outside of Côte d'Ivoire) come to capitalize on gold rushes. The involvement of Côte d'Ivoire authorities across various ministries in the project, including site selection, will help to ensure that potential evictions do not negatively impact the efforts of the project or create social tensions in the areas of operation. Where tensions already exist, significant stakeholder engagement by the project and the piloting of the jurisdictional approach will help to provide a forum for discussion and dialogue amongst actors.</p>
<p>Efficient and lucrative alternative mercury-free gold processing techniques are not appropriate (or not available) for ASM</p>	<p>Medium</p>	<p>There is a challenge with respect to mercury-free technologies that relates to the very small quantities that are generally produced by ASGM miners. This is reflective of a significant portion of the ASGM workforce, and therefore is critical to addressing mercury usage in the sector writ large.</p>

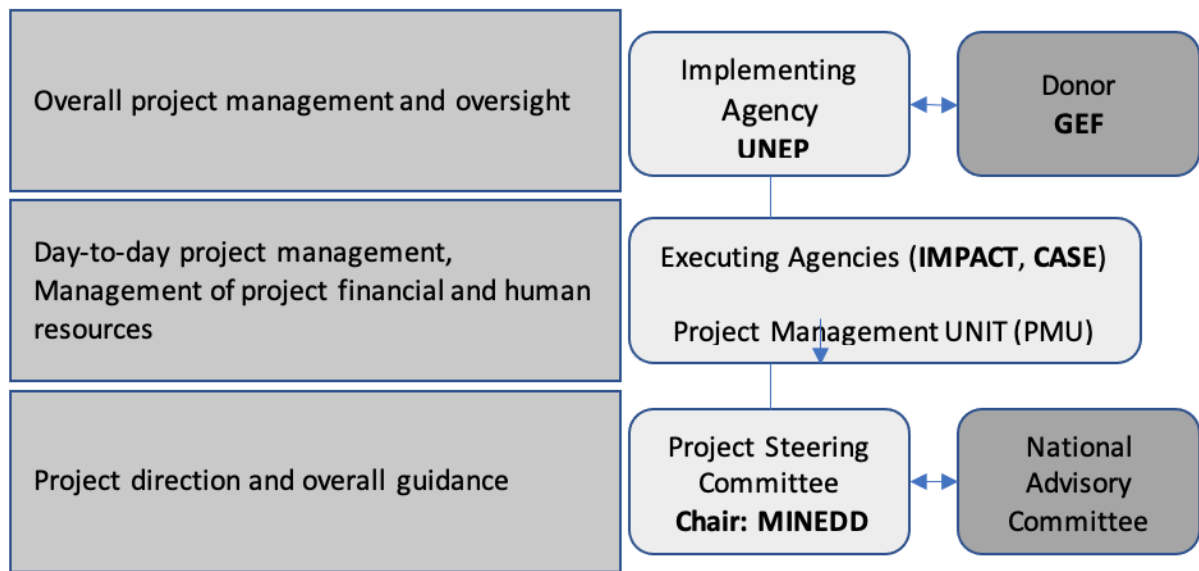
Interference by mercury traders	Medium	Informal gold traders are often the suppliers of mercury, and can have complex economic and/or social relationships with miners which can be difficult to break. These traders can become spoilers to the project by acting in direct competition to formal and legal sales channels. The project will engage traders and exporters from the onset of the project ? building off of existing relationships created through projects like IMPACT?s Juts Gold project ? to help mitigate this risk.
The exporter with whom the project is working with identifies more competitive pricing elsewhere / loses motivation	Medium	Gold exporters are highly driven by economic incentives, and thus it is a risk that the exporter with whom the project is working with identifies other international buyers with whom the project cannot work (for due diligence/reputational reasons) that offer more competitive pricing or other incentives (e.g. financing). This could potentially affect the commitment or willingness of the exporter to collaborate with the project. While the project does not have the ability to control commercial decisions and relationships, operating in a manner that is transparent, open and collaborative, as well as creating a relationship of mutual trust with project partners, can help to foster a more stable working relationship and lower this risk.
ASGM associations and miners are unable to meet the standards established by planetGOLD	High	ASGM associations have had limited capacity to implement or demonstrate implementation of responsible sourcing standards and criteria. The project will mitigate this risk by providing technical support and accompaniment to the ASGM associations to meet these criteria, as well as identifying incentives to do so (i.e. access to finance). Emphasis will be made on supporting the management of the associations to increasingly take on more responsibility, building from the minimum baseline (i.e. adherence to OECD DDG) to progressively meeting the more stringent criteria outlined by planetGOLD.

## 6. Institutional Arrangement and Coordination

**Describe the institutional arrangement for project implementation. Elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives.**

Further information can be found in Appendix 5 ? Implementation Arrangements.

## Organogram Level



**Figure 3: Project Governance Structure**

Below is a general description of each management body:

- ? Implementing Agency (IA): UNEP will serve as the IA. The IA will be responsible for the overall project supervision, overseeing the project progress through the monitoring and evaluation of activities and progress reports of the established components. It will be responsible for quality assurance procedures, organize contracting, in coordination with MINEDD and the Executing Agencies (EAs), approve progress reports and clear disbursements. The IA will also monitor progress to ensure the proper quality of outputs. UNEP will report project implementing progress to the GEF. The IA will also take part in the Project Steering Committee (PSC) and can request the PSC to meet outside of the planned schedule as deemed necessary.
- ? Executing Agencies (EAs): The project will be executed by two Executing Agencies. CASE, an Ivorian NGO will execute Component 1 (Formalization) and Component 4 (Knowledge Management and Communications), while IMPACT, a Canadian NGO, will serve as the EA for Components 2 (Access to Finance) and 3 (Uptake of Mercury Free Technologies).

With the guidance of the PSC, the EAs will be responsible for the overall management of the financial and human resources directly related to project execution phase. Both agencies will be accountable to the implementing agency for the achievement of project outputs and outcomes. Each EA will take guidance from the implementing agency and the PSC in all matters concerning the project. In the delivery of their functions, both EAs will participate in PSC meetings, performing the role of Secretaries of the PSC meetings.

A Project Management Unit (PMU) will be created and will be in charge of the day-to-day management of the project. This will be composed of key project staff from IMPACT and CASE who will be directly



under each Executing Agency's supervision, and who will have access to a wide range of experts and specialists throughout the execution of project activities. The PMU will regularly provide updates to the IA and the PSC members and will submit quarterly and financial progress reports. Annual workplans, progress and financial reports will be submitted to the PSC members for endorsement.

The PMU will:

- be responsible for the efficient and timely preparation and execution of project activities;
  - provide on-the-ground coordination to facilitate project execution; prepare concept notes, plans, summaries, and reports as required by the project in a timely manner; facilitate coordination meetings and other related dialogues with the guidance of the PSC;
  - Contract relevant experts, as outlined in the project budget and in line with ToRs created in consultation with the PSC;
  - form part of any technical working group that may be established by the project;
  - identify, develop, and foster contacts and relationships that will be beneficial for the project;
  - execute the project communication strategy including information dissemination with the guidance of the PSC;
  - apply the project's knowledge management approach;
  - execute a regular project monitoring plan;
  - functions as secretariat of the PSC.
- ? Project Steering Committee (PSC): The PSC will be chaired by MINEDD and provide project direction and overall guidance through the project's execution phase, making critical decisions on any strategic matters. The members of the PSC will include:
- o MINEDD (Chair)
  - o Ministry of Mines
  - o UNEP
  - o CASE (Secretary)
  - o IMPACT (Secretary)

CASE and IMPACT project staff will serve as the Secretariat and provide meeting minutes, annual workplans for endorsement and regular progress reports. The PSC will consist of representatives of the Government beneficiary country and the IA. It will also ensure the timely delivery of project outputs and the eventual achievement of the project outcomes by reviewing workplan and progress reports. Additional stakeholder representatives from academia, NGOs and other relevant areas may be invited to join the PSC during the project execution as experts or observers, including members of the National Advisory Committee (see below). At all times, the PSC and its activities will comply with the policies, conditions and regulations of the UNEP and the GEF.

- ? National Advisory Committee (NAC): The Government of Côte d'Ivoire will establish a multistakeholder National Advisory Committee (NAC) to advise the PSC and support efficient project delivery with relevant national and local stakeholders. The NAC will participate in PSC meetings, as needed, and may be relied on for bilateral meetings to provide

input into project planning and execution. The PSC and the NAC will also facilitate collaboration with other country initiatives, stakeholders and institutions. The composition of the NAC will be confirmed by the PSC in its first meeting, but this will likely mirror the same composition of the National Stakeholder Advisory Committee Group for the National Action Plan on Mercury (NAP Mercury, UNEP) whose members were drawn from:

- o ASGM organisations like cooperatives and/or associations for example, COOPEDA, SCOOPS, UNOMICI, etc.
- o ASGM Miners/miner representatives
- o Community leaders and local Government representatives
- o Local communities, including indigenous groups
- o Technical experts in gold mining
- o Environmental and human health organisations (National NGOs)
- o Academic and research organisations
- o Legal professionals
- o Representatives from large-scale gold mining companies with operations in the country
- o Relevant land holders
- o National Police and Customs officials
- o Gold-buying dealers, gold traders, mining equipment providers.
- o Waste management specialists, including environmental and public health officials
- o Financial/banking sector, including micro finance institutions and Sacco groups
- o Representatives of the UN Country-teams
- o Women-based organisations involved in the ASGM sector.

#### **Roles of the key stakeholders:**

MINEDD, as the project's Government counterpart and host of the Minamata Convention Focal Point will have the following specific roles:

- ? Chair the Project Steering Committee (PSC)
- ? Coordinate the Government's efforts through communication and information dissemination to relevant government stakeholders to support effective implementation of the project;
- ? Serve as the main convening body of the Government;
- ? Guide IMPACT and CASE, as designated EAs, during the project's implementation phase.
- ? Take an active role in applying and disseminating the lessons derived from the project in the ongoing development of policies and regulations in or related to the extractive sector in Côte d'Ivoire.
- ? Provide advice, information, and other relevant data on the appropriate policy frameworks and legislation at the national level that must guide the implementation of the project;
- ? Provide guidance to the EAs and any other local partners in collecting, documenting, analysing and sharing ASGM-related information on successful interventions, best practices and lessons learned with relevant stakeholders for potential adaptation and/or replication,
- ? Facilitate communication and information dissemination within the Ministry and with other institutional stakeholders as appropriate.

UNEP as implementing agency will have the following role:

- ? Participate in the PSC Meetings and ensure decisions are compliant with the GEF and UNEP's rules
- ? Ensure the project is implemented as planned

- ? Communicate with the GEF and other international stakeholders on the development of the project implementation phase
- ? Validate quarterly progress and financial reports received from the EAs.
- ? Validate and finalise PIR reports and forward to the GEF
- ? Organise and execute the Mid-Term Review exercise.
- ? Organise and execute an independent Terminal Evaluation

CASE and IMPACT as EAs will have the following role:

- ? Coordinate the actions of the PMU, including the arrangement of project staff.
- ? Produce quarterly financial and progress reports to be submitted to UNEP and to the PSC members.
- ? Prepare and submit to UNEP the annual Project Implementation Report (PIR)
- ? Provide support to the independent financial audit to UNEP in coordination with MINEDD
- ? Recruit project's staff/consultants and issue contracts as per TORs and planned budget

The Project Management Unit (PMU) will:

- ? Manage the day-to-day activities of the project according to the approved annual workplan and budget;
- ? Review, assess and approve reports from independent consultants and sub-contractors based on issued TORs.
- ? Act as secretariat to the PSC meetings, sharing meeting minutes and arranging meeting facilities;
- ? Prepare documents for the PSC (For example: state of expenditures, workplans, TORs for consultants and sub-contractors, agenda);
- ? Take PSC minutes and circulate for approbation.

The Project Steering Committee (PSC) will, under the chairmanship of MINEDD:

- ? Approve the TORs for the PMU (once, during the 1st PSC meeting);
- ? Discuss and approve annual workplan and budget;
- ? Discuss and approve TORs for consultants and subcontractors;
- ? Guide communication and information dissemination;
- ? If needed, propose adjustments to the project's workplan or budget;
- ? Host an annual National Advisory Committee meeting (with logistical and organizational support provided by the PMU).

The National Advisory Committee (NAC) will:

- ? Attend the PSC meetings, when needed;
- ? Assist, when needed, in the selection of the national consultants and experts;
- ? Advise on the development of the project progress, and ensuring alignment with other national priorities, projects and programming;
- ? Provide technical expertise and counselling on an ad-hoc basis.

## **7. Consistency with National Priorities**

Describe the consistency of the project with national strategies and plans or reports and assessments under relevant conventions from below:

NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc.

Detailed below are the national priorities, plans, policies, and legal frameworks in Cote d'Ivoire that are consistent with the objectives of the planetGOLD programme.

### **Minamata Convention on Mercury: National Action Plan**

The Minamata Convention on Mercury: Cote d'Ivoire signed the Minamata Convention in October 2013 and ratified it in October 2019. The text entered into force on December 30th, 2019.

Cote d'Ivoire was evaluated under the Minamata Initial Assessment (MIA) in 2018. The MIA addressed the main sources of mercury uses and pollution, first of which the ASGM industry. The study conducted aimed at providing a framework that encompassed different aspect of the issues; (1) implementation of national coordination mechanisms, (2) evaluating the existing capacities and the national legislation, (3) developing an inventory of mercury uses, (4) identifying the needs and responsibilities to further implement the Minamata Convention, (5) preparing, validating, and disseminating the national report, (6) supporting information exchange and capacity building.

To align its policies with the Convention, the country is in the process of developing a National Action Plan (NAP) that is expected to be finalized by December 2022.<sup>[1]</sup> The completion of the NAP will allow Cote d'Ivoire to implement the requirements of the convention as follows:

- To undertake capacity building and training activities to support parties to facilitate the development, review and constant updating of the NAP.
- To produce effective strategies to prevent a resurgence of mercury use in ASGM by supporting educational, outreach and capacity building initiatives; the promotion of research into sustainable mercury alternative practices; the provision of technical and financial assistance; and fostering partnerships to assist in the implementation of Cote d'Ivoire's commitments.

The planetGOLD programme will support the implementation of the NAP and Cote d'Ivoire's commitments under the plan. Building on the MIA, the program will support formalization of the ASGM sector, increased accessing to financing and use of responsible business practices, and mitigate or eliminate the use of mercury in project target areas.

### **The *Plan National de Développement* (PND) 2021-2025 (Development National Plan (DNP) 2021-2025)**

The DNP 2021-2025 is the third plan developed by Cote d'Ivoire to address economic growth and development and reaching an emerging economy status. Previous plans (2012-2015; and 2016-2020) largely focused on economic growth, targeting strong GDP increase, FDIs attractivity, and job creation. The 2016-2020 plan included five strategic pillars, (1) reinforcing institutional strength and governance quality; (2) increasing human capital development and wellbeing; (3) increasing the transformation of the economy through its industrialization; (4) developing infrastructures and preserving the environment; and (5) reinforcing regional integration and international cooperation.

The planetGOLD program, through the formalization of ASGM production and the reduction in mercury emissions aligns with the 2016-2020 DNP. However, while the 2021-2025 DNP has not yet been published, it is believed that the planetGOLD programme will strengthen the plan by supporting economic development through increased formalization, attracting investment and mitigating environmental risks.

***Cadre de Coopération des Nations Unies pour le Développement Durable ? Côte d'Ivoire ? 2021-2025***  
(United Nations Sustainable Development Cooperation Framework ? Côte d'Ivoire ? 2021-2025)

The engagement framework of the United Nations with the government of Côte d'Ivoire follows a five-pillar approach: (1) reinforcing the inclusivity of the development process; (2) enhancing human capital; (3) accelerating the structural transformation of the economy; (4) reducing vulnerability regarding global warming and environmental challenges; and (5) promoting efficient, transparent, and participative governance.

The planetGOLD programme directly answers to some of the priorities defined by the United Nations in line with the national government. In particular, by adopting gender-sensitive approaches to formalization of Côte d'Ivoire's ASGM sector, the inclusivity of the industry will be significantly reinforced while ensuring positive development outcomes. Additionally, by reducing anthropogenic emissions of mercury in the sector, the program will address environmental vulnerabilities of communities neighboring mine sites and communities nearby artisanal gold mining areas.

***Stratégie et Plan d'Action pour la Diversité Biologique Nationale (SPANB) 2016-2020*** (National Biodiversity Strategy and Action Plan (NBSAP) 2016-2020)

The national strategy for biodiversity is based a six-pillar approach as follows: (1) protection of natural environment and their functions, (2) preservation of species and genetic diversity, (3) reinforcement of conservation infrastructures, (4) valuation and sustainable use of biological diversity, (5) citizen mobilization and knowledge dissemination, and (6) reinforcement of national and international coordination and cooperation.

While the next iteration of the NBSAP has not been released, the fact that mercury emissions can have a detrimental impact on biodiversity in the areas where it is used indicates clear alignment between the objectives of the NBSAP and planetGOLD program. Further, the piloting of the jurisdictional and landscape approach will aim to ensure that conservation and biodiversity goals are considered alongside development goals of the ASGM sector.

***Plan National Sècheresse de Côte d'Ivoire (PNS) 2021-2025*** (National Drought Plan (NDP) of Côte d'Ivoire 2021-2025)

The NDP was finalized in 2020 and aims at tackling the increasing threat of drought, mostly in the northern part of the country. The plan is built around four directions which will strengthen the country's response to this specific risk. These include (1) developing an institutional framework and related strategies, (2) highlight the key drivers of current and future vulnerability in different sectors, (3) devise methods to mitigate the risk, to manage crisis, and adapt, and (4) devise funding mechanisms to better the resilience of communities impacted by droughts.

With regards to the planetGOLD program, the NDP is of particular importance. With the ASGM sector heavily located in the northern parts of Côte d'Ivoire, and strongly impacting the soils and environments in the region, accounting for drought-related issues is important. Additionally, the boom and bust nature of the industry leads to significant population changes that can impact negatively areas with relatively scarce resources due to drought. Mitigating these risks will be a critical part of future activities in the gold artisanal sector and will integrate flexible frameworks to account for the rapidly changing environmental and social contexts.

**Technology Needs Assessment (TNA) under the UNFCCC**

Côte d'Ivoire was assessed under the United Nations Framework Convention on Climate Change (UNFCCC) in 2013. The TNA yielded some important learnings that trickle down to the implementation of the planetGOLD program. In particular, the assessment highlighted priority technologies for adaptation and for mitigation. Regarding the adaptation strategies, the TNA addressed the agricultural sector to develop drought-resistant agricultural practices through plantain banana, cassava, rubber, and cocoa. Additionally, the TNA highlighted the need to develop water supply technologies, a topic in line with the planetGOLD programme as it aims to reduce water contamination from ASGM.

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<sup>[1]</sup> According to conversations the research team held with people involved in the NAP process.

## **8. Knowledge Management**

### **Elaborate the "Knowledge Management Approach" for the project, including a budget, key deliverables and a timeline, and explain how it will contribute to the project's overall impact.**

Under the GEF planetGOLD Programmatic Knowledge Management approach, each national project includes a component dedicated to Knowledge management and Communications (component 4). This component is expected to lead to the outcome of PlanetGOLD's experiences being available not only to direct and indirect project stakeholders in-country, but also to other national projects and the Global Project.

In parallel, the Knowledge Management Strategy for the project will be closely linked to the Monitoring and Evaluation plan (coordinated by the EA) as well as the Stakeholder Engagement Plan, which identifies a series of project stakeholders interested in participating in the project and being engaged throughout its implementation.

At the country level, the project will develop knowledge products and tools and make them available nationally to all GEF planetGOLD project stakeholders in Côte d'Ivoire. It will develop and build on existing country-specific communication and knowledge management plans or platforms to ensure efficient cascading of information down to the community level and to ensure sustainability of interventions. These mechanisms will be embedded in existing federal, local government or academic institutions facilitating use of knowledge products after the end of the project. In alignment with the Global Project, the Ivorian child project will facilitate the localization and distribution of planetGOLD Programme Education, Information and Communication (EIC) materials to local stakeholder in Cote d'Ivoire.

On the global level, the child project will be closely aligned with the global coordination, knowledge management and outreach project of the program. Knowledge products and lessons learned at the local and national level will be shared with the global project, which will make these experiences available through the planetGOLD platform and other outreach strategies. This will foster a community of practice among participating countries and will allow for the sharing of successful models with a wide range of global actors and stakeholders.

Sharing of the Ivorian experience with the Global Component, will in addition take place through the participation of representatives of the Ivorian child project to the Global Forum (GF) and each Annual Stakeholder Workshop. Country project subject matter consultants (finance, gender, technology, etc.) will also participate in regular knowledge exchange meetings/networks organized by the Global Component. This way, the facilitated exchange between ASGM experts and practitioners, governments, gold buyers and miners will support an ongoing exchange of experiences, as well as development of global expertise and capacity building on ASGM issues and networking and learning, to influence the global ASGM dialogue agenda and policy development. More concretely, three knowledge products will be produced which are

each aligned with the essence of each of the three components of the planetGOLD programme: Formalization, Access to Finance and Mercury-free technologies. The EA will ensure that all public facing documents produced by the country project are either uploaded to the planetGOLD website or link is provided if the document is housed elsewhere

## **9. Monitoring and Evaluation**

### **Describe the budgeted M and E plan**

The project will follow UN Environment standard monitoring, reporting and evaluation process procedures and include Reporting requirements and templates, which are an integral part of the UN Environment legal instrument to be signed by CASE and IMPACT, as the Executing Agencies (EAs) and UN Environment, who acts as the implementing agency (IA).

Project monitoring and evaluation (M&E) activities will be a shared responsibility between IA and EA, and will be conducted in accordance with established UN Environment and GEF procedures. The M&E plan includes inception report, annual review and final evaluations. The M&E plan will be reviewed and revised as necessary during the project inception workshop to ensure project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. Indicators and their means of verification may also be fine-tuned at the inception workshop.

The EA will be responsible for stakeholder engagement, gender monitoring, and outreach to the broader community in the country. Day-to-day project monitoring is the responsibility of the PMU but other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the PMU to inform UN Environment of any delays or difficulties faced during implementation so that the appropriate support or correlative measures can be adopted in a timely fashion.

The Project Steering Committee (PSC) will receive quarterly progress reports and will make recommendations to UN Environment concerning the need to revise any aspects of the Project Logical Framework or the M&E plan.

Project oversight to ensure that the project meets UN Environment and GEF policies and procedures is the responsibility of the Task Manager (Implementing Agency). The Task Manager will also review the quality of draft projects outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications.

The Task Manager will develop a project supervision plan at the inception of the project which will be communicated to the project partners during the inception workshop. The emphasis of the Task Manager supervision will be on outcome monitoring but without neglecting project financial management and implementation monitoring.

Progress vis-a-vis delivering the agreed project global environmental benefits will be assessed with the PSC on a quarterly basis, via the quarterly progress reports. Project risks and assumptions will be regularly monitored both by project partners and UN Environment and updates documented in the Annual Project Implementation Report. Risk assessment and rating is an integral part of the Project Implementation Review (PIR), undertaken by the IA. The quality of the project monitoring and evaluation will also be reviewed and rated as part of the PIR. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources (Quarterly financial reports).

A mid-term evaluation will take place after 2 years of project execution and will include all parameters recommended by the GEF Evaluation Office for evaluations. It will verify information gathered through

the GEF tracking tools, as relevant. The review will be carried out using a participatory approach whereby parties that may benefit or be affected by the project will be consulted. Such parties were identified during the stakeholder analysis (see Appendix 7 Stakeholders Engagement Plan).

The Project Steering Committee will participate in the mid-term review and develop a management response to the evaluation recommendations along with an implementation plan. It is the responsibility of the UN Environment Task Manager to monitor whether the agreed recommendations are being implemented.

In line with the GEF Evaluation requirements and UNEP's Evaluation Policy, GEF Full-Sized Projects and any project with a duration of 4 years or more will be subject to an independent Mid-Term Evaluation or management-led Mid-Term Review at mid-point. All GEF funded projects are subject to a performance assessment when they reach operational completion. This performance assessment will be either an independent Terminal Evaluation or a management-led Terminal Review.

In case a Review is required, the UNEP Evaluation Office will provide tools, templates, and guidelines to support the Review consultant. For all Terminal Reviews, the UNEP Evaluation Office will perform a quality assessment of the Terminal Review report and validate the Review's performance ratings. This quality assessment will be attached as an Annex to the Terminal Review report, validated performance ratings will be captured in the main report.

However, if an independent Terminal Evaluation (TE) of the project is required, the Evaluation Office will be responsible for the entire evaluation process and will liaise with the Task Manager and the project implementing partners at key points during the evaluation. The TE 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 UNEP staff and implementing partners. The direct costs of the evaluation (or the management-led review) will be charged against the project evaluation budget. The TE will typically be initiated after the project's operational completion. If a follow-on phase of the project is envisaged, the timing of the evaluation will be discussed with the Evaluation Office in relation to the submission of the follow-on proposal.

The draft TE report will be sent by the Evaluation Office to project stakeholders for comment. Formal comments on the report will be shared by the Evaluation Office in an open and transparent manner. The project performance will be assessed against standard evaluation criteria using a six-point rating scheme. The final determination of project ratings will be made by the Evaluation Office when the report is finalized. The evaluation report will be publicly disclosed and will be followed by a recommendation compliance process. The evaluation recommendations will be entered into a Recommendations Implementation Plan template by the Evaluation Office. Formal submission of the completed Recommendations Implementation Plan by the Project Manager is required within one month of its delivery to the project team. The Evaluation Office will monitor compliance with this plan every six months for a total period of 12 months from the finalisation of the Recommendations Implementation Plan. The compliance performance against the recommendations is then reported to senior management on a six-monthly basis and to member States in the Biennial Evaluation Synthesis Report.

Type of M&E activity	Responsible Parties	Budget from GEF	Budget co-finance	Time Frame
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Type of M&E activity	Responsible Parties	Budget from GEF	Budget co-finance	Time Frame
Inception Meeting	EAs			Within 2 months of project start-up
Inception Report	EAs			1 month after project inception meeting
Measurement of project progress and performance indicators	EAs			Annually
Baseline measurement of project outcome indicators, GEF Core indicators (Tracking tools?)	EAs (Tracking Tools not applicable in C&W focal area)			Project inception
Mid-point measurement of project outcome indicators, GEF Core indicators (Tracking tools?)	EAs			Mid Point
End-point measurement of project outcome indicators, GEF Core indicators (Tracking tools?)	EAs			End Point
Quarterly Progress/ Operational Reports to UNEP	EAs			Within 1 month of the end of reporting period (quarterly)
Project Steering Committee (PSC) meetings and National Steering Committee meetings	EAs			Once a year minimum
Reports of PSC meetings	EAs			Annually
Project Implementation Review (PIR) report	EAs and IA			Annually, part of reporting routine
Monitoring visits to field sites	EAs			As appropriate
Mid Term Review/Evaluation	IA	\$30,000		At mid-point of project implementation
Terminal Review/Evaluation <i>(whether a project requires a management-led review or an independent evaluation is determined annually by UNEP's Evaluation Office)</i>	IA	\$30,000		Typically initiated after the project's operational completion
Audit	EAs	\$36,875		Typically initiated after the project's operational completion
Project Operational Completion Report	EAs			Within 2 months of the project completion date

Type of M&E activity	Responsible Parties	Budget from GEF	Budget co-finance	Time Frame
Co-financing report (including supporting evidence for in-kind co-finance)	EA			Within 1 month of the PIR reporting period, i.e. on or before 31 July
Publication of Lessons Learnt and other project documents	EA			Annually, part of quarterly reports & Project Final Report

## 10. Benefits

**Describe the socioeconomic benefits to be delivered by the project at the national and local levels, as appropriate. How do these benefits translate in supporting the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCF/SCCF)?**

As the largest contributor of mercury emissions in Côte d'Ivoire, the support and interventions of the planetGOLD programme and subsequent reduction in mercury usage will have considerable direct and indirect health benefits from the local to the global level. Reducing the impact of negative health consequences from mercury usage and exposure can have a number of indirect positive socioeconomic benefits for local population, including less disruption to livelihood and income generating activities (e.g. loss of productivity, absence from wage-earning work, etc.). In addition positive spin-off effects, such as increased economic productivity (either in the ASGM sector or elsewhere) that may be achieved as women and men experience better overall health. Improved health will also reduce potential costs associated with health services required following mercury exposure (e.g. doctor visits, travel costs to health services, etc.).

The introduction of mercury-free technologies or safer technologies (e.g. that reduce exposure, minimize open-air burning, etc.) will also reduce contamination of waterways near project sites, decreasing negative harms to aquatic animals and terrestrial animals that live and depend on these waterways. Environmental assessments conducted at pilot sites will also identify additional risks and remediation strategies for the partners supported by the project.

It is expected that increases in formalization in the ASGM sector can have positive socioeconomic benefits for miners as they may increase their access to government services and financing services, which can in turn reduce dependency on more predatory forms of lending that can be common in the sector. In addition to providing capital for investing in mercury-free technologies, increasing access to financing for ASGM miners may also positively contribute to investments in improved productivity (and hence increased income), improved health and safety measures, and the ability of miners to reduce dependence on child labour (i.e. by having money to pay for school fees). Increased access to finance by ASGM cooperatives can also lead to increased community investments, creation of employment and corresponding impacts (e.g. decreases in youth unemployment contributes to reduction in illegal road blocks taxing passersby).

The project's emphasis on a gender-sensitive approach to implementation will have the positive benefit of contributing to women's empowerment in the sector and a reduction in gender inequality that is pervasive throughout the sector in many of the project locations.

## 11. Environmental and Social Safeguard (ESS) Risks

Provide information on the identified environmental and social risks and potential impacts associated with the project/program based on your organization's ESS systems and procedures

**Overall Project/Program Risk Classification \***

PIF	CEO Endorsement/Approval	MTR	TE
<b>Low</b>			

**Measures to address identified risks and impacts**

Elaborate on the types and risk classifications/ratings of any identified environmental and social risks and impacts (considering the GEF ESS Minimum Standards) and any measures undertaken as well as planned management measures to address these risks during implementation.

Safeguard Risk Identification Form (SRIF)

**Section 1: Project Overview**

Identification	
Project Title	<i>GEF ID1084 ?Global Opportunities for Long-term Development of the ASGM Sector (GEF planetGOLD) in C?te d?Ivoire?</i>
Managing Division	<i>Economy Division</i>
Type/Location	
Region	<i>Africa</i>

List Countries	Cote d'Ivoire
<b>Project Description</b>	<i>The project is a child project of the planetGOLD programme, second phase (GOLD+). The project plans to: To reduce the use of mercury in the ASGM sector in Cote d'Ivoire through a holistic, multisectoral, integrated formalization approach, and increase access to traceable gold supply chains and finance for adoption of sustainable mercury free technologies</i>
<b>Relevant Subprogrammes</b>	N/A
<b>Estimated duration of project</b>	60 months
<b>Estimated cost of the project</b>	USD\$3,937,500
<b>Name of the UNEP project manager responsible</b>	Mr. Ludovic Bernaudat
<b>Funding Source(s)</b>	GEF
<b>Executing/Implementing partner(s)</b>	IMPACT (Canadian International NGO)
<b>SRIF submission version</b>	N/A
<b>Safeguard-related reports prepared so far</b>  <i>(Please attach the documents or provide the hyperlinks)</i>	? Feasibility report [ ] ? Gender Action Plan [X] ? Stakeholder Engagement Plan/Mapping Exercise [ X] ? Safeguard risk assessment or impact assessment [..] ? ES Management Plan or Framework [ ] ? Indigenous Peoples Plan [ ] ? Cultural Heritage Plan [ ] ? Others _____

## Section 2: Safeguards Risk Summary

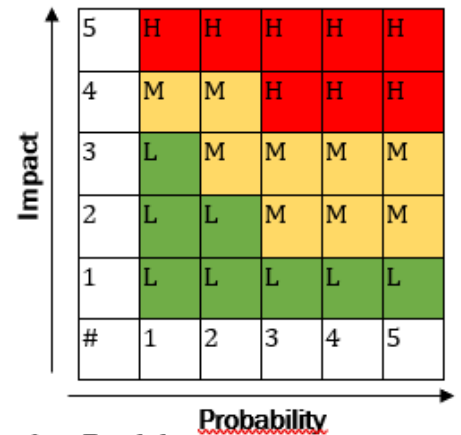
### A. Summary of the Safeguards Risk Triggered

Safeguard Standards Triggered by the Project	Impact of Risk <sup>i</sup> (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H)  <i>Please refer to the matrix below</i>
SS 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management	2	1	L
SS 2: Climate Change and Disaster Risks	2	2	L
SS 3: Pollution Prevention and Resource Efficiency	2	2	L
SS 4: Community Health, Safety and Security	2	2	L
SS 5: Cultural Heritage	1	1	L
SS 6: Displacement and Involuntary Resettlement	1	1	L
SS 7: Indigenous Peoples	1	1	L
SS 8: Labor and working conditions	1	1	L

**B. ESS Risk Level<sup>i</sup> -**

Refer to the UNEP ESSF (Chapter IV) and the UNEP's ESSF Guidelines.

- Low risk
- Moderate risk
- High risk
- Additional information required



**C. Development of ESS Review Note and Screening Decision**

*Prepared by*

Name: Ludovic Bernaudat Date: July 15<sup>th</sup> 2022

*Screening review by*

Name: Alexandra Mutungi Date: July 26<sup>th</sup> 2022

Cleared<sup>iii</sup>

Signature



**D. Safeguard Review Summary (by the safeguard team)**

**This is a low-risk project. However, the UNEP ESSF guiding principles as highlighted in section 3 still apply to these types of projects. Closely monitor and respond to any potential SS 2, 3 and 4 risks, encourage due diligence, meaningful stakeholder engagement and information disclosure.**

## E. Safeguard Recommendations (by the safeguard team)

- No specific safeguard action required
- Take Good Practice approach™
- Carry out further assessments (e.g., site visits, experts' inputs, consult affected communities, etc.)
- Carry out impact assessments (by relevant experts) in the risk areas and develop management framework/plan
- Consult Safeguards Advisor early during the full project development phase
- Other \_\_\_\_\_

### Section 3: Safeguard Risk Checklist

Screening checklist	Y/N/ Maybe	Justification for the response (please provide answers to each question)
<b>Guiding Principles</b> (these questions should be considered during the project development phase)		
GP1 Has the project analyzed and stated those who are interested and may be affected positively or negatively around the project activities, approaches or results?	Y	The project will make an effort to include any potentially affected stakeholders in the decision making process (project steering committee), in particular vulnerable and marginalized stakeholders groups

<p>GP2 Has the project identified and engaged vulnerable, marginalized people, including disabled people, through the informed, inclusive, transparent and equal manner on potential positive or negative implication of the proposed approach and their roles in the project implementation?</p>	<p>N</p>	<p>The project has not engaged with vulnerable or marginalized people in the project development process</p>
<p>GP3 Have local communities or individuals raised human rights or gender equality concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?</p>	<p>N</p>	<p>No human rights / gender equality concerns have been raised during the PPG phase (project's preparatory phase) by local communities or individuals.</p>
<p>GP4 Does the proposed project consider gender-balanced representation in the design and implementation?</p>	<p>Y</p>	<p>A gender action plan has been designed and will be implemented. It is attached as an appendix to the project document.</p>
<p>GP5 Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?</p>	<p>Y</p>	<p>See above.</p>
<p>GP6 Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.</p>	<p>Y</p>	<p>Yes, being a child project, the grievance mechanism is included at the planetGOLD global programme level.</p>



<p>GP7 Will or did the project disclose project information, including the safeguard documents? If yes, please list all the webpages where the information is (or will be) disclosed.</p>	<p>N</p>	<p>This decision will be made during the project's inception workshop. So far, general information about the planetGOLD programme can be found at: <a href="http://www.planetgold.org">www.planetgold.org</a></p> <p>Information will be disseminated in UNEP's Open Data Platform as well <a href="https://open.unep.org/">https://open.unep.org/</a></p>
<p>GP8 Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.</p>	<p>Y</p>	<p>Local mining communities were informed during field visits. Other stakeholders such as public officials and national associations were informed at the inception and validation workshops.</p>
<p>GP9 Does the project consider potential negative impacts from short-term net gain to the local communities or countries at the risk of generating long-term social or economic burden?<sup>[iv]</sup></p>	<p>Y</p>	<p>Yes, it does. However, the project will aim to improve and social and economic conditions of artisanal miners through better environmental and social practices.</p>

GP10 Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?	Y	See above. The project will ensure that the adoption costs of changing current mining processes to mercury free technologies or to the formal economy will not drastically increase the burden for the ASGM marginalized or vulnerable groups.
<b>Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management</b>		
<i>Would the project potentially involve or lead to:</i>		
1.1 conversion or degradation of habitats (including modified habitat, natural habitat and critical natural habitat), or losses and threats to biodiversity and/or ecosystems and ecosystem services?	N	No, the project will have no impact on unspoil natural habitat, it will only work in lands holding legal mining permits.
1.2 adverse impacts specifically to habitats that are legally protected, officially proposed for protection, or recognized as protected by traditional local communities and/or authoritative sources (e.g. National Park, Nature Conservancy, Indigenous Community Conserved Area, (ICCA); etc.)?	No	The targeted mining communities are not located in any environmentally protected area at the national level
1.3 conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	The project will not convert or degrade any natural habitats
1.4 activities that are not legally permitted or are inconsistent with any officially recognized management plans for the area?	N	No such activities are planned under the project
1.5 risks to endangered species (e.g. reduction, encroachment on habitat)?	N	The project poses no risks to endangered species

1.6 activities that may result in soil erosion, deterioration and/or land degradation?	N	The project will not result in soil erosion, deterioration and/or land degradation. The project is trying to improve the mining areas through better practices in the ASGM national sector
1.7 reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	N	The project will not reduce quality or quantity of ground water or other water bodies; on the contrary, the project will introduce best practices to prevent mercury entering waterways
1.8 reforestation, plantation development and/or forest harvesting?	N	The project will not involve reforestation, plantation development and/or forest harvesting
1.9 support for agricultural production, animal/fish production and harvesting	N	The project will not involve agricultural production, animal/fish production and harvesting
1.10 introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?	N	The project will not involve introduction or utilization of any invasive alien species of flora and fauna
1.11 handling or utilization of genetically modified organisms?	N	The project will not handle or utilize genetically modified organisms

1.12 collection and utilization of genetic resources?	N	The project will not collect or utilize genetic resources
<b>Safeguard Standard 2: Climate Change and Disaster Risks</b>		
<i>Would the project potentially involve or lead to:</i>		
2.1 improving resilience against potential climate change impact beyond the project intervention period?	N	The project will not improve resilience against potential climate change impact beyond the project intervention period
2.2 areas that are now or are projected to be subject to natural hazards such as extreme temperatures, earthquakes, extreme precipitation and flooding, landslides, droughts, severe winds, sea level rise, storm surges, tsunamis or volcanic eruptions in the next 30 years?	N	The project will not involve areas that are now or are projected to be subject to natural hazards. However floodings in Cote d'Ivoire are becoming more and more frequent due to climate change, a fact that the project will take into account when selecting project intervention sites.
2.3 outputs and outcomes sensitive or vulnerable to potential impacts of climate change (e.g. changes in precipitation, temperature, salinity, extreme events)?	N	The project will not lead to outputs and outcomes sensitive or vulnerable to potential impacts of climate change
2.4 local communities vulnerable to the impacts of climate change and disaster risks (e.g. considering level of exposure and adaptive capacity)?	N	The project will not involve local communities vulnerable to the impact of climate change and disaster risks

2.5	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	N	The project will not increase GHG emissions
2.6	Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	N	The project will not involve carbon sequestration and reduction of GHG emissions
<b>Safeguard Standard 3: Pollution Prevention and Resource Efficiency</b>			
<i>Would the project potentially involve or lead to:</i>			
3.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or <u>transboundary impacts</u> ?	N	The project will not release any pollutants to the environment, it is actually trying revert that by preventing further releases of mercury into the environment
3.2	the generation of waste (both hazardous and non-hazardous)?	Y	The project will aim to reduce the use of mercury wastes and improve the efficiency of the gold mining processes, hence reducing the amount of tailings, wastes, etc.
3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	Y	The project will aim to reduce the uses and releases of mercury through ASGM at the national level
3.4	the use of chemicals or materials subject to international bans or phase-outs? (e.g. DDT, PCBs and other chemicals listed in international conventions such as the <a href="#">Montreal Protocol</a> , <a href="#">Minamata Convention</a> , <a href="#">Basel Convention</a> , <a href="#">Rotterdam Convention</a> , <a href="#">Stockholm Convention</a> )	N	The Minamata Convention Article 7 includes the reduction of mercury use in the ASGM sector. This project is aligned with the above.

3.5 the application of pesticides or fertilizers that may have a negative effect on the environment (including non-target species) or human health?	N	The project will not involve application of pesticides or fertilizers
3.6 significant consumption of energy, water, or other material inputs?	N	The project will not have significant consumption of energy, water, or other material inputs
<b>Safeguard Standard 4: Community Health, Safety and Security</b>		
<i>Would the project potentially involve or lead to:</i>		
4.1 the design, construction, operation and/or decommissioning of structural elements such as new buildings or structures (including those accessed by the public)?	N	The project will not involve the design, construction, operations and /or decommissioning of structure elements
4.2 air pollution, noise, vibration, traffic, physical hazards, water runoff?	N	The project will not lead to air pollution, noise, vibration, traffic, physical hazards nor water runoff
4.3 exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?	Y	The project will not lead to exposure of water borne or other vector borne diseases. However, the influx of workers from other neighbouring countries might pose a risk.
4.4 adverse impacts on natural resources and/or ecosystem services relevant to the communities? health and safety (e.g. food, surface water purification, natural buffers from flooding)?	N	The project will not have adverse impacts on natural resources

4.5 transport, storage use and/or disposal of hazardous or dangerous materials (e.g. fuel, explosives, other chemicals that may cause an emergency event)?	N	The project will not involve transport, storage use and or disposal of hazardous or dangerous materials.
4.6 engagement of security personnel to support project activities (e.g. protection of property or personnel, patrolling of protected areas)?	N	The project will not engage security personnel.
4.7 an influx of workers to the project area or security personnel (e.g. police, military, other)?	Maybe	The ASGM workforce usually tends to move between different mining areas following the profitability of the mining sites. However, the project doesn't seek to attract any influx of workers to the targeted areas.
<b>Safeguard Standard 5: Cultural Heritage</b>		
<i>Would the project potentially involve or lead to:</i>	Y	Y
5.1 activities adjacent to or within a Cultural Heritage site?	N	The project is not involved with cultural heritage sites
5.2 adverse impacts to sites, structures or objects with historical, cultural, artistic, traditional or religious values or to intangible forms of cultural heritage (e.g. knowledge, innovations, practices)?	N	The project does not have adverse impacts to sites, structures or objects with historical, cultural, artistic, traditional or religious values
5.3 utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?	N	The project does not utilize cultural heritage or commercial or other purposes

5.4 alterations to landscapes and natural features with cultural significance?	N	The project does not alter landscapes and natural features with cultural significance
5.5 significant land clearing, demolitions, excavations, flooding?	N	The project does not lead to significant land clearing, demolitions, excavations, flooding
<b>5.6 identification and protection of cultural heritage sites or intangible forms of cultural heritage</b>		
<b>Safeguard Standard 6: Displacement and Involuntary Resettlement</b>		
<i>Would the project potentially involve or lead to:</i>		
6.1 full or partial physical displacement or relocation of people (whether temporary or permanent)?	N	The project does not involve physical displacement or relocation of people
6.2 economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?	N	The project does not lead to economic displacement
6.2 involuntary restrictions on land/water use that deny a community the use of resources to which they have traditional or recognizable use rights?	N	The project will not lead to involuntary restrictions on land/water use
6.3 risk of forced evictions?	N	The project will have no risk of forced evictions
6.4 changes in land tenure arrangements, including communal and/or customary/traditional land tenure patterns (including temporary/permanent loss of land)?	N	The project will not lead to change in land tenure arrangements
<b>Safeguard Standard 7: Indigenous Peoples</b>		
<i>Would the project potentially involve or lead to:</i>		
7.1 areas where indigenous peoples are present or uncontacted or isolated indigenous peoples inhabit or where it is believed these peoples may inhabit?	N	The project does not target any region where indigenous people are present



7.2 activities located on lands and territories claimed by indigenous peoples?	N	The project will not involve activities located on lands and territories claimed by indigenous people
7.3 impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	N	The project will not involve indigenous people
7.4 the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	The project will not involve indigenous people
7.5 adverse effects on the development priorities, decision making mechanisms, and forms of self-government of indigenous peoples as defined by them?	N	The project will not involve indigenous people
7.6 risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	The project will not involve indigenous people
7.7 impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N	The project will not involve indigenous people
<b>Safeguard Standard 8: Labor and working conditions</b>		
8.1 Will the proposed project involve hiring or contracting project staff ?	Y	The project will hire many national and international experts for the execution of the project
<i>If the answer to 8.1 is yes, would the project potentially involve or lead to:</i>		
8.2 working conditions that do not meet national labour laws or international commitments (e.g. ILO conventions)?	N	The project will provide working conditions that meet national and international labor laws

8.3 the use of forced labor and child labor?	N	The project will not involve forced labor nor child labor. Unfortunately, there are also a significant number of children that can be found working in artisanal and small-scale gold mines in a variety of direct and indirect roles, hence, the project will ensure that due diligence is applied
8.4 occupational health and safety risks (including violence and harassment)?	N	The project will not have any occupational health and safety risks
8.5 the increase of local or regional unemployment?	N	The project will not increase local or regional unemployment
8.6 suppliers of goods and services who may have high risk of significant safety issues related to their own workers?	N	The suppliers and services providers to the project will not have high risk of significant safety issues related to their own workers
8.7 unequal working opportunities and conditions for women and men	N	The project will not lead to unequal working opportunities and conditions for women and men

**Supporting Documents**

Upload available ESS supporting documents.

**Title**

**Module**

**Submitted**

Title	Module	Submitted
<b>Appendix 8b - Covid 19 Questionnaire</b>	<b>CEO Endorsement ESS</b>	
<b>10845 - Appendix 8a - SRIF</b>	<b>CEO Endorsement ESS</b>	

**ANNEX A: PROJECT RESULTS FRAMEWORK (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).**

**Annex A: Project Logical Framework**

Project: Global Opportunities for Long-term Development of Artisanal and small-scale Gold Mining (ASGM) Sector Plus Cote d'Ivoire - GEF GOLD + Cote d'Ivoire							
Project Objective	Objective level Indicators	Unit	Baseline	Mid-Point Target	End-Point Target	Means of Verification	Assumptions (A) & Risks (R)
<b>To reduce the use of mercury in the ASGM sector in Cote d'Ivoire through a holistic, multisectoral, integrated formalization approach, and increase access to traceable gold supply chains and finance for adoption of sustainable mercury free technologies.</b>	Quantity of mercury reduced and avoided locally at participating mine sites, and nationally by replication (GEF Core Indicator 9.2) Impact Class 1	<i>(t/year)</i>	TBD during Baseline	0,46 T	1,53 T at the end of the project 4,59 T through replication factor 10 years Total: 6,12 T	Country level reporting Processing plant records	? (R) Change in the political and economic situation during the lifetime of the program impacts its implementation
	Quantity of gold produced fulfilling planetGOLD environment and social criteria	<i>kg</i>	0	7,2 kg	34,2 kg	Country level reporting Processing plant records	? (R) Avoided mercury volumes from targeted areas could be displaced to neighbouring areas as mercury traders would like to compensate for losses

Component 1: Formalization Optimization							
Outcome 1	Outcome Indicators	Unit	Baseline	Mid-Point Target	End-Point Target	Means of Verification	Assumptions & Risks
<b>Outcome 1: Government and other national stakeholders increased their capacity to formalize the</b>	Number of prefectures sustainably adopting JA (Chemicals and Health Branch Impact Class 4)	<i>?Number (#)</i>	0	0	1	- Workshop and meeting reports - Official government publications	? (A) National, regional and department governments work cohesively, ensure transfer of knowledge and utilize capacity to

ASGM sector.	# of ASGM cooperatives created/ capacitated (where coop status is already secured) from students graduated from assisted vocational schools (Chemicals and Health Branch Indicator 10.1)	Number (#)	0	0	2	- MoU with Ministry of Mines and Schools	facilitate development of formalization strategies.  ? (A) Vocational schools ( <i>Chantiers ?coles</i> ) remain the privileged strategy of Ivorian government to educate ASM miners and
	# of regional vocational schools ( <i>chantiers ?coles</i> ) with which sensitization programme contents was shared (Chemicals and Health Branch Indicator 10.1)	Number (#)	0	1	12	- MoU with Ministry of Mines and Schools	promote formalization

Component Outputs	Output Indicators	Unit	Baseline	Mid-Point Target	End-Point Target	Means of Verification	Assumptions & Risks
Output 1.1 <b>Analysis of formalization framework in Cote d'Ivoire completed and shared with stakeholders</b>	Number of consultations sessions held with Ivorian government representatives to outline the provisions to be incorporated into the various legislative texts to be adopted and/or improved (Chemicals and Health Branch Output Indicator 10.3)	(#)	0	5	5	- Workshop and meeting reports - Final deliverable approved by stakeholders - Participant lists	? (A) Ivorian government is willing and able to provide adequate support services to update the regulations and create the guide.

	Number of ASGM formalization framework analysis created (Chemicals and Health Branch Output Indicator 4.1)	(#)	0	1	1		
Output 1.2 <b>Support provided to mining vocational training schools (chantiers ?coles) to roll-out programmes in alignment with the government's ASGM formalization strategy</b>	Number of regional vocational schools ( <i>chantiers ?coles</i> ) actively supported (Chemicals and Health Branch Indicator 10.1)	(#)	0	2	2	Participants List MoU between Executive Agency and Vocational School Final deliverable approved by stakeholders	(R) Some stigma related to women's empowerment in ASGM continue to hinder the role and engagement of women in the sector
	Number of enrolled students reached with sensitization and training (Chemicals and Health Branch Indicator 10.1)	(# of women/men)	0	50 (of which at least 30% are women)	150 (of which at least 30% are women)		
	Number of graduated students reached for authorization permits (Chemicals and Health Branch Indicator 10.1)	(# of women/men)	0	0	15 (10 men, 5 women)		
	Number of sensitization tools developed/adapted (Chemicals and Health Branch Indicator 9.1)	(#)	0	3	6		
Output 1.3 <b>Lessons learned from piloting the jurisdictional approach are available to inform government policy related to ASM/LSM</b>	Nb of knowledge products produced on JA/LA to strengthen formalization in ASGM sector (Chemicals and Health Branch Output Indicator 4.1)	(#)	0	0	1	- Final deliverable approved by stakeholders - Participant lists	(A) Ivorian government open to innovative governance approaches.
	Nb of relevant stakeholders participating in multi-stakeholder group for JA (Chemicals and Health Branch Output Indicator 10.1)	(# of women/men)	0	n.d.	20 (10 men, 10 women)		

Component 2: Financial Inclusion and Responsible Supply Chains							
Outcome 2	Outcome Indicators	Unit	Baseline	Mid-Point Target	End-Point Target	Means of Verification	Assumptions and Risks
<b>Outcome2: Increased access to financing for C?te d'Ivoire mining cooperatives.</b>	Number of inventory financing providers confirmed (Chemicals and Health Branch Impact Class 12)	(#)	0	0	1	- Relevant commercial documentation (contract) -Transaction records sales	? (R) Financial sector actors are not able to overcome (perceived and real) barriers to providing finance.
	Number of financial actors having engaged discussion with early nascent coops for providing access to finance (Chemicals and Health Branch Impact Class 12)	(#)	0	0	1		
Component 2 outputs	Output Indicators	Unit	Baseline	Mid-point Target	End-point Target	Means of Verification	Assumptions and Risks
Output 2.1 <b>Opportunities and challenges for ASGM access to finance in Cote d'Ivoire are better documented and shared</b>	Mapping of existing financial structures and solutions for ASGM actors completed (Chemicals and Health Branch Output Indicator 12.2)	(#)	0	1	1	- Surveys and interview - Sector report	(A) Private Sector considers ASGM an investment opportunity with managed risks
	Number of financial actors engaged with over the course of the project (Chemicals and Health Branch Output Indicator 10.1)	(#) of organisations / companies	0	5	10		
Output 2.2. <b>Support Nascent/early stage cooperatives to improve ?credit profile? for accessing</b>	Number of ASGM groups/cooperatives supported to improve their governance and management capacity (Chemicals and Health Branch Output Indicator 12.3)	(#)	0	1	2	- Workshop reports	(A) ASGM operations/governance structure mature enough to host new measures  (A) Graduated students willing to found an ASGM operation/cooperative

<b>finance (investment)</b>	Number of meetings facilitated between ASGM coops and financial actors (Chemicals and Health Branch Output Indicator 11.3)	(#)	0	5	10	- Meetings reports - Participant lists	
<b>Support ASGM cooperatives to engage with international market actors</b>	Number of meetings facilitated between ASGM coops and providers of inventory financing (Chemicals and Health Branch Output Indicator 11.3)	(#)	0	2	4	- Meetings reports	(A) Miners are willing to access formal finance and use funds to transition to mercury free processes.

<b>Component 3: Enhancing uptake of Mercury-free technologies</b>							
<b>Outcome 3</b>	<b>Outcome Indicators</b>	<b>Unit</b>	<b>Baseline</b>	<b>Mid-point Target</b>	<b>End-point Target</b>	<b>Means of Verification</b>	<b>Assumptions &amp; Risks</b>
<b>Outcome 3: Miners in Cote d'Ivoire adopted mercury-free technologies</b>	Number of miners in targeted ASGM associations adopted mercury-free technologies via the project (Chemicals and Health Branch Impact Class 3)	(# of women/men)	69 (57 men, 12 women)	TBD	2054 (of which at least 30% are women)	- progress reports - planetGOLD compliance assessment - Knowledge assesment reports - Miner survey	? (A) Miners endorse the conversion to mercury-free gold processing methods. ? (A) Efficient and lucrative alternative mercury-free gold processing techniques are available and appropriate for ASM miners ? (A) Mercury suppliers (informal gold traders) are willing to engage with formal financial markets
	# of targeted ASGM associations that have implemented the planetGOLD environmental and social standard (Chemicals and Health Branch Impact Class 3)	(#)	0	0	1		
	% increase in awareness of mercury risks amongst miners (Chemicals and Health Branch Impact Class 3)	?(%)	TBD (Baseline)	30%	50%		



Component 3 outputs	Output Indicators	Unit	Baseline	Mid-point Target	End-point Target	Means of Verification	Assumptions & Risks
Output 3.1 <b>ASGM miners and communities are sensitized on the health and environmental risks of mercury usage</b>	Number of sensitization tools deployed (Chemicals and Health Branch Output Indicator 2.2)	(#)	0	3	6	<ul style="list-style-type: none"> <li>- Assessment report</li> <li>- Final sensitization tools</li> <li>- Finalized curricula and training materials</li> <li>- Participant lists</li> <li>- Participant lists</li> </ul>	- (R) Varying levels of education and literacy amongst mineworkers causing differences in the ability to enhance knowledge and capacity
	Number of radio spots broadcasted (Chemicals and Health Branch Output Indicator 8.3)	(#)	0	150	900		
	Number of people sensitized on health and environmental risks during in-person trainings (Chemicals and Health Branch Output Indicator 10.1)	(# of women/men)	0	0	60 (40 men, 20 women)		
Output 3.2 <b>ASGM miners and communities are capacitated to use mercury-free technologies</b>	Number of training modules on mercury-free equipment created (Chemicals and Health Branch Output Indicator 4.1)	(#)	0	2	2	- Training modules	? (R) ASGM associations and miners don't perceive value in meeting planetGOLD standards
	Number of students ( <i>chantiers d'coles</i> ) benefitting from mine site visits (Chemicals and Health Branch Output Indicator 10.1)	(# of women/men)	0		30 (20 men, 10 women)	<ul style="list-style-type: none"> <li>- Training reports</li> <li>- Progress reports</li> </ul>	(R) Better practices are adopted during the project and then abandoned by miner groups once the project support stops.

Component 3 outputs	Output Indicators	Unit	Baseline	Mid-point Target	End-point Target	Means of Verification	Assumptions & Risks
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Output 3.1 <b>ASGM miners and communities are sensitized on the health and environmental risks of mercury usage</b>	Number of sensitization tools deployed (Chemicals and Health Branch Output Indicator 2.2)	(#)	0	3	6	- Assessment report - Final sensitization tools - Finalized curricula and training materials - Participant lists - Participant lists	- (R) Varying levels of education and literacy amongst mineworkers causing differences in the ability to enhance knowledge and capacity
	Number of radio spots broadcasted (Chemicals and Health Branch Output Indicator 8.3)	(#)	0	150	900		
	Number of people sensitized on health and environmental risks during in-person trainings (Chemicals and Health Branch Output Indicator 10.1)	(# of women/men)	0	0	60 (40 men, 20 women)		
Output 3.2 <b>ASGM miners and communities are capacitated to use mercury-free technologies</b>	Number of training modules on mercury-free equipment created (Chemicals and Health Branch Output Indicator 4.1)	(#)	0	2	2	- Training modules	? (R) ASGM associations and miners don't perceive value in meeting planetGOLD standards
	Number of students ( <i>chantiers d'coles</i> ) benefitting from mine site visits (Chemicals and Health Branch Output Indicator 10.1)	(# of women/men)	0		30 (20 men, 10 women)	- Training reports - Progress reports	(R) Better practices are adopted during the project and then abandoned by miner groups once the project support stops.

Component 4: Knowledge sharing, communication and local capacity building support							
Outcome 4	Outcome Indicators	Unit	Baseline	Mid-point target	End-point target	Means of Verification	Assumptions & Risks
<b>Outcome 4: Knowledge and information produced through the project leads</b>	# of beneficiaries changing their practices as a result of improved awareness (Chemicals and Health Branch Impact Class 8)	(# of women/men)	0	n.d.	2054 (of which 30% are women)	- Distribution list of IEC materials - Communication strategy/plan - Knowledge	A) Interest by the ASGM stakeholders at the local, national, and international levels remain

to better management of the ASGM sector in Cote d'Ivoire.	# of beneficiaries accessing published/available knowledge generated from components 1,2, and 3 (Chemicals and Health Branch Output Indicator 10.1)	(# of women/men)	0	n.d.	700 (350 men, 350 women)	assessment results - Surveys and interviews	high. (R) Lack of political will to communicate continued commitment
<b>Component 4 outputs</b>	<b>Output Indicators</b>	<b>Unit</b>	<b>Baseline</b>	<b>Mid-point target</b>	<b>End-point target</b>	<b>Means of Verification</b>	<b>Assumptions &amp; Risks</b>
Output 4.1. Knowledge products and tools developed through the project are made available nationally to all planetGOLD project stakeholders in Cote d'Ivoire	# of communications materials produced and disseminated that follow planetGOLD branding, style guide and messaging guide (Chemicals and Health Branch Output Indicator 8.2)	(#)	0	3	6	- Communication strategy/plan - IEC Materials developed	
	# of Ivorian project institutional/corporate stakeholders reached with information, education, and communication (IEC) materials (Chemicals and Health Branch Output Indicator 10.1)	(# of orgs./institutions/companies)	0	15	30	- Distribution list of IEC materials - Communication strategy/plan	
	# blogs, news articles, events, photo essays, videos, etc. published on planetgold.org or on other planetGOLD digital communication platforms (Chemicals and Health Branch Output Indicator 9.3)	(#)	0	5	10	- Website - Distribution list of IEC materials	
	# staff participating in global comms network activities (Chemicals and Health Branch Output Indicator 10.1)	(# of women/men)	0	1	1	- Participant lists - Workshop reports	
Output 4.2 Knowledge products and tools developed through the project are available	# of project representatives participate in each planetGOLD global forum and annual programme meeting (Chemicals and Health Branch Output Indicator 10.1)	(# of women/men)	0	2	2	- Participant lists - Workshop reports	

<b>globally through the planetGOLD programme</b>	# of project experts that participate in regular (~quarterly) knowledge exchange meetings to share relevant approaches and information with other country projects (Chemicals and Health Branch Output Indicator 10.1)	(# of women/men)	0	3	3	- Workshop reports	
	# of knowledge products produced and disseminated (in relation to components 1, 2 and 3) (Chemicals and Health Branch Output Indicator 10.1)	(#)	0	n.d.	3		

**ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).**

USA		
Project (Country)	Comment	Agency Response
Suriname	Within the Suriname child project, we would like clarity on the significant discrepancy between the cited amount of total annual mercury release from ASGM (0.086 MT) and the project target of reducing Hg use by 6 MT over 4 years.	Please see UNDP Appendix

Suriname	Also, in Suriname project, in the next iteration of the child project we would like to see coordination with the U.S. Department of State project also working on ASGM and mercury-free technologies.	Please see UNDP Appendix
Republic of Congo	Within the Republic of Congo child project, the executing agency is the Basel Convention Regional Center in Dakar, Senegal, justified by its expertise in implementation of chemical conventions. We are concerned that the proposed executing agency is not in-country, and additionally has very little experience with Minamata Convention nor with ASGM, or with biodiversity, the other focus of this program. We would like to understand better the choice of this executing agency, and what alternatives exist.	After consultation with the National Counterparts, The Republic of Congo child project will be executed by the Centre Africain pour la Sante Environnementale (CASE) based in Abidjan, Cote d'Ivoire. CASE will set up an office in Brazzaville. CASE has the required expertise and experience as it is already an executing agency for UNEP on ASGM project and it has supported the development of the NAP in the Republic of Congo (contracted by the executing agency).

<p>Nigeria a</p>	<p>Within the Nigeria child project, the executing agency is also the Basel Convention Coordination Center for Africa Region. While they are at least based in Nigeria, we have similar concerns as above about their suitability for these issues, including if they have the contacts or substantive understanding of the ASGM sector to effectively manage the projects. We understand the EU is supporting an effort across Africa to build capacity in the small-scale mining sectors, especially of the geological survey agencies. This may be a more effective way to make progress on mercury in ASGM.</p>	<p>The comment is acknowledged, and the team would like to clarify that the execution arrangements involving the Basel Convention Coordination Center for Africa Region (BCCC-Nigeria) considered and endorsed at the concept stage were discussed during the project preparatory phase.</p> <p>The project decision-making committee (incl. relevant Ministries, private sector stakeholders, representatives of the mining sector and UNIDO) concluded during the preparatory phase that a combination involving national executing partners (Federal Ministry of Environmental FMENV and Federal Ministry of Mines and Steel Development FMMSD) and the BCCC-Nigeria would be the most appropriate approach.</p> <p>The BCCC-Nigeria will be involved as a co-executing partner in particular regarding their specific international experience on jurisdictional approaches.</p> <p>The proposed institutional and execution arrangements are explained in the CEO Endorsement Document.</p>
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Mada gascar	Within the Madagascar child project, the project includes \$2 million of recurring expenses from the MEDD. It is our understanding that their budget has recently been significantly downsized, and we would request confirmation of this support in the next iteration of project development.	The MEDD has confirmed \$3 million co-financing contribution for the GOLD+ Madagascar project.
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<p>Mada gascar</p>	<p>Also, within the Madagascar child project, we would like further information in the next iteration of the project on the justification for selecting GIZ as a basis to build on. They are mentioned as an 'excellent basis for the proposed GOLD+ Madagascar project to build on?', since GIZ has a very small-scale mining component under their Programme d'Appui à la Gestion de l'Environnement or PAGE Programme. However, we understand that GIZ does not cover all the areas that will be covered by this project and have a distinct domain of expertise and experience than this project, namely in fair-trade affiliated very small-scale mining.</p>	<p>At the time of project submission, the PAGE Programme delivered outputs that have systemic importance for the GOLD+ Madagascar Project: a) Support to the Ministry of Mines and Strategic Resources? five-year sustainable development strategy for the ASGM sector (SDDEMAPE); b) Roadmap for responsible ASGM in Madagascar, including an action plan for the professionalization of artisanal miners through the implementation of a 'Fairmined Malagasy' certification and traceability system; and c) Introduction of practices that could lead to Fairtrade certification in ASGM pilot sites.</p> <p>While the GOLD+ Madagascar project has a broader scope, the SDEEMAPE strategy and ASGM roadmap have been included in the project design.</p> <p>During the GOLD+ Madagascar inception phase, the project team will explore whether the activities carried out by the PAGE programme can be replicated and/or scale up across the GOLD+ Project sites.</p>
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<p>Madagascar</p>	<p>We look forward to greater clarity on CSO involvement in the next iteration. This will also be critical, given ongoing efforts at mining code reform in Madagascar. CSOs were very active during the government's efforts to reform the mining code at the end of 2019. Related, are there planned contributions from this project to ongoing efforts for mining code reform, and/or considerations for the potential implications of reform for the implementation of this project?</p>	<p>CSOs will be involved in the following areas: a) improvement of gold supply chain; b) waste management in ASGM sites; c) advocacy and awareness raising on the extractive sector in Madagascar and health and environmental risks related to the use of mercury; d) development of skills at the national level; e) development and implementation of education strategy for ASG miners; and f) awareness raising on good governance of natural resources.</p> <p>The GOLD+ Madagascar project, under its component 1, will work jointly with national authorities and ASGM stakeholders to identify gaps and opportunities across policy and regulatory framework (incl. the Mining Code). Where appropriate, the Project will provide technical support to strengthen legislative and capacity gaps in relation to formalization.</p>
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Mada gascar	Finally, in the next proposal iteration, we would like to better understand the relationship between the proposed activities and the MECIE (Mise en Compatibilit? des Investissements avec l'Environnement) . We understand that the proposed activities are subject to environmental impact study and approval of an environmental commitment program, subject to this decree, but did not see this referenced within the project documents.	The project has allocated funds in the budget plan and developed the ToR to carry out an Environmental and Social Impact Assessment (ESIA) of the proposed activities in the selected mining sites as required by the Mining Code No. 99-022 of 19 August 1999 and as amended by Law No. 2005-021 of 17 October 2005.
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<p>Congo &amp; Uganda</p>	<p>The child projects for Congo and Uganda should coordinate with current gold formalization and supply chain efforts by the International Conference on the Great Lakes Region (ICGLR), of which both Uganda and Congo are members.</p> <p><a href="http://www.icglr-rinr.org/index.php/en/">http://www.icglr-rinr.org/index.php/en/</a>. The ICGLR was also instrumental in the establishment of the OECD Due Diligence Guidance, which is a key supply chain component for this program. Up to this point, there has not been much focus on mercury in the PPA, mostly due to lack of funding for the specific issue. We strongly encourage coordination with this strong Partnership working on ASGM in this region of Africa, and further encourage coordination with USG partners (State, USAID, DOL) that fund and participate in a Public-Private Alliance (PPA) for Responsible Minerals Trade in the ICGLR.</p>	<p>In Uganda, the Executing Agency has a strong relationship with and significant work experience with the ICGLR. IMPACT has been a technical partner to the ICGLR for a decade. IMPACT is also a member of the PPA, and a staff member of IMPACT (who will be a team member of the project) is currently a member of the Governance Committee of the PPA. This offers an excellent opportunity to support the Ugandan government and other stakeholders in the project to create greater linkages with these various initiatives and bodies (note that the Ugandan government has already been active in both the ICGLR and the OECD through the Ministry of Mines (notably DGSM)</p> <p>In the Republic of Congo, the Ministry of Environment as chair of the project's steering committee will ensure that the development of the project benefits and shares synergies from the ICGLR experiences, not only in the field of ASGM formalization but also in terms for forest resources management as it has been identified as feature of importance in the Congo child project. Links with the Congo Basin Programme have also been established.</p> <p>Finally, OECD is a strong partner and co-financer of the global project of planetGOLD.</p>
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<p>Global 1</p>	<p>Overall, for Program component 6, Global coordination, knowledge management and outreach, there seems to be a lack of focus on the private sector gold buyers and users. Large companies (refiners, jewelers, electronics) can benefit from GOLD+ data and other insights as they increase implementation of gold sourcing due diligence programs. If this program can better consider and be sensitive to ongoing private sector due diligence policies and programs, then the program's sustainability can be greatly amplified. Eventually, funding for these types of projects, and demand for responsible mercury free gold, will come from the downstream supply chain.</p>	<p>Refiners and jewelers are active members of the Programme Advisory Group of the current planetGOLD which will be continued under GOLD+. Private sector has been fully involved in the development of the planetGOLD criteria.</p>
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<p>Globa l</p>	<p>A related supply chain concern is that in our view, the current program potentially hides supply chain issues under the ?lack of access to finance? heading. While they are related, lack of access to finance is not completely a supply chain question, and vice versa. Critical supply chain issues that should be considered include transparency, customs and trade, consumer demand (how do we mainstream responsible gold for the final consumer), responsible production, and coordination with company due diligence measures (OECD DDG). To couple these supply chain issues with another large issue like access to finance dilutes the importance of both of these barriers.</p>	<p>The comment is duly noted and will be taken into consideration where applicable.</p>
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<p>Madagascar</p>	<p>In Madagascar, apart from the BMZ/GIZ PAGE project already mentioned further synergies could be generated with the ProD?CID project. The ProD?CID project works on anti-corruption at national scale as well as on community development (community service, finance and local economic development) in the regions Analamanga, Boeny and DIANA in Madagascar. GER therefore kindly asks to consult the PAGE and the ProD?CID project during the further project preparation phase.</p>	<p>The ProD?CID project has been identified as a potential partner for piloting jurisdictional approaches within the Malagasy ASGM sector. During the inception phase, ProD?CID staff (national and DIANA-based) will be involved.</p> <p>BMZ/GIZ PAGE project staff and other relevant stakeholders (Focal Point, Gender Officer and Head of DIANA) were consulted during the project preparatory phase and will be involved in the implementation phase as well.</p> <p>Formal collaboration agreements with both initiatives will be explored, and synergies between the GOLD+ Project and the activities planned under both ProD?CID and PAGE Phase 2 will be pursued.</p>
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Mada gascar	<p>In addition, the project proposal points out on page 9 that there is a Co-Finance/ grant investment of 8,631,495 USD from GIZ?s PAGE project. This information is incorrect. GIZ PAGE is not a donor of the upcoming project, but the implementing agency. Therefore, GER kindly asks to list the Federal German Ministry for Economic Cooperation and Development (BMZ) as the donor agency with the GIZ as the implementing agency.</p>	<p>The comment is duly noted, and changes will be done where applicable.</p>
Hond uras	<p>In Honduras, the German Civil Peace Service (CPS) works on environmental conflicts and might be a relevant stakeholder/partner for cooperation.</p>	<p>Please see UNDP Appendix</p>
Ugand a	<p>In Uganda, the BMZ/GIZ project Responsible Fisheries Business Chains Project (RFBC) is interested in cooperating around the issue of tracing mercury in fish in Lake Victoria.</p>	<p>Outreach with BMZ/GIZ will be carried out to identify potential synergies and opportunities for collaboration. The Executing Agency has already engaged representatives from GIZ who are responsible for supporting the ICGLR to share information about the project and will broaden this engagement to those involved in the RFBC.</p>

Global	To include the international multi-stakeholder working group on Women and Mining ( <a href="http://www.womenandmining.org">www.womenandmining.org</a> ) as a global knowledge-sharing partner on gender aspects of the proposal.	Noted and included.
Global	Education institutions appear in the Sources of Co-financing but are not specifically mentioned as stakeholders. Please include them.	Noted and updated.



<p>Global 1</p>	<p>Monitor the outcome additional environmental parameters could be added such as monitoring the mercury concentrations in fish and/or along the food chain in the affected areas. The evaluation of the GEF GOLD program has noted that other issues (apart from mercury pollution) caused by ASGM (e.g. deforestation, harmful replacement technologies, child labour, indigenous peoples rights) could have been better addressed. While they cannot be accurately assessed before sites have been selected, Germany asks the project to fully consider these risks and to ensure co-benefits once possible.</p>	<p>The comment is duly noted, and changes will be made where applicable. All country level projects have been instructed to analyze co-benefits. Please see individual country level comments for details.</p>
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<p>Globa l</p>	<p>According to the evaluation of the GEF GOLD program the reduction of mercury use after project completion varies significantly in different project regions. In light of these results, Germany appreciates further clarification on whether the application of a uniform replication factor for all countries is appropriate. In the current proposal the replication factor after project completion is 3. The final project proposal should state how obstacles for replication identified in the evaluation (e.g. lack of government enforcement of mercury bans, lack of training and lack of availability of replacement parts for nonmercury technology) will be tackled by the project.</p>	<p>Since each country has their own reduction target, in-country replication through component 4 and continuation/replication of project interventions at project sites would lead to doubling of the target. Furthermore, dissemination to neighboring countries and global knowledge sharing efforts through the global project would lead to another level of reduction equivalent to the original target. Therefore, in sum, the programme target is 3 times the country's specific reduction target.</p>
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Global	<p>We welcome this program, but it is unclear to us, how the lessons learned from the GEF GOLD Program were included in the design of the GEF GOLD+ Program. Institutional Learning is key to us, so could you clarify how this program builds on the lessons learnt on ASGM in particular from the GEF GOLD Program so far?</p>	<p>The GEF GOLD agencies have been fully involved in the development of the CEO endorsement document.</p>
Global	<p>Page 16, Para 41: It is estimated that nearly 100% of all mercury used in ASGM is released into the environment (Global Mercury Project, UNIDO 2007). Is there no more recent literature you could quote for this?</p>	<p>It is estimated that nearly 100% of all mercury used in ASGM is emitted to the atmosphere (UNEP Global Mercury Assessment, Technical Report, 2018). <a href="https://www.mercuryconvention.org/sites/default/files/2021-06/gma_tech.pdf">https://www.mercuryconvention.org/sites/default/files/2021-06/gma_tech.pdf</a></p>

Global 1	Page 17, Para 44: the access to finance for the transition to mercury free practices in the ASGM sector is a key challenge in particular in the informal sector, but it is unclear to us how GEF GOLD+ will tackle this challenge after the GEF GOLD program has already addressed this challenge and was not fully successful.	Comment is duly noted. Please see country level ProDocs for details on country specific financial mechanisms.
Global 1	Component 2: Please further clarify more specifically which concrete measures will be taken to include responsible supply chains and traceability in the program, since we consider them as key.	PlanetGOLD criteria was designed to guide traceability and supply chain criteria for the program. The criteria can be found here: <a href="https://www.planetgold.org/sites/default/files/planetGOLD_Criteria_for_Environmentally_and_Socially_Responsible_Operations_Feb21.pdf">https://www.planetgold.org/sites/default/files/planetGOLD_Criteria_for_Environmentally_and_Socially_Responsible_Operations_Feb21.pdf</a>

Global 1	<p>Please further elaborate how you will ensure the sustainability of the program. The information contained is very limited. Please e.g. add an element on institutional strengthening, since we consider this to be crucial for the sustainability of the program. Governments often do not issue any regulation for ASGM or issue last minute regulations which often leads to an even larger illegal / informal ASGM sector. Institutional intermediary steps and well thought through policies are key for the long-term success.</p>	<p>Program level contributions will be sustained via the planetGOLD platform/ knoweldegehub that will be active even after project completion. Additional details can be found in the ProDoc. Government regulations will vary by country. Please see country level ProDocs for details.</p>
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Global 1	Could you clarify what will happen with the mercury still in use at this stage and the various mercury waste stocks in the ASGM areas of the recipient countries of the program? Where will the mercury waste be treated and by whom? Who will transport it? The treatment of the waste is key to ensure that the mercury intake to the environment will be avoided / limited as much as possible.	The comment is duly noted. Please reference individual country ProDocs for details regarding in country mercury protocols.
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Global 1	<p>Section B of the PIF indicates that the project will have six components. However, Section 3 of the PIF (the proposed alternative scenario) only presents four components. The components on "monitoring and evaluation of country-level child projects" and that on "global coordination, knowledge management, and outreach" are not described. These are essential parts of the project and should be fully presented.</p>	<p>To clarify, the country level child projects have 4 components, while the Global child project has 2, totaling 6 components. The Global child project will focus on global coordination and knowledge management. Each country level project has reporting requirements at the global level as well as individual M&amp;E resources for the respective projects.</p>
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Global 1	<p>The project will adopt the jurisdictional approach (JA) as a framework for structuring interventions. The second paragraph on page 28, however, highlights some of the challenges associated with the JA, including unrealistic expectations, political turnover, limited public sector capacity, and lack of broader support and incentives. Yet, the PIF is silent on how the project will overcome these challenges to ensure success. STAP recommends that this should be done.</p>	<p>This comment is duly noted and additional information regarding how the JA approach will be piloted is included in the ProDoc. Through the jurisdictional approach, the market- and policy-based interventions could be bridged for greater impact on the ground. This includes encouraging governments, businesses, local communities, and NGOs to work together towards common goals, such as improving local livelihood, eliminating mercury and maintaining natural ecosystems through coordinated strategies across the sector. By involving and educating all the relevant actors across the ASGM landscape, the efforts to improve the perception of the ASGM sector, including raising awareness about the challenges and opportunities the miners are facing, can be magnified.</p>
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Global 1	<p>Component 4 will support capacity building, knowledge sharing, and communication, including "using online education and digital marketing tools to support the traditional participatory workshop and training model to help institutionalize sustainable mining methods at the community level." It is, however, unclear how online education and digital marketing tools will be used given the remoteness of ASGM operations. Does this project intend to provide digital access to ASGM miners? The details of how this component will be achieved need to be elaborated.</p>	<p>Component 4 is a country level project component. Please see country level project ProDoc for details.</p>
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Further clarification is needed on replication estimates of the global environmental benefits. A reduction of 70 metric tons in mercury use is expected in the participating countries. Another 210 metric tons is expected via replication. It is, however, unclear if the replication will occur in the participating countries or whether it will occur indirectly through the transfer of knowledge from this project to other countries (given the global nature of the project). This needs to be clarified. Also, how was the replication factor of 3 determined?

GEF investments are predicated on the delivery of global environmental benefits in biodiversity, climate change mitigation, international waters, land degradation and chemicals and waste. The global project will support child project countries in their efforts to achieve an aggregate of more than 129.138 metric tonnes reduction in mercury and engage more than 202,500 direct beneficiaries over a 5-year period through sharing lessons. It is expected that mercury use reduction will be replicated through sharing lessons on the planetGOLD platform, webinars at national and global level. As such, it is anticipated that through technology replication, additional mercury will be reduced attributed to lessons learned. After 10 years following the project, it is anticipated that a replication by a factor of 3 will be achieved, representing an additional 387.414 metric tonnes reduction in mercury globally. These activities in the reduction of mercury use are directly aligned with GEF's long term goal of curbing the exposure of humans and the environment to harmful chemicals through a significant reduction in the use and release of mercury. Since each country has their own reduction target, in-country replication through component 4 and continuation/replication of project interventions at project sites would lead to doubling of the target. Furthermore, dissemination to neighboring countries and global knowledge sharing efforts through the global project would lead to another level of reduction equivalent to the original target. Therefore, in sum, the programme target is 3 times the country's specific reduction target.

It is good that the PIF acknowledged that the project would contribute to other GEF core indicators, including the area of land restored, area of landscapes under improved practices, and greenhouse gas emission reduction. The PIF did not, however, present clearly how the interventions will lead to these benefits. We encourage that the project proponent elaborates further on this and provide a detailed estimation of all expected GEBs at the PPG stage.

The comment is duly noted, and changes will be made where applicable. All country level projects have been instructed to analyze co-benefits. Please see individual country level comments for details.

	<p>For a project that will depend on significant multi-stakeholder engagement for its success, the stakeholder section of the PIF is inadequate. Please provide a detailed analysis of stakeholders expected to be engaged in the project in the participating countries. Please, also highlight how they will be engaged, their expected role in the project, and whether they have been engaged already or if this is ongoing.</p>	<p>The comment is duly noted, and a detailed stakeholder engagement plan has been included in CEO endorsement submission.</p>
	<p>It is good that the PIF acknowledges the potential impacts of projected climate change, for example, desertification on achieving project objectives. The effects of climate change may also influence decisions on ASGM sites? We recommend that a detailed analysis of climate risk and management strategy should be presented for the project.</p>	<p>The comment is duly noted. Please reference country level ProDocs for respective climate risks analysis.</p>

**ANNEX C: Status of Utilization of Project Preparation Grant (PPG).**  
**(Provide detailed funding amount of the PPG activities financing status**  
**in the table below:**

<i>Project Preparation Activities Implemented</i>	<i>GETF/LDCF/SCCF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
Int Consultants	99,870	85,000	14,870
Field visits and data gathering	39,630	16,500	23,130
Inception Workshop	3,000	3,000	0
Validation Workshop	7,500	0	7,500
<b>Total</b>	<b>150,000</b>	<b>104,500</b>	<b>45,500</b>

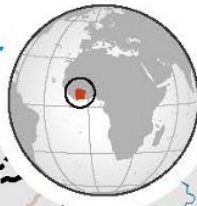
The Validation Workshop took place in Abidjan, Cote d'Ivoire on the 26<sup>th</sup> of July, 2022. The financial reports will be updated accordingly in due time.

**ANNEX D: Project Map(s) and Coordinates**

**Please attach the geographical location of the project area, if possible.**

# CÔTE D'IVOIRE

UNITED NATIONS  
Geospatial



- ⊕ National capital
- ⊙ Alternative capital
- ⊙ Administrative capital
- ⊙ Town, village
- ✈ Major airport
- International boundary
- - - Administrative boundary
- Main road
- Secondary road
- Railway

0 50 100km  
0 25 50mi

The boundaries and names shown and the designations used on this map do not imply official endorsement or acceptance by the United Nations.

Map No. 4312 Rev. 4  
Nov 2020

**GPS Coordinates :**

**Bouafl? :**

Latitude : 7.086602687835693

Longitude : -5.805832386016846

**Dabakla :**

Latitude : 8.363238

Longitude : -4.428486

**Dimbroko :**

Latitude : 6.6494254

Longitude : -4.7040555

**Agnibilekrou :**

Latitude : 7.0698018074035645

Longitude : -3.3032472133636475

**Boundiali :**

Latitude : 9.5255789

Longitude : -6.4837639

**ANNEX E: Project Budget Table**

**Please attach a project budget table.**

Source of funding (noting whether cash on hand):

		BUDGET ALLOCATION BY PROJECT COMPONENT/ACTIVITY *						ALLOCATION BY CALENDAR YEAR **						
		Project Component 1 Formulation	Project Component 2 Market Access	Project Component 3 Improved practices	Project Component 4 Communication									
		Component 1	Component 2	Component 3	Component 4	PMC	MAE	Total	Year 1	Year 2	Year 3	Year 4	Year 5	Total
		US\$	US\$	US\$	US\$	US\$	US\$	US\$	US\$	US\$	US\$	US\$	US\$	US\$
<b>UNEP BUDGET LINE-OBJECT OF EXPENDITURE</b>														
10	<b>PROJECT PERSONNEL COMPONENT</b>													
1100	Project Personnel													
1101	Project Manager(s)					50,000		50,000	10,000	10,000	10,000	10,000	10,000	50,000
1102	Capacity Building Expert (s)	106,552	154,848	98,083	95,110			454,604	85,971	88,113	90,757	93,480	95,241	454,604
1103	Stakeholder Engagement Manager	91,378	92,808	83,513	67,783			335,481	64,550	64,808	66,752	68,754	70,817	335,481
1104	Senior Gender Specialist	18,741	15,721	16,132	19,913			60,507	17,867	21,204	21,149	22,111	24,047	86,337
1105	Responsible Sourcing and Market Engagement Officer		229,656					229,656		62,315	64,184	66,110	34,047	226,656
1106	Procurement and Logistics Expert	26,981	53,962	26,992				107,935	20,328	20,652	21,566	22,213	22,879	107,935
1107	Communications & Knowledge Sharing Manager				75,937			75,937	16,300	16,720	15,173	15,026	16,995	75,937
1108	Training Coordinator (s)	110,210	110,210	73,473	65,669			359,562	70,241	80,386	82,798	85,282	89,856	359,562
1109	Cooperative Support Officer	53,099	106,198					159,296	33,726	34,718	35,700	36,683	18,190	159,296
1110	Downstream Engagement Specialist		65,611					65,611	8,900	13,356	14,004	14,624	14,857	65,611
1200	Consultants		40,000					40,000	10,000	20,000	10,000			40,000
1201	Access to Finance Specialist (s)													
1202	Geologist (s)													
1204	ASGM Technical Expert (s)			36,000				36,000			18,000	18,000		36,000
1205	Facilities (IA Approach)	13,000						13,000	13,000					13,000
1206	Environmental consultant (s)			10,000				10,000		10,000				10,000
1207	Legal and Regulatory Expert (s)	6,250						6,250	6,250					6,250
1208	Formulation Expert (s)	100,000	55,000					155,000		27,500	27,500	13,500		55,000
1209	Technical Expert(s)	36,000		18,000				54,000		31,500	9,000			54,000
1210	Cooperative Development		72,500					72,500	30,000	30,000	27,500	15,000		72,500
1299	Sub-Total	462,214	993,904	362,198	315,465	50,000		2,183,419	354,832	326,142	325,161	429,242	224,634	2,183,419
1300	Administrative support													
1301	Finance, Admin, HR Support					50,000		50,000	10,000	10,000	10,000	10,000	10,000	50,000
1399	Sub-Total					50,000		50,000	10,000	10,000	10,000	10,000	10,000	50,000
1600	Travel on official business (above staff)													
1601	Travel	114,700	119,245	89,970	104,215			428,130	98,965	95,495	99,090	76,717	57,885	428,130
1699	Sub-Total	114,700	119,245	89,970	104,215			428,130	98,965	95,495	99,090	76,717	57,885	428,130
1999	Component Total	576,914	1,112,839	452,168	419,680	100,000		2,661,569	463,797	435,437	424,251	545,957	391,919	2,661,569
20	<b>SI B-CONTRACT COMPONENT</b>													
2100	Sub-contract (13 organizations)													
2199	Sub-Total													
2200	Sub-contract (NSFA, FCA, non-UN)													
2201	Consultants (formulating, layout, design, illustrations, etc.)	10,000		20,000	36,000			66,000	15,000	25,000	5,000	5,000	16,000	66,000
2202	Local consultants (1 per zone)	12,000						12,000		12,000				12,000
2203	Local community-based consultants/organizations (NGOs, universities, etc.)	5,000		14,000				19,000	7,000	1,500	8,500	1,500	500	19,000
2204	IAC (assessments SWOT analysis)	100,000						100,000		100,000				100,000
2205	Responsible Sourcing Assessment & Expertise		15,000					15,000		15,000				15,000
2299	Sub-Total	127,000	15,000	34,000	36,000			212,000	27,000	153,500	13,500	6,500	16,500	212,000
2999	Component Total	127,000	15,000	34,000	36,000			212,000	27,000	153,500	13,500	6,500	16,500	212,000
30	<b>TRAINING COMPONENT</b>													
3200	Group training (field trips, WS, etc.)													
3201	Expert group training (formulation)	64,500						64,500	10,000	54,500				64,500
3202	Expert group training (market access)		41,850					41,850		8,650	8,650	21,150	3,400	41,850
3203	Expert group training (improved practices)			55,920				55,920			45,720	10,200		55,920
3299	Sub-Total	64,500	41,850	55,920				162,270	20,000	126,300	108,160	65,700	6,800	162,270
3300	Meetings/conferences													
3301	Meetings (formulation Guide)	32,600						32,600	21,650	10,950				32,600
3302	Institutional Approach	50,900						50,900		11,200	16,800	16,800	5,600	96,400
3303	Financial Inclusion/Responsible ASGM		39,300					39,300		17,400	13,900	7,600		39,300
3304	Improved inventory-free practices			16,815				16,815		16,315	500			16,815
3305	Communication/ knowledge sharing meetings/workshops (including annual project workshops, annual steering committee meetings and inception workshops)			198,000				198,000	37,000	37,000	37,000	39,000	48,000	198,000
3307	International meetings, conferences, events (GEF, planee/OLD, UNEP, etc.)				44,000			44,000	8,900	8,900	8,900	8,900	8,900	44,000
3399	Sub-Total	83,000	39,300	18,815	242,000			381,115	67,450	102,900	77,000	73,200	62,400	381,115
3999	Component Total	147,500	81,150	72,735	242,000			543,393	87,450	228,765	185,740	134,900	69,200	543,393
40	<b>EQUIPMENT &amp; PREMISES COMPONENT</b>													
4100	Expendable equipment (under 1,500 \$)													
4102	Technical equipment support for pilot site implementation	30,000	6,000	36,000				72,000		54,000		18,000		72,000
4103	Equipment support for communications software and remote operation on implementation of communities	47,340	58,650	38,000	36,350			180,340	52,850	27,020	27,020		27,020	180,340
		19,800	27,000	18,000	18,000			82,800	18,000	16,200	16,200	16,200	16,200	82,800
		9,000	9,000	6,000	4,500			28,500	15,000					28,500
		4,500	5,250	3,000	2,250			15,000	8,250			6,750		15,000
		3,960	2,400	3,600	3,600			13,560	3,600	3,240	3,240	3,240	3,240	13,560
		4,420	6,300	4,200	4,200			19,120	4,200	3,760	3,760	3,760	3,760	19,120
		5,700	5,700	3,800	3,800			19,000	3,800	3,800	3,800	3,800	3,800	19,000
4199	Sub-Total	77,540	64,650	74,600	36,350			253,140	52,850	81,020	27,020	65,770	27,020	253,140
4200	Non-expendable equipment (beyond 1,500\$)													
4201	Hg Free Systems (including pilot equipment, customs fees, transportation and delivery costs, instal)	60,000		50,000				110,000		110,000				110,000
4202	Local transportation and fuel	9,900	13,500	9,000	8,100			40,500	8,820	7,920	7,920	7,920	7,920	40,500
	Vehicle rental	4,420	6,300	4,200	3,780			18,800	4,116	3,696	3,696	3,696	3,696	18,800
	Fuel	2,440	3,660	2,400	2,160			10,800	2,352	2,112	2,112	2,112	2,112	10,800
	Maintenance	2,640	3,600	2,400	2,160			10,800	2,352	2,112	2,112	2,112	2,112	10,800
	Add items above	0	0	0	0			0	0	0	0	0	0	0
4299	Sub-Total	69,900	13,500	59,000	8,100			150,500	8,820	117,920	7,920	7,920	7,920	150,500
4999	Component Total	147,440	78,150	133,600	44,450			403,640	61,670	198,940	34,940	73,190	34,940	403,640
50	<b>MISCELLANEOUS COMPONENT</b>													
5200	Reporting costs (publications, maps, NI)													
5201	Translation of essential documents				10,000			10,000	2,000	2,000	2,000	2,000	2,000	10,000
5299	Sub-Total				10,000			10,000	2,000	2,000	2,000	2,000	2,000	10,000
5300	Sundry (communications, postage, etc)													
5303	Formulation Support Costs for Cooperative Partners (e.g. fees for applications)	10,000						10,000		10,000				10,000
5399	Sub-Total	10,000						10,000		10,000				10,000
5500	Evaluation													
5501	Mid-term evaluation (INFP)						10,000	10,000			30,000			30,000
5502	Final Evaluation (INFP)						30,000	30,000					30,000	30,000
5503	Final Audit					36,875		36,875						36,875
5599	Sub-Total													



the Guidelines on the Project and Program Cycle Policy. Partner Agencies will be required to comply with the reflows procedures established in their respective Financial Procedures Agreement with the GEF Trustee. Agencies are welcomed to provide assumptions that explain expected financial reflow schedules.

**ANNEX H: (For NGI only) Agency Capacity to generate reflows**

Instructions. The GEF Agency submitting the CEO endorsement request is required to respond to any questions raised as part of the PIF review process that required clarifications on the Agency Capacity to manage reflows. This Annex seeks to demonstrate Agencies' capacity and eligibility to administer NGI resources as established in the Guidelines on the Project and Program Cycle Policy, GEF/C.52/Inf.06/Rev.01, June 9, 2017 (Annex 5).