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
10606

Project Type
FSP

Type of Trust Fund
GET

CBIT/NGI
CBIT **No**
NGI **No**

Project Title
GEF GOLD+: Global coordination, knowledge management and outreach

Countries
Global

Agency(ies)
UNEP, UNEP

Other Executing Partner(s)
NRDC and Global Mercury Partnership

Executing Partner Type
Others

GEF Focal Area
Chemicals and Waste

Sector

Taxonomy

Focal Areas, Land Degradation, Sustainable Land Management, Chemicals and Waste, Mercury, Artisanal and Scale Gold Mining, Influencing models, Convene multi-stakeholder alliances, Demonstrate innovative approache, Strengthen institutional capacity and decision-making, Deploy innovative financial instruments, Transform policy and regulatory environments, Stakeholders, Private Sector, SMEs, Large corporations, Individuals/Entrepreneurs, Financial intermediaries and market facilitators, Capital providers, Indigenous Peoples, Civil Society, Trade Unions and Workers Unions, Community Based Organization, Non-Governmental Organization, Academia, Communications, Strategic Communications, Behavior change, Awareness Raising, Education, Public Campaigns, Beneficiaries, Local Communities, Type of Engagement, Partnership, Information Dissemination, Consultation, Participation, Gender Equality, Gender results areas, Participation and leadership, Knowledge Generation and Exchange, Access to benefits and services, Access and control over natural resources, Capacity Development, Gender Mainstreaming, Sex-disaggregated indicators, Women groups, Gender-sensitive indicators, Capacity, Knowledge and Research, Knowledge Exchange, Conference, South-South, Peer-to-Peer, Field Visit, Knowledge Generation, Seminar, Training, Course, Workshop, Innovation

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

10/25/2022

Expected Implementation Start

2/1/2023

Expected Completion Date

1/31/2029

Duration

72In Months

Agency Fee($)

714,264.00

A. FOCAL/NON-FOCAL AREA ELEMENTS

Objectives/Programs	Focal Area Outcomes	Trust Fund	GEF Amount($)	Co-Fin Amount($)
CW-1-1	Reduction of anthropogenic releases/emissions of mercury from Artisanal and Small-Scale Gold mining into the environment	GET	7,936,276.00	1,099,757.00
		Total Project Cost($)	**7,936,276.00**	**1,099,757.00**

B. Project description summary

Project Objective

The project aims to support the deepening of mercury reduction in artisanal and small-scale gold mining (ASGM), holistic formalization of the sector and scaling up of successful interventions through sharing of technical information, outreach to relevant stakeholders, knowledge exchange and communication strategies.

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing($)	Confirmed Co-Financing($)

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing($)	Confirmed Co-Financing($)
Component 1: Knowledge Management & Communication	Technical Assistance	Outcome 1.1 Stakeholders from governments, private sector, mining communities and the public have improved understanding of the ASGM sector and access to knowledge products related to promoting responsible ASGM	Output 1.1.1: Countries are supported to apply jurisdictional and landscape approaches to strengthen formalization in ASGM Output 1.1.2. The planetGOLD web platform is utilized, maintained, updated with all available information and fully functional Output 1.1.3 Annual Programme Meeting, Global Forum and technical seminars are organized Output 1.1.4: Knowledge from the global ASGM community is collected, curated, exchanged and disseminated, and where necessary new knowledge products are created to fill gaps	GET	6,190,034.00	884,757.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing($)	Confirmed Co-Financing($)
Component 2: Coordination of the planetGOLD programme	Technical Assistance	Outcome 2.1 planetGOLD programme child projects are aligned to the objectives of the programme and contribute to overall programme aims and outcomes	Output 2.1.1: Child projects collaborate with and contribute to planetGOLD programme level knowledge management and coordination activities Output 2.1.2: Programme results are collected, compiled and assessed, and the GEF, GEF agencies, executing partners, and external programme advisors are informed on programme progress, gaps and achievements	GET	1,269,563.00	170,000.00
Monitoring and Evaluation	Technical Assistance	Project achieves objective on time through effective monitoring and evaluation	Project monitored and evaluated	GET	100,000.00	10,000.00

Project Component	Financing Type	Expected Outcomes	Expected Outputs	Trust Fund	GEF Project Financing($)	Confirmed Co-Financing($)
				Sub Total ($)	**7,559,597.00**	**1,064,757.00**
Project Management Cost (PMC)						
	GET		376,679.00		35,000.00	
	Sub Total($)		**376,679.00**		**35,000.00**	
	Total Project Cost($)		**7,936,276.00**		**1,099,757.00**	

Please provide justification

C. Sources of Co-financing for the Project by name and by type

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount($)
GEF Agency	UNEP	In-kind	Recurrent expenditures	200,000.00
Civil Society Organization	Natural Resources Defense Council (NRDC)	In-kind	Recurrent expenditures	480,000.00
Other	Conservation X Labs	In-kind	Recurrent expenditures	50,000.00
Civil Society Organization	Eco Agriculture Partners	In-kind	Recurrent expenditures	50,000.00
GEF Agency	Conservation International	In-kind	Recurrent expenditures	94,757.00
Other	LBMA	In-kind	Recurrent expenditures	225,000.00
			Total Co-Financing($)	**1,099,757.00**

Describe how any "Investment Mobilized" was identified

UNEP recognizes that co-financing is significantly lower than figures at the PIF stage and as compared to previous submissions. Due to the change of implementing agencies immediately prior to re-submission and a drastic reduction from previous co-implementing agency (CI), UNEP could not secure more co-financing with the time remaining. However, during implementation, UNEP will work with partners and other agencies to secure additional co-financing. Investment mobilized was identified as new and available funding with a specific scope of work and a timeframe, which will contribute to the overall goal of this project. This includes co-financing from Conservation International through its work on sustainable gold supply chains and forest smart mining practices. The investment mobilized co-financing is in form of grants.

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

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount($)	Fee($)	Total($)
UNEP	GET	Global	Chemicals and Waste	Mercury	7,936,276	714,264	8,650,540.00
			Total Grant Resources($)		**7,936,276.00**	**714,264.00**	**8,650,540.00**

E. Non Grant Instrument

NON-GRANT INSTRUMENT at CEO Endorsement

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

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount($)	Fee($)	Total($)
CI	GET	Global	Chemicals and Waste	Mercury	130,000	11,700	**141,700.00**
UNEP	GET	Global	Chemicals and Waste	Mercury	20,000	1,800	**21,800.00**
				Total Project Costs($)	**150,000.00**	**13,500.00**	**163,500.00**

Core Indicators

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

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
0.00	1251909.19	0.00	0.00

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

Ha (Expected at PIF)	Ha (Expected at CEO Endorsement)	Ha (Achieved at MTR)	Ha (Achieved at TE)
	1,251,909.19		

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

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

Type/Name of Third Party Certification

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

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

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

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

Indicator 4.5 Terrestrial OECMs supported

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

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

Title	Submitted

Indicator 6 Greenhouse Gas Emissions Mitigated

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO?e (direct)	0	0	0	0
Expected metric tons of CO?e (indirect)	0	402648	0	0

Indicator 6.1 Carbon Sequestered or Emissions Avoided in the AFOLU (Agriculture, Forestry and Other Land Use) sector

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO?e (direct)				
Expected metric tons of CO?e (indirect)		402,648		
Anticipated start year of accounting				
Duration of accounting				

Indicator 6.2 Emissions Avoided Outside AFOLU (Agriculture, Forestry and Other Land Use) Sector

Total Target Benefit	(At PIF)	(At CEO Endorsement)	(Achieved at MTR)	(Achieved at TE)
Expected metric tons of CO?e (direct)				
Expected metric tons of CO?e (indirect)				
Anticipated start year of accounting				
Duration of accounting				

Indicator 6.3 Energy Saved (Use this sub-indicator in addition to the sub-indicator 6.2 if applicable)

Total Target Benefit	Energy (MJ) (At PIF)	Energy (MJ) (At CEO Endorsement)	Energy (MJ) (Achieved at MTR)	Energy (MJ) (Achieved at TE)
Target Energy Saved (MJ)				

Indicator 6.4 Increase in Installed Renewable Energy Capacity per Technology (Use this sub-indicator in addition to the sub-indicator 6.2 if applicable)

Technology	Capacity (MW) (Expected at PIF)	Capacity (MW) (Expected at CEO Endorsement)	Capacity (MW) (Achieved at MTR)	Capacity (MW) (Achieved at TE)

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	511.03	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)
	511.03		

Indicator 9.3 Hydrochloroflurocarbons (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)

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

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

Indicator 9.6 POPs/Mercury containing materials and products directly avoided

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

Indicator 9.7 Highly Hazardous Pesticides eliminated

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

Indicator 9.8 Avoided residual plastic waste

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

Indicator 11 People benefiting from GEF-financed investments

	Number (Expected at PIF)	Number (Expected at CEO Endorsement)	Number (Achieved at MTR)	Number (Achieved at TE)
Female		172,687		
Male		198,439		
Total	0	371126	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

Core Indicators 4, 6 and 11 targets are cumulative values from the child projects in the programme which the global project has no direct influence. However, the global project will act in a supporting role and track the results during project implementation and report it annually to UNEP and the GEF. The targets indicated below are expected to be achieved at the end of the implementation period. Core Indicator 9 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 127.758 metric tons 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 and knowledge on the planetGOLD platform, the various planetGOLD distribution channels, events and webinars at national and global level. As such, it is anticipated that through 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 383.274 metric tons 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. The Global project will support the planetGOLD programme?s goal of reducing the use of mercury in artisanal and small-scale gold mining and associated land use co-benefits through: Coordination: The Global project will facilitate coordination amongst planetGOLD countries, ensuring that each country?s global environmental benefits goals are aligned with the wider programme metrics and GEF?s long term goals. Knowledge Sharing: The Global project will ensure that participating country projects are disseminating lessons learned and publishing findings via the planetGOLD platform and other relevant outlets. It is anticipated that these two components will aid in the increased use of mercury free technologies and formalization approaches that encourage a reduction in mercury use, which will contribute to replication beyond the project period. Further replication is anticipated through collaboration with Associated baseline projects.

Part II. Project Justification

1a. Project Description

CHANGES FROM THE PFD

Increase in number of beneficiary countries from 8 (Bolivia, Republic of Congo, Ghana, Honduras, Madagascar, Nigeria, Suriname, Uganda) to 15. (The additional countries include ? Guinea, Zambia, Sierra Leone, Cote d?Ivoire, Ecuador, Mali, Nicaragua). During the first year of implementation, the countries will be 23 (including the current planetGOLD implementing countries). To support the above activities and support the global coordination of an additional 7 country level projects, an increase of the project budget, from $ 4,627,580 to 7,936,276 was approved.

Programme duration extended from 60 months to 72 months.

Endorsements by GEF Focal points on behalf of governments changed from 8 to 15 as a result of increase in programme beneficiary countries.

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•Global Environmental Problem, Root Causes and Barriers

Overview

ASGM is the largest global source of anthropogenic mercury releases into the environment with approximately 38% of total releases from a multitude of sites in over 80 countries (UNEP Global Mercury Assessment, 2018)[1][1].

The informal nature of ASGM leads to poor compliance with environmental standards, leading to the pollution of water bodies, including international waters. Pollution of wetlands and other water sources is a leading cause of conflict between ASGM and other natural resource users.

Informal and unregulated ASGM is also a threat to global river basins and rainforests. Deforestation and biodiversity losses are some of the major problems associated with the sector. Informal gold mining activities cause widespread environmental degradation including deforestation, land degradation, wetland destruction, biodiversity loss, and chemical pollution. The discharge of mercury into the ecosystem can result in bio-accumulation within the food chain (conversion by bacteria to methylmercury, its most toxic form), impacting communities further away from the mining areas.

Globally, the environmental health impact of ASGM has not been thoroughly studied but it is estimated that 3.3-6.5 million miners suffer from moderate chronic metallic mercury vapor intoxication (CMMVI). The resulting global burden of disease is estimated to range from 1.22 to 2.39 million Disability Adjusted Life Years[2][2]. Methylmercury has a significant impact on women of child bearing age due to the risk of passing it on to their fetuses which can result in congenital defects.

It is estimated that nearly 100% of all mercury used in ASGM is released into the environment (Global Mercury Project, UNIDO 2007). UNEP estimates that the amount of mercury used by the sector annually is conservatively evaluated at 1,500 tons, making the ASGM sector the largest user and emitter of mercury into the environment, accounting for 38% of total annual anthropogenic mercury emissions into the atmosphere (UNEP Global Mercury Assessment, 2018). Experts estimate that 12-15 million people are currently involved in the sector, of which 4.5 million are women and 600,000 are children.

In 2017, under GEF6 replenishing cycle, the Global Opportunities for Long-term Development of ASGM Sector - GEF GOLD (later on referred to as planetGOLD programme phase 1) parent programme was approved (GEF ID 9602) (with country child projects in Kenya, Mongolia, Burkina Faso, Indonesia, Guyana, Philippines, Colombia and Peru). Subsequently, the global child project (GEF ID 9697) was approved as part of the programme and currently still under implementation. Based on the successes of the first phase and the necessity to expand the programme to include additional countries that have more than insignificant ASGM activities, the Global Opportunities for Long-term Development for ASGM Sector Plus (GEF GOLD +) parent programme (GEF project ID: 10569) was approved in 2019, under GEF7 replenishing cycle. Both phase 1 (8 countries) and phase 2 (15 countries), totaling at 23 countries are currently referred to as part of the planetGOLD programme.

The global coordination, knowledge management and outreach project of the phase 2 planetGOLD programme aims to support the deepening of mercury reduction in ASGM and holistic formalization of the sector, by facilitating the sharing of technical information, engaging in outreach to relevant stakeholders and enabling the scale up of successful interventions through the provision of research, networking and knowledge exchange. The project also serves to monitor and evaluate the programme as a whole and assist in the coordination of knowledge management in the 15 child country projects.

The child project countries in phase 2 include: Bolivia, Cote d?Ivoire, Ecuador, Honduras, Ghana, Guinea, Mali, Madagascar, Nicaragua, Nigeria, The Republic of Congo, Sierra Leone, Suriname, Uganda and Zambia. The global project will work with the 15 individual country child projects to capture lessons learned and share these among the child projects and with other ASGM stakeholders globally. There will be increased sharing of information on sustainable mining technologies, practices and mercury reduction efforts; and this will be aligned with increasing capacity to support ASGM formalization in a holistic manner.

Data and information obtained from each of the country child projects through the MIA and NAP processes indicate a significant trend of ASGM informality and mercury releases and emissions to the environment as a result. Globally, ASGM has been steadily increasing from the 1990s and a global boom took off when gold prices spiked in 2011 and 2012[3][3]. More recently, the emergence of COVID-19, country wide lockdowns and wide scale loss of employment have added an impetus to the growth of the sector. This has further cast doubt on ASGM formalization models which seem inadequate. The huge populations of people engaged in ASGM in some of the child project countries (Ghana >1 million; Madagascar: 600,000; Nigeria: 500,000; Cote d?Ivoire: 500,000; Mali: 500,000; Bolivia: 250,000; Guinea: 240,000) are expected to grow and this could result in increased informality and environmental degradation.

Formalization in the child project countries and globally faces many challenges (Bolivia is an exception with more than 50% of miners formally registered[4][4]). In Ghana, despite the sector being legalized through the Small-Scale Gold Mining Act of 1989; the Minerals and Mining Act, 2006 (Act 703) and National Mining Policy, 2014[5][5], it still remains largely informal. Legalization has demonstrated its shortcomings to address formalization hence the need for innovative and holistic approaches. In Honduras, while the sector is legalized it has been proven to be difficult to regulate due to its wide geographic distribution, diverse mining practices, and a lack of information.

According to the country draft and completed NAPs, annual mercury releases and emissions in Bolivia, Ghana, Guinea, Mali, Ecuador and Madagascar are estimated at 120, 50, 42, 33, 29.6 and 18 metric tons, respectively. Without sustainable solutions to transition miners to mercury free technologies, the environment will continue to suffer from ASGM related mercury contamination. Informal gold mining activities cause widespread environmental degradation including deforestation, land degradation, wetland destruction, biodiversity loss, and chemical pollution. The mercury releases and associated environmental health impacts will continue to impact global health outcomes amongst ASGM and downstream communities. In Uganda, mercury released to water bodies such as Lake Victoria has fish contaminated to more than 500 times the Food and Agriculture Organisation of the UN (FAO) guidelines of 0.5ug/g. This presents long term health risks to the countries of Kenya, Tanzania and Uganda whose diet consists of fish from the lake.

Despite existing legal frameworks in almost all of the child projects, ASGM impacts on land degradation, deforestation, and ecosystem disturbance is significant. In Suriname, ASGM accounts for 73% of total deforestation (59,554 ha) and destruction and 95.5% of all mining-induced deforestation[6][6]. Continuous deforestation in major regions such as the Amazon, Congo Basin, Upper Guinea Forest and the Guiana Shield is a threat to the critical forest carbon and biological diversity that plays a significant role in global efforts to mitigate climate change.

Furthermore, access to finance for the ASGM sector has been limited by miners' informality, poor organisation of miners, a lack of financial products by the formal finance sector that suit ASGM and its associated investment risks. A poor image of the sector, often perpetrated by biased communication and media, further exacerbates the negative perceptions of stakeholders. Poor documentation of success stories and lessons learned on ASGM best practices limits propagation of good practices and upscaling. In sum, the root causes to the environmental problems in ASGM include:

? Poverty and informality: Most of the problems associated with ASGM are, in many ways, ?expressions? of its perpetual informality. Informality and weak regulation keep the sector unbanked, limiting its access to formal and legitimate financing mechanisms to improve productivity and transition from mercury. As a result, miners have poor production and are trapped in a vicious cycle of poverty.
? A lack of multi-stakeholder approaches to developing and managing a responsible ASGM sector: There is a lack of a holistic and integrated approach to formalization that focuses beyond regulation, but considers different stakeholder roles and interests. Engaging stakeholders within a jurisdiction or landscape to foster a vision for responsible ASGM sector or regional coordination towards transboundary mercury and gold flows.
? Regulatory approaches that are often siloed in approach and not fit for purpose. Poor chemical controls and porous borders make management of mercury in ASGM difficult: Regulatory approaches that are copied from other contexts, are less pragmatic and fail to address country contexts. Failure to

address formalization and mercury use due to poor institutional coordination. A limited understanding and availability of sound and appropriate mercury reduction and responsible mining practices: Lack of good practices for replicating mercury elimination and responsible mining practices keeps the ASGM sector in perpetuating poor practices, while governments have limited benchmarks to support mercury free transition that fits their context.

Environmental, Social and Economic Context of Target Countries

Ten of the project countries are in Africa with six of them (Cote d?Ivoire, Ghana, Guinea, Mali, Nigeria, Sierra Leone) located in West Africa and some sharing national borders, landscapes and cultures. They are all members of The Economic Community of West African States (ECOWAS)[7][7]. In East and Central Africa, the Republic of Congo, Uganda and Zambia are members of the International Conference on the Great Lakes Region (ICGLR), an inter-governmental organization of the countries in the African Great Lakes Region established to promote sustainable peace and development[8][8].

The global significance of country child projects across the planetGOLD programme provides unique opportunities to pilot landscape approaches around forested mining sites (forest smart mining) and surrounding watersheds that are rich in biodiversity. The diversity of national and sub-national circumstances across the 15 countries, including the ones that officially report a relative low use of mercury, will generate a wealth of experiences and lessons learned and will increase the possibilities for replication and upscaling of successful models. The new countries will also provide opportunities to explore regional and transboundary approaches in West Africa.

In keeping with its global character,[9][9] ASGM in the child projects countries is largely poverty driven and unregulated, consisting of individuals, groups and communities seeking livelihood and income opportunities.

According to the country child project NAPs, despite regulation through legal frameworks and policies, formalization is elusive. The sector is generally poorly organized with miners mostly working as individuals, families or informal groups. It is characterized by in-country and cross broader migration, resource access conflicts, marginalization of women and child labor. Women participation in the sector is influenced by cultural barriers, financial and knowledge limitations coupled with their traditional household roles. The livelihoods of indigenous communities are impacted by uncontrolled gold rushes and migrations.

The environmental context of the programme is thus best illustrated through the environmental context of the different country child projects. The Amazon Basin, which Bolivia, Ecuador and Suriname are part of, represents over half of the planet?s remaining rainforest and comprises the largest and most biodiverse tract of tropical rainforest in the world with an estimated 16,000 species of trees, 40,000 species of plants and 526 million hectares of primary forest[10][10].

Suriname is also part of the Guiana Shield, a region with critical forest carbon and biological diversity that plays a significant role in global efforts to mitigate climate change. The Congo Basin is a total of 3.7 million square kilometers and is home to some of the largest undisturbed stands of tropical rainforest on the planet in addition to large wetlands. The rainforest is known for its high levels of

biodiversity, including more than 10,000 species of tropical plants, 400 mammal species, 1000 species of birds and 700 species of fish. Endangered wildlife includes forest elephants, lowland and mountain gorillas, chimpanzees and bonobos[11][11].

Lake Victoria, part of which is Uganda has high freshwater species diversity and endemism which are of critical importance to local livelihoods and national economies within the basin[12][12]. The lowland forests of West Africa are home to 320 mammal species (which represents more than a quarter of Africa's mammals), 9,000 vascular plant species, and 785 bird species[13][13].

ASGM practices and mercury releases and emissions in the project countries cause major environmental pollution. In **Bolivia** ASGM is considered as one of the most harmful activities for the environment and the ecosystems through soil and water contamination, deforestation, biodiversity loss, and air pollution. This has led to an increase in conflicts between miners and communities over land use, access to water, and environmental degradation. The Bolivian ASGM sector uses an estimated 120 tons of mercury annually[14][14]. The country has 182,716km2 of protected areas which represents about 16% of the national territory. It has 66 of the approximately 120 types of ecosystems in the world[15][15].

ASGM in 12 provinces in **Ecuador** has mercury losses of an estimated 29.64 tons annually through alluvial and hard rock mining. Alluvial mining in the Amazon Basin pollutes land and river ecosystems. There are additional environmental problems caused by the various mining activities, such as river dredging and generation of contaminated tailings that are poorly managed[16][16].

In **Nicaragua** an estimated 3.553 tons of mercury are used every year. Government sources estimate that between 1.5 to tens of tons of mercury are imported and used annually by ASGM[17][17]. Nicaragua is extremely vulnerable to the impacts caused by climate change. Its biodiversity and environment are threatened by ASGM. In Nicaragua, ASGM is one of the main sources of income for approximately 40,000-60,000 people (15% of whom are women). ASGM takes place in several mining districts and is driven by access to mercury, widespread poverty and unemployment. In the Caribbean coast, there are ethnic groups (Garifuna) that engage in artisanal mining due to unemployment[18][18].

In **Suriname**, ASGM operations are major drivers for land degradation, deforestation, and pollution of inland waters where mercury releases and poor tailings management endanger human and ecosystem health. The unregulated mining operations are a major threat to forest conservation and between the year 2000 and 2015, ASGM accounted for 73% of total deforestation (59,554 ha) and 95.5% of all mining-induced deforestation[19][19]. ASGM also represents a major economic sector accounting for approximately two thirds of national gold exports and employing between 20,000-40,000 miners. The sector provides substantial economic benefits for transport, equipment fabrication, and service sectors near mine operations. The labor force is dominated by Brazilian (Garimpeiros) and Surinamese Maroons (tribal peoples of African descent) who are underrepresented among legal concession title

holders. Formal and customary title holders solicit fees, usually 10-12.5% of miner earnings, while large-scale mining (LSM) operations struggle for peaceful coexistence.

Mali has faced many challenges due to the limited diversification of its economy, and more recently the security and humanitarian crisis that increased conflicts over land use. Gold mining has been part of the Malian economy since the 13th century and an estimated 26 tons are produced from ASGM. The sector uses a substantial 33 tons of mercury annually[20][20]. In Mali, ASGM is a vital source of livelihood for 500,000 people, of which 38% are women. In the last decade, artisanal mining has evolved progressively from the individual and family scope towards a more organized and formal sector through the creation of mining cooperatives, associations and groups of economic interest. However, in practice, the organization of ASGM in the country responds primarily to customary rules and secondarily to the legislation[21][21].

Ghana faces multiple environmental challenges, including land degradation, soil erosion, river pollution, deforestation, biodiversity loss, and chemical contamination, driven by informal gold mining activities. Mercury use in ASGM accounts for 42.5-62 tons per year with the majority of miners operating illegally or informally. Its location in the Volta River Basin and resultant transboundary movement of contaminated waterways has potential for global environmental impacts[22][22]. ASGM in Ghana represents more than an emerging rural economy but a way of life, providing direct employment for at least one million Ghanaians and an estimated 4.5 million dependents. Women as a share of the artisanal mining sector workforce are estimated to be at 50%[23][23]. The majority of miners operate illegally or informally. High incidents of child labor have been recorded in the Upper East region.

Madagascar?s informal gold mining activities cause widespread environmental degradation including deforestation, land degradation, wetland destruction, biodiversity loss, and chemical pollution. Mercury use in ASGM is estimated at over 18 tons[24][24] annually. Madagascar has an extended network of over 100 protected areas covering more than 10% of terrestrial landscapes and seascapes. Forests are home to over 80% of Madagascar?s biodiversity and the country has been declared as one of the world?s 200 global hotspots for biodiversity due to its endemism and threat status[25][25]. In Madagascar, ASGM provides direct employment for an estimated 600,000 Malagasies, 30% of whom are women and 20% children. Miners organize themselves around families and neighbors and collaborate with land or license owners. There is a lack of willingness to get organized and as a result, miners lack bargaining power with intermediaries and gold buyers. Despite the significant involvement of women in the sector, there are no women associations.

Honduras is a global biodiversity hotspot situated at the convergence of tropical and subtropical ecosystems in northern Central America. Its diverse ecosystems range from rainforest and mangroves to montane forests and barrier reefs and the country has significant conservation and world heritage value. The ASGM sector uses an estimated 9.5 metric tons of mercury each year[26][26]. In Honduras, ASGM is widespread in 61 communities across 48 municipalities, providing direct employment for at least 2,500-3,000 miners. Access to information on the gendered nature of ASGM livelihoods in

Honduras is extremely limited. The sector has proven difficult to regulate due to its wide geographic distribution, diverse mining practices, and a general lack of information.

In **Sierra Leone**, the ASGM sector remains largely informal with increasing environmental and health impacts such as land degradation, contamination of water resources, deforestation, uncontrolled use of mercury. The National Action Plan (NAP) for Artisanal and Small-scale Gold Mining (ASGM) in Sierra Leone estimates that the sector hosts 80,000 artisanal gold miners who produce an estimated 2.94 tons of gold annually. Estimates of mercury use in Sierra Leone?s ASGM sector per year is 0.352 tons, however there are indications that mercury use in Sierra Leone is on the rise recently, which would mean that higher long-term mercury use reductions can be achieved through the project. The ASGM sector has rapidly increased in size in recent years and provides many people (and especially young men and single mothers) in rural areas with livelihoods that enable them to feed their families and to pay their children?s school fees. The sector also has important effects on the local economy, as it creates demand for agricultural products and other goods and services[27][27]. Women are estimated to make almost half (47%) of the entire ASGM population. Most women work on an individual basis and sometimes in groups.

Uganda?s ASGM sector is causing pollution of water bodies including Lake Victoria. Borehole samples along Lake Victoria?s northern border showed mercury in water concentration of 10 ?g/ L compared to applicable guidelines < 1 ?g/ L and 2 ?g/L for the World Health Organization (WHO) and United States Environmental Protection Agency (USEPA), respectively. Fish analysed as part of Uganda?s ASGM NAP, including Nile perch, tilapia, mad fish, and silver fish had mercury concentrations ranging from < 1 ? 297 ?g/ g methyl mercury compared to a Food and Agriculture Organisation (FAO) guideline of 0.5 ?g/ g[28][28]. Uganda?s mercury releases are estimated at 18 tons per year. The government has gazetted as protected area some of Uganda?s wetland areas which cover 11% of the land area[29][29]. Discharge of ASGM process water is of concern in Kassanda District. In Uganda, ASGM is the primary livelihood of more than 30,000 miners in four provinces. The workforce is approximately 55% male, with female participation being highest in the alluvial mining areas of Karamoja in Northern Province. Child labor is estimated at 20?30 % in some provinces.

The **Republic of Congo** has over 200km2 of forest. In Congo, ASGM releases approximately 0.050 tons of mercury into the environment annually and more than half a century of mining has resulted in significant contamination of human and natural environments. Extensive monitoring of mercury in the environment, humans and comparable operations globally indicates that levels in the region exceed human health and environmental guidelines. The majority of mining in the region is alluvial with operations characterized by rudimentary panning, mercury amalgamation and open burning. Irresponsible management of mercury is common. Information collected as part of the NAP indicates that a remarkable 1.25kg of mercury are released for every 1kg of gold produced. The ASGM workforce of an estimated 5,000 is approximately 95% male. Women participation in the sector comprises 3% and the rest being children. There are no formal ASGM associations, presenting a potential challenge for interventions. Miners? incomes are approximately USD $20/day.

In **Nigeria**?s Northwest States, ASGM activities contribute to deforestation and desertification adding a burden to the already arid and water scarce region with mercury use in the country estimated at 14.2 tons per year. With lead naturally occurring in some of the ores and miners using mercury for amalgamation, Zamfara State experienced a rare case in 2010 where unregulated gold mining accounted for the death of over 500 people. In the four states of Niger, Osun, Zamfara and Kebbi there

are more than 222,000 miners producing over 13 tons of gold per year using over 14 tons of mercury. ASGM in Nigeria occurs in about thirteen States, directly employing about 500,000 people and supporting a further 2 million.

ASGM in **Zambia** is linked to environmental and health problems such as land degradation, siltation, forest degradation, deforestation, habitat destruction and chemical pollution. Based on the information available and using the UNEP ASGM Toolkit, the draft NAP reports for the formal ASGM sector a yearly use of 0.286 tons of mercury to recover about 0.143 tons of gold representing a 2:1 mercury to gold ratio. ASGM activities in Zambia are largely informal and unlicensed with an estimated 98% of Zambia?s 30,000 strong ASGM population falling into the informal category. However, recent discoveries of gold in numerous locations in the country are changing the landscape.

While **Guinea** occupies a modest 10th rank as overall producer of gold in Africa, when ASGM alone is considered, it jumps to the second place. ASGM supports the livelihoods of more than 240,000 miners in Guinea. The vast majority of these miners are located in the north-eastern region of Kankan, an area close to the borders with Mali, C?te d?Ivoire and Sierra Leone. The recently completed NAP reports an annual consumption of 42 tons of mercury for a total gold production of 32 tons.

Although the ASGM sector in **C?te d?Ivoire** has remained marginal in the last century (20,000 miners reported in 1999), the combined effect of the rise in the global price of gold and crisis in the other main exports for the country (coffee and cocoa), saw the number of workers in ASGM grow to over 100,000 by 2011. Currently more than 500,000 people work in ASGM in C?te d'Ivoire and the country is currently the 22nd largest producer of gold (40 tons/year) in the world and the 7th largest in Africa. C?te d?Ivoire initial baseline estimates undertaken during the development of the NAP indicate an annual use of 13 tons of mercury which is expected to rise as more and more people move to this sector. The declining economic situation in Cote d?Ivoire has seen ASGM figures rise from over 100,000 in 2011 to more than 500,000 in recent years. Miners come from Guinea, Mali, Burkina Faso and Ghana in addition to those from C?te d'Ivoire[30][30].

Barriers to Addressing the Environmental Problems and Root Causes

a) Informality (challenges of formalization)

Experts argue that most problems associated with ASGM are, in many ways, ?expressions? of its perpetual informality. As expressions of informality, most ASGM activities are unlicensed, unregulated, poorly monitored and characterized by poor mining practices and little concern for the environment.

Furthermore, informality and weak regulation keep the sector unbanked, limiting its access to formal and legitimate financing mechanisms to improve productivity and transition from mercury. Miners are forced to secure finances through informal means and without access to efficient equipment, and many are trapped in a vicious cycle of poverty. Interventions to formalize ASGM in many countries often stop at providing a license category and not much else.

Some of the reasons why formalization initiatives have had limited success include (Mutemeri, 2016)[31][31]:

- ? The focus on managing people not spaces, which stretches the meagre resources available to regulators in many of the jurisdictions where ASGM takes place. An example is the issuing of mining licenses to individuals, where each license will need to be managed through regulatory

inspections and reporting. This might be better managed if mining regimes consider creating ASGM designated areas.

- ? Exclude local stakeholders (i.e., miners? organisations, traditional and local authorities) and their institutional arrangements
- ? Inappropriate ASM regulatory frameworks derived from scaling down of regulatory provisions meant to govern large-scale mining instead of responding to the needs of the sector
- ? Lack of inclusivity in the policy formulation processes
- ? Take a niche approach as opposed to a holistic integrated approach
- ? Prioritization of large-scale mining (LSM)

b) Lack of access to finance in the ASGM sector

The ASGM sector is undercapitalized, particularly in comparison to the formal/industrial scale gold mining sector[32][32]. This means that ASGM miners are unable to finance the initial investments that are needed to switch to low or no mercury alternative techniques and technologies.

Coupled with the low access to finance, their awareness of mercury alternatives is also very low. The most salient barriers to increasing capitalization of informal gold mining operations are: a lack of education and a highly negative perception of the sector within financial institutions, a lack of data, a lack of formal business skills, the scope of the finance required and the remoteness of the operations which create market access challenges.

The lack of formalization of ASGM also presents a significant hurdle to finance. A lack of education within the market means that local banks lack the understanding of the ASGM sector required to create financial products for it. This lack of understanding coupled with the negative perception of ASGM and its informality make financiers bearish on the prospect of investing in the sector[33][33].

c) Low technical capacity in countries to support formalization and mercury reduction

There is weak technical capacity in many ASGM countries to help the sector professionalize, train on mercury free techniques and provide adequate support.

Barriers to knowledge transfer on mercury reduction include poor capacity of actors at the local level and limited technical knowledge. Despite availability of mercury free technologies, these have not received widespread uptake by miners.

The reasons include; (i) the cost of the equipment, (ii) poor gold recovery of gravity only solutions especially for fine gold or non-free milling gold, (iii) failure to adapt technologies to the level appropriate for ASGM organisations, (iv) lack of adequate training to enhance capacity during transfer of technology to miners, and (v) lack of awareness on available mercury-free alternatives.

d) Lack of a holistic approach and regional coordination

The lack of regional coordination presents a challenge to achieving mercury reduction in ASGM. Research points to challenges with regional mercury flows, informal gold trading and illicit financing as transboundary issues.

A study conducted by UNIDO[34][34] on regional mercury and gold flows in the Economic Community of West African States (ECOWAS) region of Africa, concluded that; i) misalignment between regulatory frameworks and lack of coordination amongst relevant actors frustrates attempts to curb

mercury supply and use, ii) efforts to curb mercury flow would benefit from greater coordination at the state level and by including various actors in mercury discussions and capacity building, iii) harmonization of trade and taxation regulations, and improving coordination in the ECOWAS region would disincentivize the trade of mercury between targeted countries, and thus meet their obligations under the Minamata Convention.

In the Guianas, the major border rivers of the three countries allow for the easy movement of miners, mercury and gold[35] and better regional coordination would address the transboundary flow.

Baseline Scenerario

The baseline scenario was derived by means of a review of ASGM literature and initiatives that are thematically related to the outcomes of Component 2 of the global project, and on-going work under the planetGOLD programme; these areas are: knowledge platforms for the ASGM sector and public perception of the ASGM sector.

Review of Existing Knowledge platforms

There is a significant and growing literature on ASM issues, however the information is scattered across various websites and not always readily available to the public (at least until the advent of the planetGOLD knowledge platform launched in phase 1). This is particularly true for peer reviewed literature in academic journals that is often placed behind a ?paywall?, making the knowledge contained inaccessible to the vast majority of ASGM stakeholders. The ASM community has recognized this gap, and in response, several efforts have been made to create ASM-focused websites and/or ?knowledge hubs? to improve access to information and tools, and in some cases, to create a platform for sharing information among ASM practitioners.

While these knowledge hubs target a range of different audiences, the focus is primarily academia, governments, the mining community and other professionals (rather than, for example, miners). Some sites cover general ASM issues, while others are focused on particular topics areas within the ASM space, including health, child labor, policy, social impact, conflict mapping, trade, technical assistance, sustainable communities, extraction, legal resources and socio-organizational matters.

Some sites cater to specific regional audiences, for example, the African Intelligence page highlights energy, mining, and other topics from an African perspective. SAESSCAM-ASM is a database that focuses on registering production and socio-economical information on artisanal and small-scale mining sites, specific to some Francophone countries in Africa.

In Asia, the Sustainable Artisanal Mining Project?s knowledge hub focuses on formalization, advocating for environmentally sound mining practices and raising awareness amongst stakeholders within the Mongolian ASM sector.

In Latin America, the Plataforma Integral de Miner?a a Peque?a Escala aims to broadcast the knowledge on formalization and access to responsible gold markets in the four countries of focus: Bolivia, Colombia, Peru and Ecuador.

With the launch of the first phase of the planetGOLD programme, the planetGOLD knowledge hub was created, laying a strong foundation for knowledge sharing within the global ASGM sector. The website (planetGOLD.org) features and connects all the GOLD child projects under the umbrella of the planetGOLD programme and gathers information, resources, and tools, organized according to the four programme knowledge areas: technical solutions, formalization, access to finance and awareness raising. It aims to assist countries and other stakeholders by curating the available ASGM related information to identify key resources within the vast store of existing information and by creating brief, understandable, topic-specific syntheses, analyses and/or guides that focus on key topics.

The Knowledge Repository on the planetGOLD website, currently contains over 500 ASM publications, videos and websites, in 10 languages and on over 20 topics in the ASGM sector (e.g., human rights, gender, environment and biodiversity). Moreover, the platform is continuously updated with news stories and ?Voices? blogs entries that present progress made by the planetGOLD participating countries and provide reflections and analysis of the featured topic, including for example women in mining and biodiversity. The Knowledge Repository is actively maintained by identifying and adding new ASGM resources. Since its launch in November 2019, the planetGOLD website has reached over 50,000 unique users around the world and received more than 110,000 page views. The extended and exceptional reach of the platform demonstrates its potential to extend program lessons and impact beyond the planetGOLD country projects.

In addition to knowledge hubs, there are also networks of experts that constitute a community of ASGM practitioners. For example, The Global Mercury Partnership (GMP) aims to bring together a community of experts from diverse networks, foster communication and collaborative work, while the planetGOLD platforms gather, curate, synthesize and analyze existing information on ASGM, which governments can practically employ when formulating relevant strategies under the NAP or planning other interventions in their ASGM sector. The Global Mercury Partnership and planetGOLD have collaborated on several events and workshops during the first phase of the programme.

In the ASGM sector specifically, the planetGOLD platform is becoming a ?go to? resource for the different stakeholders such as government, private sector, development actors, researchers and ASGM organizations concerned with the topic. Without the planetGOLD knowledge platform to serve as the centralized hub for information related to the creation of sustainable ASGM sectors, the replicability and scale-up of best practices and successful approaches learnt by country projects during implementation is imperiled.

The planetGOLD website creates a free centralised repository for all knowledge generated by the country projects and the global ASGM community; without it, no readily accessible way exists for ASGM stakeholders to find relevant information about what has and has not worked for the country projects and the sector more broadly. The significant traction that the planetGOLD platform has achieved demonstrates the deep desire for the solution that it provides. Expanding and improving the platform based on this traction will prevent a return to the pre-planetGOLD stage of the market where only the few with sufficient budget or expertise could access the empirical knowledge being created about the ASGM sector.

Gaps and opportunities on providing information via knowledge platforms

Although the planetGOLD knowledge platform has laid a strong foundation for information sharing, there is still room to enhance curation and broaden the knowledge base of the platform to support ASGM formalization and responsible mining. For example, information on jurisdictional or landscape approaches (more information under alternative scenario) and regional approaches as an enabler of formalization makes an innovative addition to the platform.

Moreover, the cross-cutting issues, for example gender dimensions, links to biodiversity, impact on indigenous communities, responsible gold supply chains, due diligence in gold supply chains, digital transformations in ASM, or interaction with large scale mining, could be more prominently featured in dedicated knowledge materials specifically tailored to the planetGOLD participating projects.

There is an opportunity to further strengthen the planetGOLD knowledge hub by developing and curating the materials on the subjects mentioned above.

In addition, the ongoing collaboration with the developers of the other knowledge hubs (e.g., DELVE and the Global Mercury Partnership) can ensure that they enhance features complementary to the needs of planetGOLD and joint research and publications could be proposed when applicable. For example, the DELVE programme runs a global knowledge sharing programme amongst miners and this provides an opportunity to further upscale planetGOLD?s reach to miners.

In summary, substantial information exists and more will be generated over the coming years, this is largely attributable to the establishment of GOLD and GOLD+. The planetGOLD platform will continue to execute its current curation and communication strategies to ensure that the correct information makes it into the hands of the right people in order to assist them in making decisions that will deepen mercury reduction in their countries.

For the purposes of implementation of the Minamata Convention, the right people include: policymakers, local leaders, miners, private and commercial finance and other stakeholders with the ability to change behaviors to improve the ASGM sector. The right information includes materials curated, synthesized, or specifically tailored to meet the specific needs of each target group in a format which is readily accessible and easily understood.

Public perception

Today, the ASGM sector is often perceived negatively due to its links to organized crime, precarious working conditions, and impacts on the environment (e.g., mercury use and deforestation). There are consistent assumptions made always inherently linking ASGM with these problems. However, this perception is unfair as it does not take into account the numerous positive impacts that the sector has (e.g., provision of livelihoods and the related dependents that are supported by those livelihoods).

Often, the informal and ultimately secretive nature of the sector allows for a negative depiction of the sector to take hold and mislead public perception. If managed in an informed and responsible way, the sector has tremendous potential to contribute to sustainable development goals, for example by securing jobs in rural areas, by switching to mercury free techniques that minimize the risks to miners? health, and by applying environmental safeguards that integrate a landscape approach into ASGM to minimize adverse impacts on ecosystems and biodiversity.

As a result, it is critical that the global project achieve the goal of helping more stakeholders from governments, private sector, mining communities and the public to have an improved understanding of the ASGM sector by accessing knowledge products that promote responsible ASGM and provide insights on how it can be achieved. Negative public perceptions of ASGM can sometimes motivate governments to take high profile actions which can stand in the way of positive progress in the sector. For example, in the midst of a concerted media campaign against ?illegal? gold mining in Ghana, the Ministry of Lands and Natural Resources took the severe action of suspending small scale gold mining in the country, as well as dismissing all of the district officers of the Minerals Commission, the entity responsible for providing direct services to small scale miners throughout the country. These actions affected legal and illegal miners alike and undermined outreach efforts. These types of actions can be

highly counterproductive to efforts to assist miners reduce mercury use, driving mining underground and making it more difficult to engage with communities to provide information, training and financing.

The often-negative media coverage on the sector is a reflection of public misperception of the challenges the sector is facing and the root causes of the problems; the focus is on the problems, not the potential or how the problems themselves can be rectified. For example, mercury is highlighted as a toxic impact of ASGM sector in: the New York Times article entitled ?Peru Scrambles to Drive Out Illegal Gold Mining and Save Precious Land?[36][36], National Geographic?s article entitled ?The Toxic Toll of Indonesia's Gold Mines?[37][37], and the CNN op-ed ?What you should know about your jewelry?[38][38]. Overall environmental destruction is emphasized in the BBC?s ?Letter from Africa: Why a new word in Ghana spells trouble?[39][39], and the 2016 documentary ?River of Gold?[40][40]. On occasion, there are more nuanced discussions of ASGM such as the Guardian?s ?A million artisanal gold miners in Madagascar wait to come out of the shadows?[41][41] and The Economist?s ?In praise of small miners?[42][42].

Some of the more recent news articles report the root causes or provide overview of challenges that the sector is facing while providing a positive outlook for possible interventions that will allow the sector to thrive. For example, ?Zimbabwe is hemorrhaging gold. Can a key reform curb smuggling??[43][43] examines the causes and impacts of the illicit gold trade in ASGM sector in the country and highlights the key reforms that are underway (e.g., formalizing ASGM cooperative, paying miners current market rates for gold etc.), and ?Zimbabwe: Link Small-Scale Miners to Big Players to Protect Environment?[44][44] provides analysis and proposes solutions to improve livelihood of the ASGM miners while decreasing its environmental footprint. Amplifying these messages is a key goal of the global project and should be part of all communications efforts in ASGM. Without this change of perception heavy handed policy decisions will continue to be made, which will result in ASGM miners continuing to be driven into illicit mining where mercury will continue to be emitted into the environment. The communications of the global project are central to amplifying these more hopeful and constructive messages. For example, since the launch of the first phase of the planetGOLD Programme, various national news outlets have shed a positive light on the sector by highlighting the project?s objective and approach to eliminate mercury use in ASGM in the country[45][45]. Engaging different news outlets through the planetGOLD programme has also served the purpose of building capacity and raising ASGM champions within the media space.

In the light of the ongoing COVID-19 pandemic, Reuters published the piece entitled ?Subsistence miners lose out as coronavirus crushes local gold prices?[46][46]. The article highlights the vulnerability

of the hugely informal sector where despite high gold prices on international markets, the buying price of gold at many artisanal mining sites crashed as a result of COVID-19. In other instances, news outlets have stressed that shifting national priorities might weaken the monitoring and enforcement of environmental policies[47][47], causing additional stress on efforts to soundly manage the ASGM sector.

Market-based efforts to improve the reputation of ASGM gold

There is an emerging global market built around increased interest in buying/selling responsibly mined gold which is mercury free or reduced-mercury. Such market-based mechanisms play a role in incentivizing miners to transition away from mercury use and/or specific bad practices, and to transition toward more environmentally and socially sustainable practices. For example:

? The Fairmined Standard[48][48] includes requirements for ASGM organizations to conduct responsible ASGM.

? Better Gold Initiatives?[49][49] integrated supply chain project aims at improving the social and environmental conditions of ASGM throughout the world.

? Code of Risk-mitigation for ASM: engaging in Formal Trade (CRAFT)[50][50] is an open-source standard that enables ASM gold producers to access formal markets by proactively facilitating due diligence of their supply chains conforming with the OECD Guidance at the earliest possible stage of their development.

? The planetGOLD Criteria for Environmentally and Socially Responsible Operations[51][51] ensures that artisanal and small-scale miners participating in the planetGOLD Programme undertake sufficient efforts to avoid, minimize, mitigate, and where appropriate offset adverse impacts to people and the environment.

Without GEF funding to pilot, support implementation and promotion of these market incentives, including the planetGOLD Criteria, miners will continue with poor environmental practices in mining.

The reputation of ASGM gold which is currently perceived negatively in the market will not benefit either. The market needs to have more responsibly mined ASGM gold to change the narrative and perception. Miners will continue facing difficulties with access to markets and finance and further room will be given for illicit actors to support the sector. Under the planetGOLD programme progress is being made to deliver responsibly mined gold to the market and telling those success stories and the progress being made in the sector via the planetGOLD communications channels is critical to assisting the amplification and upscale of market-based efforts to improve the reputation of gold from ASGM.

Gaps and opportunities on public perception about ASGM

While the planetGOLD programme has made significant progress on positive and solution-oriented media coverage, the general lack of such media coverage globally on responsible ASGM interventions perpetuates the one-sided negative perception of the sector. Changing this requires that the global project continue and improve upon its already impactful communications strategy (more detail on the updated strategy can be found in Appendix 11).

There is an opportunity to further create a media strategy that highlights improvements in the sector (especially those made by the country-level projects in the planetGOLD Programme) and to emphasize the positive development opportunities presented by responsible small scale gold mining. In no way will these activities ?greenwash? the genuine social and environmental issues confronting the sector, but they will attempt to create more balanced coverage of the issue. By doing so, the general public and policy makers, and other stakeholders such as investors, will be better informed and more likely to support effective policies and strategies to improve conditions, bring ASGM into the formal economy and support development of responsible ASGM supply chains.

Without media influence towards a positive image on responsible ASGM there is a risk that the negative perceptions on the sector keep it from development. The sector should create greater positive messaging for the downstream and financial sectors to increase access to markets and funding for its development. Pushing a narrative of a growing responsible ASGM will help in showcasing emerging good practices and promoting private sector engagement.

Finding and amplifying the positive impact of these practices through the planetGOLD communication channels is the work that is being undertaken by the global project in phase 1 and this will be continued and improved upon during phase 2.

Moreover, through the jurisdictional approach, the market and policy-based interventions will be combined 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 livelihoods, eliminating mercury and maintaining natural ecosystems through coordinated strategies across the sector.

By involving and educating all the relevant actors across the ASGM landscape, through the planetGOLD communications channels and events, 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.

Achieving this will involve changing perceptions around artisanal and small-scale gold mining, particularly at the national and global level. The project?s communication strategy will support this by re-framing the issue around the social, environmental and economic benefits of supporting artisanal and small-scale miners, and by systematically engaging the media to cover the issues through a solutions-orientated angle. At the same time, it will proactively pitch and place stories, opinion editorials and blogs in the media and on the platforms used by governments, the finance sector and the global gold industry. As the programme unfolds, brand partnerships and joint campaigns will also support this perception change.

This communications strategy will also proactively promote what the programme is learning and the knowledge that it produces to maximize uptake among key audiences, including the development community and private sector, particularly those working in ASGM.

Finally, this strategy will also consolidate and strengthen stakeholder and donor support by regularly communicating updates, milestones and impacts. A storytelling approach with a strong focus on audio-visual content production will make the communications materials produced through this strategy appealing, impactful and enable the programme to reach a wider audience.Without the centralised, prolonged and concerted efforts of the global project, disparate communication efforts from the ASGM sector will not achieve the large-scale amplification required to change perceptions about the sector.

Associated Baseline Projects

ASM knowledge Hubs and networking platforms that complement the planetGOLD platform include Communities and Small-scale Mining (CASM), Solidaridad and DELVE: the Global platform for ASM Mining data to name a few. Appendix 11 Communication Strategy contains a full list of all the relevant knowledge platforms and websites identified.

UNEP Global Mercury Partnership (GMP) platform, which offers robust content and includes a range of information from technical case studies, reports, toolkits, country conference reports and information specific to the language within the Minamata Convention. In particular, since 2009, the ASGM area of the Global Mercury Partnership has been working to compile relevant information and create important synthesis tools. This includes a set of guidelines and methodologies to assist governments with developing their Minamata Convention NAPs for the ASGM sector[52][52], for example:

- ? The NAP guidance document
- ? Methods to quantify mercury use and characterize practices in the ASGM
- ? Formalization Handbook
- ? Quick start guide to incorporating gender dimension in the ASGM NAPs
- ? Quick start guide to managing mercury trade under NAP
- ? Illustrated guide to mercury free ASGM practices

The developed guidelines and methodologies are used by an increasing number of countries and other actors working on mercury reduction activities.

The DELVE database is a knowledge hub gathering information on the broader artisanal and small-scale mining sector, including gems, gold, other metals, and low value minerals. It is developed by Pact and funded by the World Bank. The objective of the platform is to support the collection, storage, analysis, visualization and dissemination of ASM data; to define shared metrics for collective measurement of the ASM sector; to aggregate data from distinct data sources allowing for real-time analytics and dynamic decision-making; and, to create rich business intelligence tools for at-glance including insights, interactive charts and maps. The effort includes collaboration from a range of stakeholders who contribute their data on the sector. Moreover, it aims to allow miners to showcase their work and access new resources for advocacy and business opportunities. DELVE has published a ?2020 State of the Sector Report?[53][53] that examines ASM?s contribution to the achievement of Sustainable Development Goals and efforts to close the data gaps on the sector. The report builds upon the ?2019 State of the Sector report? [54][54]. It features five focus areas: (i) improve occupational health and safety, (ii) stimulate economic growth, (iii) make production sustainable and eliminate mercury, (iv) ensure gender equality, and (v) eradicate child labor and promote youth employment; and demonstrate 22 case studies contributed by over 30 partner organizations. DELVE is also hosting COVID -19 working group that focuses on sharing experiences working in ASM sector in the light of pandemic and is coordinating a global data gathering exercise to monitor and record specific COVID-19 impacts on select ASM communities.

NAPs to reduce mercury use in ASGM are national documents developed by Parties to the Minamata Convention. The documents contain a comprehensive overview of the national state of the ASGM sector (based on field and desk data collection) and outline the required strategies to better manage and eliminate the mercury use in the sector. A growing number of countries have submitted their NAP

documents which are now available on the website of the Minamata Convention[55][55] (up to date 13 national documents are available, with more to be published over the course of 2021). The data and information gathered in each NAP document form a baseline of the current national status on the sector and planetGOLD projects can align and build upon their findings. A set of NAP focused methodologies and guidelines are available on the GMP platform (as described above).

The UN Economic Commission for Africa is developing a knowledge platform on the issue of artisanal and small-scale mining (ASM) for the AMDC. While the portal will apply to all kinds of minerals, not only gold, the information resources and other services will provide a robust set of assets that can be accessed by anyone interested in the ASM topic. The portal is conceptualized as a one-stop-shop where users can find a very robust search engine that includes algorithms to search the deep web and grey literature; a discussion forum; an experts? database; a knowledge repository, research guides on key topics; and, a knowledge hub that includes services to contextualize the data (e.g., finding related articles or news stories to complement a particular search). The planetGOLD programme will closely work with this initiative in the dissemination of information activities.

Regional Knowledge Hubs: The African Union?s (AU) African Minerals Development Centre (AMDC) knowledge hub is worthy of consideration. While in its nascent stage, it offers an institutional set-up which has the potential for wide and effective dissemination in Africa. The AMDC is currently receiving institutional capacity support from the UNDP, and opportunities exist to explore synergies. Regional knowledge hubs offer the opportunity to disseminate knowledge at scale with the support of regional networks to encourage cross-learning and regional impact through peer learning. Such knowledge hubs would provide useful information for countries at the start of their ASGM formalization journey and should be explored. In Latin America, the Plataforma Integral de Miner?a a Peque?a Escala aims to broadcast knowledge on formalization and access to responsible gold markets in the four countries of focus, Bolivia, Colombia, Peru and Ecuador.

Country Knowledge Hubs: ASM focused knowledge Hubs in different countries including those who are part of the planetGOLD programme are worth considering. These hubs provide in-country research and are a source of existing knowledge that country child projects can build on. This knowledge can also be relevant at regional level where countries share landscapes such as the Amazon. Country knowledge hubs include **Centro de Innovatiocion Cientifica Amazonica (CINCIA)**[56][56] **i**n Peru**,** the Mongolian Knowledge Hub[57][57] and SAESSCAM-ASM in the Democratic Republic of Congo, among others.

JA/LA Knowledge Hubs: Knowledge Hubs that provide information on JA/LA approaches such as the Jurisdictional Approach Resources Hub[58][58], Global Landscape Forum[59][59] and Landscale[60][60], provide frameworks and support tools that could be beneficial to the child project countries. These JA/LA knowledge hubs offer useful guides and resources that could help guide the Global Component project but could also be hosts of knowledge generated by the country child projects. Given that JA/LA are being tested for their potential to advance ASGM formalization, this is a great opportunity for the GEF GOLD programme and these resource hubs to showcase the efficacy of their approaches in the ASGM sector.

The Global Component is expected to develop and conduct a training series, provide tools and support for JA processes within country projects. Countries progressing to country assessments will be guided by the Landscale Assessment framework. The framework provides a holistic overview of a landscape in relation to the four pillars of sustainability: ecosystems, human well-being, governance, and production. It helps users gain critical insights, make more informed decisions, and share credible stories of impact. For relevance to the ASGM sector, the Global component will consider and review the framework to include ASGM relevant indicators within the 4 sustainability pillars to guide the project?s results framework.

Regional Initiatives: The regional initiatives in Africa and Latin America would be relevant to the majority of the planetGOLD countries. In some regions, countries share landscapes which are impacted by ASGM activities. Impacts include ecosystem and biodiversity disturbances, undocumented movements of people, illicit mercury and gold flows, tax evasion and illicit financial flows. Some regional initiatives the Global Component can consider for collaboration, sharing of tools and networking include:

- The International Conference on the Great Lakes Region (ICGLR)[61][61]
- The Economic Community of West Africa States (ECOWAS)[62][62]
- The Amazon Cooperation Treaty Organization (ACTO)[63][63]
- The Central Africa Forests Commission (COMIFAC)[64][64]
- The African Mineral Geosciences Centre (AMGC)[65][65]

Alternative Scenario

The alternative scenario builds on, consolidates and upscales the significant achievements of the planetGOLD platform and communications strategies to date. In the proposed alternative scenario:

? The dedicated ASGM knowledge platform (planetGOLD) is improved and expanded upon and continues to be made accessible to all stakeholders. This will aid the access and adoption of knowledge by stakeholders that assists in the reduction of mercury use in ASGM.
? The planetGOLD communications strategy and stakeholder engagement plans that began in phase 1 are continuously improved and expanded. This will, 1) improve public perception of the ASGM sector, 2) promote further uptake of knowledge generated by the project country projects, 3) encourage engagement with content hosted on the planetGOLD knowledge platform, 4) increase the visibility and successes of the planetGOLD Criteria for Environmentally and Socially Responsible Operations and other similar mechanisms, and 5) encourage replication of the methods and approaches that have been successfully developed and implemented by country projects under phase 1 and 2.

The global project will have two primary components: 1) Knowledge Management and Communication; and 2) Coordination and alignment of child projects with programme objectives.

Whilst the activities of the first component more directly address the issues associated with the business-as-usual scenario (a lack of accessible ASGM knowledge platforms and the difficulty of changing public perception of the sector), the second component is also key to achieving the aims of

component 1 as the coordination and monitoring activities will assist in the attainment of programme level goals.
The two components reinforce each other as: the successful execution of the programme requires the individual country projects to succeed in a manner aligned to the programme; successful country projects will in turn lead to more positive stories, case studies and empirical analyses that will be amplified by the planetGOLD communications strategy.

These stories and knowledge products will encourage replication of the approaches that helped generate the positive outcome and serve as collateral for the perception change efforts of the project. The Theory of Change Diagram (Figure 1) illustrates this process.

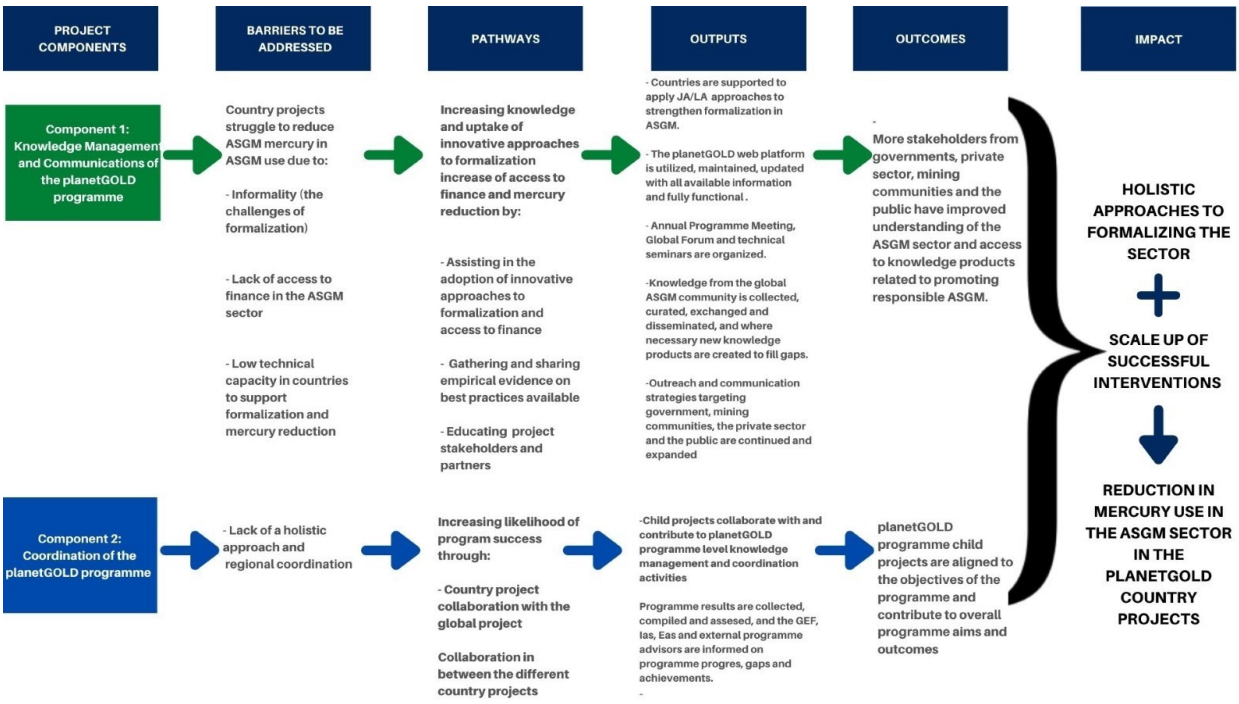

Figure 1: Theory of Change

The programme aims to promote mercury reduction in ASGM through holistic multi-sectoral integrated formalization innovations. The programme considers all facets of gold production and supply chain, to enable an optimally functioning ASGM sector with the appropriate capacity to reduce mercury use and support sustainability.

The integrated approach proposed responds to and reflects the Theory of Change by designing interventions that focus on the earlier mentioned barriers preventing the uptake of sustainable mining technologies and practices.

Innovative models including jurisdictional/landscape approaches and regional approaches, ASGM financial inclusion, upscaling mercury free technologies and communications to shift negative perceptions are embedded in the theory of change to drive formalization and the resultant sustainable mining practices that reduce mercury use and realize biodiversity protection outcomes.

Knowledge sharing around this approach to formalization with key stakeholders will lead to replication of the approach within multiple jurisdictions in the planetGOLD countries, as well as scaling up of the approach in other ASGM countries who are included in knowledge sharing activities.

Knowledge sharing lays the groundwork for sustainable change in the ASGM sector and achieving the global environmental benefits that the project aims for by providing access to best practices. Coordination of country efforts on knowledge sharing, result tracking and lessons learned contributes to achieving the overall objectives of the programme, and to upscaling mercury reduction efforts amongst implementing countries.

Component 1: Knowledge Management & Communication
Under this component, the project will build on the significant progress of the planetGOLD knowledge platform, execute both the project?s communication?s strategy as described in Appendix 11 and the stakeholder engagement plan as described in Appendix 7.

The following section provides a brief description of the specific activities and outputs under Component 1?s expected outcomes and how they will contribute to the attainment of the alternative scenario.

Outcome 1.1 Stakeholders from governments, private sector, mining communities and the public have improved understanding of the ASGM sector and access to knowledge products related to promoting responsible ASGM

Output 1.1.1: Jurisdictional Approach/Landscape Approach: Countries are supported to apply jurisdictional and landscape approaches to strengthen formalization in ASGM

This first output centers on the promotion of innovative formalization approaches to ASGM. In particular, it focuses on jurisdictional and landscape approaches to strengthen ASGM formalization. The focus on these approaches is a response to information gathered from stakeholders during phase 1 that innovative holistic approaches to formalization should be developed and trialed during the phase 2. These approaches are replicable and scalable.

Jurisdictional and landscape approaches will be piloted through the project at the country level to increase formalization in the ASGM sector. Jurisdictional and landscape approaches will be taught and where feasible tested in project countries. Each country's experience will provide a wealth of knowledge about the effectiveness and applicability of these approaches in specific contexts which can then be used to generate models and solutions which are the most promising for different conditions.

Jurisdictional and landscape approaches have not been applied to the ASGM sector but their track records in other fields[66][66] and the focus areas of these approaches are well aligned to tackle many of the issues associated with formalization. For instance, the landscape approach is best suited to interventions with some or all the following characteristics: programmes where the target area has multiple land uses and/or functions (e.g., watersheds, national parks, forestry concessions and agricultural zones); and interventions that require working with multi-level governance issues and multiple government authorities and agencies, for instance a landscape that falls into multiple jurisdictions.

The jurisdictional approach is designed to achieve a high level of governmental involvement and typically includes: forums or coordination structures designed to solicit input and garner support from

influential and/or affected stakeholders; and plans that detail the environmental, social and economic goals of the jurisdiction and how they will be achieved.

Addressing the environmental degradation caused by ASGM whilst taking into account the social and economic goals of the landscape could be assisted by the adoption of a jurisdictional approach as this is the kind of complex intervention and environment that the approach is tailored to. Few productive activities are as entwined with other ecosystems and sectors as artisanal and small-scale gold mining. The effluents and contaminants for ASGM easily permeate into surrounding ecosystems and eventually food systems. The money that flows from ASGM fuels other activities and the contaminants can have substantial impact on human health.

As an internationally traded commodity, gold is directly linked to global supply chains. As such, ASGM is an ideal candidate for taking advantage of the integrated nature of the jurisdictional approach. In short, if a given jurisdiction can implement best mining practices within the framework of a broader plan to achieve landscape-scale sustainability that harmonizes production and protection, the jurisdiction will be well-placed to take advantage of unreasonably vigilant companies and investors who are keen to protect their brand?s reputation and do good for the communities in which their operations take place.

Traditional certification schemes generally focus on improving the production processes of one business at a time, which greatly limits the scale at which environmental and social benefits can accrue. A key advantage of the jurisdictional approach over other approaches to achieving sustainability within a sector is that by having an entire subnational jurisdiction on a clear path to sustainability, supply chain managers and investors can avoid the scale limitations of a farm by farm, or mine-by-mine approach.

In the case of the ASGM sector, once an entire subnational jurisdiction- including both operators and government- has committed to conforming to agreed standards and targets, all mines within the jurisdiction can capture the sourcing and investment benefits.

As an example, from the agriculture sector, onc Brazil?s Par? Green Municipality (PGM) and all soy producers there agreed to a policy of selling no soy that came from deforested areas, soy purchasers could buy from any PGM farmer with greater confidence that their operations were not connected to Brazil?s globally visible Amazon deforestation problem.

Similarly, for the ASGM sector, once an entire jurisdiction commits to zero mercury use in operations and put in place the relevant regulations, incentives and MRV programme, all mines could benefit from increased market share or premium pricing from responsible sources.

While the integrated nature of the jurisdictional approach is its strength, it also puts substantial demands on those interested in putting it into practice due to the diverse components and skillsets required. While there are a variety of frameworks and process guidance for each, most have certain commonalities that constitute the essential elements for successful implementation.

The themes that will be included in this project?s jurisdictional approach curriculum and global expert group in charge of each are:

A. Underlying drivers assessments: Analyses of policy and economics that identify the root causes and levers that must be changed to facilitate systemic transformation to sustainability;

B. Governance assessments: Evaluation for how decisions are made and implemented so that improvements can be made to ensure full stakeholder participation, transparency and accountability in the pursuit of a sustainability vision;
C. Impact assessments and ecosystem service valuation: Understanding the dependencies between productive activities and the surrounding environment in order to fully cost, and in some cases, compensate for negative environmental impacts
D. Multistakeholder coalition creation and function: Building an inclusive, well-informed, cooperative body of all relevant stakeholders to build a vision for sustainability and roadmap to pursue it
E. Negotiation training: Empowering marginalized groups, often local communities, indigenous people, women and youth to be able to play a proactive role in defining their future;
F. Landscape action plans: Building out the specific interventions required to strike a balance between production and protection in a way that allows people to meet their needs without cashing out natural life support systems
G. Landscape finance plans: Identifying scalable revenue streams that can be knit together in blended financial mechanism to bear the cost of transitioning to a sustainable system), and;
H. Comprehensive monitoring and evaluation frameworks: A system of tracking progress across the key dimensions of sustainability, including human wellbeing, ecosystem health, governance, and sustainable production.

To strengthen the capacity of countries implementing the JA/LA approach, linkages will be made with JA/LA knowledge Hubs such as the Jurisdictional Approach Resources Hub and Landscale. Countries progressing to country assessments will be guided through the Landscale Assessment framework. The framework provides a holistic overview of a landscape in relation to the four pillars of sustainability: ecosystems, human well-being, governance, and production. It helps users gain critical insights, make more informed decisions, and share credible stories of impact. To ensure the Landscale indicators are relevant to the ASGM sector, the project considers updating the framework to include ASGM relevant indicators within the 4 sustainability pillars.

Child project countries will be supported to understand the JA/LA approach. This will be done through a webinar series and topical presentations to develop tools, methodologies and implementation plans. Countries with an interest in deepening their understanding and building stakeholder coalitions will be supported in the development of a landscape plan. The support will follow the steps described below:

A. Tier 1: All fifteen country projects will receive eight 90-minute sessions, one for each of the above themes. During these sessions, global experts will provide 45-minute presentations on each theme and answer questions that help each country team determine whether the additional expert support on each theme and associated tools will be relevant to their ASGM programme of work and would be helpful in beginning to build the foundations for embedding their work in a jurisdictional approach. Tier 1 trainings are expected to take place during the first quarter of project implementation.
B. Tier 2: Each country project will have the opportunity take deep dives into the themes and tools of greatest impact to the respective countries. Tier 2 trainings will involve advance interviews and surveys by global landscape experts to identify priority interests, needs and opportunities so that a tailored curricula can be developed. Trainings will take place over 4-6 hours using virtual platforms. Following these trainings, experts will prepare reports with recommendations for each country programme regarding how to advance on the respective theme. Tier 2 trainings will take place during the first year of implementation.
C. Tier 3: For country programs that decide a particular theme and associated tool fits their needs, global experts will conduct assessments, assist in building coalitions, and plans and implementing M&E frameworks. Tier 3 implementation will require country resources for implementation.

These holistic approaches will assist in the development and promotion of market-based efforts to improve the reputation of ASGM gold. The activities under Output 1.1.1 are detailed below.

Activities:

? Train project countries virtually on jurisdictional and landscape approaches to strengthen their ASGM formalization efforts
? Provide in-depth webinar series and topical presentations
? Support project countries through JA/LA experts to develop formalization implementation plans based on jurisdictional and landscape approaches
? Create and disseminate knowledge products on jurisdictional and landscape approaches to formalization
? Create and share high-level webinars, reading materials and tools with project participants and the wider ASGM community

Output 1.1.2. The planetGOLD web platform is utilized, maintained, updated with all available information and fully functional (including news, events, blog posts, resources, curated thematic pages)

This output will help overcome limited access to knowledge problem described in the baseline scenario. Under this output the project will continue building on the current achievements of the planetGOLD platform which will be promoted as the ?go-to? resource for global ASGM information sharing and lessons learned through enabling user access, strengthening its content and cross linking with other existing knowledge platforms.

Activities:

? Maintain and iteratively improve the planetGOLD online platform based on feedback from stakeholders
? Update and expand existing content, resources and thematic sections on the platform from phase 1
? Add new knowledge areas to the platform to include information, for example, on topics such as JA/LA in ASGM
? Update and promote news, events, media and other content continuously on the site to assist the country projects in amplifying messaging to their stakeholders
? Make arrangements to ensure continuity of site content and resources after the project closure (avoiding a situation where the knowledge platform would cease to operate at the end of the project)

Output 1.1.3 Annual Programme Meeting, Global Forum and technical seminars are organized

Under this output, arrangements for in-person and online knowledge sharing events will be organized, including issuing invitations, organizing venues (virtual and in-person), interpretation, and other meeting needs, including communication focal point meetings from all target countries.

Activities:

- Organize an annual programme meeting year, beginning in year 2, focusing on exchange among planetGOLD project participants
- Organize two Global Forums, convocations of the entire ASGM global community to share knowledge and experience.

●Arrange ad hoc technical webinars and meetings on an as needed basis (including communication focal point meetings), to address knowledge sharing needs on special topics identified during the implementation of the project

Output 1.1.4: Knowledge from the global ASGM community is collected, curated, exchanged and disseminated, and where necessary new knowledge products are created to fill gaps

Activities:

? Identify and curate relevant resources and content to share with country projects and to add to the knowledge repository
? Broaden sources of existing ASGM knowledge by providing links to regional and national ASM Hubs such as the African Intelligence page, SAESSCAM-ASM database, Sustainable Artisanal Mining Project?s knowledge hub and the *?Plataforma Integral de Miner?a a Peque?a Escala?*.
? Create and/or assemble technical content for knowledge sharing events, including creating the agendas, recruiting speakers, and creating meeting materials (e.g. meeting reports), in conjunction with activities under Output 1.1.3
? Commission new knowledge products or synthesis products to fill identified gaps

Output 1.1.5: Outreach and communication strategies targeting government, mining communities, the private sector and the public are continued and expanded

Activities:

? Execute, refine and expand the programme-level communication strategy developed under phase 1 of the planetGOLD Global project in response to feedback by the Global Communications manager
? Develop and maintain extensive social media coverage and campaigns for a range of audiences that provide awareness of the social, economic and environmental dimensions of the sector that is linked to and enhanced with content published on the planetGOLD knowledge platform
? Conduct outreach to international media outlets to cultivate interest in positive success stories on responsible mercury-free ASGM gold production
? Enlist high profile individuals and brands to support project success communications
? Enlist The planetGOLD Programme Advisory Group (PAG) members to support with outreach to downstream actors

The global project will continue to support country-level child projects in creating locally developed communication materials that educate the public on ASGM:

? Promote communications and activities (such as success stories at the country level) through the global project?s social media and its network that extends to conventional media outlets
? Use online events, the planetGOLD website and newsletters to share country project success stories, milestones and case studies
? Develop an online based community of practice, comprising country project communications managers to engage and share information and lessons learned within the programme countries on how to best amplify communication efforts

Component 2: Coordination and alignment of child projects with programme objectives

The objective of this component is to ensure overall coordination and tracking of results and impacts of the programme as a whole. It supports the attainment of the alternative scenario by assisting country projects to: remain aligned with the objectives of the programme, contribute their lessons learned to the planetGOLD knowledge base, coordinate with one another, assist beneficiary mining entities to

conform with the planetGOLD Criteria, adopt stakeholder engagement strategy consistent with programme guidelines.

Outcome 2.1: planetGOLD programme child projects are aligned to the objectives of the programme and contribute to overall programme aims and outcomes

Output 2.1.1: Child projects collaborate with and contribute to planetGOLD programme level knowledge management and coordination activities

Under this output, country projects will assist with the attainment of the alternative scenario by continuing to participate in global project knowledge management and coordination activities.

Activities:

? Organize and facilitate virtual inception/implementation orientations for country projects to provide clarification on cross-programmatic coordination and knowledge sharing activities
? Hold bi-monthly programme coordination meetings involving country managers
? Organize and facilitate the meetings of the Programme Advisory Group (PAG)
? Support country child projects in the same regions (LAC, Francophone and Anglophone African countries) to have regular contacts with each other, as well as identify relevant regional institutions and networks and arrange for webinars and meetings to discuss relevant topics at a regional level. Regional sessions will also be created during the Global forums to enhance engagement amongst countries from the same region
? Hold knowledge exchange meetings/networks for subject matter experts (communications, safeguards, finance and gender)
? Collate and share of relevant reports, results and materials across all country child projects, to ensure that the major programme results are well documented and shared through the knowledge exchange mechanisms and the planetGOLD knowledge platform
? Develop and disseminate the planetGOLD Criteria for Environmentally and Socially Responsible Operations, and provide access to existing training modules and resources to implement these criteria, which will ultimately assist thebeneficiaries of country projects to adhere to the planetGOLD criteria.
? Elaborate and disseminate overall stakeholder engagement guidelines for programme participants to new and existing country projects, and stakeholders will be engaged to provide inputs in the development of knowledge products, monitoring and evaluation and feedback on communication approaches

Output 2.1.2: Programme results are collected, compiled and assessed, and the GEF, Implementing/ExecutingAgencies and external programme advisors are informed on progress, gaps and achievements

Activities:

? Formalize the reporting and information sharing requirements for IAs and the child country projects
? Produce quarterly summaries of key activities and progress across the programme for dissemination to the PSC and the PAG
? Produce an annual report on progress towards the targets set in the project?s GEF Core Indicators and other cross-programmatic indicators
? Update and if needed expand the current PAG, including updating/expanding as needed
? Prepare a cross-programme compilation and assessment of programme results in the final year of the project

Alignment with the GEF policies

This project is directly aligned with the Chemicals and Waste Focal area, Industrial Chemicals Programme (programme 1) which seeks to eliminate or signi?cantly reduce chemicals subject to better management, in this case of mercury in 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. A speci?c objective within the Chemicals and Waste Focal Area, programme 1, is the reduction and elimination of mercury from the ASGM Mining Sector.

This project also builds upon the GEF-6 funded planetGOLD programme. The project will coordinate with existing GEF projects in the same region by exploring synergies for activities, sharing of resources such as material and joint activity financing where feasible. Country projects will participate in knowledge sharing platforms, webinars and activities contributing to similar objectives. At the start of the project, communication will be made to existing GEF projects in the region to participate in inception workshops, share baseline information and establish networks. Efforts will be made to explore regional experience exchanges and lessons learned.

Incremental cost reasoning

The chosen alternative will follow a cost-effective approach to achieve results at minimal cost while having a global reach and impact. The approach will capitalize on low-cost information sharing methods and platforms, leveraging on existing knowledge platforms and networks and build capacity at the local level.

Use of an online platform and knowledge sharing

The use of the planetGOLD online platform offers the following cost advantages:

a) It minimizes investment in establishing a new platform and web infrastructure,

b) it leverages the existing online resources, global audience, established brand, and good search engine optimization ? reducing the investment required to market the platform,

c) it provides an efficient way to sustain the global community of practice,

d) digital products can reach a global audience, ensuring other countries benefit from the experiences shared by the country child projects, thus achieving scalability at a much lower cost.

Supporting local capacity through sharing tools developed by country projects

Collecting, consolidating and sharing local knowledge and tools developed by country projects leverages existing knowledge for replication within the programme country projects.

The country child projects will support the dissemination and sharing of tools and cross sharing of knowledge across the programme minimizing costs of ?re-inventing the wheel? across the programme while upscaling local capacity within the programme.

Regional level coordination and collaboration

Regional coordination and collaboration leverages shared resources to achieve shared objectives.

Collaboration through regional networks and knowledge platforms allows for synergies and cost sharing in knowledge sharing. Linking country projects with regional networks, established knowledge hubs such as African Intelligence page, SAESSCAM-ASM, ?Plataforma Integral de Miner?a a Peque?a Escala? and the Mongolian ASM Hub provides a cost-effective way for country projects to access existing knowledge while at the same time sharing their experiences with a wider global audience.

Promotion of JA/LA approaches leverages stakeholder commitments and resources for ASGM formalization.
The Global project will make contact with the regional organizations to explore collaboration and knowledge sharing. Collaboration will be done through relevant geographical child projects and at the Global Forum through sessions and topics with a regional focus.

Media outreach and engagement with private sector actors
The private sector engagement, especially in the financial services and downstream actors, to support mercury transition decreases use of project funds for equipment purchases, pilots and mercury test trials.
It also reduces the ASGM sector's over-dependance on development and donor funding from organisations like the GEF, while encouraging professionalization through private sector partnerships, contributing to the sustainable transition from use of mercury. Success stories and positive messaging on ASGM private sector engagement will be a key driver to increase private sector investment.

Global Environmental Benefits

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 127.758 metric tons reduction in mercury and engage more than 371,126 direct beneficiaries over a 6-year period through sharing lessons. Please note that the global project has no direct influence on these targets and only a supporting role is envisioned. It is expected that mercury use reduction will be replicated through sharing lessons and knowledge on the planetGOLD platform, the various planetGOLD distribution channels, events and webinars at national and global level.

As such, it is anticipated that through 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 383.274 metric tons 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.

The Global project will support the planetGOLD programme?s goal of reducing the use of mercury in artisanal and small-scale gold mining and associated land use co-benefits through:

? Coordination: The Global project will facilitate coordination amongst planetGOLD countries, ensuring that each country?s global environmental benefits goals are aligned with the wider programme metrics and GEF?s long term goals.
? Knowledge Sharing: The Global project will ensure that participating country projects are disseminating lessons learned and publishing findings via the planetGOLD platform and other relevant outlets.

It is anticipated that these two components will aid in the increased use of mercury free technologies and formalization approaches that encourage a reduction in mercury use, which will contribute to replication beyond the project period. Further replication is anticipated through collaboration with Associated baseline projects.

Country	NAP Data (MT/yr)	MT of mercury reduced during project implementation
Uganda	18	15

Republic of the Congo	0.2	1
Suriname		8
Honduras	9.5	8
Ghana	42.5-62	9
Bolivia	120*	18
Nigeria	14	4.62
Madagascar	18	5
Cote d'Ivoire	13*	8
Guinea	42	13
Mali	33	24
Sierra Leone	0.352	0.352
Zambia	0.286	0.286
Nicaragua	3.5*	3.5
Ecuador	29.6	10
Total during implementation phase		127.758
After project implementation phase (replication factor of 3)		383.274
TOTAL (implementation phase + replication factor of 3)		511.032

*NAP data not finalized

Core Indicators 4 (areas of improved landscape), 6 (CO2 equivalent mitigated) and 11 (beneficiaries reached)targets are cumulative values from the child projects in the programme which the global project has no direct influence. However, the global project will act in a supporting role and track the results during project implementation and report it annually to UNEP and the GEF. The targets indicated below are expected to be achieved at the end of the implementation period.

Country	Indicator 4 (Hectares)	Indicator 6 (metric tons of CO2e)	Indicator 11 (Total)	Indicator 11 (Women)	Indicator 11 (Men)
Bolivia	135,900	154,368	10,500	5,250	5,250
Ghana			100,000	45,000	55,000
Madagascar	75,300		18,134	5,948	12,186
Mali	7,000	128,400	11,600	6,080	5,520
Nicaragua	68,200		4,840	2,120	2,720
Nigeria	251.19	119,880	11,505	1,495	10,010
Ecuador	222,693		2,689	269	2,420
Honduras			85,045	44,962	40,083

Suriname			91,182	45,446	45,736
Sierra Leone	450,900		9,000	4,500	4,500
Zambia	243,880		11,261	4,417	6,844
Cote d?Ivoire			4,350	1,511	2,839
Guinea			5,020	2,939	2,081
Republic of Congo	42,809		1,500	500	1,000
Uganda	4,976		4,500	2,250	2,250
Total	**1,251,909.19**	**402,648**	**371,126**	**172,687**	**198,439**

Innovation, Sustainability and Potential for Scaling Up

Innovation

The innovativeness of the project centers on 1) new knowledge and support in implementing ASGM formalization through jurisdictional and landscape approaches to formalization; 2) encouraging regional approaches and cooperation to combat cross border flows of mercury, 3) a long-term communications campaign, and 4) the utility of the planetGOLD platform that grows the longer it exists. The utilization of jurisdictional and landscape approaches to formalization is a particularly novel approach as the JA/LA approaches are typically used in sectors such as agriculture where (similar to ASM) there are competing land use claims in an area.

This approach will have the positive effects of building multi-stakeholder engagement and efforts and creating long term local partnerships that outlive the project in supporting responsible ASGM. Similarly, encouraging regional collaboration and approaches to management of cross-border flows of mercury amongst country project (and other countries seeking to join) is a novel approach. The planetGOLD Global Forum and other dedicated events will serve as contact points to kick-off collaboration and share information which can lead to regionally harmonised rules and approaches to mercury management.

The global project's communication plan is also unprecedented in terms of length. This communications plan will be the longest and most concerted campaign to change the global public perception on the ASGM sector.The Global Child project will collect, catalogue and share knowledge from the country projects and the global community of ASGM practitioners. As more countries, project countries and those outside the project, formalize their ASGM sectors, this knowledge repository will continue to grow and will become the most important resource in the sector.

Keeping the planetGOLD platform active and growing will ensure that the lessons learned and knowledge generated from the country projects and others will be preserved and future projects will start at a point of increased knowledge and can be used in all subsequent work in ASGM.

Sustainability

A key aspect of the project which will require financial considerations to ensure sustainability of project benefits is implementation of the JA/LA. These are concepts that take a while to implement, substantial financial resources and specialized skills.

Since each project will be implementing JA/LA differently the technical support and provision of knowledge and training to implement will vary. This is something that may not be known at the beginning of the programme.

The consensus building and assessments/evaluation that is required in the JA/LA may mean that the approaches are only ready for implementation towards the end of the programme. It is therefore imperative that the Global child project in its coordination role provide support to the country child project design on these elements. It may be necessary to advise the GEF to structure financial provision mechanisms that go beyond the life of the programme.

The Global child project in its coordination role must consider how to support country child projects to build resilience with respect to changes in the socio-political elements. For many of the developing countries that are participating in the programme, a change of government after general elections often means a change of priorities, it is therefore important to ensure that the initiatives of the country child projects are embedded in lasting institutional frameworks.

Even though child projects will be linked to government structures it is important that they maintain a level of autonomy that allows them to maintain governance that is aligned to international best practices and the GEF Safeguard guidelines. This should be included in the structures that will continue to house the project beyond the life of the programme.

The planetGOLD knowledge platform is maintained by UNEP with support from NRDC, both of whom are co-leads of the GMP ASGM. The project will ensure that the platform continues to be available for continuous knowledge sharing after the programme is complete through collaboration with the Secretariat of the Minamata Convention on Mercury and the Global Mercury Partnership. A sustainability plan for the knowledge platform will be developed and implemented so that all site content and resources continue to be available after project closure through archiving (as necessary) and the possibility of transferring content to the Secretariat of the Minamata Convention on Mercury and their web platform if deemed necessary.

Sustainability of project outcomes will be enhanced through knowledge sharing. As more governments, private sector and ASGM communities replicate lessons learned and practices on mercury free processing and formalization, these practices will continuously be transferred beyond countries within planetGOLD programme. Active engagement with the private sector and sharing of good ASGM practices will play a key role in drawing their investment to replicate and promote sustainability of project outcomes. During project implementation lessons should derive from other knowledge networks and Hubs on sustainability to inform strategies early enough during implementation.

Sustainability for the project will be maintained through an active and accessible web platform (planetgold.org) for Parties to the Minamata Convention. Knowledge management processes and procedures will be retained from phase 1 and 2 and beyond the life of this project to endure systematic documention on programme indicators, benefits and lessons learned.

Potential for Scaling Up

The project?s efforts to change the negative perception of the ASGM sector have the potential to generate catalytic change throughout the global ASGM sector and to other ASM sectors.

For instance, global project-led outreach to the private sector, combined with positive results from the implementation of planetGOLD Criteria and other responsible ASGM standards, has the potential to unlock additional funding at the country and global levels to invest in

replication and upscaling of mercury free technologies. Project outreach and knowledge sharing will have a significant influence on these potential funders (private and public sectors) to encourage them to participate in scaling up project outcomes. As the ability to make ASGM more sustainable becomes widely recognized through planetGOLD communications, other ASM sectors with similar negative human and environmental impacts will be targeted for change.

The potential for scalability is embedded in the creation of a knowledge management repository that collates knowledge on critical aspects of ASGM formalization and mercury reduction which will continue to function after the country projects have ended and will inform future ASGM activities after the programme?s end. Even while the project unfolds, country and project information are gathered and can be incorporated into and shared across existing knowledge management platforms and with regional organisations, peer/neighboring countries and contribute to the ASGM community as a whole. Hosting the repository online will allow for information and knowledge to be easily curated, summarized and shared globally, as such, the potential for learning from and replicating approaches, and by extension scaling results from the country projects, is high.

Sharing of lessons learned on ASGM formalization models, application of JA/LA in ASGM can inform policy making and implementation strategies amongst project countries and beyond. Embedding these lessons in national ASGM strategies will significantly upscale project outcomes.

PlanetGOLD country projects will be promoted as potential destinations for learning and experience sharing to enable scaling up by other projects. Countries at the beginning of their ASGM formalization and mercury reduction efforts will be encouraged to conduct study tours to learn from the planetGOLD project.

The Global Forum will further take experiences beyond the planetGOLD program. Regular online sharing through webinars, workshops and sharing of technical information on mercury reduction will be done to push out practical knowledge for scaling up formalization and mercury reduction. The project will organize exhibitions on mercury free technology and finance providers in different countries /regions to bring solutions close to ASGM actors.

The second component of the Global Child project is concerned with coordination and alignment with the programme as a whole. By coordinating these child country projects and ensuring alignment with the goals of the programme, the implementing agencies, executing agencies and their local stakeholders will become reference points and holders of first-hand knowledge of how to execute a successful global pilot project using various formalization models and approaches. These individuals become valuable resources for their countries, regions and the wider ASGM community as more interventions are rolled out around the world.

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[8] https://icglr.org/index.php/en/background
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[10] https://rainforests.mongabay.com/amazon/
[11] https://www.worldwildlife.org/places/congo-basin
[12] https://www.iucn.org/content/freshwater-biodiversity-lake-victoria-basin
[13] https://eros.usgs.gov/westafrica/biodiversity-protected-areas
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[15] https://info.handicraft-bolivia.com/Introduction-a234-sm197
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[36] Peru Scrambles to Drive Out Illegal Gold Mining and Save Precious Land
[37] The Toxic Toll of Indonesia's Gold Mines
[38] What you should know about your jewelry
[39] Letter from Africa: Why a new word in Ghana spells trouble
[40] http://riverofgoldmovie.com/
[41] A million artisanal gold miners in Madagascar wait to come out of the shadows
[42] In praise of small miners
[43]https://www.aljazeera.com/economy/2020/12/18/zimbabwe-is-hemorrhaging-gold-can-a-key-reform-curb-smuggling
[44] https://allafrica.com/stories/202106070673.html
[45] For example http://lefaso.net/spip.php?article105828 or https://www.caribbeantrakker.com/mercury-free-mining-by-2025-el-dorado-gold-project-aims-to-achieve/

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[48] https://fairmined.org/the-fairmined-standard/
[49] http://www.swissbettergold.ch/
[50] https://www.responsiblemines.org/en/2020/10/craft_v2-0/
[51]https://www.planetgold.org/sites/default/files/planetGOLD_Criteria_for_Environmentally_and_Socially_Responsible_Operations_Feb21.pdf
[52] https://web.unep.org/globalmercurypartnership/our-work/reducing-mercury-artisanal-and-small-scale-gold-mining-asgm/national-action-plans
[53] https://delvedatabase.org/resources/2020-state-of-the-artisanal-and-small-scale-mining-sector
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[56] CINCIA ? Centro de Innovaci?n Cient?fica Amaz?nica (wfu.edu)
[57] ASM Knowledge Hub (asmhub.mn)
[58] https://jaresourcehub.org
[59] https://www.globallandscapesforum.org
[60] https://www.landscale.org/why-landscale
[61] http://icglr.org/index.php/en/
[62] Other AU RECs could also play a similar role, and these include SADC, ECCAS, EAC and the MAGHREB
[63] http://www.otca-oficial.info/projects/details/15
[64] https://comifac.org/en
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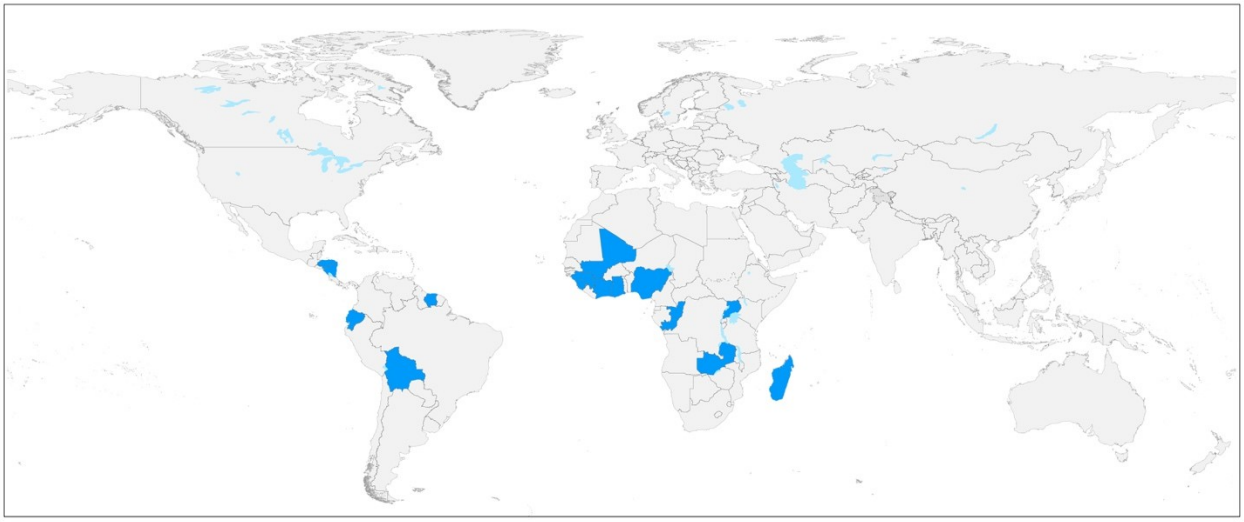
1b. Project Map and Coordinates

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

Figure 2: Global map showing location of country child projects



Tentative country project sites

Bolivia: Illimani area

Madagascar: Ambalamanasa (Vatovavy Fitovinany region), Andrafialava (Diana region), Farezy (Atsimo Andrefana region), and Antanimbary (Betsiboka region)

Nigeria: Minna (Niger State), Birnin Gwari (Kaduna State), Anka (Zamfara State), and Yauri (Kebbi State)

Ghana: Tarkwa, Asankragwa, Obusai, Bibiani, Akim Oda

Suriname: Njoen Jacobkondre, Srakreek, Mama Ndjuka, Lawa, Selakreek

Honduras: Agua Fria Mineral, Macuelizo, Santa Cruz Minas

Ecuador: La Mana, Santa Rosa, Nambija, San Carlos de las Minas, Arosemena Tola

Sierra Leone: Tonkolili, Kono, Bombali, Karene

Zambia: Solwezi; Mwinilunga; Kasempa; Mumbwa; Kabwe; Chisamba; Senga Hills; Mpika; Chilanga; Chadiza; Chirundu; Kazungula; Lundazi; Chongwe; Petauke; Lusangazi; Vubwi; Luano; Rufunsa; Chipata; Mkushi and Serenje

Uganda:

- Busia District: Siyanyoja and Tiira
- Namayinyo Buchere
- Morototo District: Nakabaat
- Anudat District: Kapiyosa and Cheptakol
- Kassanda District: Kagaba Hill and Kayonza
- Buhweju District: Kitenga
- Kisoro District: Nyabirenura and Rushaga

Republic of Congo:

- Sangha Department: Elogo, Maud (1 and 2), Ekokola, Paris-village, Seka, Tripoli (1 and 2) Guinn?e, Zoan, Kampala, Seya, Nasimdib, Balola, Mok?ko, Bamegod
- Western Cuvette Department: Akamou, Oyabi, Otsouadzoko
- Kouilou Department: Dimonika, Les Saras, Kakamoeka, Louvoulou, Sounda, Manzi
- Bouenza Department: Kingou?, Kimba

Guinea:

Kankan Region, Prefectures of Siguiri and Mendiana
Faranah Region, Prefecture of Dinguiraye
Bok? Region, Prefecture of Gaoual

1c. Child Project?

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

The Global coordination, knowledge management and outreach project is a child project of the Global Opportunities for Long-term Development of artisanal and small-scale gold mining (ASGM) Sector Plus (GEF GOLD +) project. The parent project (PFD ID: 10569) and its predecessor (PFD ID: 9602, Global Opportunities for Long-term Development of ASGM Sector - GEF GOLD ? often referred to as phase 1), are now both under the planetGOLD programme.

The Global coordination, knowledge management and outreach project aims to support the deepening of mercury reduction in ASGM and holistic formalization of the sector, by facilitating the sharing of technical information, engaging in outreach to relevant stakeholders and enabling the scale up of successful interventions through the provision of research, networking and knowledge exchange. The project also serves to monitor and evaluate the programme as a whole and assist in the coordination of the 15 child country projects.

The Global child project is key to providing the technical support and scaling up the project?s successes with research, information, networking and knowledge exchange. The two components will a) increase access to information to facilitate knowledge management and communication, particularly on innovative formalization approaches and b) ensure overall coordination and tracking of results and impacts of the programme as a whole.

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.

To inform the stakeholder analysis and assessment, internal project documents from the GEF, and the country projects were reviewed. Interviews with key contacts from the project IAs were conducted to establish priority areas for the project. The stakeholders identified for engagement can be grouped as:

Government institutions in project countries; Mining communities; NGOs and CBOs; the Private sector; and Project country citizens.

The following factors were determined to be important for consideration when implementing this project:

a) The project is global in nature and the wide variety of country projects and interest from the global ASGM community outside of the project will result in a diverse group of stakeholders. As a result, language is a key concern in communications and engagements.
b) Similarly, the diverse group of stakeholders will mean there are different interests, levels of education on the sector, cultural norms and values, and therefore different approaches should be used to communicate with different stakeholders.
c) The gender goal of the project is to have appropriate communication and knowledge products that educate audiences on women?s importance in ASGM. Therefore, the programme will aim to publish at least one gender focused knowledge product per year during the implementation of the project. This could be a combined effort with one of more of the child projects.

Government institutions
The overarching project will be executed in 15 countries around the world. These countries are Bolivia, Republic of Congo, Ghana, Honduras, Madagascar, Nigeria, Suriname, Uganda, Cote d'Ivoire, Ecuador, Guinea, Mali, Nicaragua, Sierra Leone and Zambia. The government institutions of these countries will be key audiences for the communication efforts and knowledge products developed during the project.

Mining Communities
The mining communities of the child project countries will vary greatly. As a result, the engagement strategy for each location will be unique. These engagement strategies will be selected by the child country project?s EA. The communication materials developed for these communities by the child project countries will be supported by the Global coordination, knowledge management and outreach project. Ensuring communications to this group are gender sensitive was determined to be key to preventing exacerbating existing gender inequalities.

NGOs and CBOs
The global project will engage with two groups of stakeholders in the NGO category: NGOs that are part of the execution of each country level project as EAs and NGOs that are part of the ASGM ecosystem but not directly involved in the programme.

Both groups of NGOs will benefit from the communications and knowledge products developed during the programme. For the NGOs that are not part of the execution of a country project but are part of the wider ASGM community of practice, engagement with this stakeholder group will take place primarily through the planetGOLD website, and through their participation in events such as online webinars, Global Fora, and ongoing outreach from the global project team to ensure knowledge sharing.
NGOs that serve as EAs of country projects will regularly engage the IA as part of each project?s Coordination, monitoring and evaluation component. They will also be participants in the creation of

knowledge products and an audience for these knowledge products and the related activities (e.g., workshops and the Global Forum).

Private sector

The private sector in the project countries and abroad will also be a key stakeholder group. The key private sector actors on this project are financial institutions, media organisations, ASGM gold value chain participants and large-scale mining companies. At the global level, engagement with the private sector will focus primarily on the benefits of responsible ASGM and formalization for these stakeholders.

Country project citizens

Country project citizens, outside of the mining communities, will be an important stakeholder group for each country project. These stakeholders will be engaged through channels determined by the project country?s communication team as appropriate vehicles for engagement.

Accountability and Grievance Mechanism (AGM)

The project recognizes the need to engage, on an ongoing basis, with the opinions of the stakeholders on the project. As such, an Accountability and Grievance Mechanism (AGM) plan has been developed that describes how all project stakeholders will be able to raise grievances and how these will be processed by the PMU, administered through this project. Please refer to Appendix 12 on AGM procedures under the programme.

Based on planned project activities and stakeholders, the following potential grievances have been identified:

- ? Government institutions submitting complaints on how their ASGM sector is portrayed in the project?s knowledge products or communications
- ? Stakeholders dissatisfied with their level of involvement/participation in project activities
- ? Disputes from project country citizens on the ASGM-positive messaging that the project will produce

To ensure that stakeholders are aware of their ability to file a grievance related to the project, the following measure will be taken:

- ? A Grievances Form will be created on the planetGOLD website
- ? Links to the Grievances Form will be added throughout the planetGOLD website
- ? A link to the Grievances Form will be included in planetGOLD knowledge products
- ? The project will allow for anonymous grievances

To ensure that the AGM is working effectively and efficiently, the AGM will treat all grievances confidentially and objectively ? to provide those with grievances a safe space to voice them. The AGM has established timelines for grievance responses. Adherence to these timelines will be monitored as part of the monitoring and evaluation of the project. The AGM outlines processes for how grievances

will be handled by the project and which grievances are eligible. This will allow for a well-ordered grievance mechanism where all internal parties understand their responsibilities. The PMU will analyse grievance reports regularly and use their analysis to adjust aspects of the project accordingly. The AGM will be hosted on the planetGOLD website and administered by NRDC with quarterly reporting to UNEP.

Please refer to Appendix 7 for further details.

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

Stakeholder Engagement in the Implementation Phase

Stakeholder Name	Method of Engagement	Location and Frequency	Resources Required	Budget *Indicates estimate of total budget*
Government institutions in the 15 child project countries. These will include governing institutions for: environmental matters, Mining, Public health, Finance, Trade and Commerce, Labor, Law enforcement, Planning authorities on national and rural development.	This group of stakeholders will be invited by country project staff to provide input on the development of knowledge products and to be an audience for the final knowledge products. This group will also participate in surveys as part of the project?s M&E processes.	Engagement with this stakeholder group will primarily be in the form of digital communications such as the planetGOLD website, the planetGOLD newsletter (monthly) and direct email as needed (e.g., when the project is soliciting input).	Resources required to engage this group include the planetGOLD website; the publication and development of knowledge products; the publication and development of the planetGOLD newsletter; and translation services. The planetGOLD website will be operated by UNEP. Translation of knowledge products, where necessary, will be performed by the communications teams of the country projects.	* This activity is embedded in the knowledge management and communications Component 1

NGOs outside of the project. This group of NGOs will be an audience for planetGOLD knowledge products; potential project partners and proponents of the project and its knowledge products.	This group of stakeholders will primarily be engaged by the global project?s staff to provide input on the development of knowledge products and to be an audience for the final knowledge products.	Engagement with this stakeholder group will primarily be in the form of digital communications such as the planetGOLD website, the planetGOLD newsletter (monthly) and direct email as needed (e.g., when the project is soliciting input).	The resources required to engage this group include the planetGOLD website; the publication and development of knowledge products; the publication and development of the planetGOLD newsletter; and translation services. The planetGOLD website will be operated by UNEP. Translation of knowledge products, where necessary, will be performed by the communications teams of the country projects.	* This activity is embedded in the knowledge management and communications Component 1

Natural Resources Defense Council (NRDC). The NRDC will be responsible for the execution of the global project, which includes coordination and knowledge management.	This stakeholder will lead the coordination and communication efforts of the project. NRDC staff will engage with country projects to ensure alignment with project goals and establish areas where they are in need of assistance. The NRDC will lead the coordination and development of knowledge products under the program. This will involve soliciting researchers and writers of the knowledge products, either from the country project staff or externally where appropriate.	NRDC staff will engage with the country projects for coordination meetings bi-monthly and quarterly knowledge exchange meetings, via online meetings. NRDC staff will solicit researchers and writers for the project?s knowledge products via the planetGOLD website, the planetGOLD newsletter, social media and other appropriate digital channels. The NRDC will be responsible for planetGOLD presence and attendance at relevant external events such as the OECD Forums and the Conference of the Parties to the Minamata Convention on Mercury.	The resources required for this group?s engagement include: staff members to host the coordination meetings (this staff will need to consist of enough multilingual individuals to cover the language requirements (English, French and Spanish) of the project); translator(s) to assist with the coordination meetings (if the appropriate full-time staff cannot be found). Monetary resources will also be required for the development of the knowledge products. Resources will be required for planetGOLD staff?s attendance at external events.	* This knowledge management activities are embedded in the knowledge management and communications Component 1. The coordination and alignment activities are embedded in Component 2.

United Nations Environment Programme (UNEP). UNEP will be responsible for the maintenance, coordination and facilitating content generation for the planetGOLD website. UNEP will also organize the programme?s workshops, annual meetings and global fora events.	This stakeholder, as the lead on the project?s knowledge management efforts, will maintain and update the planetGOLD website. UNEP will work with the NRDC and the developers/ writers of knowledge products to provide input on the creation of knowledge products. As the operators of the planetGOLD website, UNEP staff will also be involved in the Accountability and Grievance Mechanism as the grievance form will be hosted on the planetGOLD website. UNEP will manage all aspects related to the global for a, workshops and annual programme meetings planned for the programme	UNEP staff will attend monthly online meetings with the NRDC staff to provide updates on the status of the project?s knowledge platform and the technical efficacy of the grievance mechanism. The global forum?s will be hosted bi-annually; the workshops include an annual Communications Managers meeting and an Orientation meeting; and annual programme meetings will be hosted every year beginning in year 2.	Resources required for this stakeholder?s efforts include staff to operate the website and coordinate and facilitate knowledge management and curation. monetary resources for web development, hosting and maintenance. The resources required for these activities include staff, travel budgets for attendees, meals and catering, workshop materials and supplies, interpretation services and venue rental.	* The website related activities are embedded in the knowledge management and communications Component 1. UNEP?s portion of this budget is about $1.1M * This meeting planning related activities are part the knowledge management Component 1. Budget is approx. $1.2M.

Child country project EAs. The EAs will interact with all stakeholders in order to achieve the goals of their individual projects and ultimately the goals of this project and the program.	For the purposes of coordination, monitoring and evaluation - country projects will regularly meet with the IA and the global EA. Country projects will also hold themed community of practice knowledge sharing meetings with other country projects (for instance a community of practice meeting for safeguards and gender specialists) and will explore regional level collaboration opportunities. Country projects will engage with global project for training on the application on jurisdictional and landscape approaches to formalization. Country projects will also share information/ articles with UNEP for the planetGOLD website. Country projects will receive training on gender-sensitive communication strategies.	Country projects will hold quarterly coordination meetings online with the NRDC. The safeguards and gender specialistscommunity of practice will meet quarterly online. Country projects will participate in a series of JA workshops. Country projects will share information/ articles with UNEP for the planetGOLD website at a cadence that will be agreed to between the EAs, the NRDC and UNEP at the start of the project.	No additional costs are expected as a result of these activities above what is assigned to the NRDC staff.	Not applicable

Project country citizens. The citizens of the project countries have an interest in the project and ancillary activities related to the formalisation efforts that the project will promote.	This stakeholder group will be engaged primarily through communication?s channels and materials determined by each country project?s communications team. These engagements may take the form of consultations, workshops, digital information campaigns etc. The global project will support these communications where possible by helping to amplify their messaging via the planetGOLD website and social media channels.	Engagement with this stakeholder group will occur throughout the project life-cycle using methods determined by each country project?s communications team.	The materials and methods required to communicate with this stakeholder group will be determined by each country project?s communications team. They will likely include traditional and social media, surveys, workshops and the associated staffing costs (the costs for these activities will paid from each country project?s budget).	Not applicable. Country project expense.

Mining communities in the 15 child project countries. The mining communities in the child project countries will primarily be beneficiaries of the communications generated by the country projects and the Global child project.	This stakeholder group will be engaged primarily through communication?s channels and materials determined by each country project?s communications team. These engagements may take the form of consultations, workshops, digital information campaigns etc. The global project will support these communications where possible by helping to amplify their messaging via the planetGOLD website and social media channels. The global project will also assist country projects by providing guidance on gender-sensitive communication strategies.	Engagement with this stakeholder group will occur throughout the project life-cycle using methods determined by each country project?s communications team.	The materials and methods required to communicate with this stakeholder group will be determined by each country project?s communications team. They will likely include traditional and social media, surveys, workshops and the associated staffing costs (the costs for these activities will paid from each country project?s budget). Training on gender-sensitive communication strategies to guide the efforts of country projects when engaging with this group will be hosted by the global project.	Not Applicable. Country project expense.

Global media organisations. This includes organisations such as CNN, BBC, Aljazeera, El Pais, Time, the Economist, NYT, etc.	This stakeholder group will be engaged by the global project primarily through opportunities to learn more about the project?s work and story pitches.	This stakeholder group will be engaged by project staff throughout the life of the project via the planetGOLD website, planetGOLD social media channels and newsletter and press releases. Journalists will be invited and encouraged to connect directly with planetGOLD experts working in ASGM and the mining communities that are part of the project. Representatives of these media organisations will be invited to the bi-annual Global Forum.	The resources required include staff time to track interested international news outlets, cultivate relationships with key media outlets and pitch positive stories.	This activity is embedded in the Knowledge Management and communications Component 1.

ASGM gold value chain participants. This group includes organisations that use gold in their products, e.g., jewellers and electronics manufacturers	This stakeholder group will be engaged via workshops, events and through the planetGOLD digital channels (social media, the planetGOLD website and newsletter). They will receive communications on the benefits of sourcing mercury-free gold.	This group will be engaged throughout the life of the project via the planetGOLD digital channels. Members of the Project Advisory Group (PAG) will also reach out to them as peers.Representatives of these organisations will be invited to the bi-annual Global Forum. Representatives of these organisations are members of the PAG which will meet quarterly and extend outreach to their peers.	The resources required are the staff time required to conduct outreach and cultivate relationships with these gold value chain participants, and time working with the PAG.	This activity is embedded in both Components 1 and 2.
Large-scale mining companies. This stakeholder group includes global large-scale mining companies and smaller (local) large-scale mining companies	At the global project level, this stakeholder group will be engaged via workshops, events and through the planetGOLD digital channels. Country project staff will determine further opportunities to engage with this group based on their country?s context.	This group will be engaged throughout the life of the project via the planetGOLD digital channels. Representatives of these organisations will be invited to the bi-annual Global Forum. Representatives of these organisations will also be invited to join the PAG (Project Advisory Group) which will meet quarterly.	No additional materials are required to engage this stakeholder group.	Not applicable

Financial institutions This group includes mining sector investors, banks and social impact investors	At the global project level, this stakeholder group will be engaged via workshops, events and through the planetGOLD digital channels. Country project staff will determine further opportunities to engage with this group based on their country?s context.	This group will be engaged throughout the life of the project via the planetGOLD digital channels. Representatives of these organisations will be invited to the bi-annual Global Forum. Representatives of these organisations will also be invited to join the PAG (Project Advisory Group) which will meet quarterly.	No additional materials are required to engage this stakeholder group.	Not applicable

COVID-19 Pandemic Considerations

In-person events are under this project component are limited, and may be cancelled, rescheduled or moved online depending on the state of the COVID-19 pandemic in the future. Stakeholder engagement activities in the project countries, that are defined by the country projects, should adhere to the UNEP Guidelines for COVID-19.

Select what role civil society will play in the project:

Consulted only; Yes

Member of Advisory Body; Contractor; Yes

Co-financier; Yes

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

Executor or co-executor;

Other (Please explain)

3. Gender Equality and Women's Empowerment

Provide the gender analysis or equivalent socio-economic assesment.

As of 2019, an estimated 15 million people work in ASGM globally ? including 4.5 million women. Despite women making up 30% of the global ASGM workforce, female ASGM miners consistently find their work undervalued and impeded as the disparities that exist in society between male and female rights, responsibilities, access to and control over resources, at the household and community levels, are mirrored in the ASGM sector. Furthermore, women in ASGM are more vulnerable than men to disease and violence. Women are often at higher risk of exposure to mercury, depending on their roles in the ASGM value chain, which varies between countries.

For instance, in some countries, women spend long periods of time burning mercury amalgam in their homes. In the remote areas that ASGM operates, there is often little recourse for the victims of gender-based violence (GBV) ? which has been noted in 14/15 of the project countries.

To realise the full developmental potential and environmental goals of mercury-free ASGM, addressing these disparities by mainstreaming gender is critical, particularly, given the important role women play in the sector. The integration of gender considerations throughout ASGM interventions is crucial for the long-term sustainability and effectiveness of the program. Enabling the full and effective participation of diverse women and men in the program enables all people to act as agents of change in all circumstances and the project will benefit from the insights, and knowledge that both women and men in ASGM bring to crafting sustainable solutions.

The programme will aim to publish at least one gender focused knowledge product per year during the implementation of the project. This could be a combined effort with one of more of the child projects.

For further details, please refer to Appendix 6 - Gender Mainstreaming Plan.

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 in the project countries and abroad will also be a key stakeholder group. The key private sector actors on this project are financial institutions, media organisations, ASGM gold value chain participants and large-scale mining companies. At the global level, engagement with the private sector will focus primarily on the benefits of responsible ASGM and formalization for these stakeholders.

Global media organisations - such as CNN, BBC, Aljazeera, El Pais, Time, the Economist, NYT

This group will be sceptical of ?success stories? and news of impact. Their interest will largely be establishing the veracity of claims made by the project and reporting on newsworthy achievements by the project. This stakeholder group can positively impact the project by amplifying its achievements to a global audience. Features on the websites or channels owned by this group would also serve to further legitimize the efforts and goal of the project globally.

Negative reporting, on aspects of the project, by this group could hinder efforts to amplify the positive messaging and success stories of the project.

ASGM gold value chain participants - includes organisations that use gold in their products, e.g., jewellers and electronics manufacturers

This stakeholder group?s main roles and interest in the programme is as buyers of responsible gold. In addition, with regard to the global project, the group will be an audience to relevant knowledge products produced by the project and as a partner to promote and publicize the sourcing of mercury-free gold. This stakeholder group will be positively impacted by the project by the increased formalisation of ASGM that will result from the programme. This will allow them to source more sustainable and ethically sourced gold for their products. This stakeholder can positively impact the programme by actively applying the knowledge generated by the project and helping to amplify its messaging via their own social media channels, at their events etc.

Large-scale mining companies - includes global large-scale mining companies and smaller (local) large-scale mining companies

This stakeholder group?s main interest in the global project will be as an audience for the knowledge products and messaging developed by the project. On a country project level, each country?s specific context will differ and there may be opportunities for the project to collaborate with LSMs on their communication?s efforts.

This stakeholder group will be positively impacted by the project as an increasingly formalised ASGM sector would prevent some of the problems that LSMs have with ASGM (land disputes, incidents of illegal mining, trespassing etc.). This project will also help improve the reputation of gold mining at large as formalisation can assist in remediating some of the worst aspects of gold mining (child labour, poor working conditions, a lack of EHS measures etc.).

This stakeholder group can help the project by learning from the knowledge products produced by the project. This group could also assist the project by collaborating with it to help amplify messaging.

Financial institutions - includes mining sector investors, banks and social impact investors

This group sees risks in investing in the ASGM sector. Their interest in this project would be to learn about the benefits and opportunity of supporting (and benefiting economically from) the ASGM sector through the project?s messaging and knowledge products, and to identify opportunities to invest in operations of project country beneficiaries. This group will be positively impacted by the creation of sustainable and ethical supply chains that create new investment opportunities as a result of the project?s drive to improving formalization.

This group can positively impact the project by learning from the knowledge products produced by the project and helping to spread this knowledge within their sub-sectors.

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):

Please, refer to Appendix 9 ?Risk Mitigation Plan? for more detailed information. See below a summary of the main findings. The table below indicates operational or technical risks associated with the project and the mitigation measures to minimize impacts.

Table 1: Risk Mitigation Plan

Risks	Rating High (H), Substantial (S), Modest (M) Low (L))	Risk Mitigation Measures
Political economy issues - Political Economy / Vested Interests: criminalgroups; armed groups; corruption etc.	L/M	Supporting the implementation of a landscape approach is essential to identifying group interests and providing support to country projects in order to drive improved practice. The project will engage with relevant organisations working on gold and mercury political economy issues such as the OECD, regional institutions to mitigate issues that may affect roll out of the project. The project will ensure strong operational credibility by building strong partnerships with international and regional stakeholders. Supporting child projects with tools for risk profiling of potential pilot areas or landscapes to inform initial selection and management of stakeholder coalition.

Resistance to change (technology and practices) - Introduction of new technologies may threaten jobs	L	The project will seek to promote adoption of technologies that are accessible (financially, geographically, culturally etc.) and where possible procured locally.
Climate Change: Changes in the environment (for example desertification) could push people into ASGM, resulting in rushes which are difficult to regulate and may hinder communication and stakeholder engagement plans. Analysis of climate data from each project country found that the most potentially impactful climate change effects on ASGM will occur mid-century ? well after the completion of the project. No climate change impacts are foreseen that will hinder the efforts of the Global coordination, knowledge management and outreach project.	L	In preparation to mitigate the effects of climate change on the ASGM sector of the project countries in the long-term, the project will create linkages with relevant knowledge networks on climate change, biodiversity and JA/LA communities of practices and connect them with affected child project countries.
Lack of buy-in by governments	M	The project through its communication component will strengthen engagement with governments at global, regional and national levels during implementation.
Lack of buy-in by the private sector	M	The project will engage private sector parties through industry bodies during programme development and implementation.
Lack of buy-in by miners	M	The project will support country projects with strategies to engage miners through their associations, and relevant bodies during implementation.
Reputational risk	M	The project will work with the PAG to identify potential partners. The project will develop a communication strategy to manage the narrative around the project.

Political upheaval / instability: change of government, change of policy priorities, new programme interlocutors etc.	M/H	A programmatic approach that minimizes discretion and personality driven interventions that will come from use of the JA may reduce the impact of changes in governments. Child project countries will commit significant co-funding, which will ensure strong national ownership of programming at the national level. A jurisdictional approach that has at its core the establishment of strong partnerships with host-governments will be optimally placed to identify and manage shifts in political commitment.
Covid-19 pandemic related impacts result in delays in stakeholder consultations and child project start	H	Put in place COVID-19 response/resilience plans. Monitor relevant government published data and guidance during the project life cycle. Supplement physical engagement with remote interaction e.g., online or over the phone. Allow flexibility in project timelines. Provide budgetary support for remote engagement.
Delays in providing information (i.e., monitoring data, lessons learned etc.) to the Global child project by the country child projects	M	On boarding workshops run by NRDC for the EAs.
Limited understanding of the resources (time, skills and funds) required to implement JA/LA resulting in shortfalls	M/L	Training of EAs and country child stakeholders in JA/LAs Incorporate adaptive management elements in project design and implementation

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.

Implementing Agency (IA): This project will be implemented by UNEP. UNEP will be responsible for the overall project supervision, overseeing the project progress through the monitoring and evaluation of project activities and progress reports. In addition, UNEP will be responsible for quality assurance procedures, engage in contracting with the Executing Agencies through a project cooperation agreement (with non-UN partners), an UN-UN agreement (with UN entities), approve progress reports and clear disbursement. The IA will also monitor progress to ensure the quality of outputs. It will report the project implementing progress to GEF and will be part of the Project Steering Committee (PSC). UNEP will closely collaborate with the EAs and provide them with technical and administrative oversight in the implementation of the project.

Executing Agencies (EA): NRDC will be the executing agency for this project with targeted technical inputs from Global Mercury Partnership (outputs 1.1.2 and 1.1.3). As the EA, NRDC?s key roles include:

- ? Establishing and housing the project management unit (PMU)
- ? Performing day?to?day tasks and monitoring of planned activities. NRDC will report to the IA and provide regular narrative and financial updates
- ? Collect and assess quarterly progress updates, including programme-wide common indicator results and GEF core indicators from all IAs on their respective child projects
- ? Acting as Secretariat for the Project Steering Committee (PSC)

Project Management Unit (PMU) (housed by the NRDC) will be staffed by a Project Manager, Technical Lead and Coordinator/Administrative Officer who will also support the PMU as the Regional Coordinator for LAC. Supporting the PMU is the Knowledge Management and M&E Coordinator, Communications Manager, Regional Coordinator for Africa and the Communications Assistant. The role of the PMU is to:

- ? Ensure Project execution (all technical aspects of project implementation)
- ? Ensure project governance and compliance monitoring of the financial resources of GEF resources
- ? Staff and provide expertise in guiding and advancing the project
- ? Share all achievements and project products/outputs with stakeholders
- ? Supervise the consultants and project partner organizations to deliver against their contracts in time
- ? Overseeing and monitoring of all gender mainstreaming activities at the programme level
- ? Organize the PSC meetings and serve as its secretariat
- ? Manage and implement the project results and output level M&E framework, to evaluate project performance
- ? Over see the Accountability and Grievance Mechanism and include in quarterly reporting

Project Steering Committee (PSC): The PSC?s membership includes the GEF, and IAs of country projects, The PSC will meet annually. The role of the PSC is to:

- ? Oversee the GEF Project
- ? Provide overall guidance and ensure coordination between all parties
- ? Provide overall supervision for project implementation, include gender mainstreaming
- ? Approve the annual work plan and budget
- ? Oversee the implementation of corrective actions
- ? Enhance synergy between the GEF project and other ongoing initiatives

Programme Advisory Group (PAG) members from phase 1 will updated and if needed expand. PAG serves as a group of advisors from academia, donors, downstream gold buyers etc., to provide perspective on project activities from external stakeholders. Once fully constituted, the project will facilitate regular (3x per year) calls between project managers and the PAG and will serve as secretariat to the PAG, organize and facilitate quarterly PAG calls and subcommittee meetings. Members of the PAG

also act as ambassadors of the programme to their stakeholder groups and offer connections to the broader community of actors with an interest in the ASGM sector. PAG membership will be reviewed on an annual basis or as deemed necessary. Gender balanced representation and expertise will be taken into consideration for the composition of the PAG.

The purpose of the PAG is to:

- ? Provide advice on relevant areas of Programme activities and suggest constructive approaches for shaping activities in the future;
- ? Provide feedback on key products, strategies, and other outputs of the programme, as requested;
- ? Act as a coordination mechanism, identifying where common efforts are being undertaken and suggest how such efforts could be leveraged.

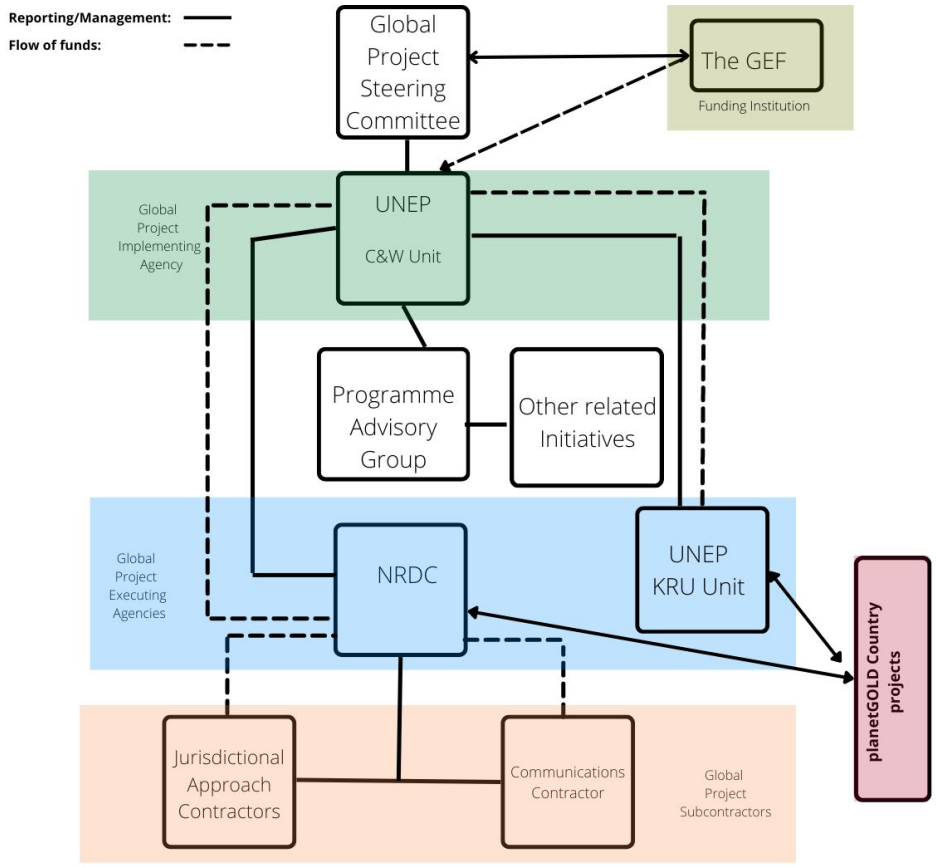


Figure 3. Project Execution Organization Chart

UNEP / Chemicals and Waste Unit will lead the project implementation in partnership with Global Mercury Partnership (housed under UNEP Knowledge and Risk Unit, KRU) who will focus on knowledge management via the planetGOLD platform (output 1.1.2) and organization of the annual programme meetings, Global Forums and other technical meetings (output 1.1.3). Conservational International (CI) will provide expertise and support on JA/LA approaches (output 1.1.1).

NRDC will lead the execution and the project management unit and focus on knowledge generation and communications. NRDC will lead project management, facilitate coordination with country child projects, programme experience exchange, quarterly and annual reporting.

Contractors will be engaged for Communications and JA/LA, as well as on an ad-hoc basis for the creation of topic specific knowledge products requiring specific expertise.

Table 2. Project Executing Agencie and Partner Roles and Rationale for their Inclusion

Executing Agencies	Specific Role	Rationale
NRDC	Executing Agency and housing the PMU, project implementation, knowledge management, media and communication; management of contracts related to the piloting of jurisdictional approaches	Continuity of PMU, implementation, management of the leads for JA/LA approaches
Global Mercury Partnership	Provide targeted technical assistance and manage the knowledge platform developed by the project	Continuity with management of knowledge platform

7. Consistency with National Priorities

Describe the consistency of the project with national strategies and plans or reports and assesments 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 that have been employed by participating countries and are consistent with the programme and the objectives of the Global Child Project.

The Minamata Convention on Mercury: All participating Child Project countries are party to the Minamata Convention and are either interested in or developing a National Action Plan, in doing so, they have to implement the requirements of the Convention as described below:

? To undertake, subject to the availability of resources, capacity?building and training activities to support parties to facilitate the development, review and constant updating of NAPs in a manner commensurate with the reporting under Article 7 of the Convention,
? To develop and submit its NAP to their responsible Secretariat no later than three years after the Convention has been enacted - subject to the availability of resources,
? 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 their commitments under Article 7.

The Convention also encourages Parties to take advantage of multilateral, regional and bilateral sources of financial and technical assistance, as well as capacity?building and technology transfer, are encouraged, on an urgent basis, to enhance and increase their activities on mercury technical assistance and technology transfer under Article 13. Additionally, an efficient mechanism was created to provide adequate, predictable and timely financial resources to support Parties needing support in implementing their obligations under the Convention.

The Global Child project will build and scale-up the successful approaches that are established during the implementation of planetGOLD. The focus of the Global Child project is the creation and dissemination of knowledge and communication products that are tailor-made for use by countries seeking to formalize their own ASGM sector in order to eliminate mercury use in ASGM and fulfill their commitments under the Convention. Through a knowledge repository the project will be able to demonstrate a portfolio of country-level projects that will provide a larger base of country examples of how different countries can approach ASGM formalization.

Table 3 lists examples of national priorities of the country child projects which demonstrate consistency with the objectives of the programme and the Global Child project. These include:

- ? ASGM NAP priorities, most of which also contain gender mainstreaming activities
- ? National development plans
- ? ASGM policies and strategies

Table 3: Examples of Consistency with National Priorities, Plans and Policies

National Priorities	Project Consistency

Republic of Congo	? Knowledge products developed and lessons learned at the local and national level will be shared with the global project. ? The potential for sharing lessons learnt in the areas of how national interventions that impact biodiversity can be beneficial to the other participating countries in the programme that are considering implementing JA/LA. The same knowledge and lessons can also benefit the global community. ? The Republic of Congo presents an opportunity to illustrate that even countries that lack advanced ASGM support interventions can benefit from the opportunities provided to them by the programme to accelerate ASGM formalization to reduce mercury releases and emissions. ? The promotion of beneficial ASM-LSM relationships as part of piloting the JA/LA is aligned with both the Global child project and its parent project. This provides a demonstrable case for the coexistence of ASM-LSM, which has been debated by the global community for some time. The sharing of these lessons by the Global Child project would benefit other countries that have both ASM and LSM and are looking for models that support formalization through co-existence, which may lead to reduction in mercury emissions and releases from ASGM. Countries such as Ecuador, Nicaragua, Suriname and Guinea provide opportunities for lessons in ASM-LSM models for formalization and mercury reduction.
Ghana	? Ghana provides an example of a country that has a mature ASGM sector which already makes a significant contribution to the country's gold production (65 tons in 2018, which is 43% of national production). Unlike the Congo, it has undertaken many initiatives to address the challenges in ASGM including mercury use. Ghana has a decentralised administration of the ASGM sector including gold buying centres, District Committees and several campaigns to curb illegal mining, and yet, they have had limited success. Ghana offers an opportunity to test a commodity-specific JA, the results from this pilot may demonstrate that an integrated and holistic approach is necessary for ASGM formalization and the reduction in mercury release and emissions. ? The knowledge generated under the Ghanaian JA project will provide lessons on piloting JA/LA driven formalization to produce systemic change which previous interventions have not yielded, even though their regulatory framework supports ASM through designated ASM zones and district mining offices. This is consistent with the knowledge and learning component of the Global Child project as there are many countries in a similar situation that could benefit from the lessons learned under this pilot. ? The Global Child project?s proposal to generate knowledge for capacity building for the different actors in the sector would provide knowledge products that the Global Child project could share with the other child projects and the global community, which will enhance its goal to provide lessons that can improve prospects for successful mercury reduction from formalization in other jurisdictions.

Bolivia	? SENARECOM provides an important case for the use of decentralised ASGM management and regulation strategies by national governments. This initiative is the primary tool of the Bolivian government?s formalization agenda, which is consistent with the programme?s objectives. ? Bolivia?s public entity provides the opportunity to draw lessons from the implementation of this initiative, which can be shared with other country Child Projects who may be considering this route to ASM formalization. ? GIT - Oro Responsible, can also provide lessons on the multistakeholder approach and the implementation of JA in Bolivia, which could act as a source of learning that the Global Child project could share with other country child projects and for the global community, in support of other JA pilots.
Honduras	? Honduras has significant conservation and world heritage value but remains one of Central America?s poorest countries. The Honduran mining sector is small and accounts for 1% of national GDP, however there is growing interest in expanding investments and linking to downstream partners especially in scaling small and medium scale mining. ? ASGM has been legalized since 2013, however due to its wide geographic distribution, diverse mining practices and lack of information, it has been difficult to regulate. ? Honduras is finalizing its NAP and improving ASGM governance through using the CRAFT code, which is piloting commodity focused JAs in Tier 1 ASGM hotspots, the knowledge generated from piloting this approach in hotspots which are in different areas using diverse mining practices in a single country could support other Child Country projects which also have diverse ASGM environments such as Colombia, Ecuador and Peru
Uganda	? Uganda introduced a minerals policy with greater reflection of ASGM sector and approaches to formalize its operations, and supply chains and control mercury use. ? The 2020 Minerals Bill has provisions for ASGM formalization and professionalization. The Bill once approved into law will be a key instrument in formalizing the sector. ? Uganda is in the process of national ASGM biometric registration supported by the Directorate of Geology, Survey and Mines. ? The new environmental regulations (2021) have provisions for eliminating mercury use in the ASGM. ? The implementation of JA/LA approaches provides an opportunity for Uganda to address challenges with chemical pollution and sustainable use of its great Lakes including Lake Victoria.

Cote d?Ivoire	? Cote d?Ivoire?s Mining Code of 2014 explicitly prohibits the use of ?chemicals? in ASGM however the use of mercury in gold amalgamation remains widespread among many of the more than 500,000 people involved in ASGM. ? The country is currently elaborating its NAP. ? The country has implemented a number of donor funded projects to formalize the ASGM sector, trial mercury free technologies and link ASGM production with international markets. ? In 2013, the Ministry of Mines and Industries ran a programme to address ASGM ?Programme National de Rationalisation de l?Orpaillage? (PNRO) which ran from 2013?2016 and endeavored to formalize artisanal and small-scale miners. ? The implementation of JA/LA is expected to promote engagement amongst actors who are often in conflict related to access to natural resources. These include miners, national parks, cocoa farmers and livestock keepers.
Ecuador	? The Public Mining Policy of Ecuador 2019-2030 consists of 6 axes: i) economic development, ii) environmental and social sustainability, iii) research and development, iv) management and administration, v) regulation, control and fight against illegal mining and, vi) regulations. This is fully aligned with project knowledge sharing priorities. ? A comprehensive regulatory framework to address the adverse impacts of ASGM is in place and could benefit from the project?s lessons learned on formalization approaches. The ASGM regulations include Regulations of the Special Regime for Artisanal and Small-Scale Mining, the Environmental Regulation of Mining Activities, and the Mining Law (reformed in 2020). ? Ensuring environmental compliance of ASGM remains a challenge, despite the country banning use of mercury in the ASGM sector since 2013 as no alternative was given to miners. ? Implementation of a landscape approach and raising awareness on ecosystem services amongst stakeholders is likely to have a positive impact on the watershed basin of the Amazon River
Guinea	? Guinea is being supported by AngloGold Ashanti in developing and implementing an ASM formalization strategy. In addition to the broader sector intervention, the intention is to also support the setting up of an ASGM operation which demonstrates efficient mining and processing and good environmental and health practices. ? The country will benefit from lessons on holistic approaches to formalization and partnership with LSM in enhancing formalization and mercury reduction. Lessons from this approach will be beneficial to project countries and the wider ASGM community.

Mali	? The gold sector in Mali has experienced considerable growth over the years. However, the legislation lacks specific regulation on artisanal and small-scale mining (ASM) activities and related chemical use and management. ? The project lessons will support the country in addressing gaps identified in the NAP. ? Piloting of sustainable landscape and jurisdictional approaches as a framework for structuring formalization interventions in a holistic, multi-sectorial and integrated way will be relevant in Mali since large-scale mining (LSM), ASGM and agriculture often overlap leading to increasing land disputes among communities that are exacerbated by the climatic changes experienced in recent years.
Nicaragua	? The General Law of Mines, Law No. 38755, establishes the legal framework for the rational use of mineral resources, including the ASGM sector. ? Law No. 953 established the ENIMINAS to support ASGM through exploration and rational exploitation contributing to eradicating mercury in artisanal processing and promote good environmental practices as well as occupational health, safety and security. ? Law 21757 regulates environmental aspects of mining. ? The country has a strong regulatory base to build upon on formalization, mercury elimination, ecosystem services and conservation.
Sierra Leone	? Sierra Leone?s Medium?term National Development Plan 2019-2023 references ASGM impacts and articulates a national vision for the desired future of the sector, which in turn has been captured through the country?s goals stated in its NAP. ? Little attention has been paid to the ASGM sector, as national and international development efforts have largely focused on diamonds. The ASGM sector has been growing rapidly and provides many rural people with means of livelihood. ? Sharing experiences on formalization and JA/LA approaches will support efforts to reduce negative impacts from the sector and allow ASGM to contribute to its national development plan.

Zambia	? Zambia?s completed an MIA in 2017 and its ASGM NAP (National Action Plan), is currently being finalized. ? Gold Mining Strategy - Zambia declared gold as strategic mineral and has assigned the State-owned Zambia Consolidated Copper Mines-Investment Holdings (ZCCM-IH) to oversee investments and developments in the gold sector including the buying of the gold from the ASGM sector. ? Formalization of the illegal gold sector ? This is seen as an opportunity for economic development and to create jobs for the youth of Zambia. ? Zambia Mining Environmental Remediation and Improvement Project (ZMERIP) - This World Bank funded project aims to strengthen the capacity of national and state level institutions to better enforce pollution prevention measures and address the environmental health impacts associated with unsustainable mining practices. ? The project provides lessons that can enhance the national level effort and strategies.
Madagascar	? Madagascar completed its NAP in 2019, demonstrating the commitment to reduce and where feasible eliminate mercury use in ASGM ? Decree 2015-663, guided the administrative supervision of the ASGM sector under the responsibility of the national Agence de l?Or (ANOR). This governmental agency is in charge of (i) technical assistance and capacity building to gold miners in terms of production, environmental management, and occupational health and safety, as well as (ii) licensing. ? The agency lacks resources to cover all ASGM sites and miners do not see the benefit from ANOR support. ? The project can provide ANOR with tools for supporting miners through access to the knowledge platform and communication tools to deliver effective messaging to these stakeholders.
Nigeria	? The Nigerian Minerals and Mining Act of 2007 recognizes ASM in Nigeria. Under the Ministry of Mines and Steel Development (MMSD), the ASM Department is the official institution dedicated to artisanal gold mining. ? There is considerable commitment and investments from both government and the private sector in ASGM. In 2017, the Government of Nigeria through the Ministry of Mines and Steel Development obtained a loan of USD 150 million from the World Bank to develop the ?Mineral Sector Support for Economic Diversification Project (MINDIVER)?. In order to improve the sector and its contribution to the GDP and the government made gold one of the seven priority minerals in the country. ? The MMSD issued the first ever license for a national gold refinery in Nigeria in 2017 and a second one in 2018. ? The presence of institutions dedicated to ASGM provides a platform for knowledge transfer within the country.

Suriname -	? Despite the sector?s importance, Suriname lacks adequate legal, environmental and social frameworks and the majority of ASGM is informal or illegal. ? ASGM operations are driving land degradation, deforestation, and pollution of inland waters with mercury releases and poor tailings management, endangering human and ecosystem health. Suriname will benefit from the knowledge products on these issues.

Linkages with other GEF Projects and Relevant Initiatives

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The project will coordinate with existing GEF projects in the same region by exploring synergies for activities, sharing of resources such as material and joint activity financing where feasible. Projects will participate in knowledge sharing platforms, webinars and activities contributing to similar objectives. At the start of the project, communication will be made to existing GEF projects in the region to participate in inception workshops, share baseline information and establish networks. Efforts will be made to explore regional experience exchanges and lessons learned.

The project also contributes to UNEP?s Pollution and Health Programme and it will have mutual benefits and complementarity with other related UNEP intiatives.

Table 4: Other Relevant Projects and Initiatives

GEF Projects Other Projects/Initiatives	Linkages and Coordination
The Minamata Convention on Mercury is an international treaty designed to protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds. This convention made NAPs the centerpiece of Parties? obligations on mercury use. NAPs should involve all the relevant national government ministries and other stakeholders, and enable them to agree on a plan, with strategies to address all the major components of mercury use, including in ASGM. For ASGM this includes components such as baseline mercury inventories, worst practices, formalization, health impacts, and availability of mercury.	Using the NAPs, Parties, donors and other stakeholders can make informed decisions about future interventions to reduce mercury use in ASGM. NAPs have been funded by the GEF as enabling activities under the Minamata Convention, and some countries have embarked on the NAP development process with support from UNDP, UNEP and UNIDO.

Amazon Cooperation Treaty Organization (ACTO) was established to promote sustainable development in the Amazon Basin. Its members include Bolivia, Brazil, Colombia, Ecuador, Guyana, Peru, Suriname and Venezuela. Its work centers on collaborative initiatives geared to protecting the Amazon region through information exchange, capacity building and monitoring. Some of its more recent work involved supporting regional and thematic forums, implementing regional projects for sustainable development, establishing a system for environmental information, human capacity development, strengthening ACTO institutionally and building up its networking capacity at the international level.	Since the exploitation of minerals, particularly gold mining (including ASGM and use of mercury in the gold extraction) are major activities in the Amazon Basin, this is an important regional initiative to be considered under the GEF GOLD programme. Six of the eight members of ACTO are in the GEF GOLD programme (Bolivia, Colombia, Ecuador, Guyana, Peru and Suriname). These country projects should be encouraged to coordinate and share information.
Africa Environmental Health and Pollution Management Programme (EHPMP) aims to reduce exposure to mercury and persistent organic pollutants (POPs) pollution at pilot sites and strengthen the institutional capacity to manage and regulate mercury use in artisanal small-scale gold mining (ASGM) and e-waste in selected countries in Africa	Complements the implementation of NAPs and planetGOLD programme in selected countries. Experiences on mercury regulation, reduction and institutional strengthening can be important for the upscaling the planetGOLD interventions. The Global project to coordinate experience exchange with African child projects.
Sustainable Amazonian Landscapes. Is a project implemented in Colombia and Peru, applying a landscape approach to support environmental authorities and local agricultural producers to adapt to climate change. The project works in a participatory manner with local rural communities, regional and national environmental authorities, and national and international research institutions, to design and validate agriculturally productive land use and management alternatives. GEF: 5 million USD, Co-financing: 20 million USD.	Both Colombia and Peru are part of the planetGOLD family of child projects and experience sharing on implementation of landscape approaches in agriculture will be useful for application to ASGM within the Amazonian context. Additional countries in the Amazon such as Suriname, Ecuador and Bolivia can benefit from the lessons learned including the whole planetGOLD programme.

Central Africa Forests Commission (COMIFAC) is an intergovernmental organisation in Central Africa, whose main goal is to manage the forests of Central Africa in a sustainable manner. The organization?s members have received GEF support in the past as part of COMIFAC[1]. It is supported in this endeavor by the wildlife trade monitoring network (known as TRAFFIC).	Its main areas of activity include the sharing of knowledge resources, biodiversity preservation and ecosystems management. It has ten member states and one of these, the Republic of Congo, is in the GEF GOLD programme. ASGM (and its attendant mercury use) is a major activity in these forested areas, hence this programme has potential synergies with the GEF GOLD programme as source of information and for collaboration with the Congo child project.
International Conference on the Great Lakes Region (ICGLR) is an inter-governmental organization of the countries in the African Great Lakes Region established to promote sustainable peace and development	Areas of collaboration include regional formalization and GOLD strategy, certification mechanism and implementation of the OECD Due diligence guidance. The Republic of Congo, Uganda and Zambia are members of the ICGLR.
Integrated watershed management of the Putumayo-I?? river basin is a GEF funded project, implemented by the World Bank and executed by the Wildlife Conservation Society, that aims to strengthen the enabling conditions for the participant countries to manage the shared freshwater ecosystems of the Putumayo basin in the Amazon region. GEF: 12.8 million USD, Co-financing: 88.9 million USD	The project countries include Colombia, Brazil and Peru. The project will contribute to Programme 1. Industrial Chemicals Programme (Chemicals used/emitted from/in processes and products), this sub-component of the C&W strategy addresses Reduction and elimination of mercury from the Artisanal and Small-Scale Gold Mining Sector.

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[1] https://www.thegef.org/project/ratification-and-implementation-nagoya-protocol-access-and-benefit-sharing-abs-member

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.

Communications and knowledge management are key elements of this global project under the planetGOLD programme. Their goals are to: help project-participating countries and the wider ASGM community increasingly access and apply knowledge to deepen mercury reduction; and to improve the understanding of governments, the private sector, mining communities and the general public of the ASGM sector and raise awareness in gender balanced approaches in all interventions. Regular coordination meetings will be part of the project and a gender-sensitive communications module will be part of the agenda for the Inception Workshop.

Communications

Overview and background

The communication strategy is designed to help achieve the knowledge management and outreach goals of this project component. Underpinning the ultimate success of this strategy and the programme?s ability to effectively communicate, will be the strong foundations for communications that were created during the first phase of the GOLD programme (GEF ID: 9602). This communication strategy builds on these earlier efforts which involved putting in place the needed management tools required to deliver communications results as well as establishing key tools such as a basic communications kit and developing a unified brand and programme narrative.

Why a communications strategy?

As the project unfolds, the programme will capture lessons learned and best practices and develop new knowledge around how solutions to support artisanal and small-scale miners can be brought to scale. Effective communications will be important over the lifecycle of the project as it aims to rally a wide range of stakeholders and audiences around supporting artisanal and small-scale miners and inform the development of ASGM formalization efforts globally using the knowledge generated by this programme.

Communications strategy objectives

This strategy ultimately aims to help planetGOLD country level projects and the wider ASGM community increasingly access and apply knowledge to deepen mercury reduction; and improve the understanding of governments, the private sector, mining communities and the general public of the ASGM sector.

Communications strategy stakeholders

Awareness levels and sentiments concerning ASGM are varied and complex depending on particular audiences and their exposure to the issues at hand. In line with the programme?s existing broader communications vision to ?change the conversation? around ASGM, targeted communication for each audience group and an analysis of their current perception is required as each will have specific needs, interests and preferences. With this understanding, stakeholders (or target audiences) for the project?s communications can be placed into three categories:

- ? Supportive stakeholders ? These stakeholders are very well versed in the development potential and the need to support ASGM miners with increased access to finance, technology, sustainable markets and a strong formalization process. The support of these actors needs to be maintained and leveraged.
- ? Challengers ? These stakeholders may not be as familiar with the overall opportunity that a formalized and mercury free ASGM sector could provide. At their most extreme, these stakeholders can be termed as ?challengers? to the proactive narrative that promotes the need to include and support ASGM miners in their transition toward responsible mining practices without the use of mercury. Stakeholders who challenge the ?opportunity? narrative around ASGM often view artisanal miners as illegal and undeserving of support. These stakeholders fail to recognize that with adequate access to finance, training and technology, ASGM miners can be part of the solution to eliminate mercury, as well as support livelihoods and rural economic development.
- ? Neutral/Unaware Stakeholders - Stakeholders, or potential audiences can be viewed as being on a continuum, with ?supportive stakeholders? to one side and ?challengers? on the other side. In the

middle are stakeholders who are simply ?unaware? and/or neutral to the ASGM conversation and the opportunity narrative and with greater knowledge about the opportunity could be shifted to the ?supportive side?. The table below summarizes the communication objectives and communication channels for each type of stakeholder in the groups described above.

Table 5: Communication Objectives and Communication Channels for Key Stakeholders

Targeted Stakeholder Groups	Objective	Key Channels
Supportive stakeholders at the global level: important to maintain engagement and support		
Programme stakeholders ? members of the UNEP Global Mercury Partnership, Programme Advisory Group, and key individuals within the Implementing Agencies who facilitate knowledge sharing and communications outreach	This group is ?supportive?, and it will be important to communicate with them regularly in order to keep them engaged and supportive of planetGOLD?s work.	Annual report, website, social media content kits, newsletter, LinkedIn, YouTube, knowledge products, regular project meetings, calls and relevant external events.
Global community working on ASGM / global development community	This group is ?supportive?, and it will be important to communicate with them regularly in order to keep them engaged and supportive of planetGOLD?s work. It is also important to make them aware of the resources and knowledge being produced so that their work is enhanced by it.	Annual report, LinkedIn, conferences and events, blogs, knowledge products, website, email newsletter and relevant external events.
Neutral or challengers at the global level: These groups need to shift their perception to see the opportunity and support action for artisanal and small-scale miners		
Social impact investors	This group is currently largely ?neutral? and potentially ?challengers? as they see risks in investing in the ASGM sector. The aim would be to raise their awareness about the benefits and opportunity of supporting the ASGM sector.	Knowledge products aimed at the finance sector, finance sector communications kit, LinkedIn, website, financial media (e.g., Bloomberg and FT), social impact investment events and conferences, video and web profiles on miners ready for investment, op-ed by peers, and presentations at relevant external events.

Mining sector investors and banks	This group is currently largely ?neutral? and ?challengers? as they see risks in investing in the ASGM sector. The aim would be to raise their awareness about the benefits and opportunity of supporting the ASGM sector.	LinkedIn, mining and industry publications, in-person industry events & conferences, investor knowledge products, finance sector communications kit, op-ed by peers, and presentations at relevant external events.
Global brands that buy gold	This group is currently largely ?neutral? and potentially ?challengers? as they see risks in purchasing from the ASGM sector. The aim would be to raise their awareness about the benefits and opportunity of supporting the ASGM sector.	Jewlery fairs and industry events, email newsletter, trade magazines, direct engagement with global sustainability directors from key brands, LinkedIn, op-eds by peers, and presentations at relevant external events.
Global media (for example: CNN, BBC, Aljazeera, El Pais, Time, the Economist, NYT, etc.)	This group largely consists of ?challengers?. They will be skeptical of ?success stories? and news of impact. It will be important to acknowledge the challenges and help them to report on the potential solutions and how the sector is making the transition with planetGOLD?s help.	Story pitches, solutions journalism workshop and network, op-eds, expert interviews, international events and conferences, major announcements and milestones, partner social channels, planetGOLD website, video stories, campaigns with partners.
Concerned citizens	Depending on their level of exposure to the benefits of supporting artisanal and small-scale miners this group is likely to span the spectrum from supportive to challengers. Those that are neutral could swing either way.	Media, website, video stories, social media (planetGOLD and partner agencies), PR campaign with partner.
National level groups: As each country has a specific context, the details below are designed as a guide that needs to be adapted for specific national realities by the country projects. Where appropriate, the global project will provide support to these communication efforts.		
National government institutions	This group will span the challenger-supporter stakeholder spectrum depending on the institution, its relationship with the ASGM sector and the existing perception of ASGM in the country. Where challengers are encountered, messaging should focus on the wide-reaching opportunity presented by the adoption of JA/LA innovations to formalization as they target win-win solutions for multiple stakeholders.	Invitations to events, working groups and committees.

National finance sector (in particular the banking sector)	This group is currently ?challengers? as they see risks in investing in the ASGM sector. The aim would be to raise their awareness about the benefits and opportunity of supporting the ASGM sector. Messaging to this group will also include how the project is working with government to create a formalization enabling environment.	National investor forums, national business media, investor targeted collateral such as socially responsible investment guides and ESG toolkits, op-eds by peers.
Formal mining sector	This group is currently ?challengers? as they see risks in investing in and interacting with the ASGM sector. The aim of communications would be to raise their awareness about the benefits and opportunity of supporting the ASGM sector.	Local industry publications, industry events, engaging with Chambers of Mines, direct engagement with company CSR managers, LinkedIn, op-eds by peers.
Miners and their communities	This group likely spans the continuum, with some keen to work with planetGOLD and others neutral or considering doing things differently a risk, so may potentially challenge the idea. Moving these stakeholders towards supportive end of the spectrum by demonstrating the health and operational benefits of responsible mining will be the key objective.	Radio programs, community forums, events and meetings, television, stories of other miners.
National supply chain participants	This group includes various actors (gold traders, mercury traders, processors etc.) that will each have differing positions depending on their context. Communicating the benefits of responsible mining to these stakeholders is important for achieving the systemic change the project intends to achieve.	Radio programs, community forums, events and meetings, television, stories of other miners.
Concerned citizens/Public at large	The composition and position of members of this group will vary according to the national context. This will affect specific communication approaches and objectives. The goal with this group will likely be to increase the number of supportive stakeholders.	National media, national level campaigns, website, video stories, partnerships with brands.
National media	This group is currently largely ?challengers?. Professional journalists working for independent media will be skeptical of ?success stories? and news of impact. It would be important to acknowledge the challenges and help them to report on the potential solutions and how the sector is making the transition with planetGOLD?s help.	Story pitches, expert interviews, local events and conferences, national social media, media email list, op-eds, solutions journalism workshop in country or region, in-field reporting opportunities/ media training, press conferences, media networking events.

Communications Approach

The particular activities detailed in this strategy focus on what will be implemented at the global level of the programme, recognizing that each child project will develop its own complementary national-level communications plans with distinct audiences, platforms and outreach tactics. Responsibility for managing the activities in this strategy document rests with the Global Project.

Achieving the goals of the communication strategy requires a communications approach that focuses on:

? Changing perceptions around artisanal and small-scale gold mining, particularly at the national and global level. This strategy will support this by re-framing the issue around the social, environmental and economic benefits of supporting artisanal and small-scale miners, and by systematically engaging the media to cover issues through a solutions-orientated angle.

? Creating and promoting knowledge products on innovations in formalization such as jurisdictional/landscape approaches to formalization, market access, finance and technology transfer.

? Sharing lessons learned from the country projects on topics such as biodiversity, land-use planning, occupational health and safety, mercury-free gold production and due diligence in gold supply chains.

? Employing an appealing and impactful storytelling approach that uses audio-visual content, where possible, that allows the project?s messaging to reach a wider audience.

? ? Use of male and female knowledge product, communication, and public education material developers for the diversity of perspectives and approaches, as well as male and female reviewers of these products.

? Using gender-sensitive language and gender-balanced images (women not presented as victims but as agents of change).

? Examining context and content (use gender analysis; use convincing gender arguments based on reliable sources and qualitative and quantitative data including sex-disaggregated data).

? Referring to (inter-)national policy framework, policies, strategies, and plans, as applicable and appropriate.

The NRDC is responsible for implementing this communications strategy, along with the broader knowledge management and communications team for the Global Project and with production support from contracted communications partners.

Table 6: Global Level Communications Activities

Activity	Description	Due date / timeline	Responsible

Integrated media and communication campaigns	Current global media and communications strategies and products targeting government, mining communities, the private sector and the public are continued and expanded. High profile individuals and brands will be enlisted to support project success communications.	Ongoing	NRDC/ Global Mercury Partnership
Maintaining the planetGOLD Website	Maintaining, updating and expanding the planetGOLD website with all available information (including news, events, blog posts, resources, country pages and curated thematic pages). The website will continue to be adapted to user demands and specifications.	Ongoing	Global Mercury Partnership
Core collateral	Producing compelling planetGOLD branded communications collateral.	Ongoing	NRDC
Social media	Continuing to develop the footprint of existing planetGOLD social media channels.	Ongoing	NRDC/Global Mercury Partnership
Mailing list	Maintaining and growing the planetGOLD mailing list as a key distribution channel.	Ongoing	NRDC/Global Mercury Partnership
Supporting the communication efforts of country projects	The publications, news, project updates etc. from the country projects will be amplified through the planetGOLD distribution channels.	Ongoing	NRDC/ Global Mercury Partnership

A communications schedule will be created by the NRDC, in collaboration with Global Mercury Partnership and the project country communications officers, during the early stages of the project. The schedule will be updated regularly in response to the global ASGM zeitgeist.

The project will also benefit from the Extractive Industries hub established within UNEP, and the Global Landscape Forum for sharing ideas on the extractives industry and innovative JA/LA approaches respectively. Private sector involvement in the hub, especially from the mining industry, will ensure a targeted dissemination of the outreach material and lessons learnt from the project.

More details on the project?s communications strategy can be found in the project?s ?Communications Strategy? document (Appendix 11).

Knowledge Management

Overview and background

Knowledge management is a fundamental part of this global project under the second phase of planetGOLD. Knowledge management activities in this project build on existing systems already in place and described in Section 2 above, most notably, phase one of the GOLD programme.

This project?s proposed knowledge management activities are planned to sync seamlessly with the ongoing phase 1 activities, promoting efficiencies and reducing any chance of disruption to the knowledge gathering, creation and dissemination that is currently ongoing and to ensure the sustainability of the knowledge base after the conclusion of the project. Other key knowledge management partners include the Global Mercury Partnership, the Minamata Convention on Mercury, and the Delve data platform for ASM, and additional partners will be drawn from the Programme Advisory Group.

Why knowledge management?

The purpose of the knowledge management functions of this project are to collect, analyse, curate, and disseminate knowledge generated in the planetGOLD programme both among country projects and within the broader ASGM community.

In this way the global project will ensure that country projects and other ASGM initiatives are not operating in isolation, learn from each other, and can act on those lessons. This allows for a programme that produces impact greater than the sum of the individual child projects as the knowledge base will continue to have great utility to the global ASGM community and the mission to reduce mercury usage in the sector, well after the project ends.

Knowledge management stakeholders

The key knowledge management stakeholders can be divided by those internal and external to the programme. Internal knowledge management stakeholders are first and foremost the country project teams, including those in both the first and second phase of planetGOLD.

Country project teams feed knowledge into the system and receive knowledge, insights and lessons learned both from other country projects and from the global project. The PAG is also considered an internal stakeholder and the knowledge gathered by the project will assist the group to better provide guidance in an evidence-based manner.

External knowledge management stakeholders include the broader community of ASGM practitioners, policymakers, mining associations, researchers and development professionals. The Global Mercury Partnership, parties to the Minamata Convention, intergovernmental organizations (such as members of the IOMC), civil society organizations, gold consumers along the supply chain, providers of financial services, and others will benefit from as well as contribute to the project?s knowledge management resources.

Knowledge management objectives

The key knowledge management objectives of the project are: 1) facilitating exchange of information, including data, methodologies and lessons learnt among county project teams and helping to capture this experience so that it can become the evidence base for designing future effective interventions in the ASGM sector; 2) maintaining a knowledge repository for sharing data, information and knowledge products with the broader ASGM community and the public, as well as for collecting and curating global

experience; 3) creating opportunities for the county project teams and other global ASGM practitioners to meet to exchange ideas and best practices in the form of the Global Forums and webinars; and 4) generating and curating knowledge products in the four planetGOLD knowledge areas that respond to gaps identified by programme participants and the ASGM community.

Knowledge management approach

To achieve the objective of capturing knowledge and evidence from the country project level, the project will work with country projects to ensure that the countries are documenting important project outcomes and activities and to ensure that the resulting knowledge products are transmitted to the global level.

The project will also develop and provide recommendations for country projects to use when developing knowledge products within the programme. It is expected that the knowledge products will take varying formats. Technical publications will include policy overviews, research reports, technical case studies, gender focused, evaluations, resource toolkits, manuals, guidelines and guidance notes and datasets.

Non-technical knowledge products will include strategy documents, insights papers, best practices at national, regional or global levels, non-technical case studies, infographics and perspectives papers on ASGM themes and topics.

Sharing the lessons and experiences from the country projects will be key to ensuring that the global ASGM community learns from the innovative approaches implemented by the country projects. The planetGOLD website hosts a knowledge repository where documentation of the country lessons and experiences can be disseminated by the project and accessed by country projects and the global ASGM community.

The team will also continue to build on the existing library of materials curated from the global ASGM community on critical topics including formalization, technical solutions, awareness raising and access to finance, through ongoing scans of literature as well as active monitoring of key external partners and initiatives generating relevant knowledge of interest to the programme.

The planetGOLD website will continue to play this knowledge capture and dissemination role under this project and will host all knowledge products generated by the global project as well as key knowledge products from country projects, as well as relevant knowledge products from the wider ASGM community.

The global nature of the programme also provides an opportunity for the country projects to learn from each other during the programme. This will be done through communities of practice, where representatives from each project country will meet regularly on specific themes. For example, the safeguards/gender specialists from each of the child projects will meet virtually to share lessons, identify shared challenges, etc. Communications and finance specialists are other communities of practice that will be explored during the project.

The global team will organize knowledge sharing opportunities among the ASGM community. The flagship activity will be the planetGOLD Global Forums for exchanging information and lessons learned among child projects and other ASGM stakeholders.

For the purposes of planning, the project has budgeted for two Global Forums during the life of the project, assuming that phase 1 of the planetGOLD programme will fund the Global Forums that happen earlier in the life of the project. The Global Forum will be complemented by at least one topical webinar, either organized independently or with programme partners, on a key topic of interest. During years when the Global Forum is not held, the team will hold a minimum of two such topical webinars.The programme will help create a pipeline of planetGOLD knowledge products. Priority topics for knowledge products will include innovations in formalization such as jurisdictional/landscape approaches to formalization, access to finance, raising awareness and technology transfer.

Other ASGM related themes for consideration include biodiversity, land-use planning, occupational health and safety, mercury-free gold production and due diligence in gold supply chains. Lessons learned and documentation of country efforts will also be published. These knowledge products will be amplified through the planetGOLD communications channels.

Table 7: Knowledge Management Activities

Activity	Description	Timeline	Responsible
1) Facilitating exchange of information			
Sharing information/data on programme performance	The project will provide a public-facing report or other knowledge products on at least an annual basis to describe progress of the programme in achieving its cross programmatic goals.	Annual	NRDC
Assisting documentation of country project learnings	The project will work on a routine basis to encourage the country projects to document their key learnings and experiences. To assist this process, the project will develop recommended approaches for the documentation of project outcomes, fostering consistency and allowing more meaningful comparisons across the country projects.	Ongoing	NRDC
2) Maintaining and updating the planetGOLD knowledge hub			
Adding new country projects to the planetGOLD platform	Integrating new planetGOLD country projects into the knowledge platform	6 months after project start (dependent on country project approvals)	Global Mercury Partnership

Training new country projects to use the planetGOLD platform	Initial and ongoing training is provided to all planetGOLD country project focal points to enable them to effectively use and add content to the knowledge platform.	Initial training in first 6 months, then as needed	Global Mercury Partnership
Creation of new communications content for the planetGOLD platform	News, blogs, events, notifications of availability of new resources, multimedia, etc. are created or edited and published on the knowledge platform in coordination with country project teams and monitored by an editorial calendar.	Continuously	NRDC/ Global Mercury Partnership
Monitoring, analyzing and sharing web statistics from the knowledge management platform	Web statistics will be monitored, analyzed and shared with country project leads and other programme stakeholders and recommendations will be made to increase reach and visibility.	Continuously, with quarterly updates	Global Mercury Partnership
Soliciting community feedback	Feedback on the knowledge platform will be regularly sought among country project leads and other stakeholders, and feasible web site improvements will be made in response to recommendations.	Yearly	Global Mercury Partnership
Maintaining and operating communication channels	Contact submissions, mailing list signups and comments functions will be maintained, monitored and addressed and relevant information shared with programme stakeholders to ensure they are aware of the community?s response and interest in project activities.	Continuously	Global Mercury Partnership
Troubleshooting and security	Rapid troubleshooting, bug fixes and web security protocols, in line with UN standards, will be conducted and maintained.	Continuously	Global Mercury Partnership
Sustainability plan	A sustainability plan for the knowledge platform will be developed and implemented so that all site content and resources continue to be available after project closure through archiving (as necessary) and transferring content to the Secretariat of the Minamata Convention on Mercury and their web platform.	In final year of project	Global Mercury Partnership
3) Creating opportunities for the county project teams and other global ASGM practitioners to meet to exchange ideas and best practices			

Knowledge sharing opportunities	The project will organize knowledge sharing opportunities among the ASGM community with the flagship activity being two planetGOLD Global Forums for exchanging information and lessons learned among child projects and other ASGM stakeholders. This will also include hosting periodic (at least one during the years with a Global Forum and at least two per year in years without Global Forum) webinars on key topics such as finance, responsible supply chains, uptake of mercury-free technologies, gender in ASGM, etc., either independently or in collaboration with external partners such as the DELVE programme.	Global to Forum to be held every other year beginning year 3 of the programme. One technical webinar in Global Forum years, two in off years	NRDC/Global Mercury Partnership
Communities of practice	Representatives from each project country will meet virtually to exchange knowledge on specific themes (e.g., safeguards/gender, finance).	Ongoing	NRDC
Ongoing monitoring of key ASGM projects outside of planetGOLD	On an ongoing basis, the project will monitor key projects and initiatives in the ASGM community of practice, and identify opportunities for knowledge exchange on issues of relevance to the planetGOLD programme (for example the OECD Responsible Sourcing annual meeting, the Responsible Minerals Initiative annual meeting, the International Conference on Mercury as a Global Pollutant, etc.)	Ongoing	NRDC
4) Generating and curating knowledge products for the planetGOLD programme			
Creation of new knowledge products	The project will facilitate the creation of knowledge products on: jurisdictional and landscape approaches to formalization in ASGM and other relevant topics	Ongoing	NRDC
Curation of existing resources from the global ASGM community of practice.	On an ongoing basis, the project will scan for knowledge products from other programs and research within the global ASGM community of practice, and add the most essential information to the knowledge repository.	Ongoing	NRDC/Global Mercury Partnership

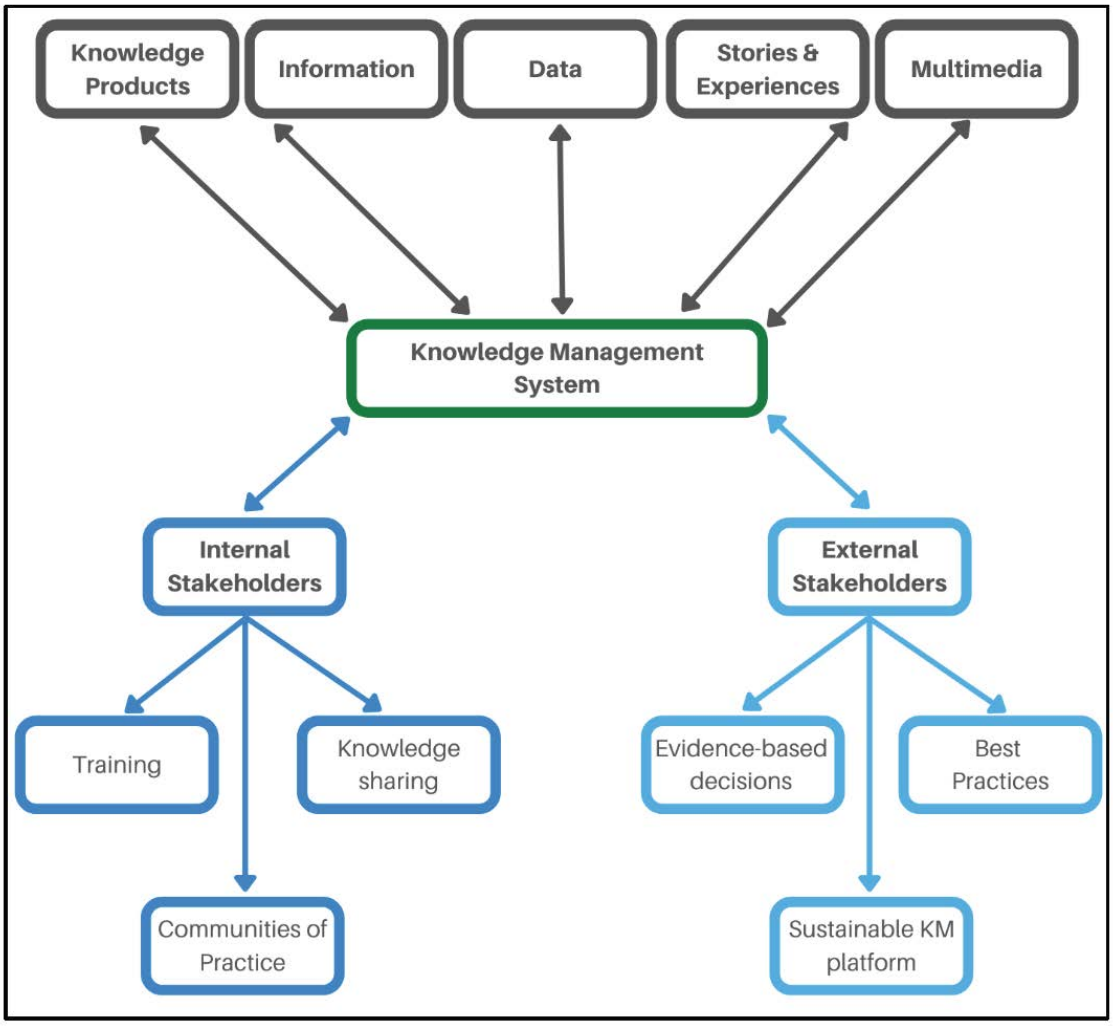


Figure 4: Knowledge management chart

The knowledge management system will host relevant knowledge products, information, data, stories and media and this allow for internal and external project stakeholders to access this knowledge repository.

The project will also work closely with internal and external project stakeholders to generate and contribute knowledge to the repository. Throughout the lifecycle of the project, the knowledge management system will provide opportunities and products for internal stakeholders to gain skills and knowledge immediately applicable to their projects. External stakeholders will receive similar benefits and the added benefits of access to longitudinal data on the approaches implemented by the project countries, which allows for evidence-based decisions on what should be considered best practice.

The PSC will also create a sustainability plan prior to the final year of the project to ensure the long-term sustainability and availability of the planetGOLD knowledge hub so that external stakeholders can continue to access it well after the global project concludes.

9. Monitoring and Evaluation

Describe the budgeted M and E plan

The project will follow UNEP standard monitoring, reporting and evaluation process procedures and include Reporting requirements and templates, which are an integral part of the UNEP legal instrument to be signed by NRDC, as the **executing agency (EA)** and UNEP, 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-?-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 UNEP 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 UNEP 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 UNEP 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).

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.

Table 8: M&E Plan and Associated Budget

Type of M&E activity	Responsible Parties	M&EB udget from GEF	Budget co-finance	Time Frame
Inception Meeting	EA			Within 2 months of project start-up
Inception Report	EA			1 month after project inception meeting
Measurement of project progress and performance indicators	EA			Annually
Baseline measurement of project outcome indicators, GEF Core indicators (Tracking tools?)	EA (Tracking Tools not applicable in C&W focal area)			Project inception
Mid-point measurement of project outcome indicators, GEF Core indicators (Tracking tools?)	EA			Mid Point
End-point measurement of project outcome indicators, GEF Core indicators (Tracking tools?)	EA			End Point
Quarterly Progress/ Operational Reports to UNEP	EA		5,000	Within 1 month of the end of reporting period (quarterly)
Project Steering Committee (PSC) meetings and National Steering Committee meetings	EA			Once a year minimum
Reports of PSC meetings	EA			Annually
Project Implementation Review (PIR) report	EA and IA			Annually, part of reporting routine
Monitoring visits to field sites	EA			As appropriate
Mid Term Review/Evaluation	IA	$30,000		At mid-point of project implementation

Type of M&E activity	Responsible Parties	M&EB udget from GEF	Budget co-finance	Time Frame
Terminal Review/Evaluation *(whether a project requires a management-led review or an independent evaluation is determined annually by UNEP?s Evaluation Office)*	IA	$40,000		Typically initiated after the project?s operational completion
Programme Evaluation	IA	30,000		Initiated when 80% child projects are operationally completed
Audit	EA	$78,000 (under PMC)		Annually and after project?s operational completion
Project Operational Completion Report	EA			Within 2 months of the project completion date
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
Total		**100,000 (M&E)**	**5,000**	

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)?

The Global Child project will generate socio-economic benefits through increased knowledge which will lead to improved outcomes in:

? **Income and livelihood security of ASGM communities:** This project supports ASGM formalization that will result in more efficient gold processing, improved productivity and higher incomes for miners which will produce cascading benefits for mining communities.

This will include opportunities for improved food security for miners and local host communities. Through formalization and the associated increased knowledge, it can be expected that miners? capacity to invest in more sustainable livelihoods will be increased.

In the country child projects increased formalization will result in higher revenues for governments to invest in social services for the broader populace. In Bolivia, for example, where it is estimated that formalization covers only 40% of ASGM activities, incorporating the remaining 60% would contribute to a significant increase in government revenue.

In Congo, the proposed introduction of a mobile application which will facilitate access to market prices and information, as a means to ensure a fairer distribution of benefits in the supply chain, would have an immediate impact of increased incomes for miners which could then in turn produce better livelihood outcomes.

? **Health of local populations including women and vulnerable peoples:** The formalization of the ASGM sector and the increased application of mercury free gold production methods will lead to a reduction in mercury emissions and releases.

The use of better practices and better handling of mercury means that less people will be exposed to mercury and its negative impacts, resulting in less mercury contamination of the environment and lower and less harmful levels of mercury entering our food chains. Improved mining practices will also improve the quality and in certain instances quantity of water, therefore host communities will have access to cleaner water. It is also expected that there will be a reduction in waterborne diseases, as miners will backfill mined out pits due to formalization efforts and better practices.

Efforts to reduce mercury are specifically important for countries like Ghana and Uganda where the high levels of methylmercury threaten food security, the fish analysed as part of Uganda?s NAP showed that mercury levels far exceeded the FAO?s guidelines, other staple foods such as cassava and yams also presented elevated mercury levels. The impact of mercury can transcend borders and can adversely impact the food and water security of an entire region therefore reducing mercury releases that might cause exposure or poisoning can improve the health of communities.

The proposed Bolivia child project aims to derive systemic change from the multi-stakeholder approach that is inherent in the JA, and the inclusivity of the approach which will result in better protection of women and other vulnerable groups from the negative impacts

? **Biodiversity and climate security:** The Global Child Project employs a holistic integrated approach to formalization, by supporting JA/LA approaches there will be concomitant benefits to the whole ecosystem.

Responsible ASGM will reduce mercury use, and its corresponding emissions and releases, generating better outcomes for the natural environment. Formalization will create better resourced mining communities, making them more resilient to the impacts of climate change.

? **Gender awareness**: The global project will implement a gender mainstreaming plan ensuring knowledge products and communication materials are gender sensitive and do not exacerbate existing gender in-equalities amongst project beneficiaries.

Table 9: Socio-economic benefits by country project

Socio-economic benefits ? Highlights by Country Project
Bolivia The baseline data indicates that the extraction of gold using mercury is highly inefficient, particularly the high mercury to gold ratios imply that money is being lost in mercury overuse. Application of innovative approaches to gold extraction, supported and promoted through the Global Child Project, will lead to more efficient extraction processes, leading to better profits and higher incomes. Less money spent on mercury by miners will also mean that more of the economic value of ASGM accrues to local communities.
Congo Through knowledge promoted by this Global Child Project it can be expected that there will be improved practices and a move towards cleaner gold production. The reduction of mercury emissions and releases will result in reduced contamination of Congo forests and less mercury entering the food chain. This can be expected to lead to reduced negative impacts of mercury on the artisanal mining communities in the Congo, in particular, better health outcomes. The reduction of releases into the environment will also better protect the forest-based livelihoods in the Congo. In addition, more efficient gold extraction that will be promoted by the Global Child Project will lead to increased incomes for ASGM communities in the Congo.
Ghana It can be expected that the Ghanaian ASGM communities will benefit from the project through the improved incomes that will be made possible from applying the more efficient mercury gold processing technologies that will be promoted by the project. Since the Volta River Basin is transnational, communities in other countries that ate downstream of the ASGM activities can be expected to benefit from improved health outcomes that will result from the application of these innovative mercury-free technologies.
Honduras The formalization that will be promoted and supported by the Global Child Project as a core driver of reduction in mercury emissions and releases by the ASGM community in Honduras can be expected to lead better protection of biodiversity. This can be expected to lead to positive socioeconomic impacts on the people of Honduras, particularly the communities who live near these hotspots. As a nation, Honduras can be expected benefit from improved resilience to climate change impacts by improving the protection of mangroves from environmentally destructive ASGM activities as mangroves help to reduce the impacts of high-water inundations. The protection of these mangroves may also have livelihood impacts as they are known to be breeding areas for some of the marine life that is a food source for nearby communities.
Madagascar It can be expected that the Global Child project will benefit Madagascar through the improved environmental management that will result from the formalization that will be promoted alongside mercury-free innovations. The reduction in wetland destruction that will result from better knowledge disseminated by this Global Child Project will mean a better environment for the communities near these wetlands. Livelihood opportunities associated with these protected areas including tourism will be one of the socioeconomic benefits for the communities.
Nigeria Some of the states where ASGM takes place in Nigeria are water scarce. As such, the proved operating practices that will result from the innovative mercury-free processes disseminated by this Global Child Project, may lead to improved conservation of water through practices like water recycling. Another benefit of the improved mining practices promoted by the Global Child Project will be a reduction in the fatalities of artisanal miners, which is a significant problem in Nigeria.

Suriname

The large number of people employed in the ASGM sector in Suriname can be expected to benefit economically from the efficient operations resulting from the better processing practices promoted by this Global Child Project. This can also be expected to lead to better quality jobs for these workers and a reduction in one of the worst forms of child labour (child labour in mining). Keeping children out of mining sites will result in better life outcomes for them with respect to health and education. The dissemination of good gender equality practices will also lead to better outcomes for the many women known to work in the ASGM sector in Suriname.

Uganda

This Global Child Project can be expected to support a reduction in mercury emissions releases from the ASGM sector in Uganda which is known to be the largest contributor of mercury contamination. This project will disseminate knowledge on mercury-free gold extraction methods, leading to mercury pollution reductions, not only in the specific sites covered by this country child project, but also through replication in other areas not directly targeted under this programme. The reduction in releases resulting from the work of this Global Child Project will mean that freshwater systems and large water bodies like the Lake Victoria will have less contamination, and hence reduction in mercury entering the food chain through fish.

Cote d?Ivoire

The rapid expansion of the ASGM sector in Cote d?Ivoire has been accompanied by an increase in the use of mercury for gold extraction. This Global Child Project will therefore benefit Cote d?Ivoire by disseminating knowledge that supports cleaner production in this expanding sector. It may be expected that the use of mercury in ASGM may not be as entrenched as the countries where it has been prevalent for longer, hence the knowledge on good practices disseminated through this project may have an easier path to adoption.

Ecuador

This Global Child Project can be expected to result in socioeconomic benefits for Ecuador, through better environmental management promoted through dissemination of appropriate knowledge. Downstream livelihoods can be expected to improve as a result. The reduction in transboundary pollution may also lead to a reduction in disputes over the issue with neighbouring Peru, as well benefiting the environment and health of the populace in that country.

Guinea

The ASGM sector in Guinea employs more than 240,000 miners. The improved practices that will result from the knowledge disseminated by this project will lead to improvement in the lives of these miners. The formalization which will be promoted together with improved gold extraction processes will result in better jobs for these miners, dissemination of this knowledge may lead to replication in Guinea and also in neighbouring countries of the Mano River Union (Liberia and Sierra Leone). This may also lead to reduction in the cross border illicit trade of gold which can also lead to improved economic benefits for the countries.

Another aspect that may benefit from the formalization that will be supported by the dissemination of knowledge is the relations between large-scale miners and the ASGM sector. The improved practices may be fertile ground for better relations between the two subsectors, and even collaboration.

Mali

This Global Child Project can be expected to benefit Mali through promoting improved practices that will result in better socioeconomic impacts for all artisanal miners including the large number of women involved. The dissemination of knowledge on the mercury-free gold extraction innovative approaches guided by a gender mainstreaming plan can be expected to lead to improved equality on how both women and men benefit. This gender equality approach will also be reflected in the coordination and monitoring efforts of this Global Child Project leading to better socioeconomic development outcomes for women. These will include women not being disproportionately exposed to mercury, and as consequence of this, a reduction in the number of children exposed to mercury and other mine site hazards.

Nicaragua This Global Child Project will be disseminating knowledge on improved ASGM practices that will support transformation of the ASGM sector in Nicaragua. With a gold mining sector that relies on ASGM to contribute more than 50% of national production, the positive impacts of a transformed ASM sector will have far reaching positive economic benefits for Nicaragua. The nationwide change in ASGM practices from the country child project, will be possible through replication supported and promoted by the dissemination of knowledge on improved ASGM operating practices. The coordination and monitoring efforts driven by this Global Child Project can be expected to support the Nicaragua country child projects reach its targets of mercury reduction through transformation of its ASGM sector.
Sierra Leone This Global Child Project will result in socioeconomic benefits for Sierra Leone through positive impacts of knowledge that will be disseminated. The improved ASM practices that will be implemented as a result, will demonstrate the importance of the gold sector which has been overshadowed by the diamond sector. The positive image that will be promoted via the communication efforts of this Global Child Project will support some of the responsible supply chain initiatives being considered for the ASGM sector in Liberia (e.g., the replication and adoption of the De Beers GEMFAIR concept originally implemented in the artisanal diamond sector). This Global Child Project can also be expected to support the transboundary socioeconomic impacts of the Sierra Leone country child project. This is particularly important from the Mano River Union perspective, where transboundary illicit trade in gold (and diamonds) has presented many developmental challenges.
Zambia The emerging ASGM sector in Zambia (after decades of a mining sector dominated by copper) will be supported by the Global Child Project to prevent it from following the bad example of mercury pollution disasters seen the ASGM sectors in countries where it has existed for a long time. The knowledge shared on good ASGM practices and mercury free gold extraction, will help the country child project support clean production of gold as the formal ASGM sector grows. This will reduce the entrenchment of bad ASGM practices, leading to socioeconomic benefits for the actors in the sector, e.g., better incomes, improved health outcomes and gender equality. Dissemination of knowledge on ASGM formalization models by the Global Child Project will support the Zambian country project to develop its ASGM sector for better mineral linkages, contributing to economic transformation of rural communities. It will also lead to improved revenue capture for the government for social programs.

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
	Low		

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	*GEF ID 10606*
Project Title	*Global Opportunities for Long-term Development of artisanal and small-scale gold mining ASGM) Sector Plus (GEF GOLD +)*
Managing Division	*Economy Division*
Type/Location	*Global*
Region	*(Africa/ Asia Pacific/ Latin America Caribbean/ West Asia)*
List Countries	*Bolivia, Cote d?Ivoire, Ecuador, Honduras, Ghana, Guinea, Mali, Madagascar, Nicaragua, Nigeria, The Republic of Congo, Sierra Leone, Suriname, Uganda and Zambia*
Project Description	*The project aims to support the deepening of mercury reduction in artisanal and small-scale gold mining (ASGM), holistic formalization of the sector, and scaling up of successful interventions through sharing of technical information, outreach to relevant stakeholders, knowledge exchange and communication strategies.*
Relevant Subprogrammes	
Estimated duration of project	*72 months*
Estimated cost of the project	*7,936,276*

Name of the UNEP project manager responsible	*Ludovic Bernaudat*
Funding Source(s)	*GEF Trust Fund*
Executing/Implementing partner(s)	*NRDC, UNEP KRU*
SRIF submission version	*1st*
Safeguard-related reports prepared so far *(Please attach the documents or provide the hyperlinks)*	? *Feasibility report [ ]* ? *Gender Action Plan [X]* ? *Stakeholder Engagement Plan/Mapping Exercise [X]* ? *Safeguard risk assessment or impact assessment [X]* ? *ES Management Plan or Framework [ ]* ? *Indigenous Peoples Plan [ ]* ? *Cultural Heritage Plan [ ]* ? *Others* _____

Section 2: Safeguards Risk Summary

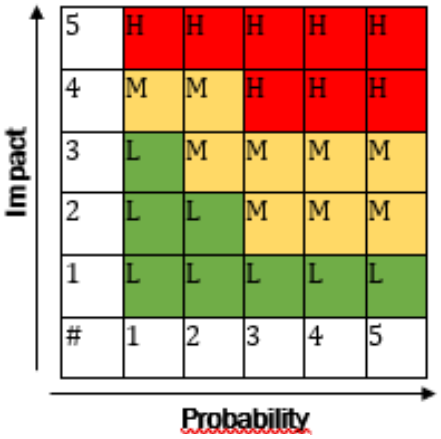
A. Summary of the Safeguards Risk Triggered

Safeguard Standards Triggered by the Project	Impact of Risk (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H) *Please refer to the matrix below*
SS 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management	1	1	L
SS 2: Climate Change and Disaster Risks	1	1	L
SS 3: Pollution Prevention and Resource Efficiency	2	1	L
SS 4: Community Health, Safety and Security	2	1	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	2	1	L

B. **ESS Risk Level**[2] -

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: Inaki Rodriguez Date: 22/09/2022

Screening review by

Name: Alexandra Mutungi Date: 18/10/2022

Cleared[3] Signature

D. Safeguard Review Summary (by the safeguard team)

This is a low-risk project due to the nature of activities. However, UNEP ESSF guiding principles - resilience and sustainability; human rights, gender equality and women empowerment, accountability and leave no one behind - are still applicable for low-risk projects.

Ensure continuous meaningful stakeholder engagement and timely information disclosure.

E. Safeguard Recommendations (by the safeguard team)

- No specific safeguard action required ☐
- Take Good Practice approach[4] ■
- 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)
Guiding Principles (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, in particular vulnerable and marginalized groups.
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?	N	The project has identified vulnerable social groups and will try to engage with them through the different country child projects.
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)?	N	No issues have been raised during the PIF development phase.
GP4 Does the proposed project consider gender-balanced representation in the design and implementation?	Y	Yes, it does. A Gender analysis and Action Plan was designed during the PPG phase.
GP5 Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?	Y	See above

GP6 Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.	Y	It is the role of the main executing agency (NRDC) to address any problems and challenges during project execution phase. In addition, a grievance mechanism was stablished at the global level of the planetGOLD programme during the first phase of the programme, which will last in this new phase.
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.	Y	Yes, with stakeholders, executing partners and through the GEF portal, planetGOLD programme and UNEP open data website.
GP8 Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.	Y	Project stakeholders were informed about the proposal through regular calls and email exchanges. In addition, they will continue to be informed during the entire life span of the project.
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?	Y	The project will aim to support 15 child projects to improve social and economic conditions of artisanal miners through better environmental practices

GP10 Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?	Y	The project will ensure that the adoption costs of changing to mercury free technologies or to the formal economy will not drastically increase access to income for the ASGM workers in the 15 child country projects.
Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management		
Would the project potentially involve or lead to:		
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 with 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.)?	N	The project doesn?t envision to work on protected areas.
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 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 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
Safeguard Standard 2: Climate Change and Disaster Risks		
Would the project potentially involve or lead to:		
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

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, tsunami 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. During the PPG phase of each child country project, the selection of target sites will be supported by the use of climate change impact software tools
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
Safeguard Standard 3: Pollution Prevention and Resource Efficiency		
Would the project potentially involve or lead to:		
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 transboundary impacts?	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

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
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 Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention)	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
Safeguard Standard 4: Community Health, Safety and Security		
Would the project potentially involve or lead to:		
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?	Maybe	COVID19 could spread during face to face consultation processes.
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.
Safeguard Standard 5: Cultural Heritage		
Would the project potentially involve or lead to:		
5.1 activities adjacent to or within a Cultural Heritage site?	N	The project will not involve any 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
5.6 identification and protection of cultural heritage sites or intangible forms of cultural heritage		
Safeguard Standard 6: Displacement and Involuntary Resettlement		
Would the project potentially involve or lead to:		
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 changes in land tenure arrangements.
Safeguard Standard 7: Indigenous Peoples		
Would the project potentially involve or lead to:		
7.1 areas where indigenous peoples are present or uncontacted or isolated indigenous peoples inhabit or where it is believed these peoples may inhabit?	Maybe	The project will not target any direct involvement with indigenous communities. In this respect, the project will ensure active coordination with respective national public institutions in charge of indigenous communities policies. In the case that indigenous populations are involved, they may be affected by not receiving proper training for preventative measures nor good practices and therefore be more exposed to illnesses when traveling to and attending meetings
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
Safeguard Standard 8: Labor and working conditions		
8.1 Will the proposed project involve hiring or contracting project staff ?	Y	The project will hire mainly international experts for the execution phase as it is global in nature
If the answer to 8.1 is yes, would the project potentially involve or lead to:		
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 and conventions, when applicable
8.3 the use of forced labor and child labor?	N	The project will not involve forced labor nor child labor. However, child labor is a reality in the ASGM sector and the project will pay detailed attention to avoid any involvement of child labor. In this respect, the project will only work with already stablished mining communities with proven track of no labor abuses.

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. The project will aim to improve the productivity of the ASGM targeted sites increasing overall economic activity
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	Maybe	The project will not lead to unequal working opportunities and conditions for women and men. On the contrary, the project will aim to improve working opportunities and conditions for both women and men.

Supporting Documents

Upload available ESS supporting documents.

Title	Module	Submitted
10606 Appendix 12 Accountability and Grievance Mechanism	**CEO Endorsement ESS**	
10606 Appendix 8b COVID19 Screening Questionnaire	**CEO Endorsement ESS**	

Title	Module	Submitted
10606 Appendix 8a SRIF	**CEO Endorsement ESS**	
Appendix XIX - Accountability and Grievance Mechanism [20201116 Template] IM 3	**CEO Endorsement ESS**	
APPENDIX IV- (ESS) Safeguard Screening Form and Analysis v1	**CEO Endorsement ESS**	

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).

Project level	Indicator	Unit	Baseline	Mid-Point Target	End-Point Target[1]	Means of verification	Assumptions (A) & Risks (R)
Project Objective: Support the deepening of mercury reduction in artisanal and small-scale gold mining (ASGM), holistic formalization of the sector, and scaling up of successful interventions through sharing of technical information, outreach to relevant stakeholders, knowledge exchange and communication strategies	Are of landscapes under improved practices (GEF Core Indicator 4)	*Hectares*	No data available	-	1,251,909.19	Country level reporting, e.g. PIRs	? (R) Change in the political and economic situation during the lifetime of the program impacts its implementation ? (R) Resistance to change from beneficiaries ? (R) Lack of buy in from government, private sector and miners ? (R) Pandemic impacts result in delays
	Greenhouse Gas Emissions Mitigated (GEF Core Indicator 6)	*Metric tons of CO2e*	No data available	-	402,648		
	Quantity of mercury reduced and avoided locally at participating mine sites, and nationally by replication (GEF Core Indicator 9)	*tons*	0	-	511.032[2]		
	Number of direct beneficiaries (GEF Core Indicator 11)	*Number (#)*	No data available	-	Men 198,439 Women 172,687 Total 371,126		
COMPONENT 1 KNOWLEDGE MANAGEMENT AND COMMUNICATION							
Outcome 1 Stakeholders from governments, private sector, mining communities and the public have improved understanding of the ASGM sector and access to knowledge products	Number of countries piloting/applying innovative formalization models (outcome indicator class 3)	*Number (#)*	0		7	- Workshop and meeting reports	? (A) Governments work cohesively, ensure transfer of knowledge and utilize capacity to facilitate development of formalization strategies, financing models and mercury reduction
	Number of countries piloting/applying innovative financing models (outcome indicator 3)	*Number (#)*	0	-	15		

Project level	Indicator	Unit	Baseline	Mid-Point Target	End-Point Target[11]	Means of verification	Assumptions (A) & Risks (R)
related to promoting responsible ASGM	Number of countries piloting/applying innovative mercury reduction models (outcome indicator 3)	*Number (#)*	0	-	15		techniques ? (A) Stakeholders have budgets that can be channelled to support ASGM initiatives within JA/LA approaches; presence of multistakeholder coalitions which could be building blocks for JA coalition -
Output 1.1 Countries are supported to apply jurisdictional and landscape approaches to strengthen formalization in ASGM	Number of knowledge products on JA/LA developed to strengthen formalization in ASGM (output indicator 3.2)	*Number (#)*	0	Webinar series:4 Tools: 3	Webinar series: 8 Tools: 7	- Workshop and meeting reports -JA/LA training materials -JA/LA action plans	? (A) Countries have vested interests to drive improved practices ? (R) Political instability and change of priorities ? (R) Limited understanding of the resources (time, skills and funds) required to implement JA/LA resulting in shortfalls
	Number of countries trained and supported on JA/LA tools and methodologies (output indicator 10.1)	*Number (#)*	0	-	15		
	Number of countries implementing JA/LA approaches (output indicator 3.1)	*Number (#)*	0	-	3		
Output 1.2 The planetGOLD web platform is utilized, maintained, updated with	Average number of unique monthly users of planetGOLD platform (output indicator 9.3)	*Number (#)*	3000 monthly users	-	4000 monthly users	- Website statistics	? (R) Some stigma related to women?s empowerment in ASGM continue to hinder the role and engagement of women in the

Project level	Indicator	Unit	Baseline	Mid-Point Target	End-Point Target[11]	Means of verification	Assumptions (A) & Risks (R)
all available information and fully functional	Number of material downloads (output indicator 9.3)	*Number (#)*	700 downloads per month	-	800 downloads per month	-	sector
	Number of pages and resources created on key topics and made available in the knowledge hub (output indicator 8.3)	*Number (#)*	450 Resources ; 115 news, blogs posts and events	7 new curated pages and total 675 resources	15 new curated pages, and total 900 resources	-Website statistics -Links to new pages and resources	
Output 1.3 Annual Programme Meeting, Global Forum and technical seminars are organized	Number of global forums (output indicator 8.2)	*Number (#)*	1	1	2	- Global Forum report -Meeting reports	? (R) COVID19 impacts the scheduling of in person meetings
	Number of people (gender disaggregated) participate in Global Forums (output indicator 8.2)	*Number (#)*	-	100 Men 100 Women Per event (in person)	100 Men 100 Women Per event (in person)		
	Number of annual programme meetings (output indicator 8.2)	*Number (#)*	3	2	4		
	Number of people participate in online knowledge sharing events (annual basis) (output indicator 8.2)	*Number (#)*	Over 400	600 per year	600 per year	- Participant lists	

Project level	Indicator	Unit	Baseline	Mid-Point Target	End-Point Target[11]	Means of verification	Assumptions (A) & Risks (R)
	Number of planetGOLD communications network meetings held to share relevant approaches and information with other country projects and inform global project about project communication activities, strategies and story leads (output indicator 8.2)	*Number (#)*	5	3	5	-Meeting minutes	
Output 1.4 Knowledge from the global ASGM community is collected, curated, exchanged and disseminated, and where necessary new knowledge products are created to fill gaps	Number of knowledge products specifically focused on gender in ASGM published (output indicator 7.1)	*Number (#)*	Varies	3	6	- Knowledge products	-
	Number of non-gender related new knowledge products commissioned (output indicator 8.3)	*Number (#)*	Varies	2	5	-	

Project level	Indicator	Unit	Baseline	Mid-Point Target	End-Point Target[11]	Means of verification	Assumptions (A) & Risks (R)
	Number of blogs, news articles, events, photo essays, videos, success stories and resources published on planetgold.org or on other planetGOLD digital communication platforms on both country and global pages (output indicator 8.3)	*Number (#)*	Varies	175	350	-Web content statistics	
Output 1.5 Outreach and communication strategies targeting government, mining communities, the private sector and the public are continued and expanded	Percent delivery on global media and communication strategy (output indicator 8.1)	*Percentage*	In progress	50%	100%	- Revised global medica and communication strategy	-
	Number of programme newsletters sent through the planetGOLD mailing list (output indicator 8.3)	*Number (#)*	5	12	25	- Newsletter	
	Number of country projects whose media and communication materials produced that follow planetGOLD branding, style guide and messaging guide (output indicator 8.3)	*Number (#)*	All child projects in the programme have been following established guidelines	15	15	- Communication materials produced at the child project level	(R) delays in providing information from child projects to global component
COMPONENT 2 COORDINATION OF THE PLANETGOLD PROGRAMME							

Project level	Indicator	Unit	Baseline	Mid-Point Target	End-Point Target[11]	Means of verification	Assumptions (A) & Risks (R)
Outcome 2 planetGOLD programme child projects are aligned to the objectives of the programme and contribute to overall programme aims and outcomes	Number of child projects well aligned with the programme objective and contribute to overall outcomes including tracking of the four programme wide indicators on mercury reduction, finance mobilized, responsible gold sold to formal markets and number of beneficiaries assisted (outcome indicator 3)	*Numbers (#)*	Ongoing	15	15	- PIRs, quarterly and annual reports	? (A) no delays in transmitting information from child to global projects
	Percentage of mining entities adhering to planetGOLD criteria for environmentally and socially responsible operations (outcome indicator 3)	*Percentage*	Ongoing	-	70%	- PIRs, quarterly and annual reports	-
Output 2.1 Child projects collaborate with and contribute to	Number of virtual inception orientations held (output indicator 10.1)	*Numbers (#)*	Ongoing	2	2	- Meeting reports	-

Project level	Indicator	Unit	Baseline	Mid-Point Target	End-Point Target[11]	Means of verification	Assumptions (A) & Risks (R)
planetGOLD programme level knowledge management and coordination activities	Number of bimonthly programme coordination meetings held with child project teams each year to assess progress and provide recommendations for alignment (output indicator 10.3)	*Numbers (#)*	Ongoing	5 per year X 3 = 15	5 per year X 5 = 25	- Meeting reports	-
	Number of gender, finance and safeguards community of practice meetings to share lessons & exchange knowledge (output indicator 10.3)	*Numbers (#)*	Ongoing	2 per year X 3 = 6	2 per year X 6 = 12	- Meeting reports	-
	Number of training modules and guidance documents provided to child projects to support implementation of the Criteria (output indicator 3.2)	*Numbers (#)*	Ongoing	1 training module 1 guidance document	1 training module 1 guidance document	Training modules and guidance document	-
	Number of regional coordination meetings (output indicator 10.3)	*Numbers (#)*	-	7	15	- Meeting reports	-
Output 2.2 Programme results are collected, compiled and assessed, and	Number of annual programme reports published (output indicator 9.1)	*Numbers (#)*	One per year	3	5	- Annual programme reports	(A) Active participation and engagement from PAG members and main national stakeholders

Project level	Indicator	Unit	Baseline	Mid-Point Target	End-Point Target[1]	Means of verification	Assumptions (A) & Risks (R)
the GEF, GEF agencies, executing partners, and external programme advisors are informed on programme progress, gaps and achievements	Number of quarterly narrative reports submitted (output indicator 9.1)	*Numbers (#)*	Ongoing on quarterly basis	4 times per year X 3 years = 12	4 times per year X 5 = 20	- Compiled quarterly reports	
	Number of PAG meetings held (output indicator 11.1)	*Numbers (#)*	Ad hoc	6	15	- Meeting reports	
	Number of engagements maintained through the PAG (output indicator 11.1)	*Numbers (#)*	16	20	20	List of PAG members	
	Percentage of programme wide and national level grievance cases resolved	*Numbers (#)*	Ongoing	100%	100%	- Grievance reports	

[1] GEF Core Indicator targets are cumulative targets from child projects in the programme which the global project has no direct influence.

[2] The global environment benefit of mercury reduction for the entire programme of 15 child projects includes a replication factor of 3 that is expected to occur after project ends, not by project end.

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).

Responses to the PIF Reviews at the Council Approval Stage

Introduction:

This document submits the responses to the different reviewers of the screening process for the *Global Opportunities for Long-term Development of artisanal and small-scale gold mining ASGM) Sector Plus- GEF GOLD+*, for Ghana, Suriname and Honduras PIFs, in the following order:

#1. GEF Council Members,
#2. STAP, and
#3. Minamata Secretariat.

#1. Responses to GEF Council Members.

Q. #1 from the GEF Council: France supports the GOLD+ program, which addresses a number of areas of concern for France.

For information purposes, the FGEF is co-financing, for example, a project that is being implemented by the WWF in the Guyana Plateau (Guyana, Suriname, and French Guiana). This project aims to reduce the use of mercury in gold mining.?

Response (R): Indeed, this comment has been fully acknowledged in the design of the project. The WWF Guianas project aims at supporting the Guyana Plateau governments to align national policy and legislation with the Minamata Convention in order to reduce the use of mercury in the ASGM sector; WWF?Guianas will also establish national and regional platforms to facilitate implementation.

During the PPG stage, the following means of collaboration, exchange of communication and awareness in the ASGM sector of Suriname have been proposed:

Component 3: Enhancing Uptake of Mercury-Free Technologies.

Action: The WWF implemented project will develop an economically, socially acceptable and feasible model, with support from the Alliance for Responsible Mining (ARM), for mercury-free mining, including the establishment of two pilot sites in Suriname and two in Guyana. The planetGOLD+ Suriname will also develop three pilot projects, in different locations, but knowledge learning from both projects will be shared as well as best practices - through the Ministry of Natural Resources - for overall success of both initiatives.

Component 4. Knowledge Sharing, Communication and Local Capacity Building Support.

Action: Collect, analyze and make mercury related data available for the public through an online repository. The planetGOLD+ in Suriname will channel meaningful information gathered with the WWF Guianas project, as needed, for the success of both initiatives.

In addition, as the Ministry of Natural Resources of Suriname is responsible for or involved in implementation of both projects, intra-ministerial coordination will be required at least twice yearly between implementing actors, i.e.: WWF and the UNDP/GEF planetGOLD+ Child project, allowing a holistic approach of efforts regarding the entire ASGM sector.

Q. #2 from the GEF Council: Please see the US comments on the GOLD+ program below which will need to be addressed at CEO Endorsement.

> *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.*

R: According to *National Inventory of Mercury Releases in Suriname* (2019), primary mining and processing of gold ores represent the largest source of releases to land (44.858 Kg Hg/year), releases to water 24.346 Kg Hg/year, and to air 18.244 Kg Hg/year; for a total of 88,019 kg HG/year (88 tons). This FSP aims to achieve a Global Environmental Benefit by avoiding six (6) tons of mercury over a 5-year period.

> *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.*

R: Indeed, this comment has been fully acknowledged in the design of the project. Through the Mercury Program carried out by the Office of Environmental Quality of the U.S. Department of State, communication was facilitated with the Artisanal Gold Council's work in Suriname (AGC) in order to enhance the uptake of Hg-free technologies, knowledge sharing and local capacity building support.?

AGC will establish two mercury free ASGM pilot sites within the concession of Iamgold mining operation, at Mama Kriki and Roma pits. Shaking tables will be used at these sites as a mercury free alternative for processing ore. These will be added to the already existing set-up of the operations, which include crushers and sluice boxes; incorporating the national university UNASAT, recognizing that this has become a complex matter due to COVID-19 pandemic. AGC has also planned to send one of their experts to the ASGM sites to provided on-the-job training during several months; all this knowledge base will be also shared with the planetGOLD+ project in due time. As a result, coordination basis has been set up for the benefit of the ASGM sector as a whole, between the U.S. Department of State project and the UNDP/GEF Child project.

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.

R: Comment well received. Indeed, this comment has been fully acknowledged in the design of the project. With an outreach communication strategy, the design of this planetGOLD+ FSP makes a clear differentiation between upstream and downstream stakeholders. Private sector engagement has been triggered during the PPG in two avenues: the first avenue is mainly related to the creation of strategic alliances with the two main LSM gold producers, i.e., Newmont Suriname and Rosebel Gold Mines as well as small and medium scale enterprises (SMEs) represented by the *Stichting Houders Mijnbouw Rechten* (SHMR or Foundation Holders Mining Rights) who own the majority of mining rights in Suriname. Collectively, these private sector partners account for diverse production scales that encounter artisanal miners in Suriname.

With Newmont Suriname, the following activities are foreseen:

Component 1: Newmont formally launched its ASM strategy in November 2020. The goal of the strategy is to formalize the sector and its economy; Newmont has worked with the traditional authorities of the Paamaka Tribe region to establish an ASM platform (cooperation), which can serve as a counterpart to Newmont?s mining operations. This platform has given Newmont permission to continue with the strategy as set out, which will be enhanced during the FSP execution.

Component 2: Newmont will facilitate contact with banks and equipment suppliers in order to explore suitable financing mechanisms for ASGM investments.

Component 3: Another goal of Newmont?s strategy is to help reform the sector to consider the environment (including mine restoration) and safety in their operations. Newmont is looking into an opportunity to collaborate with ASM to request a concession and perform exploration to select the appropriate mercury-free technology and improve bankability of the mine operations. Newmont will hire a consultant to assess the appropriate mercury-free mining method/technology based on the local ore and provide a training based on this.

Component 4: Newmont will provide alternative livelihood training to miners who want to shift to another sector.

With Rosebel Gold Mines (Iamgold mines), the following activities are foreseen:

Component 3: The current contribution of Iamgold is mainly in the form of facilitating ASGM within the Rosebel mining concession, providing expertise to structure the mine operations, providing training in water management, health and safety, waste management, and more recently, blasting.

There are three ASGM locations (within the Iamgold concessions) which are facilitated by Iamgold:

i. Mamakreek: a yet unstructured site, which will serve as a pilot site for the project of the Artisanal Gold Council (AGC) focusing on eradication of mercury within the operations. Within this AGC project, Iamgold contributes mainly through ground logistics (? US$20.000);

ii. Roma East and East Tailings Road: these two locations operate according to a protocol developed by Iamgold. At these sites, the community of Nieuw Koffiekamp is facilitated through coordination with the Multi Stakeholder Platform of the Government. Lessons learned from the mercury free pilot at Mamakreek can be expanded into the pilot projects to be carried out by the UNDP/GEF planetGOLD+ project.

With *Stichting Houders Mijnbouw Rechten* (SHMR) the following activities are foreseen:

Component 1: Exploration and exploitation title holders represent a key stakeholder group to understand the nature of tributer systems and allocate land for ASGM activities. Given SHMR?s close proximity to ASGM hotspots the foundation is especially useful in collecting data on gold production, primary and secondary workforce dynamics, socio-economic aspects and other important items including COVID impacts on gold prices, supply chains and patterns of mining activity. This data is often required to support supply organization and enhance transparency to meet downstream expectations. SHMR will play a key role as a coordinated voice for mineral rights holders, and support engagement processes with artisan gold miners in Tier 1 sites.

Component 2: De-risking investment in the ASGM sector begins with improved access to information and building the capacity of mining entities to comply with mine-level due diligence standards related to planetGOLD criteria for socially and environmentally responsible operations. Under Output 2.1. activity i, educating and collaborating with local and national financial institutions, SHR represents a collective of small businesses in gold mining who generate direct and indirect jobs, and help diversify Suriname?s economic base. Despite these benefits, small enterprises in Suriname?s mining sector remain significantly underserved by financial institutions, creating recurrent challenges in bringing mines to international markets.

Component 3: As mine operators who actively engaging with miners and their communities beyond Newmont and Iamgold concessions, SHR provides a conduit to reach miners and sustainably transition from mercury. SHR as a private sector entity can engage miners in capacity building, outreach and build confidence with novel production systems, and thus enabling transition from mercury use through a progressive strategy by working with established, trust-based relationships.

Component 4: SMEs represented by the SHR (foundation) provide a critical voice to raise awareness of the ASGM sector?s development potential. In line with the planetGOLD communications strategy, SHR can help to shift narratives from negative, damaging views of the sector which focus on environmental degradation, mercury pollution

alongside other social and governance risks. Reframing narratives toward a positive outlook for small-scale mining operations and mining communities can influence perceptions of financial institutions and enable small-scale gold miners to have reliable, transparent and responsible supply chains aligned with downstream expectations.

The second avenue is precisely to engage the private sector gold buyers and users through large companies (refiners, jewelers, electronics) like ARGOR-HERAEUS. Group that it is a key interested partner in the value chain for all those engaged in the precious metal business: mines, traders, bullion houses, central and commercial banks, mints and jewelry, as well as industrial consumers.
All these three key relevant private-sector stakeholders have been identified and engaged during the PPG and have provided, as a means of interest, letters of cofinancing that can be found in Annex 14 of the ProDoc.
Due to the complexities of organizing face-to-face encounters with selected participants and field visits to the ASGM sites, the PPG team organized online a round of encounters with these stakeholders; to present the scope of the project and to engage them for active participation. Ii is important to note that Annex 9 of the ProDoc presents the Stakeholder Engagement Plan, designed to ensure effective engagement among stakeholders throughout the lifecycle of the project.

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.

R: Comment well noted. Financial inclusion and responsible supply chains are linked, as shortfalls in access to legitimate finance for artisanal miners creates cycles of debt bondage, exploitation, human rights abuses and propagates elite benefit capture. The PPG has carried out an in-depth elaboration of the baseline conditions including evidence demonstrating the magnitude of the problem, based on a broad participatory approach with representatives of different ministries, financial institutions, large scale gold mining operations, large private holdings, ASGM mining entities and downstream actors (refiners) in the gold supply chain in Suriname. This overall analysis (including an in depth-analysis of gender and indigenous and tribal people issues in the ASGM sector[1]) now describes how addressing the Development Challenge (based on a Theory of Change analysis) which is consistent with recent national environmental strategies as well as with the National Action Plan (NAP) under the Minamata Convention.
Based on these assessments, activities for outputs under Component 2 were structured following a two-pronged strategic approach. In one way, it will launch a set of activities to educate and collaborate with key potential financiers (upstream and downstream) to design and provide financial products suited to the ASGM sector, integrating all critical supply issues for this sector. On the other hand, to couple the large issue to assist miners with capacity building to access funds, including training mining entities and miners on business and operations management with tools to not only access finance options but also successfully execute their investment plans to create sustainable and more profitable mining operations.

#2. Responses to STAP Comments

What activities will be implemented to increase the project's resilience to climate change?

R: This is a key topic for Suriname. As a matter of fact, Risk 5, identified during the PPG (please refer to Annex 7: UNDP Risk Register, of the ProDoc), is described as *?Natural disasters could eventually affect the locations and operations where the planned pilot interventions are carried out?*. Risk and management measures were proposed in Output 1.3, Activity ii) and Output 3.2, Activity iii of the ProDoc are described to be implemented during the FSP execution in order to mitigate this risk.

1b. Project Map and Coordinates. Please provide geo-referenced information and map where the project interventions will take place.

R: Please, refer to Annex 3 of ProDoc, i.e.: ?Annex 3 Project Map and Project Sites -Suriname-? for full description of the project interventions.

What are the stakeholders' roles, and how will their combined roles contribute to robust project design, to achieving global environmental outcomes, and to lessons learned and knowledge?

R: A Stakeholder Engagement Plan was developed during project preparation. Please, refer to Annex 9 of ProDoc.

What overall approach will be taken, and what knowledge management indicators and metrics will be used?

R: As a Child Project, the Knowledge Management for the Suriname FSP is a key element ?under Component IV- of the global knowledge management component of PlanetGOLD. A group of activities has been integrated under the following outputs for Outcome 4:

4.1. M&E and adaptive management applied to capture lessons learned, emphasizing prospecting, sustainable mercury-free gold methods, and sound tailings management.

4.2. Miner, investment and CSO focused communication strategies explored, tested, deployed and scaled up.

The indicator associated to this outcome is Indicator 10 ?*Number of people reached with awareness raising materials, by mode of communication (e.g. online, in-person, via SMS, WhatsApp, etc.) and by gender*?, which is in accordance with Indicator 5.1.1 of the planetGOLD Programme Indicators.

Q. #3 from the GEF Council:

Related comment: ?*In Honduras, the German Civil Peace Service (CPS) works on environmental conflicts and might be a relevant stakeholder/partner for cooperation?*.

This German agency will be approached once the implementation of the project starts.

#3. Responses to the Minamata Secretariat

Related comment: *?Because improved health awareness and health surveillance can be strong incentives for formalization and technology uptake, and will be ever more important in light of Covid-19, it will be important to include community-based health and social actors in all aspects of the program?*.

R: The ProDoc has developed full stakeholder engagement plans during the PPG phase and has taken this recommendation into account. Please, refer to the respective annexes in each of three ProDocs.

Related comment: *?Barriers - This section presents a very good discussion of formalization. It would be useful to also include the Minamata Convention definition of ASGM for the purposes of the*

Convention: "gold mining conducted by individual miners or small enterprises with limited capital investment and production".

R: This definition has already included, as follows:

Suriname: Page 13.

Honduras: Page 10.

Ghana: Page 14.

Related comment: ***?****Baseline programs -- Because funding for this project is through the Minamata Convention financial mechanism, it seems odd to articulate the Convention as another partner. Also for this paragraph we note that negotiators deliberately decided to address ASGM through its own article of the Convention?.*

R: Baseline programs are assumed to refer to Minamata Convention enabling activities, including Minamata Initial Assessments (MIAs) and National Action Plans (NAPs) on ASGM with related provisions related to Article 7 on ASGM. As GEF enabling activities, MIA and NAPs are intended to provide key baseline of mercury emissions and releases, which sets a foundation for further investments in mercury abatement. Under Article 7, after developing its NAP, a country must submit its national action plan to the Secretariat no later than three years after the Convention enters into force entry into force, or three years after notifying the Secretariat. Thereafter, a party must submit a review of progress in meeting its obligations under Article 7 every 3 years, included in reports submitted under Article 21 of the Convention. Suriname is in the process of finalizing its NAP on ASGM, and while national endorsement timelines have not yet been confirmed then it is feasible GOLD+ activities may overlap with reporting requirements and progress updates for the NAP.

Related comment: *?Gender - Is the gender distribution noted here a widely used metric when very specific community-based data is not available? Or is it simply a placeholder? We note that gender impacts will be more thoroughly evaluated in the child projects. It would also be useful to ensure good estimates of populations "directly" involved (working in ASGM) as well as impacted by ASGM?.*

R: The ProDoc has developed a thorough gender analysis and has developed action plans during the PPG phase and has taken this recommendation into account. Please, refer to the respective annexes in each of three ProDocs.

Related comment: *?Component 1: all the participating countries will already be party to the Convention so not clear what the phrase about ratification refers to ? we assume implementation of their MC obligations. Regional cooperation was referred to earlier in challenges description and should be a more prominent part of the project, eg, enhancing ECOWAS or UEMOA actions?.*

R: We indeed intended to refer to implementation of Minamata Convention obligations. The program will incentivize regional cooperation, and during the PPG phase more details will be provided. All three projects have integrated this comment under activities for Component 4.

Related comment: *?Component 2: The activities on collaborating with local financial institutions should also involve linkages with the formalization efforts, such that formalization schemes and financial products are mutually reinforcing?.*

R: We agree with this observation and will ensure that this is the case. All three projects have integrated this comment under activities for Component 2.

Related comment: *?Component 3: In section on enhancing uptake of mercury-free technologies, we note that cyanide is appropriately listed as one of the technologies in the chart. However, no mention*

is made of the Convention?s requirement that ASGM National Action Plans elaborate actions to eliminate ?cyanide leaching in sediment, ore or tailings to which mercury has been added without first removing the mercury.? This requirement should be prominently featured such that any support for cyanide operations focuses on this critical need?.

R: Indeed, the use of cyanide to process mercury-contaminated tailings is an emerging risk to human health and the global environment. While the environmental fate of cyanide has been well studied, the risks associated with mercury-cyanide complexes remain largely unknown. Techniques for mercury removal from tailings prior to cyanidation are outlined in UN Environments forthcoming guidance document on tailings (in prep). PlanetGOLD Criteria A: Mercury-Free Processing and Management of Chemicals and Wastes (cyanide, mercury tailings) requires that all Mining Entities (ME) operate without mercury and align with Annex C of the Minamata Convention on Mercury (UNEP 2013), including elimination of the worst practice of using cyanide on mercury-contaminated tailings, which may remain from previous operations that used mercury. Responsible cyanide use for small-scale operators is part of technical guidance in development by the planetGOLD global knowledge component, which emphasizes mining principals and standards of practice as defined by the International Cyanide Management Code. As a highly regulated substance in gold mining, cyanide risk management, emergency response, operations and waste management are well documented. Responsible cyanide use in GOLD+ will require appropriate capacity building support for governments, policy makers, MEs and the public to understand major risks and mitigation strategies. To avoid unintended consequences, all GOLD+ projects intending to pilot responsible cyanidation and leaching circuits, will be required to develop clear standards of practice for responsible sourcing, transport, handing and storage, use in leaching circuits, disposal and decommissioning in accordance with planetGOLD cyanide guidance (in prep).

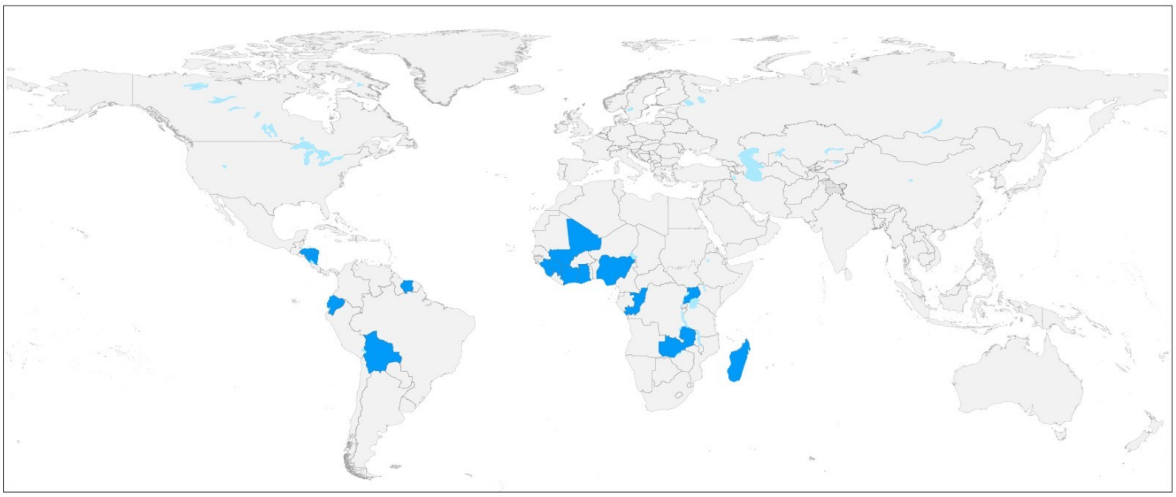
ANNEX C: Status of Utilization of Project Preparation Grant (PPG). (Provide detailed funding amount of the PPG activities financing status in the table below:

PPG Grant Approved at PIF: $150,000			
Project Preparation Activities Implemented	**GETF/LDCF/SCCF Amount ($)**		
	Budgeted Amount	**Amount Spent To date**	**Amount Committed**
CI- Personnel- Project Design and coordination	37,726	29,292	8,434
CI-Travel-Meetings	8,274	0	8,274
CI-International Consultant ProDoc Development	84,000	70,000	14,000
UNEP- Consultancy for ProDoc Development	20,000	20,000	0
Total	**150,000**	**119,292**	**30,708**

ANNEX D: Project Map(s) and Coordinates

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

Global map showing location of country child projects



Tentative country project sites

Bolivia: Illimani area

Madagascar: Ambalamanasa (Vatovavy Fitovinany region), Andrafialava (Diana region), Farezy (Atsimo Andrefana region), and Antanimbary (Betsiboka region)

Nigeria: Minna (Niger State), Birnin Gwari (Kaduna State), Anka (Zamfara State), and Yauri (Kebbi State)

Ghana: Tarkwa, Asankragwa, Obusai, Bibiani, Akim Oda

Suriname: Njoen Jacobkondre, Srakreek, Mama Ndjuka, Lawa, Selakreek

Honduras: Agua Fria Mineral, Macuelizo, Santa Cruz Minas

Ecuador: La Mana, Santa Rosa, Nambija, San Carlos de las Minas, Arosemena Tola

Sierra Leone: Tonkolili, Kono, Bombali, Karene

Zambia: Solwezi; Mwinilunga; Kasempa; Mumbwa; Kabwe; Chisamba; Senga Hills; Mpika; Chilanga; Chadiza; Chirundu; Kazungula; Lundazi; Chongwe; Petauke; Lusangazi; Vubwi; Luano; Rufunsa; Chipata; Mkushi and Serenje

Uganda:

- Busia District: Siyanyoja and Tiira
- Namayinyo Buchere
- Morototo District: Nakabaat
- Anudat District: Kapiyosa and Cheptakol
- Kassanda District: Kagaba Hill and Kayonza
- Buhweju District: Kitenga
- Kisoro District: Nyabirenura and Rushaga

Republic of Congo:

- Sangha Department: Elogo, Maud (1 and 2), Ekokola, Paris-village, Seka, Tripoli (1 and 2) Guinn?e, Zoan, Kampala, Seya, Nasimdib, Balola, Mok?ko, Bamegod
- Western Cuvette Department: Akamou, Oyabi, Otsouadzoko
- Kouilou Department: Dimonika, Les Saras, Kakamoeka, Louvoulou, Sounda, Manzi
- Bouenza Department: Kingou?, Kimba

Guinea:

Kankan Region, Prefectures of Siguiri and Mendiana
Faranah Region, Prefecture of Dinguiraye
Bok? Region, Prefecture of Gaoual

ANNEX E: Project Budget Table

Please attach a project budget table.

			Component 1: Knowledge management & communications	Component 2: Coordination	PMC	M&E	Total
UNEP BUDGET LINE/OBJECT OF EXPENDITURE						US$	**US$**
10	**PROJECT PERSONNEL COMPONENT**						
	1100	**Project Personnel**					
	1101	Project Manager	0	0	76.440		**76.440**
	1102	Senior Technical Advisor	332.514	406.406	0		**738.920**
	1103	Communications Manager	660.694	0	0		**660.694**
	1104	Knowledge Management and Gender Coordinator	337.870	287.815	0		**625.685**
	1105	Regional Specialist Latin America	119.241	357.724	0		**476.965**
	1106	Regional Specialist West Africa	64.913	217.617	0		**282.530**
	1107	Communications Assistant	298.678	0	0		**298.678**
	1200	**Consultants**					
	1201						**0**
	1299	Sub-Total	1.813.910	1.269.563	76.440	0	**3.159.913**
	1300	**Administrative support**					
	1302	Administrative/financial management support	0	0	163.042		**163.042**
	1399	Sub-Total	0	0	163.042	0	**163.042**
	1600	**Travel on official business (above staff)**					
	1601	Travel for country project support, and attending Global Forums/Annual program meetings	83.220				**83.220**
	1699	Sub-Total	83.220	0	0	0	**83.220**

	1999	**Component Total**	**1.897.130**	**1.269.563**	**239.482**	**0**	**3.406.175**
20	**SUB-CONTRACT COMPONENT**						
21	**2100**	**Subcontract (UN organization)**					
	2101	Maintenance of planetGOLD website	1.196.304				**1.196.304**
	2102	Organization of Global Forum, Annual Programme Meetings, Technical Seminars, Communications meetings	1.183.956		59.197		**1.243.153**
	2199	Sub-Total	2.380.260	0	59.197	0	**2.439.457**
22	**2200**	**Sub-contracts (SSFA, PCA, non-UN)**					
	2201	JA/LA contractor	569.722				**569.722**
	2202	Film/video/design	836.340				**836.340**
	2203	Topic experts	276.800				**276.800**
	2204	Translation	159.000				**159.000**
	2299	Sub-Total	1.841.862	0	0	0	**1.841.862**
	2999	**Component Total**	**4.222.122**	**0**	**59.197**	**0**	**4.281.319**
30	**TRAINING COMPONENT**						
	3200	**Group training (field trips, WS, etc.)**					
	3299	Sub-Total	0	0	0	0	**0**
	3300	**Meetings/conferences**					
	3301						**0**
	3399	Sub-Total	0	0	0	0	**0**
	3999	**Component Total**	**0**	**0**	**0**	**0**	**0**
40	**EQUIPMENT & PREMISES COMPONENT**						
	4100	**Expendable equipment (under 1,500 $)**					
	4199	Sub-Total	0	0	0	0	**0**
	4200	**Nonexpendable equipment (beyond 1,500$)**					**0**
	4299	Sub-Total	0	0	0	0	**0**
	4999	**Component Total**	**0**	**0**	**0**	**0**	**0**
50	**MISCELLANEOUS COMPONENT**						
	5200	**Reporting costs (publications, maps, NL)**					
	5299	Sub-Total	0	0	0	0	**0**

	5300	**Sundry (communications, postage, etc)**					
	5301	Design, layout and printing of knowledge products	34.782				**34.782**
	5302	Communication subscriptions and expenses	36.000				**36.000**
	5399	Sub-Total	70.782	0	0	0	**70.782**
	5500	**Evaluation**					
	5501	Mid-term evaluation (UNEP)				30.000	**30.000**
	5502	Final Project Evaluation (UNEP)				40.000	**40.000**
	5503	Final Programme Evaluation (UNEP)				30.000	**30.000**
	5504	Annual Project Audit			78.000		**78.000**
	5599	Sub-Total	0	0	78.000	100.000	**178.000**
	5999	**Component Total**	**70.782**	**0**	**78.000**	**100.000**	**248.782**
	TOTAL		**6.190.034**	**1.269.563**	**376.679**	**100.000**	**7.936.276**

ANNEX F: (For NGI only) Termsheet

Instructions. Please submit an finalized termsheet in this section. The NGI Program Call for Proposals provided a template in Annex A of the Call for Proposals that can be used by the Agency. Agencies can use their own termsheets but must add sections on Currency Risk, Co-financing Ratio and Financial Additionality as defined in the template provided in Annex A of the Call for proposals. Termsheets submitted at CEO endorsement stage should include final terms and conditions of the financing.

ANNEX G: (For NGI only) Reflows

Instructions. Please submit a reflows table as provided in Annex B of the NGI Program Call for Proposals and the Trustee excel sheet for reflows (as provided by the Secretariat or the Trustee) in the Document Section of the CEO endorsement. The Agencys is required to quantify any expected financial return/gains/interests earned on non-grant instruments that will be transferred to the GEF Trust Fund as noted in 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).