GEF-6 REQUEST FOR CHEMICALS AND WASTES ENABLING ACTIVITY
PROPOSAL FOR FUNDING UNDER THEGEF TRUST FUND

For more information about GEF, visit TheGEF.org

PART I: PROJECT IDENTIFIERS

Project Title:	Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small Scale Gold Mining in Democratic Republic of Congo (DRC)		
Country(ies):	Democratic Republic of Congo	GEF Project ID:[1]	
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01418
Other Executing Partner(s):	UNITAR	Submission Date:	March 18, 2016
GEF Focal Area (s):	Chemicals and Wastes	Project Duration (Months)	24
Type of Report:		Expected Report Submission to Convention	24 months after receipt of the first cash advance

A. PROJECT FRAMEWORK*

Project Objective: Ratification and early implementation of the Minamata Convention is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in DRC				
Project Component	**Project Outcomes**	**Project Outputs**	**(in $)**	
			GEF Project Financing	**Confirmed Co-financing[2]**
1. National information exchange, capacity building and knowledge generation	Enhanced communication, support and training facilitate the development of the MIA and NAP and build the basis for future cooperation for the NAP implementation	Technical support and global coordination provided ensuring capacity building, information exchange, consistent and comparable MIAs and NAPs and the identification of lessons learned and good practices at national level	53,000	0
2. Strengthening of Coordination Mechanism and organization of process	DRC makes full use of enhanced existing structures and information available dealing with mercury management to guide ratification and early implementation of the Minamata Convention	Technical support provided to strengthen the National Coordination Mechanism and organization of process for MIA and NAP development	84,500	0

[1]Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submission.
[2] Co-financing for enabling activity is encouraged but not required.

3. Assessment of the national infrastructure and capacity for the management of mercury, including national legislation	Full understanding of comprehensive information on current infrastructure and regulation for mercury management enables DRC o develop a sound roadmap for the ratification and early implementation of the Minamata Convention	Assessment prepared of the national infrastructure and capacity for the management of mercury, including national legislation	93,500	
4. Development of a mercury inventory, a national overview of the ASGM sector, and strategies to identify and assess mercury-contaminated sites	Enhanced understanding of mercury sources and releases facilitated the development of national priority actions	Mercury inventory developed and strategies to identify and assess mercury contaminated sites	468,500	0
5. Identification of challenges, needs and opportunities to implement the Minamata Convention on Mercury	Improved understanding of national needs and gaps in mercury management and monitoring enabled a better identification of future activities	Technical support provided for identification of challenges, needs and opportunities to implement the Minamata Convention on Mercury	69,500	0
6. Preparation, validation and endorsement of MIA and NAP, implementation of awareness raising activities and dissemination of results at the national level	DRC key stakeholders make full use of the MIA and related assessments and the NAP for the ASGM sector leading to the ratification and early implementation of the Minamata Convention on Mercury	Technical support provided for preparation and validation of National MIA report, the NAP for the ASGM sector, and implementation of awareness raising activities and dissemination of results	110,100	0
		Subtotal	879,100	0
		Project Management Cost[3]	90,900	0
		Monitoring and Evaluation	30,000	0
		Total ProjectCost	1,000,000	0

*List the $ by project components. Please attach a detailed project budget table that supports all the project components in this table.

B. SOURCE OF CO-FINANCING FOR THE PROJECT BYNAME AND BY TYPE

[3]This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or co-financing sources. For EAs within the ceiling, PMC could be up to 10% of the Subtotal GEF Project Financing.

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount ($)
NA		(select)	
Total Co-financing			0

C. GEF FINANCING RESOURCES REQUESTED BY AGENCY, COUNTRY AND PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in $)		
					GEF Project Financing (a)	Agency Fee (b)[b)]	Total (c)=a+b
UNEP	GEFTF	DRC	Chemicals and Wastes	Mercury	1,000,000	95,000	1,095,000
Total GEF Resources					1,000,000	95,000	1,095,000

a)Refer to the Fee Policy for GEF Partner Agencies

PART II: ENABLING ACTIVITY JUSTIFICATION

A. ENABLING ACTIVITY BACKGROUND AND CONTEXT (Provide brief information about projects implemented since a country became party to the convention and results achieved):

The Mercury Convention was adopted in January 2013 and will come into force once the required number of countries ratifies the Convention. The Minamata Convention on Mercury identifies and describes in its Article 13 the financial mechanism to support Parties from developing countries and countries with economies in transition to implement the Convention. It identifies two entities that will function as the Financial Mechanism: a) the Global Environment Facility Trust Fund; and b) A specific international Programme to support capacity-building and technical assistance. As such, the GEF Assembly, at its fifth meeting, held in May 2014, agreed to an allocation in its sixth replenishment of $141 million for work under the Convention, out of which $30 million to support enabling activities and promote their integration into national budgets and planning processes, national and sector policies and actions and global monitoring.

The revised GEF initial guidelines for enabling activities for the Minamata Convention on Mercury circulated to the GEF Council members in January 2014 presented in its section 1 the initial guidelines for the development of "Minamata Initial Assessment activities" (MIA) and in its section 2 the guidelines for the preparations of Artisanal and Small-Scale Gold Mining (ASGM) National Action Plans (NAPs) required under article 7. These guidelines were revised by the Intergovernmental Negotiating Committee 6 (INC 6) consistent with the resolution adopted by the Conference of Plenipotentiaries on the Minamata Convention on Mercury. This project follows these guidelines revised by the INC 6.

Mercury pollution is a serious concern in Africa. In DRC, the small-scale and artisanal gold mining sector brings with it additional concerns. In particular, according to the "Post-Conflict Environmental Assessment", UNEP observed widespread and dangerous use of mercury in artisanal gold processing in Ituri region[4]. An estimated 15 tons of mercury are used annually in ASGM in DRC, making it the second largest source of mercury emissions in Africa[5]. Land degradation with direct disturbance of water bodies, floodplains and river banks is also common.

This project is aimed at facilitating the ratification and early implementation of the Minamata Convention by providing key national stakeholders in DRC with the scientific and technical knowledge and tools needed for that purpose. DRC has not yet signed the Convention. However, DRC has notified the Secretariat that is taking meaningful steps to ratify the Convention. DRC has also actively participated in all the Intergovernmental Negotiating Committees and the First Francophone Africa workshop in Dakar, Senegal, from 9 to 11 July 2014, in support for the ratification and early implementation of the Minamata Convention. DRC will also benefit from new and updated information about the mercury situation in the country and from increased capacity in managing the risks of mercury, in particular from the

[4] http://postconflict.unep.ch/publications/UNEP_DRC_PCEA_EN.pdf

[5] The Democratic Republic of the Congo Post-Conflict Environmental Assessment, United Nations Environment Programme, Synthesis for Policy Makers

ASGM sector. DRC will also be in compliance with the article 7 of the Minamata Convention. This will facilitate the signing and ratification of the Minamata Convention on Mercury. The sharing of experiences and lessons learned throughout the project is also expected to be an important contribution to other countries with similar socio-economic circumstances within the region.

NATIONAL PRIORITIES AND UNDAF IN DRC

The following section draws on the UN Development Assistance Framework (UNDAF) of DRC. In order to ensure that this project contributes to the UNDAF outcomes in the country, representatives from the United Nations Country Teams (e.g. UNDP National Representation) will be invited to attend the inception workshop and to take part in the National Coordination Mechanism (NCM). It is important to indicate that the participation of the United Nations Country teams in the respective NCM will result in a closer analysis and assessment of the progress made in terms of National Priorities.

UNDAF DRC (2013-2017): This project contributes to the Pillars of UNDAF's cooperation as follows: Pillar 1 – governance and development of institutions. Strengthening environmental governance and development of institutions will be done through the assessment of the national legal framework and institutional arrangements including the identification of gaps related to the national capabilities for the sound management of mercury, ratification and early implementation of the Minamata Convention. It will also contribute to the development of baseline data on which future sustainable natural resource management will be anchored.

The project also contributes to the UNDAF's pillar 2 – inclusive growth and job creation - that aims to enable the private sector to lead an accelerated generation of sustainable, inclusive and decent employment. Decent work, as defined by the International Labour Organization "sums up the aspirations of people in their working lives. It involves opportunities for work that is productive and delivers a fair income, security in the workplace and social protection for families, better prospects for personal development and social integration, freedom for people to express their concerns, organize and participate in the decisions that affect their lives and equality of opportunity and treatment for all women and men"[6] Workers dealing with mercury and mercury compounds risk exposure and contamination, which is in disagreement with the idea of security in the workplace and therefore the definition of a decent work. Through its initial assessments this project will facilitate the ratification and early implementation of the Minamata Convention by DRC, which will also lead to the protection of workers manipulating mercury and mercury compounds.

The project also contributes to the UNDAF's pillar 5 – stabilization and consolidation of peace. The Government of DRC prioritizes peace stabilization and consolidation. In support of these national priorities and the commitments the project will contribute to peace building in conflict-sensitive areas through strategic programming and implementation. One of the key strategies to be used during the implementation of this project is the formation of the national multi-stakeholder coordination mechanism (NCM). The NCM, besides advancing other project objectives, will also aim at advancing and consolidating peace efforts through changing knowledge, attitudes and practices towards of a culture of peace and human rights respect. Through its initial assessments, this project will encourage and facilitate co-existence among national stakeholder representing different sectors and interest groups within DRC.

LEGAL AND INSTITUTIONAL ARRANGEMENTS

The national legal and institutional capacity has been severely hampered during the decade long civil war period. Capacities of public institutions steadily declined during this period. Government ministries, like most other public institutions in DRC, lost their capacity for action on the ground and were not coordinated nationally. Today there is an enormous challenge to develop the capacity of public institutions to match the requirements and expectations in a peace-time DRC.

The federal ministries and many major public institutions have an established presence in the provinces. The governance structure is envisaging that the overall coordination as well as legal and policy preparatory work is done at the ministry

[6] http://www.ilo.org/global/topics/decent-work/lang--en/index.htm

level and the actual on-the ground activities are coordinated at sub-regional level. There are currently 26 provinces in the country: Kongo Central, Kwilu, Kwango, Mai-ndombe, Equateur, Sud-Ubangi, Nord-Ubangi, Mongala, Tshuapa, Bas-Uele, Haut-Uele, Tshopo, Ituri, Kasai, Sankuru, Lulua, Kasai-oriental, Lomani, Lualaba, Haut-Lomami, Haut-Katanga, Tanganyika, Maniema, Sud-Kivu, Nord-Kivu and Kinshasa, which is, administratively, a province in its own right.

Map 1: Provinces DRC

In the field of environment, the highest policymaking forum is the Inter-Ministerial Environment Committee, chaired by the Ministry of Environment Nature Conservation and Tourism. This Committee discusses and adopts cross-sectoral environmental policies and finalizes legislative initiatives before submission to the Parliament.

At the institutional level, the Ministry of Environment Nature Conservation and Tourism has the responsibility for managing environmental issues. The General Secretariat provides both administrative and technical services for the Ministry of Environment Nature Conservation and Tourism including its 11 specialized directorates and 2 specialized services.

The specialized directorates and services are:

- Staff and General Services Directorate;
- Studies and Planning Directorate;
- Internal Controls and Audit Directorate;
- Human Settlements and Environmental Protection Directorate;
- Forest Inventories and Planning Directorate;
- Water Resources Directorate;
- Sustainable Development Directorate;

- Forest Management Directorate;
- Reforestation and Horticulture Directorate;
- Sanitation Directorate;
- Nature Conservation Directorate;
- National Center for Environmental Information;
- Legal Unit.

Besides these administrative directorates and the policy implementation, there are 13 provincial divisions under the direct oversight of the Ministry of Environment Nature Conservation and Tourism.

Most recently, the Congolese Environment Agency (Agence Congolaise de l'Environnement) was established through the Act of Parliament. It is a public body under the authority of the Ministry of Environment Nature Conservation and Tourism. The purpose of this agency is to assess the social and environmental impacts of projects and monitor the implementation of environmental and social management plans. As such, it ensures that environment protection is taken into account throughout the project. The Congolese Environment Agency is also the responsible body for the environmental impact assessments related to mercury uses and releases.

Further, the Democratic Republic of the Congo (DRC) has acceded to a number of international conventions on environmental protection and sustainable management of renewable natural resources (forests, water and biodiversity). By doing so, the country has committed to respect and implement all these international conventions. That is why, in accordance with the relevant provisions, the DRC through the Ministry of Environment Nature Conservation and Tourism, has updated in 2011 the Forests and Nature Conservation National Programme, now renamed Environment, Forests, Water and Biodiversity National Programme (by its French acronym, PNEFEB), incorporating other areas of activity (Sanitation, Water Resources and Climate Change). This programme establishes the main strategies and measures to be planned or implemented by DRC to protect the environment and sustainably manage the national renewable natural resources, with a view to reducing poverty of Congolese people and to fulfil its international commitments and national expectations. It also provides relevant information to achieve the objectives of the international conventions. The short and medium term actions that have been included in the roadmap (2011-2012) of PNEFEB designed for 10 years (two phases of 5 years) has the following six action points:

1. Capacity-building policy
2. Cross-cutting support:

   (i) Participative Forest Zoning;
   (ii) Dissemination of the Forest Code and its implementation measures, as well as of other legal texts;
   (iii) Implementation of the Convergence Plan of the COMIFAC;
   (iv) REDD process;
   (v) Climate change adaptation;
   (vi) Voluntary partnership agreement.

3. Forest and Aquatic Ecosystems and Control:

   (i) Forest ecosystems planning and monitoring;
   (ii) Aquatic ecosystems planning and monitoring;
   (iii) Control of:
      - forestry

- wildlife
- water resources
- sanitation
- classified establishments
- internal audit

4. Conservation of biodiversity;
5. Community forestry;
6. Environment:
   (i) Sanitation;
   (ii) Combating pollution;
   (iii) Classified establishments management;
   (iv) Natural disasters management;
   (v) Combating desertification;
   (vi) Environmental and social impact management.

The PNEFEB is inspired by the Government Priority Action Programme (PAP), which places special emphasis on the mid-term economic and social stabilization and reinvigoration programme, in order to alleviate poverty and stop continuous deterioration of the living conditions of the Congolese people.

The Mining Code and the Mining Regulation regulates the Mining Industry. There is an environmental review and permitting process for mining projects whereby exploitation permits are subject to prior approval of an environmental impact study (EIS) and an environmental management plan (EMP).

DRC has also actively participated in international environmental work and has become a Party to several chemicals related international agreements. The main conventions and dates of accession are given in the table below.

Table 1: MEAs participation

Convention	**Signature or Ratification**
Bamako Convention on the Ban of the Import into Africa and the Control of Tranboundary Movement and Management of Hazardous Waste within Africa	Ratified 15th September 1994
Basel Convention on Transboundary Movements of Hazardous Waste and their Disposal	Ratified 15th September 1994
Vienna Convention on the Protection of the Ozone Layer and its Montreal Protocol	Ratified on 15th September 1994
Convention on Biological Diversity	Ratified on 15th September 1994
United Nations Framework Convention on Climate Change	Ratified on 8th December 1994
Rotterdam Convention on the Prior Informed Consent Procedure for certain Hazardous Chemicals and Pesticides in International Trade	Ratified on 23rd March 2005
Stockholm Convention on Persistent Organic Pollutants	Ratified on 23rd March 2005

SPECIFIC ACTIONS ON MERCURY MANAGEMENT IN DRC

Five baseline studies on the gold supply chains of the Democratic Republic of Congo (DRC) have been conducted. These field studies conducted in DRC assessed awareness and implementation of the Recommendation of the Council on Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas (OECD 2013: 7). Besides, it assessed the constraints and challenges to its implementation and made recommendations to enable

its further implementation.

These studies have focused on DRC's Katanga and South Kivu provinces, and Orientale Province, a huge area in northeast DRC's where the country's industrial gold mining began over a century ago. Gold mining in the Orientale province's Ituri District was until not long ago a major source of conflict financing. While both the conflict and the conflict-financing have subsided in the province in recent years, most artisanal gold mining and trade in Orientale remains unknown.

The Centre of Evaluation, Expertise and Certification (Centre d'Evaluation, d'Expertise et de Certification des substances minérales précieuses et semi-précieuses - CEEC) is the multi-stakeholder body that issues the International Conference on the Great Lakes Region (ICGLR) certificates . Only gold with ICGLR certificates may legally be exported from DRC. So far, however, no artisanal gold mines in Orientale province have been inspected or validated; therefore, there is no information on their operations.

ASGM

DRC has the largest artisanal mining workforce in the world - around two million people. The lack of controls has led to land degradation and pollution. Its untapped mineral reserves are of global importance and are estimated to be worth US$24 trillion. Around 15 tonnes of mercury are used annually in DRC's artisanal gold mining operations, making it the second largest source of mercury emissions in Africa[7].

There is a need to overcome the considerable environmental liabilities of a century of mining - with immediate action to remediate mining pollution 'hotspots' in Katanga. The introduction of new mining techniques and the formalization of the artisanal mining sector will contribute to reduce the continued mining pollution.

Table 2. Mercury consumption in ASGM and calculation of associated emissions[8]

Country	Quality of data[9]	ASGM Hg use, t			Percentage of total Hg applied to concentrate amalgamation	Percentage of total Hg applied to whole ore amalgamation	Emission Factor b	Year of most recent data	Mean air emission, t
		min	mean	max					
DRC	2	3.8	15.0	26.3	100	0	0.75	2010	11.250

B. ENABLING ACTIVITY GOALS, OBJECTIVES, AND ACTIVITIES(The proposal should briefly justify and describe the project framework. Identify also key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable. Describe also how the gender dimensions are considered in project design and implementation):

The goal of the MIA and NAP development is to protect human health and the environment from the risks posed by the unsound use, management and releases of mercury.

Project objective: Ratification and early implementation of the Minamata Convention is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in DRC.

Project Components and Activities: The national MIA and NAP development has six components, which consists of the activities indicated below. Each component includes information on project activities, outcomes and outputs.

[7] http://www.unep.org/newscentre/Default.aspx?DocumentID=2656&ArticleID=8890

[8] http://www.amap.no/documents/doc/technical-background-report-for-the-global-mercury-assessment-2013/848.

[9]Class 1 = presence/absence, no quantitative information, error can be greater than100% (25 countries); class 2 = some indication of quantity ofHg used, estimated average error 75% (20 countries); class 3 = quantitative data but not significantly updated within past five years, error 50%(17 countries); class 4 = recent quantitative data; error 30%; b emission factor for concentrate amalgamation = 0.75 (1/1.3); Emission factor forwhole ore amalgamation = 0.25 (1/4).

Component 1: National information exchange, capacity building and knowledge generation

This project component has been included in other regional and national projects that have currently been submitted to the GEF Sec by UNEP. It will foster information exchange, South-to-South cooperation and capacity building. As part of this, DRC will have access to additional training, technical expertise and tools to facilitate the NAP development. The UNEP Global Mercury Partnership will respond directly to the needs identified by DRC by giving feedback and rapid response to its queries and facilitating the access to existing expertise in the region. This project component will also identify opportunities for regional cooperation and synergies to ensure reduced transaction costs and more efficient use of project resources. Lessons learned identified through this project will also be made available.

Activity 1.1: Development of a roster of experts and collection of tools and methodologies for NAP development;

Activity 1.2: Capacity building trainings and assistance with baseline inventories;

Activity 1.3: Knowledge management and information exchange through the Global Mercury Partnership website and/or Partners websites and tools;

Activity 1.4: Final national workshop to identify lessons learned and opportunities for future cooperation in the NAP implementation.

Expected Outcome:

Enhanced communication, support and training facilitate the development of the MIA and NAP and build the basis for future cooperation for the NAP implementation.

Expected Outputs:

Technical support and global coordination provided ensuring capacity building, information exchange, consistent and comparable MIAs and NAPs and the identification of lessons learned and good practices at national level.

The training sessions, lessons learned will be open to other countries that are willing to take advantage of these activities; however their participation will be covered by their own NAP projects.

Component 2: Strengthening of Coordination Mechanism and organisation of process

DRC will establish a **NCM** making full use of existing structures dealing with chemicals management to coordinate and provide guidance on the progress made in the project. In this project component, the national agency in charge of the MIA and the NAP development (Agence Congolaise de l'Environnement) will identify institutional needs and strengths and will also reinforce the existing NCM on mercury management. This project component aims at gaining political commitment to the development of the MIA and NAP and to the ratification of the Minamata Convention by establishing a national coordinating mechanism and structure for executing the MIA and NAP. Sectors to participate in the process as part of the NCM will include representatives from health, environment, labour, finance, mining and energy and planning sectors, as well as non-governmental organizations including the national chemical industry association, and civil society organizations. This project will strengthen the national infrastructure for mercury management not only by maintaining and sustaining the NCM but also to reinforce it with key stakeholders involved in mercury management.

Considering the unique circumstances in the DRC and the potential political stalemate that may arise due to the upcoming national Presidential elections, it's prudent that specialized peace agencies such as the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO) and UNEP Post-Conflict and Disaster Management Branch (UNEP PCDMB), in particular, are consulted and included in the institutional coordination arrangements. Therefore, consultations with MONUSCO and UNEP PCDMB will happen as early as possible, at the latest during the inception workshop. Potential roles for MONUSCO and UNEP PCDMB in the project will also be discussed

during the project inception workshop.

Local NGOs, especially those with the history of working in DRC in the project areas and are familiar with the local terrain such as PACT will be engaged to play key roles during the inventory phase of the project. All these roles will be defined during the inception workshop. In some cases, the engagement of these stakeholders is already initiated.

However, while we anticipate potential political stalemate that may arise due to the upcoming national Presidential elections, we do not expect this political stalemate to adversely impact the project execution. National government oversight structures will remain in place and still continue functioning normally.

During this project component the NCM will be strengthened and terms of reference related to this project will be drafted. The terms of reference will include information about members, frequency of meetings and the type of work and roles in the project among others.

In addition, the NCM will identify a stakeholder advisory group (SAG), composed of stakeholders who possess relevant knowledge and information, and whose collaboration and cooperation will be needed for the successful formulation of the MIA and NAP and also for the implementation of the NAP. The SAG will include relevant members of civil society with experience and knowledge in the national mercury uses and releases, particularly from the ASGM sector. The NCM will engage with the advisory group at regular intervals and during all phases of the MIA and NAP development and direct feedback on these documents will be provided through a mechanism to be agreed upon by the NCM. A list of suggested members of the NCM and of the SAG can be found at page 9-10 to the guidance document[10] for NAP development.

This project component also aims at enhancing stakeholder's commitment to the development of the MIA and the NAP and gaining political support for the ratification and early implementation of the Minamata Convention on Mercury.

Activity 2.1: Organize a National Inception Workshop to raise awareness and to define the scope and objective of the MIA and NAP processes, including:

a) Develop a strategy for awareness raising aimed at national stakeholders throughout the project;

b) Identify key stakeholders and assign roles;

c) Strengthen the NCM for mercury management.

Activity 2.2: Conduct a national assessment on existing sources of information (studies), compile and make them available.

Expected Outcome:

DRC makes full use of enhanced existing structures and information available dealing with mercury management to guide ratification and early implementation of the Minamata Convention.

Expected Outputs:

Technical support provided to strengthen the National Coordination Mechanism and organization of process for MIA and NAP development.

Component 3: Assessment of the national infrastructure and capacity for the management of mercury, including national legislation

This is a key step in the MIA and NAP development processes. One of the first activities suggested before embarking on the establishment of inventories is to review and assess the national capacities (technical, administrative, infrastructure and regulatory). This review and assessment will result in a preliminary identification of national needs and gaps for the ratification and early implementation of the Minamata Convention. The assessments produced under this component will provide Ministries with strong arguments for the ratification of the Minamata Convention and prioritization of mercury management on the national agenda. Once the Convention is ratified, this component outputs will be essential to comply with the reporting obligations of the Convention and to monitor its implementation. Gender issues and the interests of vulnerable populations will be fully taken into account in the assessments.

On this specific step, DRC will:

Activity 3.1: Assess key national stakeholders, their roles in mercury management and institutional interest and capacities;

Activity 3.2: Analyse the regulatory framework, identify gaps and assess the regulatory reforms needed for the ratification and early implementation of the Minamata Convention in DRC.

Expected Outcome:

Full understanding of comprehensive information on current infrastructure and regulation for mercury management enables DRC to develop a sound roadmap for the ratification and early implementation of the Minamata Convention.

Expected Outputs:

Assessment prepared of the national infrastructure and capacity for the management of mercury, including national legislation.

Component 4: Development of a mercury inventory, a national overview of the ASGM sector, and strategies to identify and assess mercury-contaminated sites

The project will collect all regional and national mercury assessment reports if available, consolidated and used as a national baseline report. The resultant baseline report will be updated and DRC will have access to improved data on mercury sources and releases. DRC will apply both the level I&II version of the UNEP Toolkit for Identification and Quantification of Mercury Releases that was revised in 2013. More specifically, UNITAR will use the UNEP mercury toolkit to assist DRC to address: a) Mercury supply sources and trade (Article 3); (b) Mercury-added products (Article 4); (c) Manufacturing processes in which mercury or mercury compounds are used (Article 5); (d) Emissions (Article 8); and (f) Releases (Article 9). It will also include a description of mercury storage conditions. UNITAR will support DRC to apply the Artisanal Gold Council methodology to develop the inventory of mercury releases from the ASGM sector (Article 7).

This project component will also analyse existing information on mercury contaminated sites and will formulate a strategy to identify and assess mercury contaminated sites, using a nationally agreed criteria.

This project component will also collect further information on the ASGM activity in DRC. The national overview will include information on the following topics:

- Baseline estimates of mercury emissions and releases from the ASGM sector;
- Structure of the ASGM sector (i.e., single family miners, community mines, etc.);
- Policies surrounding ASGM at regional/local levels;
- Geographic distribution of ASGM;
- Economics, such as mercury supply, use and demand. The project will search in particular for information about gender and children aspects of the ASGM economics;
- Size of the formal and informal ASGM economy;
- Information on mining practices, including information on ore bodies exploited, processes

used, the amount of mercury used, the number of people directly involved in ASGM and indirectly exposed to mercury (disaggregated by sex and age);

- Information on gold processing practices/burn off of mercury in gold processing shops or community retorts;
- Known information on overall environmental impacts, contaminated sites, mercury releases in soil, air and water;
- Studies and other information on mercury exposure, through various media, and studies on impacts in ASGM communities and downstream communities. The project will search for known information desegregated by sex and age;
- Information about access to technical assistance for miners;
- Leadership and organization of ASGM at national and local levels;
- Experiences in addressing ASGM;
- Information gaps at the local and national scale that can be addressed.

The project will search for known information desegregated by sex and age.

Activity 4.1: Develop a qualitative and quantitative inventory of all mercury sources and releases;

Activity 4.2: Desk study to compile information available about the ASGM activity. The desk study will be complemented by field visits and interviews with stakeholders. The working group and the stakeholder's advisory group can consider additional methods in order to better reflect the current state of knowledge;

Activity 4.3: Develop a national strategy to identify and assess mercury-contaminated sites.

Expected Outcome:

Enhanced understanding of mercury sources and releases facilitated the development of national priority actions.

Expected Outputs:

Mercury inventory developed and strategies to identify and assess mercury contaminated sites.

Component 5: Identification of challenges, needs and opportunities to implement the Minamata Convention on Mercury

Taking into consideration the preliminary research undertaken under project component 2, the assessment undertaken in component 3, and the mercury inventory under project component 4, this project component will assess the challenges, needs and opportunities to implement the Convention on priority sectors. The main output under this project component is a needs assessment and further recommendations to implement the Minamata Convention on Mercury, taking into consideration the role of all key players and their responsibilities, in particular gender concerns and the special needs of vulnerable groups.

Activity 5.1: Conduct a national and sectoral assessment on challenges and opportunities to implement the Convention in key priority sectors;

Activity 5.2: Develop a report on recommendations to implement the Convention.

Expected Outcome:

Improved understanding of national needs and gaps in mercury management and monitoring enabled a better identification of future activities.

Expected Outputs:

Technical support provided for identification of challenges, needs and opportunities to implement the Minamata

Convention on Mercury.

Component 6: Preparation, validation and endorsement of MIA and NAP, implementation of awareness raising activities and dissemination of results at the national level

During this project component the draft MIA is reviewed and validated by national stakeholders. The NAP is also developed according to Annex C of the Minamata Convention. This process of wide consultation will likely include National Coordination meetings, workshops with key sectors, written communications and discussions leading to a final MIA and NAP documents that will allow the National Government to ratify and early implement the Convention based on a sound national assessment of the mercury situation. Awareness raising and dissemination of key MIA outputs and the NAP for the ASGM sector will also be performed under this project component under activity 5.2.

Activity 6.1: Draft and validate MIA Report;

Activity 6.2: Draft and validate final NAP through public consultation before endorsement. Representatives of vulnerable groups and miners are particularly targeted;

Activity 6.3: NAP endorsement and official submission to the Minamata Secretariat;

Activity 6.4: Develop a national MIA and NAP dissemination and outreach strategy.

Expected Outcome:

DRC key stakeholders made full use of the MIA and related assessments and the NAP for the ASGM sector leading to the ratification and early implementation of the Minamata Convention on Mercury.

Expected Outputs:

Technical support provided for preparation and validation of National MIA report, the NAP for the ASGM sector, and implementation of awareness raising activities and dissemination of results.

Project Stakeholders:

At the international level, the project will include:

a) **UNEP DTIE Chemicals**: as an implementing Agency, UNEP will provide technical oversight and administrative support to the National Coordinating agency and the National Coordinator. UNEP will also provide the global perspective and experience from other countries.

b) **UNITAR**, which will execute the project and provide the necessary training and project organization.

c) The **Minamata Convention Secretariat** will provide guidance materials and opportunities to exchange information and to understand the Minamata Convention from a regional and global perspective.

d) **Joint Secretariats BRS** will provide areas of cooperation and synergies with POPs related activities. The project will also consider using the existing resources at the BRS Secretariat level, such as facilities to provide technical support (webinars) organization of training workshops, etc.

e) Others: such as the regional/national representation of **WHO**, to provide the human health dimension to the project, such as the identification of mercury related activities and human risk. It will also provide opportunities for cooperation by making available its mercury programme and suitable expertise on mercury and humans.

The international partners will provide ongoing support to the project.

At the national level, the project will include:

- Ministries and government agencies in charge of chemicals management, human health and safety. Active participation from other key agencies is expected, including trade and customs, industry and economy, being those mostly responsible for the commercial movement of mercury containing products. They will benefit with new and/or updated legislation, management and enforcement strategies. Health and safety groups can find useful information related to workplace exposure that can be applied to minimize risks at the occupational level.

- Representatives of industry and industrial associations, which can provide with data and information related to processes and products that use and contain mercury. This will include technological aspects regarding current practices, as well as technology transfer and changes underway to reduce the uses and emissions of mercury. Coordination and communication between industry groups and government agencies is an important aspect that will look into options to improve the environmental performance of those sectors. In this respect, it is essential to promote effective coordination among the whole range of those who have responsibility for or a stake in mercury issues. The scientific community will also benefit from this project and will be able to generate new and reliable data through well-designed and targeted measurements to identify mercury sources and quantify mercury releases.

- The support and engagement of NGOs and civil society is critical for the successful implementation of chemicals management strategies and initiatives. The general public will gain access to environmental information through effective channels of communication and a dedicated information system, allowing a more and better-informed participation in consultations in this area. For instance, community representatives will ensure that their concerns are taken into account in a decision-making process.

The following table outlines key stakeholders in DRC, together with their proposed respective roles within the project. The following list of stakeholders, prepared in consultation with the national government, will be expanded during project implementation.

Table 3: Stakeholder Participation

Name of stakeholder/Organization	Responsibility/expertise
Ministry of Environment, Nature Conservation and Sustainable Development	✓ Environmentally sound management of chemicals; ✓ Analysis of chemicals in environmental and biological environmental licensing; ✓ Management of household and hazardous waste; ✓ Issuance of Environmental Impact Assessment to all ASGM.
Ministry of Health	✓ Responsible for regulations and governance related to public health; ✓ In charge of public health centers; ✓ Responsible authority for health surveillance and mercury waste management in health centers; ✓ Risk assessments and mercury poisoning.
Ministry of Foreign Affairs, International Cooperation and Francophonie	✓ Negotiation processes for legally binding instruments; ✓ Signature and ratification monitoring of legally binding instruments.
Ministry of Mines and Natural Resources	✓ Regulates mining in DRC.

Ministry of Finance and Economic Development	✓ Regulates commercial and economic activities in the country.
Customs	✓ Records the entry and exit of goods to DRC through automated customs revenue.
Ministry of Labor	✓ Inspections of chemical storage and work safety.
Academy	✓ Consulting and expertise on topics of interest.
Ministry of Trade and Industry	✓ Encourages and promotes joint actions of the National Private Enterprise.
Miners/miner representatives	✓ Provide realistic view of current practices and barriers to change.
Community leaders and local government from ASGM areas	✓ Assist with development and implementation of the NAP within ASGM communities.
Indigenous groups	✓ Represent the interests of indigenous populations in ASGM areas.
Technical expert in gold mining	✓ Understanding of technical alternatives to mercury use; provide training opportunities.
Non - governmental Organisations focussing on environmental and human health organizations	✓ Activities aimed at reducing environmental impacts of ASGM and the risks of human exposure.
Representatives from large scale mining	✓ Contribute to finding innovative solutions and providing insights on mining regulatory issues; ✓ Potential partner with small-scale miners on technical improvements to mining practice.
Other relevant land holders	✓ Represent interest in land conflicts and in reclaiming impacted lands; ✓ Risk of mercury exposure.
Ministry of Justice	✓ Enforcement.
Gold buying agents, gold traders, mercury traders	✓ Understanding of gold market dynamics, and barriers to formalization.
Directorate of Assistance to Victims of Natural disaster and other calamities	✓ Expertise related to available mechanisms to handle mercury use related risks and how to clean/restore contaminated sites.
Private sector partner (e.g., large-scale mining company or equipment provider)	✓ Technical capacity; ✓ Potential public/private partnership.
Financial/banking sector	✓ Small and commercial-sized loans to miners to assist with financing transition towards better practices.
NGOs and INGOs involved Chemical issues within the Environmental	✓ Improving awareness and participation in the promotion of environmental sound practices in ASGM.

Socioeconomic benefits including consideration of gender dimensions

This project aims at strengthened national capacity to manage mercury and chemicals in general. Therefore it is anticipated that the project will positively impact poor populations, who are disproportionately affected by the impacts of environmental and health hazards. This is particularly true in ASGM communities that are not only directly exposed to mercury from amalgamation processes but also indirectly through the air breathed and from the polluted water and food consumed in a daily basis. Although to date no biomonitoring has been undertaken in the ASGM community in DRC, bio-

monitoring results from several ASGM countries worldwide have shown alarming concentrations of Mercury in hair, urine, mother's milk, and blood of children, women and men[11].

This project can assist DRC to clearly identify areas of improvement, starting at the local, and community levels and complemented with national policies. For example, through the inventory process, and the mapping of key mercury pollution sources, the project will define at-risk populations across DRC. Project activities will also involve consultation with at-risk communities with the aim of increasing understanding about the risks of mercury exposure. Project activities will ensure communities at risk with clear and accurate information to protect themselves. This is likely to involve, but not be limited to employees potentially at risk of mercury exposure, workers associations and medical associations, and poor communities living in close proximity to industry facilities and contaminated sites.

Regarding gender, in many ASGM areas women perform tasks where toxic exposure occurs since they do not require strength. These jobs include pouring the mercury into the ball-mills or mixing the mercury in panning, and burning the amalgam, often with their children or babies nearby. In some countries, women also carry the rocks from the mining sites to the processing plants.[12] Moreover, with an estimated 4.5 million women working in artisanal mining, many of childbearing age, low-level exposure to infants during gestation and breast-feeding is a risk.[13]As a potent neurological toxicant that interferes with brain functions and the nervous system, mercury has been shown to be particularly harmful to neurological development of babies and young children.[14]

The project will ensure that there are opportunities for women to contribute to, and benefit from, the project outcomes. Specifically the project executor will work with national coordinators to ensure women are well represented on national coordinating committees, and that consultation with at-risk communities targets both women and men. The project coordinator will also ensure that always when possible, data collected in the framework of this project will be disaggregated by sex and age. The NAP for the ASGM sector will fully incorporate the gender dimensions identified in the national overview of the ASGM sector and foster gender equality.

Pregnant women, children and communities nearby mercury sources are more vulnerable to mercury exposure. Therefore this project will advocate for a national regulatory framework targeting the protection of these vulnerable groups. Through these vulnerable groups, the project will also sensitize the general population about the risks of mercury.

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

For project activities, please section B

Implementing Agency (IA): this project will be implemented by UNEP and executed by UNITAR. As Implementing Agency, UNEP will be responsible for the overall project supervision, overseeing the project progress through the monitoring and evaluation of project activities and progress reports, including on technical issues. In close collaboration with the Executing Agency, UNEP will provide administrative support to the Executing Agency.

UNEP will support Execution of this project, as part of the Mercury Partnership Programme, and will provide assistance to signatories to the Minamata Convention such as organizing regional awareness raising/training workshops, reviewing technical products, sending technical experts to key meetings, etc. Furthermore, through its Programme of work, UNEP will identify suitable Divisions and Branches that can provide additional support to DRC and complement project activities.

[11] http://www.who.int/ipcs/assessment/public_health/mercury_asgm.pdf
[12] http://www.wecf.eu/english/articles/2013/10/minamata-sideevent.php

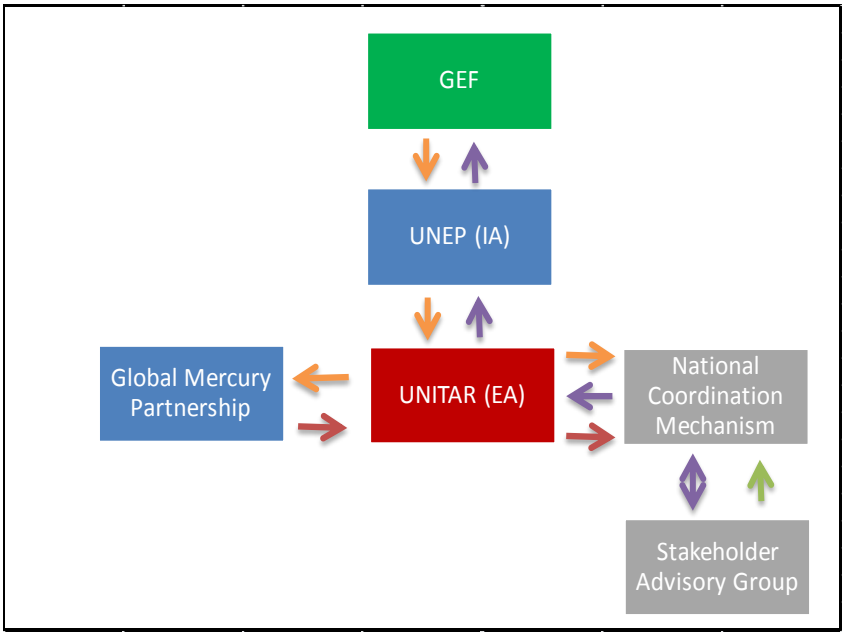
[13] *See* Telmer and Veiga (2009)
[14] *See* United States EPA (1997); Bose-O'Reilly et al. (2010)

Executing Agency (EA): UNITAR will execute, manage and be responsible for the project and its activities on a day-to-day basis. It will establish the necessary managerial and technical teams to execute the project. It will search for and hire any consultants necessary for technical activities and supervise their work. It will acquire equipment and monitor the project; in addition, it will organize independent audits in order to guarantee the proper use of GEF funds. Financial transactions, audits and reports will be carried out in accordance with national regulations and UNEP procedures. UNITAR will provide regular administrative, progress and financial reports to UNEP Chemicals**.**

A National Coordination Mechanism (NCM) will meet regularly during project implementation. The Committee will include Key National Stakeholders and will evaluate the progress of the project and will take the necessary measures to guarantee the fulfillment of its goals and objectives. The NCM will take decisions on the project in line with the project objectives and these decisions will be implemented by the Executing Agency. The NCM will consult the stakeholder advisory group on a regular basis.

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

Figure 1: Implementation arrangements



Legenda	
	Funds
	Reports
	Guidance
	Communication
	Capacity building/Technical support

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

The project will use the current capacity for chemicals management present in DRC, such as the existing infrastructure and coordination mechanism**.** The project will also consider any previous efforts to collect information on national mercury sources and releases and to improve the sound management of mercury and mercury waste.

The project will also take into account the expertise gathered by some countries in previous projects related to mercury waste management, and in turn, share the experiences and lessons learned with those countries that are at an early stage of strengthening capacities for mercury management. The project will coordinate closely with the Chemicals Division at UNEP and with the different mercury programmes and projects in place.

The integration of outcomes and deliverables of this project is18also expected to provide significant input to the existing

national framework for chemicals management in DRC. In this respect, enhanced capacities and knowledge on mercury and mercury waste will facilitate the development and/or update of current policies and enforcement practices in a more efficient and resource saving approach.

However, considering the large size of the country and the complexity of the mercury issue, the project requires extra funding in order to achieve the results sought.

E. DESCRIBE THE BUDGETED M&E PLAN:

Day-to-day management and monitoring of the project activities will be the responsibility of the executing agency. **UNITAR** will submit half-yearly progress reports to the implementing agency at UNEP Chemicals. **UNITAR** will also be responsible for the issuing of legal documents such as agreements with the government and other institutions including recruitment of local staff or consultants and the execution of the activities according to the work plan and expected outcomes.

The half-yearly reports will include progress in implementation of the project, financial report, a work plan and expected expenditures for the next reporting period. It will also identify obstacles occurred during implementation period.

An independent terminal evaluation (TE) will take place at the end of project implementation, latest 6 months after completion of the project. The Evaluation Office of UNEP will be responsible for the TE and liaise with the UNEP Task Manager at DTIE Chemicals Branch throughout the process. 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 and executing partners – UNITAR in particular. The direct costs of the evaluation will be charged against the project evaluation budget. The TE report will be sent to project stakeholders for comments. Formal comments on the report will be shared by the Evaluation Office in an open and transparent manner. 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 evaluation report is finalised. The evaluation report will be publically disclosed and will be followed by a recommendation compliance process.

Table 4. Monitoring and Evaluation Budget

M&E activity	Purpose	Responsible Party	Budget (US$)[*1]	Time-frame
Inception workshop	Awareness raising, building stakeholder engagement, detailed work planning with key groups	UNITAR	0	Within two months of project start
Inception report	Provides implementation plan for progress monitoring	UNITAR	0	Immediately following Inception Workshop
Technical Progress reports	Describes progress against annual work plan for the reporting period and provides activities planned for the next period	UNITAR	0	Half-yearly
Financial Progress reports	Documents project expenditure according to established project budget and allocations	UNITAR	0	Quarterly

Project Review by National Coordination Committee	Assesses progress, effectiveness of operations and technical outputs; Recommends adaptation where necessary and confirms implementation plan.	UNITAR	0	Month 2, 12 and 23
Terminal report	Reviews effectiveness against implementation plan. Highlights technical outputs. Identifies lessons learned and likely design approaches for future projects, assess the likelihood of achieving design outcomes.	UNITAR	0	At the end of project implementation
Independent Terminal evaluation	Reviews effectiveness, efficiency and timeliness of project implementation, coordination mechanisms and outputs. Identifies lessons learned and likely remedial actions for future projects. Highlights technical achievements and assesses against prevailing benchmarks	UNEP, Independent external consultant	20,000	At the end of project implementation
Independent Financial Audit	Reviews use of project funds against budget and assesses probity of expenditure and transactions	UNITAR	10,000	At the end of project implementation
Total indicative M&E cost[*1]			**30,000**	

*The inception workshop is one activity of the project component 2. Monitoring and evaluation activities will be done back to back with the inception workshop and therefore the cost is zero. The project Review by the National Coordination Committee will be held back to back with technical meetings that will take place throughout the project implementation. Therefore the additional cost is zero.

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

PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S)ON BEHALF OF THE GOVERNMENT(S):(Please attach the*Operational Focal Point endorsement letter(s)*with this template).

NAME	POSITION	MINISTRY	DATE *(Month, day, year)*
Vincent Kasulu Makonga Seya	Secrétaire Général à l' Environnement, Conservation de la Nature et Développement Durable	MINISTERE DE L' ENVIRONNEMENT, CONSERVATION DE LA NATURE ET DÉVELOPPEMENT DURABLE	**MARCH, 05, 2016**

B. CONVENTION PARTICIPATION

CONVENTION	DATE OF RATIFICATION/ ACCESSION (mm/dd/yyyy)	NATIONAL FOCAL POINT

Bamako Convention on the Ban of the Import into Africa and the Control of Tranboundary Movement and Management of Hazardous Waste within Africa	Ratified 15th September 1994	**NTUMBA KASONGA**	
Basel Convention on Transboundary Movements of Hazardous Waste and their Disposal	Ratified 15th September 1994	**NTUMBA KASONGA**	
Vienna Convention on the Protection of the Ozone Layer and its Montreal Protocol	Ratified 15th September 1994	**ELIE UMBA KABUNDA**	
United Nations Framework Convention on Climate Change		**KASULU MAKONGA SEYA**	
Convention on Biological Diversity	Ratified 15th September 1994	**IPANGA MIKE**	
Stockholm Convention on Persistent Organic Pollutants	Ratified on 23rd March 2005	**EMENE ELENGA JEAN CLAUDE**	
Rotterdam Convention on the Prior Informed Consent Procedure for certain Hazardous Chemicals and Pesticides in International Trade	Ratified 8th September 1994	**MWANAMBUYU KABALA**	
SAICM		**EMENE ELENGA JEAN CLAUDE**	
MINAMATA CONVENTION	DATE RATIFIED: 13/05/2015	**NATIONAL FOCAL POINT:**	**DATE OF NOTIFICATION UNDER ARTICLE 7 TO THE MINAMATA CONVENTION SECRETARIAT** **25/02/2016**

C. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies[15] and procedures and meets the standards of the GEF Project Review Criteria for Chemicals and Wastes Enabling Activity approval in GEF 6.					
Agency Coordinator, Agency name	Signature	Date *(Month, day, year)*	Project Contact Person	Telephone	E-mail Address
Brennan Van Dyke Director, UNEP GEF Coordination Office	Brennan Van Dyke	March 18, 2016	Kevin Helps Senior Programme Officer DTIE, UNEP	+254-20-762-3140	Kevin.Helps@unep.org

[15] GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, and SCCF

ANNEXES:

- **A. CONSULTANTS TO BE HIRED FOR THE ENABLING ACTIVITY** WITH GEF **FUNDING**
- **B. OFP ENDORSEMENT LETTERS**
- **C. ENVIRONMENTAL AND SOCIAL SAFEGUARDS**
- **D. ACRONYMS AND ABBREVIATIONS**
- **E. SUPERVISION PLAN**
- **F. GEF APPROVED BUDGET**

ANNEX A: CONSULTANTS TO BE HIRED FOR THE ENABLING ACTIVITY WITH GEF FUNDING

Position Titles	*$/ Person Week**	*Estimated Person Weeks***	*Total*	*Tasks To Be Performed*
For Project Management				
Local				
Project coordinator	400	127.25	50,900	Day to day supervision and coordination of the project
Project Assistant	200	100.00	20,000	Financial management of the project and preparation of financial reports
Subtotal		227.25	70,900	
For Technical Assistance				
Local				
Consultant to assist with the preparation of the MIA and NAP	400	1351.50	540,600	Overall guidance on the MIA and NAP development and provide assessment reports to assist national teams to prepare the MIA assessment and inventory and NAP development
International				
Legal consultant to assist with the assessment of the legislation	2500	6.00	15,000	Technical support to develop national assessments and to identify and assess contaminated sites
Consultant to develop the mercury inventory using the UNEP toolkit	2500	12.00	30,000	Technical support to national project teams to develop a mercury inventory
Subtotal		18.00	45,000	
Total		1,597	656,500	

Justification for travel, if any: Consultants and project coordinator will travel troughout the country to develop the mercury inventory and conduct the national assessments.

ANNEX B: OFP ENDORSEMENT LETTERS AND NOTIFICATION

Annex C: Environmental and Social Safeguards Checklist

As part of the GEFs evolving Fiduciary Standards that Implementing Agencies have to address 'Environmental and Social Safeguards'. To fill this checklist:

- STEP 1: Initially assess E&S Safeguards as part of PIF development. The checklist is to be submitted for the CRC.
- STEP 2 : Check list is reviewed during PPG project preparation phase and updated as required
- STEP 3 : Final check list submitted for PRC showing what activities are being undertaken to address issues identified

UNEP/GEF Environmental and Social Safeguards Checklist

Project Title:	Development of Minamata Initial Assessment and National Action Plan for the Artisanal and Small Scale Gold Mining in DRC		
GEF project ID and UNEP ID/IMIS Number		***Version of checklist***	
Project status (preparation, implementation, MTE/MTR, TE)	Preparation/submission	***Date of this version:***	24/02/2016
Checklist prepared by (Name, Title, and Institution)	*Kevin Helps – Senior Programme Officer* *GEF Operations - UNEP DTIE Chemicals*		

In completing the checklist both short- and long-term impact shall be considered.

Section A: Project location

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	*Comment/explanation*
- Is the project area in or close to -		
- densely populated area	*N.A.*	The project will assess the situation with regard to mercury in DRC. It will not take direct action on the ground but inventories prepared to address priority issues will take socio-economic and environmental considerations into account.
- cultural heritage site	*N.A.*	
- protected area	*N.A.*	
- wetland	*N.A.*	
- mangrove	*N.A.*	
- estuarine	*N.A.*	
- buffer zone of protected area	*N.A.*	
- special area for protection of biodiversity	*N.A.*	
- Will project require temporary or permanent support facilities?	*N.A.*	
If the project is anticipated to impact any of the above areas an Environmental Survey will be needed to determine if the project is in conflict with the protection of the area or if it will cause significant disturbance to the area.		

Section B: Environmental impacts

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/ No/ N.A.	*Comment/explanation*

- Are ecosystems related to project fragile or degraded?	*N.A.*	The project will assess the situation with regard to mercury in DRC. It will not take direct action on the ground but assessments and mercury inventories will assist the country to identify priority issues in relation to human health and the environment, where socio-economic and environmental considerations will be identified
- Will project cause any loss of precious ecology, ecological, and economic functions due to construction of infrastructure?	*No*	
- Will project cause impairment of ecological opportunities?	*No*	
- Will project cause increase in peak and flood flows? (including from temporary or permanent waste waters)	*No*	
- Will project cause air, soil or water pollution?	*No*	
- Will project cause soil erosion and siltation?	*No*	
- Will project cause increase waste production?	*No*	
- Will project cause Hazardous Waste production?	*No*	
- Will project cause threat to local ecosystems due to invasive species?	*No*	
- Will project cause Greenhouse Gas Emissions?	*No*	
- Other environmental issues, e.g. noise and traffic	*No*	
Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.		

Section C: Social impacts

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	*Comment/explanation*
- Does the project respect internationally proclaimed human rights including dignity, cultural property and uniqueness and rights of indigenous people?	*Yes*	It will respect cultural aspects in DRC
- Are property rights on resources such as land tenure recognized by the existing laws in affected countries?	*N.A.*	
- Will the project cause social problems and conflicts related to land tenure and access to resources?	*N.A.*	
- Does the project incorporate measures to allow affected stakeholders' information and consultation?	*Yes*	The project will form a National Coordinating Committee, including all relevant stakeholders. This group will assess project progress at the national level and will propose if necessary corrective actions. Additionally, the Project Implementing Agency will provide technical feedback as assistance to countries

- Will the project affect the state of the targeted country's (-ies') institutional context?	*Yes*	A Mercury Management team will be established to deal with mercury within national chemicals efforts. In the medium to long-term it is expected that the national regulatory system will be revised to include provisions in compliance with the Minamata Convention.
- Will the project cause change to beneficial uses of land or resources?(incl. loss of downstream beneficial uses (water supply or fisheries)?	*No*	
- Will the project cause technology or land use modification that may change present social and economic activities?	*No*	The project might identify actions to change current practices towards the sound management of mercury.
- Will the project cause dislocation or involuntary resettlement of people?	*No*	
Will the project cause uncontrolled in-migration (short- and long-term) with opening of roads to areas and possible overloading of social infrastructure?	*No*	
- Will the project cause increased local or regional unemployment?	*No*	
- Does the project include measures to avoid forced or child labour?	*No*	
- Does the project include measures to ensure a safe and healthy working environment for workers employed as part of the project?	*No*	Those doing the inventory on the field will use protective equipment to avoid contamination with those chemicals.
- Will the project cause impairment of recreational opportunities?	*No*	
- Will the project cause impairment of indigenous people's livelihoods or belief systems?	*No*	
- Will the project cause disproportionate impact to women or other disadvantaged or vulnerable groups?	*No*	
- Will the project involve and or be complicit in the alteration, damage or removal of any critical cultural heritage?	*No*	
- Does the project include measures to avoid corruption?	*Yes*	Close supervision of the expenditures will be done at the national level by the EA and overall by UNEP as IA. Cash advances will be related to outputs and held until proper justification of the expenditures and budget plans are provided.

Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.

Section D: Other considerations

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	*Comment/explanation*
- Does national regulation in affected country (-ies) require EIA and/or ESIA for this type of activity?	*No*	
- Is there national capacity to ensure a sound implementation of EIA and/or SIA requirements present in affected country (-ies)?	*N.A.*	
- Is the project addressing issues, which are already addressed by other alternative approaches and projects?	*No*	
- Will the project components generate or contribute to cumulative or long-term environmental or social impacts?	*No*	No negative impacts
- Is it possible to isolate the impact from this project to monitor E&S impact?	*N.A.*	

ANNEX D: ACRONYMS AND ABBREVIATIONS

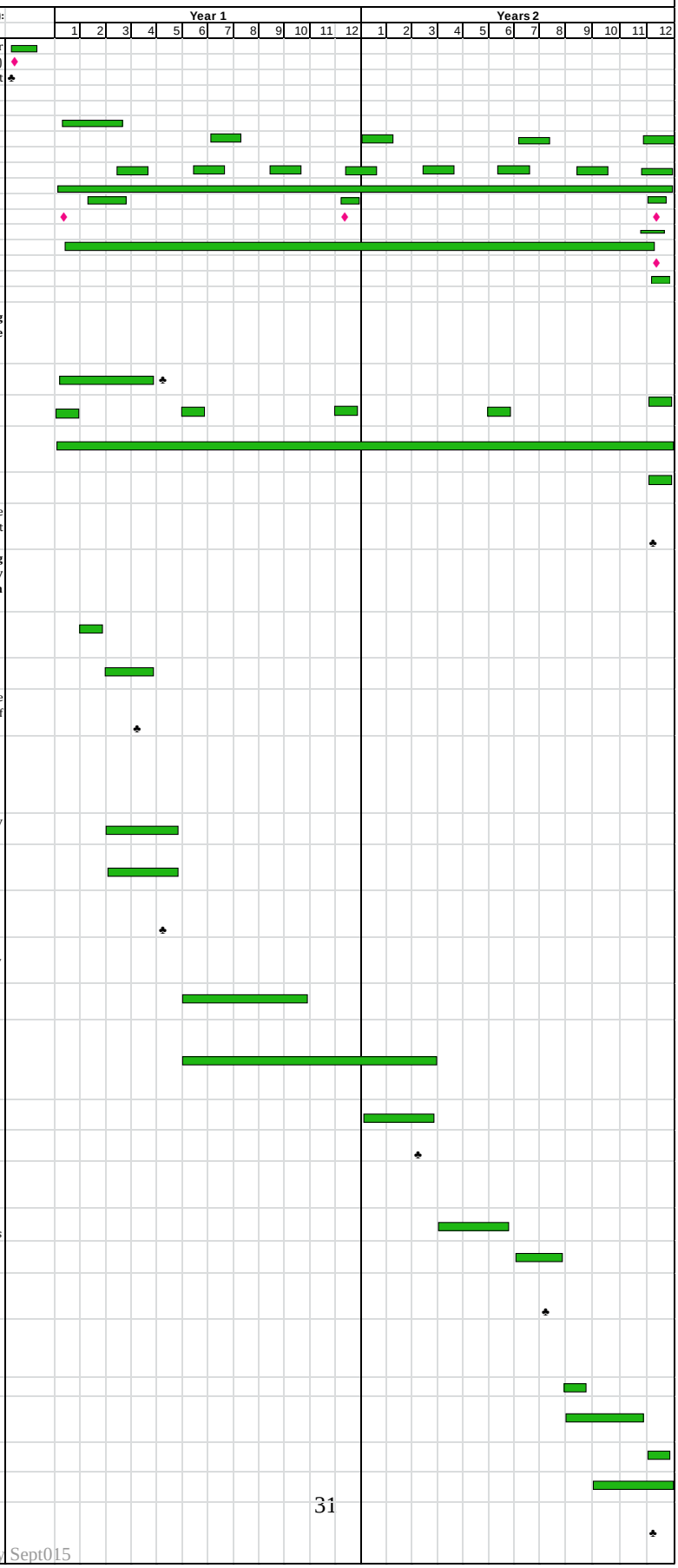
ASGM	Artisanal and Small-Scale Gold Mining
BRS	Basel, Rotterdam and Stockholm Conventions
CEEC	Centre of Evaluation, Expertise and Certification
DTIE	Division of Technology Industry and Economics
EA	Executing Agency
EIA	Environment Impact Assessment
EMP	Environmental Management Plan
GEF	Global Environment Facility
GEF SEC	Global Environment Facility Secretariat
GEF TF	Global Environment facility Trust Fund
IA	Implementing Agency
ICGLR	International Conference on the Great Lakes Region
INC	Intergovernmental Negotiating Committee
M&E	Monitoring and Evaluation
MEA	Multilateral Environmental Agreements
MIA	Minamata Initial Assessment
MONUSCO	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo
NAP	National Action Plan
NCM	National Coordination Mechanism
NGOs	Non-governmental Organizations

NPT	National project Team
MONUSCO	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo
OECD	Organisation for Economic Co-operation and Development
PAP	Priority Action Programme
PCDMB	Post-Conflict and Disaster Management Branch
PNEFEB	Forests and Nature Conservation National Programme
PMC	Project Management Cost
PPG	Project Preparation Grant
ROA	Regional Office for Africa
TE	Terminal Evaluation
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNITAR	United Nations Research and Training Institute
WHO	World Health Organization

ANNEX E: PROJECT SUPERVISION PLAN

Project Titte: Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small Scale Gold Mining in Democratic Republic of Congo (DRC)

Project executing partner: UNITAR



ANNEX F: BUDGET BY PROJECT COMPONENT AND UNEP BUDGET LINES

RECONCILIATION BETWEEN GEF ACTIVITY BASED BUDGET AND UNEP BUDGET BY EXPENDITURE CODE (GEF FINANCE ONLY)

Project No:														Total GEF funding:	**1,095,000**		
Project Name:				Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small Scale Gold Mining in Democratic Republic of Congo (DRC)										IA fee (9.5%):	**95,000**		
Executing Agency:				UNITAR										Project	**1,000,000**		
Source of funding (noting whether cash or in-kind):				GEF Trust Fund Cash													
				BUDGET ALLOCATION BY PROJECT COMPONENT/ACTIVITY										**ALLOCATION BY CALENDAR YEAR**			
				Component 1	Component 2	Component 3	Component 4	Component 5	Component 6								
				National information exchange, capacity building and knowledge generation	Strengthening of Coordination Mechanism and organisation of process	Assessment of the national infrastructure and capacity for the management of mercury, including national legislation	Development of a mercury inventory, a national overview of the ASGM sector, and strategies to identify and assess mercury-contaminated sites	Identification of challenges, needs and opportunities to implement the Minamata Convention on Mercury	Preparation, validation and endorsement of MIA and NAP, implementation of awareness raising activities and dissemination of results at the national level	Project Management	Monitoring and Evaluation	**Total**	Year 1	Year 2	**Total**
			UNEP BUDGET LINE/OBJECT OF EXPENDITURE	US$	US$	US$	US$			US$		US$	US$	US$	US$
10	**UMOJA CODES**		**PROJECT PERSONNEL COMPONENT**												
		1100	**Project Personnel**												
	1161	1101	Project coordinator							50,900		50,900	25,450	25,450	50,900
	1161	1102	Project assistant							20,000		20,000	10,000	10,000	20,000
		1199	Sub-Total	0	0	0	0			70,900		70,900	35,450	35,450	70,900
		1200	**Consultants w/m**												
	1161	1201	Nat'l consultants for national activities		20,000	40,000	365,000	30,000	85,600			540,600	60,000	480,600	540,600
	1161	1202	Int'l consultant for inventory training and development or review	0		15,000	30,000					45,000		45,000	45,000
		1299	Sub-Total	0	20,000	55,000	395,000	30,000	85,600	0		585,600	60,000	525,600	585,600
		1300	**Administrative Support**												
	1161	1301	Project Financial Officer							20,000		20,000	10,000	10,000	20,000
		1600	**Travel on official business (above staff)**												
	1561	1601	Travel Project coordinator/project staff		5,000	10,000	10,000	10,000	5,000			40,000	15,000	25,000	40,000
		1699	Sub-Total	0	5,000	10,000	10,000	10,000	5,000	20,000		60,000	25,000	35,000	60,000
		1999	**Component Total**	**0**	**25,000**	**65,000**	**405,000**	**40,000**	**90,600**	**90,900**		**716,500**	**120,450**	**596,050**	**716,500**
20			**SUB CONTRACT COMPONENT**												
		2100	**Sub contracts (UN Organizations)**												
	2261	2101	UN Sub-contract	50,000								50,000	50,000		50,000
		2199	Sub-Total	50,000								50,000	50,000	0	50,000
		2999	**Component Total**	**50,000**								**50,000**	**50,000**	**0**	**50,000**
30			**TRAINING COMPONENT**												
		3200	**Group training (field trips, WS, etc.)**												
	3302 and 3303	3201	Training on national inventory development (incl. Provision of materials)			15,000	50,000	15,000				80,000		80,000	80,000
		3299	Sub-Total	0	0	15,000	50,000	15,000		0		80,000	0	80,000	80,000
		3300	**Meetings/conferences**												
	3302 and 3303	3301	National project inception workshop		50,000							50,000	50,000		50,000
	3302 and 3303	3302	Final national lessons learned workshop									0		0	0
	3302 and 3303	3303	National Coordination Commitee meetings		7,000	7,000	7,000	7,000	7,000			35,000	17,500	17,500	35,000
		3399	Sub-Total	0	57,000	7,000	7,000	7,000	7,000	0	0	85,000	67,500	17,500	85,000
		3999	**Component Total**	**0**	**57,000**	**22,000**	**57,000**	**22,000**	**7,000**	**0**		**165,000**	**67,500**	**97,500**	**165,000**
40			**EQUIPMENT and PREMISES COMPONENT**												
		4100	**Expendable equipment (under 1,500 $)**												
	4261	4101	Operational costs	1,000	500	500	500	500	500			3,500	1,750	1,750	3,500
		4199	Sub-Total	1,000	500	500	500	500	500	0		3,500	1,750	1,750	3,500
		4200	**Non expendable equipment**												
	4261	4201	Computer, fax, photocopier, projector	1,000	1,000	1,000	1,000	1,000	1,000			6,000	3,000	3,000	6,000
	4261	4202	Software	500	500	500	500	500	500			3,000	1,500	1,500	3,000
		4299	Sub-Total	1,500	1,500	1,500	1,500	1,500	1,500	0		9,000	4,500	4,500	9,000
		4999	**Component Total**	**2,500**	**2,000**	**2,000**	**2,000**	**2,000**	**2,000**	**0**		**12,500**	**6,250**	**6,250**	**12,500**
50			**MISCELLANEOUS COMPONENT**												
		5200	**Reporting costs (publications, maps, NL)**												
	5161	5201	Summary reports, visualization and diffusion of results			4,000	4,000	5,000				13,000	4,000	9,000	13,000
	5161	5202	Preparation of final report						10,000			10,000		10,000	10,000
		5299	Sub-Total	0	0	4,000	4,000	5,000	10,000	0		23,000	4,000	19,000	23,000
		5300	**Sundry (communications, postages)**												
	5161	5301	Communications (postage, bank transfers, etc)	500	500	500	500	500	500			3,000	1,500	1,500	3,000
		5399	Sub-total	500	500	500	500	500	500	0		3,000	1,500	1,500	3,000
		5500	**Evaluation**												
	5581	5501	Independent Terminal Evaluation								20,000	20,000		20,000	20,000
	5161	5502	Independent Financial Audit								10,000	10,000		10,000	10,000
		5599	Sub-Total	0	0	0	0	0	0	0	30,000	30,000	0	30,000	30,000
		5999	**Component Total**	**500**	**500**	**4,500**	**4,500**	**5,500**	**10,500**	**0**	**30,000**	**56,000**	**5,500**	**50,500**	**56,000**
		TOTAL		**53,000**	**84,500**	**93,500**	**468,500**	**69,500**	**110,100**	**90,900**	**30,000**	**1,000,000**	**249,700**	**750,300**	**1,000,000**