



GEF-6 REQUEST FOR Chemicals and Wastes ENABLING ACTIVITY
PROPOSAL FOR FUNDING UNDER THE GEF Trust Fund

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PART I: PROJECT IDENTIFIERS

Project Title:	Minamata Initial Assessment for Kazakhstan		
Country(ies):	Kazakhstan	GEF Project ID: ¹	9701
GEF Agency(ies):	UNDP (select)	GEF Agency Project ID:	6048
Other Executing Partner(s):		Submission Date:	12/05/2016
GEF Focal Area (s):	Chemicals and Wastes	Project Duration (Months)	24
Type of Report:	(select) Minamata Initial Assessment	Expected Report Submission to Convention	12/05/2018

A. PROJECT FRAMEWORK*

Project Objective: Undertake a Mercury Initial Assessment (MIA) to enable the Government of Kazakhstan to determine the national requirements and needs for the ratification of the Minamata Convention and establish a national foundation to undertake future work towards the implementation of the Convention

Project Component	Project Outcomes	Project Outputs	(in \$)	
			GEF Project Financing	Confirmed Co-financing ²
1. Creation of an enabling environment for decision-making on the ratification of the Minamata Convention.	1.1 National decision making structure on mercury operational.	1.1.1 National Mercury Coordination/Consultation Mechanism (MCM) established.	115,000	
	1.2 Assessment of policy and regulatory framework, and institutional and capacity needs in regard to the implementation of the Convention's provisions.	1.2.1 Assessment report prepared on the existing and required policy and regulatory framework as well as institutional capacity to implement the Convention (incl. overview of existing barriers).		
	1.3 Awareness raised on the environment and health impacts of mercury (Hg)	1.3.1 Hg awareness raising activities conducted targeting decision makers and population groups at risk.		
	1.4 Importance of Hg priority interventions at national level raised through mainstreaming in relevant policies/plans	1.4.1 National Hg priority interventions (identified in the MIA Report – see 2.3) mainstreamed in national policies/plans.		
2. Development of the National Mercury Inventory and Minamata Initial Assessment (MIA)	2.1 National capacity built to undertake mercury inventories.	2.1.1 Capacity building and training conducted to commence the mercury inventory.	250,000	

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.

Report	2.2 National Mercury Inventory available.	2.2.1 Mercury Inventory conducted.		
	2.3 National MIA Report available.	2.3.1 National MIA Report for the ratification and implementation of the Convention prepared (including proposed policy/regulatory interventions; institutional capacity building; and, Implementation Plan & Priorities for Action).		
Subtotal			365,000	
Project Management Cost ³ (including US\$ 2,000 for DPS costs)			35,000	
Total Project Cost			400,000	

* 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 BY NAME AND BY TYPE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
Total Co-financing			

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
UNDP	GEFTF	Kazakhstan	Chemicals and Wastes	Mercury	400,000	38,000	438,000
Total GEF Resources					400,000	38,000	438,000

a) Refer to the [Fee Policy for GEF Partner Agencies](#)

PART II: ENABLING ACTIVITY JUSTIFICATION

<p>A. ENABLING ACTIVITY BACKGROUND AND CONTEXT (Provide brief information about projects implemented since a country became party to the convention and results achieved):</p>	<p>The Republic of Kazakhstan was unable to sign the Minamata Convention on mercury before October 9, 2014 when it was closed for signature. Nevertheless, the Government of Kazakhstan supports the goals of the Minamata Convention, aimed at protecting public health and the environment from anthropogenic emissions and releases of mercury and mercury compounds.</p> <p>Kazakhstan, having historical mercury contaminated sites in Karaganda and the Pavlodar region, is fully aware of the need for global regulation of mercury, which is considered by WHO as one of the ten most dangerous chemicals in the world. The Government of Kazakhstan is therefore planning to accede to the Convention. At</p>
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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.

national level negotiation processes to accede to the Convention have already started, and the Minamata Convention has also been taken up in the long-term plan (2017-2019) of the Republic of Kazakhstan to enter into international treaties.

Within the framework of the UNDP/GEF Project "*NIP Update, Integration of POPs into National Planning and Promoting Sound Healthcare Waste Management in Kazakhstan*" an initial mercury assessment (inventory) was conducted applying the UNEP Level 1 "*Toolkit for Identification and Quantification of Mercury Releases*". The inventory report was submitted to the Ministry of Energy (the state body in the field of environmental protection) for review and approval. The Level 1 inventory results indicated that yearly 577 tons of mercury are being released to the environment (base year: 2014). The main sources for these releases are the production of primary metals, followed by coal combustion and the use of mercury-containing products.

In the absence of detailed information that could be used as "input factors" in the Level 1 Toolkit, default input factors were used which resulted in rough release factors. In order to adopt and implement concrete measures at national level to reduce the release of mercury, the Government of Kazakhstan feels that more detailed data should be obtained and the country should pursue to undertake a level 2 inventory the soonest.

The same UNDP/GEF project also developed a draft National Action Plan for the reduction of mercury (National Implementation Plan/implementation of identified priorities).

As part of the above-mentioned UNDP/GEF project, the Ministry of Energy and the executive bodies of the project's pilot regions also signed Memoranda of Understanding (MoUs) to reduce the use of mercury-containing medical products, according to which health care facilities located in the pilot regions can no longer purchase mercury containing medical thermometers. Furthermore, the project also aims to demercurize 15,000 mercury containing medical thermometers collected from the project's pilot regions.

As part of another UNDP/GEF Project "*LGGE Promotion of Energy Efficient Lighting in Kazakhstan*" the collection of mercury-containing lamps from the general population was organized in Astana by placing special collection containers and undertaking an awareness raising campaign. Since then, the project's experiences have been replicated in several other cities (Almaty, Karaganda, Shaktinsk, Uralsk, Kyzylorda, Aktau).

In order to remediate "*historical*" mercury contaminated sites, the Karaganda and Pavlodar Oblasts implemented the following projects:

- "*Cleaning the River Nura of mercury*", implemented jointly with the International Bank for Reconstruction and Development (IBRD)
- "*Phase I of the Programme demercurisation chlor-alkali production in Pavlodar*". Since 2011 JSC "Caustic" produces chlorine and caustic soda mercury-free, applying the membrane method.
- Since 2005, the country monitors the environmental conditions in the Northern industrial area of Pavlodar, with a focus on mercury contaminated sites.
- At the same time, RSE "Kazhydromet" is conducting the national monitoring on the environmental condition of Nura River's basin.
- In 2014 the Government of the Republic of Kazakhstan sold more than 3 tonnes of mercury to LLP "Mercury Center of Kazakhstan" within the country's programme with the purpose to eliminate "legacy/orphan" hazardous waste. At present, the mercury is stored in an environmentally sound manner at a guarded warehouse, awaiting a decision of LLP "Mercury Center of Kazakhstan" on the mercury waste's fate.

Currently, work is also underway to ratify the Kiev Protocol on Pollutant Release and Transfer Registers (PRTR) and the Aarhus Convention on Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters.

On April 8, 2016, the Government of Kazakhstan approved an amendment (№ 491-V) to the Environmental Code to include PRTRs. During the law's pilot phase, a number of large-scale industrial enterprises have already taken part in the PRTR (<http://aarhus.kz/ru/1-13/>).

Finally, on April 28, 2016 (№ 506-V) legislative acts were added to the Transition of the Republic of Kazakhstan to the Green Economy" law, including environmental requirements for the handling of certain types of waste and their life cycle management, including mercury wastes. The amendment also stipulate the requirement to develop appropriate country specific standards.

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 proposed EA and the project framework, including envisaged activities, are entirely in line with the GEF Initial Guidelines for Enabling Activities for the Minamata Convention on Mercury (GEF/C.45/Inf.05).

The project's objective is to undertake a Mercury Initial Assessment to enable the Government of Kazakhstan to determine the national requirements and needs for the ratification of the Minamata Convention and establish a sound foundation to undertake future work towards the implementation of the Convention. As per the GEF Initial Guidelines (GEF/C.45/Inf.05) the Minamata Convention Initial Assessment for Kazakhstan will contain the following components:

a) Undertake an assessment of legislation and policies in regard to the implementation of the following (minimum) Convention provisions:

- Article 3;
- Article 5;
- Article 7 (including legislation and policy to cover formalization, worker health and safety);
- Article 8 (specifically in regard to relevant national air pollution/emission standards and regulations);
- Article 9 (specifically in regard to the ability to identify and categorize sources of releases).

The policy and legislative assessment will be undertaken through a review of existing legislation on chemicals management and identification of the gaps prevalent in association to issues of mercury. In addition the legislation review will assess the necessary steps for the establishment of a National Mercury Coordination/Consultation Mechanism (MCM).

b) Undertake a detailed Mercury Initial Assessment in the following categories:

- Stocks of mercury and/or mercury compounds and import and export procedures including an assessment of the storage conditions;
- Occurrence of mercury in local industrial processes and the source of supply of mercury, and its occurrence in waste streams;
- Sectors that may use mercury and the amount per year, including manufacturing processes, ASGM and mercury added products;
- Trade in mercury and mercury containing compounds.

c) Identify:

- Emission sources of mercury;
- Release sources of mercury to land and water.

d) Assess institutional and capacity needs to implement the Convention.

Institutional capacity of governmental institutions and agencies will be assessed to determine the capacity needs and gaps that exist for the implementation of the Convention and interventions to strengthen these institutions and capacities will be proposed. The assessment will also review the systems needed to report to the Convention under Article 21.

The institutional capacity gaps identified and the findings of the legislation and policy review will be used to formulate a number of priority actions, which will be included in the Mercury Initial Assessment Report (MIA Report). Proposed actions will be discussed and agreed upon among the key stakeholders through several rounds of discussions.

The project's key stakeholders are identified and elaborated as follows:

1. The Government of the Republic of Kazakhstan:

- The **Ministry of Energy of the Republic of Kazakhstan** provides overall coordination and support to the implementation of the Minamata Convention on Mercury at the national level, which includes: Establishment of national targets; Support for detailed mercury inventories; Organization and management of mercury inventories; Coordination with other key state bodies to work towards the phase-out of mercury; Preparation of government regulations and controls for the environmentally safe disposal/management of mercury and mercury wastes; Introduction of temporary and permanent measures to implement the Minamata Convention; Monitoring the state of the environment.

- The **Ministry of Healthcare and Social Development of the Republic of Kazakhstan**: Coordinates activities that address the use of mercury in the health sector; Supports the phase-out of mercury containing devices for which cost-effective alternatives exist; Provides advice on best management practices for mercury in the health sector; Oversees project components which are related to human health and exposure to mercury; Makes recommendations for further studies on mercury exposure.

- The **Ministry for Investments and Development of the Republic of Kazakhstan**: Encourages industrial enterprises to introduce best available practices, Licenses the export and import of hazardous wastes; and, Develops national standards.

- The **Ministry of National Economy of the Republic of Kazakhstan**: Coordination of activities within the framework of the Customs Union (Eurasian Economic Union); Control mercury in products; and, Monitor activities of health care organizations.

- The **Ministry of Finance of the Republic of Kazakhstan**: Carries out customs control.

- The **Ministry of Internal Affairs of the Republic of Kazakhstan**: Responds to natural and man-made emergencies, including mercury spills.

- The **Ministry of Agriculture of the Republic of Kazakhstan**: Is the state's regulatory body for the use of pesticides and water.

2. Civil Society Organizations and Non-Governmental Organizations (CSOs / NGOs): Will be engaged in the project to help required and important information (e.g. on environmental and health aspects and concerns of mercury releases and accumulation in the environment) reach local communities at risk, the general public and decision makers.

3. The Private Sector, the National Chamber of Entrepreneurs and other similar organizations: The project will involve private sector partners in various important aspects of the proposed project. Such private sector partners would include private/semi-private entities responsible for the release of mercury and mercury-containing waste production; Private medical facilities that use mercury-containing devices; Service providers involved in waste collection, recovery and recycling; Distributors and retailers of mercury and mercury-free consumer goods; Laboratories for testing and certification, etc.

Gender Dimensions:

Generally, three groups are most at risk from the effects of mercury. The unborn child, small children and people who are regularly exposed (chronic exposure) to high levels of mercury (such as populations that rely on subsistence fishing, people who are exposed through their occupations (e.g. mercury mining, ASGM) or those exposed to mercury containing products.

As mercury is passed on from the mother to the child (in utero and during breastfeeding), and fetuses and children are most susceptible to developmental effects from mercury, the MIA will pay particular attention to assessing national capacity to keep such risk groups safe.

Recommendations on how to address gender dimensions related to mercury and priority actions in this area will be highlighted in the project document and the MIA report.

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

(discuss the work intended to be undertaken and the output expected from each activity as outlined in Table A).

This project will be implemented using the National Implementation Modality (NIM). The Waste Management Department of the Ministry of Energy of the Republic of Kazakhstan will be responsible for the implementation of the project.

The proposed EA project has been organized into two components:

1. Creation of an enabling environment for decision-making on the ratification of Minamata Convention.
2. Development of the National Mercury Inventory and Minamata Initial Assessment (MIA) Report.

Component 1. Creation of an enabling environment for decision-making on the ratification of Minamata convention.

Outcome 1.1 National decision-making structure on mercury operational.

A national decision making structure on Mercury (Mercury Coordination/Consultation Mechanism - MCM) will be established in line with national capacities and existing structures, and practices and where feasible will build or expand on such similar structures established in support of other chemical MEAs.

Outcome 1.2 Assessment of policy and regulatory framework, and institutional and capacity needs in regard to the implementation of the Convention's provisions.

The work will begin with a review of the structures, institutions and policies and regulations already in place:

- Legislation on the governance of chemicals in general and the capacities of the key institutions will be the initial focus.
- Review of existing legislation and identification of gaps for meeting the Minamata Convention requirements and initial technical input on proposed amendments.
- Roles of ministries and institutions related to the key sectors where the mercury inventory might establish the presence of mercury use, emissions and/or releases are to be analyzed. These institutions will include, but not be limited to the Ministries responsible for the issues related to Health, Economy, Environment, Agriculture and Fisheries, Energy and Waste Management. Capacities of these institutions will be reviewed and the gaps for comprehensive management of mercury issues will be identified.

Identification of barriers that would hinder or prevent implementation of the Convention will be identified and recommendations will be made on how to remove such barriers.

Upon the identification of capacity and/or regulatory gaps (in relation to the Convention's obligations), these will be discussed and reviewed by the project's stakeholders. The results of these discussions will direct the work under Component 2, in particular related to the development of the MIA Report.

Outcome 1.3 Awareness raised on the environment and health impacts of mercury (Hg)

An awareness-raising plan will be developed and subsequently implemented to guide awareness raising activities among decision makers, the general public and population groups at risk on the human health and environmental effects of mercury and mercury compounds.

A stakeholder mapping exercise will be undertaken to identify the various profiles, relationships, concerns and expectations that need to be addressed through the awareness raising programme. This will help determine the type and content of mercury awareness activities to be implemented as part of the projects.

Outcome 1.4 Importance of Hg priority interventions at national level raised through mainstreaming in relevant policies/plans

The mainstreaming exercise will be led and supported by the MCM with the objective to include mercury priorities into national policies and development plans.

The mainstreaming exercise will also include a socio-economic study on the effects of mercury and alternatives in the relevant sectors that are identified in the mercury inventory, which can help inform priority setting for these sectors and support decision making to facilitate the mainstreaming of selected priorities.

Component 2. Development of the National Mercury Inventory and Mercury Initial Assessment Report.

Outcome 2.1 National capacity built to undertake mercury inventories.

National capacity to undertake the Mercury Inventory will be built through training, which will be conducted and facilitated by the project's international technical advisor. Training will be provided on data collection methodologies, reliability, credibility, data analysis, etc.

Training will be targeted towards a group of national technical experts who will conduct and develop the National Mercury Inventory. Training will also be targeted towards key government representatives and other national project stakeholders who need sufficient knowledge about conducting a Mercury Inventory to be able to review it and comment on it.

Outcome 2.2 National Mercury Inventory available.

The National Mercury Inventory will be prepared making use of the UNEP "*Toolkit for identification and quantification of mercury releases*", which is intended to assist countries to develop a national mercury releases inventory. It provides a standardized methodology and accompanying database enabling the development of consistent national and regional mercury inventories.

Throughout the data collection, analysis and preparation of the Mercury Inventory, the national expert team will be guided by an international technical advisor.

As outlined above, the UNEP Inventory Level 1 has already been conducted as part of the NIP update project, so the MIA will review the Inventory Level 1 assumptions and include all the relevant sectors which make up the UNEP Inventory Level 2.

This inventory will also include:

- Identification and assessment of the amounts of emission sources of mercury and release sources of mercury to land and water.
- Identification of old, historical sources of mercury contamination (such as abandoned mining sites).
- Identification of key sectors, municipalities, communities and other stakeholders affected by or involved with important Mercury sources and/or emissions.

Note: guidance on how to conduct inventories not captured in the UNEP Toolkit is available here: [file:///Users/hildavanderveen/Downloads/Table%20of%20Contents-Minamata%20Initial%20Assessment%20Report-4May2016%20\(final\).pdf](file:///Users/hildavanderveen/Downloads/Table%20of%20Contents-Minamata%20Initial%20Assessment%20Report-4May2016%20(final).pdf)

At the beginning of the assignment, the methodology and work programme for carrying out the inventory will be submitted to the Project's Steering Committee and agreed upon. In addition, the experts will formally present their reports to the Steering Committee for comments, views and approval during the period of the assignment.

	<p>After completion of the data gathering stage, a National Mercury Inventory, including significant sources of emissions and releases, as well as inventories of mercury and mercury compounds, will be prepared for review, approval and adoption by national stakeholders during a validation workshop.</p> <p><u>Outcome 2.3 National MIA Report available.</u></p> <p>Following the finalization of the project activities as envisaged under component 1 (1.1 – 1.4) as well as completion of the project activities 2.1 and 2.2, the national project team will prepare a National MIA Report.</p> <p>The MIA Report is to be prepared following the UNDP “<i>Minamata Initial Assessment Report – Suggested Structure and Contents</i> (May 2016)” which can be accessed through: file:///Users/hildavanderveen/Downloads/Table%20of%20Contents-Minamata%20Initial%20Assessment%20Report-4May2016%20(final).pdf</p>
<p><u>D. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT:</u></p>	<p>The cost-effectiveness of the project will be increased by ensuring synergies with relevant (on-going and planned) chemicals-related projects being implemented in Kazakhstan such as the following GEF funded projects: “<i>Elimination of POPs Wastes</i>”; “<i>NIP Update, Integration of POPs into National Planning and Promoting Sound Healthcare Waste Management in Kazakhstan</i>”; “<i>Lifecycle Management of Pesticides and Disposal of POPs Pesticides in Central Asian Countries and Turkey</i>”; and “<i>Global Project on the Implementation of PRTRs as a Tool for POPs Reporting, Dissemination and Awareness Raising for Belarus, Cambodia, Ecuador, Kazakhstan, Moldova and Peru.</i>”</p> <p>The project will involve national experts as much as possible to facilitate the collection of accurate information and to establish a high-responsiveness of the project to keep a steady momentum in project implementation with an international technical advisor providing succinct, specific input where local expertise gaps exist. Information dissemination with the general public and specific local communities will be made more effective by integrating the work through existing activities.</p>
<p>E. DESCRIBE THE BUDGETED M&E PLAN:</p>	<p>Project monitoring will be conducted in accordance with established UNDP and GEF procedures and will be provided by the project team and the UNDP Country Office (UNDP-CO) with support from the UNDP/MPU Chemicals team. This will be done through project implementation reviews, and quarterly review reports.</p>
<p>F. EXPLAIN THE DEVIATIONS FROM TYPICAL COST RANGES (WHERE APPLICABLE):</p>	<p>N/A</p>

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)
MR. GANI SADIBEKOV	VICE-MINISTER OF ENERGY OF THE REPUBLIC OF KAZAKHSTAN	MINISTRY OF ENERGY OF THE REPUBLIC OF KAZAKHSTAN	12/02/2016

B. CONVENTION PARTICIPATION

CONVENTION	DATE OF RATIFICATION/ ACCESSION (mm/dd/yyyy)	NATIONAL FOCAL POINT	
UNCBD	09/06/1994	MR. KAIRAT USTEMIROV	
UNFCCC	05/17/1995	MRS. GULMIRA SERGAZINA	
UNCCD	07/09/1997	MR. KAIRAT USTEMIROV	
STOCKHOLM CONVENTION	11/09/2007	MR. ZHAN NURBEKOV	
	DATE SIGNED (MM/DD/YYYY)	NATIONAL FOCAL POINT	DATE OF NOTIFICATION UNDER ARTICLE 7 TO THE MINAMATA CONVENTION SECRETARIAT
MINAMATA CONVENTION	NOT YET		

C. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies ⁴ and procedures and meets the standards of the GEF Project Review Criteria for (select) Enabling Activity approval in GEF 6.					
Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	E-mail Address
Adriana Dinu, UNDP – GEF Executive Coordinator		12/05/2016	Mr. Jacques Van Engel Director UNDP MPU/Chemicals	212-906-5782	jacques.van.engel@undp.org

⁴ GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, and SCCF