

GEGEF-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:	Development of Minamata Initial Assessment and Updating of National Action Plan for Artisanal and Small Scale Gold Mining in Kyrgyzstan		
Country(ies):	Kyrgyzstan	GEF Project ID: ¹	
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01466
Other Executing Partner(s):	State Agency on Environment Protection and Forestry under the Government of Kyrgyz Republic (SAEPF)	Submission Date:	September 21, 2016
GEF Focal Area (s):	Chemicals and Wastes	Project Duration (Months)	24
Type of Report:	National Action Plan	Expected Report Submission to Convention	24 months after receipt of the first cash advance by participating country.

A. PROJECT FRAMEWORK*

¹ Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submission.

Project Outcome: Minamata Initial Assessment and National Action Plan for the ASGM sector developed and endorsed by the national government and key stakeholders facilitating the ratification and early implementation of the Minamata Convention in Kyrgyzstan.			
Project Objective: Ratification and early implementation of the Minamata Convention contributes to the protection of human health and the environment from the risks posed by unintentional and intentional emissions and releases, unsound use and management of mercury in Kyrgyzstan.			
Project Components	Project Outputs	(in \$)	
		GEF Project Financing	Confirmed Co-financing ²
1. Global technical support for MIA and NAP development	1.1 Training and guidance provided to relevant national stakeholders in Kyrgyzstan to develop a MIA and develop and implement a NAP as per Annex C of the Minamata Convention	61,800	
2. Minamata Initial Assessment (MIA) and National Action Plan (NAP) development	2.1 Identified and strengthened national coordination mechanisms and stakeholder advisory groups that will guide the project implementation 2.2 National institutional and regulatory framework and national capacities on mercury management assessed 2.3 National inventories of mercury sources and releases and strategy for the identification of mercury contaminated sites developed 2.4 Challenges, needs and opportunities to implement the Minamata Convention assessed and recommendations to ratify and implement the Minamata Convention developed 2.5 Draft NAP developed as per Annex C of the Minamata Convention	523,364	0
3. MIA validation and NAP endorsement and submission to the Minamata Secretariat	3.1 Technical support provided to participating countries to facilitate the MIA validation and NAP endorsement and submission to the Minamata Secretariat.	31,200	
Subtotal		616,364	0
Project Management Cost ³		63,636	0
Monitoring and Evaluation		20,000	0
Total Project Cost		700,000	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 BY NAME AND BY TYPE

² Co-financing for enabling activity is encouraged but not required.

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	Kyrgyzstan	Chemicals and Wastes	Mercury	700,000	66,500	766,500
Total GEF Resources					700,000	66,500	766,500

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. The draft guidance was introduced to the INC 7 as an annex of the document UNEP(DTIE)/Hg/INC.7/17. It was agreed that the guidance in its current form would be used to assist countries in the preparation of their action plans in the period between the current session and the first meeting of the Conference of Parties. This project follows the guidelines introduced in the INC 7 and will seek for comments from Governments to improve the guidance with a view to presenting a revised version of it for consideration and possible adoption by the Conference of the Parties at its first meeting.

The GEF Council in January 2015 adopted the INC 6 request to extend the eligibility for funding for enabling activities to non-signatories to the Convention, provided that any such State is taking meaningful steps towards becoming a Party. Since 2013, Lao PDR has taken the following significant steps towards the ratification of the Minamata Convention:

- ✓ Participation in the sub-regional workshop for Central and Eastern European and Central Asian Countries in Support for the Ratification and Early Implementation of the Minamata Convention on Mercury from 18 to 20 February 2015 in Minsk, Belarus;
- ✓ Participation in Central and Eastern European and Central Asia Regional Workshop in Support for the Ratification and Effective Implementation of the Minamata Convention on Mercury from 9 to 10 April 2015 in Bratislava, Slovakia.

The project also contributes to the achievement of the expected accomplishment A under the UNEP biennial Programme of Work (PoW) 2016-2017 “countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements”. The MIA and NAP development contributes in particular to the PoW output 2 “secretariat support provided to the intergovernmental negotiating committee to prepare a global legally binding instrument on mercury (the Minamata Convention on Mercury) during the interim period, prior to its entry into force”. Through this project UNEP will provide national stakeholders with the policy and technical instruments needed to ratify the Minamata Convention and will strengthen the national institutional capacity to its early implementation. It will also apply and comment the NAP guidance as required by the INC 7. The outcomes of this project are also aligned with the objectives of the proposed PoW and budget for the biennium 2018-2019 approved by UNEA in 2016, expected accomplishment A, policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and the Strategic Approach to International Chemicals Management (SAICM). The project will contribute to the indicator of achievement by increasing the number of countries that have used UNEP guidance in developing an Action Plan that promotes sound mercury management and implement the Minamata Convention.

Mercury pollution is a serious concern in the Commonwealth of Independent States and European countries (CIS) region. The 2013 UNEP Global Mercury Assessment indicates that the the CIS and European regions accounts 115 tons of emissions of mercury to the atmosphere while mercury use in Artisanal and Small-scale Gold Mining (ASGM) accounts for 37% of the global emissions of mercury to the atmosphere while mercury use in Artisanal and Small-scale Gold Mining (ASGM) accounts for 37% of the total emission of mercury from anthropogenic sources⁴. ASGM is still widely practiced in Latin American countries but its real magnitude has not been determined in detail. Kyrgyzstan has indicated that availability of data is a major challenge to design adequate strategies for mercury reduction.

SDGs in Kyrgyzstan

The NAP development and future implementation contribute to achieve the following Sustainable Development Goals in Kyrgyzstan:

- ✓ Sustainable Development Goal (2) ensures healthy lives and promotes well-being for all at all ages. The NAP has strategies to prevent the exposure of vulnerable populations to mercury emissions and releases from the ASGM sector and consequently contributes to reduce the number of deaths and illnesses from hazardous chemicals (target 3.9). Indirectly, the positive impacts over population’s health also contribute to the Sustainable Development Goal (1) - end poverty in all its forms everywhere. Many ASGM miners are trapped in a vicious cycle of poverty due, among others to the burden with the costs associated with the deterioration of the miner’s health (target 1.2);

⁴ <http://www.unep.org/PDF/PressReleases/GlobalMercuryAssessment2013.pdf>

- ✓ Sustainable Development Goal (8) promotes inclusive and sustainable economic growth, employment and decent work for all. The NAP will identify the steps needed to facilitate the formalization of the ASGM sector and will develop strategies to promote the reduction of emissions releases, and exposure to mercury in the ASGM sector. These measures will improve the working conditions of miners, in particular through the elimination of worst practices of mercury use in ASGM and a broader access to mercury-free methods (target 8.3, 8.4);
- ✓ The project will also indirectly contribute to achieve the Sustainable Development Goal (5) achieve gender equality and empower women and girls. This will be done through the collection of disaggregated data by sex, the participation of stakeholders from both sexes in the consultations and the inclusion of gender sensitive indicators in the project logical framework. As part of the NAP, strategies to prevent exposure of vulnerable populations, particularly children and women of child-bearing age, especially pregnant women, to mercury use in ASGM will be developed. This strategy will contribute to the development of national sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels (target 5c);
- ✓ Sustainable Development Goal (6) – ensure availability and sustainable management of water and sanitation for all. The NAP will contribute in particular to achieve the target 6.3 improving water quality by reducing the release of hazardous chemicals in the ASGM areas;
- ✓ Sustainable Development Goal (12) – ensure sustainable consumption and production patterns. The project will directly contribute to achieve the target 12.4 under this goal that is to achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment. The NAP contributes to the environmentally sound management of mercury through the early implementation of the Minamata Convention.

National background information

LEGAL FRAMEWORK

Kyrgyzstan is on the way to sign the Minamata Convention on Mercury. It is currently under the process of review and consideration of ratification of this important Convention.

There are no specific laws or regulations for the management of mercury in Kyrgyzstan. There is a generalized framework for product/chemical, toxic and hazardous substances, which can include mercury.

Import/Export: The Law of Health, Law on Environment Protection Governmental Decree on Procedure of State Registration of Potentially Toxic Chemicals has the power to regulate, authorize and record imports of products of health and environment interest, including pharmaceuticals, drugs, devices and medical equipment and dental amalgams with mercury.

In 2001, the Government of Kyrgyzstan adopted decision “On protection measures of the environment and public health from the adverse effects of certain hazardous chemicals and pesticides” issued by the Ministry of Emergency Situation and Ecology (now State Agency on Environment Protection and Forestry under the Government of Kyrgyz Republic) prohibiting or limiting registration and marketing of extremely toxic chemicals and pesticides, including mercury compounds, including inorganic mercury compounds.

The General Environmental Law prevent the import into the country of products dangerous to the ecosystem and human health and can justify the adoption of administrative decisions to regulate products containing mercury such as: lamps or light bulbs, electrical equipment, equipment measurement, batteries. Fluorescent lamps and others also have imports

regulated under the Replacement Act to Incandescent Bulbs Fluorescent. This instrument can be revised and updated to incorporate a holistic management approach that includes lamps with allowable concentration of mercury and lamps disposal with a focus on Extended Producer Responsibility (EPR).

Transport: Governmental Decrees on “Regulations for the carriage of dangerous goods by road” and “On implementation of the Basel Convention on Control of Transboundary Movements of Hazardous Wastes and their Disposal” provides that transport companies should give users the necessary facilities for safe transport of hazardous or toxic substances prior to the service and during it. Mercury and mercury containing products specified in this code. These substances have labels or safety data sheets and required control measures.

Regulations on transporting of dangerous goods and hazardous waste regulates the transport of dangerous goods according to the “United Nations Recommendations on the Transport of Goods and road Hazardous Waste”.

Use: Legal acts of Kyrgyz Republic in the field of public health determines which type of profession and activity are unhealthy and dangerous, also, what are the substances whose production is prohibited, restricted or subjected to conditional use. In general, activities and hygiene, health and safety measures in industrial facilities are subject to these rules. The Code also refers to professional or occupational diseases, as mercury poisoning, that affects particularly Miners working in mercury mines and other handlers of the same metal.

The Health Code covers the use of pharmaceuticals, drugs, devices and medical equipment and dental amalgams. This instrument defines the power to regulate, authorize and record the production, storage, handling and trade of dangerous substances and products of health interest, including mercury products. It also covers the monitoring of concentrations of hazardous or toxic substances in household products such as lamps or fluorescent bulbs, medicines sold without prescription as merthiolate and others.

Similarly, the Regulation on Environmental Impact Assessment (EIA) regulates the environmental licensing process for the operations of the chemical industry, mining and production of medical equipment and pharmaceutical preparations.

The General Law of the Environment controls the manufacturing, formulation, sale, storage and use, as well as final disposal of solid and liquid waste from any source (toxic), including mercury-containing products. ASGM regulation is contemplated in two laws, the Mining Law and EIA Regulation. Both regulate the environmental licensing process for mining operations.

Final Disposal: various laws and/or regulations regulate the final disposal of solid waste, mercury and mercury-containing products. Among them: General Environmental Law, Health Code, the Regulations for the Sanitary Control of Products, Law on Production and Consumption Wastes, Municipalities Law and Regulations for Environmentally Sound Management of Hazardous Chemicals in Kyrgyzstan.

Mercury Anthropogenic Emissions and Releases to the atmosphere and water bodies are regulated by the Law on Atmosphere Air and the Technical Hygienic Standards of Water Discharge in residual bodies, Stocks and Sewerage.

MANAGEMENT OF MERCURY IN KYRGYZSTAN

The Ministry of Economy registers data on the volumes of mercury and mercury-containing products imported/exported in Kyrgyzstan. The purpose is to identify the source, imported volumes, user industries and other data of interest.

The National Committee of Statistics concluding statistics reports based on import tariff headings of products, established by the World Customs Organization (WCO). The data collection on the base of mercury contain in products is not provided.

Regarding the use of mercury, it is known that in Kyrgyzstan mercury is still used in the health and production sectors. In particular, the public sector still uses products with mercury in medical equipment in hospitals; laboratories and other facilities have considerable amounts of mercury. Furthermore, mercury is used as a preservative in vaccines.

In Kyrgyzstan there is also ASGM activities in different parts of the country. According to the unofficial data almost 3000 people included into this mining activity. Hence, in 2016 Kyrgyzstan notified the Minamata Secretariat that the country has more than insignificant mercury emissions from the ASGM sector. It is of utmost importance to evaluate the magnitude of the problem associated with mercury use in the ASGM sector and develop a National Action Plan according to the requirements of article 7 of the Minamata Convention.

Kyrgyzstan doesn't have chlor-alkali production or use mercury catalysts to produce chemical substances (MCV or PVC). On the other hand, it is recognized that there are sources of unintentional release of mercury from the industrial, particularly from cement production, mineral extraction and refining, power generation from coal. It is also recognized that in Kyrgyzstan mercury is produced for the export.

As for the final disposal of mercury containing products, municipal solid waste are dumped uncontrollably, sometimes in depressions or streams near residential areas, or removed by outdoor burning. Toxic emissions and effluents reach groundwater and other water bodies located nearby the burning area.

In some places periodic cleaning of waste accumulated in piles of garbage outdoors, using backhoes and open trucks, create a serious risk of exposure to mercury emissions. Elsewhere the waste is burned outdoors; emitting toxic fumes with this element and other volatile compounds.

SPECIFIC ACTIONS ON MERCURY MANAGEMENT IN KYRGYZSTAN

UNDP has been working in Khaidarkan since 2009 (in partnership with UNEP) to support the implementation of the Country Development Strategy. The strategy aims specifically at improving livelihoods and promoting sustainable development through an integrated local development approach. UNDP with funding from the U.S. State Department and UNEP have been engaged in a programme called "creating alternative job opportunities in Khaidarkhan". The UNDP programme was aimed at creating alternative job opportunities, supporting economic growth in Khaidarkan by opening, enlarging and extending the range of business opportunities and creating alternative employment opportunities for local residents through, primarily, training and small grants.

During the years 2008-2009 UNEP and UNITAR implemented the project "Development of an Action Plan to address primary mercury mining in Kyrgyzstan". The project aimed at assessing the risks associated with primary mercury mining in the Khaidarkan area, Batken Oblast, Kyrgyz Republic, by assessing the mercury mining, smelting and refining operations, including its environmental, technical and socio-economic aspects. The project developed an action plan to address identified gaps and challenges including prioritized options for the possible replacement of the present mercury mining operations in the area by less environmentally harmful initiatives. The developed plan was not endorsed by the Kyrgyz government in 2011. UNITAR was engaged (in 2012-2013) in two other projects: one on the implementation of the Global Harmonized System (GHS) funded by the SAICM Quick Start Programme Trust Fund (QSPTF); and one on integrated chemicals and waste management to support SAICM implementation (funded by Switzerland).

Zoi Environment Network, a Swiss NGO and a member of the UNEP's Global Mercury Partnership, has also been engaged in various issues related to chemicals management and access to environmental information. Zoi Environment Network jointly with Kyrgyz counterparts (Kyrgyz Mining Association, Osh Aarhus Environmental Information Centre, Alex Stewart Lab) have supported UNEP and UNITAR with technical expertise, ground work and coordinating local activities on environment and health risks identification and mitigation, identification of alternative options to primary mercury mining and information support.

In 2013, the GEF project entitled “Reducing global and local environmental risks from primary mercury mining in Khaidarkan, the Kyrgyz Republic” (GEF ID 4985) was approved. This project is implemented by UNEP and the State Agency on Environment Protection and Forestry under the Government of Kyrgyz Republic. The aim of the project is to protect human health and the environment, identify and promote economic alternatives to mercury mining and prepare for remedial and preventive measures at areas identified as high-risk priorities.

The MIA and NAP development will build on the lessons learned and outcomes of this projects.

ASGM

ASGM is among the main sectors releasing mercury in Kyrgyzstan, and is also an important source of income, especially in rural communities, where alternative livelihoods are limited. Commonly, large amounts of mercury are used to extract gold, often in very unsafe conditions. Despite low levels of gold production at the individual level, the large number of miners involved makes its total production significant in a national scale. As the demand for gold continues to rise due to its high price in the market, it is expected that the use of mercury will continue to increase, as it is the dominant and preferred method among miners (easy to use, inexpensive and easily available). The Government of Kyrgyzstan has recognized that the application of Mercury in this sector represents considerable risks to human health and the environment.

The use of mercury for the extraction of gold in ASGM in Kyrgyzstan currently is not prohibited. Moreover, artisanal miners don't receive support to adopt better practices aimed at reducing or eliminating mercury use in this activity. In Kyrgyzstan, several challenges impede national Environmentally Sound Management of Mercury: lack of reliable data on imports of mercury and lack of legislation allowing the elimination of mercury use in the ASGM sector, among other important aspects that must be addressed.

The Minamata Convention is in agreement with the Constitution of the Republic of Kyrgyzstan when it states that the State has an obligation to protect the health and the environment for its residents. The General Environmental Law stipulates that the State has the responsibility to take all measures necessary to prevent or correct environmental pollution.

In view of the above, the State Agency on Environment Protection and Forestry under the Government of Kyrgyz Republic recognizes the importance of the Minamata Convention on Mercury, due to the high use of mercury in mining processes, and the resulting exposure to the national environment

Table 1: Three major sources of mercury emissions in Kyrgyzstan, according to the Technical Background Report for the Global mercury Assessment 2013. Data from 2010.⁵

Sector Code	Activity Code	Estimate (min)	Emission estimate (Kg)	Estimate (max)
Non-ferrous metal production: Mercury	Production of Hg (primary sources)	984.375	1,687.500	2,559.375

⁵ <http://www.amap.no/documents/doc/technical-background-report-for-the-global-mercury-assessment-2013/848>

Artisanal and small-scale gold production		937.500	3,750.000	6,562.500
Stationary fossil fuel combustion in industrial uses: Coal	Combustion of brown coal/lignite	55.467	88.043	125.901

Table 2. Mercury consumption in ASGM and calculation of associated emissions⁶

Country	Quality of data ⁷	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					
Kyrgyzstan	2	1.9	7.5	13.1	50	50	0.50	2004	3.750

B. ENABLING ACTIVITY GOALS, OBJECTIVES, AND ACTIVITIES

The goal of the MIA and NAP development is to contribute to the implementation of the Minamata Convention through the reduction of the risks posed by the unsound use, management and releases of mercury, in particular in the ASGM sectors. This goal contributes to the GEF focal area strategy 1 of the chemicals waste area which is “*Develop the enabling conditions, tools and environment to manage harmful chemicals and wastes* ».

Project objective: Ratification and early implementation of the Minamata Convention contributes to the protection of human health and the environment from the risks posed by unintentional and intentional emissions and releases, unsound use and management of mercury in Kyrgyzstan.

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

Component 1: Global technical support for MIA and NAP development

This project component will strengthen information exchange between stakeholders regionally/globally. As part of this, Kyrgyzstan will receive additional training and support to develop its MIA and NAP. Kyrgyzstan will have access to technical expertise and tools to facilitate the development of the MIA and NAP and information exchange, developed within the framework of the UNEP Global Mercury Partnership. The technical expertise and tools provided will respond directly to country needs identified. With this additional support Kyrgyzstan will be able to obtain feedback and rapid response to its queries on the development of the MIA and NAP and will also make full use of the existing capacities and expertise in the region and globally. Lessons learned identified through this project, in particular during the final lessons learned workshop will also be made available. It will identify opportunities for regional/global cooperation and synergies between countries working on their MIAs and NAPs.

⁶ <http://www.amap.no/documents/doc/technical-background-report-for-the-global-mercury-assessment-2013/848>.

⁷ Class 1 = presence/absence, no quantitative information, error can be greater than 100% (25 countries); class 2 = some indication of quantity of Hg 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 for whole ore amalgamation = 0.25 (1/4).

Expected Outputs and planned activities:

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

1.1.1 Development of a roster of experts and collection of tools and methodologies for MIA and NAP development;

1.1.2 Capacity building trainings and assistance with baseline inventories;

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

1.1.4 Final national workshop to identify lessons learned and opportunities for future cooperation in the NAP implementation. A gender session will be included in the workshop agenda.

Component 2: Minamata Initial Assessment (MIA) and National Action Plan (NAP) development, validation and endorsement

Kyrgyzstan has a national coordination mechanism called "National Commission for Environmentally Sound Management of Chemicals" (NCM). This coordination mechanism does the intersectoral coordination among the sectors involved in the ESM of chemicals and recommends actions to be taken by decision makers at the political level to ensure success in this area. The NCM will coordinate and guide the implementation of the project while strengthening the synergies between institutions on management of chemicals, including mercury. Sectors that will participate in this process as part of the National Coordination Mechanism include representatives from health, environment, labor, finance, economy, industry, mining and energy sectors.

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. The SAG will include relevant members of civil society with experience and knowledge in the national mercury uses and releases. A gender specialist will be identified in the country to participate actively in the NCM for mercury. The NCM will engage with the SAG 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 document⁸ for NAP development. It will be complemented by relevant stakeholders of other sectors during the inception workshop. It is expected that these broader consultations will enhance stakeholder's commitment to the development of the MIA and the NAP and gain political support for the ratification and early implementation of the Minamata Convention on Mercury.

After the establishment of the NCM and SAG the project will proceed with the assessment of national capacities on mercury management (technical, administrative, infrastructure and regulatory) taking into account the obligations under the Minamata Convention. 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

⁸ www.unep.org/chemicalsandwaste/NationalStrategicPlan/tabid/53985/Default.aspx.

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.

Considering the specific challenges of the ASGM sector, the national assessment will be complemented by a national overview of the ASGM sector including 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 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.
- Policy approaches toward the ASGM sector carried out in Lao PDR, and surrounding countries in order to analyse the success or failure of such approaches to date such that the NAP policy approaches reflect lessons learned.

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

For the NAP development, Kyrgyzstan will apply the Artisanal Gold Council methodology to develop the inventory of mercury releases from the Artisanal and small-scale gold mining sector (Article 7).

For all the other sectors, Kyrgyzstan will develop a mercury inventory using the UNEP Toolkit for Identification and Quantification of Mercury Releases Level 2 that was revised in 2013. More specifically, the mercury toolkit will assist Kyrgyzstan 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.

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.

Taking into consideration the national assessments developed, this project component will identify the challenges, needs and opportunities to implement the Minamata Convention on ¹¹ priority sectors. It will prepare a list of 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.

Finally, the draft MIA is developed. The draft NAP is also developed according to Annex C of the Minamata Convention.

Expected Outputs and planned activities:

2.1 Identified and strengthened national coordination mechanism and stakeholder advisory group that will guide the project implementation

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

- a) Develop ToR for the National Coordination Mechanism and Stakeholder Advisory Group;*
- b) Develop a strategy for awareness raising aimed at national stakeholders throughout the project;*
- c) Identify key stakeholders and assign roles.*

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

2.2 National institutional and regulatory framework and national capacities on mercury management assessed.

2.2.1 Assess key national stakeholders, their roles in mercury management and institutional interest and capacities;

2.2.2 Analyse the regulatory framework, identify gaps and assess the regulatory reforms needed for the ratification and early implementation of the Minamata Convention in Kyrgyzstan.

2.3 National inventories of mercury sources and releases and strategy for the identification of mercury contaminated sites developed.

2.3.1 Develop a qualitative and quantitative inventory of all mercury sources, emissions and releases;

2.3.2 Develop a national strategy to identify and assess mercury-contaminated sites.

2.4 Challenges, needs and opportunities to implement the Minamata Convention assessed and recommendations to ratify and implement the Minamata Convention developed

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

2.4.2 Develop a report on recommendations to ratify and implement the Minamata Convention on Mercury.

2.5 Draft NAP developed as per Annex C of the Minamata Convention.

2.5.1 Development of the national overview of the ASGM sector according to the NAP guidance by local teams;

- 2.5.2 *Organize national workshops to develop the draft NAP and a roadmap for NAP endorsement and submission to the Minamata Secretariat.*

Component 3: MIA validation and NAP endorsement and submission to the Minamata Secretariat

This project component will build on the national consultations initiated in the activity 1.1.3 and support participating countries in the process of endorsement and official submission of the NAP to the Minamata Secretariat. Under Article 7 of the Minamata Convention, after developing its NAP, a country must “submit its National Action Plan to the Secretariat no later than three years after entry into force of the Convention for it or three years after the notification to the Secretariat, whichever is later”. The final MIA will also be validated and 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 3.1.4.

3.1 Technical support provided to participating countries to facilitate the MIA validation and NAP endorsement and submission to the Minamata Secretariat.

3.1.1 *Draft and validate MIA Report;*

3.1.2 *Design and conduct national workshops targeting vulnerable groups and miners to complete the final NAPs and to expose the formulated NAPs on ASGM to public consultation and endorsement;*

3.1.3 *Design and conduct national workshops targeting appropriate national decision makers that are decisive to NAP endorsement and official submission to the Minamata Secretariat;*

3.1.4 *Develop a national MIA and NAP awareness raising and dissemination and outreach strategy.*

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) **UNEP Regional Office for Europe (ROE),** which will identify opportunities for regional synergies and areas of cooperation. Some examples may include: coordination of regional information exchange and provision of documents and inventories from other countries in the region, identification of regional experts, etc. The UNEP sub-regional office for Central Asia based in Kazakhstan will be particularly involved.

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.

The following table outlines key national stakeholders in Kyrgyzstan, 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 in Kyrgyzstan (preliminary list to be strengthened during the national inception workshops)

Name of stakeholder/Organization	Responsibility/expertise
Ministries and government agencies	
State Agency on Environment Protection and Forestry under the Government of Kyrgyz Republic	Environmentally sound management of chemicals; Analysis of chemicals in environmental and biological environmental licensing; Management of household and hazardous waste;
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	Negotiation processes for legally binding instruments; Signature and ratification monitoring of legally binding instruments.
State Agency on Geology and Mineral Resources under the Government of Kyrgyz Republic	Regulates mining in Kyrgyzstan.
Ministry of Economy	Regulates commercial and economic activities in the country.
National Statistics Committee	Records the entry and exit of goods to Kyrgyzstan through automated customs revenue.
State Inspectorate on Technical and Environmental Safety	Inspections of chemical storage and work safety.
National Academy of Science	Consulting and expertise on topics of interest.
Kyrgyz Business Association	Encourages and promotes joint actions of the National Private Enterprise. Contribute to economic and social development of Kyrgyzstan through responsible business hat promotes the development and competitiveness of Kyrgyzstan within the framework of the market economy, the rational and

	sustainable use of natural resources and efficiency and probity exercise of democratic institutions.
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.
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 Interior of Kyrgyz republic and State Customs Service	Enforcement.
Gold buying agents, gold traders, mercury traders	Understanding of gold market dynamics, and barriers to formalization.
Waste management specialists	Expertise related to available mechanisms to handle mercury wastes generated by ASGM 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.

Table 4: suggested national stakeholders for the national advisory groups

ASGM Stakeholder Groups	Contribution to Development of NAPs - To be customized by each country
Miner organizations (e.g., cooperatives and/or associations)	Understand how to organize miners.
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 plan within ASGM communities.
Indigenous groups	Represent vested interests in ASGM operations in indigenous areas.
Technical expert in gold mining	<ul style="list-style-type: none"> • Understanding of technical alternatives to mercury use; • Provide training opportunities.
Environmental and human health organizations	Represent vested interests in reducing environmental impacts of ASGM and the risks of exposure to the public.
Academic and research organizations	<ul style="list-style-type: none"> • Provide valuable information and conduct future research; • Provide training opportunities from ASGM specialists.
Legal professionals	Understand national legislation as it relates to ASGM including relevant regulation on mercury use and trade regulation.

Representatives from large scale mining	<ul style="list-style-type: none"> • Contribute to finding innovative solutions and provide 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.
Police and Customs officials	Understand role of enforcement.
Gold buying agents, gold traders, mercury traders	<ul style="list-style-type: none"> • Provide insight into market dynamics, and barriers to formalization; • Important focal point for community health and emissions.
Waste management specialists	Provide insight into available mechanisms to handle mercury wastes generated by ASGM and how to clean/restore contaminated sites.
Private sector partner (e.g., large-scale mining company or equipment provider)	<ul style="list-style-type: none"> • Technical capacity; • Potential public/private partnership.
Financial/banking sector	Small and commercial-sized loans to miners to assist with financing transition towards better practices.
Representatives of the United Nations Country Teams.	Ensure the project is contributing to the country priorities as identified by the National United Nations Development Assistance Frameworks.

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 Kyrgyzstan, 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 men⁹.

This project can assist Kyrgyzstan 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 Kyrgyzstan. 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.¹⁰ Moreover, with an estimated 4.5 million women working in artisanal mining, many of

⁹ http://www.who.int/ipcs/assessment/public_health/mercury_asgm.pdf

¹⁰ <http://www.wecf.eu/english/articles/2013/10/minamata-sideevent.php>

childbearing age, low-level exposure to infants during gestation and breast-feeding is a risk.¹¹ 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.¹²

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. A gender specialist will be identified in each country and will take part in the Stakeholder Advisory Group. A gender specialist will also be engaged by the Global Mercury Partnership to ensure gender considerations are fully taken into account during the project implementation.

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 SAEPF. 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 Kyrgyzstan and complement project activities.

Executing Agency (EA): SAEPF 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. SAEPF 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

¹¹See Telmer and Veiga (2009)

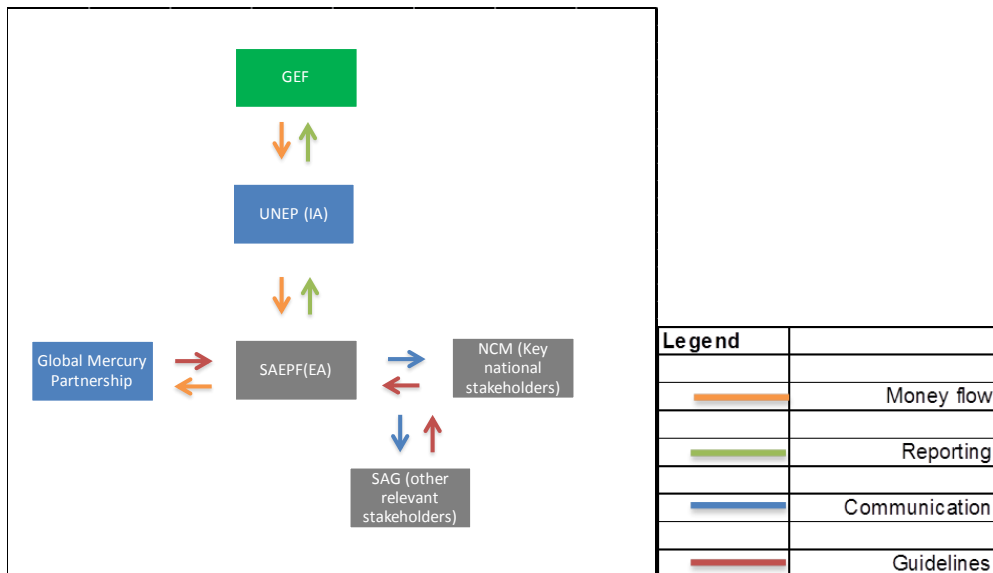
¹²See United States EPA (1997); Bose-O'Reilly et al. (2010)

objectives and these decisions will be implemented by the Executing Agency. The National Coordination Mechanism 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 National Coordination Mechanism 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 National Coordination Mechanisms.

Global Mercury Partnership (GMP): the partnership works closely with stakeholders to assist in the timely ratification and effective implementation of the Minamata Convention. Reducing Mercury in ASGM is one of the partnership areas and it has supported countries in its efforts to reduce mercury uses and releases in the ASGM sector; eliminate the worst practices in ASGM and explore innovative market-based approaches to enable the transition away from mercury. The partnership will ensure participating countries have access to all the expertise and experience of its members to implement the project.

Figure 1: Implementation arrangements



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

The project will use the current capacity for chemicals management present in Kyrgyzstan, 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 is also expected to provide significant input to the existing national framework for chemicals management in Kyrgyzstan. 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.

D. DESCRIBE THE BUDGETED M&E PLAN:

Day-to-day management and monitoring of the project activities will be the responsibility of the executing agency. **SAEPF** will submit half-yearly progress reports to the implementing agency at UNEP Chemicals. **SAEPF** 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 – **SAEPF** 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 5. 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	SAEPF	0	Within two months of project start
Inception report	Provides implementation plan for progress monitoring	SAEPF	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	SAEPF	0	Half-yearly
Financial Progress reports	Documents project expenditure according to established project budget and allocations	SAEPF	0	Quarterly
Project Review by National Coordination Committee	Assesses progress, effectiveness of operations and technical outputs; Recommends adaptation where necessary and confirms implementation plan.	SAEPF	0	Month 2, 12 and 23
Terminal report	Reviews effectiveness against implementation plan.	SAEPF	0	At the end of project implementation

	Highlights technical outputs. Identifies lessons learned and likely design approaches for future projects, assess the likelihood of achieving design outcomes.			
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	10,000	At the end of project implementation
Independent Financial Audit	Reviews use of project funds against budget and assesses probity of expenditure and transactions	SAEPF	10,000	At the end of project implementation
Total indicative M&E cost*1			20,000	

*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)
Mr. Atadzhanov Sabir	Director	STATE AGENCY ON ENVIRONMENT PROTECTION AND FORESTRY OF KYRGYZSTAN	03/09/2016 (MIA) 03/09/2016 (NAP)

B. CONVENTION PARTICIPATION

CONVENTION	DATE OF RATIFICATION/ ACCESSION (mm/dd/yyyy)	NATIONAL FOCAL POINT
UNCBD	06/20/1996	STATE AGENCY ON ENVIRONMENT PROTECTION AND FORESTRY OF KYRGYZSTAN
UNFCCC	01/20/2000	STATE AGENCY ON ENVIRONMENT PROTECTION AND FORESTRY OF KYRGYZSTAN

UNCCD	06/17/1994	MINISTRY OF AGRICULTURE OF KYRGYZSTAN	
STOCKHOLM CONVENTION	07/19/2006	STATE AGENCY ON ENVIRONMENT PROTECTION AND FORESTRY OF KYRGYZSTAN	
MINAMATA CONVENTION	DATE SIGNED NA	NATIONAL FOCAL POINT: BAIGABYL TOLONGUTOV	DATE OF NOTIFICATION UNDER ARTICLE 7 TO THE MINAMATA CONVENTION SECRETARIAT JUNE, 24, 2016

C. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies¹³ 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		September 21, 2016	Kevin Helps Senior Programme Officer DTIE, UNEP	+254-20- 762-3140	Kevin.Helps@unep.org

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

¹³ GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, and SCCF

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

<i>Position Titles</i>	<i>\$/ Person Week*</i>	<i>Estimated Person Weeks**</i>	<i>Total</i>	<i>Tasks To Be Performed</i>
For Project Management				
<i>Local</i>				
Project coordinator	530	120	63,600	Day to day supervision and coordination of the project
Project Assistant	0	120	0	Financial management of the project and preparation of financial reports
Technical advisor		0	0	Advising the project team on specific technical issues and will review technical outputs
For Technical Assistance				
<i>Local</i>				
Consultant to assist with the preparation of the MIA and NAP	300	1,400	420,000	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
<i>International</i>				
Technical support and advice throughout the project	2,500	12	30,000	Technical support to develop national assessments, identify and assess contaminated sites and develop the mercury inventory
Total			513,600	
Justification for travel, if any: Consultants and project coordinator will travel throughout the country to develop the mercury inventory and conduct the national assessments.				

ANNEX B: OFP ENDORSEMENT LETTER AND NOTIFICATIONS TO THE MINAMATA SECRETARIAT

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 Updating of National Action Plan for the Artisanal and Small Scale Gold Mining in Kyrgyzstan		
GEF project ID and UNEP ID/IMIS Number		Version of checklist	
Project status (preparation, implementation, MTE/MTR, TE)	Preparation/submission	Date of this version:	24/06/2016
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 -		The project will assess the situation with regard to mercury in Kyrgyzstan. 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.
- densely populated area	N.A.	
- 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.	
<i>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.</i>		

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?	<i>N.A.</i>	The project will assess the situation with regard to mercury in Kyrgyzstan. 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?	<i>No</i>	
- Will project cause impairment of ecological opportunities?	<i>No</i>	
- Will project cause increase in peak and flood flows? (including from temporary or permanent waste waters)	<i>No</i>	
- Will project cause air, soil or water pollution?	<i>No</i>	
- Will project cause soil erosion and siltation?	<i>No</i>	
- Will project cause increase waste production?	<i>No</i>	
- Will project cause Hazardous Waste production?	<i>No</i>	
- Will project cause threat to local ecosystems due to invasive species?	<i>No</i>	
- Will project cause Greenhouse Gas Emissions?	<i>No</i>	
- Other environmental issues, e.g. noise and traffic	<i>No</i>	
<i>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.</i>		

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.

	<i>Yes/No/N.A.</i>	<i>Comment/explanation</i>
- Does the project respect internationally proclaimed human rights including dignity, cultural property and uniqueness and rights of indigenous people?	<i>Yes</i>	It will respect cultural aspects in Kyrgyzstan
- Are property rights on resources such as land tenure recognized by the existing laws in affected countries?	<i>N.A.</i>	
- Will the project cause social problems and conflicts related to land tenure and access to resources?	<i>N.A.</i>	
- Does the project incorporate measures to allow affected stakeholders' information and consultation?	<i>Yes</i>	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?	<i>Yes</i>	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.
<i>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.</i>		

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)?	<i>N.A.</i>	
- Is the project addressing issues, which are already addressed by other alternative approaches and projects?	<i>No</i>	
- Will the project components generate or contribute to cumulative or long-term environmental or social impacts?	<i>No</i>	No negative impacts
- Is it possible to isolate the impact from this project to monitor E&S impact?	<i>N.A.</i>	

ANNEX D: ACRONYMS AND ABBREVIATIONS

ASGM	Artisanal and Small-Scale Gold Mining
BRS	Basel, Rotterdam and Stockholm Conventions
DTIE	Division of Technology Industry and Economics
EA	Executing Agency
GEF	Global Environment Facility
GEF SEC	Global Environment Facility Secretariat
GEF TF	Global Environment facility Trust Fund
GMP	Global Mercury Partnership
IA	Implementing Agency
INC	Intergovernmental Negotiating Committee
M&E	Monitoring and Evaluation
MEAs	Multilateral Environmental Agreements
MIA	Minamata Initial Assessment
NA	Non applicable
NAP	National Action Plan
NCM	National Coordination Mechanism
NGOs	Non-governmental Organizations
OFP	Operational Focal Point
PMC	Project Management Cost
PoW	Programme of Work
PPG	Project Preparation Grant
PSC	Project Steering Committee
ROE	Regional Office for Europe
SAEPF	State Agency on Environment Protection and Forestry
SAICM	Strategic Approach for International Chemicals Management
SAG	Stakeholder Advisory Group
SDGs	Sustainable Development Goals
TE	Terminal Evaluation
ToR	Terms of Reference
UN	United Nations
UNITAR	United Nations Institute for Training and Research
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
WHO	World Health Organization

ANNEX E: PROJECT SUPERVISION PLAN

Project Title: Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small Scale Gold Mining in Kyrgyzstan																								
Project executing partner: State Agency on Environment Protection and Forestry under the Government of Kyrgyz Republic (SAEPF)																								
Project implementation period (add additional years as required):	Year 1												Years 2											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
Executing partner	█																							
UNEP/DTIE Chemicals (Implementing)	◆																							
Output	✦																							
Activity/Task/Output																								
Project Management, Coordination & Sustainability																								
Inception meeting and report of meeting	█																							
Progress report - (June 30 and Dec 31) + 30 days						█							█							█				
establish M&E system																								
Expenditure report - (Mar, June, Sep and Dec 31) + 30 days			█					█					█					█					█	
Procurement of equipment & hiring of consultants	█																							
NCM meetings + minutes of meetings	█																							
GEFSEC communications (Inception, midterm & completion)	◆											◆												
Terminal report																								
Training workshops/seminars	█																							
Terminal evaluation																								
Final audit report																								
Output 1.1 Training and guidance provided to relevant national stakeholders in Kyrgyzstan to develop a MIA and develop and implement a NAP as per Annex C of the Minamata Convention																								
1.1.1 Development of a roster of experts and collection of tools and methodologies for MIA and NAP development	█																							
1.1.2 Capacity building trainings and assistance with baseline inventories						█							█							█				
1.1.3 Knowledge management and information exchange through the Global Mercury Partnership website and/or Partners websites and tools	█																							
1.1.4 Final national workshop to identify lessons learned and opportunities for future cooperation in the NAP implementation																								
Output 2.1 Identified and strengthened national coordination mechanism and stakeholder advisory group that will guide the project implementation																								
2.1.1 Organize a National Inception Workshop to raise awareness and to define the scope and objective of the MIA and NAP processes	█																							
2.1.2 Conduct a national assessment on existing sources of information (studies), compile and make them available	█																							
Output 2.2 National institutional and regulatory framework and national capacities on mercury management assessed																								
2.2.1 Assess key national stakeholders, their roles in mercury management and institutional interest and capacities	█																							
2.2.2 Analyse the regulatory framework, identify gaps and assess the regulatory reforms needed for the ratification and early implementation of the Minamata Convention in Kyrgyzstan	█																							
Output 2.3 National inventories of mercury sources and releases and strategy for the identification of mercury contaminated sites developed																								
2.3.1 Develop a qualitative and quantitative inventory of all mercury sources and releases	█																							
2.3.3 Develop a national strategy to identify and assess mercury-contaminated sites									█															
Output 2.4: Improved understanding of national needs and gaps in mercury management and monitoring enables a better identification of future activities																								
2.4.1 Conduct a national and sectoral assessment on challenges and opportunities to implement the Convention in key priority sectors												█												
2.4.2 Develop a report on recommendations to ratify and implement the Minamata Convention on Mercury												█												
Output 2.5 Draft NAP developed as per Annex C of the Minamata Convention																								
2.5.1 Development of the national overview of the ASGM sector according to the NAP guidance by local teams	█																							
2.5.2 Organize national workshops to develop the draft NAP and a roadmap for NAP endorsement and submission to the Minamata Secretariat												█												
Output 3.1 Technical support provided to participating countries to facilitate the MIA validation and NAP endorsement and submission to the Minamata Secretariat																								
3.1.1 Draft and validate MIA Report																								
3.1.2 Design and conduct national workshops targeting vulnerable groups and miners to complete the final NAPs and to expose the formulated NAPs on ASGM to public consultation and endorsement												█												
3.1.3 Design and conduct national workshops targeting appropriate national decision makers that are decisive to NAP endorsement and official submission to the Minamata Secretariat												█												
3.1.4 Develop a national MIA and NAP awareness raising and dissemination and outreach strategy												█												

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:	766,500			
Project Name:		Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small Scale Gold Mining in Kyrgyzstan					IA fee (9.5%):	66,500			
Executing Agency:		State Agency on Environment Protection and Forestry under the Government of Kyrgyz Republic (SAEPF)					Project	700,000			
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								
		Global technical support for MIA and NAP development	Minamata Initial Assessment (MIA) and National Action Plan (NAP) development	MIA validation and NAP endorsement and submission to the Minamata Secretariat	Project Management	Monitoring and Evaluation	Total	Year 1	Year 2	Total	
UNEP BUDGET LINE/OBJECT OF EXPENDITURE		US\$			US\$	US\$	US\$	US\$	US\$	US\$	
10	UMOJA CODES	PROJECT PERSONNEL COMPONENT									
	1100	Project Personnel									
	1161	1101	Project coordinator		63,600		63,600	31,800	31,800	63,600	
	1161	1102	Project assistant				0	0	0	0	
		1199	Sub-Total	0	63,600		63,600	31,800	31,800	63,600	
	1200	Consultants w/m									
	1161	1201	Nat'l consultants for national activities	410,000	10,000		420,000	210,000	210,000	420,000	
	1161	1202	Int'l consultant for inventory training and development or review	30,000			30,000	30,000	30,000	30,000	
		1299	Sub-Total	440,000	10,000	0	450,000	210,000	240,000	450,000	
	1300	Administrative Support									
	1161	1301	Project Financial Officer			0	0	0	0	0	
	1600	Travel on official business (above staff)									
	1561	1601	Travel Project coordinator/project staff	25,264	5,000		30,264	15,132	15,132	30,264	
		1699	Sub-Total	25,264	5,000	0	30,264	15,132	15,132	30,264	
		1999	Component Total	465,264	15,000	63,600	543,864	256,932	286,932	543,864	
20		SUB CONTRACT COMPONENT									
	2100	Sub contracts (UN Organizations)									
	2261	2101	UN Sub-contract	60,000			60,000	60,000		60,000	
		2199	Sub-Total	60,000	0		60,000	60,000	0	60,000	
		2999	Component Total	60,000	0		60,000	60,000	0	60,000	
30		TRAINING COMPONENT									
	3200	Group training (field trips, WS, etc.)									
	3302 and 3303	3201	Training on national inventory development (incl. Provision of materials)	20,000			20,000		20,000	20,000	
		3299	Sub-Total	20,000		0	20,000	0	20,000	20,000	
	3300	Meetings/conferences									
	3302 and 3303	3301	National project inception workshop	10,000			10,000	10,000		10,000	
	3302 and 3303	3302	Final national lessons learned workshop				0	0	0	0	
	3302 and 3303	3303	National Coordination Committee meetings	2,100			2,100	1,050	1,050	2,100	
		3304	Validation workshops		8,000		8,000		8,000	8,000	
		3399	Sub-Total	0	12,100	8,000	20,100	11,050	9,050	20,100	
		3999	Component Total	0	32,100	8,000	40,100	11,050	29,050	40,100	
40		EQUIPMENT and PREMISES COMPONENT									
	4100	Expendable equipment (under 1,500 \$)									
	4261	4101	Operational costs	500	2,000	500	36	3,036	1,518	1,518	3,036
		4199	Sub-Total	500	2,000	500	36	3,036	1,518	1,518	3,036
	4200	Non expendable equipment									
	4261	4201	Computer, fax, photocopier, projector	500	5,500			6,000	3,000	3,000	6,000
	4261	4202	Software	500	2,500			3,000	1,500	1,500	3,000
		4299	Sub-Total	1,000	8,000	0	0	9,000	4,500	4,500	9,000
		4999	Component Total	1,500	10,000	500	36	12,036	6,018	6,018	12,036
50		MISCELLANEOUS COMPONENT									
	5200	Reporting costs (publications, maps, NL)									
	5161	5201	Summary reports, visualization and diffusion of results	11,000	5,000			16,000		16,000	16,000
	5161	5202	Preparation of final report	3,000	2,000			5,000	5,000	5,000	5,000
		5299	Sub-Total	14,000	7,000	0	0	21,000	0	21,000	21,000
	5300	Sundry (communications, postages)									
	5161	5301	Communications (postage, bank transfers, etc)	300	2,000	700		3,000	1,500	1,500	3,000
		5399	Sub-Total	300	2,000	700	0	3,000	1,500	1,500	3,000
	5500	Evaluation									
	5581	5501	Independent Terminal Evaluation				10,000	10,000		10,000	10,000
	5161	5502	Independent Financial Audit				10,000	10,000		10,000	10,000
		5599	Sub-Total	0	0	0	20,000	20,000	0	20,000	20,000
		5999	Component Total	300	16,000	7,700	0	20,000	1,500	42,500	44,000
	TOTAL			61,800	523,364	31,200	63,636	20,000	335,500	364,500	700,000