GEF-6 PROJECT IDENTIFICATION FORM (PIF)
PROJECT TYPE: Non-expedited Enabling Activity
TYPE OF TRUST FUND:GEF Trust Fund

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PART I: Project Information

Project Title:	Regional project on the Development of National Action Plans for the Artisanal and Small Scale Gold Mining in Africa		
Country(ies):	Cameroon, Republic of Congo, Central African Republic, Kenya, Swaziland, Uganda, Zambia, Zimbabwe	GEF Project ID:[1]	9276
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01384
Other Executing Partner(s):	The Africa Institute, UNEP Chemicals and Ministries of Environment of participating countries	Resubmission Date:	06/11/2015
GEF Focal Area(s):	Chemicals and Wastes	Project Duration (Months)	24 months
Integrated Approach Pilot	IAP-Cities ☐ IAP-Commodities ☐ IAP-Food Security ☐	Corporate Program: SGP ☐	
Name of parent program:	[if applicable]	Agency Fee ($)	380,000

A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES[2]

Objectives/Programs (Focal Areas, Integrated Approach Pilot, Corporate Programs)	**Trust Fund**	**(in $)**	
		GEF Project Financing	**Co-financing**
CW-1 Program 2	GEFTF	4,000,000	50,000
Total Project Cost		4,000,000	50,000

B. INDICATIVE PROJECT DESCRIPTION SUMMARY

Project Objective: Development of National Action Plans to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in participating countries.

Project Components	**Financing Type[3]**	**Project Outcomes**	**Project Outputs**	**Trust Fund**	**(in $)**	
					GEF Project Financing	**Co-financing**
1. Regional information exchange, capacity building and knowledge generation	TA	Enhanced communication, support and training facilitate the development of the NAP and build the basis for future cooperation for the NAP implementation	Capacity building provided, information exchange undertaken, lessons learned and good practices identified at regional level	GEFTF	476,600	0

[1] Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submissions.
[2] When completing Table A, refer to the excerpts on *GEF 6 Results Frameworks for GETF, LDCF and SCCF*.
[3] Financing type can be either investment or technical assistance.

2. Establishment of Coordination Mechanism and organisation of process	TA	Participating countries make full use of strengthened national coordination mechanism to guide the NAP development	Technical support provided for the establishment of National Coordination Mechanisms and organization of process for the development of the NAP	GEFTF	358,200	0
3. Develop a national overview of the ASGM sector, including baseline estimates of mercury use and practices	TA	Full understanding of comprehensive information of the national ASGM sector enable participating countries to develop NAP in compliance with the Minamata Convention	Participating countries have a comprehensive national overview of the ASGM sector, including baseline estimates of mercury uses and practices	GEFTF	2,542,900	0
4. Develop, endorse and submit to the Minamata Convention Secretariat a NAP on ASGM	TA	Participating countries have NAPs in compliance with Annex C of the Minamata Convention to guide their future action aiming at the reduction of mercury emissions and releases from this sector	Participating countries have a NAP compliant with Annex C of the Minamata Convention developed, endorsed and officially submitted to the Minamata Secretariat	GEFTF	373,900	0
			Subtotal		3,751,600	0
			Project Management Cost (PMC)[4]	GEFTF	190,400	50,000
			Monitoring and evaluation		58,000	0
			Total Project Cost		4,000,000	50,000

For multi-trust fund projects, provide the total amount of PMC in Table B, and indicate the split of PMC among the different trust funds here: ( )

C. INDICATIVE SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF AVAILABLE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount ($)
Recipient government	Ministry of Tourism and Environment of the Republic of Congo	In-kind	30,000
		Grant	20,000
Total Co-financing			50,000

[4] For GEF Project Financing up to $2 million, PMC could be up to10% of the subtotal; above $2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

D. INDICATIVE TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS [a)]

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	Cameroon,	Chemicals and Wastes	Mercury	500,000	47,500	547,500
		Republic of Congo			500,000	47,500	547,500
		Central African Republic			500,000	47,500	547,500
		Kenya			500,000	47,500	547,500
		Swaziland			500,000	47,500	547,500
		Uganda			500,000	47,500	547,500
		Zambia			500,000	47,500	547,500
		Zimbabwe			500,000	47,500	547,500
Total GEF Resources					4,000,000	380,000	4,380,000

a) Refer to the Fee Policy for GEF Partner Agencies.

E. PROJECT PREPARATION GRANT (PPG)[5]

Is Project Preparation Grant requested? Yes ☐ No X If no, skip item E.

PPG AMOUNT REQUESTED BY AGENCY(IES), TRUST FUND, COUNTRY(IES) AND THE PROGRAMMING OF FUNDS

Project Preparation Grant amount requested: $					PPG Agency Fee:		
GEF Agency	Trust Fund	Country/ Regional/Global	Focal Area	Programming of Funds	(in $)		
					PPG (a)	**Agency Fee**[6] (b)	**Total** c = a + b
(selec	(select)		(select)	(select as applicabl			0
(selec	(select)		(select)	(select as applicabl			0
(selec	(select)		(select)	(select as applicabl			0
Total PPG Amount					**0**	**0**	**0**

[5] PPG requested amount is determined by the size of the GEF Project Financing (PF) as follows: Up to $50k for PF up to$2m (for MSP); up to $100k for PF up to $3m; $150k for PF up to $6m; $200k for PF up to $10m; and $300k for PF above $10m. On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

[6] PPG fee percentage follows the percentage of the Agency fee over the GEF Project Financing amount requested.

F. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS[7]
Provide the expected project targets as appropriate.

This is an enabling activity.

PART II: PROJECT JUSTIFICATION

1. *Project Description.* Briefly describe: 1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed; 2) the baseline scenario or any associated baseline projects, 3) the proposed alternative scenario, GEF focal area[8] strategies, with a brief description of expected outcomes and components of the project, 4) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing; 5) global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF); and 6) innovation, sustainability and potential for scaling up.

1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed

Since 2001 there has been a growing consensus on the health and environmental impacts of mercury emissions and releases and the subsequent need for international action to address the mercury issue. In 2001, the Governing Council of the United Nations Environment Programme (UNEP) invited the Executive Director of UNEP to undertake a global assessment of mercury and its compounds, including information on the chemistry and health effects, sources, long-range transport, and prevention and control technologies relating to mercury. In 2003, the Governing Council considered this assessment and found that there was sufficient evidence of significant global adverse impacts from mercury and its compounds to warrant further international action to reduce the risks to human health and the environment from the release of mercury and its compounds to the environment.

Mercury is recognized as a substance producing significant adverse neurological and other health effects, with particular concerns expressed about its harmful effects on unborn children and infants. The global transport of mercury in the environment was a key reason for taking the decision that global action to address the problem of mercury pollution was required.

In 2009, following extensive consideration of the issue, the Governing Council agreed that voluntary actions to date had not been sufficient to address the concerns on mercury, and decided on the need for further action on mercury, including the preparation of a global legally binding instrument . An intergovernmental negotiating committee to prepare a global legally binding instrument on mercury was therefore established, to commence its work in 2010 and conclude negotiations prior to the twenty-seventh session of the Governing Council in 2013.

In January 2013, the intergovernmental negotiating committee concluded its fifth session by agreeing on the text of the Minamata Convention on Mercury. The text was adopted by the Conference of Plenipotentiaries on 10 October 2013 in Japan and was opened for signature thereafter. The objective of the Convention is to protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds and it sets out a range of measures to meet that objective.

It is anticipated that coordinated implementation of the obligations of the Convention will lead to an overall reduction in mercury levels in the environment over time, thus meeting the objective of the Convention to protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds.

[7] Provide those indicator values in this table to the extent applicable to your proposed project. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the *GEF-6 Programming Directions*, will be aggregated and reported during mid-term and at the conclusion of the replenishment period. There is no need to complete this table for climate adaptation projects financed solely through LDCF and/or SCCF.

[8] For biodiversity projects, in addition to explaining the project's consistency with the biodiversity focal area strategy, objectives and programs, please also describe which Aichi Target(s) the project will directly contribute to achieving.

The global emissions to air from anthropogenic sources is estimated as 1960 tonnes in 2010 (incertainty ranging from 1010-4070 tonnes). Annual, emissions from ASGM are estimated at 727 tonnes, making this the largest sector accounting for more than 35% of total anthropogenic emissions[9]. Therefore, the main root cause of the global environmental problem caused by anthropogenic emissions[10] and releases of mercury are the artisanal and small-scale gold mining (ASGM). ASGM is defined by the Minamata Convention as the "gold mining conducted by individual miners or small enterprises with limited capital and investment" (article 2(a)). Article 7 of the Convention is completely dedicated to the reduction of mercury emissions and releases from ASGM in which mercury amalgamation is used.

The main barreer to be adressed in order to address this global environmental problem is to reduce mercury emissions and releases from ASGM in which mercury amalgamation is used.

2) the baseline scenario or any associated baseline projects

In 2013 and 2014 all the participating countries, except Swaziland, agreed on the text of the Minamata Convention on Mercury. Swaziland stated that the country is taking meaningful steps to ratify the Convention.

The Minamata Convention on Mercury was adopted in January 2013 and will come into force once the required number of countries ratifies the Convention. The Minamata Convention 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 "National Action Plans" (NAPs). 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.

Participating countries will benefit from new and updated information about the use of mercury in the ASGM sector in the country and from increased capacity in managing the risks of mercury emitted and released from such activity. The sharing of experiences and lessons learned throughout the project is also expected to be an important contribution to other similar countries and foster cooperation for future implementation of the NAPs.

Cameroon

There are a number of companies involved in the exploration of gold mining on an industrial scale in Cameroon. However, gold mining operations in the country are in the majority of cases artisanal and of small scale. Gold is currently traded almost completely between individuals and has not yet entered the larger formal trade sector. In 2003 the Cameroon government created the Support and Promotion Framework of Mining Activities Organization (CAPAM) to facilitate, assist and promote small-scale gold mining, with the purpose of formalizing the activity and thereby collecting taxes from this activity. It also aimed to support and manage artisanal miners, contribute to the improvement of geological and mining information, and improve the recovery and process of mining products.

Among the many achievements of CAPAM to date, there is the "Operation Gold" launched in 2011 which sought to ensure that at least 70 per cent of the then 179 kilograms of gold produced monthly by artisanal miners was channelled

[9] http://www.unep.org/PDF/PressReleases/GlobalMercuryAssessment2013.pdf

[10] "Current anthropogenic sources are responsible for about 30% of annual emissions of mercury to air. Another 10% comes from natural geological sources, and the rest (60%) is from 're-emissions' of previously released mercury that has built up over decades and centuries in surface soils and oceans." (http://www.unep.org/PDF/PressReleases/GlobalMercuryAssessment2013.pdf)

into the formal economy and strengthen the Cameroon's gold reserves at the Central African States Central Bank (BEAC) with the view of providing alternative funding sources for the national economy. The operation is expected to generate more than FCFA 1,000 billion before 2016 with the State of Cameroon gaining at least FCFA 200 billion to finance some development projects outlined in the Country's Growth and Employment Strategy Paper.

The ASGM sector in Cameroon is attracting foreign investments especially from Asia (Chinese, Indians, Koreans, etc.). The arrival of these investors is promoted by the national Government initiative to foster the mechanization of the ASGM sector.

The government (Ministries of Mines, and Environment) and NGOs (CREPD and COPRESSA) have looked for information that could confirm the use of mercury in the ASGM sector of Cameroon. Their conclusion is that it's uncertain if mercury is used in ASGM sites in Cameroon, but strongly suggests that mercury is used in concentrates. After concentrating the gold through separation techniques such as panning, the miners are suspected to mix the remaining combination of gold, soils, sands, or sediments with elemental mercury to concentrate the gold and create a mercury/gold amalgam. They then heat in backyards the amalgam, which volatilizes the mercury, leaving behind fairly pure gold.

Cameroon has also developed an ASGM activity map. According to this map the activity was previously concentrated on alluvial deposits in the Eastern region of Cameroon. Currently, it has significantly spread throughout the other regions of the country including sites with solid rocks.

ASGM is associated with environmental and human health impacts, affecting the health of miners and in particular children working in the mines. The activity is also associated with social impacts leading to poverty traps and dependence as the population increases its reliance on mining, and there are more conflicts over land and resettlement. Well-known environmental impacts associated with ASGM in Cameroon are water and air pollution, river and dam siltation, uncovered open pits and loss of biodiversity (deforestation, over-fishing, and poaching).

Cameroon participated in the First Francophone Africa workshop in support for the Ratification and Early Implementation of the Minamata Convention on Mercury in July 2014 in Dakar, Senegal.

Cameroon signed the Minamata Convention in September 2014 and notified the Minamata Secretariat that ASGM is more than insignificant in its territory according to article 7 paragraph 3 of the Convention in July 2015.

Cameroon has recently submitted a national project for the development of Minamata Initial Assessment in the country for GEF funding.

Republic of Congo

The following activities related to chemicals management have been implemented in the country and are relevant for the NAP development:

- The development of a national chemicals and waste management profile;
- Capacity building and implementation of the Chemical Information Exchange Network (CIEN);
- Capacity assessment for national implementation of SAICM in the Republic of Congo;
- The development of the National Implementation Plan of the Stockholm Convention on Persistent Organic Pollutants (POPs);

An initial profile on mercury has also been developed in the Republic of Congo. In this framework, urine samples were collected from workers of oil companies based in Pointe-Noire (oil area and economic capital of Congo). The samples confirmed that workers in these companies were contaminated by mercury.

The Republic of Congo has no specific legal instrument on mercury. The governance of the environmental sector is based on general texts as the Constitution of 20 January 2002, which guarantees the right of all citizens to a healthy environment; and the general law on environmental protection of 23 April 1991.

The Republic of Congo has participated in several meetings on mercury. The most recent was organized by the Secretariat of the Minamata Convention in Dakar, Senegal. The purpose of the meeting was to assist participating countries with the development of a roadmap to ratify the Minamata Convention.

Traditional gold mining or gold panning practices since colonial times in several localities in Congo. The risks arising from this activity on health and the environment are practically ignored by these populations. Awareness raising campaigns are inexistent and apart from few academic works, in-depth studies on the issue barely exist.

The Republic of Congo signed the Minamata Convention in September 2014. The Republic of Congo notified the Minamata Secretariat that ASGM is more than insignificant in its territory according to article 7 paragraph 3 of the Convention in May 2015.

The United Nations Environment Programme – Regional Office for Africa together with UNEP DTIE has recently submitted a regional project for the development of Minamata Initial Assessments for GEF funding. The Republic of Congo is participating in this project.

Central African Republic

In Central African Republic the health and environmental impacts or mercury emissions and releases from the ASGM sector are unknown. There is no comprehensive study about mercury contamination in the country and the health sector is not prepared to diagnose problems caused by mercury contamination.

The project will be the opportunity to better characterize the activity in the country and its impacts. It will also raise awareness and build national capacity that will improve the living conditions of miners and populations affected negatively by this activity.

The Central African Republic participated in the First Francophone Africa workshop in support for the Ratification and Early Implementation of the Minamata Convention on Mercury in July 2014 in Dakar, Senegal.

The Central African Republic signed the Minamata Convention in October 2013. The Central African Republic notified the Minamata Secretariat that ASGM is more than insignificant in its territory according to article 7 paragraph 3 of the Convention in June 2015.

The United Nations Environment Programme – Regional Office for Africa, together with UNEP DTIE has recently submitted a regional project for the development of Minamata Initial Assessments for GEF funding. The Central African Republic is participating in this project.

Kenya

In 2013 the country monitored and measured mercury emissions from the ASGM sector in Migori District, Nyanza province in Kenya as part of the project entitled "Awareness raising on human exposure and monitoring of mercury emissions from hotspots using Lumex mercury monitoring and analysis of mercury content in skin lightening products in Africa lead by iLIMA[11][12]. The project also raises awareness on human exposure to mercury in Kenya highlighting exposure to mercury of ASGM miners.

[11] iLima is a registered not for profit non governmental organization in Kenya. The project was carried out by this organization with financial support from European Environmental Bureau in collaboration with Zero Mercury Working Group.

The measurements in the ASGM sector were recorded at the processing stage of the gold amalgamation. At this stage, the mercury is scrubbed with the alluvial gold to amalgamate the gold inside a bucket full of water. The process is risky since bare hands are used in scrubbing the mixture besides being carried out by more vulnerable groups such as women. The second data recording was conducted at the second site. At this site, the gold – mercury amalgam is burned in a process of separating mercury from the amalgam.

In the framework of this project, awareness and education materials in the form of posters, flyers, and demonstration activities targeting miners and communities living around the ASGM sites were developed. The posters contained information on adverse effects of mercury to human health and the environment, risk exposure to mercury practices including alternative best available techniques and environmental practices for gold mining targeting communities living near mining areas and the miners

No other projects related to ASGM have been implemented.

Kenya has also participated in the Workshop to Enhance African Regional Cooperation on National Action Plans for Artisanal and Small Scale Gold Mining held in Dar es Salaam, Tanzania on 14-16 April 2015.

Kenya participated in the First Anglophone Africa workshop in support for the Ratification and Early Implementation of the Minamata Convention on Mercury in April 2014 in Nairobi, Kenya.

Kenya signed the Minamata Convention in October 2013. Kenya notified the Minamata Secretariat that ASGM is more than insignificant in its territory according to article 7 paragraph 3 of the Convention in June 2015.

Swaziland

The Ministry of Natural Resources, Department of Geological Surveys and Mining is piloting a project on Small Scale Miner Authorization Mapping, where the mapping of potential small scale mining areas is underway. The process involves the engagement of involved miners for the purpose of educational programs on the protection of their health and safety as well as the surrounding environment.

Swaziland has participated in the Workshop to Enhance African Regional Cooperation on National Action Plans for Artisanal and Small Scale Gold Mining held in Dar es Salaam, Tanzania on 14-16 April 2015.

Swaziland is also in the process of conducting the level 1 Mercury inventory.

As non-signatory, Swaziland sent a letter signed by the current Minister of Tourism and Environmental Affairs in April 2015 stating that the country is taking meaningful steps to ratify the Minamata Convention. Swaziland notified the Minamata Secretariat that ASGM is more than insignificant in its territory according to article 7 paragraph 3 of the Convention in July 2015.

The Africa Institute together with UNEP has recently submitted a regional project for the development of Minamata Initial Assessments for GEF funding. Swaziland is participating in this project.

Uganda

Uganda has actively explored policies, regulations, programs, and strategies to support the formalization of the burgeoning ASGM economy. This includes specific measures to curb smuggling and to encourage licensing of mineral dealers and reporting of exports. Most recently, institutionalization of government support for ASGM extension services and improved regulation and enforcement was planned. However, recent proposals to increase royalty rates, taxes, and fees for the minerals sector may, according to many, pose significant challenges to formalization of ASGM in the country.

[12] http://www.zeromercury.org/phocadownload/Whats_on_in_the_regions/Revised_Project_Report_Lumex.pdf

With the exception of proposed reforms to fiscal provisions, most recent efforts have emerged following an important project undertaken between 2004-2011, the Sustainable Management of Mineral Resources Project (SMMRP), funded by the World Bank, African Development Bank, Nordic Development Fund, and the Government of Uganda. This project has an emphasis on artisanal and small-scale mining with the objective of strengthening the government's capacity to develop a sound minerals sector based on private sector investments and improvements (programs, policies for training, organizational development, formalization, etc.) in selected ASGM areas.

The work culminated in a National Strategy for the Advancement of ASGM and a National Strategy for Promotion of Gender Equality in Mining, both of which provided a platform for formalized government support to ASGM. The project has achieved a number of important outcomes that may provide useful insight for formalization of ASGM in other jurisdictions. [13]

The country is currently developing a Minamata Initial Assessment with GEF funding with Groundworks and UNEP.

Zambia

Zambia has participated in the Workshop to Enhance African Regional Cooperation on National Action Plans for Artisanal and Small Scale Gold Mining held in Dar es Salaam, Tanzania on 14-16 April 2015.

Zambia participated in the Second Anglophone Africa workshop in support for the Ratification and Early Implementation of the Minamata Convention on Mercury in April 2014 in Nairobi, Kenya.

Zambia has been elected for the Bureau of the Intergovernmental Negotiating Committee.

Zambia signed the Minamata Convention in October 2013. Zambia notified the Minamata Secretariat that ASGM is more than insignificant in its territory according to article 7 paragraph 3 of the Convention in 29 July 2015.

The country is currently developing a Minamata Initial Assessment with GEF funding with Groundworks and UNEP.

Zimbabwe

Zimbabwe participated in the Second Anglophone Africa workshop in support for the Ratification and Early Implementation of the Minamata Convention on Mercury in April 2014 in Nairobi, Kenya.

Zimbabwe signed the Minamata Convention in October 2013. Zimbabwe notified the Minamata Secretariat that ASGM is more than insignificant in its territory according to article 7 paragraph 3 of the Convention in June 2015.

The country participated in the Global Mercury Project (GMP) of 2004, which was funded by UNIDO and GEF. The GMP established some of the hotspots areas in Zimbabwe with mercury pollution. Levels of mercury in fish were determined. Mercury was also found in breast milk and hair of those who had been exposed to mercury during ASGM operations.

Zimbabwe has also developed a country diagnostic report on environmental health implications of mercury in ASGM in the country, which was funded by World Bank in 2014. The report was a desk study of the current available information about ASGM operations in Zimbabwe.

[13] http://www.unep.org/chemicalsandwaste/Portals/9/Mercury/Documents/ASGM/Formalization_ARM/Case%20Studies%20Compendium%20June%202012.pdf

Zimbabwe attended all inter-governmental committee meetings on the Minamata Convention.

The country is currently developing a Minamata Initial Assessment with GEF funding with UNEP's Regional Office for Africa.

Table 1: Mercury consumption in artisanal and small-scale gold mining and calculation of associated emissions[14].

Country	Quality of data[a]	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	med	max					
Cameroon	2	0.4	1.5	2.6	100	0	0.75	2011	1.125
Central African Republic	1	0.1	0.3	0.5	100	0	0.75	2010	0.225
Republic of Congo	2	0.4	1.5	2.6	100	0	0.75	2010	1.125
Kenya	2	1.9	7.5	13.1	100	0	0.75	2002	5,625
Swaziland									
Uganda	3	0.4	0.8	1.2	100	0	0.75	2008	0.600
Zambia	1	0.1	0.3	0.5	100	0	0.75	2008	0.225
Zimbabwe	3	12.5	25.0	37.5	20	80	0.35	2009	8.750

[a]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).

3) the proposed alternative scenario, GEF focal area[15] strategies, with a brief description of expected outcomes and components of the project

The goal of the project is to contribute to the implementation of the Minamata Convention through the reduction of the risks posed by the unsound use, management and release of mercury in the Artisanal and Small-Scale Gold Mining sector. 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* .

The project objective is to facilitate the development of National Action Plans to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing by the use of scientific and technical knowledge and tools by national stakeholders in participating countries.

The project framework follows the guidance document on the development of a national strategic plan developed by the UNEP Global Mercury Partnership[16] and revised on the basis of experience in its usage. The guidance has been developed with the intention of addressing artisanal and small scale gold mining in a holistic manner and includes a review of legal, educational, economic, regulatory and enforcement frameworks, and provides guidance on developing budgets and

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

[15] For biodiversity projects, in addition to explaining the project's consistency with the biodiversity focal area strategy, objectives and programs, please also describe which Aichi Target(s) the project will directly contribute to achieving.

[16] Guidance Document: Developing a National Strategic Plan to Reduce Mercury Use in Artisanal and Small-Scale Gold Mining, available at www.unep.org/chemicalsandwaste/NationalStrategicPlan/tabid/53985/Default.aspx.

workplans and identifying potential sources of funding and partners. The INC. Assuming the guidance is adopted by the INC will introduce the current draft National Action Plan guidance at INC7 for adoption; the participating governments in preparing their National Action Plans should use it.

The project was developed in consultation with focal points in participating countries, the Executing Agency and UNEP ROA.

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

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

This project component will focus on strengthening information exchange and South-to-South cooperation. As part of this, countries will receive additional training and support to develop their NAPs. Participating countries will have access to technical expertise and tools to facilitate the development of the NAPs and information exchange, developed within the framework of the UNEP Global Mercury Partnership. The technical expertise and tools provided will respond directly to countries needs identified. With this additional support countries will be able to obtain feedback and rapid response to their queries on the development of NAPs and will also make full use of the existing capacities and expertise in the regions. Lessons learned identified through this project, in particular during the final lessons learned workshop will also be made available. This project component will identify opportunities for regional cooperation and synergies to ensure reduced transaction costs and more efficient use of project resources and a better understanding of the flow of mercury among neighbouring countries.

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

Activity 1.2: Capacity building trainings and assistance with baseline inventories

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

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

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

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

The training sessions, lessons learned and global workshops will be open to other countries that are willing to take advantage of these activities, however their participation will be covered by other sources of funding, not this project's budget.

Component 2: Establishment of Coordination Mechanism and organisation of process
The successful development of a NAP will rely on the formation of a National Coordination Mechanism that will guide the NAP development through all its phases and ensure that there is proper project planning and management throughout the process. The National Coordination Mechanism should include members from different governmental ministries or departments. An inception workshop will be organized to (i) clearly define the relative roles and responsibilities of the members of the National Coordination Mechanism; (ii) agree on the budget allocation and workplan for the project; and

finally (iii) develop an awareness raising strategy on mercury use in ASGM and its environmental and health impacts to be implemented throughout the whole project.

In addition, the National Coordination Mechanism will identify a stakeholder advisory group, composed of stakeholders who possess relevant knowledge and information, and whose collaboration and cooperation will be needed for the successful formulation and implementation of the NAP. The stakeholder advisory group will include relevant members of civil society with experience and knowledge in the ASGM sector. The National Coordination Mechanism will engage with the advisory group at regular intervals and during all phases of the NAP development and direct feedback on the NAP will be provided through a mechanism to be agreed upon by the National Coordination Mechanisms. A list of suggested members of the NAP National Coordination Mechanism and of the stakeholders' advisory group can be found at page 9-10 to the guidance document.

Activity 2.1: Organize one Regional Training and Inception workshop and eight National Inception Workshops, one in each participating country, to raise awareness and to define the scope and objective of the NAP development, including:

a) Identify key stakeholders and assign roles;
b) Identify coordination mechanism for project implementation;
c) Develop an awareness raising strategy to be implemented throughout the project;

Expected Outcome:
Participating countries makes full use of strengthened national coordination mechanism to guide the NAP development.

Expected Outputs:
Technical support provided for the establishment of National Coordination Mechanisms and organization of process for the development of the NAP.

Component 3: Develop a national overview of the ASGM sector, including baseline estimates of mercury use and practices

In this project component the country will gather national information on the following:

- Legal and regulatory status of ASGM;

1. 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;
- 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 gender 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 gender 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;

Activity 3.1: Desk study to compile information available. The desk study will be complemented by interviews with stakeholders. The working group and the stakeholder's advisory group can consider additional methods in order to better reflect the current state of knowledge.

Expected Outcome:
Full understanding of comprehensive information of the national ASGM sector enable participating countries to develop NAP in compliance with the Minamata Convention.

Expected Outputs:
Participating countries have a comprehensive national overview of the ASGM sector, including baseline estimates of mercury uses and practices.

Component 4: Develop, endorse and submit to the Minamata Convention Secretariat a NAP on ASGM
Based on the results of the national overview of the ASGM sector, a national workshop will be organized with the executing body and the stakeholders' advisory group to agree on:

- Final problem statement, goals, objectives and reduction targets;
- Implementation strategy with specific activities for each of the NAP elements described in Annex C of the Minamata Convention. The NAP will be linked as often as possible to high level national development goals and initiatives, such as poverty reduction strategies and Millennium Development Goal-based National Development Plans. The NAP will identify potential negative social impacts of its implementation as livelihoods impairment and will identify alternatives to avoid these negative impacts;
- Workplan, outreach plan, timeline and overall budget for the implementation of the plan and its periodical review;Identification of roadmap for NAP endorsement and submission.

Activity 4.1: Eight national workshops to complete the final NAP and to expose the formulated NAP on ASGM to public consultation before endorsement. Representatives of vulnerable groups and miners are particularly targeted

Activity 4.2: NAP endorsement and official submission to the Minamata Secretariat

Expected Outcome:
Participating countries have NAPs in compliance with Annex C of the Minamata Convention to guide their future action aiming at the reduction of mercury emissions and releases from this sector.

Expected Outputs:
Participating countries have a NAP compliant with Annex C of the Minamata Convention developed, endorsed and officially submitted to the Minamata Secretariat.

4) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, and co-financing

This is an enabling activity. Therefore cofinance is not required, though CAR has volunteered $50,000.

5) global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF)

The objective of the Convention is to protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds and it sets out a range of measures to meet that objective. Participating countries have notified the Interim Minamata Secretariat that mercury emissions from the artisanal and small-scale gold mining (ASGM) sector is more than significant in their respective territories. This project is aimed at assisting participating countries to develop National Action Plans to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing in accordance to Annex C of the Minamata Convention. By developing their National Action Plans participating countries are complying with the

text of the Minamata Convention and are enabled to implement it. The implementation of the Minamata Convention by participating countries has clear global environmental benefits.

6) innovation, sustainability and potential for scaling up.

The sustainability of the project will be ensured through the endorsement of the NAP by the main Ministries in charge of its implementation, which means these Ministries will be engaged to allocate resources from national budgets to implement the NAP. The involvement of the private sector since the beginning will also look for increased financial contributions to ensure the interventions will be sustained after the project is completed.

The NAP is also the basis for future national activities to reduce mercury emissions and releases from the ASGM sector in participating countries and therefore has high potential for scaling up. The Africa Institute, which is a regional centre, will take part in the project development and implementation to ensure synergies with other initiatives in participating countries and in the region. Finally, project component 1 will analyse and compile the project lessons learned and good practices, which will be shared with other countries in the region, facilitating the replication of project activities.

2. Stakeholders. Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes X /no ☐) If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation.

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 Africa (ROA)**, 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;

c) The **Minamata Convention Interim 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) The UNEP **Global Mercury Partnership**: is one of the main mechanisms for the delivery of immediate actions on mercury. The ASGM area of the Global Mercury partnership will contribute to support the efforts of participating countries in setting national objectives/reduction targets for ASGM; eliminating the worst practices in ASGM; and exploring innovative market-based approaches to enable the transition away from mercury;

f) Others: such as the regional 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;

g) The **Africa Institute** which will serve as the regional Executing Agency for the project providing all technical support to ensure that the project is implemented in all the participating countries as planned. It will also organize all regional workshops in order to increase the cost efficiency of those events.

The international partners will provide ongoing support to the project.

National stakeholders involved in NAP National Coordination Mechanisms per country:

Table 2: CAMEROON

Government Ministries	Responsibilities / Areas of Expertise
Ministry of Environment, Natural	Focal point for the national implementation of the project. Environmental laws,

Protection and Sustainable	issues, and regulations; Environmental impacts
SAICM Committee	Multi stakeholder group put in place during the National SAICM implementation process. Government Ministries (including Ministry of Mines, Finance and Health), national agencies, private sector and NGOs are members of the Committee.
Law Enforcement officers or forces of law and order (Gendarmerie, Police)	Understanding of how to enforce regulations

Table 3: CENTRAL AFRICAN REPUBLIC

Government Ministries	Responsibilities / Areas of Expertise
Ministry of Environment, Ecology and Sustainable Development	Focal point for the national implementation of the project. Environmental laws, issues, and regulations; Environmental impacts
Ministry of Mining, Energy and Hydraulic	Statistics and data on ASGM; Mining sector laws and regulations;
Ministry of Finance	Economic importance of ASGM; Formalization of ASGM sector; Market-based mechanisms for reducing mercury use; Funding for NAP process
Ministry of Public Health, Social and Humanitarian Affairs	Public health strategies related to ASGM
Ministry of National Education, Higher Education and Scientific Research	Strategies for community outreach and stakeholder involvement
Ministry of Commerce, Industry, Handcrafts and Small and Medium Size Companies	Mercury trade; Formalization; Market-based mechanisms for reducing mercury use
Ministry of Labour, Social Security and Employment	Formalization of ASGM sector
Law Enforcement	Understanding of how to enforce regulations

Table 4: REPUBLIC OF CONGO

Government Ministries	Responsibilities / Areas of Expertise
Ministry of Forest, Economy and Environment	Focal point for the national implementation of the project. Environmental laws, issues, and regulations; Environmental impacts
Ministry of Mines and Geology	Statistics and data on ASGM; Mining sector laws and regulations;
Finance	Economic importance of ASGM; Formalization of ASGM sector; Market-based mechanisms for reducing mercury use; Funding for NAP process
Ministry of Public Health	Public health strategies related to ASGM
Ministry of Higher Education	Strategies for community outreach and stakeholder involvement
Trade and Commerce	Mercury trade; Formalization; Market-based mechanisms for reducing mercury use
Labour	Formalization of ASGM sector
Law Enforcement	Understanding of how to enforce regulations

Table 5: KENYA

Government Ministries	Responsibilities / Areas of Expertise
Ministry of Environment and Natural Resources	Focal point for the national implementation of the project. Environmental laws, issues, and regulations; Environmental impacts
Mining	Statistics and data on ASGM; Mining sector laws and regulations;
Finance	Economic importance of ASGM; Formalization of ASGM sector; Market-based mechanisms for reducing mercury use; Funding for NAP process
Public Health	Public health strategies related to ASGM
Education	Strategies for community outreach and stakeholder involvement
Ministry of Trade and Industry	Mercury trade; Formalization; Market-based mechanisms for reducing mercury use
Labour	Formalization of ASGM sector
Law Enforcement	Understanding of how to enforce regulations

Table 6: SWAZILAND

Government Ministries	Responsibilities / Areas of Expertise
Swaziland Environment Authority	Focal point for the national implementation of the project. Environmental laws, issues, and regulations; Environmental impacts
Department of Geological Surveys and Mining	Statistics and data on ASGM; Mining sector laws and regulations;
Ministry of Finance	Economic importance of ASGM; Formalization of ASGM sector; Market-based mechanisms for reducing mercury use; Funding for NAP process
Ministry of Health	Public health strategies related to ASGM
Ministry of Education and Training	Strategies for community outreach and stakeholder involvement.
Ministry of Commerce, Industry and Trade	Mercury trade; Formalization; Market-based mechanisms for reducing mercury use
Ministry of Labour & Social Security	Formalization of ASGM sector
Law Enforcement	Understanding of how to enforce regulations
Ministry of Economic Planning and Development	Development of economic instruments for regulation of ASGM
Swaziland Revenue Authority	Data and statistics on import and export of mercury used in ASGM.

Table 7: UGANDA

Government Ministries	Responsibilities / Areas of Expertise
Ministry of Water and Environment	Focal point for the national implementation of the project. Environmental laws, issues, and regulations; Environmental impacts
Ministry of Energy and Mineral Development	Statistics and data on ASGM; Mining sector laws and regulations;
Ministry of Finance, Planning and Economic Development	Economic importance of ASGM; Formalization of ASGM sector;

	Market-based mechanisms for reducing mercury use; Funding for NAP process
Ministry of Health	Public health strategies related to ASGM
Ministry of Education and Sports	Strategies for community outreach and stakeholder involvement
Ministry of Tourism, Trade and Industry	Mercury trade; Formalization; Market-based mechanisms for reducing mercury use
Ministry of Justice, Law and Order	Understanding of how to enforce regulations
Ministry of Gender, Labour and Social Development	Formalization of ASGM sector

Table 8: ZAMBIA

Government Ministries	Responsibilities / Areas of Expertise
Ministry of Tourism, Environment and Natural Resources	Focal point for the national implementation of the project. Environmental laws, issues, and regulations; Environmental impacts
Ministry of Mines and Minerals Development	Statistics and data on ASGM; Mining sector laws and regulations;
Ministry of Finance and National Planning	Economic importance of ASGM; Formalization of ASGM sector; Market-based mechanisms for reducing mercury use; Funding for NAP process
Ministry of Health	Public health strategies related to ASGM
Ministry of Education	Strategies for community outreach and stakeholder involvement
Ministry of Commerce, Trade and Industry	Mercury trade; Formalization; Market-based mechanisms for reducing mercury use
Ministry of Labour and Social Security	Formalization of ASGM sector
Law Enforcement	Understanding of how to enforce regulations

Table 9: ZIMBABWE

Government/Ministries	Responsibility/areas of expertise
Ministry of Environment Water and Climate – Environmental Management Agency	Focal point for the national implementation of the project. In charge of environmental laws, issues, and regulations and assessment of environmental impacts
Ministry of Mines and Mining Development	Mines and Mining policy formulation and implementation. The Ministry will provide statistics and data on ASGM.
Ministry of Health and Child Care	Health policy formulation and implementation in relation to ASGM.
Ministry of Finance	The Ministry will contribute in particular with information about the economic importance of ASGM and marked based mechanisms for reducing mercury use.
Ministry of Education	Strategies for community outreach and stakeholder involvement

Ministry of Trade and Commerce	Mercury trade; Formalization; Market-based mechanisms for reducing mercury use
Ministry of Labour	Formalization of ASGM sector
Zimbabwe Republic Police	Law enforcement

Participating countries will also identify national stakeholders from the following groups to participate as members of the advisory group:

Table 10: suggested national stakeholders for the national advisory groups

ASGM Stakeholder Groups	Contribution to Development of NAP
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	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	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	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	Provide insight into market dynamics, and barriers to formalization; also 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)	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.

3) Gender Considerations. Are gender considerations taken into account? (yes X/no☐). If yes, briefly describe how gender considerations will be mainstreamed into project preparation, taken into account the differences, needs, roles and priorities of men and women.

According to the non-governmental organization Women in Europe for a Common Future, in many ASGM areas, women perform the most toxic jobs 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.[17] Moreover, with an estimated 4.5 million women working in artisanal mining, many of childbearing age, low-level exposure to infants during gestation and breast-feeding is a risk.[18] 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.[19]

The project will take into account the gender dimensions of ASGM and mercury related exposure and contamination by ensuring the participation of women's organizations from all participating countries in the project design, implementation and monitoring. Data collected on project component 3 that will develop a national overview of the ASGM sector will search for information desegregated by gender and age. The National Action Plan will fully incorporate the gender dimensions identified in the national overview of the ASGM sector and foster gender equality.

4) Risks. Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable).

Table 11: The following risks together with their mitigation measures haven been identified for this project:

Risks	**Mitigation measures**
Level of commitment or not enough receptivity to the project from one or more of the stakeholders involved **(Low risk)**	Development of a systematic communication campaign to increase concern and engagement from all stakeholders. Build upon previous and ongoing chemicals projects in the country, and take advantage of any already established national chemicals committee/ working groups.
National level stakeholders holding data sets involving mercury unwilling to provide data **(Low risk)**	National focal points will be requested to provide a list of key stakeholders holding data sets at project inception. This will allow stakeholder to be contacted early on in the project, and consulted on the importance of the project.
Data gaps or discrepancies in official records **(Medium risk)**	Collection and analysis of information with assistance from those sectors that are responsible of producing data.

[17] http://www.wecf.eu/english/articles/2013/10/minamata-sideevent.php

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

Risks	Mitigation measures
Timeframe short to deliver expected outputs **(Medium risk)**	Timeframe for this project will be managed with special attention. National stakeholders and partners participating in this project have sufficient experience in bilateral and multilateral projects and will make everything is possible to avoid delays.
Increase in cases of mercury contamination during project execution leads to undesirable communities reaction **(Low risk)**	The project will deploy an intensive campaign to disseminate its activities and objectives to the population and to target groups. Understanding the problem and the importance of taking simple measures to prevent mercury contamination will be prioritized.
Government political support changes and mercury is not considered a national priority **(Low risk)**	The project already has a strong political support and has the commitment of the national Ministries of Environment to be fully implemented.
Potential problematic interaction between broader coordination, civil society groups and industry **(Low risk)**	Stakeholders will be identified and invited to attend the national inception workshop. NGOs will be invited to participate in the project advisory group and a strategy for regular consultation will be developed and agreed upon.
Poor capacity to attract and retain qualified staff and experts **(Low risk)**	The project will manage this risk by means of creating the appropriate incentives for staffs and consultants.
Poor capacity of NGOs on dealing with chemicals issues is also identified **(Medium risk)**	Promote capacity building to NGOs by technical seminars on chemicals issues.
Communication and awareness raising not effective enough **(Low risk)**	Promote and implement risk communication strategies and disseminate information related to the project and mercury issues in general

5) Coordination. Outline the coordination with other relevant GEF-financed and other initiatives.

All the participating countries, except Kenya, are developing or having submitted to the GEF a request for funds for MIA development. The Implementing Agency for all MIA projects is UNEP. The NAP development will be done in close cooperation with the MIA development team to identify synergies, avoid duplications and use projects resources more efficiently.

6. Consistency with National Priorities. Is the project consistent with the National strategies and plans or reports and assessements under relevant conventions? (yes X /no☐). If yes, which ones and how: NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, etc.

This project is contributing to reach UNDAF outcomes in each participating country as detailed below. A representative from the United Nations Country Team from each participating country will be invited to attend the national inception workshops and participate in the national advisory groups to reinforce the linkages between the project, UNDAF outcomes and poverty alleviation.

UNDAF CAMEROON (2013-2017)[20]: The UNDAF in Cameroon is aligned with the national planning cycle, the "Document de Strategie pour la Croissance et l'Emploi" (DSCE), which covers the period from 2010-2019. Based on the DSCE, the UNDAF covers three strategic priorities:

[20] http://undg.org/home/country-teams/africa-western-central/cameroon/

1. Supporting a strong, sustainable and inclusive growth;
2. Support to the promotion of decent employment;
3. Support to Governance and the strategic management of the State.

The UNDAF thus focuses on sustainable and inclusive growth, promotion of decent work and strategic governance. This project will contribute to these priorities by supporting government efforts to formalize the ASGM sector.

UNDAF CENTRAL AFRICAN REPUBLIC (2012-2016)[21]: The 4 cooperation areas in the Central African Republic are:

1. Peacekeeping and strengthened good governance, security and rule of law;
2. Promotion of sustainable and equitable development and of regional integration;
3. Investments in human capital, including combat against HIV and SIDA.

The project contributes towards cooperation area 2.

REPUBLIC OF CONGO: There is no UNDAF for the Republic of Congo. The national focal point for the project development stated that the environmental impacts of ASGM affect in particular poor miners and populations living nearby ASGM areas. The project contributes to reduce the impacts of mercury contamination over these populations, which is a pro poor outcome.

UNDAF KENYA (2014-2018)[22]: The 4 UNDAF strategic results are:

1. Transformational Governance;
2. Human capital development;
3. Inclusive and Sustainable Economic Growth;
4. Environmental Sustainability, Land Management and Human Security.

The project contributes towards strategic result 4, in particular through the formalization of the ASGM sector.

UNDAF SWAZILAND (2011-2015)[23]: The 4 pillars of UNDAF in Swaziland are:

1. HIV and AIDS;
2. Poverty and Sustainable Livelihoods:
3. Human Development and Basic Social Services;
4. Governance.

The project will contribute towards UNDAF pillar 2 by providing a national road map on how ASGM can contribute to poverty alleviation without compromising the health of the affected populations and that of the environment, which also contributes to sustainable livelihoods.

UNDAF UGANDA (2010-2014)[24]: The three broad UNDAF outcomes in Uganda are:

1. Governance and Human Rights;
2. Sustainable Livelihoods;
3. Quality basic social services.

The project will contribute towards UNDAF outcome 2, particularly by promoting sustainable use of the environment and natural resources.

[21] http://undg.org/home/country-teams/africa-western-central/central-african-republic/
[22] http://undg.org/home/country-teams/africa-eastern-southern/kenya/
[23] http://undg.org/home/country-teams/africa-eastern-southern/swaziland/
[24] http://undg.org/home/country-teams/africa-eastern-southern/uganda/

UNDAF ZAMBIA (2011-2015)[25]: The five UNDAF outcomes in Zambia cover the following broad themes:

1) HIV and AIDS;
2) Sustainable livelihoods and Food Security;
3) Human development;
4) Climate Change, Environment and Disaster Risk Reduction and Response;
5) Good Governance and Gender Equality.

The project will contribute to the objective of cleaner production by eliminating the bad practices of use of mercury in gold production in the ASGM sector, reducing environmental and human vulnerability. The project design should include elimination of bad practices in ASGM.

UNDAF ZIMBABWE (2012-2015)[26]*: National Priorities Identified by UNDAF by Zimbabwe:*

1. Good governance for sustainable development;
2. Pro-poor sustainable growth and economic development;
3. Food security at household and national levels;
4. Sound management and use of the environment;
5. Access to and utilisation of quality basic social services for all;
6. Universal access to HIV prevention, treatment, care and support;
7. Women's empowerment, gender equality and equity.

This project will contribute towards:
1. Sound management and use of the environment;
2. Women's empowerment, gender equality and equity;

Pro-poor sustainable growth and economic development.

7) Knowledge Management. Outline the knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives, to assess and document in a user-friendly form, and share these experiences and expertise with relevant stakeholders.

Project component 1 has a knowledge management activity which will allow participating countries to learn from other relevant projects and initiatives, to assess and document in a user-friendly form, and share these experiences and expertise with relevant stakeholders. Moreover, the project has an initial and a final regional lessons learnt workshops where participating countries will have a face-to face oppoetunity to share experiences and identify opportunities for future cooperation.

7) Institutional Framework for project implementation

Implementing Agency (IA): this project will be implemented by UNEP and executed by the Africa Institute. 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.

UNEP Chemicals will support Execution of this project, as part of the Mercury Partnership Programme, and will provide targethed technical assistance to signatories to the Minamata Convention and countries taking significant measures to become parties to the Minamata Convention such as organizing regional/global 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 participating countries and complement project activities.

[25] http://undg.org/home/country-teams/africa-eastern-southern/zambia/
[26] http://undg.org/home/country-teams/africa-eastern-southern/zimbabwe/

All GEF proposed interventions in GEF VI, are complementary to UNEP's Sub programme 5 Harmful Substances and Hazardous Waste, led by UNEP DTIE Chemicals Branch and consistent with the objectives of the medium term strategy for the sub programme for the years 2014 – 2017.

UNEP's work on mercury comprises two tracks:

- Supporting the intergovernmental negotiating committee for the Minamata Convention on Mercury;
- coordinating the UNEP Global Mercury Partnership, a voluntary multi-stakeholder partnership of more than 120 partners and with 8 areas of focus covering the principal sources of mercury use and release.

Both of these tracks are mandated by decisions of the UNEP Governing Council. The UNEP Chemicals, in particular the Metals Team, the Interim Minamata Secretariat and the UNEP Global Mercury Partnership will be consulted regularly to guide the project implementation with its expertise ad experience.

Executing Agency (EA): as EA, the Africa Institute 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 the regional consultants necessary for technical activities and supervise their work. It will also 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 UNEP procedures, and the Africa Institute will provide regular administrative, progress and financial reports to UNEP. The Project Coordinator recruited by the Africa Institute will be located in Pretoria, South Africa.

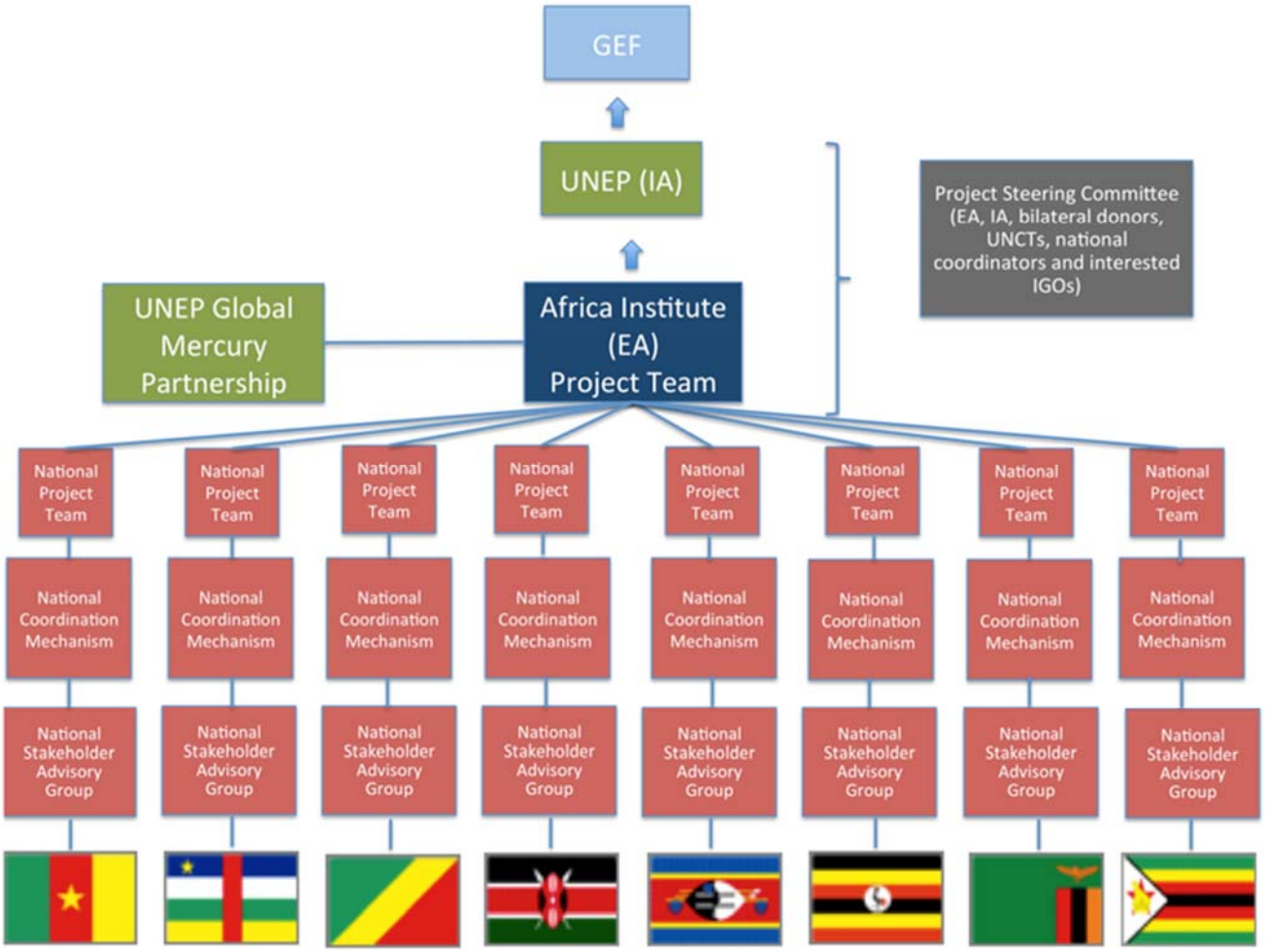
Project Steering Committee will be established, and will meet at the beginning, mid-point and prior to the end of the project. Two meetings will be held back to back with technical meetings while the mid-point meeting will be held through electronic means. Representatives of the EA and IA, bilateral donors, United Nations Country Teams and interested IGOs and other organizations and national coordinators from participating countries will form this committee. The Project Steering Committee will evaluate the progress of the project, giving advice, assessing progress made and taking the necessary measures to guarantee the fulfilment of the goals and objectives. Decisions from the Steering Committee are to be implemented in the project. Each country representative will bring their concerns and will discuss with the Project Steering Committee. Funding for Project Steering Committee Meeting is to be provided by co-finance and GEF.

A **Project Team** will be established within the EA, staffed by a Project Coordinator, technical Advisor/Assistant and Administrative Officer and will be based within the premises of the Africa Institute. The Project Team will be in charge of the execution and management of the project and it will report to UNEP and to the Project Steering Committee. A national focal point, responsible for national level activities, will be nominated by each participating country, and report regularly to the Project Coordinator.

The **National Coordination Mechanisms** will be composed of members from different governmental ministries or departments in each country. The National Coordination Mechanisms will guide the NAP development through all its phases and ensure that there is proper project planning and management throughout the process. These groups are expected to meet regularly (e.g. once a month). The National Coordination Mechanisms will include **National Project Teams** that will lead the national coordination of the project activities daily. Its main function will be to monitor progress, implement the national activities (facilitate exchange, learning and cooperation with other project countries) and support the Executing Agency.

The **National Stakeholder Advisory Group** will be composed of stakeholders who possess relevant knowledge and information, and whose collaboration and cooperation will be needed for the successful formulation and implementation of the NAP. The stakeholder advisory group will include relevant members of civil society with experience and knowledge in the ASGM sector. The National Stakeholder Advisory Group will be consulted at regular intervals and will provide direct feedback on the NAP through a mechanism to be agreed upon by the National Coordination Mechanisms.

Implementation Arrangements (Graph 1)



8) Budgeted Monitoring and Evaluation

Day-to-day management and monitoring of the project activities will be the responsibility of the Executing Agency and the various Ministries of Environment of the eight participating countries. The Africa Institute and Ministries of Environment of the eight participating countries will submit half-yearly reports to UNEP and a Project Implementation Report (PIR) once a year. The various Ministries of Environment of the seven participating countries will be responsible for the recruitment of local/international staff and consultants and the execution of the activities in according with 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. When necessary, it will discuss the obstacles that occurred during the implementation period and the steps taken to overcome them.

The PIR will be prepared on an annual basis with the first report due one year after the start of project implementation according to GEF rules. The eight participating countries to the executing agency and UNEP task manager will submit it.

The eight participating countries National Coordination Mechanisms and National Project Teams (National level) will be kept small but efficient and include the directly concerned stakeholders at the national level. They will meet regularly and will coordinate national activities. The Project Steering Committee (international level) will comprise the Africa Institute, UNEP DTIE Chemicals, the various Ministries of Environment of the eight participating countries, relevant IGOs (UNDP, UNIDO, WHO) and the involved bilateral donors (UNEP). The Project Steering Committee will meet physically twice

during the project implementation, back-to-back with the technical meetings, i.e., regional initial training and inception workshop and final regional workshop or lessons learned workshop. The Project Steering Committee will meet through electronic means at the mid-poin of the project implementation. The Project Steering Committee will monitor the progress of the project, identify areas of cooperation with related initiatives, propose corrective actions and give advice and steers project implementation.

An independent terminal evaluation (TE) will take place at the end of project implementation, the 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 – the Africa Institute 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.

The ToR for the Terminal Evaluation will include specific questions on issues such as: stakeholder management in project countries; anchor of project results in UNDAF; knowledge sharing and management among project countries; assessment of vulnerable group and gender and synergies with ongoing projects.

TABLE 11: MONITORING AND EVALUATION BUDGET

M&E activity	Purpose	Responsible Party	Budget (US$)*[1]	Time-frame
Regional Inception workshop	Awareness raising, building stakeholder engagement, detailed work planning with key groups, defining key sectors in each participating country	UNEP DTIE Chemicals, the Africa Institute	0	Within three months of project start
Regional Inception report	Provides implementation plan for progress monitoring	Project coordinator (the Africa Institute)	0	Within four weeks of the Inception Workshop
Technical Progress reports	Describes progress against annual work plan for the reporting period and provides activities planned for the next period	Project coordinator (the Africa Institute)	0	Biennial
Financial Progress reports	Documents project expenditure according to established project budget and allocations	Project coordinator (the Africa Institute)	0	Quarterly
Project Review by Project Steering Committee	Assesses progress, effectiveness of operations and technical outputs; Recommends adaptation where necessary and confirms implementation plan.	Steering Committee (the Africa Institute)	0	Month 1 or 2, 12 (TC) and 24
Project Implementation Review (PIR)	Progress and effectiveness review for the GEF, provision of lessons learned. This will be undertaken by the Africa Institute, in close consultation with UNEP. The draft report will be forwarded to UNEP for its approval.	UNEP DTIE Chemicals and the Africa Institute	0	Month 12 or after (depending on starting date of project)
Terminal report	Reviews effectiveness against implementation plan highlights technical outputs identifies lessons learned and likely design approaches for future projects,	the Africa Institute	0	At the end of project implementation (Month 24)

	assesses 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 DTIE Chemicals, Independent external consultant	40,000	At the end of project implementation (Month 24)
Independent Financial Audit	Reviews use of project funds against budget and assesses probity of expenditure and transactions.	the Africa Institute	18,000	Annual
Total indicative Monitoring &Evaluation cost*[1]			**58,000**	

*Project steering committee meetings (3) and regional inception workshop (1) will be carried out back to back with other technical meetings, such as the regional initial training and inception workshop (1) and regional lessons learned workshop (1) and through teleconference, therefore cost will be considered as "zero".

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

A. RECORD OF ENDORSEMENT[27] OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S): (Please attach the Operational Focal Point endorsement letter(s) with this template. For SGP, use this SGP OFP endorsement letter).

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).

COUNTRY	NAME	POSITION	MINISTRY	DATE *(Month, day, year)*
CAMEROON	Justin Nantchou Ngoko	Director	**MINISTRY OF ENVIRONMENT, PROTECTION OF NATURE AND SUSTAINABLE DEVELOPMENT**	**07/07/2015**
CENTRAL AFRICAN REPUBLIC	Bertrand Blaise Nzanga	Economist	**MINISTRY OF ENVIRONMENT, ECOLOGY AND SUSTAINABLE DEVELOPMENT**	**06/03/2014**
REPUBLIC OF CONGO	Benjamin Dzaba-Boungou	Director	**MINISTRY OF TOURISM AND ENVIRONMENT**	***EXPECTED 5TH AUGUST 2015***
KENYA	Richard Lesyiampe	Principal Secretary	**MINISTRY OF ENVIRONMENT, WATER NAD**	**06/08/2015**

[27] For regional and/or global projects in which participating countries are identified, OFP endorsement letters from these countries are required even though there may not be a STAR allocation associated with the project.

			NATURAL RESOURCES	
SWAZILAND	Stephen Mfana Zuke	Director, Policy Planning, Research and Information	**SWAZILAND ENVIRONMENTAL AUTHORITY**	**06/18/2015**
UGANDA	Patrick Ocailap	Political Focal Point	**MINISTRY OF FINANCE, PLANNING AND ECONOMIC DEVELOPMENT**	**07/13/2015**
ZAMBIA	Godwin Fishani Gondwe	Council Member	**MINISTRY OF LANDS, NATURAL RESOURCES AND ENVIRONMENT PROTECTIO**	**07/20/2015**
ZIMBABWE	Irvin.D.Kunene	Director, Environment	**MINISTRY OF ENVIRONMENT AND NATURAL RESOURCES**	**06/19/2015**

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies[28] and procedures and meets the GEF criteria for project identification and preparation under GEF-6.

This request has been prepared in accordance with GEF policies[29] 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
Brennan Van Dyke Director, UNEP GEF Coordination Office	Brennan Van Dyke	November 06, 2015	Kevin Helps, Senior Programme Officer - Chemicals Branch / GEF Operations	+(254-20) 762-3140	Kevin.helps @unep.org

C. ADDITIONAL GEF PROJECT AGENCY CERTIFICATION (APPLICABLE ONLY TO NEWLY ACCREDITED GEF PROJECT AGENCIES)

For newly accredited GEF Project Agencies, please download and fill up the required **GEF Project Agency Certification of Ceiling Information Template** to be attached as an annex to the PIF.

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

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

ANNEXES:

- **A. CONSULTANTS TO BE HIRED FOR THE ENABLING ACTIVITY** WITH GEF **FUNDING**
- **B. OFP ENDORSEMENT LETTERS**
- **C. ENVIRONMENTAL AND SOCIAL SAFEGUARDS**
- **D. ACRONYMS AND ABBREVIATIONS**
- **E. SUPERVISION PLAN**
- **F. SITUATION ANALYSIS, OBJECTIVE TREE, SINGLE GENERIC CAUSAL PATHWAYS**
- **G. LOGICAL FRAMEWORK**
- **H. GEF APPROVED BUDGET**

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

Position Titles	*$/ Person Week**	*Estimated Person Weeks***	*Total*	*Tasks To Be Performed*
For Project Management				
Local				
Project coordinator	500	120.00	60'000	Day to day supervision and coordination of the project
Project Assistant	300	118.17	35'450	Financial management of the project and preparation of financial reports
Financial Officer	300	118.17	35'450	Advising the project team on specific technical issues and will review technical outputs
Subtotal		356.33	130'900	
For Technical Assistance				
International				
Int'l consultant for inventory training and development or review	2500	14.40	36'000	Technical support to develop national overview of the ASGM sector and development of the National Action Plan
Subtotal		14.40	36'000	
Total		371	166'900	
Justification for travel, if any: Consultants and project coordinator will travel troughout the country to develop the mercury inventory and conduct the national assessments.				

ANNEX 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:	Regional project on the Development of National Action Plans for the Artisanal and Small Scale Gold Mining in Africa		
GEF project ID and UNEP ID/IMIS Number		***Version of checklist***	
Project status (preparation, implementation, MTE/MTR, TE)	Preparation/ Submission	***Date of this version:***	*30.07.2015*
Checklist prepared by (Name, Title, and Institution)	*Kevin Helps – Senior Programme Officer* *GEF Operations - UNEP DTIE Chemicals*		

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

Section A: Project location

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

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

Section B: Environmental impacts

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

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

Section C: Social impacts

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

	Yes/No/N.A.	*Comment/explanation*
- Does the project respect internationally proclaimed human rights including dignity, cultural property and uniqueness and rights of indigenous people?	Yes	It will respect cultural aspects of participating countries
- Are property rights on resources such as land tenure recognized by the existing laws in affected countries?	N.A.	
- Will the project cause social problems and conflicts related to land tenure and access to resources?	No	The participation of stakeholders involved in the ASGM activity in the national advisory groups will ensure social problems and conflicts related to access to gold will be avoided.
- Does the project incorporate measures to allow affected stakeholders' information and consultation?	Yes	The project will form National Coordinating Committees and National Advisory Groups including all relevant stakeholders. This group will assess project progress at the national level and will propose if necessary corrective actions. Additionally, the Project Executing Agency will provide technical feedback and assistance to countries
- Will the project affect the state of the targeted country's (-ies') institutional context?	Yes	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, in particular article 7.
- Will the project cause change to beneficial uses of land or resources? (incl. loss of downstream beneficial	No	

uses (water supply or fisheries)?		
- Will the project cause technology or land use modification that may change present social and economic activities?	Yes	The National Action Plans will look for the deep causes of mercury use in the ASGM activity in participating countries and suggest alternatives to 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	The National Action Plan will consider the potential negative impacts of policies to reduce mercury use in the ASGM sector as uncontrolled migration. The purpose of the National Action Plan is to identify alternatives to mercury use and not impair livelihoods.
- Will the project cause increased local or regional unemployment?	No	The National Action Plan will consider the potential negative impacts of policies to reduce mercury use in the ASGM sector as increased local or regional unemployment. The purpose of the National Action Plan is to identify alternatives to mercury use and not impair livelihoods.
- 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?	Yes	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	The National Action Plan will consider the potential negative impacts of policies to reduce mercury use in the ASGM sector as impairment of indigenous people's livelihoods. The purpose of the National Action Plan is to identify alternatives to mercury use and not impair livelihoods.
- Will the project cause disproportionate impact to women or other disadvantaged or vulnerable groups?	No	The National Action Plan will consider in particular the potential negative impacts of policies to reduce mercury use in the ASGM sector to women and other disadvantaged or vulnerable groups.
- Will the project involve and or be complicit in the alteration, damage or removal of any critical cultural heritage?	No	
- Does the project include measures to avoid corruption?	Yes	Close supervision of the expenditures will be done at the national level by the EA and overall by UNEP as IA. Cash advances will be related to outputs and held until proper justification of the expenditures and budget plans are provided.
Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.		

Section D: Other considerations

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

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

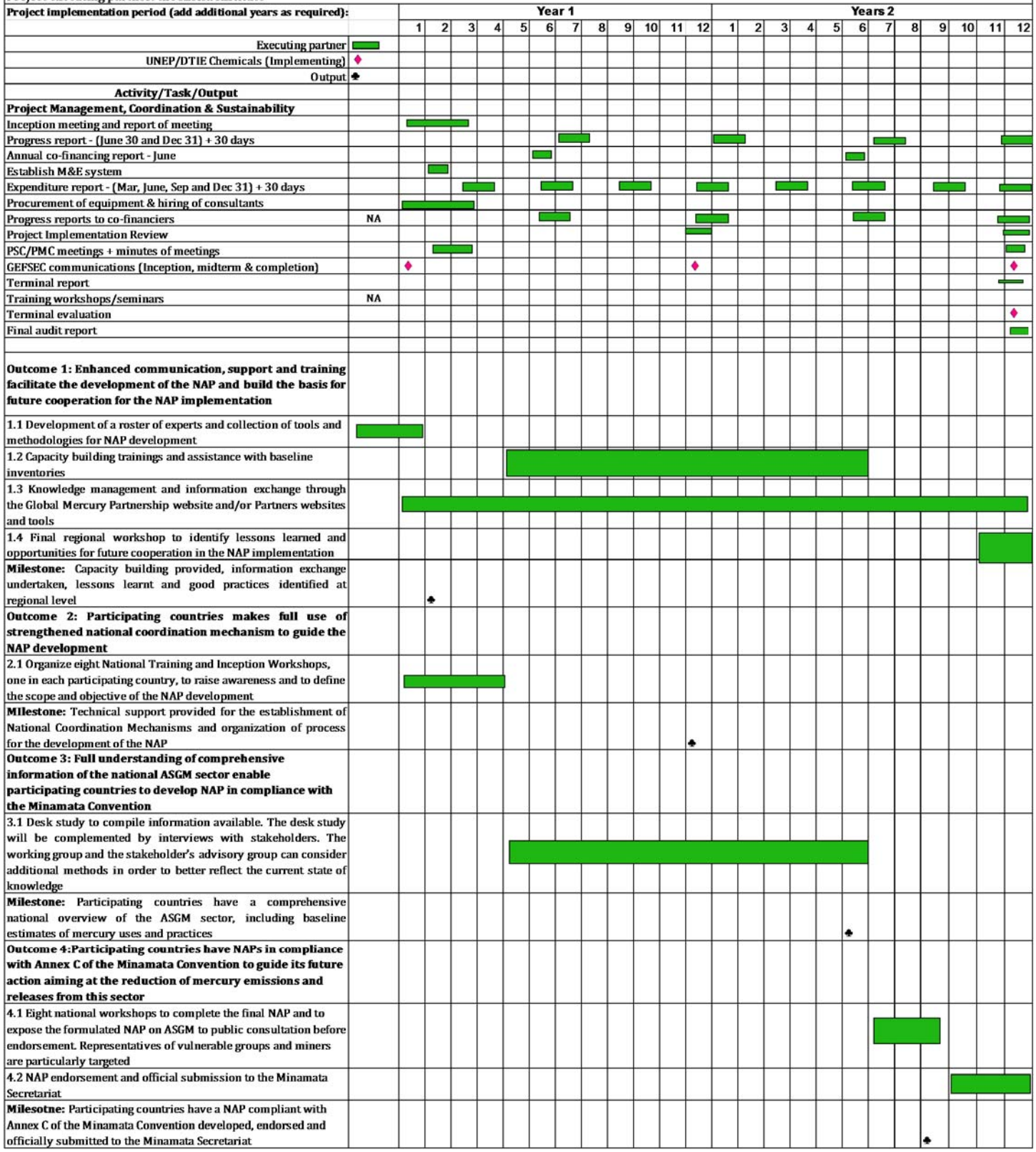
ANNEX D: ACRONYMS AND ABBREVIATIONS

ASGM	Artisanal and Small-Scale Gold Mining
BEAC	Central African States Central Bank
CAPAM	Support and Promotion Framework of Mining Activities Organization
CIEN	Chemical Information Exchange Network
CREPD	Centre for Research and Education for Development (Cameroon)
COPRESSA	Optional Centre for the Promotion and Economic and Social Regeneration Africa-Sector
DSCE	Document de Strategie pour la Croissance et l'Emploi
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 Project
IA	Implementing Agency
INC	Intergovernmental Negotiating Committee
M&E	Monitoring and Evaluation
NAP	National Action Plan
NGOs	Non-governmental Organizations
PMC	Project Management Cost
POPs	Persistent Organic Pollutants
PPG	Project Preparation Grant
PIR	Project Implementation Review
ROA	Regional Office for Africa
SAICM	Strategic Approach for International Chemicals Management
SMMRP	Sustainable Management of Mineral Resources Project
TE	Terminal Evaluation
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
WHO	World Health Organization

ANNEX E: PROJECT SUPERVISION PLAN

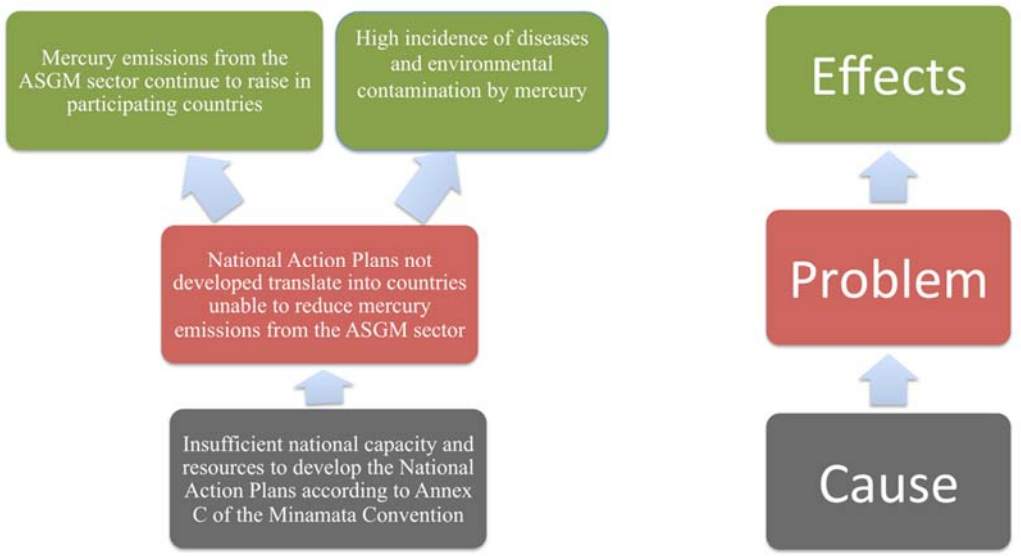
Project Titte: Regional project on the Development of National Action Plans for the Artisanal and Small-scale gold mining in Africa

Project executing partner: the Africa Institute

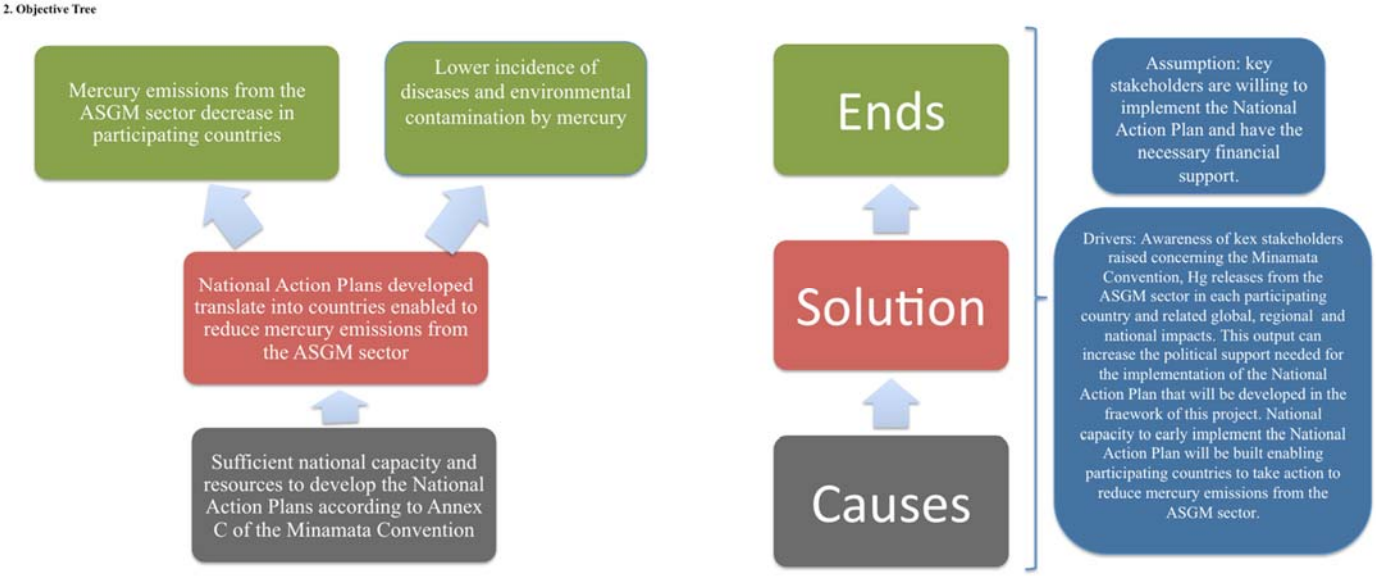


ANNEX F: Situation analysis, objective tree, single generic causal pathways

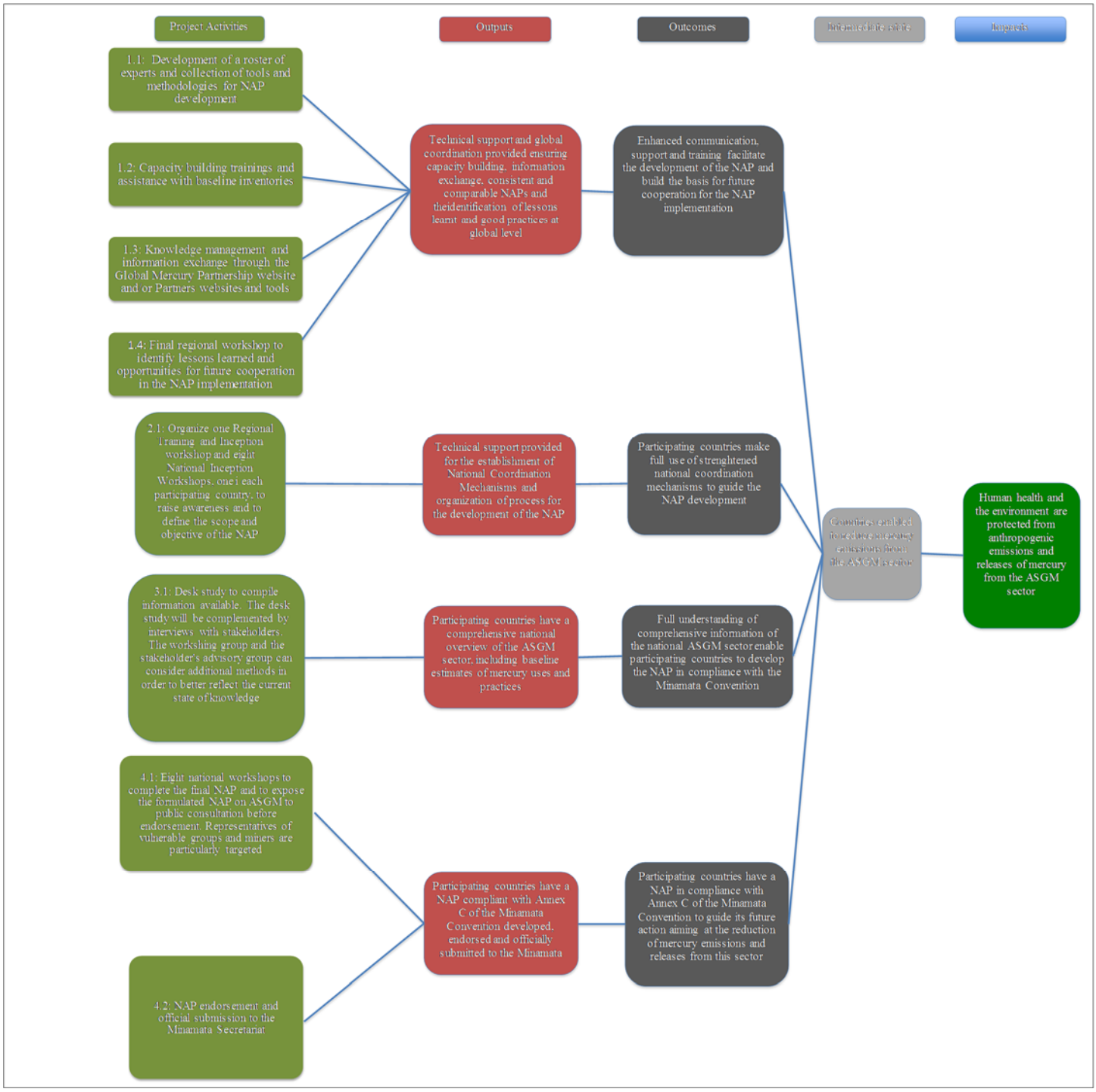
1. Situation analysis



2. Objective Tree



3. Single generic cause pathways



Problem and project objective analysis:

1. Developing countries have insufficient economic resources and guidance to develop a comprehensive overview of the ASGM activity and mercury uses, emissions and releases from this activity. This problem delays considerably the development of National Action Plans for the ASGM sector and prevent the effective implementation of the Convention;
2. Participating countries, except Swaziland have signed the Convention. Swaziland sent a letter signed by a Minister stating that the country is taking meaningful steps to ratify the Convention;
3. Taking into consideration UNEP's extensive expertise on mercury assessments (inventory development guidance and global/regional assessments), participating countries have requested UNEP's assistance to develop the National Action Plans;
4. Participating countries have also requested UNEP's assistance to build the national capacity to implement the National Action Plans if GEF funds are made available for it;
5. This project also aims at reinforcing the National Coordination Mechanism on chemicals management currently operational in the country by ensuring that specific mercury considerations, in particular related to the use, emissions and releases of mercury in the ASGM sector are also addressed while avoiding duplication of efforts;
6. The high level, long-term impacts of this project consist in its contribution to the global efforts to control and reduce anthropogenic mercury emissions.
7. UNEP and the Africa Institute assume that:
    - The project will make full use of existing resources nationally, regionally and globally. Identification of common areas of work and synergies with undergoing or planned activities at the national and international level will be continuously assessed during the project;
    - The project will continue having the political and public support necessary for its implementation;
    - National Stakeholders will facilitate and contribute to the NAP development;
    - Qualified staff and experts to carry out the project activities will be identified and retained;
    - Economic resources will be available to carry out all the project activities.
    - Key stakeholders will endorse the NAP and make full use of the NAP to reduce mercury emissions and releases from the ASGM sector.

ANNEX G: LOGICAL FRAMEWORK[1]

Relevant Expected Accomplishment in the Programme of Work: *Expected accomplishment B: Countries, including Major Groups and stakeholders, increasingly use the scientific and technical knowledge and tools needed to implement sound chemicals management and the related MEAs*			
1. Project Outcome	**Indicators**	**Means of Verification**	
Development of National Action Plans to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in participating countries.	-Number of National Action Plans developed, endorsed and officially submitted to the Minamata Secretariat (*Baseline:* 0. *Target:* at least 6).	- Website of the Minamata Convention on Mercury	
Project milestones that show progress towards achieving the project outcome			**Expected Milestone Delivery Date**
M1: 6 draft NAPs developed			April 2017
M2: 6 NAPs developed, endorsed and officially submitted to the Minamata Secretariat			Dec 2017 (end of project)
2. Project Outputs:	**Indicators**	**Means of Verification**	**PoW-EA Output**
A) Capacity building provided, information exchange undertaken, lessons learnt and good practices identified at regional level	- Number of roster of experts developed (*Baseline*: 0. *Target:*1); - Number of tools and methodologies for NAP development identified (*Baseline*: 0. *Target: at least 5)*; - Number of countries participating in capacity building trainings (*Baseline*: None. *Target:* at least 6); - Number of countries assisted with baseline inventories (*Baseline*: None.	- Website of the Global Mercury partnership; - National baseline estimates of Hg emissions from the ASGM sector.	524.2 Portfolio of GEF funded projects in support of the Minamata Convention

	Target: at least 6); - Number of national baseline estimates of Hg emissions from the ASGM sector available in the Global Mercury Partnership website (*Baseline*: None. *Target:* at least 6).		
Project output Milestones:			**Expected Milestone Delivery Date**
M1: roster and tools and methodologies available to participating countries			March 2016
B) Technical support provided for the establishment of National Coordination Mechanisms and organization of process for the development of the NAP	- Number of stakeholders actively participating in the National Coordination Mechanism and National Advisory Groups; (*Baseline*: 0. *Target:* at least 4 Ministries in the National Coordination Mechanisms in each participating country; representatives of at least 8 stakeholder's groups in each participating country); - Number of consultations with the National Coordination Mechanism and the National Advisory Groups (*Baseline*: 0. *Target:* at least 1 consultation every month with the National Coordination Mechanism and the National Advisory group in each participating country) - Number of women's association actively participating in the National Advisory Groups (*Baseline*: 0. *Target:* at least 1 in each participating country).	-List of participants and minutes of the National Coordination Mechanism meetings; - List of participants of the consultations with the National Advisory Groups.	524.2 Portfolio of GEF funded projects in support of the Minamata Convention
Project Milestones:			**Expected Milestone Delivery Date**
M2: at least 7 consultations with the National Coordination Mechanism and the National Advisory Groups in each country			Dec 2016
C) Participating countries have a comprehensive national overview of the ASGM sector, including baseline estimates of mercury uses and practices	- Number of comprehensive national overviews of the ASGM sector developed. (*Baseline:* 0. *Target:* 6)	- national overviews of the ASGM sector available Global Mercury Partnership website.	524.2 Portfolio of GEF funded projects in support of the Minamata Convention

Project Milestones:			**Expected Milestone Delivery Date**
M3: 6 comprehensive national overviews of the ASGM sector developed			June 2017
D) Participating countries have a NAP compliant with Annex C of the Minamata Convention developed, endorsed and officially submitted to the Minamata Secretariat	- Number of NAP developed, endorsed and officially submitted to the Minamata Secretariat (*Baseline:* 0. *Target:* 6)	- NAP s available at the Minamata Secretariat website.	524.2 Portfolio of GEF funded projects in support of the Minamata Convention
Project Milestones:			**Expected Milestone Delivery Date**
M4: 6 draft NAPs developed			Sep 2017
M4: : 6 NAPs developed, endorsed and officially submitted to the Minamata Secretariat			Dec 2017

IMPORTANT: For projects without full funding, state what results from the log frame will be delivered from the funding available.

1: A milestone should represent the achievement of a project stage or a project achievement and be s*trictly* answerable with a yes or no answer.

ANNEX H: 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:	**4,380,000**		
Project Name:				Regional project on the Development of National Action Plans for the Artisanal and Small-scale gold mining in Africa								IA fee (9.5%):	**380,000**		
Executing Agency:				the Africa Institute								Project funding:	**4,000,000**		
				Africa Institute								EA fee (4%)	**160,000**		
Source of funding (noting whether cash or in-kind):				GEF Trust Fund Cash											
				BUDGET ALLOCATION BY PROJECT COMPONENT/ACTIVITY								**ALLOCATION BY CALENDAR YEAR**			
				Component 1	Component 2	Component 3	Component 4								
				Regional information exchange, capacity building and knowledge generation	Establishment of Coordination Mechanism and organisation of process	Develop a national overview of the ASGM sector, including baseline estimates of mercury use and practices	Develop, endorse and submit to the Minamata Convention Secretariat a NAP on ASGM	Project Management	Monitoring and Evaluation	**Total**		Year 1	Year 2	**Total**
		UNEP BUDGET LINE/OBJECT OF EXPENDITURE		US$	US$	US$	US$	US$		US$		US$	US$	US$
10	**UMOJA CODES**	**PROJECT PERSONNEL COMPONENT**												
		1100	**Project Personnel**											
	1161	1101	Project coordinator					60,000		60,000		30,000	30,000	60,000
	1161	1102	Project assistant					35,450		35,450		17,725	17,725	35,450
		1199	Sub-Total	0	0	0	0	95,450		95,450		47,725	47,725	95,450
		1200	**Consultants w/m**											
	1161	1201	Int'l consultant for inventory training and development or review	0		18,000	18,000			36,000		18,000	18,000	36,000
		1299	Sub-Total	0	0	18,000	18,000	0		36,000		18,000	18,000	36,000
		1300	**Administrative Support**											
	1161	1301	Project Financial Officer					35,450		35,450		17,725	17,725	35,450
		1600	**Travel on official business (above staff)**											
	1561	1601	Travel Project coordinator/project staff		31,900	24,000	32,000			87,900		32,000	32,000	64,000
		1699	Sub-Total	0	31,900	24,000	32,000	35,450		123,350		49,725	49,725	99,450
		1999	**Component Total**	**0**	**31,900**	**42,000**	**50,000**	**130,900**		**254,800**		**115,450**	**115,450**	**230,900**
20		**SUB CONTRACT COMPONENT**												
		2100	**Sub contracts (UN Organizations)**											
	2261	**2101**	UN Sub-contract	400,000						**400,000**		**400,000**	**0**	**400,000**
		2199	Sub-total	**400,000**						**400,000**		**400,000**	**0**	**400,000**
		2200	**Sub-contracts (SSFA, PCA, non-UN)**											
	2261	**2201**	Sub-contract Cameroon		30,000	299,000	30,000	7,000		366,000		**183,000**	**183,000**	366,000
	2261	**2202**	Sub-contract Central African Republic		30,000	299,000	30,000	7,000		366,000		**183,000**	**183,000**	366,000
	2261	**2203**	Sub-contract Republic of Congo		30,000	299,000	30,000	7,000		366,000		**183,000**	**183,000**	366,000
	2261	**2204**	Sub-contract Kenya		30,000	299,000	30,000	7,000		366,000		**183,000**	**183,000**	366,000
	2261	**2205**	Sub-contract Swaziland		30,000	299,000	30,000	7,000		366,000		**183,000**	**183,000**	366,000
	2261	**2206**	Sub-contract Uganda		30,000	299,000	30,000	7,000		366,000		**183,000**	**183,000**	366,000
	2261	**2207**	Sub-contract Zambia		30,000	299,000	30,000	7,000		366,000		**183,000**	**183,000**	366,000
	2261	**2208**	Sub-contract Zimbabwe		30,000	299,000	30,000	7,000		366,000		**183,000**	**183,000**	366,000
	2261	2299	Sub-Total	**0**	**240,000**	**2,392,000**	**240,000**	**56,000**	**0**	**2,928,000**		**1,464,000**	**1,464,000**	**2,928,000**
	2261	**2999**	**Component Total**	**400,000**	**240,000**	**2,392,000**	**240,000**	**56,000**	**0**	**3,328,000**		**1,864,000**	**1,464,000**	**3,328,000**
30		**TRAINING COMPONENT**												
		3200	**Group training (field trips, WS, etc.)**											
	3302 and 3303	3201	Training on inventory development for the ASGM sector (incl. Provision of materials)			100,000				100,000		12,000	12,000	24,000
		3299	Sub-Total	0	0	100,000	0	0		100,000		12,000	12,000	24,000
		3300	**Meetings/conferences**											
	3302 and 3303	3301	Regional project inception workshop		77,400					77,400		77,400		77,400
	3302 and 3303	3302	Final regional lessons learned workshop	75,700						75,700			75,700	75,700
	3302 and 3303	3303	Steering Committee meetings							0		0	0	0
		3399	Sub-Total	75,700	77,400	0	0	0	0	153,100		77,400	75,700	153,100
		3999	**Component Total**	**75,700**	**77,400**	**100,000**	**0**	**0**		**253,100**		**89,400**	**87,700**	**177,100**
40		**EQUIPMENT and PREMISES COMPONENT**												