



GEF-6 REQUEST FOR Chemicals and Wastes ENABLING ACTIVITY

PROPOSAL FOR FUNDING UNDER THE GEF Trust Fund

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PART I: PROJECT IDENTIFIERS

Project Title:	Minamata Convention: Initial Assessment in Cabo Verde and Sao Tome and Principe		
Country(ies):	Cabo Verde and Sao Tome and Principe	GEF Project ID: ¹	
GEF Agency(ies):	UNIDO (select)	GEF Agency Project ID:	140371
Other Executing Partner(s):	Biodiversity Research Institute (BRI)	Submission Date:	9/11/2015
GEF Focal Area (s):	Chemicals and Wastes	Project Duration (Months)	24
Type of Report:	Minamata Convention Initial Assessment (MIA)	Expected Report Submission to Convention	n/a

A. PROJECT FRAMEWORK*

Project Objective: Pre-ratification activities under the Minamata Convention completed to enable policy and strategic decision making and to prioritize areas for future interventions				
Project Component	Project Outcomes	Project Outputs	(in \$)	
			GEF Project Financing	Confirmed Co-financing ²
1.Needs assessment of institutional and national capacity to implement the Minamata Convention	1. National capacity improved to ratify and prepare for implementation of the Minamata Convention	<p>Output 1.1: Institutional gaps identified and national coordination on mercury established</p> <p>Output 1.2: Review of existing mercury related regulations and identification of needed policy reforms to prepare for implementation of the Minamata Convention completed</p> <p>Output 1.3: National mercury profile established based on the initial inventory and key sectors identified for intervention and investment to reduce, and where possible eliminate, mercury use, release, and emissions</p> <p>Output 1.4: Dissemination of information among relevant stakeholder groups (academia, public and private sectors, and civil society) conducted</p>	344,000	155,200

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

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

2. Monitoring and Evaluation	2. Project achieves objective on time through effective monitoring and evaluation	2.1 Periodic monitoring and terminal evaluation of project implementation completed	20,000	10,000
Subtotal			364,000	165,200
Project Management Cost ³			36,000	22,000
Total Project Cost			400,000	187,200

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

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

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
GEF Agency	UNIDO	Grants	15,200
GEF Agency	UNIDO	In-kind	22,000
Recipient Government	Cabo Verde	In-kind	20,000
Recipient Government	Sao Tome and Principe	In-kind	50,000
CSO	Biological Research Institute (BRI)	In-kind	80,000
Total Co-financing			187,200

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

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) ^{b)}	Total (c)=a+b
UNIDO	GEFTF	Cabo Verde	Chemicals and Wastes	Mercury	200,000	19,000	219,000
UNIDO	GEFTF	Sao Tome and Principe	Chemicals and Wastes	Mercury	200,000	19,000	219,000
Total GEF Resources					400,000	38,000	438,000

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

PART II: ENABLING ACTIVITY JUSTIFICATION

A. ENABLING ACTIVITY BACKGROUND AND CONTEXT (Provide brief information about projects implemented since a country became party to the convention and results achieved):	<p>The Minamata Convention on Mercury is a global treaty to protect human health and the environment from the adverse effects of mercury. The Minamata Convention has a phased approach to reduce, and where possible, eliminate mercury use in key industrial sectors. Provisions of the Convention include phase out deadlines established for supply sources and trade, mercury added products, and manufacturing processes in which mercury or mercury compounds are used. Based on these targets, the Convention is designed to systematically reduce emissions and releases to land and water, and phase out the use of mercury where alternatives exist.</p> <p>The legally binding global instrument was agreed at the fifth session of the Intergovernmental Negotiating Committee in Geneva, Switzerland, 19 January 2013. The treaty was formally adopted and opened for signature at the Conference of Plenipotentiaries held from 9 to 11 October 2013 in Minamata and Kumamoto, Japan. Up to June 2015, 128 countries had signed the treaty and 12 had ratified it. Cabo Verde and Sao Tome and Principe have not signed the Convention but are taking steps towards ratification/accession, as indicated in the letters sent by both countries to the Executive</p>
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³ This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or co-financing sources. For EAs within the ceiling, PMC could be up to 10% of the Subtotal GEF Project Financing.

	<p>Director of UNEP and the GEF CEO.</p> <p>In Sao Tome and Principe, the political instability marked by frequent changes in the Government prevented the country to sign the Minamata Convention. However, with the new government elected in 2014, which counts with absolute majority in parliament, Sao Tome is now confident and able to make efforts to reduce mercury use, emissions and releases, which will help the country to sign the Convention. In the case of Cabo Verde, the lack of information is the major reason why the country has not yet signed the treaty.</p> <p>In order to meet the obligations under the Convention, other barriers must also be addressed. These include:</p> <ul style="list-style-type: none"> (a) Institutional barriers: lack of institutional capacity to implement the Convention; (b) Policy barriers: gaps in political and legislative frameworks to support Convention provisions; (c) Capacity barriers: lack of data on sources of emissions and releases, as well as outdated national inventories of mercury stocks; (d) Awareness barriers: low awareness of health risks associated with mercury among the public and government officials, with limited occupational safety mechanisms in place to reduce community exposure to mercury; and (e) Technological barriers: lack of knowledge on non-mercury technologies. <p>In order to overcome these barriers the two countries will require assistance to formulate and apply sector wide programs through cost effective approaches within the context of national development efforts.</p> <p>In Cabo Verde and Sao Tome and Principe, the mercury is mostly found in commercialized mercury-added products, such as batteries, cosmetic products, amalgam fillings, fluorescent lamps, electronics (switches, and thermostats), vaccines, measuring devices (thermometers, manometers, barometers, sphygmomanometers), etc. These products are imported and when obsolete, disposed improperly.</p> <p>Both countries have not yet produced a mercury inventory or study, which explains the lack of data on the topic. In addition, no mercury-related projects have been implemented in these countries and no policies or regulations elaborated.</p> <p>Consequently, important baseline data remains largely unknown in both countries, such as:</p> <ul style="list-style-type: none"> (a) the quantity and distribution of mercury stocks, supplies, trade and trans-boundary movement; (b) the amount of mercury being used and disposed from various sectors; (c) the handling of waste mercury; (d) and the extent of mercury pollution. <p>As sound mercury management is not yet integrated into sustainable development planning in these countries, insufficient mechanisms to handle hazardous wastes may weaken the basis for effective environmental management. Moreover, the two countries do not have the resources or the capacity to address mercury-related problems and promote the uptake of low mercury or mercury free technologies.</p> <p>The development of the Minamata Initial Assessment (MIA) will address these issues by providing the basic and essential information to enable policy and strategic decision to be made and assist in developing plans to identify priority activities within both participant countries.</p>
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<p>B. ENABLING ACTIVITY GOALS, OBJECTIVES, AND ACTIVITIES (The proposal should briefly justify and describe the project framework. Identify also key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable. Describe also how the gender dimensions are considered in project design and implementation):</p>	<p>The project will strengthen the national capacity of these countries to fulfill obligations under the Minamata Convention and promote effective implementation of its provisions. In order to reach that goal, the activities proposed will assist the Government and industrial partners to better understand the national operations on mercury, as well as its emissions, and to increase awareness of risks to human and ecosystem health.</p> <p>With the support of GEF, pollution sources can be identified systematically to select areas for future intervention, while institutional and capacity needs assessment, as well as policy analysis can assist Cabo Verde and Sao Tome and Principe to identify potential barriers to implement and ratify the Convention. GEF resources will also assist the country to disseminate project achievements in the national level and help to leverage international support, as well as investments for additional projects in these countries to promote sound chemicals management as a key component of inclusive and sustainable industrial development.</p> <p>The key stakeholders involved in the project are as follows:</p> <p>UNIDO will act as the GEF Implementing Agency (IA) for the project. The UNIDO project manager will provide technical advice, as well as coordinate and monitor the project activities.</p> <p>The Biodiversity Research Institute (BRI) will act as the main executing agency, assisting with day-to-day management and providing technical expertise for the development of all mercury related activities. BRI is a nonprofit organization dedicated towards supporting global health through collaborative ecological research, assessment of ecosystem health, improving environmental awareness, and informing science based decision making.</p> <p>The project will be executed via subcontract to BRI at approximately USD 360,000. Please refer to Annex A for a total estimation of the GEF grant and co-financing budget breakdown.</p> <p>Budget for the final evaluation is included as part of the monitoring and evaluation table on page 10.</p> <p>The Ministry of Environment, Housing and Land Planning (MEHLP) through the National Directorate of Environment, Cabo Verde; and the Ministry of Public Works, Natural Resources and Environment (MPWNRE), through its General Directorate for the Environment, Sao Tome and Principe; will serve as the main governmental counterparts, in the respective countries, providing national leadership. The Minamata Convention focal point will be responsible for the day-to-day compliance with the treaty and its provisions. They will also act as the chair and secretariat of the National Steering Group (NSG).</p> <p>The NSG will be established in each country as an inter-ministerial Steering Group comprised of UNIDO representatives, technical and policy experts from BRI, relevant ministries, and industrial associations to provide overall guidance and coordination for the execution of relevant activities, providing strategic inputs and contributions to project management as needed. All project amendments will be done in accordance with UNIDO rules and regulations and GEF policy GEF/C.39/Inf.3.</p>
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	<p>Mercury Containing Product users will be sensitized through training and engaged with to promote the reduction and/or elimination of mercury in target industrial sectors as identified in the national mercury profile. Selected key industries will assist in the planning of interventions for future technology transfer and demonstration of mercury-free production methods to promote cleaner production in the industrial sector.</p> <p>Civil Society Organizations, including industry associations, academia and NGOs, will act as a bridge to connect government institutes, technical experts, and relevant industries to assist in the development and implementation of policies to fulfill obligations under the Convention. This network of associations will liaise with primary mercury extractors and users to increase awareness, share knowledge and promote technology transfer to reduce mercury use within the enabling activities framework.</p> <p>An expert team comprised of national and international consultants and technical specialists will be recruited to provide technical support. The team will be selected based on technical expertise to support appropriate policy and legal gap analysis, assist in development of the national mercury profile and plan activities for institutional capacity development.</p> <p>The project will not have an impact on indigenous people groups as they are not present in the region where the project will be executed.</p> <p>Please refer to Annex B for a flow chart of various stakeholders.</p> <p>Recognizing that the level of exposure to mercury and its related impacts on human health are determined by social and biological factors, women, children and men might be exposed to different kinds, levels and frequency of mercury. Therefore, gender mainstreaming will be included as part of the project. This will be addressed based on UNIDO's gender policy, among others by involving women and vulnerable groups at the stakeholder level, in the information sharing and dissemination events as well as in the project coordination unit.</p> <p>The involvement and participation of women and vulnerable groups will be summarized in the initial inventory report and gender disaggregated data collected to provide a basis for prioritization, development of sectoral intervention plans and future projects.</p> <p>Special attention will be paid to gender equality when evaluating and inviting members to participate to the National Steering Group and when inviting stakeholders to awareness raising workshops. During recruitment process, female candidates will be encouraged to apply. For candidates with similar technical qualifications, preference will be given to women.</p> <p>The majority of socio-economic benefits associated with this project will manifest when the interventions required under the Convention are implemented, contributing to the achievement of MDG 7 (Sustainable development), MDG 4 (Reduce child mortality) and MDG 6 (Combat diseases).</p>
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<p>C. DESCRIBE THE ENABLING ACTIVITY AND INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION (discuss the work intended to be undertaken and the output expected from each activity as outlined in Table A).</p>	<p>This project sets out the activities necessary to prepare a MIA to support efficient implementation of the Minamata Convention within the national and regional context. The project will assist Cabo Verde and Sao Tome and Principe to plan these pre-ratification activities while mainstreaming sound mercury management into legal and institutional structures that are fully in line with national priorities.</p> <p>The initiative will also help the country to collect baseline information on mercury use, emissions and releases that will serve as input to the design of future interventions required by the treaty, such as the development of a National Implementation Plan that may be required by the Conference of Parties within a few years of its entry into force. The treaty is expected to enter into force in two to three years.</p> <p>The planned activities per output are listed below:</p> <p><u>Output 1.1:</u> Institutional gaps identified and national coordination on mercury established</p> <p>Activity 1.1.1 Conduct national project coordination meetings</p> <p>Activity 1.1.2 Establish an inter-ministerial Steering Group (National Steering Group)</p> <p>Activity 1.1.3 Identify institutional capacity gaps and barriers</p> <p>Activity 1.1.4 Organize capacity development workshops and trainings</p> <p><u>Output 1.2:</u> Review of existing mercury related regulations and identification of needed policy reforms to prepare for implementation of the Minamata Convention completed</p> <p>Activity 1.2.1 Evaluate existing structures, policies, strategies, laws and regulations</p> <p>Activity 1.2.2 Sensitize policy makers regarding policy gaps</p> <p>Activity 1.2.3 Prepare a list of needed mercury related regulations while considering the vulnerabilities of different gender groups</p> <p><u>Output 1.3:</u> National mercury profile established based on the initial inventory and key sectors identified for intervention and investment to reduce, and where possible eliminate, mercury use, release, and emissions</p> <p>Activity 1.3.1 Conduct national mercury inventory training</p> <p>Activity 1.3.2 Collection data for the initial national mercury inventory</p> <p>Activity 1.3.3 Draft initial national mercury inventory</p> <p>Activity 1.3.4 Identified key sectors for intervention</p> <p>Activity 1.3.5 Develop intervention plans</p> <p><u>Output 1.4:</u> Dissemination of information among relevant stakeholder groups (academia, public and private sectors, and civil society) conducted</p> <p>Activity 1.4.1 Develop communication materials taking into account the impacts of mercury on and vulnerability of different gender groups</p> <p>Activity 1.4.2 Organize and conduct awareness raising campaigns and workshops adapting time and location of the events to different gender groups' needs</p> <p>Activity 1.4.3 Conduct regional meeting to share experience and lessons learned</p> <p>Please refer to the attached logical framework in Annex C for specific outputs and their associated indicators, verifications and assumptions.</p>
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<p>D. DESCRIBE, IF POSSIBLE, THE EXPECTED <u>COST-EFFECTIVENESS</u> OF THE PROJECT:</p>	<p>The project is expected to be highly cost effective as it is fully in line with the goals of Cabo Verde and Sao Tome and Principe to fulfill the full range of obligations under the Convention, as well as regulate anthropogenic emissions and releases of mercury in order to protect human health and the environment. With the GEF support, patterns of mercury consumption and release will be assessed to facilitate the design of targeted interventions, which in turn provide global and local benefits through reduced emissions to the environment. Through institutional capacity development and enhancement at the national level, potential contamination risks from the use of mercury-added products will also be minimized.</p> <p>To ensure cost effectiveness, infrastructure and human resources at each governmental counterpart involved in the project will be efficiently utilized. Most project activities will be carried out by national experts. This will foster an increase in local and national capacity to manage mercury and will contribute to the cost effectiveness of the project through reduced consultancy fees and travel expenses. This initiative will serve as a model for other MIA projects under the GEF-6 replenishment period.</p> <p>Project implementation and execution is expected to remain at low risk. UNIDO has solid experience in promoting environmentally sound management of mercury and plays an important role as co-lead of the ASGM sector under the Global Mercury Partnership – the main mechanism and technical advisory group of the Minamata Convention. UNIDO has also extensive experience with enabling activities through the Stockholm Convention National Implementation Plans (NIPs) and NIP updates.</p> <p>Lessons learned and experience gained by UNIDO in the West Africa region through the development of mercury-related projects, as well as capacity building initiatives on POPs, are comparative advantages to the implementation of the project. The local and regional presence of UNIDO in the field will also help to ensure the smooth development of project activities.</p> <p>In addition, BRI has broad experience providing guidance, training, and technical support to assist countries in assessing their existing legal, institutional, administrative, and technical infrastructures for sound chemicals management. Through its Tropical Programme, BRI has supported over 40 countries to (a) identify 'hotspots' of mercury accumulation where mercury concentrations represent a risk to human and ecosystem; (b) develop strategies and national action plans for reducing the use of mercury by small-scale miners; and (c) identify species and ecosystems at risk of mercury exposure.</p> <p>BRI has been actively involved in the negotiations of the Minamata Convention by creating a mercury database clearinghouse and helping countries to meet the requirements of the treaty. BRI is a member of the Mercury Air Transport and Fate Research, as well as the Artisanal and Small-scale Gold Mining areas of the Global Mercury Partnership.</p>
<p>E. DESCRIBE THE BUDGETED M&E PLAN:</p>	<p>Monitoring and evaluation (M&E) for this project will rely on several levels of review, quality control and feedback. Overall M&E will be conducted by UNIDO through annual supervision visits to the participant countries. The National Steering Group including the main project stakeholders will meet annually to: (a) review annual work plan, (b) assess progress against M&E targets as indicated in the Project Results Framework, (c) review interim and final reports, and (d) assess any gaps or weakness and make appropriate adaptive management decisions based on progress and achievements. Work plan for year two will be based on the results achieved in the first year, including associated budget allocations, in agreement with the GEF and UNIDO's rules and guidelines and GEF Council Documents GEF/C.39.09 and GEF/C.39.03/Inf.3. UNIDO's office in Cameroon (in charge of Sao Tome and Principe) and Senegal (in</p>

	<p>charge of Cabo Verde) will assist and participate in monitoring and evaluation visits as needed.</p> <p>The final evaluation, to be conducted by an independent evaluator, will be arranged by the UNIDO project manager with support from UNIDO’s Evaluation Group and reports submitted to the donor within 90 days of project end. Please see below for a summary of the monitoring and evaluation plan as well as the related budget breakdown.</p> <p>Programmatic M&E: the main executing partner, BRI, will be responsible for day-to-day management and execution of the project, reporting semi-annually to UNIDO. Progress of activities and outputs against the targets and desired outcomes will be assessed bi-annually by the executing partners using the means of verification and impact indicators for measurement explained in the Project Results Framework.</p> <p>Financial Monitoring: All project costs will be accounted for and documented. Financial reports will be required from the executing agency according to UNIDO standard accounting procedures.</p> <p>According to the Monitoring and Evaluation policy of the GEF and UNIDO, follow-up studies like Country Portfolio Evaluations and Thematic Evaluations can be initiated and conducted. All project partners and contractors are obliged to (a) make available studies, reports and other documentation related to the project and (b) facilitate interviews with staff involved in the project activities.</p> <p>Legal context clause: It is expected that each set of activities to be implemented in the target countries will be governed by the provisions of the Standard Basic Cooperation Agreement concluded between the Government of the recipient country concerned and UNIDO or – in the absence of such an agreement – by one of the following: (i) the Standard Basic Assistance Agreement concluded between the recipient country and UNDP, (ii) the Technical Assistance Agreements concluded between the recipient country and the United Nations and specialized agencies, or (iii) the Basic Terms and Conditions Governing UNIDO Projects.</p> <p>Monitoring and Evaluation table</p> <table><tr><th rowspan="2">M&E activity</th><th rowspan="2">Time</th><th colspan="2">Budget [USD]</th></tr><tr><th>Cash [USD]</th><th>In-Kind</th></tr><tr><td>Start-up workshop report*</td><td>Within 3 months of project start</td><td>0</td><td>0</td></tr><tr><td>Project review by NSG at the end of year 1 *</td><td>Month 12</td><td>0</td><td>0</td></tr><tr><td>Project review by NSG and RSG at the end of the project*</td><td>Month 24</td><td>0</td><td>0</td></tr><tr><td>Terminal evaluation</td><td>At project closure</td><td>20,000</td><td>10,000</td></tr><tr><td>Total M&E cost</td><td></td><td>20,000</td><td>10,000</td></tr><tr><td colspan="2">*Funded by Project Management Costs</td><td></td><td></td></tr></table>	M&E activity	Time	Budget [USD]		Cash [USD]	In-Kind	Start-up workshop report*	Within 3 months of project start	0	0	Project review by NSG at the end of year 1 *	Month 12	0	0	Project review by NSG and RSG at the end of the project*	Month 24	0	0	Terminal evaluation	At project closure	20,000	10,000	Total M&E cost		20,000	10,000	*Funded by Project Management Costs			
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F. EXPLAIN THE DEVIATIONS FROM TYPICAL COST RANGES (WHERE APPLICABLE):	Not applicable.																														

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


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

NAME	POSITION	MINISTRY	DATE (Month, day, year)
Mr. Moises BORGES (Cabo Verde)	Director General, General Directorate of Environment	MINISTRY OF ENVIRONMENT, AGRICULTURE AND FISHERIES	02/04/2015
Mr. Lourenco MONTEIRO DE JESUS (Sao Tome and Principe)	Director of Environmental Education and Statistics	MINISTRY OF PUBLIC WORKS AND NATURAL RESOURCES	02/25/2015

B. CONVENTION PARTICIPATION

	DATE SIGNED (MM/DD/YYYY)	NATIONAL FOCAL POINT	DATE OF NOTIFICATION UNDER ARTICLE 7 TO THE MINAMATA CONVENTION SECRETARIAT
MINAMATA CONVENTION	NOT SIGNED	MARIO DANTAS DOS REIS (CABO VERDE) DARNEL HÉLIO DE SOUSA BAÍA (SAO TOME AND PRINCIPE)	

C. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies ⁴ and procedures and meets the standards of the GEF Project Review Criteria for Chemicals and Waste Enabling Activity approval in GEF 6.					
Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	E-mail Address
Philippe R. Scholtès, Managing Director Programme Development and Technical Cooperation Division, UNIDO GEF Focal Point		9/11/2015	Manuel CABALLERO ALARCON	+43 126026 3717	M.Caballero- Alarcon@unido.org

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

