



# REQUEST FOR PERSISTENT ORGANIC POLLUTANTS ENABLING ACTIVITY

PROPOSAL FOR FUNDING UNDER THE GEF TRUST FUND

## PART I: PROJECT IDENTIFIERS

EA Title:	Development of Minamata Convention on Mercury Initial Assessment in Brazil		
Country(ies):	Brazil	GEF Project ID: <sup>1</sup>	
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01299
Other Executing Partner(s):	Ministry of Environment of Brazil	Submission Date:	27May 2014
GEF Focal Area (s):	Persistent Organic Pollutants	Project Duration (Months)	24 months
Check if applicable:	NCSA <input type="checkbox"/> NAPA <input type="checkbox"/>	Agency Fee (\$):	78,082

## A. EA FRAMEWORK\*

<b>EA Objective:</b> to facilitate the ratification and early implementation of the Minamata Convention by providing key national stakeholders in Brazil with the scientific and technical knowledge and tools needed for that purpose					
EA Component	Grant Type	Expected Outcomes	Expected Outputs	Grant Amount (\$)	Confirmed Co-financing (\$)
1. Use of existing Coordination Mechanism (CONASQ) and organization of process	TA	Brazil make full use of enhanced existing structures and information available dealing with mercury management to guide ratification and early implementation of the Minamata Convention	Technical support provided for the use of National Coordination Mechanism and organization of process for the management of mercury	114,200	236,000
2: Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation	TA	Full understanding of comprehensive information on current infrastructure and regulation for mercury management enables Brazil to develop a sound roadmap for the ratification and early implementation of the Minamata Convention	Assessment prepared of the national infrastructure and capacity for the management of mercury, including national legislation	168,102	366,300
3. Development of a mercury inventory using the UNEP mercury toolkit including the identification of mercury contaminated sites	TA	Enhanced understanding on mercury sources and releases facilitates the development of national priority actions	Mercury inventory developed including the identification of mercury contaminated sites using the UNEP mercury tool kit	278,300	461,800
4. Preparation, validation of National	TA	Brazil and key stakeholders, made full	Technical support provided for	140,596	225,900

<sup>1</sup> Project ID number will be assigned by GEFSEC.

MIA report and implementation of awareness raising activities and dissemination of results		use of the MIA and related assessments leading to the ratification and early implementation of the Minamata Convention on Mercury	preparation and validation of National MIA reports and implementation of awareness raising activities and dissemination of results		
Subtotal				701,198	1,290,000
EA Management Cost <sup>2</sup>				74,720	400,000
Monitoring and evaluation				46,000	0
<b>Total EA Cost</b>				<b>821,918</b>	<b>1,690,000</b>

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

#### B. CO-FINANCING FOR THE EA BY SOURCE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount (\$)
National government	Brazilian Government	In-kind	1,650,000
GEF Agency	UNEP	In.kind	40,000
<b>Total Co-financing</b>			<b>1,690,000</b>

<sup>2</sup> 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.

**C. GRANT RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY**

<b>GEF Agency</b>	<b>Type of Trust Fund</b>	<b>Focal Area</b>	<b>Country Name/Global</b>	<b>EA Amount (a)</b>	<b>Agency Fee (b)<sup>2</sup></b>	<b>Total (c)=(a)+(b)</b>
UNEP	GEF TF	Chemicals	Brazilian Government	821,918	78,082	900,000
<b>Total Grant Resources</b>				821,918	78,082	900,000

**D. EA MANAGEMENT COST**

<b>Cost Items</b>	<b>Total Estimated Person Weeks/Months</b>	<b>Grant Amount (\$)</b>	<b>Co-financing (\$)</b>	<b>Project Total (\$)</b>
Local consultants*	474.72	74'720	400'000	474'720
International consultants*	0	0		0
Office facilities, equipment, vehicles and communications*				
Travel*				
Others**				
<b>Total</b>	<b>474.72</b>	<b>74'720</b>	<b>400'000</b>	<b>474'720</b>

\* Details to be provided in Annex 1.

\*\*For Others, to be clearly specified by overwriting fields (1)-(3)

**ADDITIONAL INFORMATION FOR TABLE D, IF APPLICABLE:**

If costs for office facilities, equipment, vehicles and communications, travels are requesting for GEF financing, please provide justification here: GEF financing is requested for travels and communications. Travel is needed to conduct the national inventory of all mercury sources and releases and to deliver the training workshop on mercury inventory.

## **PART II: ENABLING ACTIVITY JUSTIFICATION**

### **A. ENABLING ACTIVITY BACKGROUND AND CONTEXT:**

The Minamata Convention on Mercury identifies and describes in its Article 13 the financial mechanism to support Parties from developing countries and countries with economies in transition to implement the Convention. It identifies two entities that will function as the Financial Mechanism: a) the Global Environment Facility Trust Fund; and b) A specific international Programme to support capacity-building and technical assistance. The GEF Programming for its replenishment V highlights the strong commitment of the GEF to support the ratification and further implementation of the Minamata Convention on Mercury. Additionally, at its 44<sup>th</sup> Meeting in June 2013, the GEF Council considered document GEF/C.44/04, *Preparing the GEF to serve as the Financial Mechanism of the Minamata Convention on Mercury upon entry into force* and its decision, inter alia: “Authorized the use of up to 10 million for the funding of an early action pre-ratification programme for the Minamata Convention on Mercury to be programmed during the remainder of GEF-5, upon request by eligible signatory countries. It also requested the GEF Secretariat to develop initial guidelines consistent with the final resolutions of the Diplomatic Conference for enabling activities and pre-ratification projects, in consultation with the interim Secretariat of the Minamata Convention on Mercury and presented this as an information document at the 45<sup>th</sup> Council Meeting”

The GEF financial support of mercury related activities is included in the GEF V Focal Area Strategies document, which addresses mercury issues under the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury Reduction, which has as an outcome 3.1 to build country capacity to effectively manage mercury in priority sectors.

The pre-ratification programme for the Minamata Convention on Mercury complements the 15 million USD assigned from GEF to support mercury projects since the start of GEF V (2010). The 15 million USD, initially allocated during GEF V, have been exhausted in 2013, therefore the 10 additional million USD are for countries that have the firm purpose to ratify the Convention and are to support the pre-ratification programme. These additional funding is made available with the purpose to :a) assess national regulatory framework in the context of preparation for a decision whether to ratify; b) decide if there is a justification to notify the convention in accordance with article 7; c) prepare to implement the obligations of the Minamata Convention on Mercury as soon as possible. As such, the GEF Secretariat, consistent with paragraph 9 (b) of the GEF Instrument, in the interim period between adoption of the Convention and the COP1, as well as after the COP1, will support developing countries and countries with economies in transition that: a) have signed the Convention; and b) are eligible for World Bank (IBRD and/or IDA) financing or eligible recipients of UNDP technical assistance through its target for resource assignments from the core (TRAC).

Brazil has indicated that availability of data is a major challenge to design adequate strategies for mercury control and reduction. For instance, Brazil has only limited and incomplete data on its mercury uses and releases. Although Brazil has several environmental studies that refer to atmospheric, aquatic, terrestrial and biotic media, most of these data refers to the use of mercury in artisanal and small-scale gold mining only. Few data involve mercury analysis of other 43 source categories as mentioned in the UNEP toolkit for identification and quantification of mercury releases. Also, some significant contributors of mercury releases in the country are lacking in the national records of mercury emissions as dental amalgam (with emission not resulting from human cremation) and waste incineration.

Although the recent law related to the waste management (Law 12305/2010<sup>3</sup>) which is dealing with mercury management residues by “Sector Agreement”, Brazil only has limited experience in collecting and separately storing mercury and mercury waste. Regarding the lamps, according to APLIQUIM<sup>4</sup> (a national company that proves the recovery of mercury), Brazil consumes annually 300 million bulbs, of which only 16 million are aimed correctly. Improved sector specific concepts for temporary storage (e.g. in hospitals, communal waste collection centres, small and medium industries) shall be analyzed in the course of this project.

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<sup>3</sup> Law 12305/2010 – National Police for Solid Wastes.

<sup>4</sup> APLIQUIM. <http://www.apliquimbrasilrecicle.com.br/>

The project is aimed at facilitating the ratification and early implementation of the Minamata Convention by providing key national stakeholders in Brazil with the scientific and technical knowledge and tools needed for that purpose. Brazil will benefit from new and updated information about the mercury cycle in the country and building capacity in managing the risks of mercury. The sharing of experiences and lessons learned throughout the project is also expected to be an important contribution to other similar countries.

### **National priorities and UNDAF in Brazil**

Brazil is eligible for GEF funding related to the development of Minamata Convention Initial Assessment Activities.

Mercury is a priority issue and Brazil is committed to deploy its best efforts to understand the current situation and to identify the areas in which the releases of mercury are high and require immediate action. Although National Implementation Plans are not a formal requirement of the Minamata Convention on Mercury, governments intending to ratify the convention will need to plan to ensure compliance with its control measures, including for some articles, the preparation of strategies and plans.

The Project is aligned with Brazil's 2012-2015 UNDAF, more specifically to UNDAF Outcomes 1 and 2. The expected outcome 1 is MDGs (Millennium Development Goals) for all Brazilians expanded in the context of national policies of development. The assessments conducted in the framework of this project will take into account how the most vulnerable and excluded populations are particularly affected by mercury releases and will recommend public policies and legislation to protect them. The objective is that this project recommendations contribute to reduce inequalities in the country concerning the impacts of mercury exposure. The project will address inequalities by gender, race, age and ethnicity and the special needs of populations in poorer regions or in deprived areas of large urban centres.

The expected outcome 2 is green economy and decent work in the context of sustainable development and poverty eradication. Incorporating the paradigm of decent work and green economy development are integral part of the strategy to eradicate poverty and promote sustainable development in the country. Decent work, as defined by the International Labour Organization "sums up the aspirations of people in their working lives. It involves opportunities for work that is productive and delivers a fair income, security in the workplace and social protection for families, better prospects for personal development and social integration, freedom for people to express their concerns, organize and participate in the decisions that affect their lives and equality of opportunity and treatment for all women and men"<sup>5</sup> Workers dealing with mercury and mercury compounds risk exposure and contamination, which is in disagreement with the idea of security in the workplace and therefore the definition of a decent work. Several academic articles point out in particular mercury contamination of miners, riparian and Indian populations and fish in the Amazon region, due to gold extract activities<sup>6</sup> and workers from fluorescent lamp industries intoxicated with mercury vapour<sup>7</sup>. Through its initial assessments this project will facilitate the ratification and early implementation of the Minamata Convention by Brazil, which will also lead to the protection of workers manipulating mercury and mercury compounds.

In order to ensure that this project contributes to the UNDAF outcomes in Brazil, representatives from the United Nations Country Team (e.g. UNDP National Representation) will be invited to attend the inception workshop and to take part in the meetings led by CONASQ (the National Coordination Mechanism). It is important to indicate that the participation of the United Nations Country team in the meetings with CONASQ will result in a closer analysis and assessment of the progress made in terms of National Priorities.

### **Brief description on Brazil's activities on mercury and current legislation**

Brazil is the largest developing country in Latin America with a largely urban population, around 200 million. It has developed a large integrated economy in which chemicals production, trade and use form an important component. These factors represent significant challenges to efforts to protect human health and the environment both within Brazil and globally.

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<sup>5</sup> <http://www.ilo.org/global/topics/decent-work/lang--en/index.htm>

<sup>6</sup> [http://rd.springer.com/chapter/10.1007/978-94-011-0153-0\\_14#page-1](http://rd.springer.com/chapter/10.1007/978-94-011-0153-0_14#page-1), <http://www.sciencedirect.com/science/article/pii/S0013935198938282>, <http://www.sciencedirect.com/science/article/pii/S004896979504910X>

<sup>7</sup> <http://www.sciencedirect.com/science/article/pii/S1382668904002789>

Although Brazil has many source categories, some of relevant sources such as i) primary mercury mining and ii) mercury as by-products from other mining processes are not present in the territory. Additionally, coal combustion is not an extensive activity since the energetic matrix in Brazil is based on hydroelectricity (around 90% - ANEEL).

13 tons of metallic mercury was imported in 2010<sup>8</sup>. Although the imports of metallic mercury have decreased since 2005, the imports of mercury containing products such as lamps and measurement equipment have increased in the same period. Brazil's anthropogenic mercury emissions to atmosphere are around 50 tons per year according to the updated technical report produced by UNEP (UNEP 2013). Although the emissions to the atmosphere have already been estimated, mercury releases to water and land and its presence in residues and products remain unknown.

In Brazil, almost all emission sources listed in the ten categories and their 44 sub-categories stipulated in the Toolkit for Identification and Quantification of Mercury Releases of UNEP Level 1 can be found. The highlights of these sources in Brazil are: 1) energy fuels consumption and production (coal combustion in large power plants); 2) domestic production of metals and raw materials (production of zinc from concentrates, gold extraction with amalgamation, cement production); 3) domestic production and processing with intentional mercury use (chlor-alkali production with mercury cells, caustic soda production); 4) waste treatment and recycling (incineration of municipal/general waste, incineration of hazardous waste, incineration of medical waste, open fire waste burning (in landfills and informally); and 5) miscellaneous mercury sources not quantified in inventory level 1 (sodium hydroxide produced from mercury-cell technology).

Brazil is worldwide known by its artisanal and small scale gold mining (ASGM). The global estimates for mercury emissions and releases from ASGM are reported by a couple of publications<sup>9</sup>. The global estimates are that between 156.000 and 250.000 tons of mercury has been released in the last 430 years in South America<sup>10, 11</sup>. Nevertheless, these estimates show many gaps in their inputs of information, such as, gold production from ASGM and the emissions factors values for each processes, since there are some processes where no mercury is used. Estimating mercury emissions and releases from ASGM requires specific guidance. This guidance will be developed in the framework of this project to complement the UNEP Toolkit 2013.

There are four mercury cell facilities for Chlor-alkali production located in Brazil: 1) Camacari City, federal state of Bahia (Braskem Company), 2) Igarassu City, federal state of Pernambuco (Proquímica Igarassu Company), 3) Cubatão City, federal state of São Paulo (Carbocloro Company), and 4) Honório Gurgel City, federal state of Rio de Janeiro (Pan-Americana SA). Santo André (Solvay Indupa do Brasil Company) facility (chlorine capacity of 115,000 metric tons) stopped operations in January, 2009, according to ABICLOR<sup>12</sup> (Brazilian Association Chlorine, Alkalies and By-Products Industry). These 4 facilities are responsible for about 14% of chlorine production in Brazil. Regarding this sector, releases to water have increased from 3,7 to 12,4 Kg/year from 2007 to 2010. The solid waste produced by chlor-alkali/caustic soda production facility was of 3,283 Kg in 2007, 3,946 Kg in 2008, 2,635 Kg in 2009 and 1,948 Kg in 2010. There were 1,197 Kg of mercury emissions in 2010. The Chlor-alkali/soda caustic production sector imported 47% (6,000 Kg of mercury) of the total mercury imported by Brazil in 2011. In the same year, Brazil imported 5,554 Kg of mercury (43%) for dental amalgam uses.

According to the Brazilian Electricity Regulatory Agency – ANEEL<sup>13</sup>, there are 13 (thirteen) operating coal-fired thermoelectric power plants in Brazil, which consume 90% of all coal of the country. The remaining 10% is used in the sectors of electricity generation, production of cement, pig iron, chemistry, foodstuff and drinks, paper/cellulose, pottery, coke ovens, mining/pelletizing, non-ferrous metals, various metallic, among others. Nearly all metallurgical coal used in Brazil is imported. According to the National Plan for Electric Energy 2030, another 2 coal-fired thermoelectric power plants may become operational by 2015, which would increase the productive capacity. According to IBAMA<sup>14</sup> (Brazilian Institute for the Environment and Natural Renewable Resources), it is estimated that emissions of mercury from coal-fired thermal generation in Brazil is around 1,000 Kg/year.

<sup>8</sup> Technical Report Nº 309 /2011/COEND/CGENE/DILIC October 13, 2011. IBAMA

<sup>9</sup> Villas Boas, R.C. 1997. The mercury problem in the Amazon due to gold extraction. *Journal of Geochemical Exploration*, 58: 217-222.

<sup>10</sup> Nriagu, J.O. 1994. Mercury pollution from the past mining of gold and silver in the Americas. *Science of the Total Environment*, 149: 167-181.

<sup>11</sup> Strode, S.; Jaelé, L. & Selin, N.E. 2009. Impact of mercury emissions from historic gold and silver mining: Global modeling. *Atmospheric Environment*, 43: 2012-2017.

<sup>12</sup> ABICLOR – Brazilian Association Chlorine, Alkalies and By-Products Industry. 2009. Production Sector. <http://www.abiclor.com.br/>.

<sup>13</sup> ANEEL – National Electric Power Agency. <http://www.aneel.gov.br/>.

<sup>14</sup> IBAMA – Brazilian Institute for the Environment and Natural Renewable Resources - <http://www.ibama.gov.br/>

The SNIC<sup>15</sup> estimates that the apparent consumption of cement in Brazil increased at rates above 6.0% between 2010 and 2011. Higher increases are expected during the subsequent years in consequence to government programs, such as, the Growth Acceleration Program (PAC), the housing program “My House, My Life” (Minha Casa, Minha Vida), and also big events such as the 2014 World Cup and the 2016 Olympic Games<sup>16</sup>. In 2013 the national production of cement was around 70,000,000 tons, according to ABCP<sup>17</sup>. There are 85 cement production plants in Brazil. The UNEP and the World Business Council for Sustainable Development (WBCSD) through the Cement Production Initiative (CSI), are launching a new work area of the UNEP Global Mercury Partnership to address mercury emissions and releases from the cement industry. This initiative, that includes the ABCP, will be considered in this project.

Brazil has no primary lead production since 1996. In 2008, the Brazilian production of lead by secondary processes was 185,500 tons. The production of primary copper reached a total of 230,000 tons. In the same year, the production of secondary copper, obtained from primary waste (prompt scrap) or obsolete scrap, mainly from plants from São Paulo, reached 24,000 tons. This represented, a drop by 11.1% compared to the previous year. In 2007, the Brazilian production of gold (large scale) reached 49.6 tons (a 15% increase in relation to 2006). Production of gold industries and cooperatives reached 44.44 tons (89.6%). In terms of concentration of zinc metal in ore, performance of zinc ores registered a 4.7% rise in 2007, when compared to 2006, representing the tenth growth year in a row. Almost at full capacity, the production of primary metal dropped by 2.7% in 2007, reaching 265,000 tons. These data is in the National Inventory of Sources and Estimates of Dioxins and Furans Emissions<sup>18</sup> (2013, with data from 2008).

According to the recent waste management law<sup>19</sup>, the incineration of household waste in Brazil is permitted only under special rules and for energy recovery. Out of the 58,000,000t/year of municipal solid waste collected in Brazil, 56.8% are disposed of in landfills; 23.9% in controlled landfills; and 19.3% in dump yards, according to ABRELPE<sup>20</sup>, with data from 2009. That scenario represents a high potential of mercury contamination from residues and waste in Brazil.

There are nearly 85 laws, decrees and resolutions in Brazil regarding mercury management in municipal, provincial and federal level. The most important are: i) Decree 97.507/1989 “Establishing license for mineral activities and the use of mercury and cyanide, ii) Decree 97.634/1989 “Establishing the control on production and trade for dangerous and hazardous compounds and, iii) 9.976/2000 “Establishing rules for chlorine productions and, iv) Resolution CONAMA 420/2009 “Establish rules and limit values for soil quality, environmental management of contaminated sites.

### **Coordination with other relevant GEF financed activities**

UNEP/DTIE Chemicals Branch has applied the UNEP Toolkit on Identification and Quantification of Mercury Releases in a number of countries, including China and Russia.

Within the framework of the UNEP GEF project on NIP development for POPs, Brazil used the Dioxin Toolkit to prepare the Dioxins Inventory that was finalized in 2012. Considering the successful use of the Dioxin Toolkit, the proposed project intends to use the Mercury Toolkit for Identification and Quantification of Mercury Releases. The UNEP Mercury Toolkit will be applied in the horizontal and the vertical approach, i.e., for the nationwide sectored inventory and the detailed inventory for two selected provinces. The Toolkit will also be used to carry out the surveys on mercury production, distribution, use, import, and export. Benefits from the inventories will not be restricted to prioritization of sources and options for pollutant reduction but also the first step in the establishment of a mechanism for long-term statistics and monitoring. They will provide the basis for science-based management of mercury and decision-making. The experiences on the application of the Toolkit in Brazil will contribute to the further improvement and updating of the UNEP Toolkit, which is in line with the overall strategic thinking of GEF on Global mercury releases and control.

Domestic research institutions, including Evandro Chagas Institute and a couple of Federal Universities and Research Institutes have carried out a series of basic research projects related to mercury<sup>21, 22, 23</sup>. These projects include: i)

<sup>15</sup> SNIC - Labor Union of the Cement Industry - <http://www.snic.org.br/>.

<sup>16</sup> Plan Brazil Bigger - <http://www.brasilmaior.mdic.gov.br/>

<sup>17</sup> ABCP – Brazilian Association of Portland Cement - <http://www.abcp.org.br/>

<sup>18</sup> National Inventory of Sources and Estimates of Dioxins and Furans Emissions. Brazil, 2013.

<sup>19</sup> Law 12305/2010 – National Police for Solid Wastes.

<sup>20</sup> ABRELPE – Brazilian Association of Public Cleaning and Special Waste - <http://www.abrelpe.org.br/>

<sup>21</sup> Marins, R.V., Silva Filho, E.V. & Lacerda, L.D. 1996. Atmospheric deposition of mercury over Sepetiba Bay, SE Brazil. Journal of the Brazilian Chemical Society. 7: 177-180.

<sup>22</sup> Dorea, J.; Barbosa, A.; Ferrari, I.; Souza, J. International Journal of Environmental Health Research, 2003, 13, 239.

characterization of anthropogenic mercury releases; ii) inventory of atmospheric mercury releases; iii) development of fate models of atmospheric mercury transport, migration and transformation; iv) elucidation of mercury distribution and concentration in the environment; v) assessment of ecological and environmental impacts; vi) evaluation of mercury pollution control measures and vii) economic analysis of key source control measures in Brazil. This GEF project will take into account these activities and will attempt to integrate further studies to come.

The following activities are not GEF funded but will also be taken into account during the implementation of this project:

- The Minamata Convention Secretariat support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury. UNEP DTIE Chemicals will regularly inform the Secretariat about the country needs identified during the implementation of the project in order for the Secretariat to better target the support being provided to countries to the Intergovernmental Negotiating Committee. In particular, UNEP DTIE Chemicals is already participating in awareness raising and outreach activities to encourage countries to become Parties to the Convention and to be in a position to implement the Convention successfully. UNEP Chemicals will attend one of the workshops being organized in Brazil, in September 2014. UNEP participation in the workshop is not covered under this project;
- UNEP DTIE Chemicals will organize regular meetings with UNEP staff involved in the Global Mercury Partnership to identify potential synergies and will communicate the findings to the Executing Agency.

## **B. ENABLING ACTIVITY GOALS, OBJECTIVES, AND ACTIVITIES**

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

The objectives of the MIA are to facilitate the ratification and early implementation of the Minamata Convention by providing key national stakeholders in Brazil with the scientific and technical knowledge and tools needed for that purpose.

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

### ***Component 1: Use of existing Coordination Mechanism (CONASQ) and organization of process***

Brazil will make full use of the already existing coordination mechanism on chemicals management in the country, the National Commission of Safety Chemistry (CONASQ) to guide the project execution. The national agency in charge of the MIA execution (Ministry of Environment) will identify institutional needs and strengths and will reinforce the existing National Commission of Safety Chemistry with key stakeholders involved in mercury management. This Component also aims at gaining political commitment to the development of the MIA and to the ratification of the Minamata Convention on Mercury.

Activity 1.1: Organize a National Inception Workshop to raise awareness and to define the scope and objective of the MIA process, including:

- a) Develop a strategy for outreach and awareness raising aimed at national/international stakeholders throughout the project
- b) Identify key stakeholders and assign roles
- c) Conduct a national assessment on existing sources of information (studies), compile and make them available

Activity 1.2: Customize existing guidelines to serve national needs, including:

- a) Translate the UNEP Toolkit to Portuguese
- b) Develop guidance for the mercury inventory in the ASGM sector to complement the UNEP Toolkit 2013

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<sup>23</sup> Farias, R.A., Hacon, S., Campos, R.C. & Argento, R. 2005. Mercury contamination in farmed fish setup on former garimpo mining area in northern Mato Grosso State, Amazon region, Brazil. *The Science of the Total Environment* 348: 128-134.



Expected Outcome:

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

Expected Output:

Technical support provided for the use of National Coordination Mechanism and organization of process for the management of mercury

***Component 2: Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation***

This is a key step in the MIA development process. One of the first activities suggested before embarking on the establishment of inventories is to review and assess the national infrastructure including capacities to a) analyse; b) monitor; c) regulate mercury at the national level. This review and assessment will result in a preliminary identification of national needs and gaps for the ratification and early implementation of the Minamata Convention. The assessments produced under this component will provide the Ministry of Environment with strong arguments for the ratification of the Minamata Convention and prioritization of mercury management on the national agenda. Once the Convention is ratified, this component outputs will be essential to comply with the reporting obligations of the Convention and to monitor its implementation. This component will ensure that the gender issues and the interests of vulnerable populations are fully taken into account in the assessments. On this specific step, Brazil will work on:

Activity 2.1: Assess key national stakeholders, their roles in mercury management and monitoring and institutional interest and capacities

Activity 2.2: Analyse the regulatory framework, identify gaps and assess the regulatory reforms needed for the ratification and early implementation of the Minamata Convention in Brazil

Expected Outcome:

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

Expected Output:

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

***Component 3: Development of a mercury inventory using the UNEP mercury toolkit including the identification of mercury contaminated sites***

This is also a key component and will provide Brazil with improved data on all mercury sources and releases. The UNEP Toolkit for Identification and Quantification of Mercury Releases has been revised in 2013. It is expected that Brazil will apply the level II version, which is a comprehensive description of all mercury sources, as well as a quantitative analysis of mercury. More specifically, the mercury toolkit will assist Brazil to address: a) Mercury supply sources and trade (Article 3); (b) Mercury-added products (Article 4); (c) Manufacturing processes in which mercury or mercury compounds are used (Article 5); (d) Artisanal and small-scale gold mining (Article 7); (e) Emissions (Article 8); and (f) Releases (Article 9). It will also include a description of mercury storage conditions. This project component will also analyse existing information on mercury contaminated sites and will formulate a strategy to identify and assess mercury contaminated sites, using a nationally agreed criteria.

A training package will be developed under this component including workshops with national governments and stakeholders to ensure the country has the capacity to continuously update the national inventory.

Activity 3.1: Develop a qualitative and quantitative inventory of all mercury sources and releases including the identification of mercury contaminated sites

Activity: 3.2: Develop and deliver training on the UNEP Toolkit

Expected Outcome:

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

Expected Output:

Mercury inventory developed including the identification of mercury contaminated sites using the UNEP mercury tool kit

***Component 4: Preparation, validation of National MIA report and implementation of awareness raising activities and dissemination of results***

Taking into consideration the preliminary research undertaken under project Component 1, the assessment undertaken in Component 2, and the mercury inventory under project Component 3, this project component will draft MIA that will be reviewed by national stakeholders and validated by them. The draft MIA will assess the challenges, needs and opportunities to implement the Convention on priority sectors. This process of wide consultation will likely include National Coordination meetings, workshops with key sectors, written communications and discussions leading to a final MIA document that will allow the National Government to ratify the Convention based on a sound national assessment of the mercury management situation. The main output under this Project Component is a needs assessment and further recommendations to implement the Minamata Convention on Mercury, taking into consideration the role of all key players and their responsibilities in particular gender concerns and the special needs of vulnerable groups. Awareness raising and dissemination of key MIA outputs will also be performed under this project component.

Activity 4.1: Draft and validate MIA Report, develop a national MIA dissemination and outreach strategy

Expected Outcome:

Brazil and key stakeholders, made full use of the MIA and related assessments leading to the ratification and early implementation of the Minamata Convention on Mercury

Expected Output:

Technical support provided for preparation and validation of National MIA reports and implementation of awareness raising activities and dissemination of results

**Project Stakeholders:**

At the international level, the project will include:

- a) UNEP DTIE Chemicals: as an implementing Agency, UNEP will provide technical oversight and administrative support to the National Coordinating agency and the National Coordinator. UNEP will also provide the global perspective and experience from other countries;
- b) UNEP Regional Offices, 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 Secretariat will provide guidance materials and opportunities to exchange information and to understand the Minamata Convention from a regional and global perspective. The Minamata Secretariat is currently organizing a series of workshops to support countries in their understanding of the Convention and to identify areas of regional cooperation;
- d) Joint Secretariats BRS will provide areas of cooperation and synergies with POPs related activities. The project will also consider using the existing resources at the BRS Secretariat level, such as facilities to provide technical support (webinars) organization of training workshops, etc;
- e) Others: such as the regional 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.

At the national level, the project will include:

- Ministries and government agencies in charge of chemicals management, human health and safety. Active participation from other key agencies is expected, including trade and customs, industry and economy, being those mostly responsible for the commercial movement of mercury containing products. They will benefit with new and/or updated legislation, management and enforcement strategies. Health and safety groups can find useful information related to workplace exposure that can be applied to minimize risks at the occupational level.
- Representatives of industry and industrial associations, which can provide with data and information related to processes and products that use and contain mercury. This will include technological aspects regarding current practices, as well as technology transfer and changes underway to reduce the uses and emissions of mercury. Coordination and communication between industry groups and government agencies is an important aspect that will look into options to improve the environmental performance of those sectors. In this respect, it is essential to promote effective coordination among the whole range of those who have responsibility for or a stake in mercury issues. The scientific community will also benefit from this project and will be able to generate new and reliable data through well-designed and targeted measurements to identify mercury sources and quantify mercury releases.
- The support and engagement of NGOs and civil society is critical for the successful implementation of chemicals management strategies and initiatives. The general public will gain access to environmental information through effective channels of communication and a dedicated information system, allowing a more and better-informed participation in consultations in this area. For instance, community representatives will ensure that their concerns are taken into account in a decision-making process.

*Table 1: STAKEHOLDER PARTICIPATION*

Name of stakeholder/Organization	Rating	Responsibility/expertise
<b>Ministries and government agencies</b>		
Ministry of the Environment (MMA)	High level of interest, high decision making power	As national executing partner of the proposed project, MMA is also the focal point for the Basel, Stockholm and Rotterdam Conventions. MMA is now coordinating the signature of Brazil to the Minamata Convention on Mercury and it is the responsible entity for coordinating the implementation of the Minamata Convention on Mercury in Brazil. Regarding the project, UNEP Brazil will be the Executing Agency in coordination with the MMA.
Ministry of Mines and Energy (MME)	High level of interest, high decision making power	MME oversees the technical operation and performance of thermal power plants throughout the country. MME also deal with artisanal and small-scale gold mining and will support the project with information on mercury concentration in ore to address emissions from smelting and roasting processes used in the production of non-ferrous metals.

Ministry of Healthy (MS)	High level of interest, high decision making power	MS is responsible for police on public health. MS will provide the data and information related to presence of mercury in measuring equipment disseminated in hospitals in Brazil and supply information on dental amalgam use and develop a programme for mercury monitoring in humans.
Ministry of Labor and Employment (MTE)	Low level of interest, low decision making power	MTE is responsible for police on occupational safety and health and it will support the project with information on the safety management of mercury in occupational areas, and contribute with the elaboration of reports and compilation of lessons learnt.
Ministry of Foreign Affairs (MRE) and the Brazilian Cooperation Agency (ABC)	High level of interest, high decision making power	MRE is the focal point for the Minamata Convention on Mercury and will follow up the implementation of the Convention as well as every project related to mercury issues. The Brazilian Cooperation Agency (ABC) is part of the MRE administrative structure and is responsible for negotiating, managing, coordinating and go along to Brazilian technical cooperation programmes and projects executed with international organizations.
Ministry of Industry, Trade and Development (MDIC)	Medium level of interest, high decision making power	MDIC regulates operations of non-ferrous, chlor-alkali, dental amalgam, mercury-added products and cement manufacturers and coordinate policies on mercury-added products (import/export).
Ministry of Agriculture, Livestock and Food Supply (MAPA)	Low level of interest, high decision making power	Even if mercury has been banned for agriculture uses, MAPA will provide existing information regarding the use of mercury-based pesticides in the past.
Ministry of Science, Technology and Innovation (MCTI)	Low level of interest, high decision making power	MCTI is responsible for incentive innovation in the scientific area. MCTI will report information on free-mercury alternatives to improve the reports of the proposed project.
Ministry of Defense (MD)	Medium level of interest, high decision making power	MD will support the project with information on mercury stockpiles management and security.
Brazilian Institute for the Environment and Natural Renewable Resources (IBAMA)	High level of interest, medium decision making power	Together with MDIC, IBAMA also implement regulation operations of non-ferrous, chlor-alkali, dental amalgam, mercury-added products and cement manufacturers and coordinate policies on mercury-added products (import/export). IBAMA also deal with licenses to coal-fired power plants, coal-fired industrial boilers, smelting and roasting processes used in the production of non-ferrous metals, waste incineration facilities and cement clinker production facilities.

National Institute of Metrology, Quality and Technology (INMETRO)	Medium level of interest, medium decision making power	Implement and execute activities on accreditation and calibration of laboratories and will support the project with information on national laboratories with high quality of mercury analyzes.
Jorge Duprat Figueiredo Foundation Safety and Occupational Medicine (FUNDACENTRO)	Low level of interest, non-decision making organization	Develop research on safety and occupational medicine and will support the project with information on the safety management of mercury and the guidance for mercury in occupational areas.
Brazilian Sanitary Surveillance Agency (ANVISA)	Medium level of interest, medium decision making power	Develop and execute sanitary regulations and asses mercury impacts on human health.
Mineral Technological Center (CETEM)	Low level of interest, non-decision making organization	Provides information on mercury concentration in ore.
Brazilian Association of State Environmental Agencies (ABEMA)	Medium level of interest, medium decision making power	The State Environmental Agencies are responsible for the licenses to coal-fired power plants, coal-fired industrial boilers, smelting and roasting processes used in the production of non-ferrous metals, waste incineration facilities and cement clinker production facilities under the federal states activities and works in collaboration with IBAMA. Environmental Agencies from the federal states are also responsible for the licenses the waste to water and land and waste disposal from industrial activities.
<b>International Organizations</b>		
Amazon Cooperation Treaty Organization (ACTO)	High level of interest. Low-decision making power.	ACTO coordinates studies and pilot projects on economic perspectives capable of generating income and opportunities for the Amazon region, thus fostering effective cooperation and integration among the Party Countries of the Treaty.
Pan American Health Organization (PAHO)	High level of interest. Non-decision making organization.	PAHO will provide technical cooperation and mobilizes partnerships to improve information from mercury uses in hospitals as in measuring equipment.
<b>Representatives of other sectors, such as industry and industrial associations</b>		
Brazilian Mining Association (IBRAM)	Medium level of interest, non-decision making organization	IBRAM will assist the project in leasing with companies involved with it focal sector, in order to gather the necessary support for the inventory.
Brazilian Chemical Industry Association (ABIQUIM)	Medium level of interest, non-decision making organization	ABIQUIM will also support the work for the inventory and also assist in leasing with companies members of the Association.

Brazilian Association Chlorine, Alkalis and By-Products Industry (ABICLOR)	High level of interest, non-decision making organization	ABICLOR will assist the project by providing information on chlor-alkali production, mercury trade and storage of mercury.
Brazilian Association of Portland Cement (ABCP)	Medium level of interest, non-decision making organization	ABCP will be an important support to the inventory and related activities on mercury emissions from cement production. It will also assist in leasing with cement industries involved in the Association.
Brazilian Association of Mineral Coal (ABCM)	Medium level of interest, non-decision making organization	ABCM will be an important support to the inventory and related activities on mercury emissions from coal-fired activities, especially providing information on the concentration of mercury in Brazilian coal.
Brazilian Association of Electric and Electronic Industries (ABINEE)	Medium level of interest, non-decision making organization	ABINEE will be an important support to the inventory and provide information on electric and electronic equipment that contain mercury, as switches, relays and batteries. It will also assist in leasing with industries members of the Association.
Brazilian Association of Industrial Lighting (ABILUX) and Brazilian Association of Importers of Lighting Products (ABILUMI)	Medium level of interest, non-decision making organization	ABILUX and ABILUMI will be an important support to the inventory and will provide information on lamp production and imports. It will also assist in leasing with importers of lighting products members of the Association.
Brazilian Association of Public Cleaning and Special Waste (ABRELPE) and Brazilian Association of Waste Treatment Companies (ABETRE)	Medium level of interest, non-decision making organization	ABRELPE and ABETRE will be an important support to the inventory and related activities on mercury emissions from waste incineration facilities. It will also assist in leasing with companies members of the Associations.
Company on lamp decontamination and recycling (APLIQUIM)	High level of interest, non-decision making organization	APLIQUIM is the most representative company specialized in lamp recycle and mercury decontamination in Brazil.
<b>NGOs and civil society</b>		
Research Institutes (e.g., Evandro Chagas Institute)	Low level of interest, non-decision making organization	Provides methodological support on mercury analysis in humans, especially in vulnerable populations.
Osvaldo Cruz Foundation (FIOCRUZ)	Low level of interest, non-decision making organization	Monitor mercury content in human tissues. FIOCRUZ will assist the project with the development of a programme for mercury monitoring in humans.

Universities (e.g. Federal University of Rio de Janeiro, Federal University of Minas Gerais, University of São Paulo, University of Brasília, etc.) - each federal state and the federal district have, at least, one Federal University)	High level of interest, non-decision making organization	Provides methodological support to relevant national institutions in terms of modelling and geographic evaluation of levels of mercury and mercury compounds in the environment, including the biotic media.
Healthy Hospitals (Hospitais Saudáveis).	High level of interest, non-decision making organization	Hospitais Saudáveis is a NGO that plays a significant role in public awareness raising on mercury issues, especially on phase-out in add-mercury-products devices.
Brazilian Forum of NGOs and Social Movements for the Environment and the Development (FBOMS)	Medium level of interest, non-decision making organization.	NGOs will be invited to actively participate in the project implementation.
Brazilian Association Against Pollutants (ACPO)	High level of interest, non-decision making organization.	ACPO plays a significant role in public awareness raising on mercury issues, including emissions from industries, mercury in products and waste.
Amazon Forum on Mercury Contaminated Ecosystems (FACOME)	High level of interest, non-decision making organization.	FACOME is a NGO that promotes the access and dissemination of information on mercury contamination of environment. FACOME will also assist the project in the elaboration of reports and contributing to the compilation of lessons learned.
Cianorte rural producers association (APROMAC)	Medium level of interest, non-decision making organization.	APROMAC is the representative of FBOMS in the CONASQ.

### **Socioeconomic benefits including consideration of gender dimensions**

Reduction of mercury use will have an especially positive impact in poor populations. The financially disadvantaged (and specifically women and children) are often those most affected by these adverse impacts. Addressing the environmental and health hazards associated with mercury is therefore crucial to ensure that hard won development gains are not compromised.

Through the inventory process, and the mapping of key mercury pollution sources, the project will define at-risk populations across Brazil. Project activities will also involve consultation with at risk communities with the aim of increasing their understanding about the dangers of mercury exposure, providing communities at risk with clear, practical information to protect themselves. This is likely to involve, but not be limited to poor communities living in close proximity to gold mines and non-ferrous metal production facilities.

Studies indicate that approximately 30% of the world's artisanal miners are women who occupy a number of roles ranging from labour-intensive mining methods to the processing aspect of artisanal mining, including amalgamation with mercury

in the case of gold extraction<sup>24</sup>. As processing activities are often conducted in the home, women and their families can be at great risk from mercury poisoning and silicosis. In many cases, the roles of women in artisanal mining communities differ significantly from those of men, and extend well beyond direct participation in mining activities – this added facet brings with it different contributions and a completely unique set of risks and opportunities.

Regarding gender, the project will ensure there are opportunities for women to contribute to, and benefit from, the project outcomes. Specifically the project executor will work with national coordinators to ensure women are well represented in the meetings with CONASQ (the National Coordination Mechanism), and that consultation with at-risk communities targets both women and men. Additionally, the project will ensure that affected (miners) women have an active participation in the assessment of the legal framework and that information and training on safety and health is targeting women working in the artisanal gold mining.

Pregnant women and children are also more susceptible to mercury and heavy metals in general. Communities nearby mercury sources are more vulnerable to contamination, the project will advocate for a national regulatory framework targeting the protection of these two vulnerable groups. Workers are also a vulnerable group; the project will include the active participation of workers associations and medical associations where they exist. Through these two important groups, the project will sensitize the general population and targets groups about the risks of mercury.

### **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).

The enabling activity is described in details under item B (enabling activity goals, objectives and activities).

As **Implementing Agency**, UNEP DTIE Chemicals is responsible for overall project supervision, overseeing the project progress through the monitoring and evaluation of project activities and progress reports, including technical issues. Working in close collaboration with the Executing Agency (EA), UNEP Chemicals will provide technical and administrative support to the EA.

UNEP Chemicals will support Execution of this project, as part of the Mercury Partnership Programme, and will provide assistance to signatories to the Minamata Convention such as organizing regional/global awareness raising/training workshops, reviewing technical products, sending technical experts to key meetings, etc (as indicated in the UNEP co-financing letter). 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.

The Ministry of Environment of Brazil (MMA) will be the **Executing Agency** for this project. It will provide administrative and technical supervision in the implementation of the project. UNEP, through its Office in Brazil and in coordination with national Executing Agency, will provide support in the execution of the Project in accordance with the objectives, activities and GEF budget outlined in the project document. As Executing Agency, MMA will execute, manage and be responsible for the project and its activities on a day-to-day basis. It will establish the necessary managerial and technical teams to execute the project. It will search for and hire any consultants necessary for technical activities and supervise their work. It will acquire equipment and monitor the project; in addition, it will organize independent audits in order to guarantee the proper use of GEF funds. Financial transactions, audits and reports will be carried out in accordance with national regulations and UNEP procedures. MMA will provide regular administrative, progress and financial reports to UNEP Chemicals.

**A Project Steering Committee (PSC)** will be created and it will meet at the beginning, mid-point and prior to the end of the project. The Committee will comprise donors, executing and implementing organisms (MMA and UNEP DTIE Chemicals), the United Nations Country Team and other GEF implementation organisms. The UNEP Brazil Office will also participate in the meetings, given its strategic role in the support of project's activities execution. This Committee will evaluate the progress of the project giving advice; assessing progress made and will take the necessary measures to guarantee the fulfillment of its goals and objectives. Decisions from the Steering Committee are to be implemented in the

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<sup>24</sup> Hinton, J (2002) *Women and Artisanal Mining: Gender Roles and the Road Ahead*, <http://www.ddiglobal.org/login/Upload/Women%20and%20Artisanal%20Mining.pdf>



project. Funding for Project Steering Committee Meeting is to be provided by co-finance and GEF (physical meetings to take place back to back with technical meetings).

**A Project Team (PT)** will be established within the Executing Agency; staffed by a Project Coordinator. The Project Team will be formed by the National Coordinator, technical Advisor (Assistant and Administrative Officer and will be based in the MMA. This 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.

**CONASQ** as the National Coordination Mechanism will be in charge of monitoring progress made, ensuring smooth and effective project implementation at the national level. The Coordination Mechanism guides project implementation and is expected to meet regularly (e.g. once a month).

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

Cost-effectiveness is the provision of an effective benefit in relation to the costs involved. The project will use the current capacity for chemicals management present in Brazil, such as the existing infrastructure and coordination mechanisms. The project will also consider any previous efforts to collect information on national mercury sources and releases and to improve the sound management of mercury and mercury waste. This approach is considered as cost-effective as it reduces the costs needed to reach the project outcomes.

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

The integration of outcomes and deliverables of this project is also expected to provide significant input to the existing national framework for chemicals management in Brazil. In this respect, enhanced capacities and knowledge on mercury and mercury waste will facilitate the development and/or update of current policies and enforcement practices in a more efficient and resource saving approach.

**E. DESCRIBE THE BUDGETED M&E PLAN:**

Day-to-day management and monitoring of the project activities will be the responsibility of the executing agency, the Ministry of Environment of Brazil (MMA). MMA will submit half-yearly progress reports to the implementing agency at UNEP Chemicals. MMA will also be responsible for the issuing of legal documents such as agreements with participating governments and other institutions including recruitment of local/regional staff or consultants and the execution of the activities according to the work plan and expected outcomes. For those, MMA will count with the support of the UNEP Office in Brazil.

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

In consultation with UNEP Chemicals, MMA will identify suitable local consultants to assist in the development of the national inventory.

The Project Steering Committee (PSC) will comprise donors, UNEP DTIE Chemicals and MMA. The PSC will monitor the progress of the project and give advice as to implementation issues. The PSC will meet during the inception workshop and the final lessons learned workshop. At month 12, the PSC will meet through teleconference.

An independent terminal evaluation (TE) will take place at the end of project implementation, latest 6 months after completion of the project. The Evaluation Office of UNEP will be responsible for the TE and liaise with the UNEP Task Manager at DTIE Chemicals Branch throughout the process. The TE will provide an independent assessment of project performance (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and MMA. 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 3. Monitoring and Evaluation Budget**

<b>M&amp;E activity</b>	<b>Purpose</b>	<b>Responsible Party</b>	<b>Budget (US\$)*<sup>1</sup></b>	<b>Time-frame</b>
Inception workshop	Awareness raising, building stakeholder engagement, detailed work planning with key groups	UNEP DTIE Chemicals; MMA	0	Within two months of project start
Inception report	Provides implementation plan for progress monitoring	MMA	0	Immediately following Inception Workshop
Technical Progress reports	Describes progress against annual work plan for the reporting period and provides activities planned for the next period	MMA	0	Biennial
Financial Progress reports	Documents project expenditure according to established project budget and allocations	MMA	0	Trimestral
Project Review by Project Steering Committee	Assesses progress, effectiveness of operations and technical outputs; Recommends adaptation where necessary and confirms implementation plan.	MMA	0	Month 2, 12 and 23
Project Implementation Review	Progress and effectiveness review for the GEF, provision of lessons learned. This will be organized by MMA, in close consultation with UNEP. Draft report will be forwarded to UNEP for its approval.	UNEP DTIE Chemicals; MMA	0	Annual
Terminal report	Reviews effectiveness against implementation plan. Highlights technical outputs. Identifies lessons learned and likely design approaches for future projects, assess the likelihood of achieving design outcomes.	MMA	0	At the end of project implementation
Independent Terminal evaluation	Reviews effectiveness, efficiency and timeliness of project implementation, coordination mechanisms and outputs. Identifies lessons learned and likely remedial actions for future projects. Highlights technical achievements and assesses against prevailing benchmarks	UNEP DTIE Chemicals, Independent external consultant	30,000	At the end of project implementation

Independent Financial Audit	Reviews use of project funds against budget and assesses probity of expenditure and transactions	MMA	16,000	Annual
<b>Total indicative M&amp;E cost<sup>*1</sup></b>			<b>46,000</b>	

\*Project steering committee meetings (3) inception workshop and mid-term review will be carried out back to back with other technical meetings, such as the lessons learned (2) and planning meeting (1), therefore cost will be considered as “zero”.

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

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

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

NAME	POSITION	MINISTRY	DATE (Month, day, year)
Marcelo Moisés de Paula	General Coordinator for External Financing	MINISTRY OF ENVIRONMENT OF BRAZIL	MAY, 22, 2014

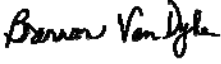
**B. CONVENTION PARTICIPATION**

CONVENTION	DATE OF RATIFICATION/ ACCESSION (mm/dd/yyyy)	NATIONAL FOCAL POINT	
UNCBD			
UNFCCC			
UNCCD			
STOCKHOLM CONVENTION			
	DATE SIGNED	NATIONAL FOCAL POINT	DATE OF NOTIFICATION UNDER ARTICLE 7 TO THE MINAMATA CONVENTION SECRETARIAT
MINAMATA CONVENTION	(10/10/2013)	-	-

**B. GEF AGENCY(IES) CERTIFICATION**

This request has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for (select) Enabling Activity approval.

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	E-mail Address
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Brennan Van Dyke Director, UNEP GEF Coordination Office		May 27, 2014	Jorge Ocaña, Task Manager – UNEP - DTIE	+41 22 917 8195	jorge.ocana@unep.org
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**ANNEXES:**

- 1. CONSULTANTS TO BE HIRED FOR THE ENABLING ACTIVITY WITH GEF FUNDING**
- 2. PROJECT SUPERVISION PLAN (INCLUDING PROJECT WORKPLAN)**
- 3. OVERALL PROJECT BUDGET BY ACTIVITY**
- 4. GEF PROJECT BUDGET**
- 5. CO-FINANCE PROJECT BUDGET**
- 6. ENDORSEMENT LETTER**
- 7. LOGICAL FRAMEWORK**
- 8. OPERATIONAL GUIDANCE TO ENABLING ACTIVITIES**
- 9. ACRONYMS AND ABBREVIATIONS**
- 10. PROJECT IMPLEMENTATION ARRANGEMENTS**

**ANNEX 1: CONSULTANTS TO BE HIRED FOR THE ENABLING ACTIVITY WITH GEF FUNDING**

<i>Position Titles</i>	<i>\$/ Person Week*</i>	<i>Estimated Person Weeks**</i>	<i>TOTAL</i>	<i>Tasks To Be Performed</i>
<b>For Project Management</b>				
<b>Local</b>				
Project coordinator	1000	74.72	74720	Day to day supervision and coordination of the project
Project financial officer				Financial management of the project and preparation of financial reports
Technical advisor				Advising the project team on specific technical issues and will review technical outputs
Subtotal	1000	74.72	74720	
Justification for travel, if any: xxx				
<b>For Technical Assistance</b>				
<b>Local</b>				
Consultant to assist with the preparation of the MIA	500	100	50000	Overall guidance on the MIA development and provide assessment reports to assist national teams to prepare the MIA assessment
Subtotal	500	100	50000	
<b>International</b>				
Technical support and advice throughout the project	2000	40	80,000	Technical support to develop national assessments and to identify and assess contaminated sites
Consultant to develop the mercury inventory using the UNEP toolkit				Technical support to develop a mercury inventory
Subtotal	2000	40	80,000	
<b>Total</b>	2500	140	130,000	
Justification for travel, if any: Consultants and project coordinator will travel throughout the country to develop the mercury inventory and conduct national assessments				

ANNEX 2: PROJECT SUPERVISION PLAN																								
Project Title: Development of Minamata Convention on Mercury Initial Assessment in Brazil																								
Project executing partner: Ministry of Environment of Brazil																								
Project implementation period (add additional years as required):																								
Executing partner UNEP/DTIE Chemicals (Implementing) Output	Year 1												Years 2											
	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12
	nov	dec	jan	feb	mar	apr	may	jun	jul	aug	sep	oct	nov	dec	jan	feb	mar	apr	may	jun	jul	aug	sep	oct
Activity/Task/Output																								
<b>Project Management, Coordination &amp; Sustainability</b>																								
Inception meeting and report of meeting																								
Progress report - (June 30 and Dec 31) + 30 days																								
Annual audit report - Dec 31																								
Annual co-financing report - June																								
Establish M&E system																								
Expenditure report - (Mar, June, Sep and Dec 31) + 30 days																								
Procurement of equipment & hiring of consultants																								
Progress reports to co-financiers	NA																							
Project Implementation Review																								
PSC/PMC meetings + minutes of meetings																								
GEFSEC communications (Inception, midterm & completion)																								
Terminal report																								
Training workshops/seminars	NA																							
Terminal evaluation																								
Final audit report for project (annual)																								
<b>Outcome 1: Brazil make full use of enhanced existing structures and information available dealing with mercury management to guide ratification and early implementation of the Minamata Convention</b>																								
1.1. Organize a National Inception Workshop to raise awareness and to define the scope and objective of the MIA process																								
Milestone 1: Project Steering Committee Established and National Cthe existing National Coordination Mechanism fully includes mercury management																								
Milestone 2: Related mercury studies and reports on key sectors gathered and available to all national stakeholders																								
1.2. Customize existing guidelines to serve national needs																								
Output 3: Existing guidelines and toolkit customized to serve national needs																								
<b>Outcome 2: Full understanding of comprehensive information on current infrastructure and regulation for mercury management enables Brazil to develop a sound roadmap for the ratification and early implementation of the Minamata Convention</b>																								
2.1. Assess key national stakeholders, their roles in mercury management and monitoring and institutional interest and capacities																								
Milestone 1: final national report on capacities for mercury management and monitoring and national needs developed																								
2.2. Analyse the regulatory framework, identify gaps and assess the regulatory reforms needed for the ratification and early implementation of the Minamata Convention in Brazil																								
Milestone 2: final report on existing national regulatory framework applicable to mercury and impact of regulatory reform assessed																								
<b>Outcome 3: Enhanced understanding of mercury sources and releases facilitates the development of national priority actions</b>																								
3.1. Develop a qualitative and quantitative inventory of all mercury sources and releases including the identification of mercury contaminated sites																								
Milestone 1: Qualitative and quantitative inventory of all mercury sources and releases developed, including the identification of mercury contaminated sites																								
3.2 Develop and deliver a training on the UNEP Toolkit																								
Milestone 2: Training package aimed at national stakeholders to continuously update the national mercury inventory																								
<b>Outcome 4: Brazil and key stakeholders, made full use of the MIA and related assessments leading to the ratification and early implementation of the Minamata Convention on Mercury</b>																								
4.1 Draft and validate MIA Report, develop a national MIA dissemination strategy																								
Milestone 1: Final MIA Report validated and available to key stakeholders																								
Milestone 2: MIA initial dissemination strategy developed and implemented																								

**ANNEX 3: OVERALL PROJECT BUDGET BY ACTIVITY**

Project Components and Activities		GEF Funding	Co-financing		TOTAL
			Brazilian Government	UNEP	
			In-Kind	In-Kind	
<b>Component 1. Use of existing Coordination Mechanism (CONASQ) and organization of process</b>		114,200	316,000	20,000	<b>450,200</b>
1.1. Organize a National Inception Workshop to raise awareness and to define the scope and objective of the MIA process		84,200	170,000	20,000	<b>274,200</b>
1.2. Customize existing guidelines to serve national needs		30,000	146,000	0	<b>176,000</b>
<b>Component 2 Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation</b>		168,102	461,300	5,000	<b>634,402</b>
2.1. Assess key national stakeholders, their roles in mercury management and monitoring and institutional interest and capacities		94,750	228,600		<b>323,350</b>
2.2. Analyse the regulatory framework, identify gaps and assess the regulatory reforms needed for the ratification and early implementation of the Minamata Convention in Brazil		73,352	232,700	5,000	<b>311,052</b>
<b>Component 3 Development of a mercury inventory using the UNEP mercury toolkit including the identification of mercury contaminated sites</b>		278,300	546,800	15,000	<b>840,100</b>
3.1. Develop a qualitative and quantitative inventory of all mercury sources and releases including the identification of mercury contaminated sites		278,300	546,800	10,000	<b>835,100</b>
3.2 Develop and deliver a training on the UNEP Toolkit				5,000	<b>5,000</b>
<b>Component 4 Preparation, validation of National MIA report and implementation of awareness raising activities and dissemination of results</b>		140,596	325,900	0	<b>466,496</b>
4.1 Draft and validate MIA Report, develop a national MIA dissemination strategy		140,596	325,900		<b>466,496</b>
<b>Project management and supervision</b>		74,720	0	0	<b>74,720</b>
<i>Project Management</i>		74,720	0		<b>74,720</b>
<b>Monitoring and evaluation</b>					<b>46,000</b>
<i>Monitoring and evaluation</i>		46,000			<b>46,000</b>
<b>TOTAL</b>		<b>821,918</b>	<b>1,650,000</b>	<b>40,000</b>	<b>2,511,918</b>



**ANNEX 4: GEF PROJECT BUDGET**  
**BUDGET BY PROJECT COMPONENT AND UNEP BUDGET LINES**

Total GEF funding: 900000  
 IA fee (9.5%): 78082  
**Project funding: 821918**

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

**Project No:**  
**Project Name:** Development of Minamata Convention on Mercury Initial Assessment in Brazil  
**Executing Agency:** Ministry of Environment of Brazil  
**Source of funding (noting whether cash or in-kind):** GEF Trust Fund Cash

		BUDGET ALLOCATION BY PROJECT COMPONENT/ACTIVITY									
		Component 1	Component 2	Component 3	Component 4						
		Use of existing Coordination Mechanism (CONASQ) and organization of process	Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation	Development of a mercury inventory using the UNEP mercury toolkit including the identification of mercury contaminated sites	Preparation, validation of National MIA report and implementation of awareness raising activities and dissemination of results	Project Management	Monitoring and evaluation	TOTAL	YEAR 1	YEAR 2	TOTAL
UNEP BUDGET LINE/OBJECT OF EXPENDITURE	US\$	US\$	US\$	US\$	US\$			US\$			
<b>10 PROJECT PERSONNEL COMPONENT</b>											
<b>1100 Project Personnel</b>											
1101 Project coordinator	0					74'720		74'720	37'360	37'360	74'720
1102 Technical advisor	0							0	0	0	0
<b>1199 Sub-Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>74'720</b>		<b>74'720</b>	<b>37'360</b>	<b>37'360</b>	<b>74'720</b>
<b>1200 Consultants w/m</b>						0		0	0	0	0
1201 Nat'l consultants for mercury management	50'000							50'000	50'000		50'000
1202 Int'l consultant to provide support and advice throughout the project in particular for inventory training and development or review	0				80'000			80'000		80'000	80'000
<b>1299 Sub-Total</b>	<b>50'000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>80'000</b>			<b>130'000</b>	<b>50'000</b>	<b>80'000</b>	<b>130'000</b>
<b>1300 Administrative Support</b>						0		0	0	0	0
1301 Support staff								0	0	0	0
<b>1399 Sub-Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>1600 Travel on official business (above staff)</b>						0		0	0	0	0
1601 Travel experts and project staff	28'000	18'102	34'000	27'000				107'102	58'000	49'102	107'102
<b>1699 Sub-Total</b>	<b>28'000</b>	<b>18'102</b>	<b>34'000</b>	<b>27'000</b>				<b>107'102</b>	<b>58'000</b>	<b>49'102</b>	<b>107'102</b>
<b>1999 Component Total</b>	<b>78'000</b>	<b>18'102</b>	<b>34'000</b>	<b>107'000</b>	<b>74'720</b>			<b>311'822</b>	<b>145'360</b>	<b>166'462</b>	<b>311'822</b>
<b>20 SUB-CONTRACT COMPONENT</b>						0		0	0	0	0
<b>2100 Sub-contracts (UN organizations)</b>						0		0	0	0	0
2101 Expert technical advice, provision on guidance and assessment reports	0							0	0	0	0
<b>2199 Sub-Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>2200 Sub-contracts (SSEA, PCA, non-UN)</b>						0		0	0	0	0
2201 Subcontract for nat'l implementation (incl national trainings, meetings, travel)		138'500	143'500					282'000	210'250	71'750	282'000
<b>2299 Sub-Total</b>	<b>0</b>	<b>138'500</b>	<b>143'500</b>	<b>0</b>	<b>0</b>			<b>282'000</b>	<b>210'250</b>	<b>71'750</b>	<b>282'000</b>
<b>2999 Component Total</b>	<b>0</b>	<b>138'500</b>	<b>143'500</b>	<b>0</b>	<b>0</b>			<b>282'000</b>	<b>210'250</b>	<b>71'750</b>	<b>282'000</b>
<b>30 TRAINING COMPONENT</b>						0		0	0	0	0
<b>3200 Group training (field trips, WS, etc.)</b>						0		0	0	0	0
3201 Training on national inventory development (incl. Provision of materials)	0							0	0	0	0
<b>3299 Sub-Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>3300 Meetings/conferences</b>						0		0	0	0	0
3301 National project inception workshop	27'000	0		27'000				54'000	27'000	27'000	54'000
3302 Final lessons learned workshop	0							0	0	0	0
3303 Steering Committee meetings	0		87'000					87'000		87'000	87'000
<b>3399 Sub-Total</b>	<b>27'000</b>	<b>0</b>	<b>87'000</b>	<b>27'000</b>	<b>0</b>			<b>141'000</b>	<b>27'000</b>	<b>114'000</b>	<b>141'000</b>
<b>3999 Component Total</b>	<b>27'000</b>	<b>0</b>	<b>87'000</b>	<b>27'000</b>	<b>0</b>			<b>141'000</b>	<b>27'000</b>	<b>114'000</b>	<b>141'000</b>
<b>40 EQUIPMENT and PREMISES COMPONENT</b>						0		0	0	0	0
<b>4100 Expendable equipment (under 1,500 \$)</b>						0		0	0	0	0
4101 Operational costs	0							0	0	0	0
<b>4199 Sub-Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>4200 Non expendable equipment</b>						0		0	0	0	0
4201 Computer, fax, photocopier, projector	0							0	0	0	0
<b>4299 Sub-Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>4300 Office premises</b>						0		0	0	0	0
4301 Office space	0							0	0	0	0
<b>4399 Sub-Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>4999 Component Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>50 MISCELLANEOUS COMPONENT</b>						0		0	0	0	0
<b>5200 Reporting costs (publications, maps, NL)</b>						0		0	0	0	0
5201 Summary reports, visualization and diffusion of results	0							0	0	0	0
5202 Preparation of final report	0							0	0	0	0
5203 Translation and interpretation	0							0	0	0	0
<b>5299 Sub-Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>			<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>5300 Sundry (communications, postages)</b>											
5301 Communications (postage, bank transfers, etc)	0							0	0	0	0
5302 Recuperation of costs	9'200	11'500	13'800	6'596				41'096	31'896	9'200	41'096
<b>5399 Sub-Total</b>	<b>9'200</b>	<b>11'500</b>	<b>13'800</b>	<b>6'596</b>	<b>0</b>			<b>41'096</b>	<b>31'896</b>	<b>9'200</b>	<b>41'096</b>
<b>5500 Evaluation</b>								0	0	0	0
5501 Final evaluation							30'000	30'000		30'000	30'000
5502 Project audit							16'000	16'000		16'000	16'000
<b>5599 Sub-Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>46'000</b>	<b>46'000</b>	<b>0</b>	<b>30'000</b>	<b>30'000</b>
<b>5999 Component Total</b>	<b>9'200</b>	<b>11'500</b>	<b>13'800</b>	<b>6'596</b>	<b>0</b>	<b>0</b>	<b>46'000</b>	<b>71'096</b>	<b>31'896</b>	<b>48'200</b>	<b>71'096</b>
<b>TOTAL</b>	<b>114'200</b>	<b>168'102</b>	<b>278'300</b>	<b>140'596</b>	<b>74'720</b>	<b>46'000</b>	<b>805'918</b>	<b>453'706</b>	<b>352'212</b>	<b>805'918</b>	<b>805'918</b>

ANNEX 5: CO-FINANCE PROJECT BUDGET											
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:											
Project Name:		Development of Minamata Convention on Mercury Initial Assessment in Brazil									
Executing Agency:		Ministry of Environment of Brazil									
Source of funding (noting whether cash or in-kind):		GEF Trust Fund Cash									
		BUDGET ALLOCATION BY PROJECT COMPONENT/ACTIVITY									
		Component 1	Component 2	Component 3	Component 4						
		Use of existing Coordination Mechanism (CONASQ) and organization of process	Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation	Development of a mercury inventory using the UNEP mercury toolkit including the identification of mercury contaminated sites	Preparation, validation of National MIA report and implementation of awareness raising activities and dissemination of results	Project Management	Monitoring and evaluation	TOTAL	YEAR 1	YEAR 2	TOTAL
UNEP BUDGET LINE/OBJECT OF EXPENDITURE		US\$	US\$	US\$	US\$	US\$			US\$		
10	PROJECT PERSONNEL COMPONENT										
	1100	Project Personnel									
	1101	160,000	225,000	290,000	95,000	400,000		1,170,000	615,000	355,000	970,000
	1102	0						0	0	0	0
	1199	160,000	225,000	290,000	95,000	400,000		1,170,000	585,000	585,000	1,170,000
	1200	Consultants w/m									
	1201	0						0			
	1202	0	5,000	15,000				20,000	10,000	10,000	20,000
	1299	0	5,000	15,000	0			20,000	10,000	10,000	20,000
	1300	Administrative Support									
	1301	9,000	16,500	19,800	9,900			55,200	32,100	23,100	55,200
	1399	9,000	16,500	19,800	9,900			55,200	32,100	23,100	55,200
	1600	Travel on official business (above staff)									
	1601	3,000	11,000	15,000	15,000			44,000	21,000	23,000	44,000
	1699	3,000	11,000	15,000	15,000			44,000	21,000	23,000	44,000
	1999	172,000	257,500	339,800	119,900	400,000		1,289,200	648,100	641,100	1,289,200
20	SUB-CONTRACT COMPONENT										
	2100	Sub-contracts (UN organizations)									
	2101	0						0			
	2199	0	0								
	2200	Sub-contracts (SSEA, PCA, non-UN)									
	2201							0	0		0
		(incl national trainings, meetings, travel)									
	2299	0	0					0	0	0	0
	2999	0	0					0	0	0	0
30	TRAINING COMPONENT										
	3200	Group training (field trips, WS, etc.)									
	3201	5,000	15,000	15,000	10,000			45,000	15,000	30,000	45,000
	3299	5,000	15,000	15,000	10,000			45,000	15,000	30,000	45,000
	3300	Meetings/conferences									
	3301	5,000	20,000	25,000	30,000			80,000	15,000	65,000	80,000
	3302	0						0			
	3303	20,000	20,000	20,000	20,000			80,000	40,000	40,000	80,000
	3399	25,000	40,000	45,000	50,000			160,000	55,000	105,000	160,000
	3999	30,000	55,000	60,000	60,000			205,000	70,000	135,000	205,000
40	EQUIPMENT and PREMISES COMPONENT										
	4100	Expendable equipment (under 1,500 \$)									
	4101	1,000	2,000	2,000	1,000			6,000	3,000	3,000	6,000
	4199	1,000	2,000	2,000	1,000			6,000	3,000	3,000	6,000
	4200	Non expendable equipment									
	4201	1,000	1,800	2,000	1,000			5,800	3,000	2,800	5,800
	4299	1,000	1,800	2,000	1,000			5,800	3,000	2,800	5,800
	4300	Office premises									
	4301	32,000	40,000	48,000	24,000			144,000	88,000	56,000	144,000
	4399	32,000	40,000	48,000	24,000			144,000	88,000	56,000	144,000
	4999	34,000	43,800	52,000	26,000			155,800	94,000	61,800	155,800
50	MISCELLANEOUS COMPONENT										
	5200	Reporting costs (publications, maps, NL)									
	5201	0	10,000	10,000	10,000			30,000	10,000	20,000	30,000
	5202	0			10,000			10,000		10,000	10,000
	5203	0									
	5299	0	10,000	10,000	20,000			40,000	10,000	30,000	40,000
	5300	Sundry (communications, postages)									
	5301	0									
	5302							0			0
	5399	0	0	0	0			0	0	0	0
	5500	Evaluation									
	5501							0		0	0
	5502										
	5599	0	0	0	0	0		0	0	0	0
	5999	0	10,000	10,000	20,000	0		40,000	10,000	30,000	40,000
	TOTAL	236,000	366,300	461,800	225,900	400,000	0	1,690,000	822,100	867,900	1,690,000

## **Annex 6: Endorsement Letter**

## Annex 7: Logical Framework

Mercury is a metallic element and, as such, cannot be destroyed and permanently removed from the environment. It exists in different forms and exhibits characteristics such as persistence in the environment and biota, including humans, certain forms are bio-accumulative and can have a significant impact on human health and the environment. Mercury's inherent property of long-range transport makes mercury a global threat and a pollutant of global concern. The different applications of mercury require a coordinated effort to manage mercury nationally and internationally. Inadequate management of mercury releases may result in an elevated risk for human health and the environment around the world.

The Minamata Convention on Mercury was adopted in 10 October 2013 in Japan and was opened for signature thereafter. The objective of the Convention is to protect the 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. These include measures to control the supply and trade of mercury, including certain limitations on certain specific sources of mercury such as primary mining, and to control mercury-added products and manufacturing processes in which mercury or mercury compounds are used, as well as artisanal and small scale gold mining. In addition, the Convention also contains measures on the environmentally sound interim storage of mercury and on mercury wastes, as well as contaminated sites.<sup>25</sup>

Brazil signed the Minamata Convention on Mercury on 10 October 2013. The Minamata Convention on Mercury stresses in its preamble "the importance of financial, technical, technological, and capacity-building support, particularly for developing countries, and countries with economies in transition, in order to strengthen national capabilities for the management of mercury and to promote the effective implementation of the Convention."

### Problem and project objective analysis:

1. Developing countries have insufficient economic resources and guidance to conduct a comprehensive assessment of the national infrastructure, capacity and legislation in order to ratify a MEA. This problem delays considerably the ratification of MEAs as the Minamata Convention on Mercury and prevent the effective implementation of the Convention;
2. Brazil signed the Minamata Convention on Mercury on 10 October 2013;
3. Taking into consideration UNEP's extensive expertise on mercury assessments (inventory development guidance and global/regional assessments), Brazil has requested UNEP's assistance to identify the national challenges, needs and opportunities in order for the country to ratify the Minamata Convention on Mercury;
4. Brazil has also requested UNEP's assistance to build the national capacity to implement the Minamata Convention on Mercury following its ratification. This includes the identification of all mercury sources and releases using the UNEP Toolkit which allows the future monitoring of progress in the implementation of the Convention;
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 are also addressed while avoiding duplication of efforts;
6. The high level, long term impacts of this project consists in its contribution to the global efforts to control and reduce anthropogenic mercury emissions.
7. UNEP and the Ministry of Environment of Brazil 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 assessment of national infrastructure, capacities and legislation;
  - National stakeholders will facilitate and contribute to the identification and quantification of mercury releases;
  - 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 make full use of the MIA related assessments to ratify and implement the Minamata convention

**Project Objective:** Within the overall objective of the Minamata Convention on Mercury, which is to protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds, this project will facilitate the ratification and early implementation of the Minamata Convention by providing key national stakeholders in participating countries with the scientific and technical knowledge and tools needed for that purpose.

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<sup>25</sup> Minamata Convention on Mercury

The following risks together with their mitigation measures have been identified for this project:

<b>Risks</b>	<b>Mitigation measures</b>
Level of commitment or not enough receptivity to the project from one or more of the stakeholders involved ( <b>Low risk</b> )	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 ( <b>Low risk</b> )	National focal point 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.
Key industrial stakeholders unwilling to participate in the inventory work. ( <b>Low risk</b> )	National focal point is requested to provide a list of key industrial stakeholders at project inception. This will allow stakeholders to be contacted early on in the project, consulted on the importance of the project, and for the benefits of the project to be communicated.
Data gaps or discrepancies in official records on products, imports, and exports related to mercury and mercury waste. ( <b>Medium risk</b> )	Collection and analysis of information with assistance from those sectors that are responsible of producing data. A validation system and data interpretation scheme is highly recommended.
Timeframe short to deliver expected outputs ( <b>Medium risk</b> )	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 ( <b>Low risk</b> )	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 ( <b>Low risk</b> )	The project already has a strong political support and has the commitment of the Brazilian Government to be fully implemented. The Brazilian Government is also making a great effort to adopt the Minamata Convention on Mercury. The Brazilian delegation for the INC was constituted by several federal Institutions, such as, MMA, MS, MRE, MME, IBAMA, ANVISA and MD. Regarding MMA, a strategic plan has been established to implement mercury management measures by 2020.
Potential problematic interaction between broader coordination, civil society groups and industry ( <b>Low risk</b> )	Brazil has a commission (CONASQ) representing over 20 government entities and NGOs, representing industry, civil society and academic and scientific area. This body ensures the coordination of chemical safety programs, including the implementation of multilateral environmental agreement and will include the Minamata Convention on Mercury.
Poor capacity to attract and retain qualified staff and experts ( <b>Low risk</b> )	The project will manage this risk by means of creating the appropriate incentives for staffs and consultants.

Risks	Mitigation measures
Poor capacity of NGOs on dealing with chemicals issues is also identified ( <b>Medium risk</b> )	Promote capacity building to NGOs by technical seminars on chemicals issues.
Communication and awareness raising not effective enough ( <b>Low risk</b> )	Promote and implement risk communication strategies and disseminate information related to the project and mercury issues in general

### Funds for project implementation

The Minamata Convention on Mercury identifies and describes in its Article 13 the financial mechanism to support Parties from developing countries and countries with economies in transition to implement the Convention. It identifies two entities that will function as the Financial Mechanism: a) the Global Environment Facility Trust Fund; and b) A specific international Programme to support capacity-building and technical assistance. The GEF Programming for its replenishment V highlights the strong commitment of the GEF to support the ratification and further implementation of the Minamata Convention on Mercury. Additionally, at its 44<sup>th</sup> Meeting in June 2013, the GEF Council considered document GEF/C.44/04, *Preparing the GEF to serve as the Financial Mechanism of the Minamata Convention on Mercury upon entry into force* and its decision, inter alia: “Authorized the use of up to 10 million for the funding of an early action pre-ratification programme for the Minamata Convention on Mercury to be programmed during the remainder of GEF-5, upon request by eligible signatory countries. It also requested the GEF Secretariat to develop initial guidelines consistent with the final resolutions of the Diplomatic Conference for enabling activities and pre-ratification projects, in consultation with the interim Secretariat of the Minamata Convention on Mercury and present this as an information document at the 45<sup>th</sup> Council Meeting”.

The GEF financial support of mercury related activities is included in the GEF V Focal Area Strategies document, which addresses mercury issues under the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury Reduction, which has as an outcome 3.1 to build country capacity to effectively manage mercury in priority sectors.

The pre-ratification programme for the Minamata Convention on Mercury complements the 15 million USD assigned from GEF to support mercury projects since the start of GEF V (2010). The 15 million USD, initially allocated during GEF V, have been exhausted in 2013, therefore the 10 additional million USD are for countries that have the firm purpose to ratify the Convention and are to support the pre-ratification programme. These additional funding is made available with the purpose to :a) assess national regulatory framework in the context of preparation for a decision whether to ratify; b) decide if there is a justification to notify the convention in accordance with article 7; c) prepare to implement the obligations of the Minamata Convention on Mercury as soon as possible. As such, the GEF Secretariat, consistent with paragraph 9 (b) of the GEF Instrument, in the interim period between adoption of the Convention and the COP1, as well as after the COP1, will support developing countries and countries with economies in transition that: a) have signed the Convention; and b) are eligible for World Bank (IBRD and/or IDA) financing or eligible recipients of UNDP technical assistance through its target for resource assignments from the core (TRAC).

### Project activities, outputs and outcomes

The activity 1.1 includes the organization of a National Inception Workshop to finalize the list of stakeholders to be involved in the implementation of the project; to raise awareness and to define the scope and objective of the MIA process. The activity 1.1 will also include the gathering of studies and national data on mercury. This will allow to focus on the information that is missing (gaps) and to use existing studies, making the best use of resources and national available capacities. Activity 1.2 will review and adapt existing guidance materials for national use. This activity will trigger the use of existing international guidance and access to all interested sectors. With these activities technical support will be provided for the use of National Coordination Mechanism and the process for the management of mercury will be organized. A strengthened coordination mechanism is a key initial step on mercury management that will allow the deployment of coordinated national interventions and the jointly development of a national planning for priority actions. This project component will trigger an enhanced national coordination and also the effective use of existing resources.

Activity 2.1 will follow activity 1.1 and will identify not only the roles of institutions but also their capacities and interest in mercury management. Reassessing the roles of partners and providing a clear distribution of roles will avoid conflict of interests and well-defined responsibilities. Activity 2.2 will analyse the national regulatory framework, identify gaps and assess the regulatory reforms needed for the sound management of mercury in Brazil. With these activities an assessment of the national infrastructure and capacity for the management of mercury, including national legislation, will be prepared. By identifying the gaps and needs in legislation, Brazil will make a big step forward for sound management of mercury nationwide. Sound legislation supports and leads to sound mercury management and will influence how mercury is managed at all levels in the country. However legislation is one aspect of national change, other actions will need to be implemented in a coordinated manner in order to implement the Minamata Convention.

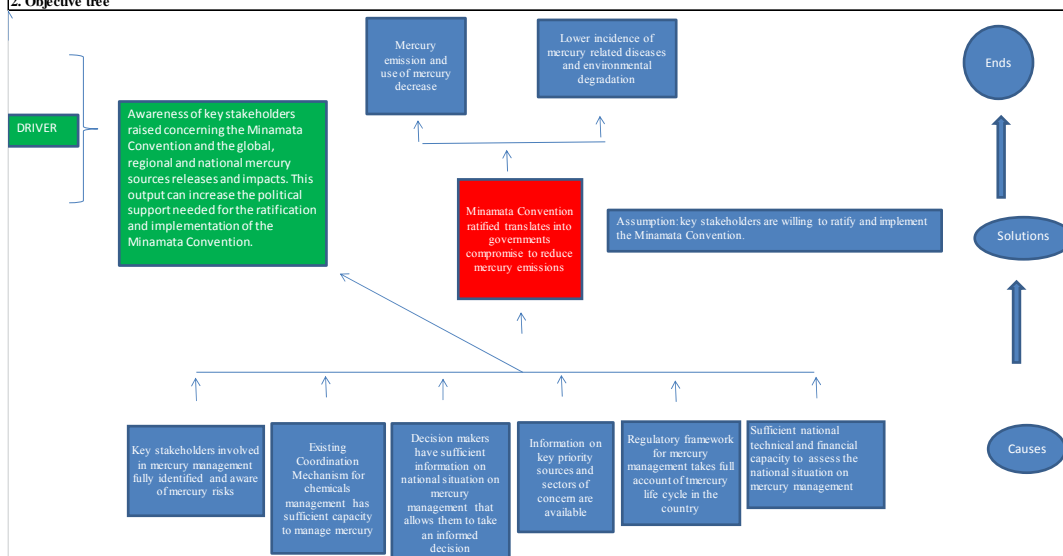
Activity 3.1 consists in a qualitative and quantitative inventory of all mercury sources and releases. Having a sound and standardized inventory will provide the scientific and technical data needed to support national interventions and to establish national priorities. Activity 3.2 will develop and deliver training on the UNEP Toolkit. With these activities the mercury inventory will be developed including the identification of mercury contaminated sites using the UNEP mercury tool kit.

Activity 4.1 will draft and validate the MIA Report and develop a national MIA dissemination strategy. With this activity technical support will be provided for preparation and validation of National MIA reports and implementation of awareness raising activities and dissemination of results. The MIA will provide key information to all national stakeholders and beyond and will allow Brazil to identify where the gaps are and what are the possible ways to protect human health and the environment from the undesirable effects of mercury. Since Brazil and key stakeholders will make full use of the MIA and related assessments, the project will lead to the ratification and early implementation of the Minamata Convention on Mercury, which will definitively trigger a change in the way mercury is currently managed in the country.

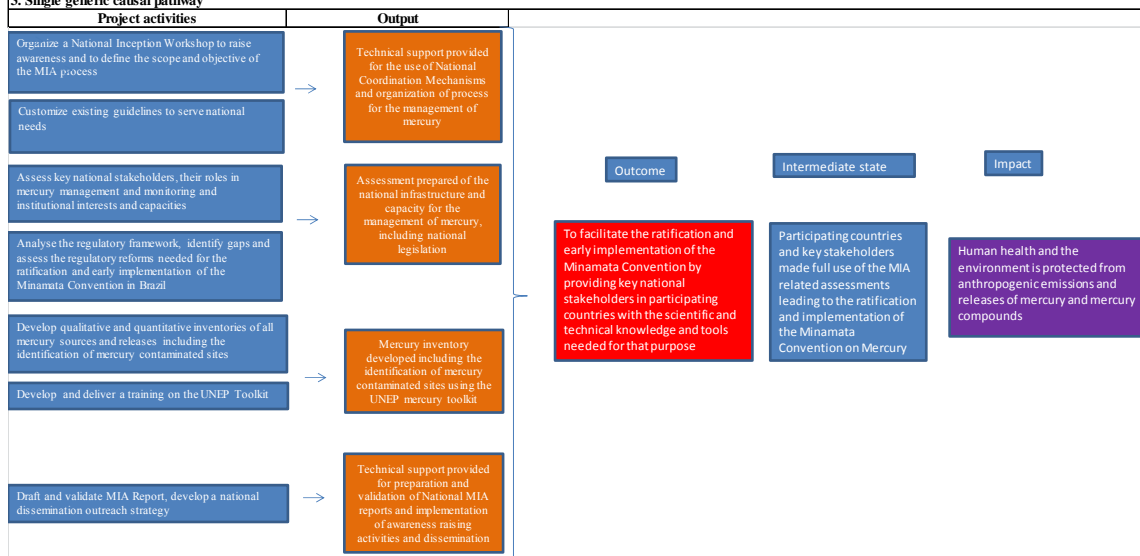
### 1. Situation analysis



### 2. Objective tree



### 3. Single generic causal pathway





## LOGICAL FRAMEWORK<sup>1</sup>

<b>Relevant Expected Accomplishment in the Programme of Work:</b> <i>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</i>			
1. Project Outcome	Indicators	Means of Verification	
Ratification and early implementation of the Minamata Convention is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in participating countries.	-Number of references to MIA assessments and reports in relevant national government and company documents aimed at the ratification and/or implementation of the Minamata Convention. ( <i>Baseline:</i> 0. <i>Target:</i> at least 4) - -Number of stakeholders and policymakers surveyed that acknowledge using MIA assessments in their promotion of policies and actions towards the ratification and early implementation of the Minamata Convention. ( <i>Baseline:</i> 0. <i>Target:</i> at least 2 policy makers and 4 other stakeholders).	-Desk review of citations using MIA findings in relevant documents from government, companies, organizations and academic literature; - -Surveys and interviews with practitioners and policymakers to track and evaluate use of the MIA	
<b>Project milestones that show progress towards achieving the project outcome</b>			<b>Expected Milestone Delivery Date</b>
<b>M1:</b> 2 references to MIA assessments in relevant national government and company documents			Oct2015
<b>M2:</b> 2 ministries and 4 other stakeholders use MIA findings to mobilize the political support needed for the ratification and early implementation of the Minamata Convention.			Oct 2016 (end of project)
2. Project Outputs:	Indicators	Means of Verification	PoW-EA Output
A) Technical support provided for the use of National Coordination Mechanism and organization of process for the management of mercury	- Existing National Coordination Mechanism includes mercury fully according to the Minamata Convention provisions ( <i>Baseline:</i> Brazil has experience with 2 monthly meeting on technical working-group on mercury of the National Commission of Safety Chemistry (since June 2001). <i>Target:</i> mercury included in their regular agenda items)	- Minutes of the 2 monthly meetings of the existing National Coordination Mechanism (CONASQ) National Ministries of Environment websites	524.2 Portfolio of GEF funded projects in support of the Minamata Convention
<b>Project output Milestones:</b>			<b>Expected Milestone Delivery Date</b>
<b>M1:</b> Project Steering Committee Established and the existing National Coordination Mechanism fully includes mercury management			Dec 2014

B) Assessment prepared of the national infrastructure and capacity for the management of mercury, including national legislation	- Number of national assessment reports developed ( <i>Baseline:</i> 0. <i>Target:</i> 1).	- 1 final national assessment report available in the National Website of the Ministry of Environment	524.2 Portfolio of GEF funded projects in support of the Minamata Convention
<b>Project Milestones:</b>			<b>Expected Milestone Delivery Date</b>
<b>M2:</b> 1 final national report on national capacities for mercury management (assessed) and national needs developed			Jun 2015
<b>M2:</b> 1 final national report on existing national regulatory framework applicable to mercury and impact of regulatory framework assessed			Oct 2015
C) Mercury inventory developed including the identification of mercury contaminated sites using the using the UNEP mercury tool kit	- Number of national mercury quantitative and sector based inventories developed including the identification of mercury contaminated sites (level 2 inventory). ( <i>Baseline:</i> 0. <i>Target:</i> 1)	- national mercury inventory with identified contaminated sites available at the Ministry of Environment Website	524.2 Portfolio of GEF funded projects in support of the Minamata Convention
<b>Project Milestones:</b>			<b>Expected Milestone Delivery Date</b>
<b>M3:</b> 1 qualitative and quantitative inventory of all mercury sources and releases developed including the identification of mercury contaminated sites			Dec 2015
D) Technical support provided for preparation and validation of National MIA reports and implementation of awareness raising activities and dissemination of results.	- Number of MIA reports prepared and validated by national stakeholders ( <i>Baseline:</i> 0. <i>Target:</i> 1) - Report on implementation of strategies for MIA dissemination and awareness raising activities developed. ( <i>Baseline:</i> 0. <i>Target:</i> 1).	- MIA reports validated by National Coordination Committee. - MIA dissemination strategy and awareness raising activity report available at the Ministry of Environment's website	524.2 Portfolio of GEF funded projects in support of the Minamata Convention
<b>Project Milestones:</b>			<b>Expected Milestone Delivery Date</b>
<b>M4:</b> Final MIA report validated and available to key stakeholders			Aug2016
<b>M4:</b> MIA dissemination strategy and awareness raising activities developed and implemented			Oct 2016

**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 *strictly* answerable with a yes or no answer.

## ANNEX 8: OPERATIONAL GUIDANCE TO FOCAL AREA ENABLING ACTIVITIES

### Biodiversity

- [GEF/C.7/Inf.11, June 30, 1997, Revised Operational Criteria for Enabling Activities](#)
- [GEF/C.14/11, December 1999, An Interim Assessment of Biodiversity Enabling Activities](#)
- [October 2000, Revised Guidelines for Additional Funding of Biodiversity Enabling Activities \(Expedited Procedures\)](#)

### Climate Change

- [GEF/C.9/Inf.5, February 1997, Operational Guidelines for Expedited Financing of Initial Communications from Non-Annex I Parties](#)
- [October 1999, Guidelines for Expedited Financing of Climate Change Enabling Activities – Part II, Expedited Financing for \(Interim\) Measures for Capacity Building in Priority Areas](#)
- [GEF/C.15/Inf.12, April 7, 2000, Information Note on the Financing of Second National Communications to the UN Framework Convention on Climate Change](#)
- [GEF/C.22/Inf.15/Rev.1, November 30, 2007, Updated Operational Procedures for the Expedited Financing of National Communications from Non-Annex I Parties](#)

### Persistent Organic Pollutants

- [GEF/C.17/4, April 6, 2001, Initial Guidelines for Enabling Activities for the Stockholm Convention on Persistent Organic Pollutants](#)
- [GEF/C.39/Inf.5, October 19, 2010, Guidelines for Reviewing and Updating the NIP under the Stockholm Convention on POPs](#)

### Land Degradation

- [\(ICCD/CRIC\(5\)/Inf.3, December 23, 2005, National Reporting Process of Affected Country Parties: Explanatory Note and Help Guide](#)

### National Capacity Self-Assessment (NCSA)

- [Operational Guidelines for Expedited Funding of National Self Assessments of Capacity Building Needs, September 2001](#)
- [A Guide for Self-Assessment of Country Capacity Needs for Global Environmental Management, September 2001](#)

### National Adaptation Plan of Action (NAPA)

- [GEF/C.19/Inf.7, May 8, 2002, Notes on GEF Support for National Adaptation Plan of Action,](#)

## ANNEX 9: ACRONYMS AND ABBREVIATIONS

ABC	Brazilian Cooperation Agency
ABCM	Brazilian Association of Mineral Coal
ABCP	Brazilian Association of Portland Cement
ABEMA	Brazilian Association of State Environmental Agencies
ABETRE	Brazilian Association of Waste Treatment Companies
ABICLOR	Brazilian Association Chlorine, Alkalis and By-Products Industry
ABILUMI	Brazilian Association of Importers of Lighting Products
ABILUX	Brazilian Association of Industrial Lighting
ABINEE	Brazilian Association of Electric and Electronic Industries
ABIQUIM	Brazilian Chemical Industry Association
ABRELPE	Brazilian Association of Public Cleaning and Special Waste
ACPO	Brazilian Association Against Pollutants
ACTO	Amazon Cooperation Treaty Organization
ANEEL	National Electric Power Agency
ANVISA	Brazilian Sanitary Surveillance Agency
APLIQUIM	Company on lamp decontamination and recycling
APROMAC	Cianorte rural producers association
ASGM	Artisanal and Small Scale Gold Mining
CETEM	Mineral Technological Center
CONASQ	National Committee on Chemical Safety
CONAMA	Conselho Nacional do Meio Ambiente
COP	Conference of the Parties
CSI	Cement Production Initiative
DTIE	Division of Technology, Industry and Economics
EA1	Enabling activity
EA2	Executing Agency
GC	Governing Council
GEF	Global Environment Facility
FACOME	Amazon Forum on Mercury Contaminated Ecosystems
FBOMS	Brazilian Forum of NGOs and Social Movements for the Environment and the Development
FIOCRUZ	Oswaldo Cruz Foundation
FUNDACENTRO	Jorge Duprat Figueiredo Foundation Safety and Occupational Medicine
IBAMA	Brazilian Institute for the Environment and Natural Renewable Resources
IBRAM	Brazilian Mining Association
IBRD	International Bank for Reconstruction and Development
IDA	International Development Association
INC	Intergovernmental Negotiating Committee
INMETRO	National Institute of Metrology, Quality and Technology
GRULAC	Regional Group of Latin America and the Caribbean
MAPA	Ministry of Agriculture, Livestock and Food Supply
MCTI	Ministry of Science, Technology and Innovation
MD	Ministry of Defense
MDIC	Ministry of Industry, Trade and Development
M&E	Monitoring and Evaluation
MIA	Minamata Initial Assessment
MMA	Ministry of the Environment
MME	Ministry of Mines and Energy
MRE	Ministry of Foreign Affairs
MS	Ministry of Health
MTE	Ministry of Labor and Employment
NGO	Non-Governmental Organization

NAPA	National Adaptation Plans of Action
NCSA	National Capacity Self-Assessment
NIP	National Implementation Plan
PAC	Growth Acceleration Programme (Programa de Aceleração do Crescimento)
PAHO	Pan American Health Organization
PIR	Project Implementation Report
PSC	Project Steering Committee
PT	Project Team
SNIC	Labour Union of the Cement Industry (Sindicato Nacional da Industria do Cimento)
TA	Technical Assistance
TF	Trust Fund
TRAC	Target for Resource Assignment from the Core
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
WBCSD	World Business Council for Sustainable Development
WHO	World Health Organization

## ANNEX 10: PROJECT IMPLEMENTATION ARRANGEMENTS

