



REQUEST FOR CEO APPROVAL¹

PROJECT TYPE: Medium-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

PART I: PROJECT INFORMATION

Project Title: Improve the Health and Environment of Artisanal and Small Scale Gold Mining (ASGM) Communities by Reducing Mercury Emissions and Promoting Sound Chemical Management			
Country(ies):	Burkina Faso, Mali and Senegal	GEF Project ID: ²	4569
GEF Agency(ies):	UNIDO (select) (select)	GEF Agency Project ID:	
Other Executing Partner(s):		Submission Date:	
GEF Focal Area (s):	Persistent Organic Pollutants	Project Duration(Months)	36
Name of Parent Program (if applicable): For SFM/REDD+ <input type="checkbox"/>		Agency Fee (\$):	99,000

A. FOCAL AREA STRATEGY FRAMEWORK³

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Cofinancing (\$)
(select) CHEM-3	Outcome 3.1. Country capacity built to effectively manage mercury in priority sectors.	Output 3.1. Countries receiving GEF support for mercury management and reduction, on a pilot basis.	GEF TF	905,000	2,240,000
(select) (select)			(select)		
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(select) (select)			(select)		
(select) (select)			(select)		
(select) (select)	Others		(select)		
Subtotal				905,000	2,240,000
Project management cost ⁴			GEF TF	85,000	210,000
Total project costs				990,000	2,450,000

B. PROJECT FRAMEWORK

Project Objective: Reduce the impacts of mercury on human health and the environment of artisanal gold mining communities in Burkina Faso, Mali and Senegal by promoting sound chemical management and strengthening local and national capacity to effectively reduce mercury use, emissions and exposure. This will also contribute to reducing global use and emissions from the ASGM sector, currently the world's largest demand for mercury						
Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	Grant Amount (\$)	Confirmed Cofinancing (\$)
1. Improve understanding of	TA	Scope of ASGM in the three countries	Comprehensive data and national reports for	GEFTF	120,000	250,000

¹ It is important to consult the GEF Preparation Guidelines when completing this template

² Project ID number will be assigned by GEFSEC.

³ Refer to the [Focal Area/LDCF/SCCF Results Framework](#) when filling up the table in item A.

⁴ This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or cofinancing sources.

scope of ASGM in Burkina Faso, Mali and Senegal by conducting rapid risk assessments and baseline estimates		better understood	each country			
2. Finalize and implement national strategic action plans in each country to promote sound management of mercury in ASGM	TA	National strategic action plans to promote sound management of mercury are successfully implemented and used to propose policy changes in all three countries	<ul style="list-style-type: none"> - Three national strategic action plans to promote sound management of mercury in ASGM are finalized. - Roles and responsibilities assigned to and accepted by various local and national stakeholders. 	GEFTF	140,000	407,000
3. Develop comprehensive health education and technology training programs based on previous successful pilot projects in the region and other parts of the world	TA	Health and technology trainings are implemented and provided to the local population, including non-miners, and behaviours changed	Comprehensive health education and technology training programs to reduce/eliminate mercury are developed and implemented at least twice a year in each country.	GEFTF	125,000	200,000
4. Implement mercury reduction/elimination pilot projects with local and national stakeholders, and provide technical guidance and support.	TA	<ul style="list-style-type: none"> - Pilot projects conducted in collaboration with local and national stakeholders in Burkina Faso and Mali and pilot project expanded to additional communities in Senegal (one pilot per country). - The use of mercury in ASGM practices reduced in each country. 	<ul style="list-style-type: none"> - Local communities adopt low-mercury or mercury free technology. - Local and national stakeholders engaged. - Workshops and training of 5 trainers conducted at each pilot site. - Reports on changes in mercury use, emissions and exposure. - Measurable reduction (50%) in mercury use, emissions and exposure at pilot project sites. 	GEFTF	300,000	648,000
5. Evaluate opportunity for fair trade certification; develop and submit applications	TA	At least one pilot project per country evaluated for fair trade certification opportunities, and at least two applications for certification developed and submitted.	Reports on applicability of certification schemes for pilot sites. Applications for certification developed.	GEFTF	100,000	550,000

6. Extract and use lessons learned to inform national policy makers and contribute to the revision of national strategic action plans in each country.	TA	- Useful pilot project results and lessons learned are documented in each country. - Results are presented to national mercury policymakers who will direct the revision of national strategic action plans in each country and adopt new mercury regulations.	Reports on lessons learned and presentations to policymakers /government agencies in each country. - Share lessons learned regionally through two workshops.	GEFTF	120,000	185,000
	(select)			(select)		
	(select)			(select)		
	(select)			(select)		
	(select)			(select)		
Subtotal					905,000	2,240,000
Project management Cost ⁵				GEFTF	85,000	210,000
Total project costs					990000	2450000

C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)

Sources of Co-financing	Name of Co-financier (source)	Type of Cofinancing	Cofinancing Amount (\$)
Other Multilateral Agency (ies)	FFEM (FGEF)	Grant	1,085,000
National Government	US EPA through UNEP	Grant	120,000
GEF Agency	UNIDO (SAICM QSP Mali)	Grant	220,000
Other Multilateral Agency (ies)	European Commission	Grant	487,000
National Government	Burkina Faso and Senegal Governments	In-Kind	160,000
National Government	US Department of State	Grant	198,000
National Government	Mali	In-Kind	150,000
GEF Agency	UNIDO	Grant	30,000
(select)		(select)	
(select)		(select)	
Total Co-financing			2,450,000

D. GEF/LDCF/SCCF RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

GEF Agency	Type of Trust Fund	Focal Area	Country Name/ Global	(in \$)		
				Grant Amount (a)	Agency Fee (b) ²	Total c=a+b
UNIDO	GEF TF	Persistent Organic Pollutants	Burkina Faso	330,000	33,000	363,000
UNIDO	GEF TF	Persistent Organic Pollutants	Mali	330,000	33,000	363,000
UNIDO	GEF TF	Persistent Organic Pollutants	Senegal	330,000	33,000	363,000
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0

⁵ Same as footnote #3.

(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
Total Grant Resources				990,000	99,000	1,089,000

E. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	Estimated Person Weeks	Grant Amount (\$)	Cofinancing (\$)	Project Total (\$)
Local consultants*	1,900.00	173,000	682,000	855,000
International consultants*	305.00	135,000	443,700	578,700
Total		308,000	1,125,700	1,433,700

* Details to be provided in Annex C.

F. PROJECT MANAGEMENT COST

Cost Items	Total Estimated Person Weeks/Months	Grant Amount (\$)	Co-financing (\$)	Project Total (\$)
Local consultants*	36.00	25,000	40,000	65,000
International consultants*	10.00	20,000	50,000	70,000
Office facilities, equipment, vehicles and communications*		5,000	30,000	35,000
Travel*		20,000	45,000	65,000
Others**	Evaluation	15,000	15,000	30,000
	Meetings		30,000	30,000
Total		85,000	210,000	295,000

* Details to be provided in Annex C.

** For others, to be clearly specified by overwriting fields *(1) and *(2).

G. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No

(If non-grant instruments are used, provide in Annex E an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF Trust Fund).

H. DESCRIBE THE BUDGETED M & E PLAN:

Monitoring and evaluation for this project will rely on several levels of review, quality control and feedback. Overall M&E: UNIDO will be responsible for overall project monitoring and evaluation, and reporting progress to the donor. UNIDO will conduct yearly monitoring and evaluation visits to the project countries, and submit programmatic and financial interim reports within 30 days of the end of every six-month period. The final programmatic and financial reports will be submitted to the donor within 90 days of project end. UNIDO and its executing partners will meet bi-annually to 1) review and approve annual work plans; 2) assess progress against M&E targets as indicated in the Project Results Framework; 3) approve of interim and final reports; and 4) assess any gaps or weaknesses, and make appropriate adaptive management decisions based on progress and achievements. Work plans for years two and three will be based upon results achieved in the previous year, agreed priorities and any changes identified via adaptive management decisions (including associated budget allocations).

Programmatic M&E: the main executing partner, Blacksmith Institute, will be responsible for day-to-day management of the project, reporting quarterly to UNIDO. The executing partner will conduct two monitoring and evaluation visits to the project countries each year to review and assess project progress, ensure management decisions are implemented, review strategies and adapt project execution plans accordingly. In addition, the Project Manager will monitor project activities on a weekly basis. Email, chat, video chat or telephone communications with Country Coordinators and other partners allow for real time, close coordination and feedback between central management, technical specialists, field project staff and partners. Country Coordinators will be responsible for implementing day-to-day technical assistance activities and reporting progress and any challenges back to the Project Manager.

Technical advice and expertise will be coordinated by UNIDO and its executing partner. The technical experts will be an important part of the monitoring and evaluation process, as they will provide specific technical project advice, assist with troubleshooting as needed, and ensure quality control and adherence to international environmental and chemical safety standards. The stakeholder groups will also play key roles in project monitoring and evaluation. Stakeholder groups will be involved in all stages of the project planning and implementation, and will be crucial “eyes and ears” on the ground to identify needs and problems or challenges, as well as assist in finding solutions.

Progress of activities and outputs against the targets and desired outcomes will be assessed bi-annually using the means of verification and indicators for measurement explained in the Project Results Framework. Standard statistical methods will be used to analyze and report trends where applicable; qualitative indicators will be monitored when quantitative indicators are not feasible or useful. Performance measures will occur at three levels: activity, annual work plans and overall project, and reported upon as explained above. Quarterly reports and bi-annual reports will aggregate, summarize and convert project data/results into more general language indicating project progress towards objectives. In this way, reporting will link monitoring and evaluation aspects.

Activities of other executing partner organizations will be measured in a parallel fashion, using project agreements or memorandums of understanding that explicitly list objectives and activities for which each partner is responsible. Partners will be required to report quarterly to Country Coordinators on their achievement of these aims using their respective agreements/ MoU’s and the Project Results Framework. Partner reporting will then be integrated into overall project reporting. Following completion of annual project reports, all project partners will meet to review in-country progress and make needed adjustments to the project plan. Working with project partners, local/national governments, NGO’s and other stakeholders, annual work plans will be adapted as necessary.

Financial Monitoring: All project costs must be accounted for and documented. Financial reports will be required on a monthly basis from the field to the Program Manager, according to internal accounting procedures. Interim financial reports will be provided to the donor by UNIDO every six months, and a final financial report will be provided within 6 months of project end.

PART II: PROJECT JUSTIFICATION

A. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

A.1.1. The [GEF focal area/LDCF/SCCF strategies](#):

The proposed project is directly in line with the GEF 5 Focal Area Strategy for the Chemicals focal area, “to promote the sound management of chemicals throughout their lifecycle in ways that lead to the minimization of significant adverse effects on human health and the environment,” in particular Objective 3 to “pilot sound chemicals management and mercury reduction.” It also aligns with Outcome 3.1 “country capacity build to effectively manage mercury in priority sectors” and Outcome 3.2 to “contribute to the overall objective of the SAICM of achieving sound management of chemicals throughout their lifecycle in ways that lead to the minimization of significant adverse effects on human health and the environment.” This project will support the GEF Chemicals program area by strengthening local and national capacity to effectively manage and reduce mercury use, emissions and exposure in artisanal gold mining communities in Senegal, Mali and Burkina Faso. Specifically, it will assist the three governments to develop national strategic action plans for sound mercury management in ASGM, and build the capacity of local and national stakeholders to implement successful mercury reduction/elimination projects.

a.1.2. For projects funded from LDCF/SCCF: the ldcf/sccf eligibility criteria and priorities: Not applicable

A.2. National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAS, NAPs, NBSAPs, national communications, TNAs, NIPs, PRSPs, NPFE, etc.:

The proposed countries for intervention for this project are Senegal, Mali and Burkina Faso. Each country has expressed interest in addressing ASGM and mercury use. This interest was manifested in the representation of all three governments at the UNIDO Global Mercury Partnerships Sub-Regional Workshops on gold mining in Bamako, Mali in December 2009. In addition, both Burkina Faso and Mali are members of UNEP's Global Mercury Partnership, and all three countries are parties to international treaties, agreements and conventions such as the Basel Convention, SAICM, Stockholm Convention and others. In 2010, UNIDO provided support for the development of a national strategic plan regarding ASGM in the three countries.

Currently, in Senegal and Mali, laws and codes related to mining generally do not specifically address ASGM. Instead, they focus on industrial mining, and encourage more foreign direct investment. In Senegal, revisions to the Mining Code law n. 2003-36 will seek to ensure that local communities benefit from gold mining, and that they can engage in small-scale exploitation. The Government of Senegal has expressed specific interest to address mercury use and emissions in ASGM activities. The national strategic plan for Senegal was developed in collaboration with the Ministry of Environment, Ministry of Mines, UNIDO, Blacksmith Institute and other stakeholders. The plan has set out a series of actions to be implemented by 2015, including the assessment of health impacts of mercury, strengthen national legislation regarding mercury, and increase productivity and income of miners by 50%.

The Government of Mali intends to introduce new mining code in the near future to encourage more investment in mining, but currently has no laws directly addressing ASGM. It does have, however, a set of legal instruments related to chemical substances and wastes including several laws and regulations (e.g. Act No. 01-020 AN/RM 2001, Decree 07-135/P-RM of 2007 among others). Mali is implementing the 1998 National Policy of Environmental Protection and the National Sanitation Policy of 2007, which deal with the environmentally sound management of chemicals and wastes. In addition, the government of Mali is currently engaged with UNIDO in a SAICM project to assess the situation of mercury management practices in ASGM and identify needs and priorities in the sector.

In Burkina Faso, small-scale mining is regulated by Mining Code of 08 May 2003, which is implemented via Decree No. 2005-047 / PRES / PM / STM 1 February 2005. The Decree also manages provision of mining titles and permits for artisanal, small-scale and industrial mining. Burkina Faso benefited from a UNEP assistance aiming at identifying issues relating to mercury management in the country. This contributed to raising the awareness of the Government on the scale of the ASGM problems in the country and the results of this projects prompted the Government to participate to the UNIDO-led Bamako regional meeting and request UNIDO's assistance specifically for this sector.

B. PROJECT OVERVIEW:

B.1. Describe the baseline project and the problem that it seeks to address:

ASGM is one of the most significant sources of mercury release into the environment in the developing world, and, according to the artisanal gold council, accounts for about 15% of the world's annual gold production. Mercury is often used in ASGM to help separate gold from sediments using rudimentary processing methods. Workers combine mercury with gold-laden silt to form an amalgam, which is heated, often in or near homes, to evaporate the mercury and leave gold. The mercury is released into the air, where it is directly inhaled by workers and their families. It is particularly threatening to children, pregnant women, and women of childbearing age. The emissions from ASGM can also travel long distances around the globe, contributing to global mercury pollution and contaminating the world's fisheries. This is because under certain conditions in sediments, bacteria can transform elemental mercury into methylmercury, a far more toxic form which bioaccumulates up the food chain. Methylmercury strongly bio-accumulates in the fatty tissues of fish, a major high quality protein source for poor communities, and many people around the world. Mercury can cause permanent damage to the brain, kidneys and the development of fetuses and cause miscarriages, developmental problems in children, psychotic reactions, respiratory failure, cardiovascular disease, neurological damage and death.

In its final report from the GEF-financed Global Mercury Project, UNIDO estimates that nearly 100% of all mercury used in ASGM is released into the environment. Such practices release at least 1,000 tonnes of mercury per

year, and account for 30% of total annual anthropogenic mercury emissions. This has been growing over the last decade along with the rise in price of gold. In the same report, UNIDO estimates that of the 12-15 million people working in ASGM, around 4.5 million are women and 600,000 are children. In addition, children who are not directly involved in mining activities but who live in ASGM communities are also at risk of exposure. They often accompany their mothers who are working. Studies have found that in some localities, the majority of female miners work in the amalgam-processing phase, where they, and thus their children, are most at risk for toxic exposure. Partners of UNIDO such as the Human Rights Watch are particularly addressing the aspects of child involvement in the mining communities and their involvement will be sought to design a solution to the issue.

ASGM is particularly common in West Africa, especially Francophone Africa, where it has been traditional livelihood. However, with the rise in the value of gold, ASGM has become even more widespread. Most artisanal gold miners are from socially and economically marginalized communities, and turn to mining to escape extreme poverty and unemployment.

In **Burkina Faso**, gold deposits are present throughout the country. Official data estimates 300,000 people are actively involved in the gold mining sector with an annual production of 500 to 600 kg of gold. National experts agree that this amount represents at best only 25% of real output. Mercury is not officially approved for artisanal mining. It is reserved for larger operations. As a result, little information is available on the smaller and informal operations. However, it is recognized that many sites use as mercury and cyanide. Many miners are organized in associations such as the National Corporation of Small-scale Miners (CONAPEM) and the Mining Association of Women of Burkina (AFEMIB). In the past few years, UNEP implemented a project aiming at assessing the mercury issue in Burkina Faso. The result of this assessment was that ASGM represent one of the major issue in the country.

Mali is currently the third largest producer of gold in the continent, and the fourteenth largest in the world. An estimated 200,000 people are employed in artisanal gold mining, produce four tons of gold annually. Centuries of gold mining in Mali has resulted in a network of gold shops, mostly located in Bamako, where ASGM gold is refined into bullion. As a result, Bamako has become a major hub for gold purification, and a substantial amount of gold produced in neighbouring countries is also purified in Bamako. It is likely that Malian gold production figures reflect this fact. Because the gold produced by ASGM still contains a large amount of mercury (up to 20%), gold shops is an important mercury emission point source in urban centres, which underscores the public health problem of burning amalgam. Gold mining in Mali takes place mainly in three regions: Kayes, Koulikoro and Sikasso. Kayes, located in western Mali, bordering Senegal and Mauritania, features famous industrial mines of Sadiola, Yatela, Tabakoto, Loulo, and Kodieran, along with small scale mining in Kenieba. Koulikoro, located near Bamako, features semi-industrial mining in Kangaba, but small scale mining takes place in Kokoyon and Dabala, as well as along the Niger River. Sikasso, located on the border with Burkina Faso and Cote d'Ivoire, has an industrial mine at Syama, and small-scale mining in Bougouni, Yanfolila, and Matiogo Kadiolo.

In **Senegal**, gold mining is concentrated in Tambacounda, the eastern part of the country bordering Mali that is home to one of the largest gold deposits in West Africa, the Sabodala Deposit. The region employs approximately 50,000 miners. Currently, annual production is at 2.5 tons per years and is expected to increase to 4 tons per year. Although sale of mercury is illegal, it is still accessible to miners, and at a relatively cheap price (100FCFA per gram). From 2008-2010, the US Environmental Protection Agency provided support to the Blacksmith Institute, a nongovernmental organization and partner of UNIDO, to conduct a mercury reduction project. The project educated miners in 11 villages from Kedougou Prefecture about the health risks of mercury, especially effects on children and pregnant women, and trained miners on low-cost and low mercury technologies. The introduced technologies were successful in reducing mercury emissions and in increasing miners' productivity and economic return. Affected communities embraced the technologies introduced by the project. Significant potential exists for replication, as the health and economic benefits of the technologies provide considerable incentives. In fact, a model of retort designed by local project partners in Senegal has been found in use in Mali, Burkina Faso and Guinea.

Awareness regarding the environmental and health problems of mercury has been considerably raised throughout Senegal as a direct result of this project. With government support, these risks have been broadcast on public radio in various indigenous languages. However, Senegal still lacks general background information about ASGM such as number of active ASGM sites, risk assessments, and baseline emissions. As indicated by the national strategic plan for ASGM, the government has expressed interest to determine the extent of mercury contamination in the country and to conduct an industry study. Results from that study would enable policy makers to make effective

decisions about artisanal gold mining.

Between 2002 and 2007, UNIDO executed for UNDP a GEF-funded Global Mercury Project. This was the first initiative of this scale trying to address the problems of mercury use in ASGM globally. The project was successful in raising awareness, locally and globally, introducing cleaner and more efficient processing technologies to the 10 project sites and assisting participating government in amending regulations to better address the sector at the policy level. Overall, the project managed to successfully reduce mercury consumption in the project sites but also revealed the extent of the issue. It also contributed to make UNIDO the leading agency in this sector.

In 2009, to compensate the fact that Francophone African countries, in spite of being important artisanal gold producers, had not benefited from international assistance in the sector, UNIDO organised a workshop in Bamako with representatives from Burkina Faso, Côte d'Ivoire, Guinea, Mali, Niger and Senegal. The meeting brought together representatives from the ministries in charge of the environment, mining and NGOs and UNIDO experts presented the problems facing the sector and the various solutions available. Discussions during the workshop led to the realisation that the issues in the sub-region are very similar from country to country and a regional approach would be very useful. Following the workshop, draft action plans have been developed in all countries.

Despite existing political will, the governments of Burkina Faso, Mali and Senegal do not have the resources or the capacity to address this problem effectively, nor do they fully understand the scope of the problem in their countries. More information is needed to better understand the extent of ASGM, the severity of mercury contamination, and how many people are affected. Sites must be prioritized for intervention. Furthermore, mercury emissions continue to rise in the region due to the large scope of ASGM activity. The number of new gold mining locations and processing shops continue to increase. Implementation of the technologies piloted in Senegal, as well as technologies piloted successfully in other countries, such as Ghana, Peru and Indonesia need to be scaled up and replicated across the region. Local and national governments need to be able to address these issues in a coherent, strategic manner, with action plans that outline the scope of the issue and define strategic next steps and an implementation schedule.

This project will implement a regional program that will enable national and local stakeholders in the three countries to promote environmentally sound management of mercury in ASGM that minimize the significant adverse effects on human health and the environment. Specifically, the project will strengthen national and local capacity in the three countries to effectively manage and reduce mercury use, emissions and exposure in artisanal gold mining communities while promoting cleaner production of gold by:

- a. Providing technical expertise and support for identifying toxic hotspots associated with ASGM and prioritizing for intervention;
- b. Developing and implementing national strategic action plans for sound management of mercury in ASGM in all countries;
- c. Developing comprehensive health education and low-mercury/mercury free technology training programs;
- d. Implementing pilot mercury reduction/elimination projects at least one site in each country, with measurable reduction goal of 50% in mercury use, emissions, and exposure;
- e. Exploring potential for fair trade certification, as an incentive mechanism for miners to reduce mercury use, via the tools and processes set up by Alliance for Responsible Mining (ARM); and
- f. Documenting lessons learned from the pilot projects, sharing them regionally, and using them to inform national policy and intergovernmental negotiations on the mercury treaty.

Specifically, the project will implement the following project components and activities in collaboration with co-financing partners:

1. *Improve understanding of scope of ASGM in the three countries:* Address the lack of local expertise by training local investigators to conduct site risk assessments at a regional training; Identify active ASGM sites, and conduct risk assessments in each country; Determine baseline estimation of national mercury use and emissions from ASGM in each country; Compile national data on ASGM in each country and present to each country's relevant government agencies;
2. *Develop and implement national strategic action plans to promote sound management of mercury in ASGM:* Pursue previous work of UNIDO in the three countries and finalise the development of their

national action plans with the participation of all the stakeholders. The plans will identify recommendations on how to develop plans for ASGM and mercury management, present recommendations for change in policy, enforcement, education, training and implementation of mercury reduction/ elimination projects to relevant government agencies in each country; Outline specific action items, including identifying priority sites for intervention for all three countries; Work with national and local stakeholders via a national working group to assign roles and responsibilities for implementing the national ASGM strategy plans in all three countries; Provide technical guidance and support to help stakeholders take action in each country.

3. *Develop comprehensive health education and technology training programs:* Currently, the level of awareness and mechanization in the three countries is very low. Based on prior successful pilot programs of UNIDO and the Blacksmith Institute, develop health education programs to promote awareness regarding the health risks of mercury, and technology training programs to spread technical knowledge about low mercury/mercury free technologies in all three countries.
4. *Implement mercury reduction/elimination pilot projects:* Convene stakeholder groups at each identified pilot project site, at least one per country; In collaboration with local and national stakeholders, design site appropriate interventions based on successful pilot projects conducted in previous projects using local knowledge and expertise as well as locally-available materials; Assist local and national stakeholders to implement pilot mercury reduction/elimination projects and provide technical guidance and support as needed; Monitor changes in mercury use, emissions and exposure from ASGM at the pilot sites;
5. *Evaluate opportunity for fair trade certification:* No fair trade gold is currently being produced in this region. The project will evaluate at least one pilot project per country for opportunity for fair trade certification, including gap assessments; Select at least three pilot sites for certification application (one per country); Implement any changes necessary to comply with certification requirements; Develop and submit certification application for at least two locations.
6. *Extract and utilize lessons learned:* Document lessons learned from pilot programs; Present to government agencies and policy makers and use the lessons learned to inform national policy and contribute to the revision of national strategic action plans and adoption of new regulations in each country; Share lessons learned regionally via two workshops.

B. 2. [incremental /Additional cost reasoning](#): describe the incremental (GEF Trust Fund) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF financing and the associated [global environmental benefits](#) (GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:

The request of financial support from GEF for the Chemicals focal area is justified by the large volume of mercury emissions resulting from ASGM activity in the three countries, the widespread nature of ASGM and the economic drivers behind its spread, the severity of the environmental and health impacts of mercury, and the number of people affected. Projects implemented in these countries so far have, due to their limited size, had only localized impacts. Through the regional implementation planned, this project will foster exchange of experience among the countries and manage to widely publicize the success cases produced.

GEF co-funding will assist the Governments of Senegal, Mali and Burkina Faso to create and implement successful ASGM projects and design strategies to promote the sound management of mercury in ASGM. GEF co-funding will yield the following expected benefits/results:

- a. At the moment, very little information is available on the extent of ASGM in each country, the GEF co-financing will remediate this by producing detailed information on the sector, with a mapping of each countries ASGM sites, number of miners and technique used.
- b. The draft national action plans produced by previous projects will be fully developed into national strategic action plans, outlining priority areas for action and next steps to promote sound management of mercury. This will prepare the countries to fulfill the requirements of the forthcoming mercury convention.
- c. Presently, ASGM communities have little understanding on the health impacts of their activities as well on the better techniques available. This project will fully address this issue by providing health information and introducing cleaner and more efficient locally built gold processing techniques.
- d. Fair trade markets for gold are not accessible to miners of the region. At the end of the project, at least three

- pilot sites (one per country) will meet fair trade certification requirements.
- e. The project will contribute to the dissemination of good practices, fostering replication in other areas within and outside the sub-region.

B.3. Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCF/SCCF). As a background information, read [Mainstreaming Gender at the GEF.](#)":

Every year, around 330 tons of gold (12-15% of total production) are produced in 70 countries across the globe by artisanal small scale mining, providing a revenue of 10 billion USD (when gold was at 900\$/oz) to an estimated 12-15 million miners, out of which around 30% are women and children. In addition, an estimated 50 million people are involved in secondary economic activities for a gross economy of around 50 billion USD. ASGM's potential to contribute to development is high. It is unique in its real ability to transfer wealth from rich to poor countries, and a large percentage of the international price, as high as 70%, goes to miners.

However, current ASGM practices involve significant mercury use, which result in toxic pollution, reduces quality of life, and comes at significant cost to public health. Environmental degradation aggravates poverty, hinders development effectiveness and makes growth unsustainable. People affected by pollution are much more likely to get sick from other diseases, be chronically ill, and have physical and mental disabilities and a shortened lifespan. Because ASGM is a widely practiced livelihood activity, mercury use reduction is the primary factor to minimizing ASGM's environmental and human health impacts. Healthy workers are more productive, thus mercury reduction is also key to capturing ASGM's development potential and economic benefits. In addition, because ASGM is based in areas where little alternatives for income exist, women (and sometimes children) constitute a large portion of the mining force, especially in grinding and processing activities where physical strength is not as required. The project's focus on reducing exposure risks during processing naturally places specific emphasis on raising awareness of women workers. Furthermore, the safe processing technology comes with additional benefits - improved efficiency and cost savings. Recycling mercury or eliminating the need for mercury reduces production costs and introduces cost savings. New technology enables faster and more efficient processing, thus improving gold return. These powerful incentives promote adoption and use of new technology, as well as its replication to neighboring areas.

In the region, mining activities are undertaken by women and men. Where men are in charge of the extraction and the mercury handling while women are in charge of the processing of the ore as well as general management of the community. The project will focus on women by training a high proportion of women trainers as well as designing health workshop specifically addressing the needs of the female mining population. The cleaner and more efficient processing technologies which will be introduced will greatly benefit to the women workers by reducing the labor intensiveness of their task, increasing their productivity and, therefore, allowing them more time to take care of their children. The presence of children on the mining sites will also be addressed through specific socially-oriented training. Partners working in this area for many years such as Human Rights Watch will assist us in properly addressing the issue. The main issues will be to protect the children by reducing exposure and ensuring that they are not present at the working site. This will be done in collaboration with our experienced partners and through educational workshops especially designed for the women audience.

Finally, mercury is a recognized global pollutant which will be the subject of a forthcoming legally binding agreement. ASGM is the major anthropogenic source of mercury in the environment. Because mercury is a chemical element, once it is released, it will remain in the environment indefinitely, affecting organisms far away from the emission point. By reducing the mercury emissions to the environment by 50% in the project sites, the project will contribute to the global reduction of mercury load in the environment. Moreover, the dissemination of the results of this project, through, among others, the INC process currently in place of the development of the mercury convention, will contribute to the replication of good practices.

B.4 Indicate risks, including climate change risks that might prevent the project objectives from being achieved, and if possible, propose measures that address these risks to be further developed during the project design:

Risk	Level	Mitigation measure
Support for the project diminish in the countries	Low	Through the INC process, countries participating in the project will be taken as example by other. The project team will continue to publicize the project at the global level
Climate variability	Medium	Water is needed to process gold efficiently but the techniques introduced include recycling of processing water as well as reducing wastage
Price of gold reduces	Low	Most of the ASGM miners are attracted to the sector because of the high prices of gold. Considering the financial instability globally, the price is not expected to go down during the project

B.5. Identify key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable:

Key partners for this project include:

UNIDO will be responsible for overall project implementation, monitoring and reporting. UNIDO will provide a key coordinating role between ongoing initiatives with UNEP, SAICM, the Basel Convention and other ASGM projects in the region and globally (including those funded by US Department of State and US Environmental Protection Agency). UNIDO is currently implementing two co-financing initiatives in the region, hence reducing the risk of duplication. UNIDO is the lead agency of the UN system for the ASGM issue. Indeed, UNIDO co-leads the UNEP global mercury partnership on ASGM and, together with its partners, is assisting its member states in addressing the issue. The experience of UNIDO comes from almost 20 years of working in the sector.

The **Blacksmith Institute** will be the main executing partner agency. Blacksmith and UNIDO will jointly be responsible for overall project implementation, coordination of stakeholders and management of pilot remediation projects. They will also coordinate provision of technical expertise and guidance.

Blacksmith Institute and UNIDO have a long history of fruitful collaboration which started during the aforementioned Global Mercury Project. During this project, UNIDO worked in the six countries participating directly in the project: Brazil, Laos, Indonesia, Sudan, Tanzania and Zimbabwe and Blacksmith, implementing one of their project, contributed to the regional dissemination of the project's activities, especially in Senegal, Guinea and Mozambique. At the end of the GEF project's life, Blacksmith continued the work of UNIDO in Indonesia and this activity is still on-going. In 2008, the collaboration between the two institutions gathered momentum with the joint implementation of an EC-funded project aiming at identifying and prioritizing industrial polluted sites around the world. This project was successful and the EC is now considering financing a follow up action. In 2010 Blacksmith Institute and UNIDO signed a Joint Declaration in order to formalized their joint fund raising and implementing activities in the future.

Artisanal Gold Council will provide technical expertise and guidance regarding pilot projects and the development of formal health education and technology training programs. The AGC is implemented the US-DoS funded co-financing activity which bidding process has recently been awarded. **Natural Resource Defense Council (NRDC)**, UNIDO's co-leading agency in the UNEP Global Mercury Partnership area on ASGM, will participate in project activities as needed to provide expertise and guidance. **Alliance for Responsible Mining (ARM)** will implement activities related to fair trade certification. **US Department of State, US Environmental Protection Agency**

(USEPA), and **United Nations Environment Program** will also be engaged in the project as partners. The US State Department and the USEPA are co-financers through the UNEP Global Mercury Partnership. The project will also link with **US Agency for International Development's (USAID) Wula Nafaa** project as appropriate.

Key stakeholders at the national level include government agencies, national NGO's and Universities and local communities. In *Senegal*, the lead Ministry will be the Ministry of Environment with strong involvement from the Ministry of Mines. In addition, **Africa Clean** will be the main partner organization, and will be responsible for day-to-day management of the pilot project. **La Lumière** will also be engaged for project elements related to education and awareness. In *Mali*, the main partners will be the **Ministry of Environment and Sanitation**, the **Ministry of Mines** and **Miner's Associations**. The **Ministry of Health** will also play a role, especially regarding raising awareness about the health risks of mercury. In *Burkina Faso* the **Ministry of Environment** will be the main partner but other partners will include the **Ministry of Mines**, **National Corporation of Small-scale Miners (CONAPEM)** and the **Mining Association of Women of Burkina (AFEMIB)**. Additional partners will be identified and involved during project's implementation. The project will also engage with the Ghanaian **University of Mines and Technology** to draw upon local expertise.

A Stakeholder Group will be convened at each of the selected pilot sites. A typical Stakeholder Group is comprised of representatives from the mining community (miners, leaders, teachers, doctors, business owners, or others), local government (local mayor's office, Ministry for Health/Environment, local environment management authority), a local university, local NGOs, other partner project coordinators. The Stakeholder Group functions to help build consensus amongst all participants, and ensures distribution of information to all relevant parties. It is also responsible for implementing project activities. Extremely important to project sustainability and effectiveness, the Stakeholder Group ensures buy-in from all stakeholders, and guarantees the project works closely with the communities and local officials and adheres to local regulations.

B.6. Outline the coordination with other related initiatives:

Awareness about the toxicity of mercury has significantly grown in the past several years. The United Nations Environment Program (UNEP) is leading the international community in developing a legally binding instrument to control this toxic substance. The project will closely follow the development of the negotiating process for the legally binding agreement on mercury particularly on the development and finalization of national strategic action plans. In 2008, UNEP also formed the Global Mercury Partnership (GMP) to address issues holistically and share experience from previous and current projects in order to eliminate duplication of effort and improve efficiency. UNIDO and NRDC jointly lead the partnership area on ASGM in which Blacksmith Institute, AGC and ARM are participating members. This project will benefit from the partnership and vice versa, through sharing of information and experience, especially of projects conducted in the region. The partnership also represents a large network of experts, many of who are from low-and middle-income countries who can both lend expertise to the project, and gain from it.

In addition, the project will be integrated where possible with other ASGM mercury reduction programs. In the region, the partnership area is in charge of implementing a number of initiatives which will be coordinated to contribute to this project's goals and are accounted for as co-financing. These include, in the region:

- UNIDO's SAICM Quick Start Project in Mali which concentrates on the development of a National Action Plan for mercury management in ASGM.
- UNIDO-led FFEM proposition for the three countries with particular emphasis on the introduction of the ARM fair-trade-fairmined standard. This project concept has recently been approved and implementation is expected to begin during the fourth quarter of 2011.
- UNEP-led initiative in Francophone Africa with USEPA support and to continue the National Action Plan development initiated following UNIDO's workshop in Bamako in 2009.
- US DoS-financed project for Francophone Western Africa recently awarded to AGC with implementation planned to start jointly with this project in order to emphasise collaboration

Additionally, the project will benefit from the lessons learnt from projects implemented in other regions: UNEP's SAICM Quick Start Projects in Bolivia-Peru and Cambodia-Philippines, Artisanal Gold Council and Blacksmith's projects in Asia, Africa, the Mercury Watch database, and efforts of Natural Resource Defence Council (NRDC) and Alliance for Responsible Mining (ARM).

The project will also be integrated into UNIDO and Blacksmith's recently approved grant for USD \$6.8 million from the European Commission, which aims to inventory toxic hotspots throughout Africa, including ASGM sites, and seek to build local and national capacity to address toxic pollution. From the inventory, remediation / intervention projects will be identified and national strategic action plans developed and implemented.

C. GEF AGENCY INFORMATION:

C.1 Confirm the co-financing amount the GEF agency brings to the project:

\$2,450,000 in co-financing as indicated in the above table will be provided. Additional opportunities for potential match are as follows:

Secured co-financing:

- UNIDO and ARM led proposition to the FFEM to address the issues of the sector by introducing fair-trade / fair-mined standards to the region. The project has been approved for development for a total budget of \$1,085,000. This project will start in the last quarter of 2011.
- The USEPA has provided UNEP with \$120,000 for the ASGM issue in Francophone Africa and this will be managed through the UNEP Global Mercury Partnership which UNIDO leads.
- UNIDO has received funds from SAICM to develop the National Action Plan of Mali. These \$237,000 will directly contributed to this project
- US Department of State has recently awarded a contract to AGC for \$198,000 for ASGM work in the same countries. US DOS had previously indicated that the bid winner will be required to coordinate with the Global Mercury Partnership ASGM area and the selection of AGC, a prominent partner of UNIDO and Blacksmith is a encouraging sign.
- The Government of Mali will provide a vehicle and its services for the duration of the project for an amount of \$150,000.
- Senegal and Burkina Faso will provide \$80,000 each of in-kind co-financing for a total of \$160,000.

Co-financing currently being secured:

- As mentioned before, UNIDO and Blacksmith Institute have jointly applied for a follow up EC project which will concentrate on identifying ASGM and lead acid battery recycling sites in Africa and the Caribbean. The portion of the project concerning ASGM in this region is estimated to be \$500,000

C.2 How does the project fit into the GEF agency's program (reflected in documents such as UNDAF, CAS, etc.) and staff capacity in the country to follow up project implementation:

UNIDO's thematic priorities center on poverty reduction through trade capacity building and environmental and energy management. The organization is committed to introducing technological solutions in an integrated manner to issues that impact human health and the environment. UNIDO has experience in working with the artisanal gold mining sector in Africa, specifically in Ghana, Sudan, Tanzania and Zimbabwe. As above-mentioned, UNIDO executed the GEF-financed Global Mercury project with half of the countries being in Africa. As the co-lead of the UNEP Global Mercury Partnership for ASGM, UNIDO will mobilize its partners to ensure collaborate in this initiative. UNIDO has field offices in all three countries, which facilitates interaction with the national counterparts on both a national and local level. Through this experience a strong rapport has been established with both national and local stakeholders. This will in turn facilitate the on the ground implementation of the proposed project. Moreover, UNIDO currently runs a large programme in the UEMOA region and integration will be sought in order for both programme to benefit from one another.

PART III: INSTITUTIONAL COORDINATION AND SUPPORT

A. INSTITUTIONAL ARRANGEMENT:

This project will be implemented by only one GEF agency, UNIDO. However, the project will coordinate closely with

UNEP and its ongoing mercury and ASGM-related initiatives, especially in regards to the development and finalization of national strategic action plans which will fully contribute to the current Intergovernmental Negotiation Committees on mercury.

B. PROJECT IMPLEMENTATION ARRANGEMENT:

For this project, UNIDO will be the GEF implementing agency, and the Blacksmith Institute will be the main executing partner agency. Blacksmith and UNIDO have established working relationship through a Joint Declaration to collaborate on issues related to toxic pollution. Blacksmith and UNIDO have a long standing collaboration history, including the Global Inventory Project, funded by the European Commission, the Asian Development Bank and GreenCross Switzerland. This project will be a natural extension of the current agreement between the two organizations.

UNIDO will be responsible for overall project implementation, monitoring and reporting. UNIDO will play a key coordinating role between ongoing initiatives with UNEP, SAICM, the Basel Convention and other ASGM projects in the region and globally.

Blacksmith and UNIDO will jointly be responsible for project implementation, coordination of stakeholders and management of pilot remediation projects. They will also coordinate provision of technical expertise and guidance. Blacksmith will be responsible for day-to-day activities in country. All project components will be implemented in collaboration with a variety of local and national stakeholders, including Ministries of Environment, Health, Mining and Industry, local NGO's, universities and others.

PART IV: EXPLAIN THE ALIGNMENT OF PROJECT DESIGN WITH THE ORIGINAL PIF

Not applicable


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

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

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF policies and procedures and meets the GEF/LDCF/SCCF criteria for CEO endorsement/approval of project.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Mr Dmitri Piskounov Managing Director		June 26, 2011	Mr Igor Volodin	+43 1 26026 3938	I.Volodin@unido.org

ANNEX A: Project Results Framework

HIERARCHY OF OBJECTIVES	BASELINE	TARGET	INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
GOAL: Reduce the impacts of mercury on the environment and health of artisanal gold mining communities by promoting sound chemical management.					
<p>PROJECT DEVELOPMENT OBJECTIVE: Strengthen local and national capacity to effectively manage and reduce mercury use, emissions and exposure in artisanal/small-scale gold mining (ASGM) communities in Burkina Faso, Mali and Senegal</p>	<p>Some local and national capacity exists in Senegal but needs to be strengthened in order to effectively manage mercury in ASGM and reduce emissions. Little or no capacity exists in the other two countries.</p>	<p>Local and national stakeholders have a good understanding of the scope of ASGM in their countries. National ASGM strategy action plans are implemented with relevant government agencies in all three countries. Pilot projects significantly reduce mercury use and emissions at pilot sites.</p>	<p>Policy-makers and trained technical experts can serve as leaders for project replication in the Region.</p>	<p>Online Global Inventory Database. Draft plans. Progress and monitoring reports.</p>	
<p>OUTCOME 1: National Strategy Action Plans are utilized for developing policy framework in Burkina Faso, Mali, and Senegal</p>	<p>No national strategy action plans have been implemented in the three countries.</p>	<p>Success implementation of national ASGM strategy action plans are executed in each country.</p>	<p>Policy framework is developed in three countries to effectively manage mercury</p>	<p>List of roles and responsibilities, Implementation schedule.</p>	<p>Local and national stakeholders willing to take on roles and responsibilities.</p>
<p>Output 1.1 Scope of ASGM in the three countries evaluated and better understood</p>	<p>Understanding of scope of ASGM in the three countries is poor. Comprehensive data does not exist.</p>	<p>Inventory expanded to include about 50 sites in the three countries. Three ASGM country reports completed. Scope of ASGM in the three countries better understood.</p>	<p>Number of ASGM sites in the inventory for each country, with estimates of people impacted. Number of country reports completed.</p>	<p>Online Global Inventory Database. Project progress and monitoring reports.</p>	<p>Government and ASGM communities provide continuous support for project activities.</p>
<p>Output 1.2 National strategy action plans to promote sound management of mercury in ASGM developed in all three countries</p>	<p>Some, but not sufficient, effort was made in 2010 to develop national ASGM strategy plans in all three countries.</p>	<p>National ASGM strategy action plans developed with relevant government agencies in each country. Plans include priorities for implementation of site projects.</p>	<p>Number of national strategy action plans drafted.</p>	<p>Draft plans. Meeting minutes. Progress and monitoring reports.</p>	<p>Political will and interest to address management of mercury in ASGM will continue.</p>

<p>OUTCOME 2: PILOT PROJECTS ARE REPLICABLE AND KNOWLEDGE GAINED FROM HEALTH AND TECHNOLOGY TRAININGS CAN BE ADOPTED AND BEHAVIOR CHANGED</p>	<p>No pilot projects and health/technology trainings have been conducted in Burkina Faso and Mali.</p>	<p>Successfully conducted at least one pilot project in each country and raise awareness over the risks and proper management techniques of mercury.</p>	<p>Behavior changed and proper management of mercury at mining sites executed</p>	<p>Progress and monitoring reports, hospital visits, number of death due to mercury poisoning</p>	<p>Technical staff and other stakeholders willing to learn and adopt new behavior and mercury management techniques</p>
<p>Output 2.1 Comprehensive health education and technology training programs to reduce/eliminate mercury are developed</p>	<p>Health education and training conducted in a pilot project in Senegal has successfully transferred knowledge and low-mercury or mercury free locally built technology to local stakeholders.</p>	<p>Health education programs successfully raise awareness of local/national stakeholders and promote behavior change. Training programs equip local and national stakeholders with technical knowledge and tools to reduce mercury use.</p>	<p>Number of materials/manuals produced.</p>	<p>Materials and manual drafts, final products. Progress and monitoring reports.</p>	<p>Pilot project health education and technology training experience and materials can be converted into comprehensive training programs.</p>
<p>Output 2.2 Mercury reduction/ elimination pilot projects are implemented in Burkina Faso and Mali, and expanded in Senegal with local and national stakeholders. Overall mercury use, emissions and exposure are reduced in pilot sites.</p>	<p>A mercury reduction/ elimination pilot project in Senegal has been conducted successfully. Mercury use, emissions and exposure have been reduced, and pilot can be used as a model.</p>	<p>At least one pilot project successfully implemented by local and national stakeholders in Burkina Faso and Mali. Senegal project expanded to additional communities. Measurable reduction of at least 50% in mercury use and emissions at pilot sites.</p>	<p>Number of pilot projects implemented. Number of stakeholder meetings. Number of communities and trainers trained. Number of workshops conducted. Changes in mercury use, emissions and exposure, of at least 50%. Rate of low mercury and mercury free technology usage.</p>	<p>Progress and monitoring reports. Stakeholder group meeting minutes. Before and after surveys indicating changes in behavior/ knowledge. Workshop attendance.</p>	<p>Local and national stakeholders are receptive to health education and training programs. Local communities willing to adopt new technologies that reduce mercury use and health risk, and are economically viable. Technical expertise is available to measure accurately.</p>
<p>OUTCOME 3: CAPACITY TO MANAGE AND MONITOR MERCURY INCREASED THROUGH FAIR TRADE</p>	<p>No system in place to monitor mercury use, emissions, and exposure. No Fair Trade Certification</p>	<p>Effective monitoring of mercury use, emissions, and exposure levels at all three countries.</p>	<p>Number of certified fair trade mining sites and number of new regulations for mercury in each</p>	<p>Support for certified fair trade mining sites, enforcement of new regulations</p>	<p>Policy makers and other stakeholders are cooperative and willing to work together to promote</p>

CERTIFICATION AND NEW REGULATIONS	in the three countries. No national policies in place to effectively manage mercury.	Introduce Fair Trade Certification in all three countries. Lessons learned contribute to policy making.	country	fair trade certification and adopt new regulations for mercury management	
Output 3.1 Opportunity for fair trade certification assessed at pilot sites and application for certification developed in selected pilot projects.	No fair trade applications have been awarded in the region.	At least one pilot project per country will be evaluated for fair trade certification opportunities, and applications for certification developed and submitted.	Drafts of reports. Draft of certification applications.	Fair trade certification schemes are relevant and applicable to pilot projects in the three countries.	
Output 3.2 Lessons learned from pilot projects feed back into the national strategy action plans and inform national policies/regulations on sound management of mercury.	Lessons learned from the Senegalese pilot project are available to inform additional projects, but insufficient to inform national plans/policies.	Site projects results in interesting and valuable lessons learned which are documented and presented to policy-makers to inform national policy on mercury and revise national strategy action plans in each country.	List of lessons learned. Number of recommendations resulting from pilot projects.	Pilot project results are significant, successful and of interest to policy-makers.	
ACTIVITIES FOR OUTCOME 1	BASELINE Limited data available on sites in Senegal. Nearly no data available on sites in Burkina Faso and Mali.	TARGET Thorough data on the scope of ASGM in each country (~30-40 sites).	RESULTS	MEANS OF VERIFICATION	ASSUMPTIONS
1.1 Identify active ASGM sites, including gold processing sites, conduct risks assessments in each country.	No data available on national mercury use and emissions.	Baseline estimation of national mercury use and emissions from ASGM activities calculated in each country.	Report of estimated amount of mercury used, how much of that is emitted.	Number of ASGM sites in each country. Estimated number of people affected.	Government and ASGM communities provide continuous support for project activities.
1.2. Determine baseline estimation of national mercury use and emissions from ASGM.			Drafts of baseline reports.	Project progress and monitoring reports. National reports.	Estimation of national mercury use and emissions from ASGM can be calculated and is significant.

1.3. Compile ASGM data into national reports and present to relevant national government agencies.	No national reports on ASGM have been compiled or presented.	ASGM data, information and recommendations are shared with relevant national government agencies in each country.	Reports on ASGM data and information. Presentations to relevant government agencies.	Number of presentations made. Number of reports sent to government agencies.	Meeting minutes. Progress and monitoring reports.	Data and information are of interest to governments.
1.4 Present recommendations for changes in policy, enforcement, education, training and implementation of mercury reduction projects to relevant government agencies.	Recommendations have not yet been drafted.	Recommendations presented to relevant government agencies in each of the three countries.	Specific recommendations for changes in policy, enforcement, education, training and implementation of mercury reduction projects compiled.	Number of recommendations made. Number of presentations made and reports presented.	List of recommendations. Reports to government. Project progress and monitoring reports.	Recommendations are of interest to governments.
1.5 Develop National Strategic Action Plans on Mercury in ASGM with relevant government agencies, including prioritizing ASGM areas/sites for intervention.	No national Strategic Action Plans on Mercury in ASGM developed	Three National Strategic Action plans on Mercury in ASGM are developed. ASGM sites/areas are prioritized for intervention in each country.	Drafts of National ASGM Strategic Action Plans. List of priority sites for intervention projects.	Drafts of plans. Number of workshops held. Number of meetings held. Number of agencies actively participating.	Workshop attendance. Correspondence with government agencies. Progress and monitoring reports.	National Strategic Action Plans on mercury in ASGM are relevant and feasible.
1.6 Provide technical guidance and expertise for implementation of national strategy action plans.	No national strategy action plans have been implemented in any of the three countries.	Implementation of national strategic action plans begun in each country. Implementation schedule and roles/responsibilities assigned.	Roles and responsibilities assigned to various local and national agencies/stakeholders and progress achieved.	Number of participating local and national agencies/stakeholders. Number of actions implemented.	List of roles and responsibilities. Achievement progress. Implementation schedule.	Local and national stakeholders willing to take on roles and responsibilities. Technical expertise is needed and accepted.
ACTIVITIES FOR OUTCOME 2	BASELINE	TARGET	RESULTS	INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
2.1. Develop comprehensive health education programs for government agencies, local NGO's, communities and other stakeholders to raise awareness about health risks of mercury.	Health education campaigns successfully conducted in Senegalese pilot project.	Develop comprehensive health education programs that are easily replicated at all project intervention sites.	Health education program materials and curricula developed. Health education workshops held and trainers trained.	Number of health education workshops held. Number of trainers and individuals trained.	Drafts of materials and curricula. Workshop attendance. Progress and monitoring reports.	Government agencies and other local and national stakeholders are interested in the health effects of mercury.
2.2. Develop comprehensive training	Technology transfer and	Develop comprehensive	Replicable technology training materials and	Number of trainings conducted. Number	Technology training materials	Government agencies and other national

programs for government agencies, local NGO's, communities and other stakeholders to spread technical knowledge for low mercury/mercury free technology.	training has been successfully conducted in Senegalese pilot project.	technical training programs that are easily replicated at all project intervention sites.	curricula developed. Training workshops held and trainers trained.	of trainers and individuals trained.	and curricula. Workshop attendance. Progress and monitoring reports.	and local stakeholders are interested in learning safe technology and becoming trainers.
2.3 Convene stakeholder groups at each pilot project site.	Stakeholders have been engaged in Senegal and Mali, but not yet in Burkina Faso.	Local and national stakeholders participate in pilot projects via stakeholder groups at each site.	Stakeholder groups formed at each site.	Number of stakeholders participating in stakeholder groups. Number of meetings held.	Meeting minutes. Progress and monitoring reports.	National and local stakeholders willing to engage in the pilot projects.
2.4 Assist national and local stakeholders to implement at least one pilot mercury reduction/elimination project in each country.	Pilot project success in Senegal largely due to collaboration with local/national stakeholders.	Local/national stakeholders take primary responsibility and implement at least one pilot project per country including health education and technology training programs. Pilot project in Senegal expanded to additional communities.	Local and national stakeholders have technical knowledge and hands-on experience in conducting mercury reduction/elimination projects.	Number of pilot projects conducted. Number of communities trained and workshops held. Number of stakeholder meetings.	Progress and monitoring reports. Stakeholder group meeting minutes. Surveys.	Local communities willing to adopt new technologies that reduce mercury use and health risk, and are economically viable.
2.5 Provide technical guidance and support to local/national stakeholders, especially for pilot project monitoring and follow up.	Technical guidance/support provided at Senegalese pilot sites was critical to project success. Pilot site showed significant decreases in the amount of mercury used and emitted.	Provide technical guidance/support to all site projects. Amount of mercury used and emitted, and thus exposure to mercury, is reduced by at least 50% at pilot sites.	Local and national stakeholders receive technical guidance and support needed to implement successful pilot mercury reduction/ elimination projects. Reports on mercury use, emissions and exposure and technology use at pilot sites.	Number of consultations with local/national stakeholders to provide guidance/expertise. Changes in the amount of mercury purchased, amount re-used. Rate of technology use.	Meeting minutes. Progress and monitoring reports. Surveys. On-site observation, Interviews.	Technical support/guidance is needed and accepted by local and national stakeholders. Mining communities are willing to use new technology. Technical expertise is available.
ACTIVITIES FOR OUTCOME 3	BASELINE	TARGET	RESULTS	INDICATORS	MEANS OF VERIFICATION	ASSUMPTIONS
3.1 Evaluate pilot sites for opportunity for fair trade certification.	No pilot sites have been evaluated for opportunity for fair trade certification.	At least three pilot sites (one per country) will be evaluated for certification opportunities.	Evaluation reports and gap assessments.	Number of sites evaluated. List of gaps required to be addressed in order to comply with	Reports. Gap assessment/evaluation.	Mining communities are open to certification schemes.

						certification requirements.			
3.2 Select appropriate pilot sites for certification application and implement any changes to adhere to certification requirements.	No sites have been selected for fair trade certification in the three countries.	At least three (one per country) pilot sites are selected for certification and appropriate changes implemented to comply with certification requirements.	Fair trade certification requirements met in at least two pilot sites.	Number of sites selected. Number of changes implemented.	Monitoring and progress reports.	Mining communities are willing to implement further changes to comply with certification requirements.			
3.3 Develop and submit certification applications for selected pilot sites.	No applications for fair trade have been developed or submitted in the three countries.	At least three (one per country) certification applications are developed and submitted.	Certification applications completed for at least two pilot sites and pending approval.	Number of applications completed and submitted.	Drafts of applications. Monitoring and progress reports.	Certification schemes are relevant and feasible.			
3.4 Document lessons learned from pilot projects.	Pilot project in Senegal resulted in important lessons learned.	Successes, challenges and lessons learned during pilot projects are documented.	Reports/lessons learned.	List of lessons learned, successful approaches, challenges.	Drafts of reports. Progress and monitoring reports.	Pilot projects will be successful and result in valuable lessons.			
3.5 Use lessons learned to inform national ASGM strategy action plans, national mercury frameworks and policy-decision makers.	Experience from the Senegalese pilot project can help inform development of national strategy plans but lessons from additional projects are required to inform policy.	Lessons learned and project results are shared with policy-makers and government agencies in each country, and help inform and guide national strategy action plans/frameworks on mercury in ASGM.	Meetings and presentations to government agencies/policy-makers.	Number of presentations made. List of government agencies/policy-makers reached.	Correspondence with government agencies/policy-makers. Progress and monitoring reports.	Lessons learned are of interest and valuable to government agencies/policy-makers.			
3.6 Share lessons learned at Regional workshop	One West Africa workshop on ASGM was held in 2009.	Two regional workshops held to share lessons learned and experience in ASGM.	Report from workshop. Lessons learned shared.	Number of countries represented.	Meeting reports. Progress and monitoring reports.	Lessons learned from pilot projects will be valuable regionally.			

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

Not applicable

ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT USING GEF/LDCF/SCCF RESOURCES

<i>Position Titles</i>	<i>\$/ Person Week*</i>	<i>Estimated Person Weeks**</i>	<i>Tasks To Be Performed</i>
For Project Management			
Local			
Country Coordinator	450	55	Local coordination of the national team and communication within the region and with all the implementation partners. This is expected to be a 1/3 position complemented by technical inputs from the same experts (see below)
International			
Project Manager	1,750	12	The Project Manager will be responsible for day-to-day management of the project, monthly reporting from the field, and quarterly reporting to UNIDO, as well as bi-annual monitoring/evaluation in the field. See M&E plan. This is a part-time position to be complemented by expertise input
Evaluation / M&E Coordinator	1,875	8	The M&E Coordinator will be responsible for overall project monitoring and evaluation and reporting progress to the donor. See M&E plan.
Justification for travel, if any: The Project Manager will need to visit each project site twice a year to conduct monitoring and evaluation. One of these yearly visits will coincide with the trip of the UNIDO Project Manager, who will need to visit each project site once a year to conduct monitoring and evaluation, conduct joint annual reviews and adjust workplans as necessary. Per diems for these trips are budgeted. Costs for UNIDO travel and per diem will be covered by other co-financing project and by UNIDO.			
For Technical Assistance			
Local			
Country Coordinators	450	156	Country Coordinator will carry out day-to-day technical assistance activities and reporting progress.
Environmental health specialist	450	72	The environmental health specialist will be contracted to conduct the projects health training workshops.
Mining specialists	450	72	The mining specialist will participate in the introduction of the new processing techniques
Communication Specialists	450	72	The Communications Specialist will be contracted to conduct awareness-raising activities at the project sites.

GIP Investigators	450	12	GIP Investigators will conduct the rapid site assessments and gather data on ASGM sites.
International			
Program Assistant	850	43	The Program Assistant will assist the Project Manager to implement activities and management decisions of the project.
Technical Expert in mining	1900	20	Technical Expert will provide technical expertise and support throughout the project for the site projects and in developing/ implementing the national ASGM strategic plans.
Technical Expert for Fair Trade	1900	15	The Technical Expert for fair trade will provide technical expertise and support for the fair trade component.
Global Inventory Project Manager	850	36	The Global Inventory Manager will oversee the inventory process in the three countries, conduct a regional training and manage this component.
<p>Justification for travel, if any: The programme assistants will need to visit country capitals once every quarter. National coordinators officials will accompany them. The international and national technical experts will need to spend time in the field in order to appropriately transfer the technologies and introduce the fair trade concept. National expert will spend twice as much time in the field than their international counterpart in order to maximise the time of the international consultants during their visit.</p>			

* Provide dollar rate per person week. ** Total person weeks needed to carry out the tasks.

ANNEX D: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS

A. EXPLAIN IF THE PPG OBJECTIVE HAS BEEN ACHIEVED THROUGH THE PPG ACTIVITIES UNDERTAKEN.

NOT APPLICABLE

B. DESCRIBE FINDINGS THAT MIGHT AFFECT THE PROJECT DESIGN OR ANY CONCERNS ON PROJECT IMPLEMENTATION, IF ANY:

NOT APPLICABLE

C. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES AND THEIR IMPLEMENTATION STATUS IN THE TABLE BELOW:

<i>Project Preparation Activities Approved</i>	<i>Implementation Status</i>	<i>GEF/LDCF/SCCF Amount (\$)</i>				<i>Cofinancing (\$)</i>
		<i>Amount Approved</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>	<i>Uncommitted Amount*</i>	
	(Select)					
	(Select)					
	(Select)					
	(Select)					
	(Select)					
	(Select)					
	(Select)					
	(Select)					
Total		0	0	0	0	0

* Any uncommitted amounts should be returned to the GEF Trust Fund. This is not a physical transfer of money, but achieved through reporting and netting out from disbursement request to Trustee. Please indicate expected date of refund transaction to Trustee.

ANNEX E: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)

Provide a calendar of expected reflows to the GEF/LDCF/SCCF Trust Fund or to your Agency (and/or revolving fund that will be set up)

Timeline of the outputs

Output	Year 1				Year 2				Year 3			
1.1 Scope of ASGM in the 3 countries evaluated and better understood	■	■										
1.2 National strategy action plans to promote sound management of mercury in ASGM developed in all three countries		■	■									
2.1 Comprehensive health education and technology training programs to reduce/eliminate mercury are developed			■	■								
2.2 Mercury reduction/ elimination pilot projects are implemented in Burkina Faso and Mali, and expanded in Senegal with local and national stakeholders. Overall mercury use, emissions and exposure are reduced in pilot sites.				■	■	■	■	■				
3.1 Opportunity for fair trade certification assessed at pilot sites and application for certification developed in selected pilot projects (one per country).						■	■	■	■	■	■	
3.2 Lessons learned from pilot projects feed back into the national strategy action plans and inform national policies/ regulations on sound management of mercury											■	■