



# REQUEST FOR CEO APPROVAL

PROJECT TYPE: Medium-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

For more information about GEF, visit [TheGEF.org](http://TheGEF.org)

## PART I: PROJECT INFORMATION

Project Title: Environmental Sound Management of Mercury and Mercury Containing Products and their Wastes in Artisanal Small-scale Gold Mining and Healthcare.			
Country(ies):	Honduras	GEF Project ID: <sup>1</sup>	5484
GEF Agency(ies):	UNDP (select) (select)	GEF Agency Project ID:	5229
Other Executing Partner(s):		Submission Date:	2014-12-03
GEF Focal Area (s):	Chemicals and Wastes	Project Duration (Months)	48
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/> Corporate Program: SGP <input type="checkbox"/>		
Name of Parent Program	[if applicable]		

### A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES<sup>2</sup>

Focal Area Objectives/Programs	Focal Area Outcomes	Trust Fund	(in \$)	
			GEF Project Financing	Co-financing
(select) CW-1 Program 1 (select)	Outcome 1.1: Countries have appropriate decision-making tools and economic approaches to promote the removal of barriers preventing the sound management of harmful chemicals and waste	GEFTF	106,900	1,387,582
(select) CW-2 Program 4 (select)	Outcome 4.1: Mercury is reduced	GEFTF	1,193,100	4,832,272
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
<b>Total project costs</b>			1,300,000	6,219,854

### B. PROJECT DESCRIPTION SUMMARY

<b>Project Objective: Protect human health and the environment from Mercury releases originating from the intentional use of mercury in artisanal small-scale gold mining (ASGM), as well as the unsound management and disposal of Mercury containing products from the healthcare sector.</b>						
Project Components/Programs	Financing Type <sup>3</sup>	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Confirmed Co-financing
1. Strengthen institutional capacities to achieve the ESM of Mercury	TA	1.1 Improved capacity at institutional level to assess and monitor Hg releases, Hg levels in populations, and generate data and	1.1.1 National Mercury Release Inventory developed. 1.1.2 Analytical capacity of health & Env. Institutions to	GEFTF	154,250	500,000

<sup>1</sup> Project ID number remains the same as the assigned PIF number.

<sup>2</sup> When completing Table A, refer to the GEF Website, [Focal Area Results Framework](#) which is an Excerpt from [GEF 6 Programming Directions](#).

<sup>3</sup> Financing type can be either investment or technical assistance.

		<p>scientific information in order to take action on priority issues.</p> <p>1.2 Improved inter-ministerial coordination and communication on SMC and ESM of Hg.</p>	<p>monitor Hg releases developed.</p> <p>1.1.3 Hg population risk assessment(s) conducted.</p> <p>1.2.1 Capacity of the National Commission for SMC strengthened to meet future commitments under the Global Hg treaty.</p>			
<p>2. Strengthen the regulatory and policy framework to support a reduction in the use of Hg and allow for ESM of mercury containing products and their wastes</p>	TA	<p>2. Stenghtened policy and regulatory framework to reduce reliance on Mercury, and Mercury added-products and improve the environmental sound management of Mercury</p>	<p>2.1 National Plan for the Environmentally Sound Management of Mercury Developed.</p> <p>2.2 Regulatory instruments to reduce the use of Mercury and Mercury added products drafted.</p> <p>2.3 Proposal for the harmonization of classification codes for Mercury containing products developed.</p> <p>2.4 Standards and technical guidelines for the safe storage, packaging, transportation, data management, inspection and monitoring of Mercury containing wastes developed.</p>	GEFTF	106,900	1,387,582
<p>3. Reduce mercury releases from priority sectors (artisanal &amp; small scale gold mining and healthcare) to protect human health and the environment</p>	TA	<p>3.1 Reduced Hg releases from priority mining communities as a result of the adoption of BAT/BEP practices and the phase-out of unsound mining practices.</p> <p>3.2 Reduced Hg</p>	<p>3.1.1 In-depth Hg baseline assessment in 1 priority ASGM community completed (incl. socio-economic analysis).</p> <p>3.1.2 BAT/BEP introduced to 1 ASGM community to reduce Hg releases and adopt socially and env. sound mining practices.</p> <p>3.1.3 Capacity of 1 mining community built to improve the gold supply chain.</p> <p>3.1.4 Replication process of pilot experience in three (3) additional geographical priority areas launched.</p> <p>3.2.1 In-depth Hg</p>	GEFTF	701,350	1,647,272

		releases from priority Healthcare Facilities through the adoption of BAT/BEP practices and the phase-out of Mercury containing devices.	baseline assessment completed for 2 model Healthcare Facilities (HCFs). 3.2.2 Facilities' HCWM programmes updated to include Hg phase-out and management. 3.2.3 Facility staff trained on BAT/BEP practices for Hg management. 3.2.4 Comparative study on Hg-free devices concluded and procurement processes adapted based on staff preferences. 3.2.5 Replication process of pilot experiences launched in 2 additional HCFs.			
4. Strengthen technical capacity and infrastructure for the interim storage of Mercury containing wastes	TA	4. Interim financially sustainable storage options for Hg-containing wastes established and long-term storage/disposal options identified.	4.1 Assessment of infrastructure, capacity and cost recovery approaches for Hg waste storage conducted. 4.2 Technical capacity of key actors for various Hg LCM stages developed and CRAs put in place. 4.3 Interim storage spaces established for healthcare Hg waste. 4.4 Pilot demonstration of ESM and interim storage of other Hg-containing wastes initiated at national level.	GEFTF	99,500	2,385,000
5. Monitoring, learning, adaptive feedback, outreach, and evaluation	TA	5. Project results sustained and replicated	5.1 M&E and adaptive management applied to project in response to needs, mid-term evaluation findings with lessons learned extracted. 5.2 Lessons learned and best practices are disseminated at national, regional and global level.	GEFTF	120,000	125,000
	(select)			(select)		
	(select)			(select)		
	(select)			(select)		
Subtotal					1,182,000	6,044,854

Project Management Cost (PMC) <sup>4</sup>	(select)	118,000	175,000
<b>Total project costs</b>		1,300,000	6,219,854

If Multi-Trust Fund project : PMC in this table should be the total and enter trust fund PMC breakdown here ( )

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<sup>4</sup> For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

**C. CONFIRMED SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE**

Please include confirmed co-financing letters for the project with this form.

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount (\$)
GEF Agency	UNDP	In-kind	50,000
Recipient Government	INHGEOMIN	In-kind	2,647,272
Recipient Government	INHGEOMIN	Grants	387,582
Private Sector	Honduras Environmental Services (HES)	In-kind	75,000
Private Sector	Honduras Environmental Services (HES)	Grants	10,000
Recipient Government	CESSCO / SERNA	In-kind	750,000
Private Sector	RECYCLE	In-kind	500,000
Private Sector	RECYCLE	Grants	1,800,000
(select)		(select)	
<b>Total Co-financing</b>			6,219,854

**D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES) AND THE PROGRAMMING OF FUNDS**

GEF Agency	Trust Fund	Country Name/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee <sup>a)</sup> (b) <sup>2</sup>	Total (c)=a+b
UNDP	GEF TF	Honduras <input type="checkbox"/>	Chemicals and Wastes	Mercury	1,300,000	123,500	1,423,500
(select)	(select)	<input type="checkbox"/>	(select)	(select as applicable)			0
(select)	(select)	<input type="checkbox"/>	(select)	(select as applicable)			0
(select)	(select)	<input type="checkbox"/>	(select)	(select as applicable)			0
(select)	(select)	<input type="checkbox"/>	(select)	(select as applicable)			0
(select)	(select)	<input type="checkbox"/>	(select)	(select as applicable)			0
(select)	(select)	<input type="checkbox"/>	(select)	(select as applicable)			0
(select)	(select)	<input type="checkbox"/>	(select)	(select as applicable)			0
(select)	(select)	<input type="checkbox"/>	(select)	(select as applicable)			0
<b>Total Grant Resources</b>					1,300,000	123,500	1,423,500

a ) Refer to the Fee Policy for GEF Partner Agencies

## E. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS<sup>5</sup>

Provide the expected project targets as appropriate.

Corporate Results	Replenishment Targets	Project Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	<i>(Enter number of hectares)</i>
2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management	<i>(Enter number of hectares)</i>
3. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services	Water-food-ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins;	<i>(Enter number of freshwater basins)</i>
	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels	<i>(Enter percent of fisheries, by volume)</i>
4. Support to transformational shifts towards a low-emission and resilient development path	750 million tons of CO <sub>2e</sub> mitigated (include both direct and indirect)	<i>(Enter number of tons)</i>
5. Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides)	<i>(Enter number of tons)</i>
	Reduction of 1000 tons of Mercury	<i>1 ton</i>
	Phase-out of 303.44 tons of ODP (HCFC)	<i>(Enter number of tons)</i>
6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries	<i>(Enter number of countries)</i>
	Functional environmental information systems are established to support decision-making in at least 10 countries	<i>(Enter number of countries)</i>

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

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

## PART II: PROJECT JUSTIFICATION

### A. DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN OF THE ORIGINAL PIF<sup>6</sup>

<sup>5</sup> Update the applicable indicators provided at PIF stage. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the [GEF-6 Programming Directions](#), will be aggregated and reported during mid-term and at the conclusion of the replenishment period.

<sup>6</sup> For questions A.1 –A.7 in Part II, if there are no changes since PIF, no need to respond, please enter “NA” after the respective question.

A.1 Is the project consistent with the National strategies and plans or reports and assessments under relevant convention: (yes  /no  ). If yes, which ones and how: NAPAs, NAPs, NBSAPs, ASGM NAPs, MIAs, NCs, TNAs, NCSA, NPFE, BUR, etc. N/A (no changes since PIF)

A.2. GEF focal area<sup>7</sup> and/or fund(s) strategies, eligibility criteria and priorities. Besides the fact that the Government of Honduras signed the Minamata Convention on Mercury on 24 September 2014, none of the other fund strategies, eligibility criteria and priorities changed. In Section 2.4.3 of the project document, the project's consistency with the GEF-V strategic priorities and operations programs have been described in detail.

A.3 The GEF Agency's comparative advantage: N/A (no changes since PIF)

A.4. The baseline and any associated baseline projects: N/A (no changes since PIF).

In the project document, the project's baseline is described in section 1.2 ("Baseline Analysis"), while the associated baseline projects are described in section 1.3 ("Baseline Project") table 6 (Baseline Projects and Incremental Cost Reasoning). Both these sections describe in detail the project baseline and the baseline projects.

A. 5. Incremental /Additional cost reasoning: describe the incremental (GEF Trust Fund) or additional (LDCAF/SCCF) activities requested for GEF/LDCF/SCCF financing and the associated global environmental benefits (GEF Trust Fund) or associated adaptation benefits (LDCAF/SCCF) to be delivered by the project: N/A (no changes since PIF).

See Section 2.4.4 of the Project Document, where the incremental reasoning and expected global, national and local benefits are discussed and presented in detail.

A.6 Risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and measures that address these risks: N/A (no changes since PIF).

Project risks, and measures that address these risks, have been described in detail in ANNEX I of the Project Document ("Risk Analysis & Risk Mitigation Measures").

A.7. Outline the coordination with other relevant GEF-financed and other initiatives: N/A (no changes since PIF).

The project will work closely with the baseline projects as outlined in section 1.3 ("Baseline Project") table 6 (Baseline Projects and Incremental Cost Reasoning), the GEF Chemicals and Waste projects as presented in section 1.3 ("Baseline Project"), and finally regional and global initiatives (those not considered baseline projects for this project) which have been summarized in section 2.4.7. All these initiatives/programmes/projects are considered to provide important insights, lessons-learned and experiences that will improve the implementation of this project.

A.8. Are gender considerations taken into account? (yes  /no  ). If yes, briefly describe how gender considerations will be mainstreamed into project preparation, taken into account the differences, needs, roles and priorities of men and women.

Gender dimensions, for the two priority sectors of the project, as well as the ways in which gender dimensions will be addressed throughout project implementation, have been described in Section 2.4.5 ("Socio-Economic Benefits Including Gender Dimensions") of the project document.

## **B. ADDITIONAL INFORMATION NOT ADDRESSED AT PIF STAGE:**

B.1 Will project design include the participation of relevant stakeholders from civil society and indigenous people? (yes  /no  ). If yes, identify key stakeholders and briefly describe how they will be engaged in project design/preparation:.

B.2 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 (LDCAF/SCCF): 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

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<sup>7</sup> For biodiversity projects, please describe which Aichi Target(s) the project will directly contribute to and what indicators will be used to track progress towards achieving these specific Aichi target(s).

Environmental benefits have been described in section 2.4.5 "Socio-economic benefits including Gender dimensions" of the project document.

B.3. Explain how cost-effectiveness is reflected in the project design: See also 2.4.6 of the project document.

Project activities have been designed in such a way that cost-effectiveness should be achieved during project implementation. The implementation will follow standard UNDP rules and regulations and will assure that procurement processes will be open, transparent and competitive. All larger contracts will be published internationally. UNDP procurement procedures for all project activities, including selection of services and equipment, will be based on the best value for money criteria.

Healthcare Sector: As part of the ongoing UNDP/GEF/WHO Global Medical Waste project, cost data related to the phase-out of Mercury containing devices, and the management of Mercury containing waste from the health sector have been documented. The funding levels of each of the healthcare sector activities proposed as part of the Honduras project have been based on the costs incurred by the Global Medical Waste project.

ASGM Sector: Costing information related to the phase-down and phase-out of the use of Mercury in the ASGM sector, has been based on the costs and expenditures incurred during the UNDP/GEF UNIDO-implemented project "Removal of Barriers to the Introduction of Cleaner Artisanal Gold Mining and Extraction Technologies", as well as ASGM activities currently being implemented in the Latin-American region (e.g. those supported by BRI/DoS, BIO Redd+, among else).

The funding level of the proposed project is therefore deemed comparable and proportional to the level of activities planned while considering local conditions, and as such is deemed the most cost-effective.

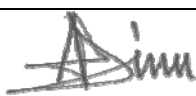
**C. DESCRIBE THE BUDGETED M & E PLAN:** Please refer to section VI ("Monitoring Framework and Evaluation) of the project document.



**PART III: CERTIFICATION BY GEF PARTNER AGENCY(IES)**

**A. GEF Agency(ies) certification**

This request has been prepared in accordance with GEF policies<sup>8</sup> and procedures and meets the GEF criteria for CEO endorsement under GEF-6.

<b>Agency Coordinator, Agency Name</b>	<b>Signature</b>	<b>Date (Month, day, year)</b>	<b>Project Contact Person</b>	<b>Telephone</b>	<b>Email Address</b>
Adriana Dinu Executive Coordinator UNDP-GEF		02/12/2014	Jacques Van Engel	+1 (212) 906 5782	jacques.van.engel@undp.org

**B. Additional GEF Project Agency Certification** (*Applicable Only to newly accredited GEF Project Agencies*)

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

<sup>8</sup> GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, and SCCF

**ANNEX A: PROJECT RESULTS FRAMEWORK** (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).  
Please refer to Section III. ("Project Results Framework") of the Project Document.

**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).

Please refer to the project document, Annex IV: RESPONSES TO GEFSEC REVIEW AT PIF/PPG STAGE

**ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS<sup>9</sup>**

A. Provide detailed funding amount of the PPG activities financing status in the table below:

PPG Grant Approved at PIF:			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
Definition of needs and strategies for institutional strengthening	7,500	7,500	0
Definition of needs and strategies for improvements to regulatory and policy framework.	7,500	7,500	
Development of strategy for ASGM in pilot community	20,000	20,000	
Development of strategy for Mercury in HCW	7,500	7,500	
Development of M&E schemes	7,500	7,500	
Project Scooping and definition	20,000	20,000	
<b>Total</b>	70,000	70,000	0

<sup>9</sup> If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue to undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities. Agencies should also report closing of PPG to Trustee in its Quarterly Report.

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

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