

Developing National Action Plans for Artisanal and Small Scale Gold Mining:

A Step by Step Guide for Countries Applying for
Support under GEF Enabling Activities for the
Minamata Convention on Mercury



October 29, 2015

TABLE OF CONTENTS

TABLE OF CONTENTS	3
ABBREVIATIONS AND ACRONYMS	5
ACKNOWLEDGEMENTS	6
BACKGROUND AND PURPOSE OF THIS GUIDE	6
HOW TO USE THE GUIDE	8
PART I: PROJECT IDENTIFIERS	11
Project Framework*	12
Project Objectives: National capacity for evaluating ASGM mercury use and impacts strengthened, and mercury reduction targets and a roadmap for reductions identified, through the development of a National Action Plan for the Artisanal and Small-scale Gold Mining (ASGM) Sector	13
Project Component	13
Project Outcomes	13
Project Outputs.....	13
(in \$).....	13
GEF Project.....	13
Financing.....	13
Confirmed Co-financing	13
PART II: ENABLING ACTIVITY JUSTIFICATION	15
A. Enabling Activity Background and Context	15
B. Enabling Activity Goals, Objectives, and Activities	19
C. Describe the Enabling Activity and Institutional Framework for Project Implementation	23
D. Describe, if possible, the expected cost-effectiveness of the project	26
E. Describe the Budgeted Monitoring & Evaluation (M & E) Plan	28
ANNEX I- GEF PROPOSAL FORM	31
Project Objective:	31
Project Component.....	31
Project Outcomes	31
Project Outputs.....	31
(in \$).....	31
GEF Project.....	31
Financing.....	31
Confirmed Co-financing	31

ANNEX II -GEF IMPLEMENTING AGENCIES.....	34
ANNEX III- KEY STAKEHOLDERS IN NAP DEVELOPMENT	38
ANNEX IV-EXAMPLE LOGICAL FRAME WORK.....	42
ANNEX V-EXAMPLE BUDGET TABLE.....	47

Abbreviations and Acronyms

ASGM	Artisanal and Small-scale Gold Mining
Convention	Minamata Convention on Mercury
EA	Enabling Activities
EP	Executing Partners
GEF	Global Environmental Facility
IA	Implementing Agency
NAP	National Action Plan
NGO	Non-Governmental Organization
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization

ACKNOWLEDGEMENTS

This document was prepared by the Natural Resources Defense Council, co-lead of the UNEP Global Mercury Partnership ASGM Partnership Area, under a grant from the US Department of State, Bureau of Oceans and International Environmental and Scientific Affairs, Mercury Program. Comments on the draft document were graciously provided by two non-governmental organizations, BanToxics! and groundWork.

BACKGROUND AND PURPOSE OF THIS GUIDE

The Minamata Convention on Mercury, which opened for signature in October of 2013, is a legally-binding international agreement for protecting human health and the environment from the harmful effects of mercury pollution. Some major highlights of the Convention include controls on supply and trade of mercury, limits on mercury use in products and processes, control measures for air and water emissions, and reductions in (and where feasible, elimination of) mercury use in the artisanal and small-scale gold mining sector.

Article 13 of the Convention established a financial mechanism that includes the Global Environment Facility Trust Fund to support capacity building and, “provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities.” The GEF has described these enabling activities as “a means of ...providing basic and essential level of information to enable policy and strategic decisions to be made, or assisting in plans that identify priority activities within a country.” The GEF has defined these activities to include “Minamata Convention initial assessment activities (MIA)” and “the development of the Artisanal and Small-Scale Gold Mining (ASGM) National Action Plans (NAP), in accordance with Article 7(3) of the Convention¹.”

While the Convention’s financial mechanism will not be established until the Convention comes into force, 6th replenishment of the Global Environment Facility (the GEF) includes resources to

¹.[GEF: Initial Guidelines for Enabling Activities for the Minamata Convention on Mercury](#)

support ratification and early implementation of actions under the Minamata Convention, including these enabling activities. The GEF published a guidance document² in January 2014 to assist countries who are applying for financial assistance for these activities.

More information about the GEF's guidelines for Enabling Activities (EAs) can be found here:
[GEF: Initial Guidelines for Enabling Activities for the Minamata Convention on Mercury](#)

This guide complements the GEF 2013 EA guidance, and is aimed specifically for those countries who wish to prepare a proposal to the GEF to support the development of a National Action Plan for ASGM.

Eligibility Criteria:

Countries that are eligible for GEF funding³ must also meet one of the following eligibility criteria in order to apply for Enabling Activity funding⁴:

1. Parties to the Convention;
2. Signatories to the Convention in undertaking activities, particularly enabling activities, to facilitate early implementation and ratification of the Convention;
3. Non-signatories to the Convention, for enabling activities, provided that any such State is taking meaningful steps towards becoming a Party as evidenced by a letter from the relevant minister to the Executive Director of the United Nations Environment Programme and to the Chief Executive Officer and Chairperson of the Global Environment Facility.

² Ibid.

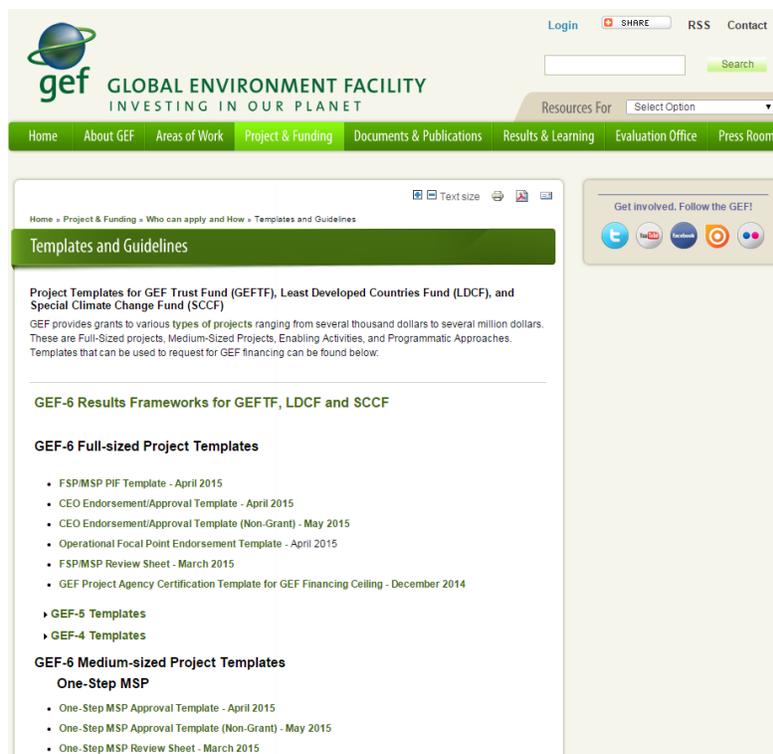
³ https://www.thegef.org/gef/country_eligibility

⁴ See: *UNEP(DTIE)/Hg/INC.6/24 -Report of the Intergovernmental Negotiating Committee to Prepare A Global Legally Binding Instrument On Mercury On The Work Of Its Sixth Session*, pg. 40. Download at: <http://mercuryconvention.org/Negotiations/INC6/tabid/3563/Default.aspx>

HOW TO USE THE GUIDE

This guide provides recommendations for how to complete each section of the official GEF Enabling Activities project application form, when applying for NAP development support. The application form is found in Annex I of this document, and can also be downloaded from the following website:

Click on this link: https://www.thegef.org/gef/guidelines_templates



The screenshot displays the GEF website's 'Templates and Guidelines' page. The header includes the GEF logo, navigation links (Home, About GEF, Areas of Work, Project & Funding, Documents & Publications, Results & Learning, Evaluation Office, Press Room), and utility links (Login, SHARE, RSS, Contact). A search bar and a 'Resources For' dropdown menu are also visible. The main content area features a breadcrumb trail: Home » Project & Funding » Who can apply and How » Templates and Guidelines. The page title is 'Templates and Guidelines'. The main text states: 'Project Templates for GEF Trust Fund (GEFTF), Least Developed Countries Fund (LDCF), and Special Climate Change Fund (SCCF). GEF provides grants to various types of projects ranging from several thousand dollars to several million dollars. These are Full-Sized projects, Medium-Sized Projects, Enabling Activities, and Programmatic Approaches. Templates that can be used to request for GEF financing can be found below:'. Below this, there are sections for 'GEF-6 Results Frameworks for GEFTF, LDCF and SCCF', 'GEF-6 Full-sized Project Templates' (listing various templates and review sheets), 'GEF-5 Templates', 'GEF-4 Templates', and 'GEF-6 Medium-sized Project Templates' (listing 'One-Step MSP' templates and review sheets).

Then scroll to: **GEF-6 Enabling Activity Templates**

- Operational Focal Point Endorsement Template - April 2015
- GEF Project Agency Certification Template for GEF Financing Ceiling - December 2014
- Two-Step MSP**
- FSP/MSP PIF Template - April 2015
- CEO Endorsement/Approval Template - April 2015
- Operational Focal Point Endorsement Template - April 2015
- FSP/MSP Review Sheet - March 2015
- GEF Project Agency Certification Template for GEF Financing Ceiling - December 2014
- GEF-6 Enabling Activity Templates**
- Enabling Activities Template - March 2015
- Enabling Activity Review Sheet - March 2015
- Operational Focal Point Endorsement Template - December 2014
- GEF-5 Templates
- GEF-6 Programmatic Framework Templates**
- Program Framework Document Template - April 2015

Then click: Enabling Activities Template - March 2015

- Operational Focal Point Endorsement Template - April 2015
- GEF Project Agency Certification Template for GEF Financing Ceiling - December 2014
- Two-Step MSP**
- FSP/MSP PIF Template - April 2015
- CEO Endorsement/Approval Template - April 2015
- Operational Focal Point Endorsement Template - April 2015
- FSP/MSP Review Sheet - March 2015
- GEF Project Agency Certification Template for GEF Financing Ceiling - December 2014
- GEF-6 Enabling Activity Templates**
- Enabling Activities Template - March 2015
- Enabling Activity Review Sheet - March 2015
- Operational Focal Point Endorsement Template - December 2014
- GEF-5 Templates
- GEF-6 Programmatic Framework Templates**
- Program Framework Document Template - April 2015

Below is an outline of the GEF Enabling Activities project application form, upon which this guide is organized:

PART I: PROJECT IDENTIFIERS

A. PROJECT FRAMEWORK

PART II: ENABLING ACTIVITY JUSTIFICATION

A. ENABLING ACTIVITY BACKGROUND AND CONTEXT

B. ENABLING ACTIVITY GOALS, OBJECTIVES, AND ACTIVITIES

C. Describe the Enabling Activity and Institutional Framework for Project Implementation

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

E. DESCRIBE THE BUDGETED MONITORING & EVALUATION (M & E) PLAN

This guide is divided into two parts, replicating the structure of the GEF application form: **Part I: Project Identifiers** and **Part II: Enabling Activity Justification**. For each Part, the guide describes the purpose of each section, provides recommendations for how to fill out each section, and gives “example language”, which has been modelled on language found in previously-approved GEF applications.

At the end of the guide the reader will find Annexes that contain:

- The GEF Proposal Application;
- A list of GEF Agencies who can assist eligible governments and NGOs in the development, implementation, and management of the GEF projects;
- A list of recommended members of the NAP working group;
- A list of recommended stakeholders to be considered as members of the advisory group;
- An example Logical Project Framework; and
- An example budget, by output and activity.

PART I: PROJECT IDENTIFIERS

Purpose of this section: This section of the GEF EA application form asks for basic information describing the proposed project. Here you are required to designate the main contact for the project from the government, from the GEF implementing agency (IA), and if desired from any executing partner(s) (EP).

How to fill out this section:

Here is this section as it appears in the GEF EA application form. The elements that must be filled in by the applicant are noted in *italics*:

Project Title:	<i>[Fill in your project title here, e.g.: National Action Plan on Mercury in the [your country name] Artisanal and Small-Scale Gold Mining Sector]</i>		
Country(ies):	<i>[insert country name]</i>	GEF Project ID:⁵	<i>[This number will be assigned by the GEF]</i>
GEF Agency(ies):	<i>[Select from list of GEF implementing agencies]</i>	GEF Agency Project ID:	<i>[This number will be filled in by the GEF agency]</i>
Other Executing Partner(s) (EP):	<i>[Add any executing partners here]</i>	Submission Date:	<i>[Date]</i>
GEF Focal Area (s):	<i>[fill in: Chemicals and Wastes]</i>	Project Duration (Months)	<i>[Fill in number of months here]</i>
Type of Report:	<i>[fill in: National Action Plan]</i>	Expected Report Submission to Convention	n/a

- ➔ 1. To fill out this section, it will be necessary to decide which government entity will be the primary focal point(s) for the NAP development. This will vary from country to country, and may include more than one ministry or agency.

⁵ Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submission.

- ➔ 2. Further, in most cases, governments will have to select a **GEF implementing agency** as a partner for the administration and implementation of the project. The GEF IA will help governments guide the NAP development through all the phases and ensure there is proper planning and management throughout the process. The GEF implementing agency will also undertake the narrative and financial reporting to the GEF. Preferably, the GEF IA should have experience and knowledge in the ASGM sector.

- ➔ 3. Click on this link for a complete list of [GEF Implementing Agencies](#) or see Annex II.

- ➔ 4. An executing agency must be identified. The executing agency can be a national institution, an external partner, or some combination of these. External executing partner(s) can be helpful to governments in establishing the necessary managerial and technical teams to execute the project, e.g. by searching for and hiring needed local/regional technical consultants, and supervising their work. Moreover, in the specialized area of Artisanal and Small-Scale Gold Mining, the participation of external EP can be particularly helpful. EPs can also organize independent audits in order to guarantee the proper use of GEF funds; make financial transactions, audits and reports in accordance with the required procedures of the implementing agency; and provide regular administrative, progress and financial reports to the IA. Executing agencies may include nongovernmental organizations or other local or international groups with specialized expertise in ASGM issues.

Project Framework*

Purpose of this section: This section of the application provides a summary of the project, in terms of project components, outcomes and outputs. It also summarizes the GEF project financing and any co-financing. Note that for GEF EA, co-financing is encouraged but not required.

How to fill out this section:

This section is a summary of the entire application and therefore it is recommended to first fully complete the sections in Part II before completing this section.

- ➔ 1. Below is an already-completed example of how this section may appear in the GEF EA application form. Illustrative project objectives, components, outcomes and outputs have been included in this example, based on previously approved GEF project proposals:

Project Objectives: National capacity for evaluating ASGM mercury use and impacts strengthened, and mercury reduction targets and a roadmap for reductions identified, through the development of a National Action Plan for the Artisanal and Small-scale Gold Mining (ASGM) Sector				
Project Component	Project Outcomes	Project Outputs	(in \$)	
			GEF Project Financing	Confirmed Co-financing⁶
<i>1. Improve understanding on the scope of mercury in the [Country] ASGM sector; develop a plan for mercury reduction and/or elimination; and strengthen national capacity to implement Article 7 and Article 16 of the Minamata Convention.</i>	<i>1. Participatory stakeholders are identified; capacity to evaluate and prioritize ASGM mercury use and impacts strengthened; mechanisms to strengthen future mercury management in ASGM sector identified; roadmap for reducing mercury use and exposure elaborated</i>	<i>1.1 Information disseminated and project coordination mechanism established 1.2 National comprehensive analysis of ASGM sector completed; appropriate measures to reduce mercury emissions and releases from ASGM identified and developed 1.3 Institutional and capacity needs assessment completed; measures to strengthen ASGM mercury management and public health strategy identified</i>	\$\$\$	\$\$\$

⁶ Co-financing for enabling activity is encouraged but not required.

		<i>and developed</i>		
		<i>1.4 Rapid assessment of the health situation in typical ASGM communities in key/priority ASGM areas to support development of baseline health assessment; drafting of public health strategy initiated</i>		
<i>2. Finalization of the NAP for endorsement and submission to the Minamata Secretariat</i>	<i>2. NAP drafted and finalized; endorsement from relevant stakeholders obtained</i>	<i>2.1 NAP drafted, finalized and presented to relevant stakeholders</i>	\$\$\$	\$\$\$
<i>3. Monitoring and evaluation</i>	<i>3. Project achieves objectives on time through effective monitoring and evaluation</i>	<i>3.1 Periodic monitoring and terminal evaluation of project implementation completed</i>	\$\$\$	\$\$\$
Subtotal			\$\$\$	\$\$\$
Project Management Cost⁷			\$\$\$	\$\$\$
Total Project Cost			\$\$\$	\$\$\$

➔ 2. You will need to attach a detailed project budget table that supports all the project components in this table. An example budget table, by output and activity, is provided in Annex V. This budget is illustrative only and actual requirements may differ by implementing agency.

⁷ This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or co-financing sources. For EAs within the ceiling, PMC could be up to 10% of the Subtotal GEF Project Financing.

PART II: ENABLING ACTIVITY JUSTIFICATION

A. Enabling Activity Background and Context

Purpose of this section: This section of the application form requires brief information about when your country became a signatory and/ratified to the Convention, as well as previous work undertaken in the ASGM sector in your country and results achieved, which can be used as the starting point for NAP development.

How to fill out this section:

- ➔ 1. Provide an introductory statement on the Minamata Convention, including the date your country became a signatory and/or joined the Minamata Convention, if you have done so already. If your country did not sign the Convention or has not yet ratified it, state when you provided a letter from the relevant minister to the Executive Director of the United Nations Environment Programme and to the Chief Executive Officer and Chairperson of the Global Environment Facility, indicating that your country is taking meaningful steps towards becoming a Party. In addition, to receive EA assistance to prepare a NAP, you must also indicate that your country has notified the Interim Secretariat that mercury use is “more than insignificant” in your ASGM sector.

Example Language

In response to international concern regarding mercury as a global pollutant, the United Nations Environment Programme (UNEP) Governing Council entered into negotiations for a legally binding global instrument on mercury to safeguard human and ecosystem health. Negotiations were successfully completed in January 2013. At the Conference of Plenipotentiaries held from 9 to 11 October 2013 in Minamata and Kumamoto, Japan, the “Minamata Convention on Mercury” was formally adopted and opened for signature. Aware of the threats mercury can impose on human health and the global environment,

the Government of *[Country]* has been an active participant in international programmes and agreements to address mercury releases and uses, led by *[insert Ministries involved]*.

[Country] became a signatory to the Convention on *[Day, Month, Year]*

[Country] subsequently joined the Convention *on Day, Month, Year]*

OR

[While [Country] did not sign and has not yet joined the convention, the [Country] Ministry of [insert relevant ministry] has notified the UNEP Chief Executive Officer and the Chairperson of the GEF that [Country] is taking meaningful steps towards becoming a Party, in a letter dated Day, Month, Year]

[Furthermore, on Day, Month, Year, [Country] notified the secretariat that mercury use in the ASGM sector is more than insignificant.]

- ➔ 2. Include background on the Minamata Convention, on Article 7 and Annex C of the Convention, and on the information to be included in the NAP.

Example Language

The Minamata Convention includes control measures to reduce mercury supply sources and trade, as well as to phase out (or in some cases phase down) mercury added products, and manufacturing processes in which mercury or mercury compounds are used.

As the ASGM sector is a major source of mercury release and environmental pollution in the world, Article 7 of the Convention requires countries with “more than insignificant” use of mercury in ASGM operations to develop a National Action Plan (NAP) in order to reduce the use of mercury and mercury compounds.

According to Annex C of the Convention, each Party that is subject to the provisions of paragraph 3 of Article 7 shall include in its NAP information on:

(a) National objectives and reduction targets; (b) Actions to eliminate: (i) Whole ore amalgamation; (ii) Open burning of amalgam or processed amalgam; (iii) Burning of amalgam in residential areas, and; (iv) Cyanide leaching in sediment, ore or tailings to which mercury has been added without first removing the mercury; (c) Steps to facilitate the formalization or regulation of the artisanal and small-scale gold mining sector; (d) Baseline estimates of the quantities of mercury used and practices employed in artisanal

and small-scale gold mining and processing within its territory; (e) Strategies for promoting the reduction of emissions and releases of, and exposure to, mercury in artisanal and small-scale gold mining and processing, including mercury-free methods; (f) Strategies for managing trade and preventing the diversion of mercury and mercury compounds from both foreign and domestic sources to use in artisanal and small-scale gold mining and processing; (g) Strategies for involving stakeholders in the implementation and continued development of the NAP; (h) A public health strategy on the exposure of artisanal and small-scale gold miners and their communities to mercury. Such a strategy should include, inter alia, the gathering of health data, training for health-care workers and awareness-raising through health facilities; (i) Strategies to prevent the exposure of vulnerable populations, particularly children and women of child-bearing age, especially pregnant women, to mercury used in artisanal and small-scale gold mining; (j) Strategies for providing information to artisanal and small-scale gold miners and affected communities, and; (k) A schedule for the implementation of the NAP.

- ➔ 3. Provide a description of the ASGM sector in your country. For example, you may highlight information such as, but not limited to, the percentage of gold production that is produced by ASGM, and data on the number of artisanal gold miners in the ASGM sector, including how many of these are women and children.

Example Language

The sector is responsible for over $x\%$ of gold production in [Country] which is produced by at least [xx,000] artisanal gold miners (xx,000 of whom are women and children).

- ➔ 4. Also describe key initiatives that have been undertaken in your country to address issues related to the ASGM sector. These do not have to be limited to projects regarding mercury use in ASGM. They may include projects to provide technical and financial support to artisanal and small scale miners as well projects to address legal frameworks, and social, labor, health and other issues related to ASGM. Details may include:
- a) The type of project;
 - b) How it is related to mercury management or another element of ASGM;

- c) Project accomplishments, including amount of mercury reduced or eliminated, if relevant; and
- d) Lessons learned that could guide the development of the NAP.

Example Language
<p>The [<i>Country</i>] government, through its [<i>xx and yy</i>] Ministries, has conducted several [<i>technology transfer, training, awareness raising, demonstration projects</i>] for the reduction of mercury use and emissions resulting from ASGM.</p> <p><i>[list and provide some details on the relevant projects]</i></p> <p>These projects resulted in [<i>x percent reduction in the use of mercury; x number of miners trained in new technology x number of miners have adopted new technology; or other project results</i>]</p> <p>The experience of these projects have generated general findings that may help guide the development of future projects in the artisanal and small scale mining sector, including:</p> <p><i>[fill in based on project experiences. Example general findings may include:</i></p> <ul style="list-style-type: none"> <i>i) Poverty alleviation and wealth creation should be the primary focus of all projects;</i> <i>ii) Formalization is key to better ASM practices</i> <i>iii) A focus on markets for mining products creates opportunity for sustainable success;</i> <i>iv) Capacity of artisanal miners to adopt ‘best/good practices’, methods, technology and equipment must be supported.]</i>



- 6. Explain the qualifications of the IA you have selected. For example if you are working with an IA that has already conducted ASGM projects in your country, the following language could be used:

Example Language
<p>Lessons learned and experience gained from capacity building and awareness-raising in pilot projects conducted with [<i>Implementing Agency</i>] will provide a key advantage for the successful preparation of the NAP in [<i>Country</i>.]</p>

- ➔ 7. Conclude with a statement of how this project is in line with your country’s goal to address mercury-related environment and health problems in the ASGM sector.

Example Language

In conclusion, this project is fully in line with [*Country’s*] goal to address mercury-related environment and health problems in the ASGM sector and to invest in solutions to fulfill obligations under the Minamata Convention.

B. Enabling Activity Goals, Objectives, and Activities

Purpose of this section: This portion of the proposal should briefly justify and describe the project framework, by including language that matches activities to concrete expected outcomes of the project. This section should also identify key stakeholders involved in the project. Since gender issues are often a key element to be considered in designing ASGM interventions, particularly since women of child-bearing age are considered a vulnerable population to mercury exposure, this section of the form should also describe how the gender dimensions will be considered in the project design and implementation.

How to fill out this section:

- ➔ 1. List the outcome(s) of the proposed project, and describe how the outputs of the project will fulfill the outcome(s).

Example Language

The outcomes of the proposed project will be to: (1) enable stakeholders who participate in the project to create a plan to reduce and where feasible eliminate mercury use and emissions, including identification of mechanisms to strengthen institutional capacity to manage the process of reducing/eliminating mercury use in the sector; (2) enable the NAP’s finalization for the endorsement and submission by the government to the Minamata Convention secretariat; and (3) provide effective monitoring and evaluation.

The outputs of the project will help fulfill these outcomes by filling the information gaps required to develop the NAP, by assisting the government of [*Country*] and ASGM partners in the formulation of measures and strategies to reduce mercury use/emissions, and by increasing understanding and awareness of risks to human and ecosystem health.

The specific outputs are:

1.1: Information disseminated about the project and project coordination mechanism established;

1.2 National comprehensive analysis of ASGM sector completed; appropriate measures to reduce mercury emissions and releases from ASGM identified and developed.

1.3 Institutional and capacity needs assessment completed; appropriate measures to strengthen ASGM mercury management and public health strategy identified and developed;

1.4 Rapid assessment of the health situation in typical ASGM communities in key/priority ASGM areas to support development of baseline health assessment; drafting of public health strategy initiated

2.1: NAP drafted, finalized and presented to relevant stakeholders; and

3.1: Periodic monitoring and terminal evaluation of project implementation completed.

- ➔ 2. If desired, identify priority geographic focal areas and hot spot ASGM areas where data will be collected for the development of your National Action Plan.

Example Language

The project will initially focus on X and Y provinces/areas/regions where mercury is heavily used in the ASGM sector.

- ➔ 3. List key stakeholders who will participate in the project, and describe how their work is relevant. Provide a flow chart or list of various stakeholders in an annex, if possible. In addition to the IA and government entities who will conduct the project, other key stakeholders may include other government agencies, miners, environmental groups, consultants, civil society groups, child labor experts, and development experts who are

experienced in ASGM. Lists of potential members of the NAP steering group and potential key stakeholders are listed in Annex III, Tables 1-1 and 1-2.

Example Language

The following key stakeholders will be consulted and engaged throughout the project implementation process as follows.

Implementing Agency X will act as the GEF Implementing Agency (IA) for the project. The project manager will provide project oversight and implementation.

[Country Ministry or Authority for Mining/Minerals], which is the institution responsible for the activities related to ASGM in [Country,] will serve as the main national executing partner assisting with day-to-day management, providing necessary expertise on mercury use in the sector.

[Ministry or Authority for Environmental Protection] will be responsible for the dissemination of information among state, private and civil society stakeholder groups (e.g. miners, policy makers etc.) on project achievements and lessons learned as well as the impacts of mercury use in the ASGM sector to human health and environment.

[Ministry or Authority on Environmental Protection] will also be responsible for the establishment of the project coordination mechanism and act as the chair and secretariat of the **National Steering Group (NSG)**⁸. The NSG will include **[Implementing Agency X]** representatives, technical and policy experts from **[Ministry or Authority on Environmental Protection and Mining/Minerals]**, other relevant ministries, industrial associations, civil society and others to provide overall guidance and coordination

The **[Ministry of Health]** will provide national leadership and technical support for the health-related activities.

Miners and mining communities will be consulted on common ASGM practices and the scope of mercury use in ASGM; sensitized through training; and engaged to promote the reduction and elimination of mercury in the sector.

Civil Society Organizations, including miners groups, community organizations and other NGOs, and academia, will assist in the development of the NAP.

⁸ The choice of Ministry to act as chair and secretariat of the National Steering Committee is at the discretion of each country. The language here is only illustrative.

Miners associations will liaise with miners to increase awareness, share knowledge and promote technology transfer to reduce mercury use in the ASGM sector.

An *expert team*, comprising national and international consultants and technical specialists, may be engaged by [*the IA, by the EA, and/or by relevant Ministry(ies) or Authority(ies)*] to provide technical support for the NAP development, as needed.

- ➔ 4. Briefly explain the financial arrangements for the project, and provide an overview of the budget for each executing entity.

Example Language

This EA will be executed via subcontract to [*relevant Ministry or Authority*] at approximately [*USD \$*] and [*other relevant Ministry or Authority*] at approximately [*USD\$*].

- ➔ 5. Describe how gender mainstreaming will be included in the NAP and how it will be an integral part of the project activities. Gender issues are particularly relevant for ASGM interventions, as women of child-bearing age are specifically identified as a vulnerable population in Annex C. In addition, in the ASGM context, gender dimensions must be considered in order to prevent discrimination and to promote the equal participation of each gender in the project, and to ensure an equitable distribution of project benefits. Also describe how the NAP will address any impact on indigenous communities.

Example Language

Annex C of the Convention requires that NAPs include strategies to prevent the exposure of vulnerable populations, particularly women of child-bearing age, especially pregnant women, to mercury used in artisanal and small-scale gold mining.

The roles both women and men play in ASGM can have different social, environmental or economic implications which may have dangerous consequences for women specifically. In many ASGM circumstances, women in ASGM make less money for similar tasks; rarely control mining income, and low income sometimes forces women into prostitution. Women, sometimes even during pregnancy, are often involved in

processing and waste disposal, exposing them to harmful chemicals such as mercury, with severe consequences for family well-being and health. Due to lack of law and order in many ASGM areas, women are often more vulnerable to crimes, domestic violence and rape.

In [*Country*] women are estimated to account for [*X*] percent of the ASGM working community, and their ages range from [*X-X*] years old. Some of these roles are [*list roles of women in these ASGM communities (ex. miners, mine-pit owners, retail, personal services and ASGM association decision makers)*]

The project will aim to address gender issues by involving women in the information sharing and dissemination events, in the National Steering Committee, and at the stakeholder level (e.g. by consulting women during the analysis of the ASGM sector and the assessment of health impacts of mercury use). The development of the NAP will include specific strategies to protect women, as an identified vulnerable population, from mercury exposure.

This project may impact [*xx*], an indigenous people, as they are present in the regions where ASGM occurs. [*explain potential impact of project, positive and negative*].

C. Describe the Enabling Activity and Institutional Framework for Project Implementation

Purpose of this section: This section should describe the output expected from each activity. The description of activities and outputs should reflect the overall process to develop (and later review and update) a NAP, including:

- 1) Establishing a coordinating mechanism and organization process;
- 2) Developing a national overview of the ASGM sector, including baseline estimates of mercury use and practices developed as part of the mercury inventory activity, as well as a baseline health assessment for ASGM communities;
- 3) Setting goals, national objectives and mercury reduction targets, including

- elimination of mercury use in ASGM where feasible;
- 4) Formulating an implementation strategy, including identifying necessary budgetary resources and institutional capacity building mechanisms;
 - 5) Developing an evaluation process for the NAP; and
 - 6) Endorsing and submitting the NAP.

How to fill out this section:

- ➔ 1. For each of the outputs listed in section B, list and elaborate in short statements the activities your country will complete in order to achieve those outputs.

Example Language

This project sets out the activities necessary to reduce and where feasible eliminate mercury use in the ASGM sector, through the preparation of a National Action Plan (NAP). Outputs from the project will provide a basic situation evaluation and inventory/characterization of the ASGM sector that will assist in the design of a roadmap of future interventions to meet the obligations of the Convention. The NAP will contribute to a global understanding of mercury use in ASGM and enable [Country] to elevate the issue of ASGM and mercury within the country's environmental agenda. The planned activities per output are listed below:

Output 1.1: Information disseminated and project coordination mechanism established

Activity 1.1.1 Conduct start-up workshop

Activity 1.1.2 Establish project coordination mechanism (e.g. National Steering Committee)

Activity 1.1.3 Develop strategies to involve stakeholders in the implementation and continued development of the NAP

Activity 1.1.4 Develop communication materials taking into account the impacts of mercury on different gender groups

Activity 1.1.5 Organize and conduct information sharing and dissemination events and workshops adapting time and location of the events to different gender groups' needs

Output 1.2: National comprehensive analysis of ASGM sector completed; appropriate measures to reduce mercury emissions and releases from ASGM identified and developed

Activity 1.2.1 Collect and analyze data on the ASGM sector (e.g. quantities of mercury used and practices employed; number of main mining sites and miners; relevant stakeholders including /miners private sector; and level of sector formalization), including field visits and miner consultations

Activity 1.2.2 Define recommended national objectives and reduction targets (including consultations with relevant ministries)

Activity 1.2.3 Define recommended steps to facilitate the formalization or regulation of ASGM sector (including legal research, consultations with Mining authority and miners, other relevant stakeholders)

Activity 1.2.4 Finalize recommended strategies to promote reduction of mercury emissions and releases in ASGM and actions to eliminate worst practices identified in Annex C of the Convention (includes consultations with miners, technical universities, CSOs and others involved in mercury reduction activities)

Output 1.3: Institutional and capacity needs assessment completed; measures to strengthen ASGM mercury management and public health strategy identified and developed

Activity 1.3.1 Consult representatives of various ministries and other stakeholder groups, including a series of stakeholder meetings

Activity 1.3.2 Identify institutional capacity gaps/barriers, based on consultations

Activity 1.3.3 Finalize institutional and capacity needs assessment report on public health and recommend measures to strengthen capacity

Output 1.4: Rapid assessment of the health situation in typical ASGM communities in key/priority ASGM areas to support development of baseline health assessment; drafting of public health strategy initiated

Activity 1.4.1 Review literature review and analyze existing data and health statistics from [*Country*]

Activity 1.4.2 Collect field data and conduct community consultations, then analyze and prepare recommendations

Activity 1.4.3 Initiate the drafting of a public health strategy for the ASGM sector

Output 2.1: NAP drafted, finalized and presented to relevant stakeholders

Activity 2.1.1 Draft NAP according to the national comprehensive analysis report (Output 1.2)

Activity 2.1.2 Conduct stakeholder consultation meetings

Activity 2.1.3 Finalize NAP

Activity 2.1.4 Define NAP implementation schedule (in consultation with relevant agencies responsible for implementation)

Output 3.1 Periodic monitoring and terminal evaluation of project implementation completed

(The activities under this output are explained in detail in the Monitoring and Evaluation section below.)

- ➔ 2. Based on this work-plan, create the logical framework for specific outputs and their associated indicators, verifications and assumptions. See Annex IV for an example. This example is illustrative only and actual requirements may differ by implementing agency.

D. Describe, if possible, the expected cost-effectiveness of the project

Purpose of this section: Keeping in mind the resources that the activities this project consumes, this section should describe how the financial support of the GEF will result in cost-effectiveness of the project.

How to fill out this section:

- ➔ 1. Describe how GEF resources will assist your government in their understanding of operation on mercury in the ASGM sector and increase awareness of risks to human and ecosystem health.

Example Language

GEF resources will assist the government of [*Country*] in their understanding of operations on mercury in the ASGM sector and increase awareness of risks to human and ecosystem health. It will also assist in the broad dissemination of project achievements nationally to promote future projects.

- ➔ 2. Explain how this project will set the stage for subsequent steps needed to implement Minamata requirements in your country.

Example Language

This project will not only help to streamline interventions and related capacity building efforts to follow, it will also ensure that the key stakeholders needed to support the delivery of Minamata commitments related to ASGM are sufficiently aware of and appropriately engaged in the design and delivery of subsequent interventions and activities.

- ➔ 3. Describe experience of the Implementing Agency with this sector; your country's commitment to Minamata Convention; describe any previous experience with executing partner(s) under POPs; and lessons learned and experienced gained by the implementing agency in your country through building projects and pilot projects.

Example Language

Project execution is expected to remain at low risk. Lessons learned and experience gained by [*Implementing Agency*] in [*Country*] through the development of capacity building projects related to [*for example, POPs as well as pilot projects on the ASGM sector*] will be valuable to the implementation of the NAP. The EA will complement the country's efforts to reduce significantly the exposure of harmful chemicals and wastes of global importance to humans and the environment.

- ➔ 4. Explain how your country will ensure cost effectiveness and stay fully in line with your government’s goals. Describe how you will make use of local experts. Describe how this will create an increase in local and national capacity to manage mercury.

Example Language

To ensure cost effectiveness, infrastructure and human resources at each governmental counterpart involved in the project will be efficiently utilized. Most project activities will be carried out by national experts. This will foster an increase in local and national capacity to manage mercury and will contribute to the cost effectiveness of the project through reduced consultancy fees and travel expenses.

E. Describe the Budgeted Monitoring & Evaluation (M & E) Plan

Purpose of this section: The success of the project will rely on several levels of review, quality control and feedback. This section should describe in detail the programmatic and financial monitoring and evaluation processes.

How to fill out this section:

- ➔ 1. Explain how the implementing agency will conduct periodic monitoring and evaluation for this project, the steps they will take to conduct such steps and the timeline.

Example Language

Monitoring and evaluation (M&E) for this project will rely on several levels of review, quality control and feedback. Overall M&E will be conducted by *[Implementing Agency]* through annual supervision visits to *[Country]*. The National Steering Group including the main project stakeholders will meet annually to: (a) review annual work plan, (b) assess progress against M&E targets as indicated in the Project Results Framework, (c) review interim and final reports, and (d) assess any gaps or weakness and make appropriate adaptive management decisions based on progress and achievements. Work plan for year two will be based on the results achieved in the first year, including associated budget allocations, in agreement with the GEF and

[Implementing Agency]'s rules and guidelines (see GEF Project Operating Manual and GEF Council Documents C.39.09 and C.39.03/Inf.3; *insert reference to any relevant IA guidelines*). *[Implementing Agency's Country]* office will assist and participate in monitoring and evaluation visits as needed. The final evaluation, to be conducted by an independent evaluator, will be arranged by *[Implementing Agency]*'s project manager with support from *[Implementing Agency]*'s Evaluation Group. Reports will be submitted within *[X#]* days of project end. The terms of reference for the evaluator will be developed with the support of *[Implementing Agency]*'s project manager under *[Implementing Agency]*'s guidance.

- ➔ 2. Describe the programmatic day to day management. In the case where Executing Partners are involved, indicate who will be responsible for daily M&E of the project, reporting semi-annually to the Implementing Agency.

Example Language

Programmatic M&E: The main executing partner, *[insert name of executing partners]* will be responsible for day-to-day management and execution of the project, reporting semi-annually to *[Implementing Agency.]* Progress of activities and outputs against the targets and desired outcomes will be assessed semi-annually by the executing partners using the means of verification and impact indicators for measurement explained in the Project Results Framework.

- ➔ 3. Explain project costs be accounted for and documented.

Example Language

Financial Monitoring: All project costs will be accounted for and documented. Financial reports will be required from the executing partner according to standard *[Implementing Agency]* accounting procedures. A terminal evaluation will be submitted to the GEF within *[xx]* days of the project end.



4. Create a Monitoring and Evaluation table which breaks down the activity, duration and budget.

Example				
Monitoring and Evaluation table				
M&E activity	Time		Budget [USD]	
			GEF Grant [USD]	Co-financing
Start-up workshop report*	Within 3 months of project start	0	0	
Project review by NSG at the end of year 1*	Month 12	0	0	
Project review by NSG at the end of the project*	Month 24	0	0	
Terminal evaluation	At project closure	\$	\$	
Total M&E cost		\$	\$	

ANNEX I- GEF Proposal Form



REQUEST FOR (select focal area) ENABLING ACTIVITY Proposal for Funding Under the (select Trust Fund)

PART I: PROJECT IDENTIFIERS

Project Title:			
Country(ies):		GEF Project ID: ⁹	
GEF Agency(ies):	(select) (select)	GEF Agency Project ID:	
Other Executing Partner(s):		Submission Date:	(date)
GEF Focal Area (s):	(select)	Project Duration (Months)	
Type of Report:	(select)	Expected Report Submission to Convention	(date)

A. PROJECT FRAMEWORK*

Project Objective:				
Project Component	Project Outcomes	Project Outputs	(in \$)	
			GEF Project Financing	Confirmed Co-financing ¹⁰
Subtotal			0	0

⁹ Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submission.

¹⁰ Co-financing for enabling activity is encouraged but not required.

Project Management Cost ¹¹		
Total Project Cost	0	0

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

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

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
select		select	
Total Co-financing			0

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

GEF Agency	Trust Fund	Country/ Regional/Global	Programming of Funds	(in \$)		
				GEF Project Financing (a)	Agency Fee ^{a)} / (b) ²	Total c=a+b
(select)	(select)		(select as applicable)			0
(select)	(select)					0
(select)	(select)					0
(select)	(select)					0
(select)	(select)					0
Total Grant Resources				0	0	0

PART II: ENABLING ACTIVITY JUSTIFICATION

<p>A. ENABLING ACTIVITY BACKGROUND AND CONTEXT (Provide brief information about projects implemented since a country became party to the convention and results achieved):</p>	
---	--

¹¹ This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or co-financing sources. For EAs within the ceiling, PMC could be up to 10% of the Subtotal GEF Project Financing.

<p>B. ENABLING ACTIVITY GOALS, OBJECTIVES, AND ACTIVITIES (The proposal should briefly justify and describe the project framework. Identify also key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable. Describe also how the gender dimensions are considered in project design and implementation, page 1 of 2) :</p>	
<p>C. DESCRIBE THE ENABLING ACTIVITY AND INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION (discuss the work intended to be undertaken and the output expected from each activity as outlined in Table A).</p>	
<p>D. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT:</p>	
<p>E. DESCRIBE THE BUDGETED M&E PLAN</p>	
<p>F. EXPLAIN THE DEVIATIONS FROM TYPICAL COST RANGES (WHERE APPLICABLE):</p>	

ANNEX II -GEF Implementing Agencies

GEF Agencies are responsible for creating project proposals and for managing GEF projects. The GEF Agencies play a key role in managing GEF projects on the ground; more specifically, GEF Agencies assist eligible governments and NGOs in the development, implementation, and management of GEF projects.

Through collaboration with the Agencies, the GEF project portfolio has quickly grown and diversified serving developing countries and countries with economies in transition. Moreover, such partnership reinforces the individual agency's efforts to mainstream or incorporate global environment concerns into the agency's internal policies, programs and projects.

GEF Agencies are requested to focus their involvement in GEF project activities within their respective comparative advantages.

Since 2012, eight new agencies have joined the partnership through the accreditation of new agencies pilot. These are called "GEF Project Agencies" and have no corporate responsibilities.

GEF Agencies

1. Asian Development Bank (ADB)'s comparative advantage for the GEF includes investment projects at the country and multi-country level in Asia as well as the ability to incorporate capacity building and technical assistance into its projects. The ADB has strong experience in the fields of energy efficiency, renewable energy, adaptation to climate change and natural resources management including water and sustainable land management.
2. African Development Bank (AFDB)'s comparative advantage for the GEF lies in its capacity as a regional development bank. The AFDB is, however, in the initial stages of tackling global environmental issues. Its environmental policy has only recently been approved and is in the process of being integrated into operations. The AFDB will focus on establishing a track record for environmental projects related to the GEF focal areas of Climate Change (adaptation, renewable energy and energy efficiency), Land Degradation (deforestation, desertification) and International Waters (water management and fisheries).
3. European Bank for Reconstruction and Development (EBRD)'s comparative advantage for the GEF lies in its experience and track record in market creation and transformation; and ensuring sustainability through private sector (including small and medium-sized enterprises) and municipal environmental infrastructure projects at the country and regional level in the

countries of eastern and central Europe and central Asia, particularly in the fields of energy efficiency, mainstreaming of biodiversity and water management.

4. **Food and Agriculture Organization of the United Nations (FAO)'s** comparative advantage for the GEF is its technical capacity and experience in fisheries, forestry, agriculture, and natural resources management. The FAO has strong experience in sustainable use of agricultural biodiversity, bioenergy, biosafety, sustainable development in production landscapes, and integrated pest and pesticides management.
5. **Inter-American Development Bank (IADB)'s** comparative advantage for the GEF includes investment projects at the country and regional level in Latin America and the Caribbean. IDB finances operations related to the following GEF focal areas: Biodiversity (protected areas, marine resources, forestry biotechnology), Climate Change (including biofuels), International Waters (watershed management), Land Degradation (erosion control), and POPs (pest management).
6. **International Fund for Agricultural Development (IFAD)'s** comparative advantage for the GEF lies in its work related to land degradation, rural sustainable development, integrated land management, and its role in the implementation of the UN Convention to Combat Desertification. IFAD has been working intensively in marginal lands, degraded ecosystems and in post-conflict situations.
7. **United Nations Development Programme (UNDP)'s** comparative advantage for the GEF lies in its global network of country offices, its experience in integrated policy development, human resources development, institutional strengthening, and non-governmental and community participation. UNDP assists countries in promoting, designing and implementing activities consistent with both the GEF mandate and national sustainable development plans. UNDP also has extensive inter-country programming experience.
8. **United Nations Environment Programme (UNEP)'s** comparative advantage for the GEF is related to its being the only United Nations organization with a mandate derived from the General Assembly to coordinate the work of the United Nations in the area of environment for which the core business is the field of environment. UNEP's comparative strength is in providing the GEF with a range of relevant experiences, proof of concept, testing of ideas, and the best available science and knowledge upon which it can base its investments. It serves as the Interim Secretariat for the Minamata Convention on Mercury, for which the GEF will serve as the financial mechanism. UNEP's comparative advantage also includes its ability to serve as a broker in multi-stakeholder consultations.
9. **United Nations Industrial Development Organization (UNIDO)'s** comparative advantage for the GEF is that it can involve the industrial sector in GEF projects in the following areas: industrial energy efficiency, renewable energy services, water management, chemicals

management (including POP and ODS), and biotechnology. UNIDO also has extensive knowledge of small and medium enterprises (SME's) in developing and transition economy countries. UNIDO has been one of the implementing agencies for previous GEF projects related to ASGM.

10. **The World Bank's** comparative advantage for the GEF is as a leading international financial institution at the global scale in a number of sectors, similar to the comparative advantage of the regional development banks. The World Bank has strong experience in investment lending focusing on institution building, infrastructure development and policy reform across all the focal areas of the GEF.

GEF Project Agencies

1. **Conservation International (CI)** CI works globally with governments and engages with all sectors of society to achieve the ultimate goal of improved human well-being, particularly focusing on the essential services that nature provides. As a GEF Project Agency, they leverage their science, experience in innovative finance and community-based solutions as well as their network of corporate, multilateral, civil society, national and local government partnerships to implement effective and innovative programs in the focal areas of Biodiversity, Climate Change Adaptation and Mitigation, Land Degradation and International Waters.
2. **Development Bank of Latin America (CAF)** promotes a sustainable development model through credit operations, non-reimbursable resources, and support in the technical and financial structuring of projects in the public and private sectors of Latin America. They provide sustainable development and regional integration through an efficient mobilization of resources for a timely provision of multiple financial services, with high value added, to clients in the public and private sectors of the shareholder countries.
3. **Development Bank of Southern Africa (DBSA)** provides sustainable infrastructure project preparation, finance and implementation support in selected African markets to improve the quality of life of people, accelerating the sustainable reduction of poverty and inequity and promoting broad-based economic growth and regional economic integration. The primary sectors of focus to the DBSA are water, energy, ICT and transport. The DBSA offers secondary services at the local level, in the health, education and housing sectors.
4. **Foreign Economic Cooperation Office, Ministry of Environmental Protection of China (FECO)** was founded in 1989 and is mandated to coordinate and manage project funds in cooperation with international financial organizations for the implementation of multilateral environmental agreements (MEAs) and bilateral assistance, as well as other foreign

cooperation activities in the field of environmental protection. FECO has the mission to protect the environment by introducing and exporting advanced concepts, knowledge, technologies and funds.

5. **Fundo Brasileiro para a Biodiversidade (FUNBIO)** promotes the implementation of the Convention on Biological Diversity, with the mission of providing strategic resources for biodiversity conservation. As a pioneer financial mechanism in Brazil, it creates solutions to the sustainability of conservation and climate change initiatives. FUNBIO has extensive experience in supporting Protected Areas and in the design and management of funds, programs, networks and environmental projects, in partnership with both public and private sectors and civil society.
6. **International Union for Conservation of Nature (IUCN)** centers its work, at the global and local levels, on the conservation of biodiversity as a means to addressing some of the world's greatest challenges such as climate change, sustainable development and food security.
7. **West African Development Bank (BOAD)** promotes the balanced development of its member states and contributes to the achievement of economic integration in West Africa. They have funded public development projects in infrastructure to support production, rural development and food security, as well as operations including projects promoted by the private sector, public enterprises and financial institutions. The areas of intervention of the Bank are rural development, food security and environment, industry and agro-industry, infrastructure, transport, hospitality, finance and other services.
8. **World Wildlife Fund (WWF-US)** As a leading international conservation organization, WWF has significant expertise in financing action for environmental management. WWF has strong, active relationships with national and local governments, as well as deep roots in the civil society.

ANNEX III – Key Stakeholders in NAP Development

Table 1-1: Entities to be considered as members of or to interact with the NAP Working Group

Ministries/Entities	Responsibilities / Areas of Expertise
Environment	<ul style="list-style-type: none"> • Environmental laws, issues, and regulations • Environmental impacts • Promoting alternatives to mercury in ASGM
Mining	<ul style="list-style-type: none"> • Statistics and data on ASGM • Mining sector laws and regulations (including formalization of ASGM) • Geological surveys
Finance	<ul style="list-style-type: none"> • Economic importance of ASGM • Formalization of ASGM sector, including regulation of gold purchases from ASGM miners • Market-based mechanisms for reducing mercury use • Funding for NAP process
Public Health	<ul style="list-style-type: none"> • Rapid assessment of health status in ASGM areas • Public health strategies related to ASGM
Education	<ul style="list-style-type: none"> • Strategies for community outreach and stakeholder involvement
Trade and Commerce	<ul style="list-style-type: none"> • Mercury trade • Formalization • Market-based mechanisms for reducing mercury use
Labor	<ul style="list-style-type: none"> • Formalization of ASGM sector • Labor standards, regulations and enforcement, including strategies to eliminate child labor • Occupational health and safety
Law Enforcement	<ul style="list-style-type: none"> • Drafting enforcement protocols and regulations for implementation, including customs

Planning authorities on national and rural development	<ul style="list-style-type: none"> • Outreach to local governments • Sustainable development coordination plan and implementation
Miners associations, unions, organizations, and representatives	<ul style="list-style-type: none"> • Miner’s view of current practices and political, economic, legal and social barriers to change • Formalization of ASGM sector • Assistance in education and outreach to miners and mining communities • Provide insight into legal and illegal mercury trade, gold market dynamics, and barriers to formalization

Table 1-2: Stakeholders to be considered as members of the advisory group, in accordance with national circumstances

ASGM Stakeholder Groups	Contribution to Development of NAP
Gold processors	<ul style="list-style-type: none"> • Have a significant role in mercury exposure/reduction strategies and technological interventions, etc.
Community leaders and local government from ASGM areas	<ul style="list-style-type: none"> • Assist with development and implementation of plan within ASGM communities
Indigenous groups and Ministries/Agencies managing indigenous issues	<ul style="list-style-type: none"> • Represent indigenous interests from ASGM operations in indigenous people’s territories
Technical experts in gold mining	<ul style="list-style-type: none"> • Provides understanding of technical alternatives to mercury use • Provide training opportunities
Technical experts in mining safety	<ul style="list-style-type: none"> • Provide expertise in mine safety, soil stabilization, sediment erosion control and trenching and shoring safety
Environmental and human health organizations	<ul style="list-style-type: none"> • Represent public interests in reducing environmental impacts of ASGM and the risks of exposure to the public

<p>Human rights group in the form of the Human Rights Commission or a human rights advocacy group</p>	<ul style="list-style-type: none"> • Monitor actions from the perspective of human rights issues with regard to health, women and children rights, etc.
<p>Academic and research organizations</p>	<ul style="list-style-type: none"> • Provide valuable information and conduct future research • Provide training opportunities from ASGM specialists • Research and development of mercury-free methods
<p>Legal professionals</p>	<ul style="list-style-type: none"> • Understand national legislation as it relates to ASGM including relevant regulation on mercury use and trade regulation
<p>Representatives from large scale mining</p>	<ul style="list-style-type: none"> • Contribute to finding innovative solutions and provide insights on mining regulatory issues; potential partner with small scale miners on technical improvements to mining practice
<p>Other relevant land holders</p>	<ul style="list-style-type: none"> • Represent interest in land conflicts and in reclaiming impacted lands; risk of mercury exposure
<p>Police and Customs officials</p>	<ul style="list-style-type: none"> • Understand role of enforcement
<p>Gold buying agents, gold traders, mercury traders</p>	<ul style="list-style-type: none"> • Provide insight into market dynamics, and barriers to formalization • Important focal point for community health and emissions
<p>Waste management specialists</p>	<ul style="list-style-type: none"> • Provide insight into available mechanisms to handle mercury wastes generated by ASGM and how to clean/restore contaminated sites
<p>Private sector partner (e.g., large-scale mining company or equipment provider)</p>	<ul style="list-style-type: none"> • Provide technical capacity • Provide opportunity for potential public/private partnership

Financial/banking sector	<ul style="list-style-type: none"> • May provide Small and commercial-sized loans to miners to assist with financing transition towards better practices
Donor organizations	<ul style="list-style-type: none"> • May provide assistance with health, safety, environmental, business development or other aspects.
Media and communication groups	<ul style="list-style-type: none"> • Can bring in effective communication strategies and approaches at advisory level
Women's interest groups	<ul style="list-style-type: none"> • Provide expertise on issues unique to women miners • Provides perspectives on specific impact of mercury on women and children
Children's social welfare agencies	<ul style="list-style-type: none"> • Deliver social services to children

ANNEX IV-Example Logical Frame Work

Results*	Indicators	Means of verification	Assumptions & Risks	Stakeholder
Objective/Impact: National capacity for evaluating ASGM mercury use and impacts strengthened, and mercury reduction targets and mechanism for reductions identified, through the development of a National Action Plan for the Artisanal and Small-scale Gold Mining (ASGM) Sector				
<i>Outcome 1. Participatory stakeholders are identified; capacity to evaluate and prioritize ASGM mercury use and impacts strengthened; mechanisms to strengthen future mercury management in ASGM sector identified; plans for reducing mercury use and exposure elaborated</i>	<ul style="list-style-type: none"> -Number of stakeholders and diversity of stakeholder interests agreeing to participate in NAP development - Stakeholder engagement and participation in NAP development, including inventory development and assessments, and development of measures - At least <i>X</i> national experts (gender balanced) from private and public institutions contribute to NAP development on management of mercury in the ASGM sector 	<ul style="list-style-type: none"> - Terminal evaluation -Workshop reports -Minutes of meetings among stakeholders 	<ul style="list-style-type: none"> - National counterparts and relevant stakeholders remain engaged and cooperative -Funds are made available by GEF 	GEF Implementing Agency; Scientific and Environmental Authorities; Experts on the Minamata Convention
Output 1.1: Project coordination mechanism established and information disseminated	<ul style="list-style-type: none"> - Project coordination mechanism established (National Steering Group and Project Management Unit) - Frequency of National Steering Committee meetings (<i>X</i> times/year) - Number of participatory 	<ul style="list-style-type: none"> - National Steering Group meeting minutes - Terms of reference for the project coordination mechanism (i.e. function, budget, expertise) - Project progress report - 	<ul style="list-style-type: none"> - The ministries will promote all the National Steering Group activities - The National Steering Group will constitute members from relevant entities - Sufficient resources are allocated to 	

	workshops/ information sharing events (i.e. study tours, lectures, educational workshops, media brief) conducted - Percentage of women and men participants at workshops/ consultations and National Steering Group - At least X gender- related association/ministry invited to workshops/ consultations - Number of visitors to the Minamata Convention Website/NAP Mercury in ASGM	Training/events/workshop reports - List of workshops' invitees and participants - Information/knowledge materials - Minamata Convention Website/NAP users (number of visitors)	maintain the project coordination mechanism - The project has political and civil support	
Output 1.2: National comprehensive analysis of ASGM sector completed; used as basis for development of measures to reduce mercury emissions and releases from ASGM	- Baseline established on (1) the number of ASGM sites with estimated number of men women and children affected by mercury and (2) quantities of mercury used in ASGM and processing within the country - Number of men and women consulted during collection of data for the completion of the national comprehensive analysis - List of relevant local stakeholders, including gender-	- National comprehensive analysis document, including inventory on mercury use in the ASGM sector - Document containing national objectives and reduction targets to be developed from MDAs in charge of Mercury use in ASGM activities - Copies of documents that include measures and strategies to promote reduction of mercury emissions and releases developed	- Information on mercury use in ASGM is available - Private sector and civil society will contribute to the inventory exercise	

	related association	as part of the NAP - Project progress reports -Availability of national comprehensive analysis data		
Output 1.3: Institutional and capacity needs assessment completed; used as basis for development of measures to strengthen ASGM mercury management and public health strategy	- Institutional capacity gaps and barriers identified - Roles of various sectors and organizations identified - Availability of the institutional and capacity needs assessment report with a special focus on vulnerable populations, such as women workers, pregnant women, and children - Number and types of local institutions engaged as a potential partner in monitoring and evaluating the effectiveness of measures taken to address health impacts of ASGM	- Institutional and capacity needs assessment report - Project progress report	- Information and key informants will be readily accessible - High level interests and engagement from representatives of key Ministries Departments and Agencies as well as other stakeholder groups	
Output 1.4: <i>Rapid assessment of the health situation in typical ASGM communities in key/priority ASGM areas to support development of baseline health assessment;</i>	- Representative communities selected - Process refined in to inform future conduct of health investigations - Number of men and women/ communities/facilities reached through representative rapid assessments - Number of health	- Baseline health assessment based on rapid assessment report with recommendations - Draft initial public health strategy - Awareness raising workshop report - List of workshops' invitees and participants -	- Health care information will be easily accessible and health care providers, and ASGM miners and family members are willing to participate in the assessment - The training of health care providers and	

<i>drafting of public health strategy initiated</i>	<p>care providers consulted in ASGM affected locations; both quantitative and qualitative data on health systems capacity gaps/issues generated</p> <ul style="list-style-type: none"> - Availability of the rapid assessment report with a special focus on vulnerable populations, such as women workers, pregnant women, and children - Number of awareness raising workshops conducted - Percentage of women and men participants at workshops/trainings/consultations - At least 1 gender-related association/ministry invited to workshops/trainings/consultations 	<p>Information/knowledge materials</p>	<p>establishment of a related monitoring and reporting framework to complete the development of a public health strategy in the ASGM sector will not be included as part of this project</p> <ul style="list-style-type: none"> - Available resources and time constraints 	
<p>Outcome 2: NAP drafted and finalized; endorsement from relevant stakeholders obtained</p>	<ul style="list-style-type: none"> - Approval of the NAP by the government - Submission of the NAP to the Minamata Convention secretariat 	<ul style="list-style-type: none"> - Official government record - Website of the Minamata Convention 		<p>GEF Implementing Agency; Experts responsible for identifying timeline and activities; Agencies responsible for future implementation of the NAP</p>
<p>Output 2.1: NAP drafted,</p>	<ul style="list-style-type: none"> - NAP finalized - Number of 	<ul style="list-style-type: none"> - NAP document - NAP 	<ul style="list-style-type: none"> - Relevant stakeholders remain 	

finalized and presented to relevant stakeholders	endorsements received	implementation schedule/activities - Consultation and approval meeting minutes - Progress and monitoring reports	interested and engaged in the project	
--	-----------------------	--	---------------------------------------	--

* Note: Outcome 3 of the EA project (Monitoring and evaluation) presented under section A is not reported in the logical framework.

ANNEX V-Example Budget Table

ILLUSTRATIVE GEF GRANT and CO-FINANCING TABLE by OUTPUT AND ACTIVITY

[Country x] NAP

Hierarchy of Objectives	GEF Grant					Co-financing			Total
	IA	EP1	EP2	Ministry	Subtotal	IA	EP1	Subtotal	
NATIONAL CAPACITY									
Outcome 1: Participatory stakeholders are identified; capacity to evaluate ASGM mercury use and impacts strengthened; mechanisms to strengthen future mercury management in ASGM sector identified; roadmap for reducing mercury use and exposure elaborated	30,000	140,000	120,000	60,000	350,000	10,000	25,000	35,000	385,000
Output 1.1. Project coordination mechanism established and information disseminated	10,000			60,000	70,000				70,000
Activity 1.1.1 Start-up workshop	10,000			10,000					
Activity 1.1.2 Establish project coordination mechanism				5,000					
Activity 1.1.3 Develop strategies to involve stakeholders				5,000					
Activity 1.1.4 Develop communications materials				10,000					
Activity 1.1.5 Information sharing and dissemination events				30,000					
Output 1.2. National comprehensive analysis of ASGM sector completed; appropriate measures to reduce mercury emissions and releases from ASGM identified and developed	20,000		120,000		140,000	10,000	25,000	35,000	175,000
Activity 1.2.1 Collect and analyze data on ASGM sector (includes field visits and miner consultations in at least x key mining areas)	10,000		80,000						
Activity 1.2.2 Define recommended national objectives and set targets (includes consultations with relevant ministries)	5,000		15,000						
Activity 1.2.3 Define recommended steps to facilitate formalization or regulation (includes research on legal status of ASGM, consultation with Mining authority and miners, other relevant stakeholders)	5,000		15,000						
Activity 1.2.4 Finalize recommended strategies to promote reduction of mercury emissions and releases and actions to eliminate worst practices identified in Annex C of the Convention (includes consultations with miners and local technical universities, CSOs and others involved in mercury reduction activities)			10,000						

Output 1.3. Institutional and capacity needs assessment completed; appropriate measures to strengthen ASGM mercury management capacity and support public health strategy identified and developed		60,000			60,000				60,000
Activity 1.3.1 Consult representatives of various ministries and other stakeholder groups, including a series of stakeholder meetings		40,000							
Activity 1.3.2 Identify institutional gaps/barriers, based on consultations		10,000							
Activity 1.3.3 Finalize institutional and capacity needs assessment report for public health; recommend measures to strengthen capacity		10,000							
Output 1.4. Rapid assessment of the health situation in typical ASGM communities in key/priority ASGM areas to support development of baseline health assessment; drafting of public health strategy initiated		80,000			80,000				80,000
Activity 1.4.1 Literature survey and analysis of existing data and health statistics		10,000							
Activity 1.4.2 Collect field data and conduct community consultation, then analyze and prepare recommendations		60,000							
Activity 1.4.3 Initiate drafting of public health strategy		10,000							
Outcome 2: NAP drafted and finalized; endorsement from relevant stakeholders obtained				80,000	80,000				80,000
Output 2.1 NAP drafted, finalized and presented to relevant stakeholders				80,000	80,000				80,000
Activity 2.1.1 Draft NAP according to national comprehensive analysis report				20,000					
Activity 2.1.2 Conduct stakeholder consultations				40,000					
Activity 2.1.3 Finalize NAP				10,000					
Activity 2.1.4 Define NAP implementation schedule (in consultation with relevant agencies responsible for implementation)				10,000					
Outcome 3. Project achieves objectives on time through effective monitoring	25,000				25,000	9,000		9,000	34,000
Output 3.1. Periodic monitoring and terminal evaluation of project implementation completed	25,000				25,000	9,000		9,000	34,000
PROJECT MANAGEMENT COSTS									
Project management costs	5,440	14,835	11,868	12,857	45,000	12,000		12,000	57,000
TOTAL PROJECT COSTS	60,440	154,835	131,868	152,857	500,000	31,000	25,000	56,000	556,000