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**Conference of the Parties to the  
Minamata Convention on Mercury  
Third meeting**

Geneva, 25–29 November 2019

Item 5 (e) (iii) of the provisional agenda\*

**Matters for consideration or action by the  
Conference of the Parties: financial mechanism:  
review of the financial mechanism**

**First review of the financial mechanism**

**Note by the secretariat**

1. In paragraph 5 of article 13, on financial resources and mechanism, the Minamata Convention on Mercury defines a mechanism for the provision of adequate, predictable and timely financial resources to support developing-country parties and parties with economies in transition in implementing their obligations under the Convention. Paragraph 6 of the same article states that the mechanism is to include the Global Environment Facility Trust Fund and a specific international programme to support capacity-building and technical assistance.
2. Paragraph 11 of article 13 of the Convention stipulates that the Conference of the Parties is to review, no later than at its third meeting, and thereafter on a regular basis:
  - (a) The level of funding;
  - (b) The guidance provided by the Conference of the Parties to the entities entrusted with operationalizing the mechanism;
  - (c) The effectiveness of those entities;
  - (d) The ability of those entities to address the changing needs of developing country parties and parties with economies in transition.
3. The same paragraph also states that, based on that review, the Conference of the Parties is to take appropriate action to improve the effectiveness of the financial mechanism.
4. At its second meeting, the Conference of the Parties requested the secretariat to compile the information to be provided by the Global Environment Facility (GEF), the Specific International Programme to Support Capacity-Building and Technical Assistance, parties and other relevant sources, identified in paragraph 11 of article 13 as being necessary for the review of the financial mechanism, and to present a synthesis of the information received for consideration by the Conference of the Parties at its third meeting (UNEP/MC/COP.2/19, para. 120).
5. Following the second meeting, the Executive Secretary requested the GEF secretariat and the Governing Board of the Specific International Programme to provide the requisite information. The Executive Secretary also communicated the request for information to parties and other stakeholders in

\* UNEP/MC/COP.3/1.

a letter dated 3 December 2018, inviting them to submit such information to the secretariat by 30 May 2019.

6. The information received by the secretariat is set out in the annexes to the present note for consideration by the Conference of Parties at its third meeting. Annex I sets out the information received from the GEF secretariat in accordance with article 13, while annex II sets out the information received from the Governing Board of the Specific International Programme in accordance with article 13. The annexes are reproduced without formal editing. No submissions were received from parties or stakeholders.

## **I. Global Environment Facility support to the Minamata Convention**

7. Paragraph 7 of article 13 states that the Global Environment Facility Trust Fund is to provide new, predictable, adequate and timely financial resources to meet costs in support of implementation of the Convention as agreed by the Conference of the Parties. It also states that for the purposes of the Convention, the GEF Trust Fund shall be operated under the guidance of and be accountable to the Conference of the Parties. The Conference of the Parties is to provide guidance on overall strategies, policies, programme priorities and eligibility for access to and utilization of financial resources. In addition, the Conference of the Parties is to provide guidance on an indicative list of categories of activities that could receive support from the Trust Fund. Furthermore, the GEF Trust Fund is to provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities.

8. Paragraph 8 of the same article states that in providing resources for an activity, the GEF Trust Fund is to take into account the potential mercury reductions of a proposed activity relative to its costs.

9. The Instrument for the Establishment of the Restructured Global Environment Facility (GEF Instrument) was amended at the Fifth GEF Assembly, held in Cancun, Mexico, in May 2014, to include the Minamata Convention in the list of conventions served by GEF.

10. GEF has provided programming support for mercury management since the fifth replenishment of GEF (GEF-5) when the GEF Council at its forty-fourth meeting, in June 2013, allocated \$10 million for enabling activities under the Minamata Convention. That amount increased to \$141 million in the sixth replenishment (GEF-6), and further to \$206 million in the seventh replenishment (GEF-7). As at May 2019, GEF has provided support to enable a total of 111 countries to develop their Minamata initial assessments (MIAs) and 35 countries to prepare their artisanal and small-scale gold mining (ASGM) national action plans (NAP). Of the 111 countries for whom MIAs have been funded, 17 countries are neither signatories nor parties to the Minamata Convention, 33 are signatories but not parties, and 61 are parties to the Convention. A total of 18 countries will need to ratify the Convention to be eligible to receive funding for MIAs (GEF/A.6/05/Rev.01).

11. In its decision MC-1/5, the Conference of the Parties adopted its guidance to GEF on the overall strategies, policies, programme priorities and eligibility for access to and utilization of financial resources and on an indicative list of categories of activities that could receive support from the GEF Trust Fund.

12. At its second meeting, in November 2018, the Conference of the Parties adopted the memorandum of understanding between the Conference of the Parties and the GEF Council (UNEP/MC/COP.2/19, para. 83).

13. Following the conclusion of the second meeting of the Conference of Parties, the memorandum of understanding, as adopted, was communicated to the GEF Council, which considered and approved the memorandum at its fifty-sixth meeting as adopted by the Conference of the Parties.<sup>1</sup>

14. The memorandum of understanding between the Conference of the Parties and the GEF Council is now in effect.

15. Updates on GEF have been provided to the Conference of the Parties at its first, second and third meetings (UNEP/MC/COP.1/INF/3, UNEP/MC/COP.2/INF/3, UNEP/MC/COP.3/INF/2). Information on the effectiveness of the funding allocated by GEF and the ability of GEF to address the changing needs of developing country parties and parties with economies in transition is set out in the reports of the GEF Independent Evaluation Office.<sup>2</sup>

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<sup>1</sup> Joint summary of the chairs of the fifty-sixth GEF Council meeting, decision on agenda item 15. Available at: <https://www.gefio.org/sites/default/files/ieo/council-documents/files/c-56-joint-summary-chairs.pdf>.

<sup>2</sup> <http://www.gefio.org/>.

## II. Specific International Programme support to the Minamata Convention

16. Paragraph 9 of article 13 states that the Specific International Programme will be operated under the guidance of and be accountable to the Conference of the Parties. At its first meeting, in its decision MC-1/6, the Conference of the Parties decided that the Programme was to be open to receive contributions and applications for support for a period of ten years from the establishment of its trust fund, and that the Conference of the Parties could decide to extend that period for a period not exceeding an additional seven years, taking into account the review process described in paragraph 11 of article 13 and in paragraphs 2 and 3 of the present note. Accordingly, following the establishment of the Specific Trust Fund by UNEP in January 2018 in accordance with decision MC-1/10, the Programme is operational for a period of 10 years initially, until 2028.

17. While GEF has provided funding relevant to mercury for the past six years, since 2013, the Specific International Programme has only been operational for a period of 18 months. The Specific Trust Fund has been open to receive contributions since January 2018. The Governing Board was constituted in early 2018 and the first round of applications to the Specific International Programme was open from 5 June to 31 August 2018. Following the first round of applications, the Governing Board approved five projects for funding in October 2018.<sup>3</sup> The second round of applications to the Programme was open from 5 March to 14 June 2019. At its fourth meeting, held in September 2019, the Governing Board approved projects from the second round against funding received prior to the meeting. The outcome of the fourth meeting of the Governing Board is presented as annex III to document UNEP/MC/COP.3/10/Add.1.

18. The implementation of four of the first five projects approved in the first round of applications began in the second quarter of 2019 following the conclusion of the requisite legal agreements. With only 18 months' experience, the Governing Board deemed that it was too early to assess the effectiveness of the Programme and its ability to address the changing needs of developing country parties and parties with economies in transition.

19. In terms of the level of funding of the Specific International Programme, the contributors to the Programme to date are Austria, Denmark, Germany, the Netherlands, Norway, Sweden, Switzerland, the United Kingdom of Great Britain and Northern Ireland and the United States of America. A total of \$1,281,448 was received for the first round of applications (2018) and \$2,414,413 – or almost double the amount pledged and contributed for the first round – for the second round of applications (2019). The increase in contributions is a clear indication of high donor confidence in the Programme.

20. Despite the significant increase in funding, however, the amount made available for the second round represents only half the amount that would be necessary to fund all the applications received for consideration in the second round, namely \$4,284,393.

21. In part B of annex I to decision MC-1/6, the Conference of the Parties provided guidance on the scope, eligibility, operations and resources of the Specific International Programme, while annex II sets out the terms of reference of the Programme. Both the guidance and the terms of reference were incorporated in the rules of procedure adopted by the Governing Board at its first meeting, held in Geneva in May 2018, together with the criteria for appraisal for the first round, and the framework for decision-making on applications for the second round, as agreed at its third meeting in February 2019.

22. Reports on the Specific International Programme were presented to the Conference of the Parties for consideration at its second and third meetings (UNEP/MC/COP.2/9; UNEP/MC/COP.3/10). In addition, the reports of the first, second and third meetings of the Governing Board (UNEP/MC/SIP.GB.1/6; UNEP/MC/SIP.GB.3/2; UNEP/MC/COP.3/10/Add.1, annex I) are available on the website of the Minamata Convention.<sup>4</sup>

### Suggested action by the Conference of the Parties

23. In the light of the requirement of the Convention that the Conference of the Parties review the financial mechanism established under article 13 no later than at its third meeting, the Conference of

<sup>3</sup> Regional breakdown: Africa: Benin and Lesotho; Asia-Pacific: Islamic Republic of Iran; Central and Eastern Europe: Armenia; Latin America and the Caribbean: Argentina.

<sup>4</sup> <http://www.mercuryconvention.org/Implementation/SpecificInternationalProgramme/tabid/6334/language/en-US/Default.aspx>.

the Parties may wish to consider the information contained in the present note in its first review and adopt a decision as suggested below.

### **Decision MC-3/[--]**

*The Conference of the Parties,*

*Considering* paragraph 11 of article 13 on the review of the financial mechanism,

1. *Welcomes* the report on the first review of the financial mechanism, on the basis of which the Conference of the Parties has undertaken the review in accordance with article 13, paragraph 11;
2. *Requests* the secretariat to prepare draft terms of reference for the second review for consideration at the fourth meeting of the Conference of the Parties.

## **Annex I**

**Information provided by the Global Environment Facility in  
accordance with article 13 of the Minamata Convention on Mercury**



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May 28, 2019

**INFORMATION PROVIDED BY THE GLOBAL ENVIRONMENT FACILITY IN  
ACCORDANCE WITH ARTICLE 13 OF THE MINAMATA CONVENTION ON  
MERCURY**

## Table of Contents

Table of Contents .....	6
Introduction: .....	7
Compilation of GEF Council response to guidance received from the Minamata Convention on Mercury: .....	8
Initial Guidance to the GEF received at COP 1 .....	8
Guidance received at INC 6 .....	13
Resolutions Adopted by Conference of Plenipotentiaries on Minamata Convention on Mercury and GEF's Response .....	14
Resources Programmed for the Minamata Convention July 2010 – May 2019 .....	16

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**Introduction:**

1. Article 13 paragraph 5 of the Minamata Convention on Mercury defines a Mechanism for the provision of adequate, predictable, and timely financial resources to support developing country Parties and Parties with economies in transition in implementing their obligations under the Convention.
2. Article 13 paragraph 6 includes the Global Environment Facility Trust Fund and a specific international Programme to support capacity-building and technical assistance in the Mechanism
3. Article 13, paragraph 11 of the Minamata Convention on Mercury requires that:

“The Conference of the Parties shall review, no later than at its third meeting, and thereafter on a regular basis, the level of funding, the guidance provided by the Conference of the Parties to the entities entrusted to operationalize the Mechanism established under this Article and their effectiveness, and their ability to address the changing needs of developing country Parties and Parties with economies in transition. It shall, based on such review, take appropriate action to improve the effectiveness of the Mechanism.”
4. This document contains information on the level of funding provided by the GEF to support developing country Parties and Parties with economies in transition in implementing their obligations under the Convention and the response to guidance provided by the Conference of the Parties (COP) and the Intergovernmental Negotiating Committee (INC) as well as the Conference of Plenipotentiaries on Minamata Convention on Mercury.

Compilation of GEF Council response to guidance received from the Minamata Convention on Mercury:

**Initial Guidance to the GEF received at COP 1<sup>1</sup>**

	<p>To be eligible for funding from GEF as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury, a country must be a Party to the Convention and must be a developing country or a country with an economy in transition.</p>	<p>The GEF's eligibility policy for mercury incorporates the criteria for funding enabling activities. The guidelines for these enabling activities are found in the information document of the 45<sup>th</sup> meeting of the GEF Council, revised in January 2014.<sup>2</sup></p> <p>During GEF-6, prior to the Conference of the Parties, both signatory countries and parties were eligible for receiving funding from the GEF. In GEF-7, only Parties are eligible to access GEF resources.</p>
	<p>Activities that are eligible for funding from the GEF trust fund are those that seek to meet the objectives of the Convention and are consistent with the present guidance.</p>	<p>According to the GEF Instrument paragraph 6 (e) the GEF shall: Operate as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury, pursuant to its Article 13, paragraphs 5, 6 and 8. In such respects, the GEF shall operate under the guidance of, and be accountable to the Conference of the Parties, which shall provide guidance on overall strategies, policies, program priorities and eligibility for access to and utilization of financial resources. In addition, the GEF shall receive guidance from the Conference of the Parties on an indicative list of categories of activities that could receive support; and shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities, pursuant to Article 13, paragraph 7, of the Minamata Convention on Mercury.</p>
	<p>Signatories to the Convention are eligible for funding from GEF for enabling activities, provided that any such signatory 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.</p>	<p>Up to June 30, 2018, the GEF supported a total of 110 countries through GEF-5 and GEF-6 to implement Minamata Initial Assessments (MIA) and 32 countries to conduct their artisanal and small-scale gold mining (ASGM) National Action Plans (NAP). 78 out of 89 Signatories received funding for these enabling activities. Of the remaining eleven countries, six have become Parties to date. Twenty-three countries that were non-signatory and non-party have</p>

<sup>1</sup> UNEP/MC/COP.2/INF/3 - Report of the Global Environment Facility to the Conference of the Parties to the Minamata Convention on Mercury at its second meeting

<sup>2</sup> GEF, 2014, Initial Guidelines for Enabling Activities for the Minamata Convention on Mercury, Council Document, GEF/C.45/Inf.05/Rev.01.

		<p>accessed enabling activity resources through the varying of the eligibility criteria by the GEF Council through a decision by mail on January 14, 2015 at the request of the sixth session of the intergovernmental committee on mercury (INC6) to allow non-signatory, non-Party States to access resources for enabling activities from the GEF. This variation of the eligibility for non-signatories, non-parties is no longer applicable as the COP 1 guidance only applies to signatories and Parties with respect to access of funding of enabling activities.<sup>3</sup></p>
	<p>In accordance with Article 13, paragraph 7, of the Convention, the GEF trust fund shall provide new, predictable, adequate and timely financial resources to meet costs in support of implementation of the Convention as agreed by the Conference of the Parties, including costs arising from activities that:</p> <ul style="list-style-type: none"> <li>(a) Are country-driven;</li> <li>(b) Are in conformity with programme priorities as reflected in relevant guidance provided by the Conference of the Parties;</li> <li>(c) Build capacity and promote the utilization of local and regional expertise, if applicable;</li> <li>(d) Promote synergies with other focal areas;</li> <li>(e) Continue to enhance synergies and co-benefits within the chemicals and wastes focal area;</li> <li>(f) Promote multiple-source funding approaches, mechanisms and arrangements, including from the private sector, if applicable; and</li> <li>(g) Promote sustainable national socioeconomic development, poverty reduction and activities consistent with existing national sound environmental management programmes geared towards the protection of human health and the environment.</li> </ul>	<p>This guidance has been used to inform the programming in GEF-6 and has been addressed in the GEF-7 replenishment negotiations, which concluded in April 2018. The new strategy is included in the summary of negotiations of the seventh replenishment of the GEF trust fund.<sup>4</sup></p>
	<p>In accordance with article 13, paragraph 7, of the Convention, the GEF trust fund shall provide</p>	<p>This is reflected in the strategies of the GEF.</p>

<sup>3</sup> Up to May 15, 2019, the GEF supported a total of 111 countries through GEF-5 to GEF-7 to implement Minamata Initial Assessments (MIA) and 34 countries to conduct their artisanal and small-scale gold mining (ASGM) National Action Plans (NAP). Of the 111 MIAs funded to date, 17 countries are non-signatory and non-party, 33 are signatory but non-party, 45 are signatory and party and 16 are non-signatory but party. Of the 34 ASGM NAPS funded, 18 are for signatory that are party, 9 are signatory but non-party, 4 are non-signatory but party and 3 are neither signatory or party. There are 18 countries that will have to ratify the Convention to be eligible to receive funding for MIAs.

<sup>4</sup> GEF, 2018, Report On The Seventh Replenishment Of The GEF Trust Fund, Council Document GEF/A.6/05/Rev.01.

	resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities.	In GEF-6, \$141 million was allocated for the implementation of the Minamata Convention. The GEF has programmed resources to meet the full cost of the MIAs and the ASGM NAPs. The GEF has programmed resources for several projects that are aimed at early implementation, particularly in the ASGM sector. In GEF-7, \$206 million is notionally allocated for the implementation of the Minamata Convention, including the agreed full costs of some enabling activities.
	In particular, it should give priority to the following activities when providing financial resources to developing-country Parties and Parties with economies in transition: (a) Enabling activities, particularly Minamata Convention initial assessment activities and national action plans for artisanal and small-scale gold mining; (b) Activities to implement the provisions of the Convention, affording priority to those that: (i) Relate to legally binding obligations; (ii) Facilitate early implementation on entry into force of the Convention for a Party; (iii) Allow for reduction in mercury emissions and releases and address the health and environmental impacts of mercury.	This guidance has been used in the programming in GEF-6 and has been addressed in the programming priorities of the GEF-7 chemicals and wastes focal area Strategy. All projects and programs in GEF-6 and GEF-7 to date) that seek to implement the Minamata Convention are consistent with this guidance
	In providing resources for an activity, GEF should take into account the potential mercury reductions of a proposed activity relative to its costs in accordance with paragraph 8 of article 13 of the Convention.	In GEF-6 and GEF-7 to date, projects with potential for significant mercury reduction have been approved. The GEF continues to work with countries and agencies to look at the potential reduction of mercury relative to its cost.
	1. Minamata Convention initial assessments (MIAs) 2. Preparation of national action plans for artisanal and small-scale gold mining in accordance with paragraph 3 of article 7 and Annex C 3. Other types of enabling activities as agreed by the Conference of the Parties	This guidance has been used to inform the programming in GEF-6 and has been addressed in the programming priorities of the GEF-7 chemicals and wastes focal area strategy. In GEF-6 and GEF-7 to date, all eligible enabling activities that were submitted to the GEF have received funding.
	When providing financial resources to eligible Parties for activities to implement the provisions of the Convention, GEF should afford priority to those activities that relate to legally binding obligations of Parties under the Convention and	These have been included in the GEF-7 chemicals and wastes focal area strategy.

	<p>should take into account the potential mercury reductions of a proposed activity relative to its costs. Such activities could include those related to the following areas, listed in no particular order:</p> <ul style="list-style-type: none"> <li>• Mercury supply sources and trade;</li> <li>• Mercury-added products;</li> <li>• Manufacturing processes in which mercury or mercury compounds are used;</li> <li>• Artisanal and small-scale gold mining;</li> <li>• Emissions;</li> <li>• Releases;</li> <li>• Environmentally sound interim storage of mercury, other than waste mercury;</li> <li>• Mercury wastes;</li> <li>• Reporting;</li> <li>• Relevant capacity-building, technical assistance and technology transfer in relation to the above.</li> </ul>	
	<p>When considering activities to implement the provisions of the Convention that facilitate early implementation on entry into force, GEF should also consider providing support for activities that, although they are not the subject of a legal obligation under the Convention, may significantly contribute to a Party's preparedness to implement the Convention upon its entry into force for that country.</p>	<p>This will be addressed during programming in GEF-7 and will be reported on at subsequent COPs.</p>
	<p>Within the context of the GEF mandate, such activities could include, inter alia, support for:</p> <p>(a) With regard to emissions, the development by Parties with relevant sources of emissions of national plans setting out the measures to be taken to control emissions and their expected targets, goals and outcomes;</p> <p>(b) With regard to releases, the development by Parties with relevant sources of releases of national plans setting out the measures to be taken to control releases and their expected targets, goals and outcomes;</p> <p>(c) With regard to contaminated sites, capacity-building for the development of strategies for identifying and assessing sites contaminated by mercury or mercury compounds and, as appropriate, the remediation of those sites;</p> <p>(d) Information exchange;</p> <p>(e) Public information, awareness and education;</p> <p>(f) Cooperation in the development and improvement of research, development and monitoring;</p> <p>(g) Development of implementation plans following initial assessments.</p>	<p>This will be addressed during programming in GEF-7 and will be reported on at subsequent COPs.</p>

<p>Activities to implement the provisions of the Convention that allow for the reduction of mercury emissions and releases and address both the health and environmental impacts of mercury may encompass activities relating to both binding and non-binding provisions, with priority to the legally binding provisions discussed above, that accord with the GEF mandate to deliver global environmental benefits and reflect the GEF chemicals and wastes focal area strategy.</p>	<p>This will be addressed during programming in GEF-7 and will be reported on at subsequent COPs.</p>
<p>In accordance with paragraph 11 of article 13, the Conference of the Parties will review, no later than at its third meeting, and thereafter on a regular basis, the level of funding, the guidance provided by the Conference of the Parties to GEF as one of the entities entrusted with operationalizing the mechanism established under this article and the mechanism's effectiveness and ability to address the changing needs of developing-country Parties and Parties with economies in transition. On the basis of such review, the Conference of the Parties will take appropriate action to improve the effectiveness of the financial mechanism, including by updating and prioritizing as necessary its guidance to GEF.</p>	<p>At the request of the COP, the GEF will provide information as it relates to the review described in paragraph 11 of article 13 of the Minamata Convention.</p>

Guidance received at INC6<sup>5</sup>

	INC Outcome	GEF Response
1	<p>Request the Global Environment Facility to apply the following eligibility criteria in providing financial support to developing countries and countries with economies in transition for activities under the Minamata Convention on Mercury:</p> <p>Eligibility criteria</p> <ul style="list-style-type: none"> <li>(a) Parties to the Convention;</li> <li>(b) Signatories to the Convention in undertaking activities, particularly enabling activities, to facilitate early implementation and ratification of the Convention;</li> <li>(c) 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.</li> </ul>	<p>The GEF Council approved new eligibility criteria in January 2015. The GEF Secretariat also circulated this revision of criteria among the GEF Agencies in February 2015.</p> <p>The Interim Minamata Convention Secretariat shared the template of the letter to be submitted from non- signatories on their meaningful steps towards becoming a Party.</p> <p>Based on the new criteria, 24 non-signatory countries were supported during the reporting period in GEF-6. Among these 24 countries, five countries, Botswana, El Salvador, Lesotho, Saint Kitts and Nevis, and ESwatini ratified the Convention.</p>
2	<p>Request the Global Environment Facility to consider the following activities when providing financial resources to developing countries and countries with economies in transition:</p> <ul style="list-style-type: none"> <li>(a) Enabling activities as outlined in the Initial Guidelines for Enabling Activities for the Minamata Convention on Mercury of the Global Environment Facility, particularly Minamata Convention initial assessment activities and national action plans for artisanal and small- scale gold mining, to facilitate ratification;</li> <li>(b) Activities to implement the provisions of the Convention, affording priority to those that: <ul style="list-style-type: none"> <li>(i) Relate to legally-binding obligations;</li> <li>(ii) Facilitate early implementation on entry into force;</li> <li>(iii) Allow for reduction in mercury emissions and releases and address the health and environmental impacts of mercury.</li> </ul> </li> </ul>	<p>The GEF-6 chemicals and wastes strategy has two strategic objectives to meet the goals of eliminating harmful chemicals and wastes. The GEF has programmed \$124 million for mercury projects under these two programs of in the first three years of the GEF-6 period.</p>

<sup>5</sup> UNEP(DTIE)/Hg/INC.6/24,

[http://www.mercuryconvention.org/Portals/11/documents/meetings/inc6/English/6\\_24\\_e\\_report.pdf](http://www.mercuryconvention.org/Portals/11/documents/meetings/inc6/English/6_24_e_report.pdf)

## Resolutions Adopted by Conference of Plenipotentiaries on Minamata Convention on Mercury and GEF's Response<sup>6</sup>

	<b>Resolution</b>	<b>GEF Response</b>
1	Invites the Council of the Global Environment Facility to support developing countries and countries with economies in transition that are signatories to the Convention in undertaking activities, particularly enabling activities, to facilitate early implementation and ratification of the Convention;	The 44th GEF Council in June 2013 allocated \$10 million for enabling activities under the Minamata Convention in the GEF-5 period, specifically MIAs and ASGM NAPs. Guidelines have been developed for application of these projects. In GEF-6, \$30 million in additional resources has been allocated for these enabling activities. The initial guidelines <sup>7</sup> may be amended by the INC or COP as required.
2	Invites the Council of the Global Environment Facility to give effect to the inclusion of the Global Environment Facility Trust Fund as a part of the financial mechanism of the Minamata Convention and to recommend to the Assembly of the Global Environment Facility, as a matter of urgency, that it make any adjustments to the Instrument for the Establishment of the Restructured Global Environment Facility that are necessary to allow it to fulfil its role in the financial mechanism;	At the 5th GEF Assembly in May 2014, the GEF Instrument was amended to include the Minamata Convention in the list of Conventions served by the GEF <sup>8</sup> . The new paragraph 6(e) of the GEF Instrument contains the following text: “(e) Operate as one of the entities comprising the financial mechanism of the Minamata Convention on Mercury, pursuant to its Article 13, paragraphs 5, 6 and 8. In such respects, the GEF shall operate under the guidance of, and be accountable to the Conference of the Parties, which shall provide guidance on overall strategies, policies, program priorities and eligibility for access to and utilization of financial resources. In addition, the GEF shall receive guidance from the Conference of the Parties on an indicative list of categories of activities that could receive support; and shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities, pursuant to Article 13, paragraph 7, of the Minamata Convention on Mercury.”
3	Decides that the Committee should develop, for consideration by the Conference of the Parties at its first meeting, a draft memorandum of understanding to be agreed between the Council of the Global Environment Facility and the Conference of the Parties on arrangements to give effect to the relevant provisions of paragraphs 5 to 8 of Article 13;	GEF Secretariat shared the MOU with the Stockholm Convention with the Interim Minamata Secretariat for background to assist in developing the MOU. Examples of MOU between the GEF Council and various COPs were provided by the Interim Minamata Convention Secretariat in the meeting documents for INC6. INC7 agreed on a revised draft MOU, which was submitted to the 51st GEF Council for

<sup>6</sup> UNEP(DTIE)/Hg/CONF/4, [http://www.mercuryconvention.org/Portals/11/documents/meetings/dipcon/english/CONF\\_4\\_Final\\_Act\\_e.pdf](http://www.mercuryconvention.org/Portals/11/documents/meetings/dipcon/english/CONF_4_Final_Act_e.pdf)

<sup>7</sup> UNEP(DTIE)/Hg/INC.6/24, [http://www.mercuryconvention.org/Portals/11/documents/meetings/inc6/English/6\\_24\\_e\\_report.pdf](http://www.mercuryconvention.org/Portals/11/documents/meetings/inc6/English/6_24_e_report.pdf)

<sup>8</sup> GEF/A.5/09, [https://www.thegef.org/sites/default/files/council-meeting-documents/GEF.A.5.09\\_Amendments\\_to\\_the\\_Instrument\\_April\\_16\\_2014\\_V3\\_1.pdf](https://www.thegef.org/sites/default/files/council-meeting-documents/GEF.A.5.09_Amendments_to_the_Instrument_April_16_2014_V3_1.pdf)

		its consideration. In early 2017, the GEF Secretariat transmitted comments of the GEF Council to the interim secretariat for inclusion in the document for COP 1, to be presented to the COP for its consideration.
4	Decides also that the Committee should develop, and adopt provisionally pending formal adoption by the Conference of the Parties at its first meeting, guidance to the Council of the Global Environment Facility on overall strategies, policies, programme priorities, eligibility for access to and utilization of financial resources and an indicative list of categories of activities eligible for support from the Global Environment Facility Trust Fund;	INC7 adopted, on a provisional basis, pending its formal adoption at COP 1, revised draft guidance to the GEF on overall strategies, policies, programme priorities and eligibility for access to and utilization of financial resources as well as on an indicative list of categories of activities that could receive support from the Global Environment Facility Trust Fund. The GEF has made progress in various aspects of the draft initial guidance, as summarized in Table 1 of this report. For example, they are used to guide the programming in GEF-6 and referenced in the draft programming directions document for GEF-7 replenishment negotiations. The GEF-6 programming focus has been on enabling activities and actions to facilitate early implementation of the Convention. As of June 2017, the GEF funded 100 MIAs, 30 NAPs and projects that seek to eliminate over 800 tons of mercury.
5	Invites donors to the Global Environment Facility Trust Fund to contribute through the sixth and subsequent replenishments of the Global Environment Facility Trust Fund additional financial resources adequate to enable the Global Environment Facility to support activities to facilitate the rapid entry into force and effective implementation of the Convention;	The 6th replenishment of the GEF Trust Fund includes an allocation of \$141 million to support activities to advance early entry into force and effective implementation of the Minamata Convention. \$30 million has been allocated for enabling activities and \$111 million has been allocated to support early action.

## Resources Programmed for the Minamata Convention July 2010 – May 2019

Country	Country List	Focal Area	Title	GEF Phase	Type <sup>13</sup>	Agency	Amount (\$) <sup>14</sup>	Co-financing (\$)
Albania		W <sup>15</sup>	Minamata Initial Assessment for Albania	GEF-6	EA	UNDP	200000	0
Angola		W	National action plan on mercury in the artisanal and small-scale gold mining sector in Angola	GEF-7	EA	UNIDO	500000	58500
Argentina		W	Environmentally Sound Management of POPs, Mercury and other Hazardous Chemicals in Argentina	GEF-7	FSP	UNDP	1846100	34500000
Argentina		W	Minamata Initial Assessment for Argentina	GEF-6	EA	UNDP	200000	0
Argentina		P <sup>16</sup>	Preparatory Project to Facilitate the Implementation of the Legally Binding Instrument on Mercury (Minamata Convention) in Argentina to Protect Health and the Environment	GEF-5	MSP	UNIDO	350000	530000
Armenia		P	Minamata Convention Initial Assessment (MIA) in the Republic of Armenia	GEF-5	EA	UNIDO	200000	22000
Azerbaijan		W	Strengthen national decision making towards ratification of the Minamata Convention and build capacity towards implementation of future provisions	GEF-6	EA	UNDP	200000	0
Belarus		W	Development of a Minamata Initial Assessment	GEF-6	EA	UNEP	200000	0
Belize		W	Development of Minamata Initial Assessments (MIA) in the Caribbean (Belize)	GEF-6	EA	UNEP	150000	0

<sup>13</sup> EA – Enabling Activities, MSP – Medium Sized Projects (projects less than 2M USD), FSP – Full Sized Projects (Projects over 2M USD), PFD – Program Framework Document for programmatic approaches

<sup>14</sup> This is only the GEF grant excluding PPG and agency fees.

<sup>15</sup> W refers to the chemicals and wastes focal area/

<sup>16</sup> P refers to the POPs focal area, which existed up to the end of GEF-5. The POPs focal area was replaced by the chemicals and wastes focal area following an amendment to the GEF Instrument at the 5<sup>th</sup> GEF Assembly in May 2014.

Bolivia		P	Delivering the Transition to Energy Efficient Lighting	GEF-5	FSP	UNEP	45662	0
Bosnia-Herzegovina		W	Strengthen Bosnia and Herzegovina Decision-making Towards Becoming a Party to the Minamata Convention and Build Capacity Towards Implementation of Future Provisions	GEF-6	EA	UNDP	200000	0
Brazil		P	Development of Minamata Convention on Mercury Initial Assessment in Brazil	GEF-5	EA	UNEP	821918	1690000
Burkina Faso		W	National Action Plan on Mercury in the Artisanal and Small-Scale Gold Mining Sector in Burkina Faso	GEF-6	EA	UNIDO	500000	216000
Cameroon		W	Development of Minamata Initial Assessment in Cameroon	GEF-6	EA	UNEP	200000	0
Chad		W	Minamata Convention Initial Assessment in Chad	GEF-6	EA	UNIDO	200000	78600
Chile		P	Delivering the Transition to Energy Efficient Lighting	GEF-5	FSP	UNEP	45662	0
China		W	Demonstration of Mercury Reduction and Minimization in the Production of Vinyl Chloride Monomer	GEF-6	FSP	UNIDO	16200000	99000000
China		W	Capacity Strengthening for Implementation of Minamata Convention on Mercury	GEF-6	FSP	World Bank	8000000	8000000
China		P	Minamata Convention Initial Assessment in the People's Republic of China	GEF-5	EA	UNIDO	1000000	975000
China		P	Pilot project on the development of a mercury inventory in China	GEF-5	MSP	UNEP	1000000	3146265
China		P	Reduction of Mercury Emissions and Promotion of Sound Chemical Management in Zinc Smelting Operations	GEF-5	MSP	UNIDO	990000	4000000
Colombia		W	Minamata Convention Initial Assessment (MIA) in the Republic of Colombia	GEF-6	EA	UNIDO	200000	8000

Colombia		W	Reducing UPOPs and Mercury Releases from Healthcare Waste Management, e-Waste Treatment, Scrap Processing and Biomass Burning	GEF-6	FSP	UNDP	686000	1000000
Comoros		P	Minamata Convention Initial Assessment in the Comoros	GEF-5	EA	UNIDO	200000	67000
Congo DR		W	Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small-Scale Gold Mining in Democratic Republic of Congo (DRC)	GEF-6	EA	UNEP	1000000	0
Costa Rica		P	Minamata Initial Assessment for Costa Rica	GEF-5	EA	UNDP	200000	0
Djibouti		W	Development of a Minamata Initial Assessment in Djibouti	GEF-6	EA	UNEP	200000	0
Ecuador		W	National Action Plan on Mercury in the Artisanal and Small-Scale Gold Mining Sector in Ecuador	GEF-6	EA	UNIDO	500000	81000
Ecuador		W	National Program for the Environmental Sound Management and Live Cycle Management of Chemical Substances	GEF-6	FSP	UNDP	3795000	15131702
Egypt		P	Protect Human Health and the Environment from Unintentional Releases of POPs Originating from Incineration and Open Burning of Health Care- and Electronic-waste	GEF-5	FSP	UNDP	550000	1600000
El Salvador		W	Development of a Minamata Initial Assessment in El Salvador	GEF-6	EA	UNEP	200000	0
Eritrea		W	Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small-Scale Gold Mining in Eritrea	GEF-6	EA	UNEP	700000	0
Gabon		W	National Action Plan on Mercury in the Artisanal and Small-Scale Gold Mining sector in Gabon	GEF-6	EA	UNIDO	500000	161000

Georgia		P	Strengthen national decision making towards ratification of the Minamata Convention and build capacity towards implementation of future provisions	GEF-5	EA	UNDP	200000	0
Ghana		W	Development of Minamata Convention Initial Assessment (MIA) for Ghana	GEF-6	EA	UNDP	200000	
Ghana		W	National Action Plan on Mercury in the Artisanal and Small-scale Gold Mining Sector in Ghana	GEF-6	EA	UNIDO	500000	55250
Global	Bangladesh, Guinea-Bissau, Mauritania, Mozambique, Samoa	W	Strengthen national decision making towards ratification of the Minamata Convention and build capacity towards implementation of future provisions	GEF-6	EA	UNDP	1000000	0
Global	Burkina Faso, Colombia, Guyana, Indonesia, Kenya, Mongolia, Peru, Philippines	W	Global Opportunities for Long-term Development of ASGM Sector - GEF GOLD	GEF-6	PFD	UNEP, UNDP, UNIDO, CI	45262294	135174956
Global		P	Development of a Plan for Global Monitoring of Human Exposure to and Environmental Concentrations of Mercury	GEF-5	MSP	UNEP	850000	3005411
Guatemala		W	Minamata Convention: Initial Assessment in Guatemala	GEF-6	EA	UNIDO	200000	78600
Guyana		W	Minamata Initial Assessment for Guyana	GEF-6	EA	UNDP	200000	0
Guyana		MFA <sup>17</sup>	Strengthening the Enabling Framework for Biodiversity Mainstreaming and Mercury Reduction in Small and Medium-scale Gold Mining Operations	GEF-6	FSP	UNDP	892759	29662745

<sup>17</sup> MFA – Multi-focal area projects, i.e. projects that address multiple GEF focal area priorities in the same project

Honduras		W	Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small-Scale Gold Mining in Honduras	GEF-6	EA	UNEP	700000	0
Honduras		P	Environmental Sound Management of Mercury and Mercury Containing Products and their Wastes in Artisanal Small-scale Gold Mining and Healthcare	GEF-5	MSP	UNDP	1300000	3960000
India		W	Improve Mercury Management in India	GEF-6	EA	UNDP	1000000	0
Indonesia		W	Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small-Scale Gold Mining in Indonesia	GEF-6	EA	UNEP	700000	0
Iraq		W	Develop the National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) and the Minamata Initial Assessment for the Minamata Convention on Mercury in Iraq	GEF-6	EA	UNEP	200000	0
Jordan		W	Strengthen national decision making towards ratification of the Minamata Convention and build capacity towards implementation of future provisions	GEF-6	EA	UNDP	200000	
Kazakhstan		W	Minamata Initial Assessment	GEF-6	EA	UNDP	400000	0
Kazakhstan		P	NIP Update, Integration of POPs into National Planning and Promoting Sound Healthcare Waste Management in Kazakhstan	GEF-5	FSP	UNDP	200000	470000
Kenya		W	Development of a Minamata Initial Assessment	GEF-6	EA	Direct access	200000	0
Kenya		P	Mercury Initial Actions for Kenya	GEF-5	EA	GEFSEC	200000	34000
Kyrgyz Republic		W	Development of Minamata Initial Assessment and Updating of National Action Plan for Artisanal and Small-Scale Gold Mining	GEF-6	EA	UNEP	700000	0

Kyrgyz Republic		P	Reducing global and local environmental risks from primary mercury mining in Khaidarkan the Kyrgyz Republic	GEF-5	MSP	UNEP	944000	3007000
Kyrgyz Republic		P	Protect Human Health and the Environment from Unintentional Releases of POPs and Mercury from the Unsound Disposal of Healthcare Waste in Kyrgyzstan	GEF-5	MSP	UNDP	120000	360000
Lao PDR		W	Development of Minamata Initial Assessment and Updating of National Action Plan for Artisanal and Small-Scale Gold Mining	GEF-6	EA	UNEP	700000	0
Macedonia		W	Development of a Minamata Initial Assessment	GEF-6	EA	UNEP	200000	0
Madagascar		W	Development of National Action Plan for Artisanal and Small-Scale Gold Mining in Madagascar	GEF-6	EA	UNEP	500000	0
Madagascar		P	Development of Minamata Initial Assessment in Madagascar	GEF-5	EA	UNEP	182648	200000
Malaysia		W	Minamata Convention Initial Assessment in Malaysia	GEF-6	EA	UNDP	250000	250000
Maldives		W	Development of a Minamata Initial Assessment in Maldives	GEF-6	EA	UNEP	200000	0
Marshall Islands		W	Development of A Minamata Initial Assessment in Marshall Islands	GEF-6	EA	UNEP	125000	0
Mauritius		P	Strengthen National Decision Making Towards Ratification of the Minamata Convention and Build Capacity Towards Implementation of Future Provisions.	GEF-5	EA	UNDP	199749	125000
Mexico		W	Reducing global environmental risks through the monitoring and development of alternative livelihood for the primary mercury mining sector in Mexico	GEF-7	FSP	UNEP	7035000	40850000

Mexico		P	Development of Minamata Initial Assessment in Mexico	GEF-5	EA	UNEP	456530	40000
Micronesia		W	Development of a Minamata Initial Assessment in the Federated States of Micronesia	GEF-6	EA	UNEP	125000	0
Moldova		P	Development of Minamata Initial Assessment in Moldova	GEF-5	EA	UNEP	182648	52000
Mongolia		W	Development of National Action Plan for Artisanal and Small-Scale Gold Mining	GEF-6	EA	UNEP	500000	0
Mongolia		W	Advanced Minamata Initial Assessment in Mongolia	GEF-6	EA	UNIDO	200000	18600
Mongolia		P	Reduce Exposure of Mercury to Human Health and the Environment by Promoting Sound Chemical Management in Mongolia	GEF-5	MSP	UNIDO	600000	1569000
Montenegro		W	Minamata Initial Assessment for Montenegro	GEF-6	EA	UNDP	200000	20000
Morocco		W	Strengthen the National Decision-Making Mechanism to Ratify the Minamata Convention and Strengthen National Capacities for the Implementation of its Futures Provisions	GEF-6	EA	UNDP	200000	0
Mozambique		W	National Action Plan on Mercury in the Mozambican Artisanal and Small-Scale Gold Mining sector	GEF-6	EA	UNIDO	500000	84000
Myanmar		W	Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small-Scale Gold Mining in Myanmar	GEF-6	EA	UNEP	700000	0
Nepal		W	Minamata Initial Assessment in Nepal	GEF-6	EA	UNIDO	200000	108600
Nigeria		W	National Action Plan on Mercury in the Nigerian Artisanal and Small-Scale Gold Mining sector	GEF-6	EA	UNIDO	500000	373000
Nigeria		P	Minamata Convention Initial Assessment in the Federal Republic of Nigeria	GEF-5	EA	UNIDO	1000000	182000

Niue		W	Development of A Minamata Initial Assessment in Niue	GEF-6	EA	UNEP	125000	0
Panama		W	Minamata Initial Assessment for Panama	GEF-6	EA	UNDP	200000	0
Papua New Guinea		W	Development of Minamata Initial Assessment in Papua New Guinea	GEF-6	EA	UNEP	300000	0
Paraguay		W	Development of National Action Plans for Artisanal and Small-Scale Gold Mining in Paraguay	GEF-6	EA	UNEP	500000	0
Peru		W	National Action Plan on Mercury in the Artisanal and Small-Scale Gold Mining Sector in Peru	GEF-6	EA	UNIDO	500000	217000
Philippines		P	Improve the Health and Environment of Artisanal Gold Mining Communities in the Philippines by Reducing Mercury Emissions	GEF-5	MSP	UNIDO	550000	1081070
Regional	Angola, Malawi, Zimbabwe	W	Development of Minamata Convention on Mercury Initial Assessment in Africa	GEF-6	EA	UNEP	547945	505000
Regional	Antigua And Barbuda, Dominica, Grenada, St. Vincent and Grenadines	W	Development of Minamata Initial Assessments (MIA) in the Caribbean (Antigua and Barbuda, Dominica, Grenada, St. Vincent and the Grenadines)	GEF-6	EA	UNEP	600000	0
Regional	Botswana, Lesotho, Namibia, Swaziland	W	Development of Minamata Initial Assessment	GEF-6	EA	UNEP	800000	61000
Regional	Burkina Faso, Benin, Niger, Togo	W	Minamata Convention Initial Assessment in Francophone Africa II	GEF-6	EA	UNIDO	800000	134400

Regional	Burundi, Central African Republic, Congo, Cote d'Ivoire, Gabon	W	Development of Minamata Convention Mercury Initial Assessment in Africa	GEF-6	EA	UNEP	1000000	60000
Regional	Burundi, Central African Republic, Congo, Kenya, Swaziland, Uganda, Zambia, Zimbabwe	W	Regional Project on the Development of National Action Plans for the Artisanal and Small-Scale Gold Mining in Africa	GEF-6	EA	UNEP	4000000	50000
Regional	Cabo Verde, Sao Tome and Principe	W	Minamata Convention: Initial Assessment in Cabo Verde and Sao Tome and Principe	GEF-6	EA	UNIDO	400000	187200
Regional	Cook Islands, Kiribati, Palau, Tonga, Vanuatu	W	Development of Minamata Convention Mercury Initial Assessment in Pacific	GEF-6	EA	UNEP	500000	20000
Regional	Guinea, Mali, Senegal	W	Minamata Convention Initial Assessment in Francophone Africa I	GEF-6	EA	UNIDO	600000	175800
Regional	Guinea, Niger	W	Development of National Action Plan for Artisanal and Small-Scale Gold Mining in Guinea and Niger	GEF-6	EA	UNEP	1000000	0
Regional	Jamaica, St. Kitts And Nevis, St. Lucia, Trinidad and Tobago	W	Development of Minamata Initial Assessment in the Caribbean (Trinidad and Tobago, Jamaica, St Kitts and Nevis, St Lucia)	GEF-6	EA	UNEP	600000	0
Regional	Mali, Senegal	W	Development of National Action Plan for Artisanal and Small-Scale Gold Mining Mali and Senegal	GEF-6	EA	UNEP	1000000	0

Regional	Ghana, Kenya, Senegal, Tanzania, Zambia	W	EHPMP - Environmental Health and Pollution Management Program in Africa	GEF-6	PFD	World Bank	13486239	98600000
Regional	Burkina Faso, Benin, Mali, Niger, Senegal, Togo	W	Impact Investment and Capacity Building in Support of Sustainable Waste Management to Reduce Emissions of Unintentional POPs (UPOPs) and Mercury in West Africa	GEF-6	FSP	BOAD	5331334	77000000
Regional	Cambodia, Philippines, Pakistan	P	Development of Minamata Initial Assessment in Three Asian Countries	GEF-5	EA	UNEP	730594	1702084
Regional	Ecuador, Peru	P	Implementing Integrated Measures for Minimizing Mercury Releases from Artisanal Gold Mining	GEF-5	MSP	UNIDO	999900	2676764
Regional	Ghana, Madagascar, Tanzania	P	Reducing unintentional POPs (UPOPs) and Mercury Releases from the Health Sector in Africa	GEF-5	FSP	UNDP	517902	2000345
Regional	Albania, Bosnia-Herzegovina, Egypt, Lebanon, Libya, Morocco, Montenegro, Tunisia	MFA	Mediterranean Sea Programme (MedProgramme): Enhancing Environmental Security	GEF-6	PFD	UNEP	5250000	20500000
Regional	Ethiopia, Gambia, Tanzania, Uganda, Zambia	P	Development of Minamata Convention on Mercury Initial Assessment in Africa	GEF-5	EA	UNEP	913242	1129943
Regional	Bolivia, Chile, Dominican Republic, Paraguay	P	Development of Minamata Initial Assessment in LAC	GEF-5	EA	UNEP	730594	935000

Regional	Burkina Faso, Mali, Senegal	P	Improve the Health and Environment of Artisanal and Small Scale Gold Mining (ASGM) Communities by Reducing Mercury Emissions and Promoting Sound Chemical Management	GEF-5	MSP	UNIDO	990000	2450000
Regional	Argentina, Ecuador, Nicaragua, Peru, Uruguay	P	Development of Mercury Risk Management Approaches in Latin America	GEF-5	MSP	UNEP	916000	2894434
Russian Federation		P	Pilot Project on the Development of Mercury Inventory in the Russian Federation (RF)	GEF-5	MSP	UNEP	1000000	3418969
Rwanda		W	Minamata Convention: Initial assessment for Rwanda	GEF-7	EA	UNIDO	200000	18400
Rwanda		W	National action plan on mercury in the artisanal and small-scale gold mining sector in Rwanda	GEF-7	EA	UNIDO	500000	58500
Serbia		W	Minamata Initial Assessment	GEF-6	EA	UNDP	200000	97220
Seychelles		W	Strengthen National Decision Making Towards Ratification of the Minamata Convention and Build Capacity Towards Implementation of Future Provisions.	GEF-6	EA	UNDP	199100	25000
Sierra Leone		W	Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small-Scale Gold Mining in Sierra Leone	GEF-6	EA	UNEP	700000	0
South Africa		W	Development of Minamata Initial Assessment in South Africa	GEF-6	EA	UNEP	1000000	0
Sri Lanka		W	Minamata Convention: Initial Assessment in Sri Lanka	GEF-6	EA	UNIDO	200000	38600
Sudan		W	Minamata Convention: Initial assessment in the Republic of Sudan	GEF-6	EA	UNIDO	200000	118600
Suriname		W	Minamata Initial Assessment for Suriname	GEF-6	EA	UNDP	200000	0

Suriname		W	Artisanal and Small-Scale Gold Mining (ASGM) National Action Plan (NAP) for Suriname	GEF-6	EA	UNDP	500000	0
Tanzania		W	Development of National Action Plans for Artisanal and Small-Scale Gold Mining in the United Republic of Tanzania	GEF-6	EA	UNEP	500000	0
Tunisia		W	Improve Mercury Management in Tunisia	GEF-6	MSP	UNIDO	600000	2350000
Turkey		W	Minamata Convention: Initial Assessment in Turkey	GEF-6	EA	UNIDO	500000	29000
Uruguay		P	Environmental Sound Life-Cycle Management of Mercury Containing Products and their Wastes	GEF-5	MSP	UNDP	700000	2959700
Vietnam		W	Application of Green Chemistry in Vietnam to Support Green Growth and Reduction in the use and Release of POPs/harmful Chemicals	GEF-6	MSP	UNDP	469800	1000000
Vietnam		P	Minamata Convention Initial Assessment in Vietnam	GEF-5	EA	UNIDO	500000	47000
Yemen		P	Minamata Convention Initial Assessment (MIA) in the Republic of Yemen	GEF-5	EA	UNIDO	200000	50200
						Total	164,963,620	609,859,694

## Annex II

### Information provided by the Specific International Programme in accordance with article 13 of the Minamata Convention on Mercury (9 August 2019)

#### 1. Introduction

1. Article 13, paragraph 5 of the Minamata Convention defines a Mechanism for the provision of adequate, predictable, and timely financial resources to support developing country parties and parties with economies in transition in implementing their obligations under the Convention.
2. Article 13, paragraph 6 includes a specific international Programme to support capacity-building and technical assistance. Paragraph 9 of article 13 further states that the Programme will be operated under the guidance of and be accountable to the Conference of the Parties.
3. At its first meeting in September 2017, the Conference of the Parties decided in MC-1/6:
  - (a) that the Programme shall be hosted by the United Nations Environment Programme, and that its Executive Director will deliver administrative support through the allocation of human and other resources through the secretariat of the Minamata Convention (annex I);
  - (b) to give guidance on the operations of the Programme (annex I) including on scope, eligibility, operations, and resources;
  - (c) that on duration (annex I) the Programme is open to receive voluntary contributions and applications for support for a period of ten years from the establishment of its trust fund (though the Conference of the Parties may decide to extend this period, not exceeding an additional seven years, taking into account the review process described in paragraph 11 of article 13); and
  - (d) on the terms of reference of the Programme (annex II), including with reference to:
    - the Governing Board of the Programme,
    - project screening, appraisal and approval processes,
    - administrative support to the Programme,
    - expected outcomes, and
    - accounts and audit.
4. At its second meeting in November 2018, the Conference of Parties confirmed that only parties are eligible to apply for support from the Programme, and that members of the Board are to be nominated from parties (See UNEP/MC/COP.2/19 paragraph 103, and Annex II setting out MC-1/16 as finalized by the Conference of the Parties at its second meeting).

#### 2. Operationalisation of the Specific International Programme

5. As requested by the Conference of the Parties in decision MC-1/6, the Executive Director of UNEP established the Specific Trust Fund to receive voluntary contributions for a period of ten years for the Programme. The Trust Fund is operational with effect on 1 January 2018 (see UNEP/MC/COP.2/9, the Overall report on the Specific International Programme to Support Capacity-building and Technical Assistance; and UNEP/MC/COP.2/18, the Update on the programme of work and budget for the biennium 2018–2019).
6. The Governing Board of the Specific International Programme was constituted in early 2018 and met for the first time in May 2018 (see Report of the First Meeting of the Governing Board, UNEP/MC/SIP.GB.1/6<sup>1</sup>). The Governing Board adopted its Rules of Procedure at its first meeting and presented the adopted Rules to the second meeting of the Conference of the Parties.
7. Following the first meeting of the Governing Board where the criteria were agreed for appraisal of applications, the secretariat finalised the application forms and application guidelines. The First Round of applications was then opened on 5 June 2018, receiving applications until 31 August 2018. Upon closure of the period, nineteen applications were received by the secretariat. At its second

<sup>1</sup> [http://www.mercuryconvention.org/Portals/11/documents/SIP/SIP.1\\_6Report.pdf](http://www.mercuryconvention.org/Portals/11/documents/SIP/SIP.1_6Report.pdf)

meeting in October 2018, the Governing Board approved five projects<sup>2</sup> for funding based on guidance by the Conference of the Parties, the appraisals prepared by the secretariat and against the contributions received in the Specific Trust Fund at the time of the meeting (see report of the Second Meeting of the Governing Board, UNEP/MC/SIP.GB.3/2<sup>3</sup>).

8. Following a review of feedback solicited from parties on the First Round, as well as lessons learned and reflections by the Governing Board and the secretariat at its third meeting (February 2019<sup>4</sup>), the secretariat finalised the revised application forms and application guidelines. The Second Round of applications was then opened from 5 March to 14 June 2019. Upon closure of the period, twenty applications were received by the secretariat. The Governing Board is expected to meet in September 2019 to decide on these applications, based on the guidance by the Conference of the Parties, appraisals prepared by the secretariat and against the contributions received in the Specific Trust Fund by the time of the meeting.

9. Following the approval of the five projects for the First Round (2018) the secretariat began the administrative and programmatic work of finalising the implementation plan on these projects with the respective governments in the last quarter of 2018. Following the finalisation of the implementation plan with the respective governments the secretariat prepared the legal agreements for signature by the government and UNEP, represented by the Secretariat of the Minamata Convention, to allow the disbursement of funds to begin. By 9 August 2019, four legal agreements were concluded, and disbursement of funds has begun on these four projects. One legal agreement is in the process of being signed. For each of the projects two-page summaries have been prepared for information sharing and outreach purposes.<sup>5</sup> The duration of implementation of the projects is up to three years. The secretariat is responsible for disbursement of funds against agreed reporting time lines, as well as overall monitoring of progress of the projects for report to the Governing Board, and final reporting and closure of the projects at the conclusion of the project cycle.

### 3. Level of Funding

10. For the First Round (2018), USD 1,281,448 was received from Austria, Denmark, Germany, the Netherlands, Norway, Sweden, the United Kingdom and the United States of America.

11. For the Second Round (2019), USD 2,414,413 has been pledged and/or contributed by 31 July 2019. The donors are Austria, Denmark, Germany, the Netherlands, Norway, Sweden, Switzerland, the United Kingdom and the United States of America.

12. The amount pledged and contributed for the Second Round (2019) is almost double the amount that was available for the First Round, which signifies strong donor confidence in the Programme.

13. In addition to the grants made available to the successful applicant governments, the costs related to the operation of the Specific International Programme, including the costs of meetings, are also to be funded from the voluntary contributions received for the Programme in the Specific Trust Fund (MC-1/6, annex II).

14. It is to be noted also that despite the substantial increase in funding available in the Specific Trust Fund for the Second Round, the funding available for each round was only half of the requested amount in the received applications. For the Second Round, the total requested amount for the twenty applications received is USD 4,284,393.

15. As per the guidance provided (MC-1/6, annex I) the resources for the Programme shall include financial and in-kind contributions and expertise. Contributions of resources are encouraged from a broad range of sources. This includes all parties to the Minamata Convention with the capacity to contribute, as well as other relevant stakeholders, including Governments, the private sector, foundations, non-governmental organizations, intergovernmental organizations, academia and other types of civil society actors. Furthermore, a resource mobilization strategy for the Programme should be developed by the secretariat in consultation with the Governing Board with a view to achieving the objective of the Convention and attracting a broad range of donors. The secretariat prepared a document on “Elements for a Resource Mobilization Strategy for the Specific International Programme” for consideration by the Governing Board at its first meeting (May 2018). The Governing

<sup>2</sup> Regional Breakdown: Africa: Benin and Lesotho; Asia Pacific: Iran; Central and Eastern Europe: Armenia; Latin America and the Caribbean: Argentina.

<sup>3</sup> [http://www.mercuryconvention.org/Portals/11/documents/SIP/SIP.GB.3.2\\_Report\\_Second\\_Meeting.pdf](http://www.mercuryconvention.org/Portals/11/documents/SIP/SIP.GB.3.2_Report_Second_Meeting.pdf)

<sup>4</sup> See UNEP/MC/COP3/10/Add.1 annex I for the Report of the Third Meeting of the Governing Board.

<sup>5</sup> <http://www.mercuryconvention.org/Implementation/SpecificInternationalProgramme/tabid/6334/language/en-US/Default.aspx>

Board extensively deliberated on this matter at its first, its second and its third meetings (see respective reports). At multiple occasions, and again at its third meeting the Governing Board reiterated its appreciation to the donors for their contributions to the Specific International Programme. While recognising that the Programme is time-limited (see paragraph 3 (c) above), the Governing Board concluded that:

- (a) it was important to take realistic and step-wise approaches on resource mobilisation for the Programme;
- (b) it was imperative to show donors the value of their investment in the Programme, to retain their support, and to motivate new donors to join as contributors;
- (c) there were six sources of support available to developing countries for implementation;<sup>6</sup> and
- (d) in the near-term the secretariat is to focus on a few tangible areas of effort to support resource mobilisation through strategic communication.

#### **4. Guidance provided by the Conference of the Parties**

16. The guidance provided by the Conference of the Parties on scope, eligibility, operations and resources (MC-1/6 annex I) is clear and helpful.

17. The Governing Board oversees the operations of the Specific International Programme, and implements the guidance received. The guidance and terms of reference provided by the Conference of the Parties has been internalised in the Rules of Procedure that have been adopted by the Governing Board, as well as agreed criteria for appraisal and a framework for decision-making. The Governing Board ensures the Programme is country-driven, complementary to and not duplicative of other existing arrangements to provide capacity-building and technical support, builds on lessons learned, and is consistent with the integrated approach to financing the sound management of chemicals and waste, as relevant to the Convention.

18. The Governing Board and secretariat paid special attention to avoid duplication and overlap with other existing arrangements. Representatives of the Global Environment Facility and the Special Programme on Institutional Strengthening contributed to the appraisals of the applications to the First and the Second Round, to ensure project complementarity and avoid funding overlap. Upon invitation by the Governing Board they also participated in the Second Meeting as observers.

19. The Governing Board and the secretariat also paid special attention to assembling the appropriate staff expertise within the Minamata secretariat and from relevant international governmental organisations in the technical and programme appraisal of applications. Representatives of the Global Environment Facility (in 2018 and 2019), the Special Programme on Institutional Strengthening (in 2018 and 2019), and the Global Mercury Partnership (in 2019) were consulted on their technical and other insights as relevant to the appraisal of the applications.

#### **5. The effectiveness of the Programme, and its ability to address the changing needs of developing country parties and parties with economies in transition, and lessons learned**

20. According to MC-1/6 the expected outcomes of the Specific International Programme are defined as follows: *The support for capacity-building and technical assistance provided by the Specific International Programme is expected to improve the capacity of developing country parties and parties with economies in transition in implementing their obligations under the Convention.*

21. It is to be noted that given that it was only at the first meeting of the Conference of the Parties in September 2017 that the hosting arrangements, guidance on the operations and duration, and terms of reference for the Programme were adopted (MC-1/6), and despite the fast operationalisation into action following that decision by the Governing Board and the secretariat (see above), the Programme has only been in operation for 18 months. It has concluded the First Round of applications in 2018 and

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<sup>6</sup> The six sources are : (i) the Global Environment Facility; (ii) the Specific International Programme of the Minamata Convention; (iii) the Special Programme on Institutional Strengthening at the national level for the implementation of the Basel Convention, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, the Stockholm Convention, the Minamata Convention, and the Strategic Approach to International Chemicals Management; (iv) the Minamata secretariat's own activities to support capacity building and technical assistance; (v) the Global Mercury Partnership, and (vi) direct bilateral implementation support activities.

will conclude the Second Round of applications in September 2019. Project implementation of four of the five approved projects from the First Round began in the second quarter of 2019. (Implementation on the fifth project is to commence on the signature of the legal agreement.) Furthermore, as the project duration of the approved projects is about three years, the final reports of the projects from the First Round are only expected upon closure of final accounts. The Governing Board therefore concluded that it is premature at this stage to assess the effectiveness of the Programme or its ability to address the changing needs for developing country parties and parties with economies in transition based on only 18 months of operation, beyond the factual information in this note and its annexes.

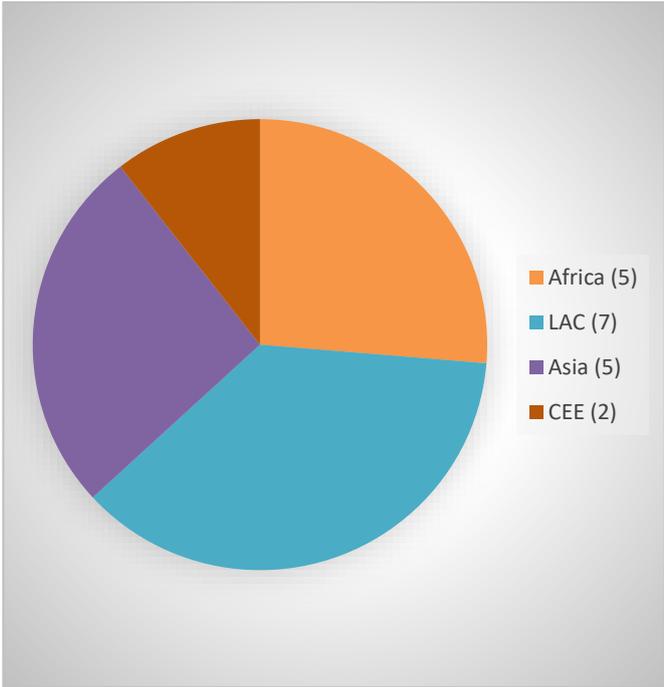
22. For information purposes two diagrams are provided in annex I to this note on the applications received for the First Round (2018), and another two diagrams in annex II on the applications received in Second Round (2019). Further information is contained in UNEP/MC/COP3/10, the overall report on the Specific International Programme to Support Capacity-Building and Technical Assistance and UNEP/MC/COP3/10/Add.1, the Governing Board of the Specific International Programme to Support Capacity-building and Technical Assistance.

23. A lesson learned regarding the effectiveness of the Programme over the past eighteen months of operation of the Programme, is the need to have adequate secretariat staff capacity in place to support the work of the Governing Board and to provide the full complement of secretariat services required to operate the Programme, including:

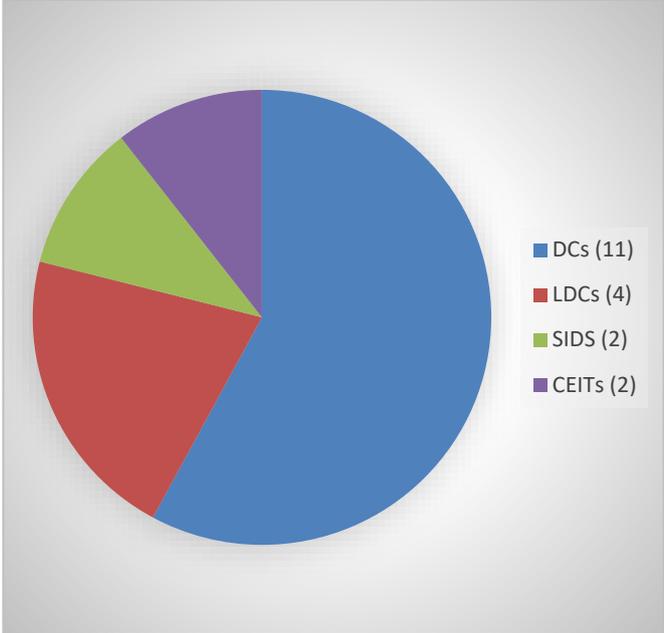
- (i) run the application rounds,
- (ii) screen and appraise the applications,
- (iii) implement the decisions of the Governing Board,
- (iv) finalise the project implementation plans with the successful governments,
- (v) follow-up project management responsibilities with each project (fund management, conclusion of legal agreements, periodic fund disbursement, periodic project monitoring, periodic and final reporting, closure of projects, communication on projects, donor reporting).

**Appendix I First Round (2018)**

**Applications received for the first round of applications, by region**



**Applications received for the first round of applications, by countries' economic status**



**Appendix II Second Round (2019)**