



planet**GOLD**

Making a world of difference
in small-scale gold mining.

A GEF Initiative

Templates for Documentation of planetGOLD Programme Technical and Financial Interventions

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Abbreviations/Acronyms

Abbreviation/Acronym	Definition
ASGM	Artisanal and Small-scale Gold Mining
AGC	Artisanal Gold Council
Au	Gold
ARM	Alliance for Responsible Mining
BGI	Better Gold Initiative
CFA	Antioquia Financial Cooperative (financial institution)
Hg	Mercury
MFPS	Mercury Free Processing System
MIA	Mercury Initial Assessment
MTR	Mid Term Review
NAP	National Action Plan
NRDC	Natural Resources Defense Council
OHS	Occupational Health and Safety
PC	Projekt-Consult
PIR	Project Implementation Report
ProDoc	Project Document
PSC	Project Steering Committee
ToC	Theory of Change
UNDP	United Nations Development Programme

1 Introduction

The purpose of this document is to recommend common protocols to (1) consistently document the artisanal and small-scale mining (ASGM) technology transfer and financial access models tested by the planetGOLD country projects, across different country circumstances, and (2) analyze the factors that affect success or failure of/ barriers to implementation of these models.


The recommended protocols introduce a standardized reporting structures/templates to provide a clear and comprehensive picture of the projects' activities and achievements related to technology and finance interventions, and highlight factors for success and (potential) factors of failure, challenges, etc. The goal is to maximize learning and knowledge sharing for other (current and future) interventions on these topics within and beyond the planetGOLD programme.

2 General Approach to Recommended Common Protocols

The recommended protocols for documenting the technology and finance interventions are meant to guide the country projects in describing in detail their related activities and experiences. Both protocols include three main elements, namely:

- Description of the intervention,
- Cross-cutting issues that may be affected by the intervention, and
- Lessons learned, factors for success/failure, etc. and recommendations for future interventions.

The reports should include detailed description of the set-up, implemented activities, modifications during the life span and other factors the country projects consider important for the replication and improvement of such interventions. These descriptions should include positive elements, i.e. what worked well, and what project elements would be recommended for replication, as well as negative elements, i.e. challenges, barriers, and unsuccessful activities that future projects should be aware of and try to avoid. Ideas for improvement can also be included. The overall intention is to provide an evidence base upon which other stakeholders can base the replication of such interventions. As such, it is important the description of the interventions include honest and transparent



reflections on success factors, challenges, barriers, and room for improvement.

It is **not** the purpose of these reports to perform formal evaluation of these project interventions. Appropriate monitoring and evaluation (M&E) are the sole responsibility of the individual planetGOLD country projects according to their own M&E structures and plans.

3 Technology Transfer Protocol

*This Protocol refers to the **Technology Transfer** models tested and implemented by planetGOLD country projects, including supporting activities such as capacity building, information, education and communication (IEC) campaigns and consultations with relevant stakeholders, etc.*

*The main report (excluding annexes and executive summary) should not exceed **15 pages**, if possible. Details and supporting evidenced should be referenced/linked throughout the text, and/or included as technical annexes. The number of pages suggested for every chapter/subchapter is highly indicative. All information provided should be directly related to and relevant for the specific technology transfer intervention, not the overall project.*

3.0 Executive Summary

- Factsheet (approx. 1 page), including pictures of the technology and summarizing the main features of the intervention.
- Executive summary (1 page) including:
 - Background
 - General approach to technical intervention(s)
 - Description of technology deployed: selection, design, cost, improved gold recovery
 - Training and dissemination
 - Uptake by miners
 - Cross-cutting issues
 - Major findings and lessons learned

3.1 Description of the Intervention

*This chapter is dedicated to give a clear picture about the Technology Transfer model, its environment, background, activities, and outputs/achievements. **Total for section 3.1 - approx. 8-10 pages***

3.1.1 Background Relevant to the Intervention

Provide information on the country-specific background relevant to the intervention, specifically on the legal environment regarding ASGM, Mercury, etc. The Background-

section should be restricted to information absolutely necessary to understand the context of the information in this report. (approx. 1/2 page)

3.1.2 General Approach and Main Intervention Activities

To orient readers, introduce the overall technical approach and the main activities within the project-related technology transfer. (approx. 1/2 page)

3.1.3 Target Areas and Target Groups

Which were the target areas and target groups for the intervention (direct and indirect)?

Which specific processes and criteria were used to select (a) areas of the country for intervention (b) specific sites for intervention (c) particular groups?

Describe the site selection, including *criteria/screening data for sites as annex or link if available*

(approx. 1 page).

3.1.4 Partners and Key Stakeholders

What were the project partners and key stakeholders relevant to the technology intervention, (beyond the direct target groups and beneficiaries)? What has been their involvement in the technology selection and design development process? (approx. 1/2 page) e.g., *Ministry of Mines, Geological Services, national miners' associations, equipment providers, laboratory service providers, etc.*

3.1.5 Main Activities and Outputs/Achievements

Describe the introduced technology and the main activities of the project to implement and disseminate the technology, and outcomes.

Please provide quantitative as well as qualitative information, as available. (approx. 5 pages). This section should include the following information as relevant to the project activities (with technical annexes and/or links to reports that provide more specific additional details as needed):

3.1.5.1 Selection of appropriate technology

- Any assessment of ore and site characteristics
- Discussion of how the types of ore bodies, conditions, environments, etc., led to selection of the introduced technology (include, where appropriate technologies that were considered but rejected due to specific local conditions)
- Identification/design of appropriate processing workflow, including waste

management (*include process diagram as appendix and link to any videos showing equipment in action*)

- *Description of any other supporting technical interventions such as establishment of laboratory capacity to test ore, tailings etc*
- *Indicate whether the technology selected is proprietary or whether the design is publicly available, and whether it could be produced locally*

3.1.5.2 Socialization

- *Process for engagement with local communities to ensure social acceptance of technology (note: if efforts were made to obtain FPIC, note in the “cross-cutting issues” section below)*
- *Process for engagement with local/other government entities for the assessment of appropriate technology and required regulatory approvals*
- *Process for engagement/training of miners about new technology*

3.1.5.3 Deployment of technology

- *Description of how equipment was acquired/sourced*
- *Costs of equipment, including transportation and importation costs, as applicable*
- *Description of cost analysis including the cost of purchase, maintenance and operationalization of the equipment, cost of external experts, etc. (including as appropriate comparison with other alternatives that were analyzed (relative costs)*
- *Description/overview of the installation and commissioning of technology*
- *Other relevant aspects of deployment, e.g. construction activities, optimization processes, etc.*

3.1.5.4 Performance

- *Estimation or demonstration of improved recovery rate of gold, as applicable (include/link to reports on methods and data used to determine this)*
- *Estimated gold production per unit time and cumulative (append or link to calculations)*
- *Estimated mercury use reduction/elimination/prevention (direct) per unit time and cumulative (append or link to calculations)*
 - o *If applicable, separately report estimated reduction in mercury emissions to air and releases to land and water*

3.1.5.5 Dissemination

- Actions (or planned strategy) to disseminate new technology to miners beyond target group area;
- [where dissemination activities were conducted] Information on uptake of new technology by miners
- Estimated mercury reduction (indirect) per unit time and cumulative (append or link to calculations)

3.1.6 Sustainability

What is likely to happen with the project's intervention outputs, outcomes, and achievements beyond the end of the project? Is there an exit strategy? Are there systems and strategies in place to continue the efforts incl. the necessary funding? (by whom? in the framework of the NAP? by other governmental, bilateral or multilateral funded projects? Through efforts of CSOs, miners groups and/or private sector players?) What are the major challenges in terms of sustainability? Are further interventions in alignment with relevant country policies? (approx. 1/2 page)

3.2 Cross-cutting Issues

Not all cross-cutting issues listed below are necessarily relevant for every country project. Please only answer if the project had a specific activity or element on the cross-cutting issue (e.g. on gender) or if the project had (or likely to have) a specific (intended or unintended; positive or negative) impact. Delete those headings which are not relevant. (in total approx. 1 to 2 pages, depending on the number of issues relevant to the project) Note: that if there were **specific technical intervention(s) aimed exclusively to benefit women, vulnerable groups and/or indigenous peoples**, those interventions should be described separately in section 3.1 above. The country project may also add other cross-cutting issues based on their experience.

3.2.1 Gender

Did the technology intervention have specific activities/elements linked to gender? If yes, what were they?

Did the technology intervention have (or is it likely to have) a specific (intended or unintended; positive or negative) impact on gender (if yes, describe? Did the project take any mitigation measures?) approx. ½ page)

3.2.2 Vulnerable Groups

Did the technology intervention have specific activities/elements on vulnerable groups? If yes, what were they?

Did the technology intervention have (or is it likely to have) a specific (intended or unintended; positive or negative) impact on vulnerable groups? (if yes, describe? Did the project take any mitigation measures?) (approx. ½ page)

3.2.3 Indigenous Peoples

Did the technology intervention have specific activities/elements on indigenous peoples? If yes, what were they? In particular, please describe any efforts to obtain FPIC.

Did the technology intervention have (or is it likely to have) a specific (intended or unintended; positive or negative) impact on indigenous peoples? (if yes, describe? Did the project take any mitigation measures?) (approx. ½ page; more if including FPIC – include annexes/links to FPIC process and outcome documentation)

3.2.4 Local Communities

Did the technology intervention have specific activities/elements on local communities? If yes, what were they?

Did the project have (or is it likely to have) a specific (intended or unintended; positive or negative) impact on local communities? (if yes, describe? Did the project take any mitigation measures?) (approx. ½ page)

3.2.5 Environmental Issues (beyond mercury) and Climate Change Issues

Did the technology intervention have specific activities/elements on environmental issues (beyond mercury) and/or climate change issues? If yes, what were they?

Did the technology intervention have (is likely to have) a specific (intended or unintended; positive or negative) impact on environmental issues (beyond mercury) and/or climate change issues? (if yes, describe? Did the project take any mitigation measures?) (approx. ½ page)

3.2.6 Human Rights

Did the technology intervention have specific activities/elements on human rights? If yes, what were they?

Did the technology intervention have (or is it likely to have) a specific (intended or unintended; positive or negative) impact on human rights related issues? (if yes, describe? Did the project take any mitigation measures?) (approx. ½ page; however, if there are human rights impacts, this will need more in-depth discussion)

3.3 Findings, Experiences and

Lessons Learned

This chapter is to discuss overall findings, observations, and lessons learned. (in total approx. 3 pages)

3.3.1 Project Highlights

Provide a high-level summary of the most important project highlights and success stories. (approx. ½ page, avoid repetition with 3.0 Executive summary or Factsheet)

3.3.2 Suitability of Intervention Design

Was the overall intervention design (including choice of sites, partners, selection of technology, approach to training of miners, approach to dissemination) suitable to reach the desired outcomes and impacts? Did the underlying assumptions going into the intervention hold true? (approx. ½ page)

3.3.3 Specific Factors for Success

Which were/are specific factors for success of the project intervention? (this includes both, within the control of project as well as those factors outside the control of project.) (approx. ½ page)

3.3.4 (Potential) Factors for Failures

Which were/are specific problems, challenges, “potholes” and/or factors for potential failures of the project which the project intervention managed (or not) to overcome? (this includes both within the control of project as well as those factors outside the control of project. Include some discussion of COVID-19 impacts.) (approx. ½ page)

3.3.5 Recommendations for Future Interventions

What are general findings, experiences, observations, and lessons learned during implementation of the intervention that are important for the replication of such an intervention? What would you recommend to future projects to pay specific attention to improve the results of the intervention? (approx. 1 page)

4 Financial Access Protocol

*This Protocol refers to the **Financial Access** models tested and implemented by planetGOLD country projects, including supporting project activities such as capacity building, etc.*

*The main report (excluding annexes and executive summary) should not exceed **15 pages**, if possible. Details and supporting evidenced should be referenced/linked throughout the text, and/or included as technical annexes. The number of pages suggested for every chapter/subchapter is highly indicative. All information provided should be directly related to and relevant for the specific technology transfer intervention, not the overall project.*

4.0 Executive Summary

- Factsheet (approx. 1 page), including relevant graphs/infographics/pictures and summarizing the main features of the intervention.
- Executive summary, including:
 - Background
 - General approach to financial intervention(s)
 - Key partner institutions
 - Description of mechanism(s), amount of money available, amount of money deployed by miners, statistics on portfolio (number and size of loans [min/max/average], repayment rate)
 - Financial education/training
 - Uptake by miners
 - Cross-cutting issues
 - Major findings and lessons learned

4.1 Description of the Intervention

This chapter is dedicated to give a clear picture about the Financial Access model(s), its environment, background, activities, and outputs/achievements. (approx. 8-10 pages)

4.1.1 Background Relevant to the Intervention

Provide information on the country specific background relevant to the financial intervention, specifically on the legal environment regarding ASGM, financing, etc. The background section should be restricted to information absolutely necessary to understand the context of the information in this report. (approx. ½ page)

4.1.2 General Approach and Main Intervention Activities

To orient readers, introduce the overall approach and the main activities within the project related to the financial intervention(s). (approx. ½ page)

4.1.3 Target Areas and Target Groups

Which were the target areas and target groups for the intervention (direct and indirect)?

Which criteria were used to select (a) target areas (b) target groups to target for access to finance?

Who can access the financing / to whom is the mechanism directed?

To what extent can the financing be considered equitable?

(approx. 1 page; include selection criteria as appendix or link if available)

4.1.4 Partners and Key Stakeholders

What were the project partners and key-stakeholders relevant to the financial intervention, (beyond the direct target groups and beneficiaries)? e.g., banks, cooperatives, microfinance institutions, private investors, equipment leasing companies, Central Bank and/or other relevant government financial agencies/regulatory bodies. (approx. ½ page)

4.1.5 Main Activities and Outputs/Achievements

Describe the project's main activities and outcomes/achievement related to access to finance for ASGM to date. Please provide quantitative as well as qualitative information as available. (approx. 5 pages)

4.1.5.1 Status of ASGM financing prior to intervention and financial needs assessment

- *Typical sources and types of financing*
- *Costs of different lending entities and other already available finance options for ASGM*
- *Level of engagement by formal v informal actors etc.;*
- *Scale of financing needs of miners*
- *Types of finance suitable for miners needs*
- *Barriers*

4.1.5.2 Financial education:

- *Sensitization of financial sector actors to ASGM issues and opportunity for financing– who was engaged, how many and what types of entities (include links to training materials aimed at financial sector about ASGM)*
- *Sensitization and training of miners on financial literacy, business planning etc– how many miners trained, disaggregated by gender (include links to training materials)*

4.1.5.3 Description of the type of financial mechanism(s) piloted

- *Type of mechanism (loan guarantee, revolving fund, surety funds, loan mechanism with payment intermediary, private equity investment, etc.)*
- *The role of any intermediaries in the model (Central Bank, National Bank, gold traders, processing facilities, equipment manufacturers, etc.)*
- *The amount of available funds that can be mobilized through the mechanism; if using an existing financial mechanism (eg an existing SME support fund) how much of this mobilized by planetGOLD for miners*
- *Source(s) of the capital*
- *Design features of the mechanism (e.g., minimum amount that can be financed, range of amounts available to lendees, qualifications for lendees, including any collateral requirements, interest rate, credit limit per miner, subscription agreement)*
- *Any special design features such as skip payments during mining downtimes, special incentives (loan forgiveness, creation of savings account) for miners who repay on time, miss no payments etc.)*
- *If mechanism is loan guarantee, what are the terms of the guarantee;*
- *If mechanism is a lease program what are general terms (eg is it lease to own, interest rate, etc))*

4.1.5.4 Socialization of mechanism

- *Training of miners on the specific mechanism (so they understand how it works and know how to access it) (number of miners trained, disaggregated by gender)*
- *Government buy-in, when relevant (and in countries where it is required, the government at the national level has endorsed it)*
- *Process of engagement with the intermediaries in the model*

4.1.5.5 Performance of mechanism

- Amount of the money made available for miners that have actually been accessed by the miners
- If private equity investment, include the number of investors, amount of investment per investor, and profile
- Number of miners taking loans/investments or number of credit agreements or number of miners in the organization (association, cooperative, or corporation) that can benefit from the loans, credit agreements, or investments
- Disaggregation: (1) Gender: women miners, men miners; (2) Population type: youth, and disadvantaged groups (IPFS); (3) Eligibility type: individual or groups
- For loans or other forms of credit, include average amount per loan, also min and max amounts
- For loans or other forms of credit, indicate track record of mobilization, including rate of repayment, rate of delinquency
- Use of proceeds (1) Direct: miners/mining activities that require mercury reduction equipment, and other types of equipment; (2) Indirect: miners for personal usage, and/or family members.

4.1.6 Sustainability

What is likely to happen with the project's intervention outputs, outcomes, and achievements beyond the end of the project? Is there an exit strategy? Are there systems and strategies in place to continue the efforts, incl. the necessary funding? (by whom? in the framework of the NAP? by other governmental, bilateral or multilateral funded projects? Through efforts of CSOs, miners groups and/or private sector players?) What are the major challenges in terms of sustainability? Are further interventions in alignment with relevant country policies? (approx. 1/2 page)

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4.2.1 Gender

Did the financial intervention have specific activities/elements to address gender issues in access to finance? If yes, what were they?

Did the financial intervention have (or is it likely to have) a specific (intended or unintended; positive or negative) impact on gender (if yes, describe? Did the project take any mitigation measures?) (approx. ½ page)

Could you also include technological gaps? (How did mercury-free technologies impact the livelihoods of women who are majorly involved in processing using mercury? Did the project take any mitigation measures?)

4.2.2 Vulnerable Groups

Did the financial intervention have specific activities/elements on vulnerable groups? If yes, what were they?

Did the technology intervention have (or is it likely to have) a specific (intended or unintended; positive or negative) impact on vulnerable groups? (if yes, describe? Did the project take any mitigation measures?) (approx. ½ page)

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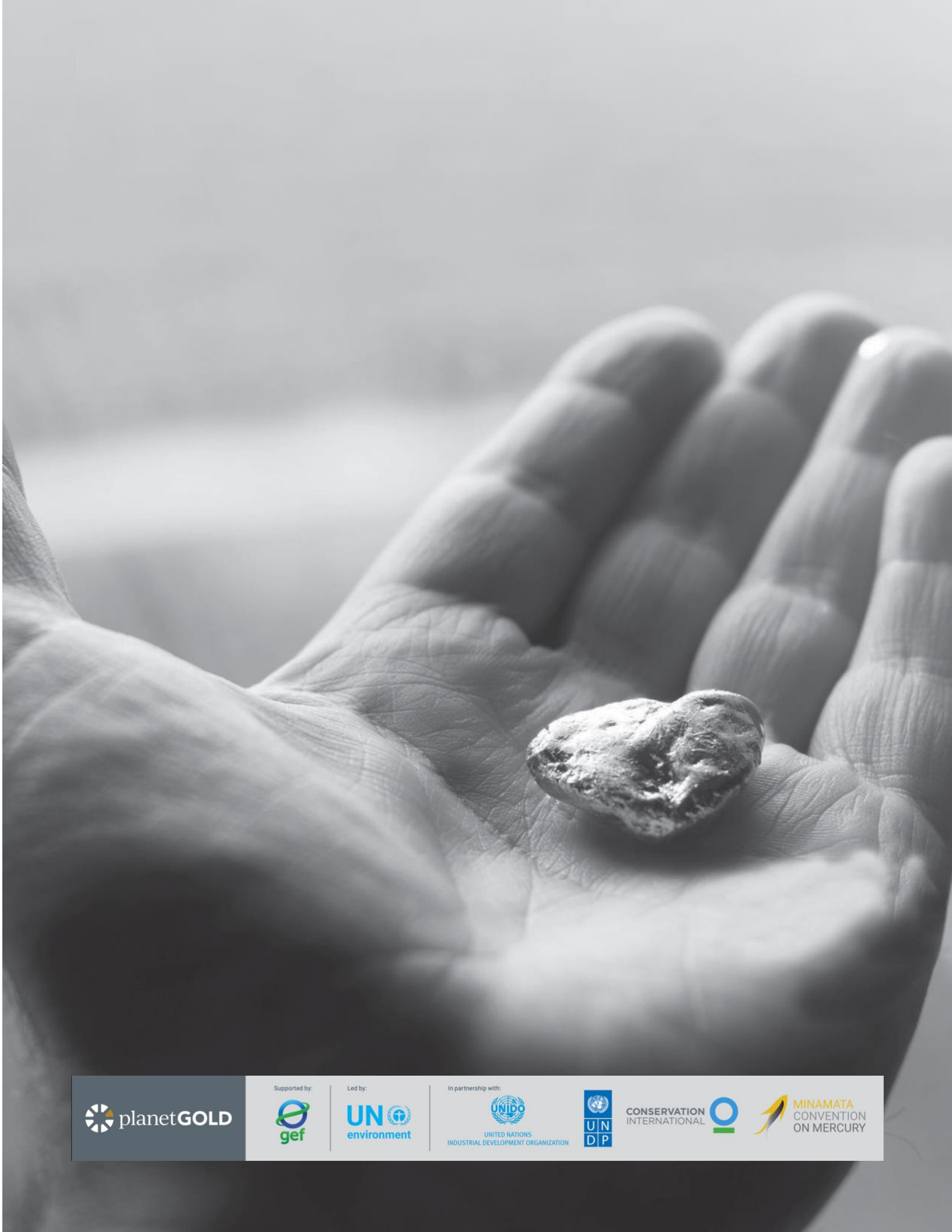
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includes both, within the control of project as well as those factors outside the control of project. Include some discussion of COVID-19 impacts.) (approx. ½ page)

4.3.5 Recommendations for Future Interventions

What are general findings, experiences, observations, and lessons learned during project implementation that are important for the replication of such intervention? What would you recommend to future projects to pay specific attention to improve the results of the intervention? (approx. 1 page)



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