

TERMS OF REFERENCE

1. GENERAL INFORMATION

Programme	“Global Opportunities for Long-Term Development of ASGM” (GEF GOLD) programme”
Consultancy title	International Senior Artisanal and Small-Scale Gold Mining (ASGM) Expert
Type of Contract	Individual Contract
Location	Home-based with travel to Peru, Colombia, Indonesia and Kenya (One (1) two-week mission of 10 work days for each of the project countries).
Duration	Twelve (12) Months
Number of Days	Twenty (20) weeks

2. PROJECT BACKGROUND AND JUSTIFICATION

As one of the Implementing Agencies of the Global Environment Facility (GEF), UNDP is supporting developing countries to develop and implement projects aimed at the elimination and/or sustainable management of mercury to meet their obligations under the newly established Minamata Convention on Mercury.

Recognizing the multi-dimensional impacts of artisanal and small-scale gold mining (ASGM) on the environment, health and poverty, the “Global Opportunities for Long-Term Development of ASGM” (GEF GOLD) programme was approved at the October 2016 council meeting of the GEF.

GEF GOLD is a programmatic approach on ASGM involving three UN agencies (UNDP, UNEP, and UNIDO) and one NGO (Conservation International). The GEF GOLD programme has a global component on communications and knowledge management, which is managed by UNEP and country-level projects in eight countries: Burkina Faso (UNIDO), Colombia (UNDP), Guyana (Conservation International), Indonesia (UNDP), Kenya (UNDP), Mongolia (UNEP/UNIDO), Peru (UNDP), and Philippines (UNEP/UNIDO).

The main objective of the programme is to achieve Global Environmental Benefits by reducing mercury releases from ASGM practices through the introduction and promotion of best practices and techniques for gold extraction.

With this background, and in order to support the efforts of the Governments of Peru, Colombia, Indonesia and Kenya to protect human health and the environment from mercury releases originating from the intentional use of mercury in ASGM, UNDP in its capacity as the Implementing Agency for the GEF, requires the support of an International Senior ASGM Expert. The International Senior ASGM Expert is requested to support the Project Preparation Grant (PPG) phase during which the detailed preparation of country projects for Peru, Colombia, Indonesia and Kenya will take place.

The International Senior ASGM expert is expected to support the design and preparation of four (4) UNDP/GEF projects and accompanying project documents (4) for the GEF GOLD programme in Peru, Colombia, Indonesia and Kenya and support the preparation of additional supporting documents required for approval by the GEF.



3. GENERAL OBJECTIVE

Provide key expertise and technical inputs on ASGM issues required to assess the baseline situation, and support the design and preparation of the four (4) GEF/UNDP projects for Peru, Colombia, Indonesia and Kenya, preparation of 4 project documents and other supporting documents (e.g. CEO endorsements; GEF Tracking Tools, Social and Environmental Screening Procedures, among others) required for approval by the GEF, the Governments of Peru, Colombia, Indonesia and Kenya and UNDP.

4. FUNCTIONS

- In coordination with the **International Project Coordinator**, provide regular advice and guidance to the **4 National Project Coordinators** and **4 National ASGM experts** to conduct 4 studies (1 for each project country) on the current legislative and policy framework pertaining to ASGM/mining, the use of mercury in these sectors and formalization of the ASGM sector. The 4 studies are expected to review policies, plans, regulations, standards and measures, assess their implementation and monitoring (with a focus on the management of mercury, the use and phase-out/phase-down of mercury in the ASGM sector). The studies will also make comparisons to other countries (on these respective areas) to inform the design/strategy/interventions of the 4 country projects. The International Senior ASGM expert is to review the 4 studies and provide comments/suggestions for their improvement.
- In consultation with the **International Project Coordinator** provide advice to the **4 National Project Coordinators** and **4 National ASGM experts** in conducting a 4 studies (1 for each project country) to assess the current capacity of governmental institutions and entities (including educational and training institutions), private and NGO/CBO entities and organizations (both at local and national level) that have responsibilities pertaining to ASGM and/or the management of mercury (in ASGM), and provide comparisons to other countries (on these respective areas) to inform the design/strategy/interventions of the 4 country projects. The International Senior ASGM expert is to review the 4 studies and provide comments/suggestions for their improvement.
- In consultation with the **International Project Coordinator** provide advice to the **4 National Project Coordinators** and **4 National ASGM experts** in conducting 4 assessments (1 for each project country) to determine current collaboration, information exchange (including communication) and awareness between and among national, sub-national and local ASGM stakeholders, and provide comparisons to other countries (on these respective areas) to inform the design/strategy/interventions of the 4 country projects. The International Senior ASGM expert is to review the 4 assessments and provide comments/suggestions for their improvement.
- Provide advice to the **4 National ASGM Experts** on how to conduct an ASGM and Mercury Baseline assessment and undertake a priority setting study in each of the 4 project countries in close coordination with national project counterparts. The International Senior ASGM expert is to review the 4 assessments and studies and provide comments/suggestions for their improvement.

The baseline assessments and studies will encompass the below to inform the design/strategy/interventions of the 4 country projects:

- Select priority ASGM project locations/sites and community beneficiaries based on criteria to be agreed upon between the national project counterparts and the PPG project team;
- Estimate the amount of mercury that is used by ASGM communities selected to participate in the project – prior to the project's implementation;
- Review the current gold supply chain and propose ways to increase the potential profit for the producers vis-a-vis intermediaries;
- Assess what type of BAT/BEP options would be suitable and applicable for the prioritized ASGM communities;



- Assess the technical capacity and awareness of ASGM communities on mercury alternatives and alternative technologies and the technical capacity and awareness of supporting professions (e.g. geologists, environmentalists, technology technicians, etc.) in the selected project locations/sites. Determine what type of technical guidance, training, etc. should be provided by the project in each country to support a reduction in the use of mercury in the priority sites and the country as a whole;
- Define the mercury reduction targets the project would be able to achieve for each project site and each of the 4 project countries.
- In coordination with the 4 **National ASGM Experts**, prepare an analysis of access to regional/global programmes to sell Hg free or “reduced Hg” gold for each of the 4 project countries, and provide comparisons to other countries (on these respective areas) to inform the design/strategy/interventions of the 4 country projects.
- Conduct one (1) two-week mission/field visit of 10 work days each to each of the 4 project countries (with the National PPG experts: PPG coordinator, ASGM Expert, gender expert and finance expert) to visit priority ASGM communities/locations, meet with national project counterparts, launch baseline assessment activities and train national experts on the baseline methodology. Prepare mission reports for each mission and make recommendations that will inform the development of the four (4) Project Documents.
- Participate in 4 Inception Workshops (one for each project country) and make presentations and facilitate working groups as required.
- Suggest indicators related to Hg management in ASGM to be included in the Project Results Framework (PRF) and the project’s Work Plan, for inclusion in the 4 Project Documents.
- Support the development and design of ASGM interventions to be taken up in the 4 UNDP-GEF Project Documents.
- Provide daily/weekly support, advice and coaching to the 4 national ASGM experts by email, phone and conference calls to ensure that planned PPG activities are advancing according to plan.

5. EXPECTED PRODUCTS

- Prepare four (4) PPG work plans and four (4) accompanying time tables laying out all the activities to be undertaken by the International and National ASGM experts for the full duration of the assignment.
- In consultation with the **International Project Coordinator** prepare annotated outlines for the ASGM sections of the 4 Project Documents, which contain clear indications of the type of information required for each of the sections of the project document and assign responsibilities for obtaining this information to the 4 **National ASGM Experts** and 4 **National Project Coordinators**.
- Undertake One (1) two-week mission of 10 work days for each of the project countries, to participate in the PPG Inception Workshops and undertaken field visits (with the National PPG experts: PPG coordinator, ASGM Expert, gender expert and finance expert) to visit priority ASGM communities/locations, launch baseline assessment activities and train national experts on the baseline methodology. Prepare 4 mission reports upon return.
- Review and provide detailed written advice to improve the quality and key information contained in the following products prepared by the 4 national project teams:
 - Studies (4) on the current legislative and policy framework pertaining to ASGM;
 - Studies (4) to assess the current capacity of governmental institutions and entities pertaining to ASGM;
 - Assessments (4) to determine current collaboration, information exchange (including communication) and awareness related to ASGM.



- Baseline studies (4) (including mercury) of the ASGM situation in general in the country and that of the project intervention sites in specific (including socio-economic and gender aspects).
- Analyses (4) of access to regional/global programmes to sell Hg free or “reduced Hg” gold.
- Provide text and inputs for the elaboration of key ASGM sections of the four (4) UNDP/GEF project documents (of which the development will be led by the **International Project Coordinator**), including, but not limited to the following sections: 1. Development Challenge; 2. Strategy; 3. Results & Partnerships; 4. Feasibility; 5. Project Results Framework; 6 Budget and 7. Work Plan.
- Review the first drafts of the four (4) Project Documents and provide suggestions for their improvement.
- Support the four (4) project teams in addressing comments/feedback received during the validation workshops and help incorporate proposed changes in the four (4) Project Documents.
- In consultation with the **International Project Coordinator**, prepare four (4) matrixes containing responses to comments/specific technical issues and questions raised by the GEF Secretariat, STAP and GEF Council members.

6. COORDINATION AND SUPERVISION

The International Senior ASGM Expert will work in close coordination with the **International Project Coordinator**, the 4 **National Project Coordinators** and 4 **National ASGM experts**. He/she will be supervised and in continuous communication with the Peru, Colombia, Indonesia and Kenya UNDP Country Offices and the relevant UNDP MPU/Chemicals Regional Technical Advisor(s) to facilitate the preparation of the country projects. He/she should carry out his/her tasks in accordance with the rules and procedures of UNDP.

7. CONTRACT DURATION

The contract will run for 12 months from the signing of the contract.

8. PLACE OF WORK

The consultant shall perform his/her functions remotely. The International Senior ASGM Expert will be required to visit the project countries as outlined in the products section. One (1) two-week mission of 10 work days for each of the project countries, are required to be undertaken by the International Senior ASGM expert during the PPG phase.

9. EXPERT/TRAINER PROFILE

The International Senior ASGM Expert shall have the following capabilities and experience:

- Masters or PhD in chemistry, mining, environment, hazardous waste management or similar.
- At least three (3) years of experience of working in environmental projects related to reducing mercury in the Artisanal and Small-Scale Gold Mining (ASGM) sector.
- Experience in ASGM projects in Asia, Africa, or Latin America.
- Experience and/or familiarity with UNDP, GEF, or other international organizations and/or vertical funds will be considered an advantage.
- At least 2 publications on mercury and mining.
- Fluent in spoken and written English.

10. PAYMENT

Payments will be made upon receipt and approval of products, as detailed in the following table. All products must be performed for all Countries' PPGs: Kenya, Indonesia, Peru and Colombia.

Products	Time	Amount
<ul style="list-style-type: none"> • Prepare four (4) PPG work plans and four (4) accompanying time tables laying out all the activities to be undertaken by the International and National ASGM experts for the full duration of the assignment. • In consultation with the International Project Coordinator prepare annotated outlines for the ASGM sections of the 4 Project Documents, which contain clear indications of the type of information required for each of the sections of the project documents and assign responsibilities for obtaining this information to the 4 National ASGM Experts and 4 National Project Coordinators. 	4 weeks	20%
<ul style="list-style-type: none"> • Four 2-week missions (10 workdays each) to each of the project countries (4 in total), that include: <ul style="list-style-type: none"> - Participation in the Inception Workshops. - With the National PPG team, visit priority ASGM communities/locations, meet with national counterparts, launch baseline assessment activities and train national experts on the baseline methodology. Prepare mission reports (4) upon return. - Review and provide detailed written advice to improve the quality and key information contained in the products (assessments and studies) prepared by the 4 national project teams. 	8 weeks	35%
<ul style="list-style-type: none"> • Text and input provided for the elaboration of key ASGM sections of the UNDP/GEF project document (of which the development will be led by the International Project Coordinator). 	4 weeks	25%
<ul style="list-style-type: none"> • In coordination with the International Project Coordinator, prepare the final versions of the four (4) UNDP/GEF Project Documents, the CEO Endorsement documents and associated annexes (SESPs, GEF Tracking Tools, Management Arrangements, Budget, etc.). Review these documents and provide suggestions for their improvement. • In consultation with the International Project Coordinator, prepare four (4) matrixes containing responses to comments/specific technical issues and questions raised by the GEF Secretariat, STAP and GEF Council members. 	4 weeks	20%

11. CRITERIA FOR SELECTING THE BEST OFFER

The methodology used is the so-called combined score: 70% corresponding to the technical evaluation and 30% corresponding to the financial proposal evaluation. Only the financial proposals of the offers obtaining at least 70 points of the corresponding technical evaluation (based on the P11) will be considered.



Technical Proposals will be evaluated per the following formula:

<p style="text-align: center;"><u>Score of the Technical Proposal (TP)</u></p> <p style="text-align: center;">Score TP = (Overall Proposal's score x 70) / 100</p>

The financial proposal's score is calculated as follows:

<p style="text-align: center;"><u>Score of the Financial Proposal (FP)</u></p> <p style="text-align: center;">Score FP = (Lowest technically responsive Financial proposal's price/Evaluated Financial proposal's price) x 30</p>
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Final score will be obtained adding the scores of the technical and financial proposals:

<p style="text-align: center;"><u>Combined weigh score (Technical and financial)</u></p> <p style="text-align: center;">Score TF = Score TP + Score FP</p>

The criteria for evaluation of P11 and technical offers are:

Evaluation criteria	
A	<p>Education</p> <ul style="list-style-type: none"> • Masters in chemistry, mining, environment, hazardous waste management or similar – 10 points • PhD in chemistry, mining, environment, hazardous waste management or similar – 15 points
B	<p>Experience</p> <ul style="list-style-type: none"> • Between 3 and 6 years of experience of working in environmental projects related to reducing mercury use in the Artisanal and Small-Scale Gold Mining (ASGM) sector – 15 points • 6 years or more years of experience of working in environmental projects related to reducing mercury use in the Artisanal and Small-Scale Gold Mining (ASGM) sector – 20 points
C	<p>Experience in Asia, Africa and/or Latin America</p> <ul style="list-style-type: none"> • Experience in ASGM projects in one (1) of the defined work regions – 15 points



	<ul style="list-style-type: none"> • Experience in ASGM projects in two (2) of the defined work regions– 20 points • Experience in ASGM projects in three (3) of the defined work regions– 25 points
D	Experience with UN Agencies and vertical funds <ul style="list-style-type: none"> • Experience and/or familiarity with UN Agencies and/or other international organizations and/or vertical funds – 10 points • Experience with UNDP and GEF – 15 points
E	Publications <ul style="list-style-type: none"> • At least 2 publications on Mercury and Mining – 10 points • More than 2 publications on Mercury and Mining – 15 points
F	Language <ul style="list-style-type: none"> • Fluent in English – 10 points

The financial proposal should be presented following Annex A of these TOR's and should include travel costs.



Annex A

OFFEROR'S LETTER TO UNDP CONFIRMING INTEREST AND AVAILABILITY FOR THE INDIVIDUAL CONTRACTOR (IC) ASSIGNMENT

Date _____

Edo Stork
United Nations Development Programme
Peru Country Office
Av. Pérez Araníbar Nº 750
Magdalena del Mar, Lima 17 - Perú

Dear Sir:

I hereby declare that:

- a) I have read, understood and hereby accept the Terms of Reference describing the duties and responsibilities for the position of International Senior Artisanal and Small-Scale Gold Mining (ASGM) Expert to implement the Global Opportunities for Long-Term Development of ASGM" (GEF GOLD) Programme, with missions to project participants in Peru, Colombia, Indonesia and Peru;
- b) I have also read, understood and hereby accept UNDP's General Conditions of Contract for the Services of the Individual Contractors;
- c) I hereby propose my services and I confirm my interest in performing the assignment through the submission of my Personal History Form (P11) which I have duly signed and attached hereto as Annex 1;
- d) In compliance with the requirements of the Terms of Reference, I hereby confirm that I am available for the entire duration of the assignment;
- e) I hereby propose to complete the services based on the following payment rate:

☒ The consultant will quote his/her professional fees for services based on the deliverables identified below. An all-inclusive lump sum fee of [state amount in words and in numbers in US dollars] under this assignment, payable in the manner described in the Terms of Reference.

- f) For your evaluation, the breakdown of the abovementioned all-inclusive amount is attached hereto as Annex 2;



- g) I recognize that the payment of the abovementioned amounts due to me shall be based on my delivery of outputs within the timeframe specified in the TOR, which shall be subject to UNDP's review, acceptance and payment certification procedures;
- h) This offer shall remain valid for a total period of 90 days after the submission deadline;
- i) I confirm that I have no first degree relative (mother, father, son, daughter, spouse/partner, brother or sister) currently employed with any UN agency or office *[disclose the name of the relative, the UN office employing the relative, and the relationship if, any such relationship exists];*
- j) If I am selected for this assignment, I shall

☐ Sign an Individual Contract with UNDP;

- k) I hereby confirm that:

☐ At the time of this submission, I have no active Individual Contract or any form of engagement with any Business Unit of UNDP;

☐ I am currently engaged with UNDP and/or other entities for the following work :

Assignment	Contract Type	UNDP Business Unit / Name of Institution/Company	Contract Duration	Contract Amount

☐ I am also anticipating conclusion of the following work from UNDP and/or other entities for which I have submitted a proposal:

Assignment	Contract Type	Name of Institution/ Company	Contract Duration	Contract Amount

- l) I fully understand and recognize that UNDP is not bound to accept this proposal, and I also understand and accept that I shall bear all costs associated with its preparation and submission and that UNDP will in no case be responsible or liable for those costs, regardless of the conduct or outcome of the selection process.



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- m) **If you are a former staff member of the United Nations recently separated, pls. add this section to your letter:** I hereby confirm that I have complied with the minimum break in service required before I can be eligible for an Individual Contract.
- n) I also fully understand that, if I am engaged as an Individual Contractor, I have no expectations nor entitlements whatsoever to be re-instated or re-employed as a staff member.

Full Name and Signature:

Date Signed:

Annexes [pls. check all that applies]:

☐

CV or Duly signed P11 Form

☐

Breakdown of Costs Supporting the Final All-Inclusive Price and Breakdown of Cost by Deliverables as per Templates



BREAKDOWN OF COSTS SUPPORTING THE ALL-INCLUSIVE FINANCIAL PROPOSAL

A. Breakdown of Cost by Components:

Cost Components	Unit Cost	Quantity	Total Rate for the Contract Duration
I. Personnel Costs			
Professional Fees			
Life Insurance			
Medical Insurance			
Communications			
Land Transportation			
Others (pls. specify)			
II. Travel Expenses to Join duty station			
Round Trip Airfares to and from duty station			
Living Allowance			
Travel Insurance			
Terminal Expenses			
Others (pls. specify)			
III. Duty Travel			
Round Trip Airfares			
Living Allowance			
Travel Insurance			
Terminal Expenses			
Others (pls. specify)			
Total			USD



B. Breakdown of Cost by Deliverables*

Deliverables <i>[list them as referred to in the TOR]</i>	% of Total Price (Weight for payment)	Amount
Deliverable 1: <ul style="list-style-type: none"> • Prepare four (4) PPG work plans and four (4) accompanying time tables laying out all the activities to be undertaken by the International and National ASGM experts for the full duration of the assignment. • In consultation with the International Project Coordinator prepare annotated outlines for the ASGM sections of the 4 Project Documents, which contain clear indications of the type of information required for each of the sections of the project documents and assign responsibilities for obtaining this information to the 4 National ASGM Experts and 4 National Project Coordinators. 	20%	
Deliverable 2: <ul style="list-style-type: none"> • Four 2-week missions (10 workdays each) to each of the project countries (4 in total), that includes: <ul style="list-style-type: none"> - Participation in the Inception Workshops. - In coordination with the National PPG team, visit priority ASGM communities/locations, meet with national counterparts, launch baseline assessment activities and train national experts on the baseline methodology. Prepare mission reports (4) upon return. - Review and provide detailed written advice to improve the quality and key information contained in the products (assessments and studies) prepared by the 4 national project teams. 	35%	
Deliverable 3: <ul style="list-style-type: none"> • Text and input provided for the elaboration of key ASGM sections of the UNDP/GEF project document (of which the development will be led by the International Project Coordinator). 	25%	
- Deliverable 4: <ul style="list-style-type: none"> • In coordination with the International Project Coordinator, prepare the final versions of the four (4) UNDP/GEF Project Documents, the CEO Endorsement documents and associated annexes (SESPs, GEF Tracking Tools, Management Arrangements, 	20%	



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Budget, etc.). Review these documents and provide suggestions for their improvement. <ul style="list-style-type: none">• In consultation with the International Project Coordinator, prepare four (4) matrixes containing responses to comments/specific technical issues and questions raised by the GEF Secretariat, STAP and GEF Council members.		
Total	100%	USD

**Basis for payment tranches*