**PROJECT DOCUMENT**

**GHANA**

**Project Title:** Development of Minamata Initial Assessment for Ghana  
**Project Number:** 00095383 (Project/Award); 00099393 (Output)  
**Executing Agency:** Environmental Protection Agency  
**Management Arrangements:** National Implementation Modality (NIM)  
**Programme Cycle:** 2016-2018  
**PIMS:** 5806  
**Start Date:** November 2016  
**End Date:** November 2018  
**PAC Meeting date:** 8 September 2016

### Brief Description

The overall objective of this GEF-funded project is to undertake a Minamata Convention Initial Assessment (MIA) to enable the Government of Ghana to determine the national requirements and needs for the implementation of the convention and establish its foundations. Ghana became a Signatory to the Convention on 24 September 2014 and the ratification process will be completed before the end of 2016. The project falls under Programme 2 of the Chemicals and Waste focal area of the 6th Cycle of the GEF (“Support enabling activities and promote their integration into national budgets, planning processes, national and sector policies and actions and global monitoring”).

In Ghana, main mercury releases are thought to originate from Artisanal Small-scale Gold Mining (ASGM) activities as well as through the disposal (e.g.: land filling, incineration) of certain products containing mercury.

The project will 1. create an enabling environment for decision-making on the implementation of Minamata and 2. develop the National Mercury Profile and Mercury Initial Assessment Report for Ghana.

The project will seek synergies with two other mercury related GEF-funded projects:
- National Action Plan on Mercury in the Artisanal and Small-Scale Gold Mining sector in Ghana (UNIDO)
- Reducing Unintended Persistent Organic Pollutants and Mercury Releases from the Health Sector in Africa (UNDP and WHO).

### Contributing Outcome (UNDAF):

<table>
<thead>
<tr>
<th>Outcome 3: National systems and existing institutional arrangements for Climate Change mitigation and adaptation and for disaster risk reduction, as defined in the Hyogo Framework for Action at the district, regional and national level are functional</th>
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<tbody>
<tr>
<td><strong>Total resources required:</strong></td>
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<td><strong>Total resources allocated:</strong></td>
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<td>UNDP TRAC:</td>
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<td>GEF:</td>
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<td>Government:</td>
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<tr>
<td>In-Kind:</td>
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<td><strong>Unfunded:</strong></td>
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</tbody>
</table>

### Agreed by (signatures):

- **Government:**  
  - Print Name: P. NAMBO  
  - Date: 31/12/2016
- **UNDP:**  
  - Print Name: R. WAM  
  - Date: 31/12/2016
- **Executing Agency:**  
  - Print Name: J. A. P. WAM  
  - Date: 12/10/2016
I. **Development Challenge**

Ghana is a Party to several international agreements on chemicals, among them, are the Basel, Rotterdam, and Stockholm Conventions as well as the Montreal Protocol. Ghana is aware of the threats mercury can pose to human health and the global environment. Ghana has also initiated practical steps to become a Party to the Minamata Convention on Mercury by becoming a Signatory to the Convention on 24 September 2014. At the time of writing this proposal, the ratification of the Convention is in front of Parliament, and the process is expected to be completed by the end of 2016.

In Ghana, main mercury releases are thought to originate from Artisanal Small-Scale Gold Mining (ASGM) activities as well as through the disposal (e.g.: land filling, incineration) of certain products containing mercury. Such products include: auto parts, batteries, fluorescent bulbs and medical products, among others.

In the health sector, mercury is common among diagnostic equipment such as thermometers and sphygmomanometers (blood pressure devices). Since health facilities in Ghana lack adequate protocols for the sound management of this waste, when mercury becomes waste, like from broken thermometers, it is dumped in general waste dumpsites without due regard to its mercury content.

II. **Strategy**

The proposed Enabling Activity (EA) and the project framework are entirely in line with the GEF Initial Guidelines for Enabling Activities for the Minamata Convention on Mercury (GEF/C.45/Inf.05). The project is also aligned to the UNDP Strategic Plan, Output 1.3. Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste

**Project Objective** is to undertake a Minamata Convention Initial Assessment to enable the Government of Ghana to establish a sound foundation to undertake future work towards the implementation of the Convention.

**Project Goals:** the project will achieve its objective by reaching 4 goals as specified in the GEF guidelines (GEF/C.45/Inf.05 paragraph 19), as well as a fifth goal on mainstreaming, as follows:

a) **Undertake a detailed Minamata Convention Initial Assessment in the following categories:**
   - Stocks of mercury and/or mercury compounds and import and export procedures including an assessment of the storage conditions;
   - Supply of mercury, including sources, recycling activities and quantities;
   - Sectors that use mercury and the amount per year, including manufacturing processes;
   - Trade in mercury and mercury containing compounds.

b) **National identification of the following:**
   - Emission sources and releases of mercury;

c) **Release sources of mercury to land and water. Review and assessment of legislation and policies in regard to the implementation of the provisions of:**
   - Article 3: Mercury supply sources and trade
   - Article 4: Mercury-added products
   - Article 5: Manufacturing processes in which mercury or mercury compounds are used
   - Article 8: Emissions within the national context - standards and regulations
   - Article 9: Identify and categorize sources of releases according to the national capacity to do so
d) Assess institutional and capacity needs to implement the Convention. Institutional capacity of
government institutions and agencies will be assessed to determine the gaps and needs that exist
for the implementation of the Convention and propose interventions to strengthen them. The
assessment will also review the systems needed to report to the Convention under article 21.
Proposed actions will be discussed and agreed upon among the key stakeholders through several
rounds of discussions. The expected outcome will be a description of the following key areas:
  - National mercury profile, including significant sources of emissions and releases, as well as
    inventories of mercury and mercury compounds
  - Structures, institutions, legislation already available to implement the Convention
  - Barriers that would hinder or prevent implementation of the Convention
  - Technical and financial needs required for the implementation of the Convention, including
    resources from the GEF, national sources, bilateral sources, the private sector and others
c) Mainstreaming
  - Raising the importance of Mercury priority interventions at national level through
    mainstreaming in relevant national planning process and procedures

III. RESULTS AND PARTNERSHIPS

Expected Results

The proposed Enabling Activity (EA) project has been organized into three outcomes with their
project outputs and activities as listed below:
1. Creation of an enabling environment for the implementation of Minamata convention.
2. Development of the National Mercury Profile and Minamata Initial Assessment Report
3. Monitoring and evaluation.

Outcome 1. Enabling environment for decision-making on the implementation of the
Minamata Convention created.

Output 1.1. Policy, regulatory framework and institutional capacity needs in regard to the
implementation of the Convention's provisions assessed.

- Existing legislation and structures on mercury will be reviewed, in order to identify gaps for
  meeting the Minamata Convention’s requirements and identify proposed amendments
  accordingly.
- Roles of key ministries and institutions will also be analyzed. These institutions will include the
  Ministries responsible for the issues related to health, economy, environment, agriculture and
  fisheries, energy and waste management. The capacities of these institutions to manage mercury
  in a comprehensive manner will be assessed.
- A national decision making structure on mercury (mercury coordination/consultation
  mechanism) will be established in line with national capacities and existing structures, and
  practices and where feasible will build or expand on such similar structures designed in support
  of other chemical MEAs.
- Other barriers that would hinder implementation of the Convention will be identified and
  recommendations will be made on how to remove such barriers.
- Upon the identification of capacity and/or regulatory gaps (in relation to the Convention’s
  obligations), these will be discussed and reviewed by the project's stakeholders. The results of
  these discussions will direct the work under Outcome 2, in particular related to the development
  of the MIA Report.
- These activities will be led by a technical team set up by EPA.
Output 1.2. Awareness on the environmental and health impacts of mercury raised.

- The project will leverage on the chemicals awareness strategy previously developed for EPA, existing awareness platforms (such as national chemicals management meetings), and awareness creation material already developed by the UN to conduct awareness on the proper sound management of mercury containing products and wastes (e.g. thermometers, CFLs tubes, batteries) and on the human health and environmental effects of mercury and mercury compounds. The awareness creation material will be printed and then disseminated in Ghana during events, meetings etcetera. Awareness raising will target decision makers, the general public and population groups at risk.

Output 1.3. Importance of mercury priority interventions at national level raised through mainstreaming in relevant policies/plans.

- The EPA will partner with the National Development Planning Commission (NDPC) and the relevant ministries, departments and agencies (MDAs) to include mercury intervention priorities into national policies and development plans. In particular, it will be ensured that the 40-year National Development Plan currently being developed under the leadership of NDPC, as well as the plan to localize and implement the Sustainable Development Goals (SDGs), are in line with the provisions of the Minamata Convention.


Output 2.1. National capacities to undertake the Mercury Inventory built.

- National capacity to undertake the Mercury Inventory will be built through training on data collection methodologies, reliability, credibility and data analysis which will be conducted and facilitated by the project’s International Technical Advisor. UNITAR will assist Ghana to develop the mercury inventory profile, through a comprehensive training programme, which will involve trainers of trainers (to be conducted overseas) and through national training (on-site) and a follow-up programme through on-line tools and materials. The on-site training will be carried out by UNITAR back-to-back with the Inception Workshop.

- Training will be targeted towards a group of national technical experts who will conduct and develop the National Mercury Profile. Training will also be targeted at key government representatives and other national project stakeholders who need sufficient knowledge about conducting a Mercury Inventory to be able to review it and comment on it.

Output 2.2. Mercury Inventory conducted and National Mercury Profile prepared.

- The inventory will make use of the UNEP "Toolkit for identification and quantification of mercury releases", which is intended to assist countries to develop a national mercury releases inventory. It provides a standardized methodology and accompanying database enabling the development of consistent national and regional mercury inventories.

- Throughout the data collection, analysis and preparation of the Mercury Inventory, the national expert team will be guided by an international technical advisor (UNITAR). The experts will formally present their reports to the Steering Committee for comments, views and approval during the period of the assignment.

- The experts will be required to carry out an inventory of mercury-containing wastes in Ghana in accordance with the UNEP Inventory Level 2 methodology. The experts are expected to conduct desk studies, thorough quantitative and qualitative surveys and field audits of the activities
generating mercury-containing wastes in Ghana, in number and nature, in compliance with statistical norms in order to:

a) Identify and assess the amounts of emission sources of mercury and release sources of mercury to land and water. This will include the identification of activities generating mercury-containing wastes in Ghana.

b) Collect, compile data and prepare an inventory of the sources, types, quantities and physical states of mercury-containing wastes generated, stored and recycled, treated or disposed of in Ghana. This will include the identification of old, historical sources of mercury contamination (such as abandoned waste dumping sites).

c) Assess current levels of handling, storage and management practices for mercury-containing wastes.

d) Identify key sectors, local authorities, communities and other stakeholders affected by or involved with important mercury sources and/or emissions.

e) Identify opportunities and propose measures for the minimization, recycling, pre-treatment and disposal of mercury containing wastes.

- The inventory will not include the collection of data for the artisanal and small scale mining sector. These will be provided by the NAP project.

- After completion of the data gathering stage, a National Mercury Profile, including significant sources of emissions and releases, as well as inventories of mercury and Mercury compounds, will be prepared for review, approval and adoption by national stakeholders during a validation workshop. The template for the Profile will be provided by UNITAR, alongside technical support throughout the assignment.

- This activity will be led by a technical team set up by EPA.

**Output 2.3. National MIA Report prepared.**

- Following the finalization of the project activities as envisaged under Outcomes 1 and 2, the national project team will prepare a National MIA Report. The template for the report will be provided by UNITAR, alongside technical support. The main methodological document that will be used is the *Minamata Initial Assessment Report: Suggested Structure and Contents* that was developed by UNDP in partnership with UNITAR under the IOMC mercury working group.

- The MIA Report will capture the results of all the assessments carried out as part of the project. It will summarize the challenges, needs and opportunities to the implementation of the Convention and will also include recommendations for the Government of Ghana to implement the Minamata Convention, taking into consideration the role of all key players and their responsibilities, in particular gender concerns and the special needs of vulnerable groups.

- Following the preparation of the draft MIA report, it will be reviewed and validated by national stakeholders. This process of wide consultation will include technical meetings with key sectors, written communications and discussions leading to a final MIA document that will allow the Government to take an informed decision on whether or not to ratify the Convention.

- The MIA report will also provide a useful overview for the Government on the actions it needs to undertake in order to meet its obligations under the Convention.

- A half-day event will be organized to launch the National MIA Report as well as the other products developed under the project.

**Outcome 3. Monitoring and Evaluation effectively carried out.**

**Output 3.1. Project monitoring and evaluation implemented.**
• This outcome will provide periodic feedback on project implementation and also provide a report at the end of the implementation to evaluate its success, relevance, impact and lessons learnt. GEF relevant templates will be used to record the information.

Resources Required to Achieve the Expected Results
At the national level, EPA will set up technical teams to conduct the implementation of the activities. This is based on the current approach used by Government for the implementation of chemicals related international agreements.

Technical, management and administrative support will be provided by the UNDP Ghana Country Office and the Chemicals Unit of the UNDP Regional Service Centre in Istanbul.

UNITAR will implement some of the activities and provide overall technical support to the project.

Partnerships

From 2012 to 2015, the Ghana-Michigan Gold Mining Integrated Assessment was co-developed with key stakeholders to bring together members to synthesize and present data and publish its research results. The assessment called for: the establishment of the national framework for policy and plan implementation including taskforces and working groups that would be interacting with the national stakeholders and strengthening of public and private support for education with ASG miners on ecological and human health risks, mercury and metals, mercury reduction strategies, and business practices.

Ghana has received support from UNITAR (with funding from the Swiss Government) to facilitate national dialogue on the ratification decision and awareness raising for decision makers on the environmental and health adverse effects associated with mercury. The activities of the MIA will benefit from the awareness already created under this project.

Ghana is also planning to develop a National Action Plan (NAP) for ASGM in alignment with its all-inclusive green approach vision. UNIDO is serving as the GEF Implementing Agency for Ghana’s NAP and efforts to coordinate between the agencies on the NAP and MIA preparation processes will be ensured. Specifically, the NAP project will provide data related to ASGM.

Ghana is also part of a regional GEF project on health care waste management implemented with UNDP (Reducing Unintended Persistent Organic Pollutants (UPOPs) and Mercury Releases from the Health Sector in Africa, #4865), which includes some targets related to mercury use in the health sector – primarily to reduce the mercury releases from that sector. Data collected under this project will feed into the development of the MIA.

Ghana will also benefit from new and updated information about the mercury situation in its national boundaries and from increased capacity in managing the risks of mercury. There is suspicion of high level of illegal trade (imports of mercury in the country). The sharing of experiences and lessons learned throughout the project is also expected to be an important contribution to other similar countries.

The efforts made by Ghana, mentioned above, indicate that the proposed MIA project is fully in line with the country’s goal to map and prevent mercury-related environmental and health problems in the affected sectors and invest in solutions to fulfill obligations under the Minamata Convention. The
MIA will provide a firm foundation for Ghana to develop its National Implementation Plan in accordance with Article 20; and to prepare a national plan to reduce emissions of mercury in accordance with Article 8.

**Risks and Assumptions**

<table>
<thead>
<tr>
<th>Identified Risks</th>
<th>Risk Assessment</th>
<th>Mitigation Measures</th>
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<tbody>
<tr>
<td>Political Change of the Government stand towards Convention ratification</td>
<td>Low</td>
<td>The project outputs have been identified, and project activities developed, in close collaboration with the Ministry of Environment, Science, Technology and Innovation and other government institutions and stakeholders. The project will further support a Minamata Initial Assessment to enable the Government of Ghana to establish a sound foundation to undertake future work towards the implementation of the Convention</td>
</tr>
<tr>
<td>Organizational: Institutional Arrangements (Lack of collaboration and participation from the relevant stakeholders)</td>
<td>Medium</td>
<td>The Project Manager will ensure that effective communication is established among relevant stakeholders of the Project Board with emphasis on their respective tasks and responsibilities. The Project Manager will also ensure that those tasks are achieved in a prompt and timely manner as per the Annual Work Plan and the progress report.</td>
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<tr>
<td>Operational: Delay in the execution of activities due to lengthy governmental procedures.</td>
<td>Medium</td>
<td>Proper project planning will be ensured by the Project Board as per the Annual Work plan and monitoring of same will be done through the quarterly progress reports. Assistance with be provided by UNDP in the execution of certain activities when need arises.</td>
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**Stakeholder Engagement**

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<tr>
<th>No</th>
<th>Project Stakeholder</th>
<th>Roles &amp; Responsibilities</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Ministry of Environment, Science, Technology and Innovation (MESTI)</td>
<td>The overall objective of MESTI is to ensure accelerated socio-economic development of the nation through the formulation of sound policies and a regulatory frame work to promote the use of appropriate environmentally friendly, scientific and technological practices and techniques.</td>
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<td>• Responsible for building a strong national scientific and technological base for accelerated sustainable development to enhance the quality of life for all.</td>
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<td>• MESTI will chair the Project Steering Committee.</td>
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<td>2</td>
<td>Environmental Protection Agency (EPA)</td>
<td>The Government entity responsible for the implementation of policies on all aspects of the environment. The EPA will serve as the main Governmental counterpart providing national leadership. The EPA which also serves as the Minamata Convention focal point for Ghana will be responsible for the day-to-day compliance with the treaty and its provisions. EPA will also serve as Secretariat of the Project Steering Committee (PSC).</td>
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<tr>
<td>3</td>
<td>Ministries Departments and Agencies</td>
<td>Ministry of Health, Ghana Health Service, Ministry of Lands and natural resources, Minerals Commission, Ministry of Trade (GSA etc), Customs Division of GRA, Ministry of Finance, Ministry of Interior (Ghana Immigration Service, Ghana Police), Ministry of Local Government and Rural development, Ministry of Transport (GPHA), National Development Planning Commission, Ministry of chieftaincy and culture (House of chiefs), Ministry of Justice and Attorney General (Attorney General's Department, Ministry of Foreign Affairs and Regional Integration, Ministry of Gender, Children and Social Protection, Ministry of Employment and Labour Relations</td>
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<td>4</td>
<td>Non-Governmental Organisation (NGOs)</td>
<td>The project will also seek to involve NGOs, on the model that was used successfully in previous projects, such as for the implementation of the Polychlorinated Biphenyls (PCBs) management and capacity building project. This will lay the foundation for additional involvement in the future, if opportunities for further projects on mercury phase-out are identified throughout the MIA process. The role of the Non-Governmental Organisations (NGOs) will be to sensitise local communities at risk, the general public and decision makers and disseminate information on the environmental and health aspects and concerns of mercury releases and accumulation in the environment. Examples of such NGOs include: KASA Initiative (Friends of the Nation) Network of NGOs in the mining Sector, NGOs in the chemical management sector</td>
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<td>4</td>
<td>Research and academic institutions</td>
<td>They are the repositories of a significant amount of knowledge and documentation on this subject. These institutions will play a key role in helping to identify existing documentation to avoid duplication of work. They will also be involved in research programmes on mercury and mercury waste management and the delivery of training programmes on hazardous waste management. Stakeholders in this area are University of Mines and Technology, Centre for Scientific and Industrial Research and Ghana Atomic Energy Commission</td>
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<tr>
<td>5</td>
<td>Private sector</td>
<td>Private industries, health care facilities, distributors and retailers that provide services in mercury-related products, as well as service providers involved in waste collection, disposal and treatment of mercury will be involved in providing data on mercury. They will also be among the target group for awareness raising. Stakeholders in this area are Ghana Institute of Freight Forwarders, Association of Small Scale miners, Ghana Chamber of Commerce, and the Association of Ghana Industries.</td>
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**South-South and Triangular Cooperation (SSC/TrC)**

This project (or Enabling Activity) is being carried out in other countries, such as Serbia, Montenegro, Morocco and Bosnia Herzegovina, among others. The UNDP Regional Hub and UNITAR will promote exchanges of lessons learned and best practices with these and other countries. It is also expected that, at the end of the projects, Ghana and other countries may meet to share their respective experiences and discuss how to best implement the recommendations from the MIA reports.

**Knowledge**
This project will produce two main documents. They are the Minamata Initial Assessment report and the Report of Ghana’s Mercury profile highlighting emission sources, existing regulations and regulatory gaps. These two documents will serve as a basis for which a national decision will be taking in mainstreaming the Minamata Convention in National Development plans.

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learnt. The project will identify, analyse and share lessons learnt that might be beneficial in the design and implementation of similar future projects.

Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

Sustainability and Scaling Up

The project will use the existing structures in place at the Environmental Protection Agency to implement chemicals-related international agreements. The role of Project Manager will be played by an EPA staff, and EPA will set up technical teams to lead the implementation of activities, in lieu of recruiting national consultants. This is expected to ensure national ownership throughout project implementation. In addition, EPA and the technical teams will receive continuous technical support from UNDP and UNITAR, hence strengthening current national capacities in this sector.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

The MIA will complement the country’s efforts to reduce significantly the exposure of humans and the environment to harmful global pollutants.

Utilization of GEF resources will support the Government of Ghana and its partners in understanding the various uses of mercury in the country including its associated risks to both human health and the environment. Furthermore, Ghana will be supported to develop a baseline inventory on mercury sources and releases including the existing national capacity for mercury management as well as the policy and regulatory framework governing mercury management.

Strategies to minimize or remove the environmental and health risks associated with mercury will be developed. Awareness creation activities will be conducted throughout the project’s lifespan. All these activities will be supported by the GEF resources.

Using the GEF resources, the project will also assist in the broad dissemination of project achievements nationally to promote and support future projects.

To ensure cost effectiveness, the infrastructure and human resources of each governmental counterpart involved in the project will be efficiently utilized. Once they will be trained, most project activities will be carried out by national experts. This will not only result in reduced implementation costs but will also enhance the national capacity to manage mercury in the future.
Some activities of this project such as the PSC meetings and legislation review will be synchronized with the activities of the UNIDO-supported ASGM NAP development. This will enhance the effective utilization of resources. Synergies will also be created with the Medical Waste project led by UNDP (reducing dioxin, furan and mercury emissions from its Health Care sector).

UNDP has good experience in promoting environmentally sound management of mercury (UNDP currently supports 16 countries in MIA implementation) and extensive experience in supporting countries with enabling activities through the Stockholm Convention National Implementation Plans (NIPs) and NIP update projects. The local and regional presence of UNDP will also help to ensure the smooth implementation of project activities.

UNITAR is a specialized UN agency for training and capacity building and will be expected to duly deliver on its obligations under the project. UNITAR also has a solid track record with supporting countries with enabling activities through the Stockholm Convention National Implementation Plans (NIPs) and NIP update projects.

Moreover, UNDP and UNITAR have extensive history of working in Ghana and fully understand the local working conditions.

Since a global Minamata Initial Assessment project was approved for UNDP and UNITAR in February 2015 (GEF#6959), it is proposed that activities in the Ghana project would benefit from the workshops and capacity building conducted under this global MIA project.

UNDP and UNITAR have also collaborated on the GEF joint project ensuring the disposal of PCBs, pesticides and Ozone Depleting Substances, completed in 2015 (GEF#2785). Both agencies are also currently supporting the implementation of the PAGE (Green Economy) project in the country.

UNDP, through its Ghana Country office and with technical support of the Montreal Protocol and Chemicals Unit, has supported successful Montreal Protocol projects for close to two decades, while UNITAR has collaborated with Ghana for its SAICM QSP implementation project.

Finally, Ghana EPA has experience in developing enabling activities such as the preparation of the NIP to implement the Stockholm Convention on Persistent Organic Pollutants (POPs) which is currently being reviewed. This activity was supported by GEF's resources.

**Project Management**

The EPA which also serves as the Minamata Convention focal point for Ghana will be responsible for the day-to-day compliance with the treaty and its provisions. The Project Manager will be a staff of EPA and will therefore operate from the EPA offices. EPA will also serve as Secretariat of the Project Steering Committee (PSC).
Audit Clause

The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.²

Communication and visibility requirements

Full compliance is required with UNDP’s Branding Guidelines. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo.

Full compliance is also required with the GEF’s Communication and Visibility Guidelines (the “GEF Guidelines”). Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

The UNDP Country Office will make available the above guidelines and logos.

V. RESULTS FRAMEWORK

This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD:
2012 – 2017 United Nations Development Assistance Framework (UNDAF)

Outcome 3: National systems and existing institutional arrangements for Climate Change mitigation and adaptation and for disaster risk reduction, as defined in the Hyogo Framework for Action at the district, regional and national level are functional

Outcome 11: Ministries, Department Agencies, (MDAs) Local Governments and CSOs have effectively developed, funded, coordinated and implemented national and sectoral policies, plans and programmes aimed at reducing poverty and inequalities and promote inclusive socio-economic growth in 2016

Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one):
Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services and waste.

Applicable GEF Strategic Objective and Program:
Support enabling activities and promote their integration into national budgets, planning processes, national and sectoral policies and actions, and global monitoring

Applicable GEF Expected Outcomes:
2.1: Countries have undertaken Minamata Convention initial assessments activities and ratified the Minamata Convention

Applicable GEF Outcome Indicators:
- Indicator 2.1.1: Number and quality of initial assessment activities completed
- Indicator 2.1.2: Number of ratifications of the Minamata Convention

Applicable UNDP SP Output:
1.3. Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste

Applicable UNDP SP Indicator:
1.3.1 Number of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level, disaggregated by partnership type
<table>
<thead>
<tr>
<th><strong>EXPECTED OUTPUTS</strong></th>
<th><strong>OUTPUT INDICATORS</strong></th>
<th><strong>DATA SOURCE</strong></th>
<th><strong>BASELINE (2016)</strong></th>
<th><strong>TARGETS</strong></th>
<th><strong>RISKS AND ASSUMPTIONS</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Outcome 1: Enabling environment for decision-making on the implementation of the Minamata Convention created.</strong></td>
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</table>
| **Output 1.1** Policy, regulatory framework and institutional capacity needs in regard to the implementation of the Convention’s provisions assessed. | • Assessment report on the policy and regulatory framework and institutional capacity needs for the implementation of the Minamata convention. | Assessment report | No policy and regulatory framework on mercury emissions | • Assessment report on gaps in policy and regulatory framework on mercury developed (2018) | Assumptions:  
- Relevant stakeholders are willing to cooperate  
- Government and non-governmental project partners will be actively engaged in the project |
| | • Presence of a national decision making structure on mercury issues. | Workshop agendas/reports/meeting minutes | No national regulatory body on mercury | • National decision making structure on mercury issues established (2018) | Risk:  
Lack of political support for the process |
| | • Education of key stakeholders on the provisions of the Minamata Convention. | | | • Stakeholders from selected institutions educated on the Minamata Convention and its provisions (2017). | |
| **Output 1.2** Awareness on the environmental and health impacts of mercury raised. | • Number of events used for sensitization on environmental and health impacts of mercury. | Meeting reports | Perceived lack of awareness on the health and environmental effects of mercury among the majority of the national population | • At least 5 events or meetings used for sensitization on environmental and health impacts of mercury (2018) | Assumption:  
All key stakeholders will be willing to support the creation of awareness on the health effects of mercury and potential health exposure for certain vulnerable groups at risk. |
| | | Awareness campaign resources such as 1000 posters, 4000 leaflets. | | | Risk:  
Competing public issues limiting the impact of the awareness campaigns |
<p>| | | Media reports | | | |</p>
<table>
<thead>
<tr>
<th>Output 1.3</th>
<th>Importance of mercury priority interventions at national level raised through mainstreaming in relevant policies/plans.</th>
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<tbody>
<tr>
<td>Presence of mercury priority interventions in national policies and development plans</td>
<td>40-year national development plan (NDPC)</td>
</tr>
<tr>
<td>Revised policies/plans</td>
<td>National government budgets do not contain sufficient activities/budget lines for sensitisation on mercury and its lifecycle management.</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Assumption:</td>
<td>It is assumed that once the project has agreed on which mercury priority to mainstream, national development plans are being revised and it is timely to mainstream selected priorities.</td>
</tr>
<tr>
<td>Risk:</td>
<td>Lack of synchronization between the completion of this outcome and the national policies and plan updates (time lags between the two processes).</td>
</tr>
</tbody>
</table>

**Outcome 2. National Mercury Profile and Minamata Initial Assessment Report developed.**

<table>
<thead>
<tr>
<th>Output 2.1</th>
<th>National capacities to undertake the Mercury Inventory built.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of national experts (consultants/mercury focus group members) trained on data collection methodologies, reliability, credibility and data analysis</td>
<td>Training material/handouts and list of participants</td>
</tr>
<tr>
<td>Number of national experts trained on conducting mercury inventories</td>
<td>Limited national capacity to undertake mercury inventory</td>
</tr>
<tr>
<td></td>
<td>At least 5 national experts trained on data collection methods and analysis (2017).</td>
</tr>
<tr>
<td></td>
<td>At least 1 national expert trained on mercury inventory and its review (2017)</td>
</tr>
<tr>
<td>Assumption:</td>
<td>It is assumed that the EPA will be able to continue to make use of trained experts after the end of the project.</td>
</tr>
<tr>
<td>Risk:</td>
<td>Inadequate funding to train enough experts nationally.</td>
</tr>
</tbody>
</table>
### Output 2.2
Mercury Inventory conducted and National Mercury Profile prepared.

- National Mercury Profile in place
- National Mercury Profile document
- Report of validation workshop
- Meeting minutes

<table>
<thead>
<tr>
<th>National Mercury Profile in place</th>
<th>Ghana Does not have a mercury profile</th>
<th>National Mercury Profile developed (2018)</th>
</tr>
</thead>
</table>

**Assumption:**
This project and the NAP project will collaborate effectively for data sharing.

**Risk:**
Unwillingness of relevant stakeholders to provide adequate data on mercury.

### Output 2.3
National MIA Report prepared.

- National MIA report in place
- MIA report
- Report of validation workshop

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>One workshop to prepare a roadmap for mainstreaming (2018)</td>
</tr>
</tbody>
</table>

**Assumption:**
The MIA report is of sufficiently high quality and in line with government expectations, that it can be approved and adopted relatively fast.

### Outcome 3: Monitoring and Evaluation effectively carried out

#### Output 3.1
Project monitoring and evaluation implemented

- Monitoring and evaluation documents prepared during project implementation.
- Quarterly monitoring reports through the UNDP Enhanced Results Based Management Platform.
- Annual progress report

<table>
<thead>
<tr>
<th>Monitoring and evaluation documents prepared during project implementation</th>
<th>Quarterly monitoring reports through the UNDP Enhanced Results Based Management Platform. Annual progress report</th>
<th>Not applicable</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Periodic monitoring reports available (ongoing)</td>
<td></td>
</tr>
</tbody>
</table>

**Assumption:**
Project monitoring and evaluation will be done as required by the GEF and UNDP.
VI. Monitoring and Evaluation

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

- Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be provided by the project team and the UNDP Country Office (UNDP-CO) with support from the UNDP/MPU Chemicals team. This will be done through project implementation reviews, quarterly review reports and a Project terminal report.

- Monitoring and evaluation (M&E) for this project will rely on several levels of review, quality control and feedback. Overall M&E will be conducted by UNDP through regular follow-up on the work programme by the UNDP Ghana Country office.

Project Inception Workshop

A Project Inception Workshop will be held within the first 2 months of project start with those assigned roles in the project organization structure, UNDP country office and where appropriate/feasible, regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop should address a number of key issues including:

a) Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and Regional Coordinating Unit (RCU) staff vis-à-vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.

b) Based on the project results framework and the relevant GEF Tracking Tool if appropriate, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.

c) Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.

d) Discuss financial reporting procedures and obligations, and arrangements for annual audit.

e) Plan and schedule Project Board meetings. Roles and responsibilities of all project organization structures should be clarified and meetings planned.

The Inception Workshop Report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

Quarterly monitoring

Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.

Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes,
or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical). Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.

Other ATLAS logs can be used to monitor issues, lessons learnt, etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

**Bi-annual progress**

Status Survey Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out twice a year.

**Periodic Monitoring**

A detailed schedule of project reviews meetings will be developed by the Project Manager, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Project Steering Committee Meetings, (or relevant advisory and/or coordination mechanisms) and (ii) project-related Monitoring and Evaluation activities.

Day to day monitoring of implementation progress will be the responsibility of the Project Manager based on the project's Annual Work plan and its indicators. The Project Team will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

Periodic monitoring of implementation progress will be undertaken by the UNDP-CO through quarterly meetings with the Government implementing partner, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

**End of Project**

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learnt, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project’s results.

**Monitoring Plan**

<table>
<thead>
<tr>
<th>Monitoring Activity</th>
<th>Purpose</th>
<th>Frequency</th>
<th>Expected Action</th>
<th>Partners (if joint)</th>
<th>Cost (if any)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inception Workshop and Report</td>
<td>To initiate project implementation, develop annual workplan and establish the roles of stakeholders</td>
<td>Within first two months of project start up</td>
<td>To be organized in October (tentative)</td>
<td>Project Manager, UNDP CO, UNDP GEF</td>
<td>Indicative cost: 10,000</td>
</tr>
<tr>
<td>Measurement of Means of</td>
<td>Measure project output indicators to start, mid and end of</td>
<td></td>
<td></td>
<td>UNDP GEF RTA/Project</td>
<td></td>
</tr>
</tbody>
</table>

17
<table>
<thead>
<tr>
<th>Verification of project results</th>
<th>establish if project outputs are SMART</th>
<th>project (during evaluation cycle) and annually when required.</th>
<th>Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members.</th>
<th>Inception Phase and Workshop.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Measurement of Means of Verification for Project Progress on output and implementation</td>
<td>Measure project output indicators to monitor progress in project implementation</td>
<td>To be determined as part of the Annual Work Plan’s preparation</td>
<td>Oversight by Project Manager and Project team</td>
<td>To be determined as part of the Annual Work Plan’s preparation.</td>
</tr>
<tr>
<td>ARR/PIR</td>
<td>Not applicable for EA projects</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Periodic status/ progress reports</td>
<td>Provide periodic information on project implementation status</td>
<td>Quarterly</td>
<td>Project manager and team</td>
<td>None</td>
</tr>
<tr>
<td>Visits to field sites</td>
<td>Project team to visit field sites for data collection and project monitoring</td>
<td>Annually</td>
<td>UNDP CO UNDP RCU (as appropriate) Government representatives</td>
<td>For GEF supported projects, paid from IA fees and operational budget</td>
</tr>
</tbody>
</table>

**Evaluation Plan**

<table>
<thead>
<tr>
<th>Evaluation Title</th>
<th>Partners</th>
<th>Related Strategic Plan Output</th>
<th>UNDAF/CPD Outcome</th>
<th>Planned Completion Date</th>
<th>Key Evaluation Stakeholders</th>
<th>Cost and Source of Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mid-term Evaluation</td>
<td></td>
<td></td>
<td></td>
<td>Not applicable for EA projects</td>
<td></td>
<td>None</td>
</tr>
<tr>
<td>Final Evaluation</td>
<td></td>
<td></td>
<td></td>
<td>Not applicable for EA projects</td>
<td></td>
<td>None</td>
</tr>
<tr>
<td>Audit</td>
<td>UNDP</td>
<td>2012-2017 UNDAF) Outcome 3 Outcome 11</td>
<td>Once throughout project lifespan</td>
<td>UNDP CO</td>
<td>Indicative cost: 5,450 (GEF)</td>
<td></td>
</tr>
</tbody>
</table>
## VII. Multi-Year Work Plan

<table>
<thead>
<tr>
<th>GEF Outcome/Atlas Activity</th>
<th>Outputs</th>
<th>Responsible Party/Implementing Agent</th>
<th>Fund ID</th>
<th>Donor Name</th>
<th>Atlas Budgetary Account Code</th>
<th>ATLAS Budget Description</th>
<th>Amount Year 1 (USD)</th>
<th>Amount Year 2 (USD)</th>
<th>Total (USD)</th>
<th>See Budget Note</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OUTCOME 1:</strong> Enabling environment for decision-making on the implementation of the Minamata Convention created.</td>
<td>1.1 Policy, regulatory framework and institutional capacity needs in regard to the implementation of the Convention’s provisions assessed.</td>
<td>EPA</td>
<td>62000</td>
<td>GEF</td>
<td>71200</td>
<td>International Consultants</td>
<td>0</td>
<td>1,200</td>
<td>1,200</td>
<td>1</td>
</tr>
<tr>
<td>1.2 Awareness on the environmental and health impacts of mercury raised.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>71600</td>
<td>Travel</td>
<td>2,800</td>
<td>10,000</td>
<td>12,800</td>
<td>2</td>
</tr>
<tr>
<td>1.3 Importance of mercury priority interventions at national level raised through mainstreaming in relevant policies/plans.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>74200</td>
<td>Audio Visual &amp; Print and Production Costs</td>
<td>15,000</td>
<td>7,000</td>
<td>22,000</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>75700</td>
<td>Training, workshops and Conferences</td>
<td>6,500</td>
<td>6,500</td>
<td>13,000</td>
<td>4</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>74500</td>
<td>Miscellaneous</td>
<td>500</td>
<td>500</td>
<td>1,000</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>Total Outcome 1</strong></td>
<td><strong>24,800</strong></td>
<td><strong>25,200</strong></td>
<td><strong>50,000</strong></td>
<td></td>
</tr>
<tr>
<td><strong>OUTCOME 2:</strong> National Mercury Profile and Minamata Initial Assessment Report developed</td>
<td>2.1 National capacities to undertake the Mercury Inventory built</td>
<td>EPA</td>
<td>62000</td>
<td>GEF</td>
<td>71200</td>
<td>International Consultants</td>
<td>15,000</td>
<td>13,000</td>
<td>28,000</td>
<td>6</td>
</tr>
<tr>
<td>2.2, Mercury Inventory conducted and National Mercury Profile prepared.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>71600</td>
<td>Travel</td>
<td>33,000</td>
<td>26,750</td>
<td>59,750</td>
<td>7</td>
</tr>
<tr>
<td>2.3 National MIA Report prepared.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>75700</td>
<td>Training, workshops and conferences</td>
<td>16,000</td>
<td>19,500</td>
<td>35,500</td>
<td>8</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>Total Outcome 2</strong></td>
<td><strong>64,000</strong></td>
<td><strong>59,250</strong></td>
<td><strong>123,250</strong></td>
<td></td>
</tr>
<tr>
<td><strong>OUTCOME 3:</strong> Monitoring and Evaluation</td>
<td>3.1 Project monitoring and evaluation implemented</td>
<td>UNDP</td>
<td>62000</td>
<td>GEF</td>
<td>71600</td>
<td>Travel</td>
<td>9,000</td>
<td>0</td>
<td>9,000</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>75700</td>
<td>Training, workshop, conferences</td>
<td>2,500</td>
<td>0</td>
<td>2,500</td>
<td>10</td>
</tr>
<tr>
<td>PROJECT MANAGEMENT COSTS</td>
<td>UNDP</td>
<td>74100</td>
<td>Professional Services (Audit)</td>
<td>0</td>
<td>5,450</td>
<td>5,450</td>
<td>11</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>--------------------------</td>
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<td>-------------------------------</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Total Outcome 3</td>
<td>11,500</td>
<td>5,450</td>
<td>16,950</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>71600</td>
<td>Travel</td>
<td>1,500</td>
<td>1,500</td>
<td>3,000</td>
<td>12</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>74500</td>
<td>Miscellaneous</td>
<td>900</td>
<td>900</td>
<td>1,800</td>
<td>13</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>74598</td>
<td>Direct Project Cost</td>
<td>2,500</td>
<td>2,500</td>
<td>5,000</td>
<td>14</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Total Management</td>
<td>4,900</td>
<td>4,900</td>
<td>9,800</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>PROJECT TOTAL</td>
<td>105,300</td>
<td>94,700</td>
<td>200,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**BUDGET NOTES**

1. Providing templates for the assessment and reviewing the draft report of the national legal and institutional assessment (review by a legal expert hired by UNITAR: $400/day for 3 days).

2. International travel:
   - Travel costs for participation of 3 national representatives at International experience sharing event: 3 return tickets from Accra ($1,500/ticket); 3 days DSA ($250/day) for 3 persons.
   - Local travel:
     - Cost of DSA for technical team to attend meetings/workshops for assessment of gaps and needs for implementation of Minamata Convention: $60 per day (32% DSA – dinner/incidentals), for 5 people, for 4 meetings, for 3 days ($60*5*4*3) plus $1,000 for fuel/T&T, $1,000 for cost of T&T for participant of meetings with NDPC and other MMDAs for mainstreaming of Minamata Convention.

3. Printing of 4000 leaflets ($1 per leaflet), 1000 posters ($15 per poster), $1000 for shipment of material to Ghana (if UN entity is selected to do the printing). Additional costs may be occurred to support EPA’s awareness creation campaign on chemicals ($2,000)

4. Cost of meetings of technical team for assessment of gaps and needs for implementation of the Minamata Convention: 4 meetings, 3 days each ($3,000 for each meeting), cost of meetings with NDPC and other MMDAs for mainstreaming of Minamata Convention: 3 meetings, 1 day each ($1,000 for each meeting)

5. Miscellaneous costs

6. Training:
   - Providing training for 3 national representatives at an international train the trainers mercury inventory training workshop (4 days). Training costs shared with other participating countries by international consultant hired by UNITAR.
   - Trainers for the inventory: 4 days training to be held in Accra. $1300/day for a 10-day standard cost per training including preparation of the training materials.
   - Trainers for follow-up online training + provision of expert guidance during the preparation of the inventory (electronic modules and awarding certificates for those completing the training course online). Online trainers will comprise of 1 international expert and 1 expert from UNITAR. $400/day for 20 days spread throughout the inventory collection period. This includes guiding the data collection methodologies including the production of the reports.

Support services to the inventory:
- Providing template letters for data collection including MIA table of content (No cost);
- Supporting the preparation of the MIA: national experts provides raw data to UNITAR expert for processing; drafting the first narrative (draft with inputs from national experts using the existing table of contents as appropriate). UNITAR expert $250/day for 15 days;
- Reviewing the draft MIA report by an international Mercury expert hired by UNITAR $400/day for 3 days.

**7 International travel:**
- 2 UNITAR experts: 1 trip to attend MIA priority setting/validation/launch workshops. 1 return tickets to Accra ($1500/ticket) for each person; 5 days DSA (Accra: $400/day) for each person.
- Training 3 national representatives at an International train the trainers mercury inventory training workshop: 3 return tickets from Accra ($1,500/ticket); 4 days DSA ($250/day) for 3 persons.

**Local travel:**
- Cost of internal travel for inventory team to do data collection: 25 days DSA ($180/day) for 5 people; cost of fuel: $3,000
- Cost of DSA for technical team to prepare inventory, mercury profile and MIA report: $60 per day (32% DSA – dinner/incidentals), for 5 people, for 6 meetings, for 3 days ($60*5*6*3) plus $600 for fuel/T&T.
- Estimated cost of travel (DSA and T&T) for participants of inventory training, validation/launch of mercury profile and MIA report: $11,750

**8 Cost of venue for meetings of technical team for assessment of gaps and needs for implementation of the Minamata Convention:** 6 meetings, 3 days each ($3,000 for each meeting); cost of venue for inventory training and validation/launch meeting: total of 7 days ($2,500/day)

**9 Travel:** cost of travel of 2 experts from UNITAR to attend inception workshop (and related training): 1 return tickets to Accra ($1500/ticket) for each person; 5 days DSA (Accra: $400/day) for each person. $2,000 estimated cost of DSA/T&T for participants to inception workshop.

**10 Cost of venue for inception workshop**

**11 Cost of audit fees**

**12 Cost of transportation for Steering Committee meetings ($500/meeting for 4 meetings) and other travel that may be required for project management purposes ($500 per year)**

**13 Miscellaneous costs**

**14 Direct Project Costs: UNDP's cost recovery for services (see annex B). Direct project costs will be charged at the end of each year based on the UNDP Universal Pricelist (UPL) or the actual corresponding service cost. The amounts indicated here are estimations, however as part of annual project operational planning the Direct Project Costs to be requested during that calendar year would be defined and the amount included in the yearly budgets. Total cost: $3,500 (@ $2,500 per year).**
<table>
<thead>
<tr>
<th>Position Titles</th>
<th>$/Person days</th>
<th>Estimated Person days</th>
<th>Tasks to be Performed</th>
</tr>
</thead>
<tbody>
<tr>
<td>International consultants recruited by UNITAR</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>International legal expert</td>
<td>$400</td>
<td>3</td>
<td>Provide templates for the assessment; review draft report of the national legal and institutional assessments.</td>
</tr>
<tr>
<td>Inventory training consultants</td>
<td>$1300</td>
<td>10</td>
<td>Provide training for 3 national representatives at an international train the trainers’ mercury inventory training workshop.</td>
</tr>
<tr>
<td>International Experts (1 UNITAR, 1 International)</td>
<td>$400</td>
<td>20</td>
<td>Provide follow-up online training and expert guidance during the preparation of the inventory (electronic modules and awarding certificates for those completing the training course online). This includes guiding the data collection methodologies and the production of reports.</td>
</tr>
<tr>
<td>Minamata Convention Expert</td>
<td>$250</td>
<td>15</td>
<td>Support the preparation of the MIA by processing raw data from national experts and drafting the first narrative (draft with inputs from national experts using the existing table of contents as appropriate).</td>
</tr>
<tr>
<td>International Mercury Expert</td>
<td>$400</td>
<td>3</td>
<td>Review the draft MIA report</td>
</tr>
</tbody>
</table>
VIII. Governance and Management Arrangements

Implementation and execution

In Ghana, the implementation modality for the project will be the National Implementation Modality in accordance with the UNDP guidelines and rules.

The project will be executed by the Environmental Protection Agency (EPA) under the technical guidance of UNITAR and UNDP Montreal Protocol Unit/Chemicals, with overall oversight of Ghana MESTI.

The day-to-day administration of the project will be carried out by a national Project Manager (PM). The role of PM will be played by a current EPA staff appointed by EPA’s management. The PM will be technically supported by contracted national and international service providers. Recruitment of specialist support services and procurement of any equipment and materials for the project will be done in accordance with relevant recruitment and procurement rules and procedures.

The Project Assurance role will rest with the UNDP Country Office.

In its role as GEF Implementing Agency (IA) for this project, UNDP shall provide project cycle management services as defined by the GEF Council.

Following consultations on the project implementation, UNDP and the Government agreed that the UNDP country office will provide support services to the project at the request of the National Implementing Partner. These support services may include assistance with reporting requirements,
procurement and direct payments (see Annex B). In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened.

The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:

(a) Identification and/or recruitment of project and programme personnel;
(b) Identification and facilitation of training activities;
(c) Procurement of goods and services.

The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures.

**National Project Steering Committee**

Overall guidance will be provided by a Project Steering Committee (PSC). The PSC will include the main project stakeholders, will; (a) review and approve work plans, (b) assess progress against M&E targets as indicated in the Project Results Framework, (c) review interim and final reports, (d) assess any gaps or weaknesses and make appropriate adaptive management decisions based on progress and achievements, (e) ensure that required resources are committed, and (f) arbitrate on any conflicts within the project and negotiate solutions to any problems with external bodies. PSC decisions should be made in accordance and in conformity with GEF and UNDP rules and procedures and with standards that shall ensure best value in terms of money, fairness, integrity transparency and effective international competition.

Potential members of the PSC will be reviewed and recommended for approval during the Local Project Appraisal Committee (LPAC) meeting. There will be an eleven-member Steering Committee which would include representation from UNDP, MESTI, EPA, Ministry of Finance, Ministry of Health, Minerals Commission, Ministry of Trade, Friends of the Nation, University of Mines and Technology, Ghana National Association of Small Scale Miners and the National House of Chiefs.

The first meeting will be held within the first 6 months of the start of full implementation. At the initial stage of project implementation, the PSC may, if deemed advantageous, wish to meet more frequently to build common understanding and to ensure that the project is initiated properly. After initiation, the Project Steering Committee will meet quarterly to ensure that project implementation is going as planned and also resolve any foreseeable challenges.

The PSC will coordinate with the Project Board of the National Action Plan on ASGM. Agreement will be made on the possibility of having a Minamata Convention Steering Committee overseeing all initiatives directly implementing the Convention.
IX. LEGAL CONTEXT

Legal Context: Country has signed the Standard Basic Assistance Agreement (SBAA)

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA and all CPAP provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP’s property in the implementing partner’s custody, rests with the implementing partner.

The implementing partner shall;

a) Put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

b) Assume all risks and liabilities related to the implementing partner’s security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/Docs/sc-committees/1267/1267ListEng.htm. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

Implementing Partner

Government Entity (NIM)
X. ANNEXES

A. Project Quality Assurance Report


C. Social and Environmental Screening

D. Risk Analysis

E. Terms of Reference of Key Positions and Project Steering Committee
ANNEX A: Project Quality Assurance Report

(to be included)

Honourable Minister,

1. Reference is made to consultations between officials of the Government of the Republic of Ghana (hereinafter referred to as "Ministry of Environment, Science, Technology and Innovation") and officials of UNDP with respect to the provision of support services by the UNDP Country Office for nationally managed programmes and projects. UNDP and the Government of Ghana hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant programme support document or project document, as described below.

2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.

3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:
   (a) Identification and/or recruitment of project and programme personnel;
   (b) Identification and facilitation of training activities;
   (c) Procurement of goods and services;

4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.

5. The relevant provisions of the (Agreement between Government of Ghana and the United Nations Development Programme, 27 Day of November, 1978) (the "SBAA"), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.

6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.

7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document (next page).
8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,

________________________
Signed on behalf of UNDP

Name/title: Dominic Sam, Country Director
Date: 25/12/2016

________________________
For the Government

Name/title: Patrick Nomdo, Chief Director
Date: 23 Dec, 2016
DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

2. Reference is made to consultations between *Ministry of Environment, Science, Technology and Innovation*, the institution designated by the Government of *the Republic of Ghana* and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project "Development of Minamata Convention Initial Assessment (MIA) for Ghana (PIMS: 5806, Award ID: 00095383, Project ID: 00099393)."

3. In accordance with the provisions of the letter of agreement signed on 27th November, 1978 (the "SBAA") and the project support document, the UNDP country office shall provide support services for the Project as described below.

3. Support services to be provided:

<table>
<thead>
<tr>
<th>Support services</th>
<th>Schedule for the provision of the support services</th>
<th>Cost to UNDP of providing such support services</th>
<th>Amount and method of reimbursement of UNDP</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Vendor Profiling</td>
<td>Year 1: x25</td>
<td>Year 1: 25 x $13.58 = $339.5</td>
<td>To be paid to UNDP through Request for Direct Payment by 15th of December of each year of implementation respectively</td>
</tr>
<tr>
<td></td>
<td>Year 1: x25</td>
<td>Year 2: 25 x $13.58 = $339.5</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Total: $679</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Year 1: 50 x $27.58 = $1379</td>
<td></td>
</tr>
<tr>
<td>2. Payment Process</td>
<td>Year 1: 50 transactions</td>
<td>Year 2: 50 x $27.58 = $1379</td>
<td>To be paid to UNDP through Request for Direct Payment by 15th of December of each year of implementation respectively</td>
</tr>
<tr>
<td></td>
<td>Year 2: 50 transactions</td>
<td>Total: $2,758</td>
<td></td>
</tr>
<tr>
<td>3. Cheque Issuance</td>
<td>Year 1: x50</td>
<td>Year 1: 50 x $12.79 = $639.5</td>
<td>To be paid to UNDP through Request for Direct Payment by 15th of December of each year of implementation respectively</td>
</tr>
<tr>
<td></td>
<td>Year 2: x50</td>
<td>Year 2: 50 x $12.79 = $639.5</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Total: $1,279</td>
<td></td>
</tr>
<tr>
<td>4. Procurement Process not involving CAP</td>
<td>Year 1: x1</td>
<td>Year 1: 1 x $140.73</td>
<td>To be paid to UNDP through Request for Direct Payment by 15th of December of each year of implementation respectively</td>
</tr>
<tr>
<td></td>
<td>Year 2: x1</td>
<td>Year 2: 1 x $140.73</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Total: $ 281.46</td>
<td></td>
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</tbody>
</table>

**TOTAL: $4,997.46**
ANNEX C: Social and Environmental Screening

Project Information

<table>
<thead>
<tr>
<th>Project Information</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Project Title</td>
<td>Development of Minamata Initial Assessment for Ghana</td>
</tr>
<tr>
<td>2. Project Number</td>
<td>00099393</td>
</tr>
<tr>
<td>3. Location (Global/Region/Country)</td>
<td>Ghana</td>
</tr>
</tbody>
</table>

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Project mainstreams the human-rights based approach

N/A

Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment

Generally, two groups are more at risk for the effects of mercury. Foetuses and people who are regularly exposed (chronic exposure) to high levels of mercury (such as populations that rely on subsistence fishing or people who are occupationally exposed or exposed through the use of cosmetics). Since mercury is passed on from mother to child, the MIA will pay particular attention to assessing national capacity to keep such risk groups safe. Recommendations on how to improve gender dimensions and gender mainstreaming related to mercury, and priority actions in this area will be highlighted in the MIA report.

Briefly describe in the space below how the Project mainstreams environmental sustainability

The Minamata Initial Assessment Report and the National Mercury Profile that will be developed from the project will provide information which would be used to mainstream the Minamata Convention in National policies and plans. This will regulate the use of mercury in all sectors of the economy and contribute to the elimination of mercury and mercury compounds in our society. The regulation and elimination of mercury and mercury compound would contribute to the protection of the environment from harmful substances and emissions.
### Part B. Identifying and Managing Social and Environmental Risks

<table>
<thead>
<tr>
<th>QUESTION 2: What are the Potential Social and Environmental Risks?</th>
<th>QUESTION 3: What is the level of significance of the potential social and environmental risks?</th>
<th>QUESTION 4: What is the overall Project risk categorization?</th>
<th>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</th>
<th>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Risk Description</strong></td>
<td><strong>Impact and Probability (1-5)</strong></td>
<td><strong>Significance (Low, Moderate, High)</strong></td>
<td><strong>Comments</strong></td>
<td>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</td>
</tr>
<tr>
<td>No risks identified</td>
<td>1 = P</td>
<td>1 =</td>
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<td></td>
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</table>

**Select one (see SESP for guidance)**

<table>
<thead>
<tr>
<th>Low Risk</th>
<th>Comments</th>
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</thead>
<tbody>
<tr>
<td>X</td>
<td>This project has low social and environmental risks. It will only focus on the collection of data and development of reports.</td>
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<table>
<thead>
<tr>
<th>Moderate Risk</th>
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<tr>
<th>High Risk</th>
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**Check all that apply**

<table>
<thead>
<tr>
<th>Principle 1: Human Rights</th>
<th>Comments</th>
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<thead>
<tr>
<th>Principle 2: Gender Equality and Women’s Empowerment</th>
<th>Comments</th>
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<table>
<thead>
<tr>
<th>1. Biodiversity Conservation and Natural Resource Management</th>
<th>Comments</th>
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<thead>
<tr>
<th>2. Climate Change Mitigation and Adaptation</th>
<th>Comments</th>
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<thead>
<tr>
<th>3. Community Health, Safety and Working Conditions</th>
<th>Comments</th>
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<tr>
<th>4. Cultural Heritage</th>
<th>Comments</th>
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<tr>
<th>5. Displacement and Resettlement</th>
<th>Comments</th>
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<tbody>
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<table>
<thead>
<tr>
<th>6. Indigenous Peoples</th>
<th>Comments</th>
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<tbody>
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<tr>
<th>7. Pollution Prevention and Resource Efficiency</th>
<th>Comments</th>
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</table>
## Final Sign Off

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>QA Assessor</td>
<td></td>
<td>UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.</td>
</tr>
<tr>
<td>QA Approver</td>
<td></td>
<td>UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.</td>
</tr>
<tr>
<td>PAC Chair</td>
<td></td>
<td>UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.</td>
</tr>
</tbody>
</table>
## Checklist Potential Social and Environmental Risks

<table>
<thead>
<tr>
<th>Principles 1: Human Rights</th>
<th>Answer (Yes/No)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?</td>
<td>No</td>
</tr>
<tr>
<td>2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?</td>
<td>No</td>
</tr>
<tr>
<td>3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?</td>
<td>No</td>
</tr>
<tr>
<td>4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?</td>
<td>No</td>
</tr>
<tr>
<td>5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?</td>
<td>No</td>
</tr>
<tr>
<td>6. Is there a risk that rights-holders do not have the capacity to claim their rights?</td>
<td>No</td>
</tr>
<tr>
<td>7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?</td>
<td>No</td>
</tr>
<tr>
<td>8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?</td>
<td>No</td>
</tr>
</tbody>
</table>

## Principle 2: Gender Equality and Women's Empowerment

<table>
<thead>
<tr>
<th></th>
<th>Answer (Yes/No)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?</td>
<td>No</td>
</tr>
<tr>
<td>2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?</td>
<td>No</td>
</tr>
<tr>
<td>3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?</td>
<td>No</td>
</tr>
<tr>
<td>4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</td>
<td>No</td>
</tr>
</tbody>
</table>

## Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below

## Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management

<table>
<thead>
<tr>
<th></th>
<th>Answer (Yes/No)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?</td>
<td>No</td>
</tr>
<tr>
<td>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</td>
<td></td>
</tr>
<tr>
<td>1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?</td>
<td>No</td>
</tr>
<tr>
<td>1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)</td>
<td>No</td>
</tr>
<tr>
<td>1.4 Would Project activities pose risks to endangered species?</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td>Question</td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------------------------------------------</td>
</tr>
<tr>
<td>1.5</td>
<td>Would the Project pose a risk of introducing invasive alien species?</td>
</tr>
<tr>
<td>1.6</td>
<td>Does the Project involve harvesting of natural forests, plantation development, or reforestation?</td>
</tr>
<tr>
<td>1.7</td>
<td>Does the Project involve the production and/or harvesting of fish populations or other aquatic species?</td>
</tr>
</tbody>
</table>
| 1.8 | Does the Project involve significant extraction, diversion or containment of surface or ground water?  
For example, construction of dams, reservoirs, river basin developments, groundwater extraction | No     |
| 1.9 | Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | No     |
| 1.10 | Would the Project generate potential adverse transboundary or global environmental concerns? | No     |
| 1.11 | Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? | No     |

**Standard 2: Climate Change Mitigation and Adaptation**

<table>
<thead>
<tr>
<th></th>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1</td>
<td>Will the proposed Project result in significant greenhouse gas emissions or may exacerbate climate change?</td>
<td>No</td>
</tr>
<tr>
<td>2.2</td>
<td>Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?</td>
<td>No</td>
</tr>
</tbody>
</table>
| 2.3 | Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?  
For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding | No     |

**Standard 3: Community Health, Safety and Working Conditions**

<table>
<thead>
<tr>
<th></th>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1</td>
<td>Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?</td>
<td>No</td>
</tr>
<tr>
<td>3.2</td>
<td>Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?</td>
<td>No</td>
</tr>
<tr>
<td>3.3</td>
<td>Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?</td>
<td>No</td>
</tr>
<tr>
<td>3.4</td>
<td>Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)</td>
<td>No</td>
</tr>
<tr>
<td>3.5</td>
<td>Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?</td>
<td>No</td>
</tr>
<tr>
<td>3.6</td>
<td>Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?</td>
<td>No</td>
</tr>
<tr>
<td>3.7</td>
<td>Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?</td>
<td>No</td>
</tr>
<tr>
<td>3.8</td>
<td>Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?</td>
<td>No</td>
</tr>
<tr>
<td>3.9</td>
<td>Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?</td>
<td>No</td>
</tr>
</tbody>
</table>

**Standard 4: Cultural Heritage**

<table>
<thead>
<tr>
<th></th>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1</td>
<td>Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)</td>
<td>No</td>
</tr>
<tr>
<td>4.2</td>
<td>Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?</td>
<td>No</td>
</tr>
<tr>
<td>Standard 5: Displacement and Resettlement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>----------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>5.3 Is there a risk that the Project would lead to forced evictions?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Standard 6: Indigenous Peoples</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.1 Are indigenous peoples present in the Project area (including Project area of influence)?</td>
</tr>
<tr>
<td>6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?</td>
</tr>
<tr>
<td>6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?</td>
</tr>
<tr>
<td>If the answer to the screening question 6.3 is &quot;yes&quot; the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</td>
</tr>
<tr>
<td>6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?</td>
</tr>
<tr>
<td>6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?</td>
</tr>
<tr>
<td>6.6 Is there a potential for forced evictions or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?</td>
</tr>
<tr>
<td>6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them?</td>
</tr>
<tr>
<td>6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples?</td>
</tr>
<tr>
<td>6.9 Would the Project potentially affect the Cultural Heritage of Indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Standard 7: Pollution Prevention and Resource Efficiency</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?</td>
</tr>
<tr>
<td>7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?</td>
</tr>
<tr>
<td>7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?</td>
</tr>
<tr>
<td>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</td>
</tr>
<tr>
<td>7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?</td>
</tr>
<tr>
<td>7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?</td>
</tr>
<tr>
<td><strong>Identified Risks</strong></td>
</tr>
<tr>
<td>--------------------------------------------------</td>
</tr>
<tr>
<td>Political Change of the Government stand towards Convention ratification</td>
</tr>
<tr>
<td>Organizational: Institutional Arrangements (Lack of collaboration and participation from the relevant stakeholders)</td>
</tr>
<tr>
<td>Operational: Delay in the execution of activities due to lengthy governmental procedures.</td>
</tr>
</tbody>
</table>
ANNEX E: Terms of Reference of Key Positions and Project Steering Committee

National Project Steering Committee

- Overall guidance will be provided by a Project Steering Committee (PSC). The PSC will include the main project stakeholders, will: (a) review and approve work plans, (b) assess progress against M&E targets as indicated in the Project Results Framework, (c) review interim and final reports, (d) assess any gaps or weaknesses and make appropriate adaptive management decisions based on progress and achievements, (e) ensure that required resources are committed, and (f) arbitrate on any conflicts within the project and negotiate solutions to any problems with external bodies. PSC decisions should be made in accordance and in conformity with GEF and UNDP rules and procedures and with standards that shall ensure best value in terms of money, fairness, integrity transparency and effective international competition.

- Potential members of the PSC will be reviewed and recommended for approval during the Local Project Appraisal Committee (LPAC) meeting. The list would include: UNDP, MESTI, EPA, Ministry of Finance MOH, Minerals Commission, Ministry of Trade, Friends of the Nation, University of Mines and Technology, Small-Scale Miners Association and the National House of Chiefs.

- The first meeting will be held within the first 6 months of the start of full implementation. At the initial stage of project implementation, the PSC may, if deemed advantageous, wish to meet more frequently to build common understanding and to ensure that the project is initiated properly. The PSC will meet quarterly.

- The PSC will coordinate with the Project Board of the National Action Plan on ASGM. Agreement will be made on the possibility of having a Minamata Convention Steering Committee overseeing all initiatives directly implementing the Convention.

1. Project Manager

Background

The Project Manager will be based in a Project office within the EPA Ghana premises. Under the guidance of the National Project Steering Committee, the Project Manager is responsible for the administrative, financial and the overall project management and implementation ensuring that the project is efficiently managed to fulfil its mission and objectives as set out in the relevant project documents, and in accordance with the UNDP standards and best practices. The Project Manager works in close collaboration with the Government counterparts, UNDP programme and operations team, technical advisors and experts, subcontractors and civil society ensuring successful project implementation. EPA will design one of its current staff as Project Manager.

Duties and Responsibilities:

- Ensure the day to day monitoring of the project including daily administrative and operational tasks.
- Ensure that project results are achieved in accordance with project main project document and work plan and
- Ensure adequate information flow among the various stakeholders of the project;
- Assume overall responsibility for the proper handling of logistics related to project workshops and events;
- Responsible for the preparation of terms of reference for national and international consultants in consultation with UNDP and UNITAR.
- Coordinate and monitor the activities of consultants in accordance with project document, work plan and their terms of reference.
- Responsible for the financial management of the project related activities (budgeting, financial reporting).
- Provide quarterly reports on the progress of the project in accordance with work plan and indicators in the project document.

2. **National Expert on organization of data collection**

**Duties and Responsibilities:**
- Identify main mercury sources for collection of data;
- Select a methodology for the collection and analysis of data;
- Review of the rapid assessment of sources and validation (or expansion) of the list in accordance with collected data.

3. **National Technical Expert**

**Duties and Responsibilities:**
- Detailed review and identification of gaps in management of mercury;
- Development of specific recommendations on adjustments, amendments required in existing mercury management systems;
- Liaise with MESTI, EPA and relevant government agencies for development of effective proposals for regulatory framework development.
- Review mercury inventory gathered by national data collection expert.
- Develop documentations to support stakeholder consultations as well awareness raising activities.
- Make technical inputs into draft legislative acts.
- Lead national trainings and workshops.

4. **Legal Expert**

**Duties and Responsibilities:**
- Review existing legislations and regulatory bodies on mercury
- Take inputs from stakeholders for amendment proposals
- Lead activities for the preparation of draft legislative acts for the ratification of the Minamata Convention.

5. **International Technical Expert (UNITAR)**

**Duties and Responsibilities:**
- Provision of technical advisory support to Project team on data collection, inventory and review and training sessions on the provisions of the Minamata Convention.
- Support to the national level consultations on the data analysis, national mercury profile formulation and priority setting processes for decision-making.
- Provision of regulatory advisory support where needed with respect existing international benchmarks.
- Provision of support to develop and analyze cost related to the implementation of the Convention and description of potential sources of funds, including existing bilateral sources.
Design & Appraisal Stage Quality Assurance Report

Overall Project Rating: Satisfactory

Decision: Approve: The project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.

Project Number: 00095383

Project Title: Undertake a Minamata Convention Initial Assessment (MIA) to enable the Government of Ghana to determine the national requirements and needs for the ratification of the Convention and establish a national foundation to undertake future work.

Project Date: 01-Jan-2016

Strategic

1. Does the project’s Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project)

   * 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project’s strategy is the best approach at this point in time.

   2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.

   1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD’s theory of change.

Evidence

The project documents clearly explain that, for the Government of Ghana to establish a sound foundation to undertake future work towards the implementation of the Minamata Convention on Mercury, there is the need to conduct an Initial Assessment to take stock of existing mercury emission sources (national mercury profile); assess institutional and capacity needs to implement the Convention; make recommendations for effective implementation of the Convention.

Management Response

The project documents clearly explain that, for the Government of Ghana to establish a sound foundation to undertake future work towards the implementation of the Minamata Convention on Mercury, there is the need to conduct an Initial Assessment to take stock of existing mercury emission sources (national mercury profile); assess institutional and capacity needs to implement the Convention; make recommendations for effective implementation of the Convention.

List of Uploaded Documents

File Name | Modified By | Modified
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2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project)

   * 3: The project responds to one of the three areas of development work as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas; an issues-based analysis has been incorporated into the project design; and the project’s RRF includes all the relevant SP output indicators. (all must be true to select this option)

   2: The project responds to one of the three areas of development work as specified in the Strategic Plan. The project’s RRF includes at least one SP output indicator, if relevant. (both must be true to select this option)

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1. While the project may respond to one of the three areas of development work as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.

**Evidence**

The project is linked to SP Output 1.3

<table>
<thead>
<tr>
<th>Relevant</th>
<th>Quality Rating: Highly Satisfactory</th>
</tr>
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</table>

3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project)

3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable). The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (all must be true to select this option).

2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (both must be true to select this option)

1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalized populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.

* Not Applicable

**Evidence**

The project's objective is to develop studies and reports, hence does not have target groups.

**Management Response**

4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project)

* 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project’s theory of change and justify the approach used by the project over alternatives.

2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project’s theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.

1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.

**Evidence**

The project was developed also using project documents from other countries implementing the same initiative. The UNDP Regional Service Centre provided support in that regard. It should also be mentioned that the project is in line with GEF Initial Guidelines for Enabling Activities for the Minamata Convention on Mercury (GEF/C.45/Inf.06)

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5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project)

3: A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)

2: A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)

1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.

Evidence

Management Response

The project document explicitly mentions gender considerations regarding the use of mercury and its effects.

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select the option from 1-3 that best reflects this project)

3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementary to the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. (all must be true to select this option)

2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have been fully developed during project design, even if relevant opportunities have been identified.

1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

Evidence

UNDP is one of GEF's Implementing Agencies, and was selected to lead on Minamata related initiatives based on its track record of support in the area of chemicals management (including in Ghana). UNDP will do so in partnership with UNITAR, who has substantive technical expertise in this sector. Also, as indicated in the project, activities will be implemented by technical teams set up by EPA, drawing from institutions that have adequate technical expertise. For South-South, the project indicates that synergies and knowledge sharing will be sought with similar projects implemented by UNDP in other countries.

Management Response

Social & Environmental Standards

Quality Rating: Exemplary

7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project)

- 3: Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true to select this option)

- 2: Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.

- 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

<table>
<thead>
<tr>
<th>Evidence</th>
<th>Management Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>The project only includes training and reports hence this question does not apply.</td>
<td></td>
</tr>
</tbody>
</table>

8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project)

- 3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true to select this option).

- 2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.

- 1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.

<table>
<thead>
<tr>
<th>Evidence</th>
<th>Management Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>The project is about supporting the implementation of an environmental convention.</td>
<td></td>
</tr>
</tbody>
</table>

9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [If yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]

- Yes

- No

- SESP not required

<table>
<thead>
<tr>
<th>Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Even if SESP is not required (the project comprises solely of reports, trainings, meetings, communication material), the SESP was conducted and the project was assessed as low risk. The document is attached as an annex to the project document.</td>
</tr>
</tbody>
</table>

List of Uploaded Documents

Management & Monitoring

10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project)

3: The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (all must be true to select this option)

2: The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (all must be true to select this option)

1: The results framework does not meet all of the conditions specified in selection “2” above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.

Evidence
See project document (section V)

Management Response

11. Is there a comprehensive and costed M&E plan with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?

Yes
No

Evidence
See project document (Section VI)

12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project)

3: The project's governance mechanism is fully defined in the project document. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true to select this option).

2: The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true to select this option)

1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

Evidence
See project document (Section VIII). The governance structure was discussed and approved at the Local Project Appraisal
13. Have the project risks been identified with clear plans stated to manage and mitigate each risk? (select from options 1-3 that best reflects this project)

3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (both must be true to select this option)

2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.

1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.

**Evidence**
See project document (Annex D)

**Management Response**

**Efficient**

**Quality Rating: Exemplary**

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.

- Yes
- No

**Evidence**
See project document (section IV), outlining how UNDP/UNITAR collaboration will ensure value for money for GEF resources.

15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)

- Yes
- No

**Evidence**
As outlined in the project document, the project will seek synergies with two other mercury related GEF funded projects: National Action Plan on Mercury in the Artisanal and Small-Scale Gold Mining sector in Ghana (UNIDO); Reducing Unintended Persistent Organic Pollutants and Mercury Releases from the Health Sector in Africa (UNDP and WHO).

16. Is the budget justified and supported with valid estimates?

- 3: The project’s budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.
2. The project’s budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates.

1. The project’s budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

**Evidence**

See project document (VII)

**17. Is the Country Office fully recovering the costs involved with project implementation?**

- 3: The budget fully covers all direct project costs that are directly attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL).

  2. The budget covers significant direct project costs that are directly attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.

  1. The budget does not reimburse UNDP for direct project costs. UNDP is cross-subsidizing the project and the office should advocate for the inclusion of DPC in any project budget revisions.

**Evidence**

See Project document (Annex B)

Management Response

Effective

Quality Rating: Satisfactory

**18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project)**

- 3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (both must be true to select this option)

  2. The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.

  1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.

**Evidence**

The HACT micro-assessment has been conducted. A capacity assessment will be conducted as part of the preparation for the new UNDAF cycle.

Management Response

The institutions has been micro-assessed and rated low risk. Management will ensure that broader capacity assessment is done

**19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?**

- 3: Credible evidence that all targeted groups, prioritizing marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.

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2. Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.

1. No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.

* Not Applicable

Evidence
Not Applicable.

20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?

* Yes

No

Evidence
See project document (section VI)

21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

* Yes

* No

Evidence
The project will basically focus on data collection and the production of reports and therefore does not require gender mainstreaming activities.

Management Response
The project is basically aimed at collecting data. UNDP will ensure that the data collection tools address issues of gender

22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project)

* 3. The project has a realistic work plan & budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources.

  2. The project has a work plan & budget covering the duration of the project at the output level.

  1. The project does not yet have a work plan & budget covering the duration of the project.

Evidence
See project document (Section VII)

Sustainability & National Ownership

Quality Rating: Needs Improvement

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23. Have national partners led, or proactively engaged in, the design of the project?

3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.

2: The project has been developed by UNDP in close consultation with national partners.

1: The project has been developed by UNDP with limited or no engagement with national partners.

Not Applicable

Evidence

UNDP led the development of the project document, in constant liaison with national partners, in particular the Environmental Protection Agency.

24. Are key institutions and systems identified, and is there a strategy for strengthening specific/comprehensive capacities based on capacity assessments conducted? (Select from options 0-4 that best reflects this project):

3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.

2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.

2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.

1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.

1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.

Not Applicable

Evidence

One of the objectives of the project is to perform an assessment of capacity needs for the Government of Ghana to effectively implement the Minamata Convention. Additionally, the project includes specific capacity building opportunities (e.g. mercury

25. Is there a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?

Yes

No

Not Applicable

Evidence

See Project document (Section IV and VIII). Instead of recruiting a project manager, the Implementing Partner will assign one of its staff to coordinate implementation. Also it will set up technical teams (using national systems and structures) to implement some of the activities.
26. Is there a clear transition arrangement/phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?

- Yes
- No

Evidence
This question is not applicable due to the nature of the project.

Quality Assurance Summary/PAC Comments

Overall, the project meets UNDP’s Quality Assurance criteria. The new UNDP’s project document template was used.
MINUTES OF LOCAL PROJECT APPRAISAL COMMITTEE (LPAC) MEETING FOR THE "DEVELOPMENT OF MINAMATA INITIAL ASSESSMENT (MIA) FOR GHANA" PROJECT

Date: 8 September, 2016.

Chair persons: Louis Kuukpen (UNDP) and Dr. Sam Adu-Kumi (EPA)

Venue: UNDP Conference Room

Duration: 9:30am-12:30pm

Members Present: See Appendix A

Agenda:

1. Opening Remarks - Louis Kuukpen/Dr. Sam Adu-Kumi
2. Presentation of the Project - Dr. Sam Adu-Kumi
3. Discussions on the Project - Participants
4. Summary of Recommendations - Louis Kuukpen
5. Closing Remarks - Louis Kuukpen/Dr. Sam Adu-Kumi

Introduction and Opening Remarks

Mr. Louis Kuukpen, the Assistant Country Director and Head of Programmes for UNDP Ghana opened the meeting by welcoming participants. He reiterated the importance of their inputs in making the project relevant and impactful and commended UNDP and EPA for working together to develop the project document. Dr. Sam Adu-Kumi, Director of Chemicals Control and Management Centre at EPA also gave his opening remarks as a representative of the Acting Director General of EPA. He stated the importance of prioritizing issues about chemicals and waste due to the adverse effects they have on human health and the environment. He mentioned other
projects that the EPA and other national institutions are involved in to address the challenges posed by chemicals and waste in our environment. He stressed on the relevance of this impending project and called on invited stakeholders to make the project document wholesome and complete by making some inputs.

Presentation of the Project

After the introductory remarks by UNDP and EPA, a presentation was made on the contents of the project document highlighting the thematic areas in the project document. Below are the highlights on the presentation:

- The Minamata Convention: The Minamata Convention on Mercury is a global treaty to protect human health and the environment from the adverse effects of mercury. It was agreed at the fifth session of the Intergovernmental Negotiating Committee on Mercury in Geneva, Switzerland 19 January 2013 and adopted later that year on 10 October 2013 at a Diplomatic Conference (Conference of Plenipotentiaries), held in Kumamoto, Japan.
- Objectives of the convention: The project will seek to create an enabling environment for decision-making on the implementation of Minamata and also develop the National Mercury Profile and Mercury Initial Assessment Report for Ghana.
- Highlights of the convention: The major highlights in the Minamata Convention include a ban on new mercury mines and the phase-out of existing ones, the phase out and phase down of mercury use in a number of products and processes, control measures on emissions to air and on releases to land and water and the regulation of the informal sector of artisanal and small-scale gold mining. Interim storage of mercury and its disposal as well as sites contaminated by mercury and Health issues on mercury use are among the highlights of the convention.
- Brief about the Minamata disease
- Global mercury sources
- Mercury sources in Ghana
- Highlights of the Ghana MIA PRODOC
  - Project Objectives
  - Project Goals
  - Key Stakeholders and roles
  - Summary of Activities
  - Project Organization Structure
  - Key Analysis
  - Other GEF funded Projects in Ghana on Chemicals and Waste
  - Project implementation Steps
  - Project outcomes and budget
Below is a summary of the project outcomes and budget.

- **Outcome 1. Enabling environment for decision-making on the implementation of the Minamata Convention created.**
  - Output 1.1. Policy, regulatory framework and institutional capacity needs in regard to the implementation of the Convention’s provisions assessed.
  - Output 1.2. Awareness on the environmental and health impacts of mercury raised
  - Output 1.3. Importance of mercury priority interventions at national level raised through mainstreaming in relevant policies/plans

  - SUMMARY OF ACTIVITIES: Review of existing legislation and structures on mercury; The EPA to partner with the NDPC and MDAs to include mercury intervention priorities in development plans and policies and Awareness raising on the environmental and health impacts of mercury

  - Year 1 budget: USD 24,800
  - Year 2 budget: USD 25,200
  - Total for Outcome 1: USD 50,000

- **Outcome 2. National Mercury Profile and Minamata Initial Assessment Report developed**
  - Output 2.1. National capacities to undertake the Mercury Inventory built.
  - Output 2.2. Mercury Inventory conducted and National Mercury Profile prepared.

  - SUMMARY OF ACTIVITIES: Training on mercury data collection methodologies, reliability, credibility and data analysis; Conduction of mercury inventory, Preparation of National Mercury Profile and the Preparation of National MIA Report

  - Year 1 budget: USD 64,000
  - Year 2 budget: USD 59,250
  - Total for outcome 2: USD 123,250

- **Outcome 3. Monitoring and Evaluation effectively carried out**
  - Output 3.1. Project monitoring and evaluation implemented.
  - Activities: Inception workshop (Travels and cost of meeting venue) and Audit Services

  - Year 1 budget: USD 11,500
  - Year 2 budget: USD 5,450
  - Total for Outcome 3: USD 16,950
Discussions on the Project

After the presentation, participants were given the opportunity to raise comments and questions on the project document and any other issues related to the project.

Below are some of the key issues:

- **Project templates revised:** Mr Louis Kuukpen established that UNDP has developed new templates for all project documents. In that regard, the current format of the project document will be changed into the new template. He assured participants that it was only the format of the project document that will change but not the content.

- **Specification of important stakeholders in the project document:** Participants suggested that all stakeholders that will be involved in the project implementation should be clearly defined in the project document to enhance clarity from the beginning. Below are some institutions that were identified and added to the project document (Page 7 of project document)

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<thead>
<tr>
<th>Ministries, Departments and Agencies</th>
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<th>NGO's</th>
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<tr>
<td>KASA Initiative, Friends of the Nation, Network of NGOs in the mining Sector, NGOs in the chemical management sector.</td>
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<tr>
<td>Research and Academic Institutions</td>
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<td>Private Sector</td>
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- For the above mentioned stakeholders, it was recommended that their specific roles and responsibilities be clearly defined. Dr. Adu-Kumi indicated that the role definition will be done during the inception workshop when all these identified stakeholders are present.
- Membership of Steering Committee: An eleven member steering committee was recommended. They are; United Nations Development Programme Country Office, Ministry of Environment, Science, Technology and Innovation, Environmental Protection Agency, Ministry of Finance, Ministry of Health, Minerals Commission, Ministry of Trade, Friends of the Nation, University of Mines and Technology, Ghana National Association of Small Scale Miners and the National House of chiefs.
- Risk analysis: Risks for Organizational and Operational arrangements were changed from low risk to medium risk risks. This was due to the tendency of data collection taking longer than expected and low commitment from other stakeholders.
- Project Organization Structure: Participants suggested that Ministry of Finance and the Environmental Protection Agency are added to MESTI and UNDP to form the Executive on the Project Board.
- Project Outcomes and Budget: Participants accepted the projects outcomes, outputs and the budgets allocated to them.
- On the goals of the project, Article 4 of the Minamata Convention which touches on Mercury Added Products was added to the list of Articles that will be the basis for the Review and assessment of legislations and policies in regard to the implementation of the provisions of the Minamata Convention.
- Data Collection tool: Dr. Sam Adu-Kumi explained that a toolkit has been designed for the data collection. Information received will be inputted into this toolkit (which is in the form of spreadsheet) and estimations derived. Since this toolkit was not designed specifically for Ghana, aspects which were not captured will be written in the form of a report. Recommendations will also be made for the toolkit to meet or capture the Ghanaian situation.
- Inception Meeting: Dr. Sam Adu-Kumi stated that October 2016 has been proposed as the period for the organization of the Project’s inception meeting has doubts about its feasibility looking at the process ahead. Louis Kuukpen however stated that UNDP is very
Flexible and would be ready to support the inception from internal budget and would be reimbursed after the project funds are available.

Conclusion

- There should be a discussion between the UNDP and UNIDO on possible areas of collaboration since their project on the NAP will be collecting data on Artisanal and Small Scale miners.

- Mr. Louis Kuakpen gave his final remarks and reiterated the readiness of UNDP to do everything possible to ensure the successful implementation of the project. Dr. Sam Adu-Kumi on behalf of EPA, thanked participants for their useful inputs and also thanked UNDP for creating this platform for stakeholders to make their inputs in the project document.

- Nana Andoh from Ghana Chamber of Mines moved that the project document is relevant, realistic and therefore accepted to be used for the project implementation. Dr. Carl Osei from Ghana Health Service seconded the motion.

Next Steps.

- Project document with the comments from participants will be sent to stakeholders who couldn’t attend the meeting to get their inputs. Stakeholders should give their inputs by Wednesday 14 September, 2016.

- The Project document should be revised to reflect the New UNDP template

- Project document will go through a series of internal Project Assurance Processes. Management of UNDP CO will be informed of the project, its goals and implementation plan. These processes should be completed by 23rd September, 2016.

- Final project document to be submitted to GEF for approval.

Minutes taken by Joel Ayim Darkwah (Assistant Programme Officer, UNDP) and Kwadwo Asiedu-Danquah (Graduate Intern, UNDP)
# Appendix A

## LIST OF PARTICIPANTS

<table>
<thead>
<tr>
<th></th>
<th>Name</th>
<th>Organization</th>
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<tbody>
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For EPA

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DATE: 28/09/2016