UNITED NATIONS DEVELOPMENT PROGRAMME

PROJECT DOCUMENT
Phase Two of the Joint UNDP Swedish EPA Global Environmental Governance Project (EGP)

Project Title: Pase Two of the Environmental Governance Programme–Mining. (EGP Phase Two)
Project Number: 00093554/00086259
Implementing Partner: Swedish Environmental Protection Agency (Swedish EPA)
Start Date: 30 June 2020   **End Date:** 31 December 2023   **PAC Meeting date:**

Brief Description

Summary of substantive amendment- EGP Phase Two:

The purpose of this substantive amendment is to bring the project document up to date ahead of the commencement of Phase Two of the joint Swedish Environmental Protection Agency (Swedish EPA)-UNDP global programme on environmental governance for sustainable natural resource management - mining (EGP). This amended project document presents the Phase Two of the EGP and explains how it builds on successes and lessons learned from Phase One.

The EGP Phase One and Two combined is fully funded by Sida with ca 18 million USD over a period of nine years (2014-2023). Phase 2 is funded by approximately 9 million USD. Approximately 50 % of the funds are transferred to UNDP through a cost sharing agreement between the Swedish EPA and UNDP. The UNDP managed funds amount to:

- Phase One: 2014-2019 - USD 4,222,174 targeted support to 4 countries, plus global activities.
- Phase Two: 2020-2023 - USD 4,150,000 targeted support to 11 countries, plus global activities.

The project contributes across the UNDP Strategic Plan 2018-2021 to the three development outcomes and several signature solutions; most directly accelerating structural transformation (2) and sustainable planet (2.4.1)

The focus of Phase Two continues to be on integrating environmental and social concerns and human rights-based approaches into the governance of the mining sector, through human rights based and multi stakeholder approaches. This includes support for large, medium and small-scale mining across all stages of the mining cycle, from initial environmental and social impact assessments and licensing through closure. The project retains three mutually reinforcing outputs that support responsible mining governance across three governance levels: 1. National policies, implementation and administrative decision-making, 2 empowering stakeholders at sub-national level; 3. Global knowledge sharing.
It will continue to support Phase One countries, i.e. Colombia, Mongolia, Kenya and Mozambique. It will also provide lighter support to a wider set of countries, e.g. Peru, Argentina, Zambia, Kyrgyzstan, Namibia, Ecuador and Liberia, as well as others supported through ongoing EGP global activities.

Phase Two will also have a greater focus on the following SD themes and cross-cutting issues: water, soil, air and noise pollution; health; biodiversity loss and climate change; socio-environmental conflicts; and gender equality and women's empowerment. In addition, in line with the recommendation of the external evaluation carried out in 2018, Phase two will have a greater focus on community-based approaches.

Briefly describe the overall development challenge and the expected results of the project.

Mining can impact postitively and negatively across the Sustainable Development Goals. In many economies, revenues from the mining is a big share of the GDP. Mining can also provide jobs and necessary infrastructure. It provides commodities for many products and has done so for centuries. Metals and minerals are needed for building roads, houses, which is critical for building back better, and for many technologies such as computers and mobile phones.

By 2060, the global demands for metals and minerals is expected to triple compared with 2011,[1] to meet the growing demands of a more affluent and increasingly urban population. [2] Demand is also partly driven by the need for rare earth metals to develop green technologies needed to achieve the 2030 Sustainable Development Goals. Too often, however, the mining industry deliver as much damage as opportunities and benefits.

But the management of the environmental and social impact of mining is one of the most critical challenges facing resource-dependent developing countries in their efforts to advance sustainable development. Mining causes damage to ecosystem services which provide women and men with water, food, fuel, medicine and shelter. Land degradation, and water and air pollution caused by mining often affect community health and livelihoods. Mining also has a large carbon emission footprint at odds with climate goals, and the exploitation of metals and minerals often exacerbates and sustains social and violent conflicts around the globe. These negative impacts harm those who are already furthest behind, most dependent on nature and vulnerable to pollution, and have the least power to influence decision-making and demand accountability and redress, including Indigenous Peoples, women and children. As such, mining can compound patterns of poverty, inequality and exclusion.

As the demand for metals and minerals continues to grow, greater efforts are needed to protect human rights as well as the biodiversity and ecosystems on which local communities and society more broadly depend, in a climate smart manner.

This SIDA-funded programme responds to these challenges by strengthening the environmental, gender, human rights and rule of law dimensions of mining sector governance**.** Grounded in human rights based and multi-stakeholder approach, the project is based on a whole of society approach and convenes all [a broad range of stakeholders including civil society actors, public sector institutions and private sector to prevent and mitigate negative and social impacts in mining. Working in collaboration with ministries of environment, mining, local governments, national human rights institutions and ombudsman offices, as well as civil society local communities, media and private stakeholders, the programme provides targeted support to eleven countries: Colombia, Kenya, Mongolia, Mozambique, Peru, Argentina, Ecuador, Liberia, Kyrgyzstan ,Zambia and Namibia.

The programme will also work at the global and regional level to strengthen south-south knowledge sharing and innovative approaches. At the global and regional level, the EGP supports a global community of practice; influences and informs major fora and policy debates; facilitates platforms for advocacy and awareness raising, training, South-South and triangular learning, and peer-to-peer exchanges; and curates a range of knowledge management resources around the human rights, environment and mining nexus.

It draws on the combined governance, social, environmental, extractive sector and systems thinking expertise of the Swedish Environmental Protection Agency (SEPA), the United Nations Development Programme (UNDP), and partners.

<table>
<tr>
<td rowspan="2">Contributing Outcome:

SP Outcome 2: Accelerate structural transformation for sustainable development

Indicative Output(s) with gender marker[2]:
SP Output: 2.4.1 Gender-responsive legal and regulatory frameworks, policies and institutions strengthened, and solutions adopted, to address conservation, sustainable use and equitable benefit sharing of natural resources, in line with international conventions and national legislation. GEN2</td>
<td colspan="2">Total resources required:</td>
<td colspan="2">Phase 1: 4,222,174 USD.
Phase 2: 4,150,000 USD.</td>
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<td rowspan="4">Total resources allocated:</td>
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<tr>
<td>UNDP TRAC:</td>
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<td>Donor:</td>
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<td>Government:</td>
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<td></td>
<td>In-Kind:</td>
<td>Phase1:USD 861,950
Phase2: USD 250,000</td>
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<td></td>
<td>Unfunded:</td>
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Agreed by (signatures)[3]:

UNDP
Adriana Dinu Adriana Dinu Deputy Assistant Administrator and Deputy Director Bureau for Policy and Programme Support, GPN
Date: 25-Aug-2020

I. DEVELOPMENT CHALLENGE

Broader Challenges

The world is currently facing a triple crisis of inequalities, climate change and biodiversity and ecosystem services loss. This negatively impacts the enjoyment of a range of human rights of both current and future generations, including health, life, water, livelihood and culture. Those who are less culpable, including future generations and people living in vulnerability and poverty, are most affected by these negative changes. A total of 1.3 billion people are multi-dimensionally poor, with environmental degradation and deprivation of a healthy environment being key dimensions of this poverty.[4] Despite the near universal commitment to the Sustainable Development Goals, Human Rights and the many commitments manifested in over 900 environmental agreements, the world is still unsuccessful in halting environmental degradation, climate change and resetting the current path to one toward equitable and sustainable human development.

Mining Specific Challenges

Mining can impact positively and negatively on the SDGs. Mining provides commodities for many products and has done so for centuries. Metals and minerals are needed for building roads, houses and for many technologies such as computers and mobile phones. By 2060, the global demands for metals and minerals is expected to triple compared with 2011,[5][1] to meet the growing demands of a more affluent and increasingly urban population. [2] Demand is also partly driven by the need for rare earth metals to develop green technologies needed to achieve the 2030 Sustainable Development Goals.

While development of mining holds the promise of raising incomes, poverty can persist; The extractive sector generates little employment, which also tends to be low-skilled and low-wage. This is partly due to the capital intensity of the operations as well as the shortage of workers skilled in engineering and management.; the industry can be an 'enclave', having no links with local enterprises that could provide production inputs to it or consume its produce (backward/forward linkages). And the environment is often severely degraded with impacts on a wide range of human rights, including life, health, livelihood, clean water etc. The wealth pouring into the country can also breed corruption and raise inequalities. All these unwanted outcomes may create fertile grounds for violence and conflict.

Mining can cause great environmental and social harm. It can damage ecosystem services which provide women and men with water, food, fuel, medicine and shelter. Land degradation, and water and air pollution caused by mining often affect community health and livelihoods. Mining also has a large carbon emission footprint at odds with climate goals, and the exploitation of metals and minerals often exacerbates and sustains social and violent conflicts around the globe. The long-term cost (e. biodiversity and ecosystems service loss as well as climate change impacts, health issues, and social conflict) of mining are usually not understood/considered/integrated into national accounting, giving a misleading picture of the real economic development.

These negative impacts harm those who are already furthest behind and have the least power to influence decision-making and demand accountability and redress, both within and across developing countries. Mining is disproportionately affecting indigenous peoples' (IP) rights, including to cultural integrity and land rights. Indigenous people count for only 5% of global population and they occupy 25% of land. But they safeguard 80% of global biodiversity[6]. Mining is pushing its border to the unexplored land of the globe and indigenous peoples are the one who live in those lands. The desire

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[4] *See World Inequality Report 2018 and* *https://www.worldbank.org/en/topic/poverty.*
[5] See: the world bank

for a country to tap into mineral wealth is often at odds with interests of IPs and other social and legal forces seeking to prevent environmental damage and linked HR impacts

There are gender inequalities to consider too. Most positive benefits of mining in terms of job and income generation accrue to men. Men often benefit more than women by the infrastructure set up around mines. Women and children are disproportionally impacted by pollution both due to physiological reasons and the tendency for them to be closer to the source of pollution i.e. water and soil. The health impacts from pollution can in turn impacts their ability to work. Women are also more prone to violence. Frequently, women are also cut off from decision-making in resettlement processes and compensation for land loss is often given to men as the head of household. Studies show that less women in the workforce has profound socio-political consequences. Exclusion form the workforce impacts women's ability to mobilize politically, lobby for their rights and gain representation in government. So, an economy heavily focused on mining can also reinforce patriarchal institutions.

There is a growing need for minerals both to meet consumer needs as well as for transition to green energy. Green transition will be mineral intensive and must be managed responsibly and sustainably. Minerals are also key to building back better after natural disasters: minerals used in reconstructing damaged houses, roads and infrastructure, like sand, grave, clay and limestone, make up 84% of all types of minerals produced globally. Recognizing that there is also a substantive untapped potential in reuse and recycling of metals and minerals in most countries.

As the demand for metals and minerals continues to grow, greater efforts are needed to protect human rights as well as the biodiversity and ecosystems on which local communities and society more broadly depend.

II.   STRATEGY

This section explains how the EGP will invest in knowledge, people and institutions to bring about a future state where people and communities affected by mining – and future generations— benefit from a healthier environment, wellbeing and more equitable development outcomes of mining. The interventions will focus on addressing governance gaps and strengthening state capability for human rights-based environmental governance of the mining sector. Operationally, the programme will continue to draw on the joint expertise and networks of SEPA and UNDP across extractives, nature, climate change, gender, governance, human rights and rule of law, gender, innovation and systems thinking areas and portfolios.

Addressing challenges through human rights-based governance reforms:
Negative impacts and risks from mining need to be managed well, from the initial concession negotiations through operation/monitoring, to the decommissioning process and monitoring of closed extraction operations. The regulatory capacity of the state is key for protecting people and planet. Responsive, accountable and inclusive public sector institutions that can work well together across sectors, institutions and levels of government and embody core principles of human rights are prerequisites for managing mineral resources more responsibly and responsively.

Often, implementation gaps reflect power imbalances between impacted communities and individuals, governments and the industry, nationally and internationally. A key strategy for protecting environment and preventing linked, negative human rights impacts is through strengthening information, meaningful participation in decision making processes and access to accountability and grievance mechanisms.

Communities often do not know about their rights, the state's obligations or about the accountability mechanisms that are designed to ensure those rights. Participatory processes and procedures are often tokenistic or non-existing. Furthermore, accountability mechanisms often do not exist, or where

they do exist— are often dysfunctional. Affected communities lack access to administrative redress mechanisms, to courts and a justice system to claim their rights and hold duty bearers to account when laws are broken. Feedback mechanisms from the local to the global level governance, including Multilateral Environmental Agreements, and possibilities for those who are most negatively affected by environmental degradation and climate change to influence global level decision making are also oftentimes week.

The duty of the state to protect, respect and fulfil human rights includes taking positive steps to to ensure not only legislative measures, but also judicial, administrative and educative and other appropriate measures; and to structure the state apparatus in a way to ensures the full exercise if human right. This includes a duty by public sector agencies to ensure that communities are aware of and can understand and exercise their rights and obtain remedy.

Strengthening capabilities of both duty bearers in the public administration and right holders to secure environmental procedural rights is a key strategy for the programme to achieve more just and equitable sustainable development outcomes and achieve the right to a safe, clean and healthy and sustainable environment. Participatory processes are also a prerequisite for a more holistic understanding of issues and for co-creating solutions that benefit the public and particularly those living in situations of vulnerability and poverty

Whereas the focus of the EGP will be on public participation and the regulatory and implementation capabilities of public sector institutions, other political institutions are also key to bring about transformative change: Parliamentary committees that pass environmental legislation need to have sound consultation processes that shape the drafting of laws and for monitoring their implementation. The justice sector needs knowledge skills and capacities and knowledge about mining and environmental issues to adjudicate and enforce these laws.

Building on Experience from Phase One

The strategic value and approach of EGP Phase One was validated through the external evaluation (2018). Building on the evaluation recommendations, lessons learned from programming and a series of consultations, the TOC has been refined and updated to reflect the following key lessons:

First, the national and sub-national environmental and mining authorities in programme countries, including Colombia, Kenya, Mongolia, Mozambique and others, need support to develop the necessary capacity to mineral resources inclusively, in line with human rights, and in a way that protects the environment. This includes the capacity to apply methodologies for valuation of ecosystem services for more informed natural resource management as well as the capacity to generate data-driven evidence of mining sector impact on communities and environment. It also includes the capacity to facilitate and actively participate in multistakeholder platforms where actors can convene to co-create solutions.

Secondly, and in parallel, evidence from Phase One demonstrates a lack of awareness and capacity among civil society at community-level to engage in the policy- and decision-making process to reduce power imbalances and ensure a healthier environment. This both reinforces inequality and multidimensional poverty at local level, leads to mining-related grievances with a high social conflict potential, and forges a general lack of citizen trust in government and private sector.

As an example, the assessments of respect for rule of law principles, conducted by SEPA–UNDP–FBA under the first phase of the EGP, showed that in Colombia the majority of respondents lack trust in the public authorities governing the mining sector, with 91% of surveyed citizens perceiving that they are deprived of the right to meaningful participation in decision making and 86% perceiving that government lacks accountability.

Finally, the lessons from the Phase One implementation, and related research, indicate that when the necessary changes in relations and capacities of stakeholders – especially the most vulnerable – *do* take place, they are often not harnessed sufficiently to inform regional and global development cooperation. The Phase One built a network of partners and outlets for lessons learned, which the EGP Phase Two will fully capitalize on through addressing the lack of effective exchange of experiences globally, regionally and, in many cases, even within countries with several mining-affected regions.

The Phase two impact statement, outputs, activities and theory of change are consistently structured around the same fundamental governance principles, as Phase one, notably participation, multi-actor partnerships, transparent, inclusive and accountable processes and institutions, access to knowledge and information, cohesive policy and implementation. These principles are carefully selected as they are at the crux of reducing power imbalances in the mining sector, addressing drivers of multi-dimensional poverty, preventing human rights infringements and building trust in the interface between the State and local communities across countries like Colombia, Mongolia, Mozambique, Kenya and many others.

Underpinned by these principles, Phase Two will also support and facilitate the role of women, youth and indigenous groups as positive agents of change to achieve the objectives set out in the MEAs and environmental sustainability, but also with the potential to contribute to sustaining peace. Finally, the programme will accelerate efforts to understand and harness the potential role that respect for these basic principles can play in mitigating conflicts related to the socio-environmental degradation caused by the mining sector in the programme countries.

Flowing from lessons from EGP Phase one, a *hypothesis* for Phase two has crystallized:

Firstly, local stakeholders most affected by the negative consequences of the mining sector can only affect change to existing power imbalances in the environmental governance system if they gain access to, and ultimately develop their own, adequate resources, capacities and partnerships to participate in decision making and access information, redress and justice.

Secondly, change will only happen if and when stakeholders with formal and informal decision-making authority in the mining sector – at local, national and international level – engage in environmental governance of the sector based on profound respect for basic procedural rights and science based understanding of the value of ecosystem services and biodiversity vs extraction of metals and minerals.

Finally, as an inalienable part of the programme's hypothesis, in order for meaningful system change to happen, all stakeholders must have platforms that allow both for working across sectors and scale with a genuine aim to co-create sustainable solutions and collaboratively re-engineer the power imbalances that harm local communities. This hypothesis informs both the theory of change (in section 3) and the formulation of the results framework and the risk and hypothesis.

Theory of Change

The project assumes that the sustainability crisis in the mining sector is a governance crisis. It is designed upon the premise that human rights-based governance is the key to address the issues *so* that mining can reduce its negative impact and better contribute to advancing the broader global 2030

Agenda. It further assumes that there is a close links between mining, environmental degradation, biodiversity and ecosystem service loss, human rights violations, multi-dimensional poverty and climate change.

The Theory of Change is grounded in the assumption that only through understanding the system as a whole, as well as the connection between all the various parts, can one find the right levers to address the root causes of these complex issues. Human rights based participatory approaches helps us to ensure the inclusion of the multiple perspectives needed to manage these complex challenges and to co-create solutions that work for people - especially those living in situations of vulnerability and poverty - and planet. Therefore, the programme sees the value identifying and addressing complex issues through participatory multi-stakeholder dialogue and problem driven and iterative approaches.

Key stakeholders for the programme are: Ministries of Environment, Ministries of Mining, Environmental Protection Agencies, Local Governments, National Human Rights Institutions, Civil Society and Community Based organizations, local communities, private sector and media. Affected communities living in poverty, indigenous peoples, women and youth will be specifically targeted, as they are both key agents of change and the most negatively impacted by pollution, violence and inequality. As part of these efforts, enabling greater voice and participation of the poor in governance systems and strengthening gender equality, women's empowerment and resilience to various shocks is prioritized.

Different preconditions and change pathways are foreseen for the different governance levels corresponding to the three programmatic outputs. These are brought together through an overarching TOC illustration at the end of the chapter that gives a simplified snapshot of how the programme will bring about the needed change in attitudes, behaviours, capacities, skills, relationships and decision-making processes.

Sub-national and Local

If…the role of the civil society is strengthened through facilitating access to information, meaningful participation in decision making, consensus building, accountability and redress mechanisms…

and if…communities affected by mining operations have the capacities and tools to monitor the quality of the environment and make data publicly available…

and if…multistakholder platforms for effective and constructive dialogue are also active at local level, engagement of capacitated local authorities and businesses who consult publicly and transparently with communities, including women and youth…

and if…the human rights of indigenous communities and environmental activists are protected…

and if… mining companies take measures to reduce environmental impacts of operations and put in place effective social safeguards with input from all sectors of society…

then…stakeholders at sub-national level in EGP 2020-2023 programme countries, especially women, youth, indigenous groups and others who live in vulnerable situations, can effectively influence decision-making, monitor state and mining sector activities, and reduce power imbalances by holding responsible parties accountable for adverse impact of mining on environmental sustainability, multidimensional poverty, and prevention of socio-environmental conflicts.

National

If…governments in partner countries are nudged to apply available incentives, political will, knowledge, networks and tools to strengthen the coherence and implementation of policies and legal frameworks for environment and human rights in the governance of the mining sector…

and if…better data and analysis is openly available on long-term social, economic and environmental impacts and costs of mining and on the benefits of responsible mining for both the private sector and public interest…

and if…civil servants are better equipped to mainstream climate change, ecosystems approaches, human rights, and conflict prevention into decision-making in the mining sector, including through participatory SESAs and ESIAs, in line with MEAs and basic rule of law and accountability principles…

and if…public administrations, NGOs, and the private sector jointly design and tested new methods to address problems they identify as key to improving the governance of the mining sector…

and if…national justice systems and oversight bodies (parliaments, ombudsmen, NHRIs etc) have capacity to address environment and HR issues to increasingly hold government accountable…

and if…government capacity in programme countries to transparently manage environmental impacts of Artisanal and Small-scale Mining (ASM) is strengthened…

and if…mining companies and national business councils (including mining associations) in programme countries engage in multi-stakeholder platforms to co-create solutions that limit impacts of mining on biodiversity, forests, climate change and people

then…national policies, implementation and administrative decision-making related to management of natural resources and socio-environmental risks in the mining sector will be strengthened and underpinned by human rights, global frameworks, procedural rights and rule of law principles, ultimately reducing environmental degradation, inequalities, the risk of conflict, and multidimensional poverty among persons directly or indirectly affected by mining.

Global and regional

If…lessons on responsible governance of the mining sector are shared in international fora relevant to the human right to a healthy environment, gender equality, youth empowerment, rights of the child to a clean environment, and the Sustaining Peace agenda (e.g. MEAs, Human Rights Council, UN Environment Assembly, UN General Assembly, HLPF)…

and if…non-party stakeholders have improved access, voice and avenues for knowledge-sharing and effective participation, including in MEA processes relevant to mining…

and if…governments increasingly support the integration of Human Rights and rule of law principles in mining relevant MEAs and regional mechanisms…

and if…the multilateral system, including UN agencies, led by example by integrating environmental considerations in their management of facilities, operations, programmes, policies…

and if…countries mutually exchange, and use, lessons learned on e.g. valuation of ecosystem services and other instruments for improved environmental governance of the mining sector…

and if…multinational mining companies increasingly engage in multistakholder partnerships to protect, respect and remedy harmful impacts of mining on climate, environment and societies

then…the quality, coherence, implementation and monitoring of relevant MEAs and SDGs will advance, contributing to the health of global ecosystems, effective protection of human rights, and reductions in multidimensional poverty.

The below overarching TOC illustration shows how the EGP will assist governments and partners to transform their mining governance regimes for more sustainable development outcomes. The transformative process is underpinned by UNDP programming principles and systems thinking theories. It will be supported through peer to peer knowledge sharing and multi-stakeholder platforms, capacity development and training, identifying, supporting, scaling and diffusing emerging practices and innovative approaches, and through global advocacy and policy work. The specific interventions will be targeted to each country's needs, demands and context. Recognizing that the project can intervene at different stages at different time, and that there is never a one size fits all, the main steps of the transformative change process can be simplified to encompass supporting the following steps:

- Problem identification and system mapping – the collaborative identification of weaknesses and bottlenecks of existing structures and processes; and the joint discovery of the dynamics and interconnectedness of the system at play to build a shared multidimensional thinking framework.

- Planning prioritizing and sequencing solutions – focusing on co-creating solutions that the group has authority, ability and acceptance to advance;

- Implementation, learning and adaptation – to make meaningful change happen there must be enough and safe space for testing and failing, system-based learning and iterating. Scaling and diffusion of emerging practices.
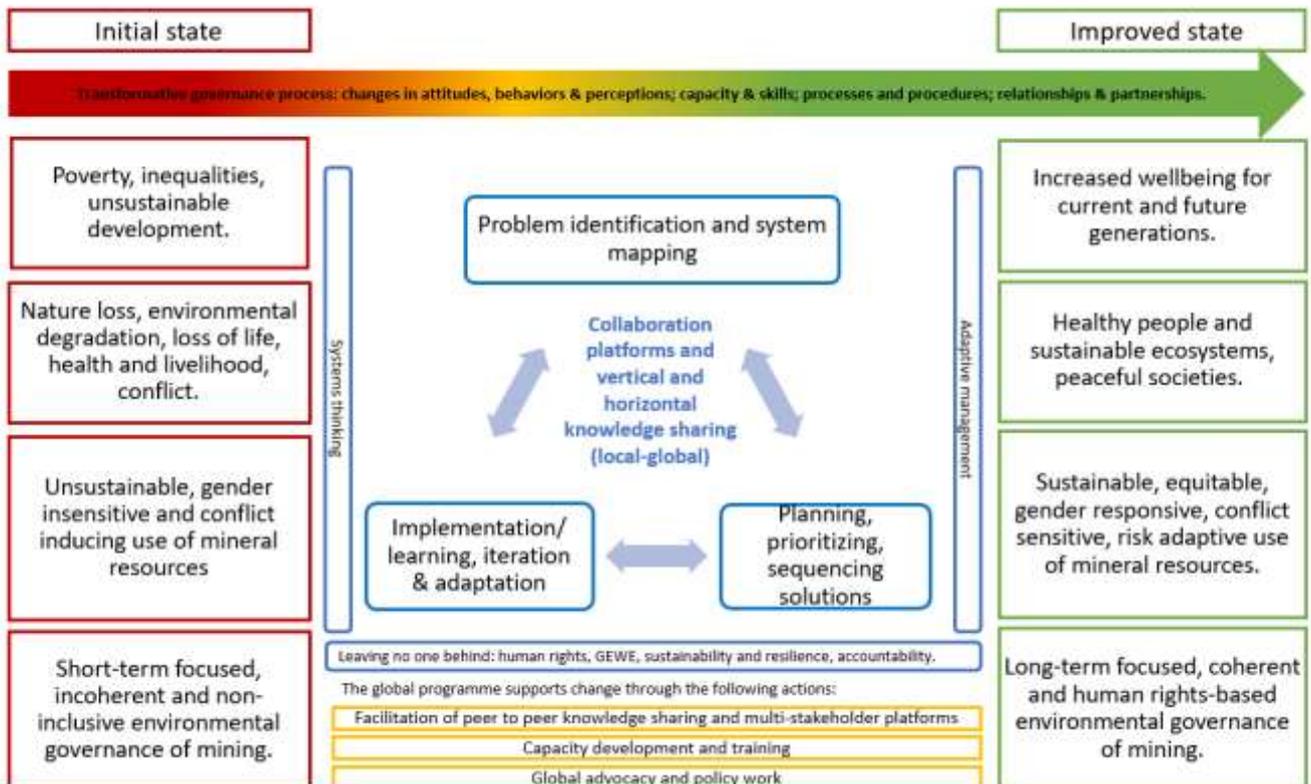
Programmatic Approaches:

The design and implementation of the programme will be guided by UN common programming principles: human rights, gender equality and women's empowerment; sustainability and resilience; and accountability. It will be demand driven and grounded in strong national ownership and buy in.

Human Rights-Based Approach and Gender Equality

In recent years, recognition of the linkages between the effective enjoyment of all human rights and the protection of the environment has greatly increased. There is growing consensus that there can be no full realization of Human Rights without a safe, clean and healthy environment and implementation of environmental obligations. Conversely, strengthened human rights in the context of the environment, including fulfilment of procedural rights such as participation in decision making, access to information, accountability and redress, are instrumental in protecting the environment.

The programme will approach the strengthening of human rights and rule of law principles with a strong lens on the role of women and children. Recognizing the active role of women, youth and children as resourceful agents of change, this programme will strengthen skills and abilities to

participate in decision making and management of natural resources through advocacy, tools and training on women's and children's rights and access to a clean and healthy environment. Empowerment of these groups will be mainstreamed through all programme activities. This includes ensuring women's participation in consultation processes, creating a favourable environment for women's participation in all EGP activities, adopting gender sensitive language in all documents, fostering partnership with children's, youth's and women's organizations and applying a gender and child lens to all assessments and analyses.

Systems Thinking

To deliver on the above, it is necessary for the programme to seek to find leverage points and strategic interventions based on systems understanding. Moving towards an integrated programme with a coherent thematic focus, the EGP 2020-2023 will focus on mining from a wider systems perspective. This will involve: considering the connections with other relevant thematic areas, sectors and effects within the wider system; ensuring that all stakeholders are included at the very beginning of all processes; and working in partnerships to address complex and interdependent challenges to peace and human security, human rights, and all aspects of development (economic, social, cultural, political and environmental). In its essence, the systems approach brings together interviews, dialogue, openness to perspectives from public and private sectors, and people at all levels of an institution's hierarchy to solve complex issues such as administrative challenges in environmental governance of mining.

Conflict Prevention and Sustained Peace

Lessons from phase 1 implementation (2014-2019) show clearly that, when managed poorly, mining has proven to exacerbate environmental degradation, displace populations, increase inequality and social conflict. This aligns with the expectation that natural resources are key drivers in a growing number of disputes, with potentially significant consequences for international and national peace and security.[7] Research on the frequency of reported conflicts between mining companies and communities shows a progressive increase since 2002.[8] Such conflict potential can often be traced to grievances that emerge from ill-designed policies on participation, planning, revenue distribution, and transparency. The programme will continue the work from phase I on detecting grievances related to the socio-environmental management of mining operations in the programme countries

Adaptive Management and Innovation

As substantiated by the final evaluation, the Global Programme 2014-2019 has been highly adaptable in answering emerging needs and changes in the operational context. This flexibility has proved effective in achieving good results and seizing unplanned opportunities. Beneficiaries and implementing partners have expressed appreciation for this implementation approach. Taking stock of the learning from the Global Programme 2014-2019, and cognizant of the inherent complexity of policy reform discussed above, the approach of EGP 2020-2023 for country level action will be to continue this adaptive management approach with a view to fostering innovative practices. This means that the programme will make sure implementation is rooted in locally defined problems, multi-stakeholder participation, local ownership, and an explicit focus on learning and being adaptive in both programme design and implementation.

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[7] *Ibid.*

[8] *Rachel Davis and Daniel Franks. (2014). Cost of Company-Community Conflict in the Extractive Sector, International Council for Metals Mining. See also* http://www.hks.harvard.edu/mrcbg/CSRI/research/Costs%20of%20Conflict_Davis%20%20Franks.pdf.

III.   RESULTS AND PARTNERSHIPS

Expected Results

The outputs outlined below and, in the results, and resources framework have been maintained from phase one, but updated to more clearly show the three-governance level the programme operates on: Global, national, sub-national. The outputs were validated by the programme's partners during a set of multi-stakeholder workshops held over more than a year They are based on evidence and lessons from implementation of the Global Programme since 2014 as well as recommendations from the external evaluation that was carried out in 2018. The outcomes are complemented by brief country strategies from the Phase 1 focus countries, annexed to this prodoc. Interventions are structured around outputs cutting across local, national and regional/global levels of governance.

Output 1 (local):

Stakeholders at sub-national level in EGP 2020-2023 programme countries, especially women, youth, indigenous groups and others who live in vulnerable situations, effectively influence decision-making, monitor state and mining sector activities, and are able to hold responsible parties accountable for adverse impact of mining on environmental sustainability, multidimensional poverty, and prevention of socio-environmental conflicts.

This output will support stakeholders, and their coalitions, at the sub-national level in all programme countries. This includes support to strengthening the capacities of local communities and local governments, as well as relevant private actors and research institutions operating in the same local territories where the programme is implementing.

Those who are disproportionately affected by socio-environmental harms from mining operations will be a particular target group for the capacity development component of Output 1 to ensure that population groups like indigenous groups, women, youth and children, who are regularly considered vulnerable, will be better capacitated to use their innate strength as agents for positive change. Other important stakeholders in need of capacity development support will be identified during the implementation phase. This can for example include academia and journalists, who have also been identified in phase I of the programme as central stakeholders in the search for local solutions to address the negative consequences of mining at community level.

The lessons from the Global Programme 2014-2019 documented that gaps in effective, rights-based environmental governance in the mining sector are overwhelmingly tied to implementation of policies rather than development of new laws and policies. Rooted in that knowledge, the EGP 2020-2023 will be focused on forging better *implementation* of legal frameworks, policy instruments and human rights-based principles at the sub-national level where implementation, or the lack thereof, is felt most directly.

Practically, this will require a multi-faceted focus where the EGP 2020-2023 not only supports stakeholders with isolated programmatic activities but rather supports a range of measures that empower local stakeholders, including the most vulnerable and at risk of being left behind, to develop and enter multi-stakeholder mechanisms.

Flowing from this analysis, Output 1 of the EGP 2020-2023 will support local multi-stakeholder partnerships spanning across all sectors to deliver effective mechanisms and methodologies for sourcing community-level information, including from women, youth and indigenous groups in all programme countries. In parallel the programme will support mechanisms that provide local stakeholders with increased access to information, data and empirical analysis with a view to detecting impact on ecosystems, multidimensional poverty, socio-environmental grievances and opportunities related to mining activities.

Similarly, the EGP 2020-2023 will support communities affected by mining operations in the programme countries in forging partnerships, developing capacity and accessing tools as well as knowledge from other locations that will equip them to monitor the quality of the environment and make data and conclusions publicly available. The EGP will work to ensure that local governments and mining businesses in programme countries support this empowerment of, and co-creation with, communities that are negatively affected by mining.

While improving data generation and access to information is crucial, the EGP will not stop short of focusing on supporting that evidence is translated into better policy development, implementation and administrative decisions by local authorities on management of resources.

Practically, this will, for example, entail assessments of whether local stakeholders across sectors perceive that they have access to the information that is necessary to support decision making at strategic or project levels and then responding rapidly to any perceptions that show a lack of respect for human rights and procedural rights in the mining sector.

Keeping in mind the well-documented precarious position of indigenous peoples, the EGP 2020-2023 will also allocate resources for local level work to promote the protection of the human rights of indigenous communities and environmental activists.

Based on the lessons from the EGP 2014-19, it is central to have platforms for effective and constructive dialogue and collaboration among stakeholders at community level. With that in mind the programme will, under this Output, support sub-national authorities in Colombia, Kenya, Mozambique and Mongolia as well as new countries joining the EGP to engage and consult local communities on matters related to the socio-environmental impact of mining operations. This will include continuous priority-setting dialogues with local communities affected by mining. This means, for example, that the programme will support the establishment of multi-stakeholder coalitions at local level[9] with the means to test innovative solutions to collaboratively define and address the most pressing problems in the environmental governance of mining

activities. It will be crucial that these coalitions include actors at the sub-national level in programme countries, including civil society and local governments.

These are some of the key components that will sharpen the programme's focus on applying innovative rights-based approaches at the local level, and to support those communities that are most affected by the socio-environmental consequences of mining operations.

Output 2 (national):
National policies, implementation and administrative decision-making related to management of natural resources and socio-environmental risks in the mining sector are strengthened and underpinned by human rights, global frameworks, procedural rights and rule of law principles in all programme countries, with a view to reducing environmental degradation, inequalities and power imbalances, the risk of conflict, and multidimensional poverty among persons directly or indirectly affected by mining.

Under this output, the programme will work with agencies in mining sector processes at country level (e.g. environmental and social assessments, licensing, rehabilitation, compensation) to improve transparency, accessibility, evidence base, rights-based policies and administrative decision-making,

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[9] Including national, sub-national and community-level actors as well as academia, businesses and networks.

legal measures and multistakeholder partnerships at national level to address the socio-environmental, climatic and human rights consequences of mining sector activities. By partnering with academia and other research institutions, the policy-research interface will also be strengthened as follow-on to recommendations from phase I.

Phase 1 of the programme (2014-19) invested significant resources in mapping and analysing mining sector decision-making with an environmental impact in all programme countries. This has included support to government agencies' self-assessments, legal reviews, reviews of existing mechanisms, policies, programming and networks. While legal and policy frameworks are largely solid in both Mongolia, Mozambique, Kenya and Colombia there is scope in all programme countries to improve the coherence and implementation of policies with an environmental impact.

There is also scope and demand from country level partners to incorporate human rights and environmental preservation more consistently in national mining policies and regulatory frameworks. The phase 1 initiated work to influence these aspects of environmental governance of the mining sector, and now the EGP 2020-2023 will, under this Output, continue building on the progress made since 2014.

Collaboration will aim at improving horizontal policy coherence at national level in programme countries. This precondition better coordination of policies among the ministries and government agencies involved in the management of the mining system, as well as to strengthen vertical coherence between national policies and implementation at local level.

A consistent effort will be deployed to support stakeholders at national level, such as mining-related Ministries and other government agencies in programme countries, in strengthening their awareness of how to move from a siloed approach toward a more integrated approach that factors in the poverty-environment-human rights nexus in the mining system.

The programme will focus on implementation of sound frameworks, and support national-level institutions and stakeholders in all programme countries in not just making the management of environmental and social risks related to mining operations more effective, but also in ensuring that environmental governance principles are rooted in rights-based principles for inclusive and sustainable development. This includes assessing and promoting rights-based principles – such as accessibility, transparency and the right to both participate in decision-making and seek redress – in the interface between State and society. It also includes an explicit focus on promoting gender equality in the governance of the mining sector, which means that women must not only have equal access to participate from a civil society perspective but also be empowered to have proportionate access to decision-making roles in the policy and administrative arena, for example by accessing decision-making roles within the public administrations of programme countries.

Based on lessons from the phase 1, 2014-2019, the national government agencies in need of support and strengthened capacities include for example national environmental licensing agencies and the independent oversight bodies in programme countries. These are central to ensure meaningful participation in decision-making through improved application of human rights norms, standards and principles related to access to information, justice and effective remedies in the context of environmental risks and their socio-environmental consequences.

Under this Output the programme will contribute to create an enabling environment where public administrations, civil society, the private sector and academia can co-create, develop and test innovative solutions for problems and challenges in the environmental governance of the mining system that they have identified. To do so, the programme will also support the development and implementation of multi-stakeholder platforms and dialogues, and foster learning environments. This

will also strengthen national capacities for the implementation of international conventions, such as UNFCCC, CBD[10] and BRS[11], and regional treaties arrangements concerning human rights and environmental matters, such as the Escazú agreement.

Output 3 (global and regional):

Lessons, experiences and knowledge generated through the support of the EGP 2020-2023 at national and local level are promoted regionally and globally to advance the quality, coherence, implementation and monitoring of relevant MEAs and SDGs.

The programme will contribute to addressing the power imbalances and discrepancies that exist between the resourceful economic forces and actors, including mining companies, and the ability of governments and societies to manage them. These imbalances are present at global level as well as local and national level and, since there is an important link between the global and local levels of governance, the EGP 2020-2023 will, under this output, focus on ensuring that experiences and lessons learned at country level increasingly become catalytic internationally. This entails efforts to aggregate results, lessons and knowledge-sharing to the regional and global level to ensure the programme becomes more than the sum of its parts. As such, the programme is well-positioned to add value to the work and accomplishments of many national and local partners across all regions by sharing experiences from the programme countries which span various regions.

This link between local implementation and global systems will, for example, manifest itself through participating and feeding in data, evidence, lessons, tools and results from the programme countries into international policies, systems, partnerships, frameworks, tools and regulations for socio-environmental sustainability[12]. There are several examples of the various global frameworks and milestones coming up in 2020 and beyond, which the EGP 2020-2023 will aim to inform by feeding in evidence from the country level. Some of them are the World Conservation Congress in 2020, the post-2020 global biodiversity framework to be considered at the COP to the Convention on Biodiversity in 2020, and the launching of the UN Decade on Ecosystems Restoration in 2021. This output also provides an opportunity for the programme to sharpen the work carried out in the phase to give women and youth a stronger voice in influencing global environmental policies.

Resources Required to Achieve the Expected Results

The total budget for Phase Two is USD 9 million. USD 4,150,000 will be transferred to UNDP through a cost sharing agreement with the Swedish EPA. The remaining funds will be administered by the Swedish EPA. The collaboration will be based on a joint multi-year workplan.

This indicative budget is inclusive of initially anticipated programmatic and operational costs needed to support project implementation. These include staff and consultancies that directly support implementation, i.e., a full-time project manager, a 50 % communications support, 20 % admin support, quality assurance. Other resources needed are travel, procurement of services such as print and translation, and technical support services, including from Nature for Learning and Source International.

At least 60 % of the funds will be transferred to Country Offices via GLJE. CO support staff functions will be built into each CO's budget via a DPC budget line. In line with standard UNDP programming policies, 8% GMS will be deducted from the overall amount of programmable funding. In line with UNDP policies and the project's objectives, a minimum of approximately 5% of the overall budget will be used to advance gender equality and women's empowerment issues.

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[10] *Convention on Biological Diversity.*

[11] *Basel-Rotterdam-Stockholm Conventions.*

[12] *including relevant MEAs, SDG monitoring and acceleration initiatives, Human Rights laws, norms, standards and principles.*

Partnerships

The EGP Phase Two will operate with two tiers of implementing partners:

Core implementing partners: are Swedish EPA and UNDP. The funds will be divided between the two organisations with approximately 50 % of the funds transferred to UNDP through a cost sharing agreement with the Swedish EPA. The implementation will be joint, with joint accountability for delivering the results indicated in the results framework on output level.

Other implementing partners are other organisations with which there are benefits from collaboration towards joint objectives and that have contributed to the design and development of joint programme activities. Collaboration with these partners may take different forms such as through responsible party agreements to implement activities under the programme, joint organization of events or trainings, joint publications, sharing of data, or other forms of collaboration. Implementing partners will also be invited to play an active role in engaging in joint learning activities.

The following table is indicative of the types of partners the programme will work. More specific examples have also been provided particularly in sections the results framework.

Table 1. *Indicative partner categories for the EGP 2020-2023.*

Categories	Partners
UN agencies and bodies	The Office of the High Commissioner for Human Rights (OHCHR)and the Special Rapporteur for Human Rights and the Environment (SRHRE); The World Bank (WB), UN Women, UNEP, UN Statistics Division; UN Volunteers, GAHNRI.
Swedish Government Agencies	Folke Bernadotte Academy (FBA); the Swedish Geological Survey (SGU); the Swedish Agency for Marine and Water Management; Statistics Sweden; the Swedish Land Survey Agency (Lantmäteriet).
Academia and Research Institutions	Stockholm Environmental Institute (SEI); Stockholm University (Stockholm Resilience Centre -Law Department and the Department of Political Science): Gothenburg Centre for Sustainable Development (GMV); the Raoul Wallenberg Institute.
UN Conventions	The EGP will continue to contribute to informing and advancing implementation the major environmental Conventions and Agreements including CBD, UNFCCC, BRS, the Aarhus Convention, the Escazu agreement and more.
Global Funds and Programmes	The EGP will continue to leverage a portfolio of global projects and partnerships within SEPA and UNDP including the Development Minerals Project GEF and RED+ (UNDP).
Global platforms, networks and Initiatives	Greening the Blue, The Environmental Peacebuilding Coalition, The Intergovernmental Forum for Mining, Metals and Minerals for Sustainable Development (IGF), The International Union for Conservation of Nature (IUCN), International Council for Mining and Minerals (ICMM); Environment for Development (EfD).
Civil society and Foundations	Source International, Global Child Forum, IPEN, World Resources Institute (WRI); Swedwatch, Forum Syd, the Coalition on Women and Mining, Action Aid.

EGP will also deepen collaboration and co-financing with complementary UNDP projects including:· GEF Gold, GEF Small Grants Programme, and other projects on the Minamata convention; · ACP-EU

Development Minerals Projects;· Green Commodities Programme and related programming on forestry, PEM and safeguards;· Rule of Law and Human Rights Global Programme: Youth Programme; UNDP Water and Oceans Governance programme,· Sida Strategic Collaboration Framework Programme and linked Climate Promise.

The EGP will continue to collaborate with sister UN Agencies including UNEP, UNITAR, UN Women, OHCHR, UN Special Rapporteur on Human Rights and Environment, and World Bank.
EGP will also deepen its collaboration with international partners including: The Intergovernmental Forum on Mining, Minerals, Metals and Sustainable Development hosted by IISD; Folke Bernadotte Academy; Canadian International Resources and Development Institute; Environmental Law Institute; Stockholm Resilience Center; CISDL; and Lund University.

Risks and Assumptions

Assumption 1:
The projects key assumption is that the sustainability crisis in the mining sector is a governance crisis and that human rights-based governance is the key to address the problems related to irresponsible mining:

Risk: EGP intervention challenges the status quo which can be disruptive and create resistance by those with conflicting interests/cested power in countries where technical and policy assistance will be provided. This can lead to resistance, 'sabotage" and opening of conflict.

Mitigation: The project will work with partners and assure a high level of transparency and inclusion of all assessments. It will also ensure buy in for work on appropriate level in organisations and communities. It will foster broad and transparent sharing of information and benefits generated through the project. It will strive to ensure democratic selection of training participants and appropriate gender and power dynamics analyses is conducted. And it will develop appropriate selection criteria of the participating countries/partners, including strong national ownership, alignment with national priorities and partner capacities on the ground.

Risk: participation does not lead to influence or better outcomes for affected population, which can impair trust in the democratic process and institutions. There is also a risk of processes being captured by certain interests, or somehow missing the right people. Participatory processes also take time and may slow down the process of delivering outputs and results.

Mitigation: Participation is both a means and an end. In order to assure meaningful participation enough time and resources will be allocated to safeguard the quality of processes. The project will map out stakeholders and power structures and ensure equitable and real influence in the design of the project. The human rights-based approach will be used as guidance for how to structure the nature of participation and influence. Special measures may be required to assure the 'real' influence of groups that are marginalized. This may apply to women, youth, elderly, or people in informal settlements or on indigenous lands. The project will aim to set thresholds for balanced participation in processes and mechanisms it can influence.

Overall effect: If inclusive and participatory mining governance is not the key problem, the resources spent on this endeavour could have been more effectively deployed elsewhere.

Mitigation: Ways to manage this risk includes the constant scrutiny of the theory of change, through ongoing evaluation. The theory of change is continuously refined, and interventions on the ground amended accordingly.

Assumption 2: The project assumes that governance quality is imporved by strengthened individual and institutional capacities.

Risk: While individual and institutional capacities are important, there is a risk that the strengthening of these capacities will be captured by vested interests or already privileged or influential groups, and that women in particular may be disadvantaged.

Mitigation: Ensure gender accounting / sex-disaggregated monitoring. A gender analysis with an intersectional lens can shed light on who influences and provide tools for changing the way the project intervenes in such processes.

Risk: Individuals who have received training move jobs or do not contribute to diffusing learning organisationally.

Mitigation: focus on organisational and institutional changes rather than training of individuals.

Assumption 3: The project also assumes that knowledge is a key driver of reform and combined with other capacity development initiatives can lead to desired change.

Risk: Knowledge does not necessarily transform into change in behaviour, attitudes, procedures or processes or relationships. Also, governance reform lessons are not easily replicable or transferrable to other contexts.

Mitigation: Firstly, it must be acknowledged that governance reforms is a long-term transformation process with complicate dynamics, in which bridging knowledge gaps is but one ingredient. The role of knowledge generation will be monitored through the project. By working through local actors and through Country Offices, maximum insight into local processes are strived for. The focus on problem solving and learning is hoped to create lessons that are applicable to wide range of settings.

Risk: EGP approaches to learning and knowledge diffusion is mainly implemented through Swedish and/or international agencies/ actors which can be perceived as colonialist attitude and meet resistance.

Mitigation: the project will identify first local/national partners that can carry out needed function before deploying international organisations and agencies. Where adequate local capacity does not exist, the project will seek to ensure that these capacities are developed through all its interventions by participation and learning.

Assumption 4: The project assumes that multi-stakeholder platforms that allow both for working across sectors and scale, and for safe-to-fail experimentation can bring about transformative change.

Risk: Roles and responsibilities among implementing partners are not clear, hampering efficiency and impact. People do not have time, resources or interest to participate. Participation is not democratic. Participants lack decision making power.

Mitigation: Coordination secretariat with clear TORs that holds frequent meetings will be established during early programme implementation. Ensuring funding for meeting participation and encouraging representation of key stakeholder, anchored at the right level of decision making and ensuring and gender/age balance.

Stakeholder Engagement

Stakeholders of this programme are all actors with an interest and role in how social and environmental aspects of mining is managed. These include public sector institutions at both national and sub-national levels (including ministries of environment, mining environmental protection agencies, local governments); independent state bodies that have a role in promoting and protecting human rights (including national human rights institutions (NHRIs) and ombudsman offices) non-state institutions (including academia, civil society (NGO's) community based organizations (CBOs) and affected communities); the private sector (including mining companies, chambers of mine and chambers of commerce) and the media. Other stakeholders may include parliaments, INGOs, other UN sister agencies, the UN Special Mandate Holders, and other development organizations.

Because of SEPA's considerable experience as a body charged with national environmental protection and as a provider of assistance to other such agencies around the globe, public sector institutions with a responsibility with managing environmental and social impacts of mining is a primary target group. Since the focus of EGP is on mining governance and considering the multi-stakeholder approach, also national human rights institutions and ombudsman offices and non-state institutions (CSOs and CBOs) are primary target groups: in particular affected communities living in poverty and vulnerability, such as indigenous populations, women and children (e.g. through our work on community-based monitoring).

Approach:

Taking a whole of society and multi-stakeholder approach, Phase 2 will continue the focus on assisting partners to achieve people cantered, sustainable development results, through meaningful engagement with all stakeholders throughout the programme cycle including, working through multi-stakeholder platforms and working groups.

The key strategy for engaging stakeholders will be at national level in focus countries. During the inception phase, the programme will strengthen national multi-stakeholder platforms for programmatic coordination and implementation. This structure will comprise representatives from all relevant stakeholder groups described below. Other strategies for engaging stakeholders through the programme cycle could include multi-stakeholder inception workshop and learning events, participatory rapid assessments and mappings, participatory learning activities, participatory monitoring and evaluation events. At the global and regional level, engagement will be done through existing partnerships and regional and global mechanism and through global knowledge networks and community of practices.

The stakeholders participating in the country level groups will include:

• Relevant public sector institutions that have responsibilities for mining and environmental governance in programme countries, especially Ministries of Mining, Ministries of Environment, EPAs, Monitoring Agencies, and relevant local governments.

• Independent oversight bodies, including national human rights institutions (NHRIs) and ombudsman offices

• Civil society organizations, youth, local communities and community-based organizations, women's organizations, children's rights organizations, environmental rights defenders.

• Private sector representatives, including chambers of mines and chambers of commerce, mining companies (national and multilateral) to ensure more sustainable mining practices.

Other stakeholders in the project implementation may also include:

• Other ministries and public agencies involved with environmental governance and the mining sector, such as Ministries of Planning and Ministries of Finance, Ministries of Women, Youth and Children's affairs.

• Other relevant public stakeholders, parliamentarians and the judiciary.

• International organizations such as UN agencies, UN Environment Assembly, UN General Assembly, interagency bodies (e.g. Environment Management Group), and the UN Special rapporteurs

• *UNDP's Social and Environmental Compliance Review and Stakeholder Response Mechanism*

• Parties and stakeholders to the Multilateral Environmental Agreements.

• Universities and independent academic researchers.

• Media, including networks of young journalists.

• Other intergovernmental organizations such as the African Union which serves as secretariat of the African Youth Charter and African Convention on the Conservation of Nature and Natural Resources; and ECLAC, the UN intergovernmental organization who serves as technical secretariat of the Escazú agreement.

South-South and Triangular Cooperation (SSC/TrC)

Complementing the traditional north-south cooperation modalities, the EGP 2020-2023 will focus on strengthening existing or building platforms for, and supporting processes whereby, partner countries can pursue their individual and/or shared national capacity development objectives. This will take place through collaboratively designed thematic and/or regional learning events, and peer to peer mechanisms that facilitates exchanges of knowledge, skills, resources and technical know-how. It will connect and work together with all relevant stakeholders, including governments, regional organizations, civil society, academia and the private sector, for their individual and/or mutual benefit within and across regions. EGP Phase 2 will also broker knowledge and share experiences on what has worked and not worked through online communities of practices. It will aim to foster regional and cross regional partnerships, innovation and scale up promising ideas.

Knowledge

Because this programme aims explicitly to inform and connect global, regional and national conversation on environmental governance of mining, dissemination of findings and sharing of experience has a high priority, as exemplified by a distinct output 3 on global knowledge sharing.

The process of developing knowledge is as important as the content. To ensure that products are in demand, complementary and reflective of national priorities and experiences, will require participation from the planning stage through close collaboration with national and international partners and organisations. Topics and content will be carefully designed to closely link the programme' s activities and objectives to needs and capacity gaps identified with national counterparts and will be built around relevant case studies. The project will document and share its lessons in adaptive managmenet and also the results of the Ongoing Evaluation that will test the assumptions of the Theory of Change with a focus on participation and gender equality

Knowledge will be shared on all UNDP's relevant web/channels as well as the UNDP-World Bank Community of Practice from Mining Governance (GOXI) and other relevant platforms, side events at selected global governance meetings such as the CBD COP, in the media and through activities aimed at giving voice to youth.

Peer-to-peer learning will be a crucial component of the programme's efforts to co-create solutions to complex problems through sharing of knowledge and experience and mentoring between partners. Building on the lessons and experiences from the implementation of the Global Programme 2014-2019, the peer-to-peer learning mechanism will be further developed with the beneficiaries of the programme. The peer-to-peer learning mechanism will likely require an online platform for management and communication, along with a combination of the following modalities: peer-to-peer mentoring on specific tasks or cases, communities of practice, on-site visits and on the job training, face-to-face and online training, webinars, etc. It will draw upon and integrate existing alumni networks and on-line community of practices that were created during the Global Programme 2014-2019 and that of partners.

Planned knowledge products:

1. *Practical Guide for Governments on Participatory Environmental Monitoring*
2. *MOOC on Gender and Mining*
3. *Guidance note on Youth/Biodiversity and Mining*
4. *Webinar series on mining Governance*
5. *Young environmental journalist article series.*
6. *Legal levers for Environmental Justice report*
7. *Analytical report on participation in mining governance.*

Sustainability and Scaling Up

Although the second phase of EGP can sustain itself without additional funding, there is a need to pursue co-funding to scale up iniatives globally and in countries. There is also a constant need to seek funding for mining governance type of work globally and on country level across UNDP. A priority for Phase Two is therefore to seek diversification of funding sources, including by partnering with other organizations such as the Intergovernmental forum for mining metals and minerals for sustainable development (IGF) and the World Bank and pursuing bilateral funding on national level.

On the ground if focus countries, the key strategy for generating change is capacity development through supporting an enabling environment and especially emphasizing stakeholder involvement and participation of affected communities and vulnerable groups. The project results are considered sustainable to the extent that changes in practices, attitudes, skills decision making processes and procedures, and relationships have taken place, and to the extent that there are resources to implement the necessary actions identified through assessements supported by the project. But, as with all governance focused project, a challenge to achieving meaningful results is anticipated to be that governance reforms may require time beyond the lifespan of the project, and that there are seldom enough resources to see the process through, let alone implement all bottlenecks and gaps that have been identified in assessments.

If new practices and norms are to stick, it also requires enough attention to process. Participatory processes take longer and more resource intensive. They require appropriate buy in from decision makers, if change makers are to have a reasonable hope of generating meaningful change. Moreover, learning and practices are highly context dependent so not necessarily transferrable or possible to replicate to different context. EGP tries to overcome these bottlenecks by focusing on areas or actions where key stakeholders have ability, acceptance and authority to generate change. All interventions are adapted to local contexts and needs. In addition, the EGP adopts facilitation methodologies that allows beneficiaries to acquire transferrable skills in problem solving. On country level, EGP activities will complement and link to other similar initiatives and projects that are approved by government counterparts and have strong national ownership. Efforts to seek co-funding to scale up initiatives will be pursued.

Based on the results from Phase One, Phase Two will seek to replicate and scale up activities that has been successful and are requested by the countries when and if there is a demand. Replication will require adaptation to context. This includes among other things a deepened focus on community-based monitoring. The EGP 2020-2023 will also work actively with communication outreach aimed at disseminating learnings to other sectors and countries with similar governance challenges, including participation in online platforms, workshops, and by working with networks in which partner organizations and countries are active.

IV.   PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)

Cost Efficiency and Effectiveness

The project managers will be responsible for linking the programme work to existing projects on global and regional level, and support synergies with existing projects in all target countriesWhere possible, EGP activities will be linked operationally and administratively to an existing and larger project.

There will be a rigorous effort throughout to build on work that has already been done in Phase One, and to link to other relevnt programmes and associated mechanisms and platforms such as the webinar infrastructure and learning platform of the UNDP nature for learning programme, the World Bank-UNDP convened GOXI.org website, and initiatives of other development partners, in particular the IGF, and to use existing platforms to exchange programme experience with others.

A strong partnership strategy, aimed at developing meanigful links to work being done by other UN agencies, programmes and networks, including one Planet Network, IFIs, such as the World Bank and other development partners. These partnerships will serve two purposes. First to enhance the relevance, effectiveness and impact of the programme' s activities. Second, to lay a foundation for extending and expanding the programme in the future. The programme has already begun reaching out to new donors with an interest in governance and human rights-based approaches to environmental issues.

Project Management

The project will be operationalized on global level and country level. Outputs 1 and 2 will largely be delivered througharound ten UNDP Country Offices (COs) who are responsible for managing the grants that will be transferred vi GLJE. In most COs, the EGP project will be linked to existing complementary activities to reduce transaction costs and minimize the administrative burden. The COs are also expected to contribute to knowledge sharing and learning events. When acting as the implementing partner the COs will be responsible for administration, progress reporting, budget maintenance, and country-level communication and outreach. The CO is responsible forcomplying with relevant UNDP national project-level M&E requirements as outlined in the UNDP rules and procedures. Selected responsible parties may be responsible for implementing activities contributing to achieving the outputs.

V.   RESULTS FRAMEWORK[13]

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[13] UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework: Outcome 2: ACCELERATE STRUCTURAL TRANSFORMATIONS FOR SUSTAINABLE DEVELOPMENT
Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets: N/A
Applicable Output(s) from the UNDP Strategic Plan: 2.4.1 Gender-responsive legal and regulatory frameworks, policies and institutions strengthened, and solutions adopted, to address conservation, sustainable use and equitable benefit sharing of natural resources, in line with international conventions and national legislation
Project title and Atlas Project Number:

EXPECTED OUTPUTS	OUTPUT INDICATORS[14]	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year ...	FINAL	
Output 1 *National policies, implementation and administrative*	1.1 Number of countries where frameworks, procedures, processes and mechanisms are more inclusive and gender responsive as result of EGP support.	*UNDP CO reports*	4	2020	*5*	*5*	*5*	*5*	*2023*	*24*	*Biannual monitoring calls.*
	1.2 Number of countries in which stakeholder consultations identify priority issues in environmental governance in the mining sector.	*UNDP CO reports*	*6*	*2020*	*2*	*2*	*2*	*2*	*2023*	*14*	*Biannual monitoring calls.*
	1.3 Number of countries that report transformative changes as a result of recommendations that are implemented based on participatory assessments.	*UNDP CO reports*	*4*	*2020*	*2*	*4*	*6*	*6*	*2023*	*24*	*Biannual monitoring calls.*

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[14] It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

decision making related to environmental governance of mining is underpinned by human rights and systems thinking.	1.4 Number of countries that report that they apply new rights-based skills or tools gained through programme training activities are effectively being applied.	*UNDP CO reports*	4	2020	*3*	*5*	*10*	*10*	*2023*	*32*	*Biannual monitoring calls.*
	1.5 No. of countries that create or support multistakholder fora that contribute to positive change.	*UNDP CO Reports*	4	2020	*3*	*3*	*0*	*0*	*2023*	*10*	*Biannual monitoring calls.*
	1.6 Quality and type of change in practice, attitudes, relationships ways of working in decision making across stakeholder groups reported.	Story telling/qualitative indicators)	qualitative	2020	*qualitative*	*qualitative*	*qualitative*	*qualitative*	*2023*	*qualitative*	Online questionnaire (biannual administration) and analyses.
	1.7 No. of countries where the Global Programme can facilitate a system mapping of underlying problems and initiatives to address them	*UNDP CO reports*	0	2020	*1*	*1*	*1*	*1*	*2023*	*4*	Global reporting.
	1.9 No. of countries that target underlying problems for women, youth, [children] indigenous groups and others who live in vulnerable situations to influence environmental monitoring and decision making	*UNDP CO reports*	4	2020	*10*	*10*	*10*	*10*	*2023*	*44*	Biannual monitoring calls.

	2.1 No. of countries that have improved public institutions, tools, processes and mechanisms for ensuring community participation in monitoring and decision making related to socio-environmental impact of mining.	*UNDP CO reports*	1	2020	*4*	4	4	4	*2023*	*17*	*Biannual monitoring calls.*
Output 2 Stakeholders at sub-national level have the tools, skills, capacities strengthened to influence decision making, seek redress, and hold wrongdoers to account.	*2.2* No. of countries where local communities affected by mining and civil society activities have strengthened capacity to participate in environmental monitoring (PEM) and decision making.	*UNDP CO reports*	*1*	*2020*	*4*	*4*	*4*	*4*	*2023*	*17*	*Biannual monitoring calls.*
	2.3 No. of country offices that can facilitate stakeholder platforms that address decision making and environmental monitoring in the mining sector.	*UNDP CO reports*	*1*	*2020*	*4*	*4*	*4*	*4*	*2023*	*17*	*Biannual Monitoring calls.*
	2.4 No. of countries that report results in ability of local stakeholders to influence environmental monitoring and decision making.	*UNDP CO reports*	*0*	*2020*	*5*	*5*	*5*	*5*	*2023*	*20*	*Biannual Monitoring calls.*
	2.5 No. of countries that report changes in practices in environmental monitoring and decision making among local government/mining companies.	*UNDP CO reports*	*0*	*2020*	*10*	*10*	*10*	*10*	*2023*	*40*	*Biannual Monitoring calls.*

	2.6 Reported changes in practice, attitudes, relationships, ways of working in decision making across stakeholder groups. (story telling/qualitative indicators).	*UNDP CO reports*	*0*	*2020*	*N/A*	*N/A*	*N/A*	*N/A*	*2023*	*qualit ative*	*Biannual monitoring calls.*
Output 3 *Vertical and horizontal lessons and knowledge generation strengthened acoss environemtnal governance stakeholder groups.*	3.1 Number of EGP Publications made available globally.	*EGP annual reports and data from EGP web.*	*3*	*2020*	*0*	*1*	*1*	*1*	*2023*	*6*	*Tracking.*
	3.2 Global/International conferences contributed to or influenced.	*EGP Global reports*	*4*	*2020*	*2*	*2*	*2*	*2*	*2023*	*12*	*Monitoring and reporting.*
	3.2 Number of global and/or regional south-south/triangular knowledge sharing events regarding environmental governance of the mining sector organized by the programme.	*EGP Global reports*	*6*	*2020*	*2*	*2*	*2*	*2*	*2023*	*14*	*Monitoring and reporting.*
	3.3 Number of views on the EGP webpage/NL/learning resources on average per month.	*Web stat*	*323*	*2020*	*500*	*500*	*500*	*500*	*2023*	*2323*	*Web statistics.*
	3.4 No of targeted stakeholders that report any changes in their work/practices as a result of the disseminated material.	*Stakehold ers perception*	*0*	*2020*	*10*	*10*	*10*	*10*	*2023*	*40*	*Perception survey/Interview.*

	3.5 Government agencies from partner countries mutually exchange, and use, lessons learned from other countries generated through the programme for improved implementation of policies and regulations.	*stakehold ers*	0	2020	2	2	2	2	2023	8	*Interviews.*
	3.6 Number of webinars and online trainings conducted.	*Monitorin g tools*	10	2020	5	5	5	5	2023	30	*Monitoring.*
	3.7 Reported changes in practice, attitudes, relationships ways of working in decision making across stakeholder groups based on knowledge generated and shared by the programme. (qualitative).	*CO reporting/ interviews*	N/A	2020	N/A	N/A	N/A	N/A	2023	N/A	*Interviews.*

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:

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Lead	Support
Country issue(s)/challenge briefs	Select countries/initiatives/ensure strong national ownership and support/prep for inception work. Initial analysis and mapping of country challenge(s) and identification of baselines and indicators	Yearly	Selection of country level activities, identifying challenges, baselines and indicators.	Joint EGP Management Team (prepares templates and selects initiatives) UNDP CO Focal Points and country teams prepares briefs.	Swedish EPA PM and M&E support
Global and regional activities selection	Identify key priorities and entry points, to advance from Phase one and the process of preparing the project, including through systems thinking methodologies Linking local, national, regional and global level to understand how they interrelated and what are key points of intervention at global and regional level to improve global, national and local outcomes/situations. Data collection and analysis by team.	Yearly	Selection of global and regional level activities, identifying challenges and baselines/indicators	Joint EGP Management Team, global level partners.	Swedish EPA PM and M&E support

Follow-ups/monitoring of calls of CO activities.	Collect monitoring data to capture current situations in order to monitor and study change over time and learn. Basis for decision making and adaptation of ongoing calls.	Twice per year, including exercises in annual event/global workshop.	Monitoring calls every six months + part of or after activities (based on guiding questions/template to capture the current situation in relation to identified challenges). Use set of reflective questions and document answers in relation to identified challenges. Review of risk assessment.	Joint EGP Management Team (prepares templates and selects initiatives) UNDP CO Focal Points and country teams prepares briefs.	Swedish EPA PM and M&E support
Annual event/global workshop	Sharing of lessons learned from yearly national, regional and global level activities. Collecting results from on-going/finalized activities. Creating a space for reflecting upon yearly activities.	Yearly.	Planning and facilitating yearly event, evaluation, event report, stories of collecting stories of change from the countries.	Joint EGP management team.	UNDP country offices, Lund University.
Learning	Capture learning from programme activities through monitoring and on-going evaluation.	Monitoring calls every four months, COPs/webinar evaluations, OE activities.	Spans over all monitoring activities. Relevant lessons are captured by the project team and used to inform management decisions.	Joint EGP management team, M&E focal point.	Lund University.
Cross country learning/peer to peer learning	Sharing of experiences between countries carrying out similar strand of activities.	T.b.d.	Setting up and facilitating COPs/webinars.	Joint EGP management team, consultants.	Lund University.
Review and Make Course Corrections/Adapt	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually.	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	Joint EGP management team.	Swedish EPA PM and M&E support, Lund University.
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project	At least annually.	Any quality concerns or slower than expected progress should be discussed by the project board		

	reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.		and management actions agreed to address the issues identified.		
Yearly report to Sida	Accountability to Sida and the project board/ share results and lessons learned. Learning and knowledge sharing. Communicate results. Strengthen partnerships.	Annually.	Yearly/March to Board and Sida.	EGP management team. UNDP country offices and focal points.	Local, national, regional, and global implementation partners.

Evaluation Plan[15]

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNSDCF	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Ongoing Evaluation[16]	Swedish EPA (commissions) Lund University (implements)	2.4.1	N/A	Ongoing	UNDP COs, UNDP Country partners, EGP Management team.	Swedish EPA/ 80,000 USD per year.

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[15] Optional, if needed

[16] Rigorous data as basis for management decisions as well as improved reporting. Mainly focusing on the outcome level of the project- linking back to the country level system analysis + capturing unintended changes/results. Sounding board and advice to programme management team. In depth studies, validation/disconfirming monitoring results, un-packing the "whys" of why change is happening/not happening (Base line report (what changed)).

External Evaluation.	Swedish EPA (commissions)	2.4.1	N/A	July 2023	UNDP COs, UNDP Country partners, EGP management team, Implementing partners.	Swedish EPA – one final evaluation (200,000 SEK).

VII. MULTI-YEAR WORK PLAN [17][18]

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year				RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount
Output 1:	1.1 Project management	80,165	80,165	80,165	80,165	UNDP	12333	Staff costs	320,660
National policies, implementation and administrative decision making related to environmental governance of mining is underpinned by human rights and systems thinking	1.2 Communications	63,000	63,000	63,000	63,000	UNDP	12333	IC	252,000
Gender marker:	1.3 Workshops/CO support	8,550	8,550	8,550	8,550	UNDP	12333	travel	34,200
GEN2	1.4 allocations to COs exclusive gms.	276,000	276,000	276,000	276,000	UNDP	12333	CO funds (GLJE)	1,104,000
	MONITORING	0	0	0	0	SEPA	12333		0
Sub-Total for Output 1									**1,710,860**
Output 2:	2.1 Project management	80,165	80,165	80,165	80,165	UNDP	12333	Staff costs	320,660

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[17] Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

[18] Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

Stakeholders at sub-national level can influence decision making, seek redress, and hold wrongdoers to account	2.2 PEMC tech support	68,200	38,190	38,190	38,190	UNDP, Source International, Columbia University	12333	Responsible party agreement	182,770
Gender marker: GEN2	2.3 Workshops	10,000	10,000	10,000	10,000	UNDP	12333	travel	40,000
	2.4 Allocations to to COs (exclusive GMS)	276,000	276,000	276,000	276,000	UNDP	12333	CO funds (GLJE)	1,104,000
	MONITORING	0	0	0	0	SEPA budget	12333		0
Sub-Total for Output 2									**1,647,430**
Output 3: *Lessons, experiences and knowledge generated through the support of the EGP 2020-2023 at national and local level are promoted regionally and globally to advance the quality, coherence, implementation and monitoring of relevant MEAs and SDGs.*	3.1 Project management	53,439	53,439	53,439	59,588	UNDP	12333	Staff cost	238,349
	3.2 Global knowledge products	91,082	38,200	38,200	38,472	UNDP	12333	Responsible party/IC	205,954
	3.3 Workshops	10,000	10,000	10,000	10,000	UNDP	12333	travel	40,000
Gender marker: GEN2	MONITORING	0	0	0	0	SEPA budget	12333		0
Sub-Total for Output 3									**484,303**

Evaluation *(as relevant)*	EVALUATION	0	0	0	0	SEPA budget	12333	IC	0
General Management Support	8%						12333		307,407
TOTAL									4,150,000

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The global project is jointly implemented by the Swedish EPA and UNDP through the Direct Implementation Modality (DIM). UNDP's Bureau for Policy and Project Support (BPPS) will be responsible for the overall delivery of funds transferred to UNDP by the Swedish EPA through a Cost Sharing Agreement, with UNDP Country Offices and other responsible parties implementing specific components.

Project Board

The Project Board provides overall policy and strategic guidance to facilitate the effective and efficient implementation of the project and is responsible for making management decisions when guidance is required by the Project Manager. This includes recommendations for approval of project plans and revisions and addressing any project level grievances.

Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. The Project Board will meet annually (by e-mail, virtually, or in New York). The composition of the Project Board will include the following roles: Senior Beneficiary, Executive, Senior Supplier.

Executive

The Executive represents ownership of the project and chairs the Project Board. The Executive is ultimately accountable for the results of the project. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive must ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Development Partners / Senior Suppliers

The Development Partner (also called Senior Supplier) is an individual or group representing the interests of the parties concerned which provide technical expertise and/or funding to the project. The Development Partners' primary function within the Project Board is to provide guidance regarding the technical feasibility of the project.

Senior Beneficiary

The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Project Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria.

Quality Assurance Assessor:

This role supports the UNDP Project manager that the project adheres to UNDP quality standards of programming and assesses/approves the QA assessment.

Advisory Board

The Advisory Board will advise on the project; identify opportunities for synergistic use of resources through joint events and initiatives, and increase outreach functions of the project through the convening capacities of the entities represented in the AB

Swedish EPA/UNDP Technical support team:

The EGP will draw on the technical capacities of many UNDP teams (Nature, Climate and Energy, Gender, Inclusive Growth,Rule of Law, Governance etc), as well as the following Swedish EPA staff:

- Climate change and mining/systems thinking expert (30 %).
- Technical expert on mining (10 %).
- Technical expert on environmental monitoring (25 %).
- Environmental economics expert (7,5 %).
- Environmental Impact Assessment expert (10 %).

Joint Management Team/Global Coordination Team

The success of the EGP hinges on the capacity to collaborate effectively to support change as reflected in the governance structure of the programme. The core management team consists of the SEPA global programme manager, the UNDP project manager and the SEPA staff on loan. The extended management team also include some of Swedish EPA implementation team members

The join SEPA-UNDP management team convenes weekly and also regularly interacts with UNDP Cos and other programme partners. The EGP draws on the strengths, knowledge, available resources and network of its members and jointly agrees on key action and decision points. The UNDP project manager will be responsible for coordination with the national coordination teams.

UNDP Project Manager (100 %)

A full time UNDP global project manager is a full time position be based with BPPS at the UNDP headquarters in New York. Under the supervision of the BPPS Project Assurance Function, the Project Manager has the day to day responsibility to ensure that the project delivers the activities and outputs specified in the project document, to the required standard of quality and within the specified constraints of time and cost, and within the restrictions of the funds the UNDP project manager directly manages.

The Project Manager will also be responsible for liaising with other relevant projects and initiatives both internally and externally to UNDP. The Project Manager will ensure diligent preparation and coordination of the Project Board meetings, and will be responsible for drafting the workplans, budgets and implementation reports related to the project, in coordination with the senior supplier. The PM is supported by a project associate (20 %) for which budget provision are made.

Swedish EPA Coordinator (staff on loan to UNDP) (100 %)

The Coordinator works full time to support the UNDP project manager in the day to day implementation of project activities. S/he is responsible for chairing regular management meetings as well as coordination meetings among the join management team and as well as coordination of SEPA staff contributing to the programme. (100%)

Swedish EPA global programme manager. (50 %)

The Swedish EPA overall programme manager will provide overall strategic direction (including based on input from programme team members) and quality assurance; is responsible for ensuring alignment of the programme with the Swedish EPA and Side's strategic frameworks and policies; coordination and where useful promoting collaboration with relevant SEPA projects and workstreams as well as other Swedish, Sida funded or other actors and programmes as relevant; donor relations and fundraising. The overall programme manager provides overall supervisor of the joint implementation team and works closely with the team, including on a case by case basis to develop and implement selected activities. The programme mamager is supported by multiple functions in the implementation:
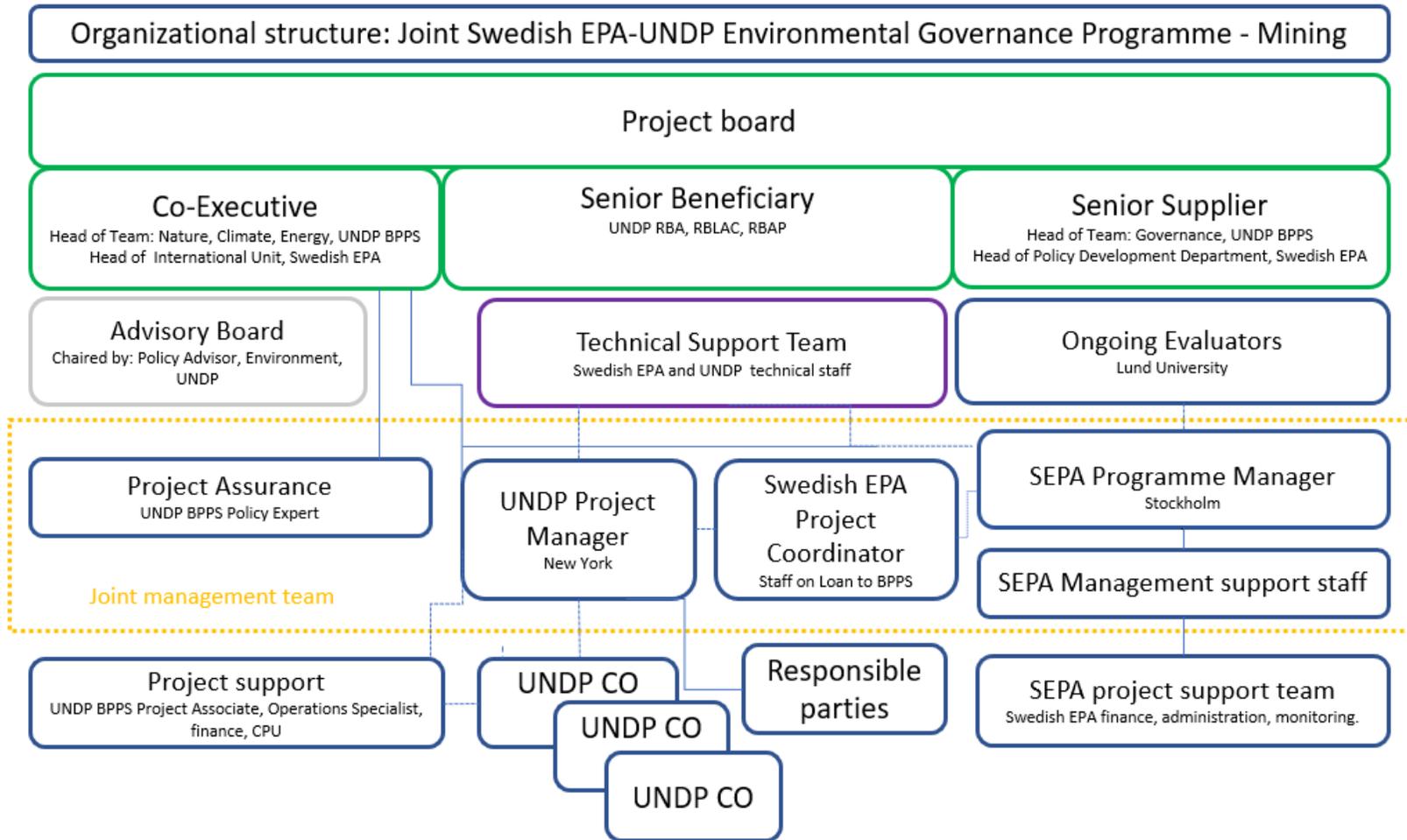
Swedish EPA implementation and support team.

- General management support and implementation lead of key workstreams (50 %).
- Administrative and coordination support (50%).
- Finance and Budget (20 %).
- Monitoring and evaluation specialist (50 %).
- Ongoing Evaluators: (50% main researcher) and (5%: quality assurance).

UNDP Country Offices

The activities of outputs 1, 2 and 3 of this project are delivered through UNDP Country Offices (COs) as appropriate. When acting as the main implementing partner at the country level, the COs will be responsible for administration, progress reporting, budget maintenance, and country-level communication and outreach. The CO is responsible for complying with relevant UNDP national project-level M&E requirements as outlined in the UNDP rules and procedures. Budget provisions are made for direct project costing of staff contributint to the EGP.

Responsible parties

As Responsible Parties to the EGP, Source International will be responsible for the implementation of selected components of the project. They have been assessed against applicable selection criteria and are found to be suitable Responsible Parties. UNDP is also in the process of undertaking a Micro Assessemetn of Source. Their high level of technical expertise and commitment to furthering responsible mining governance is critical for the successful implementation of the EGP .

Organizational structure: Joint Swedish EPA-UNDP Environmental Governance Programme - Mining

Project board

Co-Executive
Head of Team: Nature, Climate, Energy, UNDP BPPS
Head of International Unit, Swedish EPA

Senior Beneficiary
UNDP RBA, RBLAC, RBAP

Senior Supplier
Head of Team: Governance, UNDP BPPS
Head of Policy Development Department, Swedish EPA

Advisory Board
Chaired by: Policy Advisor, Environment, UNDP

Technical Support Team
Swedish EPA and UNDP technical staff

Ongoing Evaluators
Lund University

Project Assurance
UNDP BPPS Policy Expert

UNDP Project Manager
New York

Swedish EPA Project Coordinator
Staff on Loan to BPPS

SEPA Programme Manager
Stockholm

SEPA Management support staff

Joint management team

Project support
UNDP BPPS Project Associate, Operations Specialist, finance, CPU

UNDP CO

UNDP CO

UNDP CO

Responsible parties

SEPA project support team
Swedish EPA finance, administration, monitoring.

IX.   LEGAL CONTEXT

*[NOTE: Please choose **one** of the following options, as applicable. Delete all other options from the document]*

Option c. For Global and Regional Projects

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAAs for the specific countries; or (ii) in the Supplemental Provisions to the Project Document attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by [name of entity] ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply**.**

X.   RISK MANAGEMENT

Option b. UNDP (DIM)

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds][19] [UNDP funds received pursuant to the Project Document][20] 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/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).

4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

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[19] To be used where UNDP is the Implementing Partner

[20] To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:

a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:

i. 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;

ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

b. 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 the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.

f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

g. *Choose one of the three following options:*

Option 1: UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

XI.   ANNEXES

1.   Project Quality Assurance Report

2.   Social and Environmental Screening Template

3.   Risk Analysis. Use the standard <u>Risk Log template</u>. Please refer to the <u>Deliverable Description of the Risk Log</u> for instructions

4.   TORs of key management positions

5.   TOR RPA