

United Nations Development Programme
Global Project Document

Project Title: Environmental Governance for Sustainable Natural Resource Management

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| SP/GP Outcomes: | 2. Citizen expectations for voice, development the rule of law and accountability are met by stronger systems of democratic governance |
| SP/GP Outputs: | Output 2.5. Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation |
| Project Output(s): | <ol style="list-style-type: none"> 1. Public institutional partners in countries receiving targeted programme support have strengthened capacities, including tools, knowledge and analytical instruments to more sustainably manage natural resources in the mining sector in line with human rights and rule-of-law principles. 2. Rule-of-law and human rights-based approaches and experiences to environmental governance of the mining sector documented and shared to inform practices in country, regional and global environmental governance. 3. The foundation for a long-term, sustainable partnership over an initial period of from 8-10 years on environmental governance between Swedish EPA, UNDP and other relevant organisations is in place. |
| Executing Entity | UNDP |
| Implementing Agency | UNDP |

Brief Description

This Programme Document presents Phase Two of a two-phase SIDA-funded programme on environmental governance, the first phase of which lasted one year and focused on the preparation of a proposal to SIDA for the second, programme implementation phase. Phase One was operational from February through October 2015. SIDA has now reviewed and approved the new proposal that is reflected in this Programme Document, and funding has been secured under a contribution agreement concluded in October 2015.

The management of the environmental impact of extractive industries is one of the most critical challenges facing resource-dependent developing countries in their efforts to advance more sustainable social, environmental, and economic development goals. Growth of these industries

can bring resources to finance social and economic development. Too often, however, extractive industries deliver as much damage as opportunities and benefits. The exploitation of oil, gas, and minerals is associated with environmental degradation, conflict, corruption and human rights violations, often disproportionately affecting indigenous peoples and women.

This four-year SIDA-funded programme responds to these challenges by strengthening the environmental, gender, human rights and rule of law dimensions of public administration work in large-scale mining sectors. Grounded in a Human Rights Based Approach, the project provides support to civil society actors as well as institutions to advance change on both the supply and demand side of the development equation. Working in collaboration with ministries of environment, mining, planning and finance, as well as civil society and other public and private stakeholders, the programme provides targeted support to four countries: Colombia, Kenya, Mongolia, and Mozambique.

The programme will also work at the global and regional level to strengthen south-south knowledge sharing and innovative policy approaches. It draws on the combined governance, social, environmental and extractive sector expertise of the Swedish Environmental Protection Agency (SEPA), the United Nations Development Programme (UNDP), and partners.

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| GP Period: | 2014-2017 |
| SP/GP Outputs: | 2.5 |
| Atlas Award ID: | 00091930 |
| Start date: | 2016 May |
| End Date: | 2018 Dec |
| PAC Meeting Date | <u>8 April 2016</u> |
| Management Arrangements | DIM |

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| Total resources required US\$4.6 million (SEK 37.9 million converted at exchange rate of US\$1=SEK8.4 plus US\$85,000 in funds rolled over from Phase 1) | |
| Total allocated resources: | US\$4.60 million |
| • Regular | 0 |
| • Other: | |
| o Donor (SIDA) | US\$2.99 million |
| o Donor | _____ |
| o Donor | _____ |
| o Government | _____ |
| Unfunded budget: | 0 |
| In-kind Contributions | 0 |
| Co-financing by SEPA: | US\$1.61 million |

Agreed by (UNDP):



Magdy Martínez-Solimán, Assistant Administrator and Director, Bureau for Policy and Programme Support

I SITUATION ANALYSIS

The implementation gap

Despite the series of major UN conferences on sustainable development, the approval in 2000 of a Millennium Development Goal on environmental sustainability and the many commitments manifested in over 900 environmental agreements, national implementation has often been successful in halting environmental degradation and resetting the current path to one toward sustainable human development. A gap¹ exists in most countries and regions between stated commitments to sustainable development principles and real achievements of sustainable development policies and programmes, as well as in implementing Multilateral Environmental Agreements (MEAs). Understanding and addressing the origins of this gap is a critical issue for us right now, as the Sustainable Development Goals (SDGs) move to the forefront of the global development agenda.

Traditional explanations for this national implementation gap have tended to focus on weaknesses in technical and financial capacity among environmental agencies, many of them young and inexperienced, in combination with low political priority given to environmental issues. The response has often been training in technical areas, financial support and assistance with drafting of relevant policies, laws and regulations.

Despite this work serious problems persist and may even be worsening. Weaknesses in governance, including the capacity to draft workable laws, regulations and policies, and the capacity to implement them even when they have been approved and are technically sound are now widely recognized as major obstacles to moving forward. These governance gaps do not only cause difficulties in the environmental sphere; they reflect weaknesses in State's ability to perform a broad range of important functions. However, the growing impact of environmental challenges on the lives of billions of people makes addressing governance problems in the environmental sphere an urgent priority.

Extractive industries and the mining sector specifically are a sector in which shortcomings in environmental governance are widespread and are having a particularly harsh impact on the lives of vulnerable population groups. The strong urge to generate rapid economic growth too often leads to a policy imbalance between short-term growth and long-term sustainability goals in developing the mining sector. Gaps between the letter of the law, or of international agreements, and actual environmental conditions in the areas surrounding mines demand urgent attention as the world turn towards the Agenda 2030 goals.

This analysis is based on wide-reaching consultations, including an online survey, conducted during Phase One of the Programme, within BPPS and with Regional Hubs and Country Offices regarding the most effective ways to join with other ongoing work, as well as with other development partners within and beyond the UN family. Key obstacles to improved environmental management were identified and areas of intervention were prioritized based on the

¹ Synthesis of National Reports for Rio+20, UNDP and UNDESA, 2012.

findings of these consultations. In addition to pointing to extractives as the most critical sector in which the project could work, specific priority issues in extractives environmental governance that the Phase One consultations highlighted included gaps between central policies and local implementation, the lack of effective coordination between key government agencies at national and local levels and the need for more effective consultations with communities in mining regions on the environmental impact of mining operations..

Institutional capacity and the quality of governance

Well-functioning governance systems and institutions that can work well together across boundaries of sector, issue and geography and embody core principles of human rights are prerequisites for managing natural resources in better ways and for providing the poor with environmental services. In addition to requiring improved structures and processes within government agencies working directly on environmental issues, many developing countries also have weak mechanisms for facilitating cross-agency and cross-sectorial dialogue. Without effective policy coordination and collaboration, the ability to make good policy and effectively realize the rights of all affected communities and stakeholders is undermined due to gaps, overlaps and contradictions in responsibilities. Government agencies need to be able to work together to implement a government's strategic priorities and support decentralized governance structures that would provide more effective decision-making. Parliamentary committees that pass environmental legislation need to have sound consultation processes that shape the drafting of laws and need effective mechanisms for monitoring their implementation; however, at present the gaps between Parliamentarians' objectives and the way that laws are affecting people's lives are often great.

Another crucial environmental governance flaw in many developing countries is the failure to integrate environmental issues into upstream policy, such as in an overall national strategy and legislation, with clear delineation of the mandate and responsibilities of public bodies and other actors involved. Difficulty in establishing the proper allocation of responsibilities and authority between national and sub-national governments is a related problem.

Human rights issues in the mining sector arise prominently in the relationship between governments and their citizenry, including individuals, civil society and businesses. Consultation with affected communities before licenses are granted, policies are set, regulations issued, are frequently informal and inadequate, and monitoring during the operation and closure phases of extractive enterprises is also often inadequate. Communities often do not know their rights and about the accountability mechanisms that are designed to ensure those rights, mechanisms which are often not functional. Affected communities lack access to courts and a justice system to protect their rights when laws are broken. This means that the community must also be aware of and understand their rights and how to enforce them. Environmental public administrations must have the capacity to inform the public and other stakeholders about their rights and make environmental information available.

Environmental governance must be linked directly with social and economic policy and move beyond the confines of traditional environmental policy led by ministries of environment. Environmental policy design is embedded in a political context with multiple actors and interests. Improving environmental outcomes is not only dependent on legal frameworks and the capacities of environmental authorities and sector ministries but also largely on external factors that provide the enabling environment. Often the environment is more affected by policies and decisions outside the confines of the environmental authority, than by internal policies. Ministries of Environment and environmental institutions at other levels, also need the capacity to participate and negotiate in decision-making and implementation of policies in other sectors.

The environmental sector is difficult to manage due to the diversity of problems to be addressed. There is a multitude of stakeholders often with contradictory interests, for example, forest owners, fishermen, industries, etc. In addition, environmental authorities are often weak institutions, especially in comparison with the powerful special interests engaged in natural resource exploitation. A multi-pronged approach to capacity development is needed, one that focuses greater attention than in the past on the policy environment, structure and processes by which natural resources are managed, in addition to building technical skills and providing direct technical assistance.

Of course these broader governance issues are not subject to quick fixes. However, if sustainable development is the goal, then sustainability of sound environmental policy-making is a prerequisite. The ultimate impact of such an approach will extend beyond the environmental sphere and the social/poverty spheres which it impacts directly. Enhanced capacity of the state to formulate and implement environmental policy will lead to enhanced overall state capacity to perform all its essential roles.

Corruption and accountability

Corruption is one specific governance obstacle that frequently obstructs positive environmental outcomes, and one to which the mining sector is particularly prone because of the large financial flows it generates. Poor women and men, who often bear the heaviest costs of environmental degradation, tend to be dispersed and weakly organised in comparison to interests benefitting from the current – often unsustainable – growth path. Where, for instance, vested interests work against reforms for controlling mining, industrial pollution or deforestation, there are often also weaker constituencies, such as affected communities, unions and environmental organisations, pushing for reform implementation. Accountability mechanisms, such as ensuring the rights to access information, the rule of law, public participation and access to an impartial justice system, are essential for enabling these constituencies to demand environmental improvements.

Efforts to improve environmental policies must go hand in hand with efforts to reduce corruption if they are to have the intended effects. Improved accountability, integrity, transparency and public participation in the matters related to the environment and the management of natural resources can reduce the risk for corruption and create trust and legitimacy which facilitates implementation of different environmental policy instruments. Accountability is also an essential governance mechanism for ensuring equal access to public services such as waste collection and management, clean drinking water, and ecosystem services.

Structural marginalization

Millions of persons exist outside of the influence and protection of the formal governance systems and legal frameworks. It is not simply that these frameworks do not exist or are not implemented, but it is that they do not necessarily work for everyone or as effectively. Moreover, some of these institutions do not always effectively consider the context or conditions which lead to structural marginalization, multiple deprivations and persistent inequality. Millions remain without electricity, without access to safe water, without waste collection, without sanitation, without access to land, natural resources and ecosystem services; without or limited sustainable forms of income, are poor and are exposed to significant indoor and outdoor pollution. Many frameworks often fail to capture this reality and thus to confer appropriate social and economic rights and to ensure that such rights and responsibilities are accessed and defended. Therefore, there is a need to advance a strengthened and more nuanced understanding of governance, institutional and contextual circumstances that influence the integration of the poverty-environment nexus (PEN) into national development and sustainability strategies. Robust grievance mechanisms, within and beyond the formal judicial system, are required for marginalized groups whose lives are negatively affected by extractive operations, but too often have no platform to raise their voices.

Gender

Global evidence suggests that while men primarily capture the benefits of the extractive industry, women often bear a disproportionate share of social, economic and environmental risks. Policies and operational directives often do not consider the gender dimension of extractives sector and women are often not included in national level policy dialogue and local level consultation processes. Furthermore, few Environmental Impact Assessments include a detailed assessment of gender. Therefore, long term impact on women tend to be overlooked. There is thus a need to identify and address both women's and men's challenges, needs and expectations, as well as empower and promote women as decision-makers, to ensure the success of environmental policy and programming.

In this context, it is important to note that women are not only victims of climate change and environmental degradation. They also possess knowledge and skills that are critical to finding local solutions to environmental challenges. Experience shows that the resiliency of households and communities depends greatly on the resiliency of women. Environmental policies, programmes and finance, therefore, should incorporate and benefit from this know-how, while also supporting women as they face today's unprecedented environmental challenges. Given the requisite tools and support, women are a driving force for a new model of growth which is both more equitable and sustainable.

Environmental Governance Issues Specific to the Extractives Sector

The management of the environmental and social impact of extractive industries is one of the most critical challenges facing many developing countries, including some who are heavily dependent on these industries, and others who see them as urgently needed new sources of growth. These industries can bring resources to finance urgently needed social and economic development. However, the negative environmental and social impacts of the extractive industry often include environmental degradation, human rights violations, conditions that foster violent conflict,

increased risk of natural disasters as well as other problems that undermine wellbeing for generations to come, long after their shorter-term economic benefit has ended. These impacts need to be managed well, from the initial concession negotiations through operation/monitoring, to the decommissioning process and monitoring of closed extraction operations. The rights of affected communities to a safe, clean and healthy environment cannot be protected without working accountability and grievance mechanisms, especially given the power imbalance that frequently exists between mining interests and vulnerable population groups. The governance challenges in this process are increasingly recognized as key obstacles to achieving hoped for sustainable economic, social and environmental outcomes.

The environmental degradation that too often results from exploitation of oil, gas, and minerals includes soil erosion and degradation, loss of biodiversity, contamination of ground and surface water by chemicals from the extraction process, large amounts of waste, noise and destruction of traditional livelihoods and lifestyles by transport and power infrastructure. Extractives are also frequently associated with violent conflict over land rights, water rights and command over valuable natural resources, and conflict prevention efforts in many developing countries are inevitably centered around the governance of extractive industries, including arbitration mechanisms for resolving such disputes. For countries emerging from conflict, extractive related activities increase the likelihood of relapse to conflict within five years by twofold.

The internal migration flows that frequently accompany extractives, both the arrival of workers from other areas, including from abroad, and the displacement of local people, can lead to a slew of new social problems in health, gender, access to housing, services and to justice. For local communities to fully benefit from mining, it is important to avoid incentivizing the 'import' of large numbers of workers. The power imbalance between extractive businesses and their government partners, on the one hand, and local populations, is frequently the cause of serious human rights violations, not limited to environmental degradation. These can include egregious violations of the rights of workers to safe working conditions, occasional use of child labor and the displacement of local populations, including indigenous peoples, without adequate resettlement provision. Indigenous peoples and women are often among the most affected. A number of studies in recent years have found that women bear the brunt of the negative effects of extractive operations, while being excluded from their economic benefits. Although the environmental and human rights issues associated with artisanal mining, generally undertaken by poor and vulnerable households, are extremely serious, they not a direct focus of this programme, This is in due to the need to focus on medium and large scale mining, which is one of the areas of SEPA's experience and expertise The programme is, however, coordinating closely with other UNDP GEF projects that focus on artisanal mining.

A substantial body of research in recent years, by Sachs and Warner earlier and most recently led by Paul Collier of Oxford and of the Natural Resources Governance Institute, has demonstrated that resource-rich developing countries are *less likely* to find a healthy sustainable development path than those that lack natural resources. Despite this, the internal and external pressures to take advantage of these resources have proven impossible to overcome; ignoring their presence is not an option. The need to manage resources well, to build governance institutions that allow nations to enjoy their benefits and avoid environmental and social pitfalls, is more pressing than ever.

Summary

Because effective environmental management of the extractives sector requires cross-sectoral coordination and coherence across the policy cycle, a range of stakeholders must be engaged beyond environmental technocrats. Recognizing that environmental management is one of the core functions of the state is the first step toward identifying and formulating approaches to address the underlying governance challenges that constrain state capacity in this area as well as in others. Until this is done the gap between the announced sustainable development goals and their actual achievement will continue to widen, and the fundamental human right to a safe, clean, sustainable and healthy environment will not be realized.

II STRATEGY

This programme will draw on SEPA and UNDP's governance and environmental management expertise to address a number of urgent environmental governance problems that developing countries are facing. In this way we will build, record and share experience both in improving environmental management and in applying core governance and human rights principles to one of the most critical roles of the State: effective, efficient and responsive natural resource management. This could make an important contribution to global efforts to advance the SDGs.

The specific governance and environmental sectors on which the programme will focus its efforts were identified through extensive consultations and through an online survey of UNDP regional and country offices. The programme will thus address a significant challenge in many developing countries namely an insufficient capacity to implement laws, regulations and policies. This will be done by combining technical support in environmental management with support in governance issues.

The programme's governance assistance will aim to strengthen **Human Rights** and the **Rule of Law in Environmental Public Administration**. This is a core issue in building the capacity of states to perform their necessary role in environmental policy, and provides an entry point for addressing major environmental governance challenges including: individual and institutional capacity deficiencies; the often inadequate design and enforcement of policy; economic regulatory and accountability frameworks; the capacity for effective inter-ministerial coordination in advancing a coherent environmental agenda; and the rights of citizens – in particular people living in poverty and marginalized communities- to access information and conferring greater voice in decision-making and to have predictable means of appeal and redress against government or corporate decisions that directly affects their environment and livelihoods. UNDP's extensive work with many developing countries in supporting the establishment and implementation of Social and Environmental Safeguards, and specifically work on creating effective accountability and grievance mechanisms, will be a particularly valuable resource in this work.

This assistance will be further focused on issues in **environmental governance in the mining sector**. All the extractive industry challenges highlighted above are present in the mining sector, which is highly diverse in terms of scope and size of operation; ranging from individual artisanal miners to massive hard rock mining operations.

Although the main entry points for the programme in national administrations will be environmental and mining authorities, consideration will be given in all countries to engaging with other bodies who play important roles in these processes, including Human Rights Commissions, Parliaments, Justice Ministries, Anti-Corruption agencies, Labour authorities, and others. Close engagement will also be maintained with civil society organizations, whose participation in the programme will be essential. This programme will draw upon UNDP's Strategy for Supporting Sustainable and Equitable Management of the Extractives Sector to ensure that work is consistent with the broader effort to allow countries to take advantage of their natural resource endowments without falling prey to the 'resource curse' and to ensure that a conflict prevention lens is applied to programming. UNDP's experience in supporting the development and implementation of national safeguard systems also provides valuable lessons that the programme will draw on, particularly in the application of accountability/grievance mechanisms among population groups affected by mining operations. This programme will also further explore synergies with current and future UNDP interventions related to the extractive sector and conflict prevention.

The risks and opportunities in extractives industries affect men and women differently. Global evidence shows that whereas women often disproportionately bear the negative social, economic and environmental impact of extraction they do not equally share its benefits. For both men and women to take part in the development gains that the extractive industries potentially offer, the project will from the outset assess the various needs, expectations, barriers and opportunities for men and for women in this sector. In doing this UNDP will draw upon its in-house and external gender expertise to ensure that a gender perspective is included throughout the project cycle. In countries where recent gender assessments of the extractive sector are not available, the programme will undertake such research as an important input into programming. This would include ensuring gender sensitive assessments and gender analyses on use of natural resources in the mining sector and on human rights issues such as participation, access to information and access to justice. Sex and gender disaggregated indicators will be developed and gender disaggregated data will also be collected wherever possible, including regarding quality and usefulness of support and possibility to actively engage and participate in activities provided by the programme.

Theory of Change

Sound environmental management, including natural resource management, is a core function of the state, and one whose importance is growing year by year. The Sustainable Development Goals clearly demonstrate heightened current global awareness of the critical importance of environmental challenges. Improved outcomes in natural resource management will provide enormous benefits for poor and vulnerable groups in developing countries, in the form of better health and more sustainable livelihoods.

The SEPA-UNDP Environmental Governance Programme Theory of Change (TOC) starts from a straightforward premise; although in many developing countries today there is genuine interest in strengthening sustainable natural resource management this vitally important function of the state cannot be properly exercised without far greater attention to the core governance issues that shape state effectiveness. This requires a focus on the processes and structures through which

environmental decisions are made, implemented and monitored, and the ways in which affected population groups, particularly vulnerable groups, are engaged in them. When environmental management is treated as the exclusive domain of technical experts, engineers, scientists, no matter how skilled and committed they are, it is unlikely to achieve its hoped for ends. Gap assessments, capacity evaluations, reviews of legislative and regulatory frameworks, all need to fully factor in these governance dimensions, and capacity building should target transparency, Rule of Law, accountability and other core governance issues along with technical environmental ones.

Translating environmental intentions and targets into concrete results thus requires other governance capacities that are still weak in many developing countries; drafting of legislation based on a proper consultative process with civil society and other stakeholders; monitoring of implementation of laws and regulations; coordination across ministerial/agency boundaries; central-local communication and coordination; access to information and effective grievance mechanisms for all population groups affected by environmental trends, including the most vulnerable, so that policy-making will not be dominated by the interests of more economically powerful groups. Attention to core principles of good governance; transparency, equity, sustainability and non-discrimination will address some of the most important challenges in natural resource management.

The seriousness of governance obstacles to achievement of environmental outcomes has been widely recognized, and was further confirmed in a survey that SEPA/UNDP did during programme design. More than 60 staff in more than 40 country offices and regional centers participated in this survey, and overwhelmingly identified governance obstacles as key problems in all environmental sectors. Even where government commitment to environmental goals was assessed as strong, and where overall capacity was considered reasonably strong, governance was seen as a serious obstacle to progress.

This TOC directly reflects and responds to current conditions in global sustainable development efforts, and is the most appropriate response to those conditions. Rather than focusing on drafting new policies, laws and regulations, on the one hand (although new laws and regulations are undoubtedly sometimes needed), and rather than focusing on technical training and capacity building for Environmental Ministries, the programme will undertake assessments of implementation gaps that are obstructing the proper functioning of existing frameworks, most importantly with regard to rule of law and participatory dimensions, and assist with overcoming those gaps. This approach is both timely and highly cost effective, rooted in interventions that allow the realization of the goals of a great deal of resources and effort that have already been committed to environmental management. Through these interventions, undertaken in cooperation with SEPA, and presented more fully in the Programme Results and Resource Framework, the programme will create more supportive governance framework for sustainable natural resource management in partner countries and elsewhere.

At the national level the programme TOC is rooted in piloting an innovative approach to improving environmental management; by bringing the most up-to-date governance expertise into existing

environmental projects. The choice to focus on extractive industries, and mining in particular, brings governance dimensions directly to the forefront, since these are vitally important industries for economic and social development in many developing countries, ones with tremendous environmental risks, and ones in which government capacity to effectively implement sound natural resource management is often particularly weak, due to the economic power of mining firms and their government partners. Effective regulation of the mining sector will inevitably require strong rule of law, which will be one key focus of this programme's efforts. This focus on rule of law and the closely linked question of respect of the human rights of communities affected by mining operations will generate insights that have broader implications for human rights based governance more generally in the countries in which the programme works. By engaging with Human Rights Commissions, Parliamentarians and a large number of local governments and implementing a targeted national communications strategy regarding dissemination of findings and recommendations the programme will help build conditions for broader governance improvements.

A donor-driven approach would make success extremely unlikely; national ownership will be essential. Several features of the programme strategy are designed to ensure ownership and sustainability of results. Close alignment with national development strategies is one key to sustainability. Programme knowledge sharing and learning activities will be evaluated interactively through an innovative approach that emphasizes real-time feedback and adjustments so that this work is meeting the most important needs of national beneficiaries. Close partnership between SEPA, BPPS, Regional Centers and Country Offices will also facilitate quick response to the results of activities and the distillation and sharing of lessons learned with other countries, as described in the next paragraph.

In addition to the intensive work in four target countries the programme will develop training modules on Governance and Human Rights issues in environmental governance that will be offered as webinars for government staff from other countries as well. These webinars are expected to serve as an important new resource for building global awareness of the governance dimensions of environmental management. They will be developed and run by highly qualified experts using the most up to date, highly interactive, teaching methodologies. Over the course of the programme a set of these webinars will be prepared, tested and used more and more widely to increase the programme's impact.

One important tool that will be employed by the programme is the Rule of Law in Public Administration toolkit that UNDP has developed together with Sweden's Folke Bernadotte Academy. It will be adapted to mining sector public administration, and used as an assessment tool and as a guide to design of programme interventions in the four programme countries.

These assessments and learning programmes in the first year of the programme aim to establish conditions for further effective interventions by the programme to enhance environmental governance. Recommendations will be formulated and skills built that will lead to follow up activities to support operationalization of improved, human rights-based and rule of law-based

approaches to managing the environmental impact of mining operations. Learning programmes and further analytical work will continue for the life of the programme, providing further support to improvements in environmental governance of this sector.

The programme will also draw on the expertise of Mr. John Knox, the UN Special Rapporteur on Human Rights and the Environment, who will help us bring on board the latest experience in Human-Rights-based approaches to environmental governance.

Dissemination and communication work will be a key component of this programme. UNDP-SEPA aim to influence global environmental governance efforts, by demonstrating the added value of applying governance perspectives to environmental programmes. Links will be established with other projects, and, critically, with other international organizations, with whom this approach and its results will be shared regularly. The goal of the communication work will be to influence both environmental and governance work being done in other countries.

Roles, comparative advantages and collaboration of SEPA and UNDP

This collaboration will make use of UNDP's global and national expertise, infrastructure, presence, convening power, networks and multiple entry points into governments, institutions and other actors at all levels of society to effectively reach out to key stakeholders. SEPA's long experience as a national agency responsible for implementing policies and regulations, its strong internal capacity and long term experience in environmental public administration and extensive networks in Sweden and internationally, complement UNDP's infrastructure and corresponding expertise, which will provide an effective platform for delivery of UNDP and SEPA support.

To ensure efficient and greater impact of the SEPA-UNDP collaboration across a range of countries, the support will be delivered through UNDP programmes and projects and multi-disciplinary policy advisory services. At the country level there will be direct links between this programme's activities and existing mining sector projects, as well as with the most relevant governance projects. More broadly, the delivery mechanism will draw on and strengthen UNDP's services through existing projects including those funded by UNDP-GEF, the UNDP's Extractive Industries Global Programme, and related programmes such as the UNDP-UNEP Poverty-Environment Initiative (PEI), the Partnership for Action on Green Economy, among others. All of these global projects have relevant environmental governance components. At the same time, the project will also benefit from the connections, knowledge, and support that can be provided by existing UNDP global governance projects such as the Global Anti-corruption Initiative, the Global Rule of Law, Justice and Security project, and the Global Human Rights Programme (or its successor project). The work of the programme in helping communities manage well the social and economic impact of population flows associated with mining will be informed by the new UNDP Guidance Note on migration: "Guidance Note: A Development Approach to Migration and Displacement."

Because this programme aims explicitly to influence global conversation on environmental governance, dissemination of findings and sharing of experience will be a very high priority. This will require a strong Communications effort, including components on South-South and Triangular Cooperation, partnership building with other international organizations, production of modules

and other knowledge products with topics and content carefully designed to closely link the programme's activities and objectives to needs and capacity gaps identified with national counterparts, as well as organization of regional and global knowledge sharing events. One key focus of modules and other knowledge products will be hands-on guidance regarding operationalization of Rule of Law and Human Rights-based approaches to environmental public administration of the mining sector.

Partnership-building will extend well beyond the core partnership between SEPA and UNDP. Outreach to UNEP and the UN Special Rapporteur for Human Rights and the Environment has already taken place, and collaboration plans are being developed. Opportunities will be explored to work together with other environmental governance initiatives, including the Extractive Industries Transparency Initiative, the Folke Bernadotte Academy of Sweden, the Natural Resource Governance Institute and INECE (International Network for Environmental Compliance and Enforcement and their training portal), as well as with the World Bank. In addition, the Programme team will be approaching other international organizations to join in exchanges of experience and plans, including as participants in an Advisory Board for the programme, and through participation in each other's knowledge sharing events. This board is expected to include UN Women, the World Wildlife Fund, Oxfam and several other organizations and experts.

South-south and Triangular Cooperation activities will include bringing together government officers from many countries in web-based training programmes based on active interaction, further web-based forums and exchanges, linking of the programme to other global extractive governance and environmental platforms such as GOXI and the Inter-Governmental Forum on Minerals, Mining and Sustainable Development, a series of knowledge events and ongoing exploration, in cooperation with UNDP's Regional Hubs, of opportunities to tap other countries' experience in the four target countries.

To ensure this project is aligned with the broader work of UN Country Teams, support will only be provided where sustainable development has been clearly highlighted in the UN Development Assistance Frameworks and UNDP has the mandate to provide support which is aligned with national development priorities. The programme will engage with UN Resident Coordinator's offices to emphasize its role in supporting these overall goals of the UN national partnership.

SEPA's experience and capacity in environmental governance, and ability to work directly with sister agencies in our programme countries, is a great asset for this programme. SEPA will lead knowledge exchange activities, including in-person workshops and discussions and web-based programmes. Preliminary consultations with counterparts have identified a number of topics, such as sound environmental governance of the full cycle of mining operations, including exploration licenses, EIAs and mining permits, monitoring of Environmental Management Plans and preparation and review of mine closure and rehabilitation plans. Other knowledge exchange topics will include costing of ecosystem services, biodiversity, and the use of deposits or bonds from mining companies as assurance that funds will be available to cover remediation of environmental damages and post-mining rehabilitation. Additional topics will be determined through further consultations.

Effectiveness Strategy

Several features of the programme design are specifically aimed at achieving maximum possible impact with limited resources. These include:

- Linking the programme work to existing projects in the four target countries, rather than starting up standalone new work in each, which would be much costlier.
- A rigorous effort throughout to build on work that has already been done; to link to the GOXI.org website, e.g., to guide webinars and other training programs with materials received from UNITAR and other development partners and to use existing South-South exchange platforms to exchange programme experience with others.
- A strong partnership strategy, aimed at developing strong links to work being done by other UN agencies, 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.

III STAKEHOLDERS AND TARGET GROUP

Stakeholders

Stakeholders of this programme are all actors with an interest and role in environment and the broader social, economic, and governance issues to which it links, in particular those with connections to the mining sector. These include public administrations at both national and sub-national levels, civil society (NGO's community based organizations, faith based organizations, women's organizations, media), and the private sector. Stakeholders are also parties to the Multilateral Environmental Agreements.

Target group

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, the key focus of the work is expected to be with environmental protection ministries and agencies. However, this programme's focus on governance dimensions of environmental management make it essential to extend the work to include other relevant organizations as well.

The primary target groups for the programme are thus central environmental public administrations and other central administrative bodies relevant for the environment such as Ministries of Environment, Mining, Planning and Infrastructure, Finance as well as Parliamentary committees with environmental responsibilities. Secondary target groups are regional and local administrations, other institutions and organisations including non-governmental organisations, civil society, and the private sector.

A strategic decision was made to link its work to ongoing projects in extractive sector environmental management, and apply the rule of law and human rights lens to those projects' activities to enhance their effectiveness and acquire valuable experience for dissemination to other developing countries. During Phase One of the programme the four principal target countries, **Colombia, Kenya, Mongolia and Mozambique**, were selected from among those who have requested support from UNDP on environmental governance, based on extensive consultations with Regional Bureaus, with our Swedish donor, and direct discussions and surveys with a larger number of countries who had been identified as possible candidates. The four selected countries are currently supported through at least one of the following: The Global Environmental Fund (GEF), UNDP-UNEP Poverty Environment Initiative (PEI), the UNDP-DESA-UNEP Green Economy Joint Programme (GEJP), the UN Partnership for Action on Green Economy (PAGE), UNDP's Global Programme on Extractive Industries, as well as from the Swedish EPA's partners. The same group and/or other countries where high demand has been demonstrated for this type of support or for related support from UNDP's global governance initiatives such as the Global Anti-Corruption Initiative will be the pool of countries from which participants are selected to engage in the programme's global learning and related activities.

IV RESULTS AND RESOURCE FRAMEWORK

| | |
|--------------------------------|---|
| <p>SP/GP Outcome:</p> | <p>2. Citizen expectations for voice, development the rule of law and accountability are met by stronger systems of democratic governance.</p> |
| <p>SP/GP Output:</p> | <p>Output 2.5. Legal and regulatory frameworks, policies and institutions enabled to ensure the conservation, sustainable use, and access and benefit sharing of natural resources, biodiversity and ecosystems, in line with international conventions and national legislation.</p> |
| <p>Project Outputs:</p> | <ol style="list-style-type: none"> 1. Public institutional partners in programme countries have strengthened capacities to improve sustainable management of natural resources in the mining sector, while integrating human rights and rule of law principles. 2. Experiences in strengthening Rule of Law and HRBA in environmental governance in mining sector documented and shared to inform practices at country, regional and global levels. 3. The foundation for a long-term, sustainable partnership on environmental governance between Swedish EPA, UNDP and other relevant organisations is in place. |

| INTENDED OUTPUTS | OUTPUT TARGETS | INDICATIVE ACTIVITIES | RESPONSIBLE PARTIES | INPUTS |
|---|--|--|---|---|
| <p>Output 1: Public institutional partners in programme countries have strengthened capacities to improve sustainable management of natural resources in the mining sector, while integrating human rights and rule of law principles.</p> | | | | |
| <p>Indicators (with baselines):</p> <ul style="list-style-type: none"> Number of institutions in which stakeholder consultations identify priority issues in environmental governance in the mining sector (Baseline: 0) | <p>2016: 3 2017: 3 2018: 0</p> | <p>1) A comprehensive set of human rights-based assessments, including gender assessments, are conducted of the gaps and needs in environmental governance of natural resources in extractive industries with participating partners at national level and, when appropriate, at local levels.</p> | <ul style="list-style-type: none"> BPPS SD and GPB Clusters SEPA Gender Team | <ul style="list-style-type: none"> BPPS staff support SEPA staff support Mission travel Professional services |
| <ul style="list-style-type: none"> Number of recommendations regarding strengthened mining sector environmental governance that are addressed by stakeholders including government counterparts, other government bodies and civil society (Baseline: 0) | <p>2016: 1 2017: 2 2018: 1</p> | <p>2) Experts from UNDP and SEPA conduct missions to four target countries, form project teams and conduct trainings in preparation for these mappings and assessments.</p> | <ul style="list-style-type: none"> UNDP Regional advisors CO project teams | <ul style="list-style-type: none"> Salaries, meeting/workshop space Report printing Preparation of materials |
| <ul style="list-style-type: none"> Number of examples of officials/staff effectively applying new skills or tools gained through programme training activities (Baseline: 0) | <p>2016: 6 2017: 8 2018: 8</p> | <p>3) Mappings, assessments and surveys are conducted by local project teams with guidance from programme staff and SEPA environmental experts in order to create a baseline and get input to training.</p> | | <p>2016: \$910,000 2017: \$830,000 2018: \$450,000</p> |
| <ul style="list-style-type: none"> Number of improvements in mining sector environmental governance procedures or mechanisms that are implemented with programme support (Baseline: 0) | <p>2016: 0 2017: 2 2018: 2</p> | <p>4) Programme training activities implemented, responding to the findings of assessments and consultations.</p> <p>5) Series of targeted technical advisory services provided on environmental governance issues that are identified during consultations.</p> | | |

| INTENDED OUTPUTS | OUTPUT TARGETS | INDICATIVE ACTIVITIES | RESPONSIBLE PARTIES | INPUTS |
|---|--|--|--|--|
| <p>6) Reports, analytical assessments, recommendations prepared.</p> | | | | |
| <p>Output 2: Experiences in strengthening Rule of Law and HRBA in environmental governance in mining sector documented and shared to inform practices at country, regional and global levels.</p> | | | | |
| <p>Indicators (with baselines)</p> <ul style="list-style-type: none"> Number of global and/or regional south-south/triangular knowledge sharing events regarding environmental governance of the mining sector organized by the programme (Baseline: 0) | <p>2016: 1 2017: 1 2018: 1</p> | <p>1) South-South/triangular knowledge sharing events are organized; topics, speakers and other participants identified in consultation with SEPA, other development partners, Regional Hubs, COs, and other partners. Venues selected and all logistics arranged.</p> | <ul style="list-style-type: none"> BPPS SD and GPB Clusters SEPA UNDP Regional Centers | <ul style="list-style-type: none"> Mission travel BPPS and SEPA staff support Meeting space Consultations with outside experts |
| <ul style="list-style-type: none"> Number of visits, downloads, citations on the web-based learning platform created by the programme (Baseline:0) | <p>2016: 40 2017: 120 2018: 70</p> | <p>2) Swedish EPA and UNDP staff prepare and deliver a series of web-based learning activities on environmental public administration with a focus on the mining sector to government officers, civil society representatives and other stakeholders in four programme countries and in other developing countries</p> | <ul style="list-style-type: none"> UNDP Country Offices | <ul style="list-style-type: none"> Travel costs, workshops and conferences Equipment, communication and printing |
| <ul style="list-style-type: none"> Number of country offices who request information about application of the RoLPA Toolkit adaptation to mining sector environmental governance and for whom the information is presented (Baseline: 0) | <p>2016: 0 2017: 1 2018: 2</p> | <p>3) Knowledge products presenting research on environmental policy and environmental public administration in extractive sectors are developed and disseminated globally</p> | <ul style="list-style-type: none"> Professional services Preparation of materials Website maintenance IT support | |
| | <p>2016; 3 2017: 6 2018: 6</p> | <p>4) Consultants hired, field research conducted, reports prepared, presented, posted on website and hard copies printed and disseminated</p> | | |
| | | <p>5) Toolkit to assess respect for rule of law and human rights principles in public</p> | | |

| | | | |
|---|--|--|--|
| <ul style="list-style-type: none"> Number of documented examples of application of disseminated materials by participating countries (Baseline: 0) | | <p>administration adapted as needed to respond to the specific demands of environmental administration, pilot tested in programme countries and disseminated globally.</p> <p>6) Programme website is created and effectively used as a resource for dissemination of programme and other relevant findings, activities and documents.</p> | <p>2016: \$890,000 2017: \$857,000 2018: \$460,000</p> |
|---|--|--|--|

| INTENDED OUTPUTS | OUTPUT TARGETS | INDICATIVE ACTIVITIES | RESPONSIBLE PARTIES | INPUTS |
|--|--|--|--|--|
| <p>Output 3: The foundation for a long-term, sustainable partnership on environmental governance between Swedish EPA, UNDP and other relevant organisations is in place.</p> | | | | |
| <p>Indicators (with baseline)</p> <ul style="list-style-type: none"> End date of programme is extended (Baseline: 2018) Number of additional organizations/institutions who have participated in programme activities (Baseline: 0) Number of additional partners supporting expansion/extension of programme work (Baseline: 0) | <p>2016: none 2017: 2020 2016: 1 2017: 1 2018: 1 2016: 0 2017: 1 2018: 1</p> | <p>1) Project Board reviews plans for extending this programme; beyond 2018, possibly to other economic sectors, to new countries and with new partners</p> <p>2) Programme establishes a Board of Advisors that includes representatives of other relevant organizations such as UNEP, World Bank, Oslo Governance Centre, others, to facilitate interactions and cooperation.</p> <p>3) Outreach to new sources of funding</p> | <ul style="list-style-type: none"> BPPS, SEPA | <ul style="list-style-type: none"> Staff time Travel for outreach to other possible partners Mission travel for participation in other partners' events <p>2016: 80,000 2017: 80,000 2018: 40,000</p> |

V ANNUAL WORK PLAN

Year: 2016

| EXPECTED OUTPUTS | PLANNED ACTIVITIES | 2016 | | | | RESPONSIBLE PARTY | PLANNED BUDGET | | | |
|---|---|------|----|----|----|-------------------|----------------|--------------------|-------------------------------------|--------|
| | | Q1 | Q2 | Q3 | Q4 | | Funding Source | Budget Description | Amount | |
| <p>Output 1: Public institutional partners in programme countries have strengthened capacities to improve sustainable management of natural resources in the mining sector, while integrating human rights and rule of law principles.</p> | | | | | | | | | | |
| <ul style="list-style-type: none"> Number of institutions in which stakeholder consultations identify priority issues in environmental governance in the mining sector (Baseline: 0) | In-country workshops | x | x | x | x | UNDP/SEPA | UNDP | Mission travel | 70,000 | |
| | | | | | | | SEPA | Staff time | 20,000 | |
| | Trainings | | x | x | | | | UNDP | Training venues | 30,000 |
| | | | | | x | | | | Materials | |
| | | | | | | | | | Translators | |
| | | | | | | | | SEPA | Staff time | 30,000 |
| <ul style="list-style-type: none"> Number of recommendations regarding strengthened mining sector environmental governance that are addressed by stakeholders including government counterparts, other government bodies and civil society (Baseline: 0) | Expert missions | x | x | x | x | UNDP/SEPA | UNDP | Mission travel | 40,000 | |
| | Advisory services in all four countries | x | x | x | x | | | SEPA | Staff time | 30,000 |
| | Local consultants | x | x | x | x | | | | Translation | 10,000 |
| | Assessments/analytical work | x | x | x | x | | | | Local consultants/in country travel | 60,000 |
| | | | | | | | | SEPA | Staff time | 17,000 |

| | | | | | | | | | |
|---|--|---|--|--|-----------|-----------|--------------------|----------------|---------|
| <ul style="list-style-type: none"> Number of examples of officials/staff applying new skills or tools gained through programme training activities (Baseline: 0) | RoLPA local consultants hired | | | | UNDP | UNDP | Local consultants | 90,000 | |
| | Assessments undertaken | | | | UNDP | UNDP | In country travel | 20,000 | |
| | Workshops to disseminate finding | | | | UNDP | UNDP | Translation | 10,000 | |
| | | | | | | | Workshop | 20,000 | |
| | | | | | | | Translation | | |
| | | | | | | | Venue | | |
| | <ul style="list-style-type: none"> Number of improvements in mining sector environmental governance procedures or mechanisms that are implemented with programme support. | Follow-up activities based on toolkit findings: workshops, Validation workshops | | | | UNDP | Material | | |
| | | | | | | UNDP | UNDP | Missions | 25,000 |
| | | | | | | | | Workshops | 20,000 |
| | | | | | | | | Trainings, etc | 30,000 |
| | | | | | | | Mission travel | 13,000 | |
| | | | | | UNDP | Printing | 10,000 | | |
| | | | | | UNDP | UNDP | Programme manager | 175,000 | |
| | | | | | UNDP/SEPA | UNDP/SEPA | Other staff time | 40,000 | |
| | | | | | SEPA | SEPA | SEPA staff on loan | 150,000 | |
| | | | | | | | | UNDP | 762,000 |
| | | | | | | | | SEPA | 197,000 |
| | | | | | | | | TOTAL | 910,000 |

| EXPECTED OUTPUTS | PLANNED ACTIVITIES | 2016 | | | | RESPONSIBLE PARTY | PLANNED BUDGET | | |
|---|--|-----------------------|-----|-----|-----------|-------------------|----------------|--------------------|---------|
| | | Q 1 | Q 2 | Q 3 | Q 4 | | Funding Source | Budget Description | Amount |
| Output 2: Experiences in strengthening Rule of Law and HRBA in environmental governance in mining sector documented and shared to inform practices at country, regional and global levels. | | | | | | | | | |
| <ul style="list-style-type: none"> Indicators (with baselines) <ul style="list-style-type: none"> Number of global and/or regional south-south/triangular knowledge sharing events regarding environmental governance of the mining sector organized by the programme (Baseline: 0) Number of visits, downloads, citations on the web-based learning platform created by the programme (Baseline:0) | Presentations and side meetings at UNDP South-South Exchange Conference in Bangkok | | | | | UNDP | UNDP | Mission travel | 15,000 |
| | Programme inception meeting held in conjunction with Annual Inter-Governmental Forum on Mining, Minerals and Sustainable Development | | | | | UNDP/SEPA | UNDP | Conference costs | 10,000 |
| | First programme global/regional event | | | | | | SEPA | Mission travel | 10,000 |
| | Module selection, outlining, preparation | Consultant on modules | x | x | x | UNDP | UNDP | Travel | 120,000 |
| | | | | | | | | Speakers | |
| | | | | | | | | Venue | |
| | | | | | | | | Materials | |
| | Web-based learning begins and continues through life of programme | | x | x | x | SEPA/UNDP | SEPA | Translation | 20,000 |
| | | | | | | | | Staff time | |
| | Web-based learning begins and continues through life of programme | | x | x | x | SEPA | SEPA | Staff time | 15,000 |
| Consultancy | | | | | | | | | |
| Web-based learning begins and continues through life of programme | | x | x | x | SEPA/UNDP | SEPA | Staff time | 95,000 | |
| | | | | | | | Translation | | |

| | | | | | | | | | |
|---|---|---|--|--|---|-----------|------|--------------------------------------|---------|
| <ul style="list-style-type: none"> Number of country offices who request information about application of the RoLPA Toolkit adaptation to mining sector environmental governance and for whom the information is presented (Baseline: 0) | Workshop on experiences in applying RoLPA methodology in mining sector environmental public administration | | | | x | UNDP/SEPA | UNDP | Mission travel, other workshop costs | 25,000 |
| <ul style="list-style-type: none"> Number of documented examples of application of disseminated materials by participating countries (Baseline: 0) | Surveys of existing literature on mining sector env public administration and human rights based env public administration to identify gaps | x | | | | SEPA/UNDP | UNDP | Consultancy | 7,500 |
| | Consultant hired and research is conducted | x | | | x | UNDP | UNDP | Consultancy plus fieldwork | 30,000 |
| | Publication and dissemination | | | | x | UNDP | UNDP | Printing, translation, workshop | 20,000 |
| | Decide on topic for second KP | | | | x | UNDP/SEPA | UNDP | | |
| | Draft TOR, recruit consultant, start research | | | | x | UNDP | UNDP | Consultancy | 20,000 |
| | Cross-cutting activity management | x | | | x | UNDP/SEPA | UNDP | Programme Manager | 175,000 |
| | | | | | | | SEPA | Staff on loan | 150,000 |
| | | | | | | | | UNDP | 492,500 |
| | | | | | | | | SEPA | 397,500 |
| | | | | | | | | TOTAL | 890,000 |

| EXPECTED OUTPUTS | PLANNED ACTIVITIES | 2016 | | | | RESPONSIBLE PARTY | PLANNED BUDGET | | |
|---|--|------|-----|-----|-----|-------------------|----------------|--------------------|---------------|
| | | Q 1 | Q 2 | Q 3 | Q 4 | | Funding Source | Budget Description | Amount |
| | | | | | | | | | |
| Output 3: The foundation for a long-term, sustainable partnership on environmental governance between Swedish EPA, UNDP and other relevant organisations is in place. Indicators (with baselines) | | | | | | | | | |
| <ul style="list-style-type: none"> Indicators (with baseline) End date of programme is extended (Baseline: 2018) Number of additional organizations/institutions who have participated in programme activities (Baseline: 0) Number of additional partners supporting expansion/extension of programme work (Baseline: 0) | A programme advisory group is established with representatives of other intl organizations; World Bank, UNEP, others | x | | | | UNDP/SEPA | UNDP | Travel | 10,000 |
| | Representatives of other institutions are invited to participate in programme events | | x | | x | UNDP/SEPA | UNDP | Staff time | 10,000 |
| | Cross-cutting management activities | x | x | | x | | UNDP | Programme manager | 20,000 |
| | | | | | | UNDP/SEPA | SEPA | SEPA staff on loan | 15,000 |
| | | | | | | | | Other staff time | 15,000 |
| | | | | | | | | UNDP | 40,000 |
| | | | | | | | | SEPA | 40,000 |
| | | | | | | | | TOTAL | 80,000 |

V MANAGEMENT ARRANGEMENTS

Building on the collaboration established during Phase 1, management of Phase 2 will be a joint effort of UNDP and SEPA. Staff from each organization will be actively engaged in programme planning, execution and monitoring, including the assignment of a SEPA environmental public administration expert to work in UNDP headquarters. UNDP staff from both the Sustainable Development Cluster and Governance and Peacebuilding Cluster will have important roles including in providing inputs and guidance into all aspects of the programme.

A Programme Board will be established including senior management of SEPA and of UNDP's Governance and Peacebuilding and Sustainable Development Clusters, UNDP Regional Bureau for Africa, Asia-Pacific, and Latin America and Caribbean, and a Quality Assurance officer. The Board will meet formally once a year but will also maintain communications throughout the year, supported by a core Technical Team of experts engaged in the programme. This core technical team, consisting of focal points from both UNDP clusters and the SEPA staff member on mission in New York will have primary responsibility for day-to-day management of the programme. There are other UNDP HQ, regional hub and country office staff as well as other SEPA staff who will be actively engaged in programme activities.

A full-time UNDP programme manager will be hired to be based with the two Clusters in New York. The manager will report to both the director of the Sustainable Development Cluster and the Director of the Governance and Peacebuilding Cluster. A SEPA programme manager, based in Sweden, will also be assigned to this work.

UNDP HQ, regional advisors, and country office staff will dedicate time to the collaboration. Staff from both UNDP and SEPA will work together and perform joint missions and jointly contribute to the development of the support packages as well as in providing and facilitating the support. Throughout project execution, entry points for the use of Swedish experts in both country and global activities will be planned. Support for translation and technical backstopping in the Latin America and Caribbean region will be provided in the form of a United Nations Volunteer who will work at the Regional Centre to support smooth implementation of work in that region.

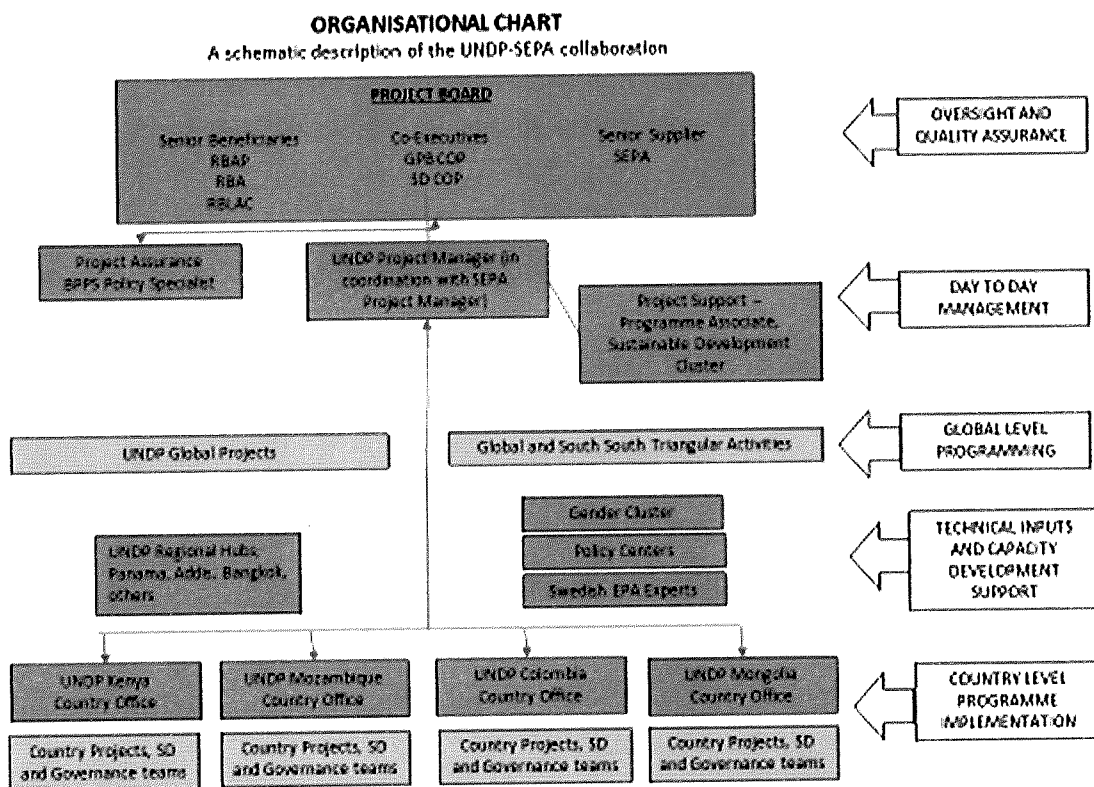
The Swedish EPA will provide a project manager, one EPA expert on mission assigned to UNDP HQ, and the services of several EPA experts to the collaboration. Where appropriate they will also

provide the services of staff from regional and local administrations. The EPA expert on mission will be 100% devoted to this collaboration and devote at least 50% of the time to regional and national level support. She or he will provide substantive content and expertise regarding environmental public administration and institutional performance, derived from the experience and understanding of working at a national environmental government agency.

Work in the four selected countries will be linked to ongoing UNDP projects in by adding environmental governance activities to their work, while also linking to other global programmes on mining and relevant themes. The exact arrangements for these linkages and for country level management will be decided in further consultations with the country offices, and confirmed at the programme inception meeting in October. It is expected that programme teams will be established in each country involving representatives of key counterparts, including Ministries of Environment, Mining, Environmental Protection Agencies and key civil society stakeholders. The key role of country office programme staff in this work is fully recognized, and communications with them and support to them will be a priority in programme management.

The four selected countries all have different national languages, meaning that full preparations will be needed to ensure that language differences are not an obstacle to programme achievements. Use of English in Kenya will not be a problem. In Mongolia English has also become the most important working language in donor programmes, with translation into Mongolian provided as needed, especially in working at subnational levels. In Colombia and Mozambique materials and trainings will need to be presented in Spanish and Portuguese, respectively. SEPA and UNDP both have experts who are fluent in Spanish and Portuguese who will be involved in this work as much as possible. But more importantly funds have been budgeted for translation and interpretation services in several ways; a) UNDP has a line item for translation of all important project documents; b) the UNV who will support this programme's work from the UNDP Regional Bureau for Latin America and the Caribbean will have Spanish translation/interpretation as one of their key responsibilities, including the facilitation of online learning and preparation of Spanish language materials; c) UNDP Country Offices who are implementing the programme deal with this issue often in their work, and have highly experienced staff who can provide translation support, as well as access to top quality local professional translation services.

Figure 5.1: Organisational Chart



Indicative institutional set-up of the UNDP-SEPA collaboration at the global and national level

Below follows an indicative description of the institutional set-up of the UNDP-SEPA collaboration.

Global level

At the global level, activities will include attention to several areas of project support and reporting, including the list below. These tasks will be divided between staff at the global level, i.e. the SEPA project manager, the UNDP project manager, the SEPA expert on mission and the joint working group and the staff members it consists of. The division of labour must be discussed and decided among the team members to ensure the most efficient programme delivery. Please note that the

list below is indicative. The SEPA expert on mission will be part of the multi-disciplinary joint working group at UNDP HQ.

- a) The Project Board will provide overall managerial coordination and substantive guidance throughout the programme execution and engage on strategic reviews, advise on major implementation decisions, annual work plans and the findings of monitoring and evaluation reports.
- b) Coordination between SEPA and UNDP to establish annual work plans and have them approved by programme officers and linking to results at the country, regional and global level.
- c) Lead on and contribute to initial scoping missions and stakeholder consultations.
- d) Lead on the development of the Teamworks collaboration platform.
- e) Lead on the development of Interactive Learning Management and Monitoring and Evaluation methods and mechanisms.
- f) Monitoring and evaluation of programme components.
- g) Reporting results to SEPA, UNDP and SIDA.
- h) Lead on the development of new or updating/adaptation of existing knowledge products, discussion papers or guidance document.
- i) Lead on and coordinate the development and implementation of the programme communication strategy.
- j) Undertake knowledge management functions and ensure that cross regional and country experiences are shared more broadly.
- k) Link with other global programmes and parts of UNDP to increase synergies and maximise outputs and outcomes.
- l) Ensure alignment with global, regional and national programmes.
- m) Link with SEPA national and international collaboration of relevance to increase synergies.
- n) Lead in the dialogue with possible additional partners and formalizing agreements.
- o) Lead in the development of the strategy for the continued support to countries.
- p) Create a positive, dynamic, functional and collaborative working environment among staff in this sub programme and share the culture and experiences with participants, new partner organisations and within UNDP and SEPA.

National level

Most activities of this programme will be implemented at the country level with support from UNDP Headquarters, SEPA and UNDP Country Offices. Funds are allocated for country level activities in the part of the budget that will be transferred to UNDP. These activities will include the following:

- a) SEPA and UNDP staff will provide support to partner administrations and where necessary also their stakeholders.
- b) Country Offices in participating countries will provide information on country demand for services.
- c) Country Offices in selected countries will contribute to the assessments and consultations with participating organisations and also share information regarding related on-going work, processes or reports of relevance.
- d) Based on these assessments and consultations Country Offices will be actively engaged in the design and delivery of training, technical assistance and other activities in their countries.
- e) Country Offices will assist with hiring and overseeing national consultants and translators as needed to implement the Rule of Law in Public Administration toolkit and other activities.
- f) Country Offices will receive support on environmental governance from this subprogramme to deliver on agreed priorities.
- g) Country Offices will arrange and actively participate in activities such as meetings, support package consultations, and stakeholder dialogues as appropriate, needed and agreed.
- h) Country Offices will arrange and participate in the collaboration and learning-sharing activities at the national level and between other countries participating in the collaboration as appropriate, needed and agreed.
- i) Country Office staff will participate in communication events as appropriate and possible.
- j) Country Offices in participating countries will support the monitoring and evaluation of project results. They will also provide feedback on how they perceive the support and the collaboration to enable improvements.

VI MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle:

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events
- the team will explore ways to utilize the internal programme website to track and report results at national and global levels, facilitating information sharing and monitoring between BPPS, SEPA, and UNDP teams in national country offices and regional centers.

Annually

- Annual Review Report. An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- Annual Project Review. Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last

year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes. Mid-term and Final Evaluations will be replaced by an innovative “Interactive learning evaluation” contract signed by SEPA with experts from Lund University in Sweden. The experts will develop evaluation techniques and short feedback loops to assess the perceived usefulness of activities by programme stakeholders, the timeliness, relevance and quality of activities, stakeholders’ application of knowledge, skills and tools introduced on the programme in their work and the integration of human rights principles in environmental public administration.

VII LEGAL CONTEXT

FOR UNDP IMPLEMENTATION (DIM):

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 SBAAAs for the specific countries; or (ii) in the Supplemental Provisions 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.

This project will be implemented by UNDP in accordance with its financial regulations, rules, practices and procedures.

To ensure its responsibility for the safety and security of the UNDP personnel and property, UNDP shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to UNDP’s security, and the full implementation of the security plan.

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

United Nations Development Programme

Global Project Document – Annex 1

Project Title: Environmental Governance for Sustainable Natural Resource Management

Table of planned activities in four programme countries as of April, 2016*

| Country | Planned Activities, As Prepared by Country Offices in Consultation with Counterparts and BPPS |
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| Mongolia | <p>The Mongolia CO has prepared the following workplan based on discussions with a mission from headquarters and with key national counterparts, including the Ministry of Mining, the Ministry of Environment, Green Development and Tourism and the Cabinet Secretariat. The CO is now overseeing implementation.</p> <ol style="list-style-type: none">1. Assessment and capacity building in mining sector environmental governance in National Human Rights Commission2. RoLPA Toolkit assessments in counties to be selected in two provinces with diverse mining activities, focusing on rule of law and human rights issues that arise during the EIA, mine permitting and monitoring processes, with recommendations for next programme activities, in partnership with Ministry of Mining and Ministry of Environment, Green Development and Tourism, and with the Cabinet Secretariat's office in charge of local government.3. The project's activities are being coordinated with the PEI Responsible Mining Project and with the GEF Mongolia, Land Degradation Offset and Mitigation in Western Mongolia Project. |
| Kenya | <p>The Kenya CO has prepared the following workplan, building on the recently concluded Extractive Industries for Sustainable Development project and based on discussions with a mission from headquarters and with counterparts including the National Environmental Management Authority, the Ministry of Mining and the Kenya National Human Rights Commission. The CO is now overseeing implementation together with a newly established Project Steering Committee.</p> <ol style="list-style-type: none">1. Conduct a national community-based Strategic and Environmental Assessment of the mining sector in partnership with the National Environmental Management Authority and other counterparts, focusing on the programme's core issues of rule of law, community engagement/consultation and other governance dimensions, with recommendations for government and future programme actions.2. Peer-to-Peer knowledge exchanges with SEPA experts on planning for closure, community engagement in mine permitting and monitoring, others. |

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| Mozambique | <p>The Mozambique CO has prepared the following workplan, linking the EGP work to the ongoing Extractive Industries for Sustainable Development project and based on discussions with a mission from headquarters and with key national counterparts in the Ministry of Land Resources, Environment and Rural Development, and the Ministry of Mineral Resources and Energy. The CO is now overseeing implementation.</p> <ol style="list-style-type: none"> 1. RoLPA Toolkit assessments in two provinces with heavy mining activities, focusing on rule of law and human rights issues around EIAs, mine permitting and monitoring, in partnership with Environment and mining ministries, with recommendations for follow-up programme activities. 2. Peer-to-Peer knowledge exchanges with SEPA experts on valuation of biodiversity, planning for closure and other topics. |
| Colombia | <p>The Colombia CO has proposed the following workplan based on discussions with key national counterparts and planning close links to the new GEF project “Conservation of Biodiversity in Landscapes Impacted by Mining in the Chocó Biogeographic Region”. A mission from headquarters will visit Colombia shortly to engage in further discussions with the CO and with counterparts. After the CO and counterparts have agreed on a full workplan the CO will oversee implementation.</p> <ol style="list-style-type: none"> 1. RoLPA Toolit assessments in the Chocó region, in partnership with mining and environment ministries |