

# Midterm Review

## Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Artisanal and Small Scale Gold Mining (ASGM)

UNDP PIMS 5627/ GEF PID 9288



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Implementing partner: United Nations Development Programme

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## Acronyms and Abbreviations

ACT	Amazon Conservation Team
AGC	Artisan Gold Council
ARM	Alliance for Responsible mining
ASGM	Artisanal Small scale Gold mining
ASM	Artisanal small-scale mining
CDR	Combined Delivery Report
CI	Conservation International
CO <sub>2</sub>	Carbon dioxide (chemical symbol)
CTA	Chief Technical Advisor
EMSAGS	Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Artisanal and Small-Scale Gold Mining
EoI	Expression of Interest
ERM	Environmentally responsible mining
FCPF	Forest Carbon Partnership Facility
FPIC	Free, Prior and Informed Consent
FSP	Full Sized Project
GEF	Global Environment Facility
GHG	Greenhouse gas emissions
GMD	Geology and Mining Department ( <i>Geologisch Mijnbouwkundige Dienst</i> )
GoS	Government of Suriname
GSB	Greenstone Belt
IMAC	Inter-Ministerial Advice Commission
INDC	Intended Nationally Determined Contribution
kg	kilogram
m	meter
M&E	Monitoring and Evaluation
MNR	Ministry of Natural Resources
MS&E	Ministry of Spatial Planning and Environment
MRO	Ministry for Regional Development
MTEC	Mining Training and Extension Center
MTR	Mid-Term Review
MZ	Medical Mission Primary Health Care Suriname ( <i>Medische Zending</i> )
NGO	Non-Governmental Organisation
NIMOS	National Institute for Environment and Development in Suriname ( <i>Nationaal Instituut voor Milieu en Ontwikkeling in Suriname</i> )
NMA	National Environmental Authority ( <i>Nationale Milieu Autoriteit</i> )
OGS	Commission for the Regulation of the Gold Sector ( <i>Ordering Goudsector</i> )
PIR	Project Implementation Report
PMU	Project Management Unit
ProDoc	Project Document

REDD+	Reducing Emissions from Deforestation and forest Degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.
ROAR	Results-Oriented Annual Reporting
RTA	Regional Technical Advisor (UNDP)
SBB	Foundation for Forest Management and Production Control ( <i>Stichting Bosbeheeren Bostoezicht</i> )
SCF	Suriname Conservation Foundation
SEMIF	Suriname Environmental and Mining Foundation
SGMT	School of Geology and Mining Technology
TE	Terminal Evaluation
ToR	Terms of Reference
UN	United Nations
UNASAT	University of Applied Sciences and Technology
UNDP	United Nations Development Program
UNFPA	United Nations Population Fund
UNMSDF	United Nations Multi-country Sustainable Development Framework for the Caribbean
US\$	United States dollar
WWF	World Wildlife Fund

# 1 Executive Summary

## 1.1 Project Information Table

Project Title	Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Artisanal and Small Scale Gold Mining (ASGM)		
UNDP Project ID (PIMS #):	5627	PIF Approval Date:	June 9, 2016
GEF Project ID (PMIS #):	9288	CEO Endorsement Date:	February 16, 2018
Country:	Suriname	ProDoc Signature Date:	May 24, 2018
Region:	LAC	Date project manager hired:	April 2019, but resigned after app. 3 months
Focal Area:	Multi-focal area: Biodiversity, Climate Change and Land Degradation	Inception Workshop date:	May 14, 2019
GEF Focal Area Strategic Objective	<p><i>Biodiversity-BD-4:</i> Mainstream biodiversity conservation and sustainable use into production landscapes/seascapes and sectors Program 9: Managing the human-biodiversity interface.</p> <p><i>Climate Change Mitigation-CCM-2:</i> Demonstrate systemic impacts of mitigation options Program 4: Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture.</p> <p><i>Sustainable Forest Management SFM-1:</i> Maintained Forest Resources: Reduce the pressures on high conservation value forests by addressing the drivers of deforestation</p>	Midterm Review Date	December 8, 2021
Trust Fund	GEF 6	Planned closing date:	May 24, 2025 (estimated)
Executing Agency/Implementing Partner	Ministry of Natural Resources (MNR) with the National Institute for Environment and Development in Suriname (NIMOS) (responsible party) / UNDP		
Other execution partners	<ul style="list-style-type: none"> <li>- Ministry of Finance,</li> <li>- Geological Mining Service of the Ministry of Natural Resources (GMD),</li> <li>- the Bauxite Institute and the Presidential Commission to Regulate the Gold Mining Sector (OGS),</li> <li>- WWF Guianas,</li> <li>- MZ Medical Mission – Primary Health Care Suriname,</li> <li>- Tulane University, School of Public Health and Tropical Medicine, Suriname Environment and Mining Foundation (SEMIF),</li> </ul>		

Project Title	Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Artisanal and Small Scale Gold Mining (ASGM)	
Project Financing	- Grassalco Mining co, Newmont Mines,	
	- Rosebel Gold Mines	
	At CEO endorsement	At Midterm Review (US\$)
	(US\$)	
[1] GEF Financing:	7,589,041	446,902
[2] UNDP contribution:	1,000,000	
[3] Government:	8,400,000	
[4] Other partners:	13,732,000	
[5] Total co-financing	22,132,000	
[2+3+4]:		
Project Total Costs [1+5]	29,721,041	446,902

Table 1: information table

## 1.2 Project Description (brief)

1. Since the mid-20th century, oil and the extraction of gold and bauxite have been the country's main economic drivers. As the owner of all subsurface resources and the main authority responsible for legal development and control in Suriname, the Government of Suriname (GoS) is a major player in any project focusing on small-scale artisanal mining (ASM). Suriname's gold mining sector is comprised of both large-scale mining operations (LSM) and artisanal and small-scale mining operations (ASM).

2. Despite governmental efforts, Suriname's forests are significantly threatened by growth in extractive industries, in particular gold mining. Although small-scale gold mining is considered a vital sector to the national economy and seems to bring relatively secure and high revenue compared to other rural livelihoods, it is still largely unregulated and practiced using artisanal techniques that lead to significant environmental and social impacts.

3. The GEF financed project seeks to improve the environmental management of mining in Suriname, particularly small-scale gold mining, which is the largest driver of deforestation in the country and contributes to biodiversity loss (through habitat degradation and pollution), climate change (through deforestation) and unsustainable land, water, and forest management.

4. The project addresses policy and institutional constraints to improved management of ASGM as a sector as well as to create an enabling environment for the dissemination of environmentally responsible mining practices. To do so, the project works at the policy level under outcome 1 on institutional capacity, inter-institutional coordination and increasing available funding for improved management of ASGM and outcome 2 policy and planning framework for the management of the environmental impacts of ASGM mining strengthened. At demonstration project site level under outcome 3, aim at increasing the uptake of environmentally responsible artisanal small-scale gold mining practices. This will demonstrate the environmental and economic benefits of environmentally responsible mining practices (ERMPs) and technologies. The model proposed is one that relies on the identification of benefits for miners that arise from the application of ERMPs, including social and economic benefits, as well as the design of a system of national level financial, fiscal and regulatory incentives to help re-orient the market towards more responsibly sourced gold. Based on the lessons learned from this model, the project will implement an upscaling strategy that will include knowledge sharing at local and national level, as well as with neighbouring countries (Outcome 4). The knowledge

sharing will also benefit the design of policies and implementation of demonstration sites. All four components are implemented by national implementation partners in close coordination with other government stakeholders, civil society as well as with miners themselves.

### 1.3 Project Progress Summary

5. The project is significantly off track. No real progress on any outcome can be found, except for some initial work on the MTECS. The project still faces serious delays in initiating the main project activities even if 3 years already passed. Cumulative financial delivery and timing of key implementation milestones are severely off track.

6. For Outcome 1, "Institutional capacity, inter-institutional coordination and availability of funding increased for improved management of ASGM" the only progress is represented by in the purchase of computer hardware and software for improved near real-time GIS monitoring of mining areas, which has been handed over to the Geological Mining Department (GMD) of Suriname. The foreseen training sessions for institutions have not taken place and there have not been any advances in identifying funding opportunities to support upscaling of ERM practices.

7. The Outcome 2, "Policy and planning framework for the management of the environmental impacts of ASGM mining strengthened" did not record any significant progress except a limited support towards finalization of Suriname National Action Plan for ASGM in response to Minamata Convention. The PB decided that World Bank loans should be now used to carry out the activities foreseen for this outcome that include gender-sensitive policies, guidelines for the responsible management of gold mining and for sustainable forest management and a Responsible Mining Strategy and Action Plan to guide the sustainable development of the ASGM sector. However, discussions are still in progress and it is not clear what remains under the project and GEF funding. It should be agreed if it is the case to propose a budget shift between the project activities, if these budgetary changes will need to adhere to UNDP/GEF guidelines.

8. For the Outcome 3 "Uptake of environmentally-responsible artisanal small-scale gold mining practices increased" there have been significant delays in institutional decision making between MNR and NIMOS on the location of the MTECs. Two locations were finally agreed upon but no actual MTEC has been set up yet. Because of COVID-19 restrictions, no site visits took place as well as consultations with local stakeholders before December 2021 when a first field visit has been undertaken from December 16-19 in the Brokopondo district. New field visits are now planned at beginning of 2022 to gather baseline data, consult with local stakeholders and take exploration samples to ensure that the gold is of sufficient quantity to be of interest to an operation to mine. A list for equipment to be acquired for the MTEC's has been prepared. The Chief Technical Advisor (CTA) is based in Canada and he was not able to go to the field. This Outcome includes one of the main projects results and there is the need to greatly accelerate the implementation of activities, and it requires strong commitment of the key government counterparts.

9. No results can be seen also for Outcome 4, "Knowledge availability and sharing increased at the national and regional scale on environmentally responsible ASGM". The communications firm still



needs to start working on communications and knowledge products. The study tour on environmentally friendly mining sites in French Guiana was not yet organized and it should be scheduled for beginning of next year if COVID-19 will allow for it.

10. The project's Stakeholders Platform, will be re-launched soon after more than one year of inoperability. A new invitation letter has been sent to all the stakeholders included in the platform.

11. If the project will not be able to reduce the delays accumulated so far, there is a high risk that the project will not be able to achieve all its proposed targets and objectives at the time of its scheduled closure.

12. However, if the field activities will be continued in January involving local beneficiaries, and all the other activities will be speeded up once the PMU will be fully operation and supported by all the external consultant, almost all the objectives could be reached.

It has to be noted that it is not easy to engage external consultants with proper skills and competencies. For different calls for Expression of Interest (Eoi) no proposals were received.

13. A request for project extension can facilitate to finalize the project and meet the expected results however, basically the UNDP rules say that extensions are not permitted except when force majeure occurs. 12 month extensions could be permitted with strong justifications due to the COVID-19 Pandemic and source for funding to cover cost of project extension, but it is not sure this will be enough since the project is significantly behind schedule.

#### 1.4 MTR Ratings & Achievement Summary Table

Measure	MTR Rating	Achievement Summary
Project Strategy	Satisfactory (S)	The project strategy was formulated in line of the UNMSDF (2016 – 2021), the project is also aligned with the UNDP country document 2016 - 2021 and is complemented by the SDG joint program with the UN and the GoS, where ASGM is included. The project is also coherent with the UNDP country document 2022 - 2026 and the UNMCSDF (United Nations Multi Country Sustainable Development Framework) previous UNDAF, is also included for the period 2022-2026 that MNR is a critical part including looking at the ASGM. Gender mainstreaming was featured in the project strategy and results framework. Strengthening the socio-ecological resilience of local miners and communities is integrated into the project strategy, i.e., having a focus on capacitating small-scale miners in adopting environment friendly practices.
Progress towards Outcome 1 Results	Unsatisfactory (U)	<i>Outcome 1, Institutional capacity, inter-institutional coordination and availability of funding increased for improved management of ASGM.</i> Computer hardware and software for improved near real-time GIS monitoring of mining areas have been handed over to the Geological Mining Department (GMD) of Suriname. The ERM expert have started to work on the capacity assessment of the institutions targeted by the training activities but the foreseen training sessions for institutions have not taken place and there

Measure		MTR Rating	Achievement Summary
Project Implementation & Adaptive Management	Outcome 2		have not been any advances in identifying funding opportunities to support upscaling of ERM practices.
		Highly Unsatisfactory (HU)	<i>Outcome 2, Policy and planning framework for the management of the environmental impacts of ASGM mining strengthened.</i> Outcome 2 did not record any progress. Discussions are still in progress with WB and it is not clear what activities would be carried out by the project with GEF funding versus the World Bank initiative.
	Outcome 3	Highly Unsatisfactory (HU)	<i>Outcome 3 Uptake of environmentally-responsible artisanal small-scale gold mining practices increased.</i> There have been significant delays in institutional decision making between MNR and NIMOS on the location of the MTECs. Two locations were finally agreed upon but no actual MTEC has been set up yet. Because of COVID restrictions, the first site visit took place only in December 2021 and consultations with local stakeholders have been postponed. New field visits are now planned at beginning of 2022.
	Outcome 4	Highly Unsatisfactory (HU)	<i>Outcome 4, "Knowledge availability and sharing increased at the national and regional scale on environmentally responsible ASGM".</i> Outcome 4 did not reach any result. The communications firm still needs to start working on communications and knowledge products. The study tour on environmentally friendly mining sites in French Guiana was not yet organized and it should be scheduled for beginning of next year if COVID-19 will allow for it. The project's Stakeholders Platform, will be re-launched soon.
	Sustainability	Unlikely (U)	<u>Institutional:</u> After the General Elections the project was faced with a slowdown. Project activities should be mainstreamed into the operations and programmes and the MNR should lend effort in this regard. The Project has not yet a clearly-articulated and financed long term sustainability plan, with well-defined roles and responsibilities. <u>Environmental:</u> If the project will succeed in implementing the MTECs, its environmental sustainability is clear. So far, the project was not yet able to meet its environmental objectives. <u>Financial:</u> Discussions took place but no agreements have been already signed with banks, financial institution or donors to ensure the project financial sustainability. <u>Socio-economic:</u> The COVID-19 pandemic has had significant socioeconomic consequences, and the uncertainty regarding the duration and possible recurrence of the crisis compound the problem. The final beneficiaries participation has still to be proven.

Table 2: Ratings &amp; Achievement Summary

## 1.5 Concise summary of conclusions

14. Because of the COVID-19 pandemic, travel to the country has been restricted therefore, the MTR team developed a methodology that took into account the need to conduct the MTR virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, and evaluation questionnaires.

The international consultant worked remotely with national evaluator support in the field, also holding one-on-one meetings with local stakeholders.

15. Due to its largely unregulated and uncontrolled nature, mining, and in particular small- and medium-scale gold mining, is causing significant negative environmental impacts on forests, freshwater, fauna, as well as social and health impacts caused by mercury exposure.

16. The project objective is to improve the management of artisanal and small-scale gold mining in Suriname (ASGM) and promote uptake of environmentally responsible mining technologies to reduce the negative effects on biodiversity, forests, water, and local communities, while also reducing greenhouse gas emissions.

17. The project builds on lessons learned from past initiatives, and successful experiences from the other UNDP-GEF projects.

18. It relies on the participation of a broad spectrum of stakeholders from government, civil society, academia and local communities.

19. The project is still relevant and in line with national policy and objectives, as it will enable Suriname to reach national goals and commitments the country has made internationally. The project is also very relevant from the perspective of national development priorities, such as the climate change and forest agenda, considering that mining activities are not only related to forest management, but also to other activities that are fundamental for the country's economy.

20. Some risks related to the management and administrative aspects have been underestimated and were the cause of delays and difficulties, i.e. difficulties in the recruitment of the project manager and the Project Management Unit (PMU) staff, the impact of COVID-19 on international experts' activities and contact with final beneficiaries.

21. All the institutional stakeholders suffer from a lack of sufficient qualified human resources and equipment. The Ministry of SP&E has only been limitedly involved in the project activities supporting MNR. The PMU is not yet fully staffed, a full-time project manager will start to work on January 2022.

22. These occurrences show that adaptive management has not really materialized, they affected the project implementation and changes have not been introduced to avoid or reduce their impacts on the project activities and outputs. The current organization structure needs to be adapted to the needs of the next phase of the project implementation.

23. The project is significantly off track. No real progress on any outcome can be found, except for some initial work on the Mining Training and Extension Centers (MTECs). The project still faces serious delays in initiating the main project activities even though 3 years have already passed.

24. The project was not yet able to demonstrate effectiveness. No objectives have been reached so far.

25. Concerning efficiency, only about 6% of the GEF funds were executed, which is indicative of the project being severely behind. This very poor execution of resources resulted in very few outcomes and outputs achieved by the project, which is very concerning considering that the project is supposed to end in April 2025.

26. From the technical point of view the EMSAGS implementation process is a particularly complex because it requires to combine very technical elements with policy, strategic and development objectives while encountering the structural problems of mining and local economy. However, the PMU team has not yet created all the technical capacities in its personnel or in the respective institutions, therefore the next semester is key to ensure Suriname will benefit completely from the project technical results.

27. The small miners are eager to learn the environmental mining techniques mainly because they understand that the yield is much higher than when using their own mining methods. Sites visits and local beneficiaries discussions have not yet been carried out with the exception of the one in the Brokopondo district, but they are key for the project effectiveness.

28. The COVID-19 pandemic significantly affected the country and the project causing delays in its implementation.

29. A high political engagement is still missing, the Project needs to focus to reach all branches of government and engage them in the discussion of the ASGM strategy in line with the Development Strategy 2035.

30. If the project will not be able to reduce the delays accumulated so far, there is a high risk that the project will not be able to achieve all its proposed targets and objectives at the time of its scheduled closure.

31. However, if the field activities started in December will continue in January involving local beneficiaries, and all the other activities are sped up once the PMU will be fully operation and supported by all the external consultant, almost all the objectives could be reached.

## 1.6 Recommendation Summary Table

The following table sums up the recommendations that can be found in more detail in the last chapter of the report.

No.	Recommendation	Responsibility
	<b>Management actions</b>	
1	Ensure enhanced PMU functioning and operations with the full-time project coordinator and engagement specialist onboard by completing PMU staffing and ensuring clear decision-making processes are in place.	NIMOS, PMU
2	Implement Adaptive project management and acceleration actions, including adjustment of implementation schedule, composition, time and compensation of the technical experts and specialist taking into account COVID-19 and in line with GEF policies to get the project back on track.	PMU
3	Involve more the Ministry of SP&E in the project activities supporting MNR. Cooperation between the two ministries was not always efficient enough. It is important to get both ministers to actively work on the project, to show that at the highest level the government is engaged.	NIMOS, PMU, MNR, UNDP
4	Introduce corrective actions to make the recruitment and procurement processes more effective and successful. In order to attract candidates, incentives (i.e. attractive salary) can be foreseen.	NIMOS, PMU
5	Improve the procurement process and strategy, e.g. implementing a contract management platform to make project planning, vendor management, bid management and negotiation much simpler; to proper manage budget, workflow, and production timelines and keep everything aligned with project objectives.	NIMOS, PMU
6	Set a multi-layered Monitoring and Evaluation (M&E) implementation which involves several government departments, and local and international partner agencies and consultants working together to prepare baseline assessments, deliver technical monitoring reports, and conduct regular monitoring. M&E should form an essential part of the operational approach of the ministries and national agencies also for monitoring and reporting on co-financing.	NIMOS, PMU, MS&E
	<b>Operational aspects</b>	
7	Put in place operational guidelines in terms of timeline and decision making for a proper implementation of activities. These guidelines should define clear responsibilities and deadlines to approve decisions and deliver responses and documents.	NIMOS, PMU
8	The UNDP Country Office needs to enhance the project oversight on bi-monthly or quarterly basis to support implementation acceleration. It is a very high-risk project in the sense of its underperformance, and UNDP has to keep the pressure also on a governmental level.	UNDP
9	Project implementation activities should not only focus activities on the outcomes related to the MTECs (Outcome 3), rather also include work under the other outcomes, including analysis and realization of synergies and complementarity between the World Bank Suriname Competitiveness and Sector Diversification (SCSD) project and this project and what this project will need to advance under Outcome 2.	NIMOS
10	Facilitate cooperation of Chief Technical Advisor (CTA) and Environmentally responsible mining (ERM) experts with local team of consultants together with MNR staff to continue and finalize field work as preparations for establishing MTECS.	NIMOS, PMU, MNR
11	Initiate actions to re-establish the stakeholder platform and ensure the full cooperation of all the project actors as soon as possible, however not later than 2 months of MTR report.	NIMOS
12	Set up of MTECs should not only be in areas where there are tailings, operationalization per project document should also be given to demonstration of full mine life cycle, without supporting expansion of ASGM locations.	NIMOS, PMU, UNDP
	<b>Implementations aspects</b>	
13	Ensure the effectiveness of local mining environmental activities, it is vital to introduce a stronger coordination between the EMSAGS implementing partners and the local governments. It will also allow making sure final beneficiaries owns the project results.	NIMOS, PMU, MNR
14	Organize other visits to the pilot sites areas by end of January 2022, to select and ensure the execution of alternative technologies for responsible mining pilot interventions and create more involvement with miners.	NIMOS, PMU
15	Start implementation activities at the 2 sites as agreed within the PB and initiate activities at the third site at a later stage, benefiting from the experience of the first two sites.	NIMOS

**Table 3: Recommendations table**

## 2 Introduction

### 2.1 Purpose of the MTR and Objectives

32. The MTR assesses progress towards the achievement of the project objectives and outcomes as specified in the Project Document and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR also reviewed the project's strategy and its risks to sustainability.

33. The main objective of the MTR is to evaluate the project's performance (efficiency, effectiveness, sustainability, relevance and impact criteria) and the factors affecting it and propose recommendations to improve it.

34. The GEF Operational Focal Point and other stakeholders have been involved and consulted during the Mid-Term Review process. Additional quality assurance support has been available from the UNDP-GEF Directorate. The final MTR report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser and approved by the Project Board.

35. The evaluation team is composed by an international expert (Mr. Guido Mattei) and a national expert (Ms. Ria Jharap). The consultants hired to undertake the assignment are independent from organizations that were involved in designing, executing or advising on the project to be evaluated.

### 2.2 Scope & Methodology

36. The Mid-Term Review should not be seen as an event but as part of an exercise whereby different stakeholders are able to participate in the continuous process of generating and applying evaluative knowledge.

37. An overall approach and method<sup>1</sup> for conducting project midterm reviews of UNDP supported projects developed over time. The evaluators frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported Projects.

38. A mixed qualitative and quantitative approach have been used throughout all the methodological components proposed in the ToR. The aim of the Quantitative approach is to provide information that can be the basis of answering such questions as: "How many?"; "Who was involved?"; "What were the outcomes?"; and "How much did it cost?" Quantitative data will, in this context, be collected by surveys, observation, review of existing documents and by gathering data, supplemented with interviews of key stakeholders.

The strength of the qualitative approach is that it provides contextual data to explain complex issues and complementing quantitative data by explaining the "why" and "how" behind the "what". Qualitative data have been collected through direct or participant observation, interviews, focus groups, and case studies and from documents made available. Analyses of qualitative data include examining, comparing and contrasting, and interpreting patterns.

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<sup>1</sup> For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

39. The evaluator followed a participatory and consultative approach ensuring close engagement with the project management team and government counterparts, such as the Ministry of Natural Resources, Ministry of Spatial Planning & Environment, NIMOS, UNDP country Office, mining companies and NGO's.

40. The evaluation matrix is included as Annex B and it displays for each of the evaluation criteria, the questions and sub questions that the evaluation answered, and for each question, the data that collected to inform about methods that used to collect that data. The list of final questions used by the consultants is included as Annex C.

### *2.2.1 Data collection methods*

41. Given the nature and context of the project and the UNDP evaluations at the decentralized level, including limitations of time and resources, the evaluators used a mix of primary and secondary data, including performance indicators, supplemented relevant documentary evidence from secondary sources, and qualitative data collected by a variety of means.

42. Primary data consists of information that the evaluators observed or collected directly from stakeholders about their first-hand experience with the initiative. These data consist of the reported or observed values, beliefs, attitudes, opinions, behaviours, motivations and knowledge of stakeholders, obtained through phone interviews. This method allows for more in-depth exploration and yield information that can facilitate deeper understanding of observed changes in outcomes and outputs (both intended and unintended) and the factors that contributed by filling out the operational context for outputs and outcomes.

43. Secondary data is primary data that was collected, compiled and published by someone else. Secondary data used for the MTR have many forms but mainly consists of documentary evidence that has direct relevance for the purposes of the evaluation. Sources of documentary evidence include: nationally and internationally published reports; project and programme plans; monitoring reports; country strategic plans; and other documents that may have relevance for the evaluation.

44. The evaluators reviewed all relevant sources of information, such as the project document, project reports including annual project implementation review (PIR) reports, project budget revisions, substantial and technical reports, project files, national strategic and legal documents, and all other materials that the evaluator considered useful for this evidence-based assessment

The list of the main documents used by the evaluators is included as Annex G.

45. Because of COVID-19 pandemic, travel to the country has been restricted since 16/03/20 and travel in the country is also restricted. Therefore, the MTR team have developed a methodology that takes into account the need to conduct the MTR virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, and evaluation questionnaires.

46. The international consultant worked remotely with national evaluator support in country, also making one to one meetings with local stakeholders.



47. A general evaluation of the Project performance, focused on specific criteria was suggested in the terms of reference (Annex A) and adopted by the consultants.

### 2.2.2 Structure of the evaluation process

The MTR followed the process described in the following Figure 1.

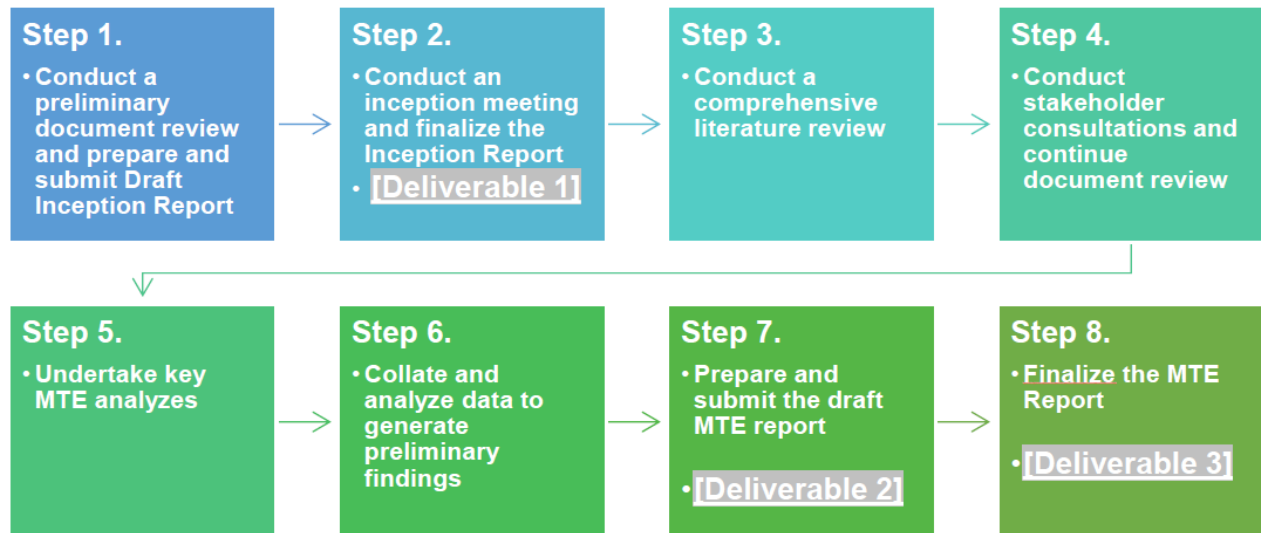


Figure 1: MTE steps and deliverables

48. An inception meeting with the PMU was used to discuss the proposed methodology prior to initiating stakeholder interviews. The meeting also sought to obtain an overall impression of project execution progress and challenges. The meeting proceedings as well as the preliminary literature review informed the development of the Inception Report (Deliverable 1) that was finalized. Steps 3 and 4 of the MTR process followed with additional document review and interviews with the range of project stakeholders (Annex 2 for the list of interviews conducted) utilizing the semi-structured interview questions (Annex 3) approved in the Inception Report. The consultations collected stakeholder feedback that were then analyzed (Step 6).

49. The MTR therefore also reviewed the progress made in spending against planned project activities and results. The information was collated and used to prepare the draft final report. The preparation of the MTR Report was constrained by some factors that affected the timely collection and analysis of data, including:

- Limitations in the ability to collect analytical data based on the delayed status of project implementation.
- The COVID-19 containment measures impacted MTR implementation where an in-field mission was not possible due to air and field travel restrictions.

## 2.3 Structure of the MTR report

50. The MTR report was prepared in accordance with the outline specified in the UNDP-GEF MTR guideline. The report starts out with a description of the project, indicating the duration, main stakeholders, and the immediate and development objectives. The findings of the evaluation are broken down into the following categories:

- Project Strategy
- Progress towards results
- Project implementation and adaptive management
- Sustainability

51. The report culminates with a summary of the conclusions reached and recommendations formulated to enhance implementation during the final period of the project implementation timeframe.

### 3 Project Description and Background Context

#### 3.1 Development context

52. Suriname is considered an upper-middle income economy<sup>2</sup> with a high human development index score<sup>3</sup>. Since 2000, the rise in international commodity prices resulted in a strong expansion of the Surinamese economy. Suriname's economy heavily depends on the primary sector: mining and agriculture. The contributions to GDP from the primary subsectors show gold and oil contributing some 30% and agriculture 12%. The tertiary or services sector, contributing 55% to the GDP, is led by trade and transport activities that are closely linked to the commodities industry (UNDP 2018).

53. Commodities account for almost 90% of export revenues and 40% of government income, making the economy vulnerable to international price volatility. A fall in international commodity prices in 2015 deteriorated the country's terms of trade, which reduced government revenues.

54. The combination of negative GDP growth, inflation and currency devaluation led to a fiscal deficit and high public debt. This has limited the ability of the GoS to invest in climate change mitigation and resiliency building and building capacity across the country to address climate change impacts. The government has adopted measures to curb the ongoing recession. Economic growth has recovered and averages 2% per annum. It is driven by foreign direct investment (FDI) and domestic private investment, particularly in gold and oil production, as well as in infrastructure development.

55. Suriname has outlined its development priorities in the Policy Development Plan 2017-2021 (Government of Suriname 2017). The Plan emphasizes the need for "diversification of our economic basis, using the many possibilities provided by our nature and at the same time protect the environment." The two most fundamental development challenges, which Suriname cannot really change are its small population and the openness of the economy

#### 3.2 Problems that the project sought to address: threats and barriers targeted

56. Suriname is the smallest sovereign state in South America with a land area of approximately 163,000 km<sup>2</sup>. It has extremely high levels of tropical rainforest cover, forming part of the Amazon river basin. It is estimated that 90% is still forested, corresponding to approximately 14.8 million hectares (Report to CBD 2012), and it is considered a 'High Forest Cover- Low Deforestation Rate' country.

57. Since 2009 gold has become the economically most important export commodity, surpassing bauxite/alumina, for which production stopped in 2015.

As the owner of all subsoil resources and main authority responsible for legal development and control in Suriname, the Government of Suriname (GoS) is a primary stakeholder in any project focused on artisanal small-scale mining (ASM).

58. The gold mining sector in Suriname is composed of both large-scale mining (LSM) operations and artisanal and small-scale mining operations (ASM). Artisanal gold mining operations

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<sup>2</sup> World Bank Country Classification.

<sup>3</sup> UNDP, "Human Development Reports", <http://hdr.undp.org/en/composite/HDI>.

(ASGM) in Suriname are highly mechanized, working with excavators and automated equipment. They are considered artisanal because those conducting the activities benefit from no formal training, the mines are characterized by poor planning and a highly informal nature.

59. Artisanal and Small-Scale Mining is posing a serious threat to the country's forests and associated biodiversity, as a result of the unplanned clearing of land for mining operations, poorly managed operations, the deleterious practices employed, and general absence of land rehabilitation. While Suriname still maintains high levels of tropical rainforest cover and the deforestation rate is still relatively low at between 0.02 and 0.07%, gold mining is contributing to higher rates of deforestation than any other activity.

60. Mining mostly takes place in Suriname's Greenstone Belt, where the majority of gold deposits are found (see Figure 2), and which is composed mainly of dryland forest. Unfortunately, due to its largely unregulated and uncontrolled nature, mining, and in particular artisanal small- and medium-scale gold mining, is causing significant negative environmental impacts on forests, freshwater, fauna, as well as social impacts.

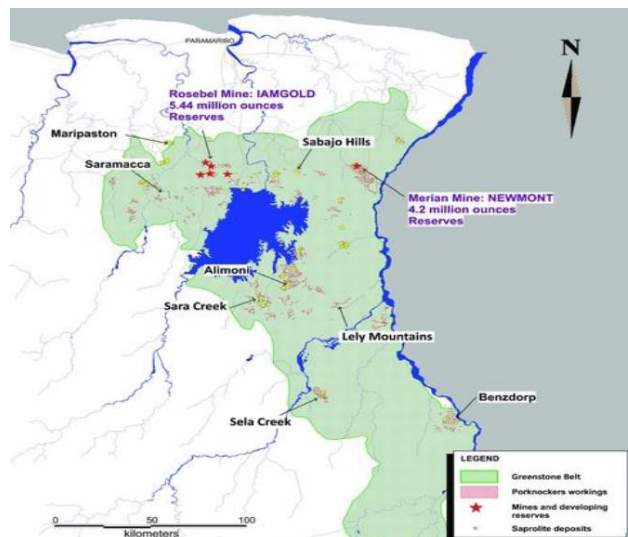


Figure 2: Map showing the Greenstone Belt

61. Significant impacts on biodiversity also arise from the high levels of mercury use among most small and medium-scale miners, with an estimated 10,000–20,000 kg entering the environment annually in Suriname. As a highly toxic heavy metal, it is linked to freshwater contamination as well as bioaccumulation in fish, among other effects.

62. The cumulative impact of many smaller tributaries on larger rivers is substantial. Many rivers and creeks that once provided water that was suitable for human consumption are now deemed unsuitable, and the fish that used to reside in them has gradually disappeared. In the dry season, when rainwater is scarce, diarrhea and other waterborne diseases, including malaria, are on the increase in ASGM areas.

63. After mining operations are over, large parts of mined areas remain bare ground, grass,

and standing water, with significant and difficult to reverse impacts on biodiversity, carbon stocks, ecosystems goods and services.

64. Although small-scale gold mining is considered a vital sector to the national economy and seems to bring relatively secure and high revenue compared to other rural livelihoods, it is still largely unregulated and practiced using artisanal techniques that lead to significant environmental and social impacts.

65. The root causes of these threats are related first and foremost to poverty in the hinterland, and the lack of viable economic alternatives in many areas apart from mining. In addition, strong economic and political interests play an important role in the growth of this sector and in the lack of sufficient controls in place. Surrounding communities in the interior do not fully understand the environmental impacts of current small-scale gold mining practices for short-term economic gain versus the long term economic value of the forest ecosystem for livelihoods

66. The use of more environmentally responsible technologies in the small-scale gold mining sector in Suriname is hindered by three main barriers, namely

- Barrier 1: the lack of institutional, technical and financial capacity of government institutions to monitor and understand impacts and to promote more environmentally responsible practices,
- Barrier 2: the weak legal and policy framework to guide and incentivize the small-scale mining sector, in particular the gold sector,
- Barrier 3: the lack of access by small-scale miners to environmentally responsible gold mining technologies and tools, as well as inadequate incentives to apply them.

### 3.3 Project Description and Strategy

67. The project objective is to improve the management of artisanal and small-scale gold mining in Suriname (ASGM) and promote uptake of environmentally responsible mining technologies to reduce the negative effects on biodiversity, forests, water, and local communities, while also reducing greenhouse gas emissions. The strategy to achieve this objective is to set an enabling environment at the institutional level, which will effectively support on-the-ground actions to improve the management of the artisanal and small-scale gold mining sector.

68. The project aims at reinforcing Suriname's mining policies and regulations and strengthen institutional capacities to create an enabling environment for the adoption of less damaging gold mining practices. This will support the introduction of environmentally responsible mining techniques among small-scale miners along with a set of reinforcing incentives, targeting both the supply and the demand of gold products in Suriname. Environmentally responsible mining practices at each step of the mining cycle will be introduced, from exploration to decommissioning and rehabilitation, to ensure impacts are minimized. The project will disseminate environmentally responsible mining technologies, practices and methods through a learning-by-doing approach.

69. The project will focus on demonstrating technologies and practices that apply to optimization of tailings and the re-mining of old or abandoned sites (mining of tailings). Though earnings in absolute terms may be lower in old mining sites, cost-effectiveness is much higher, with minimal set-up and labour costs, compared to new sites that require forest clearing and operations installed. Re-mining old sites also allows miners to recover and reuse mercury left in the site from former gold extraction.

70. Focusing on improved gold recovery from existing sites will help will also reduce the likelihood that miners re-enter these sites once they are exhausted, and will enable future recovery and rehabilitation of the land.

71. The project expected results are shown in the following figure depicting the project Theory of Change.

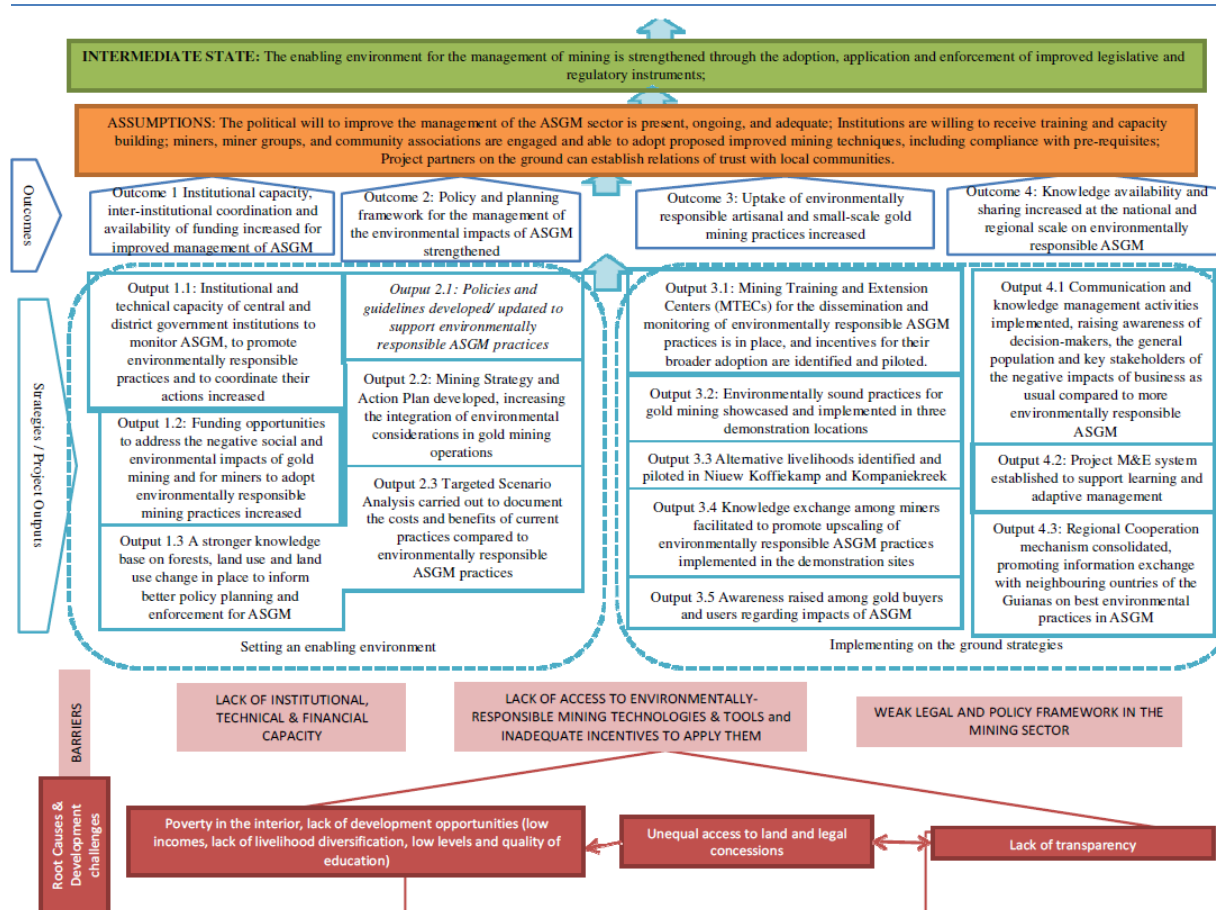


Figure 3: Theory of Change

72. Four inter-related objectives will support the delivery of this project:

**Outcome 1:** Institutional capacity, inter-institutional coordination and availability of funding increased for improved management of ASGM.

*Outcome 2:* Policy and planning framework for the management of the environmental impacts of ASGM mining strengthened.

*Outcome 3:* Uptake of environmentally responsible artisanal small- scale gold mining practices increased.

*Outcome 4:* Knowledge availability and sharing increased at the national and regional scale on environmentally responsible ASGM.

73. Through Outcomes 1 and 2 the barriers to the adoption of revised policies and regulatory instruments are tackled by training the national government and institutions to develop an enabling legal framework for the application of environmental responsible mining practices. Under Outcome 3, the project designs a mining extension model that relies on the identification of benefits for miners that arise from the application of environmental responsible mining practices, including social and economic benefits. The project also seeks to introduce environmentally responsible mining techniques among small- scale miners along with a set of reinforcing incentives, to help re-orient the market towards more responsibly sourced gold. Based on the lessons learned, Outcome 4 will increase the level of knowledge sharing within the region and locally on environmentally responsible mining.

### 3.4 Project Implementation Arrangements

74. The project is implemented under the National Implementation Modality (NIM) with the Ministry of Natural Resources (MNR) as implementing partner who will also serve as the executor. The Senior Supplier is UNDP and the Senior Beneficiaries are NIMOS and the Ministry of Spatial Planning and Environment<sup>4</sup>. Note that after start of the project, based on a Project Board decision, MNR had delegated parts of its responsibilities for the management of daily operation of the PMU in the implementation of the project to NIMOS as Senior Beneficiary and Project Board member.

75. NIMOS is now responsible for (1) the management of the day-to-day operations of the PMU, (2) approval of payments and other disbursements under the approved AWP and Procurement Plan and (3) technical and operational guidance of the PMU. As implementing partner, MNR will still retain responsibility for (1) decisions at policy level, (2) payments and other disbursements that deviate from the approved AWP and Procurement Plan and (3) activities deviating from the approved AWP.

76. The Project Board consist of national focal points from the Government and is chaired by MNR along with NIMOS and consist of the following Project Board members acting as representative from:

- Ministry of Natural Resources
- Ministry of Spatial Planning and Environment
- NIMOS representative
- UNDP Country Office representative Supported by the PMU
- And if needed, the UNDP Regional Technical Advisor and other PMU members can be invited.

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<sup>4</sup> At the time of Project Document design, Environmental Office within the Cabinet of the President was appointed as Senior Beneficiary. After the 2020 election, with the new administration, Environmental Office was placed under the newly established Ministry of Spatial Planning and Environment.

77. MNR and NIMOS are appointed as designated Project Board members in charge of overseeing activities and operations of the Project Management Unit (PMU).

78. According to the ProDoc, the PMU is in charge of the day-to-day activities and consist of the Project Manager (PM), Chief Technical Advisor (CTA), Monitoring and Evaluation specialist (M&E) and a Finance and Administrative Officer. The PMU is guided by the Project Board (PB) and assisted by technical experts and consultants recruited to assist in the completion of project activities.

### 3.5 Project timing and milestones

79. The project was endorsed by GEF CEO on February 16, 2018 and the Project Start date (Signature date of the Project Document) was May 24, 2018. One year later, the project's inception workshop was held (May 14, 2019).

The project is now in its third year of implementation. As of now, three PIRs (Project Implementation Review) have been drafted.

Important dates relating to the project are depicted in following figure:

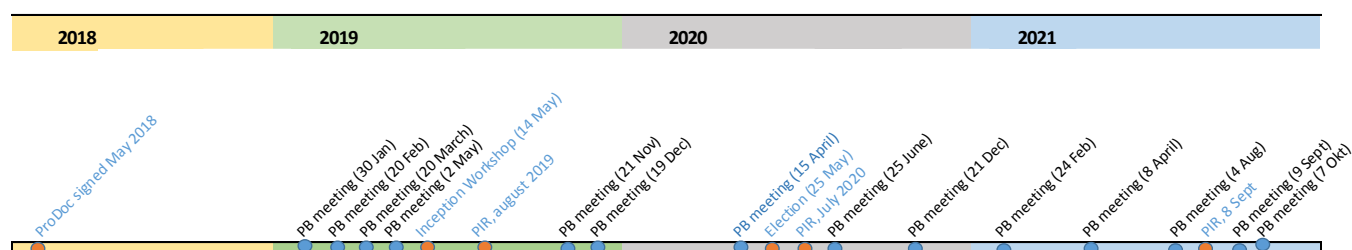


Figure 4: meeting and events

### 3.6 Main stakeholders: summary list

80. A wide range of stakeholders are involved in the project. The following table lists an overview of the key-stakeholders and their role in the project.

Main Stakeholder	Role in the Project
Ministry of Natural Resources	Serves as the Implementing Partner along with NIMOS and also Co-Chairing member of the Project Board.
Ministry of Spatial Planning and Environment	As the senior Beneficiary, member of the Project Board
Ministry of Regional Development	Participate within the project through livelihoods development of Sustainable Non-Timber Forest Products (NTFP) and horticulture production systems, facilitate stakeholder engagement and participation of ITP.



NIMOS	Implementing partner along with MNR/ Senior beneficiary. Co-chairing member of the Project Board / member of the Local Advisory Committee (LAC). Engage in Outcomes 1-2-3-4. Responsible for the management of the day-to-day operations of the PMU.
Large scale mining companies	Provision of co-financing to support community social and environmental activities. Support by giving permission to introduce environmentally responsible mining techniques in their concessions;
Artisanal Gold Council (AGC)	AGC is expected to manage at least one of the MTEC sites as a Responsible Party (pending confirmation). AGC will be responsible for providing mining extension on environmentally responsible practices, as well as for the design and operationalization of the MTEC including its incentive scheme, along with other partners. As
Alliance for Responsible Mining (ARM)	ARM is expected to manage at least one of the MTEC sites as a Responsible Party (pending confirmation). They will be responsible for providing mining extension in relation to environmentally responsible practices, as well as for the design and operationalization of the MTEC including its incentive scheme, along with other partners.
Commission for the Regulation of Gold Sector (OGS)	Participate in the Local Advisory Committee for the MTECs and in monitoring of the implementation of ERM practices by registered miners.
UNDP	UNDP is the GEF Implementing Agency and oversees all activities of the project, in collaboration with the project board, project management unit and other partners. UNDP is a member of the Project Board as Senior Supplier.

**Table 4: project stakeholders**

## 4 Findings

### 4.1 Project Strategy

#### 4.1.1 *Project Design*

81. The project design builds on lessons learned from past initiatives, and it also benefits from lessons learned and successful experiences from the medium-sized UNDP-GEF project that has been carried out in Guyana, entitled "Enhancing Biodiversity Protection through strengthened monitoring, enforcement and uptake of environmental regulations in Guyana's gold mining sector" (2013- 2017).

81. Experience and results of the Colombian UNDP-GEF project, "Conservation of biodiversity in landscapes impacted by mining in the Choco bio-geographic region" have been also taken into account.

82. These projects showed that the mining communities recognize the value of strategic planning as an essential element of effective national mine action programs. In order to ensure that, the project included a wide national and local participation. Moreover, following the lessons learned from these UNDP-GEF project, miners livelihood improvements have been foreseen in the project results.

83. The assumptions made during project design can be summarized as follows:

- Willingness of institutions to receive training on improved environmental management of ASGM
- Commitment of the government to making adequate human resources available;
- Sufficient political will to improve the management of ASGM
- Willingness of local mining communities to adopt proposed improved mining techniques
- Project partners operating on the ground gain sufficient trust of mining communities to achieve the project's targets

84. The ProDoc took into account previous national experiences in ASGM, e.g. WWF Guyana regional gold mining project. The Regional Technical Advisor involved in the project design also included insights from other regional projects that the UNDP supports.

Linkages with other interventions also rely on national and international NGOs such as the Suriname Conservation Foundation (SCF), Amazon Conservation Team (ACT), the Artisanal Gold Council (AGC), the Alliance for Responsible Mining (ARM), World Wildlife Foundation (WWF), even if they were often uncoordinated.

85. Initial meetings between WWF, the PMU and the Ministry of Natural Resources were held to identify synergies between these two projects. The PMU continued, due to the COVID-19 pandemic, virtual meetings with WWF.

86. The Artisanal Gold Council (AGC) is running a US State Department financed project with similar objectives as the ASGM project. They have already identified their pilot site in

the Brokopondo District and will be working with one small scale miner to set up an environmentally friendly mobile processing unit.

87. The World Bank 'Competitiveness and Sector Diversification Project' in Suriname, covers some of the aspects which are under Outcome 2 of the EMSAGS project. This Project concerns mining laws and regulations which is being undertaken by the MNR. As such, it is important to avoid duplication in activities between this project and the EMSAGS project. However, it is not clear what is exactly covered under the World Bank project. This analysis still needs to be carried out, but it is already clear that some aspects are not part of the World Bank's work- e.g., carrying out Targeted Scenario Analyses. The PMU, through the Board, has requested clarification to MNR on this and expects that the Ministry will submit a letter to the Board with the detailed activities that will be covered by the WB project.

88. The GEF Gold project (Global Opportunities for Long-term Development of artisanal and small-scale mining) will be a complementary project to the EMSAGS project. This project has the following objectives:

- Optimizing formalization strategies through integrated, holistic, and multi-sector approaches at the landscape scale through commodity-specific jurisdictional approach;
- Accelerating financial inclusion and creation of responsible supply chains;
- Enhancing uptake of mercury-free technologies through sustainable business models;
- Foster knowledge sharing, learning, and synthesis of experiences.

89. The project also foresees cooperation on mining issues with the neighbouring countries in particular with both French Guiana and Guyana who are also concerned with illegal ASM and ASGM.

90. The results of the Suriname REDD+ project will also be useful for the project implementation. Funded by the Forest Carbon Partnership Facility (FCPF) and managed by NIMOS, REDD+ focuses on strengthening national forest governance, including the development of a REDD+ strategy and National Forest Monitoring System, Forest Reference Emission Level and Safeguard Information System linked with REDD+ strategy framework.

91. The project will also build upon efforts from large-scale gold mining companies Grassalco, Iamgold and Newmont. Moreover, it took into consideration the ratification of the Minamata convention on mercury, which means the country recognizes mercury as a chemical of global concern that affects ecosystems, environment and human health and raise national awareness of the health effects from vulnerable populations' exposure to mercury

#### *4.1.2 Results Framework/ Logframe*

92. The project has been designed through a proper logical framework analysis.

The proposed activities are coherent with the project objectives and expected results. Smart and gender based indicators have been included in the project logical framework (LogFrame).

93. As designed, it would allow for good project management however, the results of the interviews made by the consultant with the project stakeholders showed that the LogFrame is not used as a monitoring tool.

94. Moreover, some of the stakeholders complain about the logical framework rigidity that was not suitable to adapt to political and pandemic-induced changes, also because it has been designed about 6 years ago.

It has to be noted that some of the institutional officers are not used to work in result oriented environment and follow strict deadlines.

Some of the project stakeholders interviewed are unfamiliar with the Project Results Framework also because it is not always included in presentations made to them.

#### *4.1.3 Gender Mainstreaming*

95. As local stakeholders confirmed, such as representatives of miners associations, the small mining sector in Suriname is really a male oriented sector without gender balance. The maroon men say that gold mining is not really women's work. The position of the women is not in the mine activities but more in the shops, cooking and the secondary activities around actual gold mining.

96. However, women from Brazil, Dominican Republic and China are involved in the mining activities. Chinese women play an important role in Paramaribo in the management activities i.e. when equipment is bought and when they have to look for labourers to go into the mines. Increasing numbers of women are also in more management and decision-making positions in the field.

97. Gender related issues and concerns have been well addressed in the ProDoc and sex-disaggregated indicators have been included in the LogFrame. A gender mainstreaming strategy has been developed to ensure that both women and men can participate in, and benefit from the project's interventions.

98. The project promotes using environmental techniques that will enable miners to shift to other income activities. It proposes more environmentally friendly mining techniques as well as the introduction of alternative livelihoods in which women could be involved. Environmentally friendly mining techniques will benefit not only women but also children e.g. through less contamination of the water and fish, and alternative livelihoods –if implemented- would benefit them economically.

99. So far, no activities have been carried out to promote alternative livelihoods, they will start when field activities are initiated.

100. The project shows commitment to gender mainstreaming. Its logical framework include gender based indicators and the evidence of the detected representation of women among the stakeholders is provided by the list of the people interviewed. As of September 2021, the project staff consist of 3 men (PM, ERM expert and CTA) and 1 woman (Adm&Fin officer) while the Project Board consists of 4 men and 5-6 female members.

101. The following are the key elements that can be integrated in Project design to ensure the inclusion of gender and vulnerable groups:

- Establishment of targets for the female-headed ASMG to be beneficiaries in the revolving loan programme.
- Provision of support for the development of technical drawings and budget to facilitate loan processing.
- In Project procurement, the eventual selection of the contractors should include an assessment of good labour practices as a criterion for selection, with gender sensitive hiring practices.
- The Project should select contractors with the oversight of the UNDP, which consists of a balance of men and women.
- The MTEC shelter facility guidance makes specific accommodation for persons with disabilities, the elderly, women with difficulties.

## 4.2 Progress towards Results

### 4.2.1 *Progress towards outcomes analysis*

102. The project is significantly off track. No real progress on any outcome can be found, except for some initial work on the MTECS.

The project still faces serious delays in initiating the main project activities even if 3 years have already passed. Cumulative financial delivery and timing of key implementation milestones are severely off track.

103. Regarding Outcome 1, "Institutional capacity, inter-institutional coordination and availability of funding increased for improved management of ASGM" the only progress is represented by in the purchase of computer hardware and software for improved near real-time GIS monitoring of mining areas, which has been handed over to the Geological Mining Department (GMD) of Suriname. The foreseen training sessions for institutions have not taken place and there have not been any advances in identifying funding opportunities to support upscaling of ERM practices.

104. The Outcome 2, "Policy and planning framework for the management of the environmental impacts of ASGM mining strengthened" did not record any progress. The PB decided that World Bank loans should now be used to carry out the activities foreseen for this outcome that include gender-sensitive policies, guidelines for the responsible management of gold mining and for sustainable forest management and a Responsible Mining Strategy and Action Plan to guide the sustainable development of the ASGM sector.

However, discussions are still in progress and it is not clear what remains under the project and GEF funding. It should be agreed if it is the case to propose a budget shift between the project activities, that these budgetary changes adhere to UNDP/GEF guidelines.

105. For the Outcome 3 "Uptake of environmentally-responsible artisanal small- scale gold mining practices increased" there have been significant delays in institutional decision making between MNR and NIMOS on the location of the MTECs. Two locations were finally agreed upon but no actual MTEC has been set up yet. Because of COVID restrictions, no sites visits took place as well as consultations with local stakeholders, before December 2021. The first visit included two sites located between Brownsveg and the Kriki 9 area, on both sides of the road to Atjoni, and South of the Nieuw Koffiekamp area. New field visits are now planned to gather baseline data, consult with local stakeholders and take exploration samples to ensure that the gold is of sufficient quantity to be of interest to an operation to mine. A list for equipment to be acquired for the MTEC's have been drafted. The Chief Technical Advisor (CTA) is based in Canada, and he due to the Covid-19 Pandemic, he opted not to travel and therefore was not able to go to the field. This Outcome includes one of the main projects results and there is the need to greatly accelerate the implementation of activities, and it requires strong commitment of the key government counterparts.

106. No results can be seen also for Outcome 4, "Knowledge availability and sharing increased at the national and regional scale on environmentally responsible ASGM". The communications firm still needs to start working on communications and knowledge products. The study tour on environmentally friendly mining sites in French Guiana was not yet organized and it should be scheduled for beginning of next year if Covid19 will allow for it.

107. The project's Stakeholders Platform, will be re-launched soon after more than one year of inoperability. A new invitation letter has been sent to all the stakeholders included in the platform.

108. The project was not yet able to demonstrate effectiveness. No objectives have been already reached. All four project Outcomes and the project objective itself are off track.




109. The following table shows the status of implementation for all the expected project results.

**Indicator Assessment Key**


<b>Green= Achieved</b>	<b>Yellow= On target to be achieved</b>	<b>Red= Not on target to be achieved</b>
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**Table5: Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)**



Project Strategy	Indicator	Baseline	Midterm Target	End-of-project Target	Midterm Level & Assessment	Achievement Rating	Justification for Rating
Outcome 1:	<b><i>Institutional capacity, inter-institutional coordination and availability of funding increased for improved management of ASGM</i></b>						
	Level of institutional capacity for planning, management and dissemination of environmentally responsible ASGM and for inter-institutional cooperation among central government institutions with a mandate related to ASM, as measured through a capacity scorecard and the availability of	1.2 on a scale of 0 to 3; there are no improved policy or regulatory documents	An improvement of 25% in capacity	An improvement of 35%		U	Training assessment and training sessions have not started yet. The ERM expert have started to work on the capacity assessment of the institutions targeted by the training activities. Once the Covid situation will allow, the training sections will be carried out and could be finalized.


	improved policy and regulatory instruments						
	Avenues for sustainable, reliable and predictable funding/ incentives to support upscaling of ERM practices	There are currently no predictable sources of funding for the upscaling of ERM practices.	A stock take of available options	At least one funding mechanism is adopted		HU	Contacts with Artisanal Gold Council (AGC), GEF GOLD+ Project, banks and Embassy of Holland have been made to ensure funding for upscaling. However, no agreement have been signed.
	Percentage of total area of small and medium scale mining operations with regular monitoring through near real-time deforestation monitoring in mining zones	While there currently is ad hoc monitoring of deforestation on at least a portion of the forest belt, none of the ASGM affected area is subject to near-real time monitoring. Baseline data will be confirmed and refined during inception	At least 20% of the ASGM affected area	At least 50% of the ASGM affected area		MS	Equipment and software has been procured to support the Geological Mining Department (GMD). Hardware is expected to be delivered by end of 2021 then the measurements will be possible.
<b>Outcome 2:</b>	<b><i>Policy and planning framework for the management of the environmental impacts of ASGM strengthened</i></b>						
	Number of gender- sensitive policies and guidelines for the	There is currently 1 Environmental	1 set of gender-targeted technical guidelines	One Gender-responsive ERM policy and guidelines		U	ERM expert has submitted an inception report and workplan for 2021-2022. But no policies and guidelines have been produced or drafted.



	responsible management of gold mining and for sustainable forest management updated and approved by end of project and beginning to be implemented.	Assessment Guideline, the Mining Code is under revision, there is no Mining Strategy or Action Plan; some guidelines are under development as related to mercury use, including a potential mercury recovery strategy. Gender elements are under-represented in these existing texts		start to be implemented			These objectives can be reached also with the financial support of the World Bank.
	Existence of a Responsible Mining Strategy and Action Plan to guide ASGM in a sustainable fashion	No Mining Strategy has been developed to guide ASGM	Draft Responsible Mining Strategy and Action Plan	Approved gender-sensitive Responsible Mining Strategy and Action Plan		HU	The new environmental law was published on 7 May 2020. Under the new Law, the NIMOS will become the NMA (National Environmental Authority). Some progress could be possible when an agreement with WB will be defined and a clear decision on responsibilities and tasks will be taken.
Outcome 3:	<b><i>Uptake of environmentally responsible artisanal and small-scale gold mining practices increased</i></b>						

	Existence of a sustainable system for dissemination, uptake and monitoring of environmentally responsible ASM practices at local level	0 MTECs established	Protocols, Incentives and infrastructure for the 3 MTECs agreed and established my mid-term	3 MTECs are operational		HU	MNR submitted a map of preferred locations for MTECs that differ from the locations mentioned in the ProDoc. Two locations adjacent to sites as per Prodoc or overlapping certain areas of the sites being the preferences of MNR were approved in that PB Meeting. Field visits are needed to confirm the MTEC locations. No basic design of an MTEC has been prepared yet.
	Number of small scale miners, % of which are women, implementing at least 75% of the environmentally mining practices (...).	No miners in the pilot sites are using environmentally responsible mining practices	300 miners (of which at least 10% are women)	600 miners (of which 10% are women)		HU	Local miners need to be involved and educated on environmentally practices. Field visits have to be organized together with training contents and activities.
	Reduction in the Hg: Au ratio	Hg: Au ratio is 3.34:1 (2016 estimate)	Hg:Au ratio of 2.5:1 in year 4 is achieved by 300 miners	Hg:Au ratio of 1:1 is achieved by beneficiary miners		HU	Field activities have just started in December 2021.
	Number of people accessing improved health and other social services through the MTECs	0 people	At least 500 people access improved services at MTECs	At least 1000 people access improved services at MTECs		HU	Field activities have just get started in December 2021 and only few people were involved.
	Number of people implementing alternative income generating activities through the	0 people	100 people implement alternative income generating activities, of which 50%	200 people implement alternative income generating activities, of which 50		HU	A list for equipment to be acquired for the MTEC's has been prepared.

	MTECs, % of which are women						
	Level of awareness among population in project area and key decision-makers of environmental and health impacts of current small and medium-scale gold mining using non-environmentally responsible techniques and benefits of more environmentally responsible techniques and practices	TBD	An increase in 30% of awareness as determined by the surveys	An increase of 50% in awareness		HU	The communication firm has just been contracted and started to work. The study tour in French Guyana has been postponed due to the COVID pandemic to year 4.
Outcome 4:	<b><i>Knowledge availability and sharing increased at the national and regional scale on environmentally responsible ASGM</i></b>						
	Level of regional knowledge sharing and learning with Brazil, Guyana and French Guiana on environmentally responsible mining as measured by survey to be	A limited number of Surinamese government stakeholders participate in venues of the regional platforms, on an ad hoc basis. Limited	at least 3 meetings at least 75% of respondents increased their learning	at least 5 regional meetings 75% of respondents increased their learning		U	No activities undertaken. The study tour has not been scheduled. Once the Covid restrictions will be removed, these activities could be conducted.

	administered to participants of relevant regional fora, such as the Sustainable Development Solutions Network and the Sustainable Gold Platform in which Suriname stakeholders participate and at which ASGM is discussed	discussion of environmental issues related to ASGM					
	Number of knowledge products produced and disseminated regionally	0 knowledge products	at least 3 knowledge products have been produced.	7 knowledge products as well as one technical report on lessons learned have been published		HU	The communication firm has just been contracted and it has to start producing documents. There should not be problem in carrying out these activities when the firm will be operative and the environmentally free technologies selected and tested.

110. The project suffers from severe delays. Delays in project implementation have been caused by several reasons, the main ones include:

- PMU staff recruitment and turnover;
- Change in government with change in insights on MTEC site selection, causing back and forth discussions;
- Covid-19 impact and its related measures taken by government, such as several total lock downs and restrictions in travelling to the interior of the country; impact on CTA and ERM experts;
- Hiring key consultants – international and local – difficult to attract for the project

111. Moreover, the institutional arrangement issues have been very important causes of delay in terms of lack of capacity, lack of following up, lack of timely decision making. Issues have been brought up in the meetings time and time again, and there has been no follow up. Timeframe in which the ministry would react, took always much longer than the available time.

112. Indicators provided in the project document were not effectively used for measuring progress and performance. Some of the partners and implementing partners are not aware of the contents of the logical framework.

113. If the project is not able to overcome the accumulated delays, there is a high risk that the project will not achieve all of its proposed targets and objectives at the time of its scheduled closure.

114. However, if the field activities involving local beneficiaries started at the end of 2021 will be continued in January and all the other activities are expedited with the full PMU fully operational and supported by all the external consultants, almost all the objectives could still be reached.

It is noted that it is not easy to engage external consultants with the proper skills and competencies. For different calls for EoI no proposals were received.

115. A request for project extension can facilitate to finalize the project and meet the expected results however, basically the UNDP rules say that extensions are not permitted except when force majeure occurs. 12 month extensions could be permitted with strong justifications due to the COVID-19 issue but it is not sure they will be enough since the project is significantly behind schedule.

#### *4.2.2 Remaining barriers to achieving the project objective*

116. **Adapting to the current COVID-19 pandemic.** The COVID-19 pandemic significantly affected the country and the project causing delays in its implementation. The EMSAGS project has developed a COVID contingency plan to outline measures to ensure the health

of all those involved in the project. The contingency plan includes measures such as holding virtual meetings when field activities are not permitted.

**117. Strengthen stakeholder involvement.** It will be important to strengthen stakeholder engagement re-launching the stakeholder platform and involving stakeholders in the design and set up of MTECs.

**118. Strengthening the institutional, technical and financial capacity of government institutions.** The durability of results achieved on the project will largely depend on the strengthened capacities of involved government institutions. The project needs to refine the strategy in this regard, e.g., developing training modules, identifying capacity needs, delivering targeted training, etc.

**119. Formulating incentive frameworks for promoting environmental friendly mining technologies.** Without incentives it will be difficult for small miners to purchase such technologies.

#### 4.3 Project implementation and Adaptive Management

##### *4.3.1 Management Arrangements*

**120.** At the project start up, roles and responsibilities of the project's governance mechanism were clearly designed. However, all stakeholders suffer from a lack of sufficient qualified human resources and equipment.

**121.** PMU is not yet fully staffed. It still includes an interim project manager who cannot be involved full time on the project, because he is involved in other NIMOS projects. Moreover, he has a limited authority e.g. needs approval from the Board for every terms of reference drafted for consulting services for the project. From January 2022 a full-time project manager will replace the interim one in the management activities.

**122.** The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually. The office also oversees the level of achievement of the project Outcome and Objective targets and reported using UNDP corporate systems.

**123.** These M&E activities are included in the annual GEF PIR quality assessment reports and related ratings and reported in the UNDP ROAR. Three PIRs are already available: 2019, 2020, 2021. Performance concerns were flagged in the GEF PIRs and these have been described in detail in the PIRs with action plans prepared but not yet addressed or resolved.

**124.** The UNDP-GEF Regional Technical Advisor and the UNDP-GEF unit also provide additional support for M&E and implementation quality assurance and troubleshooting.

All the stakeholders interviewed did not complain about any problems towards UNDP, on the contrary they expressed a positive opinion on its work and support.

125. UNDP officers are fully involved in the project implementation and overseeing. However, in the first 2 years they should have pushed in a more effectively way the governments to take decisions and carry out their activities. In the past, there hasn't been enough follow-up from the Country Office to reduce the delays. Considering the gender component, no interactions have been recorded with UNFPA and UNWOMEN.

126. The Implementing Partner MNR/NIMOS is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner strives to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

127. However, as previously mentioned, their M&E activities lack adequate resources to be effective.

128. NIMOS showed difficulties in managing the project i.e. in developing contracting processes for the PMU personnel, as a result the PMU never operated with the complete personnel that was envisaged.

129. NIMOS did not provide proper support in contracting processes for consultants, so most of the contracting process took more time than needed relying only on technical people with not much experience in these processes.

130. Strategic and technical Leadership from NIMOS needs to be strengthened. NIMOS will also need to consider strengthening its capacities to support its Director engaging in high political level discussion on the project alternatives, identified as part of a national development strategy for Suriname. Apart from identifying personnel dedicated to this, it could be useful to improve internal skills and competences (political, operational, and analytical).

131. High level engagement is especially needed. NIMOS, with the support of relevant Ministers, UNDP and the Project team, needs to start the engagement at higher level especially in the next phase of the project implementation to carry out MTEC and local field activities.

132. There are unclear and overlapping responsibility among government institutions related to the environmental sector. Four ministries are involved in the EMSAGS project but as reported by a NIMOS's analysis, almost all ministries have some environmentally related mandate.

133. If MNR wants to delegate all the main day-to-day executing to NIMOS, then the latter need to be clearly informed and instructed on that. If MNR still wants to retain decision making, then they need to make decisions quickly. But in the current situation, when there is no clear communication, this represents one of the main causes of the project delay.

134. After the recent elections, MNR has a different view on the project objectives and pilot sites. This was one of the main causes of delay.

#### 4.3.2 *Work planning*

135. Adaptive management has not really materialized. Staffing the PMU took longer than expected. The unavailability of suitable candidates resulted in an extensive recruitment time, especially for the PM position. Unavailability of suitable candidates made it necessary to re advertise the vacancy. The unavailability of the evaluation panel due to other commitments has also occurred. This was also coupled with some delays in UNDP processing of contracts.

136. Given the challenges, an interim PM was appointed, but the duration of interim PM was not clear and could have been shorter, or clear decision on the next steps had to be taken earlier.

137. The recruitment of other support positions such as Chief Technical Advisor (CTA), Communications Consultant and Engagement consultant has also proven challenging. For a long time, there was no response to the CTA position. It took three rounds of calls for proposals but finally the CTA was contracted. With support of the CTA, the ToRs for the ERM consultant could be finalized and advertised end of 2020.

138. The M&E position was initially filled in (Nov, 2018), but soon the M&E officer resigned. The position will be removed from the PMU and placed in the NIMOS/NMA (Nationale Milieu Autoriteit) organization structure as decided in the PB meeting on Nov 21, 2019. NIMOS has agreed to draft a plan on how these two positions (PM and M&E) will be incorporated in the operations and will share it with all the partners for approval.

139. Advertisement for the ESI position did not yield any response. The board decided in August 2021 to switch from an individual to a consultancy firm that has been contracted.

140. Changes also happened in the management of the project. An agreement was made between MNR and NIMOS, where the overall implementation responsibility stays with MNR and the daily execution of the project is done by NIMOS. The change in management structure was one of the things with the new government in place that gave certain delays in the execution of the project.

141. The project works through the Ministry of Natural Resources and NIMOS, in coordination with other governmental and non-governmental partners. Before the May 25th, 2020 election, the Environmental Office within the Cabinet of the President was



responsible for the national coordination for environmental issues in Suriname. Currently these responsibilities for national environmental coordination are under the newly established Ministry of Spatial Planning and Environment.

142. With the approval of Suriname's Environmental Framework Act (May 2020), NIMOS will become the National Environmental Authority. On the medium term this should lead to strengthen environmental management framework however, on the short term this process is causing some delays in critical approval processes.

143. From the very start of the implementation of the project there have been many issues in selection of the MTECs sites. The problem is that MTECs set up is one of the four project outcomes, and this leads to delays in progress.

144. The issues related to the MTECs that are frequently discussed in the PB meeting are:

- Regarding the location of the MTEC. Despite the locations pointed out in the ProDoc, from the very beginning MNR under the new government, had concerns about the location of the sites;
- Regarding the legal framework; who will own the gold once it is extracted? Status of the land and who the material belongs to legally;
- Regarding the management and structure of the MTEC.
- Regarding whether the project should only work on tailings management.

145. New locations of the MTECs has been decided by MNR and proposed to NIMOS to approve in the Board. There has been discussion regards the selection of MTEC site near Newmont and Sela kreek. NIMOS suggested that for those sites that are further away, a cost estimate will be prepared and if the costs are above the budget, the Ministry will investigate and discuss options to finance the extra costs associated with this divergence. Also, the Ministry's position on MTECs still is that no MTECs will be set up in areas where the Government does not want mining sites to exist. At the PB meeting April, 2021, all members approved the two areas, one in Brokopondo and one in the Northeast Pamaaka area wherein a specific site can be selected. Discussion on the roll-out and structure of the MTEC continues.

146. Implementation delays also occurred due to delays to start communication with the larger Gold mining companies on higher level, too.

147. Execution of Activities has been challenging and negatively affected by external conditions and factors. Identification of gaps, shortfalls and constraints ensure that corrective actions can be taken in a timely manner to alleviate any further risks to successful implementation.

### 4.3.3 Finance and co-finance

148. In addition to the GEF funding, the project can benefit from co-financing from different sources that are reported in the following table.

<b>Donor</b>	<b><u>(Million USD)</u></b>
GEF Trust Fund:	7,589,041
UNDP:	1,000,000
Government (MNR and NIMOS):	8,400,000
Other co-financing:	13,732,000
Total co-financing:	22,132,000
<b>Total Project Cost:</b>	<b>29,721,041</b>

**Table 6: project co-financing**

149. The UNDP, as GEF agency for this project, provides project management cycle services.

GEF project finance is managed by UNDP as part of its fiduciary responsibilities; UNDP staff is involved as well as the staff of the MNR. PMU include a financial officer who is in charge of registering the project expenditures.

150. The total cost of the project is 29,721,041 USD, of which only 1,50% (about 446.902 USD) was spent so far. It includes equipment, vehicles, computers, support to the GMD, it however excludes co-financing resources such as the interim PM, rent of office space, etc.

151. The total amount of expenditures corresponds to GEF funding, whose total amount is 7,589,041 USD, so the percentage of GEF funds used is 5,89%.

This corresponds to the status of the project in June 2021. Expenditure which has taken place after June 2021, has not yet been formalized on CDR level and are not available for this review.

152. The GEF expenditure for each project component in USD is reported in the following table:

<b>Component 1</b>	<b>27,902.61</b>
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<b>Component 2</b>	<b>12,199.31</b>
<b>Component 3</b>	<b>178,642.99</b>
<b>Component 4</b>	<b>12,726.95</b>
<b>Component 5 (PM)</b>	<b>215,430.26</b>
<b>Total</b>	<b>446.902 USD</b>

Table 7: project expenditure per component

153. The trend of expenses is shown in the following figure 4.

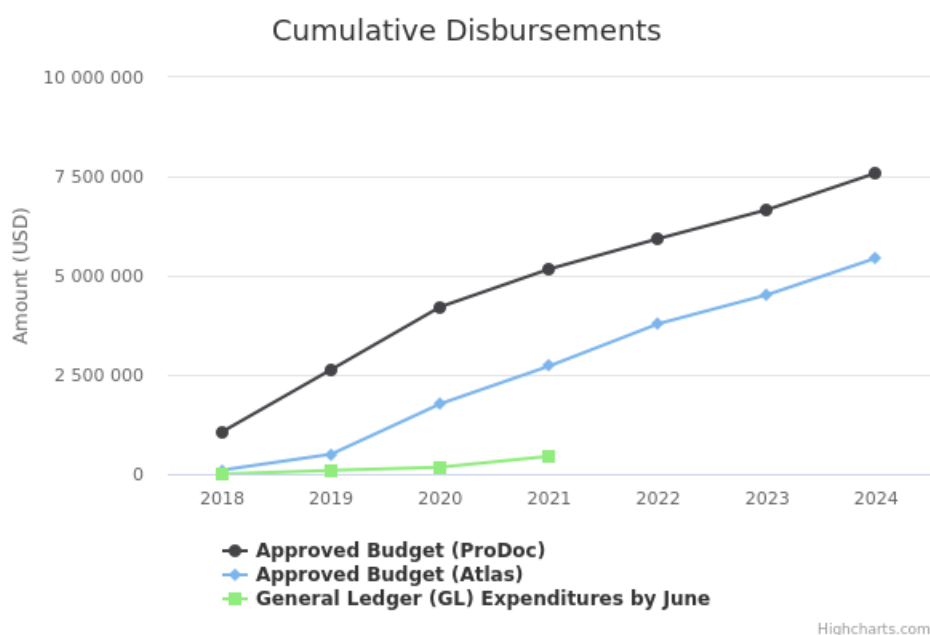


Figure 5. Cumulative Disbursement

154. Using the budgetary allotment outlined within the planned expenditure schedule as the benchmark, procurements to date are quite behind budgetary limits outlined in the Project Document.

This very poor execution of resources resulted in very few outcomes and outputs achieved by the Project, which is very concerning considering that the Project is supposed to end in April 2025.

155. Although standard quantitative project management indices such as the Schedule Performance Index (SPI) and Cost Performance Index (CPI) were not captured by the Project, available data are indicative of low Project SPI and CPI.

156. The Project's cost charged against the allotted grant funds was not efficiently creating value as per the project's planned objectives.

157. The main factors influencing the poor efficiency of project implementation are:

- Lack of capacities inside the PMU team for planning, budgeting procurement, execution and financial administration
- The staff that was thought to be part of the PMU is not yet complete, and the gaps are being covered by external staff which is not sustainable.
- Lack of clarity for procurement procedures, guidelines, rules, resulting in long procurement processes
- Insufficient bid proposals received for procurements to be consistent with and proceed according to the procurement guidelines resulted in delayed procurements.
- Although the PMU has tried to be responsive to the numerous challenges that have marked the procurement process, the combined effect of the challenges has contributed to the Project being significantly behind schedule. To date, procurements under the Project have been significantly delayed and contribute to the slow pace of project implementation.
- Strategic and technical leadership from NIMOS needs to be strengthened
- COVID-19 implications, which introduced additional complexities into negotiation and contract finalization processes.

158. The PMU financial officer has a record of everything that goes through the PMU.

#### **Co-financing:**

159. The status of the co-financing at the time of the mid-term review is reported in the following table.

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)	Actual % of Expected Amount
National Government	Ministry of Natural Resources	In-kind	7,000,000	N/A	N/A
National Government	NIMOS	In-kind	1,400,000	N/A	N/A
International organization	WWF-Guianas	Grant	932,000	N/A	N/A
Civil Society Organization	Tulane University, School of Public	Grant	1,600,000	N/A	N/A

	Health and Tropical Medicine				
	Medische Zending (MZ) Primary Health Care Suriname	Grant	1,000,000	N/A	N/A
Foundation	Suriname Environment and Mining Foundation (SEMIF)	Grant	2,500,000	N/A	N/A
Private Sector	Grassalco Mining co,	Grant	2,500,000	N/A	N/A
Private Sector	Newmont Mines	Grant	2,200,000	N/A	N/A
Private Sector	Rosebel Gold Mines	Grant	2,000,000	N/A	N/A
GEF Partner Agency	UNDP Suriname	Grant	1,000,000	N/A	N/A
		<b>TOTAL</b>	22,132,000	N/A	N/A

**Table 8: Co-financing table**

160. UNDP is not charging its time to the project budget, as this is being covered by the agency fee. But from the interview held with the PMU staff, it seems they are not aware that UNDP is not charging its oversight time to the project budget.

161. It is also not clear how much was spent as in-kind budget. The government institutions were not able to provide the consultants with data on their co-financing. No administration kept data regarding co-financing, in addition, the design of the format also regarding the accountability for the co-financing, was not decided. No system or tool have been designed or adopted to this aim.

162. Other parties haven't taken any action yet, so no co-financing was needed and used by them. WWF wants to align their current activities with the EMSAGS project and have a coordinated implementation of both projects. There is mutual agreement to do so but WWF still awaits further response from EMSAGS. WWF has already started with their mining project, but due to a lack of communication from EMSAGS, they cannot give figures with regards to their spending of the co-finance budget.

#### 4.3.4 Project-level monitoring and evaluation systems

163. There are annual reports of the Project (Project Implementation Reports- PIRs), also minutes from meetings held by the Project Board, the PMU, as well as minutes of meetings held with other institutions.

164. In the Project Board meeting of 4 August 2021 it was decided for enhancement of monitoring and communication with management of project implementation through formalization of biweekly monitoring and technical working groups meeting and to share and circulate the meeting final notes with Project Board to support Project decision making.

165. The ERM consultant designed community-based monitoring activities to build the evidence base on the environmental, economic, and social benefits of the piloted ERM practices in the demonstration sites, that will be part of the training program; they will be undertaken in Yrs 5-7.

166. However, the project lacks proper Monitoring and Evaluation (M&E) activities. There is no active indicator tracking system that provides a real-time update on the status of the indicators. Currently the project tracks its M&E reporting to the PMU manually. A M&E expert is still missing. The former M&E officer had drafted an M&E plan, but when she resigned the PMU didn't have the time to use that tool. While waiting for the new M&E expert, the monitoring work might be done by the Ministry of Spatial Planning and Environment but dedicated personnel should be appointed to do that.

167. No own monitoring systems are used in the ministries, but when NIMOS will become the National Environmental Authority it will have its own monitoring system and staff.

168. Monitoring against the expected output needs to be strengthened. Monitoring is included in the annual workplan, but it needs to be elaborated a bit more. It should look at each activity and see if it was done, and if not, explain why. Monitoring and Evaluation (M&E) should form an essential part of the business delivery approach of the ministries and national agencies.

169. The project should set a multi-layered M&E implementation which involves several government departments, and local and international partner agencies and consultants working together to prepare baseline assessments, deliver technical monitoring reports, and conduct regular monitoring.

#### *4.3.5 Stakeholder engagement*

170. The project relies on the participation of a broad spectrum of stakeholders from government, civil society, academia and local communities. During the design phase of the ProDoc, a Project Design Inception Workshop and Validation workshop involving local stakeholders were held in 2017.

171. During the project implementation phase, a Project Implementation Inception workshop was organized in February 2019 and a stakeholder platform meeting in May 2019, with the participation of the government, NGOs, Indigenous and Tribal People groups, including ASG miners, and the private sector. These groups were invited to actively participate in the Stakeholders Platform.

172. The stakeholder engagement plan was developed, it was well planned and designed but not properly implemented. A stakeholder platform was set shortly after the inception

workshop on May 14th, 2019. Stakeholders were enthusiastic at the beginning of the project, but due to the project delays and difficulties the stakeholder platform was not operative.

173. At the end of August 2021, NIMOS sent a letter to all the stakeholders to confirm their involvement and to re-launch the application platform. This will allow to revitalize the cooperation with all the stakeholders in order to start producing results and outputs.

174. The project includes a comprehensive list of stakeholders involving institutional, social and private stakeholders. The full list is reported at page 22.

175. Stakeholder engagement faced several difficulties. An engagement specialist was appointed by the government but he terminated his contract with the project when the new government was elected and in place. Because of Covid19 pandemic, several total lockdowns were put in place by the government, which did not allow for field trips to the interior and to effectively engage with the stakeholders. Virtual meetings are not an effectively option for the project that need physical visits on the sites and meetings with miners. Since 20 August 2021 field trips are possible per COVID-19 protocols, and they have to be carried out by end of the year.

176. Local governmental administrations are not properly involved. The project could strengthen that engagement, working a bit closer with local governments it would also help to solve the security issues.

177. The miners are eager to learn the environmental mining techniques mainly because they understand that the yield is much higher than when using their own mining methods. They expressed their interest in the project also because of their need in financial support in buying the environmentally friendly mining equipment that will be more profitable.

178. It is not easy to engage small miners because they are fully committed in their working activities, they are also located in areas not easily accessible, and they are not always sedentary.

#### **UNDP comparative advantage**

179. The evaluation found that UNDP has a strong comparative advantage rooted in the following seven operational characteristics:

- extensive technical know-how in the focus areas of UNDP and a portfolio of good practices;
- established relationship with government;
- neutrality and absence of political bias;
- strategic position within the United Nations system;
- experience in implementing other GEF projects;
- emphasis on capacity development and a demand-led approach to programming;

- flexibility to respond at the country level.

#### 4.3.6 Reporting

180. There have been three Project Implementation Reports (PIR) prepared and already available: 2019, 2020, 2021.

181. Adaptive management changes, e.g., delay in initiating the project implementation, have been covered in the PIR's. Performance concerns were flagged in the PIRs and these have been described in detail in the PIRs with action plans prepared but not addressed or resolved as of yet.

182. Adaptive management measures associated with the current COVID-19 pandemic have been implemented and will need to be further considered during the second half of the project.

183. Apart from the PIR reports, there are no other reports generated on the project. For the Project Inception Workshop held on May 14th, 2019, a press release was shared on UNDP Suriname's FB page.

184. Results-oriented reporting documents should be produced by PMU in order to provide regular updates on the project implementation. The quality of these reports will be revised and ensured by UNDP and shared with partners and stakeholders.

#### 4.3.7 Communications

185. The project has maintained close coordination with the UNDP CO and with the UNDP Regional Technical Advisor who is based in Panama City.

186. The communication component is weak, resulting in challenging issues in other areas. As discussed earlier under the Stakeholder Engagement section, the limited involvement of MS&E and other sector stakeholders has diminished the overall effectiveness of external communications on the project. But this is mainly affected by the lack of a Communication Specialist.

187. TORs for Communications Specialist were revisited and advertised in 2021 and it was agreed to contract firms instead than individual consultants. The TORs for a communications firm to set up an awareness campaign have been advertised, a suitable firm has been selected by an evaluation committee on May 19th 2021. The company has just started to work on communication outputs but at the date of the MTR no communication deliverables have been produced.

188. A graphic designer was contracted in September 2020 and produced a suite of graphic products including a project logo, to enhance the visibility of the project.



There are opportunities for improving external communication and awareness-raising to the general public, e.g., through production and dissemination of knowledge products, e.g. organizing community events, to promote the benefits of introducing environmental friendly technologies, etc.

189. In order to facilitate the cooperation and communication among all the involved actors, a stakeholder platform was created at the beginning of the project. It has not been operational for more than one year, but recently there are plans to re-launch the stakeholder platform.

190. However, due to the large number of stakeholders involved, it's hard to ensure a meaningful participation considering the diversity of stakeholders in terms of language barriers, needs for adapting communication level, and the need to have also strategic and policy oriented discussions. The Board needs to adapt and evolve to an information/communication platform mode when necessary and through changes in the procedural guidelines to a manageable decision-making board.

#### 4.4 Sustainability

191. Sustainability is generally considered to be the likelihood of continued benefits after the GEF funding ends. Under GEF criteria each sustainability dimension is critical, i.e., the overall ranking cannot be higher than the lowest one among the four assessed risk dimensions.

192. As previously mentioned, there are a number of factors that enhance the prospects that results achieved on the project will be sustained after GEF funding ceases.

193. Achieving durable change requires time, and the environmental extension services have an important role in maintaining support to local farmers. The lack of a specific strategy on strengthening extension services diminishes overall sustainability.

194. And the limited engagement of stakeholders beyond the mining sector reduce the likelihood that results will be sustained, as effective management of environmental projects require multi-stakeholder approaches.

195. There are also externalities that affect sustainability, e.g., socio-ecological resilience could be influenced by the unpredictable impacts of climate change. The current COVID-19 pandemic poses further uncertainty, for instance, a prolonged economic downturn and disruptions in supply chains might affect the viability of some of the project interventions.

196. The summary of the analysis of the project sustainability is reported in the following table. Overall, the likelihood that benefits will continue to be delivered after project closure is rated as **moderately unlikely**.

#### *Sustainability rating table*

Sustainability	Rating
Financial resources	<b><i>MU - moderately unlikely</i></b>
Socio-economic	<b><i>MU - moderately unlikely</i></b>
Institutional framework and governance	<b><i>MU - moderately unlikely</i></b>
Environmental	<b><i>U - unlikely</i></b>
Overall Likelihood of Sustainability	<b><i>U - unlikely</i></b>

197. The following sections include considerations across the four sustainability risk dimensions, including financial, socioeconomic, institutional and governance, and environmental.

#### 4.4.1 Financial risks to sustainability

198. Different institutions and companies already committed funds to co-finance the project since the project design.

Large scale mining companies and bank institutions will support the development of financial mechanisms for the rehabilitation of spent mining sites, and for incentives and loans to miners to allow them to buy free mercury tools and machineries.

199. The Project is testing the market for financing and with targeted communication can stimulate future participation by private financial institutions.

The provision of loans is ensured with the participation by financial institutions willing to develop specialized products aimed at providing low-cost environmental financing.

200. However, no agreements have been signed at this stage, therefore, at the time of the MTR, the above elements are not yet in place to ensure the project financial sustainability.

201. In summary, uncertainty of government funding and continued donor support render prospect of sustaining project results **moderately unlikely**, with respect to the financial dimension of sustainability.

#### 4.4.2 Socio-economic to sustainability

202. The mining sector in Suriname is very important in terms of employment and livelihoods for a big proportion of the interiors population and a major contributor to the country's economy.

203. The Project has given due consideration to partner feedback on any environmental, social and health risks associated with elements of the design interventions and efforts have been made to make adjustments in finalizing the ProDoc.

204. However, some of them have been underestimated and were cause of delays and difficulties i.e. impact of external factors such as COVID19 on international experts activities and contact with final beneficiaries.

205. There is a potential for conflict between Small Scale Goldminers from Tribal Community and Large-Scale Goldmining Company with legal concession. This issue will continue to be monitored, including by the Indigenous and Tribal Peoples expert.

206. The project aims at implementing an upscaling strategy that will include knowledge sharing at local and national level, as well as with neighbouring countries. EMSAGS will support willing lead miners in undertaking demonstration missions and study tours to other sites to discuss their experiences.

207. Since mercury issues are common to almost all the mining sector activities, if successfully finalized, there are real potential for replications not only in the country and region. However, it is too early to evaluate the results concerning the replicability of the project, even considering the delays that have occurred.

208. The activities related to the replication of the project will be discussed in the coming years when the results in the field are produced.

209. The COVID-19 pandemic is not only a public health risk, but also has had significant socioeconomic consequences, and the uncertainty regarding the duration and possible recurrence of the crisis compound the problem.

210. It is still too early to know if the project will have the desired impact in the country's development.

211. Uncertainties associated with the COVID-19 pandemic and final beneficiaries participation render the likelihood of sustaining project results as **moderately unlikely**, with respect to socioeconomic risks.

#### *4.4.3 Institutional Framework and governance risks to sustainability*

212. The government is committed to finalize the project through the involved ministries and agencies. The National Institute for Environment and Development in Suriname (NIMOS) serves as the GoS technical focal point for implementation of the project.

213. The ProDoc already identified several risks in its risk log and the document include potential difficulties that are mainly related to the lack of resources (lack of institutional, technical and financial capacity of the involved ministries and institutions).

214. The project aims at setting up an enabling environment in which the GoS will be able to better control and monitor the ASGM operations.

215. Towards the General Elections the project was faced with a slowdown, and with the new Government in place in Q3 2020, the project was reintroduced.

216. With the transitioning of NIMOS into the National Environmental Authority, delays have occurred. The Environmental Framework law was passed in March 2020 and provides the National Environmental Authority the basis to establish some committees. The Inter-Ministerial Advice Commission (IMAC) will be one of those committees, but this needs to be looked into further because the IMAC will be established as a technical guiding mechanism for NIMOS, now in the transition phase to become the National Environmental Authority.

217. The Project Board is responsible for making by consensus management decisions for the strategic direction of the project, particularly when guidance is required by the Project Coordinator. The Board is supposed to hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year.

218. The Project Board met several times during the project implementation as reported in the following Figure.

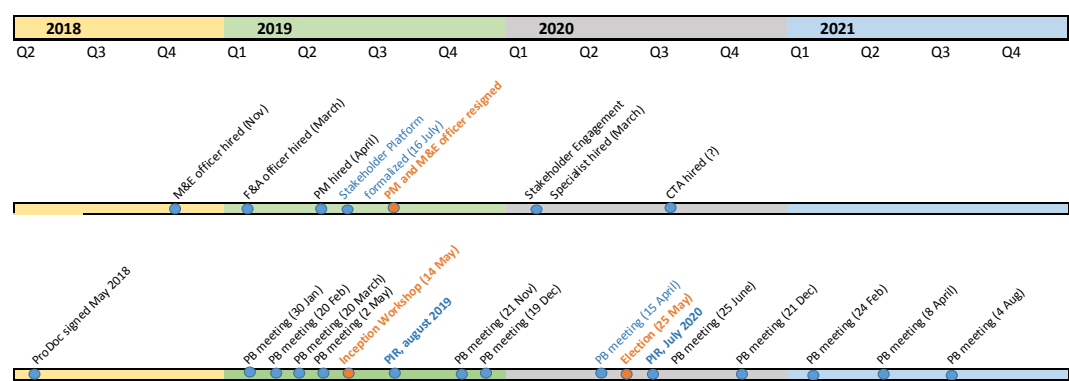


Figure8: Timeline of Procurement and Meetings

219. The Project Board need to take more proactive corrective action as needed to ensure the project achieves the desired results.

220. The Board needs to adapt and evolve to an information/communication platform mode when necessary, e.g. a platform that incorporates them into a modular solution, enabling a holistic view of the inbound and outboard communications and through changes in the procedural guidelines to a manageable decision making board.

221. The Project has not yet a clearly-articulated and financed long term sustainability plan, with well-defined roles and responsibilities involving the government, NGOs and local beneficiaries that have a key role in the continuation of Project benefits and results beyond the Project closure. To mitigate this risk, Project activities should be mainstreamed into the operations and programmes and the MNR should lend effort in this regard prior to the end of the Project.

222. Institutional framework and governance risks remain relevant. At midterm, a rating of **moderately unlikely** is applied for this sustainability dimension. Through continued progress during the second half of the project, this rating has a strong chance to be upgraded by project closure.

#### *4.4.4 Environmental risks to sustainability*

223. If the project will succeed in implementing the MTECs, its environmental sustainability is clear since it would like to replace mercury and reduce the mining environmental impacts on soil, air and forests.

224. ASGM operators will be trained on environmentally responsible practices over the whole mine life cycle and will be able to replicate these methods in the next mining site they move to.

225. However, although the project aims at establishing connections which enables dialogue with indigenous peoples and maroon communities, on the use of environmental friendly mining practices, the project is not yet able to show reductions in use of mercury and stress on ecological systems. There is no demonstrated progress towards its environmental impact achievements.

226. Due to the project delays, the project was not yet able to meet its environmental objectives.

227. The project will need to strategically engage with the final beneficiaries and small miners representative organizations to achieve its environmental results.

228. A **unlikely** rating has been applied for the environmental sustainability dimension at midterm.

## 5 Conclusions and Recommendations

### 5.1 Conclusions

#### **Management and administrative aspects**

229. The EMSAGS Project encounter several management problems from the beginning of its execution, the Implementing Partner, NIMOS, showed difficulties in developing contracting processes for the PMU personnel, as a result the PMU never operated with the complete personnel that was envisaged.

230. The interim PM cannot be involved full time because of his other governmental commitments.

231. The PMU had also to operate with the key experts not in place, this situation combined was exacerbated by low execution and poor management, in an already difficult context. This also affected the contracting process that took more time than needed.

232. The situation continued until the last trimester when measures were taken but those are not definitive but transient, therefore definitive measures are still to be decided.

233. The current organization structure needs to be adapted to the needs of the next phase of the project implementation and hire the key technical personnel that is needed.

234. NIMOS requires assistance in contracting processes therefore, in order to expedite the implementation of the Project is recommendable that UNDP assist further in the recruitment of the PMU personnel that are still not hired.

#### **Technical Aspects**

235. The EMSAGS implementation process is a particularly complex because it requires to combine very technical elements with policy, strategic and development objectives. It moves from a local perspective to national and international scope.

236. The readiness process is a challenging because it not only encounters the structural problems of mining and local economy, but also the political and legal contexts play an important role and the process needs to make actions as participative as possible.

237. The PMU team has not yet created all the technical capacities in its personnel or in the respective institutions, therefore the next semester is key to ensure Suriname will benefit completely from the project technical results.

238. The main products related to MTEC are not going to be ready for another 12 months at least, so the Project might require to extend its implementation time, but it has to be justified by *force majeure* and approved by UNDP headquarter.

239. Attention to support the MTEC studies development are needed to ensure the technical feasibility and achievement of results.

240. The PMU team requires strengthen its capabilities to engage in technical and strategic discussions.

### **Strategic and Political Aspects**

241. A high political engagement is still missing, the Project needs to focus to reach all branches of government and engage them in the discussion of the ASGM strategy in line with the Development Strategy 2035. Also the discussion of the Mining Law provides a perfect context to include the climate change variable in the discussion, since Mining is the most important driver of deforestation.

242. Other structural barriers such as Land Planning, land rights continue to be key subjects to monitor and inform when possible.

243. Completion of the PMU organizational structure and supporting experts is needed to be in place by January 2022, so the PMU will count with all the personnel on board and the technical and administrative support ready to continue the project implementation.

244. Taking into account the current state of implementation, the Project will require an extension of not less than 12 months to finalize the main expected outputs, but only if the recommendations in this review are implemented in due time.

245. If the situation does not change, the Project with the current low level of execution per year, even with an extension of time would not be able to use all the resources nor deliver the expected outcomes and outputs.

### **Lessons learned**

246. The EMSAGS project shows clearly that in the mining sector, the local team should have the technical background to benefit and make use of the technical but also legislative and social skills provided by international senior consultants.

247. When the responsibilities are split between different ministries difficulties could arise, cooperation mechanisms have to be clearly designed and set.

248. Hiring experienced local and international experts can be very challenging and it needs effective procedures and ToRs able to attract excellent candidates.

249. The role of all the political representatives and ministries has to be clear since the project design but actions have to take place to ensure it during all the project duration.

250. Dealing with the mining sector includes different interests and objectives that are not only related to the high profitability but that include also social, environmental, security and safety aspects.

251. A clear legal framework, allowing for the implementation of the actions, is necessary to effectively achieve the technical results and support the project sustainability. When the framework is not working well, it can become a weakness.

252. Such multi-tasking projects need to establish cooperation opportunities with local, regional and international actions. New or upcoming projects have to be monitored and taken into account, in order to benefits from them and not overlapping activities and expenses.

253. The involvement of local beneficiaries is key to meet the project objective and to ensure its long term sustainability. Actions to involve them should start since the beginning of the project in order to keep attention, relevance and to ensure local ownership of results.

254. The small-scale miners understand the impact mining has on the environment, but they are not primarily driven by the environmental protection but mainly driven by the financial aspect. They are interested because they have heard that using those methods will yield more gold.

255. Unexpected event may occur during the project, the PMU, PB and implementing partners, should be ready to put in place immediate actions to face the possible difficulties and constraints.

## 5.2 Recommendations

### *5.2.1 Corrective actions for the design, implementation, monitoring and evaluation of the project*

1) Ensure enhanced PMU functioning and operations with the full-time project coordinator and engagement specialist onboard by completing PMU staffing and ensuring clear decision-making processes are in place.

2) Implement Adaptive project management and acceleration actions, including adjustment of implementation schedule, composition, time and compensation of the technical experts and specialist taking into account COVID-19 and in line with GEF policies to get the project back on track.

3) Involve more the Ministry of SP&E in the project activities supporting MNR. Cooperation between the two ministries was not always efficient enough. It is important to get both ministers to actively work on the project, to show that at the highest level the government is engaged.

4) Introduce actions and procedures to make the recruitment and procurement processes more effective and successful. In order to attract candidates, incentives (i.e. attractive salary) can be foreseen.



5) Improve the procurement process and strategy, e.g. implementing a contract management platform to make project planning, vendor management, bid management and negotiation much simpler; to properly manage budget, workflow, and production timelines and keep everything aligned with project objectives.

6) Set up a multi-layered Monitoring and Evaluation (M&E) structure at national, local and international level, involving several government departments, partner agencies and local and international consultants working together to prepare baseline assessments, deliver technical monitoring reports towards Global Environment Benefits and conduct regular monitoring. M&E should form an essential part of the operational approach of the ministries and national agencies and include monitoring and reporting of co-financing.

7) Put in place operational guidelines in terms of timeline and decision making for a proper implementation of activities. These guidelines should define clear responsibilities and deadlines to approve decisions and deliver responses and documents.

8) The UNDP Country Office needs to enhance the project oversight on bi-monthly or quarterly basis to support implementation acceleration. It is a very high-risk project in the sense of its underperformance, and UNDP has to keep the pressure also on a governmental level.

#### *5.2.2 Actions to follow up or reinforce initial benefits from the project*

9) Project implementation activities should not only focus activities on the outcomes related to the MTECs (Outcome 3), rather also include work under the other outcomes, including analysis and realization of synergies and complementarity between the World Bank Suriname Competitiveness and Sector Diversification (SCSD) project and this project and what this project will need to advance under Outcome 2.

10) Facilitate cooperation of Chief Technical Advisor (CTA) and Environmentally responsible mining (ERM) experts with local team of consultants together with MNR staff to continue and finalize field work as preparations for establishing MTECS.

11) Initiate actions to re-establish the stakeholder platform and ensure the full cooperation of all the project actors as soon as possible, however not later than X months of MTR report.

12) Set up of MTECs should not only be in areas where there are tailings, operationalization per project document should also be given to demonstration of full mine life cycle, without supporting expansion of ASGM locations.

#### *5.2.3 Proposals for future directions underlining main objectives*

13) Ensure the effectiveness of local mining environmental activities, through a stronger coordination between the EMSAGS implementing partners and the local governments. It will also allow final beneficiaries ownership of the project results.

14) Organize other visits to the pilot sites areas by end of January 2022, to select and ensure the execution of alternative technologies for responsible mining pilot interventions and create more involvement with miners.

15) Start implementation activities at the 2 sites as agreed within the PB and initiate activities at the third site at a later stage, benefiting from the experience of the first two sites.

## 6 ANNEXES

### Annex I: MTR ToR (Excluding ToR annexes)

#### Mid-Term Review Terms of Reference Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Artisanal and Small-Scale Gold Mining (ASGM) (PIMS5627)

##### 1. INTRODUCTION

This is the Terms of Reference (ToR) for the Midterm Review (MTR) of the full -sized UNDP-supported GEF-financed project titled Improving Environmental Management in the Mining Sector of Suriname, with Emphasis on Artisanal and Small Scale Gold Mining (ASGM) (PIMS5627) implemented through the Ministry of Natural Resources (MNR) with the National Institute for Environment and Development in Suriname (NIMOS) as Responsible Party, which is to be undertaken in 2021. The project started on the 24 May 2018 and is in its third year of implementation. This ToR sets out the expectations for this MTR. The MTR process must follow the guidance outlined in the document [Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#) .

##### 2. PROJECT BACKGROUND INFORMATION

The project was designed to: (provide a brief introduction to the project including project goal, objective and key outcomes, its location, timeframe, the justification for the project, total budget and planned co-financing.

The project seeks to improve the environmental management of mining in Suriname, particularly small-scale gold mining, which is the largest driver of deforestation in the country and contributes to biodiversity loss (through habitat degradation and pollution), climate change (through deforestation) and unsustainable land, water and forest management.

The project addresses policy and institutional constraints to improved management of ASGM as a sector as well as to create an enabling environment for the dissemination of environmentally responsible mining practices. To do so, the project works at the policy level under outcome 1 on institutional capacity, inter-institutional coordination and availability of funding increased for improved management of ASGM and outcome 2 policy and planning framework for the management of the environmental impacts of ASGM mining strengthened. At demonstration project site level under outcome 3 on uptake of environmentally responsible artisanal small-scale gold mining practices increased. This to demonstrate the environmental and economic benefits of environmentally responsible mining practices (ERMPs) and technologies. The model proposed is one that relies on the identification of benefits for miners that arise from the application of ERMPs, including social and economic benefits, as well as the design of a system of national level financial, fiscal and regulatory incentives to help re-orient the market towards more responsibly sourced gold. Based on the lessons learned from this model, the project will implement an upscaling strategy that will include knowledge sharing at local and national level, as well as with neighbouring countries (Outcome 4). The knowledge sharing will also benefit the design of policies and implementation of demonstration sites. All four components are implemented by national implementation partners in close coordination with other government stakeholders, civil society as well as with miners themselves.

As of June 10th, Suriname now reports a cumulative total of 17,576 confirmed cases with the transmission category remaining that of community transmission. There are 384 reported deaths resulting from COVID-19 infection with the crude case fatality ratio still at 2.2%. The infection rate for the country is now 3,051 per 100,000 population (total population-575,991) with a 7-day cumulative incidence of 319.1 per 100,000

population compared to 269.1 per 100,000 in the previous week. The effective  $R_t$  is 1.11 [1.07 – 1.15], compared to 1.12 in the previous week.

As of 13 March 2020 Suriname, registered its first COVID-19 case, from Monday 16 March the Suriname imposed travel restrictions for international travel as well as domestic travel. With the exception of short periods these restrictions remain in place, making international travel to Suriname limited to repatriation and as of June 2021 essential travel. The UNDP country Office has been in Business Continuity Procedure mode and working from home as of 16 March 2020 to date, with no Official business travel permitted. For a project that has a International consultant support mechanism as well as substantial field activities more than 60% of budget linked to field activities, travel restrictions have directly impacted the project in addition to simply not being able to hold meetings in the field with local communities and ASGMiners. Suriname held general elections in May 2020, with newly elected government taking office in July 2020, with the COVID-19 situation requiring virtual technical and Project Board meetings resulted in more time being needed to engage the new leadership at the Ministry of Natural Resources on this project in general as well as decision making on ASGM demonstration sites.

UNDP under overall guidance of the UN in Suriname has spearheaded the preparation of the Social Economic Impact Assessment as result of COVID-19. This report succinctly captures the main social and economic impacts and proposed measures to alleviate these impacts. The report includes a results and resource framework with actionable steps and associated indicators to measure impact of action. Complementary to the COVID-19 SEIA, the UNDP under its social development programme together with Indigenous Peoples organisations VIDS deployed Rapid Digital SEIA of Indigenous Households in Suriname.

### **3. MTR PURPOSE**

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project's strategy and its risks to sustainability.

The GEF Operational Focal Point and other stakeholders will be involved and consulted during the Mid-Term Review process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser and approved by the Project Board. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated.

### **4. MTR APPROACH & METHODOLOGY**

The MTR is scheduled to be undertaken from Sept 2021 and completed by 24 Nov 2021. Given the nature of the project this is ideally done with in country mission taking place. The Country Office supported by the project management team will be prepared for plan B namely through remote evaluation.

The MTR report must provide evidence-based information that is credible, reliable and useful.

The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP), the Project Document, project reports including annual PIRs, project budget revisions, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review. The MTR team will review the baseline GEF focal area Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach<sup>5</sup> ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), the Nature, Climate and Energy (NCE) Regional Technical Advisor, direct beneficiaries, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR.<sup>6</sup> Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to (list Ministry of Natural Resources, National Institute for Environment and Development in Suriname, Ministry of Spatial Planning and Environment, Geological Mining Department, WWF/ARM); executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to (location Brokopondo and Marowijne/Sipaliwini), including the following project sites (list to be determined). To facilitate virtual mission communication tools such as however not limited to will be presented to the MTR team: WhatsApp, Zoom, Google meet and surveys, Skype, MS Teams, Telephone.

The specific design and methodology for the MTR should emerge from consultations between the MTR team and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The MTR team must, however, use gender-responsive methodologies and tools and ensure that gender equality and women's empowerment, as well as other cross-cutting issues and SDGs are incorporated into the MTR report.

The final methodological approach including interview schedule, field visits and data to be used in the MTR must be clearly outlined in the Inception Report and be fully discussed and agreed between UNDP, stakeholders and the MTR team.

The final MTR report must describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

As of 11 March 2020, the World Health Organization (WHO) declared COVID-19 a global pandemic as the new coronavirus rapidly spread to all regions of the world. Travel to the country has been restricted since 16/03/21 and travel in the country is also restricted. If it is not possible to travel to or within the country for the MTR mission then the MTR team should develop a methodology that takes this into account the conduct of the MTR virtually and remotely, including the use of remote interview methods and extended desk reviews, data analysis, surveys and evaluation questionnaires. This should be detailed in the MTR Inception Report and agreed with the Commissioning Unit.

If all or part of the MTR is to be carried out virtually then consideration should be taken for stakeholder availability, ability or willingness to be interviewed remotely. In addition, their accessibility to the internet/computer may be an issue as many government and national counterparts may be working from home. These limitations must be reflected in the final MTR report.

If a data collection/field mission is not possible then remote interviews may be undertaken through telephone or online (skype, zoom etc.). International consultants can work remotely with national evaluator support in the field if it is safe for them to operate and travel. No stakeholders, consultants or UNDP staff should be put in harm's way and safety is the key priority.

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<sup>5</sup> For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

<sup>6</sup> For more stakeholder engagement in the M&E process, see the [UNDP Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 3, pg. 93.

A short validation mission may be considered if it is confirmed to be safe for staff, consultants, stakeholders and if such a mission is possible within the MTR schedule. Equally, qualified and independent national consultants can be hired to undertake the MTR and interviews in country as long as it is safe to do so.

## 5. DETAILED SCOPE OF THE MTR

The MTR team will assess the following four categories of project progress.

What key COVID-related challenges have impacted the project activities?

Has the context changed significantly due to COVID-19 that the project objective may not be realized, and the project should be restructured?

In light of the COVID-19 pandemic, what support do you need to achieve the project results on time and on budget?

### i. Project Strategy

#### Project design:

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country (or of participating countries in the case of multi-country projects)?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects for further guidelines*.
  - Were relevant gender issues (e.g. the impact of the project on gender equality in the programme country, involvement of women's groups, engaging women in project activities) raised in the Project Document?
- If there are major areas of concern, recommend areas for improvement.

#### Results Framework/Logframe:

- Undertake a critical analysis of the project's logframe indicators and targets, assess how "SMART" the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women's empowerment, improved governance etc...) that should be included in the project results framework and monitored on an annual basis.
- Ensure broader development and gender aspects of the project are being monitored effectively. Develop and recommend SMART 'development' indicators, including sex-disaggregated indicators and indicators that capture development benefits.

### ii. Progress Towards Results

#### Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix and following the *Guidance For Conducting Midterm Reviews of UNDP-*

*Supported, GEF-Financed Projects*; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).

**Table. Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)**

Project Strategy	Indicator <sup>7</sup>	Baseline Level <sup>8</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>9</sup>	End-of-project Target	Midterm Level & Assessment <sup>10</sup>	Achievement Rating <sup>11</sup>	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

**Indicator Assessment Key**

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards outcomes analysis:

- Compare and analyse the GEF Tracking Tool/Core Indicators at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.
- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

### iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.
- Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
- What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?

<sup>7</sup> Populate with data from the Logframe and scorecards

<sup>8</sup> Populate with data from the Project Document

<sup>9</sup> If available

<sup>10</sup> Colour code this column only

<sup>11</sup> Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

#### Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out by the Commissioning Unit and project team, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US\$)	Actual Amount Contributed at stage of Midterm Review (US\$)	Actual % of Expected Amount
	Ministry of Natural Resources	In-kind	7,000,000		
	NIMOS	In-kind	1,400,000		
	WWF-Guianas	Grant	932,000		
	Tulane University, School of Public Health and Tropical Medicine	Grant	1,600,000		
	Medische Zending (MZ) Primary Health Care Suriname	Grant	1,000,000		
	Suriname Environment and Mining Foundation (SEMIF)	Grant	2,500,000		
	Grassalco Mining co,	Grant	2,500,000		
	Newmont Mines	Grant	2,200,000		
	Rosebel Gold Mines	Grant	2,000,000		
	UNDP Suriname	Grant	1,000,000		
		<b>TOTAL</b>	22,132,000		

- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes each co-financing amount as 'investment mobilized' or 'recurrent expenditures'. (This template will be annexed as a separate file.)

#### Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?



- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?
- Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.

#### Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?
- How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women's participation in the project. What can the project do to enhance its gender benefits?

#### Social and Environmental Standards (Safeguards)

- Validate the risks identified in the project's most current SESP, and those risks' ratings; are any revisions needed?
- Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
  - The project's overall safeguards risk categorization.
  - The identified types of risks<sup>12</sup> (in the SESP).
  - The individual risk ratings (in the SESP).
- Describe and assess progress made in the implementation of the project's social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project's design; refer to Question 6 in the SESP template for a summary of the identified management measures.

A given project should be assessed against the version of UNDP's safeguards policy that was in effect at the time of the project's approval.

#### Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Board.
- Assess how well the Project Team and partners undertake and fulfil GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

#### Communications & Knowledge Management:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?

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<sup>12</sup> Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEF's "types of risks and potential impacts": Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labor and Working Conditions; Community Health, Safety and Security.

- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.
- List knowledge activities/products developed (based on knowledge management approach approved at CEO Endorsement/Approval).

#### **iv. Sustainability**

- Validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the ATLAS Risk Register are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

##### Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

##### Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

##### Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

##### Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

#### **Conclusions & Recommendations**

The MTR team will include a section in the MTR report for evidence-based conclusions, in light of the findings.

Additionally, the MTR consultant/team is expected to make recommendations to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The MTR team should make no more than 15 recommendations total.

## Ratings

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

**Table. MTR Ratings & Achievement Summary Table for (Project Title)**

Measure	MTR Rating	Achievement Description
<b>Project Strategy</b>	N/A	
<b>Progress Towards Results</b>	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
<b>Project Implementation &amp; Adaptive Management</b>	(rate 6 pt. scale)	
<b>Sustainability</b>	(rate 4 pt. scale)	

## 6. TIMEFRAME

The total duration of the MTR will be approximately (31) working days over a time period of (16) weeks, and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

General timeline Midterm Review (MTR) for EMSAGS/PIMS 5627				
Key steps	indicative date completion	Lead	Support	Deliverable
Posting of TOR's/GPN	16-Jul-21	UNDP	Non-Applicable	Advertisement inclusive international ToR
Closing of posting TOR/GPN	31 Jul-21			
Short Listing/Interview	06-Aug-21	UNDP	EMSAGS PMU and PB	Review reports with recommendations (Intern + National)
Contracting	12-Aug-21	UNDP	Non-Applicable	UNDP Contract
Time Frame for Review process Home based	20-Aug-21	UNDP	EMSAGS PMU and PB	Inception Report, Stakeholder list, meeting schedule, interview report, recommendation/discussion on EMSAGS TOC/RRF

Literature review, IC Report and list of interviewees Home based	20-Sep-21	UNDP/International + Local Consultant	EMSAGS PMU and PB	Inception Report, Stakeholder list, meeting schedule, interview report, recommendation/discussion on EMSAGS TOC/RRF
Interviewees and optional country mission and field visits completed	21-Oct-21	UNDP/International + Local Consultant	EMSAGS PMU and PB	Outline draft report and PPT MTR process and initial findings
Report writing Home based	05-Nov-21	UNDP/International Consultant	EMSAGS PMU and PB	1st draft MTR report
Expected completion date for MTR	18-Nov-21	UNDP/International Consultant	EMSAGS PMU and PB	final MTR inclusive of Management Response

ACTIVITY	NUMBER OF WORKING DAYS	COMPLETION DATE
Document review and preparing MTR Inception Report (MTR Inception Report due no later than 2 weeks before the MTR mission)	4 days	(9/20/2021)
MTR mission: stakeholder meetings, interviews, field visits Alternative plan B virtual methodology would use virtual mission communication tools such as however not limited to will be presented to the MTR team: WhatsApp, Zoom, Google meet and surveys, Skype, MS Teams, Telephone. If virtual interviews could be started late Sept/early October 2021.	14 days	(10/06/2021)
Presentation of initial findings- last day of the MTR mission	1 day	(10/21/2021)
Preparing draft report (due within 3 weeks of the MTR mission)	8 days	(11/5/2021)
Finalization of MTR report/ Incorporating audit trail from feedback on draft report (due within 1 week of receiving UNDP comments on the draft))	4 days	(11/18/2021)

Options for site visits should be provided in the Inception Report.

## 7. MIDTERM REVIEW DELIVERABLES

#	Deliverable	Description	Timing	Responsibilities
1	<b>MTR Inception Report</b>	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission	MTR team submits to the Commissioning Unit and project management
2	<b>Presentation</b>	Initial Findings	End of MTR mission	MTR Team presents to project management and the Commissioning Unit

<b>3</b>	<b>Draft MTR Report</b>	Full draft report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
<b>4</b>	<b>Final Report*</b>	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 1 week of receiving UNDP comments on draft	Sent to the Commissioning Unit

\*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

## 8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is the UNDP Suriname Country Office.

The Suriname Country Office will contract the consultants and ensure the timely provision of per diems and travel arrangements within the country for the MTR team and will provide an updated stakeholder list with contact details (phone and email). The Project Management Unit, based at the National Institute for Environment and Development (NIMOS), will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

## 9. TEAM COMPOSITION

A team of two independent consultants will conduct the MTR - one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team expert, usually from the country of the project. The team leader will (be responsible for the overall methodology, design, presentation of findings and writing of the evaluation report, etc.) The Institutional expert will (assess emerging trends with respect to Institutional and regulatory frameworks, national policies and strategies, budget allocations, capacity building, work with the Suriname Country Office and Project Management Unit in developing the TE itinerary, etc.)

The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project's related activities.

The selection of consultants will be aimed at maximizing the overall "team" qualities in the following areas:

### Education

- A Master's degree in in Mining, Ecology, Environmental Sciences, Social Sciences and Environmental Management), or other closely related field

### Experience

- Relevant experience with result-based management evaluation methodologies;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to (GEF Focal Area Sustainable Land Management, Biodiversity and Climate Change);
- Experience in evaluating projects;
- Experience working in (LAC region);

- Experience in relevant technical areas for at least 10 years;
- Demonstrated understanding of issues related to gender, and (*GEF Focal Area Sustainable Land Management, Biodiversity and Climate Change*), preferably in relation to Artisanal and Small Scale Goldmining;
- Experience in gender sensitive evaluation and analysis.
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset;
- Experience with implementing evaluations remotely will be considered an asset.

#### Language

- Fluency in written and spoken English.

### **10. ETHICS**

The MTR team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This MTR will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation'. The MTR team must safeguard the rights and confidentiality of information providers, interviewees and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The MTR team must also ensure security of collected information before and after the MTR and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information, knowledge and data gathered in the MTR process must also be solely used for the MTR and not for other uses without the express authorization of UNDP and partners.

### **11. PAYMENT SCHEDULE**

- 20% payment upon satisfactory delivery of the final MTR Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft MTR report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final MTR report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%<sup>13</sup>:

- The final MTR report includes all requirements outlined in the MTR TOR and is in accordance with the MTR guidance.
- The final MTR report is clearly written, logically organized, and is specific for this project (i.e. text has not been cut & pasted from other MTR reports).
- The Audit Trail includes responses to and justification for each comment listed.

In line with the UNDP's financial regulations, when determined by UNDP Suriname Country Office and/or the consultant that a deliverable or service cannot be satisfactorily completed due to the impact of COVID-19 and limitations to the MTR, that deliverable or service will not be paid

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<sup>13</sup> The Commissioning Unit is obligated to issue payments to the MTR team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the MTR team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit's senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters.

## 12. APPLICATION PROCESS<sup>14</sup>

### Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)<sup>15</sup> provided by UNDP;
- b) **CV** and a **Personal History Form** ([P11 form](#))<sup>16</sup>;
- c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- d) **Financial Proposal** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the [Letter of Confirmation of Interest template](#). If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

All application materials should be submitted by email at the following address ONLY: [procurement.sr@undp.org](mailto:procurement.sr@undp.org) by **24.00 and 3 August 2021**. Incomplete applications will be excluded from further consideration.

**Criteria for Evaluation of Proposal:** Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70% and the price proposal will weigh as 30% of the total scoring. The applicant receiving the Highest Combined Score that has also accepted UNDP's General Terms and Conditions will be awarded the contract.

<sup>14</sup> Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: <https://info.undp.org/global/popp/Pages/default.aspx>

<sup>15</sup>

<https://intranet.undp.org/unit/bom/psd/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

<sup>16</sup> [http://www.undp.org/content/dam/undp/library/corporate/Careers/P11\\_Personal\\_history\\_form.doc](http://www.undp.org/content/dam/undp/library/corporate/Careers/P11_Personal_history_form.doc)

## Annex II: MTR Evaluative matrix (evaluation criteria with key questions, indicators, sources of data, and methodology)

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
<ul style="list-style-type: none"> <li>How realistic were the project's intended outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which the project supports national environmental Objectives</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li></li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> </ul>
<ul style="list-style-type: none"> <li>Were the project's objectives and components relevant, according to the social and political context?</li> </ul>	<ul style="list-style-type: none"> <li>Degree of coherence between the project and national priorities, policies and strategies</li> </ul>	<ul style="list-style-type: none"> <li>Min of Finance; Environment Coordination (Office of the president), Project team, UNDP</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
<ul style="list-style-type: none"> <li>Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?</li> </ul>	<ul style="list-style-type: none"> <li>Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities</li> </ul>	<ul style="list-style-type: none"> <li>Project partners and relevant stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
<ul style="list-style-type: none"> <li>Are the stated assumptions and risks logical and robust? And did they help to determine activities and planned outputs?</li> </ul>	<ul style="list-style-type: none"> <li>Coherence between needs expressed by national stakeholders and UNDP CDP priorities</li> </ul>	<ul style="list-style-type: none"> <li>Extent to which the project is actually implemented in line with incremental cost argument</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> </ul>
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			



<ul style="list-style-type: none"> <li>To what extent were project results achieved?</li> </ul>	<ul style="list-style-type: none"> <li>See indicators in the project document results framework and log frame</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> </ul>
<ul style="list-style-type: none"> <li>In what ways are long-term emerging effects to the project foreseen?</li> </ul>	<ul style="list-style-type: none"> <li>Level of coherence between project expected results and project design internal logic</li> </ul>	<ul style="list-style-type: none"> <li>Environment Coordination (Office of the president), MDS; Project team, UNDP</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
<ul style="list-style-type: none"> <li>Were the relevant representatives from government and civil society involved in project implementation, including as part of the project steering committee?</li> </ul>	<ul style="list-style-type: none"> <li>Level of coherence between project design and project implementation approach</li> </ul>	<ul style="list-style-type: none"> <li>Project partners and relevant stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> </ul>
<ul style="list-style-type: none"> <li>Was an intergovernmental committee given responsibility to liaise with the project team, recognizing that more than one ministry should be involved?</li> </ul>	<ul style="list-style-type: none"> <li>Level of coherence between project design and project implementation approach</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> </ul>
<b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b>			
<ul style="list-style-type: none"> <li>Was adaptive management used and if so, how did these modifications to the project contribute to obtaining the objectives?</li> </ul>	<ul style="list-style-type: none"> <li>Quality of existing information systems in place to identify emerging risks and other issues</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> </ul>
<ul style="list-style-type: none"> <li>How did institutional arrangements influence the project's achievement of results?</li> </ul>	<ul style="list-style-type: none"> <li>Quality of risk mitigations strategies developed and followed</li> </ul>	<ul style="list-style-type: none"> <li>ROGB, MDS; WLA; Environment Coordination (Office of the president) ; Project team, UNDP</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
<ul style="list-style-type: none"> <li>Were the indicators provided in the Project Document effectively used for measuring progress and performance?</li> </ul>	<ul style="list-style-type: none"> <li>Occurrence of change in project design/ implementation approach (i.e. restructuring) when needed to improve project efficiency</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> <li>Environment Coordination (Office of the president); NIMOS, Min of Finance Project team, UNDP</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>

<ul style="list-style-type: none"> <li>Were baseline conditions, methodology and roles and responsibilities well-articulated at project start-up?</li> </ul>	<ul style="list-style-type: none"> <li>Occurrence of change in project design/implementation approach (i.e. restructuring) when needed to improve project efficiency</li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> </ul>	<ul style="list-style-type: none"> <li>Interviews; Document analysis</li> </ul>
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
<ul style="list-style-type: none"> <li>In what way may the benefits from the project be maintained or increased in the future?</li> </ul>	<ul style="list-style-type: none"> <li>See indicators in project document results framework and log frame</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and reports</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> </ul>
<ul style="list-style-type: none"> <li>Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence that particular partnerships/linkages will be sustained</li> </ul>	<ul style="list-style-type: none"> <li>NIMOS, Project team, UNDP; Grantees</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
<ul style="list-style-type: none"> <li>Which of the project's aspects deserve to be replicated in future initiatives?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence that particular practices will be sustained</li> </ul>	<ul style="list-style-type: none"> <li>NIMOS, Project team, UNDP; Environment Coordination (Office of the president);</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>
<ul style="list-style-type: none"> <li>Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence that Mainstreaming has taken place and SLM concepts are integrated in multiple sectors' policies.</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and reports</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> </ul>
<b>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</b>			
<ul style="list-style-type: none"> <li>Are there verifiable reductions in stress on ecological systems?</li> </ul>	<ul style="list-style-type: none"> <li>See indicators in project document results framework and log frame</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and evaluations</li> </ul>	<ul style="list-style-type: none"> <li>Document analysis</li> </ul>
<ul style="list-style-type: none"> <li>Is there demonstrated progress towards these impact achievements?</li> </ul>	<ul style="list-style-type: none"> <li>NFIS; national portals and websites</li> </ul>	<ul style="list-style-type: none"> <li>SBB</li> <li>Project team</li> <li>Project partners and relevant stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> </ul>

## Annex III: Example Questionnaire used for data collection

### Relevance

- 1 - How realistic were the project's intended outcomes?
- 2 - Does the project support national environmental Objectives?
- 3 - Were the project's objectives and components relevant, according to the social and political context? Are they still relevant?
- 4 - Have stakeholders and final beneficiaries been involved in the project design?
- 5 - Were lessons from other relevant projects properly incorporated into the project design?
- 6 - Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?
- 7 - Is the project design coherent with national realities and existing capacities?
- 8 - Are the stated assumptions and risks logical and robust? And did they help to determine activities and planned outputs? Are they in line with UNDP CDP priorities?

### Effectiveness

- 9 - To what extent were project results achieved? (logframe)
- 10 - In what ways are long-term emerging effects to the project foreseen? (coherence between project expected results and project design internal logic)
- 11 - Which were the main causes of delay, have they been resolved?
- 12 - Were the relevant representatives from government and civil society involved in project implementation, including as part of the project steering committee?
- 13 - Was an intergovernmental committee given responsibility to liaise with the project team, recognizing that more than one ministry should be involved?
- 14 - Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- 15 - Are monitoring tools aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- 16 - Are sufficient resources being allocated to monitoring and evaluation?
- 17 - How do you judge the support provided by the GEF Partner Agency (UNDP)?
- 18 - Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received?

### Efficiency

- 19 - Was adaptive management used and if so, how did these modifications to the project contribute to obtaining the objectives? (Quality of existing information systems in place)

20 - Have changes been made and are they effective?

21 - How did institutional arrangements influence the project's achievement of results? (Quality of risk mitigations strategies)

22 - Were the indicators provided in the Project Document effectively used for measuring progress and performance?

23 - Is there evidences of occurrence of change in project design/ implementation approach to improve project efficiency?

24 - Were baseline conditions, methodology and roles and responsibilities well-articulated at project start-up?

25 - Have changes to fund allocations been made? In case are the appropriate and relevant?

26 - Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?

27 - Is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

28 - To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

### **Sustainability**

29 - In what way may the benefits from the project be maintained or increased in the future?

30 - Are already there (or foreseen) other funding source to continue the project activities? (Financial risks to sustainability)

31 - Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?

32 - Do the various key stakeholders see that it is in their interest that the project benefits continue to flow?

33 - Is there sufficient public / stakeholder awareness in support of the long-term objectives of the project?

34 - Are there any social or political risks that may jeopardize sustainability of project outcomes?

35 - Which of the project's aspects deserve to be replicated in future initiatives?

36- Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits?

37 - Has mainstreaming taken place and SLM concepts are integrated in multiple sectors' policies?

### **Impact**

38 -Are the project able to provide sustainable development benefits, as well as global environmental benefits?  
Are there verifiable reductions in stress on ecological systems?  
Is there demonstrated progress towards these impact achievements?

39 - Are private sector representative of the medium or large-scale mining industry included to the Project Board?

### **Gender**

40 - Were relevant gender issues (e.g. the impact of the project on gender equality in the programme country, involvement of women's groups, engaging women in project activities) raised in the Project Document?

41 - What can the project do to enhance its gender benefits?

42 - How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys?

43 - Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? how?

44 - What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?

45 - What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

46 - Are gender issues incorporated in monitoring systems?

47 - Are there any legal, cultural, or religious constraints on women's participation in the project?

48 - Have any required social and environmental assessments and/or management plans been prepared in the reporting period?

## Annex IV: MTR Ratings Scale

<b>Ratings for Progress Towards Results: (one rating for each outcome and for the objective)</b>		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

<b>Ratings for Project Implementation &amp; Adaptive Management: (one overall rating)</b>		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

<b>Ratings for Sustainability: (one overall rating)</b>		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

## Annex V: MTR mission itinerary

# Mission Report

Midterm Review EMSAGS Project

Guido Mattei (international consultant) and Ria Jharap (national consultant)  
11-30-2021

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Acronyms and Abbreviations

ASGM	Artisanal Small scale Gold mining
CO	Country Office
EMSAGS	Environmental Management of Suriname Artisanal Goldmining Sector
ERM	Environmentally responsible mining
FPIC	Free, Prior and Informed Consent
M&E	Monitoring and Evaluation
MNR	Ministry of Natural Resources
MTR	Mid-Term Review
NIMOS	National Institute for Environment and Development in Suriname
NGO	Non-Governmental Organisation
PMU	Project Management Unit
SEMIF	Stichting Suriname Environmental and Mining Foundation
UNDP	United Nations Development Programme
WWF	World Wildlife Fund

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## Introduction

With the EMSAGS project in its midterm, an independent external midterm review (MTR) is currently carried out by an international consultant, Guido Mattei, supported by a national consultant, Ria Jharap. Due to the Covid pandemic with its fourth wave ongoing in the country, the situation is not safe enough for the international consultant to visit the country, thus the MTR being conducted remotely with on the ground support from the national consultant. The MTR is supposed to be finalized end of November 2021.

As part of the MTR, next to consulting local authorities and partners of the EMSAGS project, a field mission to the hinterland was projected to take place with the aim to perform site-visits and consult stakeholders such as small scale miners as they are the beneficiaries of the said project. However due to the ongoing Covid pandemic in the country, field mission and physical interviews were not possible, resulting in consulting all relevant stakeholders, including those based in Paramaribo, remotely.

## Background and Purpose

The EMSAGS (Environmental Management of Suriname Artisanal Goldmining Sector) project seeks to improve the environmental management of mining in Suriname, particularly small-scale gold mining by removing the barriers to the successful application of environmentally responsible gold mining techniques in artisanal small-scale mining in order to contribute to biodiversity conservation, climate change mitigation, and reduction of land degradation.

The project's four outcomes are:

1. Institutional capacity, inter-institutional coordination and availability of funding increased for improved management of ASGM;
2. Policy and planning framework for the management of the environmental impacts of ASGM strengthened;
3. Uptake of environmentally responsible artisanal and small-scale gold mining practices increased;
4. Knowledge availability and sharing increased at the national and regional scale on environmentally responsible ASGM.

Outcomes 1 and 2 focus on the policy level and addresses policy and institutional constraints to improve management of the ASGM sector. Environmentally responsible mining practices (ERMPs) and technologies play an important role in outcome 3. Demonstrating these practices and technologies, the miners will learn about the environmental and economic benefits. Outcome 4 will implement an up scaling strategy including knowledge sharing based on the lessons learned from the outputs of outcome 3.

Stakeholders, such as the government institutions, UNDP, partners in the EMSAGS project including the mining companies, artisanal small scale miners (the beneficiaries) and NGOs all play an important part in all 4 outcomes. As such, these stakeholders were interviewed with the purpose of taking stock of status in progress of the EMSAGS project and its implementation process.

## Virtual Interviews

As mentioned before, field visits and physical interviews were not possible due to the Covid pandemic, thus all interviews took place virtually using telephone and Zoom with support from the PMU EMSAGS within the period 4 October 2021 – 25 October 2021. A total of twenty-two (22) interviews were carried out as the consultants preferred to have one-on-one interviews. All interviews were managed in a confidential way. Table 1 depicts an overview of all interviewees.

Table 1: Overview of interviewed stakeholders

Stakeholder/ Organisation	Representative	Function
NIMOS PMU	Anil Pershad	Interim Project Manager
	Minouschka Fernand	Finance and Administrative officer
	Stephan Metcalf	Chief Technical Advisor
	Patience Singo	ERM expert
	Gina Griffith	Legal Adviser
	Cedric Nelom	Acting Director NIMOS
UNDP	Margaret Jones Williams	Deputy Resident Representative
	Bryan Drakenstein	CO Focal Point/ Programme Specialist, Energy and Environment
	Anuradha Khoen Khoen	Programme Assistant Energy & Environment
	Alexandra Fischer	Regional Technical Advisor
Ministry Of Natural Resources	Mr. Dave Abeleven	former Permanent Secretary, before election of May 2020
	Ms. Thania Chin A Lin	Secretary to the Minister
	Ms. Angela Monorath	Deputy Director Mining
	Mr. David Abiamfo	Minister of Natural Resources
Ministry of Spatial Planning and Environment	Mr. Ritesh Sardjoe	Permanent Secretary Environment
	Mrs. Merdith Cumberbatch	Policy adviser
WWF	Farzia Hausil	Governance Coordinator WWF
Artisanal Gold Council	Marieke Heemskerk	Consultant AGSM and Gender
Grassalco	Wesley Rozenhout	President Grassalco
IAMGold (Rosebel Goldmines)	Jerry Finisie	Sustainability Manager IAMGOLD
	Marijke Agwense	Small scale mining IAMGOLD
Newmont	Winston Wielson	ASM Chief
SEMIF	Vishal Premchand	Chair of SEMIF
Small scale miner	Erwin Kamil	Camp Mining, a small scale gold mining company
Small scale miner	Jurgen Plein	Secretary Small scale miners organisation 'Makambao'
Small scale miner	Mr. Naana	Camp Mining, a small scale gold mining company
Consultant	Ingela Sitaram	Former Project Manager (PMU EMSAGS)
Consultant	Annette Tjon Sie Fat	Gender expert

The consultants contacted also other stakeholders for an interview, unfortunately with no response (see table 2).

*Table 2: Contacted stakeholders with no response*

Stakeholder/ Organisation	Representative	Function
Ministry of Spatial Planning and Environment	Silvano Tjong-Ahin	Minister
UNDP	Jairo Valverde Bermudez	UNDP Resident Representative for Suriname and Guyana
Ministry of Natural Resources, FPIC unit	Fidelia Graand-Galon	FPIC expert

During the interviews, the consultants focused questions around the following main criteria:

- The relevance of the project (e.g. are intended outcomes still realistic, are objectives still relevant)
- Effectiveness of the project (e.g. what challenges are causing delays, any signs of progress toward outcomes, monitoring of the project)
- Efficiency of the project (e.g. how did challenges be overcome, adaptive management)
- Sustainability of the project (e.g. financial/social/political/environmental risks to sustainability, sufficient awareness in support of long term objectives)
- Impact achievements (also considering the other ongoing mining projects)
- Stakeholder involvement and Gender (e.g. gender issue within the project)

Annex 1 provides a full list of questions used as a guidance for the semi structured interviews.

Below table 3 presents an overview of statements, quotations and observations from the interviews, structured according to the above mentioned criteria. This complements the comprehensive overview of the findings from all interviews which can be found in the presentation “MTR Initial Findings”, shared with the Project Board and the UNDP on October 30<sup>th</sup>, 2021.

*Table 3: Extractions from the interviews in terms of statements, quotations and observations*

<b>Criteria</b>	<b>Factual statements, quotations and observations from the interviews</b>
<i>Relevance of the project ( incl. Project design, Objectives etc)</i>	All interviewees firmly expressed the relevance of the project still being very much actual as the ASGM contributes up to 40% of the gold sector. Second, mining is the main driver for deforestation and degradation in the country and Suriname is the most forested country in the world. The project also reflects relevance in getting Suriname up to sign to the Minamata convention. And with this project, together with the MIA and the NAP, Suriname will be able to implement the Minamata convention.

	<p>The project is in line with national policy and will enable Suriname reaching other national goals and commitments we made international.</p> <p>The objectives remains fully valid. They improve the management of ASGM and promote uptake of environmentally responsible small scale mining technologies.</p> <p>The interpretation and limitations in the PRODOC needs to be revised. The PRODOC can be interpreted in different directions and ways.</p> <p>In my opinion, this project was written without having the proper knowledge of small scale mining.</p> <p>I had a few doubts. Like which alternative technology will they present in the MTEC. Every site is different. So you can't have one type of equipment for all mining sites. They also didn't take into account the scale of the operation. Also who's going to manage the gold that is generated?</p> <p>The PRODOC needs to be changed on the operational aspects of the MTECs, not on the final objectives. Those are okay.</p>
<i>Effectiveness of the project</i>	<p>Institutional issues are important causes of delay in terms of lack of capacity, lack of following up, and lack of timely decision making. Issues have been brought up in the meetings time and time again, and there have been no follow up.</p> <p>The project can not only focus on the outcome related to the MTECs.</p> <p>The project also has other outcomes related to knowledge management, capacity building and policy works. In terms of policy works, an analysis is needed regarding the differences and similarities on policy works between the World Bank loan project and this project. The PRODOC commits a certain policy works.</p> <p>It's been very frustrating overseeing this project. Lack of institutional decision making in the selection of MTECs sites.</p> <p>Nimos wants to have mining sites in areas with only tailing management, sites that are already been deforested. Where the MNR or some of the stakeholders are interested in demonstrating the whole mining-cycle.</p> <p>This discussion also causes delays in progress.</p> <p>Setting up MTECs only in areas where there is tailing, can be a pre-limited and unrealistic approach.</p> <p>Some interviewees are aware of the indicators of the logical framework, but as there are no results yet, they find it far too early to use the Logical framework as a monitoring tool.</p> <p>Having the project run by two different institutions (MNR and NIMOS) is not working well.</p>
<i>Efficiency of the project</i>	<p>Adaptive management was not sufficient enough. Focus was too much on the site location of the MTECs and not that much on the other outcomes of the project related to knowledge management, policy outcomes and capacity building. Due to the Covid-pandemic, visits to the interior were not possible in addition to the excursion to French-Guiana.</p> <p>The PM does not have a final say in a lot of things. The PM is in practice just an administrative officer and does not have the mandate to make decisions.</p> <p>The responsibilities are split between the ministry of SP&amp;E and MNR. Cooperation between the ministries is not efficient enough.</p> <p>Have one institution. And that institution should be able to work in a flexible way with the PRODOC. The PRODOC should be a living organism. It was written 5-7 years ago and some things have changed.</p>

	You need a management that is flexible, non-hierarchical and has creativity.
<i>Sustainability of the project</i>	<p>Risks will be higher, because environmental friendly technologies will be tested that have never been tested in Suriname. If it fails, you will never get the cooperation of those miners again. So, it is much safer to do the pilot close to Paramaribo, easy to access and act if anything happens or is needed.</p> <p>One of the challenges is that the PMU is understaffed with only the project coordinator and financial officer. That is not enough. They need more technical people. Consultations in the field are needed.</p> <p>The UNDP is losing its role as the organization that needs to make sure that the project is going along.</p> <p>The legal framework is outdated, but the mining sector is very much advanced. The law is actually not on-par with the actual situation. The law should provide a better platform, which everybody has to respect. Should make it easier for the project to strive. The environmental law is not yet enforced. When the framework is not working well, it becomes a weakness.</p> <p>Miners need to learn how to use their money, learn how to invest. And looking at funding opportunities. There were discussions to set up a fund.</p> <p>The key word for implementing this project is trust. If the miners don't trust we won't get any results vice versa. You need to look what has been done, learn from that and try to create the trust.</p> <p>The small-scale miners want to see actions, otherwise they won't believe in the project. If we're still talking they won't have trust.</p>
<i>Impact achievements</i>	<p>There hasn't been much progress yet. Now the project starts to work on community engagement. But from a broader strategic perspective we have been able to bring in other partners onboard. Talking to WWF and ARM, coordinate the collaboration in working. Also, we engage Newmont and we try to find how to collaborate EMSAGS project with their own project.</p> <p>Important is to demonstrate good results, in terms of mercury reduction, alternatives, the environment. This could inform policymaking.</p> <p>There has to be a stronger coordination between EMSAGS and MNR at the local level. Making sure that everybody owns these results.</p> <p>EMSAGS should start focusing on trying to help engage legal changes in mining sector. Is a really important first step. Otherwise these mining projects make no sense.</p> <p>The institutional framework needs to be strengthened. The GMD must be able to go to the field to control it. At the moment the GMD hasn't been going to the field for years. We can do some haphazard small projects, but it doesn't really make sense.</p> <p>If you have some shaking tables distributed on pilot site, nobody will use them after the project. Mercury is working fantastically; it is doing the job very well.</p>
<i>Stakeholder involvement and Gender</i>	<p>The small scale miners understand the impact mining has on the environment, but my experience is that they are not primarily driven by the environmental protection. They truly believe that the environment can correct itself. If you talk to them they will tell you that old mining pits have correct themselves, grass is growing again, fish can be see etc.</p>

The small scale miners are mainly driven by the financial aspect. That's why they are still interested in the environmental friendly technics, because they have heard that using those methods will yield more gold. They are driven by the profit.

The miners are eager to learn the environmental mining technics mainly because they understand that the yield is much higher than when using their own mining methods. They expressed the need in financial support in buying the environmental friendly mining equipment.

Engaging with these guys is not easy. Not easy to get them involved. You will only get them involved if you can improve their lives.

After the first stakeholder Platform meeting in July 2019, the beneficiaries were not involved in the process of the project. There was also no communication between the PMU/Ministries and beneficiaries.

I would advise that the communication line between the co-financers and PMU/MNR can be improved/ updated.

Men are mostly involved in the mining sector. The project promotes using environmental technics, but the miners can also chose to shift to other income activities. Women and children are then the direct beneficiaries from this.

ASGM is really a male oriented sector. There is no gender balance. In this area there is only female active and she has just stopped with mining recently. You have the brothels, some women are in management position, but overall the women act as cooks, cleaning ladies, pleasure activities etc. You don't see many local women here, mostly from Brazil and Dominican Republic. Chinese women play an important role in Paramaribo when equipment is bought and when they have to look for laborers to go into the mines.

## Annex VI: List of persons interviewed

Stakeholder/ Organisation	Representative	Function
NIMOS PMU	Anil Pershad	Interim Project Manager
	Minouschka Fernand	Finance and Administrative officer
	Stephan Metcalf	Chief Technical Advisor
	Patience Singo	ERM expert
	Gina Griffith	Legal Adviser
	Cedric Nelom	Acting Director NIMOS
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Artisanal Gold Council	Marieke Heemskerk	Consultant AGSM and Gender
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Consultant	Annette Tjon Sie Fat	Gender expert

## Annex VII: List of documents reviewed

Reviewed Documents
EMSAGS Project Document
GEF PIF Project Identification Form
Annual Workplans (2019, 2020, 2021)
Project Implementation Review (PIR) documents, Year 2018-2019, Year 2019 – 2020 and Year 2020 – 2021
Project Board Minutes of meetings (2019, 2020, 2021)
Inception Report (May 2019)
Stakeholders Platform minutes from June 2019
NIMOS – MNR Agreement
Stakeholders Engagement Plan (Annex L ProDoc)
Gender Mainstreaming Plan (Annex N ProDoc)
Capacity Scorecard (Annex Q ProDoc)
Expenditure overview tables (2019, 2020, 2021)
CDR Combined Delivery Reports (2018, 2019)
Procurement plans (2019, 2020, 2021)
The Mining Decree (1986)
The Mining Act (draft) (2004)
Environmental Assessment Guidelines Volume II – Mining (2005)
Nationally Determined Contributions (NDC, 2020)
National Climate Change Policy, Strategy and Action Plan for Suriname 2014-2021 (NCCPSAP, 2015)
Development Plan (OP) 2017-2022
Environmental Framework Act (2020)
Minamata Convention (ratified 2018)
National REDD+ Strategy



## Annex VIII: Signed UNEG Code of Conduct form

### Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.
8. Must ensure that independence of judgement is maintained and that evaluation findings and recommendations are independently presented.
9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

### MTR Consultant Agreement Form

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: GUIDO MATTEI

Name of Consultancy Organization (where relevant): \_\_\_\_\_

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at Terracina (Italy) (Place) on 07/01/2022 (Date)

Signature:



Signature: aficle Date: 07-Feb-2022