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Sida Decentralised Evaluation

NIRAS Sweden AB

Evaluation of the Environmental Governance Programme Phase 2, 2020 - 2023

Final Report

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**Final Report
April 2024**

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The views and interpretations expressed in this report are the authors' and do not necessarily reflect those of the Swedish International Development Cooperation Agency, Sida.

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Abbreviations and Acronyms

ACP	The African, Caribbean and Pacific Group of States
ASM	Artisanal and Small-Scale Mining
ASM	Chief Executive Board
CEB	Department of Management Strategy, Policy and Compliance
DMSPC	Environmental Governance Programme
EGP	EGP for Sustainable Natural Resource Management (sub-programme under the EGP)
EGP Mining	Partnership for Strengthened Environmental Governance within the UN system (sub-programme under the EGP)
EGP Partnership	Environmental Management Group
EMG	Environmental Management Systems
EMS	Environmental Protection Agency
EPA	Evaluation Question
EQ	European Union
EU	International Organization for Standardization
ISO	Ministry of Mines and Energy (Colombia)
MME	National Environmental Management Authority
NEMA	Non-Governmental Organisation
NGO	Organisation for Economic Co-operation and Development Development Assistance Committee
OECD/DAC	Participatory Environmental Monitoring
PEM	Participatory Environment Monitoring
SEK	Swedish Krona
SEPA	Swedish Environmental Protection Agency
Sida	Swedish International Development Cooperation Agency
Sida GLOBEN	Sida's unit for global environmental programmes
SUN	Sustainable UN
ToC	Theory of Change
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UNFPA	United Nations Population Fund

Preface

The Swedish International Development Cooperation Agency (Sida) commissioned this evaluation of the “Environmental Governance Programme Phase 2, 2020 - 2023” through Sida’s Framework Agreement for Reviews and Evaluations with NIRAS. The evaluation was undertaken between October 2023 and March 2024, with country visits to Kenya and Zambia.

NIRAS collaborated with PEMconsult for this evaluation. The independent evaluation team consisted of:

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- Malene Wiinblad
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Quality Assurance was conducted by Ted Kliet. The NIRAS evaluation team was responsible for ensuring compliance with NIRAS’ Quality Assurance system throughout the process, as well as for providing backstopping and coordination.

Executive Summary

The Environment Governance Programme (EGP) Phase 2 2020 – 2023 has two sub-programmes namely the EGP for Sustainable Natural Resource Management (EGP Mining) and the Partnership for Strengthened Environmental Governance in the UN system (EGP Partnership). The EGP Mining supports Argentina, Colombia, Ecuador, Kenya, Kyrgyzstan, Liberia, Mongolia, Namibia, Peru, and Zambia. It also works at the global and regional level to support the exchange of innovative policy approaches within and across countries and regions. The EGP Mining is implemented by the Swedish Environmental Protection Agency (SEPA) and UNDP. The EGP Partnership works with UNEP's Sustainable UN facility who is responsible for the coordination and support of more than 55 UN entities in implementing the Strategy for sustainability management in the United Nations system, 2020–2030 Phase I: Environmental sustainability in the area of management and achieving its objectives and targets, and with the EMG secretariat, responsible for policy development. SEPA provides technical assistance mainly via a staff on loan. The purpose of the evaluation of the two sub-programmes is accountability and facilitating learning. It also seeks to establish if there is valid rationale for Sida supporting a subsequent phase of EGP.

For the EGP mining, the evaluation team conducted field work in Kenya and Zambia in December 2023 and two remote, in-depth country studies were completed for Colombia and Liberia. Overall, 72 interviews were conducted to evaluate the EGP mining and a validation meeting was held on the 8th of February 2024 where preliminary findings were presented to be discussed with the global project management and the UNEP country office focal points. For the EGP Partnership, a survey targeting 57 UN agencies was conducted. Additionally, 14 interviews were completed.

The total programme budget for four years is 88 million SEK out of which 40 million SEK was transferred to UNDP. 48 million SEK was allocated to SEPA for programme coordination and management and for its engagement in programme activities, including approximately 3.5 million SEK/year for the EGP Partnership.

Conclusions and recommendations on the EGP mining programme

EGP's original focus on large-scale mining reflected an area where SEPA is strong, however, the demand from the several country programmes was for support on small-scale mining. It was decided to include ASM as a workstream in the EGP which was founded in the situation that these countries had challenges with a large informal Artisanal and Small-Scale Mining (ASM) sector that was difficult to regulate environmentally, socially, and economically.

Local empowerment was built in many places through awareness raising on human rights related to environment and health. PEM was initially successful in mobilising small-scale miners and affected communities to monitor environmental and safety problems, but it was unclear in many countries how PEM committees should relate to authorities and the private sector and PEM committees were mostly left without financial resources or incentives to sustain them.

Alignment between the EGP and government policies was essential for achieving results in the normative environment. The actions bore fruit when the government viewed the EGP actions as contributing to its policies. In some cases, the ongoing efforts only achieved results when there was a change in government.

Over time the global team consisting of UNDP and SEPA staff improved its capacity to adapt activities to country programme priorities and to professionalise the dissemination of experience and lessons. Country-to-country exchange proved more successful in relation to learning and replication. The EGP influenced the global dialogue on the environmental impact of minerals and metals in view of the green transition.

Sustainability was generally weak especially where activities were not strongly anchored to country level institutions and processes. In some case e.g. in Kenya and Mongolia there was a strong anchorage and alignment with government policies. In others like Peru and Colombia there was a close connection to national initiatives and the engagement of civil society. Such anchorage increased the likelihood of sustainability of the benefits achieved but it was not widespread.

Environmental effects have been achieved but they were generally small and localised, and in most cases, the normative framework and national monitoring systems were not engaged or ready to measure activities and their results or help ensure their upscaling and sustainability.

The EGP Phase 2 support to gender mainstreaming led to a high level of awareness, integration of gender issues in guides and handbooks and to some extent to regulation as well as increased participation of women. The EGP was catalytic in creating awareness about human rights in a broader context in the mining sector including the rights to a clean work environment and good health.

The programme concept with its dual focus on empowerment and the normative set up and the cooperation between UNDP and SEPA was strong. Working on empowerment while also addressing the normative set up was well-conceived as both are needed. The programme's design mobilised SEPA's experience from the implementation of its national mandate on environmental management in Sweden. At the same time the programme mobilised the country knowledge, field presence, convening power and programme management expertise of UNDP.

Although the programme concept was strong in practice a number of constraints arose. There was confusion in the early years over adopting an adaptive management approach and defining a results frame. This cast a long shadow on the programme and made it very difficult for UNDP to operate. Covid 19 and the introduction of a temporary budget cut in 2022 also impeded progress. The change in scope from large-scale to small-scale meant that the programme could not draw as much as intended on SEPA expertise and experience. The programme resources available even when linked to other programmes were often insufficient to contribute and find a meaningful and catalytic manner.

Recommendations on the EGP mining programme are outlined below with potential implementing measures outlined in the main text.

- 1) Design a future programme with a higher budget and/or working with fewer countries. Rationale: The scope and complexity of the environmental governance in mining topic demands a high level of engagement at country level to make a difference and to contribute meaningfully to other initiatives.
- 2) Support a future programme by mobilising Sweden and other member states to strengthen ongoing initiatives at the highest level within the UN on the environmental aspects of exploration of minerals and metals in the green transition process.
- 3) Sharpen the technical focus of the programme. Rationale: The concept of the project is to draw on areas where SEPA has expertise and a comparative advantage where are opportunities to create synergies with UNDP local and Swedish mining expertise.
- 4) Professionalise the advocacy agenda for the normative and empowerment environment and link to the results framework at country level. Rationale: Much of what the programme aims at is linked to advocating and creating change at the level of empowerment and the normative environment. This needs to be made more explicit and where possible measurable.
- 5) Revisit the participatory environmental management approach, build on what has worked and enhance sustainability. Rationale: much has been achieved by participatory environmental management when applied well. Lessons are being learnt and there is a need to focus more on sustainability.
- 6) Anchor the programme within country institutions and processes. Rationale: National institutions and processes need to lead environmental governance in mining. The programme achieved good results by working closely with national environmental protection agencies (such as in Kenya) but also by engaging with strong political initiatives (such as environmental committees in Peru) and where government is not active with representative community groups (such as the NGO's in Colombia operating in ungoverned regions).

Conclusions and recommendations on the partnership programme

EGP Partnership sub-programme was highly strategic and well aligned with Swedish and UN policies. It contributed to accelerating the achievement of the goals of the UN

sustainability strategy on internal environmental sustainability management in the different UN entities.

The EGP Partnership has not contributed as much as expected to the application of environmental and social standards due to internal unclarity in the UN system about mandates and responsibilities.

The EGP Partnership sub-programme was well managed delivering SEPA expertise despite stretched resources and producing succinct and informative programme and annual reporting was albeit activity-based rather than output- and outcome-based.

Recommendations on the EGP Partnership Programme are outlined below with potential implementing measures outlined in the main text:

- 1) Sida should support a future programme by mobilising Sweden and other member states to engage at a high level with the UN to press for greater progress on internal environmental management. Rationale: The UN system and the UN entities respond well to concerted request from member states which will help the UN and its entities to mobilise funds and allocate resources to implement fully the Environmental Management Systems and take the necessary steps to meet the target in the Strategy for sustainability management in the United Nations system, 2020–2030 Phase I: Environmental sustainability in the area of management.
- 2) A future programme should focus on consolidating the implementation of environmental management systems and the UN's environmental reporting while exploring entry point to support the application of environmental and social standards. Rationale: Major progress has been made on the Environmental Management System and reporting through the Greening the Blue. There is still a substantial challenge on getting about half of the UN entities which are not yet participating fully on board. There is also a need to address the country office level and duty station level which is not always included in the reporting of the UN entities which otherwise are fully compliant at headquarter and regional levels.

1 Introduction

1.1 THE INTERVENTION

The Swedish Environmental Protection Agency (SEPA) and the United Nations Development Programme (UNDP) launched Phase 1 in 2014 the Environmental Governance Programme (EGP) for Sustainable Natural Resource Management, focusing on the mining sector which is funded by the Swedish International Development Cooperation Agency (Sida). Phase 2 (2020

Figure 1: Geographic Overview of the EGP Mining



– 2023) has two sub-programmes namely the EGP for Sustainable Natural Resource Management (EGP Mining) and the Partnership for Strengthened Environmental Governance within the UN system (EGP Partnership). The EGP Mining in Phase 1 targeted support to Colombia, Kenya, Mongolia and Mozambique while Phase 2 provides support to Argentina, Colombia, Ecuador, Kenya, Kyrgyzstan, Liberia, Mongolia, Namibia, Peru, and Zambia. The programme also works at the global and regional level to support the exchange of innovative policy approaches within and across countries and regions. The EGP Mining is implemented by the Swedish Environmental Protection Agency (SEPA) and UNDP. Stakeholders in EGP focus countries have been supported by mechanisms and guidelines to make advances within one or more of the seven themes participatory environment monitoring (PEM), artisanal and small-scale mining (ASM), climate change, forest management, mine closure, human rights, environment and gender equality. The EGP Partnership works with UNEP's Sustainable UN facility and the EMG secretariat (both hosted by UNEP), responsible policymakers for the Strategy for sustainability management in the United Nations system, 2020–2030 Phase I: Environmental sustainability in the area of management and 55 UN organisations and the staff working with implementation of environmental issues and provides technical assistance through one staff member of SEPA that was seconded to the SUN facility of UNEP. This evaluation covers the two sub-programmes in Phase 2 (2020-2023). The purpose of the evaluation of the two sub-programmes is to serve accountability and facilitate learning. It seeks to find out whether there is a valid rationale for a subsequent phase of EGP supporting Sida and its partners in forthcoming discussions regarding potential preparations for a new

intervention phase. The expected outcomes (1-3 for EGP Mining, 4 for EGP Partnership) are:

Outcome 1 - Stakeholders at sub-national level in EGP 2020-2023 programme countries, especially women, youth, indigenous groups and others who live in vulnerable situations, effectively influence decision-making, monitor state and mining sector activities, and are able to hold responsible parties accountable for adverse impact of mining on environmental sustainability, multidimensional poverty, and prevention of socio-

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

Outcome 3 - Lessons, experiences, and knowledge generated through the support of the EGP 2020-2023 at national and local level are promoted regionally and globally to advance the quality, coherence, implementation and monitoring of relevant Multilateral Environmental Agreements and Sustainable

Outcome 4 - UN entities are reducing their negative environmental impact and maximising their positive environmental impact through a strengthened and more systematic internal governance of environmental performance.

1.2 OBJECTIVES AND SCOPE OF THE EVALUATION

The overall evaluation objectives are:

- Assess the overall relevance, coherence, effectiveness and efficiency of the programme, including the roles and responsibilities of UNDP and SEPA respectively.
- Assess the extent to which the programme has achieved its planned outcomes and results, its impact and sustainability.
- Evaluate the progress of EGP towards achieving its objectives, identify and document key lessons related to challenges and successes in the design and implementation of EGP as well as if there is a rationale for a next phase of EGP.
- Formulate conclusions and recommendations as a basis for future discussions concerning the possible preparation of a proposal for a new phase of the intervention.

Evaluation objectives of the EGP Mining

- Assess the overall relevance, coherence, effectiveness, and efficiency of the sub-programme, including the roles and responsibilities of UNDP and SEPA respectively.
- Assess the extent to which the sub-programme has achieved its planned outcomes and results, its impact and sustainability.
- Evaluate the progress of EGP towards achieving its objectives, identify challenges and successes in the design and implementation of the EGP Mining as well as if there is a rationale for a next phase of the EGP Mining.
- Formulate conclusions and recommendations as a basis for future discussions concerning the possible preparation of a proposal for a new phase of the intervention.

Evaluation objectives of the EGP Partnership

- Assess the overall relevance and effectiveness of the sub-programme and the extent to which it has achieved its planned outcomes and results.
- Evaluate the progress of the sub-programme towards achieving its objectives, identify and document key lessons related to challenges and successes in the design and implementation of the programme, as well as if there is a rationale for a next phase.
- Formulate conclusions and recommendations as an input to upcoming discussions concerning the possible preparation of a proposal for a new phase of the intervention.

1.3 METHODOLOGY

The evaluation at an overall level applied the OECD/DAC criteria clustering the evaluation questions into three main components with associated areas of enquiry. A mixed method approach was used, including document review, stakeholder mapping, virtual and face-to-face interviews combined with a survey in relation to the EGP Partnership and observations at mining sites in Kenya and Zambia and in-depth studies of the EGP in Liberia and Colombia in relation to the EGP Mining. (See Annex C for details).

In the inception phase the evaluation team carried out interviews with key programme staff at Sida, SEPA, UNDP, and UNEP programme managers and focal points in the 9 countries. This has contributed to clarify expectations and given insight into key challenges in the implementation and what are considered to be some of the main results. This information has been used to refine the design of the evaluation.

The preliminary findings, conclusions and recommendations of the EGP Mining were presented and discussed during a validation meeting on the 8th of February 2024 to get feedback from Sida, UNDP and SEPA as well as the UNDP country focal points. Afterwards, the findings, conclusions and recommendations have been refined based on the comments and suggestions of the workshop participants. A presentation of the draft final report to Sida, UNDP and SEPA took place on 18 March.

1.4 LIMITATIONS

We identified the following limitations for the evaluation:

Limitations	Mitigation measures
Overall, a large amount of data was collected throughout the evaluation. Some weaknesses are within the data availability of statistics of the download numbers of knowledge products.	This weakness of the EGP monitoring progress is included in the findings of the evaluation.
Overall, a large number of interviews were conducted with a high variety of actors. Some weaknesses are: During the field mission to Zambia, there were some difficulties reaching ASM communities due to the rainy season and due to visiting the Copperbelt province where there is the lowest number of ASM. In relation to the in-depth study of EGP in Colombia, the unresponsiveness of some stakeholders meant that it was not possible to conduct all interviews.	Meeting constraints of ASM communities in Zambia were mitigated by having several meetings with individual ASM miners. Even though we were not able to speak with some key actors, the variety of interview partners and the number of interviews conducted for the Colombia in-depth study is still satisfying and conclusions can be drawn from them.
The survey on the EGP Partnership sub-programme was delayed quite substantially which in turn delayed the analysis of results and scheduling of interviews. Therefore, the number of interviews for outcome 4 was slightly lower than intended.	On the positive side, the delay probably contributed to a satisfactory response rate. The high quality of interviews with stakeholders allows well-informed findings and conclusion for the evaluation.
It was not easy to organise focus group discussions with artisanal and small-scale miners in Kenya and Zambia. In Zambia the team did not meet many miners because of the rainy season. In Kenya the team met a high number of miners but in particular in Kakamega, the environment at the mining site did not favour a focused discussion.	In Zambia some interviews were carried via WhatsApp which gave valuable information. In Kenya the team did have a long discussion with a group of 11 miners in Taita Taveta and in Kakamega with 33 women. This last group was too big for a focused discussion, but it was possible to get key information through 3 questions.

2 Findings

2.1 EGP MINING SUB-PROGRAMME

2.1.1 EQ1 – Strategic Relevance

The question on strategic relevance looks at whether the programme targeted the right areas or in other words whether it did the right things. It measures this by pursuing four main areas of enquiry. The first is whether the programme made efforts to understand the final beneficiary needs and priorities and aligned to them. The second is whether the programme critically assessed and either aligned to the policies and priorities of partners or added value through, for example, developing an agenda for policy dialogue and change. The third is the alignment to Swedish policies for international cooperation with its focus on gender, human rights, and the perspective of people living in poverty. Finally, the fourth examines the degree to which the programme was flexible in adjusting its approach when circumstances changed.

Beneficiary needs – the programme was designed and implemented based on the needs and priorities of the beneficiaries e.g., people living in poverty affected by mining.

The EGP Mining was to a high degree designed and implemented based on the needs and priorities of the beneficiaries. In all the ten countries, UNDP and the main partners in government worked closely with national and local mining associations and with local communities both ASM and communities affected by mining. The various dialogue fora which were created led to a continuous dialogue between the stakeholders which ensured that needs and priorities including from low-income communities affected by mining, indigenous communities in Latin America and female miners. In many cases, interventions were based on detailed studies of the mining sector, especially ASM. This was in particular the case in Colombia, Kyrgyzstan, Liberia and Kenya. In Kyrgyzstan there was an assessment of how neighbouring households were affected by a closed uranium mine. In Kenya, the EGP was e.g. aligned to a study carried by the Centre for Environment Justice and Development had carried out a survey and study (2020) identifying gaps and barriers to establishment of country artisanal mining committee on Migori, Kakamega and Turkana which were also EGP focus counties. In Liberia a mining area with large pits which affected the local communities was rehabilitated so it could be used for agriculture.

In the absence of an overall results framework, the Theory of Change (ToC) was well understood by all stakeholders and became the main guiding tool for

planning and implementation throughout phase 2 of the EGP. The ToC¹ was clear, simple, and easy to understand. It outlined the main pillars of the programme, the dissemination of information to the duty-bearers and rights-holders as well as the affected communities, combined with addressing the normative level. This was well-understood by the UNDP country offices and all of them managed to develop and implement suitable country programmes within the theory of change. Since the EGP was very open and flexible regarding the focus of activities of the country programmes, each country selected thematic focus areas and identified relevant intervention areas in so-called challenge notes. In the design phase, the new partner countries were presented to the EGP phase I countries to inspire ideas for goals and activities which led to a good level of coherence between the 10 countries.

Partner policy alignment – the programme was aligned to the policies and priorities of the global, national and partner institutions.

From the outset, the EGP enlarged the focus on large-scale mining to include artisanal and small-scale mining. This change was based on requests from several countries which had strong policies to support artisanal and small-scale mining. Several partner countries wanted to shift to ASM so they would be able to pursue strategies that add onto ongoing developments and where they were able to identify a need that the EGP could address. This was the case e.g. in Kenya, where the mining law was updated in 2016 and decriminalized artisanal mining. The EGP Kenya is highly aligned with this policy as much effort has gone into an Onsite Compliance Assistance Programme for which the Project Technical Committee, the Country Artisanal Miners Committee in Kakamega and the Centre for Environment Justice and Development have carried out trainings in four counties. The capacity building focused on organisation of the ASM in cooperatives and increase compliance with a set of environment, safety and human rights indicators. The formalisation and compliance readiness would increase the likelihood of the ASM to obtain required licenses. Additionally, it was pointed out that ASM communities are often more open to working with a programme like the EGP which makes it easier to address their needs and possibly lead to results much quicker.

However, by making this decision, some of the advantages of addressing environmental and social needs in the large-scale mining sector were out of scope. Some countries changed the focus from addressing the environmental and social impact of large-scale mining on affected communities and ecosystems to focusing on raising awareness on environmental and human rights issues among ASM. Kenya, Zambia and Liberia focused on formalisation of ASM and improvement of environment and human rights conditions through increased compliance. The exceptions to this were Mongolia which focused on the private sector and large-scale mining and to some extent Namibia

¹ See the ToC in Annex C.

and Kyrgyzstan which focused on mine closure and land rehabilitation to improve conditions for affected communities. In Peru, working with the large-scale mining sector was vital in achieving a sustainable PEM strategy that empowers the local communities and is financed through large mining companies.

Sida policy alignment – the programme was aligned with Sida’s policies for international cooperation.

The overall focus of the EGP and its objectives were well-aligned with Sida’s strategic priorities and policies for international cooperation. Many of Sida’s target areas for international development aid are represented in the aim of the EGP. These common goals are e.g., strengthening human rights, create preconditions for better living conditions for people living in poverty, empowerment of women and girls, enhanced capacity to prevent the adverse health impacts of environmental pollution and climate change, and sustainable economic development.² Furthermore, Sweden is a global leader in environmental protection and has significant experience working with the large-scale mining industry. Therefore, the EGP fits well with the country’s overall strengths.

The level of alignment on geographic level is partially unclear with regards to the choice of partner countries. Six out of ten partner countries of the EGP are not priority countries in Swedish development aid (Mongolia, Kyrgyzstan, Namibia, Argentina, Peru, Ecuador). Potential positive synergies between the EGP and the bilateral country programmes are therefore only possible with a smaller number of the partner countries. Some of the partner countries were very well-suited to be selected for a programme on large-scale mining, such as Argentina Ecuador, Kyrgyzstan Mongolia and Zambia. These have a strong large-scale mining industry and serious environmental problems. Other partner countries, such as Kenya do not have large mining activities at all that could be addressed. Zambia that has a highly significant large-scale mining sector and where large-scale mining is the top-industry and mining accounts for 70% of the export value, decided to shift attention towards working with ASM instead. The composition of large and small-scale mining was not a decisive criteria for selection and there were other criteria including a consideration of where UNDP was managing large projects that could create catalytic synergies such as the Planet GOLD³ which was the case for Colombia, Ecuador, Mongolia, Kenya and Peru, in which countries there could be expected a strong interest and national ownership, and where the UNDP office has good delivery capacity and supportive senior management structures, as well as

² E.g., Ministry for Foreign Affairs Sweden (Sida) (n/a): Strategy for capacity development, partnership and methods that support the 2030 Agenda for sustainable development.; Ministry for Foreign Affairs Sweden (Sida) (n/a): Strategy for Sweden’s development cooperation in the areas of human rights, democracy and the rule of law 2018-2022.; Ministry for Foreign Affairs Sweden (Sida) (n/a): Strategy for Sweden’s global development cooperation in sustainable social development 2018-2022.

³ Planet Gold (n/a): Making a world of difference in small-scale gold mining. <https://www.planetgold.org/>.

considerations on language and networking. These were factors considered to be important for leveraging the success of the EGP Mining.

Flexibility – The programme was flexible and adapted to changing circumstances.

The adaptive management approach allowed the countries to choose individual priorities on the seven thematic areas which allowed for a high degree of flexibility at country level. The adaptive management approach allowed the countries to choose individual priorities out of seven thematic areas⁴. This approach gave a high degree of flexibility to address the most significant challenges in the respective countries. Through the introduction of social and environmental assessments Argentina decided to work with lithium mining areas to address socio-environmental impacts resulting from large-scale mining operations that often led to confrontations and conflicts with local communities. Social and environmental assessments were used as a tool to strengthen the strategic management of the sector and the coordination of local communities and the mining industry to catch the momentum in an upcoming global industry.

The decision to include the ASM sector in the beginning of phase 2 of the EGP is a sign of a high level of flexibility of the EGP allowing for a profound change that redirected the entire course of the programme in order to align better with the partner priorities and needs.

Some countries aligned their strategic direction based on new studies and findings throughout phase 2 of the programme and therefore maintained a high level of flexibility all along. In Ecuador for example, the EGP supported a diagnostic study and a methodological framework for governance in several gold mining areas of the Bella Rica Cooperative in the Azuay province. Based on the study, the programme decided to collaborate with a local university to engage various communities and stakeholders and bring them together in a series of roundtables in 2022.

This high level of flexibility in the programme was highly advantageous. It allowed an individual development of the EGP at country level and enabled some of the successes of the EGP, such as the establishment of the mining committees in Kenya and Colombia. However, this freedom came with some trade-offs. Multiple focal points noted that the lack of results frameworks made it more difficult for them to know whether activities under the EGP in the respective countries align with the goals and

⁴ The 7 areas are: participatory environmental management (PEM), artisanal and small-scale mining (ASM), climate change (CC), forest management, mine closure, human rights and environment, and gender equality.

targets of the global programme. This was amplified by difficulties⁵ in the management of the EGP at the global level in the beginning of phase 2.

The global Covid 19 pandemic prevented a business-as-usual approach in the beginning of Phase 2 of the programme which created the need for a higher degree of flexibility to which the programme management responded accordingly, but some delays could not be prevented. The restrictions deriving from the pandemic disrupted initial programme and activity planning which led to replanning and successive delay of some programme activities. In Mongolia for example, the field activities had to be delayed due to travel restrictions and in Peru several committee members fell ill and could not progress with the activities. Adaptive management approaches were employed by several UNDP country offices and that was a strong investment in training in online meetings. In Columbia, the programme adapted to hybrid modes of implementation, combining online and in-person interviews. In Kyrgyzstan, the EGP team procurement services from local NGOs based in the project area since the UNDP project staff was unable to travel to these areas.

2.1.2 EQ2 – Results – What worked well, what didn't?

This evaluation question concerns the results achieved analysing what factors contributed positively and what did not go well. The findings under this EQ will be accompanied by an analysis of the factors that could explain either success or failure in reaching – this will look at factors both internal and external to the programme. The analysis of the results takes the point of departure in the outcomes formulated and the ToC. The first area of enquiry is local empowerment and ability to influence decision-makers and the second is the normative environment at the national level (see the theory of change of EGP Mining in Annex C). The third looks at dissemination at the global, national, and local level, while a fourth area examines the sustainability of the results achieved. Finally, evidence of any environmental effects has been gathered.

Local empowerment – Sub-national stakeholders effectively influence decision-making, monitor state and mining sector activities, and are able to hold responsible parties accountable

The EGP contributed significantly to building trust between artisanal and small-scale miners and authorities through supporting or establishing platforms for dialogue between stakeholders in the mining sector. In many countries ASM was illegal until recently. In Kenya it became legal through the revision of the Mining Law of 2016 and in Peru the legal status of ASM is still weak. The informal character of ASM operating on the fringe of society, often without mining and environment licenses and without paying taxes, created mistrust and sometimes hostility between authorities

⁵ More information on the difficulties in the programme management in chapter 2.1.3.

and the ASM. National and local authorities to a wide extent view ASM as performing illegal activities and/or activities which are not beneficial for the country.

The EGP supported the creation and/or functioning of different platforms for dialogue e.g. the ASM Committees at county level in Kenya which consist of representatives from different national and local authorities and small-scale miners. The ASM Committees were now able to enter mining areas where local authorities had previously met a lot of resistance and hostility. In Liberia, the ASM Sector Working Group and the Joint Monitoring Committee were set up. The ASM Sector Working Group is a multistakeholder platform. This platform was very appreciated by a range of stakeholders from top to bottom in the mining sector as it created a space for dialogue on a variety of mining relevant topics including considering gender issues. The dialogue fora gave a learning experience on the challenges regarding environment, governance, and human rights as well as the interaction with the mining communities, ‘gold boys’, traditional leaders etc. In Zambia, the study of mining in forests and protected areas was done in a participatory manner which was applauded by all stakeholders interviewed as it opened possibilities for coordination between stakeholders who did not usually work together such as the National Forest Department and the Ministry of Mines and Energy. In Colombia, the EGP supported through the Autoridad Nacional de Licencias Ambientales (National Environmental Licensing Authority) and the Asociación de Mujeres Afrodescendientes de Norte del Cauca (Afro-descendant Women's Association of Norte del Cauca) dialogue between different stakeholders which contributed to manage and prevent conflicts. The EGP also supported the thematic roundtable on citizen participation and environmental conflict in 2021. In Peru the EGP supported the obligatory PEM committees which form the platform for dialogue between local communities and the government. In Ecuador, the EGP set up artisanal and small-scale gold mining working groups and initiated cross-sector and multistakeholder dialogues. Several multistakeholder roundtables were organized and in 2022. The main roundtable provided, for the first time, “a trusted space for direct dialogue between the communities affected by artisanal and small-scale gold mining, the local governments, authorities from the Ministry of Mines and Energy and the Ministry of Environment, Water and Ecological Transition” which in the context of socio-economic conflict permitted to have a two-way dialogue and develop new approaches to mining governance.

The EGP was successful in putting environmental and human rights issues in the mining sector on the agenda in many countries. This resulted in significantly increasing awareness among relevant stakeholders. The EGP was strategic in introduction of a human rights based approach to mineral governance Interviewees in many of the focus countries state that the EGP had been particularly successful in including environmental and human rights considerations into the mining sector agenda, which was otherwise dominated by issues on e.g. economic development, formalization, and job creation.

In Zambia the EGP was embedded in the large ACP-EU Minerals Development Programme which focused on economic development and business skills. The

Environmental Assessment Guidelines and Implementation Toolkit for ASM finalized in 2021 with EGP support included a simplified model for environmental licensing of ASM. This model helped small-scale miners being legalized. It was estimated by several interviewees that about 1600 people including miners, government organisations, private sector, NGOs and research institutions had been trained on environment and mining, through a Training of Trainers approach. A young female miner testified that the training had enabled her to elaborate the documents for environment licensing for her own company and that she has trained locally based 53 miners using material from the Training of Trainers workshop that she participated in. Moreover, she found the combination of business development skills with the environmental and human rights awareness which was used by the ACP-EU/EGP programmes very useful for her job. Other interviewees mentioned their increased awareness on the enormous backlog of environmental problems due to decades of mining in Zambia. In Liberia the monitoring in remote mining locations increased the awareness of government officials and civil society organizations of the widespread environmental problems due to the operations of thousands of small-scale miners. In Kenya, awareness raising on environment and human rights was combined with the government's policy on formalizing and legalizing the ASM. This was done through development of the Onsite Compliance Assistance Programme for increased compliance on environment, safety and health issues. In some Argentine provinces, the local government included PEM in their legal framework. Thus, acknowledging that people's participation is a way to guarantee the access to a safe environmental, as a basic human right.

Overall, the EGP has been successful in aligning with and strengthening the government policies on economic development of the ASM sector and introducing the environment and human rights agenda.

Local empowerment was built in many places through various approaches. PEM was one of the main approaches, but it was applied with making sufficient use prior analysis and lessons learned. Six of the 10 focus countries Colombia, Peru, Argentina, Liberia, Kyrgyzstan, and Mongolia worked with PEM. Originally, PEM was introduced in Peru 20 years ago as a conflict management tool and PEM committees are obligatory here. It had been popular in several Latin American countries e.g. Argentina and Colombia. In Argentina, some of the provinces (Jujuy; Salta; Catamarca) now have regulations on participatory monitoring. In Liberia, PEM committees were set up in three different communities in Northwestern Liberia. Monitoring visits carried out by the multistakeholder PEM committees have certainly contributed to a much higher level of awareness especially among key government institutions responsible for mining, environment and gender about the environmental degradation, conflicts and human rights abuses in the areas affected by ASM. Stakeholders in the Ministry of Mines and Energy were aware that the communities were not likely to continue participating in the PEM committees without an incentive. The Ministry of Mines and Energy considered that part of the licensing fees could be directed to the functioning of the committees, but such a system had not been put into

place. Mongolia developed a country specific guideline on PEM and a national workshop. PEM committees were set up in more than 10 districts and small grants to civil society organizations were provided to facilitate the liaison between local communities, the mining companies, and the local administration. The committees monitor the dust emission and water pollution depending on the issues at hand. Impact review was done on the PEM to see how it works. Six PEM committees have been set up where communities cooperated with mining companies. From a situation of substantial mistrust between herders and mining companies there is now joint monitoring which has been ongoing for three years. As one experienced stakeholder put it: “*We are progressing towards a collaborative approach with citizens, assuming shared responsibility.*”⁶ Kyrgyzstan began in 2022 with working with PEM and one committee was created.

The PEM approach was adopted by these countries without building sufficiently on the prior analysis to challenges and opportunities to establish what it would take to make it successful in other countries considering that it is highly context specific and that it requires considerable capacity building to empower local communities to get access to and have a dialogue with larger mining companies and responsible authorities. There was an aspect of “overselling” as one stakeholder put it. Countries like Zambia which had not worked with PEM previously, planned to apply it in the last year of phase 2 - 2024 where consequently its effects remain to be seen.

SEPA and UNDP are finalising the *Guidance note on participatory environmental monitoring (PEM)* which considers these weaknesses and aims to provide a non-prescriptive product that is user-driven, sees PEM as part of the environment governance system, based on a problem-oriented perspective, and presents a set of programmatic options for design and implementation of PEM initiatives based on lessons from the phase 2 of the EGP.

The empowering of local actors was to a large extent based on studies, handbooks, toolkits or manuals⁷ elaborated with support from the EGP. In the case of Liberia, the ASM Handbook was requested by ASM and Liberia’s artisanal miners’ association confirmed that it was a need. In Zambia, the study in gaps in legislation on mining in forests and protected areas was originally the idea of the SEPA contracted consultants from Swedish Geological AB. The idea was supported by UNDP in Zambia and the initiative was very appreciated by the involved stakeholders e.g. from government and

⁶ UNDP Mongolia (2024, January): *Environmental Governance Programme. Integrating Environment and Human Rights into the Governance of the Mining Sector. Mongolia 2020-2023*. Review report.

⁷ *Women in Colombian mining: An analysis of the employment situation from a gender perspective*, Naturvårdsverket, UNDP, 2022, *The SESA in the Mining Sector from phase 1*, The Centre for Environment Justice and Development Study and the three Manuals, Kenya; *Handbook for Artisanal and Small-Scale Miners: The Ministry of Mines and Energy Working safely and protecting people and the environment*, The Republic of Liberia and the *Environmental Assessment Guidelines and Implementation Toolkit for Artisanal and Small Scale Miners (ASM) in Zambia*, 2021, UNDP, ACP and the Republic of Zambia; *Health and Safety Guidelines for Small-Scale Miners*, 2021, Namibia

academia. These documents provided a good basis for the capacity building and constituted reference documents which were disseminated widely although only read by a handful of people⁸. In Ecuador, EGP worked on capacity building in relation to the dialogue on mining issues especially gold mining between communities of Imbabure and Azuay and the decentralized autonomous governments. Several workshops and roundtables were organized. In Kyrgyzstan, the EGP supported awareness raising in pilot sites affected by pollution with uranium and heavy metals and sites affected by pollution from old lead and zinc mining. Assessments had shown that the awareness of the dangers to health and environment were low. EGP Kyrgyzstan followed up by supporting mine closure and rehabilitation actions.

Kenya combined awareness raising on environment and human rights with the support to the policy on compliance and legalisation of ASM. This was done through the Onsite Compliance Assistance Programme for increased compliance with a set of environment, safety and human rights indicators. The formalisation and compliance readiness would increase the likelihood of the ASM to obtain required licenses. At the time of the evaluation the target communities had an average of 26% compliance. In Namibia, EGP also helped with raising awareness among ASM on health and security issues and assisted in strengthening compliance of ASM and to be qualified for the Environmental Clearance Certificates.

Normative environment – To what extent is the strengthening of national policies, implementation and administrative decision-making related to management of natural resources and socio-environmental risks in the mining sector expected to generate significant high-level positive or negative, intended or unintended effects?

The strengthening of the normative environment had positive effects in several countries which potentially can be widespread and high-level. Many initiatives implemented existing legislation on environment and mining or introduced new pieces of legislation. There was progress in relation to compliance e.g. licensing in Zambia, Kenya and Namibia, and several guidelines, assessments and manuals were developed to strengthen the capacity of government officials and to inform elaboration of new laws and regulations e.g. in Ecuador which elaborated a guide for subnational officials about the regulation of mining non-metallic mining. The EGP Ecuador has developed a framework on how to manage the sector for two municipalities which is now being implemented via the municipal association for other municipalities. In Ecuador a proposal for a policy on improving the sustainability of ASM gold mining was also elaborated. This proposal is planned to be discussed at a roundtable in March 2024. In Kyrgyzstan, the EGP supported a comprehensive assessment of the national environmental legislation and standards related to the monitoring of mining activities. In Namibia, a framework for mine closure was developed. In Argentina, UNDP

⁸ Based on statements of the stakeholders and findings during the field visit.

developed a lithium SEA guideline that they wanted to share with the national and local government. However, the national and local elections made them change their plans, so they hope to communicate it during 2024.

Mongolia focused very much on amending its legislative framework on environment and human rights in the mining sector. The country integrated e.g. human rights into the law on environmental impact assessment and elaborated the Decree A/328 of the Minister of Environment and Tourism of August 2022 which formally incorporates the methodological guidelines for land rehabilitation into national environmental law. In Mongolia the responsible mining code including guidelines, benchmarking and self-assessment is probably the most important lasting benefit, according to interviewees. These processes were to a very large extent conducted in an inclusive way with multiple stakeholders and with elaborate capacity building involved. Apart from Mongolia, where there was a strong commitment from the government to make comprehensive amendments to the legal framework in environment and human rights in the mining sector⁹, the initiatives that were amending and implementing environmental and human rights legislation in the mining sector were small and somewhat scattered compared to the environmental, socio-economic, and political complex settings in these countries. It is difficult to assess whether these positive actions will have high-level results, that are scaled up in future.

Although there was a good coordination with bigger programmes such as the ACP-EU Mining Development Programme in Zambia and the Global Environment Facility Planet GOLD programme, there is no indication that this led to support of large-scale initiatives on improving compliance with and/or strengthening of environmental and human rights regulations in the mining sector.

Alignment between the EGP and government policies was essential for achieving results in the normative environment. The actions bore fruit when the government viewed the EGP actions as contributing to its policies. In some cases, the efforts over long time only achieved results when there was a change in government. In countries where the EGP was closely aligned to the government's policies and/or where the government saw advantages in aligning to the environment and human rights approach of the EGP, it was easier to achieve tangible results. It was also apparent that the presence of a strong institutional framework in the areas of mining and/or environment facilitated the progress of EGP implementation.

In Kenya the EGP benefitted from a relatively strong institutional framework and the willingness and capacity of Kenya's NEMA to take the lead in managing the implementation of the EGP and even provide in-kind resources. The EGP assisted with

⁹ UNDP Mongolia (2024, January): *Environmental Governance Programme. Integrating Environment and Human Rights into the Governance of the Mining Sector. Mongolia 2020-2023. Review Report.*

the implementation of the Mining Law of 2016 which had been slow. Furthermore, the government which took power in September 2022, adopted a policy of compliance which is in line with the approach of the EGP in relation to awareness raising on the environmental safety and human rights standards which were needed for ASM to get the necessary mining and environment licensing. The geographical focus on four counties permitted to build and show results at the local level and on a small-scale which the government then upscaled to additional seven counties. It was also after the new government took power that the counties were allocated funds for the functioning of the ASM committees which was foreseen in the Mining Law of 2016.

Government policies were not always favourable and there were foreseeably general elections in several countries e.g. Argentina, Colombia, Kenya, Zambia and Liberia. The period before and after elections was often unproductive for programme implementation but in some cases the change of government brought new opportunities.

In Colombia for instance, the EGP experienced much more visibility and support after the new government took power in mid-2022 especially with regards to community-based initiatives. The work before was uphill but created a basis which the EGP could take advantage of once the policies changed in favour of good governance and ASM. In Argentina, UNDP planned to share knowledge-based products during the pre-election campaign period of the local and national government but postponed this until after the elections. The main reason for this decision was that the elections created a challenging environment, which hindered their ability to organize meetings and workshops with both national and local governments in Salta and Jujuy. Instead, the focus fell on training workshops for UNDP's local and regional offices. In Zambia the change of government in 2021 together with the Covid 19 restrictions and staff changes in UNDP, was profoundly disruptive for the implementation. The Permanent Secretary of the Ministry of Mines and Minerals Development changed five times over one year and it was impossible to have technical working group meetings.

This experience shows the importance of pro-actively plan and adjust implementation around election periods to minimize the level of disruption, being patient in times of unfavourable government policies and ready once policy changes provide opportunities to accelerate implementation and intensify policy dialogue with decision-makers.

SEPA's expertise was strongly applied in relation to participatory environment monitoring and to different technical areas in the mining sector. There were missed opportunities in support to legal instruments which could strengthen the normative environment. There are several examples where the EGP in different ways supported the strengthening of the normative environment as mentioned above. Most notably, Mongolia clearly focused on strengthening its legislative framework on environment and human rights in the mining sector. An area of focus was Environmental Impact Assessments.

Despite SEPA's strong experience in relation to amending, maintaining, and ensuring the implementation of the legislation on environment, there were only few examples of SEPA supporting government institutions on strengthening the normative environment. SEPA gave input in Liberia to the revision of the *Handbook for Artisanal and Small-Scale Miners: Working safely and protecting people and the environment* issued by the Ministry of Mines and Energy¹⁰ and in Zambia SEPA led a study on forests and mining. SEPA-contracted consultants have been strongly involved in the work with PEM and in mine closure e.g. SEPA contributed to integrate environment and human rights in the Namibian Mine Closure Framework. Interviewees at country level identified SEPA particularly in relation to its coordination functions.

There were missed opportunities for SEPA to apply its expertise e.g. in Argentina, where challenges in the mining sector were related to weaknesses in the legal framework. In Colombia, stakeholders found that Environmental Impact Assessment procedures needed to be strengthened in order to effectively regulate private sector companies including mining companies.

There is no indication that the EGP had or will have negative effects. The evaluation did not find any indications that the EGP phase 2 had negative effects.

Dissemination – To what extent is promotion of national and local level lessons, experiences and knowledge from EGP phase 2 leading to quality, coherence, implementation and monitoring of relevant Multilateral Environmental Agreements and Sustainable Development Goals?

Country-to-country events were closely linked to the country programmes and specific needs for sharing of knowledge and experience. They often led to concrete results. Mongolia and Kyrgyzstan organized exchange visits in 2022 which were highly appreciated by both countries. The global team from UNDP and SEPA participated in these exchange visits, but they were organized and led by the two countries. Because of Mongolia's plans to open uranium mines, the Mongolian delegation was particularly interested in the Kyrgyz experience with mine closure and rehabilitation of the sites of old uranium mines from the Soviet era. The Kyrgyz delegation had not worked with PEM and was interested in learning from the experience in Mongolia.

In 2021, a south-south exchange took place where a delegation from Liberia visited Ghana which has a long experience in gold mining involving a large number of ASM. The delegation got a deeper understanding of the process of formalization of ASM, the legal and institutional framework and the system of revenue collection and distribution.

¹⁰ Ministry of Mines and Energy & EPA (n/a): *Handbook for Artisanal and Small-Scale Miners: Working safely and protecting people and environment, Liberia.*

A key learning was about the legacies of mining activities e.g. in relation to pollution of water resources and how Ghana had reduced the use of mercury in gold mining. The visit was followed up by capacity building in 2023 and there are plans for technology transfer. In relation to land reclamation after mine closure, rehabilitation of mining land for agriculture was discussed. The visit to Ghana inspired the action on reclamation of land in a mining site in Northwestern Liberia where old pits were filled up with soil and communities planted cocoa and plantain.

In Argentina, UNDP held the first tri-national workshop between Argentina, Bolivia and Chile ("Lithium triangle"). The regional workshop provided a valuable opportunity to comprehensively explore various aspects of lithium mining. This platform facilitated the exchange of insights and perspectives on the subject across different countries, fostering a collaborative approach to address common challenges related to lithium mining.

There was a high level of ownership in the countries in these events which were organized on the basis of specific needs and interests, and which led to concrete follow-up.

The global initiatives were dynamic and developed over time to offer learning and exchange opportunities that were increasingly aligned to the country programme priorities. It also aimed at creating a global community of practice which was overly ambitious but contributed positively to communicate EGP results and lessons. Analysing the activities from 2020 to 2022, there is a development from organization of courses with a very broad target group to initiatives that were much closer linked to the focus countries' programmes and priorities. In the first year, the EGP e.g. organized the online course on *Integrating environment, social and human rights protection into the governance of the mining sector*. Experience showed that only 1/5 of the people originally attending the course actually completed it and the vast majority of participants came from academia, which was not the target group of the EGP. The massive 'Gender in Mining' open online course showed to be a longer-lived initiative and was held both in 2020 and 2021. The 2021 edition of the course was also done in French and Spanish, responding to high demand. The PEM guide is presently being finalized but was initiated already in 2020.

Initiatives such as the *Global Learning Hub and the Young Environmental Journalists 2nd Edition* created a link between the global level and the 10 countries, as representatives from the countries participated in the Learning Hub together with representatives from other organizations and other countries. The young journalists¹¹ wrote news pieces and articles for the website¹².

¹¹ 100 young journalists and young environmental human rights defenders from 27 countries participated in the 2020 edition of the programme, from August 15, 2020, to February 15, 2021. They were selected from a pool of 1,175 candidates.

¹² SEPA & UNDP (2024): Environmental Governance Programme. <https://www.environmentalgovernanceprogramme.org>.

The first learning hub meeting in 2020 was held online only because of the Covid 19 travel restrictions. There were more than 100 participants including representatives from all the 10 focus countries. The learning hub in 2021 was organised for the 10 countries to exchange experience on various topics e.g. on PEM and ASM capacity building. The global learning hub for young journalists also took place in 2022 to provide training on writing on human rights and environmental issues. In 2023, the EGP organized regional meetings in Latin America and in Africa as well as supporting the mentioned Mongolia – Kyrgyzstan exchange visits. The countries were encouraged to elaborate lessons learned reports. Although these global events did not have immediate and tangible results, the interviewees were satisfied with the regional meetings and learning hub meetings and mentioned several different takeaways in their respective areas on interest. Zambia for example expanded their knowledge on mine closure in the ASM sector from the Namibian experience. The website with its multitude of links to different knowledge products and testimonies from the participants in the EGP is communicated in an interesting and easy to understand manner. Data on the use of the website were unfortunately lost.

Due to the Covid 19 pandemic there was a particular focus on how to organise online meetings and the programme contracted a consultant to facilitate that process and conduct interactive monitoring.

Environmental effects – To what extent is there a likelihood of reducing environmental degradation in the mining sector at the global, national and local level?

Based on the increased awareness, there were examples of promising local environmental effects but in general the measurable environmental effect of the EGP was limited. Through its two-legged focus on local empowerment and the normative environment and the choice of partners from both government and civil society organizations, the EGP supported concrete environment initiatives which were in line with government institutions policies and often implemented by civil society organizations together with communities. The implementation of these initiatives was frequently based on an assessment, a community survey and awareness raising and sensitization.

Mine closure: In Kyrgyzstan the EGP addressed very serious and documented health and environment problems related to former mining operations in the Soviet era. In relation to the pollution with heavy metals, the EGP supported the installation of 25 water filters in the village school, kindergarten, vocational school, and orphanage and provided 2000 personal protection equipment units for a locality that suffered from pollution. In relation to the uranium pollution personal protection equipment was distributed, including 15 professional radiation dosimeters, masks, gloves, protective

gear, first aid kits, and 500 dust respirators.¹³ The support also included rehabilitation of mining sites by tree planting and strengthening of riverbanks to avoid landslides. The interventions were small and focused on selected pilot areas but were important in the local context in relation to awareness raising and addressing grievances. They were, however, insignificant in relation to the enormity of the pollution problem with uranium, lead, and other heavy metals.

In Liberia mining craters in one area were filled up by communities involved in the PEM work and 1,6 ha was reclaimed and planted with cocoa and plantain. In Colombia, the EGP contributed to restoring 4 ha of land and safely closed 10 mine ventilation drums. It enabled local communities to get income from environmental restoration activities and tourism. During EGP phase 2, the mining cooperative COODMILLA has bought 40 hectares of degraded mining land where they have planted native trees. In addition, COODMILLA which has about 100 miners as members, obtained several certificates on their production methods which allow it to export its produce to European markets and get a higher price.

Safety equipment: The EGP supported the acquisition of mining safety equipment in some countries e.g. Namibia. There is anecdotal evidence that awareness raising on compliance and safety led to increased use of safety equipment and that ASM began to acquire safety equipment such as helmets and boots.

Use of mercury: The EGP coordinated with the Planet GOLD programme in the countries where both programmes were implemented i.e., Colombia, Ecuador, Kenya, Mongolia, and Peru (and Zambia from 2021). As this programme was bigger and better resourced with a dedicated objectives of assisting the countries on implementing the Minamata convention, the EGP focused on awareness on the environmental and health problems related to use of mercury. The implementation of the Planet GOLD programme was delayed and the planned demonstration site in Kakamega county in Kenya on mercury free technologies had not been put in place. A female miner said *“We have been told mercury is dangerous. When do you bring the technologies?”* Based on measurement with equipment financed by the EGP for 1 year, there was an indication in Liberia that the use of mercury had decreased. The use of mercury has allegedly gone down in Colombia. There was anecdotal evidence that mothers were less likely to work with mercury when they were breastfeeding. Ecuador was the only country which had readily available data on how much mercury is used. The use of mercury is forbidden but is still around. *“We are trying to show that mercury use is not necessary because they can sell it unprocessed to a larger plant”* (which would emit

¹³ Overall, the situation is quite severe as an analysis conducted by UNDP on 49 radioactive and toxic sites in 2019 revealed that a total of 164,832 people are affected in eight different regions (52 % of affected people are women; 50 % are below age 24).

around 7g instead of 4g of carbon dioxide per ton). 2 tons of mercury have been avoided since 2018 through the selling to the plants instead of using mercury.

Forests and mining. Mining contributes considerably to deforestation. The relationship between forest protection and mining did not have a strong focus in the EGP but towards the end of phase 2 a study in Zambia led by SEPA and UNDP with a variety of stakeholders was carried out on the legislation gaps in relation to mining in forests and protected areas. Through monitoring in Kenya and Liberia, there was increased awareness on the negative impacts of ASM on forests.

The positive effects on the environment happened at the local level. It remains to be seen if these promising initiatives and the higher level of awareness on environmental problems, will lead to upscaled actions with effects at the national level. Substantial growth in mining is expected in the coming years due to dedicated policies initiatives from the governments of the 10 partner countries and the high demand of various minerals and metals e.g. lithium, which is needed for the ‘green’ transition. Even with the increased awareness of environmental and health problems in relation to mining, the challenge of reducing negative effects on the environment and people’s health is very big considering the substantially growth expected across the board in the mining sector. Secondly, the ASM is largely informal, with a very high number of actors and to some extent characterized by an individualist ‘gold-digger’ spirit which make the sector difficult to formalize and legalized which is the basis for environment and human rights governance. Thirdly, it takes a long time to reach results in the normative environment and it requires substantial and long-term policy dialogue. Nevertheless, the EGP managed with limited funds to demonstrate in practice how environmental degradation can be reduced. These pilot initiatives were mostly small-scale and had a positive effect at the local level. Few initiatives, except in Kyrgyzstan where there was a substantial strengthening of the normative environment, covered the national level. Ecuador developed a draft of governance regulations for the ASM sector but due to changes in government in 2023, it did not go further. It remains to be seen if such initiatives and the local pilot actions on environment restoration will be taken up and turned into legislation and or national level actions. It depends a lot on the government’s ability and willingness to follow-up on the assessments, studies and proposals for policies and regulations which have been elaborated during phase 2. The evaluation team did not find any monitoring data upon which an assessment of the global environmental effect can be made. Possible environmental effects of EGP at the global level can only be assessed in the context of increasing global awareness of the importance of the mining sector in the green transition and the effects of existing and the possible launch of new projects and programmes to support environmental and human rights governance in the mining sector.

Sustainability – To what extent will the net benefits of the EGP continue, or are likely to continue?

The benefits achieved through EGP phase 2 on multistakeholder cooperation and environmental monitoring are not likely to be continued without additional

support such as financial incentives. This was recognised by the national stakeholders. Building sustainability when it comes to environmental and the normative environment is a long-term process and is very challenging as it is influenced by political priorities, changing governments and potentially perceived conflicts between economic growth and environmental protection. The EGP supported initiatives through working groups, roundtables, multistakeholder dialogue platforms, and PEM committees were very useful and appreciated but it is unlikely that these can continue without financial support and / or changes in the normative environment. The stakeholders at country-level were to a high extent aware of the risks of discontinuation when the EGP ends. In Liberia e.g., the Ministry of Mines and Energy considered putting a system in place whereby mining licenses would finance the PEM committees. In Mongolia the Ministry of Environment had an idea to set up a mechanism that would make it obligatory for the local authorities and mining companies to work with the PEM committees. UNDP Ecuador aimed at building capacity of local authorities to continue capacity building activities. It also aimed for low-cost workshops by choosing nearby locations and to build capacity so that roundtable discussions can be self-facilitated without needing to contract a facilitator. There is no indication that it was considered in the EGP how such initiatives could be further supported to strengthen the long-term sustainability. Other factors such as substantial delay in receiving funds affected planning and implementation in 2023.

Kenya is in a relatively good situation because the programme was highly aligned with the government's policies. From 2023, government funds began to be allocated to the counties for the functioning of the ASM Committees which are foreseen in the Mining Law and the NEMA has already contributed 20% in kind to the functioning of the Technical Working Group. Nevertheless, the costs of monitoring visits are not yet covered by the government. Other countries like Liberia and Ecuador also saw it as a challenge to support and maintain dialogue with ASM communities which are often located in remote areas with reduced accessibility which considerably increases the resources needed to visit these locations. This is exacerbated by low or no internet connectivity which impedes online communication. The evaluation team did not find evidence that the government or other entities in other countries had put measures in place which can sustain the PEM committees, dialogue fora etc.

Apart from financial constraints to realise sustainability, there are also constraints in relation to government institutions following through with strengthening the normative environment without the incentive coming from an outside support programme, the technical assistance, and the policy dialogue which government partners can facilitate.

The human rights based approach in relation to governance areas with more awareness about participation, accountability and transparency which was successfully introduced in the mining sector through EGP can increase sustainability of the normative environment and have a long-term effect on livelihoods to the extent that small scale miners and their associations are aware of their rights and have space to speak up.

2.1.3 EQ3 – Cooperation Approach

Evaluation question 3 on the cooperation approach builds on the findings from the strategic relevance and results questions and examines “how well was the programme managed”. This is important because in many ways it is where Sida, SEPA and UNDP can most easily adjust and enhance the attainment of objectives in future phases. The question looks at the cooperation approach both in terms of design and implementation in practice. There are six areas of enquiry. The first four are linked to good programme management practice. The last two are related to how the programme applied the human rights, poverty, and gender aspects. The question responds to the OECD/DAC evaluation criteria of effectiveness, coherence, and efficiency. Findings under each of the areas of enquiry are elaborated below.

Coherence – Was the programme compatible and well-coordinated with other interventions in the countries and sectors where it is being implemented?

The programme cooperated closely with other efforts especially those where UNDP was involved. This cooperation was essential given the programme’s relatively modest funding in view of its coverage of 10 countries. The EGP country programmes did not conduct a comprehensive mapping of relevant projects and given the number of initiatives this would have been a major task. However, with few exceptions, no problematic examples of incoherence were found although some potentially lost opportunities for collaboration were noted. In general, the EGP was well aligned with the national priorities with a strong focus on the environment. There was a systematic link with the Global Environment Facility projects that were implemented by UNDP. An example is the close link between the Global Environment Facility Planet GOLD programme and the EGP in Colombia and Ecuador and many of the other countries that EGP worked in. Projects such as those as the Planet GOLD were often better resourced than the EGP which meant that they took precedence, and their different time scale and scope often gave challenges which were for the most part managed. During the field visit in Kenya and Zambia, a close coherence between the EGP and the Swedish supported international training programme in management of mining waste managed by the Swedish Geological Survey¹⁴ was observed. This training programme developed specialist mining skills which complemented the environmental focus of the EGP.

It was sometimes difficult to distinguish between EGP and other projects implemented by UNDP. As the EGP only had part-time staff that also worked on other, better resourced projects there was a tendency for the EGP to become a sub-set of other projects and lose visibility. In itself, this is not problematic if it enabled a more coherent approach however it did create reporting challenges meaning that the contribution of the EGP programme was difficult to distinguish - especially in view of

¹⁴ SGU (n/a): *Mine Water & Mine Waste Management*. <https://www.sgu.se/en/itp308/>.

its weak results framework. The cooperation with other projects managed under UNDP also led to complications in cost sharing.

In some cases, the programme was well-anchored in national institutions with a permanent mandate in environmental governance. To be successful in the long term, the environmental governance function in mining would need to be taken up by national institutions. The role of UNDP was to facilitate a transition of the management and ownership of the programme approach of environmental governance to national institutions even if the programme was managed and finance through the UNDP. Such a transition was not an easy task due to low capacities, low resources, and overload on the national institutions. Nevertheless, there were some notable successes. In the case of Kenya this was achieved by working closely with the National Environmental Management Authority (NEMA) which had the mandate for environmental governance and was actively involved in the mining sector. In Liberia, all activities were planned and implemented by a small Joint Management Group with participation of the assistant Minister for Mining and Energy, who also took part in all the events. In Peru the programme responded to a powerful political initiative to set up local environmental committees in areas affected by mining conflicts. In Colombia in regions beyond the control of the government the programme engaged with NGOs that had a long institutional track record of working with the local population. These examples ensured, in different ways, that the ownership, institutional memory and learning was retained by organisations that had a permanent and powerful mandate. The role of national institutions in monitoring was an area that was often underemphasised also because the EGP itself was weak on environmental monitoring. An opportunity to increase access to data that was often overlooked was the dissemination of data collected by national agencies to groups that could make good use of them.

It is not easy to immediately find synergies or coherence between the EGP mining and the EGP partnership programmes. Although the two programmes both worked on topics of environmental governance, they had different targets with the partnership programme having an internal environmental performance objective and the EGP mining having a sector specific and operational focus. There was not much gained by having the two programmes under one umbrella except perhaps in terms of pooling the cooperation between Sida and SEPA. On the other hand, as the two programmes were managed separately there were no complications or downsides of the joint arrangement.

Monitoring and learning – did the programme monitoring enable early adjustment and learning?

The potentially innovative and well-meaning approaches introduced by SEPA at the start of the programme were not practical and created confusion. Approaches aimed at developing an adaptive management, bottom-up and locally owned approach were introduced but without considering the resources required. Approaches such as system dynamics and outcome harvesting were attempted at scale before being piloted. Although well-meaning and initially supported by Sida, the approach was at conceptual

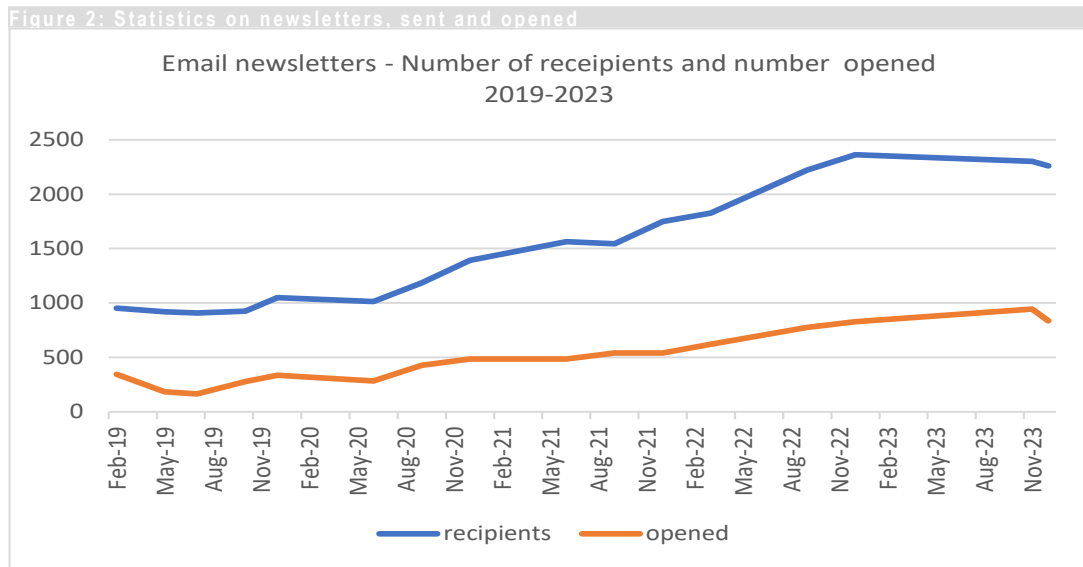
level rather than being something based on SEPA's own experience. There was reluctance on the part of SEPA to develop a workable results framework in the absence of a bottom-up demand that was unaware of what SEPA could provide. The project management and operational staff at both country and head office level were left in confusion. This continued until the SEPA project management was changed in the second half of 2021.

The confusion of approaches and the dual leadership by SEPA and UNDP of the EGP programme led to the absence of a single mutually agreed results framework and weakness in monitoring. Two project documents were developed one by SEPA and one by UNDP but without an agreed joint results framework on which to base monitoring. A special study was put into place to establish a real time monitoring that could help guide the programme. This could have been very useful and was an innovation. However, the study was probably overly influenced by the conceptual confusions noted above. It was far too theoretical and found unusable by those who managed and implemented the project; a view which was confirmed by this evaluation. The UNDP and new SEPA project management worked hard to overcome this through country-based reporting but were ultimately not able in the short time remaining to develop and apply a coherent set of indicators. As a result, the monitoring is anecdotal and not able to reflect the frequently good work done. The story telling and country-specific website is informative and special training sessions were conducted to make these more effective and interesting. However, due to the lack of monitoring, hard and verifiable results on the environment or governance change are not available.

Inter-country exchange for learning was appreciated by the programme officers especially those facing similar challenges in same region. Considerable attention was given to exchange between UNDP country offices through physical visits. The events tended to bring energy to the programme. The participatory environmental monitoring practices initiated in Peru for example were found useful by the country offices in other countries in the Latin American region e.g. it was noted by the country office in Argentina that “we learnt about how to how to finance the participatory environmental monitoring especially given that the communities are low-income and highly vulnerable and have a need for compensation. The issue was on co-funding by communities, government, and the mining companies and how to ensure that there were resources but still trust and independence.”

There is limited data on the extent to which the guidelines and tools are downloaded and used in practice. Data on website visits or downloads of guidelines and tools was not available. A systematic follow-up on the usage of the guidelines and any evidence of their effect was not in place. It seems that the website was not technically set up to capture this data, so it is lost. However, it also illustrates there the programme did not have a curiosity to see if the material produced was being used. Partly this can also be traced to the lack of a results framework to define what could and should be measured. There was some evidence that some of the tools and guidelines have been used as noted in the earlier chapter on normative outcomes. A record of

newsletters sent by email and those opened from February 2019 to November 2023 is shown in figure 2¹⁵. It indicates that over a five-year period the number of newsletters sent rose from just under 1000 to around 2400 and the number opened rose from around 300 to 400 to close to 1000. While it is difficult to read much into how much information was disseminated the statistics do show an increasing level of activity.



Roles – Were the Swedish environmental protection agency and UN development agency roles complementary?

The main concept of combining SEPA’s expertise with the country and development network of UNDP was strong but lacked direct mining expertise. The programme’s design mobilised SEPA’s experience from its exercise of the national mandate on environmental management. At the same time, the programme mobilised the country knowledge, field presence, convening power and programme management expertise of UNDP. UNDP did not have the internal expertise or institutional experience of environmental management from the perspective of an environmental protection agency. By working with SEPA it was able to bring to its partners the specialist institutional expertise on environmental management. At the same time, SEPA did not have the country presence, entry points with country institutions or project management network to efficiently manage a myriad of small grants. In hindsight it became clear that to provide effective support, the programme also needed to engage not just with the environment but also with the mining function and significant hard science geological expertise was also needed (e.g. on technical guidance on mine closure) and this had to be sourced outside of SEPA. Similarly, the whole area of artisanal mining although crucial to environmental governance, was

¹⁵ All graphs shown in chapter 2.1.3 are based on internal UNDP and SEPA data.

largely beyond the immediate experience range of SEPA. Viewpoints expressed during interviews include:

- *“We only have 2 to 3 people in mining, and they did not have time so we had to get consultants who had both Swedish and cooperation development experience - that worked”* SEPA staff
- *“The people know their topics but did not necessarily have global south experience”* SEPA staff

In general, the application of SEPA expertise at country programme level was affected by the management problems between SEPA and UNDP HQ, regarding the result framework and adaptive management approach. It affected the direct communication SEPA and UNDP country offices. Some country offices and stakeholders at country level were not aware of which expertise they could get from SEPA. The communication improved substantially over time.

The practical mechanisms of cooperation between SEPA and UNDP were not fully worked out and it took time for the UNDP country teams to know how to engage with SEPA and make use of their knowledge. As noted earlier, the project management disruptions, associated with an overly ambitious approach to make the project bottom-up and introduce adaptive management, led to confusion. Initially, there was also an element of distrust or at least reluctance on the part of UNDP and its country offices to further confuse the programme until an agreed approach and framework of action was established. As a result, the country teams were not clear about what SEPA could offer or the mechanism of how they could make use of SEPA expertise. This has significantly improved over the course of project with a close engagement now taking place between the country teams and the SEPA project management.

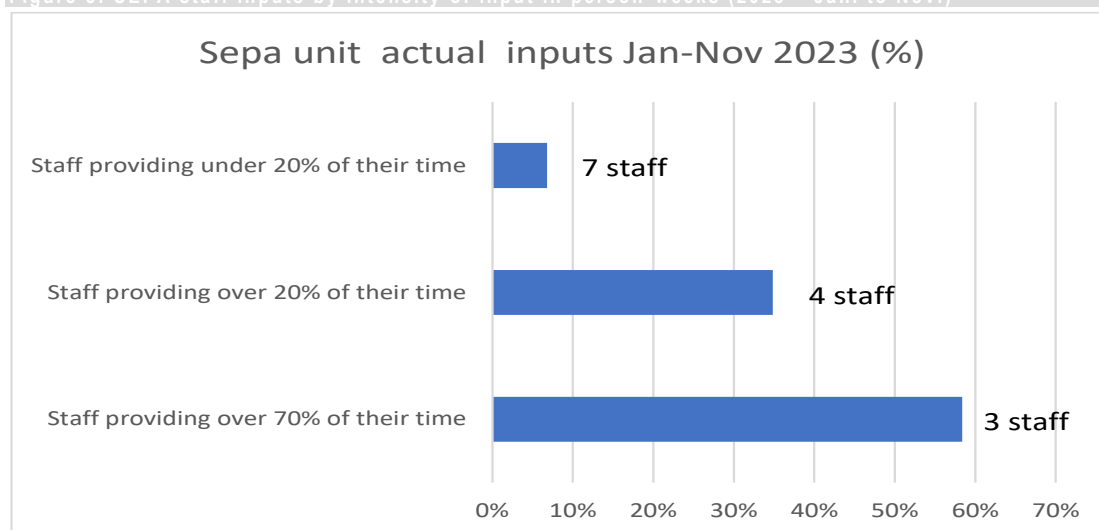
There were some topics where the combination of SEPA and Swedish mining expertise was found highly useful. Some of the topics singled out where SEPA and the Swedish mining expertise, and outlined under chapter 2.1.2 results, was very useful include:

- Mine closure – SEPA experience on guiding and regulating mine closures was found useful in a number of countries. Not only for large-scale mining which were a feature of the Mongolia and Kyrgyzstan country programmes, but also for the small-scale mining in for example Kenya where SEPA expertise was drawn on to support a health and safety training manual for small-scale mining. *“Mine closure is particularly an area where the SEPA was helpful -This also impacts the small-scale operations”* (final beneficiary organisation).
- Adoption of progressive restoration approaches – SEPA and Swedish approaches to step-by-step restoration approaches inspired the consideration of similar approaches in Zambia and elsewhere. *“SEPA encouraged “progressive restoration” that is clearing up area by area”* (Final beneficiary organisation).

- Technology that avoids mercury use – although it was well-known that alternative technologies were available and better than mercury use, the presence of highly qualified and internationally recognised Swedish experts that emphasised this supported the programme in its efforts to change practices – for example in Colombia.
- Financial surety for ongoing and legacy mine sites – SEPA and Swedish experience on how to ensure future financial resources and security for managing mining waste and minimising of pollution and how to early on engage with the private sector and ensure that concessions and licences dealt with these issues was found relevant. In Zambia, the Environmental Protection Fund at the moment receive contributions from the mining companies which are grossly inadequate. SEPA shared its experience on financial surety.
- Institutional cooperation between environmental and mining functions – SEPA’s experience in Sweden on the importance of close institutional cooperation with the mining authority was helpful in bringing parties together and establishing coordination mechanisms as was the case for a study on mining in forest areas in Zambia.

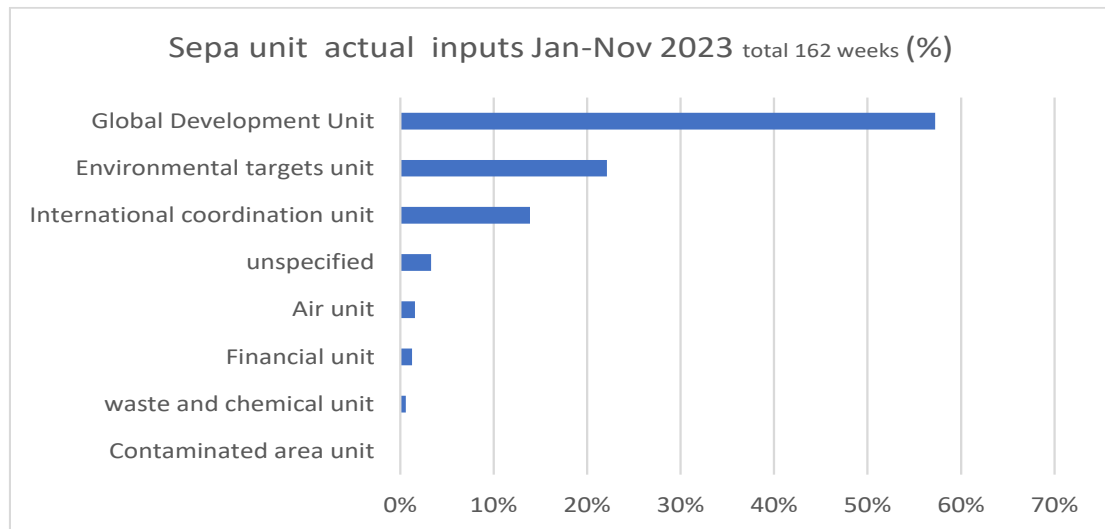
Overall, the SEPA-UNDP concept was constrained by staff availability and ensuring a critical mass of inputs given the scale and nature of the challenges being faced. The initial project management challenges, the absence of a clear results framework and the number of countries and situations to respond to imposed considerable project management burdens on SEPA. As a result, and also because the challenges were developmental in nature, meant that it was the global development and international cooperation units in SEPA that provided the majority of inputs (see figure 4 for 2023¹⁶).

Figure 3: SEPA staff inputs by intensity of input in person-weeks (2023 – Jan. to Nov.)



¹⁶ Figure 3 and 4 based on data provided by SEPA and UNDP.

Figure 3: SEPA staff inputs by unit (2023 – Jan. to Nov.)



Nevertheless as shown for the case of 2023 there were still 14 staff SEPA staff involved with 7 of them providing more than 20 of their time (see figure 3).

The original idea that SEPA could provide a global and issue specific help desk function has not yet worked out as intended. SEPA was not able to establish such a function as it was not part of SEPA's culture of work planning and demanded responsiveness. Often, those making requests needed the information the same week whereas the SEPA staff were only able to respond over a period of months.

Although the main division of role is clear in theory, in practice it has been difficult to follow this division. The main division of roles is of that SEPA provides the technical expertise and the overall Sida-facing project management at Global level. UNDP provides the project management at country level which is coordinated at global level and it also leads on the dissemination at global level. This appears straight forward but the main issue is around the demand for SEPA inputs and the delivery of the inputs. In summary the lessons learnt on roles from this phase of the EGP programme are:

Lessons learnt on demand

- The demand for SEPA inputs were not actively enough catalysed at country level by ensuring the actors are aware of what SEPA can provide and has provided in earlier phases.
- Country action plans need prioritise around what SEPA can provide rather than responding to the general menu of needs (that could also be addressed by others).

Lessons learnt on delivery

- Technical skills on mining from Swedish sources were and should in the future also be considered as valid.
- A help desk function with minimum response times was not in place.
- Internal SEPA management needs to be more convinced of the benefit of this type of work in terms of employee growth and satisfaction and response.

Programme management – Did the management, procurement and financial control systems ensure efficient use of resources?

The dual leadership of the programme was complex. After the initial period of SEPA induced confusion, the programme was skilfully brought back on track although demanding in terms of management resources. The dual leadership of SEPA and UNDP created a dual project management structure. In later years, once the initial period of confusion was overcome, the two project management teams worked together but even so there was an element of duplication on progress and financial reporting. It is not immediately easy to see how this can be avoided except by putting UNDP in control of financial and progress reporting with SEPA having a narrower role of providing specialist inputs. A considerable effort had to be made to bring the project back on track which the UNDP and new SEPA team have succeeded in doing. Some lessons learnt on applying an ambitious adaptive management approach are summarised below:

<p>Observations:</p> <ul style="list-style-type: none"> • The intention of ensuring a programme that was bottom up and locally owned was well conceived • The original approach to adaptive management, system dynamics and demand management was not grounded in an understanding of the reality at country level • The approach was flawed as it tried too much at once and led to chaos and confusion and was not well communicated • It took a long time for the programme governance itself to make changes although this was eventually done 	<p>Lesson learnt:</p> <ul style="list-style-type: none"> • Anchorage in credible and technically competent national institutions and initiatives that are already ongoing is the key to ensuring ownership and adding value (the EGP had good examples of this in Kenya, Peru and Colombia) • The choice of partners and initiatives to support needs a thorough understanding of the country situation within environmental governance in mining
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Tried and proven internal UNDP systems of project management, procurement and financial control were followed but the absence of a results framework and budget changes in 2022 made it complicated. UNDP has a proven system of project management and financial control including competitive procurement procedures as well as internal and external control systems. These systems have been assessed by the European Commission and are also generally accepted by Sida¹⁷. No reasons came to light during the evaluation that the systems were not being followed. However, it did become apparent that the UNDP country offices are often understaffed, and their tasks are scattered across many projects. The small budget meant that the EGP mining staff was not dedicated full time which meant that there was a complex cost sharing

¹⁷ An independent assessment of SEPA internal controls was made in 2020 commissioned by Sida which concluded that the internal controls were adequate with the following conclusion statement "Following our observations and based on our interviews with Swedish EPA's representatives, we consider the organisation to have an acceptable internal control environment." Some recommendations were given which were responded to by SEPA.

arrangement with other projects. In the case of Zambia, this led to the EGP becoming largely invisible as it was embedded in the ACP-EU programme on mining development. In 2022, just as the programme was emerging from Covid 19 and was beginning its first full “normal” year, there was a sudden request from Sida for halving the budget. This created chaos in the planning and resourcing especially when it was later reversed.

An analysis of the expenditure reflects a generally well-managed programme. As shown in figure 5 the expenditure was just over 60% on average for the first three years (2020-2022) with outcome 3 on dissemination being the closest compared to budget. This can be explained only partly by the years affected by Covid 19 with the fall in expenditure in 2022 due to the temporary budget cut that was then later restored.

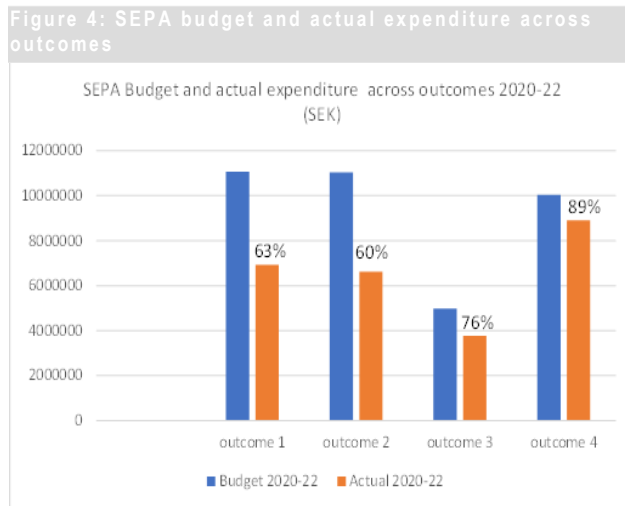
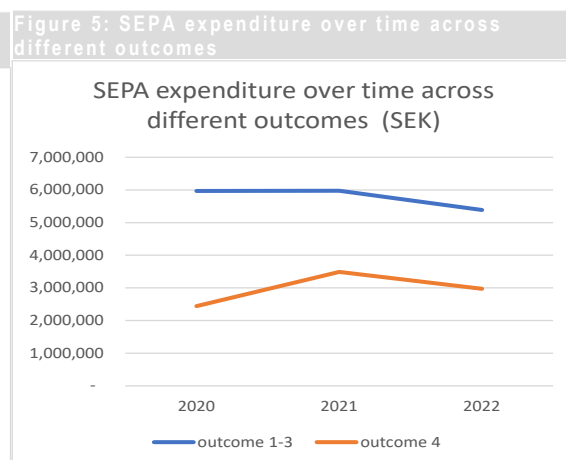
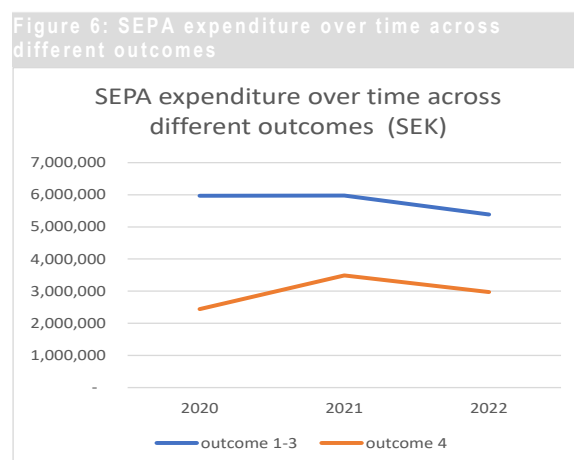
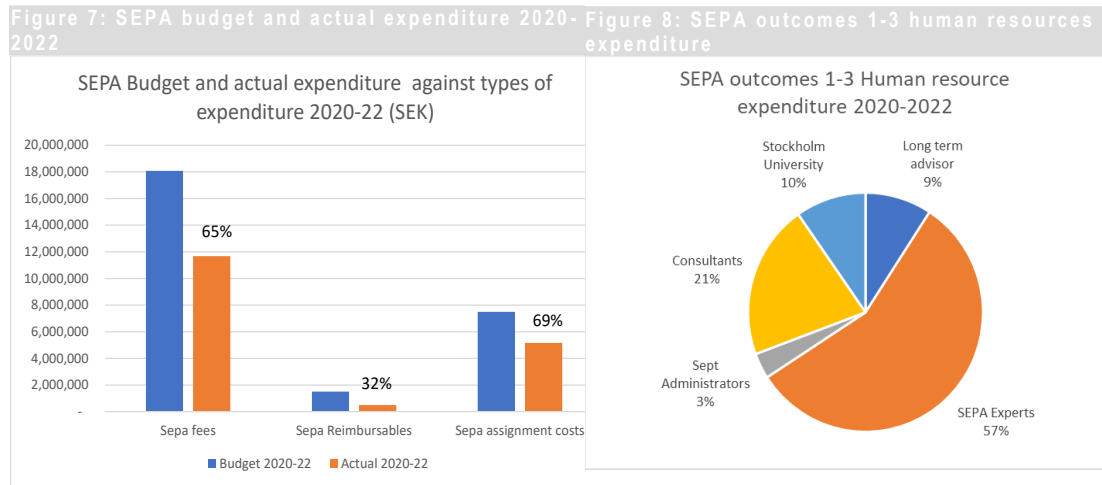


Figure 9 indicates that SEPA experts accounted for 57% of the human resource expenditure with consultants and service providers (Stockholm University) accounting for 31%. Figure 13 shows the UNDP budget and expenditure in the first 3 years. This indicates that the expenditure largely reflected the budget lines with a little over expenditure in headquarters assigned costs (Figure 12). The influence of Covid 19 is clear with 2020 having a large under-expenditure with expenditure in the subsequent years matching or slightly exceeding budget (Figure 11). It would appear that the budget cuts and restoration of the budget in 2022 had less effect on UNDP than on SEPA.





In summary factors that had a positive and negative influence on efficiency are listed below:

Positive	Negative
<ul style="list-style-type: none"> • UNDP and SEPA systems of procurement and internal control • Project management devotion • Project management adaptation e.g. in moving from large scale to small scale mining 	<ul style="list-style-type: none"> • The long period and its aftermath following the confusion on the adaptive approach • Budget interruptions (due to covid/ Sida budget cuts/ introduction of new UNDP financial software) • Lack of results framework • The dual project management function and dual project documents • Staff turnover both at country and global level

Many stakeholders at country level found the budget very small and inadequate to carry out key activities such as monitoring. However, although the expenditure rate increased over the years, the average expenditure rate was only 70% although with a carryover facility of 25%. The under-expenditure was related to a series of challenges such as: budget changes, low prioritization by UNDP country office of such a small programme, confusion about the activities to be carried especially in the first two years, low capacity in some UNDP country offices and Covid 19 restrictions in the first years of phase 2. Sida Budget cuts and late reinstatement of budget severely reduced the time available in 2002 for planning execution. The same happened in 2013 when UNDP finance system changed meaning funds only arrived in mid year or even later. Resources at country level were not the only problem but they are an issue as in effect there was not enough critical mass to make a difference in this complex sector – the project strategy was to be catalytic rather than substituting but even that required a minimum input if it was to be relevant – low local ownership might reduce co-financing but in reality the ownership issue is deeper – again a catalytic approach is needed either to avoid low ownership or to have a strategy to develop it and withdraw if it does not grow.

Figure 14: UNDP expenditure by type over the years Figure 13: UNDP budget and expenditure 2020-2022

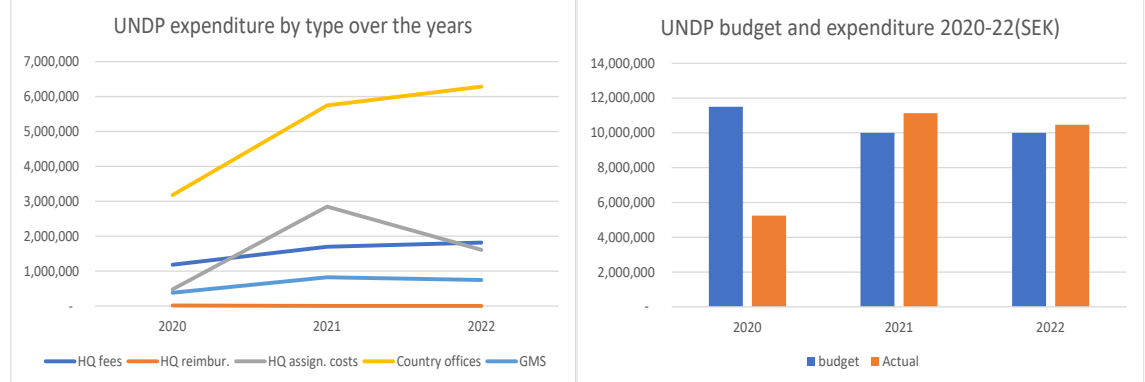


Figure 12: UNDP expenditure 2020-2022 by type Figure 11: Country Expenditure (2020-2022)

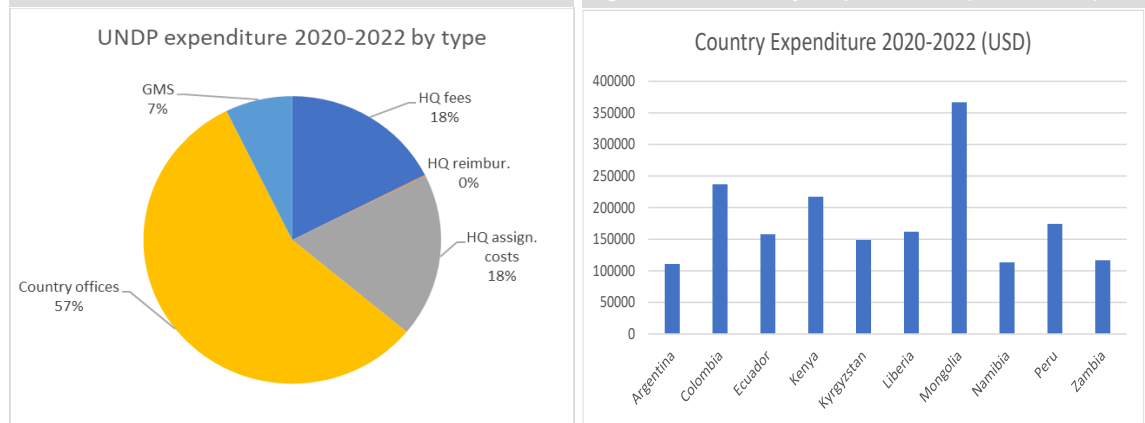
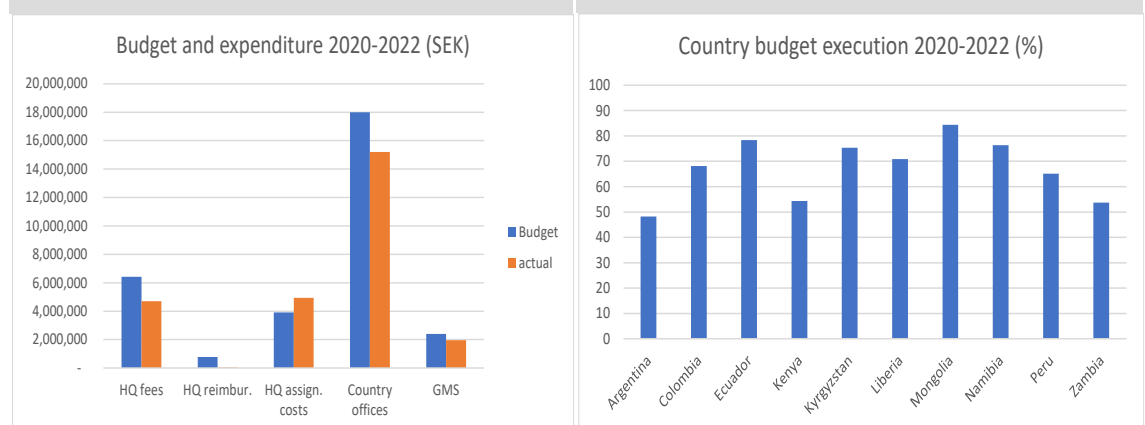


Figure 10: Budget and expenditure 2020-2022 Figure 9: Country Budget Execution (2020-2022)



Poverty and rights approach – The programme has been implemented with a perspective from people living in poverty and a Human Rights Based Approach and considers linkages to conflict prevention and resolution.

The EGP was catalytic in creating awareness about human rights in a broader context in the mining sector including the rights to a clean environment and good health. Through awareness-raising activities and the dissemination of knowledge

products, the public acknowledgement for the substantial environmental impacts mining activities can have, was fostered. Additionally, the connection between this and the right to a clean environment was made which was a new idea that received increasing attention through the EGP's activities in many partner countries (such as Kenya and Liberia). A greater appreciation of human rights including participation, accountability and transparency will increase the sustainability of governance arrangements. The compliance approach that was pursued by many EGP country programmes, significantly contributed to raising awareness on the right to a safe work environment, even though the need for protective equipment and the change of some practices in mining has not been fully accepted in most mining communities but still led to improvements regarding human rights in occupational safety.

Gender mainstreaming – Gender is mainstreamed in a way that leads to empowerment, partaking in decision-making by women and capacity to hold responsible parties accountable.

The EGP phase 2 support to gender mainstreaming led to a high level of awareness, integration of gender issues in guides and handbooks and to some extent regulation as well as increased participation of women. In the face of the high level of inequality, gender-based violence etc. in the very male-dominated mining sector which is well documented in general and also by some specific studies carried out at country level, the EGP did consistently contribute towards equality and strengthening women's role in the mining sector. In Liberia, the Ministry of Gender, Children and Social Protection had for the first time the opportunity to work with gender in the mining sector by integrating issues of gender in the *Handbook for Artisanal and Small-Scale Miners*. Colombia developed a specific guide on gender issues in mining based on an analysis of the mining sector with a gendered perspective. In Zambia, the study on mining and forestry outlines the impacts on women and men separately. UNDP Colombia supported the Ministry of Mines and Energy (MME) for one year to certify for the Equipares SEAL which is a gender mainstreaming standard. MME in Colombia which was a quite male dominated institution was the first government institution which entered into that process. In the second year, MME continued without UNDP's support to mainstream gender. Although MME did not get certified, the process had a lasting effect since there is a functioning monitoring system for gender and awareness on gender equality and its advantages have been raised in stakeholder interviews. MME to a certain extent paved the way for other ministries getting the Equipares SEAL later. In Namibia, Zambia and Kenya, gender-disaggregated data on attendance on various meetings and workshops was kept for several activities. In Kenya, the "Artisanal Mining Committee Manual" includes a 2/3 gender rule for the ASM committees, but it is not yet gazetted. In Argentina and Peru, the participation of women was particularly high in environmental monitoring. In Kyrgyzstan, it was pointed out that the local commissions are almost gender balanced. In Mongolia, a project on human rights due diligence was piloted in one of the largest mining companies and by the Women's association of Minerals Sector. Based on the results, a corrective action plan was developed, and several recommendations were

implemented e.g. having a dedicated children's room. Overall, a high number of the interviewees expressed a good degree of awareness and knowledge of gender issues in the mining sector. At the global level, women's role in mining was the topic of the global report *Women and the Mine of the Future*¹⁸. The EGP has entered into a partnership with the Intergovernmental Forum on Mining, Minerals, Metals and Sustainable Development and the International Institute for Sustainable Development and the experience from Argentina, Colombia, Mongolia, Peru, and Zambia was presented in the report.

In several countries, the EGP supported women in building their technical capacities by strongly involving them in environmental monitoring. In several of the countries that worked with PEM, especially women were appointed to conduct the environmental monitoring. In Peru, the main rationale behind this choice was to create a profile for them in environmental monitoring and therefore empower them with knowledge and skills that would be useful to increase their opportunities. This approach has contributed to a higher representation of women in the PEM committees. In Argentina, young unmarried and unemployed women were selected because they had the time available to volunteer for the monitoring whereas the men were often employed in mining companies or were hoping to be so. Women, especially the ones from indigenous communities, often had difficulties finding entry points in the technical work in the companies and were mainly engaged in supporting activities. Without disregarding the value of increasing women's technical skills through PEM, it should be stressed that the PEM work is done on a voluntary basis and therefore does not give income. This might be a factor explaining why men in Peru were more inclined to wait for a paid job in mining than dedicating their time to monitoring. This is underlined by the difficulties women involved in the monitoring had to be properly recognized for their key role in PEM in Peru¹⁹.

Specific country studies are important, as gender issues are context specific and depend on the mineral or metals being mined. In the case of Kenya, gender issues were included in the Strategic Environmental and Social Assessment and in the study carried out by the Centre for Environment Justice and Development in phase 2. Nevertheless, there are indications that the gender-specific conditions in gold mining in Kenya were not identified and therefore not considered. Women are mostly involved in processing including sluicing and amalgamation meaning that women's health is more affected than men's by mercury which is used frequently. Observations indicate that men were also more likely to wear protective equipment than women. The male miners working in the shafts get a daily income as well as a bonus once the mine

¹⁸ IGF & IISD (2023, April): Women and the Mine of the Future. Global Report.

¹⁹ SEPA & UNDP (n/a): Peru: Women's leadership in protecting the environment in communities impacted by mining. <https://www.environmentalgovernanceprogramme.org/peru-womens-leadership-in-protecting-the-environment-in-communities-impacted-by-mining>.

becomes productive while the women need to wait to be approached for their services and therefore experience a higher income insecurity. These socio-economic differences and the difference in exposure to environmental hazards had not led to designing training in a manner which could increase awareness among miners about the differences and how to eliminate these inequalities. It is also not clear if the women working in the processing of gold were eligible to be elected as a mining representative in the ASM committees. This is because the processing part of the gold mining is mostly unorganised and mining representatives in the ASM committees must represent an association or another organised body.²⁰

2.2 EGP PARTNERSHIP SUB-PROGRAMME

2.2.1 EQ1 – Strategic Relevance – Did the design and implementation of the programme respond to the needs, policies, and priorities of the stakeholders?

This question looks at whether the programme targeted the right areas or in other words whether it did the right things. It assessed this by looking at two main areas of enquiry. The first was where the programme aligned to the policies and priorities of UN system at interagency level and entity level and in that way it institutionally supported goals to enhance environmental governance, partners or added value through for example developing an agenda for policy dialogue and change. The second looks at the alignment to Swedish policies for international cooperation with their focus on gender, human rights, and the perspective of people living in poverty. The question responds to the OECD/DAC evaluation criterion of relevance.

Partner policy alignment – is the programme aligned to the policies and priorities of the global, national and partner institutions?

Box 1 The Partnership programme and SEPA's role

The EGP partnership (funded by Sida) aims to support a strengthened and more systematic internal governance of environmental performance within the UN system and promotes collaboration mechanisms between the SEPA, SUN, EMG and the UN system. The project takes its starting point from the UN Sustainability Strategy 2020-2030. Programme activities are concentrated within three major working areas: EMS including a component on virtual meeting culture, environmental sustainability within UN programmes, and reporting on environmental performance. The project supports inter-agency coordination and advises UN entities on establishing environmental governance frameworks in UN programmes, projects, facilities, and operations. SEPA's role is to identify and lead implementation of project activities in collaboration with the UNEP partners. For this purpose, a SEPA staff member is seconded to the SUN facility of UNEP. Occasionally, other SEPA staff was involved short term and for specific purposes, e.g., revising the EMS guide. Source: Partnership annual report 2021.

²⁰ Ministry of Mining, Blue Economy and Maritime Affairs Kenya (n/a): Artisanal Mining Committee Manual.

The partnership programme is highly strategic with the potential for far-reaching catalytic effects. The partnership is aligned with the policies and priorities of the global, national and partner/institutions²¹. The EGP is essential in developing and implementing the UN's internal sustainability agenda which aims at reducing the environmental footprint of the UN system and also increases the UN's credibility in setting international standards and strengthens its function as an international role model. Keeping high international standards on environmental sustainability is important for the UN as it amplifies its credibility in hosting and monitoring the implementation of multilateral environment agreements and the Sustainable Development Goals. The main partner of the EGP Partnership has been the Sustainable United Nations (SUN) which reports to the Environmental Management Group (EMG) under the United Nations Environmental Programme (UNEP). Almost all UN entities (52) are members of EMG and have appointed a sustainability focal point in their respective organisation. SUN is coordinating its activities with this network of focal points in each UN agency.

The EGP Partnership sub-programme was conceived based on an evolving understanding of the UN organisational structure and the mandate of the Sustainable United Nations (SUN) Facility. The design of the EGP Partnership phase 2 aligned with the vision of the UN Secretary General on raising the UN Systems' internal ambition on climate change and sustainability. This vision led to the *Strategy for Sustainability Management in the United Nations System, 2020–2030 Phase I: Environmental Sustainability in the Area of Management*²². The SUN facility under UNEP was the responsible body for coordinating and supporting the UN entities in relation to implementing this phase 1 on strengthening the internal environmental and climate management towards sustainability. The internal sustainability relates to the UN entities' operations and facilities. The SEPA staff on loan supported SUN in actions to strengthen the environmental sustainability of the operations and facilities. This work focused on the Environmental Management System (EMS) and the annual UN system wide environmental sustainability report, the Greening the Blue report.²³

Sida was also interested in supporting the environmental sustainability of projects and programmes and the EGP Partnership was designed accordingly. In the beginning it was the intention of supporting this work through SUN and in collaboration with the EMG secretariat, but neither organisation has the mandate to support UN entities in

²¹ United Nations System (2019, 29th of May): Summary of deliberations. Addendum. Strategy for sustainability management in the United Nations system, 2020–2030. Phase I: Environmental sustainability in the area of management.

²² United Nations System (2019, 29th of May): Summary of deliberations. Addendum. Strategy for sustainability management in the United Nations system, 2020–2030. Phase I: Environmental sustainability in the area of management.

²³ Data reporting on the environmental impact areas and management functions identified in the Strategy for Sustainability Management in the United Nations System 2020-2030, Phase I: Environmental Sustainability in the Area of Management

applying Environmental and Social Standards in their programmes and projects. Therefore, SEPA identified other options together with the EMG Secretariat, that resulted in interviews and a mapping of opportunities for exchange of good practice between UN entities and a mapping of needs of the UN entities regarding support and training on the development and application of Environmental and Social Standards. The staff on loan included monitoring based on indicators and reporting of environmental and social standards in the annual environmental sustainability report Greening the Blue.

In 2021, the UN System Chief Executives Board for Coordination endorsed²⁴ the *Strategy for sustainability management in the United Nations system, 2020-2030 - Phase II: Towards leadership in environmental and social sustainability*²⁵ which deals with the external sustainability of the UN i.e. the design and implementation of projects and programmes applying Environmental and Social Standards. However, internally in the UN system an appropriate mechanism or dedicated high-level entity to support the implementation of phase 2 which requires an enormous effort is a huge task, is still under development. As SEPA gained a better understanding of the mandates of the different UN entities on advancing the sustainability agenda, the mode of function of the UN system and timing, SEPA realised albeit somewhat late in the implementation phase that it would be more fruitful to continue to focus on the internal sustainability of the UN system than the Environmental and Social Standards.

Sida policy alignment – the programme is aligned to Sida policies for international cooperation.

The EGP partnership is aligned to Sida’s policies for international cooperation. Sweden's approach to development cooperation is grounded in the principles of aid effectiveness laid out in Paris Declaration and Accra Action Agenda²⁶. Being the host of the first conference in 1972 on environment and sustainable development which was followed up by the Stockholm+50 national consultations in 2022, it is also traditionally a strong supporter of key multilateral environment agreements steered by the UN, including the 2030 Agenda on sustainable development, and the Paris Agreement on Climate Change. Based on Sida’s strategy for capacity development, partnership, and methods, the EGP Partnership with the aim of strengthening UN’s internal sustainability aligns well with several Swedish priorities for international cooperation. For example, central to the Swedish strategy is the aim of fostering strengthened

²⁴ United Nations System (2019, 29th of May): *Summary of deliberations. Addendum. Strategy for sustainability management in the United Nations system, 2020–2030. Phase I: Environmental sustainability in the area of management.*

²⁵ United Nations System (2022, 1st of March): *Summary of deliberations. Addendum. Strategy for Sustainability Management in the United Nations System, 2020–2030. Phase II: To-wards leadership in environmental and social sustainability.*

²⁶ OECD (n/a): *The Paris Declaration on Aid Effectiveness and the Accra Agenda for Action.* <https://www.oecd.org/dac/effectiveness/34428351.pdf>

partnerships and leadership and to utilize Swedish expertise in international development cooperation. Sweden has long been recognized as a global leader in environmental protection and sustainability efforts, hence, both objectives are actively pursued by sharing Swedish expertise on environmental sustainability. By advocating for higher standards within the UN, Sweden can catalyse the international environmental agenda firstly by making a direct impact through supporting the UN in becoming more sustainable and secondly, by increasing the UN's credibility as a role model and support their ability to strengthen the international agenda towards environmental sustainability.

2.2.2 EQ2 – Results – What worked well, what didn't?

This question is related to evidence of the attainment of the programme outcome and the sustainability of what has been achieved once the programme stops. The question responds to the OECD/DAC evaluation criteria of effectiveness and sustainability.

Effectiveness – The partnership led to the greening of UN programmes and projects in terms of environmental management systems, application of safeguards and integration of internal sustainability in annual reports.

The EGP Partnership has contributed to accelerating the implementation of the UN internal sustainability strategy application of EMS by the targeted UN entities and strengthening the reporting on EMS and the strategy targets and indicators in the Greening the Blue reports. The EGP through SUN has targeted all the 55 UN entities in supporting them to implement the strategy phase I from 2019. At the start of EGP phase 2, the UN system had already achieved progress in internal environmental management. All of the 55 entities taking part in the Greening the Blue initiative reported reliable emissions data, and 80 per cent reported partial data on waste generation and disposal and on water consumption. Close to 30 entities were practising a systematic approach to environmental management. 43 of the 55 participating entities offset the global greenhouse gas emissions that they cannot yet reduce, accounting for 39 percent of United Nations system emissions.²⁷

The EGP with the seconded SEPA staff addressed the gap between the achievement and the targets considering that “*Despite the progress made over the past 10 years, the United Nations system is still a considerable way from being able to claim that it has mainstreamed environmental sustainability in its work practices*”.²⁸ The staff on loan has been interacting with many entities including the ‘Sustainability focal points who are appointed by the UN entities and form a network under the Working Group on Environmental Sustainability Management. The technical assistance by the SEPA staff

²⁷ *The Greening the Blue Report 2020.*

²⁸ *Ibid.*

on loan has resulted in strengthening the guidance on the implementation of the overall EMS including the Greening the Blue reporting and helped to create a more coherent and detailed evaluation framework for assessing EMS progress in the UN system. 29% of the respondents to the survey (See annex D) carried out by the evaluation team found that the support provided by the EGP Partnership through SUN contributed significantly to advancing the overall environmental performance of their entity while 35% responded that the EGP Partnership had contributed moderately. So, 64% of all respondents and 86% of the respondents which had received support in one or more areas, found that the EGP Partnership had contributed positively to their performance.²⁹

Responding to a need identified in 2021 on strengthening the capacity of the UN entities to carry out internal audits of their EMS, the EGP organised an audit training. In the survey, 19 respondents have participated in the audit training on EMS in 2022 and 2023 and 18 found it very useful or useful. One respondent did not find it useful but did not specify the reason.

The survey also showed that overall, 94% of the respondents found it very helpful or helpful to have participated in the Greening the Blue Environmental Management Systems (EMS) advisory group. This working group had been re-established with updated Terms of Reference by the SEPA staff on loan. The EMS toolkit launched in 2021 was used by over 20 UN entities as support in their work on EMS. The survey indicated that the toolkit has been much appreciated as guidance. The SEPA staff took the responsibility of carrying out the yearly EMS survey which measured progress in implementing the EMS. The results of the annual survey helped to identify gaps and challenges and provide guidance for improvement. This was very much appreciated by interviewees who also said the survey helped reminding where their entities should focus on. An update of the waste guidelines was initiated in 2023 and will be finalized in 2024. In 2024 SUN will conduct two pilots on assessing the content of solid waste and look into procurement procedures to analyse how waste management processes can be revised to lead to reduced waste generation and improved data quality and reporting. As part of the effort to reduce emissions from travelling, the EGP helped to establish guidelines³⁰ and organised webinars on how to best do virtual meetings. This work started before the Covid 19 pandemic but of course its relevance increased because of the pandemic. The UN Secretariat which is also responsible for the peacekeeping missions is considering introducing an internal carbon tax to raise awareness on green travelling. The staff on loan chaired a travel task team with representation from over 15 UN entities to draft recommendations on a systematic approach to reduce emissions from air travel in the UN system, as these emissions account for more than 40% of the

²⁹ This figure might seem low but should be seen in the context that 8 of 31 respondents did not state having received support in any activity. This on the other hand means that 23 of 31 i.e. 74% had received support in one of more areas.

³⁰ For example the UNEP (2022, February): *Virtual and Hybrid Studio Set-up and Equipment*.

UN system's total emissions. This activity was finalized in early 2024 and led to 15 recommendations that were presented in a report. UNESCO did a pilot project on the implementation of the virtual and hybrid meeting culture which was a very important step for them. UNESCO formed a high-level working group leading the change process and carried out several trainings, surveys and staff interviews on meeting culture and practices. In 2021, UNESCO adopted the EMS policy and targets and gave credit to the support from the SEPA staff and other SUN team members who contributed by reviewing the drafts of these documents.

Apart from the overall strengthening of and guidance on the EMS, the SEPA staff has guided individual UN entities which have permitted them to elaborate specific guidance on EMS, waste management, etc. for headquarters level and regional offices or duty stations.

Reporting on Environmental and social standards was established. Based on the analysis of the UN Sustainability Strategy on Environmental management's 2020-2030 (phase 1) indicators and targets, the SEPA staff facilitated that the reporting on Environmental and Social Standards in the UN system was included in the Greening the Blue survey on environmental governance for the first time.

As mentioned above, the Chief Executive Board approved the UN Sustainability strategy 2020-2030 (phase 2) in 2021.

The EGP Partnership has not contributed as much as expected to the application of environmental and social standards and the use of the Model Approach in joint programming at country level. Regarding the project component on Environmental and Social standards, the programme first focused on the use of the Model Approach framework Moving towards a Common Approach to Environmental and Social Standards for UN Programming – in country programming with several UN entities involved in the same programme. However, the scope of the Working group on sustainability in programmes changed and due to staff turnover at key partners and unclarity in the UN system about mandates and responsibilities in relation to programming support at country level, the programme focused on other activities in relation to ESS. Monitoring and annual reporting on Environmental and social standards were established and a mapping of capacity building needs of UN entities on ESS and an identification of possible areas of interagency collaboration on ESS was performed.

Sustainability – To what extent will the net benefits of the EGP continue, or are likely to continue?

It is likely that the benefits of the EGP Partnership can be sustained in the long term due to well established structures in the UN system on e.g. monitoring. The EGP support through the SEPA staff has been firmly embedded into the UN system supporting the implementation of the UN sustainability strategy. This strategy received

ample attention and priority at the highest level in the UN system. Furthermore, the EMS including the Greening the Blue reporting was already under implementation when phase 2 was initiated. There is an indication of a growing awareness at senior management level in the UN entities e.g. indicated by contracting of staff with responsibility for the sustainability agenda. There is evidence that a growing number of UN entities are participating in the Greening the Blue network and other relevant working groups and that the Teams channel, which was set up to make the environment and sustainability information and guidance accessible for the UN agencies' focal points, are highly appreciated and used. The political will, the institutional solidity, and the increasing awareness of the UN entities both at the level of senior management and an increasing number of staff, many of them young, dedicated to sustainability and green transition bode well for sustaining the benefits of the EGP in the long term.

The risks of not sustaining the benefits are limited staff capacity in the key units to guide, coordinate and monitor progress on implementation, and insufficient expertise on EMS which the EGP is presently providing. Many interviewees highlighted the high quality of the inputs which the SEPA staff provides, and the void created should this support cease. SUN is considering setting up a peer group to provide some of the tasks of the current SEPA staff on loan. A junior professional officer or part-time staff may be appointed to assist SUN. Such mechanisms can also draw on the increasing number of dedicated staff with specific knowledge on environment management. Staff turnover may weaken the current level of awareness and progress. Capacity building and awareness raising is an ongoing effort. As one focal point remarked: *"I think about myself as the kindergarten teacher and every year there are new kids coming and they need to learn to turn off the light."* Furthermore, about half of the UN entities have a weak participation in the sustainability work or are not participating. There is an indication that the biggest UN entities have their own strategies on sustainability and that they are strongly participating and contributing.

2.2.3 EQ3 – Cooperation Approach

Evaluation question 3 on cooperation approach builds on the findings from the strategic relevance and results questions and examines "how well was the programme managed". This is important because in many ways it is where Sida, SEPA and the UN can most easily adjust and enhance the attainment of objectives in future phases. The question looks at the cooperation approach both in terms of design and implementation in practice. There are three areas of enquiry linked to good programme management practice. Findings under each of the areas of enquiry are found below.

Coherence – Was the programme compatible and well-coordinated with other interventions in the UN entities where it is being implemented?

The UNEP partners SUN and EMG Secretariat only have two regular staff each working on coordinating and supporting UN entities environmental performance which meant that change in staff created long periods of minimum interaction.

The SUN and the EMG Secretariat were understaffed given the challenges in carrying out their mandates. Providing staff on secondment to SUN was highly relevant to help establishing initial steps to implement the Strategy for Sustainability Management in the United Nations System. At the same time, it had the potential drawback of delaying the UN's commitment to provide sufficient resources to overall coordination and mainstreaming of sustainable management thus becoming 'gap filling' rather than fulfilling an advisory function.

Swedish environmental diplomacy as a UN member country has been effective but potentially also underutilized. The incentive environment for UN entities to prioritise and set aside resources to adopt and implement EMS and improve environmental performance is driven by the signals from UN top management. UN management is in turn responsive to signals from member states. As an example, the SUN and EMG point out that prompting by Sweden and like-minded member states led to the General Assembly in 2020 of the UN to ask the UN entities for progress on EMSs which had a significant effect in the prioritisation given by the UN entities.

Monitoring and learning – did the programme monitoring enable early adjustment and learning?

The programme and annual reporting were activity-based, succinct and informative. In the absence of a strong results framework the annual reporting is mainly at the activity level rather than reporting against output and outcome indicators. The implicit and wide ambition is to utilise the UN's own system-wide internal environmental sustainability report, the Greening the Blue report. The EGP Partnership working closely with the SUN team supported the design of the annual survey on environmental governance and management functions. There is a potential for this reporting to become a wider proxy for reporting on programme outcomes as this report has an elaborated results framework and system of indicators.

The use of SEPA expertise in peer reviewing contributed to knowledge and learning. As part of the work to improve the Greening the Blue report, a senior adviser from SEPA reviewed the process of the Greening the Blue waste inventory and suggested areas of improvement to the SUN team. The report produced and also the process followed was highly operational with sharing of many practical tips and suggestions based on experience. The SUN team increased knowledge on the waste inventory process and initiated an update of the Greening the Blue waste guidance. As a result, progress in the UN system can improve and relevant actions can be taken to improve monitoring and data collection which ultimately will have positive effects on UN's internal environmental sustainability performance.

SEPA has learnt from the UN system. As noted and recommended in the evaluation of phase 1 (2019) there were opportunities for SEPA to learn from the UN system. According to UN and SEPA staff, SEPA has gained from the programme in areas related to making monitoring, reporting and communication on EMS more accessible

to the wider public. SEPA staff also note that the partnership programme helped SEPA because it meant that SEPA re-examined the principles and practices of ISO14001 which was useful for rolling out and supporting EMS at the national level in Sweden.

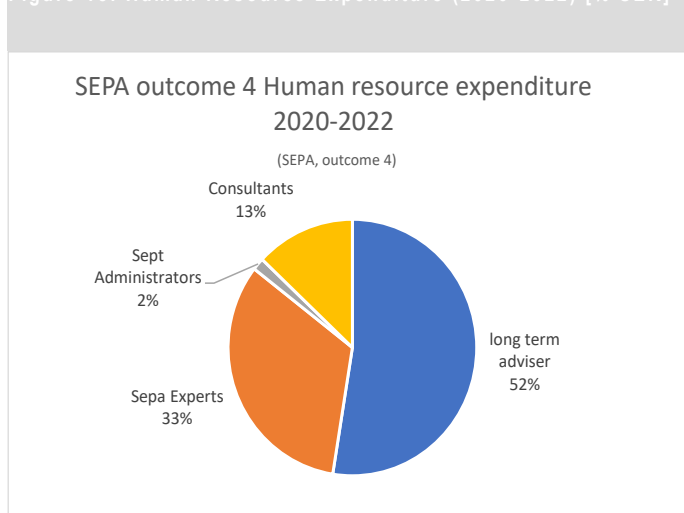
Roles – Were the Swedish environmental protection agency and UN development agency roles complementary?

The roles of SEPA in the partnership programme are outlined in Box 1.

SEPA expertise in mainstreaming environmental management systems in national agencies mirrored many aspects of the partnership programme. This experience was invaluable as SEPA had gained much experience on the issues of integrating EMS into already operating entities that were busy and resource constrained. SEPA were able to advise on a step-by-step approach, starting with those that were most able and willing as well as setting out clear guidelines and engaging with top leadership. But although SEPA’s mandate for mainstreaming EMS was relevant there were also considerable differences in applying this within the UN system. The UN system was less homogeneous, and more resource constrained than the Swedish entities receiving support from SEPA. Whereas in Sweden the EU directives and approaches were guiding, the UN applied a mix of approaches based on ISO 14001.

The programme in phase 2 became wider than the SEPA skill set. As noted in box 1, the partnership had three main working areas: i) environmental management systems (EMS) including a component on virtual meeting culture, ii) environmental sustainability within UN programmes, and iii) reporting on environmental performance. The EMS and reporting on environmental performance (Greening the Blue) strongly reflected SEPA’s skill set. However, the wider area of environmental sustainability within UN entities and programmes was more challenging in part because it was driven by the need to implement the Environmental and Social Standards systems. As noted earlier this was complex because the UN system itself did not have a clear anchorage for coordination of the implementation of the Standards. It also involved a range of safeguards of both an environmental and social nature. SEPA was not well placed to advise on the social areas such labour rights and because of the issues of UN anchorage it was not easy to link or engage with the otherwise ample UN resources on this and other social issues.

Figure 15: Human Resource Expenditure (2020-2022) [% SEK]



SEPA had limited surplus capacity to engage in the programme. The partnership programme came at a time when there was an operational squeeze on SEPA's Swedish operations. As a result, there was limited surplus capacity in SEPA to support the programme. Key staff were often fully occupied in priority Swedish assignments. It was not easy to get management release of additional days for the partnership programme operation. In this context the full staff on loan was highly valuable as it enabled a concentrated and dedicated input. The human resource expenditure from 2020-22 is shown in figure 16 and indicates the importance of the staff on loan (long term adviser) who was not only instrumental in delivering concrete outputs but also in mobilising the SEPA and consultant resources.

3 Conclusions and Recommendations

3.1 CONCLUSIONS

3.1.1 EGP Mining Sub-Programme

EGP's original focus on large-scale mining reflected an area where SEPA is strong. However, the demand from many country programmes was for support on small-scale mining. It was decided to include ASM as a workstream in the EGP which was justified with the argument that several countries had challenges with a large informal artisanal and small-scale mining (ASM) sector which was difficult to regulate both at the environmental, social, and economic level. This meant that the strong learning opportunities from Swedish large-scale mining expertise were difficult to capitalise on for the countries working with ASM since SEPA had limited knowledge on ASM. The EGP's intention of reducing power imbalances in the mining sector was mainly addressed through strengthening the role of women in mining and support to legalising and formalising ASM. Only in Mongolia did EGP support the government's cooperation with the private sector to improve environmental and human rights standards and to strengthen the environmental regulation framework on i.e. Environmental Impact Assessments.

Local empowerment was built in many places, but Participatory and Environmental Monitoring (PEM) and other approaches were unevenly implemented and not entirely thought through. The awareness raising and training did lead to local empowerment in relation to reaching higher levels of knowledge on environment and health effects of mining, mining safety, human rights and compliance with environmental legislation. PEM was introduced based on successful experience in Peru but without making sufficient use of prior analysis on the challenges and opportunities and on what made it a success and what it would take to make it successful in other countries. Initially, PEM achieved good results in the six countries which adopted the approach, but as institutional structures vary from country to country, it was unclear in many countries who the PEM committees should report the monitoring results to and how they should get access to and engage in dialogue with larger mining companies and responsible authorities. Moreover, the PEM committees did not have sufficient incentives or financial resources. Apart from that, the implementation was also challenging in ASM areas due to a generally low level of formalization. The global guide on PEM which was developed in 2020 is now being adapted based on the lessons learned and the guidance note will be finalised in 2024.

Alignment between the EGP and government policies was essential for achieving results in the normative environment. The actions bore fruit when the government

viewed the EGP actions as contributing to its policies. In some cases, the ongoing efforts only achieved results when there was a change in government. In countries where the EGP was closely aligned to the government's policies and/or where the government saw advantages in aligning to the environment and human rights approach of the EGP, it was easier to achieve tangible results e.g. Kenya, Liberia, Mongolia and Namibia. The presence of a strong institutional framework in the areas of mining and/or environment facilitated the progress of EGP implementation. This experience shows the importance of pro-actively plan and adjust implementation around election periods to minimize the level of disruption e.g. like Argentina, being patient in times of unfavourable government policies and ready once policy changes give opportunities to accelerate implementation and intensify policy dialogue with the decision-makers like in Colombia.

The global team consisting of UNDP and SEPA staff improved over time its capacity to adapt activities to country programme priorities and to professionalise the dissemination of country experience and lessons. Country-to-country exchange proved successful in relation to learning and replication. Country-to-country exchanges were closer linked to the country programmes and specific needs for sharing for knowledge and experience. They often led to concrete results e.g. in Liberia and Kyrgyzstan. The global initiatives were dynamic and developed over time to offer learning and exchange opportunities that were increasingly aligned to the country programme's priorities e.g. through the Global Learning Hub meetings and specific exchange groups on e.g. ASM. The aim of creating a global community of practice was overly ambitious but the partnerships, the website and the knowledge products did contribute to communicate EGP results and lessons.

The EGP was at the forefront on putting environment and human rights in the mining sector on the agenda both at the local and global level. Learning from the EGP inspired global initiatives at the highest level in the UN system on the importance of sustainability in the mining sector in relation to the global green transition as well as the approach to adaptive program management. The lessons fed into the discussions at the event Stockholm+50 national consultations on e.g. mine closure³¹ and the recent UNEA6 Resolution on environmental aspects of minerals and metals.³² The focus and implementation of the UN Secretary General's Working Group on Transforming the Extractive Industries for Sustainable Development, co-chaired by UNEP, UNDP and

³¹ UNEP (2022): *Stockholm 50+. Recommendations and Actions for Renewal and Trust.*
<https://www.stockholm50.global/>.

³² UNEP (2024): *Draft resolution on environmental aspects of minerals and metals.*
<https://undocs.org/Home/Mobile?FinalSymbol=UNEP%2FEA.6%2FL.8&Language=E&DeviceType=Desktop&LangRequested=False>.

Regional Commissions, has been directly influenced by insights generated by the EGP.³³

Sustainability of country achievements is generally weak where activities were not strongly anchored. The benefits achieved through EGP Phase 2 on multistakeholder cooperation and environmental monitoring are not like to be continued without additional support or implementation of funding mechanisms. This was recognised by the stakeholders who were highly aware of the risks of discontinuation when the EGP ends. The EGP itself had a weak focus on sustainability. In some cases, e.g. in Kenya and Mongolia, there was a strong anchorage in government institutions and strong alignment with government policies. Such anchorage increases the likelihood of sustainability of the benefits achieved.

Environmental effects have been achieved but they were generally small and localised, and in most cases, the normative framework and national monitoring systems did not ensure their upscaling and sustainability. Through its two-legged focus on local empowerment and the normative environment, the EGP supported concrete environment initiatives which had positive effects locally. The implementation of these initiatives was based on an assessment and community survey and awareness raising and sensitization. Promising results were achieved in the areas of mine closure in Kyrgyzstan, Colombia, Namibia, and Liberia. The environmental effects were, however, small-scale. Few initiatives, except in Mongolia where was a substantial strengthening of the normative environment, covered the national level. Upscaling of the experience with mine closure and land restoration as well as environmental compliance in the ASM will depend on the further support and/or the government's ability and willingness to follow-up on the assessments, studies and proposals for policies and regulations which have been elaborated during phase 2.

Gender was consistently mainstreamed at the EGP at global and country level. They were to a wide extent based on a thorough understanding of gender and mining and there are good indications that it led to increased awareness and local empowerment of women in the intervention areas although specific data is not available. In the face of the high level of inequality, gender-based violence etc. in the very male-dominated mining sector which is well documented in general and also by some specific studies carried out at country level, the EGP did consistently contribute towards equality and strengthening women's role in the mining sector. The progress on gender equality was not measured but there is anecdotal evidence that women increasingly raised their voice in meetings and workshops, that there was an increasing number of women having small mining concessions in Liberia and that women

³³ UNEP (2024): *The Working Group on Transforming the Extractive Industries for Sustainable Development*. <https://www.unep.org/events/working-group/transforming-extractive-industries-sustainable-development>

benefitted from the simplified Environmental Impact Assessment licensing process in Zambia. Moreover, several institutions and also associations like COODMILLA got the Equipares SEAL on gender mainstreaming in Colombia. Gender was mainstreamed in several manuals, handbooks, and other documents in e.g. Liberia, Kenya, and Zambia.

The EGP was instrumental in raising awareness about health and a clean environment as human rights on the agenda. Poverty was addressed in the choice of focusing on ASM. The EGP contributed strongly to giving communities of small-scale miners an understanding of health and environment as fundamental human rights. As mentioned in the section on PEM above, it proved difficult for the ASM sector to get access to mining companies and responsible institutions to address issues of abuse on human rights in these areas. However, the many workshops, roundtables, monitoring visits and dialogue platforms played an important role in creating a space for multistakeholder engagement where the many human rights abused, including e.g. gender-based violence in Liberia, could be voiced. In countries like Kenya, Liberia, and Zambia the policy on economic development of the ASM tallied well with a poverty alleviation approach and the EGP was well aligned with these government policies contributing in particular with an environment and human rights angle. In Latin America particularly in Peru, Ecuador, and Colombia the human rights focus was on conflict management. In Zambia the change in focus from large-scale mining to ASM meant that the legacy pollution from decades of large-scale mining was not in focus.

The programme concept with its dual focus on local empowerment and the normative set up and the cooperation between UNDP and SEPA was strong. Working on empowerment while also addressing the normative set up was well-conceived as both are needed. The programme's design mobilised SEPA's experience from the implementation of its national mandate on environmental management in Sweden. At the same time the programme mobilised the country knowledge, field presence, convening power and programme management expertise of UNDP. This arrangement ensured complementary inputs. In practice due to some of the reasons outlined below the concept took time to mature and a range of challenges surfaced.

Although the concept was strong, in practice the role of SEPA in was not easy to operationalise. A number of constraints arose. The change in scope from large-scale to small-scale meant that the programme could not draw as much as intended on SEPA expertise and experience. In hindsight it become clear that to provide effective support, the programme also needed to engage not just with the environment but also with the mining function and significant hard science geological expertise was also needed and this had to be sourced outside of SEPA. The programme came at a time when SEPA resources were constrained and in high demand in Sweden

There were efficiency constraints particularly at the start of the second phase of the programme. There was confusion in the early years over adopting an adaptative management approach and defining a results frame. This cast a long shadow on the

programme and made it very difficult for UNDP to operate. The process consumed a lot of resources and was not easy to rescue but was finally solved when the SEPA project management was changed. Covid 19 and the introduction of a temporary budget cut in 2022 also impeded progress.. The programme was under-resourced given the scope and complexity of the topic. The programme has put important environmental issues on the agenda, but the scope of the topic was large and complex. The resources available even when linked to other programmes were often insufficient to contribute and find a meaningful and catalytic manner.

3.1.2 EGP Partnership Sub-Programme

The well-aligned and highly strategic EGP Partnership sub-programme was instrumental in accelerating the achievement of the goals of the UN sustainability strategy on internal environmental sustainability management in the different UN entities. The incentive for UN entities to prioritise and set aside resources to adopt and implement EMS and improve environmental performance is driven by the signals from UN top-management. UN management is in turn responsive to signals from member states. Some entities have contracted staff specifically for improving the environmental performance.

Sweden took a lead and was instrumental in the request from the General Assembly in 2018 to ask UN entities for progress on implementing EMSs. The programme clearly supported the UN strategy for sustainability and the goal of implementing EMSs by 2025. By strengthening a more systematic internal governance of environmental performance the programme builds in a perpetual positive environmental effect. It also supports the transparency and credibility of the UN and its entities in their advocacy for improved environmental and climate performance in their wider activities.

Strong evidence indicates that the instrumental support from the EGP accelerated the achievement of the goals in the UN sustainability strategy by elaborating and strengthening overall guidance on EMS, travelling policies and online meetings while guidelines for internal waste management were finalised in 2023 and will be piloted in 2024.

The EGP Partnership has not contributed as much as expected to the application of environmental and social standards due to internal unclarity in the UN system about mandates and responsibilities. The EGP Partnership has not contributed as much as expected to the application of environmental and social standards and the use of the Model Approach in joint programming at country level. This was due to change of scope of the Working group on sustainability in programmes, staff turnover at key partners and unclarity in the UN system about mandates and responsibilities in relation to programming support at country level. As SEPA does not have expertise on advising on social safeguards, the decision to include activities on ESS was not well thought through in the first place.

Some progress in relation to ESS was however made. Monitoring and annual reporting on Environmental and social standards were established and a mapping of capacity building needs of UN entities on ESS and an identification of possible areas of interagency collaboration on ESS was performed.

Although lack of resources was a limiting factor across the board, it is likely that the benefits of the EGP Partnership can be sustained in the long term. Due to high-level support to sustainability in the UN system and well-established structures including for monitoring through the EMS survey and the Greening the Blue reporting there is a good likelihood that the advances made will be sustained. This also linked to increasing commitment and skills to contribute to the green transition. Progress has mostly been made at headquarter level and to some extent at the regional level, while there are still substantial challenges with implementation and environmental data collection at country office and duty station level in developing countries. These countries have a substantial need for strengthening skills and sensitization. The Greening the Blue reporting and the evaluation survey indicate that about half of the UN agencies are far away from having reached UN sustainability strategy's targets.

The EGP Partnership sub-programme was well managed delivering SEPA expertise despite stretched resources and producing succinct and informative programme and annual reporting was activity-based rather than output- and outcome-based. SEPA has the mandate to roll out and support environmental management systems across all national entities in Sweden. This capacity was invaluable in relation to the EGP Partnership as SEPA had gained much experience on the issues of integrating environmental management systems into already operating entities that were busy and resource constrained. The UNEP partners SUN and EMG Secretariat only have 2 regular staff each working on coordinating and supporting UN entities environmental performance which meant that change in staff created long periods of minimum interaction. On the other hand, the SEPA staff on loan also worked directly with several UN entities such as UNESCO, Department of Management Strategy, Policy and Compliance (DMSPC) of the UN Secretariat and others which gave opportunities for compensation for the discontinuity in the SUN team where the staff on loan was hosted. The partnership programme came at a time when there was an operational squeeze on SEPA's Swedish operations. As a result, there was limited surplus capacity in SEPA to support the programme. Key staff were often fully occupied in priority Swedish assignments.

3.2 RECOMMENDATIONS

3.2.1 EGP Mining Sub-Programme

- 1. Design a future programme with a higher budget and/or working with fewer countries.** Rationale: The scope and complexity of the environmental governance in mining topic demands a high level of engagement at country level to make a difference and to contribute meaningfully to other initiatives.

This recommendation can potentially be implemented by measures such as:

- Identify countries that have a strong relevance to the SEPA skill set and possibly use this to strengthen/build onto the Swedish expertise in mining.
- Identify countries where are relevant Sida and/or UNDP programmes.

2. Sida should support a future programme by mobilising Sweden and other member states to strengthen ongoing initiatives at the highest level within the UN, such as the initiative on critical minerals and the environmental aspects of green transition. Rationale: The green transition to reduce the emissions of greenhouse gasses and the use of fossil fuels is leading to a substantially increased demand of minerals and metals, the so-called energy transition minerals. UNEP has drafted a resolution on environmental aspects of extracting minerals and metals.

3. Sharpen the technical focus of the programme. Rationale: The concept of the project should be to draw on areas where SEPA has expertise and a comparative advantage and where are opportunities to create synergies with UNDP local and Swedish mining expertise.

This recommendation can potentially be implemented by measures such as:

- Consider situations where large- and small-scale mining issues are combined e.g. on mine closure or use of tailings waste.
- Consider a focus on green transition minerals (as was done in Argentina)
- Consider a focus on areas where SEPA's institutional experience can create systemic changes e.g. on working across mining and environmental silos building on sustainability in areas where mining affects forestry, biodiversity and natural resources such as has been the case of initiatives in Zambia and Liberia.
- Consider a focus on water, conservation and bio-diversity in relation to mining.
- Consider a focus on areas where the programme has a good opportunity to contribute to managing conflicts and peace processes.

4. Professionalise the advocacy agenda both for normative and empowerment results and link to the results framework at country level. Rationale: Much of what the programme aims at is linked to advocating and creating change at the level of empowerment and the normative environment. This needs to be made more explicit and where possible measurable at least in the sense of milestones.

This recommendation can potentially be implemented by measures such as:

- UNDP could within its mandate develop a realistic advocacy agenda country by country with the national stakeholders both for empowerment and normative work working closely with other initiatives and based on a robust situation analysis.
- Translate the advocacy agenda into a set of progressive steps and milestones that can form part of a country-based results framework and be aggregated at global level.

- 5. Revisit the participatory environmental management approach, build on what has worked and enhance sustainability.** Rationale: Much has been achieved by participatory environmental monitoring when applied well. Lessons are being learnt and there is a need to focus more on sustainability.

This recommendation can potentially be implemented by measures such as:

- Subject the current revision of the participatory environmental management to critical review taking into consideration financial sustainability as well as the incentive environment for a voluntary approach.
- Develop a set of criteria to test the suitability of applying participatory environmental management and the likelihood of replication.

- 6. Anchor the programme within country level institutions and processes.** Rationale: Ultimately environmental governance in mining needs to be led by national institutions and processes. The programme has achieved good results by working closely with national environmental protection agencies e.g., in Kenya but also by engaging with strong political initiatives e.g., environmental committees in Peru and where government is not active with representative community groups such as the NGO partners in Colombia operating in ungoverned regions.

This recommendation can potentially be implemented by measures such as:

- Build on current relationships that are anchored in national institutions.
- Map the most promising national anchorages and develop cooperation agreements.

3.2.2 EGP Partnership Sub-Programme

- 1. Sida should support a future programme by mobilising Sweden and other member states to engage at a high level with the UN to press for greater progress on internal environmental management.** Rationale: The UN system and the UN entities respond well to concerted request from member states which will help the UN and its entities to mobilise funds to allocate resources to implement fully the EMS and take the necessary steps to meet the target in the UN Strategy on sustainability in 2030.

This recommendation can potentially be implemented by measures such as:

- The programme supporting Sida with succinct briefing materials and a list of potential entry points and timing that can form the basis for effective environmental diplomacy.
- Sida supporting the Swedish Ministry of Foreign Affairs to engage at a high level with the UN and like-minded member states to promote adoption and implementation of EMS and other commitments of the UN Sustainability strategy.

- 2. A future programme should focus on consolidating the implementation of environmental management systems and associated initiatives and the UN's environmental reporting while exploring entry points to support the application of environmental and social standards.** Rationale: Major progress has been made on the Environmental Management System and reporting through the Greening the Blue initiative. There is still a substantial number of UN entities that are yet to implement an EMS. There is also a need to address the country level to see that EMS is fully implemented, so that EMS implementation does not stop at headquarters or main duty stations.

This recommendation can potentially be implemented by measures such as:

- The programme supporting Sida with succinct briefing materials and a list of potential entry points and timing that can form the basis for effective environmental diplomacy.
- Sida with other member states supporting the UN system to scale up the application of the environment management system in UN entities which are just starting or have not started and apply successful approaches on the application of guidance and common approaches on waste and water management and including tools as well as including approaches for addressing the biodiversity crisis.
- The programme and Sida should see if opportunities occur to usefully extend the scope to contribute to the environmental aspects of the Environmental and Social Standards at programme and project level i.e. supporting the implementation of phase 2 of the UN strategy on sustainability.
- Based on coordination with relevant UN entities to avoid overlapping, it could be considered to focus on coordination on climate neutrality and net zero measures including advanced greenhouse gas emission reductions guidance and with the expansion to Scope 3 emissions management and reporting as some survey respondents have suggested.
- The programme reporting should be based on the outputs and outcomes already identified in phase 1 and phase 2 of the UN strategy on sustainability. This means making use of the UN's own system-wide internal environmental sustainability report, the Greening the Blue report.

Annex 1 – Terms of Reference

Terms of Reference for the Evaluation of the Environmental Governance Programme Phase 2, 2020 – 2023. Final Project Evaluation

Date 2023-09-25

1. General information

1.1 Introduction

Sida supports, under one agreement, the Swedish Environment Protection Agency's (SEPA) collaboration with UNDP regarding environmental and human rights aspects of mining, and SEPA's collaboration with UNEP regarding UN system's internal environmental governance (Environmental Governance Programme Phase 2 2020-2023). The agreement is financed by the Global Strategy for Environment, Climate and Biodiversity with a total of 88 MSEK (22 MSEK/year) for the period 2020-2023.

According to the agreement between Sida and SEPA, the Sida supported activities shall be evaluated during the last year of implementation. The evaluation is planned to be performed during Q4 2023 and Q1 2024. The results and recommendations from the evaluation will guide the parties' discussions during 2024 regarding if a proposal for a new phase of the programme should be prepared or not, and if so, how the programme should be constructed. Sida and SEPA have agreed to extend the present agreement up to December 31, 2024, to allow for such a process.

1.2 Evaluation object: Intervention to be evaluated

The programme to be evaluated is the Sida funded Environmental Governance Programme Phase 2. The programme started with its first phase 2014–2019 and is now in its second phase 2020-2023, of which the latter period is to be evaluated.

In Phase 1 the Global Programme, then entitled “Strengthening Environmental Governance for Sustainable Natural Resource Management Global Programme” consisted of four sub-programmes. Phase one was evaluated in 2019, evaluation and management response available in the document list.

The present phase, Phase 2, consists of two separate parts. Both are continuation of two of the sub-programmes from phase 1. The other sub-programmes were discontinued. The two sub-programmes are managed separately, under one agreement with Sida and a joint Programme manager at Swedish EPA, but with different implementing teams and partners.

The **Environmental Governance Programme (EGP) for Sustainable Natural Resource Management, focusing on the mining sector** “EGP Mining” is jointly implemented by the Swedish Environmental Protection Agency (SEPA) and United Nations Development Programme (UNDP) and programmes about 85 % of the budget.

Partnership for Strengthened Internal Environmental Governance within the United Nations System, implemented by SEPA in collaboration with Sustainable UN (SUN) and EMG Secretariat of the UN Environment Programme (UNEP), aims to support a strengthened and more systematic internal governance of environmental performance within the UN system, in line with the UN Sustainability Strategy 2020-2030. This sub-programme consists mainly of staff costs that provide technical support to UN agencies (about 15 % of the budget)

The total programme budget for four years is 88 MSEK out of which 40 MSEK is transferred to UNDP. 48 MSEK is used by SEPA for programme coordination and management and for SEPA’s engagement in programme activities, including approximately 3,5 MSEK/year for strengthening the internal environmental governance within UN.

The evaluation object is the whole Environmental Governance Programme, i.e the two sub-programmes. Objectives, theory of change, target groups etc are described for respective sub-programme, below.

Environmental Governance Programme (EGP) for Sustainable Natural Resource Management:

The objectives of EGP-mining, in the programme document, are formulated as three directional goals.

Outcome 1

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

Outcome 2

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

Outcome 3

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

For each of these, a theory of change has been formulated. Please refer to § 3.1 in the Programme document (Proposal to Sida)

Theory of change

An overarching theory of change has been summarized as:



The target group for EGP Mining consists of the stakeholders of mining governance including ministries of mining and environment, environmental protection agencies, local governments, academic institutions, civil society organizations, local communities, and mining associations. Ultimately the target group is the population affected by or involved in mining.

The point of departure when formulating EGP Phase 2 was a systems understanding which aimed at creating an integrated programme with a coherent thematic focus. EGP 2020-2023 focuses on mining from a wider systems perspective. This involves: considering the connections with other relevant thematic areas, sectors and effects within the wider system; ensuring that all stakeholders are included at the very beginning of all processes; and working in partnerships to address complex and interdependent challenges to peace and human security, human rights, and all aspects of development (economic, social, cultural, political and environmental). In its essence, the systems approach brings together interviews, dialogue, openness to perspectives from public and private sectors, and people at all levels of an institution's hierarchy to solve complex issues such as administrative challenges in environmental governance of mining.

Integrating cross-cutting issues and a multistakeholder approach has been at the core of formulating the 10 EGP country programmes.

Swedish EPA is the overall programme management under the agreement with Sida and is responsible for follow up and financial and narrative reporting of activities and results to Sida. A cost sharing agreement between UNDP and SEPA has been signed. UNDP receives 10

MSEK/year from the project budget out of which 6 MSEK is transferred to UNDP country offices.

UNDP is responsible for coordinating and implementing the country programmes and for global level policy development involving UN agencies. UNDP is responsible for financial and narrative reporting to SEPA of the funds forwarded to UNDP in accordance with the agreement with SEPA. SEPA is expected to, when relevant, support UNDP HQ and country offices in planning and implementation of the global and country executed activities. The purpose of this model of joint management is to efficiently use the different strengths and expertise within the two organisations for enhanced management and results.

Specific issues/challenges that the evaluator should be aware of are how to integrate Swedish EPA technical support in the implementation of country programmes and the interconnection between global (programme-overarching) activities and country-level implementation.

For further information, the intervention proposal is attached as Annex D.

The intervention logic or theory of change of the intervention may be further elaborated by the evaluator in the inception report, if deemed necessary.

Partnership for Strengthened Internal Environmental Governance within the United Nations System:

The project supports the implementation of UN Sustainability Strategy 2020-2030³⁴, and specifically the following goals:

- By 2025, all United Nations entities have implemented an environmental management system at the entity level, including environmental targets.
- 100 per cent of UN entities apply safeguards to their programmes by 2030.
- 100 per cent of annual reports in United Nations entities integrate progress on internal sustainability (safeguards, environmental management system, Greening the Blue).

The project focusses on strengthening the UN system interagency coordination and support functions for implementing environmental sustainability issues across the UN system. The UNEP hosted Sustainable UN (SUN) facility is responsible for internal environmental sustainability within UN system facilities and operations, and the Environmental Management Group (EMG) is responsible for mainstreaming environmental issues. Working together with these partners, the target groups are the UN system entities as a whole i.e 55 UN organisations and the staff working with implementation of environmental issues.

The project budget consists mainly of a staff on loan to Sustainable UN (salary and reimbursable costs occurring with the employment covered), and other technical staff from Swedish EPA and the Swedish Transport Administration. The project gives technical support

³⁴ UN Sustainability Strategy 2020-2030 [N1915695.pdf \(un.org\)](#)

and advise to processes already under implementation or planned by the UN system and does not supply programme funds to the UN agencies. UN staff is involved within their employment by UN.

For further information, the Project Plan for the Partnership for Strengthened Internal Environmental Governance is available in the list of project documents.

The intervention logic or theory of change of the intervention may be further elaborated by the evaluator in the inception report, if deemed necessary.

1.3 Evaluation rationale

According to the agreement between Sida and SEPA, the Sida supported activities shall be evaluated during the last year of implementation. The evaluation is planned to be performed during Q4 2023 and Q1 2024. The results and recommendations from the evaluation will guide the parties' discussions during 2024 regarding if a proposal for a new phase of the programme should be prepared or not, and if so, how the programme should be constructed. Sida and SEPA have agreed to extend the present agreement up to December 31, 2024, to allow for such a process.

2. The assignment

2.1 Evaluation purpose: Intended use and intended users

The purpose of the evaluation is to help Sida, Swedish EPA and implementing partners to assess the achievements of the Environmental Governance Programme phase 2 during 2020-2023. The evaluation will:

- Provide empirical knowledge on what has worked well and less well and provide Sida and partners with input to upcoming discussions concerning possible preparations for a new phase of the intervention.
- Serve as an input for Sida to a decision on whether the programme shall receive continued funding from the Global Strategy or not.

The primary intended users are Sida's unit for global environmental programmes (GLOBEN) and Swedish EPA.

In the case of EGP-Mining the intended user is UNDP Headquarters and Country offices and in the case of Partnership for Sustainable UN the intended user is UNEP unit's SUN/EMG.

The evaluation is to be designed, conducted and reported to meet the needs of the intended users and tenderers shall elaborate in the tender how this will be ensured during the evaluation process.

During the inception phase, the evaluator and the users will agree on who will be responsible for keeping the various stakeholders informed about the evaluation.

2.2 Evaluation scope

The main evaluation object is **The Environmental Governance Programme (EGP) for Sustainable Natural Resource Management**, focusing on the mining sector (in brief, EGP-Mining), implemented by Swedish EPA in collaboration with UNDP and corresponds to the Outcome areas 1-3 in the programme document. This part of the evaluation should constitute app. 80% of the budget/work.

The Environmental Governance Programme on Mining aims to strengthen the environmental governance of the mining sector with a specific focus on addressing linked and complex socio-environmental risks. It takes a human rights based and multi-stakeholder approach that spans across all relevant sectors and stakeholders. It is jointly managed by SEPA and UNDP and implemented in collaboration with other UN agencies and international and Swedish organizations.

In Phase 1 targeted support was provided to four countries: Colombia, Mongolia, Kenya and Mozambique. EGP's Phase 2 provides targeted support to stakeholders in ten countries: Argentina, Colombia, Ecuador, Kenya, Kyrgyzstan, Liberia, Mongolia, Namibia, Peru and Zambia.

The evaluation should cover the programme period from its start in January 2020 until the period contemporary with the evaluation. This part A of the evaluation will cover outcome 1 – 3 and include all countries involved. At least 2 specific countries will be selected by the evaluator for digital in-depth reviews of UNDP local staff and local partners. The evaluators shall in addition to these partner countries also visit the UNDP country offices in Kenya and Zambia to meet with UNDP staff as well as with relevant partners and stakeholders. Virtual interviews will be held with relevant managers and staff at UNDP headquarters.

The second evaluation object is **Partnership for strengthened environmental governance within the UN system**, part of the Environmental Governance Programme phase 2, 2020-2023. This part of the evaluation should constitute app. 20% of the budget/work.

The evaluation should cover the programme period from its start in January 2020 until the period contemporary with the evaluation. This part B of the evaluation will consider Outcome 4 of the programme. Target groups are Sustainable UN, EMG, responsible policy-makers for the UN Sustainability strategy, UN agencies and staff involved in the activities under the project.

The target groups have good internet connection so the evaluation may be conducted as a desk study of documents and interviews with international partners by online meetings.

If needed, the scope and the division of resources between the two evaluation objects of the evaluation may be further elaborated by the evaluator in the inception report.

2.3 Evaluation objective: Criteria and questions

The Environmental Governance Programme (EGP) for Sustainable Natural Resource Management

The objectives of this part of the evaluation are to:

- Assess the overall relevance, coherence, effectiveness and efficiency of the programme, including the roles and responsibilities of UNDP and SEPA respectively.
- Assess the extent to which the programme has achieved its planned outcomes and results, its impact and sustainability.
- Evaluate the progress of EGP towards achieving its objectives, identify and document key lessons related to challenges and successes in the design and implementation of EGP as well as if there is a rationale for a next phase of EGP.
- Formulate conclusions and recommendations as a basis for future discussions concerning the possible preparation of a proposal for a new phase of the intervention.

In order to accomplish the desired objectives, the evaluation will aim at answering the following key guiding questions.

Relevance: Is the intervention doing the right thing?

- To what extent have objectives, design and implementation of the intervention responded to the needs, policies, and priorities of the beneficiaries', global, national and partner/institutions, and have they continued to do so if/when circumstances have changed?
- To what extent have lessons learned from what works well and less well been used to improve and adjust intervention implementation?

Coherence: How well does the intervention fit?

- How compatible has EGP been with other interventions in the countries and sectors where it is being implemented?

Effectiveness: Is the intervention achieving its objectives?

- To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?
- How and to what extent has the project Learning and adaptive management system been designed and implemented and delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?

Efficiency: How well are resources being used?

- How has the partnership between SEPA and UNDP worked in terms of roles and mandates and how and to what extent has Swedish EPA's unique competence (the experience and practises of an environmental governmental agency) been applied, including in the concrete implementation of the country programmes?

Impact: What difference does the intervention make?

- To the extent possible to judge within the scope of this evaluation assess to what extent the EGP has generated, or is expected to generate, significant high-level positive or negative, intended or unintended effects?

Sustainability: Will the benefits last?

- To what extent will the net benefits of the EGP continue, or are likely to continue?
- To what extent has the project been implemented in accordance with the poor people's perspective and a Human Rights Based Approach? For example, have target groups been participating in project planning, implementation and follow up? Could gender mainstreaming have been improved in planning, implementation or follow up?

Questions are expected to be developed in the tender by the tenderer and further refined during the inception phase of the evaluation.

Partnership for strengthened environmental governance within the UN system

The objectives of this part of the evaluation are to:

- Assess the overall relevance and effectiveness of the project and the extent to which it has achieved its planned outcomes and results.
- Evaluate the progress of the project towards achieving its objectives, identify and document key lessons related to challenges and successes in the design and implementation of the project, as well as if there is a rationale for a next phase.
- Formulate conclusions and recommendations as an input to upcoming discussions concerning the possible preparation of a proposal for a new phase of the intervention.

The evaluation questions are:

Relevance: Is the intervention doing the right thing?

- To what extent has the intervention objectives and design responded to UN system needs and priorities, at interagency level and entity level respectively?
- To what extent have lessons learned from what works well and less well been used to improve and adjust intervention implementation?

Coherence: How well does the intervention fit?

- How compatible has the intervention been with other relevant initiatives and activities within the UN?

Effectiveness: Is the intervention achieving its objectives?

- To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results?

Efficiency: How well are resources being used?

- To what extent is the partnership relevant to reach the objective of greening UN programmes and projects?
- How and to what extent has Swedish EPA's unique competence (the experience and practises of an environmental governmental agency) been applied?

Sustainability: Will the benefits last?

- To what extent will the net benefits of the intervention continue, or are likely to continue?

Questions are expected to be developed in the tender by the tenderer and further refined during the inception phase of the evaluation.

2.4 Evaluation approach and methods

It is expected that the evaluator describes and justifies an appropriate evaluation approach/methodology and methods for data collection in the tender. The evaluation design, methodology and methods for data collection and analysis are expected to be fully developed and presented in the inception report. To limit GHG emissions, innovative and flexible approaches/methodologies and methods for remote data collection should be suggested when appropriate and the risk of doing harm managed.

The evaluator is to suggest an approach/methodology that provides credible answers (evidence) to the evaluation questions. Limitations to the chosen approach/methodology and methods shall be made explicit by the evaluator and the consequences of these limitations discussed in the tender. The evaluator shall to the extent possible, present mitigation measures to address them. A clear distinction is to be made between evaluation approach/methodology and methods.

A *gender-responsive* approach/methodology, methods, tools and data analysis techniques should be used³⁵.

Sida's approach to evaluation is *utilization-focused*, which means the evaluator should facilitate the *entire evaluation process* with careful consideration of how everything that is done will affect the use of the evaluation. It is therefore expected that the evaluators, in their tender, present i) how intended users are to participate in and contribute to the evaluation process and ii) methodology and methods for data collection that create space for reflection, discussion and learning between the intended users of the evaluation.

In cases where sensitive or confidential issues are to be addressed in the evaluation, evaluators should ensure an evaluation design that do not put informants and stakeholders at risk during the data collection phase or the dissemination phase.

³⁵ See for example UNEG United Nations Evaluation Group (2014) Integrating Human Rights and Gender Equality in Evaluations <http://uneval.org/document/detail/1616>

2.5 Organisation of evaluation management

This evaluation is commissioned by Sida/Globen. The intended users are Sida, Swedish EPA, UNDP and UNEP/SUN. The SEPA, UNDP and UNEP have contributed to the ToR and will be provided with an opportunity to comment on the draft report but will not be involved in the management of the evaluation. Hence, Sida will procure the evaluation, approve the inception report and the final report of the evaluation. SEPA, UNDP and UNEP are responsible for providing necessary documents and information to the evaluators, including facilitating contacts with relevant persons to interview. UNDP is responsible for providing contacts and logistic support to the evaluator when visiting Kenya and Zambia. UNDP and UNEP are responsible for providing contact details for virtual meetings.

2.6 Evaluation quality

All Sida's evaluations shall conform to OECD/DAC's Quality Standards for Development Evaluation³⁶. The evaluators shall use the Sida OECD/DAC Glossary of Key Terms in Evaluation³⁷ and the OECD/DAC Better Criteria for Better Evaluation³⁸. The evaluators shall specify how quality assurance will be handled by them during the evaluation process.

2.7 Time schedule and deliverables

It is expected that a time and work plan is presented in the tender and further detailed in the inception report. The time and work plan must allow flexibility in implementation. The evaluation shall be carried out during October 2023 and March 2024. The timing of any field visits, surveys and interviews need to be settled by the evaluator in dialogue with the main stakeholders during the inception phase.

The table below lists key deliverables for the evaluation process. Alternative deadlines for deliverables may be suggested by the consultant and negotiated during the inception phase.

Deliverables	Participants	Deadlines
1. Start-up meeting (virtual)	Sida, Swedish EPA, UNDP	October 2023
2. Draft inception report		Tentative November 2023
3. Inception meeting (virtual)	Sida, Swedish EPA, UNDP	Tentative November 2023
4. Comments from intended users to evaluators (alternatively these may		Tentative November 2023

³⁶ OECD/DAC (2010) Quality Standards for Development Evaluation.

³⁷ Sida OECD/DAC (2014) Glossary of Key Terms in Evaluation and Results Based Management.

³⁸ OECD/DAC (2019) Better Criteria for Better Evaluation: Revised Evaluation Criteria Definitions and Principles for Use.

be sent to evaluators ahead of the inception meeting)		
5. Data collection, analysis, report writing and quality assurance	Evaluators	November 2023 – January 2024
6. Debriefing/validation meeting	Sida, Swedish EPA, UNDP, SUN	February 2024
7. Draft evaluation report		Tentative February 2024
8. Comments from intended users to evaluators		Tentative March 2024
9. Final evaluation report		March 2024

The inception report will form the basis for the continued evaluation process and shall be approved by Sida before the evaluation proceeds to implementation. The inception report should be written in English and cover evaluability issues and interpretations of evaluation questions, present the evaluation approach/methodology *including how a utilization-focused and gender-responsive approach will be ensured*, methods for data collection and analysis as well as the full evaluation design, including an *evaluation matrix* and a *stakeholder mapping/analysis*. A clear distinction between the evaluation approach/methodology and methods for data collection shall be made. All limitations to the methodology and methods shall be made explicit and the consequences of these limitations discussed.

A specific time and work plan, including number of hours/working days for each team member, for the remainder of the evaluation should be presented. The time plan shall allow space for reflection and learning between the intended users of the evaluation.

The final report shall be written in English and be professionally proof read. The final report should have clear structure and follow the layout format of Sida's template for decentralised evaluations (see Annex C). The executive summary should be maximum 3 pages.

The report shall clearly and in detail describe the evaluation approach/methodology and methods for data collection and analysis and make a clear distinction between the two. The report shall describe how the utilization-focused approach has been implemented i.e. how intended users have participated in and contributed to the evaluation process and how methodology and methods for data collection have created space for reflection, discussion and learning between the intended users. Furthermore, the gender-responsive approach shall be described and reflected in the findings, conclusions and recommendations along with other identified and relevant cross-cutting issues. Limitations to the methodology and methods and the consequences of these limitations for findings and conclusions shall be described.

Evaluation findings shall flow logically from the data, showing a clear line of evidence to support the conclusions. Conclusions should be substantiated by findings and analysis. Evaluation questions shall be clearly stated and answered in the executive summary and in the

conclusions. Recommendations and lessons learned should flow logically from conclusions and be specific, directed to relevant intended users and categorised as a short-term, medium-term and long-term.

The report should be no more than 40 pages excluding annexes. If the methods section is extensive, it could be placed in an annex to the report. Annexes shall always include the Terms of Reference, the Inception Report, the stakeholder mapping/analysis and the Evaluation Matrix. Lists of key informants/interviewees shall only include personal data if deemed relevant (i.e. when it is contributing to the credibility of the evaluation) based on a case based assessment by the evaluator and the commissioning unit/embassy. The inclusion of personal data in the report must always be based on a written consent.

The evaluator shall adhere to the Sida OECD/DAC Glossary of Key Terms in Evaluation³⁹.

The evaluator shall, upon approval by Sida/Embassy of the final report, insert the report into Sida's template for decentralised evaluations (see Annex C) and submit it to Nordic Morning (in pdf-format) for publication and release in the Sida publication database. The order is placed by sending the approved report to Nordic Morning (sida@atta45.se), with a copy to the responsible Sida Programme Officer as well as Sida's Evaluation Unit (evaluation@sida.se). Write "Sida decentralised evaluations" in the email subject field. The following information must always be included in the order to Nordic Morning:

1. The name of the consulting company.
2. The full evaluation title.
3. The invoice reference "ZZ980601".
4. Type of allocation: "sakanslag".
5. Type of order: "digital publicering/publikationsdatabas.

2.8 Evaluation team qualification

In addition to the qualifications already stated in the framework agreement for evaluation services, the evaluation team shall include the following competencies

- Professional experience in the fields relevant to the thematic areas of environment governance, mining/ extractive sector
- Environmental management systems and sustainability.
- Strong knowledge of Human Rights Based Approach (HRBA)
- Insights to the work and organisation of the UN

It is desirable that the evaluation team includes the following competencies

- Experience with multinational and joint programmes
- Spoken Spanish

³⁹ Sida OECD/DAC (2014) Glossary of Key Terms in Evaluation and Results Based Management.

- Experience of evaluating interventions with Swedish Agencies in collaboration with UN Agencies

A CV for each team member shall be included in the call-off response. It should contain a full description of relevant qualifications and professional work experience.

The evaluators must be independent from the evaluation object and evaluated activities, and have no stake in the outcome of the evaluation.

Please note that in the tender, the tenderers must propose a team leader that takes part in the evaluation by at least 30% of the total evaluation team time including core team members, specialists and all support functions, but excluding time for the quality assurance expert.

2.9 Financial and human resources

The maximum budget amount available for the evaluation is SEK 800.000.

Invoicing and payment shall be managed according to the following: The Consultant may invoice a maximum of 30 % of the total amount after approval by Sida of the Inception Report and a maximum of 70 % after approval by Sida of the Final Report and when the assignment is completed.

The contact person at Sida/Swedish Embassy is Tomas Andersson, Programme Officer, Globen, INTEM. The contact person should be consulted if any problems arise during the evaluation process.

Relevant Sida documentation will be provided by Tomas Andersson

Contact details to intended users (cooperation partners, Swedish Embassies, other donors etc.) will be provided by SEPA.

When visiting Kenya and Zambia UNDP will be responsible for arranging the logistics like for example booking interviews and preparing visits, including any necessary security arrangements.

3. Annexes

Annex A: List of key documentation

EGP Mining:

Programme proposal for Environmental Governance Programme (EGP) January 2020 – December 2023

Annual workplans; global for the whole programme and for the UNDP country offices

Annual Budgets - for years 2021, 2022 and 2023

Annual Reports – from phase one up to 2022 available on the EGP website under [About](#) (scroll down to find).

Stories of change – available on the EGP website under [Introducing our learning ecosystem](#) (scroll down to find)

Knowledge Products - available on the EGP website under [Introducing our learning ecosystem](#) as well as under [Publications](#)

Learning System Material - available on the EGP website under [Introducing our learning ecosystem](#) as well as under [Publications](#)

Ongoing Evaluation Reports

Prolongation proposal for 2024

Updated results framework – to be finalised

Partnership for Strengthened Internal Environmental Governance within the United Nations System:

Project plan Environmental Governance Programme 2020-2023 - Outcome 4

Annual workplans – for years 2020, 2021, 2022 and 2023

Annual reports – for years 2020, 2021 and 2022

Annex B: Data sheet on the evaluation object

Information on the evaluation object (i.e. intervention)	
Title of the evaluation object	Evaluation of the Environmental Governance Programme Phase 2, 2020 - 2023
ID no. in PLANIt	61050903
Dox no./Archive case no.	19/001334
Activity period (if applicable)	January 2020 – December 2023
Agreed budget (if applicable)	88 MSEK
Main sector	Environment
Name and type of implementing organisation	Swedish Environmental Protection Agency. Public sector institution
Aid type	Project type
Swedish strategy	Strategi för Sveriges globala utvecklingssamarbete inom miljö, klimat och biologisk mångfald 2022–2026

Information on the evaluation assignment	
Commissioning unit/Swedish Embassy	Unit for Global Cooperation on Environment
Contact person at unit/Swedish Embassy	Tomas Andersson
Timing of evaluation (mid-term, end-of-programme, ex-post, or other)	End-of-programme
ID no. in PLANIt (if other than above).	

Annex C: Decentralised evaluation report template

Annex D: Project/Programme document

Annex 2 – People Consulted

Position	Institution	Contribution
	Alliance for Responsible Mining	(External) EGP mining
Kakamega AMC member representing the state department of environment	AMC	EGP mining
AMC Kakamega Mining Representative	AMC Kakamega	EGP mining
AMC Kakamega Mining Representative	AMC Kakamega	EGP mining
AMC Kakamega Mining Representative	AMC Kakamega	EGP mining
Miner, AMC Taita Taveta Member	AMC Taita Taveta	EGP mining
Miner, AMC Taita Taveta Member	AMC Taita Taveta	EGP mining
Regional Mining officer at the ministry of mining, Secretary to the Committee	AMC Taita Taveta	EGP mining
Miner, AMC Taita Taveta Member	AMC Taita Taveta	EGP mining
Mining Officer NEMA	AMC Taita Taveta	EGP mining
AMC Taita Taveta Member	AMC Taita Taveta	EGP mining
AMC Taita Taveta Chair Person	AMC Taita Taveta	EGP mining
ANLA staff	ANLA Colombia	EGP Mining
President of the Artisanal and Small-Scale Mining Federation of Liberia	Artisanal and Small-Scale Mining Federation of Liberia	EGP Mining
Secretary of the Artisanal and Small-Scale Mining Federation of Liberia	Artisanal and Small-Scale Mining Federation of Liberia	EGP Mining
Vice President of the association of emeralds and semi-precious minerals association of Zambia	Association of emeralds and semi-precious minerals association of Zambia	EGP mining
CEO CEJAD	CEJAD Kenya	EGP mining
Programme Officer	CEJAD Kenya	EGP mining
	CEJAD Kenya	EGP mining
Board and Co-Founder of CEJAD	CEJAD Kenya	EGP mining
Head of Finance CEJAD	CEJAD Kenya	EGP mining
Researcher and Lecturer	Copperbelt University, Zambia	EGP mining
Staff of the Danish Institute for Human Rights	Danish Institute for Human Rights	(External) EGP mining
UN Secretariat DMSPC Unit	DMSPC	EGP Partnership
Head of ZEITI and Team National Coordinator EITI	EITI Zambia	EGP mining
Manager, Compliance and Enforcement	Environmental Protection Agency Liberia	EGP Mining
FAO focal point	FAO	EGP Partnership

Secretary General of the Federation	Federation of Small-Scale Miners Association Zambia	EGP mining
Vice President of the Federation	Federation of Small-Scale Miners Association Zambia	EGP mining
Information and Publicity Secretariat	Federation of Small-Scale Miners Association Zambia	EGP mining
Vice Treasurer	Federation of Small-Scale Miners Association Zambia	EGP mining
Principal Inspector	Forestry Department under the Ministry of Green Economy Zambia	EGP mining
ESIA Manager	Forestry Development Authority of Liberia	EGP Mining
Senior Geologist	Geological Survey Department Zambia	EGP mining
Environmental Officer	Geological Survey Department	EGP mining
Senior Human Rights Officer	High Commission of Human Rights Kenya	EGP mining
Director	Independent Human Rights Commission Liberia	EGP Mining
Women in the gold mining processing	Kakamega, Kenya	EGP mining
State Department of Mining Project Committee Member, National Vice Chair of ASMAK and member of the Kakamega AMC	Kakamega AMC, Kenya	EGP mining
Mining Site Manager,	Kakamega, Kolomani Cooperative, Kenya	EGP mining
Engineer	Kenya Ministry of Mines	EGP mining
Senior Inspector of Mines/Environment	Mining Safety Department of Zambia	EGP mining
Technical Specialist	Ministry of Gender Liberia	EGP Mining
Assistant Minister	Ministry of Mines & Energy	EGP Mining
Permanent Secretary of the Zambian Ministry of Mining	Ministry of Mining Zambia	EGP mining
Chair of the EGP Technical Working Group Kenya	NEMA Kenya	EGP mining
Secretariat of the Technical Working Group Kenya	NEMA Kenya	EGP mining
	NEMA Kenya	EGP mining
Kakamega County Director for Environment	NEMA Kakamega County Office Kenya	EGP mining
Assitstant Project Coordinator	NEMA Kakamega County Office Kenya	EGP mining
NEMA County Director for Taita Taveta County	NEMA Taita Taveta County Office Kenya	EGP mining
Former UNDP Colombia	Previously UNDP Cmbiaolo	EGP Mining
Previous Programme Coordinator EGP (2019-2022)	Previously UNDP Zambia	EGP mining
Programme Manager (Phase 2)	SEPA	EGP mining/Partnership Sub-Programme
Programme Manager (Phase 2 ongoing)	SEPA	EGP mining/Partnership Sub-Programme
SGP Programme Management Team Member	SEPA	EGP mining
SGP Programme Management Team Member	SEPA	Partnership Sub-Programme
Head of Unit	SEPA	EGP mining/EGP Partnership
SEPA Staff	SEPA	EGP mining

External SEPA expert on PEM	SEPA	EGP mining
Gender and Latin America Focal Point	SEPA	EGP Mining
SEPA staff	SEPA	EGP Partnership
SEPA staff	SEPA	EGP Partnership
SEPA staff	SEPA	EGP Partnership
Programme Manager	SEPA, Staff on Loan to UNEP	EGP mining/Partnership Sub-Programme
External SEPA Expert on Mining	SGAB	EGP mining
External SEPA Expert on Mining	SGAB	EGP mining
SGU staff	SGU	EGP mining
SGU staff	SGU	EGP mining
	Sida	EGP mining/Partnership Sub-Programme
Executive Director	Society for the Conservation of Nature Liberia	EGP Mining
SUN facility coordinator (until April 2022)	SUN	EGP Partnership
SUN facility coordinator (since November 2022)	SUN	EGP Partnership
UN Secretariat DMSPC Unit focal point	UN Secretariat DMSPC Unit	EGP Partnership
Programme Manager (Phase I and II)	UNDP	EGP mining/Partnership Sub-Programme
UNDP Country Office Liberia Focal Point	UNDP Liberia	EGP mining
UNDP Country Office Kenya Focal Point	UNDP Kenya	EGP mining
UNDP Country Office Zambia Focal Point	UNDP Zambia	EGP mining
UNDP Country Office Peru Focal Point	UNDP Peru	EGP mining
UNDP Country Office Peru Focal Point	UNDP Peru	EGP mining
UNDP Country Office Mongolia Focal Point	UNDP Mongolia	EGP mining
UNDP Country Office Colombia Focal Point	UNDP Colombia	EGP mining
Head of Environment, UNDP Country Office Argentina	UNDP Argentina	EGP mining
UNDP Country Office Argentina Focal Point	UNDP Argentina	EGP mining
PEM consultant	UNDP Argentina	EGP mining
EAE consultant	UNDP Argentina	EGP mining
UNDP Country Office Ecuador Focal Point	UNDP Ecuador	EGP mining
UNDP Country Office Ecuador Focal Point	UNDP Ecuador	EGP mining
UNDP Country Office Kyrgyzstan Focal Point	UNDP Kyrgyzstan	EGP mining
UNDP Country Office Namibia Focal Point	UNDP Namibia	EGP mining
UNDP Country Office Namibia Focal Point	UNDP Namibia	EGP mining
Former UNDP Colombia	UNDP Colombia	EGP Mining
Head of Unit	UNPD	EGP Mining/EGP Partnership

Previous seconding project manager UNDP	UNDP	EGP Mining/EGP Partnership
Head of Unit Inclusive Growth	UNDP Zambia	EGP mining
Programme Manager and PCOM TEAM (and previous programme coordinator of the EGP)	UNDP Zambia	EGP mining
M&D Analyst	UNDP Zambia	EGP mining
Programme Risk Analyst	UNDP Zambia	EGP mining
UNESCO EGP focal point	UNESCO	EGP Partnership
UNESCO staff working with internal sustainability	UNESCO	EGP Partnership
UNFCCC focal point	UNFCCC	EGP Partnership
UNFPA focal point	UNFPA	EGP Partnership
Miner, Young Women in Mining Association	Young Women in Mining Association, Zambia	EGP mining
Miner, Member of the young women in mining association	Young women in mining association member	EGP mining
Principal Inspector in ZEMA, Technical Committee Member of the EGP	Zambia EMA Office Copperbelt Province	EGP mining

Annex 3 – Methodology

NIRAS is committed to key working principles outlined in the box below and that were applied throughout the evaluation.

- **Evidence based.** We evaluate based on evidence collected through, for instance, document review, narrative sessions, interviews, focus group discussions, case studies, and sex-disaggregated data collection.
- **Quality.** We strive for our evaluation processes and products to have high quality. Quality is about utility, credibility, and impartiality. The latter involves independence, fairness, and professional integrity.
- **Methodological rigour.** We make use of uniform formats for notes, method guides, updates, and hold team discussions to maintain the flow of information. The synthesising of data cross-validates the information sources and critically assesses the validity and reliability of the data. The evaluation report describes the sources of information used in sufficient detail so that the adequacy of the information can be assessed.
- **Process approach.** Reviews and evaluations are processes rather than single events. An evaluation should offer space for reflection, learning and, if necessary, agreed adjustments. Information and accumulation of knowledge during the process may bring new perspectives. Therefore, methodological, and analytical frameworks defined during the inception phase of the assignment should not serve as rigid blueprints, but flexible guidelines, open for bringing in new perspectives that may emerge during the evaluation.
- **Ethics.** Sensitive data – including business and financial related information - will be protected and should not be traceable to its source. The evaluation report will not reveal the names of sources and will conceal identities of persons or organisations as relevant by using abstraction. Confidentiality of the stakeholders and beneficiaries involved in the evaluation will be assured. The evaluation team will ensure safeguarding principles in all consultations with different stakeholders and beneficiaries, and in particular with rights-holders, and to follow the UN Evaluation Group (UNEG) Guideline on Ethics in Evaluation outlining the ethical principles for evaluation.
- **Systematic and clear communication.** Active and transparent communication and sharing of information are fundamental for useful evaluation processes and products.
- **Gender equality, equity group and human rights perspectives.** This means recognising that related inequalities are structural and systemic; understanding and identifying discriminatory patterns and barriers through disaggregated data collection; recognising the unique perspectives and contributions of diverse equity groups and providing recommendations to add value to those who are living under marginalised conditions as well as to those implementing programmes. The evaluation team will be guided by **gender sensitive and rights-based principles throughout the evaluation process**, ensuring that all stakeholders understand the purpose of the evaluation and how the information they share will be used. The set up and implementation of FGDs will take power relations within and between groups into consideration and the evaluation team will ensure as far as possible, that all consultations take place in safe spaces without by-standers.

Analysis of the Theory of Change

Document review and interviews during the inception phase has shown, that the programme document for EGP 2020 – 2023 did not have a conventional results framework as it was envisaged to apply an adaptive approach to implementation rather than a results-based one. In practice this approach did not tally with the requirements for programme implementation in UNDP and the implementation was based on annual workplans which followed a UNDP template, and a programme document was developed by UNDP following its guidelines. As there was no overall results framework, reporting was mostly done through change stories. The reporting followed

the seven thematic areas of EGP Mining which are PEM, ASM, climate change, forest management, mine closure & remediation, gender equality and lastly human rights and environment. For 2024 a proposal for extension has been elaborated, which has a thorough results framework that is in line with the programme document 2020 – 2023 and reflects the actual implementation since 2020.⁴⁰ After consultation with the intended users it has been agreed to use a retroactive method to be able to assess the programme’s outputs and achievement of outcomes and impact whereby the progress is assessed according to the activities, outputs, and outcomes in the proposal for extension.⁴¹

The theories of change (ToC) for the two sub-programmes, namely EGP Mining and The EGP Partnership have been elaborated using this approach. The ToC however is based on the adapted UNDP programme document where the outputs are not so elaborate regarding the EGP Mining sub-programme. The evaluation matrix in Appendix 2 also reflects this retroactive approach.

Figure 17 depicts the ToC for the overall programme which shows how the strengthening of governance structures, and the level of awareness and knowledge-level of stakeholders are key to informed decision-making leading to sustainable, equitable, transparent and non-discriminatory governance of natural resources. Figure 18 and figure 19 depict the ToC for the two sub-programmes.

Figure 16 Overall EGP theory of change



⁴⁰ Proposal for prolongation of Environmental Governance Programme 2024

⁴¹ Ibid.

Figure 17: Reconstructed theory of change for the EGP Mining Sub-programme

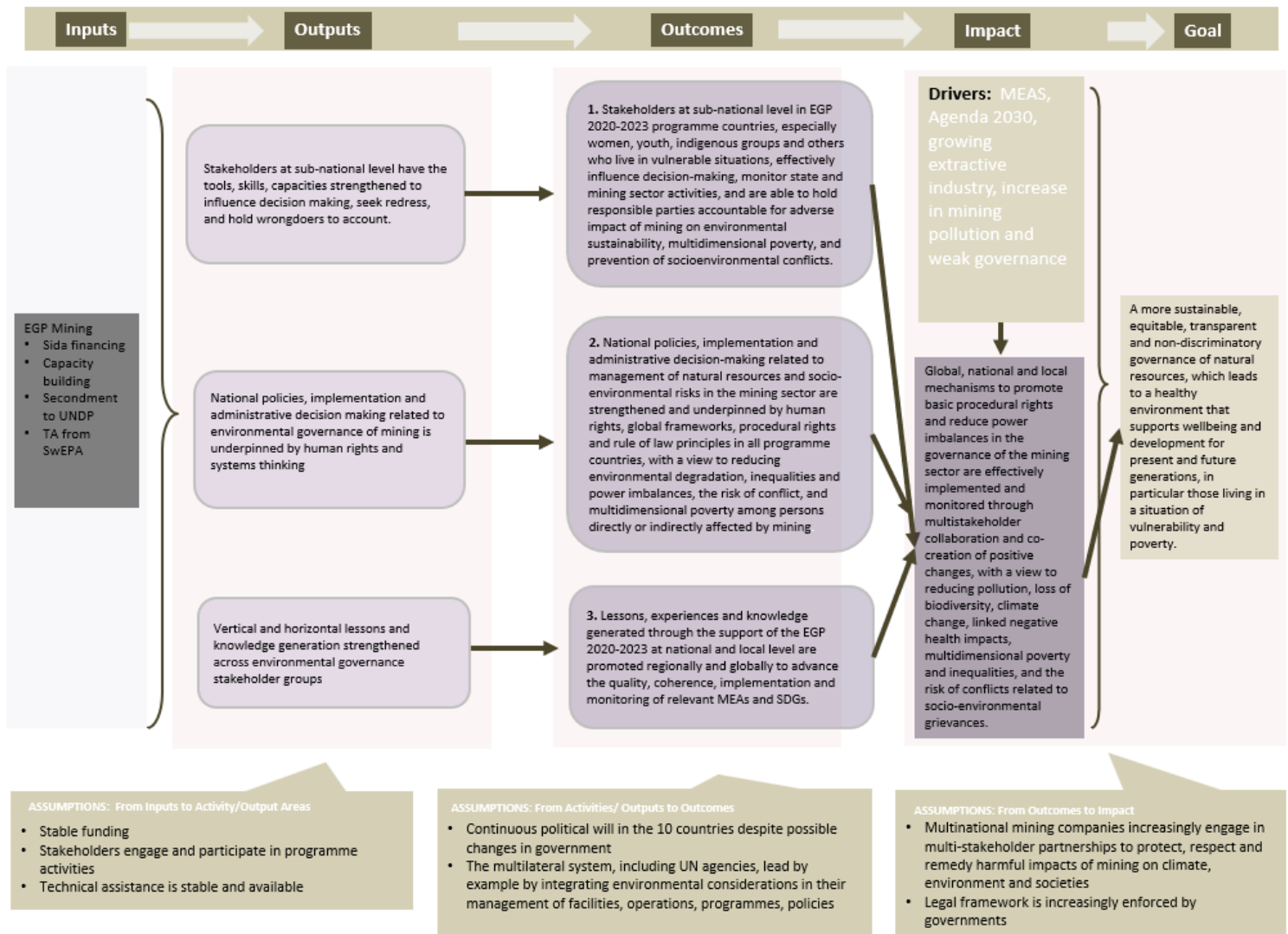
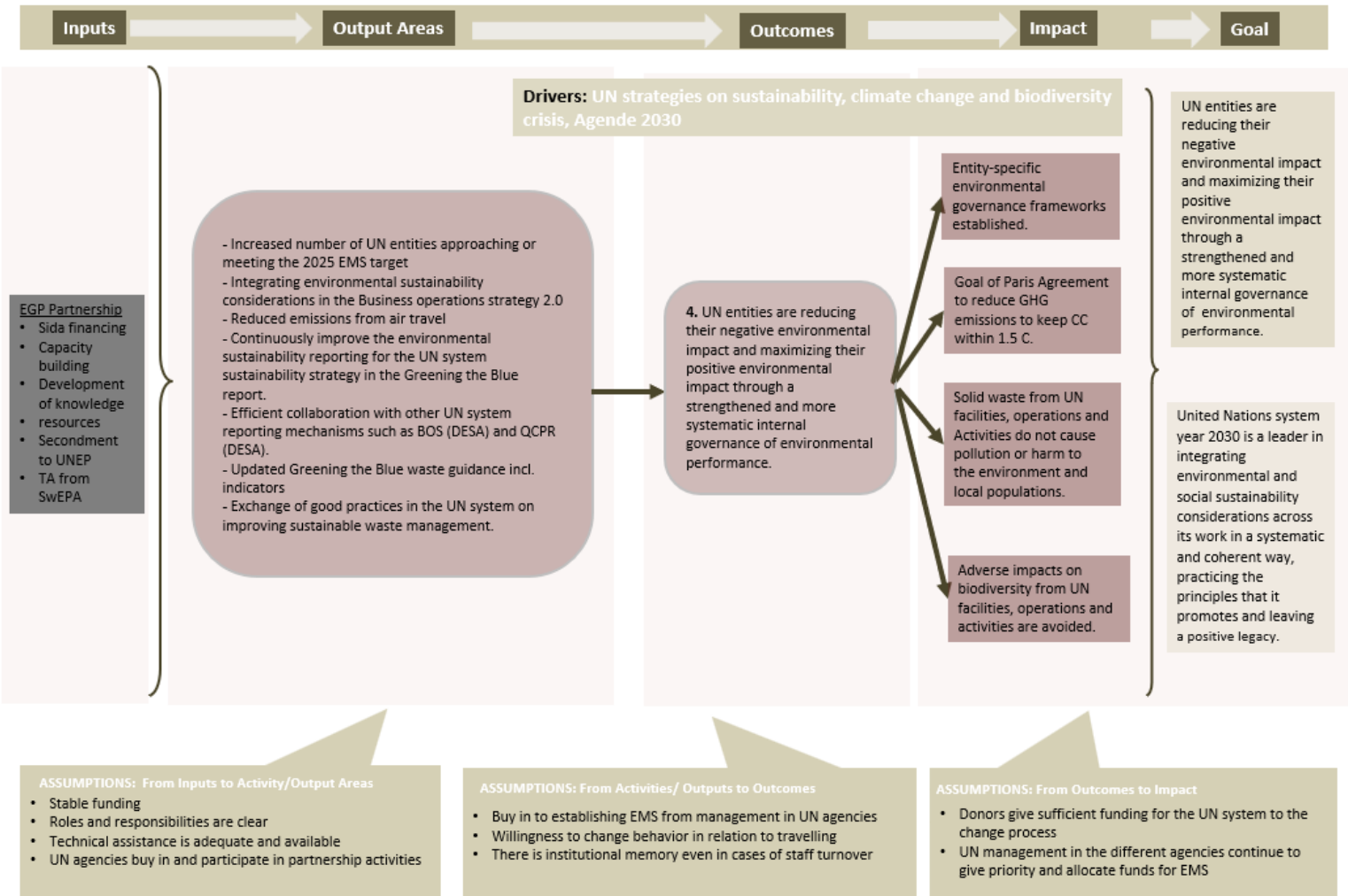


Figure 18: Reconstructed theory of change for the EGP Partnership sub-programme



Data collection and evaluation methods

The Environmental Governance Programme (EGP) for Sustainable Natural Resource Management, focusing on the mining sector

The evaluation of the EGP-Mining took up about 80% of the workload of the evaluation team. A combination of different methods was used in this evaluation:

- Desk study and stakeholder mapping
- Data collection and participants interviews
- Remote in-depth country studies
- Country case studies in Kenya and Zambia with observations
- Contribution analysis/case or thematic studies to document results.

During the inception phase, the evaluators initiated the desk study and the stakeholder mapping which was carried out further in the main evaluation phase. The lists of documents consulted, and key informants can be found in Appendices B and E. The inception interviews carried out with Sida, SEPA, UNDP, and UNEP staff assisted in

identifying key points which were touched upon and analysed further in the data collection interviews e.g., on cooperation, the role of SEPA in relation to technical assistance and the documentation of environmental effects. The interviews were semi-structured based on the questions in the evaluation matrix developed for each sub-programme. The questions were selected and formulated according to the role of the key informants in the programme and sub-programmes. They were about 45 minutes to one hour long (up to two hours in some extreme cases) and took place via Teams, except for the interviews in the countries visited. Some interviews were shorter when the objective is to follow-up or to ask for specific data. About 72 interviews were done in the course of the evaluation.

For the in-depth country studies, Liberia and Columbia were selected, the primary reason being that Sweden already has bilateral programmes with these two countries. The in-depth country studies relied on the desk review and online interviews. 27 stakeholders (this excludes a separate focus group discussion with 33 female miners) were interviewed in Kenya and 23 in Zambia from both national and local level e.g., UNDP focal points, government institutions such as the environment protection agencies, members of PEM committees, civil society organisations working with mining, environment and/or human rights, other donor agencies, artisanal miners and representatives of people affected by mining. For the interviews in Columbia, the evaluators were able to conduct interviews in Spanish. The in-depth country studies provided an opportunity to examine the seven thematic areas more closely.

The country visit to Kenya took place from 4 – 8 December and the visit to Zambia from 11 – 15 December. In each country, 2 days were spent in the capital city and were focussed on interviews with UNDP staff and other key stakeholders such as implementing partners and other donor agencies. 3 days in each country were spent to interview stakeholders at the local level in the target districts and locations. In Kenya, that were the Kakamega and Taita Taveta counties and in Zambia, the Copperbelt region. 21 key informants in Kenya and 23 in Zambia were interviewed. Additionally, focus group discussions were carried out, e.g., to speak with a group of female gold miners in Kakamega county in Kenya.

The interviewees were UNDP focal points and staff involved in capacity building and the production of knowledge products, government institutions such as the environment protection agencies, ministries responsible for mineral resources and mining, donor agencies, civil society organisations working with mining, environment and/or human rights, mining companies, artisanal miners and people affected by mining.

For the remaining six countries, online interviews were focused on confirming and validating information and findings from the desk study.

The team members split their working days over the activities under the EGP Mining sub-programme. All three team members conducted online interviews with the country

focal points. Malene Wiinblad and Johanna Pfaffenzeller conducted the field missions in Kenya and Zambia. Eric Buhl-Nielsen, together with Malene Wiinblad, focussed on the desk reviews, especially the review of the UNDP local staff and local partners of the two in-depth study countries. Eric Buhl-Nielsen and Malene Wiinblad furthermore conducted the online interviews with the interviewees from the in-depth study countries.

The Partnership for Strengthened Internal Environmental Governance within the United Nations System

The evaluation of the Partnership for strengthened environmental governance within the UN system took up 20% of the workload and focussed mainly on relevance and effectiveness but questions on coherence, efficiency and sustainability were also included.

A combination of different methods was in this evaluation:

- Desk study and stakeholder mapping
- Data collection and participants interviews
- Survey
- Contribution analysis/case or thematic studies to document results.

During the inception phase, the evaluators initiated the desk study and the stakeholder mapping, which was carried out further during the main evaluation phase. The lists of documents consulted and key informants can be found in Appendices B and E. The inception interviews carried out with Sida, SEPA, UNDP, and UNEP staff have assisted in identifying key points which were touched upon and analysed further in the data collection interviews e.g., on cooperation, the role of SEPA in relation to technical assistance and the documentation of setting up EMS and improved environmental reporting. The interviews were semi-structured based on the questions in the evaluation matrix. The questions were selected and formulated according to the role of the key informants in the programme. They were about 45 minutes long and took place over Teams. Some interviews might be shorter when the objective is to follow up or ask for specific data. 14 such interviews were conducted in the course of the evaluation.

In relation to the EGP Partnership a questionnaire survey was carried out among staff at the involved UN agencies. The survey covered 55 UN agencies. As expected, a maximum of 30 – 40 of these replied (31). This is due to low or no participation by 10 – 15 of these agencies. The evaluation team found, however, that these agencies should be given the chance to inform why they have not yet been participating.

A contribution analysis was carried out in a similar way as described above, identifying changes in relation to mainstreaming of environment into strategies, plans and interventions of the UN agencies, improvement of Greening the Blue reporting, documentation of reduced greenhouse gas emission because of limiting staff travelling, improved waste management leading to less pollution and initiatives taking to consider biodiversity in the planning and implementation of interventions.

The team members split their working days over the activities under the EGP Partnership sub-programme. Johanna Pfaffenzeller, with the support of Eric Buhl-Nielsen and Malene Wiinblad, developed and conducted the survey. Furthermore, the desk review under this sub-programme and the online interviews were undertaken by Eric Buhl-Nielsen, Malene Wiinblad and Johanna Pfaffenzeller.

Data validation, triangulation, and synthesis

During the synthesis phase, the team has analysed all information collected to provide a clear answer to key evaluation questions, and on this basis, to draw overall conclusions and formulate lessons and recommendations. This stage comprised the following tasks:

- Triangulation of information to check its validity and to let key issues emerge.
- Cross-fertilisation by team members offering their specific perspective on each evaluation question.
- Consult SEPA and Sida on potential remaining questions and issues.
- Elaborate practical and implementable recommendations.

The draft final report will then be compiled and submitted for comments in mid-March. The team will consider all comments on the draft report and where appropriate, incorporate them in the final report, and when not incorporating the comments, explain the reason for this. This process is important for ensuring an unbiased evaluation report. The final report will be submitted for approval at the end of March and presented through a workshop.

Annex 4 – Survey and Survey Results

Survey Design

Survey on the implementation of the Environmental Governance Programme (EGP)
“Strengthened environmental governance in the UN system”

A partnership between UN Environment Programme and the Swedish Environmental Protection Agency

This survey is part of an evaluation of a partnership between UN Environment Programme Sustainable UN facility (SUN) and the Swedish Environmental Protection Agency (Swedish EPA) during 2020-2023 on strengthening environmental governance in the UN system (hereafter the EGP partnership).

The EGP partnership will continue during 2024, but the partnership activities between 2020-2023 are currently being evaluated by [PEM consult](#), tasked by the funder the Swedish International Development Cooperation Agency (Sida).

The scope of the partnership is to support UN entities in implementing the [Strategy for environmental sustainability management in the United Nations system, 2020–2030](#), focusing on Environmental management systems (EMS), environmental reporting and sustainable meetings and events. The Swedish EPA is supporting SUN mainly via an environmental management project manager¹ and through allocating other experts from the Swedish EPA.

In this survey, we kindly ask your feedback on some of the EGP partnership activities within the environmental sustainability working group, the Environmental management system (EMS) Advisory group, the travel task team and the bilateral work with UN entities.

Your answers will be kept anonymous.

Expected time to fill out the survey: 10-15 minutes.

1. Gender

- a. Female
- b. Male
- c. Non-binary
- d. I prefer not to answer.

2. What is your position within your entity?

- a. Focal point to the Working Group on Environmental Sustainability
- b. Other, please specify [open text box]

3. In which areas has the Environmental Governance Programme (EGP) Partnership supported your entity in the process of meeting the objectives of the Strategy for environmental sustainability management in the UN system 2020–2030?

- a. Environmental management system (EMS) -set up, implementation and maintenance.
- b. Reduced travelling or changes in travelling patterns.
- c. Sustainable (hybrid- and virtual) meetings and events
- d. Reporting on environmental sustainability to the Greening the Blue Environmental governance survey.
- e. Other area/s of support, please specify in text box below.
- f. My entity was not supported/ has not taken part in the work.

Optional: Please elaborate on your reply [open text box]

4. Did you participate in the Greening the Blue Environmental Management Systems (EMS) advisory group?

- a. Yes
 - 4a. [conditional to answering Yes]
How helpful was your participation to the advisory group to improve your capacity to build and manage EMS?
(Rate 1-5, 5 very helpful and 1 not helpful)
- b. No

Optional: Please elaborate on your reply [open text box]

5. Did you participate in the training or meetings on internal audit of EMS during 2022 and 2023?

- a. Yes
 - 5a. [conditional to answering Yes]
How helpful were these to help you gain a better understanding of internal audit practices on EMS?
(Rate 1-5, 5 very helpful and 1 not helpful)
- b. No

Optional: Please elaborate on your reply [open text box]

6. Have you received advice on EMS implementation or on your entity's EMS strategies, policies and action plans etc. from the EGP partnership through SUN?

- a. Yes
 - 6a. [conditional to answering Yes]
How useful was the advice on EMS?

(Rate 1-5, 5 very useful and 1 not useful)

- b. No, I have not received any advice.

Optional: Please elaborate on your reply [open text box]

7. Have you been using the EMS toolkit guidance² for developing and implementing EMS in your entity?
- Yes
 - [Conditional to answering yes] Please give examples on how [open text box]
 - No
 - I'm not aware of/I don't have access to the EMS toolkit guidance.

8. Do you consider the updated Greening the Blue criteria on EMS³ useful?
- Yes
 - No
 - N/A, I am not familiar with the criteria.

Optional: Please elaborate on your reply [open text box]

9. Have you participated in the work of the travel task team during 2023?
- Yes
 - [conditional to answering Yes] Did your participation help improve your understanding on how to work systematically to reduce emissions from travel by e.g. updating policy, guidelines and implementing other measures?
(Rate 1-5, 5 very helpful and 1 not helpful)

- No, I did not participate in the work.

10. Have the webinars and material on virtual- and hybrid meeting culture⁴ helped improve your way of planning and conducting meetings in a virtual and/or hybrid format?
- Yes
 - [conditional to answering Yes] Please elaborate on how it has improved [open text box].
 - No, I did not find them helpful.
 - I did not take part in the webinars.
 - I am unaware of the material.

11. To what extent has the support provided by the EGP Partnership through SUN contributed to advancing the overall environmental performance of your entity?
- It has contributed significantly.
 - It has contributed moderately.
 - It has contributed slightly.
 - It has not contributed.
 - Not applicable since my entity has not taken part in the activities.

[Conditional to selecting 11 a), b) or c)] Please select one or more of the following:

- i. My entity has improved its work on the environmental management system (EMS)
- ii. My entity has taken/ is planning to take measures to reduce GHG emissions from travel.
- iii. My entity has improved its planning and procedures on virtual/hybrid meetings and events.
- iv. My entity now submits annually to the Greening the Blue survey on environmental governance and management functions.
- v. Other, please specify [open text box].

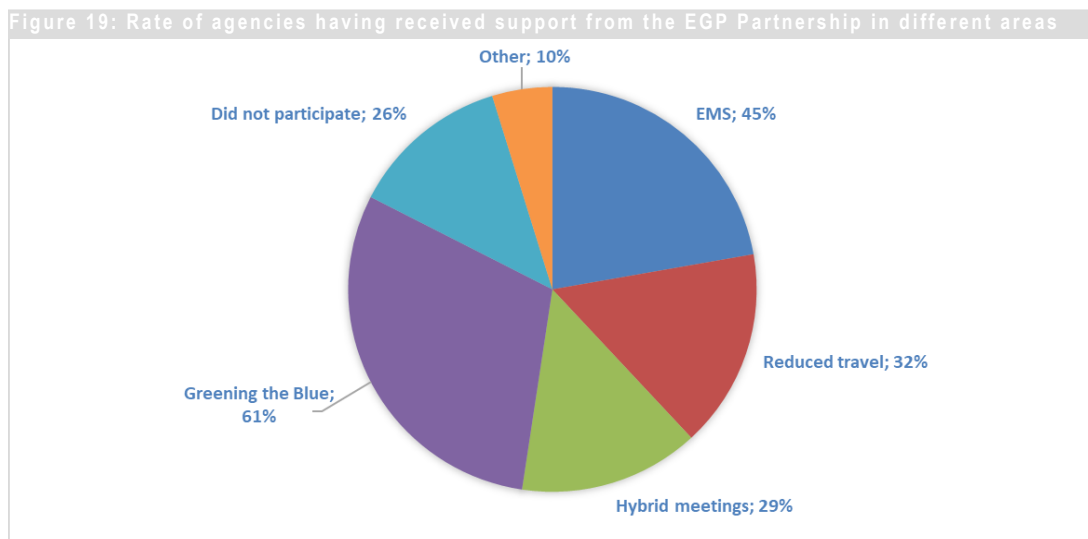
12. Please give examples of suggested improvements for the EGP partnership and the technical assistance provided, including your collaboration with the Swedish EPA experts.

Optional [open text box]

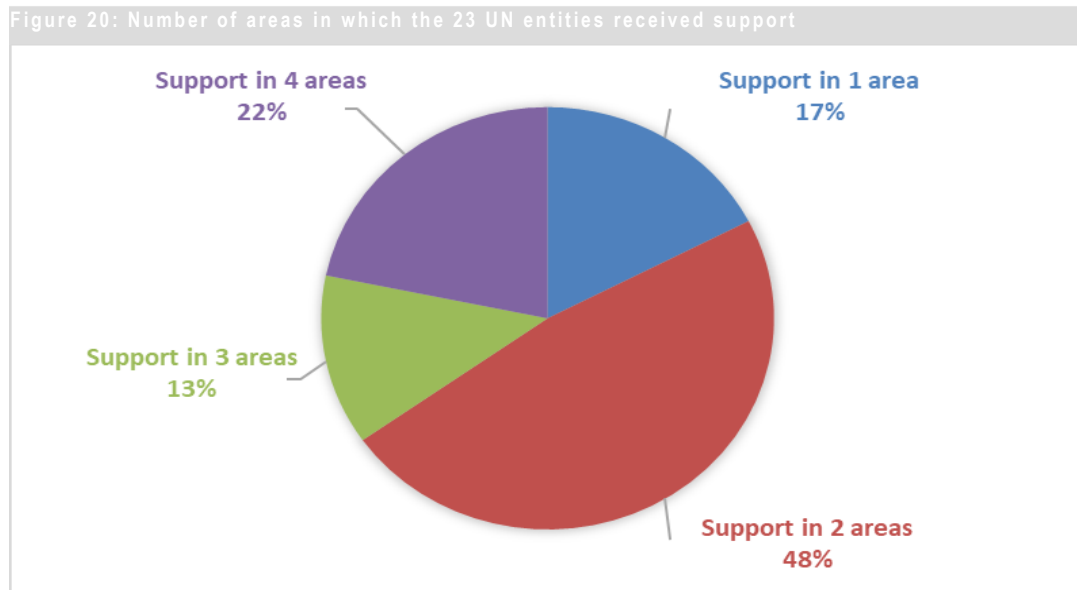
Thank you for your feedback!

Survey Results

The evaluation team carried out a survey on the performance of the EGP Partnership which had 12 questions focusing on issues related to the Environmental Management Systems. The survey was designed in close collaboration with the SEPA staff on loan and the SUN secretariat. On the 24th of January 2024, it was sent to 75 sustainability focal points or other representatives from 59 UN bodies. Up to 9 February, 31 had responded to the survey, which gives a response rate of 41%, which is satisfactory and quite high compared to evaluation teams experience with similar surveys. Of the respondents 52% were women, 35% men and 13% preferred not to state the gender. 87% were sustainability focal points for their organization while the rest were not.



45% of the respondents had received support on Environmental management system (EMS) -set up, implementation and maintenance while 61% had received support on improving the reporting on environmental sustainability to the Greening the Blue Environmental governance survey. 29% had received support for doing sustainable (hybrid- and virtual) meetings and events and 32% on how to reduce emissions through reduced travelling or changes in travelling patterns.



18 of the respondents had participated in the Greening the Blue Environmental Management Systems (EMS) advisory group. 61% found this had been very helpful while 33% found it helpful. Overall, 94% found it very helpful or helpful.

Of the 31 respondents 23 had received support in one or more areas of these 3 respondents stated that they had also been supported in other areas than the four listed areas which were:

- Encouragement to establish a Sustainable Development Policy for our UN entity,
- Knowledge management and networking on emission reduction ideas/opportunities.
- Environmental and Social Standards.

22% had been supported in all 4 areas while 13% had been supported in 3 areas and almost half (48%) had been supported in 2 areas. 8 had not received support in any of the listed areas.

19 respondents have participated in the audit training on EMS in 2022 and 2023 and 18 found it very useful or useful. 1 respondent did not find it useful but did not specify the reason.

9 respondents found that the advice received on EMS implementation was very useful and 6 found it useful. Overall, 100% of respondents (Q6) found it either very useful or useful.

11 responded that their entity is using the EMS Toolkit developed with support from the EGP Partnership. Several entities commented that even though that it has been very useful as guidance going through the different stages. (Q7)

10 respondents participated on the travel task team during 2023 (Q9). 9 found it very helpful or helpful while 1 respondent did not find it helpful.

9 respondents found that the support provided by the EGP Partnership through SUN contributed significantly to advancing the overall environmental performance of their entity while 11 respondents found that the EGP Partnership had contributed moderately.

The comments detailing the survey responses focuses on the appreciation of SIDA support to this area, especially the reliable, helpful, and seamlessly integrated support of the SEPA staff on loan into SUN, the high technical quality and the facilitation of the coordination between different UN entities. One respondent noted that apart from the organized training and support, one-to-one consultations have also been frequent and very helpful.

Respondents recommend the support to continue strengthening the areas already supported and also focus on coordination on climate neutrality and net zero measures including advanced greenhouse gas emission reductions guidance and with the expansion to Scope 3 emissions management and reporting

Annex 5 – Documents Consulted

1. Background Documents

- EITI (2023): Countries. Global Implementation of the EITI Standard. <https://eiti.org/countries> (08.11.2023).
- Human Rights Watch (2023, 20th of July): Zambia: Clean Up Toxic Lead Waste at Mine Site. <https://www.hrw.org/news/2023/07/20/zambia-clean-toxic-lead-waste-mine-site> (08.11.2023).
- Kimberley Process (2011): Liberia Annual Report 2011.
- Kimberley Process (2011): Namibia Annual Report 2011.
- Kimberley Process (2014-2023): Working together to stem the tide of conflict diamonds worldwide. <https://www.kimberleyprocess.com/en/participants> (06.11.2023).
- Human Rights Watch (2011): “You’ll Be Fired if You Refuse”. Labour Abuses in Zambia’s Chinese State-owned Copper Mines.
- Planet Gold (n/a): Making a world of difference in small-scale gold mining. <https://www.planetgold.org/>.
- SEPA & UNDP (2024): Environmental Governance Programme. <https://www.environmentalgovernanceprogramme.org>.
- SGU (n/a): Mine Water & Mine Waste Management. <https://www.sgu.se/en/itp308/>.

2. Management and Programme Documents (Proposals, Reports, etc)

- (n/a) Memo: Stocktaking on EGP work on artisanal and small-scale mining [Docx document]
- (n/a) Memo: Stocktaking on EGP work on mine rehabilitation & closure [Docx document]
- Environment Governance Programme, Phase 2: 2020-2024. Updated Results Framework. Draft. 2023, 31st of October.
- EY (2020, 17th of June): Assessment of Internal Control of the Swedish EPA.
- George, A. (2021, 9th of July): Addition to the 2020 Annual Report of the Environmental Governance Programme Phase 2 (EGP 2020-2023). Memo. 2021, 9th of July.
- Proposal for prolongation of Environmental Governance Programme 2024.
- SEPA & UNDP (2020, 24th of August): Project Document. Phase Two of the Joint UNDP Swedish EPA Global Environmental Governance Project (EGP). Amendment EGP Phase 2.
- SEPA & UNDP (2020, 25th of August): Project Document. Phase Two of the Joint UNDP Swedish EPA Global Environmental Governance Project (EGP). Project Document.

- SEPA & UNDP (2023, 29th of August): EGP Global Team meeting. Autumn 2023. PowerPoint Presentation.
 - SEPA (2021, 12th of January): Management response to the Report of Assessment of Internal Management and Control of the Swedish EPA.
 - SEPA (n/a): Environmental Governance Programme (EGP). Proposal for Global Programme. January 2020 – December 2023.
 - Sida (n/a): överenskommelse om bidrag mellan Styrelsen för internationellt utvecklingssamarbete (Sida) och Naturvårdsverket angående Globalt program för 2020-2023.
 - SEPA staff involved in EGP 2023. Excel Sheet.
 - UNDP (2023, 10th of October): Back to office Report (BTOR): Environmental Governance Programme (EGP) Regional Workshop
3. EGP Mining Sub-Programme Documents
- (2020): Minutes of the Technical Working Committee meeting held on 28th May 2020 at 12:00 hours: Agenda
 - (2021): Minutes of the Technical Working Committee meeting held on Wednesday 23rd December 2021 at 09:00 hrs: Agenda
 - (2021): Minutes of the Technical Working Committee meeting held on Wednesday 8th May 2021 at 10:00 hrs. Agenda
 - (2022, 30th of September): ACP-EU/UNDP/ EGP project on Mining in Forests in Zambia [workshop document]
 - (2022, 30th of September): Attendance list for mining and forest workshop – UNDP
 - (2022, 6th of July): Report on EGP Workshop on ASM Handbook, Liberia
 - (2022, 7th of July): ASMWG Coordination meeting, Bopolu City
 - (2022, October): Liberia Story of Change
 - (2023, 17th of August): Workshop Report. Zambia
 - (2023, 9th of November): EGP Zambia: Forest and Mining Project [Draft Report]
 - (n/a) 2023 AWP SEPA Environmental Governance Programme Mongolia: Joint Swedish EPA-UNDP Environmental Governance Programme-Mining Phase 2 [Excel Sheet]
 - (n/a) Annex 1: Description of the action for the ACP_EU Development Minerals Programme Phase II.
 - (n/a) Comités de Monitoreo y Vigilancia Ambiental (CMVA): Nota conceptual (Spanish)
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Annex 6 – Evaluation Matrix

Annex F provides a rationale for the evaluation questions and the selected judgement criteria. This evaluation matrix details the areas of enquiry and guiding indicators that would be necessary to answer and shed light on the judgement criteria. The areas of enquiry and guiding indicators will not necessarily be reported on individually but will be used to gather data and insight on the overall question. The evaluation matrix identifies the data sources as well as the instruments and methods to be used to collect and analyse the data. Finally, a comment is made on the validity and reliability of the indicators. Validity means that the indicators will measure and provide insight into what the judgement criteria sets out to determine (accuracy). Reliability means that another person carrying out the methodology is likely to come to the same findings (consistency). The assessment of reliability takes into account the limitations as outlined earlier and is assessed to be satisfactory if: i) a range of data sources and methods have been identified do that the triangulation can take place; ii) it is possible and practice to involve different evaluators in the interpretation and analysis of the data; iii) the available sample or data set is large enough to avoid over reliance on a few projects or data points that may not be typical. Where one or more of these criteria are likely to be missing the reliability is assessed as potentially problematic.

1. EGP Mining

EQ	Area of enquiry/indicators	data	Methods	Notes on data availability, and indicator validity and reliability ^[1]
EQ1 Strategic relevance Did the design and implementation of the programme respond to the	<p><u>1.1 Beneficiary needs</u> – the programme was designed and implemented based on the needs and priorities of the beneficiaries e.g., poor people affected by mining.</p> <p><u>1.2 Partner policy alignment</u> – the programme aligned to the policies and priorities of the global, national and partner/institutions</p> <p><u>1.3 Sida policy alignment</u> – the programme aligned to Sida policies for international cooperation</p>	<p>Documents:</p> <ul style="list-style-type: none"> • SIDA, SEPA, UNEP and other donors strategies and policy documents • Programme documents, project plans 	<p>Desk review: analysis of relevant documentation.</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions.</p>	<p>Data availability: The documents identified are mostly available however the nature and insight of the internal discussion documents that might be available is not yet known. Furthermore, are the challenge notes only available for 8 out of 10 countries, excluding Kenya and Zambia. The feedback documents are only partially filled out and none of them include the country's reply. Additionally, there is no budget overview of allocations to the 10 countries for phase II of the programme available. It can be</p>

EQ	Area of enquiry/indicators	data	Methods	Notes on data availability, and indicator validity and reliability ^[1]
needs, policies, and priorities of the stakeholders?	<p><u>1.4 Flexibility</u> - The programme was flexible and adapted to changing circumstances</p>	<ul style="list-style-type: none"> • Programme reporting (annual reports and country reports) + responses • Country challenge notes • Monitoring reports • Financial reports, budgets/financial agreements • Workplans + feedback documents • Internal communication documents (Meeting Minutes, Agendas, PPP, etc.) • Internal discussion documents • Websites <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> • Sida/ SEPA/UNDP HQ staff • Country focal points • Implementing partners • Country stakeholders (beneficiaries, government, private sector, civil society) <p>On-site visit data/ insight:</p> <ul style="list-style-type: none"> • interventions in Kenya and Zambia 	<p>Triangulation: In most cases the document review and views of different stakeholders can be compared.</p>	<p>expected that some stakeholders with institutional memory will no longer be available and in some cases, there will be practical obstacles to making visits to the sites.</p> <p>Validity: The areas of enquiry (needs/policy alignment/flexibility) represent a comprehensive overview of the relevance (from donor and beneficiary perspectives) and link closely to the TOR and intentions of the evaluation and how it should feed into and support conclusions and recommendations.</p> <p>Reliability: There is an element of qualitative judgement especially on the roles. This will be mitigated by ensuring that the views of different stakeholders are taken into account (e.g. asking different people and stakeholders the same question potentially both through anonymous survey and interview). The site visit is only to two countries out of 10 but will be mitigated through remote interviews in two other countries and wider light interviews of all country focal points.</p>
<p>EQ2 Results What worked well, what didn't?</p>	<p><u>2.1 Local empowerment</u> - Sub-national stakeholders effectively influence decision-making, monitor state and mining sector activities, and are able to hold responsible parties accountable i.e. Stakeholders of EGP focus countries have supported by mechanisms and guidelines made advances within one or more of the seven themes (PEM, ASM, CC, Forest Management, Mine closure, HR and Environment and gender equality)</p> <p><u>2.2 Normative environment</u> – To what extent is the strengthening of national policies, implementation and administrative decision-making related to management of natural resources and socio-environmental risks in the mining sector expected to generate,</p>	<p>Documents:</p> <ul style="list-style-type: none"> • Project documents, • annual reports, • monitoring reports, BAR (Before Action Review), AAR (After action review) and the reflective question template, • guidelines & manuals, • national plans and strategies 	<p>Desk review: Analysis of relevant documentation.</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions.</p> <p>Triangulation:</p>	<p>Data availability: the documents identified are mostly available however the nature and insight of the internal discussion documents that might be available is not yet known. National statistics on mining pollution and reduction of pollution might scarce. It can be expected that some stakeholders with institutional memory will no longer be available and in some cases, there will be practical obstacles to making visits to the sites. The country visits to two countries out of 10 is an opportunity to make direct observations and get in contact with stakeholders who would otherwise be difficult to reach. The visit to Zambia and Kenya will to some extent compensate for the absence of challenge notes. Key</p>

EQ	Area of enquiry/indicators	data	Methods	Notes on data availability, and indicator validity and reliability ^[1]
	<p>significant high-level positive or negative, intended or unintended effects?</p> <p><u>2.3 Dissemination</u> – To what extent is promotion of national and local level lessons, experiences and knowledge from EGP phase 2 leading to quality, coherence, implementation and monitoring of relevant MEAs and SDGs.</p> <p><u>2.4 Sustainability</u> - To what extent will the net benefits of the EGP continue, or are likely to continue?</p> <p><u>2.5 Environmental effects</u> - To what extent is there a likelihood of reducing environmental degradation in the mining sector at the global, national and local level?</p>	<ul style="list-style-type: none"> event reports websites, SDG, CBD progress reports Reports and studies from the 10 countries on HR, environment & mining <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> Sida/ SEPA/UNDP HQ staff UNDP country office focal points Implementing partners Country stakeholders (beneficiaries, government, private sector, civil society) <p>On-site visit data/ insight:</p> <ul style="list-style-type: none"> Interventions in Kenya and Zambia. 	<p>In most cases the document review and views of different stakeholders can be compared. Observations are part of the triangulation.</p>	<p>informants in Kenya and Zambia might not be available at the time of the country visit.</p> <p>Validity: The areas of enquiry (Local empowerment, normative environment, dissemination, sustainability and environmental effects) should give a comprehensive overview of what worked well and what didn't and to what extent the EGP achieved expected outputs and outcomes. It will link closely to the TOR and intentions of the evaluation and how it should feed into and support conclusions and recommendations. The information on SDG 15 Life on Land and CBD indicators for each country will give overall information which can link indirectly to the achievements of the EGP phase 2.</p> <p>Reliability: There will be a qualitative assessment of the extent to which results can be attributed to the EGP phase 2. This will be mitigated by interviewing a wide range of stakeholders incl. Donor agencies which have also supported the mining area. The site visit is only to two countries out of 10 but will be mitigated through remote interviews in two other countries and wider light interviews of all country focal points.</p>
<p>EQ3 Cooperation approach - Was the programme well managed?</p>	<p><u>3.1 Coherence</u> - The programme was compatible and well-coordinated with other interventions in the countries and sectors where it is being implemented.</p> <p><u>3.2 Monitoring and learning</u> – The programme monitoring enabled early adjustment and learning</p> <p><u>3.3 Roles</u> – the SEPA environmental agency and UNDP development agency roles were complementary</p> <p><u>3.4 Project management</u> – the management, procurement and financial control systems ensured efficient use of resources</p>	<p>Documents:</p> <ul style="list-style-type: none"> Programme document Programme reporting (annual reports and country reports) Learning ecosystem hub Internal discussion documents on roles UNDP/SEPA procurement systems and controls, financial reports <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> Sida/ SEPA/UNDP HQ staff; Country focal points Country stakeholders (beneficiaries, government, private sector, civil society) <p>On-site visit data/insight: interventions in the country</p>	<p>Desk review: analysis of relevant documentation</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions</p> <p>Triangulation – in most cases the document review and views of different stakeholders can be compared.</p>	<p>Data availability: The documents identified are available however the nature and insight of the internal discussion documents that might be available is not yet known. Furthermore, are the challenge notes only available for 8 out of 10 countries, excluding Kenya and Zambia. The feedback documents are only partially filled out and none of them include the country's reply. It can be expected that some stakeholders with institutional memory will no longer be available and in some cases, there will be practical obstacles to making visits to the sites.</p> <p>Validity: The areas of enquiry (coherence/ learning/roles/ project management and cost efficiency) represent a comprehensive overview of the cooperation approach and link closely to the TOR and intentions of the evaluation and how it should feed into and support conclusions and recommendations.</p> <p>Reliability: There is an element of qualitative judgement especially on the roles. This will be mitigated by ensuring that the views of different stakeholders are taken into account (e.g. asking different people and stakeholders the same question potentially</p>

EQ	Area of enquiry/indicators	data	Methods	Notes on data availability, and indicator validity and reliability ^[1]
	<p><u>3.5 Poverty and rights approach</u> – The programme has been implemented with a poor people’s perspective and a Human Rights Based Approach</p> <p><u>3.6 Gender mainstreaming</u> – To what extent has the EGP mainstreamed gender in a way that leads to empowerment, partaking in decision-making by women and capacity to hold responsible parties accountable?</p>	<p>Documents:</p> <ul style="list-style-type: none"> • Programme documents, project plans • Programme reporting (annual reports and country reports) + responses • Country challenge notes • Workplans + feedback documents • Internal communication documents (Meeting Minutes, Agendas, PPP, etc.) • Internal discussion documents • Case studies on HR and mining from the 10 countries, if existing • GII, governance & HR index • Reports and studies from the 10 countries on HR, environment & mining. <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> • Sida/ SEPA/UNDP HQ staff • UNDP country office focal points • Implementing partners • Country stakeholders (beneficiaries, government, private sector, civil society) <p>On-site visit data/ insight:</p> <ul style="list-style-type: none"> • Interventions in Kenya and Zambia 	<p>Desk review: analysis of relevant documentation.</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions.</p> <p>Triangulation: In most cases the document review and views of different stakeholders can be compared.</p>	<p>both through anonymous survey and interview). The site visit is only to two countries out of 10 but will be mitigated through remote interviews in two other countries and wider light interviews of all country focal points.</p>

1. Partnership Sub/Programme

EQ	Area of enquiry/indicators	data	Methods	Notes on data availability, and indicator validity and reliability ^[1]
<p>EQ1 Strategic relevance Did the design and implementation of the programme respond to the needs, policies, and priorities of the stakeholders?</p>	<p><u>1.1 Partner policy alignment</u> – the programme aligned to the policies and priorities of the global, national and partner/institutions</p> <hr/> <p><u>1.2 Sida policy alignment</u> – the programme aligned to Sida policies for international cooperation</p>	<p>Documents:</p> <ul style="list-style-type: none"> • SIDA, SEPA, Un and UNEP and other donor strategies and policy documents • Programme documents, project plans • Programme reporting (annual reports and country reports) + responses • Financial reports, budgets/financial agreements • Workplans • Internal discussion documents • Websites <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> • Sida/ SEPA/UN HQ staff; • UN entities 	<p>Desk review: analysis of relevant documentation.</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions.</p> <p>Survey: UN and SEPA HQ staff as well as staff of UN entities</p> <p>Triangulation: In most cases the document review and views of different stakeholders can be compared.</p>	<p>Data availability: The documents identified are mostly available however insight of the internal discussion documents that might be available is not yet expected that some stakeholders with institutional memory will no longer be available in some cases, there will be practical obstacles to making visits to the sites.</p> <p>Validity: The areas of enquiry (needs/policy alignment/flexibility) represent a comprehensive overview of the relevance (from donor and beneficiary perspectives) and link closely to the TOR and intentions of the evaluation and how it should feed into and support conclusions and recommendations.</p> <p>Reliability: There is an element of qualitative judgement especially on the roles. This will be mitigated by ensuring that the views of different stakeholders are taken into account (e.g. asking different people and stakeholders the same question).</p>
<p>EQ2 Results What worked well, what didn't?</p>	<p><u>2.1 Effectiveness</u> - The partnership led to greening the UN programmes and projects in terms of environmental management systems and in the Greening the Blue reporting, reduction of GHG emissions, improved waste management and consideration of biodiversity</p> <hr/> <p><u>2.2 Sustainability</u> - To what extent will the net benefits of the EGP continue, or are likely to continue?</p>	<p>Documents:</p> <ul style="list-style-type: none"> • Project documents, • annual reports, • monitoring reports, BAR (Before Action Review), AAR (After action review) and the reflective question template, • guidelines & manuals, • national plans and strategies • event reports • websites • SDG, CBD progress reports <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> • Sida/ SEPA; 	<p>Desk review: Analysis of relevant documentation.</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions.</p> <p>Survey: SEPA HQ, staff and UN entities</p> <p>Triangulation:</p>	<p>Data availability: the documents identified are mostly available however the nature and insight of the internal discussion documents that might be available is not yet known. It can be expected that some stakeholders with institutional memory will no longer be available.</p> <p>Validity: The areas of enquiry (effectiveness and sustainability) should give a comprehensive overview of what worked well and what didn't and to what extent the EGP achieved expected outputs and outcomes. It will link closely to the TOR and intentions of the evaluation and how it should feed into and support conclusions and recommendations.</p> <p>Reliability: There is an element of qualitative judgement especially on the roles. This will be mitigated by ensuring that the views of different stakeholders are taken into account (e.g. asking different people and stakeholders the same question).</p>

		<ul style="list-style-type: none"> Targeted UN entities 	In most cases the document review and views of different stakeholders can be compared. Observations are part of the triangulation.	
<p>EQ3 Cooperation approach - Was the programme well managed?</p>	<p>3.1 Coherence - The programme was compatible and well-coordinated with other interventions in the countries and sectors where it is being implemented.</p>	<p>Documents:</p> <ul style="list-style-type: none"> Programme document Programme reporting (annual reports and country reports) Internal discussion documents on roles <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> Sida/ SEPA/UN staff; UN entities 	<p>Desk review: analysis of relevant documentation</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions</p> <p>Survey: UN and SEPA HQ staff as well as staff of UN entities</p> <p>Triangulation – in most cases the document review and views of different stakeholders can be compared.</p>	<p>Data availability: The documents identified are available however the nature and insight of the internal discussion documents that might be available is not yet known. It can be expected that some stakeholders with institutional memory will no longer be available.</p> <p>Validity: The areas of enquiry (coherence/ learning/roles) represent a comprehensive overview of the cooperation approach and link closely to the TOR and intentions of the evaluation and how it should feed into and support conclusions and recommendations.</p> <p>Reliability: There is an element of qualitative judgement especially on the roles. This will be mitigated by ensuring that the views of different stakeholders are taken into account (e.g. asking different people and stakeholders the same question).</p>
	<p>3.2 Monitoring and learning – The programme monitoring enabled early adjustment and learning</p>			
	<p>3.3 Roles – the SEPA environmental agency and UNDP development agency roles were complementary</p>			

Annex 7 – Inception Report



**Evaluation of the Environmental
Governance Programme Phase 2,
2020 – 2023**

Final Inception Report

NIRAS/ PEMconsult

November 2023

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Appendix 1 Terms of Reference

Appendix 2 Evaluation Framework

Appendix 3 List of Potential Stakeholders to be Interviewed/Surveyed

Appendix 4 Documents consulted

Appendix 5 Inception meeting key points

Abbreviations

ASM	Artisanal and Small-Scale Mining
CBD	Convention on Biological Diversity
CBO	Community-based organisations
CC	Climate Change
CO	Country offices
DAC	OECD Development Assistance Committee
EGP	Environmental Governance Programme
EITI	Extractive Industries Transparency Initiative
EMG	Environmental Management Group
EMS	Environmental Management Systems
EU	European Union
FGD	Focus Group Discussion
GEF	Global Environment Facility
GHG	Greenhouse Gas
GIS	Geographic Information System
GLOBEN	Sida's unit for global environmental programmes
HQ	Headquarters
HR	Human Rights
HRBA	Human Rights Based Approach
IIED	International Institute for Environment and Development
ISO	International Organization for Standardization
KI	Key Informant
KII	Key Informant Interview
LA	Latin America
LAC	Latin America and the Caribbean
MEA	Multilateral Environmental Agreement
MEL	Monitoring, Evaluation and Learning
NGO	Non-Governmental Organisation
NR	Natural Resources
NRM	Natural Resource Management
OECD	Organisation for Economic Co-operation and Development
PEA	Environment Action Programme
PEM	Participatory Environmental Monitoring
RBM	Results Based Management
SDG	Sustainable Development Goal
SwEPA	Swedish Environmental Protection Agency
Sida	Swedish International Development Cooperation Agency
SUN	Sustainable UN
TA	Technical Assistance
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme

1 Introduction

This inception report represents the first deliverable of an evaluation, commissioned by Sida in October 2023, of Phase two of the Environmental Governance Programme 2020-2023.

The purpose of the report is a) to reflect the evaluation team's understanding of the objectives of this assignment; and b) to present the proposed approach/methodology and the methods selected to achieve the objectives of this assignment. The inception report outlines the schedule for the next stages in the evaluation process. The report also describes how various stakeholders/users of the programme will be involved and discusses potential challenges/limitations that might affect the process from here onwards.

The discussions with Swedish International Development Cooperation Agency (Sida), Swedish Environmental Protection Agency (SwEPA), United Nations Development Programme (UNDP) and United Nations Environment Programme (UNEP) during four meetings led to:

- Selection of Colombia and Liberia as the countries for the remote in-depth study
- Distilling the range of interviews focussing on key informants
- Bearing in mind expectations towards this evaluation, namely:
 - The question of the number of countries which is appropriate
 - Ensuring a strong value added regarding the partnership between Sida/ SwEPA and UNDP and a particular focus on the role of SwEPA in the partnership
 - Reviewing the value added of staff on loan
- Bearing in the mind recommendations that could be useful for a third programme phase

2 Assessment of the scope of the evaluation

2.1 Evaluation rationale

The scope of the evaluation encompasses the two sub-programmes under the Environmental Governance programme, namely 1) the Environmental Governance Programme (EGP) for Sustainable Natural Resource Management (EGP – Mining); and 2) the Partnership for Strengthened Environmental Governance within the UN system (EGP Partnership).

Table 1 below gives an overview of the two focus areas of the evaluation with their four outcomes in total. The focus on the two subprogrammes corresponds to an 80/ 20 ratio. The geographic focus of EGP Mining and target groups of each of the sub-programmes as well as the intended users of the evaluation are summarised in table 1.

Table 1: The overall scope of the evaluation of the Environmental Governance Programme Phase 2

Environmental Governance Programme Phase 2, 2020 – 2023		
Focus areas	The Environmental Governance Programme (EGP) for Sustainable Natural Resource Management (EGP Mining Sub-Programme)	Partnership for strengthened environmental governance within the UN system (EGP Partnership)
Outcomes (see chapter 3, p. 7)	1 - 3	4
Workload	80%	20%
Programme target groups	<ul style="list-style-type: none"> • UNDP Country Offices (COs) (Argentina, Colombia, Ecuador, Kenya, Kyrgyzstan, Liberia, Mongolia, Namibia, Peru, Zambia) • Stakeholders of mining governance incl. ministries of mining and environment, environmental protection agencies, local governments, academic institutions, civil society organisations, local communities, and mining associations 	<ul style="list-style-type: none"> • Sustainable UN, Environmental Management Group (EMG), responsible policymakers for the UN Sustainability strategy, • 55 UN organisations and the staff working with implementation of environmental issues
Intended users of evaluation	<ul style="list-style-type: none"> • Sida's unit for global environmental programmes (Sida GLOBEN) and Swedish Environmental Protection Agency (SwEPA), • UNDP Headquarters and Country offices 	<ul style="list-style-type: none"> • Sida GLOBEN and SwEPA, SUN, EMG

Geographically, the EGP-Mining's scope encompasses ten specific countries in its second phase: Argentina, Colombia, Ecuador, Kenya, Kyrgyzstan, Liberia, Mongolia, Namibia, Peru, and Zambia. On-site visits will take place in Kenya and Zambia, while the evaluation team will do in-depth remote interviews of UNDP local staff and local partners in Colombia and Liberia. Information about the programme's performance in the remaining countries will be gathered through surveys and online interviews involving key informants from partner organisations and beneficiaries. Information on the objectives and outcomes of the programme are given in chapter 3.

Figure 1: Geographical Overview



The purpose of the evaluation of the two sub-programmes is to serve accountability and facilitate learning. It seeks to ascertain whether there is a valid rationale for a subsequent phase of EGP and to establish the foundation for making recommendations. This evaluation will support Sida and its partners in forthcoming discussions regarding potential preparations for a new intervention phase. Furthermore, it will contribute valuable input for Sida's decision-making process on whether to continue funding the programme through the Global Strategy or not.

2.2 Users of the evaluation and utility

As stipulated previously, it is important that the evaluation is utilisation-focused.

The primary users of this evaluation are:

- EGP-mining: Sida GLOBEN, SwEPA, UNDP Headquarters and country offices
- EGP Partnership: Sida GLOBEN, SwEPA, SUN, EMG

Table 2: Primary users of the evaluation

Who	Why	How
Sida GLOBEN	<ul style="list-style-type: none"> • Identify lessons learnt on factors of success and hindrance • Guide decision on and content of a new potential phase of the programme • Have clarity about the role and contributions of SwEPA in the programme 	<ul style="list-style-type: none"> • The interaction with the evaluation team and the draft recommendations will provide ideas and suggestions, based on independent
SwEPA	<ul style="list-style-type: none"> • Identify lessons learnt on factors of success and hindrance 	

	<ul style="list-style-type: none"> • Guide adjustment of current programme and content of a new potential phase of the programme • Have clarity about the role of SwEPA in the programme • Have clarity about the functionality of staff on loan 	<p>findings, on what adjustments are best to make</p> <ul style="list-style-type: none"> • Options and trade-offs will be identified
UNDP Headquarters and Country Offices	<ul style="list-style-type: none"> • Identify lessons learnt on factors of success and hindrance • Guide adjustment of current programme and content of a new potential phase of the programme • Clarity about the appropriate number of focus countries • To ensure strong value added 	<ul style="list-style-type: none"> • Findings will be used and then factors that can explain them will be identified
Sustainable UN (SUN)	<ul style="list-style-type: none"> • Identify lessons learnt on factors of success and hindrance • Guide adjustment of current programme and content of a new potential phase of the programme 	
EMG	<ul style="list-style-type: none"> • Identify lessons learnt on factors of success and hindrance • Guide adjustment of current programme and content of a new potential phase of the programme 	

3 Relevance and evaluability of evaluation questions

Below the expected outcomes of each of the two sub-programmes of EGP are outlined. This is followed by the evaluation objectives for both sub-programmes.

The Environmental Governance Programme (EGP) for Sustainable Natural Resource Management, focusing on the mining sector

The EGP-mining programme has three expected outcomes:

- Outcome 1 - Stakeholders at sub-national level in EGP 2020-2023 programme countries, especially women, youth, indigenous groups and others who live in vulnerable situations, effectively influence decision-making, monitor state and mining sector activities, and are able to hold responsible parties accountable for adverse impact of mining on environmental sustainability, multidimensional poverty, and prevention of socio-environmental conflicts.
- Outcome 2 - National policies, implementation and administrative decision-making related to management of natural resources and socio-environmental risks in the mining sector are strengthened and underpinned by human rights, global frameworks, procedural rights and rule of law principles in all programme countries, with a view to reducing environmental degradation, inequalities and power imbalances, the risk of conflict, and multidimensional poverty among persons directly or indirectly affected by mining.

- Outcome 3 - Lessons, experiences and knowledge generated through the support of the EGP 2020-2023 at national and local level are promoted regionally and globally to advance the quality, coherence, implementation and monitoring of relevant Multilateral Environmental Agreements (MEAs) and Sustainable Development Goals (SDGs)

The overall evaluation objectives for this programme are:

- Assess the overall relevance, coherence, effectiveness, and efficiency of the programme, including the roles and responsibilities of UNDP and SwEPA respectively.
- Assess the extent to which the programme has achieved its planned outcomes and results, its impact and sustainability.
- Evaluate the progress of EGP towards achieving its objectives, identify and document key lessons related to challenges and successes in the design and implementation of EGP as well as if there is a rationale for a next phase of EGP.
- Formulate conclusions and recommendations as a basis for future discussions concerning the possible preparation of a proposal for a new phase of the intervention.

The Partnership for Strengthened Internal Environmental Governance within the United Nations System:

The Partnership for strengthened internal environmental governance has a single outcome:

- Outcome 4 - UN entities are reducing their negative environmental impact and maximising their positive environmental impact through a strengthened and more systematic internal governance of environmental performance.

The evaluation objectives for this programme are:

- Assess the overall relevance and effectiveness of the programme and the extent to which it has achieved its planned outcomes and results.
- Evaluate the progress of the programme towards achieving its objectives, identify and document key lessons related to challenges and successes in the design and implementation of the programme, as well as if there is a rationale for a next phase.
- Formulate conclusions and recommendations as an input to upcoming discussions concerning the possible preparation of a proposal for a new phase of the intervention.

The kick off meeting between the evaluation team and Sida in late October 2023 noted that it would be important to keep the evaluation of the two programmes distinct and to cluster the evaluation questions to simplify and reduce overlap. Based on the ToR and discussions held during the inception period it is proposed to cluster the evaluation questions into three main components as shown in the sections below:

Purpose	Evaluation question
Strategic relevance (Why)	Did the design and implementation of the programme respond to UN system needs and priorities, at interagency level and entity level respectively?
Results (What)	What worked, what didn't and why?
Cooperation approach (How)	Was the programme well managed?

This overall structure is then applied to each of the two programmes below.

3.1 EGP – mining

Within each of these are a number of areas of enquiry or potential indicators which are linked to the main questions and sub-questions presented in the ToR.

Strategic relevance - Did the design and implementation of the programme respond to the needs, policies, and priorities of the stakeholders?	
Areas of enquiry / indicators	Link to evaluation questions in the ToR
<u>Beneficiary needs</u> – the programme understood and aligned with the needs and priorities of the beneficiaries.	To what extent have objectives, design and implementation of the intervention responded to the needs, policies, and priorities of the beneficiaries', global, national and partner/institutions, and have they continued to do so if/when circumstances have changed?
<u>Partner policy alignment</u> – the programme is aligned to the policies and priorities of the global, national and partner/institutions.	
<u>Sida policy alignment</u> – the programme is aligned with Sida policies for international cooperation.	New.
<u>Flexibility</u> – The programme has been flexible and adapted to changing circumstances.	To what extent have objectives, design and implementation of the intervention responded to the needs, policies, and priorities of the beneficiaries', global, national and partner/institutions, and have they continued to do so if/when circumstances have changed?
Rationale: This main question looks at whether the programme targeted the right areas or in other words whether it did the right things. It measures this by pursuing four main areas of enquiry. The first is whether the programme made efforts to understand the final beneficiary needs and priorities and aligned to them. The second is whether the programme critically assessed and either aligned to the policies and priorities of partners or added value through, for example, developing an agenda for policy dialogue and change. The third is the alignment to Swedish policies for international cooperation with its focus on gender, human rights, and the perspective of poor people. Finally, the fourth examines the degree to which the programme was flexible in adjusting its approach when circumstances changed. The question responds to the OECD/DAC evaluation criterion of relevance.	

Results - What worked well, what didn't?	
Areas of enquiry / indicators	Link to the evaluation questions in the ToR
<p><u>Local empowerment</u> – Sub-national stakeholders effectively influence decision-making, monitor mining sector activities, and are able to hold responsible parties accountable i.e., stakeholders of EGP focus countries, supported by mechanisms and guidelines, have made advances within one or more of the seven themes (participatory environmental management (PEM), artisanal and small scale mining (ASM), climate change (CC), forest management, mine closure, human rights and environment, and gender equality)</p>	<p>Effectiveness: Is the intervention achieving its objectives? - To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups? Impact: What difference does the intervention make?</p> <p>To the extent possible to judge within the scope of this evaluation assess to what extent the EGP has generated, or is expected to generate, significant high-level positive or negative, intended, or unintended effects?</p>
<p><u>Normative environment</u> – National policies, implementation and administrative decision-making related to management of natural resources and socio-environmental risks in the mining sector are strengthened and expected to generate, significant high-level effects.</p>	
<p><u>Dissemination</u> – National and local level lessons, experiences, and knowledge from EGP phase 2 are promoted leading to quality, coherence, implementation, and monitoring of relevant MEAs and SDGs.</p>	
<p><u>Sustainability</u> – The net benefits of the EGP are likely to continue.</p>	<p>Sustainability: Will the benefits last? - To what extent will the net benefits of the EGP continue, or are likely to continue?</p>
<p><u>Environmental effects</u> – Environmental degradation in the mining sector is reduced or is likely to reduce at the global, national, and local level.</p>	<p>Assess the extent to which the programme has achieved its planned outcomes and results, its impact and sustainability.</p> <p>To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?</p>
<p>Rationale: This question covers evidence of results across the three outcomes. Although an ex-ante results framework with baseline and targets was not fully in place or reported on, a suitable framework was proposed as part of the preparation of a next phase which in essence was the basis for much of the reporting even if not formalised as a reporting framework. This framework thus offers a basis for retroactively assembling and structuring evidence of results against the three outcomes and is reflected in the first three areas of enquiry above. A fourth area is to examine the sustainability of the results achieved. And finally, evidence of any environmental effects will be gathered, for example, improvement in river water quality downstream of mining areas or improved occupational health and safety. Indirect, in the long term an improved environment and health of stakeholders involved is the ultimate goal of the programme. The findings in each of these areas will be accompanied by an analysis of the factors that could explain either success or</p>	

failure in reaching – this will look at factor both internal and external to the programme. The external factors will potentially inform the first question on strategic relevance and internal factors will provide evidence for the question on cooperation approach (see below). The question responds to the OECD/DAC evaluation criteria of effectiveness, sustainability and indirectly, impact.

Cooperation approach - Was the programme well managed?	
Areas of enquiry / indicators	Link to the evaluation questions in the ToR
<u>Coherence</u> – The programme was compatible and well-coordinated with other interventions in the countries and sectors where it is being implemented.	Coherence: How well does the intervention fit? How compatible has EGP been with other interventions in the countries and sectors where it is being implemented?
<u>Monitoring and learning</u> – The programme monitoring enabled early adjustment and learning	To what extent have lessons learnt from what works well and less well been used to improve and adjust intervention implementation?
	How and to what extent has the programme Learning and adaptive management system been designed and implemented and delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?
<u>Roles</u> – The Swedish environmental protection agency and UN development agency roles were complementary.	Efficiency: How well are resources being used? - How has the partnership between SwEPA and UNDP worked in terms of roles and mandates and how and to what extent has Swedish EPA’s unique competence (the experience and practises of an environmental governmental agency) been applied, including in the concrete implementation of the country programmes
<u>Programme management</u> – The management, procurement and financial control systems ensured efficient use of resources	Efficiency: How well are resources being used?
<u>Poverty and rights approach</u> – The programme has been implemented with a poor people’s perspective and a Human Rights Based Approach and considers linkages to conflict prevention and resolution.	Sustainability - To what extent has the programme been implemented in accordance with the poor people’s perspective and a Human Rights Based Approach? For example, have target groups been participating in programme planning, implementation and follow up? Could gender mainstreaming have been improved in planning, implementation or follow up?
<u>Gender mainstreaming</u> – Gender is mainstreamed in a way that leads to empowerment, partaking in decision-making by women and capacity to hold responsible parties accountable.	
Rationale: This question, reflecting on the strategic relevance and results will look at how well the programme was managed. This is important because in many ways it is where Sida and UNDP most easily adjust and enhance the attainment of objectives. The question looks both at design and implementation in practice. There are six areas	

of enquiry. The first four are linked to good programme management practice. The last two are related to how the programme applied the human rights, poverty, and gender aspects. The question responds to the OECD/DAC evaluation criteria of effectiveness, coherence, and efficiency.

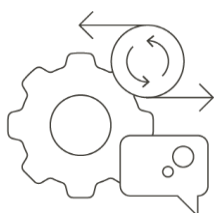
3.2 The EGP Partnership

Strategic relevance - Did the design and implementation of the programme respond to UN system needs and priorities, at interagency level and entity level respectively?	
Areas of enquiry / indicators	Link to evaluation question in the ToR
<u>Partner policy alignment</u> – the programme aligned to the policies and priorities of the UN system at interagency level and entity level	To what extent has the intervention objectives and design responded to UN system needs and priorities, at interagency level and entity level respectively?
<u>Sida policy alignment</u> – the programme aligned to Sida policies for international cooperation.	new
Rationale: This question looks at whether the programme targeted the right areas or in other words whether it did the right things. It measures this by looking at two main areas of enquiry. The first is where the programme aligned to the policies and priorities of UN system at interagency level and entity level and in that way institutionally supported its goals to enhance environmental governance. partners or added value through for example developing an agenda for policy dialogue and change. The second looks at the alignment to Swedish policies for international cooperation with its focus on gender, human rights, and the perspective of poor people. The question responds to the OECD/DAC evaluation criterion of relevance	

Results- What worked well, what didn't?	
Areas of enquiry / indicators	Link to the evaluation questions in the ToR
The partnership led to greening the UN programmes and projects ¹ in terms of environmental management systems, application of safeguards and integration of internal sustainability in annual Greening the Blue reports.	Effectiveness: Is the intervention achieving its objectives? - To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results?
<u>Environmental effect</u> – SUN is monitoring GHG emissions to travelling, environmental impact of waste from UN intervention and facilities and the impact on biodiversity.	Efficiency: To what extent is the partnership relevant to reach the objective of greening UN programmes and projects?
<u>Sustainability</u> – The net benefits of the EGP are consolidated and likely to continue.	Sustainability: Will the benefits last? - To what extent will the net

¹ We are aware that the safeguards and EMS might not have covered UNDP projects yet.

	benefits of the EGP continue, or are likely to continue?
Rationale: This question is related to evidence of the attainment of the programme outcome and the sustainability of what has been achieved once the programme stops. The question responds to the OECD/DAC evaluation criteria of effectiveness and sustainability.	
Cooperation approach - Was the programme well managed?	
Areas of enquiry / indicators	Link to the evaluation questions in the ToR
<u>Coherence</u> : – The programme was compatible and well-coordinated with other interventions in the UN	Coherence: How well does the intervention fit? - How compatible has the intervention been with other relevant initiatives and activities within the UN?
<u>Monitoring and learning</u> – The programme monitoring enabled early adjustment and learning	To what extent have lessons learnt from what works well and less well been used to improve and adjust intervention implementation?
<u>Roles</u> – the SwEPA environmental agency unique competences added value to the programme	How and to what extent has Swedish EPA’s unique competence (the experience and practises of an environmental governmental agency) been applied?
Rationale: This question, reflecting on the strategic relevance and results will investigate how well the programme was managed. This is important because in many ways it is where Sida and UNDP and most easily adjust and enhance the attainment of objectives. The question covers the design and implementation in practice. There are three areas of enquiry linked to coherence, monitoring and learning and the extent to which SwEPA was able to play a role that made use of its special competence. The question responds to the OECD/DAC evaluation criteria of coherence and efficiency.	



4 Proposed approach and methodology

In this section we present our overall approach, the design and conceptual framework of the evaluation, and the data collection strategies that will be applied.

4.1 Overall approach

In this section we present the design and conceptual framework of the evaluation, and the data collection strategies. The evaluation at an overall level applies the OECD/DAC criteria but as explained in section chapter 3, the evaluation questions and areas of enquiry are clustered into three main components.

To ensure a high level of utility and provision of solid evidence, a mixed method approach is suggested including document review, stakeholder mapping, virtual and face-to-face interviews combined with focus group discussions (FGD), surveys and observations in the target mining locations.

To ensure both independence and stakeholder ownership, the evaluators will:

- i) Triangulate information (qualitative and quantitative) from different sources,
- ii) Balance and present all the perspectives of different types of stakeholders, and
- iii) Keep an ongoing dialogue with Sida GLOBEN, SwEPA and UNDP.

The evaluation is utilisation-focused and will be conducted and reported to meet the needs of the intended users. The evaluators plan to achieve stakeholder cooperation by:

- Engaging stakeholders in reflecting upon their needs and those of the constituencies they serve, the challenges they have faced and overcome in cooperation with support from EGP Phase 2, as well as identification of the key drivers of positive change.
- Providing UNDP HQ and CO staff with the opportunity to identify and present evidence of the key results documented in the programming they have implemented with EGP Phase 2 support as well as to provide input on the key evaluation findings through a validation meeting (noting that where there is disagreement on these findings, the report will note both perspectives).

In the inception phase the evaluation team has carried out interviews with key programme staff at Sida GLOBEN, SwEPA, UNDP, and UNEP programme managers and focal points in the 9 countries. This has contributed to clarify expectations and given insight into key challenges in the implementation and what are considered to be some of the main results. This information has been used to refine the design of the evaluation.

The inception report was presented at a virtual meeting with the intended users of the evaluation on 23 November 2023. This will give an opportunity to discuss and comment on the inception report which will contribute to strengthen the evaluation design and to secure participation and stakeholder engagement.

There will also be a validation meeting planned for 8 February 2024 on preliminary findings and lessons and a workshop during which the findings, lessons, conclusions, and recommendations of the evaluation will be presented and discussed. The purpose of this validation meeting is to get feedback from the intended users as well as the UNDP focal points who will also be invited.

The evaluation team will keep Sida, SwEPA, UNDP, and UNEP informed and updated at HQ level and will also ensure that the two visits and two in-depth country study focal points are informed. The programme managers will ensure in turn that other stakeholders are informed as needed. The country visits are outlined in more detail in section 4.3.

NIRAS is committed to **key working principles** outlined in the box below and that will be applied throughout the evaluation.

- **Evidence based.** We evaluate based on evidence collected through, for instance, document review, narrative sessions, interviews, focus group discussions, case studies, and sex-disaggregated data collection.
- **Quality.** We strive for our evaluation processes and products to have high quality. Quality is about utility, credibility, and impartiality. The latter involves independence, fairness, and professional integrity.
- **Methodological rigour.** We make use of uniform formats for notes, method guides, updates, and hold team discussions to maintain the flow of information. The synthesising of data cross-validates the information sources and critically assesses the validity and reliability of the data. The evaluation report describes the sources of information used in sufficient detail so that the adequacy of the information can be assessed.
- **Process approach.** Reviews and evaluations are processes rather than single events. An evaluation should offer space for reflection, learning and, if necessary, agreed adjustments. Information and accumulation of knowledge during the process may bring new perspectives. Therefore, methodological, and analytical frameworks defined during the inception phase of the assignment should not serve as rigid blueprints, but flexible guidelines, open for bringing in new perspectives that may emerge during the evaluation.
- **Ethics.** Sensitive data – including business and financial related information - will be protected and should not be traceable to its source. The evaluation report will not reveal the names of sources and will conceal identities of persons or organisations as relevant by using abstraction. Confidentiality of the stakeholders and beneficiaries involved in the evaluation will be assured. The evaluation team will ensure safeguarding principles in all consultations with different stakeholders and beneficiaries, and in particular with rights-holders, and to follow the UN Evaluation Group (UNEG) Guideline on Ethics in Evaluation outlining the ethical principles for evaluation.
- **Systematic and clear communication.** Active and transparent communication and sharing of information are fundamental for useful evaluation processes and products.
- **Gender equality, equity group and human rights perspectives.** This means recognising that related inequalities are structural and systemic; understanding and identifying discriminatory patterns and barriers through disaggregated data collection; recognising the unique perspectives and contributions of diverse equity groups and providing recommendations to add value to those who are living under marginalised conditions as well as to those implementing programmes. The evaluation team will be guided by **gender sensitive and rights-based principles throughout the evaluation process**, ensuring that all stakeholders understand the purpose of the evaluation and how the information they share will be used. The set up and implementation of FGDs will take power relations within and between groups into consideration and the evaluation team will ensure as far as possible, that all consultations take place in safe spaces without by-standers.

4.2 Analysis of the Theory of Change

Document review and interviews during the inception phase has shown, that the programme document for EGP 2020 – 2023 did not have a conventional results framework as it was envisaged to apply an adaptive approach to implementation rather than a results-based one. In practice this approach did not tally with the requirements for programme implementation in UNDP and the implementation was based on annual workplans which followed a UNDP template and a programme document was developed by UNDP following its guidelines. As there was no overall results framework, reporting was mostly done through change stories. The reporting followed the seven thematic areas of EGP Mining which are PEM, ASM, climate change, forest management, mine closure & remediation, gender equality and lastly human rights and environment. For 2024 a proposal for extension has been elaborated, which has a thorough results framework that is in line with the programme document 2020 – 2023 and reflects the actual

implementation since 2020.² After consultation with the intended users it has been agreed to use a retroactive method to be able to assess the programme’s outputs and achievement of outcomes and impact whereby the progress is assessed according to the activities, outputs, and outcomes in the proposal for extension.³

The theories of change (ToC) for the two sub-programmes, namely EGP Mining and The EGP Partnership have been elaborated using this approach. The ToC however is based on the adapted UNDP programme document where the outputs are not so elaborate regarding the EGP Mining sub-programme. The evaluation matrix in Appendix 2 also reflects this retroactive approach.

Figure 2 depicts the ToC for the overall programme which shows how the strengthening of governance structures, and the level of awareness and knowledge-level of stakeholders are key to informed decision-making leading to sustainable, equitable, transparent and non-discriminatory governance of natural resources. Figure 3 and figure 4 depict the ToC for the two sub-programmes.

Figure 2 Overall EGP theory of change



² Proposal for prolongation of Environmental Governance Programme 2024

³ Proposal for prolongation of Environmental Governance Programme 2024

Figure 3 Reconstructed theory of change for the EGP Mining Sub-programme

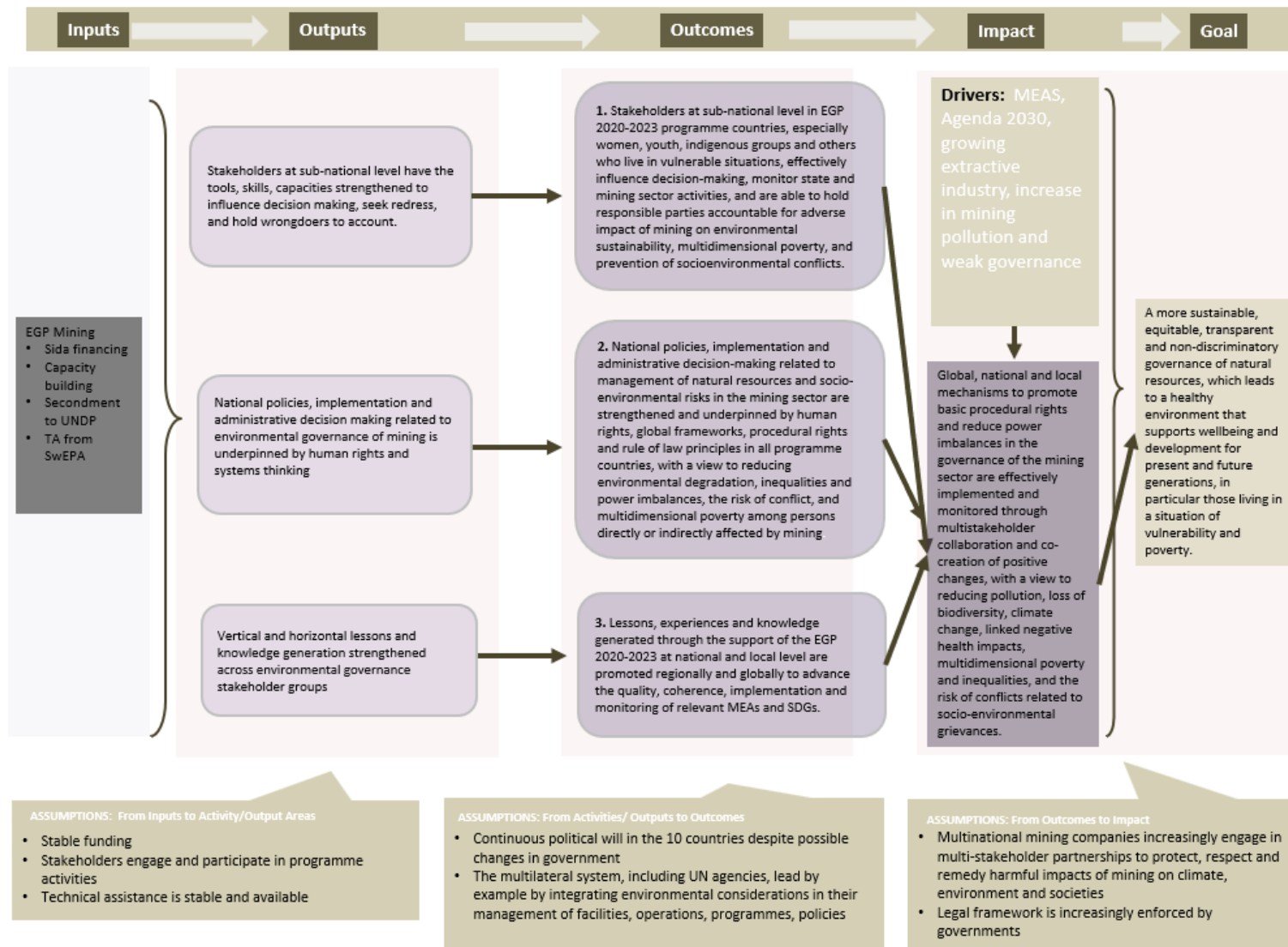
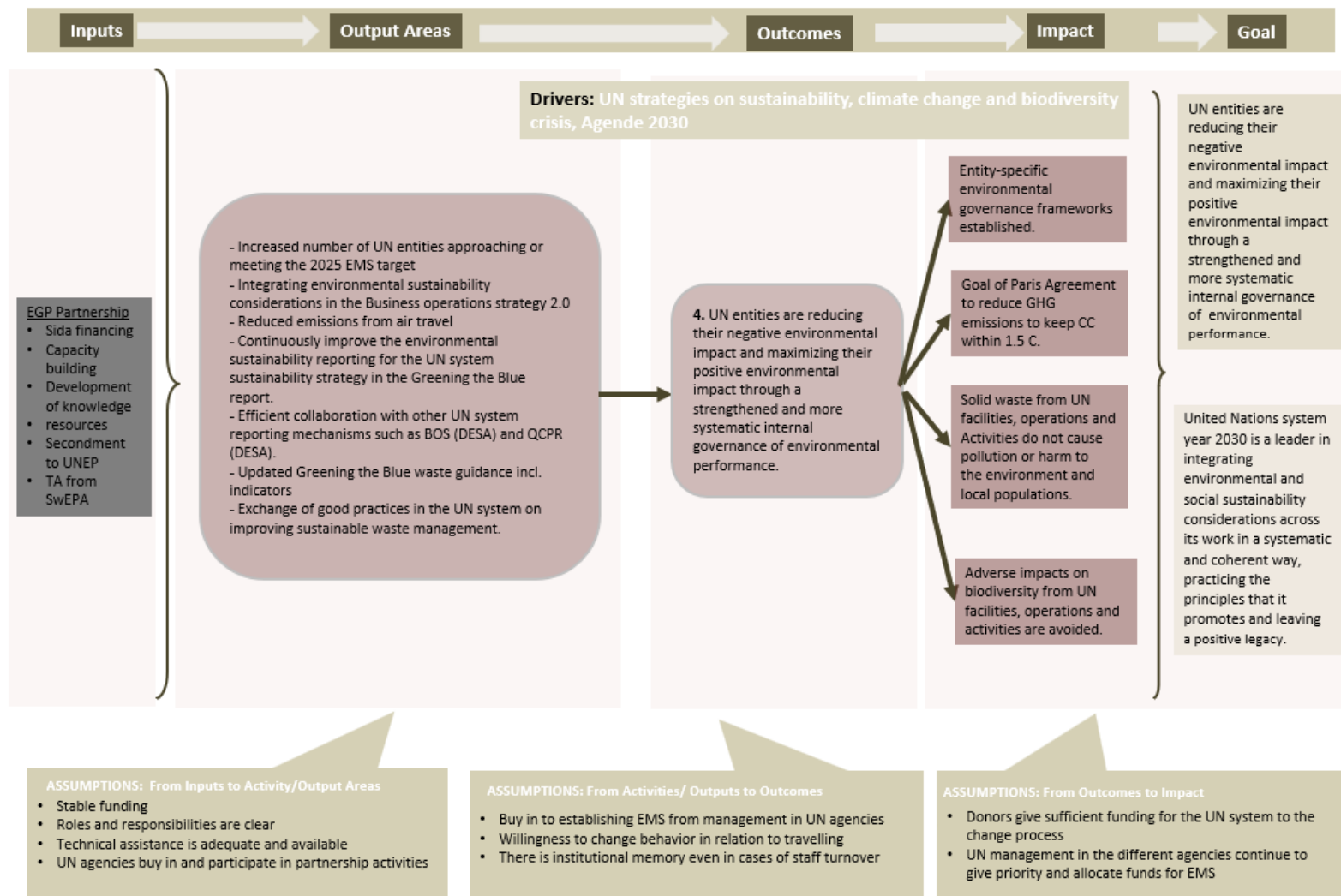


Figure 4 Reconstructed theory of change for the EGP Partnership sub-programme





4.3 Data collection and evaluation methods

The Environmental Governance Programme (EGP) for Sustainable Natural Resource Management, focusing on the mining sector

The evaluation of the EGP-Mining will take up 80% of the workload of the evaluation team. A combination of different methods will be used in this evaluation:

- Desk study and stakeholder mapping
- Data collection and participants interviews
- Remote in-depth country studies
- Country case studies in Kenya and Zambia with observations
- Contribution analysis/case or thematic studies to document results.

During the inception phase, the evaluators initiated the desk study and the stakeholder mapping, and the lists of documents consulted and key informants can be found in Appendices 3 and 4. The inception interviews carried out with Sida, SwEPA, UNDP, and UNEP staff have assisted in identifying key points which will be touched upon and analysed further in the data collection interviews e.g., on cooperation, the role of SwEPA in relation to technical assistance and the documentation of environmental effects. The interviews will be semi-structured based on the questions in the evaluation matrix developed for each sub-programme. The questions will be selected and formulated according to the role of the key informants in the programme and sub-programmes. They are planning to be about 45 minutes long and will take place via online platforms, except for the interviews in the countries to visit. Some interviews might be shorter when the objective is to follow up or to ask for specific data. It is expected to conduct about 50 interviews in the course of the evaluation.

For the in-depth country studies, Liberia and Columbia have been selected. The primary reason being that Sweden already has bilateral programs with these two countries. The in-depth country studies will rely on desk review and online interviews. It is expected to be able to interview at least 5 and hopefully up to 10 stakeholders in each country from both national and local level e.g., UNDP focal points, government institutions such as the environment protection agencies, members of PEM committees, civil society organisations working with mining, environment and/or human rights, other donor agencies, artisanal miners and representatives of people affected by mining. For the interviews in Columbia, the evaluators will be able to conduct interviews in Spanish and will resort to support from UNDP for interpretation if needed. The in-depth country studies will provide an opportunity to examine the seven thematic areas more closely.

The country visit to Kenya are expected to take place from 4 – 8 December and the visit to Zambia from 11 – 15 December. It is expected that 1 – 2 days will be focused on interview in the capitals with UNDP staff and other key stakeholders such as other relevant UN and donor agencies and implementing partners. About 3 days are set aside in each country to interview stakeholders at the local level in the target districts and locations. It is expected that 15 – 20 key informants will be interviewed in each country, including Focus Group Discussions (FGD). The FGDs are expected to be carried out in two different situations. Firstly, the visits to the mining areas will give

opportunity to interview groups of ASMs, women or youth depending on the context and specific situation when the visits take place. Secondly, FGDs are expected to be organised online in relation to thematic case studies with focal points or other stakeholders from countries which are working with themes e.g., gender, climate change, PEM or other theme which will be selected for case studies. The interviewees will be UNDP focal points and staff involved in capacity building and the production of knowledge

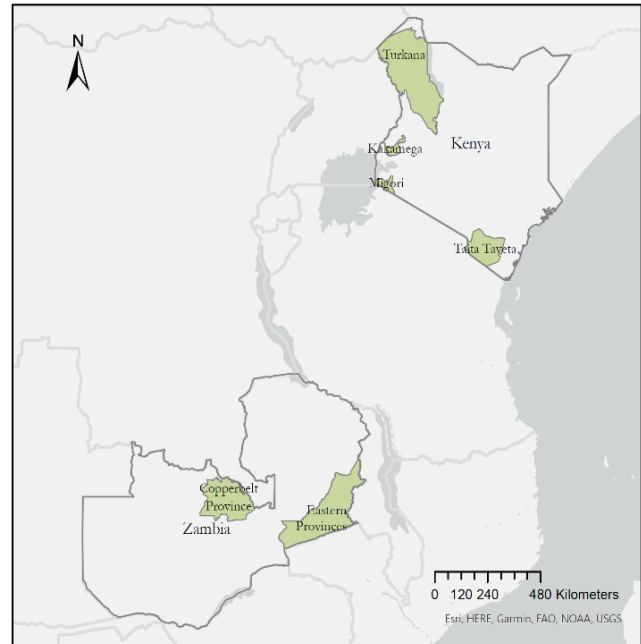


Figure 5: EGP focus areas in Kenya and Zambia

products, government institutions such as the environment protection agencies, ministry responsible for mineral resources and mining, donor agencies, civil society organisations working with mining, environment and/or human rights, mining companies, artisanal miners and people affected by mining. Figure 5 shows the four locations in Kenya and two districts in Zambia the EGP has focused on. Also, these country visits will assist in identifying cases for thematic studies within the seven focus areas.

For the remaining six countries, online interviews will be focused on confirming and validating information and findings from the desk study.

The strength of the contribution analysis depends on the clarity and validity of the theory of change. It takes observed change as its point of departure and attempts to explain whether and how a certain intervention or programme has contributed to change. The changes observed, especially those from the in-depth country studies and country visits where more detailed information and data is expected to be collected, will be described in thematic studies on the seven thematic areas. They will be analysed in terms of the extent to which they can be attributed to the EGP Mining sub-programme.

The team members split their working days over the activities under the EGP Mining sub-programme. All three team members will conduct online interviews with the country focal points. Malene Wiinblad and Johanna Pfaffenzeller will conduct the field missions in Kenya and Zambia. Eric Buhl-Nielsen will, together with Malene Wiinblad, focus on the desk reviews, especially the review of the UNDP local staff and local partners of the two in-depth study countries. Eric Buhl-Nielsen and Malene Wiinblad will furthermore conduct the online interviews with the interviewees from the in-depth study countries.

The Partnership for Strengthened Internal Environmental Governance within the United Nations System

The evaluation of the Partnership for strengthened environmental governance within the UN system will take up 20% of the workload and will focus mainly on relevance and effectiveness but questions on coherence, efficiency and sustainability are also included. As the component is on mainstreaming direct impact is not included.

A combination of different methods will be used in this evaluation:

- Desk study and stakeholder mapping
- Data collection and participants interviews
- Survey
- Contribution analysis/case or thematic studies to document results.

During the inception phase, the evaluators initiated the desk study and the stakeholder mapping, and the lists of documents consulted and key informants can be found in Appendices 3 and 4. The inception interviews carried out with Sida, SwEPA, UNDP, and UNEP staff have assisted in identifying key points which will be touched upon and analysed further in the data collection interviews e.g., on cooperation, the role of SwEPA in relation to technical assistance and the documentation of setting up EMS and improved environmental reporting. The interviews will be semi-structured based on the questions in the evaluation matrix. The questions will be selected and formulated according to the role of the key informants in the programme. They are planning to be about 45 minutes long and will take place via online platforms. Some interviews might be shorter when the objective is to follow up or ask for specific data. It is expected to conduct 12 - 17 such interviews in the course of the evaluation.

In relation to the EGP Partnership a questionnaire survey will be carried out among staff at the involved UN agencies. The survey will cover all the 55 UN agencies targeted. However, according to inception interviews it can be expected that a maximum of 30 – 40 of these will reply. This is due to low or no participation from 10 – 15 of these agencies. The evaluation team finds that these agencies should be given the chance to inform why they have not yet been participating. On the other hand, if many of these agencies do not reply to the survey, the analysis of participation should take this into account.

A contribution analysis will be carried out in a similar way as described above, identifying changes in relation to mainstreaming of environment into strategies,

plans and interventions of the UN agencies, improvement of Greening the Blue reporting, documentation of reduced GHG emission because of limiting staff travelling, improved waste management leading to less pollution and initiatives taking to consider biodiversity in the planning and implementation of interventions.

The team members split their working days over the activities under the EGP Partnership sub-programme. Johanna Pfaffenzeller will, with the support of Eric Buhl-Nielsen, develop and conduct the survey. Furthermore, the desk review under this sub-programme and the online interviews will be performed by Eric Buhl-Nielsen and Johanna Pfaffenzeller.

4.4 Data validation, triangulation, and synthesis

During the synthesis phase, the team will analyse all information collected to provide a clear answer to key evaluation questions, and on this basis, to draw overall conclusions and formulate lessons and recommendations. This stage will comprise the following tasks:

- Triangulation of information to check its validity and to let key issues emerge.
- Cross-fertilisation by team members offering their specific perspective on each evaluation question.
- Consult SwEPA and Sida on potential remaining questions and issues.
- Elaborate practical and implementable recommendations.

The draft final report will then be compiled and submitted for comments in mid-March. The team will consider all comments on the draft report and where appropriate, incorporate them in the final report, and when not incorporating the comments, explain the reason for this. This process is important for ensuring an unbiased evaluation report. The final report will be submitted for approval at the end of March and presented through a workshop. See also the work plan in chapter 6.

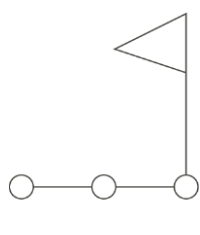
4.5 Limitations

We identify the following limitations at the time of the inception phase:

Table 3: Overview of the Limitations

Limitations	Mitigation measures
<p>Data Availability and Quality – A SharePoint site has been set up by NIRAS where SwEPA has been sharing relevant documents. During inception interviews key informants have also shared links to further information. The main point to clarify about data availability is regarding the planning of the country visits and meeting with local stakeholders which might prove difficult. It can also be a challenge to get information from government institutions e.g., in relation to monitoring of environmental data and</p>	<p>We have designed the stakeholder- and programme-specific data collection instruments in an accessible way and with no jargon (in particular, semi-structured interview questionnaires and focus group discussion guides) with the aim of facilitating the collection of information. Financial data will be obtained through interviews with UNDP financial management staff, SwEPA financial management staff and Sida.</p>

<p>mining pollution. Data related to financial management of the EGP and amount of funding allocated to specific programming through the funding SwEPA and UNDP has received from Sida to implement the EGP 2020 – 2023 is also envisaged to require some effort.</p>	
<p>The concepts of attribution and contribution - These concepts are central methodological issues in all evaluations. In some cases, it will be difficult to demonstrate a clear causal link between Sida / SwEPA contributions and policy/ strategies/ behaviour/ public service changes although it is often possible to find indicators of related influence. This can particularly show to be the case in this programme due to the absence of a result-based framework in the design of the programme in 2019.</p>	<p>The team will use interviews to identify and triangulate evidence and apply a contribution analysis. A retroactive approach has been applied in alignment with the current implementation practice which applies the proposed results framework to the implementation of the last four years.</p>
<p>Availability of people for interviews, meetings and focus group discussions - Access to communities and community-based organisations (CBOs) which are affected by the mining activities can be difficult as mining often takes place in remote areas. For the evaluation it is important to get data and information from these stakeholders to be able to assess the effectiveness, impact, and sustainability of EGP-Mining.</p>	<p>While we will do our best to meet and learn from the people and organisations of importance for this evaluation, there still may be situations where this is not possible. We will highlight these in the final report, as well as any implication on the reliability and representativity of the findings. UNDP focal point in Kenya and Zambia will arrange the travel to the focus locations and meetings with key informants.</p>
<p>Use of an Empowerment Lens - It is key to analyse in what ways the EGP programme has directly contributed to the empowerment of programme beneficiaries from equity groups and the general public as well as in what ways institutions have been empowered to act and adopt more inclusive and effective in relation to environment governance, in particular mining activities. How robust the findings related to the empowerment of programme beneficiaries, i.e., people affected by mining activities, are, will depend upon how many focus group discussions and interviews are possible to hold within the time and resource parameters of the evaluation and how representative these FGDs are of the programme beneficiaries.</p>	<p>The team will work closely with Sida, SwEPA and UNDP to find a way to ensure sufficient levels of beneficiary participation. There will be a need to triangulate this data through Key Informant Interviews (KIIs) with a wide range of different stakeholders, many of whom are also direct beneficiaries of Sida-funded programming. These KIIs will also provide data on the extent of and ways in which these institutional stakeholders have been empowered to work more effectively in areas of work related to inclusive water governance. Changes and progress will be compared with overall country indices on gender inequality, human rights & governance, and Extractive Industries Transparency Initiative (EITI) reports. UNDP focal point in Kenya and Zambia will arrange the travel to the focus locations and meetings with key informants.</p>



5 Milestones and deliverables

The evaluation will include the milestones presented in the table below (see more details in Section 6 Work Plan).

What	Who	When (ToR)	When (suggestion in tender)	Revised suggestion by the evaluation team
Start-up meeting (virtual)	Evaluation team, Sida, SwEPA, UNDP	October 2023	24 October 2023	27 October 2023
Draft inception report	Evaluation team	Tentative November 2023	24 Oct – 8 Nov 2023	27 Oct - 13 Nov 2023
Submission of draft inception report	Evaluation team		9 November 2023	16 November 2023
Inception meeting (virtual)	Evaluation team, Sida, Swedish EPA, UNDP	Tentative November 2023	13 November 2023	23 November 2023
Comments to inception report	Intended users	Tentative November 2023	17 November 2023	24 November 2023
Submission of final inception report	Evaluation team		21 November 2023	28 November 2023
Data collection, analysis, report writing and quality assurance	Evaluation team	November 2023 – January 2024	End-November 2023 – End of January 2024	End-November 2023 – Start of February 2024
Debriefing/validation meeting	Relevant stakeholders and key informants	February 2024	8 February 2024	8 February 2024
Submission of draft evaluation report	Evaluation team	Tentative February 2024	11 March 2024	11 March 2024
Workshop on lessons, conclusions, and recommendations	Intended users of the evaluation (Sida, SwEPA, UNDP, SUN)		18 March 2024	18 March 2024
Comments to final report	Intended users	Tentative March 2024	20 March 2024	19 March 2024
Submission of the final evaluation report	Evaluation team	March 2024	22 March 2024	22 March 2024

6 Work plan

Workplan	2023												2024								Work days					
	October		November				December				January				February				March				EBN	MWI	JP	Total
	w43	w44	w45	w46	w47	w48	w49	w50	w51	w52	w1	w2	w3	w4	w5	w6	w7	w8	w9	w10	w11	w12	30	28	25	83.8
Inception phase																							5.5	3.5	2.5	12.3
Start up meeting (virtual)	27-Oct																						0.25	0.25	0.25	0.75
Desk review and methods development																							2	2	1	5
Draft inception report				14-Nov																			3	1	1	5
QA of draft inception report and submission				16-Nov																						0
Inception meeting (Virtual)					20-Nov																		0.25	0.25	0.25	0.75
Comments to inception report from intended users					24-Nov																					0.75
Submission of final inception report						28-Nov																				
Data collection phase																							16	20	21	57
<i>The Environmental Governance Programme (EGP) for Sustainable Natural Resource Management (80%)</i>																						7	20	13	40	
Desk review																							3	2		5
Interviews online																							2	2	2	6
Visit to UNDP CO, partners and stakeholders in Kenya and Zambia																								11	11	22
In-depth desk reviews of UNDP local staff and local partners in 2 countries																							2	5	0	7
<i>Partnership for Strengthened Internal Environmental Governance within the United Nations System (20%)</i>																						9	0	8	17	
Survey with UN agencies																							2		4	6
Desk review																							3	0	2	5
Interviews online																							4	0	2	6
Analysis and reporting phase																							8.5	4.5	1.5	14.5
Debriefing/ validation meeting															08-Feb								0.25	0.25	0.25	0.75
Draft report																							6	4	1	11
QA on draft report and submission																				11-Mar						0
Online workshop on lessons, conclusions and recommendations																					18-Mar		0.25	0.25	0.25	0.75
Final report																						22-Mar	2			2

Appendix 1: ToR

Terms of Reference for the Evaluation of the Environmental Governance Programme Phase 2, 2020 – 2023. Final Project Evaluation

Date 2023-09-25

1. General information

1.1 Introduction

Sida supports, under one agreement, the Swedish Environment Protection Agency's (SEPA) collaboration with UNDP regarding environmental and human rights aspects of mining, and SEPA's collaboration with UNEP regarding UN system's internal environmental governance (Environmental Governance Programme Phase 2 2020-2023). The agreement is financed by the Global Strategy for Environment, Climate and Biodiversity with a total of 88 MSEK (22 MSEK/year) for the period 2020-2023.

According to the agreement between Sida and SEPA, the Sida supported activities shall be evaluated during the last year of implementation. The evaluation is planned to be performed during Q4 2023 and Q1 2024. The results and recommendations from the evaluation will guide the parties' discussions during 2024 regarding if a proposal for a new phase of the programme should be prepared or not, and if so, how the programme should be constructed. Sida and SEPA have agreed to extend the present agreement up to December 31, 2024, to allow for such a process.

1.2 Evaluation object: Intervention to be evaluated

The programme to be evaluated is the Sida funded Environmental Governance Programme Phase 2. The programme started with its first phase 2014–2019 and is now in its second phase 2020–2023, of which the latter period is to be evaluated.

In Phase 1 the Global Programme, then entitled “Strengthening Environmental Governance for Sustainable Natural Resource Management Global Programme” consisted of four sub-programmes. Phase one was evaluated in 2019, evaluation and management response available in the document list.

The present phase, Phase 2, consists of two separate parts. Both are continuation of two of the sub-programmes from phase 1. The other sub-programmes were discontinued. The two sub-programmes are managed separately, under one agreement with Sida and a joint Programme manager at Swedish EPA, but with different implementing teams and partners.

The Environmental Governance Programme (EGP) for Sustainable Natural Resource Management, focusing on the mining sector “EGP Mining” is jointly implemented by the Swedish Environmental Protection Agency (SEPA) and United Nations Development Programme (UNDP) and programmes about 85 % of the budget.

Partnership for Strengthened Internal Environmental Governance within the United Nations System, implemented by SEPA in collaboration with Sustainable UN (SUN) and EMG Secretariat of the UN Environment Programme (UNEP), aims to support a strengthened and more systematic internal governance of environmental performance within the UN system, in line with the UN Sustainability Strategy 2020-2030.

This sub-programme consists mainly of staff costs that provide technical support to UN agencies (about 15 % of the budget)

The total programme budget for four years is 88 MSEK out of which 40 MSEK is transferred to UNDP. 48 MSEK is used by SEPA for programme coordination and management and for SEPA's engagement in programme activities, including approximately 3,5 MSEK/year for strengthening the internal environmental governance within UN.

The evaluation object is the whole Environmental Governance Programme, i.e. the two sub-programmes. Objectives, theory of change, target groups etc are described for respective sub-programme, below.

Environmental Governance Programme (EGP) for Sustainable Natural Resource Management:

The objectives of EGP-mining, in the programme document, are formulated as three directional goals.

Outcome 1

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

Outcome 2

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

Outcome 3

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

For each of these, a theory of change has been formulated. Please refer to § 3.1 in the Programme document (Proposal to Sida)

Theory of change

An overarching theory of change has been summarised as:

WE BELIEVE THAT IF...



...and...



...and...



...THEN...



...this would contribute to a more sustainable, equitable, transparent and non-discriminatory governance of natural resources, which leads to a healthy environment that supports wellbeing and development for present and future generations, in particular those living in a situation of vulnerability and poverty.



The target group for EGP Mining consists of the stakeholders of mining governance including ministries of mining and environment, environmental protection agencies, local governments, academic institutions, civil society organisations, local communities, and mining associations. Ultimately the target group is the population affected by or involved in mining.

The point of departure when formulating EGP Phase 2 was a system understanding which aimed at creating an integrated programme with a coherent thematic focus. EGP 2020-2023 focuses on mining from a wider systems perspective. This involves: considering the connections with other relevant thematic areas, sectors and effects within the wider system; ensuring that all stakeholders are included at the very beginning of all processes; and working in partnerships to address complex and interdependent challenges to peace and human security, human rights, and all aspects of development (economic, social, cultural, political and environmental). In its essence, the systems approach brings together interviews, dialogue, openness to perspectives from public and private sectors, and people at all levels of an institution's hierarchy to solve complex issues such as administrative challenges in environmental governance of mining.

Integrating cross-cutting issues and a multistakeholder approach has been at the core of formulating the 10 EGP country programmes.

Swedish EPA is the overall programme management under the agreement with Sida and is responsible for follow up and financial and narrative reporting of activities and results to Sida. A cost sharing agreement between UNDP and SEPA has been signed. UNDP receives 10 MSEK/year from the project budget out of which 6 MSEK is transferred to UNDP country offices.

UNDP is responsible for coordinating and implementing the country programmes and for global level policy development involving UN agencies. UNDP is responsible for financial and narrative reporting to SEPA of the funds forwarded to UNDP in accordance with the agreement with SEPA. SEPA is expected to, when relevant, support UNDP HQ and country offices in planning and implementation of the global and country executed activities. The purpose of this model of joint management is to efficiently use the different strengths and expertise within the two organisations for enhanced management and results.

Specific issues/challenges that the evaluator should be aware of are how to integrate Swedish EPA technical support in the implementation of country programmes and the interconnection between global (programme-overarching) activities and country-level implementation.

For further information, the intervention proposal is attached as Annex D.

The intervention logic or theory of change of the intervention may be further elaborated by the evaluator in the inception report, if deemed necessary.

Partnership for Strengthened Internal Environmental Governance within the United Nations System:

The project supports the implementation of UN Sustainability Strategy 2020-2030⁴, and specifically the following goals:

- By 2025, all United Nations entities have implemented an environmental management system at the entity level, including environmental targets.
- 100 per cent of UN entities apply safeguards to their programmes by 2030.
- 100 per cent of annual reports in United Nations entities integrate progress on internal sustainability (safeguards, environmental management system, Greening the Blue).

The project focusses on strengthening the UN system interagency coordination and support functions for implementing environmental sustainability issues across the UN system. The UNEP hosted Sustainable UN (SUN) facility is responsible for internal environmental sustainability within UN system facilities and operations, and the Environmental Management Group (EMG) is responsible for mainstreaming environmental issues. Working together with these partners, the target groups are the UN system entities as a whole i.e. 55 UN organisations and the staff working with implementation of environmental issues.

The project budget consists mainly of a staff on loan to Sustainable UN (salary and reimbursable costs occurring with the employment covered), and other technical staff from Swedish EPA and the Swedish Transport Administration. The project gives technical support and advise to processes already under implementation or planned by the UN system and does not supply programme funds to the UN agencies. UN staff is involved within their employment by UN.

For further information, the Project Plan for the Partnership for Strengthened Internal Environmental Governance is available in the list of project documents.

The intervention logic or theory of change of the intervention may be further elaborated by the evaluator in the inception report, if deemed necessary.

1.3 Evaluation rationale

According to the agreement between Sida and SEPA, the Sida supported activities shall be evaluated during the last year of implementation. The evaluation is planned to be performed during Q4 2023 and Q1 2024. The results and recommendations from the evaluation will guide the parties' discussions during 2024 regarding if a proposal for a new phase of the programme should be prepared or not, and if so, how the programme should be constructed. Sida and SEPA have agreed to extend the present agreement up to December 31, 2024, to allow for such a process.

2. The assignment

2.1 Evaluation purpose: Intended use and intended users

⁴ UN Sustainability Strategy 2020-2030 [N1915695.pdf \(un.org\)](#)

The purpose of the evaluation is to help Sida, Swedish EPA and implementing partners to assess the achievements of the Environmental Governance Programme phase 2 during 2020-2023. The evaluation will:

- Provide empirical knowledge on what has worked well and less well and provide Sida and partners with input to upcoming discussions concerning possible preparations for a new phase of the intervention.
- Serve as an input for Sida to a decision on whether the programme shall receive continued funding from the Global Strategy or not.

The primary intended users are Sida's unit for global environmental programmes (GLOBEN) and Swedish EPA.

In the case of EGP-Mining the intended user is UNDP Headquarters and Country offices and in the case of Partnership for Sustainable UN the intended user is UNEP unit's SUN/EMG.

The evaluation is to be designed, conducted and reported to meet the needs of the intended users and tenderers shall elaborate in the tender how this will be ensured during the evaluation process.

During the inception phase, the evaluator and the users will agree on who will be responsible for keeping the various stakeholders informed about the evaluation.

2.2 Evaluation scope

The main evaluation object is **The Environmental Governance Programme (EGP) for Sustainable Natural Resource Management**, focusing on the mining sector (in brief, EGP-Mining), implemented by Swedish EPA in collaboration with UNDP and corresponds to the Outcome areas 1-3 in the programme document. This part of the evaluation should constitute app. 80% of the budget/work.

The Environmental Governance Programme on Mining aims to strengthen the environmental governance of the mining sector with a specific focus on addressing linked and complex socio-environmental risks. It takes a human-rights based and multi-stakeholder approach that spans across all relevant sectors and stakeholders. It is jointly managed by SEPA and UNDP and implemented in collaboration with other UN agencies and international and Swedish organisations.

In Phase 1 targeted support was provided to four countries: Colombia, Mongolia, Kenya and Mozambique. EGP's Phase 2 provides targeted support to stakeholders in ten countries: Argentina, Colombia, Ecuador, Kenya, Kyrgyzstan, Liberia, Mongolia, Namibia, Peru and Zambia.

The evaluation should cover the programme period from its start in January 2020 until the period contemporary with the evaluation. This part A of the evaluation will cover outcome 1 – 3 and include all countries involved. At least 2 specific countries will be selected by the evaluator for digital in-depth reviews of UNDP local staff and local partners. The evaluators shall in addition to these partner countries also visit the UNDP country offices in Kenya and Zambia to meet with UNDP staff as well as with relevant partners and stakeholders. Virtual interviews will be held with relevant managers and staff at UNDP headquarters.

The second evaluation object is **Partnership for strengthened environmental governance within the UN system**, part of the Environmental Governance Programme phase 2, 2020-2023. This part of the evaluation should constitute app. 20% of the budget/work.

The evaluation should cover the programme period from its start in January 2020 until the period contemporary with the evaluation. This part B of the evaluation will consider Outcome 4 of the programme. Target groups are Sustainable UN, EMG, responsible policy-makers for the UN Sustainability strategy, UN agencies and staff involved in the activities under the project.

The target groups have good internet connection so the evaluation may be conducted as a desk study of documents and interviews with international partners by online meetings.

If needed, the scope and the division of resources between the two evaluation objects of the evaluation may be further elaborated by the evaluator in the inception report.

2.3 Evaluation objective: Criteria and questions

The Environmental Governance Programme (EGP) for Sustainable Natural Resource Management

The objectives of this part of the evaluation are to:

- Assess the overall relevance, coherence, effectiveness and efficiency of the programme, including the roles and responsibilities of UNDP and SEPA respectively.
- Assess the extent to which the programme has achieved its planned outcomes and results, its impact and sustainability.
- Evaluate the progress of EGP towards achieving its objectives, identify and document key lessons related to challenges and successes in the design and implementation of EGP as well as if there is a rationale for a next phase of EGP.
- Formulate conclusions and recommendations as a basis for future discussions concerning the possible preparation of a proposal for a new phase of the intervention.

In order to accomplish the desired objectives, the evaluation will aim at answering the following key guiding questions.

Relevance: Is the intervention doing the right thing?

- To what extent have objectives, design and implementation of the intervention responded to the needs, policies, and priorities of the beneficiaries', global, national and partner/institutions, and have they continued to do so if/when circumstances have changed?
- To what extent have lessons learned from what works well and less well been used to improve and adjust intervention implementation?

Coherence: How well does the intervention fit?

- How compatible has EGP been with other interventions in the countries and sectors where it is being implemented?

Effectiveness: Is the intervention achieving its objectives?

- To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups?

- How and to what extent has the project Learning and adaptive management system been designed and implemented and delivered robust and useful information that could be used to assess progress towards outcomes and contribute to learning?

Efficiency: How well are resources being used?

- How has the partnership between SEPA and UNDP worked in terms of roles and mandates and how and to what extent has Swedish EPA's unique competence (the experience and practises of an environmental governmental agency) been applied, including in the concrete implementation of the country programmes?

Impact: What difference does the intervention make?

- To the extent possible to judge within the scope of this evaluation assess to what extent the EGP has generated, or is expected to generate, significant high-level positive or negative, intended or unintended effects?

Sustainability: Will the benefits last?

- To what extent will the net benefits of the EGP continue, or are likely to continue?
- To what extent has the project been implemented in accordance with the poor people's perspective and a Human Rights Based Approach? For example, have target groups been participating in project planning, implementation and follow up? Could gender mainstreaming have been improved in planning, implementation or follow up?

Questions are expected to be developed in the tender by the tenderer and further refined during the inception phase of the evaluation.

Partnership for strengthened environmental governance within the UN system

The objectives of this part of the evaluation are to:

- Assess the overall relevance and effectiveness of the project and the extent to which it has achieved its planned outcomes and results.
- Evaluate the progress of the project towards achieving its objectives, identify and document key lessons related to challenges and successes in the design and implementation of the project, as well as if there is a rationale for a next phase.
- Formulate conclusions and recommendations as an input to upcoming discussions concerning the possible preparation of a proposal for a new phase of the intervention.

The evaluation questions are:

Relevance: Is the intervention doing the right thing?

- To what extent has the intervention objectives and design responded to UN system needs and priorities, at interagency level and entity level respectively?
- To what extent have lessons learned from what works well and less well been used to improve and adjust intervention implementation?

Coherence: How well does the intervention fit?

- How compatible has the intervention been with other relevant initiatives and activities within the UN?

Effectiveness: Is the intervention achieving its objectives?

- To what extent has the intervention achieved, or is expected to achieve, its objectives, and its results?

Efficiency: How well are resources being used?

- To what extent is the partnership relevant to reach the objective of greening UN programmes and projects?
- How and to what extent has Swedish EPA's unique competence (the experience and practises of an environmental governmental agency) been applied?

Sustainability: Will the benefits last?

- To what extent will the net benefits of the intervention continue, or are likely to continue?

Questions are expected to be developed in the tender by the tenderer and further refined during the inception phase of the evaluation.

2.4 Evaluation approach and methods

It is expected that the evaluator describes and justifies an appropriate evaluation approach/methodology and methods for data collection in the tender. The evaluation design, methodology and methods for data collection and analysis are expected to be fully developed and presented in the inception report. To limit GHG emissions, innovative and flexible approaches/methodologies and methods for remote data collection should be suggested when appropriate and the risk of doing harm managed.

The evaluator is to suggest an approach/methodology that provides credible answers (evidence) to the evaluation questions. Limitations to the chosen approach/methodology and methods shall be made explicit by the evaluator and the consequences of these limitations discussed in the tender. The evaluator shall to the extent possible, present mitigation measures to address them. A clear distinction is to be made between evaluation approach/methodology and methods.

A *gender-responsive* approach/methodology, methods, tools and data analysis techniques should be used⁵.

Sida's approach to evaluation is *utilization-focused*, which means the evaluator should facilitate the *entire evaluation process* with careful consideration of how everything that is done will affect the use of the evaluation. It is therefore expected that the evaluators, in their tender, present i) how intended users are to participate in and contribute to the evaluation process and ii) methodology and methods for data collection that create space for reflection, discussion and learning between the intended users of the evaluation.

In cases where sensitive or confidential issues are to be addressed in the evaluation, evaluators should ensure an evaluation design that do not put informants and stakeholders at risk during the data collection phase or the dissemination phase.

⁵ See for example UNEG United Nations Evaluation Group (2014) Integrating Human Rights and Gender Equality in Evaluations <http://uneval.org/document/detail/1616>

2.5 Organisation of evaluation management

This evaluation is commissioned by Sida/Globen. The intended users are Sida, Swedish EPA, UNDP and UNEP/SUN. The SEPA, UNDP and UNEP have contributed to the ToR and will be provided with an opportunity to comment on the draft report but will not be involved in the management of the evaluation. Hence, Sida will procure the evaluation, approve the inception report and the final report of the evaluation. SEPA, UNDP and UNEP are responsible for providing necessary documents and information to the evaluators, including facilitating contacts with relevant persons to interview. UNDP is responsible for providing contacts and logistic support to the evaluator when visiting Kenya and Zambia. UNDP and UNEP are responsible for providing contact details for virtual meetings.

2.6 Evaluation quality

All Sida's evaluations shall conform to OECD/DAC's Quality Standards for Development Evaluation⁶. The evaluators shall use the Sida OECD/DAC Glossary of Key Terms in Evaluation⁷ and the OECD/DAC Better Criteria for Better Evaluation⁸. The evaluators shall specify how quality assurance will be handled by them during the evaluation process.

2.7 Time schedule and deliverables

It is expected that a time and work plan is presented in the tender and further detailed in the inception report. The time and work plan must allow flexibility in implementation. The evaluation shall be carried out during October 2023 and March 2024. The timing of any field visits, surveys and interviews need to be settled by the evaluator in dialogue with the main stakeholders during the inception phase.

The table below lists key deliverables for the evaluation process. Alternative deadlines for deliverables may be suggested by the consultant and negotiated during the inception phase.

Deliverables	Participants	Deadlines
1. Start-up meeting (virtual)	Sida, Swedish EPA, UNDP	October 2023
2. Draft inception report		Tentative November 2023
3. Inception meeting (virtual)	Sida, Swedish EPA, UNDP	Tentative November 2023
4. Comments from intended users to evaluators (alternatively these may be sent to evaluators ahead of the inception meeting)		Tentative November 2023
5. Data collection, analysis, report writing and quality assurance	Evaluators	November 2023 – January 2024
6. Debriefing/validation meeting	Sida, Swedish EPA, UNDP, SUN	February 2024

⁶ OECD/DAC (2010) Quality Standards for Development Evaluation.

⁷ Sida OECD/DAC (2014) Glossary of Key Terms in Evaluation and Results Based Management.

⁸ OECD/DAC (2019) Better Criteria for Better Evaluation: Revised Evaluation Criteria Definitions and Principles for Use.

7. Draft evaluation report		Tentative February 2024
8. Comments from intended users to evaluators		Tentative March 2024
9. Final evaluation report		March 2024

The inception report will form the basis for the continued evaluation process and shall be approved by Sida before the evaluation proceeds to implementation. The inception report should be written in English and cover evaluability issues and interpretations of evaluation questions, present the evaluation approach/methodology *including how a utilization-focused and gender-responsive approach will be ensured*, methods for data collection and analysis as well as the full evaluation design, including an *evaluation matrix* and a *stakeholder mapping/analysis*. A clear distinction between the evaluation approach/methodology and methods for data collection shall be made. All limitations to the methodology and methods shall be made explicit and the consequences of these limitations discussed.

A specific time and work plan, including number of hours/working days for each team member, for the remainder of the evaluation should be presented. The time plan shall allow space for reflection and learning between the intended users of the evaluation.

The final report shall be written in English and be professionally proof read. The final report should have clear structure and follow the layout format of Sida's template for decentralised evaluations (see Annex C). The executive summary should be maximum 3 pages.

The report shall clearly and in detail describe the evaluation approach/methodology and methods for data collection and analysis and make a clear distinction between the two. The report shall describe how the utilization-focused approach has been implemented i.e. how intended users have participated in and contributed to the evaluation process and how methodology and methods for data collection have created space for reflection, discussion and learning between the intended users. Furthermore, the gender-responsive approach shall be described and reflected in the findings, conclusions and recommendations along with other identified and relevant cross-cutting issues. Limitations to the methodology and methods and the consequences of these limitations for findings and conclusions shall be described.

Evaluation findings shall flow logically from the data, showing a clear line of evidence to support the conclusions. Conclusions should be substantiated by findings and analysis. Evaluation questions shall be clearly stated and answered in the executive summary and in the conclusions. Recommendations and lessons learned should flow logically from conclusions and be specific, directed to relevant intended users and categorised as a short-term, medium-term and long-term.

The report should be no more than 40 pages excluding annexes. If the methods section is extensive, it could be placed in an annex to the report. Annexes shall always include the Terms of Reference, the Inception Report, the stakeholder mapping/analysis and the Evaluation Matrix. Lists of key informants/interviewees shall only include personal data if deemed relevant (i.e. when it is contributing to the credibility of the evaluation) based on a case based assessment by the evaluator and the commissioning unit/embassy. The inclusion of personal data in the report must always be based on a written consent.

The evaluator shall adhere to the Sida OECD/DAC Glossary of Key Terms in Evaluation⁹.

The evaluator shall, upon approval by Sida/Embassy of the final report, insert the report into Sida's template for decentralised evaluations (see Annex C) and submit it to Nordic Morning (in pdf-format) for publication

⁹ Sida OECD/DAC (2014) Glossary of Key Terms in Evaluation and Results Based Management.

and release in the Sida publication database. The order is placed by sending the approved report to Nordic Morning (sida@atta45.se), with a copy to the responsible Sida Programme Officer as well as Sida's Evaluation Unit (evaluation@sida.se). Write "Sida decentralised evaluations" in the email subject field. The following information must always be included in the order to Nordic Morning:

1. The name of the consulting company.
2. The full evaluation title.
3. The invoice reference "ZZ980601".
4. Type of allocation: "sakanslag".
5. Type of order: "digital publicering/publikationsdatabas.

2.8 Evaluation team qualification

In addition to the qualifications already stated in the framework agreement for evaluation services, the evaluation team shall include the following competencies

- Professional experience in the fields relevant to the thematic areas of environment governance, mining/ extractive sector
- Environmental management systems and sustainability.
- Strong knowledge of Human Rights Based Approach (HRBA)
- Insights to the work and organisation of the UN

It is desirable that the evaluation team includes the following competencies

- Experience with multinational and joint programmes
- Spoken Spanish
- Experience of evaluating interventions with Swedish Agencies in collaboration with UN Agencies

A CV for each team member shall be included in the call-off response. It should contain a full description of relevant qualifications and professional work experience.

The evaluators must be independent from the evaluation object and evaluated activities, and have no stake in the outcome of the evaluation.

Please note that in the tender, the tenderers must propose a team leader that takes part in the evaluation by at least 30% of the total evaluation team time including core team members, specialists and all support functions, but excluding time for the quality assurance expert.

2.9 Financial and human resources

The maximum budget amount available for the evaluation is SEK 800.000.

Invoicing and payment shall be managed according to the following: The Consultant may invoice a maximum of 30 % of the total amount after approval by Sida of the Inception Report and a maximum of 70 % after approval by Sida of the Final Report and when the assignment is completed.

The contact person at Sida/Swedish Embassy is Tomas Andersson, Programme Officer, Globen, INTEM. The contact person should be consulted if any problems arise during the evaluation process.

Relevant Sida documentation will be provided by Tomas Andersson

Contact details to intended users (cooperation partners, Swedish Embassies, other donors etc.) will be provided by SEPA.

When visiting Kenya and Zambia UNDP will be responsible for arranging the logistics like for example booking interviews and preparing visits, including any necessary security arrangements.

3. Annexes

Annex A: List of key documentation

EGP Mining:

Programme proposal for Environmental Governance Programme (EGP) January 2020 – December 2023

Annual workplans; global for the whole programme and for the UNDP country offices

Annual Budgets - for years 2021, 2022 and 2023

Annual Reports – from phase one up to 2022 available on the EGP website under (scroll down to find).

Stories of change – available on the EGP website under (scroll down to find)

Knowledge Products - available on the EGP website under as well as under

Learning System Material - available on the EGP website under as well as under

Ongoing Evaluation Reports

Prolongation proposal for 2024

Updated results framework – to be finalised

Partnership for Strengthened Internal Environmental Governance within the United Nations System:

Project plan Environmental Governance Programme 2020-2023 - Outcome 4

Annual workplans – for years 2020, 2021, 2022 and 2023

Annual reports – for years 2020, 2021 and 2022

Annex B: Data sheet on the evaluation object

Information on the evaluation object (i.e. intervention)	
Title of the evaluation object	Evaluation of the Environmental Governance Programme Phase 2, 2020 - 2023
ID no. in PLANIt	61050903
Dox no./Archive case no.	19/001334
Activity period (if applicable)	January 2020 – December 2023
Agreed budget (if applicable)	88 MSEK
Main sector	Environment
Name and type of implementing organisation	Swedish Environmental Protection Agency. Public sector institution
Aid type	Project type

Swedish strategy	Strategi för Sveriges globala utvecklingssamarbete inom miljö, klimat och biologisk mångfald 2022—2026
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Information on the evaluation assignment	
Commissioning unit/Swedish Embassy	Unit for Global Cooperation on Environment
Contact person at unit/Swedish Embassy	Tomas Andersson
Timing of evaluation (mid-term, end-of-programme, ex-post, or other)	End-of-programme
ID no. in PLANIt (if other than above).	

Annex C: Decentralised evaluation report template

Annex D: Project/Programme document

Appendix 2: Evaluation Matrices for EGP Mining and the Partnership Sub-Programme

1. EGP Mining

EQ	Area of enquiry/indicators	data	Methods	Notes on data availability, and indicator validity and reliability ^[1]
EQ1	<p><u>1.1 Beneficiary needs</u> – the programme was designed and implemented based on the needs and priorities of the beneficiaries e.g., poor people affected by mining.</p> <p><u>1.2 Partner policy alignment</u> – the programme was aligned to the policies and priorities of the global, national and partner/institutions.</p> <p><u>1.3 Sida policy alignment</u> – the programme was aligned to Sida policies for international cooperation.</p> <p><u>1.4 Flexibility</u> – The programme was flexible and adapted to changing circumstances.</p>	<p>Documents:</p> <ul style="list-style-type: none"> • SIDA, SwEPA, UNEP and other donors' strategies and policy documents • Programme documents, programme plans • Programme reporting (annual reports and country reports) + responses • Country challenge notes • Monitoring reports • Financial reports, budgets/financial agreements • Workplans + feedback documents • Internal communication documents (Meeting Minutes, Agendas, PPP, etc.) • Internal discussion documents • Websites <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> • Sida/SwEPA/UNDP HQ staff • Country focal points • Implementing partners 	<p>Desk review: analysis of relevant documentation.</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions.</p> <p>Triangulation: In most cases the document review and views of different stakeholders can be compared.</p>	<p>Data availability: The documents identified are mostly available however the nature and insight of the internal discussion documents that might be available is not yet known. Furthermore, the challenge notes are only available for 8 out of 10 countries, excluding Kenya and Zambia. The feedback documents are only partially filled out and none of them include the country's reply. Additionally, there is no budget overview of allocations to the 10 countries for phase II of the programme available. It can be expected that some stakeholders with institutional memory will no longer be available and in some cases, there will be practical obstacles to making visits to the sites.</p> <p>Validity: The areas of enquiry (needs/policy alignment/flexibility) represent a comprehensive overview of the relevance (from donor and beneficiary perspectives) and link closely to the ToR and intentions of the evaluation and how it should feed into and support conclusions and recommendations.</p> <p>Reliability: There is an element of qualitative judgement. This will be mitigated by ensuring that the views of different stakeholders are taken into account (e.g. asking different people and stakeholders the same question potentially both through anonymous survey and interview). The site visit is only to two countries out of 10 but will be mitigated through remote interviews in two other countries and wider light interviews of all country focal points.</p>

		<ul style="list-style-type: none"> Country stakeholders (beneficiaries, government, private sector, civil society) <p>On-site visit data/ insight:</p> <ul style="list-style-type: none"> interventions in Kenya and Zambia 		
<p>EQ2</p> <p>Results</p> <p>What worked well, what didn't?</p>	<p><u>2.1 Local empowerment</u> – Sub-national stakeholders effectively influence decision-making, monitor state and mining sector activities, and are able to hold responsible parties accountable i.e. Stakeholders of EGP focus countries have supported by mechanisms and guidelines made advances within one or more of the seven themes (PEM, ASM, CC, Forest Management, Mine closure, HR and Environment and gender equality).</p> <p><u>2.2 Normative environment</u> – To what extent is the strengthening of national policies, implementation and administrative decision-making related to management of natural resources and socio-environmental risks in the mining sector expected to generate, significant high-level positive or negative, intended or unintended effects?</p> <p><u>2.3 Dissemination</u> – To what extent is promotion of national and local level lessons, experiences and knowledge from EGP phase 2 leading to quality, coherence, implementation and monitoring of relevant MEAs and SDGs.</p> <p><u>2.4 Sustainability</u> – To what extent will the net benefits of the EGP continue, or are likely to continue?</p> <p><u>2.5 Environmental effects</u> – To what extent is there a likelihood of reducing environmental degradation in the mining sector at the global, national and local level?</p>	<p>Documents:</p> <ul style="list-style-type: none"> Programme documents, annual reports, monitoring reports, BAR (before action review), AAR (after action review) and the reflective question template, guidelines & manuals, national plans and strategies event reports websites, SDG, Convention on Biological Diversity (CBD) progress reports Reports and studies from the 10 countries on HR, environment & mining <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> Sida/SwEPA/UNDP HQ staff UNDP country office focal points Implementing partners Country stakeholders (beneficiaries, government, private sector, civil society) <p>On-site visit data/ insight:</p>	<p>Desk review: Analysis of relevant documentation.</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions.</p> <p>Triangulation: In most cases the document review and views of different stakeholders can be compared. Observations are part of the triangulation.</p>	<p>Data availability: the documents identified are mostly available however the nature and insight of the internal discussion documents that might be available is not yet known. National statistics on mining pollution and reduction of pollution might scarce. It can be expected that some stakeholders with institutional memory will no longer be available and in some cases, there will be practical obstacles to making visits to the sites. The country visits to two countries out of 10 is an opportunity to make direct observations and get in contact with stakeholders who would otherwise be difficult to reach. The visit to Zambia and Kenya will to some extent compensate for the absence of challenge notes. Key informants in Kenya and Zambia might not be available at the time of the country visit.</p> <p>Validity: The areas of enquiry (Local empowerment, normative environment, dissemination, sustainability and environmental effects) should give a comprehensive overview of what worked well and what didn't and to what extent the EGP achieved expected outputs and outcomes. It will link closely to the TOR and intentions of the evaluation and how it should feed into and support conclusions and recommendations. The information on SDG 15 Life on Land and CBD indicators for each country will give overall information which can link indirectly to the achievements of the EGP phase 2.</p> <p>Reliability: There will be a qualitative assessment of the extent to which results can be attributed to the EGP phase 2. This will be mitigated by interviewing a wide range of stakeholders incl. Donor agencies which have also supported the mining area. The site visit is only to two</p>

		<ul style="list-style-type: none"> Interventions in Kenya and Zambia. 		countries out of 10 but will be mitigated through remote interviews in two other countries and wider light interviews of all country focal points.
EQ3 Cooperation approach Was the programme well managed?	<u>3.1 Coherence</u> – The programme was compatible and well-coordinated with other interventions in the countries and sectors where it is being implemented.	Documents: <ul style="list-style-type: none"> Programme document Programme reporting (annual reports and country reports) Learning ecosystem hub Internal discussion documents on roles UNDP/SwEPA procurement systems and controls, financial reports Stakeholder perspectives: <ul style="list-style-type: none"> Sida/SwEPA/UNDP HQ staff Country focal points Country stakeholders (beneficiaries, government, private sector, civil society) On-site visit data/insight <ul style="list-style-type: none"> interventions in the country 	Desk review: analysis of relevant documentation. Interviews: semi-structured individual stakeholder interviews and focus group discussions. Triangulation – in most cases the document review and views of different stakeholders can be compared.	Data availability: The documents identified are available however the nature and insight of the internal discussion documents that might be available is not yet known. Furthermore, are the challenge notes only available for 8 out of 10 countries, excluding Kenya and Zambia. The feedback documents are only partially filled out and none of them include the country's reply. It can be expected that some stakeholders with institutional memory will no longer be available and in some cases, there will be practical obstacles to making visits to the sites. Validity: The areas of enquiry (coherence/ learning/roles/ programme management and cost efficiency) represent a comprehensive overview of the cooperation approach and link closely to the TOR and intentions of the evaluation and how it should feed into and support conclusions and recommendations. Reliability: There is an element of qualitative judgement. This will be mitigated by ensuring that the views of different stakeholders are taken into account (e.g. asking different people and stakeholders the same question potentially both through anonymous survey and interview). The site visit is only to two countries out of 10 but will be mitigated through remote interviews in two other countries and wider light interviews of all country focal points.
	<u>3.2 Monitoring and learning</u> – The programme monitoring enabled early adjustment and learning.			
	<u>3.3 Roles</u> – the SwEPA environmental agency and UNDP development agency roles were complementary.			
	<u>3.4 Programme management</u> – the management, procurement and financial control systems ensured efficient use of resources.			
	<u>3.5 Poverty and rights approach</u> – The programme has been implemented with a poor people's perspective and a Human Rights Based Approach.	Documents: <ul style="list-style-type: none"> Programme documents, programme plans Programme reporting (annual reports and country reports) + responses Country challenge notes Workplans + feedback documents Internal communication documents (Meeting Minutes, Agendas, PPP, etc.) Internal discussion documents 	Desk review: analysis of relevant documentation. Interviews: semi-structured individual stakeholder interviews and focus group discussions. Triangulation: In most cases the document review and views of different	
	<u>3.6 Gender mainstreaming</u> – To what extent has the EGP mainstreamed gender in a way that leads to empowerment, partaking in decision-making by women and capacity to hold responsible parties accountable?			

		<ul style="list-style-type: none"> • Case studies on HR and mining from the 10 countries, if existing • GII, governance & HR index • Reports and studies from the 10 countries on HR, environment & mining. <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> • Sida/SwEPA/UNDP HQ staff • UNDP country office focal points • Implementing partners • Country stakeholders (beneficiaries, government, private sector, civil society) <p>On-site visit data/ insight:</p> <ul style="list-style-type: none"> • Interventions in Kenya and Zambia 	<p>stakeholders can be compared.</p>	
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2. Partnership Sub-Programme

EQ	Area of enquiry/indicators	data	Methods	Notes on data availability, and indicator validity and reliability ^[1]
EQ1	<p><u>1.1 Partner policy alignment</u> – the programme is aligned to the policies and priorities of the global, national and partner/institutions.</p> <p><u>1.2 Sida policy alignment</u> – the programme is aligned to Sida policies for international cooperation.</p>	<p>Documents:</p> <ul style="list-style-type: none"> • SIDA, SwEPA, UNDP and UNEP and other donor strategies and policy documents • Programme documents, programme plans • Programme reporting (annual reports and country reports) + responses • Financial reports, budgets/financial agreements • Workplans • Internal discussion documents • Websites <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> • Sida/SwEPA/UN HQ staff • UN entities 	<p>Desk review: analysis of relevant documentation.</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions.</p> <p>Survey: UN and SwEPA HQ staff as well as staff of UN entities</p> <p>Triangulation: In most cases the document review and views of different stakeholders can be compared.</p>	<p>Data availability: The documents identified are mostly available however the nature and insight of the internal discussion documents that might be available is not yet known. It can be expected that some stakeholders with institutional memory will no longer be available and in some cases, there will be practical obstacles to making visits to the sites.</p> <p>Validity: The areas of enquiry (needs/policy alignment/flexibility) represent a comprehensive overview of the relevance (from donor and beneficiary perspectives) and link closely to the TOR and intentions of the evaluation and how it should feed into and support conclusions and recommendations.</p> <p>Reliability: There is an element of qualitative. This will be mitigated by ensuring that the views of different stakeholders are taken into account (e.g. asking different people and stakeholders the same question).</p>
EQ2	<p><u>2.1 Effectiveness</u> – The partnership led to the greening of UN programmes and projects in terms of environmental management systems, application of safeguards and integration of internal sustainability in annual reports.</p> <p><u>2.2 Sustainability</u> – To what extent will the net benefits of the EGP continue, or are likely to continue?</p>	<p>Documents:</p> <ul style="list-style-type: none"> • Programme documents, • annual reports, • monitoring reports, BAR (Before Action Review), AAR (After action review) and the reflective question template, • guidelines & manuals, • national plans and strategies • event reports • websites • SDG, CBD progress reports 	<p>Desk review: Analysis of relevant documentation.</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions.</p> <p>Survey:</p>	<p>Data availability: the documents identified are mostly available however the nature and insight of the internal discussion documents that might be available is not yet known. It can be expected that some stakeholders with institutional memory will no longer be available.</p> <p>Validity: The areas of enquiry (effectiveness and sustainability) should give a comprehensive overview of what worked well and what didn't and to what extent the EGP achieved expected outputs and outcomes. It will link closely to the ToR and intentions of the evaluation and how it should feed into and support conclusions and recommendations.</p>

		<p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> • Sida/SwEPA/UNDP/UNEP HQ staff • UNDP entities 	<p>UNDP and SwEPA HQ staff as well as staff of UN entities.</p> <p>Triangulation: In most cases the document review and views of different stakeholders can be compared. Observations are part of the triangulation.</p>	<p>Reliability: There is an element of qualitative. This will be mitigated by ensuring that the views of different stakeholders are taken into account (e.g., asking different people and stakeholders the same question).</p>
<p>EQ3 Cooperation approach</p> <p>Was the programme well managed?</p>	<p><u>3.1 Coherence</u> – The programme was compatible and well-coordinated with other interventions in the countries and sectors where it is being implemented.</p> <p><u>3.2 Monitoring and learning</u> – The programme monitoring enabled early adjustment and learning.</p> <p><u>3.3 Roles</u> – the SwEPA environmental agency and UNDP development agency roles were complementary.</p>	<p>Documents:</p> <ul style="list-style-type: none"> • Programme document • Programme reporting (annual reports and country reports) • Internal discussion documents on roles <p>Stakeholder perspectives:</p> <ul style="list-style-type: none"> • Sida/SwEPA/UN staff • UN entities 	<p>Desk review: analysis of relevant documentation.</p> <p>Interviews: semi-structured individual stakeholder interviews and focus group discussions.</p> <p>Survey: UN and SwEPA HQ staff as well as staff of UN entities.</p> <p>Triangulation – in most cases the document review and views of different stakeholders can be compared.</p>	<p>Data availability: The documents identified are available however the nature and insight of the internal discussion documents that might be available is not yet known. It can be expected that some stakeholders with institutional memory will no longer be available.</p> <p>Validity: The areas of enquiry (coherence/ learning/roles) represent a comprehensive overview of the cooperation approach and link closely to the TOR and intentions of the evaluation and how it should feed into and support conclusions and recommendations.</p> <p>Reliability: There is an element of qualitative. This will be mitigated by ensuring that the views of different stakeholders are taken into account (e.g., asking different people and stakeholders the same question).</p>

Appendix 3: List of potential stakeholders to be interviewed/surveyed

Name	Position	Institution	Email address	Contribution
	Programme Manager (Phase I and II)	UNDP		EGP mining/Partnership Sub-Programme
	Programme Manager (Phase II)	SwEPA		EGP mining/Partnership Sub-Programme
	Programme Manager (Phase II ongoing)	SwEPA		EGP mining/Partnership Sub-Programme
	Programme Manager	SwEPA, Staff on Loan to UNEP		EGP mining/Partnership Sub-Programme
		Sida		EGP mining/Partnership Sub-Programme
	SGP Programme Management Team Member	SwEPA		Partnership Sub-Programme
	SGP Programme Management Team Member	SwEPA		Partnership Sub-Programme
	UNDP Country Office Liberia Focal Point	UNDP		EGP mining
	UNDP Country Office Kenya Focal Point	UNDP		EGP mining
	UNDP Country Office Zambia Focal Point	UNDP		EGP mining
	UNDP Country Office Peru Focal Point	UNDP		EGP mining

	UNDP Country Office Peru Focal Point	UNDP		EGP mining
	UNDP Country Office Mongolia Focal Point	UNDP		EGP mining
	UNDP Country Office Colombia Focal Point	UNDP		EGP mining
	UNDP Country Office Argentina Focal Point	UNDP		EGP mining
	UNDP Country Office Ecuador Focal Point	UNDP		EGP mining
	UNDP Country Office Ecuador Focal Point	UNDP		EGP mining
	UNDP Country Office Kyrgyzstan Focal Point	UNDP		EGP mining
	UNDP Country Office Namibia Focal Point	UNDP		EGP mining
	UNDP Country Office Namibia Focal Point	UNDP		EGP mining
	Head of Unit			
	Staff member of the Swedish Embassy in Lusaka			

Appendix 4: Documents consulted

1. Background Documents
 - EITI (2023): Countries. Global Implementation of the EITI Standard. <https://eiti.org/countries> (08.11.2023).
 - Human Rights Watch (2023, 20th of July): Zambia: Clean Up Toxic Lead Waste at Mine Site. <https://www.hrw.org/news/2023/07/20/zambia-clean-toxic-lead-waste-mine-site> (08.11.2023).
 - Kimberley Process (2011): Liberia Annual Report 2011.
 - Kimberley Process (2011): Namibia Annual Report 2011.
 - Kimberley Process (2014-2023): Working together to stem the tide of conflict diamonds worldwide. <https://www.kimberleyprocess.com/en/participants> (06.11.2023).

2. Management and Programme Documents (proposals, etc.)
 - Addition to the 2020 Annual Report of the Environmental Governance Programme Phase 2 (EGP 2020-2023). Memo. 2021, 9th of July.
 - Challenge Note Argentina (2020)
 - Challenge Note Colombia (2020)
 - Challenge Note Ecuador (2020)
 - Challenge Note Kyrgyzstan (2020)
 - Challenge Note Liberia (2020)
 - Challenge Note Mongolia (2020)
 - Challenge Note Namibia (2020)
 - Challenge Note Peru (2020)
 - Environment Governance Programme, Phase 2: 2020-2024. Updated Results Framework. Draft. 2023, 31st of October.
 - EY (2020, 17th of June): Assessment of Internal Control of the Swedish EPA.
 - Proposal for prolongation of Environmental Governance Programme 2024.
 - SwEPA & UNDP (2020, 24th of August): Project Document. Phase Two of the Joint UNDP Swedish EPA Global Environmental Governance Project (EGP). Amendment EGP Phase 2.
 - SwEPA & UNDP (2023, 29th of August): EGP Global Team meeting. Autumn 2023. PowerPoint Presentation.
 - SwEPA (2021, 12th of January): Management response to the Report of Assessment of Internal Management and Control of the Swedish EPA.
 - SwEPA (n/a): Environmental Governance Programme (EGP). Proposal for Global Programme. January 2020 – December 2023.
 - SwEPA staff involved in EGP 2023. Excel Sheet.

3. Sub-Programme Documents
 - Environmental Governance Programme: Partnership for Strengthened Internal Environmental Governance within the United Nations System – Annual Report 2022.

- Project plan. Environmental Governance Programme 2020-2023. Outcome 4. Partnership for strengthened environmental governance within the UN system.
- SwEPA (2022, September): Partnership for Strengthened Internal Environmental Governance within the United Nations System. Flyer.

4. Work Plans

- Annual Work Plan Environmental Governance Programme 2020.
- Annual Work Plan Environmental Governance Programme, Outcome 4, 2022.
- Annual Work Plan, 2023, Environmental Governance Programme. Outcomes 1-3.
- Annual Work Plan, 2023, Environmental Governance Programme. Outcomes 4.
- Overview of EGP Country Work Planse 2022.
- SwEPA & UNDP (2023, 9th of February): Amendment No. 2 to the financing agreement for third party donors between the United Nations Development Programme (UNDP) and the Swedish Environmental Protection Agency (Donor).
- SwEPA (2022, 20th of May): Environmental Governance Programme – Revised Budget UNDP 2022.
- SwEPA (2022, 22nd of September): Environmental Governance Programme – Budget UNDP 2022.
- SwEPA (2022, 24th of May): Environmental Governance Programme. Workplans 2022. Memo.
- SwEPA (2022, 9th of September): Environmental Governance Programme 2020-2023. NV Budget 2022.
- SwEPA (2023, 16th of March): Environmental Governance Programme – Budget UNDP 2023.
- SwEPA (2023, 16th of March): Environmental Governance Programme. 2023 Workplans. Memo.
- SwEPA (n/a): Environmental Governance Programme 2020-2023: SwEPA budget 2023.
- SwEPA(n/a): Environmental Governance Programme 2020-2023. Budget 2020 – 2022.
- Sida (n/a): Annual Work Plan Environmental Governance Programme 2021. Outcome 4.
- Sida (n/a): Annual Work Plan Environmental Governance Programme 2021. Outcome 1-3.
- Summary of EGP Global Annual Work Plan 2022, updated 17th of May 2022.
- UNDP Argentina (2020, 1st of December): Workplan EGP 2022-2023. Argentina.
- UNDP Colombia (2022, 21st of December): Workplan EGP 2023. Colombia.
- UNDP Ecuador (2021, 15th of December): Workplan EGP 2023. Ecuador.
- UNDP Kenya (2023, 12th of January): Workplan EGP 2023. Kenya.

- UNDP Kyrgyzstan (2022): Project title: Environmental rehabilitation and Socio-economic improvement of areas in Kyrgyzstan. 2022 Annual Work Plan.
- UNDP Kyrgyzstan (2022, 11th of August): Workplan EGP 2023. Kyrgyzstan.
- UNDP Liberia (2022, 28th of December): Workplan EGP 2023. Liberia.
- UNDP Mongolia (2022, December): Workplan EGP 2023. Mongolia.
- UNDP Namibia (2022, 16th of December): Workplan EGP 2023. Namibia.
- UNDP Peru (n/a): Workplan EGP 2022 (Plan de trabajo annual). Peru.
- UNDP Zambia (n/a): Workplan EGP 2022-2023. Zambia.
- Workplan Feedback Document Argentina.
- Workplan Feedback Document Colombia.
- Workplan Feedback Document Ecuador.
- Workplan Feedback Document Kenya.
- Workplan Feedback Document Kyrgyzstan.
- Workplan Feedback Document Liberia.
- Workplan Feedback Document Mongolia.
- Workplan Feedback Document Namibia.

5. Financial Documents

- SwEPA (2021, 16th of April): Interim financial report UNDP 2020. Environmental Governance Programme 2020-2023.
- SwEPA (2021, 28th of April): Financial report 2020. Environmental Governance Programme 2020-2023).
- SwEPA (2021, 30th of April): Environmental Governance Programme 2020-2023. NV Budget 2021.
- SwEPA (2021, 30th of April): Environmental Governance Programme 2020-2023. UNDP Budget 2021 in SEK.
- SwEPA (2021, 30th of April): Workplan and budget for 2021. Environmental Governance Programme (EGP) Phase 2, 2020-2023.
- SwEPA (2022, 5th of May): Financial report 2021. Environmental Governance Programme 2020-2023.
- SwEPA (2023, 2nd of June): Interim financial report UNDP 2022. Environmental Governance Programme 2020-2023.
- SwEPA (2023, 8th of June): Financial report 2022. Environmental Governance Programme 2020-2023.
- UNDP (2022, 6th of May): Annual Financial Report 2021 (non-certified) – Phase II. Environmental Governance Programme, Outcome 1-3 – Phase II.

6. Monitoring and Evaluation

- Lund University (n/a): Challenges and success factors of EGP participating countries. Interviews with country representatives.
- Lund University (n/a): Global management level and Ongoing Evaluation. What the program aspires to do and what can be evaluated.
- Lund University, SwEPA & UNDP (n/a): Base Line Survey – Report from Ongoing Evaluation, Environmental Governance Programme.
- SwEPA (2022, 21st of February): Överenskommelse mellan Naturvårdsverket och Lunds universitet.
- Terms of Reference (Updated). Lund University. EGP 2021-2023.

Appendix 5 - Inception meeting key points

Inception Meeting

27th of October

Participants: Eric Buhl-Nielsen (PEM), Malene Wiinblad (PEM), Matilda Svedberg (NIRAS), [Name] (SwEPA), [Name] (SwEPA), Tomas Andersson (Sida)

- It was explained that it is important to separate the two sub-programmes during this evaluation. This was highlighted since the sub-programmes were mixed in some points in the proposal.
- It was explained that one of the issues focusses on the dualism of a global programme and the realism of having a local impact, hence, working at normative as well as local level which is also a two-way exchange.
- The question for the evaluation was raised, if 10 focus countries were an adequate number or too many for the purpose of the programme.
- Furthermore, it was outlined that some focus countries are also Sida programme countries while others are not. It was therefore stipulated to select countries where the next phase will continue or those that have worked best (such as Mongolia). It was argued that it is more interesting to focus on low-income countries and/or on Sida programme countries. It was therefore decided to proceed with Liberia and Colombia as in-depth study countries since they are the remaining Sida programme countries.
- The evaluation team proposed to cluster the evaluation questions which received a positive response.
- The deadline for the submission of the draft inception report was set for the 16th of November.
- Further interesting points are:
- SwEPA has framework agreement to help with Spanish if needed for this evaluation, which can be organised in advance.
- UNEP is based in Nairobi and could therefore be relevant to meet with during the field mission.
- Lund university had a low response rate on a previous survey which outlined the need to promote the survey in the evaluation to ensure a good response rate.



Evaluation of the Environmental Governance Programme Phase 2, 2020 – 2023

The evaluation of phase 2 (2020-2023) of the Sida-funded Environment Governance Programme (EGP) assesses its two subprograms: the EGP for Sustainable Natural Resource Management (EGP Mining) and the Partnership for Strengthened Environmental Governance in the UN system (EGP Partnership). The EGP Mining, led by the Swedish Environmental Protection Agency and UNDP, works in-depth with 10 countries and on global and regional level to exchange innovative policy approaches. The EGP Partnership works with UNEP's Sustainable UN facility, implementing the UN's internal sustainability strategy. The evaluation concludes that the EGP Mining's Participatory Environmental Monitoring approach contributed to significant progress in local empowerment and recommends enhancing the sustainability of this approach. The dual focus on empowerment and the normative set up was strong although it is recommended to professionalise the advocacy agenda. The EGP Partnership is found to have contributed to the implementation of the UN sustainability strategy. It is recommended that Sida should mobilize other member states to press for greater progress on UN's internal environmental management in future phases.

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