

# **DRAFT**

## **Annex I**

### **DESCRIPTION OF THE ACTION**

**for**

**The ACP-EU Development Minerals Programme**

**Phase II**

**Submitted**

**to**

**The Intra-ACP Funds under 11th European Development Fund (EDF)**

The ACP-EU Development Minerals Programme is an initiative of the African, Caribbean Pacific (ACP) Group of States, coordinated by the ACP Secretariat, financed by the European Commission and United Nations Development Programme (UNDP) and implemented by UNDP.

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## SUMMARY

<b>Title:</b>	ACP-EU Development Minerals Programme: Phase II
<b>Impact</b>	Better livelihoods and gender inclusion for people working along the Development Minerals value chain in ACP countries
<b>Expected Outcome:</b>	Increased employment and income for artisanal and small-scale mining enterprises (ASMEs), and in particular increased economic opportunities for women participating in ASMEs throughout the Development Minerals value chain
<b>Expected Outputs:</b>	<ol style="list-style-type: none"> <li>1: Institutions in ACP countries have improved business enabling environment for gender inclusive operationalisation and formalization of ASMEs along the Development Minerals value chain</li> <li>2: ASMEs have enhanced entrepreneurial skills and access to finance, technology, markets and market information</li> <li>3: Public institutions, communities, women’s organizations and civil society organizations (CSOs) have strengthened capacity to put in place social and environmental safeguards in mining and quarrying of Development Minerals</li> <li>4: Women-owned ASMEs provide increased opportunities for women’s participation throughout the Development Minerals Value-Chain</li> <li>5: Inter-ACP knowledge generation and dissemination are enhanced to inform policies, strategies and programmes for supporting ASMEs.</li> </ol>
<b>Brief Description</b>	
<p>The demand for Development Minerals—construction materials, dimension stones, industrial minerals and semi-precious stones—is increasing, driven by rapid urbanization, infrastructure development and industrialisation in ACP countries. However, these minerals have largely been outside of the reach of policy making, even though the sector is more labour absorptive, with higher impact on employment and poverty reduction compared to the more visible metals and high-value minerals. In response, the on-going Phase I of the ACP-EU Development Minerals Programme, implemented between 2015 and 2019, successfully brought these minerals to the forefront of policy making.<sup>1</sup> Based on the lessons learned from the Programme and the consensus that emerged under the Mosi-oa-Tunya Declaration, the proposed Phase II project will continue to provide capacity development support to ASMEs, sector associations, public institutions and the social stakeholders that operate along the Development Minerals value chain in ACP countries.<sup>2</sup></p> <p>This phase of the project has an additional enhanced focus on improving gender equality within the Development Minerals sector. The intended gender-based efforts comprise of</p>	

<sup>1</sup> See the Mid-Term Evaluation of the Programme (2018) and the Results Oriented Monitoring (2017)

<sup>2</sup> The ACP-EU Development Minerals Programme assembled over five-hundred delegates, representing 72 nations assembled in Livingstone, Zambia between the 11-13 September 2018 for the International Conference on Artisanal and Small-scale Mining and Quarrying (ASM18) to chart a vision for sustainable development. An historic outcome of ASM18 was the adoption of the Mosi-oa-Tunya Declaration on Artisanal and Small-scale Mining, Quarrying and Development, which builds on earlier ASM conference declarations from Harare (1993), Washington (1996), and Yaoundé (2002).

business development initiatives that are designed to provide women-owned and/or women-run ASMEs better access to finance for business start-up costs; greater ability to participate in mining project procurement opportunities; improved organisation of mining activities; and exposure to technology as well as to a range of training and capacity building programs. In this regard, government policies will be reviewed to ensure that the institutional and regulatory frameworks governing the Development Minerals sector support gender equality and women’s empowerment.

In addition, the project will address specific, health, safety and other types of problematic impacts experienced by women in ASMEs. These experiences can occur both on a mine site where women may be working formally or informally, and off the mine site, where women living in communities may be subjected to environmental impacts of mine and quarrying activities, or social problems related to the transitory nature of ASM or from in-migration due to a sudden surge in ASM activity.

The project aims to enable ASMEs in the Development Minerals sector achieve better livelihoods through higher employment and incomes from their mining operations. The project will ensure these objectives are met by: 1) improving the business environment and formalising the operations of ASMEs; 2) enhancing the entrepreneurial skills among ASMEs and their access to finance, technologies and markets; 3) strengthening social and environmental safeguards in mining and quarrying; 4) enhancing gender inclusion and support to women miners; and 5) facilitating inter-ACP knowledge exchange on Development Minerals. The project will contribute to the achievements of the *Strategic Framework for ACP Private Sector Development*; *ACP’s Framework of Action on the Development of the Mineral Resources Sector*; and the *ACP-EU Joint Cooperation Framework for Private Sector Development*.

<b>Total resources required:</b>	<b>EURO 8,250,000</b>
EU	EURO 7,500,000
UNDP	EURO 750,000

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## THE TEN SPECIAL FEATURES OF THE PROJECT

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1. The project builds on the achievements from Phase I of the ACP-EU Development Minerals Programme; including the findings of the Results Oriented Monitoring (ROM) and the independent Mid-Term Evaluation.
2. The project will have a targeted gender equality and women empowerment component in collaboration with UNWOMEN.
3. While keeping the earlier approach of strengthening capacities of ASMEs and the institutions that support them, the proposed Phase II project will focus more on increasing their employment and incomes.
4. To ensure sustainability, the project will strengthen the capacity of ACP-based regional and country-level organizations, who, subject to future resourcing, will take over the initiative beyond this project's lifecycle.
5. The project will introduce research and awareness on current issues related to the use of Development Minerals, such as quantifying demand for post-disaster reconstruction and disaster-resilient buildings; promoting labour-absorptive and energy-efficient construction technologies; supporting the energy transition to a low-carbon development pathway through renewable energy technologies; and promoting local arts and customs in architecture, design and materials.
6. A proven project management and governance framework will guide the project, including the multi-stakeholder Country-level Working Groups; an International Technical Committee of globally-recognised experts; a Programme Steering Committee, with senior management representation from the ACP Secretariat, the European Commission and UNDP; and a team of government focal-points from each of the participating countries in the Programme.
7. The capacity building approach champions South-to-South knowledge exchange and peer-learning to enhance collaboration, solidarity and partnership across all six regions of the ACP Group of States.
8. The project operates according to communications and outreach strategies of ACP Group of States, EU and UNDP to ensure visibility of the partners and the stakeholders at large.
9. All capacity development tools will continue to use primary data and information generated from ACP countries.
10. A rigorous monitoring and evaluation system will underpin the project.

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## I. CONTEXT OF THE ACTION: THE DEVELOPMENT CHALLENGE

### *Development Minerals Need Special Attention*

The development community has traditionally focused on globally traded “high-value” metals and energy minerals as a pathway to economic development for developing countries. This is not surprising given that metals and energy minerals have the potential to generate foreign currency and fiscal revenues. However, the development benefits of these minerals have often remained elusive, with limited benefits to local and regional economies and communities. These issues are well captured in the “resource-curse” debate.

Development Minerals (traditionally known as low value minerals and materials) are mined, processed, manufactured and used domestically in industries such as construction, manufacturing, infrastructure and agriculture.<sup>3</sup> They include: industrial minerals, like gypsum and salt; construction materials, like clay, sand and gravel; dimension stones, like marble and granite; and semi- precious stones, like garnet and tourmaline.

The scale of the sector is enormous. Eight of the top ten produced mineral commodities in the world are Development Minerals, which total 84% of global mineral production.<sup>4</sup>

Development Minerals matter in our efforts to achieve the ambitious Sustainable Development Goals (SDGs), because they are literally the matter that underpin much of global development, whether it be the clay bricks and roof tiles that provide shelter, the mineral fertilisers fundamental for agriculture, the garnet that filters water, or the gravel and stone that build bridges and pave rural roads.

Development Minerals largely produced by artisanal and small enterprises, generate important domestic economic linkages and have a higher impact on poverty reduction as they are more employment generating compared with higher-value minerals such as metals or energy minerals.

In Uganda, for example, artisanal and small-scale miners are responsible for the production of an estimated 83% of all Development Minerals (by value). If the artisanal and small-scale mining and quarrying of Development Minerals, which amounts to an estimated US\$350 million per annum, were integrated within official statistics, Uganda’s GDP would increase by 1.4%.<sup>5</sup>

The demand for Development Minerals is also likely to increase in the future due to rapid urbanisation, industrialisation and infrastructure development in countries of the ACP Group of States. As shown in Figure 1, it is projected that, in the decade 2015-2025, Sub-Saharan Africa’s (SSA) urban population grows by nearly 4% implying the need for construction materials, industrial minerals dimension stones and semi-precious stones to meet the housing and construction demand.<sup>6</sup>

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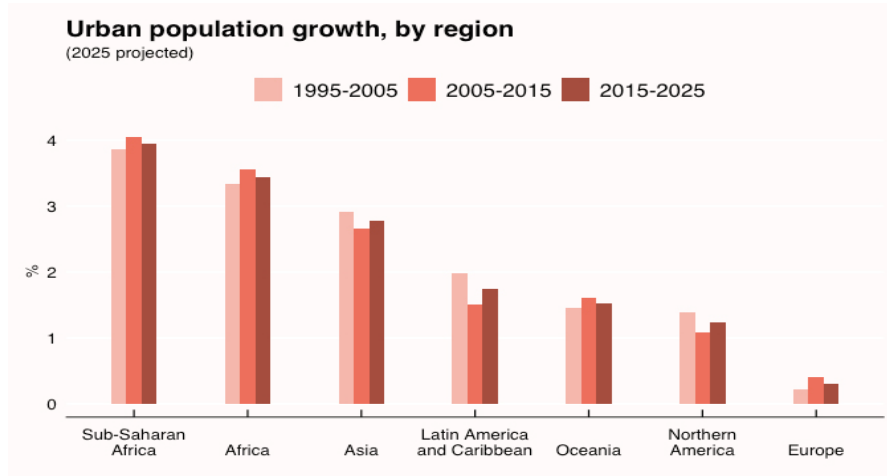
<sup>3</sup> Franks, Pakoun, Ngonze (2016) ACP-EU Development Minerals Programme Progress Report 2016.

<sup>4</sup> UNDP analysis based on U.S. Geological Survey (2017). *Mineral commodity summaries 2017*: U.S. Geological Survey, p. 202.

<sup>5</sup> Hinton et al., (2017). Baseline Assessment of Development Minerals in Uganda. ACP-EU Development Minerals Programme.

<sup>6</sup> Calculation based on UN-Habitat (2016). *Urbanization and development: Emerging futures*. World Cities Report 2016.

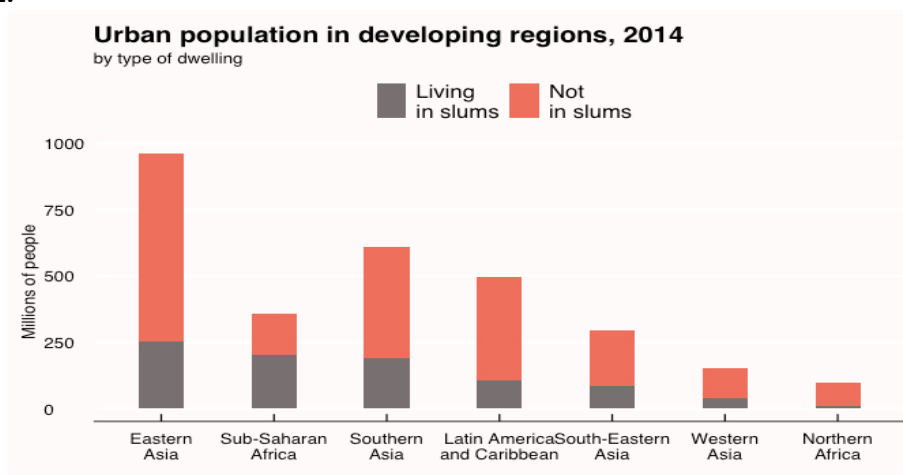
**Figure 1.**



Source: Calculated based on UN-HABITAT (2016) “World Cities Report 2016. Urbanization and Development: Emerging Futures”

Figure 2 below also shows that the share of the urban population living in informal settlements in Eastern Asia and SSA are over 500 million people. This is why the Sustainable Development Goal 11 is targeted to “ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums” by 2030. To achieve this goal, worldwide, one billion new homes will be needed by 2025, costing an estimated US\$650 billion per year.<sup>7</sup> The urgent need for affordable housing is felt acutely in countries such as the Democratic Republic of Congo, where the capital city, Kinshasa, has a population of 12 million and a growth rate of 5.1% per year. With this trend, Kinshasa is poised to become the most populous city in Africa by 2030.<sup>8</sup> The informal construction minerals sector is likely to supply most of the urban housing in developing countries. For example, it currently provides up to 70% of urban housing in Zambia and up to 90% in Ghana.<sup>9</sup>

**Figure 2.**



Source: Calculated based on UN-HABITAT (2016) “World Cities Report 2016. Urbanization and Development: Emerging Futures”

<sup>7</sup> Ibid.

<sup>8</sup> World Bank (2018). *Democratic Republic of Congo Urbanization Review: Productive and Inclusive Cities for an Emerging Congo. Directions in Development—Environment and Sustainable Development*; Washington, DC: World Bank.

<sup>9</sup> Ibid.

Similarly, Sustainable Development Goal 9 calls for support to “build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation”. Infrastructure provides the basic physical systems and structures such as roads, transport, irrigation, energy and information and communication technology, all of which result in improved productivity and incomes. On the other hand, industrialization drives economic growth, creates job opportunities and thereby reduces income poverty. Achieving SDG 9 will require the mining of industrial minerals and construction materials, a sector that is dominated by ASMEs.

In the Caribbean and Pacific regions, demand for Development Minerals is further bolstered by climate-induced natural disasters, with sand, gravel, clay and other construction materials making up the largest proportion of materials needed for post-disaster reconstruction. Improvements are needed not only in the amount of housing, but also in the quality of housing to enhance resilience to climate change and natural disasters. Increasing the use of more environmentally friendly materials such as soil stabilised bricks and dimension stones, in place of high energy-consuming materials, can contribute to climate change mitigation.

Along the same lines, use of sustainable cement and concrete products, particularly in post-disaster reconstruction, is the key to unlocking a low-carbon future. While most recycled concrete has previously been applied to heavy uses, such as the aggregates that form the base under a road’s paved layer, the transition towards a low-carbon built environment has seen innovation in the elimination of contamination from other building materials. Examples are wood, plastics, wires, glass and plaster. Recycled cement and concrete products are also suitable for finer uses such as polished floors and self-levelling concrete. When adopted, this could also play an important role in closing the loop in cement and concrete production, enabling a truly circular economy.

Furthermore, in the African, Caribbean and Pacific regions, and elsewhere, the renewed push for adoption and utilization of renewable energy sources has brought Development Minerals under the spotlight. For instance, the prioritization of renewable energy projects in Mozambique aimed at providing electricity to 82%<sup>10</sup> of the population, has seen the identification of the following energy sources; 5.6 GW of hydro, 1.1 GW of Wind, 0.6 GW of solar, 0.13 GW of biomass, and 20 MW of geothermal.<sup>11</sup> Similarly, the Democratic Republic of Congo will soon commence the construction of the US\$13.9 billion Inga 3 hydropower project (Grand Inga dam) on the Congo River.<sup>12</sup> This project is expected to generate 11,050 MW of electricity and create 10,000 direct jobs.<sup>13</sup> Key inputs to these renewable energy sources are Development Minerals such as limestone, marl, silica sands, and clay.

The exponential growth in the use of renewable energy technology is driving demand for minerals such as cobalt, graphite, lithium minerals and copper, which are key ingredients in electric batteries. The DRC holds the largest reserves of cobalt globally and is responsible for 60% of global cobalt production, while also taking the title of Africa’s top producer of copper.<sup>14</sup> Huge deposits of Development Minerals such as lithium minerals and graphite used in electric car battery anodes and in smart phones have also been recorded in the DRC, with lithium named a “strategic mineral” in DRC’s 2018 Mining Code.

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<sup>10</sup> International Renewable Energy Agency (IRENA), 2012, *Mozambique: Renewables Readiness Assessment 2012*, Abu Dhabi, UAE: IRENA

<sup>11</sup> <https://www.africa-eu-renewables.org/market-information/mozambique/renewable-energy-potential/>

<sup>12</sup> <https://www.bloomberg.com/news/articles/2018-06-13/congo-plans-to-start-13-9-billion-hydropower-project-this-year>

<sup>13</sup> <https://allafrica.com/stories/201707180232.html>

<sup>14</sup> <https://resourcegovernance.org/blog/democratic-republic-congo-new-mining-fiscal-regime-task>



Despite its contribution to development, however, operators in the Development Minerals sector are undercapitalised, lack access to up-to-date geological data, lack the requisite entrepreneurial skills and have limited access to finance, technologies, tools, markets and market information. Women miners, who account for up to 40% of the workforce in the Development Minerals sector, particularly face gender-specific barriers hindering their equitable access to these vital productivity-enhancing resources. Finance is frequently cited as one of the top priorities for assistance by ASMEs. For instance, in the Democratic Republic of Congo where SMEs account for more than 90% of the firms in the country and employ 89% of the working population nationally<sup>15</sup>, only 18% of this total working population has an account with financial institutions; and of this figure, only 14% are female.<sup>16</sup> In addition, weak mining and quarrying practices reduce the quality and value of minerals and can have detrimental social and environmental impacts, resulting in poor community relations and conflicts. Furthermore, inadequate knowledge generation, dissemination and exchanges across countries and regions greatly hampers south-south cooperation, transfer of skills, best practices and lessons learnt in the Development Minerals sector.

### ***The Response***

In 2013, The ACP Group of States and the European Union requested the United Nations Development Programme (UNDP) to develop a capacity building programme to support ACP member states in the sustainable development of the mineral sector. This on-going programme known as the ACP-EU Development Minerals Programme (Phase I) implements the visions and strategies set out by the ACP Group of States and the European Union.

The vision of the ACP Group of States, as presented in the document *Towards the ACP We Want*, is “to become the leading transcontinental organisation working in solidarity to improve the living standards of our peoples through South-South and North-South Cooperation. The Group’s mission is to accelerate the political, economic and social advancement of our peoples through good governance, poverty eradication, promotion of trade, sustainable development and equitable integration into the world economy.”<sup>17</sup>

One of the avenues to achieve the above vision is through the development of the private sector. As stated in the *Strategic Framework for ACP Private Sector Development*, “strengthening private sector development support is at the heart of the priorities that are vital for the ACP Group to attain the development goals that it has set itself”.<sup>18</sup> The *ACP-EU Cooperative Framework for Private Sector Development* also notes that a major priority of ACP policymakers is to develop and industrialise their countries and regions based on effective, efficient, and prudent exploitation of their mineral wealth by the private sector. Similarly, the *ACP-EU Joint Cooperation Framework for Private Sector Development* supports business friendly and inclusive national and regional policies as well as strengthening of private sector productive capacities and value chains.

The other strategic policy framework underlying the Development Minerals work is outlined in the EC’s Communication—*A Stronger Role of the Private Sector in Achieving Inclusive and Sustainable Growth in Developing Countries*.<sup>19</sup> It recognises that the private sector in the ACP

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<sup>15</sup> World Bank (2018). *Democratic Republic of Congo – SME development and growth project*. Washington, DC: World Bank

<sup>16</sup> Demirgüç-Kunt, Asli, Leora Klapper, Dorothe Singer, Saniya Ansar, and Jake Hess (2018). *The Global Findex Database 2017: Measuring Financial Inclusion and the Fintech Revolution*. Washington, DC: World Bank.

<sup>17</sup> ACP (2017) *Towards the ACP we want*. African, Caribbean and Pacific Groups of States (ACP Group).

<sup>18</sup> ACP (2014) *Strategic Framework for ACP Private Sector Development*. African, Caribbean and Pacific Groups of States (ACP Group).

<sup>19</sup> COM (2014)263 of 13 May 2014.

region plays a key role in reducing poverty by creating new jobs and providing income for their employees and families. The Communication also points out that responsible business practices deserve specific attention in certain industries in the mining sector. The Joint Communication from the Commission and the European External Action Service to the European Parliament and the Council—*A renewed partnership with the countries of Africa, the Caribbean and the Pacific*,<sup>20</sup> also outlines the strategies for assisting small businesses in the provision of improved access to finance and supporting transition to the formal economy. The EU External Investment Plan also recommends mobilizing the public and private sectors to improve economic and social development through job creation, mainly focusing on improving access to finance and strengthening the business environment in Africa.

As recognized by the ACP *Framework of Action on the Development of the Mineral Resources Sector*, the private sector's potential in the artisanal and small-scale mining and quarrying of Development Minerals remains untapped. This is despite the fact that ACP countries are endowed with substantial mineral resources. This was the key issue raised during the debate involving ministries of ACP countries in charge of the mineral sector held in Brussels in October 2012, which highlighted the need for strengthened capacities of public authorities and officials through inter-regional cooperation as well as the importance of a sound local small-scale private sector, as the key catalyst for sustainable development of the ACP mining sector.

In addition, the ACP Secretariat has recently proposed a more integrated approach in this area through the development of a Minerals Cluster, as well as initiatives that seek to develop women's entrepreneurship and the strengthening of the capacity of regional ACP minerals institutions such as the African Minerals Development Centre.

The African Mining Vision (AMV) similarly notes that, "Despite its positive impacts, the ASM sub-sector is beset with problems of sustainability".<sup>21</sup> The AMV argues that, with employment dominated by youth and women and the need to strengthen local livelihoods to tackle the root causes of migration, there is significant potential for cross-thematic benefit from work in this previously neglected part of the domestic private sector of the ACP. The African Union (AU) also joined the call for greater attention to this topic, with 45 African Ministers responsible for Trade, Industry and Minerals requesting prioritisation of Development Minerals as part of Africa's green industrialisation and structural transformation agenda.

The wider development community has also begun to recognise the importance of the Development Minerals sector. For instance, the United Nations Conference on Trade and Development (UNCTAD) advises developing and transition economies to place greater focus on demand for domestically produced minerals in their development strategies.

Keeping people out of poverty is also one of UNDP's goals in its Strategic Plan 2018-2021. UNDP works towards strengthening gender equality, ensuring access to financial services and digital technologies, assisting with transitions and structural shifts including economic diversification, and promoting policy coherence on natural resources and helping transitions to green economies. In keeping with the UNDP's goal of reducing poverty and inequality, also a key objective of the SDGs, a major focus of Phase II of this project is on increasing women's economic opportunities and participation in ASMEs in the Development Minerals sector. The project aims to build on past successes in training and capacity building in the key aspects of business development that will support more women in ownership and meaningful participation in small businesses that comprise the Development Minerals value chain. It will

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<sup>20</sup> JOIN (2016)52 of 22 November 2016.

<sup>21</sup> AU (2009) The African Mining Vision. The African Union. <http://www.africaminingvision.org>

examine relevant private sector and public sector policies; and in so doing will assess and address the level of awareness of government regulators and companies regarding gender equality, and particularly how these are applied to the Development Minerals value chain.

Women in many ASM communities have been hindered from fully realising their economic contribution to, and benefit from the sector due to a number of factors. These include: 1) lack of awareness by public and private sectors regarding women's potential for meaningful contribution and participation in the Development Minerals sector; this perception can lead to women's disempowerment and loss of autonomy; 2) insufficient skills sets, such as lack of technical mining and processing skills and business/financial management skills (such as managing budgets and cash flows required in small businesses); 3) lack of access to procurement opportunities, where government policies may be absent that require companies or government procurement departments to pursue policies of non-discrimination and support of women-owned businesses; such policies would include initiatives to include development strategies aimed at women suppliers and to tailor requirements for construction bids or other types of Development Minerals tenders to ensure that women are given preferred bidder status; 4) inadequate understanding of and access to markets for Development Minerals products, where women owned ASMEs, particularly new enterprises, may not have the same access to markets that more established ASMEs have been able to obtain; 5) Lack of access to financing and business support where the requirements for loans and other financial products are not gender-sensitive. In such cases, women-owned businesses may not have the technical or financial track record that lending institutions require, or possess the collateral required to guarantee a loan (such as title to land or some other form of physical asset). It is worth noting that women beneficiaries of micro lending in other sectors such as agriculture, or community gardens, have demonstrated better performance in loan repayments and this pattern can be replicated in financial products aimed at ASMEs.

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## **II. STRATEGY OF THE ACTION**

### ***Building on Past Achievements***

The proposed Phase II project will build on the successes and lessons learnt from Phase I of the ACP-EU Development Minerals Programme, including those reflected in the findings of the Results Oriented Monitoring (ROM), the mid-term evaluation and the consensus around the ground-breaking Mosi-oa-Tunya Declaration on Small-Scale Mining and Quarrying and Development.

Phase I provided policy advice, technical assistance and capacity building in the areas of: 1) mine and quarry management; 2) environment, health and safety; 3) entrepreneurship skills; 4) market analysis and investment promotion; 5) geo-data and maps design; 6) community relations and addressing grievances. These training activities and related support are provided in over forty-one participating countries (with six focus countries receiving in-depth interventions— Cameroon, Guinea, Uganda, Zambia, Jamaica and Fiji).

The Programme boosted local enterprise development and improved public oversight for responsible mining. It has built the capacity of more than 30,000 people in 49 countries of the ACP, through more than 250 training and knowledge sharing events. Over 153 mining cooperatives have been formed with support from the Programme, which also documented, by detailed census, 14,549 small-scale informal miners, working across 607 sites in Zambia and Cameroon (women making up 41% Zambia and 17% in Cameroon). In Uganda, research

undertaken by the Programme has estimated that direct employment in the quarrying, mining and beneficiation of Development Minerals (including clay brick-making) to be 390,000 (44% being women).

In light of the contribution of women to the Development Minerals sector, the ACP-EU Development Minerals Programme developed a gender equality strategy to ensure adequate participation of women in programme interventions. Over its four-year period of implementation, the Programme achieved a 12% increase in the number of women participating in training and capacity building initiatives, reaching 45% of all stakeholders from an initial starting point of 33%. This is an overachievement given women in artisanal and small-scale mining make up between 30-40% globally. Some of the key interventions undertaken to promote gender equality and women's empowerment included the following: integration of gender in training materials and knowledge products; institution of quotas for women's participation in all Programme activities; small grants provided to women's mining associations; sponsorship of women-owned and/or women-run ASMEs to conferences, trade fairs, exhibitions and networking events; and specific training to women mining associations on corporate governance and regulations, mentoring on group dynamics as well as support in the preparation of "bankable proposals" for access to finance.

Two independent external evaluations gave their testimonials on the successes of the Phase I Programme. For instance, the Results Oriented Monitoring (ROM) mission (ACP/FED/024-777) was held between 20 March and 13 April 2017 to review the Programme. The mission visited 5 countries and interviewed 70 programme stakeholders. The ROM concluded that: "there is an enormous (quite rare) interest for this programme expressed by all stakeholders in the countries as well as in the regional and central organizations involved," the Programme is "very well-designed", with "a high level of ownership", "demand driven and strong alignment with national policies." The ROM noted the enthusiastic demand by beneficiaries and called for a scaling up of committed resources for the second phase.

The independent mid-term evaluation (MTE) was conducted in the first quarter of 2018. The MTE concluded that: "Overall, the ACP-EU Development Minerals programme has recorded a high level of achievement and brought understanding of a neglected sector and its potential to a more central space for policy dialogues. In this regard, it has been a truly 'strategic' project and all stakeholders should be commended." The MTE found the programme to be "highly relevant" to ACP and EU private sector frameworks and "highly consistent with the vision and goals of the Africa Mining Vision." According to the MTE, the Programme has "provided a valuable laboratory in which learning can be distilled from a number of the activities carried out." The MTE recommended that a successor programme (Phase II) should further support extension services and business acceleration. The MTE commended the "increased focus on supporting formalization of informal workers".

### ***Proposed Interventions (The What)***

Besides building on what is already achieved, the proposed Phase II will incorporate the recommendations from the two evaluations mentioned above.

The lessons from Phase I implementation demonstrate that entrepreneurship skills flourish and incomes of ASMEs rise when ASMEs operate in a formalised environment. These in turn are contingent upon capacity of governments, policy makers and regulators to put in place the right policies, legislation and sector support strategies. Their entrepreneurship endeavours are rewarded when supported by access to various financial products, technologies, markets and market information, particularly for women miners. Formalisation

of mining and quarrying activities has proved to be the best way in developing small-scale enterprises into productive and environmentally and socially responsible operators. Furthermore, promotion of gender equality and women's empowerment in the Development Minerals sector has improved incomes and livelihoods at household and community-levels, with multiplier effects on poverty reduction, enhanced education achievement of children, improved food security as well as improved health outcomes.

The proposed Phase II takes the accomplishments of the Phase I Programme one step further. It will build on the capacity building interventions carried out thus far to improve livelihoods for ASMEs operating along the Development Minerals value chain in ACP countries. To achieve this objective, the project will focus on five areas:

1. Formalising ASME's operation and improving the business environment: This project will focus on improving the policy, legal and regulatory frameworks and capacities for formalising ASMEs operation. The lessons show that ASMEs operate productively under formalised settings. Similarly, improved business environments support ASMEs to be more productive. For instance, production of accessible maps with geological data on Development Minerals will provide incentives for new entrants and increased investment from existing entrepreneurs. This is because access to geo-data and related information reduces investment risk and breaks information asymmetry. It also contributes to knowledge of investors about potential markets in the sector. In practice, however, the regulation and service provision to Development Minerals faces some challenges. First, the sector suffers from the lack of attention and priority in public policy. Second (related to the first), there are few institutions with a remit to "look after" the sector. Even if such institutions exist, they lack resources, as well as qualified and experienced personnel. Third, training and research institutions, such as geology and design departments in universities and vocational training institutions, are not geared toward the needs of small-scale mining and quarrying sector. For instance, development of forward linkages of the small-scale minerals sector with other sectors provides an important opportunity to create and retain more value-addition in the country or immediate locality. Processing of artisanal dimension stones into slabs and tiles, production of cobblestones and natural stone pavers from granite, travertine and sandstone are examples of such value addition. The public sector can play a significant role in creating "missing markets" to attract investment flows into the sector. Finally, women working in informal ASMEs tend to be more subject to gender-based discrimination and exploitation than in formalised mining operations. Where mining activity is monitored by government, these sites are required to provide a reasonably safe and healthy environment for employees. Decent wages and working conditions are also more likely to characterise a formal mining operation (and benefit women who are often the sole wage earners supporting families). Greater institutional support aimed at improving the business environment for women entrepreneurs engaged in Development Minerals (or for those women that may be attracted to the sector if greater support were available) would increase the productive contribution of a significant percentage of the working population that is currently under-utilized. This objective corresponds to the SDG goals related to poverty reduction, decent work and gender equality.
2. Increasing incomes of ASMEs: By promoting ASMEs, the strategy is to increase both the number of jobs and the level of incomes earned by workers along the value chain. The proposed Phase II project will use the value chain development approach, which seeks to advance all business activities from the production of raw materials to processing/value-addition, to transportation and logistics, to wholesale and retail trade, to the final

consumer. Focusing on the overall value chain development is critical for sustainability, as the project seeks to improve the performance of ASMEs within the market environment. But, ASMEs tend to also have low earning capacity, which limits potential investment flows that could improve their productivity and increase wages/incomes of employees. For instance, most artisanal miners have limited access to credit from formal financial service providers and face high interest rates. Women miners face additional challenges sourcing finance as potential owners of ASMEs. Women may not hold title to property that could be used as collateral for loans, for example. Sometimes, women may lack autonomy in the household and be unable to approach financial institutions or aspire to become owners of ASMEs without the consent of the male members of the family. Women's skills used in ASMEs may be quite rudimentary and the more sophisticated business and technical skills needed for women-owned ASMEs may be more difficult to source. Further, attention needs to be focused on women's business development opportunities from upstream to downstream activities in the Development Minerals value chain.

Other critical non-lending financial products and services such as deposit, saving, transactional products, insurance and business advisory services are pitched out-of-reach for artisanal and small-scale miners. They also experience challenges in accessing credible valuation and price information, none or limited access to geological information. They face challenges in accessing technologies, machinery/equipment, and encounter weak transportation, warehousing and logistic services. These problems are usually worse for women miners given their often low economic status, position in the value-chain, difficulty with power imbalances in the work force and lack of technical skills.

The proposed project will address these limitations. For instance, it will facilitate the flow of finance to the ASMEs, through its existing partnership with the African Guarantee Fund (AGF).

3. Addressing environmental and social impacts: Mining operations inevitably impact the natural environment and communities located in the neighbourhood of existing and future mines and quarries. Women are often seriously affected by environmental impacts of mining and quarrying activities particularly given their sole or primary responsibility for families. Women-headed households are especially affected when food security, stability of housing, access to basic services and availability of potable water, in particular, are compromised. The negative environmental impacts of mining and quarrying may be substantially reduced by taking preventive or mitigation measures such as, improved mine/quarry site management, use of better technologies, use of more environmentally-friendly substances and post-closure mine rehabilitation. Environmental sustainability will be addressed by training, demonstration and mentoring of operators, regulators and community members to enhance their environmental management, enforcement and monitoring capacities. The project will support the advancement of the rights of individuals directly affected by the loss of shelter or livelihoods due to degradation of the natural environment, such as from loss of water sources, noise and pollution. Such loss of rights, amenity and property can be sources of conflict unless appropriately addressed in the regulatory framework. The rights of indigenous peoples, as affirmed by the UN Declaration on the Rights of Indigenous Peoples, has relevance for this project and will apply a similar approach to protecting the rights of people affected by quarrying, even if they do not fall under the definition of indigenous peoples. The project will address these rights through: 1) raising awareness about the rights of affected people; 2) strengthening the capacity of stakeholders for conducting conflict assessment and analysis; and 3)

organizing consultations for non-violent resolution of conflicts between communities and artisanal and small-scale miners.

Small-scale mining activities also involve difficult and unsafe working conditions, some of which may be resolved through appropriate technological solutions while others require collective solutions. Large numbers of children are often present in artisanal and small-scale mining and quarrying sites. Many of these children are often found at a mine site because their mothers as well as their fathers need to earn sufficient income to support their families. In such cases, there is often a lack of government-provided childcare or schooling facilities that would present an alternative to children having to accompany parents to a mine site. Therefore, the problem of child labour is related to enabling women's participation in mining activity (through provision of affordable child care facilities, etc.) and needs to be considered in tandem with strategies to support families to function and prosper through ASMEs. Children may be exposed to health and safety risks, which are especially serious—whether working directly or in supporting roles, or simply by their mere presence at the mining, quarrying and processing sites. Some of the key health and safety risks include the generation of dust and the potential for silicosis, carrying of heavy loads, risks of mine collapse, and use of explosives in blasting operations. The strategy of this project is to identify the most serious risks present in specific countries and localities through assessment and participatory activities, and by training of regulators, local authorities, operators and academia on ways to address them, facilitating collective action, as well as promoting use of safer technologies. The project's activities will be aligned with the ILO's Decent Work Agenda and will support the EU contribution to the implementation of the decent work agenda.

4. Supporting women-owned and -run ASMEs: While women have much more limited employment opportunities in the large-scale formal mining sector, they are disproportionately represented among the ASMEs operating in Development Minerals. Censuses and surveys of small-scale informal miners, carried out under the Phase I Programme, showed that the proportion of women in ASMEs in Development Minerals range from low to high (17% in Cameroon, 41% in Zambia, 44% in Uganda). However, women face greater challenges in accessing markets, technologies and finance, which inhibits the ability to grow their enterprises and expand. The proposed Phase II project will support interventions that enhance the participation of and benefits accruing to women in the Development Minerals sector through their strategic positioning in the value chain. Interventions will include some of the following activities: 1) promoting demand for products and services by women in the Development Minerals sector through affirmative action policies and practices (e.g. gender-responsive procurement in public and private sector projects); 2) building capacities, skills and knowledge of women entrepreneurs on market analysis and access to market information; 3) building capacities of financial institutions on gender-responsive financial products for women; and 4) conducting training for regulators and local governments on gender inclusion, community engagement, participation, women's empowerment and grievance mechanisms. The project will also conduct gender analyses and assessments of policy and regulatory frameworks governing the sector. It will provide preferential opportunities for women in accessing capacity development tools of this proposed Phase II project.
5. Facilitating Inter-ACP knowledge exchanges: The project will bring key stakeholders in Development Minerals together and provide them the opportunity to interact and share knowledge, including on gender-inclusion in the sector. This is in line with UNDP's Strategic Plan that is focused on brokering knowledge, building capacities and facilitating

exchange of experiences. The project will facilitate inter-ACP cross-country learning through: 1) bringing people together, for instance in the form of study tours; and 2) institutional exchange programmes; and 3) integrating knowledge exchange facilities on its existing web portal, through which project beneficiaries will be able to exchange knowledge and experiences. The project will introduce research and awareness on current issues related to the use of Development Minerals, such as in post-disaster reconstruction and disaster-resilient buildings; promoting labour-absorptive and energy-efficient construction technologies; the energy transition to a low-carbon development pathway through renewable energy technologies; and promoting local arts and customs in architecture, design and materials.

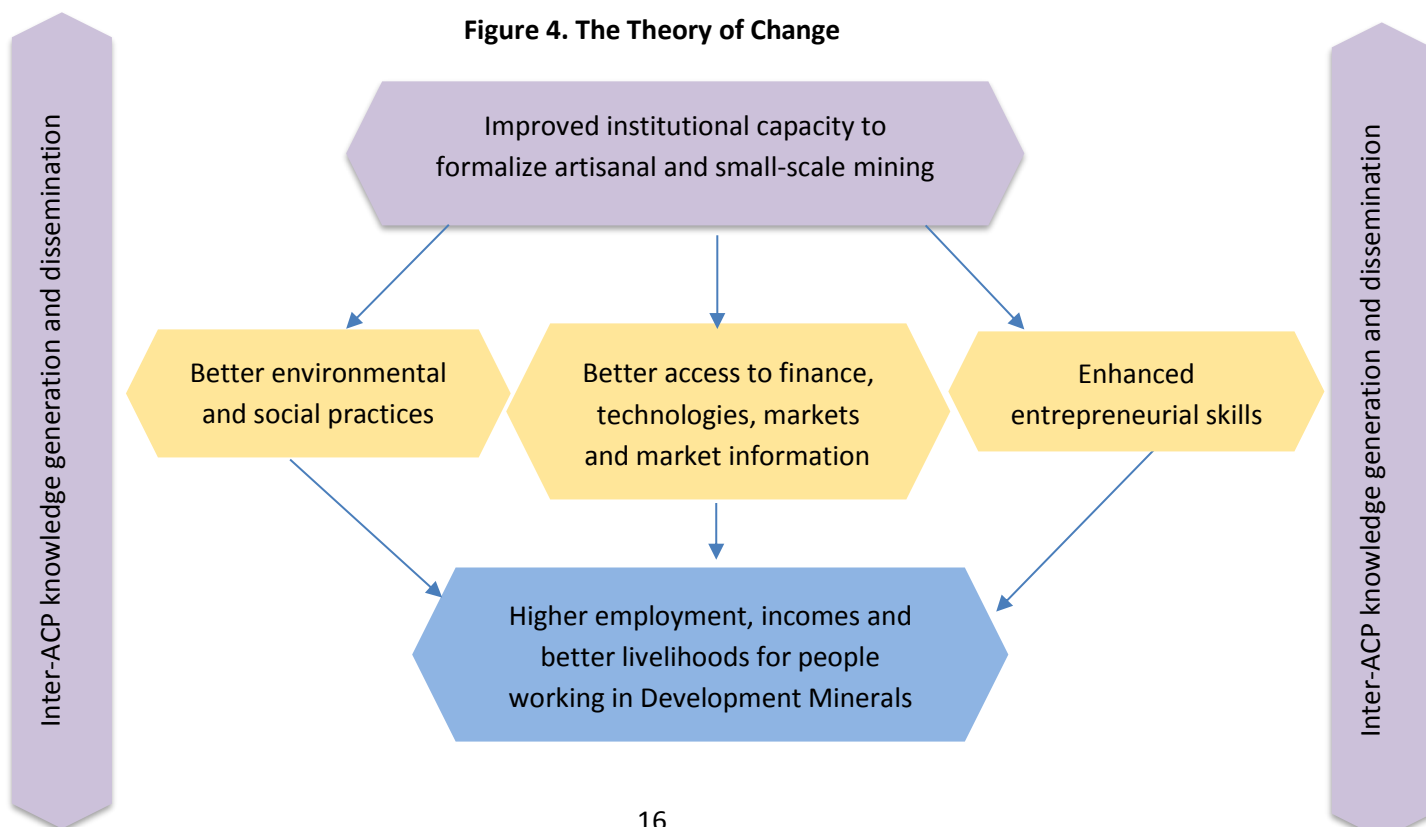
Phase II will invite other development agencies/actors to support the development of the sector through complementary initiatives, e.g. developing models of intervention that can bring significant added value and downstream development impact such as:

- Support Youth Employment and Technical and Vocational Education and Training (TVET).
- Support gender-inclusive development and improve child welfare.

### ***Theory of Change***

The proposed Phase II project is designed to achieve better livelihoods for people working in ASMEs in Development Minerals, by increasing employment and incomes in the Development Minerals sector. This requires better capacities of governments to create a business-enabling policy and regulatory environment for ASMEs in Development Minerals. This also requires better capacities of ASMEs to manage their businesses, which would enable them to improve the quality of materials mined and quarried and improve social and environmental practices. Enhanced access to finance and markets will enable ASMEs to earn higher incomes on a more sustained basis, and further demonstrate the value of more responsible business practices to other ASMEs. Higher incomes and better livelihoods of ASME owners, operators and workers will have positive human development impacts, by expanding opportunities for them and their family members. Particularly, these impacts are expected to be large when income increases accrue to women owners, operators and workers in ASMEs.

**Figure 4. The Theory of Change**





### ***Implementation Modality (The How)***

The activities of the proposed project will be implemented at two levels: At country and regional levels, with an inception workshop that will refine the design of the project:

1. **Country selection:** Focus countries from Phase I of the Programme will be transitioned into Phase II for more advanced support activities and to encourage these countries to facilitate inter-ACP knowledge exchange. Existing focus countries will submit a knowledge exchange strategy that includes a commitment to support regional south-to-south exchanges. New countries are expected to join the existing six focus countries. Under the guidance of the Steering Committee, a formal invitation will be sent to new countries to submit expressions of interest in collaboration with UNDP country offices. The rationale for selecting countries based on their expressions of interest is to maximize the probability of success. The project team will work with the ACP Secretariat and UNDP country offices to ensure that the announcements/invitations reach relevant representatives from all participating ACP countries. Selection of new focus countries will be based on criteria that includes: the extent of mining and quarrying of Development Minerals in the country; opportunities for ASME formalization and value-chain upgrading, with due consideration of geographical balance between Africa, Caribbean and the Pacific. The final country selection will be approved by the project's Steering Committee.
2. **Inception workshop:** An inception workshop will be organized at the beginning of the Phase II project. The participants in the workshop will include alumni from the Phase I ACP-EU Development Minerals Programme, the Technical Committee members, representatives of ACP Secretariat, EC, UNDP, selected focal points from relevant government ministries, global and regional specialized institutions. The objectives of the workshop are:
  - i. To inform key stakeholders about the objectives, expected results and activities of the project;
  - ii. To seek feedback on the project concepts, design and workflow; and
  - iii. To identify areas for partnerships and collaboration.
3. **Country level implementation:** At this level, the project will have three components:
  - a. *Laying the foundations:* Establishing country working groups. Hiring of coordinators. Holding national consultation workshops with key stakeholders to develop the capacity development roadmaps to be implemented in-country.
  - b. *Establishing the knowledge base:* Producing country-level capacity development road maps, policy and regulatory reviews, baseline studies, census, geo-data inventories and developing mechanisms to disseminate geo-data. Conducting value chain and market analyses.
  - c. *Implementing a structured business acceleration package and extension services:* Facilitating formalization efforts. Facilitating access to finance, technologies, tools, markets and market information. Providing value chain support. Developing quarry management plans with goals for environmental management, health and safety, labour practices etc. Providing small grants for enhancing productivity of ASMEs and developing value chains.

4. **Regional level implementation:** The project will continue to mobilize best technical assistance and advisory support for a maximum number of countries. It will prepare print, audio and visual training materials and deliver regional capacity building workshops; organize networking events; convene public-private consultations on improving the regulatory environment. Provide coaching and technical assistance. The project will facilitate south-to-south knowledge exchanges among ACP countries. Partnership agreements will be entered with institutions to implement activities that are large in scope, require specialist expertise, and implementation over a longer period. The regional component will maintain the 41 existing participating countries. To ensure maximum reach of announcements for trainings and other capacity building interventions, the selection of participants and will be made based on outreach through the respective line ministries, regional institutions that the ACP Secretariat and UNDP have partnerships with, the project database and bulletin list, listserv (electronic mailing list) groups in the minerals sector, online platforms such as GOXI and Mining4Development as well as the on-going programme's social media outlets. Up to ten additional ACP countries can also participate in regional and inter-regional trainings based on self-financing model. Opportunities will also be provided for self-funded participants in regional training programmes.
5. **Joint implementation:** The project will have a targeted gender equality and women empowerment component that will be implemented in collaboration with UNWOMEN. An agreement will be entered with UNWOMEN to deliver on the workstream related to supporting women miners and their associations.
6. **Final conference:** At the end of the project, a final conference will be organized, bringing together representatives of key stakeholders from the ACP. In addition, representatives of ACP secretariat, EU and UNDP, as well as representatives of specialized and regional institutions will participate. The conference will: 1) contribute to South-South cooperation and learning across ACP regions; 2) provide space for partners and stakeholders to present the results of their work and the impact from the project; and 3) chart out future interventions that will improve the Development Minerals sector.

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### III. RESULTS AND PARTNERSHIPS

**Impact:** Better livelihoods and gender inclusion, for people working along the Development Minerals value chain in ACP countries

**Outcome:** Increased employment and income for ASM enterprises (ASMEs), and in particular increased economic opportunities for women participating in ASMEs throughout the Development Minerals value chain

**Outputs:**

Output 1: Institutions in ACP countries have improved business enabling environment for gender inclusive operationalisation and formalization of ASMEs along the Development Minerals value chain

Activities:

A1.1 Strengthening policy, legal and regulatory capacities in the public sector to promote gender inclusion, support and formalize ASMEs along the Development Minerals value chain

A1.2 Supporting government agencies and research institutions in the collection and dissemination of geological data and improvement of public geological information systems

Output 2: ASMEs have enhanced entrepreneurial skills and access to finance, technology, markets and market information; and better regulations

Activities:

A2.1 Building the capacity of ASMEs, especially women-led ASMEs, and their associations in marketing, financial and business management, product development, value addition, quality control, resource estimation and valorisation

A2.2 Providing small grants and facilitating gender sensitive access to finance and non-lending financial products and services for ASMEs in partnership with banks, regional guarantee funds, microfinance institutions, credit unions, Savings and Credit Cooperatives (SACCOs), Village Savings and Loan Associations (VSLAs) and other actors in the finance sector

Output 3: Public institutions, communities, women's organizations and civil society organizations (CSOs) have strengthened capacity to put in place social and environmental safeguards in mining and quarrying of Development Minerals

Activities:

A3.1 Building the capacities of ASMEs, communities, women's groups, civil society groups, academia, regulators in mine and quarry management, occupational health and safety, and environmental management

A3.2 Building the capacities of ASMEs, communities, civil society groups, academia, regulators in gender, social and labour rights protection, child labour prevention, community relations and conflict management

Output 4: Women-owned ASMEs are supported to operate in the Development Minerals value-chains

Activities:

A4.1 Raising awareness among regulators, local governments, potential buyers, and financial institutions on gender equality and women empowerment in the Development Minerals sector

A4.2 Promoting demand for products by women ASMEs through affirmative action policies and practices such as gender-responsive procurement in public and private sector projects

Output 5: Inter-ACP knowledge generation and dissemination are enhanced to inform policies, strategies and programmes for supporting ASMEs

Activities:

A5.1 Carrying out and disseminating results of baseline studies, researches and censuses on Development Minerals

A5.2 Facilitating south-south cooperation and transfer of skills, including on affirmative procurement policies among ACP countries on Development Minerals

### **Partnerships:**

A key feature of Phase I of the ACP-EU Development Minerals Programme was the implementation of activities through key partnerships with institutions of Africa, the Caribbean and the Pacific. This approach will be continued and expanded in Phase II.

Phase I of the Programme successfully achieved the following:

- **Partnerships with regional bodies and institutions in the ACP to convene, organize and host the regional training programmes.**

The African Union Commission (AUC); African Minerals Development Centre (AMDC); African Minerals and Geosciences Centre (AMGC); African Mining Legislation Atlas (AMLA); African Legal Support Facility (ALSF); African Guarantee Fund (AGF); Caribbean Community (CARICOM) Secretariat; Economic Community of Central African States (ECCAS); Economic Community of West African States (ECOWAS) Commission; Geoscience Information in Africa Network (GIRAF); Geological Society of Africa (GISAF); Organization of African Geological Surveys (OAGS); International Conference on the Great Lakes Region (ICGLR); Southern African Development Community (SADC); and Secretariat of the Pacific Community (SPC).

- **Partnerships with academic and business development institutions to provide extension services and support formalisation, as well as training and teaching.**

Addis Ababa University - Ethiopia; AGRIDEV – Cameroon; Anton de Kom University of Suriname (ADEKUS) - Suriname; Busitema University – Uganda; Divine Word University – Papua New Guinea; Eduardo Mondlane University - Mozambique; Fiji National University, Fiji; Gemstone Processing and Lapidary Training Centre (Lundazi) – Zambia; GIMERC SARL, Cameroon; Institut des Matières Premières - Cameroon; Institute du Sahel – Cameroon; Institut Géomine de Koké – Guinea; Institut Superior des Mines, Boké – Guinea (Conakry); Institut Superior Polytechnique de Maroua – Cameroon; Malawi University of Science & Technology – Malawi; NADEV-Cameroon; Presbyterian University College - Ghana; University of Buea – Cameroon; Technical Educational, Vocational and Entrepreneurship Training Authority (TEVETA) - Lusaka, Zambia; Université Kofi Annan de Guinée (UKAG) – Conakry, Guinea; Université Gamal Abdel Nasser de Conakry (UGANC) – Guinea; Université Général Lansana CONTE de Sonfonia – Guinea; University of Dar-es-Salaam - Tanzania; University of Douala, Institut des Beaux-Arts (IBA); University of Dschang – Cameroon; University of Ibadan - Nigeria; University of Lagos – Nigeria; University of Lubumbashi, Democratic Republic of Congo; University of Maroua, Cameroon; University of Mines and Technology, Tarkwa – (UMAT), Ghana; University of Nairobi – Kenya; University of Ouagadougou – Burkina Faso; University of Papua New Guinea – Papua New Guinea; University of South Pacific- Fiji; University of Technology (UTECH), Jamaica; University of Technology – Papua New Guinea; University of Queensland, Centre for Social Responsibility in Mining, Australia; University of Queensland, Minerals Industry Safety and Health Centre, Australia; University of West Indies, Mona Campus - Jamaica; University of West Indies at St. Augustine, Trinidad and Tobago; University of Zambia – Zambia; the University of Zimbabwe and the Australian National University's (ANU) School of Earth Science.

Other partnerships to be nurtured in phase II include those with academic and research institutions implementing projects under the European Commission's Horizon 2020 programmes addressing Climate Action, Environment, Resource Efficiency and Raw Materials, particularly, those dealing with raw materials and the circular economy. This will support North-South cooperation, knowledge sharing and the development of a knowledge base that supports implementation of SDG 12 on Responsible production and consumption. The ACP-

EU Development Minerals programme will also enhance knowledge and experience sharing on sustainable raw materials production and supply in [www.goxi.org](http://www.goxi.org) with the partners of the recently concluded EC-funded STRADE project. Key exchanges will be held with University of Dundee – Centre for Energy, Petroleum and Mineral Law and Policy (CEPMLP) as well as the University of the Witwatersrand.

- **Partnerships with specialized institutions/government agencies in the delivery of country-level training on enterprise skills, market analysis, investment promotion and value-addition.**

Partners included: Enterprise Uganda; Jamaica Business Development Corporation (JBDC); National Centre for Small and Micro Enterprises Development (NCSMED), Fiji; Mission for the Promotion of Local Materials (MIPROMALO), Cameroon; Zambia Development Agency (ZDA); Zambia Chamber of Commerce and Industry (ZCC); and Zambia National Council for Construction (NCC).

- **Partnerships with international institutions/agencies to undertake joint capacity building and awareness raising about policy and practice.**

Intergovernmental Forum (IGF) on Mining, Minerals, Metals and Sustainable Development; PanAfGeo (European geological surveys & Organisation of African Geological Surveys); OECD; The World Bank; International Labor Organisation; Kimberley Process; the Global Mercury Partnership; the African Guarantee Fund for Small and Medium-sized Enterprises (AGF); African Finance and Technical Assistance (AFTA); European Micro-finance Platform (e-mfp); Alliance for Financial Inclusion (AFI).

- **Partnerships with mining and quarry associations, including women in mining associations to provide extension services and sensitization at the country-level.**

The Mining and Quarry Association of Jamaica; Fiji Mines and Quarries Council; Dynamique des Artisans de Carrière de Mayo Nyaka; Gic Tappi Naffi; Association of Women in Mining, Lusaka; Association of Zambian Women in Mining; the Emerald and Semi-Precious Stones Association of Zambia; Kalomo Miners Association; Federation of Small Scale Miners of Zambia; Federation of Mining Associations of Zambia; Busia Miners Association; Uganda Women Entrepreneurs Association/Construction Materials & Dimension stones; Karamoja Women's Association; and Rupa Miners Development Association. To further enhance North-South cooperation, knowledge sharing and mentoring, Phase II will deepen previously established contacts with the European Cement Association (CEMBUREAU) as well as the Aggregates Association of Europe. These two industry associations will be key in enhancing knowledge on critical environmental, health and safety standards, innovation and cutting-edge technology in relation to the mining, quarrying and value-addition of Development Minerals.

- **Partnerships with government ministries or agencies to deliver collaborative activities and support policy reform in focus countries.**

Jamaica Business Development Corporation (JBDC), Jamaica; Ministry of Energy and Mineral Development, Uganda; Uganda Chamber of Mines and Petroleum, Uganda; Ministry of Lands and Mineral Resources, Fiji; Ministry of Mines, Industry and Technological Development, Cameroon; Ministry of Mines and Geology, Republic of Guinea; Ministry of Mines and Minerals Development, Zambia; the Ministry of Transport and Mining, Jamaica; National Centre for Small and Micro Enterprises Development (NCSMED), Fiji; Zambia Development Agency (ZDA); Zambia Chamber of Commerce and Industry (ZCC); and the Zambia National Council for Construction (NCC).

- **Partnerships with government ministries or agencies to deliver collaborative activities and support policy reform in participating countries.**

Ministry of Energy and Energy Industries, Trinidad and Tobago; Ministry of Energy and Minerals, Tanzania; Ministry of Mines, Ethiopia; Ministry of Mines and Geology, Republic of Congo; Ministry of Mineral Resources (MIREM), Mozambique; Ministry of Natural Resources, Guyana; and Ghana Minerals Commission, Ghana.

- **Partnerships for complimentary actions in implementing key global and regional frameworks governing the mining sector.**

Following the partnership announcement between the ACP-EU Development Minerals Programme and the African Guarantee Fund for SMEs (AGF), and subsequent capacity building trainings for financial institutions and ASMEs on financial access for the Development Minerals sector, a *Due Diligence Checklist* was developed. The Checklist for Financial Institutions, serving the Development Minerals sector, has been informed by key normative frameworks and guidelines, particularly the *OECD’s Due Diligence Guidance for Responsible Supply Chains*. This provides detailed recommendations to help companies/enterprises respect human rights and avoid contributing to conflict through their mineral purchasing decisions and practices. While this has mainly been applied to internationally traded commodities – gold, tin, tungsten and tantalum – they were written to be inclusive of all commodities and have thus been contextualised for use in the Development Minerals sector. Additionally, building on the OECD’s work, Practical actions for companies to identify and address the worst forms of child labour (WFCL) in mineral supply chains. Operationalization of the *Checklist* in Phase II will involve stronger partnerships with the OECD as well as organizations such as GIZ. Moreover, Phase II will partner with organizations, companies, enterprises and other private sector entities implementing the EU Regulation on Conflict Minerals adopted in 2017, with expectation of full compliance by 2021 in the sourcing of minerals and metals from responsible and compliant sources only. This will ensure that conflict and human rights issues in ASM supply chains are addressed adequately.

### **Risks and Assumptions**

The risks for the project implementation are described below, along with assumptions that will mitigate the risks.

<b>Risks</b>	<b>Risk level*</b>	<b>Mitigating measures</b>
1. Political risks, including: the change in governments’ commitment to reform; transparency; political economy issues such as resistance by vested interests in countries where technical assistance will be provided.	L	Mitigating measures may include appropriate selection criteria of the participating countries.
2. Risk of overlap with actions financed by other donors, projects and programmes.	L	This risk is to a considerable extent mitigated by the fact that this aspect has already been considered in the implementation by the on-going Programme, through a clear-cut selection criterion for beneficiaries of the programme (to avoid double-funding); and regular presence and participation of the EC and UNDP in important and relevant international and national fora related to the mining sector.

Risks	Risk level*	Mitigating measures
3. Lack of continuity after the programme implementation.	M	The best mitigating measures would be to involve regional, sub-regional and country level partners from the outset. The on-going Programme has addressed this risk by partnering with regional institutions of the ACP (such as the African Minerals Geoscience Centre) to embed capacity building into ongoing delivery of technical, vocational and university-level courses.
4. Previous training programmes of public servants have resulted in defection of some of these individuals to the private sector and this poses a risk to the improved regulation of the industry. This must be however qualified if those civil servants join the local private sector, as expertise remains within the country.	L	The target private sector is artisanal and small-scale so the risk of defection from the public sector is reduced. Individual capacity building is undertaken under the aegis of institutional capacity building through the implementation of Return to Work Plans aligned to the institution's strategy and programming.
5. There is a risk that NGOs and environmental activists oppose reform programmes targeting mining activities.	M	A mitigating factor will be to improve training and communication with civil society and to include representatives in project activities. The fact that the programme mainly addresses small-scale mining activities is also a mitigating factor itself. Most of these activities will benefit local economies and societies.
<p><b>Assumptions</b></p> <ul style="list-style-type: none"> <li>• Beneficiaries remain interested in, and available for, programme activities;</li> <li>• Decision-making by recipient authorities is overall timely and coherent;</li> <li>• Policy priorities do not suffer sudden and radical changes;</li> <li>• Political, social and economic stability is preserved in the entire region;</li> <li>• Interest in cooperating with the EU is maintained;</li> <li>• Interest in cooperating with the UNDP is maintained; and</li> <li>• Resources for implementation are available and timely.</li> </ul>		
<p>Note: Since the ACP-EU Development Minerals programme is under implementation currently, the above risks have already been considered and mitigation measures are in place. * L=Low; M=Medium and H=High</p>		

### ***Beneficiary and Stakeholder Engagement***

A wide range of beneficiaries and stakeholders will be involved in the project. The key strategy for their engagement at the country level is through implementation of project activities in focus countries by UNDP country offices. At the regional and interregional level, the engagement will be done through existing partnerships with regional intergovernmental, academic and specialist institutions.

The beneficiaries and stakeholders will include:

- Relevant government agencies, particularly those that deal with minerals exploration and exploitation, environmental management, finance, ASMEs or private sector development, as well as other Ministries and public agencies concerned with the mining sector, e.g. Ministries of Finance, Ministries of Environment, Ministries of Women, Youth and Children Affairs etc., will benefit from enhanced knowledge about the sector that will increase the capacity to regulate and provide oversight for the activities and harness the sector for the benefit of the wider public.
- Private sector operators, cooperatives, and their representatives, such as chambers of mines, chambers of commerce and mining associations. The private sector will benefit from improved regulation (and therefore more transparency and clarity), improved business environment, improved access to affordable finance, technologies, tools and markets, and improved skills of workers.
- Private sector enterprises downstream in the value chain, such as construction, manufacturing and agricultural companies, transporters, private sector enterprises involved in value-addition of Development Minerals will benefit from increased access to suppliers, finance, high quality products and greater certainty of supply. Continued capacity building of these downstream private sector entities on enterprise and business development on the one hand, and calibrated risk assessments & mitigation as well as the development and deployment of innovative financial products by financial institutions on the other hand, will ensure that all actors along the Development Minerals value-chains benefit from interventions that catalyse the impact of Development Minerals in local, national, sub-regional and regional economies.
- Civil Society Groups and local communities will also benefit from enhanced and more equitably distributed revenues, better managed employment and business opportunities that will ultimately contribute to better living standards. They also benefit from better environment conservation initiatives to avoid adverse mining and quarrying impacts, prevention and reduction of work place accidents and environmental incidents, and improved understanding of the mining lifecycle.
- Financial institutions, particularly those providing finance and other non-lending financial products and services to small businesses, will benefit from increased understanding of the sector and its perceived risks. They will be supported to establish businesses with small-scale mining operators with greater capacity, organisation and documentation; and the availability of credit guarantees and other risk-sharing mechanisms by public and private actors.
- Universities, colleges and training providers will benefit from greater linkages between training and practice and strengthened curricula and vocational training programs.

### ***South-South and Triangular Cooperation (SSC/TrC)***

South-South Cooperation is both an objective and a key instrument for implementation of this project. South-South Cooperation and mutual learning will be focused on exchanging knowledge and experience in improving the legal, regulatory and institutional environment for ASMEs in Development Minerals, as well as in exchanging experiences between private sector stakeholders in technical and managerial aspects of mine /quarry management and value addition operations. South-South Cooperation and mutual learning will be facilitated primarily through regional and inter-regional capacity development activities, through in class learning, site visits, study tours, ICT tools as well as through social media. The ongoing ACP-EU Development Programme has a platform for sharing, learning and collaborating that is under use by over forty-one participating African, Caribbean and Pacific countries. This vehicle will further be extended.



A staged, structured business acceleration package will be implemented in a region-specific manner. In Africa, relatively more focus will be given to formalisation of mining and quarrying activities and the provision of support in integration into value-chains. More emphasis will be placed on the enterprise and business development package in the Caribbean and the Pacific focus countries. The enterprise development work will involve scaling-up coaching, training and technical assistance provided to ASMEs on entrepreneurship and business development; providing small grants to ASMEs, on competitive basis and with rigorous due diligence processes.

As shown in Figure 3, the ACP-EU Development Minerals Programme will provide this support through the implementation of a staged Business Support and Acceleration programme, through:

**Figure 3. Staged business support and acceleration programme**



**Stage 1: Accelerated Formalization support**

- a) Supporting a structured ASM formalisation process that will mobilize informal ASM into associations/cooperatives and support their registration with relevant authorities;
- b) Facilitating acquisition of mining/quarrying licenses;
- c) Enhancing the governance of the newly formed associations/cooperatives through capacity building initiatives that include mentoring.

**Stage 2: Capacity Development support**

- a) Carrying out training and capacity development of ASMEs on mine and quarry management, environment, health and safety, gender, labour and child rights;
- b) Conducting trainings on mineral processing and value-addition to priority Development Minerals in line with local and regional demand;
- c) Enhancing the knowledge, skills and competencies of ASMEs on improved enterprise development and business development skills to ensure strategic positioning in the Development Minerals value-chain;
- d) Disbursing small-grants to get the newly formed associations/cooperatives and ASMEs “business-ready”.

**Stage 3: Business development support and acceleration**

This will involve support to ASMEs to access tools/equipment, technology, markets and market information including through the following interventions:

- 1) Undertaking advocacy for the establishment and implementation of procurement policies that stipulate that a percentage of the materials needed for government and private sector infrastructure development is sourced from ASMEs of Development Minerals;
- 2) Facilitating faster access to finance through expansion of the current partnership agreement with the African Guarantee Fund that provides credit guarantee facilities to financial institutions to extend affordable and accessible financial products to ASMEs;

- 3) Undertaking advocacy for the establishment and implementation of “make local, buy local” government campaigns for Development Minerals products.

Another area for supporting South-South cooperation and mutual learning is the knowledge sharing work. This will involve connecting ASMEs to each other to facilitate peer learning and building of networks and facilitating access to extension services

In terms of sustainability, Phase II will enhance the capacity of line Ministries, partner institutions, academics, technical and vocational education training centres, and business development agencies from both the public and private sectors that will likely adopt and carry on the activities of the project beyond its lifecycle. Existing focus countries will be encouraged to take full ownership, fund and roll out grassroots and pit side replication of knowledge acquired from the first phase as part of their effort to deliver continued extension services to ASMEs.

Additionally, building on Phase I of programme implementation, several key sustainability actions will be pursued at both regional and country levels as follows:

#### **Regional-level**

*Theory of Change:* Implementation of Phase II will be guided by an impactful Theory of Change that is driven by sound analysis, careful reflection and consultations on the key challenges in the Development Minerals sector, and proposed solutions based on available evidence and learning on what works and what does not.

*Political legitimization:* The programme will continue its engagement with the African Union Commission’s Specialized Technical Committee on Trade, Industry and Minerals (STC-TIM) to ensure the buy-in of political leadership at the Africa regional level, on the Programme’s objectives and outcomes since this will ensure that the Programme is aligned with regional government priorities and actions. Similar engagement with political leadership in the Caribbean and Pacific regions will be strengthened.

*Partnerships with academic, vocational and business development institutions:* The existing partnerships with 42 academic, vocational and business development institutions will be strengthened and extended in Phase II to include other institutions. This will further the programme’s engagement with them to provide extension services and support for formalisation, training, teaching and provision of technical as well as equipment support.

*Capacity building approach:* The ACP-EU Development Minerals Programme will continue using a 3-pronged capacity development approach that goes beyond training of individuals to enhance their knowledge and skills. It extends to facilitating wider organizational and institutional change, creating an enabling environment that supports the application of these newly acquired skills for better and sustainable results, through the development and implementation of Return-to-work Plans.

#### **Country-level**

*Multi-stakeholder Country Working Group:* In Phase II, the programme will continue its engagement with the established Country Working Groups comprised of public stakeholders from relevant ministries as well as local government officials; small-scale mining operators; civil society organizations; and business development entities who provide guidance on programme delivery at the country level as well as supporting the monitoring of programme

implementation. The new focus countries will establish Country Working Groups to ensure multi-stakeholder participation for oversight and guidance.

*Revision/formulation of policies and regulatory frameworks:* The programme will continue its support to national policy and regulatory reform of the mining sector to integrate issues specific to the Development Minerals sector.

*Physical integration of programme staff at the Ministry:* As was the practice in Phase I of the programme, the Country Coordinators will be physically hosted at the respective Ministry of Mines premises. This will ensure that they have daily interactions with ministry staff; are part of the discussions at policy and practice level on work planning, resulting in knowledge and skills transfer to a wider cohort of officials. This will result in prominence of the Development Minerals sector at the ministry which will last long after Programme closure.

*Expertise-building at national and local levels:* The Training of Trainers (ToT) approach will ensure that the trained beneficiaries/stakeholders will internalize training content and adapt it to their respective local context for further local dissemination throughout the implementation cycle. In addition, the thus capacitated (national / local) trainers will be an easily identifiable and accessible resource point that will contribute to continued capacity building of their communities beyond the life of the Programme, with numerous multiplier effects.

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## **IV. PROJECT MANAGEMENT**

### ***Resources Required to Achieve the Expected Results***

UNDP will be responsible for implementing the project and achieving the results. Project implementation will require human resources, systems; assets; networks; and financial resources, as indicated in the work plan and budgets.

UNDP's management support to the proposed project will also continue. UNDP will utilise its vast network of experts at its global, regional and country-levels to support the project's implementation. The existing Technical Committee that advises the ongoing Programme will also continue to support the proposed project. The ACP and EU experts will support the project through their Brussels based offices, Secretariats and country delegations.

A detailed budget detailing all resources and their respective costs required to implement the Project activities is presented in Annex 3. The key resources that will be required by the Project to achieve its expected results are summarized below. Among others, the Project will comprise of the following types of costs:

#### **a. Human resources**

##### **a.1. Project staff:**

This will include staff responsible for providing technical assistance and carrying out administrative and management tasks. UNDP will continue to deploy the existing staff members of Phase I of the ACP-EU Development Minerals Programme. Two country coordinators for 2 new focus countries; service contractors and consultants (both international and local experts) as needed will be hired to implement the proposed Phase II. UNDP's management support to the proposed project will also continue. The human resources required for the implementation of the project include 3 staff in Brussels, Belgium; 1 based in Addis Ababa, Ethiopia while 8 country coordinators will be based in the 8 focus

countries (6 current focus countries and an additional 2 focus countries to be determined). The key staff profiles and roles are detailed in section VIII.

**b. Office costs**

**b.1. Equipment and supplies:** the key resources required in this budget category are:

- furniture, computer and other equipment, as well as software, purchased within the project. Some items will be purchased to replace the outdated or disposed items.

**b.2. Office costs:** the key resources related to this budget category include:

- office rental costs: such costs are incurred in Brussels, Belgium; Addis Ababa, Ethiopia and the 8 focus countries (Cameroon, Guinea, Uganda, Zambia, Jamaica, Fiji and 2 additional countries to be determined). These costs include utilities, cleaning, ITC support, IT infrastructure upgrade, reception, connectivity charges (internet, phone calls), minor office supplies
- office supplies (stationery) for the PMU in the Brussels office and 8 local offices.

**Other resources** include:

- publications
- evaluation
- translation and interpretation
- conferences and seminars (project launching and closing, regional seminars etc.)
- capacity building events (information, training events)
- visibility actions (including visibility items, media sensitisation, printing, audio-visual, website, etc.)
- surveys
- costs of security in the different project offices

**Systems:** UNDP is the implementing partner for the proposed project, entrusted with its implementation, along with the assumption of full responsibility and accountability for the effective use of resources and the delivery of all outputs. Procurement of goods and services, needs of which will be identified during the project will be in accordance with UNDP's Programme and Operations Policies and Procedures (POPP)—systems for financial, human resources, procurement, management, workspace and administration processes. The ACP Secretariat and EC will likewise support the project through their able offices in Brussels and beyond.

**Fixed assets:** UNDP will make its offices in Brussels and its country offices in selected countries available to support the implementation of the proposed project.

**Global networks:** The ACP-EU Development Minerals Programme has forged various partnerships across the ACP region and beyond. The proposed project will tap into these networks for successful implementation. See the next section that will further elaborate the partnerships to support the implementation of the project.

### ***Implementation Modality***

The programme will be implemented by UNDP through Direct Implementation Modality (DIM).

### ***Cost Efficiency and Effectiveness***

The Proposed project will build on and utilize the financial, human resources, procurement, management, and administration processes as well as the networks and knowledge base

created by the ongoing Phase I ACP-EU Development Minerals Programme. To increase value for money, the following strategies will also be used:

- Exploiting already established cost efficiency methods;
- Use of the existing capacity development modules, communication and visibility models;
- Leveraging established trainings by academic and other specialised institutions; and
- Organising capacity building events on a partial or, where relevant, full cost-recovery basis.

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## **V. RESULTS FRAMEWORK**

EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>i</sup>	DATA SOURCE & DATA COLLECTION METHODS	BASELINE	TARGETS		
			Value	Year 1	Year 2	Year 3
<b>Output 1:</b> Institutions in ACP countries have improved business enabling environment for gender inclusive, operationalisation and formalization of ASMEs along the Development Minerals value chain	<b>1.1a</b> Number of ACP countries with new or improved policies, laws, regulations to facilitate formalisation, gender inclusion and business development of ASMEs	Government policy documents, laws and regulations; Baseline / endline assessments. Project reviews.  Data collection methods: Desk reviews; and Interviews.	8 (TBD at inception phase)	2	5	4
	<b>1.1b</b> Number of ASMEs that are formalized and/or access extension services through programme support	ASME reports; Mining association/cooperative/chambers reports; Government reports; Reports from business registration entities; Baseline/endline assessments; Project reviews.  Data collection methods: Interviews, surveys, focus group discussions	4475	400	800	600
	<b>1.2</b> Number of ACP countries with geo-data maps created/ geo-data inventories conducted and experts trained in geodata collection and digitization	Available geo-data maps and inventories on Development Minerals; Online mining cadastres; Baseline/endline assessments.  Data collection methods: Interviews; Training attendance records; Project reviews	6	2	3	4

<b>Output 2:</b> ASMEs have enhanced entrepreneurial skills and access to finance, technology, markets and market information; and better regulations	<b>2.1</b> Number of ASMEs/ cooperatives/chambers/ associations trained in enterprise management and related technical skills demonstrating improved practices	ASMEs/chambers/ associations' reports; Quantitative analysis of training participation data - Training reports; Business plans & other bankable documents; Marketing strategies; Baseline / endline assessments; Project reviews.  Data collection methods: Post-training evaluation forms; Interviews; Desk review of reports.	1258	600	1200	1500
	<b>2.2</b> Number of ASMEs that applied for / obtained small grants, credit or other financial products from financial institutions and other actors	Project reports on small grants disbursement; Mapping of financial institutions providing financial products to ASMEs; Financial institutions' reports; ASME financial reports.  Data collection methods: Desk review of project reports on small grants disbursement; Interviews with financial institutions; Interviews with ASMEs; Desk review of financial institution records.	60	200/ 100	450/ 200	300/ 150
<b>Output 3:</b> Public institutions, communities, women's organizations and CSOs have strengthened capacity to put in place social and environmental safeguards in mining and quarrying of Development Minerals	<b>3.1a</b> Number of ASMEs/cooperatives, civil society groups, academia, regulators trained in mine and quarry management / developed return-to-work plans (RWPs) on environmental management, occupational safety and health, and gender inclusion	Quantitative analysis of training participation data - programme training reports; Post-training evaluation Health, safety and environment management plans; Baseline / endline assessments; Project reviews.  Data collection methods: Interviews; Desk review of RWPs; Desk review of progress reports on implementation of RWPs.	299	500/ 100	1000/ 250	1000/ 200

	<b>3.1b</b> Number of training programs with thematic relevance to Development Minerals developed and delivered by universities, colleges, training centres, business development consultancies, associations and other training entities	Mapping of training institutes and their programmes and reports; Enrolment/attendance records for training programs; Records on number of graduates.  Data collection methods: Targeted surveys; Desk review of reports Interviews.	42	20	25	15
	<b>3.2</b> Number of ASME operators, community members, CSO staff, academia, regulators and local governments staff trained and implementing improved community engagement/conflict management and protection of human rights/labour/gender/child rights	Quantitative analysis of training participation data - training reports to monitor progress; Post-training evaluation reports; Baseline / endline assessments; Project reviews.  Data collection methods: Targeted surveys; Interviews; Observation.	94	120	240	180
<b>Output 4:</b> Women-owned ASMEs are supported to operate in the Development of Minerals value-chain	<b>4.1a</b> Number of women ASMEs/cooperatives/ associations receiving support in enterprise development, business management and related technical skills	Quantitative analysis of training participation data - training reports; Post-training evaluation Baseline / endline assessments Project reviews Mapping of chambers/ associations; Women's mining associations reports.  Data collection methods: Interviews and focus group discussions; Desk review of reports; Surveys.	153	600	1400	1000



	<b>4.1b</b> Number of staff of regulatory agencies, local governments, potential buyer companies and financial institutions trained in gender equality and women empowerment, with application of these principles in the Development Minerals sector	Quantitative analysis of training participation data - training reports to monitor progress; Post-training evaluation; Baseline / endline assessments; Project reviews.  Data collection methods: Interviews; Targeted surveys.	205	150	250	200
	<b>4.2</b> Number of government institutions and private sector companies with gender-responsive procurement policies and practices	Baseline / endline assessments; Project reviews; Government and company reports.  Data collection methods: Interviews and focus group discussions; Surveys.	0	8	100	150
<b>Output 5:</b> Inter-ACP knowledge generation and dissemination are enhanced to inform policies, strategies and programmes for supporting ASMEs	<b>5.1</b> Number of research studies conducted, including on sustainable development, climate change, disaster risk management and Development Minerals	Inventory of publications; Literature review citations; Web data analysis reports; Academic papers, scientific publications, reports, media reports.  Data collection methods: Desk reviews of research studies conducted; Mapping of training entities and their research programmes; Web data analysis.	6	7	15	12
	<b>5.2</b> Number of stakeholders who have increased knowledge and positive attitude towards ASMEs and gender inclusion, affirmative procurement policies in Development Minerals because of South-South knowledge exchange activities organized on Development Minerals	Evaluation reports from meetings, workshops, trainings, conferences and study tours.  Data collection methods: Focus group discussions; Interviews; Targeted surveys.	6739	1000	2000	1500

## VI. MONITORING AND EVALUATION

### *Monitoring*

The day-to-day technical and financial monitoring of project implementation will be a continuous process. UNDP has internal, technical and financial monitoring systems to provide an accurate account of project implementation, with systems to address difficulties encountered, changes introduced, as well as the degree of achievement of its results as measured by corresponding indicators.

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

<b>Monitoring Activity</b>	<b>Purpose</b>	<b>Frequency</b>	<b>Expected Action</b>
<b>Track progress of results</b>	Data against the results indicators will be collected and analysed to assess the progress of the project in achieving the agreed outputs. Monitoring visits to observe country and regional/inter-regional activities will be conducted by the project management team.	Semi-annually, or in the frequency required for each indicator  As needed	Slower than expected progress will be addressed by the project management team.
<b>Monitor and Manage Risk</b>	Identify, monitor and manage risks that may threaten achievement of intended results.	Semi-annually	Risks are identified by programme management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.
<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the management team and used to inform decisions.
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to make improvements.	Annually	Areas of strength and weakness will be reviewed by the project management and used to inform decisions to improve performance.
<b>Project Reports</b>	Progress updates will be presented to the Steering Committee and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level.  Progress reports and a final report will be submitted to the EU in line with Article 3 of the GCs.	Annually, and at the end of the programme (final report)	Baseline and endline studies will be conducted in the focus countries.
<b>Project Review (Steering Committee)</b>	The Steering Committee will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the final year,	At least bi-annually	Any quality concerns or slower than expected progress will be discussed by the Steering Committee and management actions will be agreed to address the issues identified.

	<p>the Steering Committee shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.</p>		
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The above is without prejudice to any monitoring mission or evaluation exercise, which the European Commission as a donor, at their own costs, may wish to perform as established in Article 10.2 of the GCs.

***Evaluation***

Mid-term and final evaluations will be carried out in line with Article 10 of the General Conditions. These evaluations will be carried out for assessing project performance, achievements and impact, and for accountability and learning purposes at various levels (including for policy revision).



Year	Year 1				Year 2				Year 3	
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
<b>1.2: Supporting government agencies and research institutions in the collection and dissemination of geological data and improvement of public geological information systems</b>										
Conduct <u>regional</u> training on geo-data mapping										
Organize <u>country-level</u> workshops for training of trainers (TOTs)										
Undertake reviews and scoping studies of available geo-data at the country level										
Undertake inventory of geo-data at the country level										
Provide small grants for producing databases with digitized geo-data										
Develop mechanisms to disseminate the geo-data										
Provide coaching and on the job technical assistance										
<b>Output 2: ASMEs have enhanced entrepreneurial skills and access to finance, technology, markets and market information; and better regulations</b>										
<b>2.1: Building the capacity of ASMEs, especially women ASMEs, and their associations in marketing, financial and business management, product development, value addition, quality control, resource estimation and valorisation</b>										
Deliver <u>country</u> trainings on mine and quarry management										
Conduct <u>country</u> training on entrepreneurship skills (marketing, financial and business management, product development, value addition, quality control, resource estimation and valorisation)										
Provide coaching and on the job technical assistance										
<b>2.2: Providing small grants and facilitating gender-sensitive access to finance and non-lending financial products and services for ASMEs in partnership with banks, regional guarantee funds, microfinance institutions, credit unions, Savings and Credit Cooperatives (SACCOs), Village Savings and Loans Associations (VSLAs) and other actors in the finance sector</b>										
Conduct <u>country level</u> training and sensitisation workshops for financial institutions, credit and guarantee providers										
Conduct <u>country level</u> sensitisation workshops for ASMEs on availability of small grants, finance and working capital										
Provide small grants for ASMEs to develop new products and improve value-addition skills										
<b>Output 3: Public institutions, communities, women's organizations and civil society organizations (CSOs) have strengthened capacity to put in place social and environmental safeguards in mining and quarrying of Development Minerals</b>										
<b>3.1: Building the capacities of ASMEs, communities, women's groups, civil society groups, academia, regulators in mine and quarry management, occupational health and safety and environmental management</b>										
Conduct <u>country</u> training and sensitization on environmental, health, safety standards										
Undertake legal reviews in selected countries to improve/develop health, safety and environmental standards										

Year	Year 1				Year 2				Year 3	
Activities	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
Provide coaching and on the job technical assistance										
Provide small grants to support environmental and social safeguards										
<i>3.2: Building the capacities of ASMEs, communities, civil society groups, academia, regulators in gender, social and labour rights protection, child labour prevention, including community relations and conflict management</i>										
Conduct <u>country</u> training, awareness and sensitization on gender, human and labour rights with emphasis on preventing child labour										
Conduct <u>country</u> training on community relations, conflict management; effective grievance mechanisms and community engagement for non-violent resolution of conflicts between communities and artisanal and small-scale miners										
Strengthening the capacity of stakeholders for conducting conflict assessment and analysis										
Provide small grants										
<b>Output 4: Women-owned ASMEs are supported to operate in the Development of Minerals value-chain</b>										
<i>4.1: Raising awareness among regulators, local governments, potential buyers, and financial institutions on gender equality and women empowerment in the Development Minerals sector</i>										
Carry out country level surveys and assessments to capture the status of women miners										
Carry out country level assessments of policy and regulatory frameworks for gender-sensitivity										
Conduct <u>country level</u> training and sensitisation workshops for regulators, local government, mineral buyers and financial institutions on gender mainstreaming										
<i>4.2: Promoting demand for products by women ASMEs through affirmative action policies and practices e.g. gender-responsive procurement in public and private sector projects</i>										
Produce investor guides, handbooks, information packages in selected countries promoting mineral products produced by women										
Organize <u>country-level</u> technology exhibitions, business fairs, networking events in selected countries promoting minerals produced by women										
<b>Output 5: Inter-ACP knowledge generation and dissemination are enhanced to inform policies, strategies and programmes for supporting ASMEs</b>										
<i>5.1: Carrying out and disseminate results of baseline studies, researches and censuses etc. on Development Minerals</i>										
Conduct baseline studies										
Conduct value chain and market analyses										
Conduct research on gender-inclusive and responsive workplaces										
Conduct research on climate change and Development Minerals										
Conduct research on disaster-resilient building and reconstruction										
Conduct research on labour-absorptive and energy-efficient construction technologies										

Year	Year 1				Year 2				Year 3	
Activities	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
<i>5.2: Facilitating south-south cooperation and transfer of skills among ACP countries on Development Minerals</i>										
Organise knowledge sharing events among ACP countries, including on affirmative procurement policies										
Set up and strengthen electronic tools (ICT tools and social media) for knowledge and experience exchanges										

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## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project will be part of the ACP-EU Minerals Cluster. It will be subject to active oversight through a joint governance arrangement, specifically with a single Steering Committee that will oversee the three components.

The current organisation structure set up for Phase I of the ACP-EU Development Minerals Programme will continue to oversee and manage the proposed project. The governance of the project will contain five entities: i) the Steering Committee (PSC); ii) the Technical Committee (PTC); iii) the UNDP Project Management Team (PMT); iv) Technical Experts; and v) Country Working Groups.

**The Steering Committee** with full membership by the EU, the ACP Secretariat and UNDP, will provide oversight and will be responsible for making, by consensus, strategic and management decisions guiding project implementation. The ACP Secretariat will chair it. UNDP will provide the necessary administrative support. The Steering committee will consist of representatives from the European Commission, ACP Secretariat and UNDP. Meeting bi-annually (including both electronically and in person), the Steering Committee will carry out the following tasks:

1. Advise and provide overall direction and guidance to the project, including new strategic areas of collaboration and interventions, as appropriate;
2. Provide oversight and ensure effective management and implementation of the project;
3. Review performance towards project results and objectives;
4. Propose changes in the project intervention logic, if required.
5. Undertake monitoring and commission EC evaluations; and
6. Keep the UNDP, ACP Secretariat and EC leadership regularly informed about the deliberations and decisions of the Steering Committee.

**A Technical Committee** comprises technical staff from partner institutions, and representatives from ACP Group of States. Meeting bi-annually (including both electronically and in person), the Technical Committee will play a key role in ensuring the quality of project activities, delivery modalities and will serve as an additional source of expertise. The Committee will also provide guidance on how to create partnerships and synergies, as well as avoid duplication of work with other partners. The Technical Committee members will not be remunerated. The current Technical Committee members invited for Phase I of the ACP-EU Development Minerals Programme will continue to be members, with additional members that will join during the inception phase.

**The Project Management Team** will consist of staff members in Brussels, Addis Ababa and in the focus countries (currently in Cameroon, Guinea, Uganda, Zambia, Jamaica and Fiji) plus 2 new countries to be added. The Project Management Team that will be involved fulltime in the implementation of the Action are described below as follows:

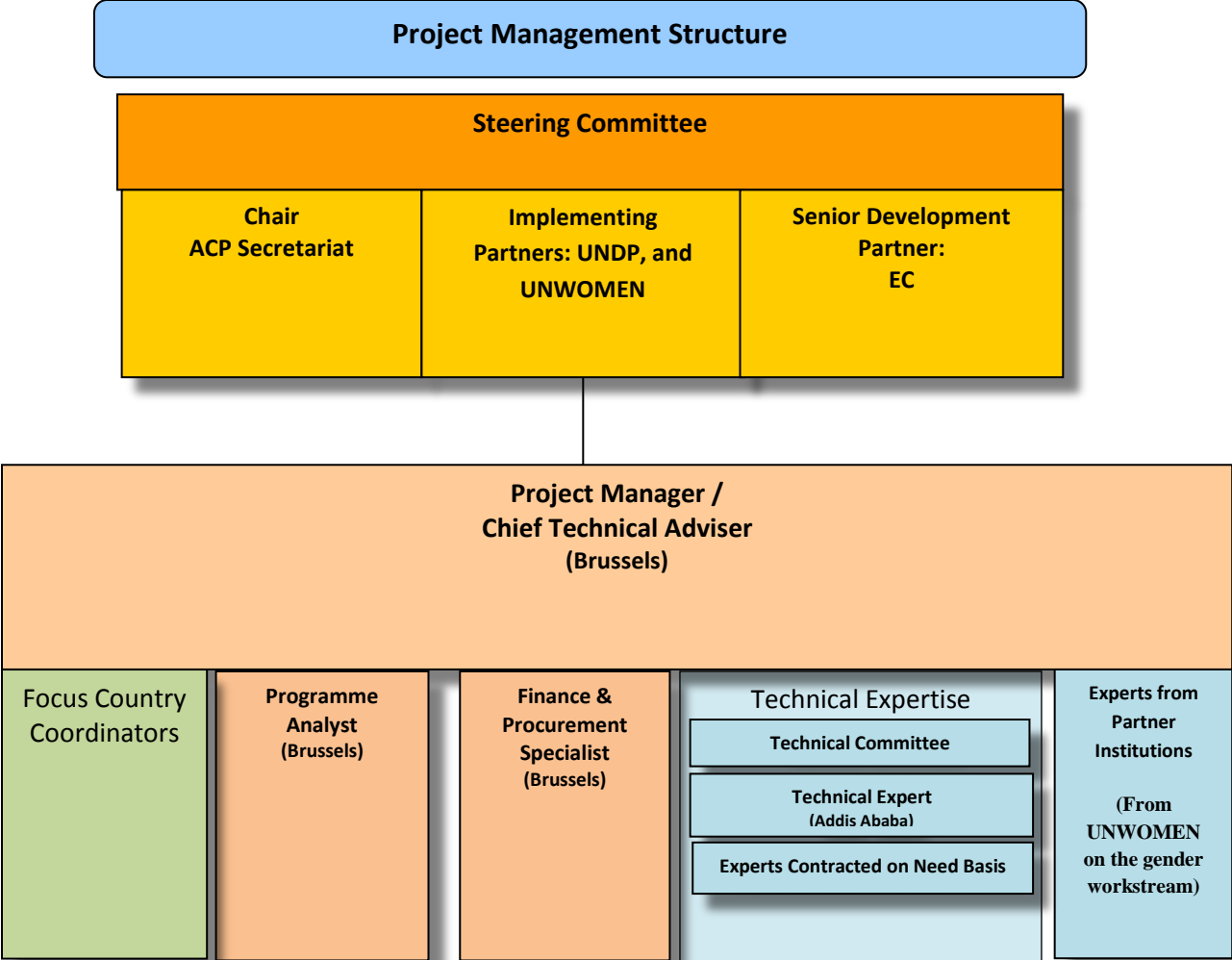
1. The **Project Manager** will be responsible for the overall management, decision-making, policy and technical guidance and ensures the quality and coherence of project activities.
2. One **Programme Coordinator Analyst** will be responsible for ensuring coherence between project activities and design capacity development tools; coordinate with all partners, forge new partnerships. The Programme analyst will generate training materials, knowledge products, conduct data analysis and disseminate widely; conduct communication and outreach activities and lead the organisation of events.
3. One **Finance and Procurement Specialist** will lead the logistical, procurement and financial operations of the project.



**The Technical Expert** will be responsible for the design and delivery of technical assistance and capacity development activities at both regional and country level; will generate training materials, knowledge products and disseminate widely.

**The Country Coordinators** will be placed in the focus countries and sit with the relevant Ministries and UNDP offices. They will be responsible for the management and implementation of project activities at the country level.

The project management organogram is found below:<sup>27</sup>



<sup>27</sup> Given the breadth of expertise required, additional technical expertise will be recruited through consultancies or partnership agreements.