
ANNEX I

Description of the Action

Capacity development of mineral institutions and of small-scale private sector operating in low-value minerals in ACP countries

**Submitted by the
United Nations Development Programme (UNDP)**

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The 10 Special Features of the Proposal

1. UNDP will establish partnerships with UN agencies, regional and specialized institutions with expertise in the mining sector for effective and efficient delivery of the results.
2. A multi-disciplinary project team will be put in place with a combination of extensive knowledge of and experience in the area of natural resource governance, poverty reduction, environmental protection and conflict prevention in the mining sector.
3. The project will benefit from UNDP's access to a broad network of organizations and resources both in the North and the South. South-South exchange of skills and expertise will be a special feature of the capacity development approach.
4. All capacity development and training materials will be specially designed for the project.
5. All training modules will use data and information generated by the ACP countries and refer to current policy discussions.
6. To ensure sustainability, the project will forge partnerships with country-level and regional organizations and prioritize the use of local and regional expertise in order to continue the capacity building exercise beyond this project's lifecycle.
7. A website will be created to transmit updated modules, data and relevant information to all stakeholders and training participants.
8. Each training session will be led by at least two experts with complementary expertise.
9. The project will be run by a team with strong project management skills, with all experts trained in proprietary project management methodology.
10. A rigorous quality management system will underpin the project. The project will be overseen and guided by a steering committee, with senior management representation.



SUMMARY

| | | | | | | | |
|--|---|---------------------------|------------------------|------------------------|-----------------|--------------------------|----------------|
| Title: | Capacity development of institutions and small-scale private operators in mineral production in ACP countries | | | | | | |
| Expected Outcome: | <ol style="list-style-type: none"> 1. The small-scale private operators in ACP^[1] countries operating in the LVMM^[2] sector have the technical and entrepreneurial capacity to enhance productivity. 2. Industry associations/chambers in ACP^[3] countries that represent small-scale private operators in the LVMM^[4] sector have capacities to fully support miners and provide them with services. 3. Public institutions in ACP countries in charge of the mining sector and mineral policies have capacities to regulate and create an enabling environment for small-scale private operators and their representatives.^[5] 4. Civil society, communities and indigenous peoples have the knowledge to ensure that the mining sector meets the economic, social and environmental standards and violent conflict is prevented. 5. ACP countries benefit from exchange of knowledge and experiences through South-South learning and cooperation. | | | | | | |
| Expected Outputs: | <ol style="list-style-type: none"> 1. Operating standards and technologies improved in mines and quarries through enhanced technical knowledge of the small-scale private sector, associations/chambers, and public institutions in mine and quarry management. 2. Environmental, health, safety standards improved and human and labour rights better protected in artisanal and small-scale mining through enhanced technical and legal knowledge of the small-scale private sector, associations/chambers, and public institutions. 3. Productivity, access to markets and working capital of the small-scale private sector in mining increased through enhanced entrepreneurial skills. 4. Value chains in mining strengthened through networking and improved capacity of associations/chambers and public institutions to conduct market analysis and investment promotion. 5. Access to geo-data in mining improved through enhanced technical knowledge, capacity and coordination among public institutions. 6. Risk of conflict between miners, mining enterprises and local communities reduced by building conflict prevention, dialogue and mediation skills of miners, associations/chambers, public institutions and communities | | | | | | |
| Brief Description | | | | | | | |
| <p>This project will provide capacity-building support to the small-scale private sector, the associations/chambers, the public institutions and the social stakeholders that operate in the low value minerals and materials sector. The project will enhance the capacities of these entities to increase the sector's productivity; better manage mining operations; adhere to national and international environmental and health standards; and prevent conflict through effective community relations. The project's focus on small-scale processing activities will have the greatest impact on local employment generation and sustainable development. The project meets the concerns raised during the debate involving ministries of ACP countries in charge of the mineral sector held in Brussels in October 2012. The meeting highlighted the need for strengthened capacities of public authorities and officials working in the mining sector through inter-regional cooperation. Such capacities are necessary for sustainable development of sound local small-scale private sector. Therefore, the actions proposed in this project are in line with the prioritization identified in the ACP Group Road Map for the development of the mineral resources sector.</p> | | | | | | | |
| Project Period: <u>2014-2017</u> Key Result Area (Strategic Plan): <u>See RRF</u> Atlas Award ID: Start date (tentative): <u>01 September 2014</u> End Date (tentative): <u>31 August 2017</u> PAC Meeting Date: Management Arrangements: <u>See Section V</u> | <table style="width: 100%; border: none;"> <tr> <td style="width: 60%;">Total resources required:</td> <td style="text-align: right;">Euro <u>13,100,000</u></td> </tr> <tr> <td>Total EU contribution:</td> <td style="text-align: right;">Euro 11,700,000</td> </tr> <tr> <td>Total UNDP contribution:</td> <td style="text-align: right;">Euro 1,400,000</td> </tr> </table> | Total resources required: | Euro <u>13,100,000</u> | Total EU contribution: | Euro 11,700,000 | Total UNDP contribution: | Euro 1,400,000 |
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[1] African, Caribbean and Pacific Group of States

[2] Low-value Minerals and Materials

[3] African, Caribbean and Pacific Group of States

[4] Low-value Minerals and Materials

[5] Focusing on technical, management, market, safety and environmental issues, social - community development, dialogue with ASM operators and local investors

I. SITUATION ANALYSIS

I.A Overview of the low-value minerals sector

High growth in emerging economies is followed by the demand for housing and consumption goods. This growth in incomes in turn is accompanied by a concomitant rise in the demand and prices of natural resources, including increases in prices of low-value minerals and materials (LVMM). Other important factors which will likely lead to growth of the demand for LVMM are population increases and rapid urbanisation in ACP countries. The demand for low-value minerals, therefore, is predicted to increase in the coming years.

The low-value minerals sector encompasses four major subsectors:

- i) Construction materials (such as gravel, sand, clay, stones, limestone and other construction inputs);
- ii) Dimension stones (stone blocks, marble, granite and other);
- iii) Industrial minerals (such as cement, glass-ceramic, scrap metals, iron ore, bauxite, coal);
- iv) Low-grade metals, minerals and precious stones (such as gold and gemstone deposits that are not economically viable for large enterprises)⁶.

Although these subsectors share similar regulatory and market-related issues, they are also distinct from each other. Much of the attention from policy makers has largely focused on mining of precious metals and gemstones, but relatively little attention has been paid to the former three subsectors (construction materials, dimension stones and industrial minerals).

The construction materials and dimension stones sub-sectors primarily focuses on the domestic economy, relying on the hubs of growth such as cities and metropolitan areas. The extent of exports is usually limited due to low value per-mass. However, these sub-sectors provide an important input to domestic construction and generation of jobs. Such positive outcomes are the result of the minerals and materials being used along the value chain, for construction purposes for instance. At the same time upstream extraction processes can be a source of environmental degradation, poor health and conflict.

Industrial minerals typically require further processing before being sold on to construction and other sectors. Processing may be done by the operator or by a separate processing entity, typically also informal. The target markets also tend to be local manufacturing enterprises and local consumers.

The low-grade metals, minerals and precious stones include those minerals that can be commercially extracted if present in high concentrations. However, when present in low-grade in the geological formations, they are not economically viable for larger, formal sector enterprises. The low-grade minerals can also refer to deposits that were already mined, but still contain metals and other minerals, which are economically attractive to and are often re-processed by small miners. This subsector has a potential for exports.

In general, small-scale miners operating in the low-value mining experience many of the problems typically encountered by informal sector operators. These include semi-legal status, low incomes, vulnerability, missing markets, absence of formal institutions providing services to these sectors, unavailability of finance and lack of equipment and tools as well as conflicts over ownership, access to and use of land and other resources.

⁶ The low-grade metals, minerals and precious stones sector will be included only to the extent that this activity is predominant in the selected countries. The project will take into account the policy of formalization of artisanal mining in this sector that many countries have pursued. UNDP recognizes that such formalizations plays significant roles in reducing the negative environmental impacts, abuse of labour rights and conflicts between informal and formal sector mining operators.

I.B Small-scale mining and development

In contrast to the large-scale tradable minerals and hydrocarbons, this sector has closer links with the local economy, generates more local jobs and thereby has a greater impact on poverty reduction. Available evidence suggests that the small-scale minerals sectors employ more people from the locality both directly and indirectly, often use locally produced equipment and tools, and provide inputs to the domestic construction and industrial sectors (Hentschel et al., 2003; and K'Akumu et al., 2010).

Notably small-scale mining and quarrying tends to employ relatively less skilled workers, thereby making a more immediate impact on raising incomes of the poor. However, it is a misconception that the workers in the sector are entirely low skilled, as skilled professionals may be employed to provide specific services.

Other positive effects include the moderation of rural to urban migration, generating foreign exchange earnings, and enabling exploitation of otherwise uneconomic resources. In 1999, it was estimated that small-scale mining provides employment to about 13 million people globally and affects the livelihoods of 80-100 million (Jennings, 1999, quoted in Barreto, 2011). Although more recent employment figures are not available, research indicates that the small-scale mining sector has considerably grown since then.

While the sector is key to job creation and poverty reduction, there can be serious environmental and social impacts associated with it. Two kinds of environmental impacts of the low-value minerals sector can be distinguished: 1) immediate impacts emanating from the extraction process on the locality (upstream); and 2) secondary impacts related to the use of energy, materials and transportation (downstream). The immediate impacts are related to the improper storage and use of hazardous substances such as mercury and cyanide used in the process of metal amalgamation, improper storage and use of explosives, alteration of riverbeds, pollution and contamination of water, and concomitant health impacts. These impacts often lead to the loss of sources of livelihoods for local communities through, and together with the exclusion of communities from decision-making, are important triggers of conflict.

Assessment of secondary impacts requires examining the entire value chain from extraction to processing, transportation, production into final product, consumption, and waste recycling and reuse. Research suggests that naturally occurring mineral materials have a lower environmental footprint when the entire value chain is taken into account. Nevertheless, this does not diminish the need for establishing and implementing better environmental standards upstream in the chain – in the process of mineral extraction.

I.C The policy and regulatory framework

The rapid growth of the low-value mining and quarrying has gained increased attention from policy makers. An emerging literature on lessons learned from regulation of small-scale quarrying documents the following as some of the key regulatory functions: 1) issuing of mining licenses; 2) collection of taxes, royalties and other fees; 3) ensuring adherence to environmental health and safety standards; 4) ensuring the health and safety of workers, including progressive reduction and eventual elimination of child labour (see Hentsche et al., 2003; Barreto, 2011); and 5) participation and inclusion of community members in decision-making.

Legal and regulatory practices and approaches in the low-value mining sector differ widely from country to country. Although in recent years, the level of recognition may have increased, the small-scale minerals sector still operates in a legal and regulatory uncertainty. Nevertheless, policy experimentations in the past two decades have given rise to a number of innovative regulations and their documentation, allowing to learn and to scale-up these approaches elsewhere (Barreto, 2011).

In addition to regulation, other needs of the small-scale minerals sector include provision of organized services and filling of "missing markets". As a result of such missing or thin markets, informal and artisanal enterprises – whether in mining or other informal sectors – have low earning capacity, which limits potential investments in improving productivity, increasing wages/ incomes of employees, as well as adhering to more environmentally-friendly practices. For instance, the vast majority of artisanal miners have limited access to credit from formal financial service providers and face high interest rates. They also have limited access to credible valuation and price information, no or limited access to geological information, limited access to equipment and consumables, and face 'thin' markets for transportation, warehousing and logistic services.

Further, 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. Gold and jewellery polishing and refining, processing of artisanal dimension stones into slabs and tiles, production of coke briquettes from coal are examples of such value addition. The public sector can play an important role in creating "missing markets" to improve the social and economic benefits, while reducing the negative environmental impacts of the sector.

In practice, the regulation and service provision to the low value minerals sector is fraught with difficulties. First, the small-scale minerals sector suffers from the lack of attention and priority in public policy. Second (related to the first), there is an absence of institutions with a remit to regulate or "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. Often, training institutions tend to disregard the complex socio-economic and legal challenges and focus on technical aspects. Fourth, the nature of organization of informal enterprises in the sector is generally very limited. Lastly, state institutions could overlook the conflict-triggering nature of mining operations, which lead to community grievances that translate into violent reactions.

The most important dimensions for public policy and action oriented toward the small-scale mineral sector have been identified from experiences and research (MMSD, 2002; ILO, 1999 and Barreto, 2003). These include:

- 1) Mining and quarry management;
- 2) Provision of geological information;
- 3) Regulated supply and storage of controlled substances, such as explosives and amalgamators;
- 4) Health and safety information, regulation and monitoring;
- 5) Environmental information, regulation and monitoring;
- 6) Conflict mediation and resolution of grievances;
- 7) Development of regional-based markets and transportation; coordination of purchasing;
- 8) Certification of origin; and
- 9) Mine or quarry rehabilitation, its regulation and monitoring.

I.D Relevant initiatives

A number of promising international initiatives have emerged to promote good governance and transparency in the mining sector. These include initiatives such as the Kimberley process certification scheme; Partnership Africa Canada (PAC); Centre for Social Responsibility in Mining (Australia); the EU-supported UN Interagency Framework Team for Preventive Action; the Extractive Industries Transparency Initiative (EITI) and the recently established African Mining Development Centre (AMDC).

The European Union is also financing, through the Pacific Regional Indicative Programme of the 10th EDF, a specific programme on the development of a legal and fiscal framework of Deep-Sea Minerals in the Pacific Islands Region (around EUR 5,000,000).

Eurogeosurveys, the federation of the EU geological surveys, is participating in capacity building activities in the fields of exploration and reserves evaluation.

Support will also be provided in the near future from the crisis preparedness component of the Instrument for stability (IfS) Annual Action Programme 2013. This support will entail: a) assistance to the International Conference for the Great Lakes Region (around EUR 3,000,000); and b) promotion of transparency of the minerals supply chain in conflict-affected and high-risk areas (around EUR 1,000,000).

Besides, several international organizations are implementing programmes that support institutional and private sector strengthening such as:

- The African Mineral Skills Initiative (AMSI) created to support the local African private sector. As indicated in the Framework of Action for the development of ACP Countries' Mineral Resources, African ACP countries will make sure that this framework is consistent with the action plan for the realization of the Africa Mining Vision of the African Union.
- The African Legal Support Facility (ALSF), managed by the African Development Bank (AfDB), provides assistance in the negotiation of complex commercial transactions, especially in the natural resources sector.
- EU Member States (e.g. Denmark, Germany, France and United Kingdom) and other bilateral programmes (mainly Japanese and Australian) directly finance certain private mining projects, in general by assisting in the purchasing of equipment and investments in project infrastructure.
- GIZ supports a Mineral Certification Scheme through an initiative "the International Conference on the Great Lakes Region – ICGLR) to prevent trade in some precious metals and metal ores that involve violence and use of child labour.

Although partly addressing issues related to institutional and private sector capacity building, none of the programmes mentioned above include specific actions as proposed by this project. There is consequently a low risk of overlap with other existing initiatives and programmes. On the other hand, there are many synergies that could be further explored, notably with regard to larger reserves evaluation activities or with initiatives that could help address how best to target beneficiaries of this capacity development exercise.

I.E Prior UNDP initiatives in this area

UNDP has a private sector portfolio consisting of approximately 500 projects and programmes in more than 100 countries. These initiatives support sustainable businesses, inclusive markets and supply chain development, promote corporate social responsibility and environmental sustainability, and support the establishment of networks of business support for MSMEs. These initiatives have often included a focus on institutional capacity development support to sector ministries and regulatory agencies. Through its work in support of enterprise development, UNDP has worked with other specialized UN agencies such as UNIDO, UNCTAD and ILO.

Selected examples of UNDP's work with micro, small and middle-sized enterprises (MSMEs) are given below.

In Nigeria, UNDP supported the national SME agency to prepare a national SME development policy. In Malawi, UNDP has supported the Government with preparing a National Export Strategy as well as assisting local enterprises, including MSMEs, to develop sustainable business approaches. UNDP is



II. THE STRATEGY

II.A Rationale

A Framework of Action (FWA) on the Development of Mineral Resources Sector was endorsed by the ACP Group of States through its Committee of Ambassadors in October 2011, in accordance with the mandate given to the ACP Council of Ministers. This framework includes 6 strategic focus:

- Strategic focus 1 – Enhancement of the capacity of public mineral institutions in charge of elaborating, monitoring, evaluating and updating national/regional strategies for the mineral resources industry development;
- Strategic focus 2 – Development of mineral exploration, geo-scientific information systems and evaluation of the mineral potential of ACP countries;
- Strategic focus 3 – Development of the Small- and Medium-Scale Mining Sectors;
- Strategic focus 4 – Reduction of the social and environmental impacts of mining;
- Strategic focus 5 – Improvement of energy and transport infrastructures related to the mineral industry;
- Strategic focus 6 – Enhancement of mineral-based industrialisation and diversification of ACP countries' economies;

An external consulting mission was launched in September 2012 to provide a road map for the development of the mineral sector in ACP countries that would be based on this framework of action and that would identify priority actions to be launched under it. This assignment led to the identification of the proposed activities under this project.

The African Heads of State and Governments also adopted the Africa Mining Vision (AMV) in 2009.⁸ The vision stresses, amongst others, the need to enhance Africa's bargaining power and to improve the capacity to manage mineral wealth but also the current lack of access to skills for both entrepreneurs and staff of new local enterprises, which hampers the numerous business, employment creation and poverty reduction opportunities.

II.B Project objectives

The **overall objective** of this proposed project is to foster the sustainable and inclusive development of the mineral resources industry in ACP countries. The **specific objectives** of the project are:

1. Enhancing employment and incomes, including employment and incomes of women
2. Improving the policy and regulatory environment
3. Minimizing environmental impacts on communities
4. Addressing individual and community rights and preventing conflict
5. Ensuring decent working conditions
6. Facilitating South-South cooperation and cross-country learning

Enhancing employment and incomes: Many LVMM operators are small, informal enterprises and employ local, low-skill labour. Therefore, strengthening the economic performance of this subsector holds promise for increasing incomes and reduction of poverty. Industrial mining operations, if inappropriately managed, may not produce a significant increase in local employment due to its capital-intensive nature. Small-scale mining and quarrying tends to be more labour-intensive and better

⁸ <http://www.africaminingvision.org/>

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supporting Malawi with developing a new industrial policy and is also currently setting up an innovative enterprise challenge fund to stimulate and support business activities that explicitly contribute to development.

Another example is in Uganda where the UNDP supported 'Enterprise Uganda' initiative, which ran a business linkage initiative establishing several successful supply chain and out-grower schemes between large companies and small suppliers, strengthening capacities of small enterprises as part of the process. Currently, UNDP Uganda continues to support business linkages and inclusive business approaches in key agriculture sub-sectors under the Development of Inclusive Markets in Agriculture and Trade (DIMAT) initiative.

In the Pacific region, UNDP provides entrepreneurial capacity building and facilitates private sector partnerships for rural livelihoods and MSME development. In Fiji, UNDP supported the National Centre for Small and Micro Enterprises Development (NCSMED) to provide tools and training to market vendors, mainly to help them improve their financial record keeping.

In addition, UNDP hosts the *Business Call to Action Initiative*, which aims to encourage bigger companies to develop inclusive business models and value chain development to include MSMEs in the value chain.⁷

UNDP also partners with extractive sector companies to support small enterprise development. In Angola and Kazakhstan for example, UNDP worked with Chevron to support MSME development by increasing the capacity of these enterprises to become suppliers of various goods and services to larger oil and gas companies and facilitate access to finance. UNDP is currently working with Shell in Iraq to support integration of MSMEs in the gas value chain and by strengthening vocational training institutes and technological acquisition capacity.

UNDP has a longstanding record in engaging with civil society around the world, including mining groups in ACP countries. For example, UNDP works with the Third World Network, which is a pan-African research and advocacy organization based in Accra. The Network played a central role in developing the African mining vision, which aims to use minerals for financing rapid industrial development.

UNDP also engages Oilwatch, an international network of organizations from the South, to protect ecosystems and the ancient rights of indigenous peoples against the impact of mining operations. UNDP also works with Publish What You Pay and EITI networks globally and supports the setting up of EITI multi-stakeholder groups in several ACP countries.

UNDP has been a partner in the EU-UN Partnership on Land, Natural Resources and Conflict. This initiative is currently in its third phase and focuses on working with civil society in the Great Lake region. UNDP has also been one of the global leaders in strengthening national capacities for the prevention and management of conflict to enable stakeholders to develop mechanisms intrinsic to their societies for anticipating, analysing, understanding and transforming potential conflictual relationships into positive outcomes.

⁷ UNDP has built partnerships with the private sector, including individual firms, industry groups, and foundations, involved in the extractive sector. Partnerships cover issues related to developing models for strengthening local content supply, provision of social services funded by the company and promoting environmental sustainability.

integrated into the local economy compared with large-scale mining. By promoting the small-scale LVMM, the strategy is to increase both the number of jobs and the level of incomes earned by people working in LVMM. Compared with large-scale ones, small-scale mining provides more opportunities for employment of women and this opportunity will be exploited. The project will seek to enhance the participation of women through conducting gender-sensitive analysis, identification areas of greatest potential of women's employment, and providing equal opportunities for women in accessing training and tools created by the project.

The project will use the value chain development approach, which seeks to develop all business activities from the production of raw materials to processing/production, 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 economic performance of the LVMM sector operators within the market environment. Missing markets that facilitate operation of value chains in many low-income countries need to be complemented by public and collective partnerships, and improved services to the LVMM sector.

Production of accessible maps with geological data on LVMM will provide an incentive for increased investment in the LVMM sub-sector. This is because access to geo-data and related information reduces investment risk. It also contributes to knowledge of investors about potential markets for LVMM.

Improving the policy and regulatory environment: This project will focus on improving or developing the policy and regulatory frameworks for value chain development. These project activities will be based on in-depth understanding of local markets, social structures, incentives and behaviours, as well as iterative consultations with key stakeholders in the LVMM value chains.

Minimizing environmental impacts: Mining operations inevitably impact the natural environment of populations and communities located in the neighbourhood of existing and future mines. The negative environmental impacts of mining and quarrying may be substantially reduced by taking preventive or mitigation measures, mine/quarry site management, use of better technologies and post-closure mine rehabilitation. In addition, the use of toxic chemicals will be discouraged. Environmental sustainability will be addressed by training and demonstration to operators, regulators and community members to enhance their environmental management, enforcement and monitoring capacities.

Addressing individual and community rights and preventing violent conflict: The rights of individuals and communities living in the vicinity of mines should be addressed. These rights include both *de jure* and *de facto* rights. Their rights are most directly affected by the loss of shelter or livelihoods due to either direct resettlement or degradation of the natural environment, such as from loss of water sources, mine subsidence, noise and pollution, and exclusion of communities. Such loss of rights and property are constant 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 particular relevance, since many communities affected by conflict related to small-scale mining operations are indigenous. The Declaration states that "no relocation shall take place without the free, prior and informed consent of the indigenous peoples concerned and after agreement on just and fair compensation and, where possible, with the option of return". This project will address the rights through: 1) raising awareness about the rights of indigenous peoples; 2) strengthening the capacity for conducting conflict assessment and analysis; 3) assessing and advocating for mechanisms for fair and transparent compensation; 4) organizing consultations for non-violent resolution of conflicts between communities and artisanal and small-scale miners.

Ensuring decent working conditions: small-scale mining activities involve difficult and unsafe working conditions, some of which may be resolved through appropriate technological solutions and others require social, collective solutions. In addition, small-scale mining employs large numbers of women and children. People working in the sector are exposed to health and safety risks, which are especially

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serious in the case of women and children – 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 use of mercury, cyanide and other hazardous chemicals in the process of metal amalgamation, 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 workshops, and by training of regulators, local authorities and operators 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 Decent Work Agenda and will support the EU contribution to the implementation of the decent work agenda. Through training, improvement or development of labour and safety standards, this project will address some of the most salient issues in LVMM as related to the decent work agenda: supporting skills development, improving working conditions for women and men, improving occupational safety and health, and eliminating the worst forms of child labour.

Facilitating South-South cooperation and cross-country learning: UNDP's strategic plan re-emphasizes the role of the organization with regard to South-south cooperation. This role includes brokering knowledge, building capacities and facilitating exchange of experiences, driven primarily by programme countries. South-South cooperation takes place through country-to-country exchanges, at the regional or sub-regional collaboration, and at the global level. The strategy for facilitating South-South cooperation and cross-country learning through this project is two-pronged: 1) bringing people together, for instance in the form of study tours; 2) institutional exchange programmes; and 3) integrating South-South learning modules in the training programmes.

The project will bring key stakeholders in LVMM together in regional trainings, as well as inception and final workshops of the project. This will provide stakeholders the opportunity to interact and share knowledge. Training programmes will incorporate interactive discussions and participant presentations, thereby promoting not only expert-to-participant learning, but also peer-to-peer learning. The project will also build an interactive web portal, through which training participants will be able to exchange knowledge.

The project will also integrate South-South learning in the content of the training. The results of the in-country projects, activities such as sector promotion, small projects, market and socio-economic assessments, will be shared with other countries and also used as part of the training modules to enrich the experiences and lessons in the low-value mining sector. As the project progresses, the content will be incrementally enriched with the knowledge and experiences in LVMM in the South; knowledge gained from earlier trainings will be "recycled" and put in use in subsequent trainings.

In sum, the regional trainings and partnerships with regional institutions will contribute to South-South cooperation and learning at the regional level. The knowledge "recycling" and online collaboration will contribute to South-South cooperation and learning across ACP regions (beyond specific regions).

II.C The capacity development approach

Realizing the poverty reducing potential of the small-scale mining sector requires a systematic approach to remove the underlying legal, institutional and technical capacity limitations. For instance, the skills of miners to handle hazardous chemicals could be enhanced, but they will not be very useful in the absence of industry safety and environment standards, regulations and incentives.

This project takes a systematic and participatory approach to capacity development, drawing from UNDP's methodology and experience of supporting efforts to develop national and local capacities in various sectors and settings. The capacity development approach goes beyond training of individuals to

enhance their knowledge and skills. It extends into facilitating wider organizational and institutional change to enable the application of these newly acquired skills for better results.

For any investment into enhancing core competencies and technical skills to have a sustainable impact on capacity, it is necessary to improve capacities at three levels:

- a) At the individual-level, where capacity is developed through training and coaching; site visits and demonstrations, etc.;
- b) At the organization-level: where capacity is developed through incentives (e.g. tax and credit, market access); relevant assessments (e.g. social and environmental) and establishing systems for grievance management and resolution of conflicts.
- c) Improving the enabling environment: where sector-wide, system capacity is developed through improvement of policy, legal and regulatory frameworks, systematization of business services, and institutionalization of collective actions.

In this regard, the project aims to build the *capacity of a mix of stakeholders*. First, the need for development of the LVMM as a business sector and enhancing its social benefits calls for the interaction of and roles played by both business and social stakeholders. This is because capacity development of *only public* or *only private* stakeholders will not help progress on both.

Second, by enhancing interaction between these players the project helps to strengthen their collaboration and extend the benefits of training beyond individuals, extending to organizational, institutional and “environmental” change that facilitates LVMM development and increase its social benefits.

Third, this approach will help the project to focus on stakeholders without depending on their ownership nature (public or private). For instance, depending on the country, business development services can be provided by either government agencies responsible for business development and promotion, by business associations/chambers or by private consulting companies, or by public or private training centres.

Therefore, the following key groups of stakeholders will be targeted:

1. **Public stakeholders:** Relevant ministries and government agencies, particularly those that regulate and promote minerals exploration and exploitation, regulate environmental and safety standards and regulate financial sectors. Local government authorities that are often involved closely in the management and oversight of small-scale mining and quarrying will be key participants.
2. **Private stakeholders:** Small-scale miners/enterprises operating in the LVMM value chain (producers of LVMM, intermediaries, transportation and logistics service providers, construction companies and other consumers).
3. **Business development stakeholders:** Mining and quarrying associations, associations/chambers of mines, training centres, universities, consulting companies.
4. **Communities and social stakeholders (civil society, communities and indigenous peoples):** Organized and informal representation of local communities, particularly those communities that are indigenous and are mostly likely to be impacted or benefit from LVMM; civil society and advocacy groups and non-state actors, particularly those active in advocacy campaigns.

II.D Partnerships

In implementing this project, UNDP will draw on its established partnerships as well as new strategic partnerships that will be established and formalised under this project.

Partnerships under this project: For the purpose of delivering on the results of this project, UNDP has made preliminary contacts and will formalise its new partnerships with regional institutions, specialist entities and UN agencies. Such new partnerships include:

- (a) **Partnerships with civil society and business development institutions at the country level:** Building on its extensive networks with international and country-based civil society organizations and business development institutions, UNDP will develop additional partnerships with civil society organizations, from policy and research advocacy groups to grassroots community-based organizations, which have significant expertise in advocacy and mediation between mining operators and communities; business development institutions that have expertise in development of value chains in various sectors, not limited to small-scale mining.
- (b) **Interagency partnerships:** UNDP will establish partnerships with specialized UN agencies for acquiring expertise to deliver training at the regional and country levels. The main modality for future partnership will be joint implementation and in some cases subcontracting arrangements to engage relevant experts. Key institutions with relevant expertise include: UNIDO, UNCTAD, UNHABITAT, UNEP and ILO.
- (c) **Partnership with regional institutions:** UNDP has initiated discussions and outlined possible partnership modalities, with regional institutions in ACP regions that have a convening role. These partnerships will aim at organizing and hosting the regional training programmes proposed in this project⁹. The main modality of partnering will be through institutional agreements. Such regional institutions include: Africa Mining Development Centre (AMDC); Organization of African Geological Surveys (OAGS); Regional Center for Mapping Resources for Development – Africa (RCMRD); Caribbean Community and Common Market (CARICOM); the Secretariat of the Pacific Community (SPC).
- (d) **Partnerships with specialized institutions:** UNDP will also tap into the expertise of specialized institutions in the North and in the South for delivering training services at the regional and country levels¹⁰. The main modality of partnering with these institutions will be institutional agreements or advisory/consulting arrangements with individuals affiliated with these institutions. These specialized institutions include: Centre for Social Responsibility in Mining at the University of Queensland; Eurogeosurveys; Geological Survey of Denmark and Greenland (GEUS); the Centre for Sustainability in Mining and Industry of the University of Witwatersrand's School of Mining Engineering; Southern and Eastern African Mineral Centre (SEAMIC); Center for Geospatial Studies, University of West Indies; Division of Geosciences and Applied Technology (SOPAC) of the Secretariat of the Pacific Community.

For more information on regional and specialized institutions to partner, see Annex 3, "Partnerships".

II.E Outputs and activities

The six outputs or results the project aims to achieve, and the corresponding activities are:

Output 1: Operating standards and technologies improved in small-scale mines and quarries through enhanced technical knowledge of the small-scale private sector, associations/chambers, and public institutions in **mine and quarry management**

⁹ Country training programmes will be organized and hosted by UNDP country offices in the selected countries.

¹⁰ For some topics of training, UNDP will use in-house expertise while for others; it will tap into external expertise. For more detail on this, see section II.F.5, "Conducting capacity development activities: Training and coaching"

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- Activity 1.1:** Sector capacity assessments and capacity development roadmaps at the country level
- Activity 1.2:** Prepare training materials
- Activity 1.3:** Deliver *regional* training on mine and quarry management (mine/ quarry construction, operation and maintenance of equipment, waste management, storage of consumables and blasting materials, etc.)
- Activity 1.4:** Deliver *country* training on mine and quarry management
- Activity 1.5:** Organize field visits

Output 2: Environmental, health, safety standards improved and human and labour rights better protected in small-scale mining through enhanced technical and legal knowledge of the small-scale private sector, associations/chambers, and public institutions.

- Activity 2.1:** Prepare training materials
- Activity 2.2:** Conduct *regional* training and sensitization on environmental, health, safety and labour standards (including UN guiding principles for business and labour rights; UN declaration on the rights of indigenous peoples; certification schemes)
- Activity 2.3:** Conduct *country* training and sensitization on environmental, health, safety and labour standards; (including UN guiding principles for business and labour rights; UN declaration on the rights of indigenous peoples; certification schemes)
- Activity 2.4:** Undertake legal reviews in selected countries to improve/develop health, safety, environmental and labour standards applicable for artisanal and small-scale enterprises in LVMM
- Activity 2.5:** Sector promotion: Small grants

Output 3: Productivity, access to markets and working capital of the small-scale private sector in low-value mining increased through enhanced entrepreneurial skills of mining enterprises

- Activity 3.1:** Prepare training materials
- Activity 3.2:** Conduct *regional* training on entrepreneurship skills (value-adding processes, accounting, marketing, sales promotion, purchasing, market analysis, identifying potential value chain entry points)
- Activity 3.3:** Conduct *country* training on entrepreneurship skills (value-adding processes, accounting, marketing, sales promotion, purchasing, market analysis, identifying potential value chain entry points)
- Activity 3.4:** Support development of coordination mechanisms¹¹ in selected countries to support small-scale private enterprises in LVMM
- Activity 3.5:** Sector promotion: Small grants

Output 4: Value chains in low-value mining strengthened through networking and improved capacity of associations/chambers and public institutions to conduct market analysis and investment promotion

- Activity 4.1:** Prepare training materials

¹¹ This activity aims to identify existing mechanisms in the country (whether industry associations, consultation platforms, or training centers) that can continue to serve as the anchor for coordinating the various players in the LVMM beyond the lifetime of this project. These mechanisms will carry on the organization of networking events, public-private consultations among LVMM stakeholders, industry-community relations, etc. In most countries such mechanisms already exist in general, but would require some extension so that they also focus on LVMM sector.

- Activity 4.2:** Conduct *regional* training on market analysis and investment promotion, for domestic and external markets (targeted at miners and industry associations)
- Activity 4.3:** Conduct *country* training on market analysis and investment promotion, for domestic and external markets (targeted at miners and industry associations)
- Activity 4.4:** Produce investor guides, handbooks, information products in selected countries
- Activity 4.5:** Organize technology exhibitions, business fairs, networking events in selected countries
- Activity 4.6:** Organize public-private consultations on improving the regulatory environment in selected countries
- Activity 4.7:** Undertake legal review to improve/ develop regulations applicable for artisanal and small-scale enterprises in LVMM in selected countries
- Activity 4.8:** Sector promotion: Small grants

Output 5: Access to geo-data in low-value mining improved through enhanced technical knowledge, capacity and coordination of public institutions

- Activity 5.1:** Prepare training materials
- Activity 5.2:** Conduct *regional* training on geo-data mapping (geospatial maps will provide the basis for investment promotion in LVMM) (public sector agencies)
- Activity 5.3:** Conduct *country* training on geo-data mapping (geospatial maps will provide the basis for investment promotion in LVMM) (public sector agencies)
- Activity 5.4:** Undertake reviews and scoping studies of available geo-data in LVMM in selected countries
- Activity 5.5:** Undertake an inventory of geo-data in LVMM in selected countries
- Activity 5.6:** Produce databases with digitized geo-data in LVMM in selected countries
- Activity 5.7:** Develop mechanisms to disseminate geo-data in selected countries
- Activity 5.8:** Sector promotion: Small grants

Output 6: Risk of conflict between low-value miners, mining enterprises and local communities **reduced** by building conflict prevention, dialogue and mediation skills of miners, associations/chambers, public institutions and communities

- Activity 6.1:** Prepare training materials
- Activity 6.2:** Conduct regional training on conflict sensitive mining - this will include; conflict risk analyses, how to set-up effective grievance mechanisms, and community engagement based on free, prior and informed consent principle (targeted at miners and communities members)
- Activity 6.3:** Conduct country level training on conflict sensitive mining - this will include; conflict risk analyses, how to set-up effective grievance mechanisms, and community engagement (targeted at miners and community members)
- Activity 6.4:** Conduct awareness on free, prior and informed consent principles in the vicinity of selected LVMM sites
- Activity 6.5:** Produce conflict sensitive community engagement toolkits based on free, prior and informed principle in selected countries
- Activity 6.6:** Produce and disseminate information and communication products including online and mobile technologies as part of early conflict warning and transparency platform in selected countries
- Activity 6.7:** Sector promotion: Small grants

II.F Project implementation design

The training programmes will focus on group training, as well as on-the-job training, where appropriate. The non-training capacity development approaches will aim to enable participants to apply the skills learned from training in achieving practical, hands-on experience.

The project will be implemented at two levels: regional and country. The regional level work will largely focus on training. Regional-level training will be conducted in all ACP sub-regions; but where possible, several ACP sub-regions may be combined. Up to 40 ACP countries will be included as part of the regional training. The country level work will focus on six countries; where the training will be complemented by in-depth activities to enable application of the skills gained in practice and to achieve concrete results.

The project will be implemented through the following phases, each of which is described in more detail below:

- 1) Country selection
- 2) Inception workshop
- 3) Sector assessments and capacity development roadmaps (at the country level only)
- 4) Participant selection
- 5) Training and coaching
- 6) Initiatives for sector promotion (at the country level only)

1. Country selection

The country selection will be done in order to implement in-depth country-level activities beyond training. Representatives of these selected countries will also participate in the inception workshop.

The selection of 6 countries targeted for country-level training and project support will be based on criteria such as the extent of low-value mining and quarrying in the country, including opportunities for formalization and value-chain upgrading. Finally, selection of countries will be made with due consideration of geographical balance between Africa, Caribbean and the Pacific.

Under the guidance of the Steering Committee, a formal invitation will be sent to selected countries to submit expressions of interest through UNDP country offices. The rationale for selecting countries on the basis of their expressions of interest is to maximize the probability of success. The project team will work through UNDP country offices to ensure that the announcements/invitations reach relevant representatives from all ACP countries. 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 project. The participants in the workshop will include representatives of ACP secretariat, EC, UNDP, global and regional specialized institutions, as well as up to 4 participants per each selected country. Participants of ACP countries will represent the four types of stakeholders identified in section II.C. "Capacity development approach": public stakeholders, private stakeholders, business development stakeholders and communities/social stakeholders.

The objectives of the workshops are:

- To inform key stakeholders about the objectives, expected results and activities of the project;
- To present a background paper on low-value mining: challenges and solutions;
- To seek feedback on the project concept, design and workflow;
- To identify areas for knowledge sharing and cross-country collaboration;
- To gather information about low-value mining sectors in selected countries.

The Inception workshops will involve about 50 participants and will be 2 days in length.

For more detail, see Annex 4, "Inception Workshop".

3. Sector capacity assessments and capacity development roadmaps at the country level

This activity will be implemented at the country-level. The success and sustainability of capacity development projects critically depends on the quality and relevance of country-specific assessments and analyses. At this stage, the project team will undertake a series of studies on the LVMM sector, including: socio-economic, poverty and conflict risk analysis to establish concrete baselines; analyses of LVMM value chains and market analysis in the specific country contexts.

During this process, the project team will undertake a series of individual consultations with key stakeholders in each country. These stakeholders will include: operators in the LVMM value chains, associations, business service providers, government and community representatives, etc. The assessments will be used as a baseline to assess the progress of the project and its results.

Following the assessments, the project team will organize consultation workshops with key stakeholders in this country, to ensure ownership of stakeholders and eventual sustainability of the project. The participation and interaction will also help in building stronger linkages within the LVMM sector and between the LVMM sector and social and public stakeholders. The workshops will also help refine the main needs and gaps, informed by both assessments carried out (above), as well as the views of the stakeholders.

The consultation workshops will involve 40-70 people per country and continue for 2 days.

4. Participant selection

The project identifies 4 categories of participants:

- i. Public stakeholders;
- ii. Private stakeholders;
- iii. Business development stakeholders;
- iv. Communities and social stakeholders.

Different categories of participants will be involved in different training programmes that address their specific needs, as shown in Table 1 below. For more detail on training, see Annex 5, "Training plan".

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Table 1: Training topics, by participant

| Categories of participants | Examples of participants | Training topics | | | | | |
|-------------------------------------|--|--|----------------------------|---------------------------------------|-------------------|---------------------------------------|------------------|
| | | Training 1 | | | Training 2 | | Training 3 |
| | | Conflict prevention, community relations | Mine and quarry management | Environment, health, safety standards | Enterprise skills | Market analysis, investment promotion | Geo-data mapping |
| Public stakeholders | Public institutions that formulate policies and regulate the mining sector; environmental regulatory agencies; local governments | √ | √ | √ | | | √ |
| Private stakeholders | Small-scale private mining operators in LVMM; industry associations; | √ | √ | √ | √ | √ | |
| Business development stakeholders | Chambers of mines; investment promotion agencies; training centers; specialized institutes such as geological and cadastral institutes | √ | √ | √ | √ | √ | √ |
| Communities and social stakeholders | Communities and indigenous peoples affected by mining operations; civil society representatives | √ | √ | √ | | | |

At the regional level, the selection of participants and will be made on the basis of outreach through the inception workshop participants, regional institutions that UNDP will partner with, and UNDP offices. At the country level, representatives of the above stakeholders will be invited to apply to participate in training after the assessment and capacity development roadmap workshops. To ensure that participation is not only limited to those with ready access to information, the project team will identify country-specific channels of communications to reach a wider group of stakeholders in LVMM value chains. The focus will be on primary producers of LVMM who are also likely to be among low-skilled and marginalized groups. The process of participant selection will be organized in participatory and transparent way, based on clear selection criteria, such as:

- 1) Length of experience working in artisanal and low-value chain.
- 2) Direct involvement of participants in the development of local private sector mining activities and promotion of investment to the sector.
- 3) For some training, which will require prior specialist knowledge, such as geo-data mapping, additional criteria will be designed to ensure that participants have the minimum background necessary to benefit from the training. In addition, individuals applying as or identified as future

trainers, will be assessed using a stricter criteria.

- 4) Capacities of the participants, especially those who will participate in training-of-trainers
- 5) Balanced representation of the public institutions (ministry, agency) in charge of the mining sector; sectorial associations/chambers or other institutions representing private sector; university and/or technical training institution; local consultancy firms and Business Development Service (BDS) providers dealing with the sector development; and social stakeholders such as local community, civil society and indigenous peoples representatives.

5. Training and coaching

Training will be conducted at the regional level and at the country level. For more detail on training activities on the regional and country level, see Annex 5, "Training Plan".

The course curricula and training materials will be developed and peer-reviewed to ensure quality and standards. Although the content of the regional and country-level trainings will be similar, they will have some differences. Country-level training will be more detailed and emphasize not only international good practices, but also existing legislation within the country. Country-level training content will be fine-tuned on the basis of country-level assessments and roadmaps preceding the training programmes.

The training programmes have two distinct but complementary parts: 1) organization of training; and 2) delivery of training.

In the case of organization of training, regional institutions with convening role will be engaged through institutional agreements, with appropriate funding and coordination support from the project management team. Organization of training at the country level will be undertaken through UNDP country offices.

Delivery of training at both regional and country levels will be done by UNDP, UN agencies, as well as specialized or regional institutions with relevant expertise from the North and from the South. Priority will be given to utilizing expertise available in ACP regional institutions. Where the capacity of regional institutions is insufficient, the strategy will be to engage them early as TOT participants, as well as in preparation and organization of training, and gradually engaging them in the delivery of training programmes as the project progresses.

Partnerships with these institutions will be developed and formalized through different partnership modalities in accordance with UNDP's rules and procedures. Prior to entering into partnerships, capacities of these institutions will be assessed.

For more detail on the preliminary assessment of areas of expertise of UN agencies, regional and specialized institutions, see Table 2. For more detail on key areas of activities of regional and specialized institutions, see Annex 3, "Partnerships".

Table 2: Key partnerships for organization and delivery of training

| Activities | Possible implementing organizations | Partnership or contractual modality |
|--|-------------------------------------|-------------------------------------|
| <p>1. Organization of training at the regional level* will be undertaken by regional institutions with convening role. Depending on their areas of expertise and organizational objectives, these institutions will also be engaged in delivery of training in relevant areas.</p> <p>* At the country level, organization of training will be undertaken by UNDP country offices</p> | | |

| | | |
|---|---|---|
| <p>Activities before training:</p> <p>Recommend participants from ACP countries</p> <p>Provide feedback on training materials</p> <p>Engage regional training participants in regional knowledge networking</p> <p>Collect/procure/store equipment, supplies and materials needed for demonstration and other purposes</p> <p>Activities during training:</p> <p>Organize conference services and logistics</p> <p>Conduct audio-visual recordings, photography of sites, equipment, etc.</p> <p>Organize visits to sites</p> <p>Administer pre-questionnaire or pre-test to participants</p> <p>Track attendance</p> <p>Administer post-test, training evaluation</p> <p>Organize certification, with possibly separate certification for TOTs (TBD)</p> <p>Activities after training:</p> <p>Organize communication and publicity of training and the overall project in ACP countries/regional hubs</p> | <p>Regional institutions, such as:</p> <ul style="list-style-type: none"> • Africa Mining Development Centre (AMDC); Organization of African Geological Surveys (OAGS); Regional Center for Mapping Resources for Development – Africa (RCMRD); • Caribbean Community and Common Market (CARICOM); • The Secretariat of the Pacific Community (SPC). | <p>Letter of agreement/ grant/ contract</p> |
| <p>2. Delivery of training at regional and country levels will be done by specialized institutions in the North and in the South, with priority given to utilizing expertise available in the ACP.</p> | | |

| | | |
|--|---|---|
| <p>Activities before training:</p> <p>Develop and fine-tune training plan suitable for the number, type of participants and duration of training at regional and country levels</p> <p>Develop training materials (trainer’s manuals, participant manuals/ hand-outs, presentations, etc.)</p> <p>Identify and collect additional reading materials needed for training</p> <p>Identify and collect data, cases, legal information needed for tutorials</p> <p>Conduct geo-data scoping study, guide inventory of available maps (specific to geo-data training and can be conducted by institutions/ experts different from the trainers)</p> <p>Identify equipment, supplies and materials needed for demonstration and other purposes</p> <p>Identify software and hardware needed for training, provide technical support in procuring software and hardware (mainly for geo-data mapping)</p> <p>Activities during training:</p> <p>Deliver training</p> <p>Identify, visit and select sites (for field trip)</p> <p>Activities after training:</p> <p>Adapt training materials based on training participants’ feedback</p> | <p>Specialized institutions/ individual international experts, such as:</p> <ul style="list-style-type: none"> • Conflict prevention: Centre for Sustainability in Mining and Industry (CSMI) • Mine management: Centre for Sustainability in Mining and Industry (CSMI), University of Witwatersrand’s School of Mining Engineering • Environment, health, safety, human and labour rights: Centre for Social Responsibility in Mining, University of Queensland, Australia; Centre for Sustainability in Mining and Industry (CSMI), University of Witwatersrand’s School of Mining Engineering • Entrepreneurship skills: UNIDO, ILO • Market analysis, investment promotion: UNCTAD, UNHabitat; CARICOM; the Secretariat of the Pacific Community • Geo-data digitization: Euro Geo Surveys (EGS); Geological Survey of Denmark and Greenland (GEUS); Organization of African Geological Surveys (OAGS); Regional Center for Mapping Resources for Development – Africa (RCMRD); Southern and Eastern African Mineral Centre (SEAMIC); Division of Geosciences and Applied Technology (SOPAC) of Secretariat of the Pacific Community; UNCTAD, UNEP, the World Bank | <p>Grant/ Contract/ Interagency agreement</p> |
|--|---|---|

In the regional training, the target is to train 200-300 participants from about 40 countries. In the country-level training, the target is to train 400-500 participants in 6 countries.

Training will be conducted in each of the above 6 output areas, grouped into sets of 3 training programmes. A variety of methods will be used, appropriate to the topic and level of the training, such as in-class training, interactive discussions, site visits and demonstrations.

At the end of training, concluding workshops will be organized. The concluding workshops serve several purposes:

- Networking and peer-to-peer learning;
- Showcasing the application of skills learned by participants;
- Stock-taking by participants and gathering information on the overall project performance by the project team; and
- Identification of next steps after the project completion.

Training of trainers: The project will carry out an assessment of individual and institutional expertise in the ACP sub-regions and in the six selected countries. Based on this assessment, a group of individuals and institutions, with a degree of knowledge and skills in the mining sector, will be invited to participate in the above activities. In addition to the core training, the potential trainers will also benefit from tailored 'training of trainers sessions', as well as from the training materials prepared.

Following the country training programmes, trainers will be engaged to conduct training within the LVMM industry through agreements. Through these trainers, further training will be conducted to about 2000 participants at LVM mines. The delivery of this training will be monitored by UNDP through training reports, spot checks and post-training assessments.

6. Country-level initiatives for sector promotion

In between the training programmes, UNDP will support implementation of country-level initiatives and partnership-building activities to upgrade value chains in LVMM. These initiatives and activities will complement the training and will aim to: 1) enable participants to apply learned skills in practice; and 2) help form stronger networks. The scope of these activities will be refined and monitoring procedures will be defined upon development of country roadmaps (see point 3 in this section) and upon discussion and agreement with the Steering Committee.

The initiatives and activities will be carried out through two forms or modalities.

- a) The first modality will be through small grants via this project given to groups of training participants. This modality will work as follows: Following their participation in training, participants will be invited to implement small projects consistent with the areas of training they attended. These small projects will be funded through small grants envisaged in this overall project. Participants representing all the categories of stakeholders will be eligible to make proposals and apply for these small grants.
- b) The second modality will be through partnership agreements with institutions. The specific modalities for specific initiatives and activities will be identified after carrying out country assessments. This modality will work through partnership agreements with institutions representing different stakeholder groups. This modality will be utilized for initiatives and activities that are large in scope, require specialist expertise, anchored in organizational objectives or mandates, and require implementation over a longer period of time.

Examples of initiatives and activities to enhance LVMM sector promotion, regulation and partnerships include:

- Production of maps and databases on LVMM reserves and concessions;
- Development or revision of regulations and standards on environmental impact and safety;
- Implementing communication and community engagement campaigns;
- Gathering and addressing grievances in communities in the vicinity of LVMM operations;
- Organization of fairs and networking events for stakeholders within the LVMM value chain;
- Organization of public-private dialogues to address specific problems faced by LVMM stakeholders;
- Gathering information and video recording on technologies used in the LVMM; and

- Organization of technology and innovation exhibitions.

The projects will not necessarily be limited to these examples, but they have to be relevant to the objectives of the overall project.

The project team will provide the following support to the stakeholders:

- 1) Develop a simplified proposal submission system;
- 2) Support groups and institutions to articulate and develop proposals;
- 3) Provide small grants to groups; or make institutional agreements with seed funding for larger projects;
- 4) Provide coaching and technical assistance; and
- 5) Connect stakeholders implementing similar or complementary projects to each other to facilitate peer learning and building of networks.

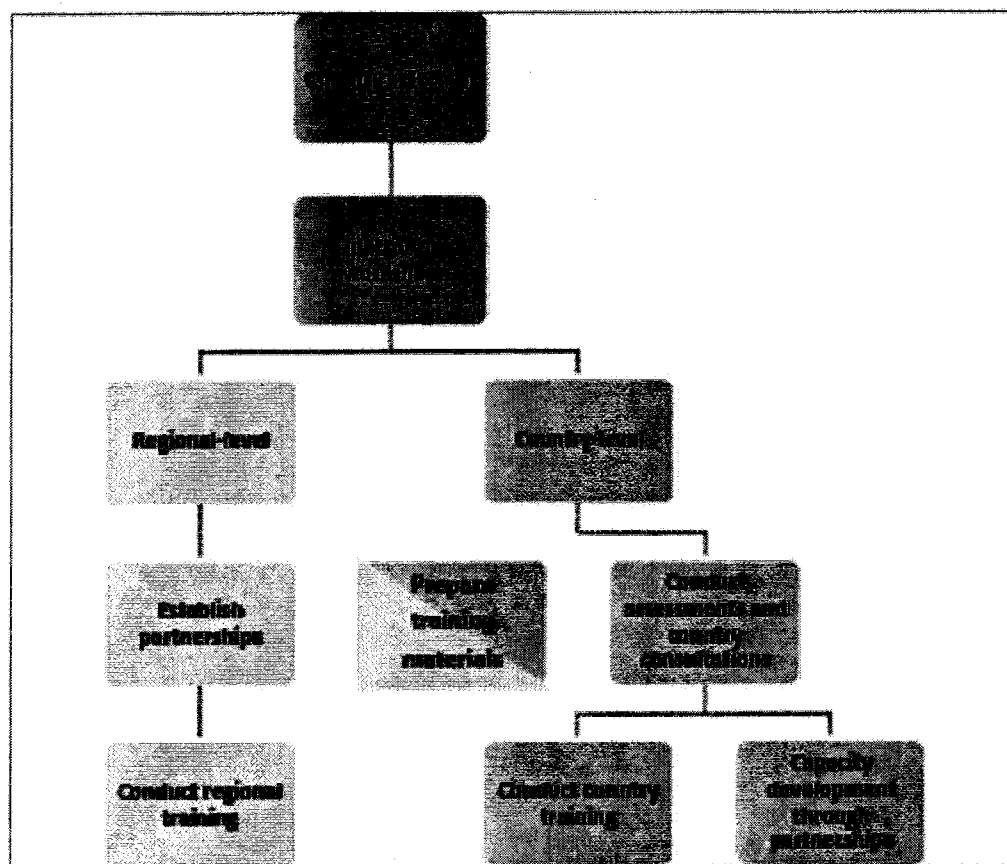
7. Final workshop

At the conclusion of the project, a final workshop will be organized, bringing together representatives of key stakeholders in selected countries, as well as other countries of ACP. In addition, representatives of ACP secretariat, EU and UNDP, as well as representatives of specialized and regional institutions will participate. The final workshop will serve several purposes. First, it will contribute to South-South cooperation and learning across ACP regions (and not only within regions). Second, it will provide space for partners and stakeholders, particularly in the selected countries, to present the results of their work under partnership agreements or through small projects through which they apply skills learned through training and contribute toward the overall project objectives. Third, it will enable drawing conclusions and lessons learnt by various groups of stakeholders.

The overall project implementation design is outlined in the Figure below:



Figure 1: Project implementation design



| Outputs | Training participants | Examples of sector production activities |
|---|-----------------------|---|
| 1. Mine and quarry management | A,B,C | Review to improve legal framework for artisanal and small-scale enterprises in LVMM |
| 2. Environment, health, safety | A,B,C,D | |
| 3. Entrepreneurship skills | A,C | Public-private consultations on improving the regulatory environment |
| 4. Market analysis, investment promotion | B,C | Technology exhibitions, business fairs, networking events |
| 5. Geo-data and map design | B | Inventory of geo-data; produce databases |
| 6. Communications, community relations, addressing grievances | B,C,D | Community consultations |

Key:
 - activities at country level
 - activities at sub-regional level

A – private operators; B – public institutions; C – associations, chambers, business development service providers; D – social stakeholders

III. RESULTS FRAMEWORK

| INTENDED OUTPUTS & INDICATORS OF CHANGE | OUTPUT INDICATORS | INDICATIVE ACTIVITIES* |
|---|--|---|
| <p>Output 1: Operating standards and technologies improved in small-scale mines and quarries through enhanced technical knowledge of the small-scale private sector, associations/chambers, and public institutions in mine and quarry management</p> <p>Output indicators:</p> <ul style="list-style-type: none"> Number of artisanal and small-scale enterprises with improved operating standards and technologies in mine and quarry management | <p>Baseline:</p> <p>Target for year 1:</p> <p>Target for year 2:</p> <p>Target for year 3:</p> | <ul style="list-style-type: none"> Select countries Organize inception workshop Design and conduct baseline studies Conduct value chain, market analyses, and poverty and social assessments in LVMM Organize consultative workshops with key stakeholders in LVMM Select training participants <hr/> <ol style="list-style-type: none"> Prepare training materials Deliver regional training on mine and quarry management (mine/quarry construction, operation and maintenance of equipment, waste management, storage of consumables and blasting materials, etc.) Deliver country training on mine and quarry management Organize field visits |
| <p>Output 2: Environmental, health, safety standards improved and human and labour rights better protected in small-scale mining through enhanced technical and legal knowledge of the small-scale private sector, associations/chambers, and public institutions</p> <p>Output indicators:</p> <ul style="list-style-type: none"> Regulations and standards applicable to artisanal and small-scale mining in LVMM put in place or improved | <p>Baseline:</p> <p>Target for year 1:</p> <p>Target for year 2:</p> <p>Target for year 3:</p> | <ol style="list-style-type: none"> Prepare training materials Conduct regional training and sensitization on environmental, health, safety and labour standards; labour rights; UN guiding principles for business and human rights; UN declaration on the rights of indigenous peoples; certification schemes Conduct country training and sensitization on environmental, health, safety and labour standards; labour rights; UN guiding principles for business and human rights; UN declaration on the rights of indigenous peoples; certification schemes Undertake legal reviews in selected countries to improve / develop health, safety, environmental and labour standards applicable for artisanal and small-scale enterprises in LVMM |

| INTENDED OUTPUTS & INDICATORS OF CHANGE | OUTPUT INDICATORS | INDICATIVE ACTIVITIES* |
|--|--|---|
| | | 5. Sector promotion: Small grants |
| <p>Output 3: Productivity, access to markets and working capital of the small-scale private sector in low-value mining increased through enhanced entrepreneurial skills of miners</p> <p>Output indicators:</p> <ul style="list-style-type: none"> Number of artisanal and small-scale mining enterprises with improved access to markets and capital | <p>Baseline:</p> <p>Target for year 1:</p> <p>Target for year 2:</p> <p>Target for year 3:</p> | <ol style="list-style-type: none"> Prepare training materials Conduct regional training on entrepreneurship skills (value-adding processes, accounting, marketing, sales promotion, purchasing, market analysis, identifying potential value chain entry points) Conduct country training on entrepreneurship skills (value-adding processes, accounting, marketing, sales promotion, purchasing, market analysis, identifying potential value chain entry points) Support development of coordination mechanisms in selected countries to support small-scale private enterprises Sector promotion: Small grants |
| <p>Output 4: Value chains in low-value mining strengthened through networking and improved capacity of associations/ chambers and public institutions to conduct market analysis and investment promotion</p> <p>Output indicators:</p> <ul style="list-style-type: none"> Number of contracts made between artisanal and small-scale mining enterprises with enterprises downstream in the LVMM value chain (e.g. construction) Regulations on artisanal and small-scale mining applicable to LVMM is put in place or improved | <p>Baseline:</p> <p>Target for year 1:</p> <p>Target for year 2:</p> <p>Target for year 3:</p> | <ol style="list-style-type: none"> Prepare training materials Conduct regional training on market analysis and investment promotion, for domestic and external markets Conduct country training on market analysis and investment promotion, for domestic and external markets Produce investor guides, handbooks, information products Organize technology exhibitions, business fairs, networking events Organize public-private consultations on improving the regulatory environment Undertake legal review to improve/ develop regulations applicable for artisanal and small-scale enterprises in LVMM Sector promotion: Small grants |
| <p>Output 5: Access to geo-data in low-value mining improved through enhanced technical knowledge, capacity and coordination of public institutions</p> | | |
| <p>Output indicators:</p> | <p>Baseline:</p> | <ol style="list-style-type: none"> Prepare training materials |

| INTENDED OUTPUTS & INDICATORS OF CHANGE | OUTPUT INDICATORS | INDICATIVE ACTIVITIES* |
|--|--|--|
| <ul style="list-style-type: none"> • Systems put in place for access to and sale of geo data • Number of products and maps with geo data produced • Number of experts qualified to produce and systematize digital geo-data <p>Output 6: Risk of conflict between low-value miners, mining enterprises and local communities reduced by building conflict prevention, dialogue and mediation skills of miners, associations/chambers, public institutions and communities</p> <p>Output indicators:</p> <ul style="list-style-type: none"> • Number of communities with established dialogue and participatory monitoring mechanisms • Number of communities with conflict analysis conducted • Number of communities with established grievance mechanisms | <p>Baseline:</p> <p>Target for year 1:</p> <p>Target for year 2:</p> <p>Target for year 3:</p> | <ol style="list-style-type: none"> 2. Conduct regional training on geo-data mapping 3. Conduct country training on geo-data mapping 4. Undertake reviews and scoping studies of available geo-data in LVMM in selected countries 5. Undertake an inventory of geo-data in LVMM 6. Produce databases with digitized geo-data in LVMM 7. Develop mechanisms to disseminate geo-data 8. Sector promotion: Small grants <ol style="list-style-type: none"> 1. Prepare training materials 2. Conduct regional training on conflict sensitive mining - this will include: conflict risk analyses, how to set-up effective grievance mechanisms, and community engagement based on free, prior and informed consent principle 3. Conduct country level training on conflict sensitive mining - this will include: conflict risk analyses, how to set-up effective grievance mechanisms, and community engagement 4. Conduct awareness on free, prior and informed consent principles in the vicinity of selected LVMM sites 5. Produce conflict sensitive community engagement toolkits based on free, prior and informed principle 6. Produce information and communication products including online and mobile technologies as part of conflict early warning and transparency platform 7. Sector promotion: Small grants <ul style="list-style-type: none"> • <i>Conduct end-line studies</i> • <i>Undertake project monitoring and review</i> • <i>Prepare training reports</i> • <i>Prepare print, audio and visual training materials</i> • <i>Conduct translation</i> • <i>Establish a web portal with training materials</i> • <i>Prepare and implement a communication strategy and plan</i> • <i>Organize final workshop</i> |

Notes: * activities in italics are those relevant to all outputs

IV. MANAGEMENT ARRANGEMENTS

UNDP is the implementing partner for this project, entrusted with the implementation of the project, along with the assumption of full responsibility and accountability for the effective use of resources and the delivery of all outputs.

The project will be managed through a UNDP project management structure, and funds will be managed and administered by UNDP's financial management systems.

The Steering Committee will provide an 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 European Commission, ACP Secretariat and UNDP. Meeting on a quarterly basis (including both electronically and in person), the Steering Committee will carry out the following tasks:

- i. Advise and provide overall direction and guidance to the project, including new strategic areas of collaboration and interventions, as appropriate;
- ii. Provide oversight and ensure effective management and implementation of the project;
- iii. Approve country selection;
- iv. Review performance toward project results and objectives;
- v. Propose changes in the project intervention logic, if required, to the Contracting Authority.
- vi. Undertake monitoring and commission evaluation;
- vii. Keep the UNDP, ACP Secretariat and EC leadership regularly informed about the deliberations and decisions of the Steering Committee.

A Technical Committee will be established that comprising relevant technical staff from UNDP, partner institutions, and representatives from ACP countries. Meeting at least on a quarterly basis (including both electronically and in person), the Technical Committee will play a key role in ensuring the quality of training materials and training delivery modalities, and will serve as an additional source of expertise for the country-level projects. 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 technical committee will also keep the Steering committee informed, upon request.

The Project Management Team will consist of three full-time staff at HQ. The HQ staff will constitute the Project Management Team and will include:

- The Project Manager will be responsible for the overall management and decision-making of the project, technical advice, overall technical guidance, and ensuring the quality and coherence of the training programmes and country-level initiatives¹²;
- The Programme Specialist will ensure day-to-day programme and financial management of resources, coordination and alignment with all partners, communication and outreach activities, provision of consistent support to trainers, creation and oversight of the training portal.
- The Finance/Administrative Associate will support logistical, procurement and financial operations of the project.

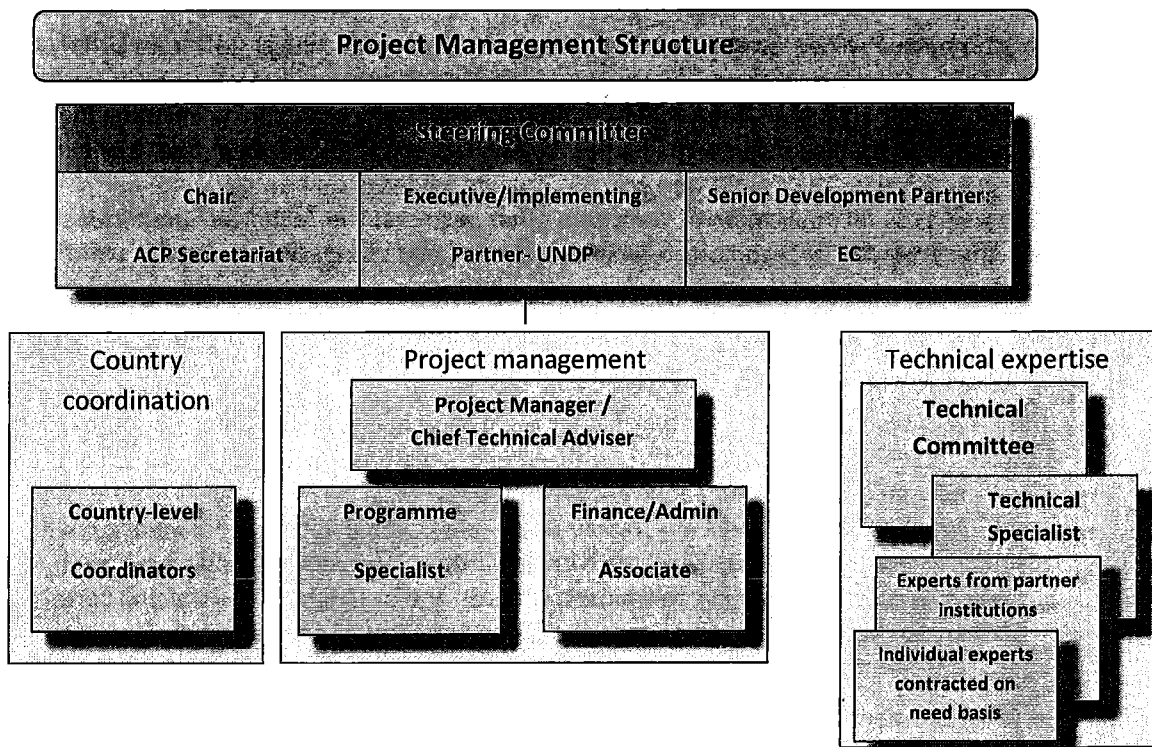
The Project Management Team will be responsible for:

¹² Given the breadth of expertise required, additional technical expertise will be recruited through consultancies or partnership agreements.

AP DS

- i. Realization of project outputs; coordination with all partners responsible for implementation of the project activities and day-to-day financial and programmatic management;
- ii. Sharing all information relevant to effective decision making, including all relevant budgetary information, with the Steering Committee members;
- iii. Preparing UNDP annual progress report to be submitted to major sponsors (the EU and ACP Secretariat);
- iv. Coordinating with the respective regional bureaux, regional centres, country offices UNDP, partner institutions, ACP Secretariat and EC to ensure the effective management of activities under the project and will ensure exchange of information;
- v. Providing secretariat support, including the drafting of the agenda and preparation of the minutes of the meetings, to the Technical Committee and the Steering Committee;
- vi. Ensure implementation of communication, visibility and knowledge sharing activities;
- vii. Ensure timely and appropriate sourcing of expertise.

Country-level personnel will be recruited in six countries to be selected for in-depth intervention. The persons will be responsible for project management and coordination at country level. To the extent possible, UNDP will utilize its available human resources at regional and country level, for instance in Addis Ababa (regional), as well as multi-country offices in Fiji and Barbados. In addition, a Technical Specialist will be recruited who will be responsible for the design and delivery of trainings (in specific training areas including entrepreneurship skills and market analysis) at both regional and country levels. The Technical Specialist will be responsible for providing technical oversight over the country-level projects in the six countries. He/she will also be responsible for producing various knowledge products and LVMM market analyses in the selected countries.



HP B

Monitoring and evaluation:

The Results and Resources Framework will be used as the basis for monitoring and evaluation. The indicators, sources of verification, assumptions and baselines will be further refined and streamlined during the inception phase and following completion of country assessments.

Halfway through programme implementation, the Steering Committee will organize a monitoring exercise, including field visits.

Any evaluation that the European Commission as a donor may wish to perform will be without prejudice to UNDP's own evaluation of the project. If UNDP carries out an internal evaluation, the results will be shared and become public. Eventual evaluation missions by representatives of the EC should be planned and completed in a collaborative manner between the Organization's staff and the European Commission's representatives, keeping in mind the commitment of the Parties to the effective and efficient operation of this Agreement. These missions are to be planned ahead and are to be agreed upon by the EC and the Organisation in advance. The EC will offer to make a draft of its report available to the Organisation and the ACP Secretariat for comments prior to final issuance.

At the completion of the project activities in each country/region, the project team will also conduct follow-up surveys to gather information about the impact of the programme, based on the baseline indicators and using a consistent survey method.

Communication and visibility:

All materials produced in the course of the programme will include the reference "with the financial support from the European Union in the framework of the ACP-EU Mineral Resources Development Project" and carry the EU and ACP group' logos.

All communication and visibility activities will be undertaken in accordance with the Joint Visibility Guidelines for EC-UN actions in the field. A visibility plan will be submitted for the approval by the programme Steering Committee during the inception phase.

The Legal context:

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the Supplemental Provisions in cases where the recipient country has not signed an SBA with UNDP.

UNDP as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations safety and security management system.

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

In implementing the project, UNDP shall follow its Strategy for Working with the Private Sector, UNDP Policy on Due Diligence and Partnerships with the Private Sector, Environmental and Social Screening Procedure for UNDP Projects, UNDP Corporate Strategy on Civil Society and Civic Engagement, and UNDP Information Disclosure Policy.

V. ANNEXES

Annex 1. Project implementation workplan

| | Year 1 | | | | Year 2 | | | | Year 3 | | | |
|---|--------|----|----|----|--------|----|----|----|--------|----|----|----|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Select countries * | ✓ | | | | | | | | | | | |
| Organize inception workshop* | ✓ | | | | | | | | | | | |
| Design and conduct baseline studies* | ✓ | ✓ | | | | | | | | | | |
| Conduct value chain, market analyses, and poverty and social assessments in LVMM* | ✓ | ✓ | | | | | | | | | | |
| Organize consultative workshops with key stakeholders in LVMM* | ✓ | ✓ | | | | | | | ✓ | | | |
| Select training participants* | | ✓ | | | ✓ | | | | | | | |
| Conduct end-line studies** | | | | | | | | | | | | |
| Organize final workshop** | | | | | | | | | | | | |
| Undertake project monitoring and review*** | | | | | | | | | | | | |
| Prepare training reports*** | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Prepare print, audio and visual training materials*** | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Conduct translation *** | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Establish a web portal with training materials*** | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Prepare and implement a communication strategy and plan*** | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Output 1: Operating standards and technologies improved in small-scale mines and quarries through enhanced technical knowledge of the small-scale private sector, associations/chambers, and public institutions in mine and quarry management | | | | | | | | | | | | |
| Prepare training materials | ✓ | | ✓ | | | | | | | | | |
| Deliver regional training on mine and quarry management (mine/quarry construction, operation | | | | ✓ | | | | | | | | |

SP DS

| | Year 1 | | | | Year 2 | | | | Year 3 | | | |
|---|--------|----|----|----|--------|----|----|----|--------|----|----|----|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| and maintenance of equipment, waste management, storage of consumables and blasting materials, etc.) | | | | | | | | | | | | |
| Deliver country training on mine and quarry management | | √ | | | | | | | | | | |
| Organize training by TOT trainees | | | | √ | | √ | | √ | | √ | | |
| Organize field visits | | √ | | √ | | | | | | | | |
| Provide small grants | | | | √ | | | | √ | | | | |
| Output 2: Environmental, health, safety standards improved and human and labour rights better protected in artisanal and low-value mining through enhanced technical and legal knowledge of the small-scale private sector, associations/chambers, and public institutions | | | | | | | | | | | | |
| Prepare training materials | √ | | | | √ | | | | | | | |
| Conduct regional training and sensitization on environmental, health, safety and labour standards; UN guiding principles for business and labour rights; certification schemes | | | | √ | | | | | | | | |
| Conduct country training and sensitization on environmental, health, safety and labour standards; UN guiding principles for business and labour rights; certification schemes | | √ | | | | | | | | | | |
| Organize training by TOT trainees | | | | √ | | √ | | √ | | √ | | |
| Undertake legal reviews in selected countries to improve / develop health, safety, environmental and labour standards applicable for artisanal and small-scale enterprises in LVMM | | | | | √ | √ | √ | √ | √ | √ | √ | √ |
| Provide small grants | | | | | | | | | | | | |
| Output 3: Productivity, access to markets and working capital of the small-scale private sector in low-value mining increased through enhanced entrepreneurial skills of miners | | | | | | | | | | | | |

FD

| | Year 1 | | | | Year 2 | | | | Year 3 | | | |
|---|--------|----|----|----|--------|----|----|----|--------|----|----|----|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Prepare training materials | | | | √ | | | √ | | | | | |
| Conduct regional training on entrepreneurship skills (value-adding processes, accounting, marketing, sales promotion, purchasing, market analysis, identifying potential value chain entry points) | | | | | | √ | | | | | | |
| Conduct country training on entrepreneurship skills (value-adding processes, accounting, marketing, sales promotion, purchasing, market analysis, identifying potential value chain entry points) | | | | √ | | | | | | | | |
| Organize training by TOT trainees | | | | | | √ | | √ | | | | √ |
| Support development of coordination mechanisms in selected countries to support small-scale private enterprises | | | | | √ | √ | | √ | √ | | √ | √ |
| Provide small grants | | | | | | | | | √ | | | √ |
| Output 4: Value chains in low-value mining strengthened through networking and improved capacity of associations/ chambers and public institutions to conduct market analysis and investment promotion | | | | | | | | | | | | |
| Prepare training materials | | | | √ | | | | | | | | |
| Conduct regional training on market analysis and investment promotion, for domestic and external markets | | | | | | √ | | | | | | |
| Conduct country training on market analysis and investment promotion, for domestic and external markets | | | | √ | | | | | | | | |
| Organize training by TOT trainees | | | | | | √ | | √ | | | | √ |
| Produce investor guides, handbooks, information products | | | | | √ | √ | | √ | √ | | √ | √ |

BP
SB

| | Year 1 | | | | Year 2 | | | | Year 3 | | | |
|---|--------|----|----|----|--------|----|----|----|--------|----|----|----|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Organize technology exhibitions, business fairs, networking events | | | | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Organize public-private consultations on improving the regulatory environment | | | | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Undertake legal review to improve/ develop regulations applicable for artisanal and small-scale enterprises in LVMM | | | | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | |
| Provide small grants | | | | | | ✓ | | ✓ | | ✓ | | ✓ |
| Output 5: Access to geo-data in low-value mining improved through enhanced technical knowledge, capacity and coordination of public institutions | | | | | | | | | | | | |
| Prepare training materials | | | | ✓ | | | | ✓ | | | | |
| Conduct regional training on geo-data mapping | | | | | | | | | ✓ | | | |
| Conduct country training on geo-data mapping | | | | | | ✓ | | | | | | |
| Organize training by TOT trainees | | | | | | ✓ | | | | ✓ | | ✓ |
| Undertake reviews and scoping studies of available geo-data in LVMM in selected countries | | ✓ | | | | | | | | | | |
| Undertake an inventory of geo-data in LVMM | | | | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | | | |
| Produce databases with digitized geo-data in LVMM | | | | | | | | | ✓ | ✓ | ✓ | ✓ |
| Develop mechanisms to disseminate geo-data | | | | | | | | | | | ✓ | ✓ |
| Provide small grants | | | | | | | | | ✓ | | ✓ | ✓ |
| Output 6: Risk of conflict between low-value miners, mining enterprises and local communities reduced by building conflict prevention, dialogue and mediation skills of miners, associations/chambers, public institutions and communities | | | | | | | | | | | | |
| Prepare training materials | ✓ | | | | | ✓ | | | | | | |
| Conduct regional training on conflict sensitive mining - this will include; conflict risk analyses, how to set-up effective grievance mechanisms, and community | | | | ✓ | | | | | | | | |

IP

| | Year 1 | | | | Year 2 | | | | Year 3 | | | |
|---|--------|----|----|----|--------|----|----|----|--------|----|----|----|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| engagement based on free, prior and informed consent principle | | | | | | | | | | | | |
| Conduct country level training on conflict sensitive mining - this will include; conflict risk analyses, how to set-up effective grievance mechanisms, and community engagement | | √ | | | | | | | | | | |
| Organize training by TOT trainees | | | | √ | | √ | | √ | | √ | | |
| Conduct awareness on free, prior and informed consent principles in the vicinity of selected LVMM sites | | | | | √ | √ | √ | √ | √ | √ | √ | √ |
| Produce conflict sensitive community engagement toolkits based on free, prior and informed principle | | | | | √ | √ | √ | √ | √ | √ | √ | √ |
| Produce information and communication products including online and mobile technologies as part of conflict early warning and transparency platform | | | | | √ | √ | √ | √ | √ | √ | √ | √ |
| Provide small grants | | | | | | √ | | √ | | √ | | √ |

Notes:

- * - activities at the inception phase
- ** - activities at the closure phase
- *** - activities throughout the project implementation

MP


Annex 2. Risks and assumptions

The risks defined associated with the project's implementation are described below, along with assumptions that will mitigate the risks:

- Political risk includes the change in governments' commitment to reform, transparency, and political economy issues such as resistance by vested interests in countries where technical assistance will be provided. Mitigating measures may include appropriate analysis and *ex ante* rigorous selection criteria for the countries involved and aligning the implementation of the project with mining and overall development strategies of countries.
- Risk of overlap with actions financed by other donors or EU programmes (especially with Africa Mining Vision-AMV initiatives). There must be donor coordination for country and regional implementation as an integral part of the responsibility of the project SC (see also as regard the AMDC) and clear-cut selection criteria for beneficiaries of project (to avoid double-funding). This risk is to a large extent mitigated by the fact that proposed activities are relatively new and very specific for the local ACP PSD.
- A major risk for the long-term benefit of the project would be lack of continuity after the project implementation. The best mitigating measures would be to involve regional institutions in conducting activities (organizing and delivering training) under this project. However, in the inception period, consultation with the ACP Secretariat and the in-country assessment described above in the project implementation process will help to identify with greater clarity the activities and strategies needed to maximize the sustainability and continuity of the project.
- Previous training programmes of public servants have resulted in migration 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.
- There is a risk that NGOs oppose and obstruct reform programmes targeting mining activities. A mitigating factor will be to improve training and communication with civil society and to include representatives in some of the training envisioned. The fact that the project mainly addresses small mining activities is also a mitigating factor itself, because most of these activities will benefit the local/regional economies and societies.
- Internal and international unrest may impede technical assistance missions. Preliminary information and contacts will therefore be taken in advance.

In order to mitigate some of the political risks it would be important during the inception workshop and in-country consultations that the overall context of the road map and its objectives is exposed to a wide public discussion, including prominent members of the civil society. It is assumed that in countries where the EITI is actively followed, the support and understanding of civil society members is paramount.

Annex 3. Partnerships

UNDP currently has strong partnerships with governments, civil society and business development institutions in a large number of countries, including ACP countries. These partnerships have been cultivated as part of the implementation of UNDP's country projects in all its programme areas. These include democratic governance, poverty reduction, environment and energy, conflict prevention, health and development, and gender equality.

More recently, country-level partnerships have been established with institutions working in extractive industries and sustainable development. These include, for example, 1) government institutions such as the National Bureau of Concessions, the Ministry of Justice and the Environmental Protection Agency of Liberia; the Ministry of Environment, Water and Natural Resources and the National Environmental Protection Authority of Kenya; the Ministry of Mineral Resources (MIREM) and the Ministry of Coordination of Environmental Affairs (MICOA) of Mozambique; the Ministry of Natural Resources and Environment of Guyana; and Parliamentary Committees of some countries; 2) civil society networks and organizations working on environmental, fiscal transparency and other issues related to extractive industries; 3) business development institutions, such as industry associations, business schools, training institutions in countries at both the national and sub-national levels; 4) multi-stakeholder consultative groups such as EITI in Liberia and Mozambique, as well as national and sub-national consultation platforms with government, private sector and civil society. Other partnerships in extractive industries and sustainable development are underway in Fiji, Guinea, Indonesia, Iraq, Mongolia and Uganda. At the country level, the project will partner with diverse set of organizations, including government or semi-governmental bodies, sector associations, public or private business development service providers, as well as civil society organizations. Partnerships at the country level will be identified and pursued upon selection of countries for in-depth interventions under this project. These partnerships will build on already established partnerships at the country level as part of UNDP's related programmatic work. However, new partnerships will also be pursued, in particular with organizations specific to LVMM sector.

At the regional level, UNDP has partnered with the African Union and the UNECA, by providing financial and technical support for the establishment of the African Mining Development Centre. At the global level, UNDP has partnerships or collaboration initiatives with the World Bank Institute, the Extractive Industries Transparency Initiative (EITI); Partnership Africa Canada (PAC); Centre for Social Responsibility in Mining (Australia); Columbia Center for Sustainable Investment (CCSI); Natural Resource Governance Institute (NRGI); UNEP and UN Habitat under the EU-UN Partnership on Land and Natural Resource Management. Finally, UNDP has established a roster of experts for rapid deployment on assignments related to extractive industries, including on small-scale and artisanal mining, which will serve as a significant resource for sourcing expertise.

The project will deliver some of the activities in partnerships with specialized technical institutions, regional institutions and national/ sub-national institutions.

The preliminary list of specialized and regional institutions to partner with includes, but is not limited to the following. Wherever possible, priority will be given to partner with regional specialized institutions in the respective ACP regions. However, this is not to exclude the potential partnerships with specialized institutions outside of ACP, which have both technical expertise and experience of working in countries of ACP or more broadly, developing countries.



Specialized institutions

(1) Centre for Social Responsibility in Mining (CSRMI) is part of the Sustainable Minerals Institute (SMI) at The University of Queensland, Australia. The work of the Centre spans a range of thematic areas, covering the interactions between resource projects, communities and other stakeholders. Across these themes, the Centre conducts quantitative and qualitative social research; provide services including framework development and customized studies; and co-ordinate education and training activities. In addition to postgraduate programs in community relations, the Centre delivers short courses and workshops to community representatives and mining executives.

(2) Eurogeosurveys (EGS) is partnering with OAGS to strengthen OAGS' capacity to improve geological knowledge base in Africa. EGS developed a feasibility study to assess the needs of the African Geological surveys and to improve capacities of the OAGS. The project entitled "Geoscientific knowledge and skill at the African Geological Surveys" began in 2013. As part of the project, a 12-month scoping study (Phase 1) is conducted with the aim to launch a large and long-term project (2014-2018) based on the outcomes and findings of the scoping study (Phase 2). The main objectives of the feasibility study are to find best ways to strengthen the operational and administrative capacity, knowledge and skills of Geological Surveys of African countries under the OAGS, in governance of natural resources, enforcing sustainable mineral resources exploitation as well as preventing and mitigating natural disasters. Activity areas include 1) Coordination "Geoscientific knowledge and skills in the African Geological Surveys", 2) Activities needed to strengthen OAGS; 3) Gap Analysis of Geoscientific Mapping; 4) Mineral Resources Assessment Gap Analysis; 5) Geohazards Mapping and Monitoring and Geoheritage gap analysis; and 6) Capacity Building and Training Concept.

(3) Geological Survey of Denmark and Greenland (GEUS) is a research and advisory institute with main tasks to conduct geological mapping, data collection and storage, carry out research projects, give advice, and disseminate geo-scientific knowledge. Although its main focus is on Denmark and Greenland, GEUS have participated in a number of projects in developing countries under each of its five program areas. Some of their international projects under the Mineral Resources program area include: a baseline survey of ASM and training course for female small-scale miners in Mongolia and Kyrgyzstan; development of capacity of Geological Survey Department of Ghana through building knowledge, training to geologists and ensuring the quality of aeromagnetic, radiometric and electromagnetic data collected; analyzing systems and mining laws in Tanzania, preparation of plans for administrative and technical system to manage and new cadaster for mineral licenses, studying gold deposits and dispersion of mercury in drainage; Developed a cadastral reference system for mines with related databases and procedures in Romania. In partnership with University of Copenhagen, GEUS formed the **Centre for Sustainable Artisanal and Small-Scale Mining (SASMin)**, an interdisciplinary unit for research and consultancy work pertaining to sustainable artisanal and small-scale mining in developing countries. Staff members and researchers are from GEUS and University of Copenhagen.

(4) The Centre for Sustainability in Mining and Industry of the University of Witwatersrand's School of Mining Engineering (South Africa) was formed in partnership with BHP Billiton, Lonmin and Gold Fields and the University in 2004, and has been supported since by several private companies and international organizations. CSMI aims to build capacity for education and research through provision of courses, training programmes and workshops. The Centre also builds research resources by undertaking projects that support course development and research. In 2012, the Centre launched a range of short courses with main focus on SHEC topics within the mining industry. It is finalizing the development of an Advanced Certificate program (10 courses) for health, safety and environmental regulators. It will also develop teaching manuals for the courses. The courses also include GIS topics and are also offered as part of the MSc Program in addition to being offered as separate certificates. In addition, the CSMI

presents an accredited short course on safety risk management for Anglo American and with the support of the Department of Mineral Resources and the Mining Qualifications Authority; CSMMI has developed and piloted eight short accredited courses for the Mine Health and Safety Inspectorate and the environmental Inspectorate. CSMI also presents a number of short courses, workshops and dialogues in response to specific requests or perceived need. For instance, CSMI hosted a South Sudanese ministry seeking advice and assistance in setting up a minerals policy and convened (an issued certificates for) a course for 10 delegates from the Ethiopian Ministry of Mines in Mineral Sector Administration.

(5) Southern and Eastern African Mineral Centre (SEAMIC) is an independent training and consultancy services provider for the southern and eastern Africa region with clients comprising of governments, mining companies and small scale miners. The company has five laboratories, including a Geo-information Lab which deals with geo-mapping, GIS applications, regional mineral databases and geo-physical surveys. Training courses are offered at the Centre on topics related to the mineral industry such as mineral lab management, EIA studies, mineral test and analysis (sample and preparation of geological materials, optimization and control of mineral recovery, ore testing and analysis etc.), gemology and gem cutting, mineral exploration and geological mapping, resource/reserve modeling, industrial minerals applications, GIS and remote sensing applications. Projects have included: Digitizing and disseminating geoscientific data, GIS Africa project (partnership with French Geological Survey and International Centre for Training and Exchanges in the Geo-Sciences) which aimed to develop regional geoscientific mineral resources database and propose decision tools to support regional policies related to earth sciences, Africa Mining network (jointly developed by UNCTAD and UNECA and SEAMIC is the Secretariat) to establish a network for Africa for the collection and dissemination of information and enable exchange of ideas across the continent and disciplines. In the past SEAMIC has organized workshops on Management of Mineral Wealth, Mineral Exploration, and a workshop to discuss the mandates and financing of the geological surveys, with particular emphasis on geological surveys in eastern and southern Africa.

(6) Organization of African Geological Surveys (OAGS) is an intergovernmental partnership of African countries¹³ with the goal to foster geosciences programmes in the continent, with special reference to mineral resource assessment, sustainable land use and development, hazard mitigation and environmental protection. South Africa is the President and Secretariat to the OAGS. The organization is currently working on three main projects; 1) development of a repository of information on the geo-sites of each country in Africa, 2) establishment of the seismotectonic map of Africa, 3) preparation of framework to support Small Scale Mining in Africa using geological surveys. The organization members convene regularly where member states and those responsible for leading the projects of the organization share updates and experiences.

(7) The Regional Center for Mapping Resources for Development (RCMRD) is an intergovernmental organization with 20 member states from the Eastern and Southern regions of Africa.¹⁴ It was established to provide products and services in environmental and resource management for sustainable development for its member countries (and others). The main objectives are to provide training and advisory services in the fields of surveying and mapping such as aerial photography, photogrammetry, photo-interpretation, geodesy, and remote sensing. Their ongoing projects are with 1)

¹³ Chad, Sierra Leone, Kenya, Mali, Zambia, Algeria, Zimbabwe, Uganda, Nigeria, Angola, Tanzania, Mozambique, Ghana and South Africa

¹⁴ Botswana, Burundi, Comoros, Ethiopia, Kenya, Lesotho, Malawi, Mauritius, Namibia, Rwanda, Seychelles, Somali, South Africa, South Sudan, Sudan, Swaziland, Tanzania, Uganda and Zambia.

African Geodetic Reference Frame (AFREF); 2) African Monitoring of the Environment for Sustainable Development (AMESD) Programme; 3) Government of Kenya, and 4) SERVIR.

(8) University of Ghana Business School and the International Finance Corporation (Private Enterprise Partnership for Africa) support established the Enterprise Development Services (EDS) in 2008. EDS was established in response to stunted SME growth and the marginal contributions the SME sector appeared to make to the Ghanaian economy. EDS provides Entrepreneurial Training courses. In 2011, EDS organized a training programme in Obuasi in the Ashanti Region (where the Obuasi gold mine is located). The training program lasted 2 days and focused on basic financial management including basic income and expenditure management, financing decisions, evaluation of investment projects management of working capital efficiently. Participants included selected Anglo-Gold Ashanti staff members and private individuals.

(9) Division of Geosciences and Applied Technology (SOPAC) is a division of the Secretariat of the Pacific Community (SPC) with the goal to ensure earth sciences, including geology, geophysics, oceanography, and hydrology, are fully utilized to fulfill the SPC Mission. SOPAC's work is carried out through SPC, based in Suva, Fiji. The division has three technical work programmes (ocean and islands, water and sanitation, and disaster reduction). It offers technical support services in five areas that are common to its technical work programmes, including natural resource economics; GIS and remote sensing; technical equipment and services; data management; and publications and library. The division manages The Pacific Deep Sea Minerals Project, aimed to help Pacific Island countries to improve the governance and management of their deep-sea minerals resources through improved legal frameworks, increased technical capacity and effective monitoring systems. The project is funded by the EU.

Regional institutions

(1) Africa Mining Development Centre (AMDC) is a center to provide operational support for the implementation of the Africa Mining Vision. The AMDC advocates for the enhanced use of geological and geospatial information to manage long-term developmental outcomes in African mining countries, as well as a well-governed African mining sector that is socially and environmentally accountable. The centre is co-sponsored by the Economic Commission for Africa (UNECA), the African Union Commission (AUC) and the African Development Bank (AfDB).

Box 1: Example of partnerships being established under this project:

UNDP and the African Mining Development Centre (AMDC)

Among the AMDC's seven result areas (outlined in its Business Plan), **Results Area 4** is on Artisanal and small-scale mining (ASM). According to the AMDC the **Goal** is "to create a mining sector that harnesses the potential of artisanal and small-scale mining to advance integrated and sustainable rural socio-economic development" (AMDC, 2012, p. 10). The **Expected Outcomes** are:

1. A viable and sustainable artisanal and small-scale mining sector;
2. Strengthened capacities of ASM operators; and
3. Reduced negative environmental, health and welfare impacts from ASM.

As mentioned above, UNDP was instrumental in establishing the AMDC and currently supports it through technical assistance and financing. In February of this year UNDP's extractives team met with the management of the AMDC. The two parties discussed potential collaboration and agreed that the

AMDC will be an active agency through which this project's activities could be carried out. This will involve: a) joint outreach to African governments for the country-level projects; b) joint preparation of training modules (with the added objective of building the capacity of the AMDC itself); c) joint convening of the regional training sessions; and d) joint communication, visibility and knowledge sharing.

A formal agreement will be entered with further details of the collaboration under this project.

(4) Caribbean Community and Common Market (CARICOM) is a Caribbean regional organization to promote regional integration and a single market. It has 15 members in the Caribbean, including the Guianas. The CARICOM has a wide mandate to expand trade and economic relations within and outside the region, promotion of economic and social development in the region.

(5) The Pacific Community (also referred to as SPC or the Secretariat of the Pacific Community) is an international organization that works in public health, geoscience, agriculture, forestry, water resources, disaster management, fisheries, education, statistics, transport, energy, human rights, gender, youth and culture to help Pacific Island people achieve sustainable development. SPC's members are the 22 Pacific Island countries and territories that are the beneficiaries of its services.

Annex 4. Inception workshop

Objectives:

- To inform key stakeholders about the objectives, expected results and activities of the project;
- To present a background paper on low-value mining
- To seek feedback on the project concept, design and workflow;
- To identify areas for knowledge sharing and cross-country collaboration;
- To gather information about small-scale mining sectors in the selected countries.

Participants:

- About 50 participants including:
- regional institutions (ACP, AU, AMDC, Caribbean and Pacific organizations, SADC/ mining unit)
- specialist institutions
- 3-4 participants from each selected country, representing governments, associations, training institutions and social stakeholders

Duration/ timeframe: 2 days in September 2014

Location: Brussels, Belgium

Tentative programme:

| |
|--|
| Day 1, morning |
| Opening |
| Launch of the project |
| Presentation of the background paper on the state of small-scale minerals sector globally, to be followed by a Q&A |
| Day 1, afternoon |
| Presentations by country representatives on LVMM in the ACP countries and sub-regions |
| Group work – identifying the challenges facing the LVMM and potential mitigation factors and lessons learned |
| Day 2, morning |
| Presentation of the current project design |
| Group work – feedback on the project design and development of a detailed work-plan at the regional and country level. |
| Day 2, afternoon |
| Closing |

Annex 5. Training plan
Summary of the training plan by type of participants

| Categories of participants | Examples of participants | Training topics | | | | | | Training outcomes |
|----------------------------|--|-------------------------------------|----------------------------|---|--------------------|---------------------------------------|------------------|---|
| | | Training 1 | | | Training 2 | | Training 3 | |
| | | Conflict prev., community relations | Mine and quarry management | Environmental, health, safety standards | Enterprises skills | Market analysis, investment promotion | Geo-data mapping | |
| Public stakeholders | Public institutions that formulate policies and regulate the mining sector; environmental regulatory agencies; local governments | √ | √ | √ | | | √ | <ul style="list-style-type: none"> Enhanced capacities in monitoring and evaluation Enhanced capacities to assess and monitor environmental, conflict, gender and social impact of mining activities Familiarization with approaches to develop public awareness and engage communities in decision-making Enhanced know-how on establishing grievance mechanisms |
| Private stakeholders | Small-scale private mining operators in LVMM; industry associations; | √ | √ | √ | √ | √ | | <ul style="list-style-type: none"> Enhanced entrepreneurs. skills Enhanced capacities to manage associations, cooperatives and businesses in LVMM Enhanced capacities in negotiating contracts Enhanced capacities in mine management, familiarization with good operating methods and equipment Enhanced knowledge of legal requirements & standards in environmental, health and safety Enhanced knowledge of human and labour rights, including the UN Guiding Principles on Business and Human Rights Enhanced capacities to assess and monitor environmental, conflict, gender and social impact of mining activities |

| | | | | | | | | |
|-------------------------------------|--|---|---|---|---|---|---|---|
| Business development stakeholders | Chambers of mines; investment promotion agencies; training centres; specialized institutes such as geological and cadastral institutes | √ | √ | √ | √ | √ | √ | <ul style="list-style-type: none"> • Enhanced capacities in promotion of and support to the local private sector • Enhanced capacities to conduct training on 1) business/ entrepreneurship development; 2) mine management, operating methods and equipment; 3) environmental, legal, safety standards; 4) human and labour rights; 5) monitoring environmental, social impacts of LVMM. • Enhanced capacity to conduct market studies • Enhanced capacities in identifying promising mineral resources in LVMM and development of investment promotion tools such as geo-mapping; • Enhanced capacities for investment promotion • Enhanced capacities in value-chain development |
| Communities and social stakeholders | Communities and indigenous peoples affected by mining operations; civil society representatives | √ | √ | √ | | | | <ul style="list-style-type: none"> • Enhanced capacities to assess and monitor environmental, conflict, gender and social impact of mining activities • Enhanced know-how on establishing grievance mechanisms • Familiarization with approaches to develop public awareness and engage with government and business • Enhanced knowledge of legal requirements and standards in environmental, health and safety issues • Enhanced knowledge of human and labour rights, including the UN Guiding Principles on Business and Human Rights |

Summary of the training plan by year and quarter

| | Year 1 | | | | Year 2 | | | | Year 3 | | | |
|--|--------|----|----|----|--------|----|----|----|--------|----|----|----|
| | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 | Q1 | Q2 | Q3 | Q4 |
| Country-level activities | | | | | | | | | | | | |
| Country consultation and roadmap | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ |
| Country training 1: Conflict mitigation and prevention; mine management; environment, health and safety standards, labour and human rights | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ |
| Country training 2: Entrepreneurship skills; association/ cooperative/ business management; market analysis and investment promotion | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ |
| Country training 3: Geo-data digitization and mapping | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ |
| Regional-level activities | | | | | | | | | | | | |
| Sub-regional consultation | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ |
| Sub-regional training 1: Mining regulation in LVMM; mine management; environment, health and safety standards, labour and human rights | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ |
| Sub-regional training 2: Entrepreneurship skills; association / cooperative/ business management; market analysis and investment promotion | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ |
| Sub-regional training 3: Geo-data digitization and mapping | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ | ■ |

Legend:

| | |
|---|----------------------------------|
| ■ | Training or workshop |
| ■ | Lead-up and follow-up activities |

MP B

1. Training plan at the country level

Consultation and roadmap development

| |
|---|
| Objectives: Discussion among stakeholders and developing a roadmap to integrate small-scale miners (informal and small enterprises) into the value chain |
| Participants: 60-70 participants, representing: <ul style="list-style-type: none"> • LV miners and associations • Mining and environmental regulators • Local government officials • Training centres • Investment promotion agencies • Potential buyers such as intermediaries and construction companies • Geological / cadastral institutes • Communities/ indigenous peoples/ civil society representatives |
| Level: at the national level, including national and local/ provincial representatives |
| Duration: 2 days |
| Format: facilitated discussion |

Training 1. Conflict mitigation and prevention; mine management; environment, health and safety standards, and human rights

| | |
|--|--|
| Objectives: <ul style="list-style-type: none"> • Identify sources of conflict and ways to address them • Introduce good practices and inform about regulations and international human rights instruments, such as on business and human rights; rights of indigenous peoples • Introduce good practices in mine management • Introduce good practices and inform about regulations in environment, health and safety standards | |
| Participants: 30 participants, representing: <ul style="list-style-type: none"> • LV miners and associations • Mining and environmental regulators • Local government officials • Training centres • Communities/ indigenous peoples/ civil society representatives | |
| Level: at the local/ provincial level | |
| Training topics: | Format: |
| Identification of sources of conflict and ways to address them | Discussion facilitated by expert and local NGO or training centre representative |
| Introduction of good practices in protecting human rights, implications of human rights violations, standards and guidelines on | Training delivered by expert |

| | |
|---|---|
| human rights, including UN Guiding Principles on Business and Human Rights; UN Declaration on the Rights of Indigenous Peoples | |
| Information about existing legislation and regulations in environmental, health and safety standards and human rights | Training delivered by mining and environmental regulators, local government officials |
| Introduction of good practices in mine management (mine/ quarry construction; operation and maintenance of equipment; waste management; storage of consumables and blasting materials etc.) | Training delivered by expert |
| Introduction of good practices and standards in environmental, health and safety issues | Training delivered by expert |
| Mine visit | Field visit |
| | |

Training 2. Entrepreneurship skills; association/ cooperative/ business management; market analysis and investment promotion

| | |
|--|--|
| Objectives: | |
| <ul style="list-style-type: none"> • Develop entrepreneurial skills • Develop skills in market analysis, investment promotion • Raise awareness of national and international legal issues and practices on: labour rights, rights of children (particularly prohibition of child labour), social protection • Facilitate business networking of informal and small mining enterprises with buyers | |
| Participants: | |
| 30 participants in the training, representing: <ul style="list-style-type: none"> • LV miners and associations • Training centres and investment promotion agencies 60-100 participants in the business networking event, which will represent, in addition to the above: <ul style="list-style-type: none"> • Potential buyers such as intermediaries and construction companies • Local government officials | |
| Level: at the local/ provincial level | |
| Training topics: | Format: |
| Introduction to business, cooperative and association management; legal framework and practices in collective action and representation | Training delivered by expert, including good examples from other countries, regions, sectors |
| People management (including labour rights and regulations; rights of children, social protection) | Training delivered by expert, including good examples from other countries, regions, sectors |
| Business plan development | Training delivered by expert |
| Accounting and bookkeeping | Training delivered by expert |
| Logistics management in LVM | Training delivered by expert |
| Marketing and communications | Training delivered by expert |
| Finding and analyzing price and market information | Training delivered by expert |
| Understanding geo-maps | Training delivered by expert |
| Business networking and technology fair | Fair/ exhibition |
| | |

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Training 3. Geo-data digitization and mapping

| | |
|--|------------------------------|
| Objectives: | |
| <ul style="list-style-type: none"> • Training on conducting geo-data digitization, database management, mapping and preparation of digital and paper outputs | |
| Participants: 30 participants, representing: <ul style="list-style-type: none"> • Geological / cadastral institutes • Mining regulators • Investment promotion agencies | |
| Level: at the national level | |
| Training topics: | Format: |
| Mapping software | Training delivered by expert |
| Spatial databases | Training / hands-on tutorial |
| Programming | Training/ hands-on tutorial |
| Digitizing geo-data | Training/ hands-on tutorial |
| Web mapping | Training/ hands-on tutorial |
| Additional information: this training will be preceded by initial scoping, collection of available geo-data, inventory of geo-data in non-digital format, and will be followed by continued inventory of geo-data. | |

Final consultation, presentations and roadmap refining

| | |
|---|--|
| Objectives: | |
| <ul style="list-style-type: none"> • Participants to present the results of their work • Additional networking • Refining the roadmap for integrating informal and small-scale mining enterprises in the value chain | |
| Participants: 60-70 participants, representing: <ul style="list-style-type: none"> • LV miners and associations • Mining and environmental regulators • Local government officials • Training centres • Investment promotion agencies • Potential buyers such as intermediaries and construction companies • Geological / cadastral institutes • Communities/ indigenous peoples/ civil society representatives | |
| Level: at the national level, including national and local/ provincial representatives | |
| Duration: 2 days | |
| Format: Facilitated discussion and fair | |

2. Training plan at the regional level

Training 1. Mining regulation in LVMM; mine management; environment, health and safety standards, and human rights

| | |
|---|---|
| Objectives: <ul style="list-style-type: none"> • Introduce good practices in conflict management in LVMM • Introduce good practices and inform about regulations and international human rights instruments, such as on business and human rights; rights of indigenous peoples • Introduce good practices in mine management • Introduce good practices in environment, health and safety standards | |
| Participants: 40 participants, representing: <ul style="list-style-type: none"> • LV mining associations • Mining and environmental regulators • Country-based training and business development centres • Regional training centres and specialized institutions • Communities/ indigenous peoples/ civil society representatives | |
| Level: at the sub-regional level | |
| Training topics: | Format: |
| Sources of conflict and ways to address them | Discussion facilitated by expert and local NGO or training centre representative |
| Introduction of good practices in protecting human rights, implications of human rights violations, standards and guidelines on human rights, including UN Guiding Principles on Business and Human Rights; UN Declaration on the Rights of Indigenous Peoples | Training delivered by expert |
| Good practices in mining regulation of LVMM | Discussion facilitated by expert and training centre representative Presentation by expert |
| Good practices in mine management (mine/ quarry construction; operation and maintenance of equipment; waste management; storage of consumables and blasting materials etc.) | Training delivered by expert |
| Introduction of good practices and standards in environmental, health and safety issues | Training delivered by expert |
| Mine visit | Field visit |

Training 2. Entrepreneurship skills; business/ cooperative/ association management; market analysis and investment promotion

| |
|--|
| Objectives: <ul style="list-style-type: none"> • Map value chains in LVMM • Develop skills in market analysis, investment promotion • Raise awareness of national and international legal issues and practices on: labour rights, rights |
|--|

| | |
|---|--|
| of children (particularly prohibition of child labour), social protection <ul style="list-style-type: none"> Develop entrepreneurial skills | |
| Participants: 40 participants, representing: <ul style="list-style-type: none"> LV mining associations Investment promotion agencies Country-based training and business development centres Regional training centres and specialized institutions | |
| Level: at the sub-regional level | |
| Training topics: | Format: |
| Value chain mapping | Training delivered by expert; hands-on tutorial in mapping value chains |
| Business, association and cooperative management ; laws and practices in collective action and representation | Training delivered by expert, including good examples from other countries, regions, sectors |
| People management (including labour rights and regulations; rights of children, social protection) | Training delivered by expert, including good examples from other countries, regions, sectors |
| Business plan development | Training delivered by expert |
| Accounting and bookkeeping | Training delivered by expert |
| Logistics management in LVM | Training delivered by expert |
| Marketing and communications | Training delivered by expert |
| Finding and analyzing price and market information | Training delivered by expert |
| Understanding geo-maps | Training delivered by expert |

Training 3. Geo-data digitization and mapping

| | |
|---|------------------------------|
| Objectives: <ul style="list-style-type: none"> Training on conducting geo-data digitization, database management, mapping and preparation of digital and paper outputs | |
| Participants: 40 participants, representing: <ul style="list-style-type: none"> Geological / cadastral institutes Mining regulators Country-based training centres Regional training centres and specialized institutions | |
| Level: at the sub-regional level | |
| Training topics: | Format: |
| Mapping software | Training delivered by expert |
| Spatial databases | Training / hands-on tutorial |
| Programming | Training/ hands-on tutorial |
| Digitizing geo-data | Training/ hands-on tutorial |
| Web mapping | Training/ hands-on tutorial |

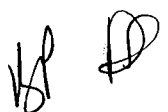
Final consultations and presentations

| |
|---|
| Objectives: <ul style="list-style-type: none">• Participants to present the results of their work over the past 3 years• Knowledge sharing and networking• Developing roadmaps for integrating informal and small-scale LVMM in value chains |
| Participants: 60-70 participants, representing: <ul style="list-style-type: none">• LV miners and associations• Mining and environmental regulators• Local government officials• Training centres• Investment promotion agencies• Potential buyers such as intermediaries and construction companies• Geological / cadastral institutes• Communities/ indigenous peoples/ civil society representatives |
| Level: at the sub-regional level |
| Duration: 2 days |
| Format: Facilitated discussion and fair |

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ANNEX III BUDGET

| INPUTS AND BUDGET, € | TOTAL YEAR 1 | |
|--|------------------|------------------|
| Output 1: Operating standards and technologies improved in small-scale mines and quarries through enhanced technical knowledge of the small-scale private sector, associations/chambers, and public institutions in mine and quarry management | | |
| Inception workshop | 126,286 | 126,286 |
| Baseline studies | 134,743 | 96,207 |
| Market studies | 124,455 | 124,455 |
| Social and poverty assessments | 124,455 | 124,455 |
| Country consultations | 148,572 | 148,572 |
| Technical experts | 407,848 | 135,949 |
| Regional training | 233,372 | 233,372 |
| Country training | 74,186 | 74,186 |
| Field visits | 381,371 | 381,371 |
| Country training by TOT trainers | 47,003 | 11,751 |
| Small grants | 96,429 | 24,107 |
| Knowledge management, training materials | 53,571 | 17,857 |
| Total for output 1 | 1,952,290 | 1,498,567 |
| Output 2: Environmental, health, safety standards improved and human and labour rights better protected in small-scale mining through enhanced technical and legal knowledge of the small-scale private sector, associations/chambers, and public institutions. | | |
| Technical experts | 407,848 | 135,949 |
| Regional training | 233,372 | 233,372 |
| Country training | 74,186 | 74,186 |
| Country training by TOT trainers | 47,003 | 11,751 |
| Legal reviews on health, safety and env. standards | 192,857 | - |
| Small grants | 96,429 | 24,107 |
| Knowledge management, training materials | 53,571 | 17,857 |
| Total for output 2 | 1,105,265 | 497,222 |
| Output 3: Productivity, access to markets and working capital of the small-scale private sector in low-value mining increased through enhanced entrepreneurial skills of miners | | |
| Technical experts | 407,848 | 135,949 |
| Regional training | 350,057 | - |
| Country training | 111,279 | 111,279 |
| Country training by TOT trainers | 47,003 | - |
| Coordination mechanisms for public-private dialogues | 385,714 | - |
| Small grants | 96,429 | - |
| Knowledge management, training materials | 53,571 | 17,857 |
| Total for output 3 | 1,451,902 | 265,085 |

| INPUTS AND BUDGET, € | TOTAL YEAR 1 | |
|---|---------------------|------------------|
| Output 4: Value chains in low-value mining strengthened through networking and improved capacity of associations/ chambers and public institutions to conduct market analysis and investment promotion | | |
| Technical experts | 407,848 | 135,949 |
| Regional training | 350,057 | 111,279 |
| Country training | 111,279 | - |
| Country training by TOT trainers | 47,003 | - |
| Technical exhibitions, consultations, legal review | 573,600 | - |
| Small grants | 96,429 | - |
| Knowledge management, training materials | 53,571 | 17,857 |
| Total for output 4 | 1,639,787 | 265,085 |
| Output 5: Access to geo-data in low-value mining improved through enhanced technical knowledge, capacity and coordination of public institutions | | |
| Technical experts | 407,848 | 135,949 |
| Regional training | 700,115 | - |
| Country training | 222,558 | - |
| Country training by TOT trainers | 47,003 | - |
| Geodata scoping, inventory, digitization, dissemination mech. | 807,556 | 173,786 |
| Small grants | 96,429 | - |
| Knowledge management, training materials | 53,571 | 17,857 |
| Total for output 5 | 2,335,079 | 327,593 |
| Output 6: Risk of conflict between low-value miners, mining enterprises and local communities reduced by building conflict prevention, dialogue and mediation skills of miners, associations/chambers, public institutions and communities | | |
| Technical experts | 407,848 | 135,949 |
| Regional training | 233,372 | 233,372 |
| Country training | 74,186 | 74,186 |
| Country training by TOT trainers | 47,003 | 11,751 |
| Conflict-sensitive toolkits, awareness raising | 199,029 | - |
| Small grants | 96,429 | 24,107 |
| Knowledge management, training materials | 53,571 | 17,857 |
| Country coordination | 686,880 | 228,960 |
| Project manager/ CTA | 615,426 | 205,142 |
| Programme specialist | 435,312 | 145,104 |
| Finance and admin assistance | 235,260 | 78,420 |
| Monitoring visits and mid-term reviews | 84,288 | - |
| Final workshop | 126,286 | - |
| Travel/Office/Utilities/Admin/Misc. | 213,778 | 71,259 |
| Communication costs | 250,000 | 83,333 |
| Total for output 6 | 3,758,667 | 1,309,441 |

| INPUTS AND BUDGET, € | TOTAL | YEAR 1 |
|-----------------------------------|-------------------|------------------|
| Total programmable | 12,242,990 | 4,162,993 |
| Plus: Administrative costs | 857,010 | 291,409 |
| Total | 13,100,000 | 4,454,402 |
| Of which: | | |
| UNDP contribution | 1,400,000 | 445,440 |
| EU contribution | 11,700,000 | 4,008,962 |

KP