

# Mid-term Evaluation *of the* ACP-EU Development Minerals Programme

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## MID-TERM EVALUATION REPORT

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# TABLE OF CONTENTS

<b>GLOSSARY .....</b>	<b>5</b>
<b>PART I - EXECUTIVE SUMMARY .....</b>	<b>6</b>
<b>1. Executive Summary .....</b>	<b>6</b>
1.1. About the ACP-EU Development Minerals Programme .....	6
1.2. Evaluation Objectives and Scope .....	6
1.3. Evaluation Findings and Conclusions .....	7
1.3. Evaluation Recommendations .....	9
<b>PART II - ABOUT THE EVALUATION .....</b>	<b>11</b>
<b>2. About the Evaluation .....</b>	<b>11</b>
2.1. About the ACP-EU Development Minerals Programme .....	11
2.2. Evaluation Objectives, Management and Scope .....	13
2.3. Evaluation Methodology and Work Programme .....	14
2.4. Evaluation Challenges .....	15
<b>PART III - EVALUATION FINDINGS .....</b>	<b>16</b>
<b>3. Relevance, Programme Strategy &amp; Design .....</b>	<b>16</b>
3.1. DMP Relevance to ACP Policies and Strategies.....	16
3.2. Relevance to EU Development Policy Objectives and EU-ACP Cooperation Frameworks .....	18
3.3. DMP Relevance to UNDP Development Objectives.....	18
3.4. DMP Relevance to the African Mining Vision (AMV) .....	19
3.5. Programme Strategy and Approach.....	20
<b>4. Effectiveness (Progress towards Results and Achievements) .....</b>	<b>22</b>
4.1. Results and Achievements against Objectives and Target Outcomes .....	22
4.2. Policy Dialogue and National Consultation and Sector Roadmaps.....	25
4.3 National Consultations and Sector Roadmaps.....	26
4.4 Progress with Regard to Partnerships.....	26
4.5 Capacity Building and Return to Work Plans .....	28
4.6 Progress Regarding the Gender Dimension and Gender Targets .....	31
4.7. Major Factors Influencing Achievement or Non-achievement of Programme Objectives.....	32
<b>5. Evaluation Findings - Efficiency .....</b>	<b>33</b>
5.1. Programme Governance .....	33
5.2. Timely Implementation of Programme Activities .....	34
5.3. Programme Financial Management and Cost-Efficiency .....	35
5.4. Efficiency of the Programme Management Team .....	35
5.5. Programme Monitoring, Reporting and Evaluation Mechanisms .....	36
<b>6. Impact and Sustainability .....</b>	<b>37</b>
<b>PART IV - A FUTURE phase 2 programme.....</b>	<b>44</b>
<b>7. A Future Phase 2 Programme - Recommendations .....</b>	<b>44</b>
7.1. Going Forward to a Phase 2 Programme – Selected Learning and Considerations.....	44
7.2. Phase 2 and Support for ACP Development Minerals Policy and Regulatory Development.....	45
7.3. Supporting the Private Sector Enabling Environment of the Development Minerals Sector....	46
7.4. A Financing and Investment Facilitation Component to Accelerate Access to Finance .....	47
7.5. Enhancing the Social and Environmental Impact of the ACP Development Minerals Sector....	49
<b>PART V - Evaluation CONCLUSIONS &amp; RECOMMENDATIONS.....</b>	<b>50</b>

<b>8. Evaluation Conclusions .....</b>	<b>50</b>
<b>9. Evaluation Recommendations .....</b>	<b>53</b>
9.1. Overview of Recommendations.....	53
9.2. Recommendations with regard to the Current Programme.....	54
9.3. Recommendations with regard to a Future Phase 2 Programme .....	56
<b>PART VI - Annexes.....</b>	<b>60</b>
<b>Annex 1: List of Interviewees.....</b>	<b>60</b>
<b>Annex 2: Evaluation Bibliography .....</b>	<b>64</b>
<b>Annex 3: Evaluation Terms of Reference.....</b>	<b>67</b>
<b>Annex 4: Programme Budget and Expenditure (2014-2017).....</b>	<b>75</b>
<b>Annex 5: Analysis of Programme Activities Against EOs .....</b>	<b>78</b>
<b>Annex 6: Achievement of Targets 2014-2017 by Outcome.....</b>	<b>83</b>
<b>Annex 7: Programme Sustainability Plan and Action Tracking 2014-2017 .....</b>	<b>88</b>
<b>Annex 8: Programme Implementation Workplan 2014-2017 .....</b>	<b>95</b>

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## Evaluation Mandate and Oversight

This MTE is conducted under the oversight of the ACP-EU Development Minerals Programme Steering Committee. The ACP Secretariat, European Union and UNDP each contributed to the Terms of Reference of the evaluation, participated in the recruitment of the independent evaluation consultant, hosted an inception meeting at the outset of the evaluation, received the inception report with the opportunity to review the evaluation methodology, were briefed on the preliminary findings, were interviewed as part of the evaluation and received the draft evaluation report for comment. The evaluation was authorized under terms of the Contribution Agreement (FED/2014/346-851) of the ACP-EU Development Minerals Programme and budgeted as part of the Action. In addition to the mid-term evaluation, EU Results Orientated Monitoring (March-April 2017) was performed, and a final evaluation is to be performed under the Financing Agreement (No/REG/FED/24777) of the ACP-EU Development Minerals Programme.

## Evaluation Consultant

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## Disclaimer

The views expressed in this report are those compiled by the author and reflect a best effort to compile and cross-analysis different sources of data and information about the project. The views expressed in this report do not necessarily represent the views of UNDP, the EC or the ACP Secretariat. Any errors of fact or in assessment are the responsibility of the evaluation consultant.

## GLOSSARY

ACPS/ACPSec	ACP Secretariat
CDT	(Local) Country Delivery Team
CWG	Country Working Group
CSO	Civil Society Organisation
DEVCO	European Commission Directorate General for Development Cooperation
DMP/DevMinProg	ACP-EU Development Minerals Programme
DoA	Description of the Action of the Contribution Agreement
EC	European Commission
EIB	European Investment Bank
EQ	Evaluation Question
EU	European Union
EO	Expected Outputs
FC	Focus Countries
FP	Country Focal Point
FV	Field Visit
M&E	Monitoring and Evaluation
LVMM	Low Value Minerals and Materials
MoU	Memorandum of Understanding
NGO	Non-Governmental Organisation
PC	Participating Countries
PSC	Programme Steering Committee
PMT	UNDP Programme Management Team
PTC	Programme Technical Committee
Prodoc	Project Document
SDGs	Sustainable Development Goals
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
USAID	United States Agency for International Development
UNEP	United Nations Environmental Programme
WB	World Bank

# PART I - EXECUTIVE SUMMARY

## 1. Executive Summary

### 1.1. About the ACP-EU Development Minerals Programme

This document provides the Mid-Term Evaluation (MTE) report of the ACP-EU Development Minerals Programme, as requested by the Programme Steering Committee consisting of the African, Caribbean and Pacific (ACP) Group of States, the European Commission (EC) and the United Nations Development Programme (UNDP). The ACP-EU Development Minerals Programme (DMP) is a three-year programme that aims to i) *build the profile of the Development Minerals sector (industrial minerals; construction materials; dimension stones; and semi-precious stones), and ii) improve the management of the sector.*

The programme is an intra-ACP programme, which was initiated by the ACP Secretariat, financed by the European Commission and UNDP, and is being implemented by UNDP at the request of ACP Group of States. Initially scheduled to last three years, the Programme has a budget of €13.1 million. The Programme started in October 2014 and is scheduled to continue until October 2018, following a 1-year no-cost extension.

The DMP seeks to foster the sustainable and inclusive development of Development Minerals – what was previously referred to as Low Value Minerals and Materials (LVMM) - in the ACP countries. Development Minerals are minerals and materials mined, processed, manufactured and consumed domestically in industries such as construction, manufacturing, and agriculture, and thus are of economic importance for the locations (and neighbouring areas) where these minerals are mined. Development Minerals covers a broad range of minerals, including industrial minerals (e.g. gypsum and talc), construction materials (e.g. sand and gravel) dimension stones (marble and granite); and semi-precious stones (e.g. garnet, amethyst).

### 1.2. Evaluation Objectives and Scope

An independent MTE for the DMP was foreseen as part of Monitoring and Evaluation Plan in the Description of the Action (DoA) document, with the purpose of conducting constructive assessment to evaluate the effectiveness and efficiency of the Programme.<sup>1</sup>

The aim of this MTE is to ascertain that programme implementation is progressing as planned, achieving its intended impact on the ground, and to consider whether the programme should be expanded with additional funding. The results of the MTE will be used to inform the decision to mobilize additional resources from intra-ACP programming possibly extending the programme in the form of a second phase. The MTE report is tasked with providing an overview of the effectiveness of the programme from the perspective of various stakeholders and should cover the efficiency of programme organisation and management, positive or negative, intended or unintended, changes brought about by the programme, as well as identifying factors which are considered to have facilitated or impeded the realization of intended objectives. Importantly, the MTE is to also cover recommendations for the design and focus of a potential second phase of the Programme.

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<sup>1</sup> Description of the Action – Capacity development of mineral institutions and of small scale private sector operating in low-value minerals in ACP countries, 2014.

Regarding scope, the evaluation covers all Programme activities and includes activities and outputs and outcomes in all 6 focus countries as well as the 40 participating countries. In terms of the evaluation approach and work programme, the evaluation has involved a significant desk research and review programme, meetings with the core Programme stakeholders in Brussels, field missions to two of the DMP Focus Countries, selected telephone interviews, and overall analysis, synthesis and evaluation report development. Regarding period of evaluation (temporal scope), the programme has completed 38 months of implementation by end of 2017, with 10 months remaining, and the evaluation covers the period from the start of the Programme in October 2014 to December 2017, taking into account all the Programme deliverable. Regarding challenges, the main challenges were to review and cover what is a large and relatively complex Programme with a significant web of activities in different countries and national implementing environments, and in particular to review the Programme within a time frame of ten weeks between the contract commencement and the submission of the draft review.

### 1.3. Evaluation Findings and Conclusions

Regarding relevance to ACP Policies and Strategies, the Development Minerals Programme is highly relevant to the *ACP Framework of Action on the Development of Mineral Resources Sector*. The Programme is also relevant to ACP-EU policy and cooperation frameworks, such as the *ACP-EU Joint Cooperation Framework on Private Sector Development in ACP Countries*. Regarding relevance to EU Policy, the Development Minerals Programme is relevant to the key EU Communication on its development cooperation vision - *Increasing the Impact of EU Development Policy: An Agenda for Change*, where the Communication's emphasis on sustainable and inclusive growth and related poverty reduction are core tenets of the DMP. The DMP is also highly relevant to the *ACP-EU Joint Cooperation Framework on Private Sector Development in ACP Countries*, as well as being consistent with UNDP's history of engagement in the mining and quarry sectors in ACP countries. And above all, the Programme is highly consistent with the vision and goals of the Africa Mining Vision which emphasises the need to enhance capacity to manage the mineral sector in Africa, and which is a focus area of the DMP.

Overall, the ACP-EU Development Minerals Programme is demonstrating strong performance in achieving the target outcomes and has registered a significant increase in momentum during 2017, which augurs very well for a high rate of achievement of targets (or in a significant number of instances exceeding targets) during 2018. Overall, Outcome 1 *"The small-scale operators in African, Caribbean and Pacific (ACP) countries operating in the Low Value Minerals and Materials (LVMM) sector have the technical and entrepreneurial capacity to enhance productivity"* is highly satisfactory, with impressive results achieved in 2017. Operating standards and access to capital and markets have been improved for a significant number of artisanal and small-scale enterprises (588 in 2017), and most of the indicators have already achieved the initial targets set. Such performances should continue in 2018, with particular attention given to making sure these improvements are extended to more ACP countries. Likewise, Outcome 2 *"Industry associations/chambers in ACP countries that represent small-scale private operators in the LVMM sector have capacities to fully support miners and provide them with services"* demonstrates strong quantitative performances, with 153 new mining associations established to support artisanal and small-miners in 2017.

With regards to Outcome 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"*, achievements are particularly impressive, with a significant number of Programme targets already exceeded in 2017. Under Outcome 4 *"Civil society, communities and indigenous peoples have the knowledge to ensure that the mining sector meets the economic, social and environmental standards and violence conflict is prevented"*, the activities carried out exhibit positive results as well, effectively addressing all relevant

outputs. Strong performances include the implementation of conflict analysis in 6 communities, which hadn't been done in 2016. Activities implemented under Outcome 5 *"ACP countries benefit from exchange of knowledge and experiences through South-South learning and cooperation"* are satisfactory, various indicators exceeding targets set for the Programme. For instance, 50 ACP countries were engaged in South-South learning and cooperation as a result of participation in Programme trainings and other events in 2017.

Ongoing monitoring of cost-efficiency and seeking value for money have been strengths of the DMP, and an example is the approach taken to design and deliver training and capacity building events for Development Minerals stakeholders, where it is assumed that the private sector actors can find a way to pay their costs to attend the training if they perceive the training as sufficiently relevant to their needs. Cost-efficiencies are further increased by the strong Train-the-Trainer approach and the strong knock-on effect of Return to Work Plans.

Regarding **impact**, the project has registered a significant impact in the Focus Countries. First of all, it has increased significantly the awareness of the project among government and other key sector stakeholders, as well as understanding of the potential of the sector and the challenges and constraints that it faces. It has also made a significant impact in building capacity among local and national and regional stakeholders, as well as forging key partnerships. Through the increased focus made on supporting mining and quarrying activities and workers to formalise into cooperative structures and/or providing support to improve management and operations, some contribution has also been made to productivity increase and income generation, even if this is difficult to estimate. More importantly, the learning and experience of this support work is highly relevant to considering how best to go forward. The project has also made an important contribution to increasing the awareness of the gender dimension of work in the Development Minerals sector, as well as showing the potential for this sector to be an important vector for gender-inclusive development. As a result of this relative success, expectations have also increased and there is a need to ensure that a successor Phase 2 can build on the achievements to-date.

In terms of **good practice**, the business-oriented mindset (where participants are expected to make some level of [affordable] investment in advance), has been a good practice of the DMP, and is something that should be disseminated by Programme Stakeholders. Another good practice has been relatively clear logical flow of activities, and the important focus given to developing the country baseline studies, as a basis to increase understanding of the sector and its potential and serve as a common basis for evidence-based policy dialogue and advocacy towards government and key sector stakeholders.

Regarding **lessons learned**, the project has provided a valuable laboratory in which learning can be distilled from a number of the activities carried out. Firstly, on the capacity development side, the project has shown the value of having a framework for capacity development that targets the different levels (individual, organisational and enabling environment. Moreover, the project's focus on cost-efficiency and value for money has shown that significant capacity development can be accomplished without a corresponding proportionate increasing funding resources, through identifying key impact and leverage factors such as motivation, train-the-trainer approaches and follow-on training, and of course the Programme's excellent Return to Work Plan concept. UNDP's work with, and the supporting of, the Programme's Country Delivery Teams, has also provided real value, and shown the importance of an organisation that understands the national environment, and it has played an important role in helping the Programme to become operational quickly in the Focus Countries.

The DMP has provided evidence of some clear good practice. One horizontal good practice was the sheer scale of reach the Programme has achieved, in terms of the numbers of DM sector actors reached across the project activities, including consultations on baseline studies, capacity building across a wide range of topics, and supporting the development of roadmaps. A related good practice has been the Programme's **focus on extensive national consultation, dialogue and building of local ownership**, which as mentioned has created a significant



level of national ownership and thus developed a strong ‘sustainability asset’ that can be built upon in a successor Phase 2. A third good practice, has been the relatively logical process which has been followed by the Programme delivery team, for example in first focussing on evidence-based/fact-driven baseline studies to provide real information and argument for increased awareness of the sector and supporting advocacy. In addition to the high output productivity of this project, another good practice has been its adaptive capacity to the specific local needs and circumstances in each of the 6 focus countries.

Regarding **learning**, the Programme has provided a relatively rich repository of learning about the sector. Firstly, the Programme in some respects may have been too ambitious from a practical, project design-related, point of view, in its ambitions to target 6 focus countries and have 40 participating countries. While the ACP Secretariat’s need to show the pan-ACP dimension of the Programme is completely understandable, and the communication, dissemination and capacity building activities proposed for the 40 countries have been valuable, this has a resource and management cost. Going forward, it is worth reflecting on how different levels of country involvement can best be designed, and this is also of course dependent on the overall project concept, work programme and resources available.

Another learning point is possibly that the pilot dimension of the Programme has not been sufficiently emphasised in the design phase. In this respect, overriding questions such as how can international development partners/actors work to ensure that this sector is supported and develop such that it can significantly increase productivity, performance, related health, safety and environment standards and increase income and reduce poverty? This is not to say that learning and reflection are not taking place, the project team has been observed to actively contemplate these issues, and a concept note for the future has been drafted that distils some of the learning from the project to-date. However, the evaluation believes that there is scope to improve this dimension of the Programme.

While the policy and regulatory dialogue and advocacy work has created some results, and in some cases highly promising results, these have naturally varied to some extent between countries. The evaluation findings suggest that there is a need to further reflect on this aspect of the Programme’s work, with a view to both adopting increased systemisation but also a more strategic approach.

### 1.3. Evaluation Recommendations

The following recommendations in many respects are set out as points for reflection and consideration, as the issues are complex. Their core purpose is to build on some of the strengths and good results of the Programme under evaluation, as well as to provide suggestions on how some design and implementation weaknesses can be addressed. As requested, the recommendations have a forward-looking perspective, and are divided into two categories: **i) Category 1 - Recommendations relating to the current Development Minerals Programme;** and **ii) Category II - Recommendations relating to a successor Phase 2 Programme.**

Regarding **Recommendations relating to the current Development Minerals Programme (Category 1 Recommendations)**, a first recommendation **(R1)** is for the DMP to **place increased focus on extracting and distilling learning from the current project during the last 7 months of the project’s duration**, and to address lessons learned in more depth in the project reporting. A second **recommendation (R2)**, and the most important, is that the remaining implementation period of the DMP project be used to start preparing the transition to a second phase, in particular starting the significant preparatory work for a systemic and large-scale business support and acceleration programme. A last recommendation **(R3)** is to chart a clear path and planning towards the development and launch of the foreseen successor ACP Development Minerals Programme, in order to avoid

unnecessary loss of momentum and also in particular follow through on the ownership and expectation that has been generated by the current DMP.

Regarding **Recommendations relating to the Successor Phase 2 Development Minerals Programme (Category 2 Recommendations)**, a fourth recommendation **(R4)** is to develop a significant large-scale business support and acceleration model as a key Phase 2 programme component, in order to start realising the potential of the sector and secure a quantum leap in DM sector productivity growth. A fifth **recommendation (R5) is to develop a Development Minerals Capacity Development Strategy and Work Programme for a Scaled-up Successor Programme**. A sixth recommendation **(R6)** is to **develop a medium-term Framework for the Development Minerals Programme**. A final seventh recommendation **(R7)** is to **carry out as a matter of urgency detailed and intensive formulation work on the Financing and Investment Component and the Business Acceleration Component and (including in country pilots for the business acceleration component)**.

## PART II - ABOUT THE EVALUATION

### 2. About the Evaluation



#### Section Guide

*This section provides an overview of the following:*

- *About the ACP-EU Development Minerals Programme (2.1)*
- *Evaluation Objectives, Management and Scope (2.2)*
- *Evaluation Methodology and Work Programme (2.3)*
- *Evaluation Challenges (2.4)*

#### 2.1. About the ACP-EU Development Minerals Programme

The ACP-EU Development Minerals Programme (DMP) is a three-year programme aiming to *i) build the profile of the Development Minerals sector (industrial minerals; construction materials; dimension stones; and semi-precious stones), and ii) improve the management of the sector. The programme is an intra-ACP programme, which was initiated by the ACP Secretariat, financed by the European Commission and UNDP, and is being implemented by UNDP at the request of ACP Group of States. Initially scheduled to last three years, the Programme has a budget of €13.1 million.*

The table below provides a brief overview of the DMP:

*Table 2.1 - Project Factsheet*

Project Title	Capacity development of mineral institutions and of small-scale private sector operating in low-value minerals in ACP countries
Project Period	01 September 2014 – 31 August 2017
Total Resources Required	€ 13,100,000 (EU € 11,700,000 + UNDP € 1,400,000)
EU/UNDP Contribution Agreement	FED/2014/346-851
Zone Benefiting from the Action	ACP countries
Type of Project/Programme	Geographic
Geographic Implementation	Multi-country
Implementing Agency	UNDP
Project Executing Partner	EU
Project Implementation Start Date	20 October 2014
Project Duration (Months)	3 years (36 months)
EC Contribution	EUR 11,700,000
UNDP Contribution	EUR 1,400,000
Total resources required	EUR 13,100,000

*(Source: Description of the Action)*

'Development Minerals' are minerals and materials that are mined, processed, manufactured and used domestically in industries such as construction, manufacturing, infrastructure and agriculture. Development Minerals are economically important - close to the location where the commodity is mined and include industrial minerals, like gypsum and salt, construction materials, such as sand and gravel, dimension stones, like marble and granite, and semi-precious stones, like garnet and tourmaline. As the sector is dominated by small and medium scale domestic businesses, Development Minerals have closer links with the local economy, and have the potential to generate more local jobs (and with a greater impact on poverty reduction).

The over-arching Programme goal is to provide capacity-building support to the small-scale private sector by targeting individual miners, their associations, and the public institutions of the low value minerals and materials (LVMM) sector<sup>2</sup>. The Programme's objectives and results are intended to contribute toward the *ACP Framework of Action on the Development of Mineral Resources Sector*, endorsed by the ACP Committee of Ambassadors in 2011, the African Mining Vision (AMV), as well as the United Nations (UN) Sustainable Development Goals (SDGs). The Programme also aims at supporting the development of a competitive local private sector in ACP countries, in line with the 2011 EU Communication "*Increasing the impact of EU Development Policy: An Agenda for Change*".

The intended beneficiaries of the Development Minerals Programme's actions are as follows:

**Table 2.2 - Overview Programme Beneficiaries**

Target/ Potential Beneficiaries	Objectives	Training & Support Areas
<b>Public stakeholders:</b> Regulatory agencies and local governments.	① Increase the sector's productivity; ② Better manage mining operations; ③ Adhere to national and international environmental and health standards; ④ Prevent conflict through effective community relations.	① Mine and quarry management; ② Environment, health and safety; ③ Entrepreneurship skills; ④ Market analysis and investment promotion; ⑤ Geo-data and maps design; ⑥ Community relations and addressing grievances.
<b>Private stakeholders:</b> Small-scale mining enterprises, intermediaries, transport and logistics service providers, construction firms.		
<b>Business development stakeholders:</b> Mining and quarrying associations, chambers of mines, training centres, universities, consulting companies;		
<b>Social stakeholders:</b> Civil society Organizations (CSOs) and community groups		

The Programme is implemented at both the regional and country level. At the regional level, activities include training, development of a knowledge platform, knowledge products, and organisation of a final conference. A total of 40 countries from the 6 ACP regions were chosen as participating countries.

The 40 participating countries covered by the Programme are set out below:

<sup>2</sup> LVMM, also referred as 'Development Minerals', are minerals and materials that are used domestically after mining for construction, agriculture, and manufacturing in the country. LVMM include "industrial minerals (e.g. gypsum, potash, salt), construction materials (e.g. gravel, sand, clay and limestone), dimension stones (e.g. marble and granite), and semi-precious stones (e.g. garnet, opal and topaz)". It should be noted that the concept of low-value minerals in materials is not a perfect synonym for the concept of Development Minerals, and that there is no universally agreed definition of low value minerals and materials. The definition used above is the definition developed by the ACP Development Minerals Programme for the concept of Development Minerals.

Table 2.3 - Countries participating in regional-level activities by ACP region (Progress Report 2015-2016)

Central Africa	East Africa	Southern Africa	West Africa	Caribbean	Pacific
<b>Cameroon;</b> Congo Republic; Democratic Republic of Congo (DR Congo); Gabon; Rwanda.	Ethiopia; Kenya; Madagascar; Tanzania; <b>Uganda.</b>	Angola; Lesotho; Malawi; Mozambique; Namibia; <b>Zambia;</b> Zimbabwe.	Benin; Burkina Faso; Cote d'Ivoire; Ghana; <b>Guinea (Conakry);</b> Mali; Niger; Nigeria; Senegal; Sierra Leone; Togo.	Dominican Republic; Guyana; Haiti; <b>Jamaica;</b> Suriname; Trinidad and Tobago.	<b>Fiji;</b> Papua New Guinea; Samoa; Solomon Islands; Tonga; Vanuatu.

At the country level, **6 countries were further identified from each ACP region to implement an in-depth support programme: Cameroon, Fiji, Guinea, Jamaica, Uganda and Zambia.** This support programme included in-depth country-level capacity building activities, which comprised sector assessments, value-chain analyses, and managing of small grants to implement *return to work* programmes.<sup>3</sup>

## 2.2. Evaluation Objectives, Management and Scope

### 2.2.1. Evaluation Objectives

An independent MTE for the DMP was foreseen as part of Monitoring and Evaluation Plan in the DoA document, with the purpose of conducting constructive assessment to evaluate the effectiveness and efficiency of the Programme.<sup>4</sup> The aim of this MTE is to ascertain that programme implementation is progressing as planned, achieving its intended impact on the ground, and to consider whether the programme should be expanded with additional funding. The results of the MTE will be used to inform the decision to mobilize additional resources from intra-ACP programming possibly extending the programme in the form of a second phase.

As per the ToR, the MTE report should include the data, inputs and analysis, as well as success indicators used, and an overview of the effectiveness of the programme from the perspective of various stakeholders. This evaluation will include assessment of the efficiency of programme organisation and management, identification of positive or negative, intended or unintended, changes brought about by the programme, as well as factors which facilitated or impeded the realization of intended objectives. This mid-term evaluation is intended to result in the delivery of a comprehensive evaluation report with findings, recommendations and lessons learnt. Within the above, this evaluation also covers partnerships in the delivery to enhance programme implementation effectiveness and efficiency, as well as recommendations for the design and focus of a potential second phase of the programme.

<sup>3</sup> In total 8 categories of activities were planned and implemented in the 6 focus countries : 1. Training of trainers workshops, 2. Sector assessments and capacity development roadmaps, 3. Initiatives for sector promotion such as technology exhibitions, business fairs, investor guides, networking events, geo-data inventories, 4.Value-chain analyses, 5.Engaging communities to address grievances through community dialogues, 6.Public and private dialogues with key stakeholders, 7.Small grants to implement return to work programmes, and 8.Reviews of legal frameworks, Progress Report 2016.

<sup>4</sup> Description of the Action – Capacity development of mineral institutions and of small scale private sector operating in low-value minerals in ACP countries, UNDP, 2014.

### 2.2.2. Evaluation Mandate and Management

In terms of **evaluation mandate and management**, the mid-term evaluation is conducted under the oversight of the ACP-EU Development Minerals Programme Steering Committee. The ACP Secretariat, European Union and UNDP each contributed to the Terms of Reference of the evaluation, participated in the recruitment of the independent evaluation consultant, hosted an inception meeting at the outset of the evaluation, received the inception report with the opportunity to review the evaluation methodology, were briefed on the preliminary findings, were interviewed as part of the evaluation and received the draft evaluation report for comment.

The evaluation was authorised under terms of the Contribution Agreement (FED/2014/346-851) of the ACP-EU Development Minerals Programme and budgeted as part of the Action. In addition to the mid-term evaluation, an EU Results Orientated Monitoring (March-April 2017) has also been carried out, and a final evaluation is to be performed under the Financing Agreement (No/REG/FED/24777) of the ACP-EU Development Minerals Programme.

### 2.2.3. Evaluation Scope

The evaluation covers all the Programme activities and includes activities and outputs and outcomes in all 6 Focus Countries as well as the 40 Participating Countries. Regarding temporal scope, this mid-term evaluation is intended to cover the first three years of the project from its starting date in October 2014 to December 2017 taking into account all the project deliverables, namely Progress Report 2015, Progress Report 2016 and Progress Report 2017, and the EU ROM report.

## 2.3. Evaluation Methodology and Work Programme

This evaluation investigates the Relevance, Effectiveness, Efficiency, Impact, Sustainability, Lessons Learned and Future Planning of the DMP. The evaluation approach will be based upon the questions set out in the ToR. These have been re-ordered below according to the evaluation category/parameter under which they belong<sup>5</sup>.

The overarching questions as per these evaluation criteria are:

- i. **Relevance:** How relevant are the objectives of the Programme to the priorities and policies of the target groups, beneficiaries, and donors?
- ii. **Effectiveness:** To what extent are the objectives achieved / are likely to be achieved?
- iii. **Efficiency:** How efficient was the project management and implementation?
- iv. **Impact:** Is the project likely to have a tangible impact and multiplier effects?
- v. **Sustainability:** Are the expected results of the project sustainable – financially, institutionally, politically and environmentally, and what can be done to further improve sustainability prospects?
- vi. **Lessons Learned & Future Planning:** What are the lessons learned and to what extent have lessons and best practice been captured and taken up?
- vii. **Future Development:** What can the evaluation findings provide in terms of guidance for the future planning and possible second phase of the project?

The evaluation commenced on 8<sup>th</sup> January and the evaluation work programme comprises in total the following three phases. **Phase 1** comprised **Inception and Desk Review work**, involving i) *the elaboration of the evaluation approach and submission of an inception report to the core Programme Stakeholders<sup>6</sup>*, and ii) *carrying out desk-based review work on the significant body of project documentation*. The desk review included, amongst others,

<sup>5</sup> A small number of questions may be considered to belong to more than one evaluation parameter (e.g. EQ8: 'Were the programme's actions to achieve the outputs and expected outcomes effective and efficient?'), but for the sake of simplicity under one evaluation parameter.

<sup>6</sup> The Inception Report was submitted to the ACP Secretariat, EC and UND on 22<sup>nd</sup> January 2018.

reviewing the programme documents provided; programme annual work plans; programme progress reports (2015, 2016 and 2017 programme progress reports); monitoring and evaluation reports; the EU ROM Report; progress reports on implementation of return to work programmes; policy documents influenced, training plans and training impact assessment reports.

**Phase II** comprised a **continuation of the Desk Review work and the Stakeholder Interview Programme**, comprising interviews with Programme Stakeholders, selected Brussels ACP stakeholders, and field missions to two of the Programme's Focus Countries in Africa and the Caribbean (Cameroun, Jamaica)<sup>7</sup>. The selection of the two field visit countries was guided by the following considerations: i) include a field visit in two of the three ACP Sub-regions (i.e. the African continent, and the Caribbean and Pacific regions); ii) include an anglophone and francophone country; and iii) prioritise countries that were not visited during the EC Results-Oriented Monitoring (ROM); iv) to the extent possible, have one of the field visits coincide with one of the Programme's training events or other capacity building event; and v) prioritise countries more rather less involved in the Programme, and thus offering greater prospects for learning for the evaluation, in particular with respect to a possible successor programme. In this context, **Programme Focus Countries were favoured over Participating Countries**.

**Phase III** involved **overall synthesis work and development of the evaluation findings**, a preliminary debriefing with the core Programme Stakeholders (ACP Secretariat, EC and UNDP) and the **development of the Evaluation Report**. A debriefing session and preliminary findings presentation for the core Programme Stakeholders was also held on 28 February 2018 at ACP House. Organised by ACP Secretariat, the purpose was to present the preliminary findings and recommendations, and a PowerPoint Presentation was presented by the evaluation consultant. As this debriefing meeting was organised relatively shortly after the field missions, the preliminary nature of findings and recommendations was emphasised. Chaired by the ACP<sup>8</sup>, the debriefing meeting provided a valuable opportunity to discuss the preliminary findings and at the same time the views and feedback of the core Programme Stakeholders.

## 2.4. Evaluation Challenges

A first challenge faced during the assessment was the often-significant differences/variation across the Programme stakeholders in terms of knowledge and level of exposure to DMP initiative and activities. The pan-ACP focus and scope of the programme meant often significantly differing national contexts, understanding where and how different national policies and regulatory situations are, as well as socio-economic factors (wider economic situation, income levels, access to financing), and the nature of the Development Minerals sector (formalised, or primarily informal workers etc.). To the varying national settings was further added the challenge of the initiative itself, which is relatively complex in its range of activities and stakeholders, including the ACP Group of States, EU, UNDP, ACP Committee of Ambassadors, some 40 participating countries and 6 focus countries, plus the wide and varying range of stakeholders involved in each of the 6 focus countries.

A third challenge was the overall timeframe, with the draft evaluation report being required within ten weeks from the start the evaluation. Regarding the second and third challenges, it should be mentioned that the strong support provided by the UNDP PMT and the UNDP Country Teams in setting up the field visit programmes, and the strong tracking and document management of the Programme, helped in addressing these challenges.

<sup>7</sup> The field visit programme to Cameroun took place during 5<sup>th</sup>- 9<sup>th</sup> February 2018, with the Jamaica field visit taking place during 12<sup>th</sup>- 17<sup>th</sup> February 2018.

<sup>8</sup> The Assistant Secretary General (ASG) of the ACP Secretariat is the ACP's representative on the PSC.



## PART III - EVALUATION FINDINGS

### 3. Relevance, Programme Strategy & Design



#### Section Guide

*This section assessed the Development Minerals Programme, in terms of:*

- *DMP Relevance to ACP Policies and Strategies (3.1)*
- *DMP Relevance to EC Development Policy Objectives (3.2)*
- *DMP Relevance to UNDP Development Objectives (3.3)*
- *DMP Relevance to the African Mining Vision (3.4)*
- *The overall Programme Strategy and Design (3.5)*

#### 3.1. DMP Relevance to ACP Policies and Strategies

Over the past decade, the minerals sector including the low-value mining and quarrying sub-sector has gained increased attention from policy makers in the ACP region<sup>9</sup>. Not only has the Development Minerals sector contributed to economic development of ACP countries nourishing both domestic and international supply chains, but also has become an important source of employment in various ACP countries<sup>10</sup>. However, despite this growing interest in the sector, the small-scale minerals sector still suffers from the lack of attention and priority in public policy and lack of established and functioning institutions devoted to the DM sector.

With the purpose of developing the mineral resources industry in support to the sustainable development of ACP countries and to contribute to poverty reduction and social development in the mining sector, ACP Ministries in charge of the Mineral Resources Industry gathered for the first time in Brussels on 13, 14 and 15 December 2010<sup>11</sup>. This meeting was attended by representatives of ACP Member States and regional organisations, development partners, including the European Commission, international governmental and non-governmental institutions to discuss and adopt the following: i) Recommendations from the First Meeting of ACP Ministries responsible for the development of the Mineral Resources Industry (ACP/89/007/10); and ii) Brussels Declaration on the Sustainable Development and Management of the Mineral Resources Industry of the ACP States (ACP/89/008/10). These documents provide the basis of ***the ACP Framework of Action on the Development of Mineral Resources Sector***.

The table below provides an overview of the strategic focus areas of the Framework and the specific objectives of the DMP.

<sup>9</sup> Annex I of Contribution Agreement FED/2014/346-851.

<sup>10</sup> Background study, Annex B of Progress Report 2015-2016.

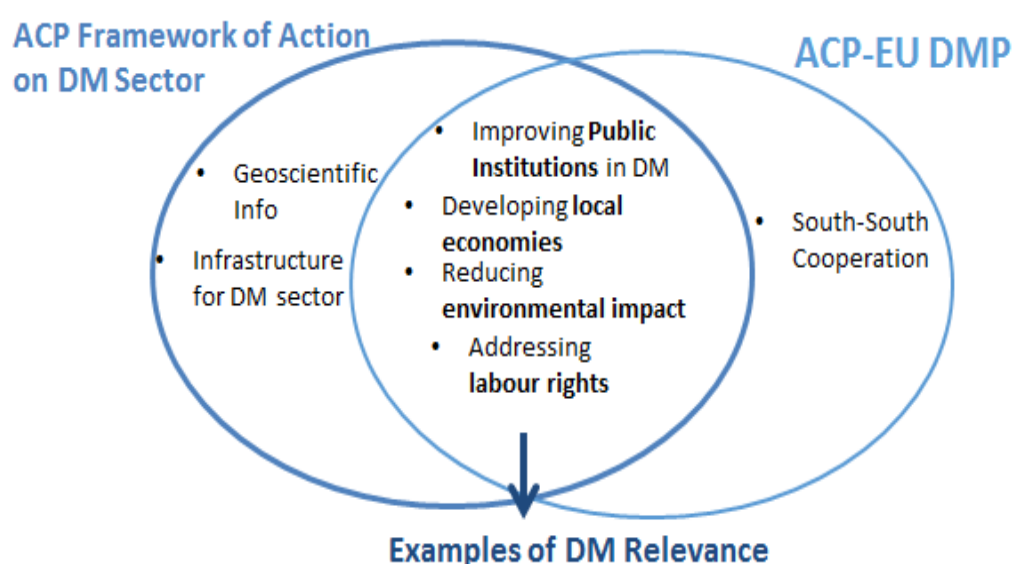
<sup>11</sup> Framework of Action ACP Minerals Resource 2011, ACP & EU Strategy



Table 3.1: Comparison of the ACP Framework of Action and DMP

No	Strategic Focus Areas of the Framework of Action	ACP-EU DMP
1	Enhancement of the capacity of <b>Public Mineral Institutions</b> in charge of elaborating, monitoring, assessing and updating national and regional strategies for mineral resources development	Enhancing employment and incomes, including employment and incomes of women
2	Development of Mineral Exploration to discover new mineral resources and development of <b>Geoscientific Information Systems</b>	Improving the policy and regulatory environment
3	Development of <b>Small and Medium Scale mining sectors</b>	Minimizing environmental impacts on communities
4	Reduction of the <b>Social and Environmental Impacts of mining</b>	Addressing individual and community rights and preventing conflict
5	Improvement of Energy and Transport <b>Infrastructures</b> related to the mineral industry	Ensuring decent working conditions
6	Enhancement of mineral-based <b>industrialisation and diversification</b> of ACP countries' economies	Facilitating South-South cooperation and cross-country learning

In the table above, common focus areas of the ACP Framework and objectives of the ACP-EU DMP have been marked with the same colour. As can be seen, they are overlapping in most parts. The parts not directly and explicitly linked to specific objective of the ACP-EU DMP also have strong connections with the Expected Outcomes and Outputs of the DMP<sup>12</sup>. The diagram below summarises highly relevant areas between strategies of the ACP Framework of Action and the Specific Objectives of the DMP.



<sup>12</sup> Detailed information on Expected Outcomes and Outputs can be found in 5. Effectiveness.

### 3.2. Relevance to EU Development Policy Objectives and EU-ACP Cooperation Frameworks

The objectives and target outcomes of the ACP-EU Development Minerals Programme are highly relevant to the Cotonou Agreement (2000 – 2020) which sets out the core features of the ACP-EU partnership, and in particular promotion of inclusive economic development. The Programme is also consistent with the Cotonou Agreement goal of increased participation of civil society in development, with civil society being a core stakeholder group of the ACP Development Minerals Programme. Importantly, the ACP Development Minerals Programme and its key focus on private sector development, means that it is also aligned with the Intra-ACP EDF Strategy Document, an important consideration given this Strategy contains provisions for actions to enhance the private sector in ACP regions.

The ACP Development Minerals Programme is also aligned with a key EU Communication on its development cooperation vision - *Increasing the Impact of EU Development Policy: An Agenda for Change* - whose primary objective is to raise the effectiveness of EU development policy. The Communication's emphasis on sustainable and inclusive growth and related poverty reduction are core tenets of the Development Minerals Programme. The Development Minerals Programme is also highly relevant to the *ACP-EU Joint Cooperation Framework on Private Sector Development in ACP Countries*<sup>13</sup>. This decision emphasised the need for the ACP Group and the European Union to have a common vision on ACP private sector support under the 11<sup>th</sup> EDF which is aligned with the DMP's objectives. With this regard, the EU has launched a series of development projects for small scale mining in a number of ACP countries in recent years<sup>14</sup>.

### 3.3. DMP Relevance to UNDP Development Objectives

UNDP as a renowned UN agency in development is currently involved in more than 500 projects and programmes in more than 100 countries whose initiatives are supporting sustainable businesses including MSMEs, promoting inclusive markets, corporate social responsibility and environmental sustainability. 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.<sup>15</sup>

UNDP has for example been active especially in the area of MSME capacity development in Africa, Caribbean and Pacific region. In Nigeria, for example, UNDP has been supporting the national SME agency for designing national SME development policy; and in Malawi UNDP has supported the Government in developing a National Export Strategy and new industrial policy that favours local enterprises, MSMEs and other sustainable businesses. In Uganda, UNDP has supported the '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.

UNDP has also been engaging with the mining and quarrying sector in ACP countries after the concept of small-scale mining' was first introduced to the international development lexicon over 40 years ago<sup>16</sup>. Examples of UNDP's more recent programmes that are relevant to the Development Minerals Programme include:

<sup>13</sup> ACP-Decision7 on 16-18 June 2014.

<sup>14</sup> Ibidem,

<sup>15</sup> Annex I of Contribution Agreement FED/2014/346-851.

<sup>16</sup> The term small-scale mining was introduced by the UN in its landmark report, *Small-Scale Mining in the Developing Countries Background* study, Annex B of Progress Report 2015-2016.

*Table 1.2: UNDP recent programmes/actions relevant to the DMP*

UNDP Programme Objective	Regional/Local Partner	Relevance to the DMP
Using minerals for financing rapid industrial development in Africa	Third World Network <sup>17</sup>	Development of the African mining vision
Protect ecosystems and the ancient rights of indigenous peoples against the impact of mining operations	Oilwatch	Minimizing environmental impacts on communities
Setting up of EITI <sup>18</sup> multi-stakeholder groups in several ACP countries	Publish What You Pay & EITI networks	Promoting cooperation and learning
Working with civil society in the Great Lake region to prevent conflicts among stakeholders	EU-UN Partnership on Land, Natural Resources and Conflict	Addressing worker's rights and preventing conflict

### 3.4. DMP Relevance to the African Mining Vision (AMV)

The DMP contributes to the achievement of the AMV endorsed by the African Union Commission in 2009.<sup>19</sup> In many African countries the minerals sector has not been given proper attention, due in part to the fact that the decolonisation of Africa coincided with a sudden decrease of prices and global metal use. Since the beginning of 2000, a booming Asian economy has provided a new opportunity for Africa to integrate its DM sector into the local economies.<sup>20</sup> The AMV was informed by different initiatives and dialogues at national, regional and continental level in order to guide future policy and regulatory frameworks in the minerals sector<sup>21</sup>. The ACP Development Minerals Programme can also be seen as being highly complementary to the AMV, which has primarily targeted export minerals (metals), with few references to industrial minerals and construction materials.

The Africa Mining Vision emphasises the need to enhance capacity to manage mineral sector in Africa. This vision is in line with the key objectives of the DMP in harnessing the potential of Artisanal and Small-scale Mining (ASM) of various commodities to stimulate local and national entrepreneurship, improve livelihoods and help advance inclusive economic growth in rural areas. The Africa Mining Vision further stresses the need to address current lack of access to Vocational and Educational Training (VET) for entrepreneurs and employees of newly established or to-be-established local enterprises, areas of focus that are very present in the range of the activities implemented by the Development Mineral Programme. The African Union endorsed the DMP at the first

<sup>17</sup> Pan-African research and advocacy organization based in Accra

<sup>18</sup> Extractive Industries Transparency Initiative (EITI), an international standard for openness around the management of revenues from natural resources.

<sup>19</sup> Africa Mining Vision, African Union, Feb 2009

<sup>20</sup> P. 13, Ibid.

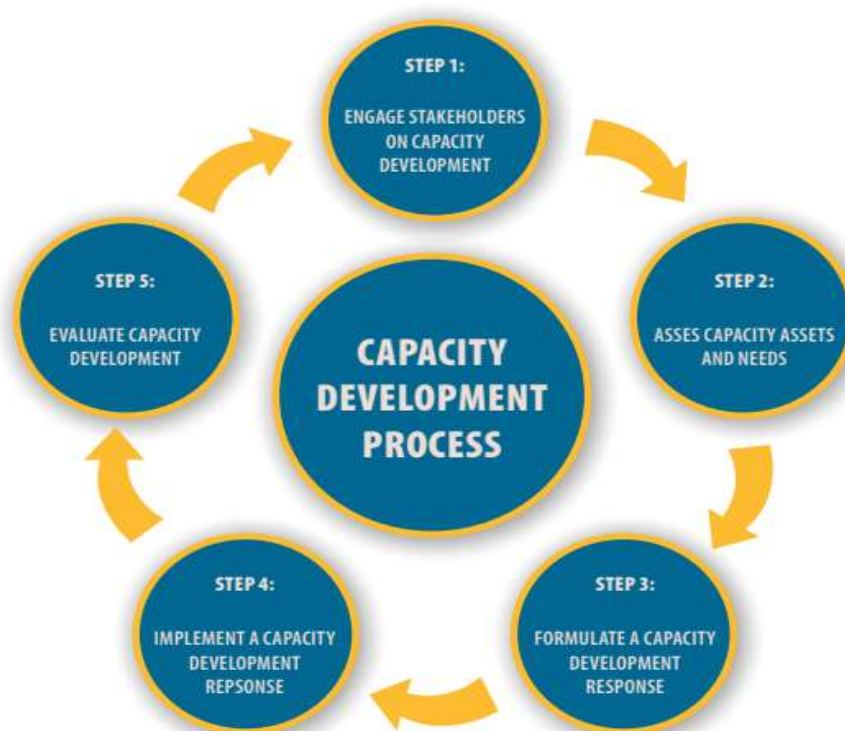
<sup>21</sup> Examples of these initiatives and dialogues include i) the Johannesburg Political Declaration and Plan of Implementation [chapter 46 and paragraphs (f and g) of chapter 62 (Sustainable development for Africa)] of the World Summit on Sustainable Development; ii) the Yaoundé Vision on Artisanal and Small-scale Mining, the Africa Mining Partnership's Sustainable Development Charter and Mining Policy Framework.

Specialised Technical Committee of Ministries of Trade, Industry and Mining (STC-TIM) in May 2016. Since then, the DMP has had a multiplier effect in operationalising the goal and vision of the Africa Mining Vision.<sup>22</sup>

### 3.5. Programme Strategy and Approach

The evaluation findings show a clear Programme Strategy and Approach. A core tenet of this approach is a capacity development programme that is both systematic and participatory in nature, as summarised in Figure 3.1 below:

*Figure 3.1: UNDP Capacity Development Process<sup>23</sup>*



As can be seen in *Figure 3.1*, UNDP's supporting capacity development is a process comprising five key steps: 1) *engaging stakeholders*, 2) *assessing capacity assets and needs*, 3) *formulating a capacity development response*, 4) *implementing the response*, and 5) *evaluating capacity development*. The UNDP capacity development approach includes not only the enhancing of individual capacities but also actions at the organizational level and in support of the creation of an enabling environment.

This approach has been used by the Development Minerals Programme, as it includes— **i) capacity building at the Individual level**, where capacity is developed through regional and country level training and workshop events that include coaching and mentorship, site visits and demonstrations; **ii) capacity building at the Organisation level**, where capacity development facilitation is undertaken through the provision of technical support; small grants; sector assessments (e.g. profile of the sector, socio-economic and environmental analysis, market analysis); and establishing dialogue processes for grievance management and resolution of conflicts; and **iii) Improving the enabling environment** which involves sector-wide, system capacity development through actions to support the improvement of policy, legal and regulatory frameworks. This is demonstrated through the

<sup>22</sup> Pp.9-10, Progress Report 2017.

<sup>23</sup> UNDP, Supporting Capacity Development – The UNDP Approach.

development of *Return-To-Work projects (RWPs)* from training/workshop participants aimed at institutionalization of collective actions<sup>24</sup>.

Another strength of the Project Strategy and Approach has been the more in-depth focus on six countries, with a view to generating in part relevant learning for the wider ACP region. Figure 2 below sets out the Project Implementation Process at Country Level – Overall, the work programme concept and process for the Focus Countries has a solid logical flow to it and has contributed to the relative effectiveness of the work in the Focus Countries.



*Figure 1: Project Implementation Process at Country Level*

**RWPs** represent another one of the strategies used in the DMP implementation to ensure that training workshops participants apply the knowledge and skills they gained from workshop to influence change after getting back to work. As part of the programme sponsorship, participants were required to develop a return-to-work plan on a project that they would undertake on their return to work. The outline of these return-to-work plans was due within two weeks of the training event. Periodic follow-up on the progress of implementation of these plans is undertaken by UNDP, with the first update expected at the 2-month mark. A subsequent follow-up at 4 months and periodic follow-ups thereafter are also scheduled during the workshops, networking among participants was also encouraged to foster knowledge sharing and potential future collaboration

Overall, the core programme design is a relatively complex interlinkage of overall objectives, outcomes and activities. However, there is a relatively clear logical flow for many aspects, with for example Baseline Studies being a focus activity at the upstream work planning of the project, in order to build a clear picture of the Development Minerals Sector in the Focus Countries. These Baseline Studies are then used for example as a key support in driving evidence-based policy and regulatory advocacy and dialogue with relevant national government, mining and other stakeholders.

<sup>24</sup> Progress Report 2017.

## 4. Effectiveness (Progress towards Results and Achievements)



### Section Guide

*This section provides an overview of the following:*

- *Project Results and Achievements against Target Objectives (4.1)*
- *Policy Dialogues on Development Minerals (4.2)*
- *National Consultations and Sector Roadmaps (4.3)*
- *Progress with regard to Partnerships (4.4)*
- *Capacity Development and Return to Work Plans (4.5)*
- *Progress with regard to the Gender Dimension and Gender Targets (4.6)*
- *Major factors influencing the achievement or non-achievement of the objectives (4.7)*

This section considers the effectiveness of the project in reaching the targeted outcomes.

### 4.1. Results and Achievements against Objectives and Target Outcomes

The table below sets out some of the key achievements for both 2017 and for the Programme implementation period since the project commencement up to the end of 2017. As can be seen, many of the results are impressive, and reflect the striking performance of this Programme in its scale of reach and attainment of quantified targets.

**Table 4.1 – Overview Selected Key Achievements for 2017 and for the Programme to date (2014-2017)**

Selected Output Indicators	2017	2014-2017	Initial Target
No. training workshops held by the Programme	41	62	56
No. knowledge sharing workshops/activities held by the Programme	36	53	
No. outreach events where the Programme participated	12	23	
No. people directly engaged in training workshops <sup>25</sup>	1288	2151	600-800
No. people trained by the Trained Trainers (ToT)	6589	6589	2000
No. people engaged in knowledge sharing workshops/activities	4298	6489	

<sup>25</sup> Reporting on the number of people engaged in training/workshops in Progress Report 2016 included combined figures for participation in training workshops and some knowledge sharing workshops (Table 6 and Table 7). In this report a more detailed breakdown is provided into four categories: 1) number of participants in regional and country-level training workshops directly delivered by the Programme; 2) number of participants in training workshops delivered independently by Trained Trainers following participation in the Programme; 3) number of participants in knowledge sharing events directly delivered, or co-hosted, by the Programme; 4) number of participants at outreach events where Programme representatives made presentations, but where the event was not hosted, or co-hosted, by the Programme.



Selected Output Indicators	2017	2014-2017	Initial Target
No. people engaged in outreach activities	1662	1995	
Total No. people who have participated in all capacity building initiatives	13281	17220	
No. training person days	4918	8613	2700
No. training of trainers (ToT) person days	6589	6589	
No. knowledge sharing event person days	7396	10044	
No. outreach event person days	522	976	
Total No. capacity building person days	20419	26222	
No. mining and quarrying sites visited	262	293	30
Percentage of female participation in training workshops and ToT sessions	40%	39%	50% reach
Number of mining cooperatives/associations formed	153	153	6
Number of business plans developed by miners	40	40	
Number of partnerships with regional institutions of the ACP	14	14	5
Number of universities and vocational training institutions delivering program curricula	11	33	5
Number of Women's Mining Associations engaged	15	33	30
Number of Return to Work Plans implemented by trained participants:	163	320	100

For Outcome 1 *“The small-scale operators in African, Caribbean and Pacific (ACP) countries operating in the Low Value Minerals and Materials (LVMM) sector have the technical and entrepreneurial capacity to enhance productivity”*, a significant number of activities has been undertaken in 2017. This resulted in 6 ACP countries where artisanal, small-scale private operators, supported by public institutions, having better access to markets and operating more safely and sustainably in 2017. A significant emphasis was put on improving operating standards and technologies in mines and quarries, with 588 artisanal and small-scale enterprise trainees with improved operating standards and technologies in mine and quarry management in 2017. Likewise, 588 artisanal and small-scale mining enterprises were provided with improved access to capital and equipment, compared to 350 in 2016. Efforts were also made at the institutional level, with 6 public institutions demonstrating improved regulations and processes to support mine and quarry management in 2017. Overall, Outcome 1 is highly satisfactory, with impressive results achieved in 2017. Operating standards and access to capital and markets have been improved for a significant number of artisanal and small-scale enterprises, and most of the indicators have already achieved the initial targets set. Such performances should continue in 2018, with particular attention given to making sure these improvements are extended to more ACP countries.

With regards to Outcome 2 *“Industry associations/chambers in ACP countries that represent small-scale private operators in the LVMM sector have capacities to fully support miners and provide them with services”*, the DMP proved to be very active in 2017. In 2017, the percentage of Industry associations/chambers in ACP countries supported by the Programme which support small-scale private operators reached 16%, compared to only 6% in 2016. Moreover, 20 environmental programmes, standards or improved practices were put in place by mining or quarrying operators in 2017, under Output 2” *Environmental, Health, Safety Standards Improvement & Human and Labour Rights Protection*”. In the same year, 153 new mining associations were established to support artisanal and small-scale miners, compared to only 6 in 2016. At the institutional level, the number of ACP countries where membership of Industry associations/chambers includes small-scale private operators reached 20 in 2017. Again, the results registered with regards to Outcome 2 are satisfactory, with activities from the DMP

addressing every relevant output effectively. Efforts should be pursued in 2018 to ensure all the targets set are met by the end of the Programme.

Regarding Outcome 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”*, numerous activities implemented by the ACP-EU Development Minerals Programme in 2017 addressed it, with significant performances compared to 2016. 265 public stakeholders have been trained on improved operating standards and technologies in mine and quarry management to increase sector knowledge in 2017. They also all have been involved in capacity building of mine and quarry operators on standards and technologies in 2017. With respects to the public institutions, 34 of them demonstrated improved regulations, processes and monitoring mechanisms to support mine and quarry management and operators. Numerous activities were also carried on under Output 5 *“Access to geo-data in mining”*, including 10 products and maps with geo data produced in 2017, as well as 10 systems put in place for access to sale and geo data. Overall, impressive efforts have been made with regards to Outcome 3 in 2017. The results are highly satisfactory, with a significant number of activities implemented in 2017 addressing all relevant outputs. A vast majority of the initial target set are already met, highlighting the effectiveness of the DMP for Outcome 3.

For Outcome 4: *“Civil society, communities and indigenous peoples have the knowledge to ensure that the mining sector meets the economic, social and environmental standards and violence conflict is prevented”*, numerous activities were also implemented. Careful attention was given to the reduction of risk of conflict between the different actors of the DM sector under Output 6. In 2017, 15% of ACP countries reported decrease of conflicts between Development Minerals miners, mining enterprises and local communities at local and national levels. Additionally, 16 Mine/quarry sites in ACP countries were taking preventive or mitigation measures (such as better technologies and post-closure mine rehabilitation) throughout the mining lifecycle in 2017. Likewise, a conflict analysis was conducted in 6 communities, which had not previously been done in 2016. With regards to the environmental standards, 94 social stakeholders were involved in consultations on revision/establishment and community monitoring of environmental, health, safety standards and human and labour rights on mining and quarrying regulations. Overall, Outcome 4 exhibit positive results as well. The Programme is currently addressing every output effectively, and the good performances in 2017 should be carried on in 2018 to ensure the initial targets set are met by the end of the Programme.

Likewise, significant effort was made by the DMP to reach Outcome 5: *“ACP countries benefit from exchange of knowledge and experiences through South-South learning and cooperation.”* In 2017, 50 ACP countries were engaged in South-South learning and cooperation as a result of participation in Programme trainings and other events. In terms of exchange of knowledge and experiences, 9 knowledge products and best practices case studies were generated and disseminated from regional trainings in 2017 to enhance south to south learning and cooperation. This should lead to clear positive impacts on the improvement of operating standards in mine and quarries. For instance, 20 improved operating standards were developed as a result of south to south learning and cooperation in 2016. Likewise, 20 environmental programmes initiatives or standards were put in place by Programme stakeholders as a result of Knowledge Sharing Sessions. In conclusion, activities implemented by the DMP with regards to Outcome 5 are highly satisfactory. The Programme has achieved significant results over the last 2 years, addressing every Output effectively. Various targets set have already been exceeded in 2017, and such impressive performances should enable the DMP to successfully meet the initial targets for Outcome by the end of 2018.

The table in Annex 6 sets out progress against Targets, as well as the achievement and performance rate of Activities from 2014 to 2017 by Outcome. As can be seen in the Table in Annex 6 the DMP shows high performance rate in 2017. The majority of outcomes have been effectively addressed, with every indicator



outreaching the initial target, some significantly, except for one indicator that still presents strong results in respect to its initial target score. In total 20 Output activities were newly added in the Progress Report 2017, which it itself is an indication of the overall enthusiasm at the regional level for the Programme and some unexpected positive impacts it generated.

## 4.2. Policy Dialogue and National Consultation and Sector Roadmaps

**Policy Dialogue** is an important dimension of the ACP Development Minerals Programme, not least because of the traditional lack of focus of national public policy on this sector given its relative historical neglect and the association lack of awareness and understanding of the sector by policy stakeholders. As mentioned earlier, interest in the Development Minerals sector has often been either non-existent or only focussed on more valuable minerals (e.g. precious stones), while it is understood that no donor country or international organisation had previously been interested in implementing a systematic capacity building project/programme in the Development Minerals sector in the ACP prior to the ACP-EU DMP<sup>26</sup>.

In this context the ACP-EU Development Minerals Programme has been playing an important role in attracting more attention to the sector at national, regional and international level. For example, the relevant Ministers in Nigeria and Sudan expressed a written interest to become more deeply involved in the Programme. Interviews carried out during the EC ROM monitoring exercise also confirmed high interest levels and expectations from ACP governments for the successful implementation of the Programme.

The ACP-EU Development Minerals Programme has generated commitments at the highest political level to encourage development of the sector at the national level. In Zambia, Uganda and Cameroon, relevant ministers committed to allocate either government contributions or location licenses to small scale miners to pursue the development of the DM sector roused by the ACP-EU Development Minerals Programme. The impact of the policy dialogue and advocacy is considered in more detail in Section 6. Overall, the core approach used by the Programme, with its broad reach and participatory approach, has been an important success factor in in this process, with one of the initial key actions in each Focus Country been a work effort to organise a significant national consultation exercise through a national consultation workshop.

Regional-level and ‘global’ events have also contributed in an important manner to raising awareness and creating a climate more conducive to carrying out national policy dialogue and advocacy. An example is the ACP Development Minerals Programme Showcase Event (*ACP-EU DMP Showcase Event – Development Minerals: Transforming a Neglected Sector in Africa, the Caribbean and the Pacific*), held on 2 December 2016 at ACP House in Brussels promoting the outcomes of the DMP’s trainings and capacity building activities with SMEs, governments, CSOs and other stakeholders from 40 ACP countries. The event was organised by the ACP-EU Development Minerals Programme and hosted by the ACP Secretariat, with support from the European Commission’s DG DEVCO (Department of International Cooperation and Development) and DG GROW (Internal Market, Industry, Entrepreneurship and SMEs), as part of EU Raw Materials Week<sup>27</sup>. The Showcase event provided a place for policy dialogues among programme partners, wider stakeholders, European citizens and ACP countries by generating media coverage and presenting informative content<sup>28</sup>. The Showcase also provided an

<sup>26</sup> ROM

<sup>27</sup> Report, ACP-EU Development Minerals Programme Showcase Event, 2 Dec 2016.

<sup>28</sup> A total of 118 participants took part in the Showcase event. The targeted audience included i) Embassies and national representations of the ACP Group of States in Belgium; ii) High-level officials from the European Commission’s DG DEVCO, DG GROW (Internal Market, Industry, Entrepreneurship and SMEs), African Minerals Development Centre (AMDC) hosted by the UN Economic Commission for Africa (UNECA) and African Union Commission (AUC); and iii) Mineral sector stakeholders including representatives from industry bodies, academic and research centres, CSOs, development cooperation agencies.

opportunity for the Ambassadors of the participating countries of the Programme to learn about the activities and outcomes and to specifically share programme implementation achievements as well as the planned activities in the focus country activities. In this kind of event, the role of the ACP Secretariat as convenor and ‘Ambassador’ of the Development Minerals ‘message’ has also been an important asset.

### 4.3 National Consultations and Sector Roadmaps

As mentioned, the participatory approach of the project at the country level has been an important facilitator of creating ownership and interest. For the **sector assessment and capacity development roadmaps**, National Consultation Workshops were held in each of the 6 selected focus countries. The objectives of the national consultation workshops were: i) building awareness among key national stakeholders about the ACP-EU Development Minerals Programme; ii) gathering information on the Development Minerals Sector and identify sectoral linkages and opportunities for partnership and business creation; and iii) developing a roadmap to effect the implementation of the ACP-EU Development Minerals Programme in the focus countries.

Overall, the organisation of the national consultations was timely and well prepared attracting the right audience and stakeholders. The first national consultation was held in Jamaica on 14-15 of April 2016, in Kingston. The Consultation attracted 51 key stakeholders, from government (Ministry of Transport and Mining, National Environment & Planning Agency) to associations (Mining and Quarrying Association of Jamaica) and private miners. The number of participants in the national consultations continued to grow and at the last national consultation in Cameroon, a total of 84 key stakeholders attended, proving interest in development of DM sector.

*Table 4.1 - Number of Participants in National Consultations regarding Capacity Development Roadmaps*

No	National Consultations in Focus Countries	Number of Participants
1	Jamaica (Caribbean focus country; 2 days)	51
2	Zambia (Southern Africa focus country; 2 days)	46
3	Fiji (Pacific focus country; 3 days)	59
4	Uganda (East Africa focus country; 2 days)	63
5	Guinea (West Africa focus country; 2 days)	73
6	Cameroon (Central Africa focus country; 3 days)	84

### 4.4 Progress with Regard to Partnerships

Partnerships are a core tenet of the ACP Development Minerals Programme approach. To-date the Programme team has strengthened collaboration with its established partnerships in addition to the formulation of new ones for joint implementation of activities. The partnerships have included i) Partnerships with **14 regional bodies and institutions**<sup>29</sup> in the ACP that have a convening role aimed at organizing and hosting the regional training

<sup>29</sup> African Union Commission (AUC); African Minerals Development Centre (AMDC); African Minerals and Geosciences Centre (AMGC); African Mining Legislation Atlas (AMLA); African Legal Support Facility (ALSF); African Guarantee Fund (AGF); Caribbean Community (CARICOM) Secretariat; Economic Community of Central African States (ECCAS); Economic Community of West African States (ECOWAS) Commission; Geoscience Information in Africa Network (GIRAF); Geological Society of

programmes; ii) Partnerships with **33 academic and business development institutions**<sup>30</sup> have been established (for instance, universities and business development institutions in the ACP region have been engaged to provide extension services and support for formalisation, as well as training and teaching); iii) **5 other specialized institutions/government agencies**<sup>31</sup> have partnered with the Programme to deliver country-level training on enterprise skills, market analysis, investment promotion and value-addition; iv) Additional partnerships were established with **2 globally recognized institutions/agencies**<sup>32</sup> in the period under review, to enhance the profile of Development Minerals in various high-level for a; and v) Mining and quarry associations, which have been directly involved in the Training of Trainer (ToT) workshops and sensitization at the country-level, with their return to work plans centred on cascading the training themes to their membership at all levels including at the grass-roots. The Table below demonstrates direct involvement of mining and quarry associations in ToT workshops at the country-level:

**Table 4.2 - Partnerships Involvement in Programme Implementation – Selected Examples**

Focus Countries	Partnerships Involvement in Programme Implementation – Selected Examples
<b>Jamaica</b>	Mining and Quarry Association partnered with the Programme in the joint publication of guidelines on the updated Quarry Act which were made available to 178 quarry operators who took part in 3 sensitization sessions
<b>Fiji</b>	Fiji Mines and Quarries Council comprised of quarry owners and operators of Development Minerals were integrated into the Country Working Group. They have subsequently been involved in the development of the Standard Operating Procedures (SOPs) for the licensing of Quarries as well as the accompanying two guideline documents for the private sector on hard rock and river-based extraction
<b>Cameroon</b>	Dynamique des Artisans de Carrière de Mayo Nyaka, in Ambam Council as well as Gic Tappi Naffi cooperative in Maroua Council partnered with the Programme and were involved with undertaking of training, sensitization and awareness raising

Africa (GISAF); Organization of African Geological Surveys (OAGS); Southern African Development Community (SADC); and Secretariat of the Pacific Community (SPC)

<sup>30</sup> Addis Ababa University - Ethiopia; Anton de Kom University of Suriname (ADEKUS) - Suriname; Busitema University – Uganda; Divine Word University – Papua New Guinea; Eduardo Mondlane University - Mozambique; Fiji National University, Fiji; GIMERC SARL, Cameroon; Institute des Matières Premières - Cameroon; Institute du Sahel – Cameroon; Institut Supérieur des Mines, Boke – Guinea (Conakry); Malawi University of Science & Technology – Malawi; Presbyterian University College - Ghana; University of Buea – Cameroon; University of Dar-es-Salaam - Tanzania; University of Douala, Institut des Beaux-Arts (IBA); University of Dschang – Cameroon; University of Ibadan - Nigeria; University of Lagos – Nigeria; University of Lubumbashi, DRC; University of Maroua, Cameroon; University of Mines and Technology, Tarkwa – (UMAT), Ghana; University of Nairobi – Kenya; University of Ouagadougou – Burkina Faso; University of Papua New Guinea – Papua New Guinea; University of South Pacific- Fiji; University of Technology (UTECH), Jamaica; University of Technology – Papua New Guinea; University of Queensland, Centre for Social Responsibility in Mining, Australia; University of Queensland, Minerals Industry Safety and Health Centre, Australia; University of West Indies, Mona Campus - Jamaica; University of West Indies at St. Augustine, Trinidad and Tobago; University of Zambia – Zambia; and the University of Zimbabwe

<sup>31</sup> Enterprise Uganda; National Centre for Small and Micro Enterprises Development (NCSMED), Fiji; Zambia Development Agency (ZDA); Zambia Chamber of Commerce and Industry (ZCC); and Zambia National Council for Construction (NCC)

<sup>32</sup> Intergovernmental Forum (IGF) on Mining, Minerals, Metals and Sustainable Development; and the PanAfGeo (European geological surveys & Organisation of African Geological Surveys) program activities in Zambia

Focus Countries	Partnerships Involvement in Programme Implementation – Selected Examples
<b>Guinea</b>	64 ASM Co-operatives have been formed in 64 Pilot sites, nation-wide covering 4 regions. The formation of these cooperatives is a major milestone of the Programme, as the membership of the cooperatives pave the way for the requisite sector specific extension services and support.
<b>Zambia</b>	6 organisations have engaged including Association of Women in Mining, Lusaka; Association of Zambian Women in Mining; the Emerald and Semi-Precious Stones Association of Zambia; Kalomo Miners Association; Federation of Small Scale Miners of Zambia; and the Federation of Mining Associations of Zambia
<b>Uganda</b>	Engaged with several mining associations/cooperatives including: Busia Miners Association; Uganda Women Entrepreneurs Association/Construction Materials & Dimension stones; Karamoja Women's Association; Rupa Miners Development Association

At regional-level (12) and at the country-level (21) women in mining associations have been engaged through the training workshops, mentoring on group dynamics as well as support in the preparation of “bankable proposals” for access to finance. This engagement aims at placing women’s issues in the Development Minerals sector at the frontline of policy and practice advocacy actions on economic empowerment of women in the Development Minerals sector. The implementation of regional and country-level activities in the period under review has seen strengthened partnerships with the following 12 government ministries or agencies in the focus countries: Jamaica Business Development Corporation (JBDC), Jamaica; Ministry of Energy and Mineral Development, Uganda; Uganda Chamber of Mines and Petroleum, Uganda; Ministry of Lands and Mineral Resources, Fiji; Ministry of Mines, Industry and Technological Development, Cameroon; Ministry of Mines and Geology, Republic of Guinea; Ministry of Mines and Minerals Development, Zambia; the Ministry of Transport and Mining, Jamaica; National Centre for Small and Micro Enterprises Development (NCSMED), Fiji; Zambia Development Agency (ZDA); Zambia Chamber of Commerce and Industry (ZCC); and the Zambia National Council for Construction (NCC). Similarly, establishment and strengthening of partnerships in the participating countries were undertaken with the following seven (7) ministries and government agencies: Ministry of Energy and Energy Industries, Trinidad and Tobago; Ministry of energy and Minerals, Tanzania; Ministry of Mines, Ethiopia; Ministry of Mines and Geology, Republic of Congo; Ministry of Mineral Resources (MIREM), Mozambique; Ministry of Natural Resources, Guyana; and Ghana Minerals Commission, Ghana<sup>33</sup>.

#### 4.5 Capacity Building and Return to Work Plans

As highlighted in the Progress Reports, the evaluation forms filled-in by the training participants in the different regional training workshops express high level of satisfaction regarding both the training content and the knowledge exchange. This demonstrates the effectiveness and impact of the training undertaken so far. Regarding the Return-to-Work Plans (RWPs), progress has been significant, with a total of 163 RWPs submitted from 4 regional events and 37 national events by end of 2017. The benchmarking exercise implemented by the Programme with the International Mining for Development Centre exhibited RWPs response rate of 75% and RWPs update (after 6 months) of 35%, impressive results considering conjectural factors (maternity leaves, fall-outs etc.).

<sup>33</sup> PP.20-22, Progress Report 2017.

As mentioned earlier, one of the key features of the Programme's training is the **Return-to-Work Plans (RWP)**s. RWPs are plans on projects participants are required to develop on their return to work, building up on the skills and knowledge gained from the training workshops. The results of these RWPs demonstrate strong performance. In 2017, from 4 regional events and 37 national events, a total of 163 individual and group RWPs were submitted (Progress Report 2017, p.13). The response rate from participants, required to provide periodic updates on the progress of their project implementation, shows strong levels of satisfaction. The benchmarking exercise implemented by the Programme with the International Mining for Development Centre exhibited RWPs response rate of 75% and RWPs update (after 6 months) of 35%, impressive results considering conjunctural factors (maternity leave, fall-outs etc.).

### *Mr. Ibrahim Djagra: Promoting the Use of SSB in local Constructions*

The Return-To-Work Plan project carried out in North Cameroon by Mr. Ibrahim Djagra seeks to train local population and refugees from the abuses of Boko Haram to use stabilized soil bricks (SSBs) for the construction and reconstruction of houses and social infrastructures (houses, health centres). While proving to be more cost-effective and environmentally-friendly than the use of other materials like cement, stabilized soil bricks are also more resistant to fire arms, protecting local population from potential attacks perpetrated by Boko Haram adepts. Implemented in 2016, the project currently employs 80 people, including 47 women and has established partnerships with various local institutions. Mr Djagra has already trained 1000 people from 10 different sites to the use of SSB, and is aiming to build 1500 houses and 150 classrooms.



*Mr. Djagra training local population in Mora (Cameroon).*

Some Return-to-Work Plans projects which achieved impressive results are highlighted below

*Table 4.3 – Results Achieved from Selected Return to Work Plans*

No.	Training Workshop	Date and Location	RWP Project Owner	Project Focus	Results Achieved
1	Pacific RTW on ECHS	Fiji 01-04 December 2015	Group RWP project (14 participants)	Improvement of Standard Operating Procedures (SOPs) for the licensing of Quarries	<ul style="list-style-type: none"> <li>Developed (SOPs) for the licensing of Quarries and integrated it into the regulatory framework of Fiji's minerals sector.</li> </ul>



No.	Training Workshop	Date and Location	RWP Project Owner	Project Focus	Results Achieved
2	East Africa RTW on ECHS	Ethiopia 9-12 November 2015	Mr Stephen Padde (individual RWP)	Formalisation of small-scale-miners associations and women empowerment	<ul style="list-style-type: none"> <li>8 new small-scale miners associations now registered legally</li> <li>Construction of 2 gender-disaggregated toilet facilities at the mine site of Busia</li> <li>Establishment of a paid maternity leave system</li> </ul>
3	RTW on Quarry Management of Dimension Stones and Construction Materials	Carrara, Madagascar (15-20 June, 2016)	Ms. Rakotonirina Mah' Loharano (individual RWP)	Cross-sectorial linkages development to shorten supply Development of a strategic partnership between universities and industries in Madagascar	<ul style="list-style-type: none"> <li>Creation of a new supply chain</li> <li>5 internship placements</li> </ul>
4	ToT Workshop on Mine and Quarry Management	Zambia 28 March-01 April 2017	Mr. Col Mwandila (individual RWP)	Business agreement with a Chinese contractor to purchase aggregates from AJM Quarry owned by Col Mwandila	<ul style="list-style-type: none"> <li>\$US5M investment</li> <li>300 jobs generated in Kazungula.</li> </ul>
5	National Workshop on ECHS	Cameroon 14-19 November 2016	Mr. Ibrahim Djagra (individual RWP)	Training local population to use SSB for building construction	<ul style="list-style-type: none"> <li>More than 1000 people trained</li> <li>80 people employed, including 47 women</li> <li>1 school and 1 hospital clinic built using SSB</li> </ul>
6	RTW on Quarry Management of Dimension Stones & Construction Materials	Madagascar	Mr Bob Andriamifidy Onimilanto (individual RWP)	Cobble stone road pavement in Madagascar rural areas	<ul style="list-style-type: none"> <li>1 km section proof of concept</li> <li>35km pavement selected in the CASEF project</li> </ul>
7	Regional ToT Workshop on ECHS	Jamaica 19-20, 25-26 July 2017	Mr. Laurence Neufville (individual RWP)	Establishment of a new diploma on quarry management	<ul style="list-style-type: none"> <li>20 graduates in 2017</li> </ul>
8	RTW on ECHS West Africa	Ghana	Mrs Rosemary Okla (individual RWP)	Development Minerals mapping in Accra	<ul style="list-style-type: none"> <li>Map produced, presented at 35<sup>th</sup> International Geological Congress (2016)</li> </ul>

Legend: RTW: Regional Training Workshop; ECHS: Environment, Community, Health and Safety of Development Minerals; ToT: Training of Trainers; SSB: Stabilized Soil Bricks.

#### 4.6 Progress Regarding the Gender Dimension and Gender Targets

The ACP Development Minerals Programme has to-date had an important gender dimension, with significant participation of women in its capacity building and consultative activities.

An example of the 2015 Regional Sharefair on Gender Equality in the Extractive Industries was organised by UN Women from 13 to 15 October 2015 at the United Nations Office in Nairobi with approximately 430 women and men in charge of different roles and functions in the mining industries across Africa. The DMP supported women miners of Development Minerals to attend the event and widened the programming of the Sharefair to ensure that Development Minerals were effectively addressed. The Regional Sharefair aimed at sharing knowledge, promoting innovation and good practice, discussing legal frameworks and policies and exploring opportunities for networking, advocacy and capacity building in support of women in the sector<sup>34</sup>. The Regional Sharefair provided a place for policy dialogue among direct and indirect stakeholders, namely women in the mining sector, governments, bilateral and multilateral organisations, MSMEs, civil society organisations and communities with regard to the Extractive Industries. Participants discussed challenges, solutions and opportunities for gender equality and women empowerment in the mining sector at a series of plenary sessions and interactive group discussions. Extractive industries also exhibited their products and services at the Sharefair. Collaborative partners of the Sharefair were as follows:

*Table 4.4 - Regional Sharefair Collaborating Organisation*

Categories	Partner Organisations
Convening Partners	UN Women, African Union Commission (AUC) and United Nations Economic Commission for Africa (UNECA)
Funding Partners	International Mining for Development Centre, the Office of the Special Envoy of the Secretary General for the Great Lakes Region, United Nations Development Programme/ the African Caribbean and Pacific (ACP) Secretariat/ the European Union, UNECA/African Minerals Development Center, The Australian High Commission, German Development Cooperation (GDC)/ the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), The World Bank, Action Aid Kenya, Aga Khan University, Cordaid, GROOTS, Gulf African Bank, International Alert, Kenya Airways and Oxfam
Collaborating Partners	International Organization for Migration, United Nations Environment Programme (UNEP), United Nations Global Compact, African Women in Mining Association, Econews Africa, Equity Bank Group, Friends of Lake Turkana (FoLT), Gemological Institute of America, Institute of Economic Affairs Kenya, Institute for Human Rights and Business, Kenya Chamber of Mines, Publish What You Pay, Strathmore Extractives Industries Centre and Tullow Oil

During 2017 some 1288 stakeholders were directly trained by the Programme, across 41 regional and country training events. With regard to gender breakdown, a total of 896 participants were male while 392 were female, giving a 30% female representation rate. Furthermore, train the trainer follow-on training work enabled an additional 6,589 stakeholders to receive training, with the gender breakdown being 3804 male and 2785 female participants. This gives an impressive 42% female representation rate, and when both are cumulated, a total of 4700 male participants received training compared with 3177 female participants. This correlates to a 40%

<sup>34</sup> Summary Report on Regional Sharefair 2015: Gender Equality in the Extractive Industries: Building on Good Practices, 13-15 October 2015.

female participation rate, which represents a 14% increase in the female representation rate of 26% for the previous 2015-2016 reporting period.

#### 4.7. Major Factors Influencing Achievement or Non-achievement of Programme Objectives

Regarding factors that have influenced the non-achievement of the objectives, the evaluation research and consultation has identified a number of factors. Firstly, delays in project team recruitment which in turn caused overall delay of the DMP implementation was an important initial factor, but where significant mitigation actions were undertaken (this is discussed in Section 5). A second factor has been the difficulty of bringing immediate changes in regulatory system and building the long term and sustainable consensus with governments. Unavailable or scarce information on the Development Minerals sector when starting the programme has also been a challenge that has required time and resources. Regarding factors that have facilitated the achievement of Programme objectives an important factor has been the high interests and expectations for the successful implementation of the Programme from all stakeholders.

Overall, in terms of achieving the objective - capacity development of small-scale private operators and institutions in LVMM, the project has been successfully carried out, even with a significant proportion of 2018 remaining. Most of the expected outcomes and outputs have been brilliantly achieved, with almost every indicator exceeding the initial target. It successfully generated more attention from officials and institutions to the DM sector at national, regional and international level. Additionally, the Programme enabled the UNDP to effectively strengthen and increase its partnership base in the region with relevant institutions and agencies for joint implementation of activities. The further increase in momentum developed during 2017 also points to a continued strong performances of the ACP-EU Development Minerals Programme during this remaining implementation year of the programme.



## 5. Evaluation Findings - Efficiency



### Section Guide

*This section provides an overview of the following:*

- *Overall Efficiency of Project Management (6.1)*
- *Cost and Time Efficiency of the Project Implementation (6.2)*
- *Programme Monitoring, Reporting and Evaluation Mechanism (6.3)*

### 5.1. Programme Governance

The Development Minerals Programme management has involved three principal bodies: i) the Programme Steering Committee (PSC), ii) the Programme Technical Committee (PTC), and iii) the UNDP Programme Management Team (PMT). Overall project implementation was supervised by the **Programme Steering Committee (PSC)**, which provides strategic and policy guidance, taking management decisions and guiding project implementation and monitoring progress. Following the 2<sup>nd</sup> Programme Steering Committee Meeting (ACP House Brussels, 11 December 2015) financial, human resources, procurement, management, workspace and administration systems were established and streamlined, and Regular ACP-EU-UNDP progress meetings and technical meetings held to ensure smooth implementation of the programme.

The second instrument of project management was the **Programme Technical Committee (PTC)** responsible for providing advice on the programme's knowledge products. The PTC comprises internationally recognised specialists of mining and sustainable development, more specifically, geology, mine management, community relations, market analysis and investment promotion, health and safety and environment. The PTC's expertise has contributed to delivering high-quality products such as country-level trainings, technical studies, timely advice, revisions, technical consultancies, and professional networks. The third organ of the programme governance and management structure is the UNDP **Programme Management Team (PMT)** comprising the core Brussels management team, a Technical Advisor based in Addis Ababa, and six country co-ordinators in the six Focus Countries<sup>35</sup>.

A review of the PSC agendas and meeting minutes suggests that it has been a valuable forum for allowing discussion between the three Programme Partners, and meeting agendas have been well prepared and there are clear and detailed meeting minutes. In this respect, the PSC has served as a communication channel and decision-making body for inter-institutional linkages performing as a coordinator and an oversight. The Programme Management Team has been particularly effective in implementing as significant body of work and co-ordinating a relatively complex range of activities across the 6 Focus Countries and beyond.

<sup>35</sup> The PMT comprises the following persons Dr Daniel Franks, Programme Manager, Brussels (start date: June 2015); Lacina Pakoun, Technical Advisor, Addis Ababa (start date: August 2015); Caroline Ngonze, Programme Specialist, Brussels (start date: August 2015); Asan Amza, Operations Associate, Brussels (start date: August 2015); 6 country coordinators for focus countries: (start date: Q2, 2016).

## 5.2. Timely Implementation of Programme Activities

In terms of timely implementation, the biggest challenge (and weakness) was UNDP's delay in recruiting the project team. This hindered the timely commencement and implementation of Programme activities. Even though UNDP began recruitment of the four-person team upon the signing of the funding agreement, the full recruitment was delayed by 8 months. The table below summarises the schedule of the team recruitment. The table below shows the difference between the initial timing and actual timing of the recruitment.

*Table 5.1 – Overview Core Project Team Recruitment Delays*

Recruitment Progress Milestone	Expected Schedule	Actual Schedule
Signing of the Agreement	Oct 2014	Oct 2014
Recruitment of the Programme Manager <sup>36</sup>	Nov-Dec 2014	June 2015
Recruitment of other members of the Programme Team <sup>37</sup>	Nov-Dec 2014	August 2015
Recruitment of 6 country coordinators:	Nov-Dec 2014	
• Mr. Josefa Caniogo (Fiji)		June 2016
• Ms. Ruth Clarke, (Jamaica)		July 2016
• Mr. Moussa Charlot, (Cameroon)		July 2016
• Mr. Algassimou Diallo, (Guinea)		July 2016
• Mr. Alpha Oumar Balde, (Guinea) <sup>38</sup>		June 2017
• Ms. Hope Kyarisiima, (Uganda)		Aug 2016
• Mr. Lyapa Manza, (Zambia)		Sept 2016

It should be pointed out that the expected schedule was probably not completely realistic, in terms of getting the core team recruited and contracted within 2-3 months. A longer inception phase might be a learning point for future, to ensure the project plan can be updated as necessary (for example, the project plan expected the country consultations & roadmap as well as training to be delivered within 3 months of contract signing which would not for example provide adequate time for inception activities). In this respect, the delay would be shorter than that mentioned above.

It should also be noted that a number of measures were taken to mitigate this delay. Firstly, other UNDP staff<sup>39</sup> undertook tasks at the beginning of the Programme implementation which included selecting the 40 participating countries and initiating background studies. Secondly, a number of training participants were sponsored to participate in workshops to facilitate a rapid start of the training activities in the Q3-Q4 of 2015. Thirdly, an in-depth project inception workshop was also organised rapidly, which not only helped to start making up for time lost but also started the project in a participatory manner with key stakeholders from the Development Minerals Sector. By end of 2017, the Programme Team was showing a strong record in achieving and/or exceeding targets, and 2017 showed a continued significant growth in the number and scale of project activities and an overall picture of strong momentum.

The no-cost extension put in place until October 2018 has also allowed the team further latitude to meet other targets, and in many cases exceed them. This request for a formal no-cost extension (and modified work plan) on the 20<sup>th</sup> December 2016 was accepted and was motivated in part by the desire to avoid any negative impact by the recruitment delays, while a second factor was that the selection of the programme focus countries including the recruitment of country coordinators took 5-6 months longer than originally envisaged.

<sup>36</sup> Dr Daniel Franks.

<sup>37</sup> Lacina Pakoun, Technical Advisor/ Caroline Ngonze, Programme Specialist/ Asan Amza, Operations Associate

<sup>38</sup> Due to turnover of Guinea country coordinator, Mr. Balde was recruited as the country coordinator in 2017.

<sup>39</sup> Degol Hailu, Casper Soneson, Uyanga Gankhuyag and Sofi Haling, Progress Report 2016, P. 112.

### 5.3. Programme Financial Management and Cost-Efficiency

The total amount of funding for the DMP is €13.1 million of which 89% (€11.7 million) comes from the EU and 11% (€1.4 million) comes from a UNDP Contribution. Approximately €4.5 million of funding was dedicated to country-level initiatives in the six Programme Focus Countries. Annex 4 sets out the financial report of the period 21st October 2014 and 31st December 2017. Overall, in terms of costs incurred by Outcome Area, activities and actions carried out under Outcome 6 have accounted for the largest budget (EUR 2,640,312.00), followed by Outcome 1 (EUR 1,186,793.42). The large share accounted for by Outcome 1 is mainly because the budgeted activities for Outcome 1 also includes the costs for the inception workshop, baseline studies and country consultations and the budgeted activities for Output 6 also includes the staff and administration costs.

One of the strengths of the Development Minerals Programme is the ongoing monitoring of cost-efficiency and seeking value for money. One example is the Programme website, which has an innovative and distinct look and has developed at reasonable cost. A more striking example is the training and capacity building events organised for local and national development minerals stakeholders, where the financial costs of such trainings are also used as a filter to ensure the events attract persons that have a real motivation to acquire the training and skills. Thus, no Daily Subsistence Allowance (DSA) was provided to trainees, with only direct costs (e.g. onsite catering) being covered. Moreover, interested persons had to develop a Return to Work Plan (RWP), showing how they would create follow-on training and leveraged impact afterwards. This business-oriented mindset (where participants are expected to make some level of [affordable] investment in advance, has been a good practice of the Development Programme, and is something that should be disseminated by Programme Stakeholders. The Return to Work Plans (RWPs) are discussed further in the report sections on Effectiveness and Impact.

### 5.4. Efficiency of the Programme Management Team

The MTE findings show a Programme Management Team that has been able to manage an impressive range of activities across the Focus Countries and the Participating Countries, with significant reach across a wide range of stakeholders from the Development Minerals Sector. The project has a well-developed document management system and has invested considerable time in monitoring progress on project outputs and outcomes, as can be seen in the Programme's progress reporting.

At the level of the Country Delivery Teams, the Programme Management Team has done a good job in getting the country co-ordinators and support staff operational, as well as tracking the work in the countries. This is a management challenge in itself, as most of the Brussels-based management team and the country teams have not worked together before, and this has required the core Brussels-based management team to develop productive and effective working relationships with the Country Delivery Teams and understanding each team member's strengths and weaknesses. The Programme Management Team has also developed good working relationships with the UNDP Country senior management teams and invested the time to explain the project and the potential of the development minerals sectors. This was noticeable in the evaluation field missions to Cameroun and Jamaica, in terms of the appreciation of the UNDP Country Offices to the ACP Secretariat and the EC for this ACP Development Minerals Programme, and their interest and commitment to seeing the momentum build up during the Programme not to be lost but rather to go to the next level.

## 5.5. Programme Monitoring, Reporting and Evaluation Mechanisms

The UNDP implementation used the **Results and Resources Framework** as the basis for monitoring the programme implementation. The table below shows the Programme's M&E mechanism's various components.

**Table 5.2 - Overview ACP Development Minerals Programme - M&E Mechanisms**

Overview ACP Development Minerals Programme - M&E Mechanisms
<ul style="list-style-type: none"> <li>• Periodic field monitoring undertaken by the Country Coordinators;</li> <li>• Monthly focus country reporting;</li> <li>• Yearly annual reports;</li> <li>• Periodic Programme Steering Committee reporting;</li> <li>• Results Orientated Monitoring Mission in five countries;</li> <li>• Mid-Term Evaluation</li> <li>• Final Evaluation foreseen in Quarter 3 2018.</li> </ul>

Indicators within the Results and Resources Framework have been framed as change indicators. These indicators represent an activity, output or outcome that has been achieved as a result of the programme. The numerical baseline reference for all indicators was thus zero. Overall the project team as mentioned above has invested significant effort in developing highly detailed progress monitoring and reporting, that has provided a robust tracking of the wide range of activities across the Development Mineral Programme target countries.

Regarding monitoring and feedback loops, gathering training feedback evaluation from participants proved to be one of the most effective methods, and the feedback obtained was used to improve the contents of the training on Environment, Community, Health and Safety; and on Quarry Management of dimension stones and construction materials as well as the methods of delivery of these trainings.

## 6. Impact and Sustainability



### Section Guide

*This section considers the impact of the project's outcomes and results, and the prospects for sustained Impact.*

The Programme had a significant positive impact in the ACP region, in particular in building awareness and broadening the involvement from different actors of the Development Minerals sector at the regional level. The different activities implemented by the DMP were recognised as significantly valuable by countries and regional institutions of the ACP Group of States, and such enthusiasm resulted in strong demand for programme interventions at both regional and country level.

Various Regional Training Workshops held in 2017 were over-subscribed in terms of applications against positions available, such as the *Curricula Sprint on Environment, Community, Health and Safety of Development Minerals* (233%) or the training on *Value-Addition of Development Minerals in Northern Cameroon* (328%). Moreover, Botswana, Swaziland and Sudan attended regional training workshop on Environment, Community, Health and Safety as self-sponsoring countries. This overall enthusiasm and demand for programme interventions was also highlighted by the ROM report, which concluded that “there is an enormous (quite rare) interest for this programme expressed by all stakeholders in the countries as well as in the regional and central organisations involved,” and that the Programme is “very well-designed”, with “a high level of ownership”, “demand driven and strong alignment with national policies.”

The interest generated by the Programme has resulted in commitment by high-level officials to support in-country interventions on the Development Minerals sector, and also enabled regulatory improvements at the regional level. For instance, the African Union endorsed the Development Minerals Programme in May 2016 and adopted four recommendations related to the Programme. In Zambia, Uganda and Cameroon, national governments also committed to allocate either government contributions or location licenses to small scale miners to pursue the development of the DM sector roused by the ACP-EU Development Minerals Programme.

**Table 6.1 - Selected Examples of DM Programme's Contribution to Policy and Regulatory Development**

Country	ACP EU DMP Influence on Policy and Institutional Mechanisms
<b>Uganda</b>	<b>The Programme supported the review of the 2016 Minerals Policy.</b> This contributed to ensure that issues relevant to the Development Minerals sector were captured in the national legislation. The Programme supported the drafting of a revised Minerals Policy (currently at Cabinet approval stage). Once assented to, it will be enacted for country-wide roll-out. The process involved multi-stakeholder consultations as well as a technical meeting aiming at finalizing a mineral policy certificate of financial implication, to determine the associated costs of the enactment of the revised Minerals Policy.
<b>Cameroon</b>	<b>The Programme provided significant input and influenced the reform of the 2016 Minerals Code.</b> The revised Minerals Code (promulgated in 2017) now covers Development Minerals and the key issues specific to the sector. This had been omitted in the previous 2002 Minerals Code.

Country	ACP EU DMP Influence on Policy and Institutional Mechanisms
<b>Jamaica</b>	<b>The Programme was instrumental in ensuring that the National Minerals Policy addressed key issues in the sector</b> , especially: <i>i) the need to diversify the support provided to the sector to include quarries and the mining of Development Minerals, ii) the importance of public-private sector partnerships, ii) the importance of leveraging the potential of Development Minerals for value-addition, and iv) address environmental issues in the sector.</i>
<b>Fiji</b>	<b>The Programme supported the development of Standard Operating Procedures (now integrated into the regulatory framework of Fiji's minerals sector) for the licensing of Quarries.</b> In addition, two guideline documents for the private sector on hard rock and river-based extraction were also developed with the support of the Programme.
<b>Zambia</b>	<b>The Programme provided significant input in the finalization of the 7<sup>th</sup> National Development Plan (7NDP) covering the period 2017/ 2021</b> , related to economic diversification in the mining sector and thereby enhancing employment creation.  Such impact and the resultant evidence-based policy prompted <b>Zambia's</b> Minister of Mines and Minerals Development to assent to the <b>creation of a specific <i>ad-hoc</i> unit to handle the DM sector within the Ministry</b> (ministry-level procedures to actualize this are underway).
<b>Guinea</b>	<b>Commitment to include, the ACP-EU Development Minerals Programme's Capacity development roadmap in the Guinea Responsible Mineral Development Initiative (RMDI) Action plan.</b> This was the result of the outreach activities undertaken during Guinea's RMDI round-table initiative (2017 meeting of the).
<b>Ghana</b>	<b>The Programme provided technical advisory services to the UNDP Ghana's Country Programme Document (2018-2022)</b> , which co-opted the Development Minerals agenda in the implementation of the country programmes.
<b>Tanzania</b>	<b>The Programme provided technical expertise to UNDP Tanzania in the development of its new Extractive Governance Programme (TEGOP)</b> which has co-opted the Development Minerals agenda for country-level implementation.

Regarding unplanned impacts, the Development Minerals programme has also seen **impacts that were not altogether foreseen**. For example, in Uganda, one highly positive but unplanned effect of the Development Minerals Programme's work was the implementation of the Minerals Conference (following the completion of the roadmap), which generated an important positive effect on the engagement and understanding of the Programme by many stakeholders. Similarly, the organisation of two orientation trainings on Development Minerals for journalists and Members of Parliament had a very positive effect on the way in which both of these stakeholder groups viewed the importance of the Development Minerals sector.

A further positive unplanned impact was the support from the Development Minerals Programme, through the orientation of media and MPs, to facilitate a more rapid and effective management by the Government of the 'sand mining scandal' on the shores of Lake Victoria. In Zambia, an impact not entirely foreseen was the interest created in the findings of the snap survey, which provided a rich quantitative overview of the DM sector across the country for the first time and led to a significant jump in stakeholder interest and appreciation in the country.

The regional level work mainly focussed on training. Regional-level trainings were conducted in all ACP sub-regions but, where appropriate several ACP sub-regions were combined<sup>40</sup>. In total, some 47 countries benefited from the trainings/workshops provided by the Programme at Regional Level during the period 2014 to end of 2017.

**Table 6.1: ACP Countries Benefitting from DMP Trainings – Overview by ACP Region**

Central Africa	East Africa	Southern Africa	West Africa	Caribbean	Pacific
Cameroon Congo Republic Democratic Republic of Congo Gabon Rwanda	Ethiopia Kenya Madagascar Tanzania Uganda Burundi Eritrea Mauritius Sudan	Angola; Lesotho; Malawi; Mozambique; Namibia; Zambia; Zimbabwe; Botswana; Swaziland	Benin Burkina Faso Ivory Coast Ghana Guinea (Conakry) Mali Niger Nigeria Senegal Sierra Leone Togo Mauritania	Dominican Republic Guyana Haiti Jamaica Suriname Trinidad and Tobago	Fiji Papua New Guinea Samoa Solomon Islands Tonga Vanuatu

Regarding the additional seven countries that participated in DMP workshops, these seven countries participated in the following events:

**Table 6.2: ACP DMP Events/Workshops where Additional Seven Countries Participated**

Event/workshop	Countries	ACP Region
Inception Workshop (July, 2015), Brussels, Belgium	1. Burundi	East Africa
	2. Eritrea	East Africa
	3. Mauritius	East Africa
West Africa regional workshop on Environment, Community, Health and Safety (March, 2016), Accra, Ghana	4. Mauritania	West Africa
Southern Africa regional workshop on Environment, Community, Health and Safety (April, 2017), Maputo, Mozambique	5. Botswana	Southern Africa
	6. Swaziland	Southern Africa
	7. Sudan	East Africa

The Development Minerals Programme has recorded some important outcomes in terms of securing some sustained impact after the current Programme ends. The broad reach of the Programme to try and include all key stakeholders, and in particular the participatory and country-led approach to building country-level ownership for the development of the sector, have been important contributory factors that have helped increase the Programme's results and impact and prospects for sustained impact after the project ends. One example is the multi-stakeholder Country Working Group that was established in each Focus Country, while the participatory discussion and approval process for Country Baseline Studies and Country

<sup>40</sup> Trainings & Workshops were carried out encompassing more than 5 ACP countries, for example, 'East Africa Regional Training Workshop, Pacific Regional Training Workshop, and West Africa Regional Training Workshop on Environment, Community, Health and Safety, P. 17-19, Progress Report 2016, UNDP.



Roadmaps also means that these results will likely continue to influence national discussion and actions regarding the Development Minerals sector long after the current Programme ends.

Furthermore, in some Programme Focus Countries (e.g. Jamaica, Zambia), the Programme Country Coordinator has been based in the national ministry office (or other designated national body for the sector<sup>41</sup>), creating further sustained impact as well as ensuring a higher profile for the ACP Development Minerals Programme and the sector in general than might reasonably have been expected.

The Programme's capacity building approach and results are also an important contributor to the sustainability legacy in each of the Focus Countries, with the trainers trained under the Training of Trainers (ToT) approach representing a continuing source of expertise, motivation and leverage point to continue to build local awareness, knowledge and capacities related to Development Minerals. The size of this corps of trained trainers is also significant, for example 370 trainees in Zambia, 323 trainees in Uganda, 254 trainees in Uganda and 179 in Cameroon.

In Zambia, for instance, a July 2017 national consultation workshop led to the development of a Capacity Development Roadmap, while the Government has already given a commitment to build on the ACP Development Minerals Programme's results as well as allocating some limited funds (\$62, 200) from the budget of the Ministry for Mines and Minerals Development to improve Development Minerals sector management in the country. In Uganda, additional achievements that will help ensure a sustained impact from the Programme include the development of a national roadmap for the sector, into which a broad spectrum of sector stakeholders had made contributions during the 2016 national consultation workshop organised by the ACP Development Minerals Programme. Moreover, the Programme was able to influence the 2016 Mining and Minerals Policy review, 2003 Mining Act revisions and ensure issues relevant to the Development Minerals sector were taken into account<sup>42</sup>. A further likely source of continued impact has been a 2017 commitment from Uganda's President Museveni to allocate location licenses to small scale miners and expand a licensing regime that would streamline the small-scale mining sector (including those operating in the Development Minerals sector).

Similarly, in Cameroon, momentum has been created through the National Consultation Workshop organised by the Programme in October 2016, which not only brought together some 84 stakeholders active across Cameroon in the Development Minerals sector, where the discussions led to the formulation of a blue-print for the Development Minerals sector. Moreover, at a recent event organised by the Ministry of Mines, Industry and Technological Development the high profile given to the ACP Development Minerals Programme could be observed, as well as the familiarity of the Minister for Mines (H.E Mr. Ernest Gbwaboubou) with the Programme. As with Zambia, the Cameroon Government (Ministry of Economy) approved an allocation of FCFA 100,000,000 (USD 160,000 approx.) as the government's contribution to the implementation of the ACP-EU Development Minerals Programme in Cameroon, at the request of the Minister for Mines.

In Jamaica, the April 2016 National Consultation Workshop organised by the Programme was also the starting point for the formulation of a road map for the sector. The ACP Development Minerals Programme has also been active in contributing to the recent updating of national mining policy, with key priority areas being the diversification of the mineral sector institutions to include better oversight, support and

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<sup>41</sup> In the case of Jamaica, the designated body is the Mines and Geology Division of the Ministry of Transport and Mining.

<sup>42</sup> This revised Minerals policy is expected to be approved by Cabinet during the coming months, following which it will be rolled out for country-wide implementation.



recognition of the quarry sector and the mining of Development Minerals. While the updated mining policy is awaiting Cabinet approval, the prospects for improved compliance with the new policy can only have increased thanks to the effort of the Programme, which played a leadership role in publishing an Environmental Handbook aimed at raising the awareness of industry practitioners on these new regulatory changes, as well as organising awareness-raising events on the new regulations that were attended by some-one-hundred and seventy-eight (178) quarry operators.

In Guinea, an important sustainability outcome has been the national Initiative for Responsible Minerals Development Initiative (RMDI)'s decision to adopt the Capacity Development Roadmap developed under the ACP-EU Development Minerals Programme implementation as part of the Initiative's work plan. This in-built sustainability of the ACP-EU Development Minerals Programme will help ensure that activities continue being implemented after Programme closure.

In Fiji, the Country Working Group supported the development, review and adoption of Standard Operating Procedures for license issuance for the extraction of river or hard rock. Somewhat similarly to Cameroon Awareness raising sessions are now being held to sensitize the small scale private operators. Furthermore, the Country Working Group has also been institutionalized as an official government committee within the Ministry for Lands and Mineral Resources, thereby ensuring sustainability of the work of the working group long-after Programme closure.

Annex 7 provides further detail on the sustainability-related actions that have been carried out in each of the Focus Countries. It is important to emphasise that these sustainability-related results are due in part to the clearly defined Sustainability Strategy and Approach that the Programme has developed. The Programme's Sustainability Strategy has also been influenced by the wider Sustainability Framework of the Programme, which involves designing a programme founded upon an evidence-based Theory of Change, securing political support in programme implementation (and thus political legitimation) through influencing policies, regulations and frameworks, reducing knowledge gaps on Mining legislation through regional instruments, and Expertise-building and replication of acquired skills and knowledge.

Regarding risks to sustainability, one potential risk to the sustained impact of the Development Minerals sector might be control of parts of it being acquired by foreign actors, not least China. While very difficult to assess, there is also likely to be a risk that China will see increasing potential and opportunity to act in the sector through its increased engagement in the infrastructure and construction sectors in the ACP region, not least as it would play to some of China's core competitive strengths such as large-scale organisational capabilities, a significant pool of cheap labour, and an opportunity to capture economic gains from moving up the value chain. China's own worker ecosystem vis-à-vis the local employment potential of the sector would likely be significantly at odds with any aim of ensuring that the development potential of this sector to maximise its contribution to local socio-economic development.

The Field Visit programme also provided a valuable opportunity to assess impact and need on the ground. In Cameroon, a real strength of the programme was very evident in Cameroon where support is being provided to formalize informal quarry workers through cooperatives. This is a laudable effort as the ASM sector in Cameroon is largely informal, therefore formalization efforts need to be enlarged in the second phase of the ACP-EU Development Minerals Programme. Significant potential to create local market demand was observed, where programme beneficiaries are getting trained on the production of superior indigenous products (e.g. traditional clay brick production in Maroua where clay brick housing is considered safer and stronger in the advent of an attack from militants such as Boko Haram as has happened previously. One of the multiplier effects of the schools built out of clay brick is that they provide access to

education for those who would ordinarily not have this access, with improved comfort, quality of life and scholastic performance.

In Cameroun, there is a significant opportunity to place Development Minerals at the centre of public works, housing and construction sector at the municipal level, with the support of a larger-scale communications and branding effort, and this will open up pathway for larger private sector involvement. Opportunity also exists for reverse engineering for clay brick machines with the involvement of universities and low technology service providers, to bring the costs even lower for the purchase of the machines, translating to higher profits/returns for the artisans.

However, of fundamental importance for the future and a successor Phase 2 Programme, is the issue that while the Programme's increased focus on supporting cooperative formalization and informal workers has provided further added value to the learning dimension of this Programme, a significant acceleration and upscaling of local quarry workers will require a systemic approach. Such a systemic approach offers the possibility to realise the huge local development potential, and all the more so provides exciting potential for inclusive development and poverty reduction through use of cooperatives or other inclusive vehicles. Many policy benefits are expected from synergies between policy actions in the Development Minerals sector and renewable energy; environmental/use of local materials; gender-inclusive development; social/community-oriented development; sustainable communities/reduced migration; support to Internally Displaced Persons (IDPs).

Even with the relative progress in policy and regulatory reform, it is noteworthy that government policy and processes for ASM registration and formalization, particularly in relation to the granting of permits and informal worker registration, are still a challenge and will require swift government action. A significantly expanded business support and acceleration programme that delivers significant results would likely be an important factor in helping to persuade national Governments to take action to address such issues that are holding back the development of the sector.

While the situation of the sector in Jamaica is more advanced and operates in a much more formalised setting, there are common challenges even if the nature of the challenge differs.

A key challenge witnessed during the field visit is that many quarry operators are working at a subsistence level. Furthermore, the local business support ecosystem for the Development Minerals sector is still in its infancy and thus weak. For instance, the Jamaica Business Development Corporation (JBDC) support to the Development Minerals sector is small-scale and relatively artisanal in scope; Financing for the sector is still a very huge challenge; the "go it alone" culture in Jamaica is a hindrance to association movement building and support; sectoral organization and representation in key enterprise development and investment promotion fora has been traditionally weak. The ACP-EU Development Minerals Programme in Jamaica has made a contribution in the revitalization of a defunct Mining and Quarrying Association.

Much of the regulatory framework for the sector is already in place, as the Development Minerals sector is more formalized, and the required support in the enforcement and oversight of the sector is partly being provided by the Development Minerals Programme in Jamaica. The Baseline Assessment of Development Minerals in Jamaica has been widely praised across the key stakeholders and is considered "the bible" for the sector and is an example of the sustained legacy that has been described in this section.

Importantly, there is real scope to improve growth and contribution of the Development Minerals sector through i) Quarrying and mining company support (in management and operations); ii) Quarrying and mining company diagnostics through a SWOT analysis (Strength, Weakness, Opportunity, Threats) and strategic reflection that includes market dimension; iii) Financing gateway (where financial partnerships are

established to lend to the sector and the establishment of a Quality certification system to de-risk the lending by the financial institutions); and iv) Specific capital investment products (e.g. drilling equipment for blasting). For some niche sectors, a different approach may be needed, for example for artisans for ceramics and semi-precious stones is needed.

In both field visits strong visibility for the EU and ACP were observed, as well as some proactive development of synergies with EU projects. In Jamaica, the Programme's visibility for the EU was praised by the EU Delegation. In Cameroon, good synergies have been created with the EU Delegation in Cameroon and the EU EDF funded programme in Cameroon and will contribute to improving the sustainability of a local EDF funded programme targeting governance and institutional strengthening in local municipalities and formalization of informal sand extract workers. The ACP-EU Development Minerals Programme can likely help strengthen the post-project sustainability of the EDF funded programme.

## PART IV - A FUTURE PHASE 2 PROGRAMME

### 7. A Future Phase 2 Programme - Recommendations



#### Section Guide

*This section provides:*

- *Considers briefly some key lessons learned, in particular with respect to considering how to proceed towards a future Phase 2 Programme (Section 7.1);*
- *Support for policy and regulatory development (Section 7.2);*
- *Support for private sector development (and in particular a *business acceleration and improvement programme*) - (Section 7.3);*
- *Improving access to finance and investment (Section 7.4)*
- *Supporting a responsible mining sector with improved social and environmental performance (Section 7.5).*

This section considers the evaluation findings in terms of learning and implications with respect to the continued development of the development minerals sector in the ACP region, and in particular with regards to a specific follow-on Phase 2 Development Minerals Programme. In particular, priorities for a Phase 2 Programme are considered across a number of areas: ii) Support for policy and regulatory development; ii) *A business acceleration and improvement programme*; iii) *Improving access to finance and investment*, and v) *Supporting a responsible mining sector with improved social and environmental performance*.

#### 7.1. Going Forward to a Phase 2 Programme – Selected Learning and Considerations

This current ACP Development Minerals Programme has obtained a number of important results with a view to creating increased momentum for the socio-economic development of the sector. Firstly, it has increased awareness of the sector, its current scope and scale and key features in the Focus Countries, as well as some of the key challenges it faces and some of the priorities for securing that development. Importantly, in carrying out the above, this has been done in an inclusive and participatory manner and built a clear sense of the sector and its key actors at national level. It has also shown to some extent the potential for economic development and private sector development to progress hand in hand with improved social and environmental performance.

Looking to the future, the opportunity in the Development Minerals sector is huge and a future Phase 2 of the programme needs to leverage this opportunity for local and national economic transformation and improved local livelihoods. The Programme has generated important results, momentum, local ownership and learning across ACP development mineral stakeholders, in particular of course in the Focus Countries. Selected areas of good practice include the relatively strategic approach of the project, the scale and reach of consultation, awareness-raising and consensus-building, sustainable capacity transfer and high-impact

training (in particular the return to work plans), while some of the hands-on onsite mine and quarry support can also be considered as good or promising practice. The project has also demonstrated that improved environmental and health and safety practices and improved productivity and economic performance can go hand in hand, in a real sustainable development approach.

Successful projects often by their nature make at least part of what they do ‘redundant’ by virtue of the fact that they have achieved some or most of their targeted results, just as companies continuously need to reflect and refine what is their core added value and competitive assets. Similarly, the foreseen Phase 2 of the Development Minerals Programme needs to leverage identified best practices and lessons learned from the current programme and build on them, but above all consider what are the most important objectives to set for the next phase. This is a complex question and will require reflection from the Programme Stakeholders, and likely some formulation work to flesh out thinking. However, the mid-term evaluation findings also can provide key food for thought and recommendations on some priority orientations and activities, that can be considered by the ACP, EC and UNDP, as well as other relevant Programme Stakeholders.

As an example, the mid-term evaluation findings suggest that the future Programme design will require careful reflection on balancing ‘private sector development work’ and country expectations. While having so many countries participating has been good at one level (40 participating countries), this creates its own resource demand and can reduce capacity to focus on strategic results. This leads to an important and complex question of how can the programme best balance this demand? An important point of reflection from the current project is indeed with regard to policy and regulatory improvement and reform. In the sub-section below on policy and regulatory reform this point is considered further.

## 7.2. Phase 2 and Support for ACP Development Minerals Policy and Regulatory Development

Overall, the ACP-EU Development Minerals Programme has recorded a high level of achievement and brought understanding of a *neglected* sector and its potential to a more central space for policy dialogues. In this regard it has been a truly **‘strategic’ project** and all stakeholders should be commended. An important point of reflection from the current project is with regard to policy and regulatory improvement and reform. Some successes have been recorded, as have been discussed in Section 6, although the situation naturally varies somewhat from one country to another.

An important issue is that there may be scope to further refine and improve the approach on policy and regulatory work, as well as the enabling environment. Within this, one factor in assessing progress is also the motivation and incentives of ACP countries to develop new policy or regulatory frameworks or bring modifications to existing ones – a core part of the work in this (first phase) Programme was to develop baselines assessments to build awareness and understanding of this sector and its development potential. Moreover, this Phase 1 Programme did not have a significant private sector development and financing/investment component that could be used as an incentive towards national government to carry out specific policy or regulator measurements, and in particular provide national government stakeholders with such incentives for carrying out what can often be lengthy and complex policy and regulatory changes that require investment of political capital.

Going forward into Phase 2, it is worth reflecting holistically on how best to advance policy and regulatory reform. For example, would there be merit in creating a more on-demand process, where countries apply for limited support in carrying out what a mix of development minerals sector analysis and policy and regulatory framework and enforcement capability review? This work could for instance be restructured into a Stage 1 (or Foundation or Preparation Phase). In terms of considering changing needs in a Phase 2

Programme it is worth asking if and how best a Phase 2 Programme can support 40+ participating countries. Perhaps countries applying for consideration as a focus country for Phase 2 of the DMP must show that they have undertaken policy and regulatory improvement processes in relation to the Development Minerals sector, in order to be considered.

A complementary approach would be to require that countries accessing a Stage 2 investment and financing facilitation component to have completed specific actions regarding not just the policy and regulatory environment but also in other key preparation areas, such as specific preparation work for a private sector development component and the investment and financing facilitation component. Advantages of such an approach could include i) a clearer structure for long-term sustainability; ii) greater incentivisation for countries to progress from the Foundation Stage 1 and iii) allowing the demand-driven nature to select the countries with the best results from Stage 1 and in particular showing the strongest motivation and preparation effort to access Stage 2.

Looking to the future, the opportunity in the Development Minerals sector is huge and a future Phase 2 of the programme needs to leverage this opportunity for local and national economic transformation and improved local livelihoods. Programme design will require careful reflection on balancing 'private sector development work' and country expectations.

In other words, countries that wish to proceed to a Stage 2 that is more focussed on significant support to the Development Minerals sector (business support and financial and investment support) would be required to show satisfactory completion (or at least achievement of key milestones) of a preparatory of Foundation Stage 1. If a sufficiently ambitious vision and framework is developed for the sector – not just for a Phase 2 Programme but beyond – where sufficient financial and investment resources are mobilised for the significant private sector development work required for this sector, then this could be an incentive to countries to progress through the policy, regulatory, and sector analysis work. It is important to emphasise that the points and questions made here should be considered in the wider framework of the Phase 2 Programme recommendations in the sub-sections that follow.

### **7.3. Supporting the Private Sector Enabling Environment of the Development Minerals Sector**

Some of the work carried out on informal mining sites has shown the scope to develop a much larger productivity growth dynamic, leading to increased income generation, employment creation and reduction in poverty levels or reducing of those living in a precarious and subsistence manner. The project had supported sites in a drive to improve health and safety and environmental standards and practices, as well as build capacities and improve management and productivity, and to some extent increased the focus on this work compared with the initial DoW. This has shown in part that improving work practices and increasing productivity takes time and requires continuous support and management to foster a change in working and management culture.

However, this experience has also helped demonstrate that creating a much larger private sector growth dynamic in mines and among mining companies requires resources and a systematic approach that have been beyond the scope of the current Programme. Looking to the next Phase, probably the single most important consideration is the need to design an intervention process that can make a significant contribution to support the development of the companies and workers operating in the Development Minerals sector. However, doing this requires a detailed and well thought through system that can be scaled to a level that allows it to make a significant impact. In many respects, this requires 'turning the project on its head' and starting from the principle of how such massive private sector impact can be accomplished?

To successfully do this requires a private sector focus and philosophy, in particular in looking to use private financing where this is appropriate, and in particular avoiding over-use of public (EU etc.) grant-based funding where loan financing and commercial financing and investment can be the answer. It is not EUR 5 million or EUR 10 million or EUR 20 million of donor funding that can ultimately help this sector realise its huge development and productivity potential, rather hundreds of millions in private sector financing and investment. The single most important challenge for the Programme Partners is to design, test and refine such a system that can act in part as an accelerator and facilitator of third-party financing, and then refine as needed and start implementing and scaling.

Hence, a Phase 2 Successor Programme will need in many respects to look very different and will require an important focus on designing and implementing a system for developing local Development Minerals artisans / workers /cooperatives/companies and supporting their growth and contribution to local economies. This will involve **putting in place a structured business acceleration and support/improvement programme** – as an example such a system could involve an initial formalisation stage, a structuring and support stage and a business support and acceleration/development stage. This support system could cover the key needs of the companies, cooperatives and workers in the sector, including for example management support (strategy, business plan, team; financing and investment support, Capital Equipment purchase / rental support, Market support (e.g. Cameroon – local: Jamaica: possible bigger focus on export market), health, safety and environment (Compliance support). Other ancillary support areas could possibly include research and innovation support and support for (appropriate) technology transfer.

The wider ecosystem to support the above business and acceleration support will be important and will require in each country identifying the relevant financing and investment providers that can become national (and in some cases regional) partners. The excellent work of the current project team in agreeing a Memorandum of Understanding with the Africa Guarantee Fund is already a valuable first step in this direction. It is likely that the EU Blending Facilities could also be relevant actors, where they are asked to consider funding support for well-thought out intervention models managed by Programme partners. This would of course require significant research, feasibility and design work.

#### 7.4. A Financing and Investment Facilitation Component to Accelerate Access to Finance

Access to private finance has been shown to be an important constraint facing development minerals actors and companies. It is likely that many types of financing can be leveraged to support and accelerate the development of the sector. In countries and areas where the sector is characterised by high levels of informal work, formalisation processes supported by a business improvement and acceleration process (as mentioned above) and access to financing can generate significant results. It is likely in these cases that microfinance can play an important role at the level of cooperative mining and quarrying management entities, as well as with individual workers. However, commercial bank funding could play a role at the level of mines or quarries that are in a clear and proven business improvement and acceleration system.

The wider ecosystem to support the above business and acceleration support will be important and will require in each country identifying the relevant financing and investment providers that can become national (and in some cases regional) partners.

As mentioned, the work of the current project team in agreeing a Memorandum of Understanding with the Africa Guarantee Fund (AGF) is already a valuable first step in this direction, where AGF will provide US\$12 million in credit guarantee facilities to financial institutions in 5 Sub-Saharan ACP countries (Cameroon, Guinea (Conakry), Nigeria, Uganda and Zambia) in connection with loans provided by these to small and medium-size enterprises (SMEs) working in the 'Development Minerals' sector. This can be an important



stimulating factor in increasing the interest of financial institutions in starting lending operations in the sector – in Cameroun, some Financial institutions have already approached UNDP to find out more about the sector, following press and media coverage of the MoU and the AGF.

However, to fully exploit this kind of potential, and in particular bringing in private finance systematically, significant measures are required. A business support process will need to be put in place to support the development of companies in the sector, providing a wide range of support services. Regarding improving access to financing, required action includes working with companies to improve their understanding of their business and develop credible business development plans and assessing companies with a view to having bankable loans and projects available for FIs to consider. Credible business plans require building the capacity of the company owner/entrepreneur and management and workers, to ensure they can develop a quality business plan and that they have the skills to execute it. Similarly, this will require working with companies to ensure that they have formalised book-keeping and financial management practices, and that they understand what the requirements and decision criteria of a commercial finance provider are.

On the supply side, accelerating the inflow of private finance will require a systematic approach to addressing barriers. A key action will be to provide examples/pipeline of credit-worthy project to FIs, as well as building their knowledge of the sector. A fundamental added value of a Phase 2 ACP-EU Development Minerals Programme could be to have a significant component where it organises this work in specific priority countries, as well as on a regional and national basis. Moreover, a key added-value of a future Programme might be to act as an informal resource platform and intermediary in the initial priority countries, whereby it builds relationships of trust with local and regional FIs, educating them on the sector and its potential and risks, and how the (Phase 2) Programme in helping companies in the sector to develop and grow. Becoming a partner of local and regional FIs and developing a reputation for a Phase 2 Programme as a generator of qualified and quality projects is a real added-value that can help to develop and grow an ecosystem of sustainable financing beyond the Phase 2 Programme.

Closely linked to this is the role that EU Blending Facilities and Development Financing Institutions (DFIs) can play. If large-scale business acceleration and improvement programmes and systems are put in place during Phase 2, these can also be the basis of quality bankable projects that could apply to EU blending facilities for funding support. EU geographical Blending Facilities such as the Africa Investment Facility (AIF), the Caribbean Investment Facility (CIF) and the Investment Facility for the Pacific (IFP) could be attractive financing partners to accelerate the growth of the development minerals sector in the ACP sub-regions, as would any future private sector development thematic facility that might be launched in the future by the EU along the same lines as other thematic facilities (for example, such as the Electrification Financing Initiative (ElectriFI), the Agriculture Financing Initiative (AgriFI) and the Climate Finance Initiative). The wider European Fund for Sustainable Development, and more specifically its Regional Investment Platform, will be highly relevant in this regard, and the alignment of the above approach with the objectives of the EU External Investment Plan should be emphasised.

The scale of funding that could be made available would allow very significant impact potential to be realised, with projects targeting one or more countries. Again, however, it is important to emphasise that the scalability and longer-term impact will be influenced by the work effort to develop and test well-thought and designed intervention models that be developed, tested in pilot situations, and then refined and replicated or scaled. This design and formulation work is of particular importance, and the ACP-EU Development Minerals Programme partners should explore how they can start this work during the

remaining months of the current programme, in order accelerate the transition to a high-impact Phase 2 Programme.

To emphasise this point, if good progress was made in formulating and piloting selected business acceleration and improvement models during the remainder of the current project as well as into the first year of the Phase 2 Programme, this would help provide increased clarity into key questions, such as unit assumptions on amount of financing needed, Return on Investment (RoI), the mix of different funding (e.g. grant and loan financing) and management or risks. This experience would not only allow for the refinement of models as mentioned above but would also give greater insight and clarity into how strategic partnerships could be forged, for example with the Guarantee Mechanism of the European Fund for Sustainable Development. One particular added value of EU Blending Facilities and the European Fund for Sustainable Development can be their multi-country focus and reach means they can be a vector for replication of good models and bankable projects, when compared at least with national commercial banks. However, the importance of local ACP commercial banks and other national financing institutions and mechanisms should also not be lost from sign in terms of ensuring long-term financing sustainability for the development minerals sector, and hence this evaluation strongly recommends that the financing and investment facilitation component of a future programme targets both national/regional ACP financing institutions and EU blending facilities and DFIs in general.

### 7.5. Enhancing the Social and Environmental Impact of the ACP Development Minerals Sector

A follow-up programme will also have to focus on supporting a more responsible mining sector in terms of socio-environmental impact, including improving the oversight of environment, community relations, occupational health and safety, labour rights, child labour, and conflict management issues through extension services, capacity building and regulatory and policy reform. In this sense, fully harnessing the potential of the ACP-EU Development Minerals Programme would be positively helped by a medium-term vision and framework and provide clear models of intervention that can allow other development actors to support the development of the sector.

For example, there are many policy and development benefits that can flow from complementary initiatives around a core Phase 2 Programme and developing models of intervention can bring significant added value and downstream development impact (e.g. Support to youth and gender inclusive employment and TVET). Developing such models will likely help other donor actors see the range of opportunities and be more open to exploring cooperation. In the case of the EU and the European Development Fund (EDF) for example, such models may help secure follow-on impact by leading to new national EDF-funded projects in these or other areas.

What is important to emphasise in this respect is the importance of ensuring initiatives to improve the social and environmental performance of the sector are to the greatest extent possible complementary with the core private sector acceleration and improvement process of a Phase 2 programme. For example, project concepts can be designed that promote improved working conditions and livelihoods for women and children onsite at quarries (and in adjacent areas) that work in tandem with the core business effort of improving productivity and business performance, such that long-term sustainability is ensured.

## PART V - EVALUATION CONCLUSIONS & RECOMMENDATIONS

### 8. Evaluation Conclusions



#### Section Guide

*This section sets out the conclusions from the evaluation work, based upon the evaluation findings and lessons learned.*

Regarding relevance to ACP Policies and Strategies, the Development Minerals Programme is highly relevant to the *ACP Framework of Action on the Development of Mineral Resources Sector*. The Programme is also relevant to ACP-EU policy and cooperation frameworks, such as the *ACP-EU Joint Cooperation Framework on Private Sector Development in ACP Countries*. Regarding relevance to EU Policy, the Development Minerals Programme is relevant to the key EU Communication on its development cooperation vision - *Increasing the Impact of EU Development Policy: An Agenda for Change*, where the Communication's emphasis on sustainable and inclusive growth and related poverty reduction are core tenets of the Development Minerals Programme. The Development Minerals Programme is also highly relevant to the *ACP-EU Joint Cooperation Framework on Private Sector Development in ACP Countries*, as well as being consistent with UNDP's history of engagement in the mining and quarry sectors in ACP countries. And above all, the Programme is highly consistent with the vision and goals of the Africa Mining Vision which emphasises the need to enhance capacity to manage the mineral sector in Africa, and which is a focus area of the Development Minerals Programme.

Overall, the ACP-EU Development Minerals Programme is demonstrating strong performance in achieving its' target outcomes and has registered as significant increase in momentum during 2017, which augurs very well for a high rate of achievement of targets (or in a significant number of instances exceeding targets) during 2018. Overall, Outcome 1 "*The small-scale operators in African, Caribbean and Pacific (ACP) countries operating in the Low Value Minerals and Materials (LVMM) sector have the technical and entrepreneurial capacity to enhance productivity*" is highly satisfactory, with impressive results achieved in 2017. Operating standards and access to capital and markets have been improved for a significant number of artisanal and small-scale enterprises (588 in 2017), and most of the indicators have already achieved the initial targets set. Such performances should continue in 2018, with particular attention given to making sure these improvements are extended to more ACP countries. Likewise, Outcome 2 "*Industry associations/chambers in ACP countries that represent small-scale private operators in the LVMM sector have capacities to fully support miners and provide them with services*" demonstrates strong quantitative performances, with 153 new mining associations and cooperatives established to support artisanal and small-miners in 2017.

With regards to Outcome 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*", achievements are particularly impressive, with a significant number of Programme targets already exceeded in 2017. Under Outcome 4 "*Civil society, communities and indigenous peoples have the knowledge to ensure that the mining sector meets the economic, social and environmental standards and violence conflict is prevented*", the activities carried out exhibit positive results as well, effectively addressing

all relevant outputs. Strong performances include the implementation of conflict analysis in 6 communities, which hadn't yet been achieved in 2016. Activities implemented under Outcome 5 *"ACP countries benefit from exchange of knowledge and experiences through South-South learning and cooperation"* are satisfactory, various indicators exceeding targets set for the Programme. For instance, 47 ACP countries were engaged in South-South learning and cooperation as a result of participation in Programme trainings and other events.

In terms of **efficiency** of the programme management and implementation, the Development Minerals Programme has on the whole performed well. The principal weakness was UNDP's delay in recruiting the project team and the impact of this at the start of programme implementation. However, mitigation actions by UNDP helped reduce this impact, not least in launching the inception phase quickly, and by the end of 2017 the Programme Team was showing a strong record in achieving and/or exceeding targets, and 2017 showed a continued significant growth in the number and scale of project activities and an overall picture of strong momentum. The no-cost extension put in place until October 2018 has also allowed the team further latitude to meet other targets, and in many cases exceed them. The core project management team in Brussels has also shown itself to be highly organised and productive and had done very good job in building effective working relationships with the UNDP Country Delivery Teams.

Ongoing monitoring of cost-efficiency and seeking value for money have been strengths of the Development Minerals Programme, and an example is the approach taken to designing and delivering training and capacity building events for Development Minerals stakeholders, where it is assumed that private sector actors can find a way to pay their costs to attend the training if they perceive the training as sufficiently relevant to their needs. Cost-efficiencies are further increased by the strong Train-the-Trainer approach and the strong knock-on effect of Return to Work Plans.

Regarding **impact**, the project has registered a significant impact in the Focus Countries. First of all, it has increased significantly awareness of the project among government and other key sector stakeholders, as well as understanding of the potential of the sector and the challenges and constraints that it faces. It has also made a significant impact in building capacity among local, national and regional stakeholders, as well as forging key partnerships. Through the increased focus made on supporting mining and quarrying activities and workers to formalise into cooperative structures and/or providing support to improve management and operations, some contribution has also been made to productivity increase and income generation, even if this is difficult to estimate. More importantly, the learning and experience of this support work is highly relevant to considering how best to go forward. The project has also made an important contribution to increasing the awareness of the gender dimension of work in the development minerals sector, as well as showing the potential for this sector to be an important vector for gender-inclusive development. As a result of this relative success, expectations have also increased and there is a need to ensure that a successor Phase 2 can build on the achievements to-date.

In terms of **good practice**, the business-oriented mindset (where participants are expected to make some level of [affordable] investment in advance), has been a good practice of the Development Programme, and is something that should be disseminated by Programme stakeholders. Another good practice has been relatively clear logical flow of activities, and the important focus given to developing the country baseline studies, as a basis to increase understanding of the sector and its potential and serve as a common basis for evidence-based policy dialogue and advocacy towards government and key sector stakeholders.

Regarding **lessons learned**, the project has provided a valuable laboratory in which learning can be distilled from a number of the activities carried out. Firstly, on the capacity development side, the project has shown the value of having a framework for capacity development that targets the different levels (individual,

organisational and enabling environment). Moreover, the project's focus on cost-efficiency and value for money has shown that significant capacity development can be accomplished without a corresponding proportionate increasing funding resources, through identifying key impact and leverage factors such as motivation, train-the-trainer approaches and follow-on training, and of course the Programme's excellent Return to Work Plan concept. UNDP's work with, and the supporting of, the Programme's Country Delivery Teams, has also provided real value, and shown the importance of an organisation that understands the national environment, and it has played an important role in helping the Programme to become operational quickly in the Focus Countries.

Overall, the ACP-EU Development Minerals Programme has recorded a high level of achievement and brought understanding of a *neglected* sector and its potential to a more central space for policy dialogues. In this regard it has been a truly '**strategic**' project and all stakeholders should be commended.

Looking to the future, the opportunity in the Development Minerals sector is huge and a future Phase 2 of the programme needs to leverage this opportunity for local and national economic transformation and improved local livelihoods. Programme design will require careful reflection on balancing 'private sector development work' and country expectations. While having so many countries participating has been good at one level (40 participating countries), this creates its own resource demand and can reduce capacity to focus on strategic results. This leads to an important and complex question of how can the programme best balance this demand? Perhaps countries applying for consideration for participation in Phase 2 of the ACP-EU Development Minerals Programme must show that they have undertaken policy and regulatory improvement processes in relation to the Development Minerals sector, in order to be considered.

### Concluding Remarks

Success creates its own dynamics and change, such as the one witnessed by the Development Minerals Programme, and in many respects, it is therefore not surprising that the recommendations for a Phase 2 Programme imply significant changes from what has already been done in Phase I, as well as building on the significant results base and 'assets' created from the good work done to-date during this Phase I. As mentioned, the single most important challenge for the Programme Partners is to design, test and refine a system that can deliver huge private sector development and growth in the Development Minerals sector and help the sector realise the huge potential it offers to deliver sustainable and inclusive economic growth. This important challenge deserves the best of the Programme partners and a continuation and increase in the commitment shown in realising the project's significant results and achievements to-date, from which all can take pride.

## 9. Evaluation Recommendations



### Section Guide

*This section provides an overview of the following:*

- *Recommendations with regard to the Current Programme (9.1)*
- *Recommendations with regard to a Future Phase 2 (9.2)*

### 9.1. Overview of Recommendations

This section sets out the evaluation recommendations, building on the evaluation findings and conclusions in the previous report sections. Each of the above Recommendations (R1-R5) are set out in the pages that follow, with each Recommendation containing **five types of information**:

1. Recommendation No (Rec X)
2. Recommendation Summary: The core recommendation
3. Detailed Recommendation: A more detailed elaboration of the recommendation, sometimes including a repeat of the rationale, and sometimes setting out example activities or next steps
4. Recommendation Addressed to: Which stakeholders the recommendation is addressed to
5. Timeframe: Recommended/suggested timeframe for implementing the recommendation

The recommendations in many respects are set out as points for reflection and consideration, as the issues are complex. Their core purpose is to build on some of the strengths and good results of the project under evaluation, as well as to provide suggestions on how some design and implementation weaknesses can be addressed.

As requested, the recommendations also have a forward-looking perspective, and are divided into two categories: **i) Category 1 - Recommendations relating to the current Development Minerals Programme;** and **ii) Recommendations relating to a successor Phase 2 Programme.**

*Table 10.1 – Categories of Recommendations*

Category 1	Recommendations relating to the current Development Minerals Programme	R1, R2, R3
Category 2	Recommendations relating to a successor Phase 2 Development Minerals Programme	R4, R5, R6

Regarding **Recommendations relating to the current Development Minerals Programme (Category 1 Recommendations)**, a first recommendation (**R1**) is for the DMP to **place increased focus on extracting and distilling learning from the current project during the last 7 months of the project's duration**, and to address lessons learned in more depth in the project reporting. A second **recommendation (R2)**, and the most important, is that the remaining implementation period of the DMP be used to start preparing the transition to a second phase, in particular starting the significant preparatory work for a systemic and large-



scale business support and acceleration programme. A last recommendation **(R3)** is to chart a clear path and planning towards the development and launch of the foreseen successor ACP-EU Development Minerals Programme, in order to avoid unnecessary loss of momentum and also in particular follow through on the ownership and expectation that has been generated by the current DMP.

Regarding **Recommendations relating to the Successor Phase 2 Development Minerals Programme (Category 2 Recommendations)**, a fourth recommendation **(R4)** is to develop a significant large-scale business support and acceleration model as a key Phase 2 programme component, in order to start realising the potential of the sector and secure a quantum leap in DM sector productivity growth. A fifth recommendation **(R5)** is to develop a **Development Minerals Capacity Development Strategy and Work Programme for a Scaled-up Successor Programme**. A sixth recommendation **(R6)** is to **develop a medium-term Framework for the Development Minerals Programme**. A final seventh recommendation **(R7)** is to carry out as a matter of urgency detailed and intensive formulation work on the **Financing and Investment Component and the Business Acceleration Component and (including in country pilots for the business acceleration component)**.

## 9.2. Recommendations with regard to the Current Programme

This section sets out the recommendations with regard to a current ACP Development Minerals Programme:

R1	
<b>Recommendation Summary: Place increased focus on extracting and distilling learning from the current project during the last 7 months of the project's duration</b>	
<p><b>Detailed Recommendation:</b> In order to maximise the learning value of the current <b>ACP Development Minerals Programme</b>, it is recommended that the <b>Project Partners</b>, and in particular the Project Management Team <b>place increased focus on extracting and distilling learning from the current project during the last 7 months of the project's duration.</b></p> <p>Such a focus already exists in the Programme, and the project team has invested significant effort in documenting the very large number of activities in the Progress Reporting, and the related results and outcomes from these. However, it is likely that there is scope to further reflect on and distil key learning, or at least this is given more focus in the progress reporting.</p>	
<b>Recommendation Addressed to:</b>	UNDP as Implementing Party
<b>Implementation Timeframe:</b>	May – October 2018

R2	
<b>Recommendation Summary: Use the remaining period of the current Programme to start large-scale preparatory work on key aspects of a Successor Phase 2 Programme.</b>	
<p><b>Detailed Recommendation:</b> In order to maximise the impact of a <b>successor ACP Development Minerals Programme</b>, it is recommended that the <b>Project Partners</b>, and in particular the project management team, utilise the remaining implementation period of the DMP be used to start preparing the transition to a second phase.</p>	



R2	
<p>Specifically, this would include starting the significant preparatory work for:</p> <ul style="list-style-type: none"> <li>a. Developing and testing a systemic and large-scale business support and acceleration programme.</li> <li>b. Developing a scaled-up Capacity Development Strategy, Programme and Delivery Capacity</li> </ul> <p>Part of the Capacity Development Strategy, Programme and Delivery Capacity could include formalizing a role for Phase 1 regional Focus countries to disseminate the learning curricula and knowledge of Phase 1 in the ACP countries of each Region identified. This is something that has also been requested by ACP Secretariat and has a number of important merits.</p> <p><b>Phase I curricula and learning (focus and scope):</b> However, it is recommended first to collate the key curricula and learning from Phase 1 into overall capacity development and resources toolkit and compendium, and then consider how this could be efficiently delivered. Secondly, if Focus Countries are to lead this dissemination effort, it would likely require some investment on their side to master all of the capacity development curricula and learning material.</p> <p><b>Dissemination workshop delivery:</b> A third consideration would be considering what is the most cost-efficient delivery mechanism (e.g. country-specific workshops vs regional workshops for example?), although it is likely that country-specific workshops would be more cost-efficient.</p> <p><b>Application and selection process:</b> Such workshops could also be organised on a demand basis, with Focus Countries need to apply to host such a workshop and i) showing clear needs/interest statement from one or more countries in their ACP region; ii) presenting a variant of a return-to-work plan where they and the interested host country(ies) show what will be the follow-up actions and impact of the workshop in the following six months.</p>	
<b>Recommendation Addressed to:</b>	UNDP as Implementing Party
<b>Implementation Timeframe:</b>	May – October 2018

R3	
<p><b>Recommendation Summary: Develop and chart a clear timing and plan for the finalisation of a Phase 2 Programme Concept and launch of this Phase 2 ACP-EU Development Minerals Programme.</b></p>	
<p><b>Detailed Recommendation:</b> In order to fully harness the potential of the ACP Development Minerals sector, the ACP-EU Development Minerals Programme Partners need to proceed to a Phase 2 Successor Programme. The EC has already communicated its need to advance significantly on this during the coming three months, and a draft concept has been under preparation by UNDP for the Programme Partners.</p> <p>It is recommended that the Programme Partners develop and chart a clear timing and plan for the review and finalisation of a concept, and the launch of the foreseen successor ACP Development Minerals Programme (Phase 2). This is important in order to fully take account of the internal steps of each Partner and avoid any unnecessary loss of momentum that would be generated by a delay in the launch of a successor programme, all the more given the significant expectations across Development Minerals stakeholders across the ACP region.</p>	
<b>Recommendation Addressed to:</b>	ACP Secretariat, European Commission, UNDP
<b>Implementation Timeframe:</b>	May – October 2018

### 9.3. Recommendations with regard to a Future Phase 2 Programme

This section sets out the recommendations with regard to a successor Phase 2 Programme.

R4	
<b>Recommendation Summary:</b> Develop a <b>Development Minerals Business Acceleration and Support System as a Core Component of a Phase 2 Programme</b>	
<p><b>Detailed Recommendation:</b> In order to fully harness the potential of the ACP Development Minerals sector, the ACP-EU Development Minerals Programme needs to create a system for developing local Development Minerals artisans/workers/cooperatives/companies and supporting their growth and contribution to local economies.</p> <p>This will require developing a <b>Development Minerals business acceleration and support system</b> that will then need to be tested in a selection of country environments, and in the light of this <b>testing</b>, be further adapted and refined as appropriate.</p> <p>This will involve taking the ASM through a structured business acceleration package in three stages as follows:</p> <ul style="list-style-type: none"> <li>a. Stage 1: Work formalization / Company SWOTs / Diagnostic</li> <li>b. Stage 2: Structuring and support</li> <li>c. Stage 3: Business support and acceleration <ul style="list-style-type: none"> <li>i. Management</li> <li>ii. Financing</li> <li>iii. Capital Equipment purchase / rental</li> <li>iv. Market support (e.g. Cameroon – local; Jamaica: possibly a bigger focus on the export market)</li> <li>v. Other (Research and innovation, technology transfer)</li> </ul> </li> </ul> <p>Regarding timeframe for implementation, it is strongly recommended that the Development Minerals Programme uses the remaining time of the current programme to start designing the system and to start testing in 2-3 country environments.</p>	
<b>Recommendation Addressed to:</b>	All Partners but UNDP in particular as Implementing Party
<b>Implementation Timeframe:</b>	Development and Testing (ASAP – e.g. May 2018 to October 2018) and Phase 2 (November 2018 - ?) Implementation: Phase 2 (November 2018 - ?)

R5	
<b>Recommendation Summary:</b> Develop a <b>Development Minerals Capacity Development Strategy and Work Programme for a Scaled-up Successor Programme</b>	
<p><b>Detailed Recommendation:</b> The Capacity Development Approach of the Development Minerals has reached a significant body of stakeholders and has been part of the wider success of the Programme. In the context of a significant scaled up programme during a follow-on Phase 2, it will be important to</p>	

R5

consider how the Programme can continue to innovate and do more with less, with the objective of creating a best-of-class capacity development programme.

This will require developing a **Development Minerals Capacity Development Strategy and Work Programme (including content, delivery modalities and processes, and business acceleration and support system** that will then need to be tested in a selection of country environments, and then adapted as necessary).

This will involve taking the ASM through a structured business acceleration package in three stages as follows:

- a. Defining the core capacity development focus areas for each core stakeholder group, and developing new content and/or collating existing content into a ready-to-go series
- b. Seeing how capacity development impact can continue to be multiplied through further take up of existing Good Practice such as the Return to Work Plans
- c. Developing full-system delivery processes (pedagogical guidance, quality guidance, management guidance etc.) to allow Training of Trainers and enabling such Trainers to replicate the training
- d. **Leveraging technology to support scaling** – Importantly, considering how much more capacity development can be delivered online or in blended online and creating the content and delivery platform to support a scaled-up capacity development programme.
- e. Creating a trainer qualification and certification process that can drive the capacity development process in the target countries
- f. Regarding specific national contexts, seeing how specific actors and organisations can play a role (e.g. national University delivering a new course programme on development minerals, structured student work placement/ internship programme between local University and mining and quarrying businesses and cooperatives.
- g. Monitoring toolkits to allow trainers and Capacity Development actors to monitor results and impact.

Part of the Capacity Development Strategy, Programme and Delivery Capacity could include formalizing a role for Phase 1 regional Focus countries to disseminate the learning curricula and knowledge of Phase 1 in the ACP countries of each region identified. This is something that has also been requested by ACP Secretariat and has a number of important merits.

**Phase I curricula and learning (focus and scope):** However, it is recommended first to collate the key curricula and learning from Phase 1 into overall capacity development and resources toolkit and compendium, and then consider how this could be efficiently delivered. Secondly, if Focus Countries are to lead this dissemination effort, it would likely require some investment on their side to master all of the capacity development curricula and learning material.

**Dissemination workshop delivery:** A third consideration would be considering what is the most cost-efficient delivery mechanism (e.g. country-specific workshops vs regional workshops for example?), although it is likely that country-specific workshops would be more cost-efficient.

**Application and selection process:** Such workshops could also be organised on a demand basis, with Focus Countries need to apply to host such a workshop and i) showing clear needs/interest statement from one or more countries in their ACP region; ii) presenting a variant of a return-to-work plan where they and the interested host country(ies) show what will be the follow-up actions and impact of the

<b>R5</b>	
<p>workshop in the following six months.</p> <p>Regarding timeframe for implementation, it is strongly recommended that the Development Minerals Programme uses the remaining time of the current project to start developing this Capacity Development System.</p>	
<b>Recommendation Addressed to:</b>	All Partners but UNDP in particular as Implementing Party
<b>Implementation Timeframe:</b>	<p>Development and Testing (May 2018 to October 2018) and Phase 2 (November 2018 - ?)</p> <p>Implementation: Phase 2 (November 2018 - ?)</p>

<b>R6</b>	
<b>Recommendation Summary: Develop a medium-term Framework for the Development Minerals Programme</b>	
<p><b>Detailed Recommendation:</b> Fully harnessing the potential of the ACP-EU Development Minerals Programme would be positively helped by a medium-term vision and framework and provide clear models of intervention that can allow other development actors to support the development of the sector. For example, there are many policy and development benefits that can flow from complementary initiatives around a core Phase 2 Programme and developing models of intervention can bring significant added value and downstream development impact. Examples include:</p> <ul style="list-style-type: none"> <li>• Development Minerals Models to Support Youth Employment and TVET</li> <li>• Development Minerals Models to Support gender-inclusive development and improve child welfare</li> <li>• Development Minerals Models to Support Skills Development and TVET</li> </ul> <p>Developing such models will likely help other donor actors see the range of opportunities and be more open to exploring cooperation. In the case of the EU and the European Development Fund (EDF) for example, such models may help secure follow-on impact by leading to new national EDF-funded projects in these or other areas.</p>	
<b>Recommendation Addressed to:</b>	ACP Secretariat, European Commission, UNDP
<b>Implementation Timeframe:</b>	May – October 2018 and beyond

<b>R7</b>	
<b>Recommendation Summary: Carry out detailed and intensive formulation work on the Financing and Investment Component and the Business Acceleration Component and (including in country pilots)</b>	
<p><b>Detailed Recommendation:</b> This is a <b>cross-cutting recommendation</b> that is related to all of the recommendations regarding the Phase 2 Development Minerals Programme. The evaluation strongly recommends using the remaining project implementation time to carry out detailed formation work on the new Programme, in particular defining and formulating in detail the business acceleration and improvement programme component (and related models) and the financing and investment facilitation component. Moreover, to the extent possible, the project team should look to start piloting these models, as this will help accelerate the learning and transition into a high impact Phase 2 Programme. Moreover,</p>	

<b>R7</b>	
	the detailed work on design and formation, with some in-country pilots and preparatory work on the local financing and investment landscape and actors, will greatly help in formulating the detailed Phase 2 Programme.
<b>Recommendation Addressed to:</b>	ACP Secretariat, European Commission, UNDP
<b>Implementation Timeframe:</b>	May – October 2018

## PART VI - ANNEXES

### Annex 1: List of Interviewees

No.	Name	Organisation and Role
1.	H. E. Mrs. Sheila Sealy Monteith	Ambassador, Embassy of Jamaica to the Kingdom of Belgium
2.	HE Mr. Daniel Evina Abe'e	Ambassador, Embassy of the Republic of Cameroon to the Kingdom of Belgium
3.	Mr. Sergio Piazzardi	European Commission (DEVCO) Private Sector (DEVCO/C4)
4.	Dr. Maximin Emagna	ACP Secretariat Private Sector & Investment Expert, SEDT
5.	Dr. Daniel Franks	Programme Manager, UNDP Brussels
6.	Ms. Caroline Ngonze	Programme Specialist, UNDP Brussels
7.	Mr Lacina Pakoun	Technical Specialist, UNDP Addis Ababa
8.	H. E Ernest Gbwaboubou	Minister of Mines, Industry and Technological Development
9.	Mats Liljefelt	EU/ Chief Operating Officer in Cameroon
10.	Ms. Fenella Frost	UN Deputy Resident Representative, UNDP Cameroon
11.	Mr. Zephirin Roch Emini Ekouma	Assistant Résident Représentative – Gouvernance et Prévention des Crises, UNDP Cameroun
12.	Moussa Charlot	Programme Country Coordinator – Cameroon
13.	Dorcas Nkonghoa Taw	Ministry of Mines, Industry and Technological Development / SDCGRN/DG
14.	Ousman Nkormoen	Ministry of Mines, Industry and Technological Development /Inspector 2
15.	Herve Evode	Ministry of Mines, Industry and Technological Development /Inspector 2
16.	Aristide Mimbang	Ministry of Mines, Industry and Technological Development /CAPAM

No.	Name	Organisation and Role
17.	Mounjouhou Mahomed Aziz	C/Minier/ Ministry of Mines, Industry and Technological Development /Ouest
18.	Mr. Mathieu Nongni	Association (LIDEE) / CSO
19.	3 Focus group discussions (ASM miners of stones & aggregates)	Ambam ASM site interviews
20.	Prof. Banwe	University of Maroua - Ecole Superior / Director
21.	Mr. Golopo	University of Maroua - Ecole Superior / Chief of project
22.	Prof. Tchamba	University of Dschang/ Enseignant
23.	Dr. Njoya Andre	Institute de beaux-arts / Enseignant
24.	6 training participants interviewed	Bilateral interviews with participants attending the brick making/value- addition training in the North (Maroua)
25.	3 association members interviewed	Bilateral interviews with members of the Association of Women Miners (Maroua)
26.	Mrs. Monique Tamadar	Artisan
27.	Mr. Ibrahim Djagra	Social Entrepreneur, Northern Cameroon
28.	Mrs. Albertine Youmsi Simo	Plan Cameroun / Engineer
29.	Mrs. Aissatou Ladi Lanbvu	Engineer
30.	Mrs. Amina Wassile Germaine	Ecole Nationale Supérieure de Polytechnique / Lecturer
31.	Mr. Clinton Thompson	Ministry of Transport and Mining/ Commissioner, Mines & Geology
32.	Ms. Ruth Clarke	Programme Country Coordinator – Jamaica
33.	Dr. Alwin Hales	Ministry of Transport and Mining/ Permanent Secretary
34.	Mr. Stefano Cilli	Delegation of the European Union to Jamaica/Project Officer
35.	Dr. Oral Rainford	Ministry of Transport and Mining/ Principal Director
36.	Mr. Bruno Pouezat	United Nations Resident Coordinator/ UNDP Resident Representative, Jamaica
37.	Dr. Elsie Laurence-Chounoune	United Nations Deputy Resident Representative, Jamaica



No.	Name	Organisation and Role
38.	Mr. Leighton Williams	Mines and Geology Division, Deputy Commissioner
39.	Mr. Suresh Bhalai	Mines and Geology Division
40.	Mr. Richard Kelly	UNDP Jamaica/ Programme Specialist
41.	Mrs. Stacy Ann Tomlinson-Knox	UNDP Jamaica/Policy Officer
42.	Mr. Laurence Neufville	University of Technology, Jamaica / Senior Lecturer in Geomatics, Disaster Management and Explosive Engineering
43.	Ms. Dana Bough	Ceramic Artisan
44.	Mr. Wazari Johnson	Ceramics Artisan
45.	Mr. Rocky Wood	Mines & Geology Department
46.	Mr. David Harrison	Jamaica Business Development Corporation/Director, Incubator and Resource Centre
47.	Ms. Marie Casserly	Jamaica Business Development Corporation/ Chief Executive Officer
48.	Mr. Kevel Daley & Mrs. Smith	Bramson Mountain Quarry / St. Elizabeth
49.	Jennifer Ince	Quarry Operator/ Hodges Aggregates & Powder
50.	Mr. John Valentine	Jamaica Aggregates Ltd / St. Thomas
51.	Mr. Keith Scott	Mining and Quarrying Association of Jamaica
52.	4 training participants interviewed	Bilateral interviews with participants attending the blasting techniques training workshop / Mandeville
53.	Mr. Noel McKenzie	Southern Lime and Aggregates Ltd
54.	Mr. Robert Campbell	Kadabra Ltd
47	Mr. Richard Lambie	Programme Associate / Policy Support, UNDP Jamaica
48	Mrs. Stacy Plummer	Deputy Commissioner of Mines / Mines and Geology Division
49	Mr. Tony Morgan	President / Mining and Quarrying Association of Jamaica
50	Mrs. Maria Casserly	Business Owner

No.	Name	Organisation and Role
51	Mr. Waziri Jonhson	C.E.O / Advocate Industries
52	Mr. Jackie Hill-Millington	Owner / Lydford Mining Company
53	Leo Cousins	Mechanical Engineer

## Annex 2: Evaluation Bibliography

1. Financing Agreement
2. Contribution agreement
3. Annual report 2015
4. Progress report 2015-2016 (combined report prepared for request of second funding tranche)
5. Annual Report 2017
6. EU ROM Evaluation report
7. EU ROM schedules
8. Two-page concept second phase of programme
9. No cost extension
10. Position descriptions
11. Gender equality strategy (English; French)
12. Monitoring and evaluation strategy (English) with updated sustainability log
13. Summary of financial co-contribution for each focus country
14. Unsolicited request by Nigeria to be focus country second phase
15. Terms of Reference of the Programme Steering Committee
16. 1st Steering Committee meeting, March 2015 (agenda, minutes, supporting docs etc.)
17. 2nd Steering Committee meeting, December 2015 (agenda, minutes, supporting docs etc.)
18. 3rd Steering Committee meeting, September 2016 (agenda, minutes, supporting docs etc.)
19. 4th Steering Committee meeting, March 2017 (agenda and supporting documents)
20. Membership list of Technical Committee
21. Terms of reference of the Technical Committee
22. Minutes of face-to-face technical committee meeting Geneva October 2017
23. Focus country selection evaluation report
24. Sample focus country training final reports

25. Focus country roadmaps
26. Sample request for training applications
27. Sample return to work plan and update
28. Sample certificate
29. Sample speech
30. Sample regional training workshop final reports
31. Sample training concept note
32. Training trend evaluation
33. RWPs; updates; application forms for participants to be interviewed by evaluator
34. Regional policy impact – Africa Union STC-TIM report
35. Sample concept note for training on Geo-data
36. MOU with the African Guarantee Fund
37. Sample baseline studies request for proposal (EN; FR)
38. Jamaica baseline study (final)
39. Uganda baseline study (final draft before graphic design)
40. Other baseline studies in draft (available on request)
41. Background study (English; French)
42. Census/Snap survey (Zambia; English)
43. Census (Cameroon; French)
44. Technical note (Guinea; French)
45. Communication and visibility strategy
46. Social media strategy
47. Selected Programme Bulletins (English; French)
48. Programme summary (English; French)
49. Press release sample (English; French)
50. Evaluation of knowledge network options
51. Programme website (English/French)
52. Final conference webpage
53. Handbook on planning, monitoring and evaluating for development results
54. Strategic Framework for ACP Private Sector Development
55. EU External Investment Plan
56. ACP Framework of Action Minerals Resources Sector 2011

57. A renewed partnership with the countries of Africa, the Caribbean and the Pacific

58. Towards the ACP We Want (English; French)

[https://www.dropbox.com/sh/xy0zb9e58z78f29/AAA\\_oyiHzSQyiFKgumAAjdQOa?dl=0](https://www.dropbox.com/sh/xy0zb9e58z78f29/AAA_oyiHzSQyiFKgumAAjdQOa?dl=0)

## Annex 3: Evaluation Terms of Reference

### TERMS OF REFERENCE

Position Information	
Division:	Bureau for Policy and Programme Support
Unit:	UNDP/BPPS/ACP-EU Development Minerals Programme
Contract type:	Individual Contract
Title:	External Evaluation Service Consultant
Expected start date:	January 8, 2018
Languages required:	English and French
Duration of Initial Contract:	08 January 2018 – 16 March 2018
Expected Duration of Assignment:	50 Working Days
Location:	Home-based with field travel.
Programme Background	
<p>The ACP-EU Development Minerals Programme is a three-year €13.1 million capacity building program that aims to build the profile, and improve the management, of Development Minerals (industrial minerals; construction materials; dimension stones; and semi-precious stones). The Programme is contributing toward the <i>ACP Framework of Action on the Development of Mineral Resources Sector</i><sup>43</sup>, endorsed by the ACP Committee of Ambassadors in 2011, the African Mining Vision (AMV), and the United Nations Sustainable Development Goals. The initiative also aims at supporting the development of a competitive local private sector in ACP countries, in line with the EU communication "<i>Increasing the impact of EU Development Policy: An Agenda for Change</i>"<sup>44</sup>. This intra-ACP program was initiated by the ACP Secretariat, financed by the European Commission and UNDP, and is being implemented by UNDP at the request of ACP Group of States.</p> <p>'Development Minerals' are minerals and materials that are mined, processed, manufactured and used domestically in industries such as construction, manufacturing, infrastructure and agriculture. Development Minerals are economically important - close to the location where the commodity is mined and include industrial minerals, like gypsum and salt, construction materials, like sand and gravel, dimension stones, like marble and granite, and semi-precious stones, like garnet and tourmaline. In comparison to the metals sector, Development Minerals have closer links with the local economy, and have the potential to generate more local jobs, with a greater impact on poverty reduction. This is partly because the sector is dominated by small and medium scale domestic businesses.</p> <p><b>Programme implementation</b></p> <p>The ACP-EU Development Minerals Programme is focused on developing the capacity of the small-scale private sector by targeting individual miners, their professional associations, and the public institutions that support them. The programme is under implementation at both regional and country levels. Regional level activities such as training involve forty (40) countries from the 6 ACP regions; while in-depth support at country level is provided for 6 countries namely: Cameroon, Fiji, Guinea (Conakry), Jamaica, Uganda and Zambia. Training and support is provided in the following thematic areas of importance to the sector: 1) mine and quarry management; 2) environment, health and safety; 3) entrepreneurship skills; 4) market analysis and investment promotion; 5) geo-data and maps design; 6) community relations and addressing grievances.</p> <p>The programme has completed 24 months of programme implementation, with 12 months of programme implementation remaining. In March and April of 2017, the EU undertook Results Orientated Monitoring (ROM) of the Programme, which consisted of monitoring in five (5) countries, with seventy (70) interviews conducted and thirty-four (34) programme documents analysed. The ROM report was complementary of the implementation of the programme and strongly endorsed continued capacity building in the sector, citing the "large volume of demand and high expectations of various stakeholders". The report recommended the design of a second phase of the programme.</p> <p>The purpose of this consultancy is to build on the results and recommendations of the ROM review to undertake a mid-term evaluation of the ACP-EU Development Minerals Programme. The review will attempt to understand what</p>	

<sup>43</sup> Decision No.3/XCIII/11 of the 93rd session of the ACP Council of Ministers held in Brussels, Belgium, from 26th to 29th May 2011 and endorsed by the ACP Committee of Ambassadors in October 2011.

<sup>44</sup> [https://ec.europa.eu/europeaid/policies/european-development-policy/agenda-change\\_en](https://ec.europa.eu/europeaid/policies/european-development-policy/agenda-change_en)

worked, what did not, and to document the performance, results and impact. The review will be both backward and forward-looking. It will consider the design and thematic areas of focus, including partnerships to improve the effectiveness and the efficiency of the activities for a potential second phase of the ACP-EU Development Minerals Programme.

The objective of the consultancy is to:

1. Review the achievements, performance, results and impact of the ACP-EU Development Minerals Programme;
2. Based on the review of the first phase of the programme, conceptualize and formulate programme design principles and draft thematic areas of focus for a potential second phase.

Specifically, this consultancy will focus on the: (1) Programme Strategy and Design, (2) Relevance, (3) Assessment of progress towards results, achievements, lessons learnt, (4) Efficiency, (5) forward-looking analysis of lessons learnt and best practices to inform future programming, (6) Recommendations for the design and focus of a potential second phase of the programme.

The program is therefore seeking to recruit an External Evaluation Consultant to conduct this activity.

## DESCRIPTION OF RESPONSIBILITIES

### Scope of work

The evaluation will result in the production of a comprehensive evaluation report with findings, recommendations and lessons learnt, including partnerships in the delivery to enhance programme implementation effectiveness and efficiency, and recommendations for the design and focus of a potential second phase of the programme.

**The main questions to be addressed in this evaluation exercise include the following:**

1. Were the programme's actions to achieve the outputs and expected outcomes effective and efficient?
2. To what extent has the programme managed to achieve a development impact through the targeted capacity building of public, private, business development and social stakeholders?
3. To what extent the development impact achieved can reasonably be attributed to, or be associated to the programme?
4. To what extent has the programme managed to engage the Country Working Group to provide implementation guidance and advice on the delivery of the focus country activities?
5. To what extent has the programme managed to encourage policy dialogue on Development Minerals among policy-makers at regional, subregional, national and local levels?
6. To which extent has the programme managed to encourage South-South cooperation within and across the three ACP regions to facilitate cross-fertilization of ideas as well as knowledge sharing?
7. To what extent have lessons learnt from the program at the regional and country-level been synthesized and fed into program implementation activities?
8. To what extent is the experience, impact, best practices and lessons learnt at the country and regional levels fed into national and international dialogue on the Development Minerals sector for an enhanced global impact of similar programmes on Sustainable Development?
9. To what extent the envisaged partnerships in the implementation of the programme have been effective in the expected achievements in the focus countries?
10. To what extent are the results sustainable? Will the outputs lead to benefits beyond the lifespan of the first phase of the programme particularly in the focus countries?
11. How has the programme been able to build sustainable capacity in focus countries in ways that would outlast the programme?
12. How could programme results be further sustainably implemented and expanded, having in mind the contribution of Development Minerals for local, as well as broader country, regional and global development?
13. What are possible future priority interventions and general recommendations, which could further ensure sustainability of programme's achievements?
14. Which best practices have been identified that need to be considered for a potential second phase of the programme?
15. What aspects of the programme need redesigning and reshaping for a potential second programme phase?
16. Which new outcomes and result areas need to be considered in the formulation of a potential second programme phase?
17. What is the proposed programmatic and geographic scope of a potential second phase of the programme?
18. How can the programme effectively be able to leverage existing partnerships with relevant continental



institutions in ways that better coordinate efforts, minimize duplications and scale up impact?

The consultancy will take a broad overview of programme implementation by gathering perceptions, aspirations, feedback and data from relevant program partners and stakeholders for objective analysis and conduct of the evaluation. The evaluation will look to underline the key factors that have either facilitated or impeded programme implementation; and the continued need for knowledge transfer and skills to maintain the momentum of activities already set in motion.

To this end, the evaluation will examine the overall performance and impact of programme components at the mid-point of programme implementation and use the results of the evaluation to inform the design of the potential second phase.

### Proposed Methodology

The proposed methodology consists of a preliminary desk review of programme materials and deliverables; a review of existing information relevant to the programme context, followed by two field visits and final evaluation report write-up.

The Consultant is required to assess the ACP-EU Development Minerals Project Document, progress and annual reports, key programme deliverables and other relevant documents including European Union communications and strategy documents as well as the ACP secretariat's Framework and strategy documents. A complete document list for review as well as the briefing kit will be prepared by the ACP-EU Development Minerals Programme implementation team.

The Consultant is also expected to meet representatives of the programme partners i.e the African, Caribbean and Pacific (ACP) Secretariat and the European Commission (EC) as well as the UNDP programme implementation team in Brussels for an initial briefing, as well as a debriefing at the end of the assignment. This is in addition to the field visit to two (2) of the focus countries implementing the programme.

For this assignment, the Consultant is expected to interview the UNDP programme implementation team, technical specialists of the programme partners (ACP and EC), and the UNDP Country Coordinators in the focus countries targeted for the mid-term evaluation, programme beneficiaries drawn from the key stakeholder groups (based on selection), as well as other relevant stakeholders, as needed.

Through two (2) field missions, the Consultant will meet representatives and programme beneficiaries in target countries from the public, private, business development and social stakeholders as well as the Country Working Groups, so as to obtain critical feedback and information on the implemented initiatives and results at the local level to assess the achieved results, approaches and modalities. During these meetings, it would be important to record and accumulate inputs necessary not only for the programme evaluation, but for potential follow-up interventions in the Development Minerals sector for a potential second phase of the programme.

The Consultant will propose a work plan to be approved by UNDP, the ACP Secretariat and the European Commission (EC). The Consultant is expected to prepare a draft and a final evaluation report.

The expected duration of the assignment is 50 working days (including 2 field trips) during the period 08 January 2018 – 16 March 2018.

### TASKS:

It is proposed that the consultancy is divided into 3 principle tasks, which are as follows:

#### Task 1 – Desk review

Following the initial briefing from the ACP-EU Development Minerals Programme implementation team, the ACP Secretariat and the European Commission, the Consultant will conduct a detailed review of all relevant programme documents produced during its implementation. Documentation includes, but is not limited to: programme document; programme annual work plans; programme reports; monitoring and evaluation reports; EU ROM Report; progress reports on implementation of return to work plans; influenced policy documents etc

Upon review of documentation, the Consultant will submit a detailed work plan for the evaluation process, including: a list of interlocutors; tentative dates and locations of visits planned; interview questions and dates for the briefing/de-briefing sessions. During the desk review the Consultant will focus on evaluating the programme baseline, indicators and targets, quality and adequacy of programme approach versus its objectives and the outputs.

**Task 1 will not exceed 10 working days.**

#### **Task 2 – Evaluation**

Upon approval of the work plan the Consultant is expected to carry out the evaluation of the ACP-EU Development Minerals Programme, via direct interviews with stakeholders and beneficiaries from the selected focus countries as well as interviews with key regional-level stakeholders. The ACP-EU Development Minerals Programme will provide support to the Consultant in organization of meetings and interviews, as necessary. UNDP will provide the consultant in-country logistical, meeting and transportation support and arrange flights and a subsistence allowance for the period of the field missions.

Once the interviews are completed, the Consultant will analyse data and information collected (qualitative and quantitative) and draft an evaluation report including main findings and recommendations for activities to be included in a proposed second phase of the programme. A contextual analysis of the environment in which the ACP-EU Development Minerals Programme is working in should also be included. The report shall seek to assess programme progress, efficiency and adequacy; process and level of success of existing partnerships and partnership building and ownership over knowledge products and results; the quality of programme deliverables and the development impact of initiatives in the Development Minerals sector resulting from the targeted capacity building; concept of interventions undertaken with local actors in the focus countries in promoting links between Development Minerals and local economic development, improved livelihoods and inclusive sustainable development; partnership building and knowledge sharing within and across countries.

The report should include the data, inputs and analysis, as well as success indicators used, and an overview of the effectiveness of the programme from the perspective of various stakeholders. The evaluation will also capture the efficiency of programme organisation and management. The draft report will contain the positive or negative, intended or unintended, changes brought about by the programme and identify factors which facilitated or impeded the realization of intended objectives.

A briefing session will be organised with ACP-EU Development Minerals Programme implementation team, the ACP Secretariat and the European Commission, so as to present the findings and recommendations of the evaluation report, as well as propose a forward-looking vision for the way ahead.

**Task 2 will not exceed 30 working days.**

#### **Task 3 – Submission of the evaluation report**

Following the briefing session, the Consultant is expected to prepare an evaluation report, capturing findings and recommendations on both the programme approach, management, and performance. Suggestions and comments gathered during the briefing session will be taken into consideration. Also, any observations that may arise from the evaluation will be incorporated into the final draft.

A draft of the evaluation report will be submitted for feedback and review. The minimum structure of the evaluation report (to be written in the English language) is the following:

- Executive summary;
- Introduction;
- Methodological approach;
- Evaluation findings;
- Lessons learnt;
- Recommendations for future programme interventions;
- Conclusions;
- Relevant annexes.

**Task 3 will not exceed 10 working days.**

#### **Deliverables and timeliness**

The following deliverables are expected:

Deliverables	Timeliness and effort
<u>Task 1: Desk review</u> <ul style="list-style-type: none"> <li>Initial telephone briefing from the ACP-EU Development Minerals Programme implementation team, ACP Secretariat and EC is conducted (Skype session is also possible);</li> <li>Desk review of documentation is performed and the Consultant is fully aware of the ACP-EU Development Minerals Programme;</li> <li>The evaluation work-plan is submitted by the Consultant.</li> </ul>	Up to 10 work days
<u>Task 2 – Evaluation</u> <ul style="list-style-type: none"> <li>Interviews with ACP-EU Development Minerals Programme partners, key stakeholder groups and programme beneficiaries in the selected focus countries; 2-3 site visits are conducted in the selected focus countries and qualitative, as well as quantitative information is collected by the Consultant as main inputs for the evaluation;</li> <li>The draft evaluation report is submitted;</li> <li>Briefing and validation session with the ACP-EU Development Minerals Programme implementation team, EC and ACP Secretariat is conducted.</li> </ul>	Up to 30 work days
<u>Task 3 – Submission of final programme evaluation report</u> <ul style="list-style-type: none"> <li>The final evaluation report is submitted in English (and a translation will be made by UNDP into French);</li> <li>Recommendations provided by the ACP-EU Development Minerals Programme implementation team, EC and ACP Secretariat are embedded and the evaluation report is submitted.</li> </ul>	Up to 10 work days

#### Intellectual Property:

All information pertaining to this programme as well as outputs produced under this contract shall remain the property of the UNDP who shall have exclusive rights over their use. Except for purposes of this assignment, the products shall not be disclosed to the public nor used in whatever format without written permission of UNDP in line with the national and International Copyright Laws applicable.

#### COMPETENCIES

##### Corporate competencies:

- Commitment to UNDP's mission, vision and values;
- Sensitivity to cultural, gender, religion, race, nationality and age differences.
- Demonstrates integrity by modeling the UN's values and ethical standards;
- Promotes the vision, mission, and strategic goals of UNDP;
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability;
- Treats all people fairly without favoritism.

##### Functional competencies:

- Demonstrates professional competence to meet responsibilities and post requirements and is conscientious and efficient in meeting commitments, observing deadlines and achieving results;

- Results-Oriented: Plans and produces quality results to meet established goals, generates innovative, practical solutions to challenging situations;
- Communication: Excellent communication skills, including the ability to convey complex concepts and Guidelines, both orally and in writing, in a clear and persuasive style tailored to match different audiences;
- Team work: Ability to interact, establish and maintain effective working relations with a culturally diverse team;
- Client orientation: Ability to establish and maintain productive partnerships with national partners and stakeholders and pro-activeness in identifying of beneficiaries and partners' needs, and matching them to appropriate solutions.

#### Recruitment Qualifications

Education:	<ul style="list-style-type: none"> <li>• Advanced university degree in social sciences, natural resource management, economics, public administration, project management, development or related field.</li> </ul>
Experience:	<ul style="list-style-type: none"> <li>• At least 10 years of extensive project/programme evaluation experience, where evaluation of relevant thematic interventions is considered to be an asset.</li> <li>• Knowledge and professional experience in the area of minerals development and/or artisanal and small scale mining (ASM) policy and practice;</li> <li>• Familiarity with key public documents, strategies, trends and practices related to minerals development and/or artisanal and small scale mining (ASM) both regionally and globally;</li> <li>• Experience in one or more of the following areas an asset: environment, health and safety, socio-economic assessment, law and policy, market and value-chain analysis, enterprise development, financial inclusion, women and youth empowerment, public-private dialogues, capacity building of local communities and local authorities, NGOs and civil society organizations in mining and sensitive conflict prone areas;</li> <li>• Proven analytical skills and ability to conceptualize and write concisely and clearly;</li> <li>• Proven communication skills, and ability to interact with multiple actors including government representatives, donors and other stakeholders.</li> </ul>
Language Requirements	<ul style="list-style-type: none"> <li>• Fluency in English and French (both oral and written) is required;</li> </ul> <p>Other:</p> <ul style="list-style-type: none"> <li>• Excellent computer skills (MS Office applications) and ability to use information technologies as a tool and resource.</li> </ul>

#### Other – Selection Criteria

##### Application Submission Process:

The application submission is a two-step process. Failing to comply with the submission process may result in disqualifying the applications:

**Step 1:** Interested individual consultants must include the following documents when submitting the applications in UNDP job shop (Please note that only 1 (one) file can be uploaded therefore please include all docs in one file):

- **Personal History Form (P11)**, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references (the template can be downloaded from this link: [http://sas.undp.org/Documents/P11\\_Personal\\_history\\_form.doc](http://sas.undp.org/Documents/P11_Personal_history_form.doc))
- An updated curriculum vitae.
- Sample of previous Mid-term evaluation report (or if not available a final evaluation report) drafted by the candidate

##### Step 2: Submission of Financial Proposal

Applicants are instructed to submit their financial proposals in US Dollars for this consultancy to [procurement.be@undp.org](mailto:procurement.be@undp.org) using the financial proposal template available here: <http://procurement->

[notices.undp.org/view\\_file.cfm?doc\\_id=45780](http://notices.undp.org/view_file.cfm?doc_id=45780). The proposals should be sent via email with the following subject heading: “Financial Proposal/LVMM - External Evaluation Service Consultant by **latest December 12, 2017**”. Proposals to be received after the deadline will be rejected. In order to assist the requesting unit in the comparison of financial proposals, the financial proposal should be all-inclusive and include a breakdown. The term ‘all-inclusive’ implies that the following costs (professional fees, communications, utilities, consumables, insurance, etc.) that could possibly be incurred by the Consultant should be factored into the financial proposal.

**NB:** The ACP-EU Development Minerals Programme will cover the cost of flights and daily subsistence allowance (DSA) during the field travel to the selected focus countries and to Brussels.

#### Application Evaluation Process

Individual consultants will be evaluated based on the **cumulative analysis** methodology (weighted scoring method), where the award of the contract will be made to the individual consultant whose offer has been evaluated and determined as:

- Responsive/compliant/acceptable; and
- Having received the highest score out of a pre-determined set of technical and financial criteria specific to the solicitation.

Technical Criteria weight: [70%]

Financial Criteria weight: [30%]

Only Individual Consultants obtaining a minimum of 70% on the Technical evaluation would be considered for the Financial Evaluation.

#### Technical Criteria - 70% of total evaluation – max. 100 points:

- At least 10 years of extensive project/programme evaluation experience, where evaluation of relevant thematic interventions is considered to be an asset (corporate, UN, NGOs) is required; – 10 points;
- Excellent knowledge and professional experience in the area of minerals development and/or artisanal and small scale mining (ASM) policy and practice; – 20 points;
- Advanced knowledge of key public documents, strategies, trends and practices related to minerals development and/or artisanal and small scale mining (ASM) both regionally and globally; – 15 points;
- Experience in one or more of the following areas an asset: environment, health and safety, socio-economic assessment, law and policy, market and value-chain analysis, enterprise development, financial inclusion, women and youth empowerment, public-private dialogues, capacity building of local communities and local authorities, NGOs and civil society organizations in mining and sensitive conflict prone areas; - 15 points;
- Advanced understanding of data-collection methodologies and data analysis process; - 15 points;
- Interview inclusive of sample of previous mid-term evaluation report drafted by the candidate; and project proposal prepared by the candidate – 20 points
- English and French language proficiency – 5 points

#### Financial Criteria - 30% of total evaluation

The following formula will be used to evaluate financial proposal:

$p = y (\mu/z)$ , where

p = points for the financial proposal being evaluated

y = maximum number of points for the financial proposal

$\mu$  = price of the lowest priced proposal

z = price of the proposal being evaluated

UNDP is applying fair and transparent selection process that would take into account both the technical qualification of Individual Consultants as well as their price proposals. The contract will be awarded to the candidate obtaining the highest combined technical and financial scores. Please go the following link for the General Conditions of Individual Contracts: <http://www.undp.org/content/dam/undp/documents/procurement/documents/IC%20-%20General%20Conditions.pdf>

UNDP retains the right to contact references directly.

Payments will be made only upon confirmation of UNDP on delivering on the contract obligations in a satisfactory manner.

Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain

countries, as designated by the UN Medical Director. Consultants are also required to comply with the UN security directives set forth under [dss.un.org](https://dss.un.org)

Due to large number of applications we receive, we are able to inform only the successful candidates about the outcome or status of the selection process.

## Annex 4: Programme Budget and Expenditure (2014-2017)

INPUTS	BUDGET	EXPENDITURE		COMMITMENTS		TOTAL
	EURO	EURO	USD	EUR	USD	EUR
<b>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.</b>						
Inception Workshop	126,286	140,708.18	161,892.95			140,708.18
Baseline Studies	134,743	121,173.67	139,417.36			121,173.67
Market Studies	124,455	127,047.85	146,175.94			127,047.85
Social and Poverty Assessment	124,455	131,918.82	151,780.28			131,918.82
Country Consultations	148,572	186,263.64	214,307.16			186,263.64
Technical Experts	407,848	146,022.92	168,007.87			146,022.92
Regional Training	233,372	187,048.29	215,209.94			187,048.29
Country Training	74,186	25,092.44	28,870.31			25,092.44
Field Visits	381,371	117,318.32	134,981.55			117,318.32
Country Training by TOT trainers	47,003	491.41	565.40			491.41
Small Grants	96,429					
Knowledge Management, Training Materials	53,571	3,707.87	4,266.12			3,707.87
<b>Total for Output 1</b>	<b>1,952,290</b>	<b>1,186,793.42</b>	<b>1,365,474.88</b>			<b>1,186,793.42</b>
<b>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.</b>						
Technical Experts	407,848	142,960.99	164,484.94			142,960.99
Regional Training	233,372	352,278.16	405,316.52			352,278.16
Country Training	74,186	236,171.50	271,729.05			236,171.50
Country Training by TOT trainers	47,003	58,593.38	67,415.09			58,593.38
Legal Reviews on Health, Safety and Environment Standards	192,857	55,729.41	64,119.93			55,729.41
Small Grants	96,429					
Knowledge Management, Training Materials	53,571	11,415.55	13,134.25			11,415.55
<b>Total for Output 2</b>	<b>1,105,265</b>	<b>857,148.98</b>	<b>986,199.78</b>			<b>857,148.98</b>
<b>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.</b>						
Technical Experts	407,848	199,752.17	229,826.49			199,752.17
Regional Training	350,057	117,922.48	135,676.68			117,922.48
Country Training	111,279	154,808.07	178,115.69			154,808.07
Country Training by TOT trainers	47,003	23,143.67	26,628.14			23,143.67
Coordination Mechanisms for Public-Private Dialogues	385,714	31,518.48	36,263.84			31,518.48
Small Grants	96,429					
Knowledge Management, Training Materials	53,571					
<b>Total Output 3</b>	<b>1,451,902</b>	<b>527,144.87</b>	<b>606,510.84</b>			<b>527,144.87</b>
<b>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.</b>						



INPUTS	BUDGET	EXPENDITURE		COMMITMENTS		TOTAL
	EURO	EURO	USD	EUR	USD	EUR
Technical Experts	407,848	94,031.79	108,189.04			94,031.79
Regional Training	350,057	1,704.70	1,961.36			1,704.70
Country Training	111,279	103,624.44	119,225.95			103,624.44
Country Training by TOT trainers	47,003	38,239.27	43,996.50			38,239.27
Technical Exhibitions, Consultations, Legal Review	573,600	185,779.36	213,749.96			185,779.36
Small Grants	96,429					
Knowledge Management, training materials	53,571	3,745.20	4,309.07			3,745.20
<b>Total for Output 4</b>	<b>1,639,787</b>	<b>427,124.75</b>	<b>491,431.88</b>			<b>427,124.75</b>
<b>Output 5: Access to geo-data in low-value mining improved through enhanced technical knowledge, capacity and coordination of public institutions.</b>						
Technical Experts	407,848	158,871.58	182,791			158,871.58
Regional Training	700,115	202,716.95	233,237.65	181,633.58	135,430	384,350.53
Country Training	222,558	56,963.79	65,540.15			56,963.79
Country Training by TOT trainers	47,003					
Geodata Scoping, Inventory, Digitization, Dissemination Mechanisms	807,556	32,014.12	36,834.11	348,961.06	401,500	380,975.18
Small Grants	96,429					
Knowledge Management, Training Materials	53,571	1,432.70	1,648.40			1,432.70
<b>Total for Output 5</b>	<b>2,335,079</b>	<b>451,999.14</b>	<b>520,051.31</b>	<b>530,594.64</b>	<b>610,480</b>	<b>982,593.78</b>
<b>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.</b>						
Technical Experts	407,848	156,370.34	179,913.18			156,370.34
Regional Training	233,372	295,694.09	340,213.25			295,694.09
Country Training	74,186	496.65	571.42			496.65
Country Training by TOT trainers	47,003	7,900.60	9,090.10			7,900.60
Conflict-Sensitive Toolkits, Awareness Raising	199,029	13,507.76	15,541.46			13,507.76
Small Grants	96,429					
Knowledge Management, Training materials	53,571	19,292.30	22,196.91			19,292.30
Country Coordination	686,880	588,775.53	677,420.51			588,775.53
Programme Manager/ CTA	615,426	619,009.36	712,206.29			619,009.36
Programme Specialist	435,312	453,534.13	521,817.41			453,534.13
Finance and Admin Assistance	235,260	238,705.77	274,644.88			238,705.77
Monitoring Visits and Mid-term Reviews	84,288	35,003.51	40,273.57			35,003.51
Final Workshop	126,286					
Travel/Office/Utilities/Admin/Misc.	213,778	135,030.80	155,360.79			135,030.80
Communication costs	250,000	76,991.16	88,582.81			76,991.16
<b>Total for Output 6</b>	<b>3,758,667</b>	<b>2,640,312.00</b>	<b>3,037,832.58</b>			<b>2,640,312.00</b>
Sub-Total (Output 1-6)	12,242,990					

INPUTS	BUDGET	EXPENDITURE		COMMITMENTS		TOTAL
	EURO	EURO	USD	EUR	USD	EUR
Administrative costs						
Administrative costs	857,010	396,555.80	456,260.53			396,555.80
TOTAL:	13,100,000	6,487,078.96	7,463,761.80	530,594.64	610,480	7,017,673.60
GRAND total of eligible cost of the action		EUR 7,017,673.60				
GRAND total of eligible cost of the action		USD 8,074,241.80				
*Exchange rate, as per United Nations Operational Rates of Exchange (UNORE), of 01/11/2014 was used 0.793".						
**Exchange rate, as per United Nations Operational Rates of Exchange (UNORE), of 13/04/2017 was used 0.942".						

## Annex 5: Analysis of Programme Activities Against EOs

At **Regional Level**, the table below provides a selection of programme activities versus the programme's expected outputs:

*Table A5.1 – Overview Selected Programme Activities - Regional-level versus Expected Outputs (EOs)*

Programme Activities - Regional-level	Corresponding EO
1) <b>Recruitment</b> of UNDP Programme Team	Implementation
2) <b>Inception Workshop</b> held at the headquarters of the ACP Secretariat in July 2015. The workshop was attended by more than 70 participants.	Implementation
3) <b>Background study</b> was drafted and disseminated for public feedback and finalised	Implementation
4) Nominations were accepted by the EU, ACP Secretariat and UNDP for focal points for the <b>40 participating countries</b> engaged in regional level activities.	Implementation
5) 21 countries submitted an <b>Expression of Interest</b> for the selection of the <b>6 focus countries</b> , demonstrating wide-spread interest and relevance of the programme.	Implementation
6) 14 participants from <b>geological surveys</b> , universities and other related entities in Africa, were sponsored to attend the <b>Geoscience Information</b> in Africa (GIRAF) workshop in Maputo, Mozambique (October 2015).	EO5
7) 12 female <b>small-scale miners</b> were sponsored to participate at the Regional Sharefair on <b>Gender Equality in the Extractive Industry</b> in Nairobi, Kenya (October 2015).	EO2
8) The East Africa Regional Training Workshop on <b>Environment, Community, Health and Safety</b> was held in Addis Ababa, Ethiopia (9-12 November 2015) with 39 participants drawn from Ethiopia, Kenya, Tanzania, Zambia and Uganda.	EO2
9) The Pacific Regional Training Workshop on <b>Environment, Community, Health and Safety</b> was held in Suva, Fiji (01-04 December 2015) with 46 participants from Fiji, Papua New Guinea, Samoa, Solomon Islands, Tonga, and Vanuatu.	EO2
10) The West Africa Regional Training Workshop on <b>Environment, Community, Health and Safety</b> was held in Accra, Ghana (15-18 March 2016) brought together 58 participants from 12 West African countries.	EO2
11) The Caribbean Regional Training Workshop on <b>Environment, Community, Health and Safety</b> took place from 18 – 21 April, 2016 in Georgetown, Guyana bringing together 43 participants from Dominican Republic, Guyana, Haiti, Jamaica, Suriname and Trinidad and Tobago.	EO2

Programme Activities - Regional-level	Corresponding EO
<b>12)</b> A Regional Training Workshop on <b>Quarry Management</b> of Dimension Stones and Construction Materials brought together 18 sponsored participants and 2 self-sponsored participants from 15 ACP countries to Carrara Italy, the heart of Europe's dimension stone industry from 15-20 June 2016.	EO1
<b>13)</b> The Central Africa Regional Training Workshop on <b>Environment, Community, Health and Safety</b> took place from 20 – 23 September, 2016 in Brazzaville, Republic of Congo bringing together 44 participants from Cameroon, Democratic Republic of Congo, Gabon, Madagascar and the Congo Republic.	EO2
<b>14)</b> The <b>Emerging Leaders in African Mining (ELAM)</b> program was held over a period of two weeks, from 1– 12 February 2016, in Cape Town, South Africa. The ACP-EU Development Minerals Programme sponsored 8 out of the 23 participants of the program, who were <b>young professionals</b> working in <b>government, university, civil society and private sector organisations</b> in Africa dealing with mining and development issues and have been identified as emerging leaders in their areas of expertise.	EO2, EO3
<b>15)</b> The <b>African Mining Legislation Atlas Project</b> in collaboration with the World Bank Group, the African Legal Support Facility, the Africa Union Commission and the ACP-EU Development Minerals Programme hosted a research symposium themed Back to Base: Reframing the role of industrial minerals and construction materials in Africa's resource development strategy on 17-20 October 2016 in Addis Ababa, Ethiopia. It brought together 20 experts from <b>academia, the public and private sectors and the legal fraternity</b> to assess the approaches necessary to improve the enabling environment for mining of industrial minerals and construction materials in Africa.	EO1, EO2, EO4, EO5, EO6
<b>16)</b> The ACP-EU Development Minerals Programme partnered with the African Minerals and Geosciences Centre (AMGC), to host an in- conference workshop within the 26th Colloquium of <b>African Geology (CAG26)</b> in Ibadan, Nigeria on 24th November 2016. This workshop - titled Development Minerals in Africa – was attended by 80 <b>geologists from across the continent</b> , who deliberated upon the role of the <b>geosciences</b> community in fostering sustainable development from the mining, processing and use of 'Development Minerals'.	EO5
<b>17)</b> The ACP-EU Development Minerals Programme hosted a showcase event on 2nd December, 2016 in Brussels, on the margins of the EU Raw Materials Week 2016. The event themed Development Minerals: <b>Transforming a neglected sector in Africa</b> , the Caribbean and the Pacific brought together 118 participants including Ambassadors, senior officials from the European Commission, UNDP and the ACP Secretariat and professionals from the <b>public and private sectors, academia, civil society organizations as well as development cooperation agencies</b> .	EO2, EO4, EO5
<b>18)</b> <b>31 mining and quarry sites visited</b> as part of field trips during regional (12) and country level training workshops (19) in 2015/16.	EO1

Programme Activities - Regional-level	Corresponding EO
<b>19) Partnerships</b> initiated with: African Union Commission (AUC); African Minerals Development Centre (AMDC); African Minerals and Geosciences Centre (AMGC); African Mining Legislation Atlas (AMLA); the African Legal Support Facility (ALSF); Caribbean Community (CARICOM) Secretariat; Economic Community of Central African States (ECCAS); Economic Community of West African States (ECOWAS) Commission; Geoscience Information in Africa Network (GIRAF); Organization of African Geological Surveys (OAGS); and the Secretariat of the Pacific Community (SPC).	Implementation
<b>20) Technical experts</b> engaged to deliver training have represented: Department of Geology at Eduardo Mondlane University – Mozambique; African Minerals and Geosciences Centre (AMGC); the Secretariat of the Pacific Community; Minerals Industry Safety and Health Centre at the University of Queensland; WWF-Pacific, African Union Commission; African Minerals Development Centre; United Nations Development Programme, African Regional Service Centre.	EO1, EO2, EO5

At **Country Level**, programme activities versus the programme's Expected Outputs are provided for selected key activities:

*Table A5.2 – Overview Programme Activities - Country Level versus Expected Outputs (EOs)*

Programme Activities - Country-level	Corresponding EO
<b>1) Recruitment</b> of Country Coordinators for the 6 focus countries – Cameroon, Guinea (Conakry), Uganda, Zambia, Jamaica and Fiji.	Implementation
<b>2) Jamaica's National consultation</b> on the capacity development roadmap took place on 14 - 15 April, 2016 in Kingston, bringing together 51 key stakeholders.	EO2, EO6
<b>3) The national consultation</b> workshop on the capacity development roadmap in <b>Zambia</b> brought together 46 stakeholders in Lusaka from 14 – 15 July, 2016.	EO2, EO6
<b>4) Fiji's national consultation</b> workshop was held in Suva from 10-12 August, 2016 convening 59 key stakeholders.	EO2, EO6
<b>5) The national consultation workshop in Uganda</b> took place in Kampala from 30 – 31 August, 2016 bringing together 63 stakeholders in the sector.	EO2, EO6
<b>6) 73 key stakeholders</b> took part in <b>Guinea's national consultation</b> workshop, held in Conakry from 11 – 12 October, 2016	EO2, EO6
<b>7) Cameroon's national consultation</b> workshop was held from 18 – 20 October, 2016 and brought together 84 key stakeholders.	EO2, EO6

Programme Activities - Country-level	Corresponding EO
8) <b>2 country-level training workshops on Mine &amp; Quarry management; environment, health and safety; human, labour rights and community relations</b> were held in Zambia. 40 training participants drawn from the key stakeholder groups participated in the first training held in Kitwe from 10 – 15 October, 2016; while the second training brought together 33 participants from 25 – 28 October in Lusaka.	EO1, EO2
9) <b>Fiji</b> held a workshop in Suva on 13 October, 2016 to review, validate, adopt and disseminate <b>new Standard Operating Procedures (SOPs) for license issuance for river and hard rock quarrying activities</b> . 24 public sector officials from various departments in the Ministry of Lands and Mineral resources were in attendance.	EO1, EO2, EO6
10) A sensitization and consultation session on the newly developed and adopted <b>Standard Operating Procedures for license issuance for river and hard rock quarrying activities</b> took place in the Northern Province of Fiji for 11 quarry operators in October 2016.	EO1, EO2, EO6
11) The 2016 Mineral Wealth Conference in Uganda took place from 5-6 October, 2016 in Kampala, bringing together approximately 240 participants. <b>9 small scale private operators were supported by the programme</b> to exhibit their Development Minerals products during the conference.	EO3, EO4
12) <b>An inter-ministerial review</b> committee to consolidate stakeholders' feedback on Uganda's final draft Mining and Minerals Policy 2016 took place in Mukono from 17 – 20 October, bringing together 10 senior <b>public sector officers</b> from the Ministry of Energy and Minerals Development & Ministry of Justice and Constitutional Affairs.	EO4, EO6
13) <b>A media practitioner's orientation meeting</b> took place in Kampala, Uganda on November 30, 2016 in order to equip 32 media practitioners and stakeholders with knowledge specific to the Development Minerals sector.	EO2, EO6
14) Cameroon's country-level training on <b>Environment, Community, Health and Safety</b> in the Development Minerals sector was held in Doula from 14 - 17 November, <b>bringing together 40 participants from the public, private, civil society and business development sectors</b> .	EO2, EO6
15) A second ToT workshop for Anglophone Cameroon took place in Limbe, from 13 – 16 December, 2016, bringing together 33 participants.	EO2
16) 50 participants took part in Guinea's country-level Training of Trainers (ToT) on <b>Environment, Community, Health and Safety</b> in the Development Minerals sector held from 21-26 November in Kindia, Guinea.	EO1, EO2
17) The official launch of the ACP-EU Development Minerals Programme in Jamaica took place on October 19, 2016, in Kingston. This launch which gathered 61 participants was held back-to-back with an <b>industry sensitization session for 24 quarry operators, with a particular focus on Jamaica's quarry law</b> .	EO1, EO2

Programme Activities - Country-level	Corresponding EO
<b>18)</b> Subsequent <b>industry sensitization</b> sessions in Mandeville and Montego Bay, Jamaica have brought together 80 <b>quarry operators</b> in the former and 74 quarry operators in the latter.	EO1, EO2
<b>19)</b> Zambia and Cameroon carried out <b>a detailed snap survey</b> while Guinea held extensive national consultations in order to provide a comprehensive assessment and <b>profile of Development Minerals in these countries</b> .	EO4, EO5



## Annex 6: Achievement of Targets 2014-2017 by Outcome

The following Table demonstrates Target, Achievement and Performance Rate of Activities from 2014 to 2017 by Outcome.

### Overview Target and Achievement 2014-2017 per Outcome

	Indicator	Original Target	2016	2017	2016 +2017	Performance Rate (%)
		<b>Outcome 1</b>				
<b>Output 1</b>	Number of artisanal and small-scale enterprises with improved operating standards and technologies in mine and quarry management	150	350	588	938	625%
	Number of countries where artisanal and small-scale private operators have been directly engaged in training	40	22	24	46	115%
	Number of public institutions with improved regulations and processes to support mine and quarry management	6	2	6	8	133%
	Number of mining associations with improved programmes and activities to support mine and quarry management	10	18	78	96	960%
	Number of women's mining associations engaged	30	18	33	51	170%
<b>Output 3</b>	Number of artisanal and small-scale mining enterprises with improved access to markets	50	9	588	597	1194%
	Number of artisanal and small-scale mining enterprises with improved access to capital and equipment	N/A <sup>45</sup>	9	588	597	N/A
		<b>Outcome 2</b>				

<sup>45</sup> Newly added in the Progress Report 2017.

	Indicator	Original Target	2016	2017	2016 +2017	Performance Rate (%)
Output 2	Number of industries associations/chambers engaged in capacity building of Small-Scale private operators on environmental, health, safety standards and human and labour rights	N/A	18	20	38	N/A
	Number of environmental programmes or standards put in place by mining or quarrying associations	0	6	20	26	N/A
	Number of environmental programmes, standards or improved practices put in place by mining or quarrying operators	0	6	20	26	N/A
Output 4	Number of contracts made between artisanal and small-scale mining enterprises with enterprises downstream in the Development Minerals (LVMM) value chain (e.g. construction).	30	6	29	35	117%
	Number of new mining associations established to support artisanal and small-scale miners	6	6	153	159	2650%
	Number of trade fairs and market promotion events supported/held	12	3	8	11	92%
	Number of regulations on artisanal and small-scale mining applicable to Development Minerals put in place with input from industry associations and chambers	N/A	2	7	9	N/A
Outcome 3						
Output 1	Number of public stakeholders trained on improved operating standards and technologies in mine and quarry management to increase sector knowledge	N/A	107	265	372	N/A

	Indicator	Original Target	2016	2017	2016 +2017	Performance Rate (%)
	Number of mining and quarrying sites visited during “field visits” for skills, information and best practice sharing	N/A	17	242	259	N/A
	Number of public institutions with improved regulations and processes to support mine and quarry management	6	2	34	36	600%
	Number of public institutions with improved monitoring mechanisms to support mine and quarry operators	N/A	36	34	70	N/A
	Number of public stakeholders involved in capacity building of Mine and Quarry operators on standards and technologies	N/A	107	265	372	N/A
Output 2	Number of public stakeholders trained on environmental, health, safety standards and human and labour rights to increase sector knowledge	N/A	107	205	312	N/A
	Number of environmental programmes or standards put in place by public stakeholders as a result of Programme training	0	6	20	26	N/A
	Number of environmental impact assessment reviewed, revised or strengthened to support Small Scale Private Operators	N/A	1	6	7	N/A
	Number Public Institutions enforcing Human and Labour Rights in Small Scale Mining Operations	N/A	6	34	40	N/A
Output 5	Number of experts qualified to produce and systematize geo data through capacity building by the Programme	0	0	107	107	N/A
	Number of products and maps with geo data produced.	0	0	10	10	N/A

	Indicator	Original Target	2016	2017	2016 +2017	Performance Rate (%)
	Systems put in place for access to and sale of geo data	0	0	10	10	N/A
		<b>Outcome 4</b>				
<b>Output 2</b>	Number of social stakeholders trained on environmental, health, safety standards and human and labour rights to increase sector knowledge	N/A	62	94	156	N/A
	Number social stakeholders involved in participatory community monitoring of environmental, health, safety standards and human and labour rights in mines and quarries	N/A	62	94	156	N/A
	Number of social stakeholders involved in consultations on revision/establishment of environmental, health, safety standards and human and labour rights on mining and quarrying regulations	N/A	62	94	156	N/A
<b>Output 6</b>	Number of community consultations on prevention of conflict in mining areas organized	N/A	10	10	20	N/A
	Number of communities with established dialogue and participatory monitoring mechanisms	6	10	10	20	333%
	Number of communities with conflict analysis conducted	6	0	6	6	100%
	Number of communities with established grievance handling mechanisms	6	10	10	20	333%
		<b>Outcome 5</b>				
<b>Output 1</b>	Number of improved operating standards developed as a result of south to south learning and cooperation	N/A	6	20	26	N/A

	Indicator	Original Target	2016	2017	2016 +2017	Performance Rate (%)
	Number of comments on individual and group RTW plans on mine and quarry management by training Alumni	N/A	0	148	148	N/A
	Number of downloads of resources on Mine and quarry management from the Capacity4Dev Community of practice	N/A	0	254	254	N/A
	Number of cross-country RTW/initiatives plans developed on mine and quarry standards technologies	N/A	2	0	2	N/A
Output 2	Number of Universities/Institutions in regional Curriculum Sprint on environmental, health, safety standards and human and labour rights	N/A	0	18	18	N/A
	Number of environmental programmes initiatives or standards put in place by Programme stakeholders as a result of Knowledge Sharing Sessions	N/A	6	20	26	N/A

## Annex 7: Programme Sustainability Plan and Action Tracking 2014-2017

### Overview - Actions Undertaken for each Sustainability Factor at Country Level:

Focus Country-level		
Country	Sustainability Factor	Sustainability Actions Undertaken
Zambia	Stakeholder buy-in at programme outset	A national consultation workshop was held in Lusaka from 14-15 July. It brought together 46 participants spanning the program's targeted stakeholder group to deliberate upon the catalytic role of Development Minerals in Zambia's national development planning; and resulted in the development of a Capacity Development Roadmap.
	Multi-stakeholder participation for oversight and guidance	A multi-stakeholder Country Working Group has been established comprised of public stakeholders from relevant ministries as well as local government officials; small-scale mining operators; civil society organizations; and business development entities. The country working group provides guidance on Programme delivery at the country level; supports the monitoring of implementation timelines on the roll-out of the Programme through periodic activity reviews and updates as necessary; proposes key stakeholders at the country level to be included in public and private dialogues; provides guidance on key sectors and actors to be leveraged in the initiation of linkages and collaboration at country level; and suggests entry-points for strategic policy influence in the Development Minerals sector. The Country Working Group goes by the title Technical Working Committee in Zambia.
	Political legitimization at the highest Ministerial level	In his ministerial statement to Zambia's national parliament in support of the 2017 expenditure estimates, Hon. Christopher Yaluma – Minister of Mines and Minerals Development in Zambia, committed to build on the achievements of the ACP-EU Development Minerals Programme by ensuring the continued growth of the Development Minerals sector. In this regard, the Minister set aside a total of \$62, 200 from the ministry's budget to improve the management of the Development Minerals sector in Zambia.
	Strengthened partnership and collaboration facilitated by physical integration	The Country Coordinator of the ACP-EU Development Minerals Programme is physically hosted at Zambia's Ministry of Mines and Minerals Development. This has ensured that the has daily interactions with ministry staff; is part of the discussions at policy and practice level discussions on work planning, resulting in knowledge and skills transfer to a wider cohort of officials. This has resulted in prominence of the Development Minerals sector at the ministry which will last long after Programme closure.

Focus Country-level		
Country	Sustainability Factor	Sustainability Actions Undertaken
	Expertise-building at national and local levels	The Training of Trainers (ToT) approach will ensure that the 370 trainees, of the 10 ToT workshops undertaken so far, will have an opportunity to internalize content and adapt the same to their respective local context for further local dissemination throughout the implementation cycle. In addition, the thus capacitated (national / local) trainers will be an easily identifiable and accessible resource point that can contribute to continued capacity building of their communities beyond the life of the Programme, with numerous multiplier effects.
Uganda	Stakeholder buy-in at programme outset	A national consultation workshop in Uganda took place in Kampala from 30 – 31 August 2016 bringing together 63 stakeholders in the sector. This meeting received feedback from key sector stakeholders who provided insights into the drawing-up the roadmap for the multi-year implementation of the ACP-EU Development Minerals Programme in Uganda. The support to the 2016 Mining and Minerals Policy, 2003 Mining Act revisions ensure that issues pertinent to the Development Minerals sector are captured for legislation and policy guidance. This will in turn provide a safe, legal and environmentally friendly extractives sector towards its sustainable development.
	Multi-stakeholder participation for oversight and guidance	A multi-stakeholder Country Working Group has been established comprised of public stakeholders from relevant ministries as well as local government officials; small-scale mining operators; civil society organizations; and business development entities. The country working group provides guidance on Programme delivery at the country level; supports the monitoring of implementation timelines on the roll-out of the Programme through periodic activity reviews and updates as necessary; proposes key stakeholders at the country level to be included in public and private dialogues; provides guidance on key sectors and actors to be leveraged in the initiation of linkages and collaboration at country level; and suggests entry-points for strategic policy influence in the Development Minerals sector.
	Political legitimization at the Presidential level	Uganda's President Yoweri Museveni, in his 2017 New Year's address to the nation, committed to allocating location licenses to small scale miners, and expanding a licensing regime that would streamline the small-scale mining sector – including those operating in the Development Minerals sector.
	Expertise-building at national and local levels	The Training of Trainers (ToT) approach will ensure that the 323 trainees, of the 9 ToT workshops undertaken so far, will have an opportunity to internalize content and adapt the same to their respective local context for further local dissemination throughout the implementation cycle. In addition, the thus capacitated (national / local) trainers will be an easily identifiable and accessible resource point that can contribute to continued capacity building of their communities beyond the life of the Programme, with numerous multiplier effects.



Focus Country-level		
Country	Sustainability Factor	Sustainability Actions Undertaken
	National Policy Change	The ACP-EU Development Minerals Programme in Uganda supported the review of the 2016 Minerals Policy in Uganda, ensuring that issues relevant to the Development Minerals sector were captured. This revised Minerals policy is currently at Cabinet approval stage. Once assented to, it will be enacted for country-wide roll-out.
	Strengthened partnership and collaboration facilitated by physical integration	The Country Coordinator of the ACP-EU Development Minerals Programme is physically hosted at Uganda's Ministry of Energy and Minerals Development. This has ensured that she has daily interactions with ministry staff; is part of the discussions at policy and practice level discussions on work planning, resulting in knowledge and skills transfer to a wider cohort of officials. This has resulted in prominence of the Development Minerals sector at the ministry which will last long after Programme closure.
Cameroon	Stakeholder buy-in at programme outset	Cameroon's National Consultation Workshop took place in Yaoundé on 18-20 October 2016 and brought together 84 participants operating in the Development Minerals sector in 10 regions of Cameroon as well as institutional partners of the Programme. In-depth discussions on the key role of local materials in the ever increasing demand for Development Minerals in the construction, housing and infrastructure sectors were held. These discussions led to the development of a blue-print for Development Minerals in Cameroon, where the participants, drawn from the public, private, social and business development sectors, defined and approved the priorities of the sector; suggested Programme pilot sites and agreed to a draft roadmap for the implementation of the Programme.
	Multi-stakeholder participation for oversight and guidance	A multi-stakeholder Country Working Group has been established comprised of public stakeholders from relevant ministries as well as local government officials; small-scale mining operators; civil society organizations; and business development entities. The country working group provides guidance on Programme delivery at the country level; supports the monitoring of implementation timelines on the roll-out of the Programme through periodic activity reviews and updates as necessary; proposes key stakeholders at the country level to be included in public and private dialogues; provides guidance on key sectors and actors to be leveraged in the initiation of linkages and collaboration at country level; and suggests entry-points for strategic policy influence in the Development Minerals sector.
	Political legitimization at the highest Ministerial level	The Country Working Group in Cameroon has been institutionalized as an entity within the Ministry of Mines, Industry and Technological Development, thereby ensuring sustainability of the work of the working group long-after Programme closure.

Focus Country-level		
Country	Sustainability Factor	Sustainability Actions Undertaken
	Co-financing of programme activities by the government	At the request of Cameroon's Minister of Mines, Industry and Technological Development - H.E Mr. Ernest Gbwaboubou – the Ministry of Economy has decided to apportion FCFA 100,000,000 (Approx. 160,000 USD) as government's contribution to the implementation of the ACP-EU Development Minerals Programme in Cameroon.
	Strengthened partnership and collaboration facilitated by physical integration	The Country Coordinator of the ACP-EU Development Minerals Programme while not physically hosted at the Ministry of Mines, Industry and Technological Development has daily interactions with ministry staff; is part of the discussions at policy and practice level discussions on work planning, resulting in knowledge and skills transfer to a wider cohort of officials.
	Expertise-building at national and local levels	The Training of Trainers (ToT) approach will ensure that the 179 trainees, of the 6 ToT workshops and country training undertaken so far, will have an opportunity to internalize content and adapt the same to their respective local context for further local dissemination throughout the implementation cycle. In addition, the thus capacitated (national / local) trainers will be an easily identifiable and accessible resource point that can contribute to continued capacity building of their communities beyond the life of the Programme, with numerous multiplier effects.
	National Policy Change	The ACP-EU Development Minerals Programme has influenced the reform of the Mineral Code 2016 in Cameroon and it includes now Development Minerals which had been omitted in the older Mineral Code.
Guinea	Stakeholder buy-in at programme outset	Guinea's National Consultation Workshop gathered 73 participants from the public, private, business development and social sectors took place in Conakry on 11 – 12 October 2016. The workshop officially launched the ACP-EU Development Minerals Programme in Guinea as well as elaborated a roadmap highlighting the country's priorities in favour of the Development Minerals sector as linked below.

Focus Country-level		
Country	Sustainability Factor	Sustainability Actions Undertaken
	Multi-stakeholder participation for oversight and guidance	A multi-stakeholder Country Working Group has been established comprised of public stakeholders from relevant ministries as well as local government officials; small-scale mining operators; civil society organizations; and business development entities. These country working groups provide guidance on Programme delivery at the country level; support the monitoring of implementation timelines on the roll-out of the Programme through periodic activity reviews and updates as necessary; propose key stakeholders at the country level to be included in public and private dialogues; provide guidance on key sectors and actors to be leveraged in the initiation of linkages and collaboration at country level; and suggest entry-points for strategic policy influence in the Development Minerals sector.
	Political legitimation at the highest Ministerial level	Guinea's Initiative for Responsible Minerals Development (RMDI), that brought together approximately 420 key stakeholders in the mining sector, chaired by the Prime Minister as well as the Minister of Mines and Geology, indicated that it would adopt the Capacity Development Roadmap developed for the ACP-EU Development Minerals Programme implementation as part of the Initiative's work plan. This inbuilt sustainability of the ACP-EU Development Minerals Programme that will ensure that activities continue being implemented after Programme closure.
	Strengthened partnership and collaboration facilitated by physical integration	The Country Coordinator of the ACP-EU Development Minerals Programme is physically hosted at the Ministry of Mines and Geology. This has ensured that he has daily interactions with ministry staff; is part of the discussions at policy and practice level discussions on work planning, resulting in knowledge and skills transfer to a wider cohort of officials. This has resulted in prominence of the Development Minerals sector at the ministry which will last long after Programme closure.
	Expertise-building at national and local levels	The Training of Trainers (ToT) approach will ensure that the 254 trainees to date will have an opportunity to internalize content and adapt the same to their respective local context for further local dissemination throughout the implementation cycle. In addition, the thus capacitated (national / local) trainers will be an easily identifiable and accessible resource point that can contribute to continued capacity building of their communities beyond the life of the Programme, with numerous multiplier effects.
Fiji	Stakeholder buy-in at programme outset	Fiji's national consultation workshop was held in Suva from 10-12 August 2016 convening 59 key stakeholders from the public, private, business development and social sectors who charted the way forward for the country-level implementation of the ACP-EU Development Minerals Programme.

Focus Country-level		
Country	Sustainability Factor	Sustainability Actions Undertaken
	Multi-stakeholder participation for oversight and guidance	A multi-stakeholder Country Working Group has been established comprised of public stakeholders from relevant ministries as well as local government officials; small-scale mining operators; civil society organizations; and business development entities. The country working group provides guidance on Programme delivery at the country level; supports the monitoring of implementation timelines on the roll-out of the Programme through periodic activity reviews and updates as necessary; proposes key stakeholders at the country level to be included in public and private dialogues; provides guidance on key sectors and actors to be leveraged in the initiation of linkages and collaboration at country level; and suggests entry-points for strategic policy influence in the Development Minerals sector.
	National Policy Change	The Country Working Group in Fiji supported the development, review and adoption of Standard Operating Procedures for license issuance for the extraction of river or hard rock. Awareness raising sessions are being held to sensitize the small scale private operators and they come under current implementation.
	Political legitimation at the highest Ministerial level	The Country Working Group in Fiji has been institutionalized as an official government committee within the Ministry for Lands and Mineral Resources, thereby ensuring sustainability of the work of the working group long-after Programme closure.
	Strengthened partnership and collaboration facilitated by physical integration	The Country Coordinator of the ACP-EU Development Minerals Programme is physically hosted at the Ministry for Lands and Mineral Resources. This has ensured that he has daily interactions with ministry staff; is part of the discussions at policy and practice level discussions on work planning, resulting in knowledge and skills transfer to a wider cohort of officials. This has resulted in prominence of the Development Minerals sector at the ministry which will last long after Programme closure.
Jamaica	Stakeholder buy-in at programme outset	National Consultation Workshop was held on 14 – 15 April 2016 in Kingston, Jamaica bringing together 51 participants drawn from the 4 stakeholder groups targeted by the Programme. The meeting began the formulation of a road map which will inform the development of the multi-year work plans for the Programme.

Focus Country-level		
Country	Sustainability Factor	Sustainability Actions Undertaken
	Multi-stakeholder participation for oversight and guidance	A multi-stakeholder Country Working Group has been established comprised of public stakeholders from relevant ministries as well as local government officials; small-scale mining operators; civil society organizations; and business development entities. The country working group provides guidance on Programme delivery at the country level; supports the monitoring of implementation timelines on the roll-out of the Programme through periodic activity reviews and updates as necessary; proposes key stakeholders at the country level to be included in public and private dialogues; provides guidance on key sectors and actors to be leveraged in the initiation of linkages and collaboration at country level; and suggests entry-points for strategic policy influence in the Development Minerals sector.
	Support for operationalization of Mining Policy	Jamaica's mining policy has recently been updated and is awaiting Cabinet approval. The policy calls for diversification of the mineral sector institutions to include better oversight, support and recognition of the quarry sector and the mining of Development Minerals. The reform process has been supported by the ACP-EU Development Minerals Programme. In anticipation of the enforcement of several quarry related regulations, the ACP-EU Development Minerals Programme in Jamaica took the lead in publishing an Environmental Handbook aimed at raising the awareness of industry practitioners on these new regulatory changes in the Mining Industry. Sensitization sessions on the new regulations were held in October in Eastern Jamaica; in November for Central Jamaica and in December 2016 for Western Jamaica. One-hundred and seventy-eight (178) quarry operators attended the three sensitization sessions and received a copy of the Environmental Handbook.
	Strengthened partnership and collaboration facilitated by physical integration	The Country Coordinator of the ACP-EU Development Minerals Programme is physically hosted at the Mines and Geology Division of the Ministry of Transport and Mining. This has ensured that she has daily interactions with ministry staff; is part of the discussions at policy and practice level discussions on work planning, resulting in knowledge and skills transfer to a wider cohort of officials. This has resulted in prominence of the Development Minerals sector at the ministry which will last long after Programme closure.

Source: 2017 Programme Progress Report

## Annex 8: Programme Implementation Workplan 2014-2017

**PROJECT IMPLEMENTATION WORKPLAN** (Activities: Original plan = ■ 2018 work plan = ■ completed = ■)

Year	Year 1 (Nov 2014 - Oct 2015)				Year 2 (Nov 2015-Oct 2016)				Year 3 (Nov 2016-Oct 2017)				Year 4 (Nov 2017- Oct 2018)			
Activities	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Reporting period	---- 2015 Annual report ----				---- 2016 Progress report ----				---- 2017 Progress report ----				---- 2018 work plan ----			
Programme team recruited + 6 country coordinators	■															
			■				■	■		■						
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**												■				
															■	■

Year	Year 1 (Nov 2014 - Oct 2015)				Year 2 (Nov 2015-Oct 2016)				Year 3 (Nov 2016-Oct 2017)				Year 4 (Nov 2017- Oct 2018)			
Activities	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Reporting period	---- 2015 Annual report ----				---- 2016 Progress report ----				---- 2017 Progress report ----				---- 2018 work plan ----			
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***																
<b>Output 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.</b>																
Prepare training materials																
Deliver <u>regional</u> training on mine and quarry management (mine/quarry construction, operation and maintenance of equipment, waste management, storage of consumables and blasting materials etc.)																
Deliver <u>country</u> training on mine and quarry management																
Organize training by TOT trainees																



Year	Year 1 (Nov 2014 - Oct 2015)				Year 2 (Nov 2015-Oct 2016)				Year 3 (Nov 2016-Oct 2017)				Year 4 (Nov 2017- Oct 2018)			
Activities	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Reporting period	---- 2015 Annual report ----				---- 2016 Progress report ----				---- 2017 Progress report ----				---- 2018 work plan ----			
Organize field visits																
Provide small grants																
<b>Output 2: Environmental, health, safety standards improved and human and labor 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.</b>																
Prepare training materials																
Conduct <u>regional</u> training and sensitization on environmental, health, safety and labour standards; UN guiding principles for business and labour rights; certification schemes																
Conduct <u>country</u> 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																
<b>Output 3: Productivity, access to markets and working capital of the small-scale private sector in mining increased through enhanced entrepreneurial skills.</b>																

Year	Year 1 (Nov 2014 - Oct 2015)				Year 2 (Nov 2015-Oct 2016)				Year 3 (Nov 2016-Oct 2017)				Year 4 (Nov 2017- Oct 2018)			
Activities	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Reporting period	---- 2015 Annual report ----				---- 2016 Progress report ----				---- 2017 Progress report ----				---- 2018 work plan ----			
Prepare training materials																
Conduct <u>regional</u> training on entrepreneurship skills (value – adding processes, accounting, marketing, sales promotion, purchasing, market analysis, identifying potential value chain entry points)																
Conduct <u>country</u> 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																
<b>Output 4: Value chains in mining strengthened through networking and improved capacity of associations/chambers and public institutions to conduct market analysis and investment promotion.</b>																
Prepare training materials																
Conduct <u>regional</u> training on market analysis and investment promotion, for domestic and																

Year	Year 1 (Nov 2014 - Oct 2015)				Year 2 (Nov 2015-Oct 2016)				Year 3 (Nov 2016-Oct 2017)				Year 4 (Nov 2017- Oct 2018)			
Activities	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Reporting period	---- 2015 Annual report ----				---- 2016 Progress report ----				---- 2017 Progress report ----				---- 2018 work plan ----			
external markets																
Conduct <u>country</u> training on market analysis and investment promotion, for domestic and external markets																
Organize training by TOT trainees																
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																
Provide small grants																
<b>Output 5: Access to geo-data in mining improved through enhanced technical knowledge, capacity and coordination among public institutions.</b>																
Prepare training materials																
Conduct <u>regional</u> training on geo-data mapping																
Conduct <u>country</u> training on geo-data																

Year	Year 1 (Nov 2014 - Oct 2015)				Year 2 (Nov 2015-Oct 2016)				Year 3 (Nov 2016-Oct 2017)				Year 4 (Nov 2017- Oct 2018)			
Activities	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Reporting period	---- 2015 Annual report ----				---- 2016 Progress report ----				---- 2017 Progress report ----				---- 2018 work plan ----			
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																
<b>Output 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.</b>																
Prepare training materials																
Conduct <u>regional</u> 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																

Year	Year 1 (Nov 2014 - Oct 2015)				Year 2 (Nov 2015-Oct 2016)				Year 3 (Nov 2016-Oct 2017)				Year 4 (Nov 2017- Oct 2018)			
Activities	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Reporting period	---- 2015 Annual report ----				---- 2016 Progress report ----				---- 2017 Progress report ----				---- 2018 work plan ----			
Conduct <u>country</u> level training on conflict sensitive mining – including: conflict risk analyses, how to set up effective grievance mechanisms, and community engagement based on free, prior and informed consent principle																
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																

Source: Programme Progress Reporting