

KNOWING WHAT WORKS



Central project evaluation

Support to Good Resource Governance in Mali

Project number 2014.2512.3

Evaluation Report

On behalf of GIZ by Mr Torge Hamkens and Dr Tiemoko Traoré (FAKT Consult GmbH)

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The Evaluation Unit commissioned external independent evaluators to conduct the evaluation. This evaluation report was written by these external evaluators. All opinions and assessments expressed in the report are those of the authors.

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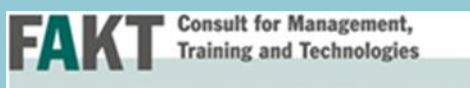
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Abbreviations

| | |
|----------|--|
| AFEMINE | Association des Femmes Minières du Mali Mali Women Miners' Association |
| AFOPREM | Alliance des Fournisseurs et Prestataires Miniers du Mali Mali Alliance of Suppliers and Mining Providers |
| AMV | Africa Mining Vision |
| BMZ | Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung German Federal Ministry for Economic Cooperation and Development |
| CREDD | Cadre Stratégique pour la Relance Economique et le Développement Durable du Mali Mali Strategic Framework for Economic Recovery and Sustainable Development |
| CSO | Civil society organisation |
| DGI | Direction Générale des Impôts General Directorate of Taxation |
| DNGM | Direction Nationale de la Géologie et des Mines National Directorate for Geology and Mines |
| EITI | Extractive Industries Transparency Initiative |
| FDS | Fondation pour le Développement au Sahel Foundation for the Development of the Sahel |
| FEMIMA | Fédération des Femmes Minières du Mali Mali Women Miners' Federation |
| FGD | Focus group discussion |
| GERSDA | Groupe d'Etude et de Recherche en Sociologie et Droit Appliqué Study and Research Group in Sociology and Applied Law |
| GIZ | Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH German Agency for International Cooperation |
| MoF | Ministry of Finance of the Republic of Mali |
| MoM | Ministry of Mines and Petroleum of the Republic of Mali |
| OECD/DAC | Development Assistance Committee of the Organisation for Economic Cooperation and Development |
| PADRE | Programme d'Appui à la Décentralisation et à la Reforme de l'Etat Decentralisation and State Reform Programme |
| PCA | Peace and Conflict Assessment |
| PDSEC | Programmes de développement social, économique et culturel Social, Economic and Cultural Development Programmes |
| RDF | Revenue Development Foundation |
| SDG | Sustainable Development Goal |
| SMART | Specific, measurable, achievable, relevant, time-bound |
| ToC | Theory of change |
| WB | World Bank |



The project at a glance

Republic of Mali: Support to Good Resource Governance

| | |
|---|--|
| Project number | 2014.2512.3 |
| Creditor reporting system code(s) | 15110 – Politics and administration in the public sector |
| Project objective | The Malian Government, together with the private sector and civil society, has successfully implemented the Africa Mining Vision (AMV) Action Plan in terms of resource revenues, transparency and control, as well as local value creation. |
| Project term | 01 January 2017 - 31 December 2019 |
| Project value | EUR 6,000,000 |
| Commissioning party | German Federal Ministry for Economic Cooperation and Development (BMZ) |
| Lead executing agency | Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH |
| Implementing organisations (in the partner country) | <ul style="list-style-type: none"> • Ministry of Mines and Petroleum (MoM) • Ministry of Finance (MoF) • National Directorate of Geology and Mines (DNGM) • General Directorate of Taxation (DGI) |
| Other development organisations involved | None |
| Target group(s) | National, regional and local intermediaries such as government officials working in the mining sector, and representatives of associations such as the Mali Alliance of Suppliers and Mining Providers (AFOPREM) and civil society organisations. Small-scale gold miners (especially women), suppliers of goods and services to mining companies, and communities living in and around the Kayes and Sikasso mining areas are also considered indirect target groups. |

1 Evaluation objectives and questions

This chapter aims to describe the purpose of the evaluation, the standard evaluation criteria, and additional stakeholders' knowledge interests and evaluation questions.

1.1 Evaluation objectives

Central project evaluations of projects commissioned by BMZ fulfil three basic functions: they support evidence-based decisions, promote transparency and accountability, and foster organisational learning within the scope of contributing to effective knowledge management. GIZ structures the planning, implementation and use of evaluations so that the contribution the evaluation process and the evaluation findings make to these basic functions is optimised (GIZ, 2018).

The Evaluation Unit of the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH has commissioned the independent consultancy FAKT Consult GmbH to evaluate the GIZ project Support to Good Resource Governance in Mali (see section 2.1, 'Definition of the evaluation object'), as part of GIZ's centrally steered central project evaluations. This project, which ended on 31 December 2019, has been randomly selected in line with GIZ's guidelines on central project evaluations, which state that a 50% random sample should be selected annually, and structured regionally and proportionally.

The main stakeholders of this evaluation and their key knowledge interests are listed below.

- GIZ Evaluation Unit: (i) accountability to the public (success rate of GIZ projects); (ii) learning to understand projects' strengths and weaknesses, potential for replication in other countries and lessons learned in implementation and replication; and (iii) informing key stakeholders who enquire about GIZ activities in specific regions and/or sectors.
- German Federal Ministry for Economic Cooperation and Development (Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung – BMZ): accountability to the public (success rate of German international cooperation projects).
- Project team: (i) learning; and (ii) better understanding of key stakeholder perceptions.
- Key project partners, such as Mali's Ministry of Mines and Petroleum (MoM): (i) learning for future cooperation initiatives; and (ii) informing the Malian population (the final target group) on progress made by the German technical cooperation.
- World Bank (WB): (i) learning from the project; (ii) better understanding the sector's challenges; and (iii) applying the lessons learned in WB's upcoming Governance of Mining Sector Project in Mali.

1.2 Evaluation questions

The project is assessed on the basis of standardised evaluation criteria and questions to ensure comparability by GIZ. This is based on the Organisation for Economic Co-operation and Development ([OECD/Development Assistance Committee \(DAC\) evaluation criteria](#) (updated 2020) for international cooperation and the [evaluation criteria for German bilateral cooperation \(in German\)](#): **relevance, efficiency, effectiveness, impact and sustainability**.

Specific assessment dimensions and analytical questions have been derived from this framework. These form the basis for all central project evaluations in GIZ and can be found in the **evaluation matrix** (Annex). In addition, contributions to the 2030 Agenda for Sustainable Development and its principles are taken into

account as well as cross-cutting issues such as gender, the environment, conflict sensitivity and human rights. Also, aspects regarding the quality of implementation are included in all OECD/DAC criteria.

During the inception mission, some of the project's main stakeholders were interviewed to gain an understanding of their interests in the evaluation, and to identify additional evaluation questions in the project context. Additional questions included the following.

- **Design aspects:** Were the project's instruments and budget in line with its objectives?
- **Managerial aspects:** Why was the project team not involved in drafting the indicators for phase two? What was the project's contribution to domestic resource mobilisation? What was the study's outcome on local content (the share of employment—or of sales to the sector—locally supplied at each stage of the supply chain)? Did the project improve the visibility of the Extractive Industries Transparency Initiative (EITI) in Mali and strengthen EITI Secretariat capacities, as well as EITI's Multi-Stakeholder Group in charge of implementing the Malian EITI process? Could the project improve NGO involvement in decision-making by local authorities on managing revenue?

The list of additional questions was integrated into the evaluation matrix where possible.

2 Object of the evaluation

This chapter aims to define the evaluation object, including the theory of change (ToC), and results hypotheses.

2.1 Definition of the evaluation object

The evaluation's main object is the technical cooperation measure Support to Good Resource Governance, identified by project number (2014.2512.3). The project had a predecessor in the Support to Good Resource Governance in Mali project (2010.2261.5) from February 2012 to January 2017 with a German financial contribution of EUR 3,500,000. The project is part of the BMZ's Decentralisation and Good Governance Programme (Programme d'Appui à la Décentralisation et à la Reforme de l'Etat – PADRE). PADRE's programme objective is to strengthen the State's capacities to mobilise financial resources, promote regional economic development and provide basic public services locally and regionally, while respecting the principles of good governance.

The project's political, socio-economic and sectoral framework

The project's political and sectoral context is highly challenging and complex. Although mining is a relatively young industry in Mali, the country is now one of Africa's largest gold producers. Up to 70 tonnes of gold are mined annually, with about 10% of that in small-scale mining. In addition to gold, Mali has deposits of phosphates, bauxite, iron ore, lead, zinc and marble. These have not yet been developed due to high transport and energy costs. There are thought to be significant oil and gas deposits in the north of the country, but these have not been explored because of the precarious security situation and low oil prices.

According to the 2016 report by EITI, more than 65% of the country's mineral resources are exported and this represents about 17% of Mali's state revenue. The same source mentions that this figure would be 19% if it included the contribution of subcontractors and local suppliers. Industrial mining is currently only marginally integrated with the local economy, with isolated attempts by some international companies to make greater use of local suppliers as part of their corporate social responsibility programmes.

Mali is characterised by fragility. Its national and decentralised administrations are weak, and peace in the north is still uncertain after the peace agreement with rebels. That peace is further threatened by attacks by jihadist militias, including in parts of the south. The wealth of raw materials is not currently reflected in increasing prosperity for the Malian population. Poverty and food insecurity are still pressing challenges, with about 50% of the population living below the international poverty line. In the 2019 Human Development Index, Mali was ranked 184th out of 188 countries. For the mining sector to make an effective contribution to the country's sustainable development, it must be designed to be effective, efficient, transparent and participatory, and subject to effective supervision and control. The Action Plan produced by the 2009 Africa Mining Vision (AMV), a pan-African policy framework, provides African governments with guidelines for designing reforms and strategies in their respective countries' mining sectors with a focus on development. The document emphasises good governance, integration of the extractive industries into local value-creation cycles, and optimisation of revenues from the extractive sector.

The collection of taxes and levies from the mining sector is still largely inefficient. Defaults in the taxation of subcontractors, as well as transfer prices and the associated tax minimisation by commodity companies, were identified as significant problems. Social investment by enterprises is rarely in line with local authorities' local development plans, which are called Social, Economic and Cultural Development Programmes (Programmes de développement social, économique et culturel – PDSEC). So far, Mali has no mining policy or sector strategy that could guide the sector's sustainable development. Mali's civil society makes little use of the information in EITI reports to represent its interests effectively.

Overall, the current conditions in Mali's mining sector do not correspond to the requirements of the AMV Action Plan. This is due to inadequate planning and administrative capacities in the sector, deficits in the public finance system and inadequate control by civil society. The weak staffing and organisational capacities of the relevant state agencies are particularly significant. Conflicts of interest and rivalries between different institutions and actors within and outside the administration are exacerbated by a lack of coordination processes. The mining administration is too weak to act as a mediator between parties and actively involve companies in state development planning. Established and legitimate dialogue mechanisms are also inadequate.

Project summary

The project was implemented between January 2017 and December 2019, and financed by BMZ funds, with a budget of EUR 6,000,000. In the 2017 progress report to BMZ, the project strategy and the results matrix were updated as a result of changes to the conditions in which the project was implemented (see section 4.1 Relevance dimension 3). The project's objective was for the Malian Government, together with the private sector and civil society, to have successfully implemented the Africa Mining Vision (AMV) Action Plan in terms of resource revenues, transparency and control, and local value creation. To achieve this, the project followed a system-strengthening, multi-level approach by intervening in three action areas or components:

- strengthening the collection of taxes and levies, as well as supervision and control, in the mining sector,
- strengthening transparency and the role of civil society in reform processes in the mining sector, and
- establishing a database on the sector, and improving local value creation and accountability.

The project was embedded in the national stakeholder landscape and closely collaborated with all relevant local actors in Mali's mining sector. There are key partner institutions and organisations in the public and private sectors, as well as civil society. The project also established an exchange with WB as another donor agency, which intends to continue the project's support on mining sector governance in Mali. The project was national in scope and intervened in a range of locations. It was based in the city of Bamako, where key partners such as MoM, the Mali EITI Secretariat and the headquarters of civil society organisations (CSOs) engaged in the mining sector are located. The project was engaged in the mining areas of Kayes in western Mali, as well as Sikasso in southern Mali, among others, supporting PDSEC processes. These included

processes to produce local development plans, as well as public restitution processes to increase transparency in local authorities' management of public affairs and reinforce their accountability.

The project's direct target group was national, regional and local intermediaries such as government officials working on the mining sector, the Alliance of Suppliers and Mining Providers in Mali (Alliance des Fournisseurs et Prestataires Miniers du Mali – AFOPREM) and women miners' associations, namely the Mali Women Miners' Association (Association des Femmes Minières du Mali – AFEMINE) and the Mali Women Miners' Federation (Fédération des Femmes Minières du Mali – FEMIMA). Small-scale miners (especially women), and communities living in and around the Kayes and Sikasso mining areas, were considered an indirect target group.

The project had the following markers: socio-economic effect/orientation towards poverty (AO-1); participatory development and good governance (PD/GG-2); and public-private partnership (PPP-1). With regard to cross-cutting issues, there was no explicit focus on the environment (UR-0). However, the project did work on human rights and gender issues, and it was implemented in a highly fragile conflict context (see section 4.3 for details).

2.2 Results model including hypotheses

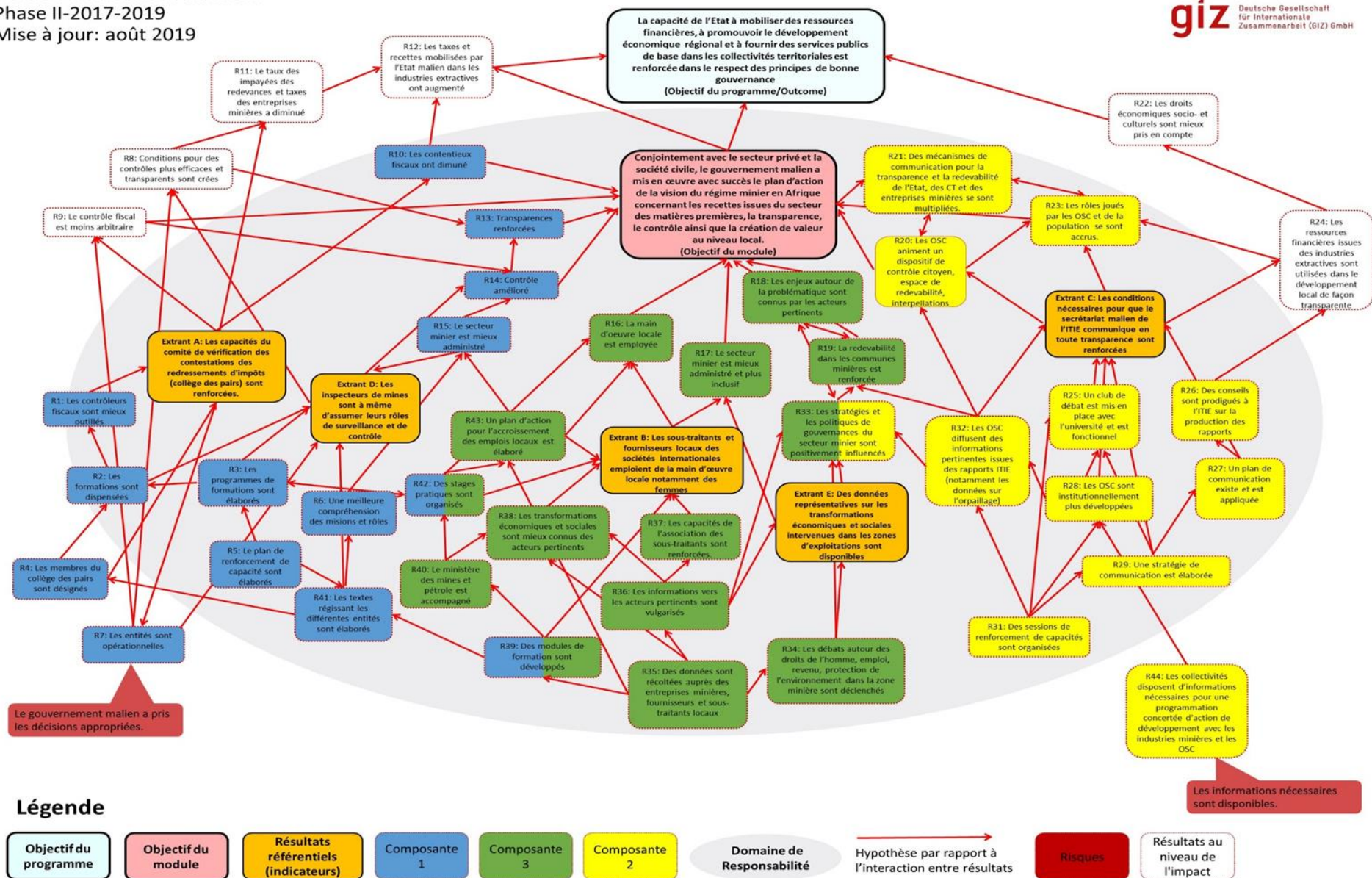
Contribution analysis (Mayne, 2011) is vital to the evaluation's design. A project's ToC is key to a contribution analysis, in order to make credible causal statements about interventions and their observable results. At GIZ, ToCs are expressed in results models and complemented by a narrative that includes corresponding hypotheses. A results model is a graphical representation of the project, describing the logical connection and interrelationship of results and how they contribute to the overall objective. A results model defines: the possible results; change hypotheses, including multi-dimensional causalities; system boundary positive assumptions about risks; and other external factors. A key advantage of basing the evaluation on a results model is the enhanced visibility of causalities, going beyond linear and mono-dimensional relationships between different results at different result levels.

Before the inception mission, the evaluation team reviewed the project's results model. Both the evaluation and project management teams agreed that the model should be revised to ensure a realistic representation of the project's activities and results, and to make it as useful as possible. This was mainly for the following reasons: (i) the system boundary was not always defined accurately and some results were therefore clearly outside of the project's scope; (ii) some results were more on the activities level; and (iii) the existing model did not devote much attention to the outcome and impact level. The evaluation team reconstructed the results model during the inception mission in collaboration with the project team. Figure 1 below shows the revised results model, and the corresponding narrative developing the underlying hypotheses can be found in the Effectiveness and Impact sections.¹

¹ The chosen hypotheses for the contribution analysis will also be described in greater detail in the Effectiveness and Impact sections.

Figure 1: Current results model

Modèle de Résultats du PAGIE
Phase II-2017-2019
Mise à jour: août 2019



As stated above, the project intervened under three components: (i) supporting fiscal authorities to collect taxes and levies more effectively (output A), and strengthening mine inspectors to supervise and control the sector (output D); (ii) strengthening transparency and the role of civil society in the reform processes undertaken in the mining sector (output C); and (iii) establishing a database on the sector, and improving local value creation and accountability (outputs B and E).

Component 1 aims to strengthen the capacities of the *collège des pairs*, which is an audit committee in charge of tax readjustment disputes (output A). It also aims to enable mine inspectors to perform their monitoring and control function (output D).

Strengthening the capacities of the *collège des pairs* (output A) and mine inspectors (output D) requires improved knowledge and management of regulatory procedures in line with good governance requirements. A better understanding of responsibilities and roles (R6) requires the development of a capacity building plan (R5) and implementation of training programmes (R3), which enable the newly acquired knowledge to be used (R2). As a result of this training, tax auditors will be better equipped to fulfil their functions (R1), implying the improvement of controls (R14). As a result, controls will be less arbitrary (R9) and the conditions for more efficient and transparent controls will be created (R8), although that is outside of the project's system boundary.

To strengthen the capacities of the *collège des pairs*, as well as the mine inspectors, it is also necessary to develop the mandate governing those entities (R41) and appoint its members (R4), to resolve the problem that the entities are not yet operational (R7). However, the inception workshop clarified that making the entities operational (R7) and appointing its members (R4) were beyond the project's system boundary, as government approvals are required. If those approvals are not granted (as was the case with the mine inspection authority) that is not the project's responsibility. According to the project's ToC, the change process will support the efficiency and transparency of external controls. The mining sector will therefore be better governed (R15), and tax disputes will decrease (R10). All of these improvements will pave the way to mobilise more taxes and revenues from the extractive industries (R12). In terms of impact, that means that the rate of unpaid royalties and taxes from mining companies will also decrease (R11).

The objective of Component 2 is to improve the conditions required for more transparent communication by the Mali EITI Secretariat (output C).

A precondition for this component is that local communities have all the necessary information to set up local development plans in coordination with the mining industry and CSOs (R44). This is, however, beyond the project's scope and therefore beyond the system boundary, as it is the responsibility of the government authorities involved to ensure that local communities have the relevant information. The ToC foresees capacity building of the relevant CSOs (R31), which will, in turn, support their institutional development (R28). They will disseminate relevant information from EITI reports, especially data on small-scale gold mining (R32), which will enable them to better carry out their control function on behalf of citizens, increase accountability and facilitate interventions (R20). This will also positively influence governance strategies and policies in the mining sector (R33).

A communication strategy for the Mali EITI Secretariat will also be developed (R29), along with a communication plan for the Malian EITI process (R27). Application of the communication plan will also enable CSOs to offer the Mali EITI Secretariat more advice on producing reports (R26). To stimulate the EITI debate, discussion events will be organised at universities (R25). All of this will be done in a concerted and coherent way, to strengthen the Mali EITI Secretariat in communicating more transparently (output C). As a result, the roles of CSOs and citizens will be strengthened (R23); financial resources generated from the extractive industry will be used more transparently for local development (R24); and communication mechanisms on transparency and accountability of the state, local authorities and mining companies will be multiplied (R21). In terms of impact, this will lead to a situation in which the financial resources generated

from the extractive industry will be used more transparently for local development (R24), and economic, social and cultural rights will be better considered when producing local development plans (R22).

Component 3 aims to increase the number of local employees through local subcontractors and suppliers of international mining companies, with a particular focus on women (output B). It also aims to make representative data available on the employment, income and human rights situation in the Kayes and Sikasso mining regions through a long-term study (output E). These two outputs are interconnected, because the results of the study will help the Malian Government and civil society to monitor the socio-economic effects of mining activities.

To achieve these goals, mechanisms for collecting data from local mining companies, suppliers and subcontractors are set up (R35); debates on human rights, employment, income, and environmental protection in the mining area are initiated (R34); the information gathered is disseminated to the relevant actors (R36); and the capacities of the subcontractors' association (AFOPREM) are strengthened (R37). Once these tasks have been carried out, the relevant actors will have a better understanding of the economic and social transformations generated by mining (R38). Based on that, an action plan for local job creation can be developed (R43) and will increase local employment when it is implemented (R16). These results will have a positive influence on government policy and strategy in the extractive sector (R33), and will help create a mining sector that is better administrated and more inclusive (R17). Accountability in mining communities will also be enhanced (R19), and the relevant actors will better understand the different aspects of local employment (R18). The mining sector will offer more opportunities for the local workforce and local entrepreneurs as a result.

3 Evaluability and evaluation process

This chapter aims to clarify the availability and quality of data and the process of the evaluation.

3.1 Evaluability: data availability and quality

The following documents were available and relevant to the evaluation.

Table 1: Availability and quality of basic documents

| Basic document | Is available (Yes/No) | Estimation of actuality and quality | Relevant OECD/DAC criterion |
|---|-----------------------|---|--|
| Project proposal and overarching programme/funds proposal, etc. and the additional information on implementation | Yes | Project proposal (part B) and programme proposal (part A) for this intervention in 2016 | Relevance, Effectiveness, Impact, Efficiency |
| Modification offers where appropriate | Yes | One simple modification offer in 2017, included in the progress report for 2017 | |
| Contextual analyses, political-economic analyses or capacity assessments to illuminate the social context | Yes | Mali: <i>Stratégie Nationale de Développement de L'Orpillage</i> (World Bank, 2017) | Relevance, Effectiveness, Impact, Sustainability |
| Peace and Conflict Assessment (PCA) matrix, gender analyses, environmental and climate | Yes/No | Gender analysis (GIZ, 2015) and Economic Analysis of the Development of the Mining Sector and the Challenges of | Relevance, Sustainability |

| | | | |
|--|--------|---|--|
| assessments, safeguarding and gender, etc. | | Preserving the Environment and Natural Resources (GIZ, 2015) | |
| Annual project progress reports and, if embedded, also programme reporting | Yes | 3 annual progress reports from 2017, 2018 and 2019 (GIZ) | Relevance, Effectiveness, Impact, Efficiency, Sustainability |
| Evaluation reports | Yes | Evaluation report (GIZ, 2019) | |
| BMZ country strategy | Yes | Mali country strategy (BMZ, 2017) | Relevance |
| National strategies | Yes | <i>Politique de développement des secteurs miniers et pétroliers</i> (Mali Development Policy for the Mining and Petroleum Sectors) (Government of Mali, 2017) <i>Cadre Stratégique pour la Croissance et la Réduction de la Pauvreté</i> (Mali Strategic Framework for Growth and Poverty Reduction – CSCR) (Government of Mali, 2012) <i>Cadre stratégique pour la relance économique et le développement durable</i> (Mali Strategic Framework for Economic Recovery and Sustainable Development – CREDD) (Government of Mali, 2018) | Relevance |
| Sectoral/technical documents (please specify) | Yes | <i>Entwicklungspolitisches Strategiepapier Extraktive Rohstoffe</i> (Strategy Paper on Extractive Resources in German Development Cooperation) (BMZ, 2011) <i>Afrika und Europa – Neue Partnerschaft für Entwicklung, Frieden und Zukunft. Eckpunkte für einen Marshallplan mit Afrika</i> (Africa and Europe – A new Partnership for Development, Peace and a Better Future. Cornerstones of a Marshall Plan with Africa) (BMZ, 2017) AMV Action Plan (AMV, 2009) | Relevance |
| Results matrix | Yes | Results matrix (GIZ, 2018) | Effectiveness, Impact |
| Results model(s), possibly with comments if no longer up to date | Yes | Results model (GIZ, 2018) | Relevance, Effectiveness, Impact |
| Data from the results-based monitoring system (WoM) ² | Yes | <i>Wirkungsmonitor</i> | Effectiveness |
| Map of actors | Yes | Original and updated stakeholder map (GIZ, 2019) | Relevance |
| Capacity development strategy/overall strategy | No | | Effectiveness |
| Steering structure | No | | Efficiency, Sustainability |
| Plan of operations | Yes/No | Operational plan in Excel (GIZ, 2019) | |
| Cost data (at least current cost commitment report). If | Yes | <i>Kosten-Obligo-Bericht</i> (cost data assigned to outputs) (GIZ, 2019) | Efficiency |

² Mandatory for all projects based on GIZ's quality assurance in line management (QsIL).

| | | | |
|---|----------------|--|-------------------|
| available: cost data assigned to outputs) | | | |
| Excel sheet assigning staff working-months to outputs | Yes | Completed Excel sheet (GIZ, 2019) | Efficiency |
| Documents regarding predecessor project(s) (please specify if applicable) | Yes | Project proposal for predecessor project | Predecessor(s) |
| Documents regarding follow-on project (please specify if applicable) | Not applicable | | Follow-on project |

Monitoring data

A project-level monitoring system was in place, but the quality and reliability of the data was insufficient. The tool used to measure changes in key indicators is the *Wirkungsmonitor*: GIZ's internal web-based software for monitoring data and indicator progress for projects and programmes. All categories needed for a results-based management system were included: baseline values, yearly status update, sources for verification, time and frequency of data collection, and person in charge. The project's monitoring and evaluation officer, who joined the team in 2018, managed and updated the *Wirkungsmonitor* twice a year after consultations with the team members in charge of the components. Progress reports on each component were produced for this purpose.

However, the project did not apply the qualitative survey procedure (KOMPASS) to explore the different perspectives of key stakeholder groups openly. The project's monitoring system also did not include any monitoring of risks or analysis to steer the project strategically, and the requirements for context- and conflict-sensitive, results-based monitoring have not been met. The project was not able to use the partners' monitoring and evaluation systems, or even elements of them, as the main partners (such as the MoM) have no such formal systems.

Baseline data

The baseline data has been assessed as not being fully reliable. It was partly derived from secondary data collected during initial project planning (applies to project objective indicator 1). Other baseline data was collected during project implementation, including baseline data for project objective indicator 2 on local procurement. Overall, there were serious problems with data collection. For instance, experts involved in defining the base value of project objective indicator 2, on increasing local procurement by international mining companies, stated that the value is only 45% realistic (Int_10). See section 4.2 on Effectiveness dimension 1 for details. As a result, the monitoring data collected has limited informative value with regard to changes that occurred as the project progressed. For these reasons, the evaluation team tried to reconstruct baseline data when possible. As there is a lack of statistics for Mali's mining sector, the main means of reconstructing baseline data were interviews and surveys among stakeholders.

3.2 Evaluation process

The evaluation included an inception phase, a data collection phase, and an analysis and reporting phase. The inception phase lasted from July to November 2019 and included the clarification of roles in the evaluation team, explorative interviews with selected project partners, a workshop with the project team and production of the inception report. The data collection phase was mainly based on the field mission to Mali, from 23 November to 9 December 2019. The mission included a two-day trip to Kéniéba in the Kayes region.

This section provides detailed information on the evaluation process. First, it sets out the relevant stakeholders involved and intended to benefit from this evaluation, followed by the evaluation process and knowledge-transfer mechanisms.

Evaluation stakeholders

The involvement of various stakeholders in the evaluation is crucial to central project evaluations, as it strongly influences the success of the evaluation, and acceptance of the evaluation findings and recommendations. During the inception mission, the evaluation and project teams worked together to map crucial project stakeholders and discussed their involvement in the evaluation.³ Table 2 lists the stakeholders included.

Table 2: List of evaluation stakeholders and selected participants

| Organisation/company/ target group | Overall number of persons involved in evaluation (including gender disaggregation) | No. of interview participants | No. of focus group participants | No. of workshop participants | No. of survey participants |
|---|--|-------------------------------------|---------------------------------------|------------------------------------|----------------------------------|
| Donors | 2 (m) | 2 | | | |
| BMZ, World Bank | | | | | |
| GIZ | 10 (7m + 3f) | 10 | | 8 | |
| GIZ project team/GIZ partner country staff, GIZ headquarters Germany | | | | | |
| Partner organisations (direct target group) | 44 (36m + 8f) | 7 | 7 | | 30 |
| Ministry of Mines and Petroleum (MoM) National Directorate of Geology and Mines (DNGM) General Directorate of Taxation (DGI) Mali EITI Secretariat Alliance of Suppliers and Mining Providers in Mali (AFOPREM) Mali Women Miners' Association (AFEMINE) Mali Women Miners' Federation (FEMIMA) | | | | | |
| Civil society and private sector actors | 13 (10m + 3f) | 13 | | | |
| Publish What You Pay Foundation for the Development of the Sahel (FDS) Solidarity Action Faléa 21 International Alert Barrick Gold, Mali | | | | | |
| Universities and think tanks | 3 (m) | 3 | | | |
| Study and Research Group in Sociology and Applied Law (GERSDA) | | | | | |
| Final beneficiaries/ indirect target groups (sum) | | | | | |
| Local citizens' representatives in Kayes mining area | 14 (12m + 2f) | | | | |

³ These discussions were based on a very detailed stakeholder map that the project team compiled at the beginning of the project.

| | | | | | |
|--|-------------|--|--|--|--|
| Local CSO representatives in Kayes mining area | 8 (7m + 1f) | | | | |
| Note: f = female; m = male; n = non-binary | | | | | |

Public stakeholders

Mali's Ministry of Mines and Petroleum (MoM) and Ministry of Finance (MoF): MoM is the direct project counterpart and has extensive influence on any project activity. However, the General Directorate of Taxation (Direction Générale des Impôts – DGI), which is subordinate to MoF, also cooperates closely with the project, so MoF also has a high degree of influence. MoM was visited during the inception mission, and relevant representatives of both MoM and DGI were interviewed during the evaluation mission. Finally, another important public stakeholder interviewed during the evaluation was the National Directorate of Geology and Mines (Direction Nationale de Géologie et des Mines – DNGM), which is one of those responsible for mine inspection.

Mali EITI Secretariat: Component 2 is specifically aimed at the Mali EITI Secretariat, making it a key public stakeholder. During the inception mission, there was a meeting with the head of the Mali EITI Secretariat, who was also interviewed during the evaluation mission.

WB: Due to WB's plans to set up a new project on extractive sector governance in Mali to provide support in most of the project's focus areas, an interview was also set up with this donor organisation during the evaluation mission.

Civil society stakeholder

Civil society organisations (CSOs): The project cooperated with a significant range of CSOs under component 2 and component 3. They therefore form a key stakeholder group for assessing project activities. Some of them were interviewed or involved in focus group discussions (FGDs) during the evaluation mission, including Publish What You Pay and the women's organisations AFEMINE and FEMIMA. Other CSOs such as Solidarity Action Faléa 21 (L'Action Solidarité Faléa 21 – ASFA 21), the Foundation for the Development of the Sahel (Fondation pour le Développement au Sahel – FDS) and the Malian Network of Journalists for the Fight Against Corruption and Poverty (Réseau Malien des Journalistes de Lutte Contre la Corruption et la Pauvreté – RMJLCP), were not interviewed about their cooperation with the project during the evaluation. The CSOs were selected based on purposive, critical case sampling to obtain the most important information. All CSOs had also been interviewed by a consultant that the project team hired shortly before the evaluation mission. The reports on these interviews were used for this evaluation.

Research institutes: The project cooperated with research institutes and think tanks to produce the long-term study on economic and social transformation under component 3. The Study and Research Group in Sociology and Applied Law (Groupe d'Etude et de Recherche en Sociologie et Droit Appliqué – GERSDA) was involved as local coordinator in conducting the study. Another organisation involved in preparing the study was International Alert. Both stakeholders were interviewed during the evaluation mission.

Private sector stakeholders

Mining companies: Although the project did not cooperate directly with mining companies, it was necessary to explore their views and experiences when it comes to local content issues. It was also important to check whether they noticed any improvement in the consistency and predictability of fiscal controls. For that reason, the local management of Barrick Gold, Mali (formerly Randgold Resources, Mali), Mali's largest gold producer, was interviewed during the evaluation mission.

Associations: Under component 3, the project set up a cooperation with AFOPREM, which was also interviewed during the evaluation mission.

Local stakeholders in the Kayes mining region

During a trip to Kéniéba in the Kayes mining region in the context of the evaluation mission, a variety of stakeholders was involved in FDGs. These included local CSO representatives, citizen representatives (élus) and young people, to whom the project provided entrepreneurial support. Due to time constraints, it was not possible to visit the Sikasso mining region, where the project cooperated with the same group of stakeholders.

Evaluation process

The international and local consultants built up a strong team rapport, and established an effective and fruitful working relationship. Whenever possible, both evaluators took shared roles in central tasks throughout the evaluation process, including presentations. At the end of each mission day, they discussed and documented key findings and validated data retrieved from interviews and discussions. Research was coordinated through common interpretation and analysis of the data available. The local consultant was partly responsible for drafting interview transcripts and provided data analysis and input for the evaluation report.

The evaluation process relied on qualitative data-collection methods, but also used quantitative methods.

Semi-structured interviews: When interviewing, the evaluation team took robust approaches to avoid any bias created by wrong questions or methods (suggestive questioning, cultural insensitivity, etc.).

Focus group discussions (FGDs): These were based on semi-structured guidelines, and included between 7 and 14 people each, for approximately two hours. Two FGDs with local stakeholders on the project's local interventions were organised during the trip to the Kéniéba mining area. Another FGD on cooperation with the project was held with women's organisation representatives in Bamako.

Lastly, the evaluation team applied a **quantitative data-collection method** in the form of a survey for participants in specific capacity development activities. These were a training session for mine inspectors and a follow-up training session for tax auditors, and were carried out as part of the project's evaluation mission. Participants in both training sessions were from different parts of Mali, meaning the results can be seen as regionally representative. This is reinforced by the 100% response rate.

The surveys were conducted for two reasons. First, the evaluation team wanted to understand how capacity development implemented by the project worked in the specific context, and with the specific target group. The underlying rationale was to understand the effectiveness of the training sessions, and the applications of the learnings and knowledge gained. The evaluation team acknowledges the limitation that the training sessions only serve as an example, and the findings cannot be generally applied to other capacity development activities. However, the training for tax auditors was follow-up training for the same group of participants who had done training previously delivered by the project. The findings therefore covered both. Second, it was difficult to retrieve data on component 1. That is data relating to: any increase or decrease in the share of tax demands on mining companies that result in legal disputes; any improvements in the capacities of the Malian State to better mobilise financial resources from the mining sector; or any potential increase in the amount of taxes collected from the mining sector.

Knowledge transfer

It was very important to ensure that knowledge was transferred and the results shared immediately after the evaluation mission. A debrief therefore took place at the end of the mission on 9 December 2019. Partners

such as MoM and the Mali EITI Secretariat took part and discussed the evaluation team's presentation in detail. The presentation was also shared with the GIZ Evaluation Unit to report on the preliminary results. Key partners including WB will presumably receive the final version of the evaluation report.

4 Assessment according to OECD/DAC criteria

4.1 Relevance

The relevance criterion examines whether the project is doing the right thing. The evaluators assessed whether the project's objectives are consistent with the key strategic reference frameworks, the priorities of the target groups, and the policies of the partner country and commissioning party.

Evaluation basis and design for assessing relevance

Evaluation basis: In **relevance dimension 1** of the relevance criteria, the evaluation aims to analyse whether the desired results at the outcome and impact level (see results model) are in line with the relevant strategic reference frameworks, for example, BMZ's priorities, as well as national strategies. When it comes to analysing the needs and potential benefits of the project's target group (**relevance dimension 2**), the project's focus areas and activities are compared with strategic reference documents, as well as target group perceptions and expectations. The project's direct target group is national, regional and local intermediaries, such as government officials working in the mining sector and representatives of associations and NGOs. Small-scale miners (especially women), suppliers of goods and services to mining companies, and communities living in and around mining areas are considered an indirect target group, particularly in the Kayes and Sikasso mining regions. To assess the adequateness of the project design (**assessment dimension 3**), the project's results model was reconstructed. To understand changes during implementation (**relevance dimension 4**), the modification offer, progress reports and other supporting documents were analysed and compared with the opinions of the project team and stakeholders.

Evaluation design and methods: As indicated in the evaluation matrix (see Annex 1), the relevance criterion was mainly assessed through secondary project data, which underwent qualitative content analysis. Additional strategic documents and primary data from stakeholders were also taken into consideration. The updated results model formed a solid base for understanding the adequateness of the project's design, which was discussed and verified during interviews and discussions with key stakeholders. The strength of evidence for the relevance criteria dimensions is found to be good

Analysis and assessment for relevance

Relevance dimension 1: The project is in line with the relevant strategic reference frameworks

This assessment dimension assesses whether the project is in line with national policies and strategies in Mali, as well as with relevant strategic reference frameworks for German international cooperation.

The major strategic national reference frameworks for this project are as follows. Mining-led growth is a key part of the Strategy Paper for Growth and Poverty Reduction for 2019–2023, known as the Strategic Framework for the Economic Recovery and Sustainable Development of Mali (Cadre Stratégique pour la Relance Economique et le Développement Durable du Mali – CREDD). In CREDD, the Malian Government defines sustainability goals to be achieved by 2030. These are based on the country's resilience and potential to maintain a growth trajectory focused on inclusive development, and on reducing poverty and inequalities in a peaceful and united Mali. According to this strategy, the government intends to leverage the

mining sector as a catalyst for inclusive multi-sectoral growth towards the objective of achieving emerging country status for Mali. A well-performing and sustainable extractive sector is expected to address the government's financing needs, create economic links with other sectors, reduce economic volatility, and create jobs, especially for young people.

The government's objectives for the mining sector within CREDD are: (i) to ensure the diversity of mineral discoveries by deepening knowledge of geological potential through new geoscientific data; (ii) to create an enabling environment for investment in expanding current gold production to develop mineral deposits outside of the gold sector; (iii) to promote the sustainable development of small-scale mining for gold and industrial minerals; (iv) to strengthen government capacity to manage the sector; and (v) to improve governance of extractive industry revenues. The government also intends to leverage the mining sector's foreign direct investment potential to maximise finance for development. The aim is to stimulate public-private partnerships to develop social infrastructure around mining communities by implementing initiatives such as The Power of the Mine: A Transformative Opportunity for Sub-Saharan Africa (Banerjee, 2015). In addition to this, the government is seeking to retain existing investment in operating mines, while also attracting new investment.

Key partners confirmed the project was aligned with the country's strategic guidelines and plans (Int_1, Int_2). They pointed out that the project was very much in line with the government's strategies and policies in the extractive sector, and highly relevant for taking them forward. They assessed the project's objective and approach as being adequate.

The project's objective was geared towards implementing the Africa Mining Vision (AMV) Action Plan in terms of resource revenues, transparency and control, as well as local value creation.

The AMV is a response to the governance and management challenges that African countries face in transforming their economies, using natural resources as a catalyst. It contains a set of principles developed under the auspices and political guidance of the African Union. These are based on best practices and lessons from the continent's decades of resource extraction. The AMV's main objective is to create a 'transparent, equitable and optimal exploitation of mineral resources to underpin broad-based sustainable growth and socio-economic development' (AMV, 2009). It is founded on the following fundamental pillars:

- optimising the knowledge and benefits of finite mineral resources at all levels of mining, and for all minerals,
- harnessing the potential of small-scale mining to improve rural livelihoods and integration into the rural and national economy,
- fostering sustainable development principles based on environmentally and socially responsible mining, which is safe and includes communities and all other stakeholders,
- building human and institutional capacities towards a knowledge economy that supports innovation, research and development,
- developing a diversified and globally competitive African mineral industry, which contributes to broad economic and social growth through the creation of economic linkages,
- fostering a transparent and accountable mineral sector, in which resource rents are optimised and used to promote broad economic and social development, and
- promoting good governance of the mineral sector in which communities and citizens participate in mineral assets, and in which there is equity in the distribution of benefits.

These pillars have been used to develop the AMV Action Plan. Activities were grouped into 10 programme clusters based on the AMV requirements (expressed in the above pillars):

- mining revenues and mineral rents management,
- geological and mining information systems,
- building human and institutional capacities,
- artisanal and small-scale mining,
- mineral sector governance,
- research and development,
- environmental and social issues,
- linkages and diversification,
- mobilising mining and infrastructure investment, and
- policy, regulations, regional cooperation and harmonisation.

In line with the objective of implementing the AMV Action Plan, the project provided support on a couple of relevant policy issues. That support refers particularly to the Action Plan programme clusters 1, 3, 4, 5 and 8. More specifically, support was delivered on the following activities recommended by the Action Plan:

- improve national capacity to physically audit mineral production and exports (activity 1.01),
- build the capacity and enhance the skills of officials in effectively monitoring compliance with taxation laws (activity 1.03),
- develop mineral taxation guidelines for national implementation (activity 1.09),
- build stakeholder knowledge of and capacities in policies, legal frameworks and regulation of the mineral sector (activity 3.07),
- regularise and mainstream artisanal and small-scale mining into broad-stream socio-economic activities (activity 4.01),
- strengthen transparency and access to information at all levels (activity 5.01), and
- develop value-addition policies and strategies (based on supply chain analysis), including local content and beneficiation (activity 8.02).

In addition, the project also supported MoM in developing a new mining policy with a consultant, in order to align the government's general policy approach to the AMV Action Plan. The result has proved highly relevant for the government, as underlined by a statement from a MoM representative, who said, 'The new mining policy the project helped to elaborate is a big step forward in harmonising Mali's approach to the extractive sector with the Africa Mining Vision,' (Int_1).

All government officials interviewed during the mission confirmed that the technical support and capacity building activities delivered by the project were relevant. This was particularly true of the training for tax auditors: more than 25 auditors working in the extractive sector participated in 6 training sessions on the taxation of revenues from the exploitation of raw materials. A survey among the participants of the last training session conducted during the evaluation mission revealed good results for relevance. Out of 16 auditors answering the question of whether the various training modules implemented by the project were relevant to their daily professional work, 11 assessed them as being 'very relevant' or 'relevant'. Most of the auditors also confirmed that the training was adapted to the specific needs of their work. The same holds true for the training for mine inspectors employed by DNGM, which was also carried out during the evaluation mission. 15 mine inspectors were trained on: challenges, approaches and tools in the control of mining activities; inspection procedures and the current regulations on mine inspection in Mali's mining code; as well as new regulations due to be enacted. A clear majority of participants assessed the training as being relevant and adapted to the specific needs of their work.

Interviews with government officials also showed that support to develop a guide on the tax methodology used for auditing mining companies was perceived to be highly relevant, making taxation more consistent and predictable. However, the guide had not yet been finally approved at the time of the evaluation mission. It was also pointed out that setting up a mining register (*cadastre*) was an important milestone for the country. Support on the register was the focus of the project's first phase, but it continued during the project's second phase, which is the object of this evaluation. One of the focus areas was to set up an exhaustive property register. The previous system did not allow interested investors to access data on mining potential, and DNGM did not have the adequate administrative or technical resources or tools (including IT resources) for a register, or to process mining titles in real time. Modernising the *cadastre* and making management of it more transparent and efficient has ensured better technical security of mining titles (Int_1, Int_3).

Government partners also strongly underlined the relevance of the long-term study for collecting representative data on employment, income and human rights in the Kayes and Sikasso mining areas. Its results are perceived to be key to maximising revenues from the mining sector, and helped raise the issue of local content, as well as the social issue of mining at a local level (Int_1). Stakeholders involved with research on Mali's mining sector expect the long-term study to be very useful, as it also has the potential to create a big change in gender mainstreaming, conflict management, and the relationship between mining companies and local communities (Int_9, Int_10).

For CSOs such as the women's organisations AFEMINE and FEMIMA, the project's support on capacity building for policy analysis, political dialogue and advocacy was very relevant. It increased their capacities to participate in the public debate. The project's support has also enabled these organisations to increase their visibility (FGD_3).

Participants in the FGDs held in Kéniéba also pointed out the relevance of the project's contributions at a local level. This is especially true for the support on the PDSEC processes for producing local development plans, as well as on the public restitution processes to increase transparency in local authorities' management of public affairs and reinforce their accountability. They also confirmed that the exchange visits that the project organised were very fruitful (FGD_1, FGD_2).

Finally, the relevance of the project's contributions to improving extractive sector governance in Mali is also underlined by the fact that most activities that the project initiated will be carried on by WB (see section 4.5 for more details).

The project is based on core BMZ strategies and concepts on good governance in the extractive sector, especially the BMZ Strategy Paper on Extractive Resources in German Development Cooperation (*Entwicklungspolitisches Strategiepapier Extraktive Rohstoffe*) (BMZ, 2011). The paper mentions good governance and the establishment of efficient structures as essential elements for the sustainable management of raw materials⁴. The project is also aligned with the five ways of promoting a sustainable raw materials sector in developing countries, as set out in the strategy paper:

- using the raw materials sector to develop and strengthen the economy, creating more added value locally,
- developing efficient and effective structures in the extractive sector, creating an appropriate public enabling environment,
- establishing transparency for commodity and payment flows,
- establishing minimum environmental and social minimum standards, and
- making better and more efficient use of extractive resources.

In addition, providing political, financial and technical support for national EITI processes in partner countries has been a core commitment for BMZ since the initiative was established in 2003. EITI's importance is also mentioned in BMZ's Marshall Plan with Africa (*Afrika und Europa – Neue Partnerschaft für Entwicklung, Frieden und Zukunft. Eckpunkte für einen Marshallplan mit Afrika*) (BMZ, 2017). The project's focus and approach are also fully synchronised with BMZ's Mali country strategy (*Länderstrategie Mali*) (BMZ, 2017), underlining how crucial good governance in the extractive sector is for the country. The strategy points out that the Malian mining sector so far contributes insufficiently to the country's sustainable development, due to the fact that current conditions do not meet the requirements of the AMV Action Plan. Poor management of the sector accounts for the loss of potential government revenues, and means that mining is not fully leveraged to drive local employment. A lack of oversight and control capacity on the part of the Malian Government is another major obstacle, as well as a human rights risk. For these reasons, a major overhaul of the outdated mining policy is needed, along with a shift in the current focus from macroeconomic issues to local, economic and human rights-focused development. Finally, the local supply industry also needs to be strengthened.

As articulated in the project strategy (*Programmorschlag*), the project is focused on Sustainable Development Goal (SDG) 8 (Decent work and economic growth), SDG 16 (Peace, justice and strong institutions) and SDG 17 (Partnerships for the goals). The relationship between mining and the SDGs is complex and strong. The report Mapping Mining to the SDGs: An Atlas, jointly prepared by the United Nations Development Programme, the World Economic Forum, the Columbia Center on Sustainable Investment and the Sustainable Development Solutions Network (2016), illustrates how mining can contribute to achieving the SDGs.⁵ The report maps the mining industry's roles, responsibilities and opportunities across the 17 SDGs; demonstrates how the mining industry can ensure that the social and economic benefits of mining are widely shared, and the environmental impact minimised; and maps the relationship between the mining industry and the SDGs by using examples of good practice in the industry, and existing knowledge and resources in sustainable development. With regard to the SDGs highlighted in the project strategy, the specific contributions of mining can be described as follows.

⁴ The strategy paper is available here: https://foes.de/pdf/Strategiepapier299_04_2010.pdf

⁵ Mapping Mining to the SDGs: An Atlas (United Nations Development Programme, World Economic Forum, Columbia Center on Sustainable Investment and Sustainable Development Solutions Network, 2016), available at: https://www.undp.org/content/dam/undp/library/Sustainable%20Development/Extractives/Mapping_Mining_SDGs_An_Atlas.pdf

- **SDG 8 – Decent work and economic growth.** Mining can generate new economic opportunities for citizens and members of local communities, including jobs, training and business development relating to mining operations, associated services, providers, or new local economies linked to the mine.
- **SDG 16 – Peace, justice and strong institutions.** Mining can contribute to peaceful societies and the rule of law by preventing and remedying company-community conflict; respecting human rights and the rights of indigenous peoples; avoiding illicit transfers of funds to public officials or other people; ensuring the transparent reporting of revenue flows; and supporting representative decision-making by citizens and communities in extractives development.
- **SDG 17 – Partnerships for the goals.** Mining can strengthen domestic resource mobilisation (including through international support to developing countries), and improve domestic capacity for tax and other revenue collection.

The project is also relevant to Mali's peace and conflict context, which has weakened the country's government structures. The development of the security situation crucially depends on credible implementation of the reform processes planned in several sectors. The mining sector is among these, considering its huge potential to generate state revenue and enhance local business and employment.

In conclusion, the project is in line with Mali's national policies and strategies, and strategic reference frameworks for German international cooperation, and also responds to core targets for selected SDGs.

Relevance dimension 2: The project strategy addresses the core problems and needs of the target group(s)

This assessment dimension assesses whether the project strategy addresses the core problems and needs of the target groups. The project identified and targeted these institutions, organisations and individuals for its support measures, and the target groups can be distinguished as follows.

- MoM, DGI, DNGM and Mali EITI Secretariat staff, who benefitted, for instance, from direct capacity building measures and technical input through studies and strategies.
- National, regional and local CSO staff who partnered with the project, including the women's organisations AFEMINE and FEMIMA. They benefitted, for instance, from direct capacity building measures and increased visibility.
- Community leaders, citizen representatives (*élus*), local CSO staff and young people in the Kayes and Sikasso mining regions who benefitted from study visits, among other things.

In the following evaluation, the evaluation team will assess the extent to which the project strategy was geared towards the core needs of the project's target groups. Key government personnel from MoM, DGI, DNGM and other administrative bodies benefitted from direct capacity building measures and technical input through studies, strategies and day-to-day support and advice. The EITI Secretariat also benefitted from a development worker (*Entwicklungshelfer*) who provided support, particularly on communications. These measures respond to the demands articulated by the target group at managerial level. The training, workshops and other events organised through the project have proved to be highly relevant for deepening the knowledge of people involved, and for introducing new concepts and methods relevant to improving framework conditions. At managerial level, all partners confirmed the activities were relevant and always implemented based on demand and participatory planning (Int_1, Int_2, Int_3, Int_4). In reference to the relevance of the mine inspector training, a DNGM representative remarked, 'The training was vitally important, because it enabled the current text to be connected with the new one being prepared to reflect the DNGM's focus' (Int_3).

Among those who have benefitted directly from capacity development measures were tax auditors and mine inspectors. The survey conducted during training sessions at the time of the evaluation mission shows that 12 out of 13 mine inspectors rated the training as 'highly' or 'very highly' adapted to their specific needs. As regards the tax auditors, 12 out of 17 participants rated the training as 'highly' or 'very highly' applicable to the demands of their daily work. These results confirm that the project's contributions were sufficiently demand-based on an operational level. Similarly, the project adapted the design of its support to

the specific beneficiaries' requirements in component 2. While CSOs required capacity building, the Mali EITI Secretariat was in need of a communication strategy and the respective tools. In both cases, the project filled the gaps identified in order to stimulate the public debate on the Malian EITI process (Int_2, Int_8).

Observations on whether the project meets the needs and concerns of women and men are twofold. On the one hand, the project strategy does not distinguish sufficiently between the different needs of women and men. The project's main activities are open to both sexes equally. However, considering that the target organisations have a high share of male technical staff, women are generally outnumbered. No gender identifier was given to the project in its design phase. On the other hand, the project team did recognise the need to provide additional support to women working in the artisanal and small-scale mining sector, and modified the project indicators in the 2016 project progress report. They put a special focus on women in output B. They also established cooperation with the women's organisations AFEMINE and FEMIMA to strengthen their capacities, and to promote and support women's role and interests in mining, especially small-scale mining. The long-term study also put a special focus on improving the employment situation and working conditions for women in mining.

The project does not operate at the final beneficiary level, meaning no specific measures are provided for the Malian population directly. However, it did address core problems such as poverty alleviation and job creation, and carried out work in remote areas, such as Kayes and Sikasso, where a lot of disadvantaged communities live. It should also be acknowledged that the project is a module within BMZ's PADRE programme, which specifically aims to strengthen the regions' financial and economic capacities.

The project strategy therefore addresses the target groups' core problems and needs to a high degree.

Relevance dimension 3: The design of the project is adequately adapted to the chosen project objective

An assessment of the project's results model prior to the evaluation showed that there was scope for revision. During a participatory exercise, the results model was reconstructed to represent the project's logic more realistically. In particular, it was necessary to adjust the system boundary, which the previous results model did not consider carefully enough. The system boundary is defined based on the project's scope of control, so results outside the system boundary are beyond the project's exclusive responsibility and are affected by other factors, stakeholders and interventions in the respective country. In general, results that require political will and support are outside the model's system boundary, as the project cannot control changes in the commitment of political actors.

In the case of this project, government approval was needed to create an operational independent mine inspectorate. Without that approval, it was difficult if not impossible to deliver on output D (strengthening mine inspectors' supervisory and control functions). As a result, it was also difficult to achieve project objective indicator 4, which demands that 6 out of 9 of the biggest mining companies are subject to annual mine inspections. The decree setting up an independent mine inspectorate was not approved by Mali's Council of Ministers for reasons that were not clear to the evaluation team. Instead, establishing a mine inspectorate within the structure of DNGM was planned, with the project's support, but this has not yet happened. For this reason, no staff were designated for an independent mine inspectorate, and the project had difficulties identifying personnel to be trained on mine inspection issues. Central assumptions outlined by the project strategy were therefore not considered as carefully as was required.

The project objective was for the Malian Government, together with the private sector and civil society, to have successfully implemented the Africa Mining Vision (AMV) Action Plan in terms of resource revenues, transparency and control, as well as local value creation. The evaluation team's view was that it was achievable but ambitious, for the following reasons. First, the political and socio-economic environment in

Mali is highly unstable, and the security situation is very tense and likely to get worse. This implies that government structures are weakened. It was also clear from the very beginning of the project that a worsening security situation has a negative impact on the business climate and therefore on the sustainability of investments. The security situation also imposed the risk that project activities could not be implemented, at least temporarily or only remotely, without the direct deployment of international staff. Second, political decision-making processes in Mali are generally slow, which means the Malian Government's implementation capacities are weak. Third, there are competing interests among the project's major government partners, such as MoM and MoF.

The project strategy caused additional difficulties in achieving the project objective. For instance, the strategy did not include any direct cooperation with mining companies, especially the large international mining companies operating in Mali. Mining companies therefore could not contribute to achieving the project objective, although they had a vital interest in seeing improvements in sector governance, including in transparency, taxes, corporate social responsibility and local content. This interest was mainly based on a lack of clear guidance, and to avoid the social conflict they face in their operations. It also took quite a long time to prepare the long-term study to collect representative data on employment, income and human rights in the Kayes and Sikasso mining areas. Although the study was nearly finalised by the time of the evaluation mission, it had not yet been published. However, the study did already have tangible impact at the time of the evaluation mission (see section 4.3).

Furthermore, the project strategy was very broad, covering a wide range of intervention areas for the limited financial resources available. In principle, this does not necessarily have negative implications for achieving outputs and project objective indicators. However, limited resources did not allow the project to fully engage on each of its components. The project therefore had to limit its scope and ambition to stimulating initial developments and changes, rather than providing full support. For instance, the Mali EITI Secretariat also asked the project for support on capacity building in data management, which could not be provided (Int_2). This was due to budget limitations.

Finally, the government's commitment to each of the project's components seemed to vary. There was strong commitment to technical support delivered under component 1, and sincere interest in the results under component 3 on local content. However, there was much less governmental support and interest in component 3 on improving transparency in the extractive sector (Int_1).

There were therefore some shortcomings in the project strategy in terms of adaptation to the project objective, which caused major difficulties in implementation.

Relevance dimension 4: The project strategy was adapted to changes in line with requirements, and readapted where applicable

Following the project's first year of implementation, its strategy and results matrix were updated. The update was explained and proposed in the 2017 progress report to BMZ. Specifically, the following indicators have been changed at module and output level.

- Project objective indicator 1: At the start of the project, a reduction of tax disputes was planned through the establishment of a committee to review appeals against tax claims (*collège des pairs*). Due to competing interests between MoM and MoF, it was not possible to set this committee up by the end of 2017. The project therefore changed its strategy to achieve the indicator. While the goal of reducing tax disputes was maintained, the project shifted its focus to qualifying tax auditors to enable them to work in accordance with the law. In addition, guidelines for tax auditors were supposed to be elaborated to ensure equal treatment in, and predictability of, taxation and to create a common and consistent understanding of various tax issues.
- Project objective indicator 2: The target value was framed more precisely by focusing on three mining companies.
- Project objective indicator 3: According to the EITI reporting cycle, the indicator was framed more precisely. The focus was shifted towards making information on artisanal and small-scale mining available in Mali's 2016 and 2017 EITI reports, and encouraging public debate on artisanal gold mining.
- Project objective indicator 4: The target value was adjusted due to a decrease in the number of international mining companies operating in Mali from 10 to 9.
- Output indicator A: The indicator was reframed due the difficulties in setting up a tax assessment committee (see modification to outcome indicator 1). Output indicator A.2 was adjusted accordingly.
- Output indicator B: The indicator was refocused on local suppliers and service providers due to the project's limited influence on local employment by mining companies. Output indicators B.1 and B.2 were adjusted accordingly, with a focus on diversification and local employment of suppliers and service providers.

All these changes were apparently necessary, and the project management initiated them in time to get BMZ's approval. However, the most significant change that appeared in the project context was the fact that the Malian Government did not approve the decree establishing an independent mine inspectorate. For a long time, the project did not react to this situation and did not change the relevant project objective indicator 4, probably because it was thought to be too late in the project term. Only at the end of its term did the project initiate and implement training for mine inspectors employed by DNGM. Although the project managed to deal with the changed situation in the long run, it could have reacted much earlier to tackle the situation more appropriately.

Implementation also came to a standstill when the project encountered difficulties in its cooperation with the former head of the Mali EITI Secretariat. Only after a change in the secretariat's leadership in January 2019 did the collaboration improve. Another issue arose under component 2 on transparency, as the 2016 Mali EITI report (Mali EITI Secretariat, 2016) only dealt very marginally with artisanal and small-scale mining, but the 2017 report was not expected to be published before the end of the project term. This made it extremely difficult for the project to promote a public debate on the issue of artisanal and small-scale mining based on information provided in EITI reports, as required by project objective indicator 3. The solution that the project agreed with GIZ headquarters was to extend the indicator's information basis to include all kinds of communication on artisanal and small-scale mining by the secretariat. Again, the project had to deal with shortcomings in its strategy due to failed assumptions. Although the project team managed to find a solution, whether it was viable still needs to be assessed (see section 4.2).

The project only partially met the requirements for readapting its strategy to changes in line with requirements, and did so with significant delay.

Overall assessment of relevance

The evaluation team concludes that the project strategy is aligned with the relevant strategic reference frameworks. It builds on key strategic documents produced by the Malian Government and BMZ, and is well embedded in the global priorities set out in Agenda 2030. The evaluation team therefore awards 30 out of 30 points in the first assessment dimension of the relevance criteria. The project strategy also addresses

the core needs of the immediate target groups, including technical staff at government institutions, CSO representatives and citizen's representatives in mining areas. The initial project strategy did not appear to represent the different needs and concerns of women and men sufficiently. However, in its implementation framework, the project was actively engaged in promoting the interests and concerns of women in the mining sector. The evaluation team awards 26 out of 30 points for the assessment dimension on matching the needs of the target group.

As regards relevance dimension 3, the evaluation team found some shortcomings in the project strategy that resulted in obstacles for project implementation. In general, the project strategy was too ambitious and was also partly based on assumptions that were not realistic. Some of the results have not been adequately designed to achieve the project objective. The shortcomings in the project strategy relate to output D in particular, due to a high dependency on public decision-making processes. This prevented the project from moving forward in supporting the mine inspection's supervisory and control functions. On that basis, 10 out of 20 points are given.

The project eventually reacted to changes in its context, particularly the non-approval of the decree setting up an independent mine inspectorate, although the reaction was late. This leads to a score of 15 out of 20 points for the assessment dimension on adapting to change.

The project's relevance overall is awarded **81 out of 100 points**, making it **successful**.

Table 3. Rating of OECD/DAC criterion: relevance

| Criterion | Assessment dimension | Score and rating |
|---|--|---|
| Relevance | The project strategy ⁶ is in line with the relevant strategic reference frameworks. | 30 out of 30 points |
| | The project strategy matches the needs of the target group(s). | 26 out of 30 points |
| | The project strategy is adequately designed to achieve the chosen project objective. | 10 out of 20 points |
| | The project strategy was adapted to changes in line with requirements and readapted where applicable | 15 out of 20 points |
| Relevance total score and rating | | Score: 81 out of 100 points Rating: Level 2: successful |

4.2 Effectiveness

This section analyses and assesses the effectiveness of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

Evaluation basis and design for assessing effectiveness

The assessment of the project's effectiveness is structured along three assessment dimensions.

Effectiveness dimension 1 deals with the question of whether the project has achieved the objective on time, in accordance with the project objective indicators agreed in the proposal. The evaluation team

⁶ The project strategy encompasses the project's objective and theory of change (ToC = GIZ results model = graphic illustration and narrative results hypotheses) with outputs, activities, instruments and results hypotheses, as well as the implementation strategy (methodological approach, capacity development strategy and results hypotheses).

assessed progress on each of the project objective indicators in the results matrix. A necessary precondition for using these indicators as the basis for assessment is that they fulfil the specific, measurable, achievable, realistic and time-bound (SMART) quality criteria. For this reason, two of the indicators required adaptations, as stated below.

Table 4. List of project objective indicators adapted for the evaluation

| Project objective indicator according to the offer/ original indicator | Assessment according to SMART criteria/assessment | Adapted project objective indicator |
|--|--|---|
| <p>3) In 10 cases, information on small-scale gold mining contained in the 2016 Malian EITI report (published in 2018) feeds the public debate.</p> <p>Base value: 0 Target value: 10 Current value: 0</p> <p>Source: Evaluation of radio programmes, newspaper articles and public events to disseminate the content of the 2017 and/or 2018 EITI report. Comparative analysis with the AMV reference: 4 (small-scale mining); 5.01 (improving transparency and access to information).</p> | <p>Indicator is not realistic. The indicator relies on specific information on small-scale gold mining to be provided by the 2016 Malian EITI report, which deals with this issue in a very marginal way. For that reason, it was not realistic to expect the 2016 EITI report to contribute to a public debate on the issue. An initial interview with the Mali EITI Secretariat has revealed that the Malian Government has no – or at most a limited – interest in encouraging public debate on small-scale gold mining. Project staff discussed this problem with GIZ headquarters during implementation. It was decided the indicator should not be changed. Instead, it was agreed that additional sources of information on small-scale gold mining provided by the Mali EITI Secretariat should be taken into consideration as well.</p> | <p>In 10 cases, EITI information on small-scale gold mining feeds the public debate. Base value: 0 Target value: 10 Current value: 0</p> <p>Source: Evaluation of radio programmes, newspaper articles, public events to disseminate the content of the 2017 and/or 2018 EITI report. Comparative analysis with the AMV reference: 4 (small-scale mining), 5.01 (improving transparency and access to information).</p> |
| <p>4) 6 of the 9 largest mining companies are subject to annual inspections.</p> <p>Base value: 0 Target value: 6 out of 9 Current value: 0</p> <p>Source: Documentary assessment and analysis, including audit reports from the mine supervisory authority on various inspections, and EITI reports. AMV reference 1.01 and 3.07 (capacities to monitor production and regulate).</p> | <p>Indicator is not realistic. The system boundary had to be adjusted for this indicator (see section 2.2). As the indicator is not realistic under these conditions, the project team and GIZ's Evaluation Unit agreed to adapt it. As a result, the indicator is now at the output level or even below. However, the training envisioned by the adapted indicator should allow capacity building in surveillance and control of the extractive industries sector for DNGM technical staff.</p> | <p>15 DNGM agents master the process of controlling mining operations. Base value: 0 Target value: 15 Current value: 0</p> <p>Source: Attendance list, training report and skills assessment.</p> |

Effectiveness dimension 2 analyses the degree to which the project's activities and outputs have contributed to its objective (outcome). The assessment was based on a contribution analysis, scrutinising the extent to which observed impacts (positive or negative) are related to the intervention (Mayne, 2011). A contribution analysis differs from other forms of theory-based evaluation in so far as it not only analyses the hypotheses of the ToC, but also seeks to identify alternative explanations that may explain the impacts observed. It does not seek to prove that one factor 'caused' the intended impact, but analyses the extent to which the intervention has contributed to the impacts observed. Data from various sources is gathered to analyse the causal hypotheses between inputs, outputs, outcomes and impacts formulated in the ToC. A contribution analysis seeks to construct a credible 'performance story' to show whether the intervention was a relevant factor – possibly among others – leading to change. Context factors that play a role in whether the intervention's objective is achieved are explicitly considered in a contribution analysis. The analysis has focused on three hypotheses underlying the ToC (see below under effectiveness dimension 2).

Effectiveness dimension 3 examines unintended positive or negative changes. The evaluation team assessed whether the project has produced any unintended positive or negative results at the outcome or output level – and if so, why. Furthermore, it analysed how the project has dealt with the risks of unintended negative consequences and whether its mitigation measures (if any) have been adequate. Finally, the evaluators explored how the project monitored and exploited any unintended positive results.

Evaluation basis: As a first step, the evaluation examined to what extent the agreed project objective (outcome) has been achieved, measured against the project objective indicators. This required a comparison between the current status and the targets for the project objective indicators. In a second step, a contribution analysis was conducted to assess to what extent the activities and results achieved (outputs and outcomes) contributed to achieving the project objective. As a third step, the evaluation assessed unintended changes under the effectiveness criteria. Unintended changes could, for instance, refer to aspects that have positively or negatively influenced the attitude, subjective norm or perceived behavioural control of national actors.

Evaluation design and methods: To reach conclusions about the effectiveness and achievement of indicators, the evaluation team built on both secondary and primary data sources. During a qualitative content analysis, key project documents, as well as the available external documents, were reviewed and examined for evidence on the indicators. The consultants also collected and triangulated the perceptions of key stakeholders, including the project team, key partners and further project stakeholders. Qualitative data collection instruments were threefold. Semi-structured interviews were conducted with higher-level authorities and institutions, such as MoM, DGI, DNGM, the Mali EITI Secretariat, associations such as AFOPREM, CSOs and research institutions working on the mining sector. FGDs were also set up with CSO representatives partnering the project (AFEMINE, FEMIMA), and local stakeholders, following a semi-structured guideline. In addition, as a quantitative element to collect evidence on output A, a survey of 30 training participants was carried out to assess the effectiveness of training for tax auditors and mine inspectors.

Analysis and assessment of effectiveness

Effectiveness dimension 1: The project achieves the objective on time in accordance with the project objective indicators agreed upon in the contract

The following section provides an overview of whether the project achieved its objective based on the indicators in the results matrix.

Objective: The Malian Government, together with the private sector and civil society, has successfully implemented the Africa Mining Vision (AMV) Action Plan in terms of resource revenues, transparency and control, as well as local value creation.

As regards achievement of the project objective indicators, the project has only partially been able to reach its targets (effectiveness dimension 1):

- **Project objective indicator 1: The share of tax adjustments for mining companies that result in lawsuits drops by 55 percentage points.**

As indicated above (section 4.1, relevance dimension 4), the approach to achieving this indicator was modified during project implementation, without changing the indicator's wording. The project shifted its focus onto qualifying tax auditors to enable them to work in accordance with the law. Guidelines for tax auditors were also produced to ensure equal treatment in, and predictability of, taxation, and to create a common and consistent understanding of various tax issues. These training sessions were carried out to the beneficiaries' satisfaction. In 2018, a government decree announced the creation of a tax conciliation committee (*comité de conciliation fiscale*) to perform the same functions as those intended for the *collège des pairs*. The only difference was that the *comité de conciliation fiscale* would deal with tax disputes

regardless of the area of business, while the *collège des pairs* would deal with tax disputes involving mining companies only. Although the proposed structure was not operational by the end of the project term, the decree is a significant step forwards in achieving the indicator. In addition, statistical data on tax adjustments for mining companies that the evaluation team received from DGI enables conclusions to be drawn that are relevant for assessing achievement of the indicator (Int_4).

Table 5: Development of tax adjustments for mining companies in numbers and amounts

| Year | Number of tax adjustments for mining companies | Total amount demanded by tax authorities (in CFA francs) | Total amount demanded by tax authorities (in CFA francs) |
|------|--|--|--|
| 2017 | 5 | 20,779,807,739 | 2,117,140,245 |
| 2018 | 3 | 8,843,706,870 | 4,721,575,765 |
| 2019 | 1 | 2,158.954,041 | 1,946,957,705 |

The figures in the Table 4 show the development in the overall numbers and amounts of tax adjustments for mining companies from 2017 to 2019. The number of tax adjustments for mining companies increased in this timeframe. However, this is not decisive. Much more important is the fact that the overall amount demanded by tax authorities has dropped significantly compared to the total amount of tax deductions given to mining companies. According to the data, the gap between the total amounts demanded by the tax authorities and the total amounts of tax reductions given has decreased significantly.

This development clearly indicates that taxation for mining companies became more consistent and predictable within the project term. Although there is no data available on a drop in the number of lawsuits related to tax adjustments, the evaluation team assumes, for reasons of plausibility, that the share of tax adjustments for mining companies resulting in lawsuits has also dropped. Relevant partner representatives confirmed the project's contribution to this development (Int_1, Int_4). The project was able to make important steps towards achieving the indicator, with a final achievement rate of 50%.

- **Project objective indicator 2: Three international mining companies are increasing the share of their local procurement (excluding fuel) by 3.33% per year.**

Project objective indicator 2 faced a problem with the availability and reliability of data. According to the institutes and organisations involved in defining the base values for this indicator, the data collection process was difficult, because not all companies were open and supportive. One interview partner involved in defining the baseline stated that the result was acceptable (Int_9). Asked for an estimation of the base value's reliability, another interview partner involved in the definition stated that it was only 45% realistic (Int_10). Unfortunately, no other data on this issue was available.

The indicator envisages an average increase of 3.33% per year in the procurement of local goods (except fuel) and services, by three major mines operated by international mining companies: Segala Mining Corporation (SEMICO), Kalana Gold Mines Company (Société des Mines d'Or De Kalana – SOMIKA), and the Loulo Gold Mines Company (Société des Mines de Loulo – SOMILO). Interviews revealed that the amount of local procurement for mines highly depends on the status of mine development. For instance, in the construction phase, mining companies will need more locally procured construction materials than in the operational phase (Int_9). This also underlines that any increase in local procurement must be based on a long-term assessment, which was not possible during the project term.

Quarterly or annual reporting by mining companies does not contain sufficiently disaggregated data on local procurement for specific mines. The same observation was made in the Mining Local Procurement Reporting Mechanism study (Engineers Without Borders Canada, 2017), which included a pilot process in

Mali⁷. MoM also does not have detailed information on local content (local procurement and jobs). The publications of the Malian Planning and Statistics Unit (*Cellule de Planification et de Statistique*) only contain global figures, including the effects of mining activities on the economy, tax revenues, exports and number of jobs.

The long-term study commissioned by the project did not collect any specific data on local procurement by mining companies either. Instead, it presents case studies on local procurement for specific mines, which indicate that there has been an increase in local procurement. Data retrieved through the long-term study, and by the Malian Planning and Statistics Unit (on more general issues such as the impact of mining activities on the economy, its share of tax revenues, exports and number of jobs), enables plausibility conclusions to be drawn about an increase in local procurement by mining companies.

These plausibility conclusions are supported by a qualitative assessment based on interviews with one of the international mining companies, government partners such as MoM, AFOPREM (the organisation working to increase local procurement) and other stakeholders. Seven people were interviewed on this issue overall. The qualitative assessment concluded that there is a steady increase in local procurement by international mining companies amounting to at least 3.33% per year, as required by the indicator. However, specific data was unavailable. For instance, this increase was confirmed in an interview with the management of an international mining company operating one of the mines named in the indicator. The management stated that the company's local procurement is increasing significantly from year to year, and mentions the company's support for building the capacity of local suppliers.

One example of local supplier development in Mali pointed out by the management is the EGTF Group that has been working with the mining company for more than 20 years. EGTF Group's founder first began working with the mining company as a labourer, before helping with construction for specific mining projects. For each project, EGTF Group staff received training and took on additional responsibility. The EGTF Group is now regarded as Mali's leading construction company in the mining industry, and has completed large construction projects for the Mali and Niger governments with revenues of more than USD 15 million (Int_7). Another stakeholder doing research on local content confirmed that local procurement is a high priority for international mining companies in Mali (Int_9). Finally, MoM also reported an increase in local procurement by international mining companies. It was further noted that a workshop that MoM held with mining companies on local content had positive effects on awareness about the issues and companies' approach to increasing their local procurement (Int_1).

However, plausibility is less convincing when it comes to assessing the project's contribution to this increase in local procurement. The project promoted achievement of the indicator mainly through setting up a cooperation with AFOPREM, which was founded in June 2018 to represent suppliers of goods and services to mining companies. Its cooperation with the project started with the signing of a memorandum of understanding. In order to support AFOPREM's setting up, an exchange trip with the subcontractors' association to Burkina Faso was organised in 2018. Among other things, AFOPREM aims to contribute to the promotion of professional suppliers, increase the share of local suppliers of goods and services to mining companies, and actively participate in debates on improving the economic and social effects of mining in Mali (Int_6).

Although setting up the cooperation with AFOPREM to support local procurement was undoubtedly a good decision by the project, plausibility does not allow conclusions to be drawn on any immediate and direct effect of the cooperation on achieving indicator 2. However, it is clear that the project's long-term study – which also deals with local content – and its preliminary discussion among stakeholders, has contributed to

⁷ The study is available here: https://www.bmz.de/rue/includes/downloads/GIZ_EWB-MSV-MINING_LPRM-July-2017.pdf

increasing awareness on the issue. The overall achievement of indicator 2 is therefore estimated to be 50%, based on the evaluation team's perception.

- **Project objective indicator 3: In 10 cases, EITI information on small-scale gold mining feeds the public debate.**

Several activities were carried out to support the Mali EITI Secretariat on this indicator. They included developing an EITI communication strategy and implementation plan, updating the EITI website, producing information bulletins (*bulletin trimestriel*) and annual reports, printing flyers and reports, and providing other materials to enhance EITI's visibility, including USB sticks. Two debate clubs on EITI topics were organised at universities with the aim of building awareness of EITI among students and professors, and encouraging public debate on natural resource governance. The first debate club was held at Bamako's private university, the Université Privée Ahmed Baba, in December 2018.⁸ With the project's support, the Mali EITI Secretariat also organised a conference on EITI implementation at the Economics Faculty of the University of Bamako in November 2017.⁹ It was not clear to the evaluation team whether these debate clubs also dealt with small-scale gold mining. Relevant CSOs also received support, including capacity development, local grants and collaboration agreements, especially AFEMINE and FEMIMA.

In assessing the project's achievements based on the adapted indicator, the evaluation found that there has been a positive development regarding the public debate to ensure that stakeholders are engaged in dialogue about natural resource revenue management (Requirement 7.1 of the EITI Standard (EITI, 2019)). However, the public debate that evolved during the project term only dealt marginally with the issue of small-scale gold mining. The May 2019 report on Mali's latest EITI validation confirms the observed increase in public debate on natural resource management, saying, 'The International Secretariat is satisfied that the corrective action on public debate has been addressed and considers that Mali has achieved satisfactory progress on Requirement 7.1.'¹⁰

As evidence of an increase in the public debate on EITI, the project team documented and made available press articles from 2018 on the public debate about the mining sector. This was put together by the Malian Network of Journalists for the Fight Against Corruption and Poverty (Réseau Malien des Journalistes de Lutte Contre la Corruption – RMJLCP). As another example, the head of the Mali EITI Secretariat gave the evaluation team an article on EITI in Mali, which was published in a special edition newspaper for the Mali Mining and Petroleum Conference and Exhibition in November 2019. While these publications provide evidence of an increased public debate on EITI issues, they do not cover small-scale gold mining. The only case in which information on small-scale gold mining has been made available by the Mali EITI Secretariat is the 2016 EITI report. Achievement of indicator 3 can therefore only be rated at 10%.

- **Project objective indicator 4: 15 agents of the National Directorate of Geology and Mines master the process of controlling mining operations.**

Indicator 4 had to be adapted in the course of the evaluation as the original indicator was not realistic (see effectiveness dimension 1). According to the survey of the mine inspectors who were trained, 11 out of 13 participants confirmed that the training contributed 'greatly' or 'very greatly' to improving their capacities in the surveillance and control of mining operations. The same number of participants also confirmed that they would use the additional knowledge gained through the training in their daily work. From the evaluation team's point of view, this rates the achievement of this indicator at 75%.

In conclusion, the project objective indicators were achieved at a rate of 46.25%, with the achievement of two indicators rated at 50%, the third at 10%, and the last one at 75%.

⁸ A report on the debate club's launch is available on the Malian EITI website: <https://itie.ml/mise-place-club-itie-mali/>

⁹ A report on the event is available here: <https://itie.ml/wp-content/uploads/2017/12/Compte-Rendu-de-la-Conference-FSEG0001.pdf>

¹⁰ See page 22 of the validation report available here: https://eiti.org/files/documents/en_final_mali_validation_report_1.pdf

Effectiveness dimension 2: The activities and outputs of the project contributed substantially to the project objective achievement (outcome)

The following sets out progress towards the project objective and, where applicable, the adapted indicators for the four different action areas will be analysed separately. In combination with this assessment, the hypotheses chosen for the contribution analysis are scrutinised to illustrate how outputs contribute to the project objective. The analysis has focused on three hypotheses underlying the project's ToC.

- The first hypothesis (related to component 1) is that the project has improved the equipment and/or qualification of tax auditors, enabling them to fulfil their functions.
- The second hypothesis (related to component 2) is that by capacity building and providing support for improved institutional development, the project strengthened CSOs' capacities to disseminate the relevant information from EITI reports, especially data on small-scale gold mining.
- The third hypothesis (related to component 3) is that the project has strengthened the capacity of subcontractors (suppliers of goods and services to mining companies) and provided stakeholders with information on the issues.

For **component 1** (output A and D), the defined indicators were partly achieved. Output indicator A.1 requires that '25 tax auditors working in the mining sector participated in 3 trainings on the taxation of revenues in the extractive sector.' This indicator was exceeded. In fact, the project implemented a total of 7 training sessions for tax auditors. In addition, output indicator A.2 requires that '50% of the tax audits conducted for mining companies are based on of the guide on tax methodology.' This indicator was partly achieved: the draft guide on tax methodology is available. However, it has not yet been validated, and no training sessions on use of the guide could be implemented before the end of the project term. For this reason, the indicator is considered to have been achieved at a rate of 50%.

According to the survey the evaluation team did of participants in the last training session, the majority of participants confirmed that it has improved their qualification to perform the function of a tax auditor on a scale above medium. They also confirmed that they use or will use the additional knowledge they gained from the training in their daily work. Regarding the guide on tax methodology, the majority of participants confirmed that the guide will be relevant for their work and that it has been tailored to their specific needs. Finally, the majority of participants also confirmed that both the training and the guide have contributed to making, or will make, the taxation of mining companies more consistent and predictable. On these grounds, the first hypothesis can be confirmed at 75%: capacity building measures have enabled tax auditors to better fulfil their functions. However, the guide on tax methodology has not yet been finally approved. As a result, a crucial tool for making the taxation of mining companies more consistent and predictable is not yet available for use. However, hopefully, it will be available and in use in the near future.

Output indicators D.1 and D.2 focus on strengthening the supervisory and control functions of mine inspectors. These indicators are closely related to project objective indicator 4 modified for the evaluation (see above). Indicator D.1 requires '8 mine inspectors to demonstrate in a final exam at the conclusion of training that they have acquired the skills needed to exercise their supervisory and control role.' Indicator D.2 requires that '5 mine inspector reports comply with the standardised/mandatory reporting format'. Neither of these indicators were achieved (0%), due to the problems that the project faced as a result of the lack of clarity about setting up the mine inspectorate (see section 4.1, relevance dimension 3).

Output indicators under component 1 have therefore been achieved at a rate of 37.5%, with one indicator achieved at 100%, another at 50%, and the remaining two at 0%. The first hypothesis was confirmed at 75%.

In **component 2** (output C), the defined output indicators were also partly achieved. Output indicator C.1 requiring 'availability of a communication strategy of the EITI Secretariat' has been fully achieved. The project supported the Mali EITI Secretariat to develop a communication strategy that was approved by Mali's EITI Multi-Stakeholder Group. The situation looks different when it comes to output indicator C.2,

requiring 'the EITI Secretariat to include 10 contributions from civil society relating to the extractive sector in its communication.' Several meetings were held between EITI and the project to achieve the indicator. After the last meeting, an agreement in principle was reached. According to the agreement, CSOs will make contributions to the Mali EITI Secretariat, which will analyse them through its communication committee and disseminate those it deems relevant via its communication channels (such as the EITI website) (Int_2). However, in practice, this did not happen. Although CSOs have made contributions, there has been no response from EITI's communications committee. The evaluation concludes that the value achieved on output indicator C.2 is 0%.

The **second hypothesis** requires the project to have strengthened CSO capacities to disseminate relevant information from EITI reports (particularly data on small-scale gold mining), through capacity building and support to improve institutional development. Achievement of this hypothesis can be confirmed. Three CSOs interviewed during the evaluation stated that capacity building and support to institutional development, undertaken by the project, have strengthened their capacities to disseminate relevant information from EITI reports (Int_8, FGD_3). In fact, the CSOs interviewed also confirmed that they disseminate relevant information from EITI reports. However, it was difficult for the CSOs to disseminate specific information on small-scale gold mining provided by EITI reports, because the only information available was a small paragraph on the issue in the 2016 EITI report (see remarks on project objective indicator 3 above).

Overall, output indicators under component 2 have been achieved at a rate of 50%, with one indicator fully achieved, and the other not at all (0%). The second hypothesis could be fully confirmed.

The project's achievements under **component 3** (output B and E) are also mixed. Output indicator B.1 requires that 'the number of local suppliers contracted by international mining companies increases from 57% to 85%.' Although AFOPREM could not provide any detailed data on the number of local suppliers collaborating with mining companies, the long-term study analysed the number of local suppliers contracted by specific international mining companies in detail, along with their development over time. This data shows that the indicator has been achieved at a rate of 96.5%.

Output indicator B.2 requires that 'local subcontractors and suppliers help to create 200 new jobs, 80 of which are occupied by women.' Based on the data provided by International Alert and the long-term study, it can be confirmed that local subcontractors and suppliers have helped to create at least 200 new jobs, 80 of which are occupied by women (Int_9, Int_10). However, it is not clear how the project has contributed to this development, as any direct influence is missing. For these reasons, the indicator is assessed to be achieved only to an extent of 50%.

Output indicator E demands that 'a representative study on the income, employment and human rights situation has been carried out' in the Kayes and Sikasso mining areas. As the study is available (although not yet published), the indicator has been fully achieved.

Finally, an assessment must be made of whether the **third hypothesis** can be confirmed. It requires the project to have strengthened the capacity of subcontractors (suppliers of goods and services to mining companies) and provided stakeholders with information on the issues. The analysis can only be based on the project's cooperation with AFOPREM, which represents suppliers of goods and services to mining companies, as the project did not establish any cooperation with individual suppliers. The evaluation revealed that the hypothesis can be partly confirmed. The project has strengthened AFOPREM's capacities by establishing a cooperation with the association and carrying out a study visit, although the support was rather limited. The strengthening of capacities has enabled AFOPREM to define its mission and role. Besides, the project's support has contributed to increasing AFOPREM's visibility in a such a way that the organisation is known and supported by relevant stakeholders (Int_1, Int_6, Int_7, Int_9). The project has

also made relevant information available by conducting a long-term study. As the study has not been published and disseminated, this information could, however, not yet be provided to stakeholders. Output indicators under component 3 have been achieved at an average rate of 82.2%, with one indicator achieved at 96.5%, another at 50% and a third at 100%. The third hypothesis could also be confirmed. Overall, the output indicators were achieved to an extent of 56.57%, whereas the hypotheses could be confirmed at an average of 91.67%.

Effectiveness dimension 3: The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized. No project-related negative results have occurred – and if any did occur, the project responded adequately.

Given the feedback provided by stakeholders and based on the evaluators' observations, it appears that the project has had no negative results. This was confirmed by the project's main stakeholders, who were explicitly asked about potential project-related negative results. The evaluation team could not identify any unintended negative results either. However, several unintended positive results emerged, and the following were detected and further verified during the evaluation.

- **Some actors gained regional experiences:** This was triggered by the project's organisation of study visits to Burkina Faso and the Republic of Côte d'Ivoire and refers to CSO and AFOPREM representatives (Int_6, FGD_1, FGD_2).
- **Awareness about local content issues increased and initial steps taken to leverage its potential:** The long-term study's results have raised the government's awareness of local procurement, as it did not have a clear picture of the reality of local procurement before. In addition, the study's preliminary results have fed into the new mining policy to a high degree, and resulted in provisions on local content being included in the new mining law, which was enacted in August 2019 (Int_1). Finally, the study's results have been a major driver for founding AFOPREM. This appears to be an important positive result, especially in terms of its potential to increase local procurement by mining companies in future (Int_9).

Overall assessment of effectiveness

Project objective indicators have only partly been achieved. This was partly due to the project's dependency on political decisions by government partners. Although the project objective indicators have been achieved to an extent of 46.25% overall, the fact that project objective indicator 4 was modified during the evaluation, making it significantly less ambitious, must be taken into account. The evaluation team awards it 15 out of 40 points. The achievement of output indicators averaged 56.57%. The contribution analyses showed evidence that activities and outputs have contributed to the project objective, although the extent of the contribution was partly limited. The evaluation team awarded it 20 out of 30 points. Given the feedback provided by stakeholders, and based on the evaluators' observations, it appears that the project has produced no negative results, although some unintended positive results were achieved. However, potential unintended positive results do not appear to have been explicitly monitored and exploited, resulting in an assessment of 27 out of 30 points.

Overall, the effectiveness of the project is awarded **62 out of 100 points**, making it **moderately unsuccessful**.

Table 6. Rating of OECD/DAC criterion: effectiveness

| Criterion | Assessment dimension | Score and rating |
|---------------------------------|---|--|
| Effectiveness | The project achieved the objective (outcome) on time in accordance with the project objective indicators. ¹¹ | 15 out of 40 points |
| | The activities and outputs of the project contributed substantially to the project objective achievement (outcome). ¹² | 20 out of 30 points |
| | No project-related (unintended) negative results have occurred – and if any negative results did occur, the project responded adequately. | 27 out of 20 points |
| | The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized | |
| Overall score and rating | | Score: 62 out of 100 points Rating: Level 4: moderately unsuccessful |

4.3 Impact

This section analyses and assesses the impact of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

The impact criterion aims to determine the extent to which the project has contributed, or continues to contribute, to achieving the intended overarching objectives such as PADRE's programme indicators, as well as taking the 2030 Agenda and the SDGs into account. The nature of any unintended positive or negative results is also examined.

Evaluation basis and design for assessing impact

Under **Impact dimension 1**, the evaluation team analyses to what extent the intended overarching development results have occurred or are foreseen. Under **Impact dimension 2**, the team assesses whether and how the project contributed to the intended overarching development results. Finally, the team examines whether the intervention has produced any unintended positive or negative results at an impact level, and how it has dealt with these. By assessing the occurrence of any unintended negative results, the evaluation also identified potential negative trade-offs between the project's environmental, economic and social dimensions (**Impact dimension 3**).

Evaluation basis: When updating the results model, the overarching development results were identified, as well as the relevant SDGs. The project's contribution to these overarching results will be examined. However, the fact that the contribution to overarching development results might not yet be fully established must be taken into consideration, as that limits the information value of the impact criteria.

Evaluation design and methods: Perceptions about potential contributions to impact were identified during the evaluation. To do so, the evaluation team followed a similar methodology (contribution analysis) to the one chosen for the effectiveness criteria. Key data sources were the project team and other donors, as well as partner perspectives. Secondary documents included national strategic documents. Two

¹¹ Impact dimensions 1 and 2 are interrelated: if the project's contribution to the achieving the objective is low (impact dimension 2), this must also be taken into consideration in the evaluation of impact dimension 1.

¹² Ibid.

hypotheses from the results model were examined in more detail in order to explain causal relationships between the project outcome and impacts. Any trends in unintended impacts or results were identified through examination of different data sources, such as the perceptions of the project team, key partners and target groups.

Analysis and assessment for impact

Impact dimension 1: The intended overarching development results have occurred or are foreseen

Considering the short project timeline, it was difficult to assess whether overarching development results have been achieved or are likely to be achieved, as these are usually only observed several years after an intervention has ended. However, some plausibility conclusions were possible, also outlining plausible impact in future.

When analysing the project's contribution to overarching development objectives, the OECD/DAC and BMZ identifiers indicate that the project sought to achieve impact mainly regarding participatory development and good governance (PD/GG-2). Furthermore, the project was intended to contribute to socio-economic impact and poverty alleviation (AO-1). In line with these markers, the intervention was intended to contribute to the following SDGs: Decent work and economic growth (SDG 8), Peace, justice and strong institutions (SDG 16) and Partnerships for the goals (SDG 17) (see original project offer).

In terms of the overarching international cooperation programme, PADRE's goal is to strengthen the state's capacities to mobilise financial resources, promote regional economic development and provide basic public services locally and regionally, while respecting the principles of good governance. The project also contributes to PADRE's programme indicators. PADRE's programme indicators focus, among other things, on a rise in the share of tax and levy payments from the legal production of the mining sector (programme indicator 2); and an increase in the proportion of the population that is satisfied with the availability and quality of local public services (local administration, school, health care) in the regions of Ségou, Mopti and Kayes (programme indicator 5). As the project only operates in one of these regions, an impact assessment could only be carried out for Kayes.

When it comes to strengthening the government's capacities to mobilise financial resources from the extractive sector, the evaluation team made the following observations and considerations. Better governance of the mining sector, and particularly improved fiscal administration of the sector, leads to increased government revenues. A MoM representative confirmed that there has been a recent increase in government revenues from the mining sector nationally, as well as locally. This increase is probably partly due to a higher level of production and increased prices, but also better governance of the sector (Int_1). Besides, nearly all tax auditors trained by the project confirmed that the amount of taxes in the mining sector has increased during the project term, or at least they had that impression.

Another direct link to good governance is established by the project's support to developing a new mining policy, which harmonises Mali's approach to the mining sector with the AMV. This is particularly relevant as one of the core aims of the AMV is to promote good governance of the mining sector. Finally, the publicly accessible mining register (*cadastre*) – a major focus of project phase one, with continued support in phase two – increases transparency in the sector, thereby contributing to good governance and strengthening state institutions (Int_1, Int_3, Int_4, Int_5).

The evaluation found that the links between the project's outcomes and intended impact are quite clear. The project's contribution to this impact is undoubtedly somewhat limited, considering that the project objective indicators were only partly achieved. Nevertheless, the project has made relevant contributions to better governance of Mali's extractive sector. Some of these contributions to impact are visible already and others will have impact in future, according to a plausibility assessment.

In terms of direct links from the project's outcome to the intended impact of promoting regional economic development (an element of PADRE's programme goal and relevant for marker AO), the following aspects are relevant. Various stakeholders confirmed that there has been an increase in job creation by the mining sector (Int_1, Int_7, Int_9). However, it is difficult to find evidence for any direct project contributions to this development as the mining sector is growing anyway, for instance due to the increase in the price for gold.

Nevertheless, the project has contributed at least indirectly to the creation of jobs and the overall increase in local content. This impact was mainly due to the discussions and subsequent actions stimulated by the project's long-term study, as presentation and discussion of the preliminary results led to the founding of AFOPREM. This association has the potential to increase local procurement by defining quality standards and providing a database of suppliers, although there are doubts about the association's sustainability (see section 4.5 for details). The study's preliminary results have also fed into the new mining policy to a large extent, resulting in provisions on local content being included in the new mining law that was enacted in August 2019 (Int_1).

There is also a direct link from the project's outcome to its intended impact on the provision of basic public services by local and regional authorities. First, this connection can be made through the long-term study to collect representative data on employment, income and human rights in the Kayes and Sikasso mining areas. The study analyses how the situation has developed over time. It will offer conclusions and related interventions for improving basic public services provided by local and regional authorities. Second, strengthening CSOs and supporting local public restitution and PDSEC processes has a direct impact on the provision of basic public services by local and regional authorities. Local stakeholders in Kéniéba confirmed that local authorities have become more responsive and transparent due to the project's support on PDSEC processes (FGD_1, FGD_2).

At the same time, the project's influence on these results is limited due to a specific provision in Malian administrative law: when it comes to revenues generated from the mining sector by local authorities (*ressources des collectivités territoriales*), the law distinguishes between operational tax revenues (*recettes de fonctionnement*) and tax revenues for investments (*recettes d'investissement*).¹³ Tax revenues for local and regional authorities to provide basic public services are defined as revenues for investments. According to the law's application, local authorities may spend 80% of revenues generated from the mining sector on their operational purposes, whereas they are only obliged to spend 20% on the provision of basic public services. This legal provision allows local authorities to limit their budget for providing basic public services significantly. It is also an invitation to abuse revenues generated from the mining sector for purposes that do not serve the public interest.

The project's indirect target groups were small-scale gold miners (especially women), suppliers of goods and services to mining companies, and communities living in and around the Kayes and Sikasso mining areas. The support provided on PDSEC and public restitution processes has had a positive and tangible impact on communities living in and around Kayes and Sikasso. The project has had (or will have) an impact on small-scale gold miners. The results of the long-term study also refer to this group and will encourage debate on their situation. The same applies to suppliers of goods and services to mining companies. Locally, the project made efforts to support young people in the Kayes and Sikasso mining areas by training them in agricultural entrepreneurship and supporting them to set up business activities. This approach may result in these young people becoming future suppliers to mining companies. For now, however, no tangible impact in that direction can be identified. The project has also had a very limited positive impact on the Leave No One Behind principle, as it has reached marginalised groups such as women and young people.

¹³ See Articles 249–254 of Law No. 2017-051 of 2 October 2017 on Local Authorities: <https://www.droit-afrique.com/uploads/Mali-Code-2017-collectivites-territoriales.pdf>

It can be concluded that various overarching development results have been achieved or are likely to be achieved.

Impact dimension 2: The project contributed to the intended overarching development results

To evaluate impact dimension 2, the evaluation team also conducted a plausibility analysis on two impact hypotheses.

- The fourth hypothesis (related to component 1) is that the taxes and revenues mobilised from the extractive industries by the Malian state have increased.
- The fifth hypothesis (related to component 2) is that social, cultural and economic rights are better observed.

As regards the **fourth hypothesis**, the project has contributed to improving the government's capacities to collect taxes and royalties from mining companies, mainly by training tax auditors and drafting the guide on tax methodology. Indirectly, it has also supported other measures to enhance good governance and improve the investment climate in the Malian mining sector. The project's contributions in this area include: support on Mali's new mining policy to align the approach with the AMV; support in setting up the mining register; enhancing transparency; and assisting the development of local supplier businesses (Int_1, Int_3, Int_4, Int_5, Int_6, Int_8, Int_9, Int_10). The fourth hypothesis is therefore plausible.

The same applies to the **fifth hypothesis**, although the picture is a bit more mixed. It is a prerequisite for improving observation of social, cultural and economic rights that the relevant conditions and circumstances are known to the relevant actors. The project contributed to this knowledge base by commissioning the long-term study (Int_1, Int_9, Int_10). The project also supported the public restitution and PDSEC processes in the Kayes and Sikasso mining areas. By doing so, it increased local participation and transparency. For instance, local stakeholders in Kéniéba reported an increase in exchange between communities and local authorities, resulting in a mutual understanding of local problems and calming of the social climate. Participation rates in the public restitution process are getting higher and higher.

Other examples are: the greater involvement of village chiefs in municipal activities by collecting taxes; the existence of a communication mechanism between the municipal authority and other municipal actors in the development of the PDSEC process; the existence of a public debate on the budget; increased awareness about local development, resulting in better mobilisation of local taxes; growing support for community development from mining companies; improved and better control by citizens; and growing knowledge of the roles and responsibilities of partners involved, as well as budget management (FGD_1).

Although the support delivered by the project does not automatically have any direct implications for better observation of social, cultural and economic rights, a positive influence is at least possible. However, such influence is limited by the fact that local administration may spend 80% of its revenues from mining on their own operational purposes, whereas they are only obliged to spend 20% on the provision of basic public services (see above). Mining companies' corporate social responsibility activities also contribute to local observation of social, cultural and economic rights. The project also helped raise the concerns of women in mining by supporting women's organisations, and strengthened NGO capacities to participate in local decision-making processes by supporting the PDSEC process. It also contributed to increasing transparency in the extractive sector by supporting relevant NGOs, such as Publish What You Pay, and organising two discussion events at universities (Int_2, Int_8, FGD_1, FGD_2, FGD_3). All of this is relevant when it comes to improving observation of the social, cultural and economic rights of individuals and communities in mining areas.

Impact dimension 3: Any additional (not formally agreed) positive results at impact level have been monitored and additional opportunities for further positive results have been seized. No project-related negative results at impact level have occurred – and if any did, the project responded adequately

No negative results could be identified in the assessment of unintended impacts and risk monitoring at impact level. However, local stakeholders reported that the project has contributed to local conflict mitigation by supporting the public restitution and PDSEC processes in the Kayes and Sikasso mining areas (FGD_1, FGD_2). Conflict mitigation is highly relevant as there have been repeated protests by the local population in both mining areas. The lack of opportunities to participate in development processes at the subnational level increases the risk of conflict and social upheaval. The project's contribution to conflict mitigation is a tangible, unintended positive result at impact level.

An assessment of the project's risk monitoring gives a mixed picture. On the one hand, the evaluators have not found evidence that the project follows a specific strategy to address any risks. As the project has been implemented in a highly fragile context, a Peace and Conflict Assessment (PCA) matrix should have been conducted, but this was not done. However, the project stays in very close contact with all operational partners to keep up to date on trends and new developments, allowing quick intervention if needed. The project sought to apply its technical advisory capacity flexibly, and to mitigate the risks as much as possible on an ad hoc basis, with a detailed understanding of the context.

The project exploited synergies between the three sustainability dimensions: environmental, economic and social. First and foremost, the project is closely connected to the economic and social dimensions. The mining sector has the potential to make a significant contribution to the government's sustainable development objectives and is therefore a priority area for policy support. Mining sector revenues already contribute about 7% to gross domestic product, 30% to tax revenues and 70% to export earnings. Revenues generated from the mining sector therefore have the potential to boost social development through public spending.

The mining sector is also closely connected to the environmental dimension, as mining usually has a significant impact on the environment. As a result, trade-offs between the environmental and economic dimensions are essentially built within the sector. This was taken into consideration in the updated mining policy of 2018, to which the project contributed. For example, the new policy aims to diversify mining production and integrate it into the economy as a factor of sustainable development. It also aims to meet the challenges of governance, transparency and environmental protection.

Another example of how the project has exploited potential synergies between the environmental, economic and social dimensions is the long-term study, which covers all three sustainability dimensions in relation to small-scale mining. It can therefore be concluded that synergies and trade-offs with regard to the three sustainability dimensions have been taken into account sufficiently.

Overall assessment of impact

Although assessing the overarching development results is difficult because of the short project timeline, a good range of positive results could be observed in the evaluation. They were also confirmed by key stakeholders. The evaluation team has therefore awarded 35 out of 40 points for this dimension. When it comes to the project's contribution to overarching development results, the evaluation team has awarded 25 out of 30 points. There was evidence that the project has contributed to the overarching development results, but the extent of that cannot be clearly identified. The rather high rating can nevertheless be justified, as no other development agency or donor contributed to the project's focus areas. However, there are several external risk factors outside of the project's control that might limit its contribution.

Considering the feedback provided by stakeholders, and based on the evaluators' observations, it appears that no significant negative results occurred with regard to the overarching results. However, the evaluators did find evidence for one unintended positive result that emerged from the project's activities: the contribution to conflict mitigation in the Kayes and Sikasso mining areas). The evaluation team has awarded 27 out of 30 points for this dimension.

The overall score for the assessing the impact criterion adds up to **87 out of 100 points**, or **successful**.

Table 7. Rating of OECD/DAC criterion: impact

| Criterion | Assessment dimension | Score and rating |
|--------------------------------|--|---|
| Impact | The intended overarching development results have occurred or are foreseen (plausible reasons). ¹⁴ | 35 out of 40 points |
| | The outcome of the project contributed to the occurred or foreseen overarching development results. ¹⁵ | 25 out of 30 points |
| | No project-related (unintended) negative results at impact level have occurred – and if any negative results did occur, the project responded adequately. | 27 out of 30 points |
| | The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized. | |
| Impact score and rating | | Score: 87 out of 100 points Rating: Level 2: successful |

4.4 Efficiency

This section analyses and assesses the efficiency of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

The efficiency criterion measures the extent to which the objectives of an intervention have been achieved cost-efficiently.

Evaluation basis and design for assessing efficiency

The key question in assessing the efficiency criterion is whether the project is managed economically. The question of whether the proportion of resources provided (finances, expertise) has led to satisfactory results will therefore be examined. GIZ takes a maximisation approach, asking whether results at output or outcome level have been maximised with the resources available. Efficiency is therefore understood to mean transformation efficiency, with inputs transformed into results and effects. The relation of inputs to results and effects indicates the how efficient the measure is. A distinction is made between two types of efficiency: production efficiency (**efficiency dimension 1**) and allocation efficiency (**efficiency dimension 2**). While the first evaluates the transformation of inputs to outputs, the second evaluates the transformation of inputs to results at outcome and impact level. This includes an analysis of to what extent even more results could have been achieved at output level with the same overall use of funds. The objective is therefore not to reduce the intervention's budget, but to maximise results with the resources available.

Following GIZ's guidelines on assessing efficiency, the evaluation team applied a follow-the-money approach, in which all of the intervention's expenses were identified and assigned to specific outputs. The strength of this approach lies in the fact that all project costs can be systematically tracked, and costs that cannot be assigned to outputs can be easily identified. Outputs that may make little or no contribution to the module goal can also be identified.

¹⁴ Efficiency dimensions 1 and 2 are interrelated: if the project outcome's contribution to impact is low or not plausible (efficiency dimension 2), this must also be taken into consideration in the evaluation of efficiency dimension 1.

¹⁵ *ibid.*

Evaluation design and methods: The evaluation made use of an Excel tool developed by GIZ's Evaluation Unit to standardise project efficiency analysis using sources made available by the project. These are the:

- cost-commitment project report,
- comparison of planned budget figures with actual figures,
- results matrix, and
- contracts for possible procurements and potential co-financing.

The Excel tool consists of six sheets: Cockpit, Costs, Co-Fi & Partner, Target/Actual Planning, Expert Months and Impact Matrix.

The tool provides a good basis for evaluating the project's production efficiency criterion. However, the tool does not provide an automatic evaluation. Numbers also need to be interpreted with the support of qualitative evaluation instruments to allow for robust statements about the project's efficiency. Questions on the project's efficiency have therefore been integrated into interviews and discussions with project staff to strengthen the evidence of secondary data. In terms of allocation efficiency, the evaluation team assessed to what extent the project's use of resources has been appropriate for achieving the project's objective. Assessing allocation efficiency is one of the most demanding evaluation exercises.

Analysis and assessment for efficiency

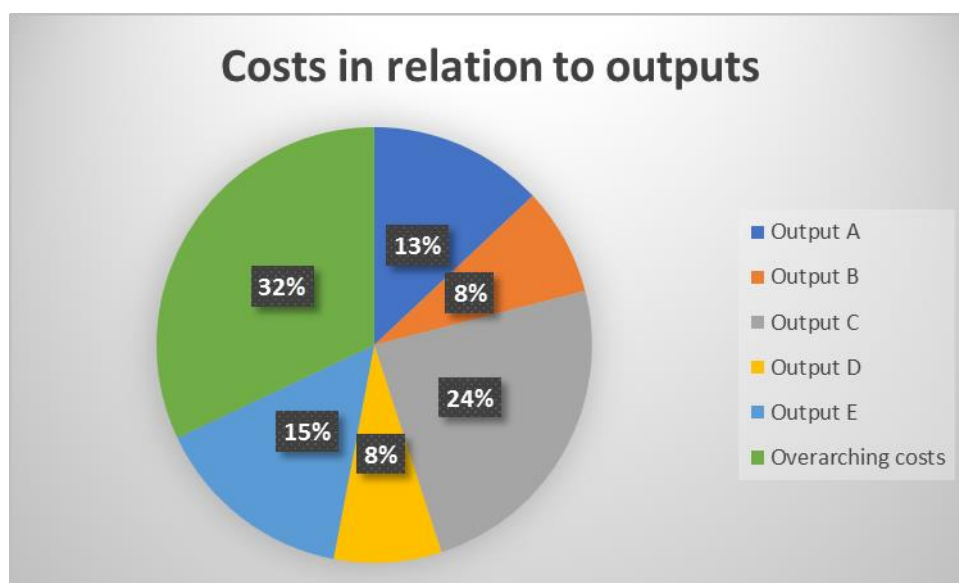
In terms of the project's instrument design, a staff of nine was initially planned (three international staff, five national staff and one development worker). At the beginning of the project, three international staff were involved with implementing the project in Bamako, as the project did not have an office outside the city. However, as it was impossible to recruit new international staff after two of them left the project in July 2018 and April 2019, they were replaced by national staff. At the time of the evaluation, only one international staff member (the project manager) was working for the project, along with 10 national staff members and one development worker who supported the Mali EITI Secretariat. Finally, CSOs such as the women's organisations AFEMINE and FEMIMA were given local subsidies as part of the instrument design.

The following table shows the attribution of costs to outputs based on the follow-the-money approach.

Table 8. Cost-output attribution

| Overall costs | EUR 6 million | | | | | |
|---|---|-------------------------------|----------------------------|-------------------------------|-------------------------------|-------------------|
| Outcome | The Malian Government, together with the private sector and civil society, has successfully implemented the Africa Mining Vision (AMV) Action Plan in terms of resource revenues, transparency and control, as well as local value creation | | | | | |
| Outputs | Output A (taxation) | Output B (local suppliers) | Output C (transparency) | Output D (mine inspection) | Output E (long-term study) | Overarching costs |
| Overall achievement of output indicators | 75% | 73% | 50% | 0% | 100% | |
| Overall costs incl. commitment (EUR) | 502,917.09 | 302,473.94 | 925,584.24 | 295,415.24 | 586,952.02 | 1,204,207.32 |
| Overall costs | 13% | 8% | 24% | 8% | 15% | 32% |

Figure 2: Allocation of overall costs in relation to outputs



Efficiency dimension 1: The project's use of resources is appropriate for the outputs achieved (production efficiency: resources/outputs)

In order to assess the project's production efficiency (**efficiency dimension 1**), the distribution of costs between outputs was discussed with the project manager based on the follow-the-money tool described above. Table 5, as well as Figure 2 above, display all costs, including obligations, as of December 2019. Both show that output C (transparency) absorbed the largest share with 24% of all financial resources. However, the level of output achievement for output C was quite mixed (as explained in section 4.2). The second largest share of costs, with 15%, was for output E (long-term study). Output A (taxation) absorbed 13% of all financial resources, while output B (local suppliers) and output D (mine inspection) both make up the smallest share with 8% of the costs each. Overhead costs made up 32% of all project resources. As the respective output indicators were achieved to an average extent of 75%, the project made quite efficient use of its resources, especially considering the small share of the total budget.

13% of project resources were spent on **output A (taxation)**. The main spending areas for output A were human resources, with two international staff and four national staff working part time on it, as well as several short-term consultants. Short-term experts were hired to implement the training for tax auditors and to develop the guide on tax methodology. Given the high technicality and specific fiscal knowledge required, the use of external consultants seems plausible. When looking at the value for money in output A, interview partners did not identify any inefficiencies or alternative measures that could have achieved more results (Int_1, Int_4). There may be concerns about future use of the guide on tax methodology without any further support by GIZ or other consultants. However, it is likely that the WB's follow-on project on mining sector governance will assist with use of the guide if necessary (see section 4.5).

Output B (local suppliers) represents a rather small share of project resources amounting to 8%. Indicators for this output were achieved to an average of 73%. The major spending areas for output B were human resources, with one international staff member and three national staff working on this output part time. When it comes to assessing the efficiency, it is important to note that the project's contributions to achieving the output indicators were quite hard to identify (see section 4.2, effectiveness dimension 2). For these reasons, it is somewhat questionable whether the use of resources for this output was cost-efficient.

24% of all financial resources were spent on **output C (transparency)**. This represents the largest share of resources in relation to the other outputs. Considering the quite moderate level of indicator achievement at

just 50% on average, the cost efficiency may be questionable. The cost allocation is partly explained by the fact that the costs of the development worker were covered by output C, even though that person worked on this output to an extent of just 80%. Apart from the development worker, one national staff member and one international staff member worked on output C. At 8%, **output D (mine inspection)** represents a minor share of the overall financial resources, with an average indicator achievement level of 0%. Considering that two national staff and one international staff member worked on output D, production efficiency does not look very strong for this output.

Finally, **output E (long-term study)** used 15% of the financial resources, and the indicator for this output was 100% achieved. As conducting the long-term study was completely outsourced to a consulting company, the project only had to devote limited human resources to this output. Considering that preparing the study required time-consuming collection of relevant data in the Kayes and Sikasso mining areas, where the project had no office, outsourcing the study seems reasonable from a production efficiency perspective.

The overarching costs of 32% are very high by GIZ standards, as they are usually below 20%. This resulted in an administrative burden that could potentially have been used to maximise results. The costs may be explained at least partly by the fact that the conflict situation in Mali requires additional security measures, which have negative implications on overarching costs such as security personnel and risk management. The international staff also fulfilled overarching tasks in the GIZ network that were not directly related to the outputs, some of which generated travel costs. While these overarching activities are requested by GIZ headquarters, it should be noted that they have a negative impact on the efficiency of the intervention itself.

Overall, the use of resources corresponded to the resource allocation foreseen in the budget plan (in the original offer and modification offer). Minor deviations can be explained by contextual factors during project implementation. Financial resources and spending were managed by a financial officer. In general, local resources were used wherever possible and appropriate, particularly when mainly national staff were used towards the later stage of the project term.

Project management: Overall, project management has been efficient as it was aimed at maximising the achievement of the module objective and its respective indicators. The project's approach with three separate but interconnected components was plausible. The intervention continually strived to link activities in a way that allowed the output areas to support progress in the other respective areas. Main partners underlined that they have been fully satisfied with the project's management (Int_1, Int_3, Int_4). According to the evaluation team, the project manager was able to provide guiding leadership and establish clear structures, roles and responsibilities. The motivation and commitment levels of staff members were found to be high.

However, frequent fluctuation of international staff hampered implementation and therefore also production efficiency. In the second half of its implementation term, the project had difficulties recruiting international staff. All project components were therefore managed by local staff, with the project manager being the only international staff member. In terms of cost efficiency, this lean management structure was a big advantage. However, it is possible (although difficult to assess) that the replacement of international staff with national staff had negative implications on the delivery of results.

Partner structure: The project's main political implementation partner was MoM, with its subordinate administrative bodies such as the Mali EITI Secretariat and DNGM. The choice of MoM as the main partner was particularly suitable for all outputs and activities dealing with policy issues, surveillance and control, transparency, and local employment and suppliers in the extractive sector. On the government side, MoF was an additional partner with DGI as its subordinate body. The choice of MoM as the main political partner was both an asset and a challenge for the project. The clear advantage was that less coordination was required, especially considering the competition that exists between MoM and the MoF. On the other hand,

the project had to rely much more on inter-ministerial cooperation and coordination. Fortunately, that proved effective this case. Disputes between MoM and MoF were resolved with the two ministries agreeing to focus on capacity building activities for tax auditors, as there was a prevailing need for training (Int_1). The choice of political partners can be regarded as a plus in terms of production efficiency.

The same is true for CSOs involved as implementation partners. The project mainly cooperated with the two women's organisations AFEMINE and FEMIMA. It also cooperated with other CSOs focusing on transparency and accountability in the mining sector, as well as local development, such as Publish What You Pay, Solidarity Action Faléa 21 (ASFA 21) and the Foundation for the Development of the Sahel (Fondation pour le Développement au Sahel – FDS). Finally, the project established and cooperated with AFOPREM to support local procurement. Overall, the project's partner structure is assessed as being suitable for reaching the project objective.

Outsourcing activities, especially in the region: External consultants were contracted at different levels. First, specific activities such as conducting the long-term study were fully outsourced to a German consultancy. Second, the support the project delivered in the Kayes and Sikasso mining areas to enhance the public restitution and PDSEC processes was completely outsourced to local consultants. Outsourcing these regional activities was very cost efficient, as there was no need to employ project staff outside of Bamako and rent local offices.

Efficiency dimension 2: The project's use of resources is appropriate with regard to achieving the project objective (outcome) (allocation efficiency: resources/outcome)

As opposed to production efficiency, allocation efficiency describes the transformation of inputs to outcomes and impact. At outcome and impact level, the average indicator achievement rate is 46.25%. The following table summarises the results described in more detail in section 4.2:

Table 9: Achievement of project objective indicators

| Project objective indicators | 1. The share of tax adjustments for mining companies that result in lawsuits drops by 55 percentage points. | 2. Three international mining companies are increasing the share of their local procurement (excluding fuel) by 3.33% per year. | 3. In 10 cases, EITI information on small-scale gold mining feeds the public debate. | 4. 15 agents of the National Directorate of Geology and Mines master the process of controlling mining operations. |
|-------------------------------------|---|---|--|--|
| Achievement | 50% | 50% | 100% | 75% |

The challenging conditions for the project's implementation, the shortcomings in its strategy (see section 4.1, relevance dimension 3) and the generally weak capacities of the Malian Government's administration (see section 4.1 and 4.2 for details) must be taken into consideration. However, the aggregated achievement rate of 46.25% is not very successful. The following things can be noted about the extent to which the outcome could have been maximised with the same amount of resources.

Creating synergies: The project made efforts to build synergies wherever possible. This is primarily true in relation to other donors and organisations supporting the governance of Mali's mining sector. The Norwegian Revenue Development Foundation (RDF) was a key partner in setting up the mining register. The project could rely on RDF's technical support (free provision of an IT tool for managing licences) and thereby create a lot of synergies. The same applies to WB's new Governance of Mining Sector Project. This was possible through an exchange of experiences and close cooperation when setting up the project (Int_11). Apart from RDF and WB, two additional donors have been working on the extractive sector in Mali: Canada runs a regional programme to strengthen the supervisory boards of mining companies; and the EU

is providing budgetary support to the government to identify and analyse tax revenues from the mining sector. There was no potential to create synergies with these other donors.

Multi-level approach: The multi-level approach was found to be very appropriate for improving conditions for more transparency, participation and accountability nationally, regionally and locally, and for analysing and describing long-term transformations. This approach also enabled the project to react to changes in the context and not come to a standstill if specific activities came to halt, such as the support on mine inspection. By being engaged in the Kayes and Sikasso mining areas and conducting the long-term study, the project could raise the government's awareness of development at a local level. Finally, the approach put the project in the position to bring stakeholders together and initiate discussions among them. This would not have been possible to such an extent if the project had only been focused on one level.

While these factors support allocation efficiency, there are also aspects that limit the maximisation of impact. One of these is the lack of co-financing and partner contributions. A Malian partner contribution would definitely not have been a realistic option, according to the project proposal to BMZ. However, with hindsight, it appears it could have been possible to initiate co-financing from other donors. The existence of WB's new project underlines that this option was probably available, but it was not clear whether the project made any efforts to attract co-financing.

Overall assessment of efficiency

The assessment of production efficiency is generally positive, and several aspects are worth mentioning. First, the cost distribution across the different outputs appears to have been mostly adequate. It was necessary to spend more than half of the budget on outputs A, C and E to provide the technical assistance, capacity building and long-term study required. Despite not all indicators under these outputs being fully achieved, the amount spent seems valid, considering that the project's approach to the available financial resources was quite broad. It also has to be taken into account that the project was implemented in the context of weak institutional capacities. For output D, however, production efficiency is questionable. The same applies to output B, although to a more limited extent. The evaluation team has awarded 55 out of 70 points in this dimension.

The evaluation team has awarded 25 out of 30 points in the allocation efficiency dimension given that additional efforts were made to maximise impact within the given budget. This was especially the case in the creation of synergies with other organisations, such as RDF and the PADRE programme, and adoption of a multi-level approach.

The overall score for the efficiency assessment criterion adds up to **80 out of 100 points**, making it **moderately successful**.

Table 10. Rating of OECD/DAC criterion: efficiency

| Criterion | Assessment dimension | Score and rating |
|-----------------------------|--|--|
| Efficiency | The project's use of resources is appropriate for the outputs achieved. (Production efficiency: resources/outputs) | 55 out of 70 points |
| | The project's use of resources is appropriate for achieving the project objective (outcome). (Allocation efficiency: resources/outcome) | 25 out of 30 points |
| Efficiency score and rating | | Score: 80 out of 100 points Rating: Level 3: moderately successful |

4.5 Sustainability

This section analyses and assesses the sustainability of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

The sustainability criterion examines the extent to which the positive results of the intervention can be expected to continue once it has ended.

Evaluation basis and design for assessing sustainability

Under this criterion, the evaluation analyses to what extent results are anchored in partner structures (**sustainability dimension 1**). An assessment was made of the extent to which partner structures are available and capable of further applying and advancing the approaches, methods and concepts developed by the project. The evaluation team also assessed the project's measures to ensure the long-term success of the immediate results. In doing that, the evaluation team analysed the extent to which the ownership of partner institutions has been strengthened through a participatory approach and shared vision. In addition, the evaluation examined to what extent the project's results are permanent, stable and long-term resilient (**sustainability dimension 2**). To answer this question, potential risks and other influencing contextual factors, as well as the project's mitigation strategies, were analysed.

Evaluation basis, design and methods: The analysis for both assessment dimensions is based on the information provided in the progress reports, as well as in qualitative interviews with project staff, partners and external stakeholders. Sustainability issues were touched on in all interviews and also in some FGDs. As sustainability dimension 2 refers to a forecast of durability, the evaluation team applied a plausibility analysis to assess whether the results are likely to be sustained in the future.

Analysis and assessment for sustainability

In general, the sustainability of the project's results is largely ensured due to fact that WB has initiated, and is about to start, its Governance of Mining Sector Project in Mali with a budget of USD 40 million.¹⁶ The project will work in the same focus areas and involve the same stakeholders. The project will be piloted in the Kayes mining area, and other pilots still need to be defined. The WB project's development objective is to strengthen the capacity of the mining sector to contribute to Mali's medium-term growth and sustainable development objectives.

It has five components. Component 1 aims to build the government's institutional capacity for sustainable management of the mineral sector. Under this component, WB will continue the GIZ project's update of the policy and regulatory framework, as well as the strengthening of institutions and capacity for efficient management of the mineral sector. Component 2 aims to improve extractive revenue transparency nationally and locally, and build the capacity of local governments to manage revenues from mining. This component will also draw on the GIZ project's results and continue providing support to the Mali EITI Secretariat and CSOs working on transparency. Component 3 aims to maximise the local development impact of mining. It will focus on promoting the responsible development of artisanal and small-scale mining, maximising mining-led local development, and the economic empowerment of women and young people in mining. The third component of the WB project will also have a comparable focus in supporting local development, cooperating with the same CSOs as the GIZ project. For instance, the WB project will continue supporting the women's organisations AFEMINE and FEMIMA, which the project was cooperating with (Int_11). Due to the new WB project, it was not necessary to develop an exit strategy for the GIZ project.

¹⁶ The World Bank's Project Appraisal Document is available here: <http://documents.worldbank.org/curated/en/827251561428094594/pdf/Mali-Governance-of-Mining-Sector-Project.pdf>

Sustainability dimension 1: Prerequisite for ensuring the long-term success of the project – results are anchored in partner structures

This assessment dimension was discussed with the project's main partners, first and foremost MoM. In general, long-term results will largely depend on external factors over which the project has no control. It therefore makes sense to check the various services and products that the project has delivered to gain an understanding of the extent to which results are anchored in partner structures. It will be difficult to assess the products that were not approved (the guidelines on tax methodology) or are not yet published (the long-term study). There is a question over whether this is due to slow, time-consuming or simply normal political decision-making processes, or whether it indicates shortcomings in terms of sustainability. From the evaluation team's point of view, there are no obvious shortcomings in the sustainability of the guidelines and the long-term study. Taking into account the highly positive assessments of these two products under other evaluation criteria, such as relevance and impact, it can be concluded that they are also valuable in terms of sustainability. This assessment has been confirmed by the main partners, such as MoM and DGI (Int_1, Int_4), as well as other stakeholders (Int_9, Int_10).

In component 1, capacity building was mainly focused on tax auditors and mine inspectors. This kind of technical support was warmly welcomed by the main partners and assessed as highly relevant. There was also close coordination and ongoing exchange in planning and delivering the support with the partners, and all activities have been based on the partners' demands (Int_1, Int_3, Int_4). This is a precondition for making the results sustainable. The survey conducted among participants in the training for tax auditors and mine inspectors shows that most participants are using, or expect to use, the newly acquired knowledge in their day-to-day work.

Another major product in this component is the guide on tax methodology, despite the fact that it has not yet been finally approved. There was close cooperation in drafting the guide, and one partner representative also expressed an intention to develop a similar guide for other sectors, such as the telecommunications sector (Int_4). This shows that the guide's strategic value has been acknowledged and that there is a strong intention to use the product in the long run. The only shortcoming found under this component was a lack of clarity over who would support the updating of the mine register's website after the project ended (Int_3). However, from the evaluators' point of view, most results in component 1 are expected to be sustainable in the long term.

In component 2 on increasing the transparency in the extractive sector, the picture is more mixed. CSOs benefited a lot from the project's support in strengthening their capacities and visibility. This is especially true for the women's organisations AFEMINE and FEMIMA, which both lacked visibility before they started cooperating with the project (FGD_3). Local awareness about the collection of mining revenues has increased, as explained in section 4.3, impact dimension 2 (FGD_1). As the project's intervention has had a strong impact in this area, it can be assumed that these results will remain in the long term. However, the communication strategy developed for the Mali EITI Secretariat has only partly resulted in an increased public debate on the extractive sector. The Mali EITI Secretariat's commitment to applying the strategy appears to be questionable due to a lack of political backing, although the secretariat plans to employ someone to handle communications (Int_2).

Mixed results were also found in component 3. The main activity in this component was the long-term study. The fact that the study has not yet been published and disseminated is not a good prerequisite for ensuring its sustainability. However, the study is expected to ensure the sustainability of the project. It will not only be a frame of reference for the government and other stakeholders, such as research organisations and CSOs, but also for WB in its follow-on support on mining governance in Mali. The study's results will therefore be used in policy decisions, research, interventions and support activities. This assumption is confirmed by the fact that the study was assessed as highly relevant by main partner representatives, as well as other stakeholders (see section 4.1, relevance dimension 1). Furthermore, the fact that the study has resulted in

positive changes, such as the creation of AFOPREM or the inclusion of local content provisions in Mali's new mining code (August 2019) is a positive indication for this assessment dimension. Finally, WB is clearly committed to ensuring that the results of the study are published and disseminated as part of its new Governance of Mining Sector Project (Int_11).

However, the long-term success of results under component 3 is questionable with regard to AFOPREM. The evaluation team had difficulty arranging an interview with AFOPREM during the evaluation mission, because none of the association's staff were available and it did not have an office. The interview was therefore carried out by the local evaluator after the mission. At the time of the interview, AFOPREM had no ongoing activities (Int_6). Considering AFOPREM's important mission of developing the local supplier business, this is not a positive indication of the association's capacities to apply and advance the approaches, methods and concepts developed by the project.

Overall, the evaluation team considered the results in this dimension to be strong in the areas in which the partners' commitment was also strong. This relates specifically to the technical support delivered by the project (Int_1).

Sustainability dimension 2: Forecast of durability – results of the project are permanent, stable and long-term resilient

Considering that WB's new Governance of Mining Sector Project will start soon, the permanence, stability and long-term resilience of the project's results is assured to a large extent. The GIZ project also did its best to share experiences and cooperate closely when the new project was set up.

The long-term study will be highly valuable when its results are published and disseminated for discussion among the relevant stakeholders, which WB has committed to do through its new project. This will be one of the elements where the WB project will build on the GIZ project's previous contributions. More elements are expected to be built on, such as the support given to the women's organisations AFMINE and FEMIMA, which are mentioned explicitly in WB's project appraisal. Finally, WB carefully considered the risks that could affect the new project's achievements and developed mitigation strategies where possible. This will undoubtedly have a positive influence on the resilience of the project's results.

Apart from that, technical assistance and training of partner staff can be considered the project's most lasting results. Several partners and project team members expressed certainty that the knowledge generated and exchanged will be maintained over time (Int_1, Int_3, Int_4). The resilience of the results will also likely be ensured, to a certain extent, by the guide on tax methodology and by additional capacity building planned by the WB project (Int_11).

However, a potential risk to sustainability could be staff turnover, as it was not clear whether the staff trained by the project had permanent contracts. The long-term resilience of the results for the support given on the Mali EITI Secretariat's communication strategy also appears to be questionable. The meeting with AFOPREM did not give a strong impression of the association's resilience either, as it appears to have been set up mainly due to the project's influence and without any long-term strategy and backing (Int_6).

Overall assessment of sustainability

Important prerequisites for ensuring the project's long-term success do exist, mainly due to the WB project, but there are some exceptions where long-term success is in doubt. On that basis, the evaluation team has awarded 40 out of 50 points for sustainability dimension 1. The same applies to the durability of project results, with **40 out of 50 points** also awarded for sustainability dimension 2.

In total, the project's sustainability is rated as **moderately successful**.

Table 11. Rating of OECD/DAC criterion: sustainability

| Criterion | Assessment dimension | Score and rating |
|--|---|--|
| Sustainability | Prerequisite for ensuring the long-term success of the project: results are anchored in (partner) structures. | 40 out of 50 points |
| | Forecast of durability: results of the project are permanent, stable and long-term resilient. | 40 out of 50 points |
| Sustainability score and rating | | Score: 80 out of 100 points Rating: Level 3: moderately successful |

4.6 Key results and overall rating

Considering all the evidence described above, the project was moderately successful at meeting its objectives. Operationally, the project team provided the partner with highly relevant and quite effective advisory services. However, due to the challenging political environment and limitations of its strategy, the project has not realised its full potential. This section discusses each of the five evaluation criteria separately.

The project's **relevance** is generally assessed as being successful. It was clearly anchored in the national policies and strategies of the Malian Government, and strategic reference frameworks for German international cooperation. In addition, the project was linked to SDGs such as Decent work and economic growth (8); Peace, justice and strong institutions (16); and Partnerships for the goals (17). It was also a good fit for the BMZ portfolio in Mali.

In terms of the Malian reference framework, the project was well aligned with partner strategies, especially the current strategy for growth and poverty reduction. According to this strategy, a well-performing and sustainable extractive sector is expected, among other things, to address the government's financing needs and create economic links with other sectors, as well as jobs, especially for young people. This is exactly what the project aimed to do, as well as implementing the AMV Action Plan in terms of resource revenues, transparency and control, and local value creation.

The project strategy also addressed the problems and needs of the core target groups to a high degree, as it focused on strengthening capacities, transferring knowledge, and building awareness among decision makers and professionals in the public sector and civil society. Although the project did not address the ultimate target group (the Malian population in general), it did address core problems such as poverty alleviation and job creation.

The analysis of the project strategy revealed a couple of shortcomings that relate particularly to the project's responsibilities on output D. As a result of these shortcomings, the project's approach to strengthening mine inspection was obstructed by the system boundary. As the Malian Government's decision to set up an independent mine inspectorate was beyond the project's scope of influence, the only result the project could achieve on this output was a single training session for mine inspectors. Furthermore, the project strategy was relatively broad compared to the limited financial resources available. The project therefore had to limit its scope and ambition by stimulating initial developments and changes rather than providing full support.

In terms of adapting to changes in the framework conditions, the project was partly successful. In the project context, the most significant change was the Malian Government's non-approval of the decree setting up an independent mine inspectorate. The project did not react to this situation and change the

relevant project objective indicator (4) for a long time, and only dealt with the standstill at the end of the project term. However, project staff did manage to address evolving partner needs.

In terms of **effectiveness**, the project is assessed as moderately successful. The project objective indicators have been achieved to an extent of 46.25% on average. Considering the fact that project objective indicator 4 was modified for the evaluation, making it significantly less ambitious, the achievement rate is quite moderate. The achievement rate for output indicators was assessed at an average of 56.57%. Significant limitations were also found in the monitoring of results and the quality of baseline values, especially due to the lack of quantitative data. Based on stakeholder feedback and the evaluators' observations, it appears that the project has not produced any negative results. Although some unintended positive results were achieved, other potential unintended positive results do not appear to have been explicitly monitored and exploited.

Looking at the project's results, the ToC's underlying hypotheses that are relevant to effectiveness can mostly be confirmed. Hypothesis 1 refers to the project's intention to improve the equipment and/or qualification of tax auditors to fulfil their functions. Capacity building has indeed enabled tax auditors to better fulfil their functions. However, the guide on tax methodology has not yet been finally approved, meaning a crucial tool for making the taxation of mining companies more consistent and predictable is not yet available for use. It is hoped that it will be made available and used in the near future. On that basis, the first hypothesis can be confirmed at 75%.

In contrast, hypothesis 2 can be fully confirmed. The project did strengthen CSO capacities to disseminate relevant information from EITI reports, through training and support to improve institutional development.

Hypothesis 3 has also been fully confirmed. The project was able to strengthen the capacity of subcontractors (suppliers of goods and services to mining companies), and provided stakeholders with information on the issues.

Table 12: Confirmation of hypothesis 1-3 on effectiveness

| Number | Hypothesis | Result | Data sources |
|--------|--|------------------|---|
| 1 | The project has improved the equipment and/or qualification of tax auditors to fulfil their functions. | Confirmed at 75% | Project proposal; progress reports; results model; and interviews with project staff, partners and external stakeholders. |
| 2 | The project strengthened the capacities of CSOs to disseminate the relevant information from EITI reports, especially data on small-scale gold mining, by capacity building and support to improved institutional development. | Confirmed | Project proposal; progress reports; results model; and interviews with project staff, partners and external stakeholders. |
| 3 | The project has strengthened the capacity of subcontractors (suppliers of goods and services to mining companies) and provided stakeholders with information on the issues. | Confirmed | Project proposal; progress reports; results model; and interviews with project staff, partners and external stakeholders. |

With regard to the **impact** criterion, the project was assessed as being successful. The assessment of overarching development results was quite difficult due to the project's short timeline. However, some positive results could be observed in the evaluation and have also been confirmed by key stakeholders. There is evidence that the project contributes to the overarching development results, although the extent of that cannot be clearly identified. The rather high rating can nevertheless be justified, as no other development agency or donor contributed to the project's focus areas. However, there are several external risk factors outside of the project's control that might limit its contribution. It seems there have been no

significant negative results concerning the overarching results. The evaluators did find evidence for one unintended positive result, which emerged out of the project's activities.

The evaluation team found that the project's results could plausibly contribute to the overarching development objectives in the long run. Both hypotheses relevant for the impact criterion could be confirmed. With regard to hypothesis 4, at the time of the evaluation, there was evidence of an increase in the taxes and revenues mobilised from the extractive industries by the Malian state. The contribution analysis for hypothesis 5 showed evidence of improved observation of social, cultural and economic rights.

Table 13: Confirmation of hypothesis 4-5 on impact

| Number | Hypothesis | Result | Data sources |
|--------|---|-----------|---|
| 4 | The taxes and revenues mobilised by the Malian state from the extractive industries have increased. | Confirmed | Project proposal; progress reports; results model; interviews with project staff, partners and external stakeholders. |
| 5 | Social, cultural and economic rights are better observed. | Confirmed | Project proposal, progress reports, results model, interviews with project staff, partners and external stakeholders |

Synergies and trade-offs under the three sustainability dimensions have been sufficiently taken into account.

The **efficiency** of the intervention is assessed as being moderately successful. With regard to production efficiency, the distribution of costs to the different outputs appears to be mostly adequate. It was necessary to spend more than half of the budget on outputs A, C and E to provide the technical assistance, capacity building and long-term study required. Despite not all indicators under these outputs being fully achieved, the amount spent seems valid, considering the fact that the project's approach was quite broad in relation to the financial resources available. The fact that the project was implemented in a context of weak institutional capacities was also taken into consideration. Production efficiency for output D, however, is questionable. The same applies to output B, although to a more limited extent. Finally, the overarching costs of 32% are very high by GIZ standards, resulting in an administrative burden that could potentially have been used to maximise results. This rate may be explained, at least partly, by the fact that the conflict situation in Mali requires additional security measures that have an impact on overarching costs.

In terms of allocation efficiency, the project management made additional efforts to maximise impact within the given budget, particularly by creating synergies with other organisations such as RDF and the PADRE programme. The multi-level approach also had positive implications for allocation efficiency. However, the lack of co-financing and partner contributions was a limiting factor.

The **sustainability** criterion was also assessed as being moderately successful. The most important prerequisite for ensuring the project's long-term success is the fact that WB has initiated, and is about to implement, a new Governance of Mining Sector Project in Mali. It covers the same focus areas as the GIZ project and involves the same stakeholders. The project management did its best to share experiences and cooperate closely when the new project was set up. While assessment of results anchored in partner structures was quite positive under component 1, there were quite mixed results under components 2 and 3. In general, results in terms of long-term success were strong in the areas in which the partners' commitment was also strong. This relates specifically to the technical support delivered by the project. In contrast, long-term success in increasing transparency in the extractive sector was found to be not very

tangible. When it comes to the extent to which the project's results are permanent, stable and long-term resilient, the evaluation found that results were mostly convincing, although there were a few limitations.

Table 14. Overall rating of OECD/DAC criteria and assessment dimensions

| Criterion | Score | Rating |
|--|---|--|
| Relevance | 81 out of 100 points | Level 2 = successful |
| Effectiveness | 62 out of 100 points | Level 4 = moderately unsuccessful |
| Impact | 87 out of 100 points | Level 2 = successful |
| Efficiency | 80 out of 100 points | Level 3 = moderately successful |
| Sustainability | 80 out of 100 points | Level 3 = moderately successful |
| Overall score and rating for all criteria | 78 out of 100 points Average score of all criteria (sum divided by 5, max. 100 points, see below) | Level 3 = moderately successful |

Table 15: Rating and score scales

| 100-point scale (score) | 6-level scale (rating) |
|-------------------------|----------------------------------|
| 92–100 | Level 1: highly successful |
| 81–91 | Level 2: successful |
| 67–80 | Level 3: moderately successful |
| 50–66 | Level 4: moderately unsuccessful |
| 30–49 | Level 5: unsuccessful |
| 0–29 | Level 6: highly unsuccessful |

5 Conclusions and recommendations

5.1 Key findings and factors of success/failure

To support learning from this evaluation, this section lists key factors in the project's success and failures. Some of these factors overlap, with some factors of success also being factors of failure.

Factors of success

The project and predecessor project were executed during a time frame when there was a need for technical support in governmental institutions to improve governance of the mining sector. During project implementation, no other cooperation agencies were focusing on good resource governance and providing technical assistance at the level the project proposed.

- The project strategy was very broad, covering a wide range of interventions in different areas that were mostly not directly interlinked. These included technical support for the government, encouraging local economic development, and enhancing public debate and transparency in the extractive sector. The project managed to find approaches and stimulate changes in most of these areas, which WB will now continue and build on.
- The project's multi-level approach has proven to be informative, crucial and successful in stimulating positive changes locally and nationally. For the project's long-term impact, it was helpful to analyse local conditions as the long-term study did, as well as enhance participation in local decision-making processes, such as the public restitution and PDSEC processes.
- There was a need to bring together stakeholders from all sectors (government, civil society and the private sector), and at different levels (national and local), to initiate discussions about the relevant issues, policy decisions and future development of the extractive sector. The project did this well.
- The CSOs involved were very eager to learn from the project, use the knowledge they gained and enhance their visibility in the public debate.
- The strong commitment of the project's technical staff was mentioned by most stakeholders as one of the project's key strengths. As well as having a sound technical background and sector experience, the team also capitalised on their own networks of contacts and personal relationships to take activities forward. Continuity in the national staff involved in the project team was also a key factor that enabled sustainable and strategic assistance to be provided over the years. However, the situation was different with international staff (see below).
- Another success factor was the good communication and open relationships the project always maintained with its government partners. This also substituted a formal steering structure – a usually mandatory instrument in project management that was not in place. The team also managed to establish good communication channels with partners at an operational level, which enabled work to be done more quickly without violating or breaking with established channels and protocols. The perception of the operational counterparts is that there was a good level of cooperation, and that the project was more flexible than other agencies.

Similarly, limiting factors that have weakened the project results, achievement of the objective, and the overarching development results were identified.

Factors of failure

- The main government partner's commitment varied. On technical issues, such as capacity building, it was strong; on transparency issues, less so. The government's implementation capacities were also found to be quite weak.
- The project strategy did not sufficiently consider that some of the activities (such as support on mine inspection) require specific government approvals. The project therefore faced major difficulties in implementing some of the planned activities, especially for output B. The project did not react at all to this standstill for a long time, and only developed alternative options at a late stage. As a result, it was not possible to achieve some of the output and project objective indicators (such as outputs B.1 and B.2, and the original project objective indicator 4).
- According to its objective, the project was supposed to cooperate with mining companies, and some of the indicators focused explicitly on the private sector. However, the project engaged in very limited activities that directly involved the private sector, such as cooperation with AFOPREM. It would have benefited achievement of the indicators if the project had worked more directly with international mining companies, considering that some of them are a driving force in modernising the sector on issues such as local employment and supply. This made it hard for the project to achieve substantial results in relation to increasing local business and employment, and should have been better considered in the project strategy.
- The lack of statistical data from the government (for example, on tax revenues from the mining sector), as well as specific data from mining companies (for instance, on local procurement) was an inhibiting factor that caused serious problems in defining the baselines, measuring current values and evaluating the project.
- Project monitoring was mainly focused on outputs and much less on outcomes and impact, meaning it did not focus on these enough. Due to these shortcomings in monitoring, there were challenges in steering the project. The monitoring also did not consider risks.
- The project's leadership changed quite often. This was a limiting factor in building long-term, trusting relationships with the main government partners and other stakeholders. It also was not possible to replace international staff after they left the project, due to the challenges of recruiting qualified international staff who were willing to work in Mali. International staff were therefore replaced by national staff. However, it is difficult to assess whether this had negative implications and was therefore a limiting factor for project implementation

5.2 Conclusions and recommendations

As there is no follow-on project, the scope of this section is mainly limited to retrospective conclusions and recommendations for reflecting on past experience. Although GIZ will not continue working on the mining sector in Mali, WB will follow up on delivering support in this sector and implement its new Governance of Mining Sector Project soon. The following recommendations are based on the analysis and conclusions in the previous chapters, and are divided into two sections. The first is primarily addressed to GIZ, especially staff involved with designing and managing projects. The second is addressed to WB staff involved with designing and implementing the new project in Mali.

Recommendations to GIZ on project design and implementation

- The future design of projects in Mali should better take into account that there is a lack of statistical data from the government and specific data from the private sector, which is hard and/or impossible to retrieve. This is an issue when it comes defining baselines, monitoring projects and conducting evaluations.
- The evaluation revealed that system boundary was not considered as thoroughly as was required. For instance, the design of projects should more thoroughly consider whether any government approvals are needed for specific results and/or project components. In addition, a robust results model, which also defines relevant system boundary for the project, should be produced at the very beginning of a project term, with the help of external consultants if necessary.
- The evaluation indicates that a Malian partner contribution might have further encouraged the government partner's commitment. Envisaging partner contributions in countries like Mali is therefore recommended, even though they might be rather limited. This would enhance partner commitment in the project implementation process.
- The evaluation indicates that continuous, holistic monitoring of results and financial resources is vital for the efficient implementation of every intervention. Monitoring should have been more holistic and focused on outcomes and impact, as well as risks, rather than just on outputs. More attention is recommended in this area, along with improving the qualification of staff in charge of monitoring, if necessary.

Recommendations to WB on designing and implementing the new project

- With regard to output E, it is recommended that WB ensures that the long-term study is published and disseminated. This will make representative data available on employment, income and human rights in the Kayes and Sikasso mining regions, ensuring the study's impact and sustainability.
- As regards output B, WB should encourage and/or support the Malian Government in introducing and/or improving local content reporting standards in Mali. This would increase local content transparency, and enhance local employment and procurement significantly by allowing comparability among the mining companies operating in Mali. This would stimulate competition in the long run.
- The evaluation has revealed that the multi-level approach has proved to be successful. It is therefore recommended that WB's new Governance of Mining Sector Project should continue working in pilot regions, as is planned anyway. A multi-level approach to implementation will enable project staff to be aware of the local situation. This includes, for example, local employment and procurement by mining companies; corporate social responsibility activities; and decision-making on local matters, such as the public restitution and PDSEC processes. The knowledge gained will then feed into the support delivered nationally, enabling approaches and solutions that truly serve the whole country to be identified.
- WB could increase its new project's effectiveness and impact by actively seeking opportunities to cooperate with private sector stakeholders, such as mining companies (see above).

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Annex: Evaluation matrix

| Assessment dimension | Evaluation questions | Evaluation indicators | Data collection methods | Data sources | Evidence strength |
|---|---|---|-------------------------|---|-------------------|
| RELEVANCE (max. 100 points) | | | | | |
| <p>The project strategy* is in line with the relevant strategic reference frameworks.</p> <p>Max. 30 points</p> | Which strategic reference frameworks exist for the project? (e.g. national strategies incl. national implementation strategy for 2030 agenda, regional and international strategies, sectoral, cross-sectoral change strategies, if bilateral project especially partner strategies, internal analysis frameworks e.g. safeguards and gender (2)) | Description, no indicator required | Interviews, documents | Project proposal, progress reports | good |
| | To what extent was the (conflict) context of the project adequately analysed and considered for the project concept (key documents: (Integrated) Peace and Conflict Assessment, Safeguard Conflict and Conflict Sensitivity documents)? | Interview partners refer to relevant Malian Governments' and BMZ framework documents (especially the Africa Mining Vision), alignment is also reflected in core documents | Interviews, documents | Interviews and core documents | good |
| | To what extent was the (conflict) context of the project adequately analysed and considered for the project concept (key documents: (Integrated) Peace and Conflict Assessment, Safeguard Conflict and Conflict Sensitivity documents)? | Monitoring system exists PCA matrix was elaborated and regularly updated | Interviews, documents | Workshop with project team, Interviews and core documents | good |
| | To what extent are the interactions (synergies/trade-offs) of the intervention with other sectors reflected in the project concept – also regarding the sustainability dimensions (ecological, economic and social)? | Trade-offs between sustainability dimensions have been reflected | Interviews, documents | Workshop with project team, Interviews and core documents | good |
| | To what extent is the project concept in line with the International cooperation (DC) programme (If applicable), the BMZ country strategy and BMZ sectoral concepts? | Project proposal refers to BMZ country strategy and BMZ sectoral concepts | Interviews, documents | Interview with PADRE program Manager and core documents | good |

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| | To what extent is the project concept in line with the (national) objectives of the 2030 agenda? To which Sustainable Development Goals (SDG) is the project supposed to contribute? | Project documents refers to SDGs, Interview partners refer to national objectives of 2030 agenda | Interviews, documents | Interviews and core documents | good |
| | To what extent is the project concept subsidiary to partner efforts or efforts of other relevant organisations (subsidiary and complementarity)? | Coordination has taken place | Interviews | Interviews with partners and donors | good |
| <p>The project concept* matches the needs of the target group(s).</p> <p>Max. 30 points</p> | To what extent is the chosen project concept geared to the core problems and needs of the target group(s)? | Detailed description of target group exists, needs are clearly identified, indicators reflect target groups sufficiently, proof of do no harm approach | Project documents and interviews | Focus group discussions with target group | good |
| | How are the different perspectives, needs and concerns of women and men represented in the project concept? | Gender analysis was updated and taken into account in project implementation | Workshop with project team, interviews and core documents | Focus group discussions with target group | good |
| | How were deescalating factors/ connectors (4) as well as escalating factors/ dividers (5) identified (e.g. see column I and II of the Peace and Conflict Assessment) and considered for the project concept (please list the factors)? (6) | These factors/connectors have been identified and considered, i.e. by a PCA matrix | Workshop with project team, documents | Interviews with project staff | good |
| | To what extent was the project concept designed to reach particularly disadvantaged groups Leave No One Behind principle, as foreseen in the Agenda 2030)? How were identified risks and potentials for human rights and gender aspects included into the project concept? | People with disabilities and the most vulnerable were taken into concern | Operational planning, project progress reports, results matrix and monitoring data | Interviews GIZ, partners, private and civil society actors and target group, focus group discussions | good |
| | To what extent were potential (security) risks for (GIZ) staff, partners, target groups/final beneficiaries identified and considered? | Risks in PCA matrix identified, Risk and Security Management system in place as well as conflict sensitive monitoring | Monitoring system, documents | Interview with Risk and Security Management | good |

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| | To what extent are the intended impacts regarding the target group(s) realistic from today's perspective and the given resources (time, financial, partner capacities)? | AMV requirements are fulfilled, living and working conditions of indirect target group have improved | Interviews, results of long-terms study prepared by project | Focus group discussions with target group | moderate |
| <p>The project concept* is adequately designed to achieve the chosen project objective.</p> <p>Max. 20 points</p> | <p>Assessment of current results model and results hypotheses (theory of change – ToC) of actual project logic:</p> <ul style="list-style-type: none"> - To what extent is the project objective realistic from today's perspective and the given resources (time, financial, partner capacities)? - To what extent are the activities, instruments and outputs adequately designed to achieve the project objective? - To what extent are the underlying results hypotheses of the project plausible? - To what extent is the chosen system boundary (sphere of responsibility) of the project (including partner) clearly defined and plausible? - Are potential influences of other donors/organisations outside of the project's sphere of responsibility adequately considered? - To what extent are the assumptions and risks for the project complete and plausible? | Results model exists, is logical and updated, objective is realistic, activities, instruments and outputs are adequate to reach the objective, system boundary are clear and plausible, assumptions and risks are complete and plausible | Results model, results matrix, project proposal, reports, interviews | Further interviews with partners, etc. (focus on effectiveness related questions) | good |
| | To what extent does the strategic orientation of the project address potential changes in its framework conditions? | Political and economic changes were analysed and addressed as necessary in project implementation | Project proposal, results matrix, reports, country analyses and technical documents | Interview with Project Manager | strong |
| | How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused? | Strategic focus can be identified | Interviews and documents | Interview with Project Manager and staff in charge of components | strong |
| The project concept* was adapted to changes in line with requirements and re-adapted where applicable. | What changes have occurred during project implementation? (e.g. local, national, international, sectoral, including state of the art of sectoral know-how)? | Descriptions, no indicator required | Interviews and documents | Interview with Project Manager and staff in charge of components | good |

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| Max. 20 points | How were the changes dealt with regarding the project concept? | Adaptation is demonstrated in documents, examples that demonstrate the reaction of the project to changes in the course of the implementation can be given | Interviews and documents | Interview with Project Manager and staff in charge of components | good |
|----------------|--|--|--------------------------|--|------|

| Assessment dimension | Evaluation questions | Evaluation indicators | Data collection methods | Data sources | Evidence strength |
|---|--|---|--|--|-------------------|
| EFFECTIVENESS (max. 100 points) | | | | | |
| The project achieved the objective (outcome) on time in accordance with the project objective indicators. (1) Max. 40 points | To what extent has the agreed project objective (outcome) been achieved (or will be achieved until end of project), measured against the objective indicators? Are additional indicators needed to reflect the project objective adequately? | Outcome indicators are achieved; indicators sufficiently reflect the module objective | Monitoring data and project progress reports | Clarification interview with monitoring officer and component managers, final report | strong |
| | For projects with FS1 or FS2 markers: 'To what extent was the project able to strengthen deescalating factors/ 'connectors'? | So far not clear if project has FS1 or FS2 marker | | | |
| | To what extent is it foreseeable that unachieved aspects of the project objective will be achieved during the current project term? | So far unachieved aspects of project objective have been considered and realistic plans for achievement were made | Workshop with project team | Interviews and program documents | good |
| The activities and outputs of the project contributed substantially to the project objective achievement (outcome). (1) Max. 30 points | To what extent have the agreed project outputs been achieved (or will be achieved until the end of the project), measured against the output indicators? Are additional indicators needed to reflect the outputs adequately? | Respondents describe the contribution of the outcome to the overarching results | Project progress reports, results model | Workshop with project team, interviews, focus group discussions with indirect target group | strong |
| | How does the project contribute via activities, instruments and outputs to the achievement of the project objective (outcome)? (contribution-analysis approach) | Contribution plausible | Monitoring data and project progress reports | Workshop with project team, interviews | strong |

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| | Implementation strategy: Which factors in the implementation contribute successfully to or hinder the achievement of the project objective? (e.g. external factors, managerial setup of project and company, cooperation management) | Interviewees name success factors and impediments in implementation for the achievement of objectives | Monitoring data and project progress reports | Workshop with project team, interviews | good |
| | What other/alternative factors contributed to the fact that the project objective was achieved or not achieved? | Respondents state alternative reasons for the achievement of the target or for not achieving the target | Monitoring data and project reports | Interviews and focus group discussions | good |
| | What would have happened without the project? | Description | Project progress reports, interviews, results model | Workshop with project team, interviews, focus group discussions with indirect target group | good |
| <p>No project-related (unintended) negative results have occurred – and if any negative results occurred the project responded adequately.</p> <p>The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized.</p> <p>Max. 30 points</p> | Which (unintended) negative or (formally not agreed) positive results does the project produce at output and outcome level and why? | Risks and unintended impacts were recorded as observation fields by the monitoring system | Monitoring data and project progress reports | Interviews | good |
| | To what extent was the project able to ensure that escalating factors/ dividers have not been strengthened (indirectly) by the project? Has the project unintentionally (indirectly) supported violent or 'dividing' actors? | Risks and measures to mitigate these risks have been monitored | Monitoring data and project progress reports | Interviews | good |
| | How were risks and assumptions (see also GIZ Safeguards and Gender system) as well as (unintended) negative results at the output and outcome level assessed in the monitoring system (e.g. KOMPASS)? Were risks already known during the concept phase? | Risks, assumptions and (unintended) negative results at output and outcome level have been monitored and described by project proposal | Monitoring data and project progress reports, project proposal | Interviews | good |

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| | To what extent have risks in the context of conflict, fragility and violence (5) been monitored (context/conflict-sensitive monitoring) in a systematic way? | PCA matrix has been elaborated any regularly been updated | PCA matrix, monitoring data and project progress reports | Interviews | good |
| | What measures have been taken by the project to counteract the risks and (if applicable) occurred negative results? To what extent were these measures adequate? | Risks and negative results have been named by the respondents and were adequately addressed by the project | Monitoring data and project progress reports | Interviews | good |
| | To what extent were potential (not formally agreed) positive results at outcome level monitored and exploited? | The project reflected about unintended results and described them; the project developed mitigation strategies to exploit positive unintended results | Monitoring data and project progress reports | Interviews | good |

| Assessment dimension | Evaluation questions | Evaluation indicators | Data collection methods | Data sources | Evidence strength |
|--|---|--|---|--|-------------------|
| IMPACT (max. 100 points) | | | | | |
| <p>The intended overarching development results have occurred or are foreseen (plausible reasons). (1)</p> <p>Max. 40 points</p> | To which overarching development results is the project supposed to contribute (cf. module and programme proposal with indicators/ identifiers if applicable, national strategy for implementing 2030 Agenda, SDGs)? Which of these intended results at the impact level can be observed or are plausible to be achieved in the future? | Contribution to program indicators, SDGs, BMZ marker | Project progress reports, updated results model | Interview with PADRE program manager and project staff, statistical data, interviews with partners | moderate |
| | To what extent have the IZR criteria contributed to strengthening overarching development results? | | | | |

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| | Indirect target group and Leave No One Behind: Is there evidence of results achieved at indirect target group level/specific groups of population? To what extent have targeted marginalised groups (such as women, children, young people, elderly, people with disabilities, indigenous peoples, refugees, IDPs and migrants, people living with HIV/AIDS and the poorest of the poor) been reached? | Indicators reflect target group sufficiently, Leave No One Behind visible in operational planning, project progress reports, monitoring data, gender analysis, do no harm guidelines, interviewees describe results on target group level | Project progress reports, monitoring data, gender analysis | Interviews and focus group discussions with target group | good |
| <p>The project objective (outcome) of the project contributed to the occurred or foreseen overarching development results (impact).(1)</p> <p>Max. 30 points</p> | To what extent is it plausible that the results of the project on outcome level (project objective) contributed or will contribute to the overarching results? (contribution-analysis approach) | Respondents describe the contribution of the outcome to the overarching results | Project progress reports, interviews, results model | Workshop with project team, interviews, focus group discussions with indirect target group | good |
| | What are the alternative explanations/factors for the overarching development results observed? (e.g. the activities of other stakeholders, other policies) | Description, alternative factors can be identified | Project progress reports, interviews, results model | Workshop with project team, interviews, focus group discussions with indirect target group | good |
| | To what extent is the impact of the project positively or negatively influenced by framework conditions, other policy areas, strategies or interests (German ministries, bilateral and multilateral development partners)? How did the project react to this? | Analysis of influence of international cooperation environment on the effectiveness of the intervention (e.g. absorption and coordination capacity of partners) | Project progress reports, interviews, results model | Interviews | good |
| | What would have happened without the project? | Description | Project progress reports, interviews, results model | Workshop with project team, interviews, focus group discussions with indirect target group | good |
| | To what extent has the project made an active and systematic contribution to widespread impact and were scaling-up mechanisms applied (2)? If not, could there have been potential? Why was the potential not exploited? | Activities to widespread the impact are foreseen in the project proposal and reported by the project | Project proposal, progress reports, interviews, results model | Interviews | good |

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| | To what extent has the project made an innovative contribution (or a contribution to innovation)? Which innovations have been tested in different regional contexts? How are the innovations evaluated by which partners? | Interviewees name the contribution to the project to the widespread impact | | | |
| <p>No project-related (unintended) negative results at impact level have occurred – and if any negative results occurred the project responded adequately.</p> <p>The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized.</p> <p>Max. 30 points</p> | Which (unintended) negative or (formally not agreed) positive results at impact level can be observed? Are there negative trade-offs between the ecological, economic and social dimensions (according to the three dimensions of sustainability in the Agenda 2030)? Were positive synergies between the three dimensions exploited? | There are no negative results or trade-offs, positive results and synergies between the three dimensions can be described | Project progress reports and updated results model | Workshop with project team, interviews, focus group discussions with indirect target group | good |
| | To what extent did the project have (unintended) negative or escalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)? To what extent did the project have positive or de-escalating effects on the conflict or the context of fragility (e.g. conflict dynamics, violence, legitimacy of state and non-state actors/institutions)? | Conflict-sensitive monitoring exists | Project progress reports and interviews | Workshop with project team | good |
| | To what extent were risks of (unintended) results at the impact level assessed in the monitoring system (e.g. KOMPASS)? Were risks already known during the planning phase? | Risks are included in the monitoring system | Project progress reports and interviews | Workshop with project team | good |
| | What measures have been taken by the project to avoid and counteract the risks/negative results/trade-offs (3)? | If risks, negative results, trade-offs occurred the project noticed these and took appropriate action | Project progress reports and interviews | Workshop with project team, focus group discussions with indirect target group | good |
| | To what extent have the framework conditions played a role in regard to the negative results? How did the project react to this? | If the framework conditions were not conducive the project noticed this and took appropriate action | Project progress reports and interviews | Workshop with project team | good |
| | To what extent were potential unintended positive results and potential synergies between the ecological, economic and social dimensions monitored and exploited? | Unintended positive results and potential synergies have been exploited | Project progress reports and interviews | Workshop with project team | good |

| Assessment dimension | Evaluation questions | Evaluation indicators | Data collection methods | Data sources | Evidence strength |
|---|---|--|--|---|-------------------|
| EFFICIENCY (max. 100 points) | | | | | |
| <p>The project's use of resources is appropriate with regard to the outputs achieved.</p> <p>[Production efficiency: Resources/Outputs]</p> <p>Max. 70 points</p> | To what extent are there deviations between the identified costs and the projected costs? What are the reasons for the identified deviation(s)?+C4:C16 | Das Vorhaben steuert seine Ressourcen gemäß des geplanten Kostenplans (Kostenzeilen). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen vom Kostenplan. | Cost commitment report | Interview with project manager | strong |
| | Focus: To what extent could the outputs have been maximised with the same amount of resources and under the same framework conditions and with the same or better quality (maximum principle)? (methodological minimum standard: Follow-the-money approach) | Das Vorhaben reflektiert, ob die vereinbarten Wirkungen mit den vorhandenen Mitteln erreicht werden können. | Project progress reports, monitoring data | Output allocation based on efficiency tool, interviews with project staff, interviews with implementing partner organisations | good |
| | | Das Vorhaben steuert seine Ressourcen gemäß der geplanten Kosten für die vereinbarten Leistungen (Outputs). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen von den Kosten. Die übergreifenden Kosten des Vorhabens stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs. Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens. | Cost commitment report, operational plans and grants contracts | Interviews with project staff | good |
| | | Die übergreifenden Kosten des Vorhabens stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs. | Cost commitment report, project progress reports | Efficiency tool, interviews with project staff | good |

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| | | Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens. | Cost commitment report | Interviews with project staff | good |
| | Focus: To what extent could outputs have been maximised by reallocating resources between the outputs? (methodological minimum standard: Follow-the-money approach) | Das Vorhaben steuert seine Ressourcen, um andere Outputs schneller/ besser zu erreichen, wenn Outputs erreicht wurden bzw. diese nicht erreicht werden können (Schlussevaluierung). | Operational plan, project progress reports | Efficiency tool, interviews with project staff | good |
| | Were the output/resource ratio and alternatives carefully considered during the design and implementation process – and if so, how? (methodological minimum standard: Follow-the-money approach) | Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden. | Project proposal (instruments' conception) | Interviews with project staff | good |
| | | Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden. | Project proposal, project progress reports, operational plans, cost commitment report | Efficiency tool, interviews with project staff | good |
| | | Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden. | Project proposal, cost commitment report | Efficiency tool, interviews with project staff | good |
| | | Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut nachvollziehbar. | Project proposal, cost commitment report | Efficiency tool, interviews with project staff and Risk and Security Management | good |
| | | Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens voll realisiert werden. | Project proposal, project progress reports | Interviews with project staff | good |

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|---|---|---|---|--|----------|
| | | Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich der zu erbringenden Outputs entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art. | Project proposal | Comparison with other technical cooperation projects in Mali | moderate |
| | For interim evaluations based on the analysis to date: To what extent are further planned expenditures meaningfully distributed among the targeted outputs? | Siehe oben | not applicable | | |
| <p>The project's use of resources is appropriate with regard to achieving the projects objective (outcome).</p> <p>[Allocation efficiency: Resources/Outcome]</p> <p>Max. 30 points</p> | To what extent could the outcome (project objective) have been maximised with the same amount of resources and the same or better quality (maximum principle)? | Das Vorhaben orientiert sich an internen oder externen Vergleichsgrößen, um seine Wirkungen kosteneffizient zu erreichen. | Cost commitment report | Interview with project staff | moderate |
| | Were the outcome-resources ratio and alternatives carefully considered during the conception and implementation process – and if so, how? Were any scaling-up options considered? | ‘Das Vorhaben steuert seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Schlussevaluierung) | Operational plans, project progress reports | Efficiency tool, interviews with project staff | good |
| | | Oder: Das Vorhaben steuert und plant seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden. (Zwischenevaluierung) | | | |
| | | Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden. | Project proposal (instruments' conception) | Interviews with project staff | good |
| | | Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden. | Project proposal and project progress reports | Interviews with project staff and partners | good |

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|--|---|--|---|---|----------|
| | | Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden. | Project proposal and project progress reports | Interviews with project staff | good |
| | | Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut nachvollziehbar. | Project proposal | Interview with project staff and Risk and Security Management | good |
| | | Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens voll realisiert werden. | Project proposal | Interviews with project staff | good |
| | | Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich des zu erbringenden Modulziels entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art. | Project proposal | Interviews with other donors and FMB staff | moderate |
| | To what extent were more results achieved through cooperation / synergies and/or leverage of more resources, with the help of other ministries, bilateral and multilateral donors and organisations (e.g. co-financing) and/or other GIZ projects? If so, was the relationship between costs and results appropriate or did it even improve efficiency? | Das Vorhaben unternimmt die notwendigen Schritte, um Synergien mit Interventionen anderer Geber auf der Wirkungsebene vollständig zu realisieren. | Project proposal, project progress reports | Interviews with project staff and other donors | good |
| | | Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität zu Interventionen anderer Geber werden ausreichend vermieden. | Project proposal, project progress reports | Interviews with project staff and other donors | good |
| | | Das Vorhaben unternimmt die notwendigen Schritte, um Synergien innerhalb der deutschen EZ vollständig zu realisieren. | Project proposal, project progress reports | Interview with other GIZ projects, GIZ country office, German Embassy | good |

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|--|--|---|--|---|------|
| | | Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität innerhalb der deutschen EZ werden ausreichend vermieden. | Project proposal, project progress reports | Interview with other GIZ projects, GIZ country office, German Embassy | good |
| | | Die Kombifinanzierung hat zu einer signifikanten Ausweitung der Wirkungen geführt bzw. diese ist zu erwarten. | not applicable | | |
| | | Durch die Kombifinanzierung sind die übergreifenden Kosten im Verhältnis zu den Gesamtkosten nicht überproportional gestiegen. | not applicable | | |
| | | Die Partnerbeiträge stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs des Vorhabens. | Project proposal | Interviews with project staff and partners | good |

| Assessment dimension | Evaluation questions | Evaluation indicators | Data collection methods | Data sources | Evidence strength |
|---|--|--|--|--------------|-------------------|
| SUSTAINABILITY | | | | | |
| Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures. Max. 50 points | What has the project done to ensure that the results can be sustained in the medium to long term by the partners themselves? | Documents and statements verify action that will lead / are expected to lead to sustainability | Project progress reports and monitoring data | Interviews | good |
| | In what way are advisory contents, approaches, methods or concepts of the project anchored/institutionalised in the (partner) system? | Documents and statements verify anchoring/ institutionalization | Project progress reports and operational plans | Interviews | good |
| | To what extent are the results continuously used and/or further developed by the target group and/or implementing partners? | Documents and statements verify further use by the target group/ implementing partners | Project progress reports | Interviews | good |
| | To what extent are resources and capacities at the individual, organisational or societal/political level in the partner country available (long-term) to ensure the continuation of the results achieved? | Resources and capacities are confirmed | Project progress reports and operational plans | Interviews | good |

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| | If no follow-on measure exists: What is the project's exit strategy? How are lessons learnt for partners and GIZ prepared and documented? | The project has an exit-strategy, learning experiences are documented and shared | Project progress reports and operational plans | Interviews | good |
| | To what extent was the project able to ensure that escalating factors/dividers (1) in the context of conflict, fragility and violence have not been strengthened (indirectly) by the project in the long-term? To what extent was the project able to strengthen deescalating factors/connectors (2) in a sustainable way? | Factors/connectors were named and considered to be sustainable | Project progress reports and interviews | Interviews | good |
| Forecast of durability: Results of the project are permanent, stable and long-term resilient. | To what extent are the results of the project durable, stable and resilient in the long-term under the given conditions? | Interview partners confirm duration, stability and resilience of the results | Project progress reports and interviews | Interviews and focus group discussions | good |
| Max. 50 points | What risks and potentials are emerging for the durability of the results and how likely are these factors to occur? What has the project done to reduce these risks? | No risks emerge, if risks emerged, they were counteracted by the project | Project progress reports and interviews | Interviews and focus group discussions | good |

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