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IMPLEMENTATION COMPLETION AND RESULTS REPORT

IDA H5890

TF10744

ON A

GRANT

IN THE AMOUNT OF SDR 33.1 MILLION

(US\$50 MILLION EQUIVALENT)

TO THE

DEMOCRATIC REPUBLIC OF CONGO

FOR THE

GROWTH WITH GOVERNANCE IN THE MINERAL SECTOR (P106982)

April 18, 2019

Energy and Extractives Global Practice
Africa Region

CURRENCY EQUIVALENTS

Exchange Rate Effective March 11, 2019

Currency Unit = Franc Congolais (CDF)

CDF 1,630 = US\$1

US\$1.39 = SDR 1

FISCAL YEAR
July 1– June 30

ABBREVIATIONS AND ACRONYMS

ASM	Artisanal and Small-scale Mining
CAMI	Mining Cadaster (<i>Cadastre Minier</i>)
CEEC	<i>Centre d'Expertise, d'Evaluation et De Certification de substances minérales précieuses et semi-précieuses (Precious Minerals Expertise, Evaluation and certification Committee)</i>
CTCPM	<i>Comité Technique de Coordination et Planification Minière (Coordination and Planning Technical Committee)</i>
DFID	United Kingdom Department for International Development
DRC	Democratic Republic of Congo
EITI	Extractive Industries Transparency initiative
GECAMINES	<i>Société Générale des Carrieres et des Mines (Mining and Quarries Company)</i>
GIZ	German Corporation for International Cooperation (<i>Deutsche Gesellschaft für Internationale Zusammenarbeit</i>)
ICR	Implementation Completion and Results Report
ICT	Information and Communication Technology
IMF	International Monetary Fund
IPP	Indigenous Peoples Plan
ISR	Implementation Status and Results Report
KMT	Kingamyambo Musonoi Tailings
MGCP	Multinational Geospatial Co-production Program
MTR	Midterm Review
M&E	Monitoring and Evaluation
NGOs	Nongovernmental Organization
NGS	National Geological Survey
PAD	Project Appraisal Document
PDO	Project Development Objective
PIU	Project Implementation Unit
PROMINES	Growth with Governance in the Extractive Sector Project
PSDP	Platform for the Follow-up of the Participative Dialogue
RENAFEM	National Network of Women in the Mining in DRC (<i>Réseau Nationale de Femmes dans les Mines en RDC</i>)

SAEMAPE	<i>Service d'Assistance et d'Encadrement de l'Exploitation Minière Artisanale et à petite Echelle</i> (Artisanal and Small-Scale Mining Service)
SAESSCAM	<i>Service d'Assistance et d'Encadrement du Small-scale Mining</i> (Artisanal and Small-Scale Service)
SESA	Strategic Environmental and Social Assessment
ToR	Terms of Reference
UNOPS	United Nations Office for Project Services
VC	Video Conference
ZEA	Artisanal Zone (<i>Zone d'Artisanale</i>)

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DATA SHEET

BASIC INFORMATION

Product Information

Project ID	Project Name
P106982	DRC-Growth with Governance in the Mineral Sector
Country	Financing Instrument
Congo, Democratic Republic of	Investment Project Financing
Original EA Category	Revised EA Category
Partial Assessment (B)	Partial Assessment (B)

Organizations

Borrower	Implementing Agency
Ministry of Finance, Ministry of Mines	PIU PROMINES (Ministry of Mines of DRC)

Project Development Objective (PDO)

Original PDO
To strengthen the capacity of key institutions to manage the minerals sector, improve the conditions for increased investments in and revenues from mining, and help increase the socio-economic benefits from artisanal and industrial mining in Project areas.



FINANCING

	Original Amount (US\$)	Revised Amount (US\$)	Actual Disbursed (US\$)
World Bank Financing			
IDA-H5890	50,000,000	50,000,000	44,780,770
TF-10744	36,963,743	5,326,496	6,167,980
Total	86,963,743	55,326,496	50,948,750
Non-World Bank Financing			
Borrower/Recipient	0	0	0
UK: British Department for International Development (DFID)	38,891,557	0	0
Total	38,891,557	0	0
Total Project Cost	125,855,301	55,326,496	50,948,750

KEY DATES

Approval	Effectiveness	MTR Review	Original Closing	Actual Closing
01-Jul-2010	19-Oct-2011	24-Mar-2014	15-Dec-2015	15-Dec-2018

RESTRUCTURING AND/OR ADDITIONAL FINANCING

Date(s)	Amount Disbursed (US\$M)	Key Revisions
31-May-2015	9.71	Change in Results Framework Change in Components and Cost Change in Financing Plan Change in Financial Management Other Change(s)
01-Dec-2015	13.31	Change in Results Framework Change in Components and Cost Change in Loan Closing Date(s) Change in Financing Plan Change in Implementation Schedule

**KEY RATINGS**

Outcome	Bank Performance	M&E Quality
Moderately Satisfactory	Satisfactory	Modest

RATINGS OF PROJECT PERFORMANCE IN ISRs

No.	Date ISR Archived	DO Rating	IP Rating	Actual Disbursements (US\$M)
01	05-Jul-2011	Moderately Satisfactory	Moderately Satisfactory	2.00
02	11-Mar-2012	Moderately Satisfactory	Moderately Satisfactory	3.39
03	29-Oct-2012	Moderately Satisfactory	Moderately Satisfactory	4.90
04	24-Mar-2013	Moderately Satisfactory	Moderately Satisfactory	6.39
05	10-Mar-2014	Moderately Satisfactory	Moderately Unsatisfactory	10.49
06	10-Jan-2015	Moderately Unsatisfactory	Moderately Unsatisfactory	15.63
07	31-Mar-2015	Moderately Unsatisfactory	Moderately Unsatisfactory	16.10
08	15-May-2015	Moderately Satisfactory	Moderately Satisfactory	15.88
09	30-Jul-2015	Moderately Satisfactory	Satisfactory	18.19
10	11-Oct-2016	Moderately Satisfactory	Moderately Satisfactory	24.36
11	27-Jan-2017	Moderately Satisfactory	Moderately Satisfactory	25.86
12	26-May-2017	Moderately Satisfactory	Moderately Satisfactory	29.69
13	27-Oct-2017	Moderately Satisfactory	Moderately Satisfactory	34.05
14	24-May-2018	Moderately Satisfactory	Moderately Satisfactory	42.20



SECTORS AND THEMES	
Sectors	
Major Sector/Sector	(%)
Education	1
Tertiary Education	1
Energy and Extractives	99
Public Administration - Energy and Extractives	99
Themes	
Major Theme/ Theme (Level 2)/ Theme (Level 3)	(%)
Finance	0
Finance for Development	8
Agriculture Finance	8
Public Sector Management	0
Public Finance Management	11
Public Expenditure Management	11
Public Administration	66
Transparency, Accountability and Good Governance	66
Data Development and Capacity Building	4
Data production, accessibility and use	4
Human Development and Gender	0
Education	4
Access to Education	1
Science and Technology	1
Teachers	1
Standards, Curriculum and Textbooks	1



Urban and Rural Development	0
Rural Development	8
Rural Markets	8
Private Sector Development	100
Jobs	100

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I. PROJECT CONTEXT AND DEVELOPMENT OBJECTIVES

A. CONTEXT AT APPRAISAL

Context

1. The Democratic Republic of Congo (DRC) is endowed with exceptional mineral resources, and mining has continuously been at the center of the economy in recent history. A World Bank study¹ in 2008 stated that “The mining sector has been the key sector of the DRC economy since colonial times, contributing between 70 % and 80% of export earnings and around 8% of GDP.” That same study that reported sector taxes of US\$27 million in 2005 also stated that “DRC’s mining sector could, within ten years, contribute 20–25% of GDP and one-third of total tax receipts.” As a matter of fact, according to the Extractive Industries Transparency Initiative (EITI) 2018 report based on 2016 data, oil, gas, and mining accounted for 98.04 percent of exports, 17.8 percent of gross domestic product, and 18.26 percent of treasury revenues. Extractive industries also represented 11.07 percent of formal employment to which one must add a great number of informal artisanal and small-scale miners (ASM representing between 1.5 and 2 million people, with at least 40 percent being women).
2. At the time of project appraisal, the sector was marked by a complex and rapidly changing political economy. The administration of the sector was dysfunctional, handicapped by insufficient institutional capacity, poor business climate, and fundamental deficiencies in governance. The Government was looking for innovative ways to bring investments into the country that could catalyze development beyond minerals, notably through a very ambitious ‘resource for infrastructure’ deal with China. At the same time, private companies (which had kept advantageous fiscal provisions) were willing to invest a significant amount of capital to expand copper and gold production. Public companies including the state-owned mining sector, *Société Générale des Carriers et des Mines* (GECAMINES) were actively signing joint ventures to add value to their best concessions and restore their production capacity. At the same time, civil society organizations and Parliament members were vocal against mining contracts signed during or just after the civil war. The artisanal and small-scale mining (ASM) producers of gold, coltan, and diamonds were expanding their reach to many regions throughout the country, either informally or under traceability pilot initiatives.
3. As explained in the Project Appraisal Document (PAD), the analysis of the political economy largely influenced the design of the operation. For example, it was found that a reform of GECAMINES and other state-owned companies would be useful from an economic perspective but that the issues were too complex to be tackled with a technical assistance project alone.² Hence, the design of the project prioritized areas where there was enough demand and government buy-in for transparency, accountability, improved knowledge of resources, and institutional strengthening.
4. When the project was declared effective, on October 19, 2011, there was a consensus about both the risks and the opportunities that mining represented in the DRC. The sector was expected to bring high

¹ World Bank. 2008. *DRC Growth with Governance Study in the Mining Sector*.

² As described in the following sections, the project financed an evaluation of SOKIMO assets in 2017–2018 as a way to test the potential for further intervention.

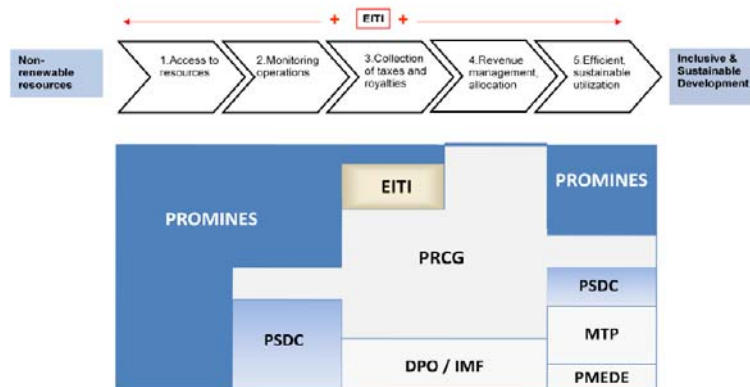


revenues, but those revenues would only benefit the country and the population of Congo with enhanced sector management, transparency, and accountability.

Theory of Change (Results Chain)

5. The project’s theory of change was based on the extractive industries value chain approach (EITI++) which is described in the PAD. It establishes five logical steps to turn nonrenewable mineral resources into inclusive and sustainable development through the generation of revenues and other benefits. The project design mapped other donors’ projects and initiatives in support of each of those five steps and identified activities to fill up the main gaps (see figure 1). The PDO, the outcome indicators, and the intermediate results all flow from this positioning of the project in the universe of needs to improve the management of the mining sector.

Figure 1. The Extractive Industries Value Chain (EITI++)



Source: PAD, 2010.

6. The Growth with Governance in the Extractive Sector Project in DRC (PROMINES) strongly focused on the first two chevrons of the extractive industries value chain, but it also had activities fitting the three others:

- (a) By improving the knowledge of the subsoil (geology program) and the management of mining titles (cadaster support) and through its support to the improvement of the policy and legal framework (mining policy, Mining Code), PROMINES aimed at improving access to resources.
- (b) By supporting a major institutional reform and capacity-building program within mining institutions, PROMINES provided support to the monitoring of operations.
- (c) The contribution to Chevron - 3, the EITI itself, was relatively small in budget but critical because PROMINES supported the establishment of the initiative.
- (d) The contribution to Chevron - 4 was limited, but the project did finance some studies (fiscal study, SOKIMO assessment) and training that contributed to improving revenue



management. Clearly this part of the whole theory of change was left to other projects and partners.

- (e) By supporting the integration of the mining sector into local and regional development planning, PROMINES contributed to Chevron - 5. The support to ASM was part of this step (women network, formalization) as well as the first (ASM zones) and the second one (support to *Service d'Assistance et d'Encadrement du Small-scale Mining* [SAESSCAM]/*Service d'Assistance et d'Encadrement de l'Exploitation Minière Artisanale et à petite Echelle* [SAEMAPE]).

7. The project positioned itself among interventions which could all together contribute to the success of mining for sustainable development in the DRC, instead of assigning such an ambitious goal solely to itself . This particularity, dictated by the dialog in-country at the time of project design, had the merit of demonstrating coherent and effective coordination among projects and donors, but it implied that its success would somehow depend on these as well, thereby creating an inherent challenge for the attribution of project results.

Project Development Objectives (PDOs)

8. Under the unified 'EITI++' framework, this PDO was threefold: "To strengthen the capacity of key institutions to manage the minerals sector, improve the conditions for increased investments in and revenues from mining, and help increase the socioeconomic benefits from artisanal and industrial mining in project areas."³

Key Expected Outcomes and Outcome Indicators

9. In line with the PAD, the original PDO indicators unpacked the three components of the PDO as shown in table 1.

Table 1. Unpacking the PDO

PDO portion	Corresponding PDO indicators
Mining sector management: "To strengthen the capacity of key institutions to manage the minerals sector"	Performance of key institutions in the minerals sector to enforce the legal and regulatory framework
	Status of transparency and accountability mechanisms
Investments and revenues: "To improve the conditions for increased investments in and revenues from mining"	Increased private investment in the mining sector
	Increased fiscal revenues from the sector
Working and living conditions: "To help increase the socio-economic benefits from artisanal and industrial mining in project areas"	Working and living conditions of artisanal and industrial mining communities in project areas

³ Financing Agreement from July 21, 2011, page 5. The same terms are used by the PDO in the PAD, page 15.



Project Components

10. The project had five components.

Component A: Ensuring Access to Resources (US\$31.1 million, of which IDA US\$17.3 million)

11. The main objective of this component was to address fundamental impediments to accessing resources and create an enabling environment for mining development operations in the DRC while leveling the playing field between the Government and industry with regard to data access. The project supported activities (a) designed to improve the policy, legal, and regulatory framework and (b) develop the country's geodata infrastructure.

Component B: Build Sector Management Capacity (US\$24.6 million, of which IDA US\$13.4 million)

12. This component tackled the most central challenge in effectively monitoring and management of mining operations in the DRC, which is to strengthen the public mining institutions and build capacity at the central and provincial levels. Activities under this component provided support to (a) strengthening of capacities in public mining institutions, (b) capacity building for negotiation and portfolio management, and (b) human resources development for the mining sector.

Component C: Enhance Transparency and Accountability (US\$5.4 million, of which IDA US\$3.1 million)

13. The overall objective of this component was to help streamline and reinforce government tax administration departments and strengthen tax collection and revenues. The project complemented the efforts under other World Bank and donor projects to strengthen capacities and promoted the development of mechanisms for civil society to monitor transparency and accountability in the sector. It included (a) the transparency and certification mechanisms for mining, (b) the framework for tax and revenues collection from mining, and (c) the accountability mechanisms.

Component D: Build Up Sustainable Development Settings (US\$17.7 million, of which IDA US\$9.9 million)

14. This component supported activities to improve (a) the management of social and environmental impacts of mining, (b) the integration of the mining sector into local and regional development planning, and (c) the management of the ASM sector.

Component E: Project Coordination and Management (US\$11.2 million, of which IDA US\$6.3 million)

15. This component supported (a) project coordination and management of procurement, financial management, and disbursement and (b) monitoring and evaluation (M&E) of project implementation, including reporting, audits, and assessment of safeguards policies.



B. SIGNIFICANT CHANGES DURING IMPLEMENTATION (IF APPLICABLE)

Revised PDOs and Outcome Targets

16. The PDO itself was not revised. However, the targets were modified at restructuring as shown in table 2.

Revised PDO Indicators

17. The five PDO indicators were not revised nor their baselines, but two of the end targets were adjusted in the first restructuring (May 2015) and three in the second restructuring (November 2015), as follows (please see section below for further details on the restructurings).

Table 2. Revisions of the PDO Indicators' Targets during First and Second Restructuring

Indicator Name in PAD	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring (November 2015)
Performance of key institutions in the minerals sector to enforce the legal and regulatory framework	The existing framework is poorly enforced.	Improved framework effectively enforced	Reforms of the Ministry of Mines and its specialized agencies is complete.	No change
Status of transparency and accountability mechanisms	Very little availability of data. Debate largely dependent on nongovernmental organization (NGO) reports or poor-quality media reporting. Little informed public debate.	Dissemination and discussion of EITI reconciliation reports (national and provincial levels)	No change	Dissemination and discussion of EITI reconciliation reports (national and provincial levels). Multistakeholder platform for the extractive industries meeting at least biannually
Increase in private investments in the mineral sector (number of private investments exceeding USD\$ 10 million)	23	30 more	15 more	No change
Fiscal revenues from the mining sector	US\$75 million	US\$300 million	No change	US\$1,300 million
Working and living conditions of artisanal and industrial mining communities in project areas	Very limited availability of data. Reports on specific sites suggest that 20% of diggers in Kolwezi (Katanga) are children,	Detailed indicators, baseline, milestones, and targets will be established as	No change	Information management tools in place in government institutions to monitor working and living conditions of



Indicator Name in PAD	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring (November 2015)
	40% of people involved in ASM (including support activities) are women. On average, copper and cobalt diggers in Katanga earn US\$100–US\$120 per month.	part of project monitoring system (including household consumption in targeted mining communities)		artisanal and industrial mining communities

Revised Components

None.

Other Changes

A. First Restructuring (May 31, 2015)

18. A first restructuring was undertaken in response to the decision of the United Kingdom Department for International Development (DFID) to withdraw its support to the project in November 2014. DFID cited overall slow progress on key activities including the institutional audit and the Strategic Environmental and Social Assessment (SESA). The DFID 2015 annual report also mentions “There have been significant delays to the work on Katanga Extractive Industries Development Initiative (KEIDI), despite DFID repeatedly stating that this was a priority for both DFID and the Governor of Katanga. Work on the establishment of RENAFEM, the network of women in the mines, is also suffering delays.”

19. The project first restructuring took place in June 2015 to take the subsequent budget reduction into account. The PDO was not changed but two out of five PDO indicator targets were reframed. At the level of intermediate indicators, the Results Framework was amended more significantly to reflect the drop or the reduction in scope of certain activities. The budget allocations per components were revised as shown in table 3.

Table 3. Budget Reallocation Following the First Restructuring (May 2015)

Component	Original Allocation (US\$, millions)	Revised Allocation (US\$, millions)
A: Ensuring Access to Resources	31.1	22.50
B: Build Sector Management Capacity	24.6	15.20
C: Enhance Transparency and Accountability	5.4	4.60
D: Build Up Sustainable Development Settings	17.7	10.70
E: Project Coordination and Management	11.2	5.18
Total	90.0	58.18

20. As of November 4, 2014, all expenses incurred by the project, including ongoing commitments, would be assumed 100 percent by IDA funds. From the initial DFID contribution of US\$40 million, only



US\$6.17 million was disbursed as of April 15, 2015. On March 4, 2015, the DFID Trust Fund was closed administratively with GBP 21.2 million (US\$31.40 million equivalent) returned to DFID.

21. This first restructuring kept the original closing date on December 15, 2015, allowing only seven months to complete project implementation. At the time, the World Bank was planning to close out the project because it had not been satisfactory, and its disbursement had only reached 17.18 percent of its original US\$90 million budget.

B. Second restructuring (November 15, 2015)

22. On August 15, 2015, the Ministry of Mines sent a request to the World Bank to extend the project for three years. Given the client’s insistence and the importance of the sector for the country’s development, the World Bank took the matter seriously and agreed under certain conditions.

23. A new task team leader was appointed and a radical approach adopted to put the project back on track. Critical prerequisites were put in place to improve the project performance, including a closer monitoring and oversight of the project by senior members of Government and a much more intense supervision from the World Bank. The Strategic Interministerial Committee, outlined in the Financing Agreement but never operationalized, was established, and the Project Oversight Committee, dormant since April 2013, was revived. A series of practical measures were also agreed upon, including (a) on financial management, a complete rehiring of the finance team and a new internal auditor, an increased frequency of audits (every three months), and re-payment of all ineligible expenditures; (b) on the project management side, it was decided to contract the United Nations Office for Project Services (UNOPS) to support the management and oversight of the project through the appointment of an Executive Director—employed by UNOPS—to assist the national coordinator in all matters and setting up of disbursement and procurement targets on a quarterly basis; and (c) on the institutional reform side, the adoption of a road map by the Government to implement a functional review of the Ministry of Mines which was carried out in 2013.

24. Based on this approach, the World Bank approved a second restructuring on November 25, 2015, which extended the closing date to December 15, 2018. This three-year extension was justified notably because of the complex geological and geophysical program, which could only take place during a few months of the dry seasons. The second main change was a reallocation of budget between project components because the original project design had underestimated the cost of some critical activities under Components A and B. The new distribution of the budget was as shown in table 4.

Table 4. Budget Reallocation Following the Second Restructuring (November 2015)

Component	Previous Allocation (US\$, millions)	Revised Allocation (US\$, millions)
A: Ensuring Access to Resources	22.50	28.10
B: Build Sector Management Capacity	15.23	11.70
C: Enhance Transparency and Accountability	4.69	5.70
D: Build Up Sustainable Development Settings	10.77	7.80
E: Project Coordination and Management	5.18	5.00



Total	58.37	58.37
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25. During this second restructuring, no changes were made to the project components (although its content was updated) nor to the five PDOs. However, changes to the Results Framework included the following: (a) the extension of the end target for all indicators to December 15, 2018, to align with the three-year extension, (b) the modifications to end targets in the case of the five PDO indicators and three intermediate indicators, to better reflect the outcome being achieved, (c) the deletion of four intermediate indicators, and (d) the addition of six intermediate indicators (annex 6 describes the changes in the Results Framework in the first and second restructuring and the effective achievements).

Rationale for Changes and Their Implication on the Original Theory of Change

26. The original theory of change was not affected by the restructurings. The main changes were at the implementation level, to operationalize what had been designed despite the withdrawal of DFID (restructuring 1) and the delay (restructuring 2). The two restructurings maintained the original conceptual framework (with changes in intermediate indicators and in targets), the same PDO, the same components, and most of the original activities as is (with some differences in scale and/or scope).

27. It is important to highlight that the poor progress of the project in its first phase (2011–2014) was because of poor project management on the client’s side and is not attributed to its lack of relevance or a flawed design. On the contrary, it is precisely because it was assessed to be highly relevant, that all possible efforts were deployed to maintain the project despite its poor early performance.

II. OUTCOME

A. RELEVANCE OF PDOs

Assessment of Relevance of PDOs and Rating

28. The Relevance Rating is **High**.

29. The relevance of PDO was High at appraisal and remained High at the Project closure.

30. The relevance of the PDO is evidenced by the importance of the mining sector within - and the convergence of the Project PDO with - the 2006-2010 Poverty Reduction Paper, the Bank FY08-FY11 Country Assistance Strategy, the 2011-2015 National Development Plan, the Bank FY13-FY16 Country Assistance Strategy, the 2018 Country Systematic Diagnostic, as well as the “Governance Matrix”:

- 2006-2010 Poverty Reduction Strategy Paper (PRSP). As stated in the PAD, the PRSP notes the significant potential of mining to contribute to economic growth. It also emphasizes the role of government to provide a conducive environment for private investment, as well as to improve the governance of the sector.



- FY08-FY11 Country Assistance Strategy (CAS). The CAS states that “the mining sector is expected to be the engine of growth in the near future”⁴. Pillar 1 (“Promoting Good Governance and Consolidating Peace”) identifies the main challenges in reforming the management of mining resources by as: i) developing and implementing an Extractive Industries Transparency Initiative (EITI) action plan; ii) strengthening oversight of the sector; iii) ensuring due process for the award of mineral rights, consistent with the mining Law; iv) addressing pressing issues relative to artisanal and small-scale mining; v) reforming public enterprises (including GECAMINES); and vi) transferring exploitation responsibilities to the private sector”⁵.
- 2011-2015 National Development Plan. The project PDO was also consistent with the “Stratégie de croissance et de réduction de la pauvreté, seconde génération 2011-2015 » and with the strategic priorities of the National Development Plan to i) accelerate the public-sector reform for better efficiency and efficacy; ii) enhance the frameworks favorable to private sector and investments; and iii) contribute to growth, economic diversification and jobs.
- FY13-FY16 Country Assistance Strategy (CAS). This new CAS only confirmed the relevance of PROMINES. The CAS Strategic Objective One comprised “increase transparency and effectiveness in the management of financial resources from the extractive industries and ensure that the country gets a fair share from the management of its natural endowments”⁶stating that “In addition to the capacity to manage the sector, transparency in the extractive industries in general, and in the mining sector in particular, it is critical for DRC to take advantage of its vast natural endowments to benefit its population”⁷. CAS also comprised in the Outcome 1.3 “Strengthening governance of the mining sector SOEs.”⁸
- Matrix of Economic Governance. This “Matrix of Governance” was first designed and used in 2011 to provide a guided dialog between the Government represented by the Ministry of Finance and the International donors and the World Bank and as a tool to monitor progress in governance of key economic sectors, following the lift of the portfolio suspension. This matrix includes several indicators on the mining sector taken from PROMINES, which ensured that both tools were fully consistent.
- 2018 Systematic Country Diagnostic (SCD). The recent SCD – which will form the analytical basis for the upcoming Country Strategic Partnership (expected mid 2019) - insists on the country’s exceptional geology, and emphasizes that sustained growth will depend on government capacity to turn a share of mining sector revenues into development⁹, establishing as the main sector challenges the Implementation of the new Mining Code, the transparency of the transactions on the mining sector SOEs, and the formalization of the Artisanal and small-scale mining (ASM)¹⁰.

⁴ Country Assistance Strategy for DRC (FY 08- 11), P. 9, World Bank 2007

⁵ Country Assistance Strategy for DRC (FY 08 – 11), PP 14-15, World Bank 2007

⁶ Country Assistance Strategy for DRC (FY 13-16), P. 22. World Bank 2013.

⁷ Country Assistance Strategy for DRC (FY 13-16), P. 25. World Bank 2013.

⁸ Country Assistance Strategy for DRC (FY 13-16), P. 27. World Bank 2013.

⁹ Systematic Country Diagnostic for DRC (2018). PP. 57 and 94. World Bank, 2018.

¹⁰ Systematic Country Diagnostic for DRC (2018). P.135. World Bank, 2018.



B. ACHIEVEMENT OF PDOs (EFFICACY)

Assessment of Achievement of Each Objective/Outcome

31. Tables 5 and 6 summarize the achievements of PDO and intermediate indicators, respectively. The subsequent sections provide a detailed narrative justifying these assessments. Annex 6 lists all the evidence available. It is important to note that some of the PDO indicators and intermediate results indicators contributed to several PDOs and are thus reflected accordingly under the respective objectives.

Table 5. Achievement of PDO Indicators

	PDO Indicator	Intermediate Outcomes	Status	Link with Development Objective
1	Performance of key institutions in the minerals sector to enforce the legal and regulatory framework	Reforms of the Ministry of Mines and its specialized agencies are complete	Fully achieved	1
2	Status of transparency and accountability mechanisms. Strengthened institutional capacity to manage the sector in an efficient, accountable, and transparent manner	Dissemination and discussion of EITI reconciliation reports (national and provincial levels). Multistakeholder platform for the extractive industries meeting at least biannually.	Fully achieved	1
3	Increase in private investments in the mineral sector (aggregate percentage increase in private investments from the mineral sector)	15 private investments of more than US\$10 million	Fully achieved	2
4	Fiscal revenues from the mining sector	US\$1,300 million	Fully achieved	2
5	Working and living conditions of artisanal and industrial mining communities in project areas	Information management tools in place in government institutions to monitor working and living conditions of artisanal and industrial mining communities	Fully achieved	3

Table 6. Achievement of Intermediate Indicators

No.	Intermediate Outcomes	Status	Link with PDO Indicator
1	Topographic base map (MGCP) in the designated areas	Fully Achieved	1 and 3
2	Number of potential target areas with	Fully achieved	1 and 3



No.	Intermediate Outcomes	Status	Link with PDO Indicator
	geological information available		
3	Improve communication and information flow within the sector including consultations with civil society	Fully achieved	1 and 2
4	Operationalization of the National Geological Survey	Partially achieved	1 and 3
5	Incorporation of key stakeholder perspectives into the Mining Code revision process	Fully achieved	1 and 2
6	Number of CAMI provincial offices covered by the online cadaster system	Fully achieved	1, 3 and 4
7	Capacity and performance of SAESSCAM (Government service to support ASM)	Fully achieved	1, 4, and 5
8	Optimization of human resources in the Ministry of Mines and its specialized agencies	Fully achieved	1
9	Established systems for the registration of artisanal miners	Partially achieved	1, 4, and 5
10	Improved Implementation and extended coverage of traceability and certification systems in Eastern DRC and Katanga	Fully achieved	1 and 5
11	Increase in number of mine sites covered by traceability systems	Almost fully achieved	1, 4, and 5
12	Improved understanding of major social and environmental impacts of mining sector in DRC and enhanced government capacity to manage these impacts	Partially achieved	1 and 5
13	Support women’s economic and social empowerment working in the mining sector	Fully achieved	5
14	Number of viable ASM zones for cooperative exploitation supported	Fully achieved	5

Note: MCGP = Multinational Geospatial Co-production Program; CAMI = Mining Cadaster (*Cadastre Minier*); SAESSCAM = *Service d’Assistance et d’Encadrement du Small-Scale Mining*.

Objective 1. Strengthened institutional capacity to manage the sector in an efficient, accountable, and transparent manner

Objective rating: Substantial

Outcome Indicator 1: ‘Performance of Key institutions in the minerals sector to enforce the legal and regulatory framework’

Target. Revised framework submitted to Parliament, promulgated by the President and published in the official journal

Indicator rating. Fully achieved.

Justification. The outcome is ‘fully achieved’ because (a) the target was achieved because the reform of institutions was realized with project support, (b) The performance of key sector institutions improved



owing to capacity-building efforts financed by the project, and (c) the project contribution to the revision of the Mining Code was critical.

(a) *The target was achieved because the reform of institutions was realized with project support.*

32. The project financed a sequence of activities that prepared and led to a major reform of the DRC Ministry of Mines and its agencies. This started with both a Strategic Plan for the Development of the Mining Sector (2016) and an Institutional Assessment undertaken by PricewaterhouseCoopers, proposing a series of measures for short- and medium-term action. Whereas little progress was achieved from 2012 to 2016, things dramatically changed after the second restructuring of the project. This resulted in stronger commitment from the Ministry of Mines. Thus, additional strategies and actions plans for the ministry and SAEMAPE were prepared in 2017. The Ordinance of the Ministers of Mines and Civil Service Number 060/2018 of April 9, 2018, approved the new Framework and Organic Structures of the General Secretariat of Mines which comprised, among other innovations, the creation of a General Inspection of Mines. A package of duty statements (*Referentiel des Emplois*) and a detailed skill analysis (*Bilan de Competences*) were carried out. A similar process took place with the *Comité Technique de Coordination et Planification Minière* (CTCPM), with the approval of the Framework and Organic Structures by the Ordinance 0350/01/2018, of August 24, 2018, followed by the package of duty statements and skills analysis. Additionally, key sector institutions were reformed, as shown in table 7.

Table 7. Main Institutions Reformed with Project Support

Institution	Decree Number and Date
CAMI	Decree 17/005 of April 3, 2017
SAEMAPE	Decree 17/009 of April 4, 2017
<i>Centre d'Expertise, d'Evaluation et de Certification de Substances minerais Précieuses et semi-précieuses</i> (CEEC)	Decree 011/28, of June 7, 2011

33. This complete reform was implemented in the last three years of the project, and it had a positive impact in the performance of institutions. However, it is still too early to evaluate the full impact of the reform in the enforcement of the legal and regulatory framework..

34. In addition, the National Geological Survey (NGS) was legally created (Decree 17/016, of December 4, 2017). The Ministry of Scientific Research initially opposed the creation of this agency, arguing applied research should remain under its umbrella. It required two years of debate and an intervention of the Prime Minister to come to the decision to create this much needed institution, dedicated to promoting the mineral potential of the country. The related output indicator is only partially achieved because the NGS building could not be financed under the project and the corresponding computerized system could not be completed. As a consequence, the NGS is not really functional to this day.

(b) *The performance of key sector institutions improved owing to capacity-building efforts financed by the project.*

35. The reform efforts described earlier would have been ineffective without strong capacity building, comprising a large set of key dimensions of administrative reform, such as identification of work and information fluxes, software, training, identification of infrastructure, equipment and hardware needs,



investment planning and budgeting, and continuous training planning and programs. In a remarkably rare way, the project did keep reform and capacity building closely together. Based on precise needs assessments for each institution, a very ambitious training plan was designed and financed including an On-the-job Training Plan 2017–2018 with almost 500 participants. This unique effort—the first ever in the DRC mining sector—comprised a competitive recruitment of the trainers open to the best national specialist in the different areas and a pedagogical training of trainers. In parallel, equipment, including information and communication technology (ICT), were purchased for a wide range of agencies. Key examples include the following:

- **The decentralization of CAMI.** The project financed the establishment of five provincial offices to allow for easier access to cadastral information and faster treatment of applications or queries (see intermediate indicator ‘Number of CAMI provincial offices covered by the online cadaster system’, fully achieved).
- **The monitoring system for ASM.** The project financed a strategy for ASM and an action plan for SAEMAPE, both accomplished and disseminated in 2017. This was followed by the design and the establishment of a database to monitor ASM in the DRC (which involves up to 2 million miners according to some estimates). The related intermediate indicator 7, about ‘Capacity and performance of SAESSCAM¹¹ Government Service to Support Artisanal Miners’ is also fully achieved.
- **The project also supported analytical work and capacity building on the management of environmental and social impacts.** The objective of the related activity was to i) improve the understanding major social and environmental impacts and ii) develop a decision support computer-based system to better monitor those impacts. The project successfully completed: the evaluation of the environmental liability in the mining sector in Katanga and the two Kasai provinces, a report of the Congolese Environmental Agency on the state of the environment in the DRC, and an overall Strategic Environmental and Social Assessment (SESA) of the mining sector in the DRC. However, the final objective of developing an environmental impact computer-based system was not achieved (target of the intermediate indicator 12, ‘Improved understanding of major social and environmental impacts of mining sector in DRC and enhanced government capacity to manage these impacts’, partially achieved).

(c) *The project contribution to the revision of the Mining Code was critical.*

36. It is worth highlighting that the reform supported by the project went beyond the institutional framework, with the support for the revision of the Mining Code. This endeavor was not explicitly reflected at the PDO level but is well captured at the output level (see for instance, intermediate indicator ‘incorporation of key stakeholder perspectives (government, civil society, and private sector) into the Mining Code revision process’, fully achieved). The project funded studies and legal expertise to improve the 2002 Mining Code, as the Government had consistently expressed its intention to revise it. It also

¹¹ The SAESSCAM is the former *Service d’Assistance et d’Encadrement du Small-scale Mining*. It was reorganized as SAEMAPE by Decree 17/009 of April 4, 2017. References made in the project document or in this ICR to SAESSCAM (particularly in the indicators) should be understood now as references to the SAEMAPE.



financed workshops and logistics to promote a consultative process. The first submission to the Parliament was in April 2015, but the code was not discussed for two years, mainly because of intense lobbying by mining companies reinforced by the temporary collapse in commodity prices in the last quarter of 2015. However, the project’s efforts were reinforced by a Note on the Mining Code prepared by the World Bank¹² in April 2016 and analytical work by the International Monetary Fund (IMF), which¹³ helped initiate the discussion in June 2017 and the new Mining Code was approved by the Parliament and promulgated by the President on March 9, 2018. Three months later, the Government approved the ‘Reglement’ (regulation) through the Decree 18/24, of June 8, 2018. The project financed the dissemination of these new legal texts. Table 8 summarizes some notable changes of the 2019 Mining Code.

Table 8. main changes of the 2019 Mining Code

Domain	Main changes
Mining rights	<ul style="list-style-type: none"> - The exploration permit standardized for all minerals is granted for five years, renewable once for the same term. - The mining permit is granted for 25 years, renewable for periods of up to 15 years. - These mining rights can now only be granted to legal entities and not to natural persons.
Royalties and Taxes	<ul style="list-style-type: none"> - The increase in the royalties and taxes is among the principal innovations of the new mining code. - These include taxes varying from 2 to 10 percent on certain "strategic substances". - Other royalty rates under the new code include the following: for non-ferrous metals, from 2 percent to 3.5 percent; for precious metals, from 2.5 percent to 3.5 percent; and for precious stones from 4 percent to 6 percent. - In addition, 10 percent of royalty payments must now be paid to a fund dedicated to future generations. - While Corporate Income Tax remains at a reduced rate of 30 percent for miners, a new 'super profits' tax of 50 percent tax has been introduced on profits exceeding 25 percent of those forecast in the mine feasibility study.
Contracting requirements	<ul style="list-style-type: none"> - The new code requires contractors to be Congolese and owned by Congolese shareholders. It is generally accepted that this means the Congolese contractor must be majority owned by Congolese shareholders. In concluding services contracts for mining activities (not including contracts for the sale of goods), priority must also be given to Congolese companies.
Other	<ul style="list-style-type: none"> - The State's free-carry shareholding in the mining company is increased from 5 percent to 10 percent, increased by 5 percent each time the permit is renewed.

¹² World Bank. 2016. *République Démocratique du Congo: révision du code minier - examen, observations, et analyse comparative*.

<http://documents.banquemondiale.org/curated/fr/463031524035942277/R%C3%A9publique-D%C3%A9mocratique-du-Congo-r%C3%A9vision-du-code-minier-examen-observations-et-analyse-comparative>.

¹³ International Monetary Fund. 2015. “Democratic Republic of The Congo: Selected Issues - The Contribution of the Mining Sector to the Congolese Economy.” Page 28.



	<ul style="list-style-type: none"> - The exportation of raw minerals is forbidden, and mining permit holders must now present a plan for the refining of their minerals to the mining authorities. - The requirements relating to State approvals for transfers, farm-outs and option contracts are expanded. - The stability period during which taxes and customs cannot be modified is reduced from 10 to 5 years.
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Outcome Indicator 2: ‘Status of transparency and accountability mechanisms’

Target. Dissemination and discussion of EITI Reconciliation Reports (national and provincial levels). Multi-Stakeholder Platform for the extractive industries meeting at least bi-annually

Indicator rating. Fully achieved.

Justification. The outcome is fully achieved because (a) the target was reached, (b) the project contributed to improve transparency and accountability in a broader sense, and (c) the project also contributed to improving traceability mechanisms.

(a) The target was reached.

37. PROMINES financed the establishment of the EITI National Committee and the launch of the initiative in the DRC. The EITI is currently co-financed by the Government and other donors (including German Corporation for International Cooperation [*Deutsche Gesellschaft für Internationale Zusammenarbeit, GIZ*]). The DRC EITI is publishing reconciliation reports annually and the multistakeholder committee meets almost monthly to supervise the initiative and discuss transparency challenges pertaining to mining and oil. This is indeed an impressive success considering the baseline—in 2010 it was extremely complicated to obtain data and organize informed debates on the mineral sector. The formal process of validating the EITI along the 2016 standard is ongoing, but, in 2014, the DRC did achieve compliance along the previous standards. The EITI International Secretariat recognizes that EITI in the DRC has achieved significant progress: “Beyond reporting companies’ payments, the EITI DRC has adopted innovative approaches to beneficial ownership, expanding EITI reporting to the artisanal and small-scale mining and forestry sectors, and automating online reporting by companies and government entities. EITI reporting has also allowed to shed light on thematic issues, such as the barter agreement put in place by the SICOMINES project.”¹⁴

(b) The project contributed to improve transparency and accountability in a broader sense.

38. The project contributed to other dialog initiatives on mineral sector governance and the contribution of the sector to sustainable development. PROMINES contributed to the creation of another multistakeholder accountability platform (Decree 14/005 of February 19, 2014) called ‘Platform for the Follow-up of the Participative Dialogue (PSDP)’ with the participation of the institutions related with natural resources, industries, civil society, and local communities. A Coordination Committee for this

¹⁴ <https://eiti.org/democratic-republic-of-congo>.



platform was set up and a flagship event organized on March 13–14, 2018, with useful debates over sector challenges and information sharing. The project also supported the meetings of the so-called ‘Thematic Group’ (mines-oil-energy) which has been the main coordination mechanism for donors and partners involved in extractive industries projects. Finally, the project supported promotion and communication of sector information by financing participation of government and civil society representatives, including the National Network of Women in the Mining in DRC (*Réseau Nationale de Femmes dans les Mines en RDC*, RENAFEM) it helped establish, to a range of local and international conferences (see intermediate indicator ‘Improve communication and information flow within the sector including consultations with civil society’, fully achieved).

(c) *The project also contributed to improving traceability mechanisms.*

39. The project promoted transparency through support for traceability of minerals mechanisms. The project financed the extension of traceability and certification systems (see intermediate indicator ‘Improved implementation and extended coverage of traceability & certification systems in Eastern DRC and Katanga’, fully achieved). The traceability systems are operational in four mining provinces (Katanga, South Kivu, North Kivu, and Maniema). This extension led to a significant increase of the number of mines covered by the traceability systems, from none in 2010 to 588 in December 2018, almost achieving (98 percent) the target of 600 mines of intermediate indicator 11.

Objective 2. Improved conditions for increasing investment in and revenues generated by the mining sector

Objective rating: High

Outcome Indicator 3: ‘Increase in private investments in the mineral sector’

Target. 15 private investments of more than US\$10 million

Rating. Fully achieved.

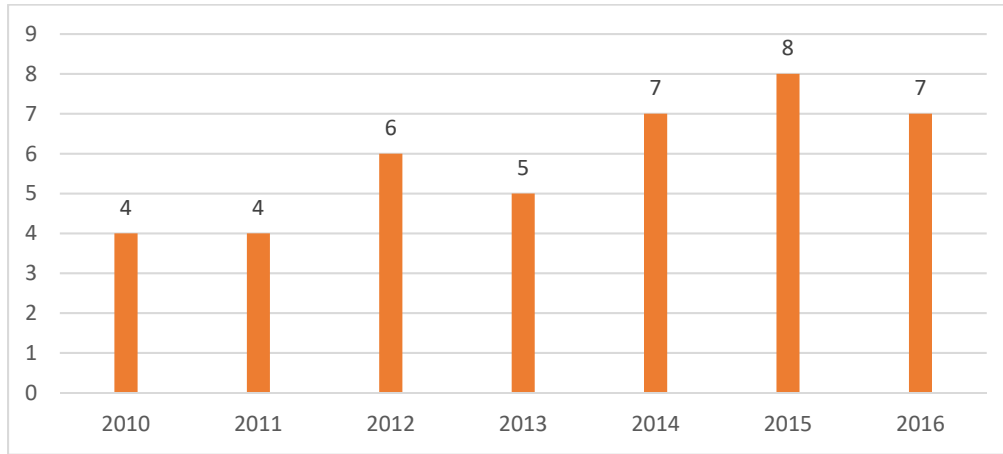
Justification. The outcome is ‘fully achieved’ because (a) the target was reached (b) This must be qualified as this increase in investments is hard to attribute directly to the project, and (c) the project outputs are likely to facilitate additional investments in the future.

(a) *The target was reached.*

40. Investments in mining increased significantly during the project life. At least 41 investments of US\$10 million or more had been made between 2010 and 2016 (in addition to the pre-2010 baseline of 23; the information on 2017 and 2018 was not provided), which is more than the 15 targeted. See figure 3 for an overview of recent investments.



Figure 2. Number of Real Investments Added Per Year in the Mining Sector (more than US\$10 million)



Source: Cauditec, with data from Ministries of Finances and Mines.

Note: The total is 41, more than in the original target (30) and in the final revised target (15).

(b) *This must be qualified as this increase in investments is hard to attribute directly to the project.*

41. The project theory of change assumed, based on experience elsewhere, that the DRC would attract investments by improving the knowledge and access to data on mineral resources to facilitate better sector governance. Yet, these investment decisions are made based on a range of factors, beyond the knowledge of the resource itself. Some of them are exogenous like commodity prices that fluctuated quite dramatically over the life of the project. Other investment decisions are dependent on endogenous factors like the attractiveness of the fiscal terms and the overall political and security stability.

(c) *The project outputs are likely to facilitate additional investments in the future.*

42. The most direct effect of the project on the investment climate is the improvement of the availability and quality of geological information. The project financed high-quality topographic base map in 10 designated areas, (see 'intermediate indicator 'Topographic base map in the designated areas' overachieved: 10 areas ['cells'] instead of the 6 planned). Then, the project financed geological information for six designated areas ('cells') (target of intermediate indicator 2, about 'Number of potential target areas with geological information available', achieved). The latter included airborne geophysical survey and field geological mapping, as well as a database prototype to manage all this newly acquired data. These extremely technical and challenging endeavors were undertaken under the supervision of highly qualified quality controllers and accompanied with strong training and knowledge transfer efforts.

43. In the DRC, which is rich in high-demand minerals like copper and cobalt, the national geological infrastructure has dramatically improved because of project support. The project outputs are likely to facilitate additional investments over the medium to long term. This is indeed what the experience in other countries and similar projects teaches. Studies show that for each dollar spent on exploration (geological mapping is 80 percent exploration work), US\$7 to US\$10 can be generated in investments in mining exploitation alone. This return does not take into consideration other benefits such as better soil



survey, geotechnical engineering maps for planning infrastructures and supporting agricultural practices, as well as the identification of hydrogeological or groundwater resources. But the return of this kind of investments in geodata almost never are immediate, and the timing varies. A better access to data increases transparency in the sector and improves the governments’ capacity to negotiate ‘fair’ deals, as both investors and the Government have access to the same quality data on prospectivity of certain zones. It also allows for better understanding by the population of the potential wealth of the country. This could, for instance, empower small-scale miners to access to the resources where mining does not require heavy equipment and capital-intensive investments. In sum, one can expect significant impact of the project on mining investments and activities and on resource management over the long term because of this new geodata acquisition and the full operationalization of the NGS. To illustrate this, table 9 shows the number of prospective targets (in three orders of priority) identified by the project in the three project areas.

Table 9. Number of Prospective Targets Identified under the Geochemical Campaign Supported by the Project

	Equateur Ouest	Katanga (South)	Katanga (Sakania)
Priority 1	0	13	15
Priority 2	6	61	20
Priority 3	4	92	26

44. The presence of the World Bank in the sector and the numerous project activities promoting sector governance and government capacity as a key sector instrument did improve the overall business climate and enhance the awareness about environmental and social implications of the sector. There is a link with intermediate indicator 3 (‘Improve communication and information flow within the sector including consultations with civil society’), because the intensity and transparency of the dialog with all the sector stakeholders, particularly with mining companies and their associations, contribute to creating a positive climate for private investments.

Outcome Indicator 4: ‘Fiscal Revenues from the mining sector’

Target. US\$1,300 million

Indicator rating. Fully achieved.

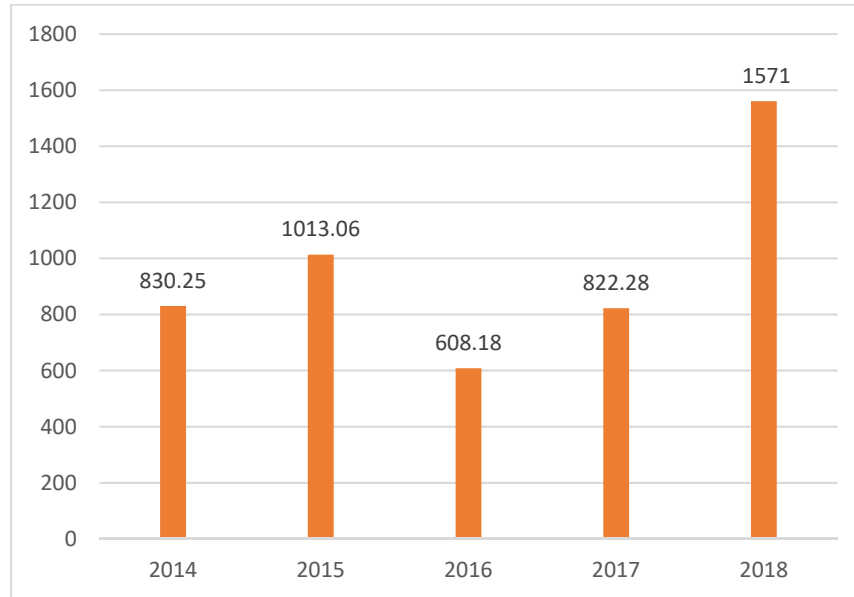
Justification. The outcome is ‘fully achieved’ because (a) the target was reached, (b) Like with the previous indicator, it is hard to attribute such an increase solely to the project alone, and (c) Sector revenues are likely to continue to increase.

(a) *The target was reached.*

45. Mining revenues increased significantly during the project life. The target of US\$1,300 million was surpassed in 2018, according to the official data of the Ministry of Finance. In the first nine months of 2018 alone, revenues from the sector reached US\$1,210 million. The main reason for such a remarkable increase is additional mining production that came on stream. The impact of the revised royalty and tax regulations that were enacted in the 2018 Mining Code was higher fiscal revenue flowing to the government in the latter half of 2018. Other factors that have contributed to achieve the target include: improvements in the mining sector revenues administration and collection, the impact of the EITI and broader transparency and accountability in the sector.



Figure 3. Mining Sector Fiscal Revenues (US\$, millions)



Source: DRC Ministry of Finance Notes: Data for 2018

Note: Revenues reported here are revenues at the national treasury only. Overall revenues going to all public entities are higher.

(b) *Like with the previous indicator, it is hard to attribute such an increase solely to the project.*

46. The project indirectly contributed to the increase in revenues through its support to the revision of the Mining Code in the form of legal expertise and logistics to improve consultations and dialog (see intermediate indicator ‘Incorporation of key stakeholder perspectives [government, civil society, and private sector] into the Mining Code revision process’, fully achieved). The project also contributed with technical assistance on mining tax-related issues and a tele-declarations system for the mining production that should contribute to the transparency and efficiency of tax collection. However, mining revenues depend a lot on commodity prices. In addition, other bank and donor interventions that helped improve the performance of tax administration also contributed to this performance.

(c) *Sector revenues are likely to continue to increase.*

47. As mining production is foreseen to continue to increase in the DRC, revenues should also increase in the absence of a commodity price collapse. There is a possibility that the fiscal terms can be changed again, but it is likely that the royalty levels and the overall fiscal terms will remain above the 2002 Mining Code ones, which were low by international standards.



Objective 3. Increased socio-economic benefits of artisanal and industrial mining for communities in Project areas

Objective rating: Substantial

Outcome Indicator 5: 'Working and living conditions of artisanal and industrial mining communities in project areas'

Target. Information management tools in place in government institutions to monitor working and living conditions of artisanal and industrial mining communities

Indicator rating. Fully achieved.

Justification. The outcome is 'fully achieved' because the project supported a range of interventions aimed at improving the living and working conditions of ASM communities in project areas, and especially strengthened the position of women and children.

48. There were substantial capacity-building efforts to improve the strategy, organization, and functioning of SAEMAPE (Intermediate Indicator 7, fully achieved). SAEMAPE now has a database in place to register and formalize ASM workers. The database of artisanal miners covers the entire country. It could be improved with some additional layers of information (intermediate indicator 9, also partially achieved). However, the database is expected to become a key instrument for Government efforts to formalize the ASM subsector.

49. The project also financed several ASM pilots and activities for both the artisanal and industrial mining to assist the Government and local stakeholders to increase the positive impact of mining on communities especially on children and women. Key activities included the following:

- The creation of the RENAFEM in 2018 with legal support and training in strategic and program management financed by the project. This important move followed the successful organization of the first and the second National Conferences on Women in Mining in Bukavu in 2015 and 2017. All the above highlight the important contribution of the project to strengthening the visibility and position of women in the artisanal mining sector in the DRC. These gender-oriented activities address to the full mining sector (ASM and industrial).
- The project has financed also a national Strategy to fighting the presence of children in mines (both in ASM and industrial sectors).
- The provision of small grants to 10 women mining cooperatives in Katanga to improve their business opportunities and working equipment.
- The South Kivu pilot where the project supported development of alternative livelihoods for women. The project supported the development of alternative livelihoods for 500 women working in mining under dangerous and informal conditions (target of intermediate indicator 13, 'Support women's economic and social empowerment working in the mining sector', fully achieved).



- The Kolwezi pilot, in partnership with the World Vision, where the project was able to remove 1,200 children from the mines and take them back to school. This pilot was very well appreciated by the provincial and national authorities and gave a great basis for potential scaling up.

50. The project work on traceability and certification systems also contributed to this outcome: see intermediate indicator 10 ('Improved implementation and extended coverage of traceability and certification systems in Eastern DRC and Katanga', fully achieved) and number 11 ('Increase in number of mine sites covered by traceability systems', almost fully achieved). These activities provided very valuable information about the working and living conditions of miners in those four main mining provinces of the DRC, relating to mining areas, production, values, number of cooperatives, and so on.

51. Lastly, the project successfully supported the identification of three viable areas for artisanal exploitation ('Zones of Artisanal Interest'). By providing areas where artisanal mining cooperatives can viably and legally extract minerals, the project contributed to improved working and living conditions of miners (target of intermediate indicator 14 'Number of viable artisanal mining zones for cooperative exploitation supported', fully achieved: three areas).

Justification of Overall Efficacy Rating

52. The overall efficacy rating of Substantial is justified because one of the Development Objectives was high, the other two were substantial, and all the five outcome indicators were fully achieved.

53. During the first years of its implementation (2011–2014), the PDO achievement was hampered by weak project management and the institutional weakness of the mining sector, as well as insufficient World Bank supervision. However, during the second period, after the second restructuring of the project in November 2015, and the subsequent efforts to reorganize the Project Implementation Unit (PIU), a new dynamism positively affected implementation, and therefore the achievements of the project. The results were particularly remarkable for the geology program and the institutional reforms (Components A and B). This is worth noting as some activities were achieved in record time. This turnaround also demonstrates a serious commitment from the client to achieve those results.

C. EFFICIENCY

Assessment of Efficiency and Rating

54. The efficiency rating is Modest.

55. The main justification for this rating is: although the project achieved most of its objectives with a budget much lower than originally planned, and implemented good practices in the quality control during its second phase, the project should have been completed more rapidly and needed a 3 years extension to achieve its objectives.

56. **Disbursement.** The project had a 12 percent disbursement rate at the 2014 midterm review (MTR). But by the time the project closed in December 2018, the disbursement rate increased significantly to 98 percent. While the project management was poor until 2016, the project clearly performed strongly



in the last three years, owing to improved fiduciary functions and a substantially better management because of UNOPS support.

57. **Overall costs.** The project successfully managed to reach most of its objectives despite the budget cut (of nearly 60 percent) related to DFID's early withdrawal from the project and the increased operating cost linked to the extension of the project closing date by an additional three years. See annex 4 on Efficiency Analysis for more detail.

58. **Overall economic return.** As discussed in the previous sections, the Government revenues from the mining sector have increased during the project life. It is not possible to directly link the US\$50 million investment that PROMINES represents with the increase of Government revenues, but the project did indirectly contribute to this positive return. As discussed, it is expected that the project outputs will contribute to a gradual increase of investments which in turn will further increase revenues. The geology work led to identifying promising parts of the DRC and new assets which will have an economic and development impact in the long run, in particular with regard to the strategic cobalt reserves. Additionally, geological mapping also provides multisector benefits (environment, water management, risks, and so on) which are hard to estimate.

59. The PAD included an Economic and Financial Analysis in its annex 9, but it should be acknowledged that as a technical assistance project, quantitative projections of rates of return are not easy to estimate. For example, even if the achievement of Objective 2 materialized by an increase of private investment and fiscal revenues, it is complicated to deduce a direct cause-and-effect relationship between the project and such figures. Several external factors must be considered, such as fluctuations of global commodity prices as well as the social and political context in the DRC.

60. **Operating costs.** Within Component E, operational costs amounted to US\$5.55 million, which represent 10.6 percent of the total cost of the project (US\$44.59 million) (annex 4 includes the distribution of operating cost by year). This percentage is considered comparatively reasonable, considering the complexity and the history of the project.

61. **Ineligible expenditures.** The project incurred a total of US\$685,000 of ineligible expenditures by 2016. These were related to poor management of project resources before the second project restructuring. Since 2016, no new ineligible expenditures were generated. While more than two thirds had been reimbursed, at the time of ICR preparation, there were still US\$204,000 of ineligible expenditures to be reimbursed.

62. **Efficiency of selected activities.** The project financed an evaluation of selected activities in qualitative and/or budget terms (geodata, reform of the Ministry of Mines and its specialized services and agencies, training activities, social dimension, and traceability), which strongly support both the efficacy and efficiency of these activities.¹⁵ Here are some examples:

- **Geology program.** Owing to rigorously competitive selection, the project managed to save funds and finance more cells than originally planned. There was also a clear maximization of the resources during implementation, resulting from strong supervision. Every contract was

¹⁵ *Ius Publicum Innovatio Report on Diverse Activities Financed by the Project PROMINES* (2018).



submitted to quality control by independent, high-level consultants, which not only enhanced the quality of the outputs but also helped save money and increase knowledge sharing.

- **Institutional reform.** The same level of quality control and rigorous and detailed monitoring was applied to the institutional strengthening work. An enormous reform effort was achieved in record time at a comparatively very low cost (comparing to the cost of the reform of other five ministries financed at the same time by other World Bank projects) (see annex 4 on Efficiency Analysis). The cost-benefit ratio of such an important reform is positively evaluated. The training program, which puts great emphasis on in-country and on-the-job training, also compares positively with training expenditures in the five other ministries that undertook reform at the same time.

D. JUSTIFICATION OF OVERALL OUTCOME RATING

63. The overall outcome rating is Moderately Satisfactory.

64. The relevance of the PDO was and still is High; the efficacy is Substantial (as one of the objectives was High and the other two substantial); and, finally, the efficiency of the project was Modest. According to this rating, the overall outcome rating is Moderately Satisfactory.

Table 10. Overall Outcome Rating

Relevance of Objectives	Efficacy Objective			Efficiency	Overall Outcome
	1	2	3		
High	Substantial	High	Substantial	Modest	Moderately satisfactory
	Substantial				

65. The main results were (a) the advancements in the access to the resources through high-quality geodata collection and treatment, (b) the complete institutional reform of the Ministry of Mines and its specialized services and agencies, including the establishment and implementation of robust continuous training strategies and programs, (c) the approval of the reform of the Mining Code, and (d) significant advancements in the domain of transparency in the mining sector. The main shortcomings were the (a) delay in the complete effective implementation of the NGS although the service was established, and the preparatory and preliminary activities were done; and (b) lack of a functional decision support system linked to environmental impact information.

E. OTHER OUTCOMES AND IMPACTS (IF ANY)

Gender

66. Strengthening the position of women and children, in particular in the ASM sector, has been an important aspect of analyzing mining challenges and addressing them at the local level. The capacity-building activities of the project have paid attention to maintaining a gender balance in the training provided. Under Component D, the project convened the first-ever national conference on Women in the Mining Sector in September 2015, and a second one in November 2017, which resulted in the



establishment of the first-ever RENAFEM in the DRC. The contribution of the project to women empowerment in ASM featured prominently in a new multimedia platform on women in mining launched in December 2018.¹⁶ This online report calls the efforts of these Congolese women a ‘revolution’ as women in the mining sector in the DRC have long been discriminated. With this network, women have learned to take more advantage of mining, stand their ground, and achieve similar results as all-male cooperatives, as evidenced by a series of testimonies.

67. The World Bank’s internal the DRC gender portfolio review (2018) identified the following good practices within PROMINES:

- The project supported facilitating networking and formal or informal associations of women traders to enhance cohesion, improve solidarity, enable platforms for advocacy of women’s rights and opportunities, encourage peer learning, enhance entrepreneurial skills development, and improve livelihoods options for women in mining areas away from transactional sex.
- Assessments of the mining industry in the DRC included a gender lens in assessing the working and living conditions of artisanal and industrial mining communities, and in mapping of potential social benefits derived from the project (for example, different benefits for men and for women). Those assessments also covered potential social risks.¹⁷

68. The work on gender equality in mining in the DRC is far from finished, but the initial support provided under PROMINES will be an important basis for further work.

Institutional Strengthening

69. One of the core objectives of PROMINES was to build institutional capacity. The full achievement of this objective is explained in the efficacy section and best illustrated with the complete reorganization of the Ministry of Mines and its specialized agencies.

70. Some challenges remain, including (a) the financing of pension plans for staff who reached the retirement age, (b) the full operationalization of the NGS, (c) continuous capacity building at SAEMAPE, which is facing increasing challenges associated with millions of informal miners many of whom are now seeking to organize in cooperatives, and (d) reforming of state-owned enterprises such as GECAMINES, SOKIMO, and others.

¹⁶ <http://womeninmining.it/EN>.

¹⁷ *Resources and Resourcefulness: Gender, Conflict, and Artisanal Mining Communities in the Eastern Democratic Republic of the Congo*. Harvard Humanitarian Initiative. <http://documents.worldbank.org/curated/en/262411467998211567/pdf/95971-WP-P133615-PUBLIC-Qualitative-Mining-Report-10-4-Box-391432B.pdf>; Perks, R. 2011. *Towards a Post-conflict Transition: Women and Artisanal Mining in the DRC. Gendering the Field: Towards Sustainable Livelihoods for Mining Communities*. https://www.jstor.org/stable/j.ctt24h9g4.16?seq=3#page_scan_tab_contents.



Mobilizing Private Sector Financing

71. PROMINES has contributed to the effort of mobilizing private sector financing in two main ways:

- By improving the business climate through improved institutional framework, transparency, and accountability
- By providing critical geo-information that is expected to boost investment in mining exploration

72. The availability of quality information, managed efficiently and transparently, along with the improvement of the sector administration and its human resources, are factors that should have a positive impact in attracting and mobilizing private sector financing in the extractive sector. Future work on establishing the NGS should further complete the geological infrastructure needed in a jurisdiction conducive to mining.

73. PROMINES efforts toward improving the traceability of minerals and the formalization of artisanal mining activities is also supporting small and medium entrepreneurship in mining and strengthening the private sector value chains in highly demanded minerals like gold, coltan, cobalt, and potentially other strategic minerals.¹⁸

Poverty Reduction and Shared Prosperity

74. As stated in the PAD, the overarching goal of PROMINES was to improve governance of the mining sector and increase its contribution to economic growth, sustainable development, and poverty reduction. By increasing investment, capacity, and good governance in the most important economic sector of the country, the project is, directly and indirectly, contributing to increased jobs, social investments, and revenues. The work in the formalization of the artisanal mining sector as well as the work in the pilot areas has directly improved livelihoods of affected communities and will continue to do so in the foreseeable future.

III. KEY FACTORS THAT AFFECTED IMPLEMENTATION AND OUTCOME

A. KEY FACTORS DURING PREPARATION

75. **Co-financing.** The design was influenced by other development partners. DFID was closely associated to the preparation and took a significant role in the design. DFID had a philosophy of M&E which was slightly different from the one that the World Bank had. This resulted in compromises over the Results Framework for instance.

76. **Delays.** The project was approved by the World Bank Board on July 1, 2010, but was signed only on July 21, 2011, and declared effective on October 19, 2011, mainly because of the Kingamyambo

¹⁸ See: "Can the World Produce Enough Cobalt for Electric Vehicles?" In The Economist, Thursday, November 29, 2018.



Musonoi Tailings (KMT) contract dispute discussed in more detail in box 1. The original closing date of December 15, 2015 was, however, not modified at the time, so the project effectively started with a one-year delay.

Box 1. Kingamyambo Musonoi Tailings: Delays in Project Effectiveness

After PROMINES was approved by the World Bank Board, the cancellation of the KMT mining contract created a high-level issue which delayed signing and effectiveness for several months. The KMT project was a mining partnership between GECAMINES (12.5 percent), the Government of DRC (5 percent), First Quantum Minerals of Canada (65 percent), the Industrial Development Corporation of South Africa (10 percent), and the International Finance Corporation (7.5 percent). Construction, located close to the city of Kolwezi in Katanga, started in 2007 and production was supposed to start in mid-2010. The investment represents about US\$750 million, of which about US\$450 million was spent by August 2009, when the Government unilaterally canceled the contract with KMT and the corresponding mining rights. This led to delays on project effectiveness imposed by Bank management because the International Finance Corporation, together with its partners, filed for international arbitration, and decided to reduce its portfolio in the DRC. However, the case was eventually made that PROMINES was designed to strengthen the Government and reduce the risk of similar situations in the future. After some delay, the grant was authorized to be signed.

B. KEY FACTORS DURING IMPLEMENTATION

77. **Fiduciary challenges.** The initial implementation arrangement did not adequately mitigate fiduciary risks in the project. Despite written warnings, additional trainings, and increased project supervision, the PIU was repeatedly found in violation of the World Bank’s fiduciary rules/procedures that led to ineligible expenses. By 2016, the World Bank took a series of severe remedial actions, including suggesting the procurement of UNOPS to manage the day-to-day of the project, which had a positive impact on the effective enforcement of the World Bank’s fiduciary policies, and contributed substantially to accelerate the pace of project implementation.

78. **Capacity challenges.** Despite competitive hiring processes, key positions within the PIU were filled by staff who lacked sufficient capacity to oversee the project. This affected the M&E and other technical and supervision roles, until the PIU was reorganized in response to the 2014 MTR.

79. **Government commitment.** The Government’s commitment to reforms was low at the outset of the project, but this gradually changed by the close of the project, especially with the global decline in commodity prices in 2015 and 2016. Indeed, this decline exposed the country’s vulnerability to commodity shocks and the need for economic reforms. Additionally the World Bank’s analytical work also highlighted the untapped developmental potential of the extractive sector’s wealth.¹⁹ Consequently, in the subsequent years, the pace of some activities of the project accelerated, including revisions to the Mining Code and the strengthening of institutions.

¹⁹ World Bank. 2017. *République Démocratique du Congo: Utiliser la Rente des Industries Extractives pour Promouvoir la Croissance et le Développement*. <http://documents.banquemondiale.org/curated/fr/690111530619491112/Democratic-Republic-of-the-Congo-Using-the-extractive-industries-pension-to-promote-growth-and-development-integration-of-the-public-expenditure-management-review-and-financial-accountability-scenarios-into-a-general-equilibrium-model-computable>.



80. **Administrative complexities.** Implementation was regularly hampered by administrative barriers and complex political economy. For instance, it was an administratively difficult and lengthy process for international firms and consultants to obtain visas or work authorizations, resulting in project implementation delays.

81. **DFID withdrawal.** As explained in the context section, the withdrawal of DFID half way through the project's original implementation period was a major event that affected implementation and precipitated restructuring. This fortunately did not overly affect the eventual outputs and outcomes owing to all the mitigation measures that were put in place, including budget reallocation and intensified supervision.

82. **Delays.** The initial delay meant that key studies were not completed on time to start the major activities early on as planned. This led to delays in defining and implementing major pieces such as the institutional reforms of the Ministry of Mines (reliant on the institutional audit), the geological works (reliant on the geodata mapping), and the ASM reforms for SAESSCAM (reliant on the strategy development and institutional audit). Even when a major study was completed (like the ASM formalization strategy), major delays affected implementation (in this case of ASM pilots).

83. **Geographic scope.** The geographic scope of the project was in some cases too wide. Typically, the geology work should have focused on fewer areas that were closer in proximity. This would have saved funds and major logistical efforts. One reason why the areas were far apart was security, which prevented work in one originally selected area.

IV. BANK PERFORMANCE, COMPLIANCE ISSUES, AND RISK TO DEVELOPMENT OUTCOME

A. QUALITY OF MONITORING AND EVALUATION (M&E)

M&E Design

84. The M&E design had two significant shortcomings:

- The M&E indicators relied heavily on 'text value' measurements. This made these indicators subject to interpretation as the project evolved and team members were replaced. Number values could have been more useful. The loose definition of some indicators at the intermediate level was a result of vague definition of some activities.
- The M&E data gathering and reporting system was too complex. It implied that the project had offices in the mining provinces, which did not happen. The original idea was that the M&E would be exercised closer to the field, but this proved to be too ambitious.

85. The MTR partly addressed the shortcomings. In the second restructuring, a few changes were brought to the Results Framework. The World Bank team worked with the PIU to strengthen, where possible, the targets and values and to add or drop indicators.



M&E Implementation

86. **Client side.** The PIU did base its reporting on the Results Framework as evidenced by the project annual reports. During the MTR, the ministry took the decision to replace the M&E specialist. The new staff was hired to focus on improving the M&E system to ensure the capture of data from each project activity, and to improve information management in the Kinshasa office, working always in cooperation with and under robust supervision from the World Bank team.

87. After 2016, the World Bank systematically reviewed the Results Framework during implementation support missions. The World Bank closely cooperated with the PIU and reflected the status of the Results Framework in Aide Memoires and follow-up Implementation Status and Results Report (ISR) (three times per year). This led to a dramatic improvement of M&E implementation.

M&E Utilization

88. Utilization of the data was largely supervision oriented, helping monitor implementation progress, and completing ISRs. However, the M&E data were very useful beyond the project to (a) report on the DRC Economic Governance Matrix, where several outcomes were supported by the project, and (b) respond to queries by external stakeholders on specific data points.

Justification of Overall Rating of Quality of M&E

89. Although quality of M&E took a while to reach a satisfactory level, the team finds the overall rating Modest, to account for the client and World Bank reactivity to the initial shortcomings of the Results Framework and the intense restructuring efforts that led to successful implementation.

B. ENVIRONMENTAL, SOCIAL, AND FIDUCIARY COMPLIANCE

90. **Safeguards.** The project has complied with its environmental and social safeguards obligation. Early on it completed its only covenant requirement: the SESA which final report was published on March 8, 2010. Also, an Indigenous Peoples Plan (IPP) was disclosed on April 6, 2010.

91. The World Bank appointed two safeguards specialists at the Kinshasa office in 2016 and their role was to ensure project compliance with World Bank safeguards, which became increasing more critical as the pace of project implementation accelerated. For example, a grievance mechanism was put in place in 2018 with strong World Bank support.

92. **Overall project management.** Fiduciary compliance was by far the biggest challenge of the project until the restructuring. The PIU had to be strengthened through staff changes and inside support from UNOPS, and the World Bank had to intensify technical assistance and project supervision to improve fiduciary functions and reach compliance. Project management which was Unsatisfactory until mid-2015 reached Moderately Satisfactory in 2016 and Satisfactory in 2017.

93. **Procurement.** Procurement reviews identified issues in the first phase of the project, including irregularities with evaluation committees, misplaced obligations placed on firms (such as hiring Congolese nationals), and non-compliance in national bids for goods. To address these issues and improve



performance, the Government put in place several actions in consultation with the World Bank. Procurement was rated Moderately Unsatisfactory through mid-2015, but was upgraded to Moderately Satisfactory by the close of the project.

94. **Financial management.** The main challenges with financial management were the ineligible expenditures (see Efficiency Analysis). Other financial management issues were the 2015 restructuring that included the hiring of a new financial management team in the PIU and quarterly financial reviews by the World Bank. Financial management was still rated Moderately Unsatisfactory by early 2017 but was upgraded to Moderately Satisfactory by midyear.

C. BANK PERFORMANCE

Quality at Entry

95. The quality at entry was Moderately Satisfactory.

96. A seasoned senior task team leader with deep knowledge of the DRC led the project's design together with a junior specialist and a fully dedicated Country Management Unit. This led to effective identification and preparation of the project and a satisfactory appraisal, within a complex context that required intensive dialogue.

97. However, the Results Framework presented weaknesses as to the attribution of certain results. In addition, the geographic scope of the geology program was suboptimal and the initial implementation arrangements were too weak.

Quality of Supervision

98. The World Bank supervision was Moderately Satisfactory.

99. This rating is justified by the quality of supervision which was Moderately Unsatisfactory during the first phase and Satisfactory during the second phase. The proactive and effective supervision plan put in place during the second phase to allow the project to come back on track is worth detailing. This plan included both quantitative and qualitative measures:

- The number of missions were dramatically increased: 12 missions were organized between the first restructuring in May 2015 and completion (or an average of 3 per year). In-between missions, a large number of follow-up video conferences (VCs) were organized: 2 per month in the last months of 2015, and in 2016 and 2017, and a total of 18 VCs in 2018.
- Quality control consultancies were required for most of the key activities, and there was a deep and continuous supervision of the terms of references (ToRs) of all the activities and the procurement processes. In addition to the two highly specialized task team leaders appointed to the project (one with unique expertise on geology and one with special expertise on ASM and gender). The World Bank also hired a senior consultant to dedicate time to institutional reform.



Justification of Overall Rating of Bank Performance

100. The overall World Bank performance rating is Satisfactory.

101. The intense supervision effort by the World Bank team during the second phase, combined with parallel efforts from the client, led to positive results fully justifies a rating of Satisfactory.

D. RISK TO DEVELOPMENT OUTCOME

102. The risk to development outcomes is Substantial.

103. The DRC is still a fragile country, with post conflict and ongoing conflict areas. Overall governance remains weak, which affects development outcomes in general.

104. More specifically, the following risks have been identified in relation to the project outcomes:

- (a) The benefits expected from the geology program could be diminished if the related information and knowledge are not adequately disseminated and promoted. At the time of project completion, a prototype of geodatabase was produced and a scheme for managing and accessing the data was drafted. However, no access to data policy was legally adopted and the NGS—the key institution ultimately in charge of promoting the national resources—was created but not fully operationalized. The minister and his team gave reassurance during the World Bank completion mission, but this commitment was perceived to be weak given the political instability.
- (b) Some of the institutional reforms initiated by the project could be overturned. For instance, full establishment of the NGS could be postponed due to lack of funding. This risk is high, although the capacity-building and training efforts are still expected to bear fruit over time regardless of potential policy reversal. Achieving the rejuvenation plan for the Ministry of Mines staff, with the corresponding pension plans, will be a key factor in sustaining outcomes from the institutional strengthening supported by the project. .
- (c) There is a strong drive by some major mining companies to reverse the reforms of the Mining Code. There have been several articles in the press mentioning the possibility that companies may try to push for a new revision of the code. This can be a source of tension because the mining sector features prominently in the inauguration speech of President Tshisekedi and there are high expectations about the sector’s contribution to the overall development of the country. In parallel, there are conflicts between components of the Government on the application of the code, such as the attribution of some proceeds to specific public entities and who should oversee the future generations’ fund.

V. LESSONS AND RECOMMENDATIONS

105. The main lessons from the project are the following:



- (a) **Institutional strengthening.** Sector reforms often emphasize legal changes, whereas longer-term institutional reforms matter often as much and are sometimes more challenging. In the DRC, revisions of the Mining Code have been highly political and somehow popular because of the perception that it determines the level of benefits that mining will bring to the country. The experience with the mining sector in the DRC shows that the involvement of international organizations such as the World Bank and the IMF can help adjust the debate when it becomes politically charged and unbalanced by intensive lobbying. More specifically, the experience in PROMINES demonstrates once more how enforcement capacity is critical. Any legal revision should be accompanied by strong capacity-building efforts both at the regulatory and administrative levels, especially in countries with poor governance and low public sector performance, and always taking into account that the enforcement of reforms takes time, usually more than planned. PROMINES exemplifies the type of skills assessment, institutional systems' design, training, knowledge transfer, and technical assistance needed to improve sector management.
- (b) **Project management.** The partnership with UNOPS proved very successful to put the project back on track, especially regarding efficiency. In complex and fragile contexts with limited capacity and serious fiduciary concerns, the Protocol of Cooperation between the WB and UNOPS establishes an appropriate framework that should be considered when possible.
- (c) **Supervision.** Technical assistance lending projects in such complex countries and sectors require intense supervision and long-term engagement. The PROMINES experience demonstrates how supervision can be critical in turning around project performance. At some point, DFID was suggesting that such a highly complex operation required a locally based task team leader. However, the intense supervision in the second phase of PROMINES, which combined multiple missions with frequent follow-up VCs both for the entire project implementation and for specific components or activities, demonstrated this could be an effective plan. The costs associated with such good practices should be factored in from the outset.
- (d) **Quality control.** Dedicated quality control for highly technical activities is critical. In the case of PROMINES, quality controls were implemented by independent consultants for all the activities of Component A related to geodata collection. Also, specific quality control was established for Component B to provide in-depth supervision of the reform of the Ministry of Mines and all the related activities. This has been one of the main factors for successful implementation and achievement of quality results.
- (e) **Political economy of the mining sector.** The political economy of the mining sector should be properly considered in understanding and promoting sector reforms. In DRC, the activities around the reform of the Mining Code, in particular, proved very sensitive.
- (f) **Support to ASM.** The challenges relating to artisanal mining are diverse and overwhelming. Support to ASM in fragile areas requires strong on the ground presence and systematic supervision. The PROMINES experience with children in pilot areas (Kolwezi and South Kivu) and the experience of SAEMAPE confirm that specific actions to separate children from the mining sectors are possible in certain conditions. Key criteria for ensuring sustainability,



however, will be (i) an alternative model of local and regional development designed and implemented in a multisectoral way, and (ii) the presence of the state and its institutions in the concerned territory. Critical contributions from the project like the identification of dedicated areas for ASM could also put to use in the future.

- (g) **Access to data.** Access to geological information should be addressed early on in geological programs. In the case of PROMINES, the delays in establishing the NGS created a situation where much new geological information was produced, but no sustainable framework was in place to disseminate and promote it at the end of the project.
- (h) **Gender.** Ensuring inclusion of women in project activities can create a new momentum for better livelihoods in mining areas. PROMINES created opportunities to integrate gender discussion groups for women traders, including sharing of household decision making and financial management (women can discuss strategies on how to manage the money they earn in a safe way). If possible, include discussion group activities with husbands/male family members. This is all the more so true in a country with a high record of gender-based violence.
- (i) **Flexibility.** DFID's main lesson learned was about flexibility. PROMINES was a complex project, with many different elements. Its failure to meet expectations at the beginning led to questions about its complexity. However, thanks to that same flexibility, the project was able to achieve its promise with a reduced budget.
- (j) **Co-financing.** The experience with DFID also illustrates that different methodological approaches, towards M&E typically, can lead to overly complex design. The WB should be careful with the implication of co-financing in the design of lending operations especially in low capacity environments.



ANNEX 1. RESULTS FRAMEWORK AND KEY OUTPUTS

A. RESULTS INDICATORS

A.1 PDO Indicators

Objective/Outcome: Strengthened institutional capacity to manage the sector in an efficient, accountable and transparent manner

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Performance of key institutions in the minerals sector to enforce the legal and regulatory framework	Text	The existing framework is poorly enforced	Improved framework effectively enforced	Reforms of the Ministry of Mines and its specialised agencies is complete.	In order to enforce sector policies regulations, and to adapt the Ministry structure to the structural requirements established by the Ministry of Civil Service, the project financed a large and complete reform and modernization of the Ministry of Mines and its specialized agencies and services (CTCPM, SAEMAPE,



						<p>CAMI and CEEC), implemented mostly in 2017-2018. The implementation of the reform was submitted to quality control. The reform included not only the design of institutional framework and structures, but also a set of Technical Assistances for all these structures, comprising the identification of information and work flows; new system software; the skills assessment and the identification of staff ready for retirement; the identification of infrastructures, equipment and hardware needs; and the draft pluriannual investment budget.</p>
		30-Apr-2010	15-Dec-2015	15-Dec-2018	15-Dec-2018	



Comments (achievements against targets): Fully achieved.

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Status of transparency and accountability mechanisms	Text	Very little availability of data. Debate largely dependent on NGO reports or poor quality media reporting. Little informed public debate.	EITI process remains on track	Dissemination and discussion of EITI Reconciliation Reports (national and provincial levels). Multi-Stakeholder Platform for the Extractive Industries meeting at least bi-annually.	<p>The DRC EITI was established with direct support from PROMINES, and it has produced, approved and published online yearly reconciliation reports until 2016 according to the EITI participatory standard. At the time of ICR drafting it was preparing the 2017 and first semester of 2018 report, and had published a work plan for 2018-2021. Multi stakeholder committees of the DRC EITI Committee meets at least biannually.</p> <p>In addition, there are two other sectoral multi-stakeholders</p>



					committees in DRC. The first is the "Sectoral Thematic Group Mines-Oil-Electricity", which held 7 plenary meetings in 2015-2018. The second is the "Sectoral platform for the follow-up and the participative dialogue" which was established by the Decree 14/005, of February 19, 2014. Four Coordination Committee meetings were held before the first Plenary in March 2018. This platform is expected to remain a permanent dialogue mechanism, beyond the scope of the project.
		30-Apr-2010	15-Dec-2015	15-Dec-2018	15-Dec-2018

Comments (achievements against targets): Fully achieved

Objective/Outcome: Improved conditions for increasing investments in and revenues by the mining sector



Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Increase in private investments in the mineral sector (aggregate percentage increase in private investments from the mineral sector)	Percentage	23.00	30.00	15.00	41.00
		30-Apr-2010	15-Dec-2015	15-Dec-2018	15-Dec-2018

Comments (achievements against targets): Fully achieved (target exceeded) The number of declared investments over \$10 million (41) largely exceeded the expected outcome (15) and even exceeded the original target (30). This achievement is not solely attributable to the project, since this private investment also depend on exogenous factors. However, the geology information produced by the project is expected to contribute to stimulate mining investments in DRC.

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Fiscal revenues from the mining sector	Number	75.00	300.00	1300.00	1560.00
		30-Apr-2010	15-Dec-2015	15-Dec-2018	15-Dec-2018

Comments (achievements against targets): Fully Achieved (target exceeded) The total of US\$ 1,560 million fiscal revenue generated by mining in 2018 includes an conservative estimation of US350 million for the 4th trimester. Improvements in mining administration and transparency, as well as the reform of the Mining Code in March 2018, have largely contributed to the increase.

Objective/Outcome: Increased socio-economic benefits of artisanal and industrial mining for communities in Project areas

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
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<p>Working and living conditions of artisanal and industrial mining communities in project areas</p>	<p>Text</p>	<p>Very limited availability of data. Reports on specific sites only.</p> <p>30-Apr-2010</p>	<p>Detailed indicators, baseline, milestones and target will be established as part of project monitoring system¹⁰ (including household consumption in targeted mining communities) Biannual project reporting</p> <p>15-Dec-2015</p>	<p>Information management tools in place in government institutions to monitor working and living conditions of artisanal and industrial mining communities.</p> <p>15-Dec-2018</p>	<p>The specialized agency for small scale and artisanal mining was restructured in 2017 (SAEMAPE). The database was created in 2016 and remains operational at project closure, and includes information on mining sites, productions, and cooperatives. The collection of data about small and artisanal miners has been initiated but not completed. Also, some pilot activities on the separation of women and children from the mines carried out have produced significant information about their living and working conditions in the designated mining areas.</p> <p>15-Dec-2018</p>
<p>Comments (achievements against targets): Fully achieved</p>					



A.2 Intermediate Results Indicators

Component: Ensure access to resources

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Topographic basemap (MGCP) in the designated areas	Number	0.00 30-Apr-2010	6.00 15-Dec-2018		10.00 15-Dec-2018

Comments (achievements against targets): Fully achieved (target exceeded) Quality Topographic map (based on MGCP standard) for the 6 planned zones ("cells") and submitted to quality control. The procurement process was very competitive and the financial savings allowed the project to finance an additional 4 cells at the same standard.

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Number of potential target areas with geological information available	Number	0.00 30-Apr-2010	6.00 15-Dec-2018		6.00 15-Dec-2018

Comments (achievements against targets): Fully achieved The project successfully financed complete geological information in six areas ("cells"), submitted to quality control.

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
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Improve communication and information flow within the sector including consultations with civil society	Text	Ministry's communications with stakeholders in government, the private sector and civil society unplanned and ad hoc which hampers the development of a coherent vision for the future of the sector	Ministry organizes at least 4 communications events including a national roundtable discussion on the future directions of the sector	Ministry communicates regularly and professionally with all relevant stakeholders	The Ministry regularly and professionally communicates with all the relevant stakeholders (mining firms and associations, NGOs, donors, etc.) through the regular meetings of the Thematic Group, the Mining Sector Conferences and workshops and the Mining Week in DRC, and the PSDP. There is also a website of PROMINES with large information about the activities financed by the project.
		30-Apr-2010	15-Dec-2015	15-Dec-2018	15-Dec-2018

Comments (achievements against targets): Fully achieved

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Operationalisation of the National Geological Survey	Text	Centre de Recherche Geologie Miniere exists but not under	National Geological Survey established		The Decree establishing the National Geological



		responsibility of the Ministry of Mines	and fully functioning		<p>Survey was approved in December 2017. The design of the new building was done and its EIES approved and published. Several study tours were organized to Morocco, Burkina Faso and Namibia to learn from other geological surveys. The business model and the organization was prepared, and key staff for the NGS were trained. However, due to the delay in the establishment process, it was not possible to finalize the building and fully operationalize this new institution under the project.</p>
		30-Apr-2010	15-Dec-2018		15-Dec-2018

Comments (achievements against targets): Partially achieved

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised	Actual Achieved at
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				Target	Completion
Incorporation of key stakeholder perspectives (government, civil society and private sector) into the Mining Code revision process	Text	Weak mining law and implementation (Mining Code and regulation of mines) has marginal impact on the operations of the sector	New mining code adopted and disseminated in at least 25 communities per project target provinces	New mining code adopted and disseminated in at least 25 communities per project target province	The new Mining Code was approved on March 9, 2018 after large discussions with the main stakeholders. Secondary Regulations (Règlement Minier) were approved by the Council of Ministers in June 2018. The new Mining Code was distributed on 25 Communities in 25 Communities in every target province (former provinces of Katanga, Maniema, North Kivu and South Kivu)
		30-Apr-2010	15-Dec-2015	15-Dec-2018	15-Dec-2018
Comments (achievements against targets): Fully achieved					
Component: Build sector management capacity					
Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion



Number of CAMI provincial offices covered by the online cadastre system	Text	No CAMI offices have an online cadastre system 30-Apr-2010	Fully-functioning CAMI operations at national level and in target provinces 15-Dec-2015	5 offices fully functioning with the online cadastre system. 15-Dec-2018	There are five (5) offices fully functioning with the online cadaster system (Kinshasa, Lubumbashi, Bukavu, Kindu and Kisangani) 15-Dec-2018
Comments (achievements against targets): Fully achieved					

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Capacity and performance of SAESSCAM (Government Service to Support Artisanal Miners)	Text	Artisanal and Small Scale Mining (ASM) Strategy exists however not clear, coherent, or implementable	National Plan fully implemented, SAESSCAM reformed and fulfilling its remit to provide support services to artisanal miners.	ASM strategy improved to provide services to artisanal miners. Database in place and populated.	The Strategy and the Action Plan of SAESSCAM were produced in 2016 and validated in 2017, the SAESSCAM was restructured into the SAEMAPE by the Decree N° 17/009 du 4 April 2017. The database in place and populated with the mining sites, the mineral collected, and the artisanal miners. Also, within the



		30-Apr-2010	15-Dec-2015	15-Dec-2018	context of the Strategy and the Action Plan, programs to create and support cooperatives have been implemented. 15-Dec-2018
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Comments (achievements against targets): Fully achieved

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Optimisation of human resources in the Ministry of Mines and its specialised agencies	Text	40% of Ministry of Mines staff not on the payroll. Average age of mine engineers and geologists is 55 and 66 respectively.	Appropriation of the HR optimization plan by the government.		The formal and legal documents needed for HR management (description of posts (référentiel) and identification of skill needs (bilan de compétences) were prepared and approved by the Ministry. All the staff have been identified (including, for the first time, in all provinces) and reassigned. Staff who should retire were identified and a



		30-Apr-2010	15-Dec-2018		continuous training strategy was designed. The first continuous training plan was fully implemented with 480 participants in 2017-2018. 15-Dec-2018
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Comments (achievements against targets): Fully achieved

Component: Enhance transparency and accountability

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Established systems for the registration of artisanal miners	Text	Limited registration done by artisanal miners.	Conditions (economic, social, health and safety, security, etc) in designated artisanal mining sites improved. Proportion of officially registered ASM production increased by 15% over baseline in target provinces.	Registration system in place and functioning in the designated provinces.	The database is in place. The registration system was established and is functioning in the designated provinces. However, there is a delay in the registration of the artisanal miners due to the conflicts in the East and the lack of resources.



		30-Apr-2010	15-Dec-2015	15-Dec-2018	15-Dec-2018
Comments (achievements against targets): Partially achieved					

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Improved implementation and extended coverage of traceability & certification systems in Eastern DRC and Katanga	Text	Systems in place but extent of reach limited to two provinces (Katanga and South Kivu). 30-Apr-2010	The traceability and certification systems are operational in 4 mining provinces (Katanga, South Kivu, North Kivu and Maniema) 15-Dec-2015	The traceability systems are operational in 4 mining provinces (Katanga, South Kivu, North Kivu and Maniema) 15-Dec-2018	Traceability systems are operational in 4 mining provinces (Katanga, South Kivu, North Kivu and Maniema). 15-Dec-2018
Increase in number of mine sites covered by traceability systems	Number	0.00 30-Apr-2010	600.00 15-Dec-2015	 15-Dec-2018	588.00 15-Dec-2018

Comments (achievements against targets): Fully achieved					
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Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Improved understanding of major social and environmental impacts of mining sector in DRC and	Text	Social and environmental impacts of mining activities not well	Environmental management and community participation in mining	Decision support system linked to environmental impact information is fully	Substantial preparatory studies were achieved, such as: the study from



enhanced government capacity to manage these impacts		understood and managed	sector improved	functioning.	Katanga and the 2 Kasai provinces (evaluation of the environmental passive in the mining sector); a Report of the Congolese Environmental Agency about environment in DRC; and an environmental and social assessment of the mining sector in DRC. However, the final system of environmental impact information was not produced in time.
		30-Apr-2010	15-Dec-2015	15-Dec-2018	15-Dec-2018
Comments (achievements against targets): Partially achieved					

Component: Build up sustainable development settings

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Improved understanding of major social and environmental impacts of	Text	Social and environmental impacts of mining	Environmental management and community	Decision support system linked to environmental impact	Substantial preparatory studies were achieved, such



mining sector in DRC and enhanced government capacity to manage these impacts		activities not well understood and managed 30-Apr-2010	participation in mining sector improved 15-Dec-2015	information is fully functioning. 15-Dec-2018	as: the study from Katanga and the 2 Kasai provinces (evaluation of the environmental passive in the mining sector); a Report of the Congolese Environmental Agency about environment in DRC; and an environmental and social assessment of the mining sector in DRC. However, the final system of environmental impact information was not produced in time. 15-Dec-2018
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Comments (achievements against targets): Partially achieved

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Support women's economic & social empowerment working in the mining sector	Text	Few outreach programs available to improve women's standing in the mining	Women in mining network established at national level with offices in 2 mining	Women in Mining network established and 2 activities for promoting women's	Two National Conferences on the Women in the Mines in DRC were organized



		sector	provinces	participation in the sector achieved	in 2015 and 2017. A national network of women in the mines was created in 2018 (RENAFEM) and trained, A pilot project to separate women from the mines was implemented in South Kivu.
		30-Apr-2010	15-Dec-2015	18-Dec-2018	15-Dec-2018

Comments (achievements against targets): Fully achieved

Indicator Name	Unit of Measure	Baseline	Original Target	Formally Revised Target	Actual Achieved at Completion
Number of viable artisanal mining zones for cooperative exploitation supported	Number	0.00 30-Apr-2010	3.00 15-Dec-2018		3.00 15-Dec-2018

Comments (achievements against targets): Fully achieved Through a technical assistance, three (3) areas (ZEAs) have been identified as viable artisanal zones for cooperative exploitation supported.



B. KEY OUTPUTS BY COMPONENT

Objective/Outcome 1. Mining sector management: “To strengthen the capacity of key institutions to manage the minerals sector”	
Outcome Indicators	1. Performance of key institutions in the minerals sector to enforce the legal and regulatory framework
	2. Status of transparency and accountability mechanisms
Intermediate Results Indicators	3. Improve communication and information flow within the sector including consultations with civil society
	4. Incorporation of key stakeholder perspectives into the Mining Code revision process
	5. Capacity and performance of SAESSCAM (Government service to support ASM)
	6. Optimization of human resources in the Ministry of Mines and its specialized agencies
Key Outputs by Component (linked to the achievement of the Objective/Output 1)	<p><i>Component A: Ensuring Access to Resources</i></p> <ul style="list-style-type: none"> • Support of the reform of the Mining Code and its secondary regulation, both approved, comprising the participation of civil society in the process • Big final workshop to present the results of the activities on geodata financed by the project
	<p><i>Component B: Build Sector Management Capacity</i></p> <ul style="list-style-type: none"> • Complete reform of the Ministry of Mines and its specialized services and agencies (CTCPM, CEEC, SAEMAPE, CAMI), with quality control, comprising the new framework and structures, the new information and work fluxes, soft, inventory, identification of infrastructure and equipment needs, pluriannual investment budget, identification and redistribution of HR, and identification of staff to be retired • Hardware, vehicles, and equipment for the Ministry of Mines and its offices in provinces • A continuous training committee, strategy and first training program in the mining administration (2017–2018), with 480 participants • Description of posts (<i>Référentiel des emplois</i>), identification of skill needs (<i>bilan de competences</i>) in the mining administration
	<p><i>Component C: Enhance Transparency and Accountability</i></p> <ul style="list-style-type: none"> • Financing of the establishment of the National EITI committee • Establishment, regulation, and financing of the thematic group mining/petroleum/energy, and of the PSDP, with the participation of civil society and firms in both boards • Organizations, functional and operational audits (due diligence of the state-owned enterprise SOKIMO (first pilot to analyze and introduce transparency in the mining sector state-owned enterprises)



	<p><i>Component E: Project Coordination and Management</i></p> <ul style="list-style-type: none"> • An external evaluation of the effectiveness and efficiency of main activities of the project • Establishment of a performance evaluation system for the PIU staff
Objective/Outcome 2. Investments and revenues: “To improve the conditions for increased investments in and revenues from mining”	
Outcome Indicators	<ol style="list-style-type: none"> 1. Increased private investment in the mining sector 2. Increased fiscal revenues from the sector
Intermediate Results Indicators	<ol style="list-style-type: none"> 1. Topographic base map (MGCP) in the designated areas 2. Number of potential target areas with geological information available 3. Operationalization of the NGS 4. Number of CAMI provincial offices covered by the online cadaster system 5. Capacity and performance of SAESSCAM (Government service to support ASM) 6. Established systems for the registration of artisanal miners 7. Improved Implementation and extended coverage of traceability and certification systems in Eastern DRC and Katanga 8. Increase in number of mine sites covered by traceability systems
Key Outputs by Component (linked to the achievement of the Objective/Output 2)	<p><i>Component A: Ensure Access to Resources</i></p> <ul style="list-style-type: none"> • Reform of the Mining Code and its secondary regulation with immediate increase of the taxation on the sector from 2018 • Topographic base map (MGCP) (10 cells) and areas with geological information (6 cells) in strategic areas with quality control in the works and promising findings • Establishment of the prototype of national base of scientific geodata in the CAMI • Establishment of the NGS and development of activities to make it operational (reports on organization, business model) • Training of the homologues in all the geodata activities to create specialized staff transferring knowledge
	<p><i>Component B: Build Sector Management Capacity</i></p> <ul style="list-style-type: none"> • Preparation, socialization, and approval of a Strategic Plan of the Mining Sector in DRC (2016–2022) • Support to the CAMI with equipment, ICT infrastructure, and connection with four main provincial offices
	<p><i>Component C: Enhance Transparency and Accountability</i></p> <ul style="list-style-type: none"> • Design and implementation of a National System of Statistical Information on the Mining Sector



	<ul style="list-style-type: none"> • Studies and implementation of certification and traceability systems for strategic minerals in 4 provinces and 588 mining sites, since it provides strategic information about ASM, since it contributes to a better control of productions and higher tax collection • Preparation, socialization, and approval of an Action Plan for the SAESSCAM (the special service for the ASM) • Enhancement and equipment for the SAESSCAM • Assistance and support to ASM mining cooperatives • Establishment of a register for ASM • Study on the problematic of the privileged import regime for the mining sector • Report for the improvement of the mining sector tax administration • Preparation of a tele-declarations system for the productions and exports of the mining sector
	<p><i>Component E: Project Coordination and Management</i></p> <ul style="list-style-type: none"> • Design of the building of the NGS, Social and Environmental Evaluation, exchange of knowledge with other African countries
<p>Objective/Outcome 3. Socio-economic impacts: “To help increase the socio-economic benefits from artisanal and industrial mining in Project areas”</p>	
Outcome Indicators	1. Improved working and living conditions in artisanal and industrial mining communities in Project areas
Intermediate Results Indicators	1. Capacity and performance of SAESSCAM (Government service to support ASM)
	2. Established systems for the registration of artisanal miners
	3. Improved Implementation and extended coverage of traceability and certification systems in Eastern DRC and Katanga
	4. Increase in number of mine sites covered by traceability systems
	5. Improved understanding of major social and environmental impacts of mining sector in DRC and enhanced government capacity to manage these impacts
	6. Support women’s economic and social empowerment working in the mining sector
	7. Number of viable ASM zones for cooperative exploitation supported
Key Outputs by Component (linked to the achievement of the Objective/Output 3)	<p>Component B: Build Sector Management Capacity</p> <ul style="list-style-type: none"> • Preparation, socialization, and approval of a Strategic Plan for the ASM in DRC • Identification and establishment of three viable artisanal zones (ZEA) for cooperative exploitation, supporting development and resources for artisanal miners
	<i>Component C: Enhance Transparency and Accountability</i>



	<ul style="list-style-type: none">• Studies and implementation of traceability systems for strategic minerals in 4 provinces and 588 mining sites, since it provides strategic information about ASM• Enhancement of the SAEESCAM, the special service for ASM, since it contributes to improve the situation of artisanal miners• Identification of three ZEA to support artisanal miners
	<p><i>Component D: Build Up Sustainable Development Settings</i></p> <ul style="list-style-type: none">• Creation of RENAFEM (2018)• Organization of the two first National Conferences of Women in the Mining Sector (2015 and 2017)• Design of a national strategy to separate children from the mining sector• Pilot projects in specific areas to separate children (Kolwezi) and women (South Kivu) from the mines• Design and implementation, in designated areas, of an IPP• Production of a sectoral environmental and social strategic evaluation• Evaluation of the environmental impact in the provinces of Katanga and the two Kasais• Project for the reduction of the use of mercury in pilot areas• Establishment of a program for the register of artisanal miners in SAEESCAM



ANNEX 2. BANK LENDING AND IMPLEMENTATION SUPPORT/SUPERVISION

A. TASK TEAM MEMBERS

Name	Role
Preparation	
Supervision/ICR	
Kirsten Lori Hund, Remi Pelon, Rachel Bernice Perks	Task Team Leader(s)
Lanssina Traore, Cheick Traore, Clement Tukeba Lessa Kimpuni	Procurement Specialist(s)
Francis Tasha Venayen	Financial Management Specialist
Lucienne M. M'Baipor	Social Specialist
Isabella Micali Drossos	Counsel
Jose M. Rodriguez Alvarez	Team Member
Jeannine Kashosi Nkakala	Team Member
Lucie Lufiauluisu Bobola	Team Member
Abdoulaye Gadiere	Environmental Specialist
Maria Luisa Ana Esteban Meer	Team Member

B. STAFF TIME AND COST

Stage of Project Cycle	Staff Time and Cost	
	No. of staff weeks	US\$ (including travel and consultant costs)
Preparation		
FY08	15.584	130,767.12
FY09	47.488	333,703.05
FY10	62.350	632,378.97
FY11	0	0.00
Total	125.42	1,096,849.14
Supervision/ICR		
FY11	15.095	190,683.77
FY12	9.302	174,394.57
FY13	17.137	135,497.68



FY14	49.586	370,344.24
FY15	59.630	313,104.13
FY16	31.670	335,746.85
FY17	27.017	335,720.62
FY18	19.830	193,993.75
FY19	10.710	150,525.56
Total	239.98	2,200,011.17



ANNEX 3. PROJECT COST BY COMPONENT

Components	Amount at Approval (US\$, millions)	Actual at Project Closing (US\$, millions)	Percentage of Approval (US\$, millions)
Ensuring Access to Resources	0.00	28.10	0.00
Build Sector Management Capacity	0.00	11.70	0.00
Enhance Transparency and Accountability	0.00	5.77	0.00
Build Up Sustainable Development Settings	0.00	7.80	0.00
Project Coordination and Management	0.00	5.00	0.00
Total	0.00	58.37	0.00



ANNEX 4. EFFICIENCY ANALYSIS

1. The cost-benefit analysis of PROMINES, as acknowledged at appraisal, is difficult to undertake. The PAD explains that the project is a technical assistance loan and as such does not lend itself easily to economic analysis. The traditional net present value and economic internal rate of return or financial rate of return analysis do not apply.

2. However, it is still possible to assess the value-for-money of certain outputs. Based on an evaluation commissioned by the project itself before closure,²⁰ as well as additional research from the ICR team, some analytical elements are presented below for (a) geodata collection, (b) the reform of the Ministry of Mines and its specialized agencies and services, (c) the training activities, and (d) project management.

(a) **Geodata collection.** This activity is considered very efficient because (i) the costs were lower than originally planned, (ii) the resources were maximized owing to strong and systematic quality control, and (iii) the results of the geology program, typically the mining targets, were economically promising. The costs were generally lower than initially budgeted. For example, 10 instead of 6 topographic base maps (using MGCP standard) were financed under the initial budget. As confirmed by solid quality control, the cost savings did not affect the quality of the products. Additional benefits were derived by the fact that every consultant had to train its government counterparts and that this was also verified by quality control supervisors. The value of the results is difficult to assess with great certainty, but they are promising. To illustrate this, table 4.1 shows the number of prospective targets (in three orders of priority) identified by the project in the three project areas. Some of them could be put for tender and generate short-term revenues even during the exploration phase. Eventually some of them (by experience not more than 1 percent) could lead to a new mine, in which case the revenue could be counted in hundreds of million dollars.

Table 4.1. Number of Prospective Targets

	Equateur Ouest	Katanga (South)	Katanga (Sakania)
Priority 1	0	13	15
Priority 2	6	61	20
Priority 3	4	92	26

(b) **Institutional reform.** The reform of the Ministry of Mines was completed and submitted to quality control. A major effort was done in a short period (two-and-a half years). The cost (US\$2.2 million) is considered very low given the large scope of the reform. This is a structural and organizational reform but also functional, comprising procedures (information and work flows), software, hardware, identification and reassignment of HR, identification of equipment and infrastructure needs, and so on. Table 4.2 presents the budget allocations under this activity.

²⁰ *Ius Publicum Innovatio Report on Diverse Activities Financed by the Project PROMINES (2018).*



Table 4.2. Cost of the Reform of the Ministry of Mines and its Specialized Services and Agencies

Concept	Amount (US\$)
Contract for the first institutional and organizational audit of the mining sector in the DRC	345,000
Contract of firm to support the ministry in the structural reforms	208,053
Contract of firm for the establishment new information and work fluxes in the Ministry of Mines and its specialized structures	219,825
Contract of firm for the establishment new information and work fluxes in the Ministry of Mines and its specialized structures	225,225
Contract of firm for the inventory, the identification of infrastructure and equipment needs, and the preparation of the pluriannual investment budget	102,048
Contract of firm for the identification and redistribution of the HR	251,598
Contract of firm for the identification of needs in ICT	149,350
Contract of firm for the preparation and installation of the new soft	327,150
New informatic equipment (hardware) for the Ministry of Mines	249,790
Organization of retreats, workshops, and meetings to prepare the documents of the reform (new framework and structures, description of jobs, identification of skill needs, for the ministry and its specialized structures [prepared by the Mixed Commission Mines-Civil Service])	420,000
Contract with consultant form quality control of the reform activities	51,000
Total	2,549,039

Note: This budget does not include the budget for the establishment of the new NGS, but the budget for the reform of the existing Ministry of Mines and its specialized structures.

3. The efficiency of this activity can be compared with the reform of other five other DRC ministries (Finance, Budget, Civil Service, Portfolio, and Planning), financed by the World Bank through the ‘Public Service Reform and Rejuvenation Project’ (P122229), with a budget of US\$122 million after additional financing. With similar reorganizational objectives and criteria, after excluding the budget devoted to the support of the retirement process (US\$31.70 million)—something that was not included in PROMINES—the institutional reform under P122229 cost more than US\$90 million for five ministries, an average of US\$18 per ministry, way more than the PROMINES case.

4. **Training.** Within the context of the institutional reform and capacity building, the project financed significant training activities. The quality of training was evaluated by all the participants using questionnaires and also by the independent consultant firm. The cost of the training was moderate considering the number of participants in the first continuous training program (480 participants, 305 from Kinshasa and 175 from provinces) and that 66 percent of the total budget was devoted to pay for travel and per diems according to standardized criteria. The fees of the trainers were modest and adapted to the criteria used in the country for professional services. The total budget of US\$1,95 million (from the design of the continuous training strategy to the design and implementation of the program) was as shown in table 4.3.

Table 4.3. Cost of the First Program of Continuous Training

Concept	Amount (US\$)	Remarks
Contract with firm for the design of the continuous training strategy, committee, and first program	139,750	A specialized firm was recruited through international competitive bidding.



Concept	Amount (US\$)	Remarks
Contract with firm for the recruitment and training of trainers for the program	186,500	A specialized firm was recruited through international competitive bidding.
Per diems and travel expenditures of training of trainers	31,753	These are payments to the recruited trainees as a compensation for the time they had to devote to their training activities.
Contract with firm for the complete logistic and coordination	150,000	A specialized form was recruited through an international bidding.
Travel of staff from provinces	116,412	Travel of 175 agents to Kinshasa
Per diem staff from provinces	1,103,760	To pay hotel and meals for 175 agents
Per diem staff from Kinshasa	65,100	To pay transport and meals of participants from Kinshasa
Fees for trainers	78,140	Modest expenditure, according to the national standards for professionals
Leasing of classrooms for the whole continuous training program	74,400	Different daily rates according to the size (from US\$180 to US\$410)
Total	1,945,815	

5. In addition, in the case of the training activity, the abovementioned project ‘Public Service Reform and Rejuvenation Project’ (P122229) devotes a complete Component 3 to training centers (US\$10.90 million) and diverse amounts to training activities in other components. The efficiency of PROMINES seems to be higher in efficiency also in this case.



ANNEX 5. BORROWER, CO-FINANCIER AND OTHER PARTNER/STAKEHOLDER COMMENTS

COMMENT FROM THE MINISTRY OF MINES

1. RESULTS

➤ Relevance of PDO

On the relevance of the PDO indicators and the rating of PROMINES, the Ministry of Mines considers that they were relevant. Thus, he is in favor of the relevance rating being "high".

However, the Ministry is of the opinion that the future strategic 2019 partnership can not only be considered in terms of challenges related to the implementation of the new mining code, transparency of transactions on state-owned enterprises in the mining sector, and the formalization of artisanal and small-scale mining, but they should also take into account the issues related to the transformation of ores before export and value addition.

In addition to this point, it should be considered that the main challenge in applying the new mining code should be based on an assessment of the overall mining taxation. It would be useful to undertake a thorough analysis of the parafiscalité imposed on the mining companies to have an overall vision of the level of global taxation imposed on the said companies.

Other exogenous factors will have to be added to this list. For example, those related to the knowledge of the legal and financial structures of multinational mining companies and their effect on the level of taxes and taxes due to the State or even those related to the capacity of actors of public mining companies to negotiate complex partnership contracts.

➤ Efficacy

On the efficacy of the PDO indicators, the Ministry of Mines considers that the 5 PDO indicators have been reached and their targets fully achieved.

However, two indicators: the performance of key institutions in the sector to apply the legal and regulatory framework in relation to the Ministry of Mines' reform indicator and its specialized services as well as the indicator on the working and living conditions of communities artisanal and industrial mining in project areas related to the establishment of an information management tool in government institutions to monitor the working and living conditions of artisanal mining communities, call for a recommendation from the Ministry of Mines. It recommends that for a better sustainability of the achievements of PROMINES, a reinforcement is still needed on these two indicators. In the first case, it will be a question of extending the reform to other stages such as: the retirement of the agents, the rejuvenation of the teams and the reinforcement of the capacities of the redeployed or newly recruited teams. In the second case, it will be a question of dealing with the question of the geographical dispersion of artisanal mining for example by allowing prospective geological analyzes on zones dedicated to the artisanal mining as well as the question related to the difficult accessibility of the artisanal mining sites making laborious any work of identification of the artisanal miners and of effective verification of the conditions of life and work.



On the efficacy of intermediate indicators, the Ministry of Mines estimated that fourteen (14) intermediate indicators are relevant. Of the fourteen (14), eleven (11) have a "fully achieved" status and three (3) are "partially achieved".

Two (2) intermediate indicators have been recommended. The first relates to the capacity and performance of SAEMAPE (formerly SAESSCAM), and the second relates to the optimization of human resources within the Ministry of Mines and its specialized services.

For the former, the Ministry of Mines considers that the needs of SAEMAPE agents (ex SAESSCAM) in equipment and small portable equipment (Motorcycles, Kits of recordings) will have to be taken into account for the continuity and the improvement of the operations of records of artisanal diggers. For the second, the optimization of human resources must be extended to the Provinces to compensate for the late census conducted at the level of the provincial directorates of the Mines Administration after the assessment of competencies and the deployment of the workforce in accordance with new organic framework.

➤ Disbursement

Before the mid-term evaluation the project had a disbursement rate of 12%. This low disbursement rate of the project in its first phase (2011-2014) was due to:

- on the Client side, lack of ownership of project beneficiaries and delays in the elaboration of the terms of reference for the activities.
- on the Bank side, delays in the transmission of Objection Notices as soon as possible.

Nevertheless, as the project was deemed relevant, efforts were made by both parties to maintain it, despite the poor performance of this first phase.

➤ Efficiency

On the efficiency of the selected activities, the Ministry of Mines considers that all these activities were relevant. It highlights the fact that efficiency does not concern the selection of activities but rather the planning and conduct of such activities. Thus, he makes some recommendations:

Geology program. Although the quality of the products resulting from this work is not to be demonstrated, the Ministry of Mines notes that the sharing of knowledge has been real in the framework of regional studies (geology, geochemistry ...), geophysical campaign and prospective analysis. However, this has not been the case in the context of topographic mapping studies as well as quality control work.

Institutional reform. The institutional reform took place in a satisfactory time and made up for the delay in starting the project. However, this catch-up has suffered somewhat from the non-alignment of the steps leading to the different activities. For example, in terms of training, the choice of training modules was made prior to the assessment of skills of agents of the Ministry of Mines. In addition, the selection of participants and the monitoring of their achievements were done by the CSMORA (Committee for Monitoring and Implementing Audit Recommendations) without the participation and support of the Department's human resources department. since the latter was set up with the new organic manager after the completion of the training activities.

2. OTHER RESULTS AND IMPACTS



Institutional strengthening. The PROMINES project, through the Ministry of Mines' reform activities, has strengthened the management capacity of the mining sector. Through the creation of a local Mining Cadastre, the equipment and computer equipment (servers, computers, printers, GPRS, spectrometer ...), vehicles, the networking and the interconnection of services of the Administration of Mines, PROMINES really helped modernize the Ministry of Mines. However, several challenges remain. Some are related to working conditions (obsolescence and non-existence in some places of premises, incomplete computerization, etc.) and others are related to the mismatch between the real mining sector management issues and the skills of Ministry of Mines officials.

3. KEY FACTORS WHICH AFFECTED IMPLEMENTATION

Although well designed, PROMINES has suffered from some differences between donors (World Bank and DFID). These divergences were increased by, on the one hand, the fact that this was the first project that the Ministry of Mines had to lead and, on the other hand, the selection of teams less familiar with the rules and procedures applicable in this area. kind of project.

In addition, the various restructurings have had the effect of eliminating certain positions that were nevertheless essential to the success of this project. It was therefore necessary to make up for the absence of these posts by creating ad hoc committees under the direction of certain actors of the Ministry of Mines who do not have the necessary time to monitor and carry out the planned activities.

Other factors, such as those related to the non-consideration of the interdependence of activities, as well as the lack of planning for these activities incorporating the irreducible stages and deadlines of procurement, have been a source of delay. and had negative effects on the progress of project activities.

4. LESSONS AND RECOMMANDATIONS

In general, the PROMINES project has made real progress in the mining sector in DR Congo. Almost all project indicators have been fully achieved. Although we can, in some cases, consider that the evolution of certain indicators is not fully attributable to the project, it remains certain that all the reforms initiated with the help of PROMINES have made it possible to revive the sector and improve image of the mining sector that suffered from the post-war global Congolese crisis in the early 2000s.

Several lessons are to be learned from the implementation of PROMINES:

1. On the organization

The project has suffered somewhat from the absence of some key positions within the project implementation unit. For example, on the geology side, it would have been preferable to have in the project implementation unit geological experts or mining engineers who could have drafted the terms of reference for activities related to geology and for monitor and evaluate them on a permanent basis.

It should also be noted that the areas chosen as targets for the geological work had not been the subject of a preliminary analysis in terms of accessibility and logistical challenge. This has had the effect of lengthening deadlines and generating additional expenses.

It should be noted that some delays were caused by the slow pace of obtaining certain administrative authorizations. It would have been preferable to entrust the management of all these formalities to an external firm to allow the project team to concentrate on carrying out technical activities.

In addition, it would have been desirable, in terms of business planning, to have a real procurement



strategy, according to the procedures, integrating the interdependence between certain activities, thus allowing for a logical succession between activities, shorter lead times and more efficiency.

2. On supervision

The steering committee of PROMINES activities did not sufficiently integrate all the actors of the Ministry of Mines. For example, in terms of the geology program, only the Mining Cadastre and the Technical Coordination and Mining Planning Cell (CTCPM) were regularly consulted while the Geology Directorate of the Mining Administration was not invited and its agents (geologists) did not take part in the work and exchanges related to this program.

3. On the sharing of knowledge

There has been very little interaction between the quality controllers and the Congolese side leaving little room for the appropriation of the techniques used during the performance of the quality control missions.

4. On the communication

The project suffered from the lack of a communication plan. This did not allow a real visibility of the work done.

5. The scope of the project

Many activities have been conducted at the central level, but their operationalization in the field requires deployment, including at the provincial level.



ANNEX 6. SUPPORTING DOCUMENTS (IF ANY)

Main Available Evidences Supporting Project Indicators

A) PDO INDICATORS (5)

1. Performance of key institutions in the minerals sector to enforce the legal and regulatory framework

Target: Reforms of the Ministry of Mines and its specialized agencies is complete

Evidences

(A) INSTITUTIONAL REFORMS

A.1. Core Administration of the Ministry of Mines: *Secrétariat Général*

- Institutional and Organizational Audit of the Mining Sector in DRC (PriceWaterHouseCoopers)
- New Framework and Structures of the Ministry of Mines
- Approval of the New Framework and Structure (Minister's Ordinance [Arrêté] Nr. 060, from April 9, 2018)

A.2. CTCPM

- New Framework and structure of the CTCPM
- Approval of the New Framework and Structure (Minister's Ordinance (*Arrêté*) Nr. 0530, from August 24, 2018)

A.3. SAEMAPE

- Establishment of the Service (Decree of the Prime Minister 17/009, from April 4, 2017, on the establishment and status of the '*Service public dénommé Service d'Assistance et d'Encadrementp de l'Exploitation Minière Artisanale et à Petite Echelle, SAEMAPE*' .
- New Framework and Structures
- New central and provincial organogram

A.4 CAMI

- Approval of the Decree 17/005, from April 3, 2017, on the status, organization, and functioning of CAMI



A.5. CEEC

- New Framework and Structure from November 2014 (paid with their own resources), implementing the Decree of the Prime Minister 011/28, from June 7, 2011, establishing the status of the CEEC (previously established by the Decree 09/57, from December 3, 2009).

A.6. *Inspection Generale des Mines*

- New Framework and Structure (December 2018)

A.7. *Service Geologique National du Congo*

- Decree of the Prime Minister 17/016, from December 4, 2017, on the establishment, organization, and functioning of the NGS of DRC.

(B) MANAGEMENT IMPROVEMENTS FOR THE MINISTRY AND THE SPECIALIZED SERVICES AND AGENCIES (THROUGH CONSULTATIVE SERVICES)

- Inventory, infrastructure needs, and investment budgeting
- Working and information fluxes identification
- Identification of ICT hardware needs
- Soft for the Ministry of Mines and its specialized services and agencies (user manuals)

(C) HARD EQUIPMENT FOR THE MINISTRY AND THE SPECIALIZED SERVICES AND AGENCIES

(D) QUALITY CONTROL OF THE REFORM

- Contract of consultant for quality control
- Four reports on follow-up and monitoring of the quality

2. Status of transparency and Accountability mechanisms

Target: Dissemination and discussion of EITI reconciliation reports (national and provincial levels); multistakeholder platform for the extractive industries meeting at least biannually

Evidences

(A) EITI

- Establishment of the National Secretariat by Decree 09/20, of July 16, 2009 : <https://drive.google.com/file/d/0B1C1Aj5TqAgvcURibDFiX1RJRvU/view>
- EITI National Secretariat Restructured in 2017



- Contextual Report EITI DRC 2016 approved and published on July 2018: <https://drive.google.com/file/d/1Nw1KeXyTM9C6QnXK2DRneD4cL6POEikA/view>
- Rapport de cadrage du EITI DRC 2016
- Yearly ITIE Report of advancement 2017 and first semester 2018 approved by the Executive Committee on June 30, 2018: <https://drive.google.com/file/d/1Mp626dmUOpguNFXldaL1jbqaGOyT4P0v/view>
- Triennale Working Plan 2018–2020 approved by the Executive Committee on July 30, 2018: <https://drive.google.com/file/d/17CNS-g7yf7t3v7k1l0p-aypBmtyXZ700/view>
- EITI-DRC functioning and with complete information: <https://www.itierdc.net>
- Procedure for the approval of the reports: https://drive.google.com/file/d/1MlcV3Q3IFI09_E3WzWRILGZWWKsvkpUp/view
- All the EITI DRC reports have been approved and published since the approval of PROMINES (2011-2016): https://www.itierdc.net/rapport-itie_2018/

(B) PROJECT ACCOUNTABILITY PLATFORM

B.1. Establishment of the platform for the follow-up and the participative dialogue

- Establishment of the platform for the follow-up and the participative dialogue by the Decree 14/005, of February 19, 2014: <http://extwprlegs1.fao.org/docs/pdf/cng140367.pdf>
- Organization of the two first meetings of coordination and a plenary session on March 13–14 2018 that has adopted the regulations of the Platform and the ToRs for the recruitment of the secretary
- Minutes of the first Coordination Committee meeting held on July 9, 2014
- Documents on diverse meeting of the Coordination Committee in 2015 and 2016
- Working program of the platform
- ToR of the organization of the plenary session in Kinshasa on March 13–14, 2018
- Contract to support the activities of the platform plenary session on March 13–14, 2018
- Minutes and list of participants in the plenary session held on March 13–14 2018
- Pictures of the plenary session and the advertisement of the plenary session of the PSDP
- Internal regulation of the PSDP



B.2. Thematic Group Mines-Oil-Electricity

- List of the meetings of the thematic group (2015–2018)

3. Increase in private investments in the mineral sector (aggregate percentage increase in private investments from the mineral sector)

Target: 15

Evidence:

- List of the mining sector private investments (taken from the consultative report produced for the project by consulting Cauditec, on the privileged fiscal regime for mining sector imports).

4. Fiscal revenues from the mining sector

Target: US\$1,300 million

Evidences:

- Excel with the data on the mining sector revenues in 2018 published by the Ministry of Finances

5. Working and living conditions of artisanal and industrial mining communities in project areas

Target: Information management tools in place in government institutions to monitor working and living conditions of artisanal and industrial mining communities

Evidences:

(A) REGULATION

- Decree 17/009, of April 4, 2017, establishing SAEMAPE

(B) ACTIVITIES

- Note on the support to mining cooperatives
- Note on the registration of artisanal miners
- Note on the traceability system
- ToRs on the support to mining cooperatives
- ToRs on the register of artisanal miners



- ToRs on the traceability system
- Database of mining sites and mineral collected: www.saesscam.cd/SAESSCAM/Map/V4d/#-0.03295898255728466/27.158203125/6/terrain,1,4,5/1,2,3,4,6,7,8,50less,50plus,500plus/

(C) SOCIAL ACTIVITIES OF THE PROJECT IN PILOT REA (KOLWEZ, SOUTH KIWU)

- Aide Memoire of the safeguards team of the project on the situation of women and children in the pilot areas
- Contract with World Vision protection and participation of women in South Kivu
- Report of World Vision on the protection and participation of women in South Kivu
- Report of Hearthland Alliance on the separation of children of the Mines in Pilot area in Kolwezi

B) INTERMEDIATE INDICATORS (14)

1. Topographic base map (MGCP) in the designated areas

Target: Six (6)

Evidences:

- *Contract with Groupement GAF, AG, and TELESPAZIO (production de cartographie Topographique -Géo-database sur 4 cellules basiques)*
- *Contract with Groupement GAF, AG, and TELESPAZIO (production de cartographie Topographique -Géo-database sur 6 cellules basiques)*
- *Avenants 1, 2, 3 and 4 with Groupement GAF, AG, and TELESPAZIO*

(A) QUALITY CONTROL CONTRACTS AND REPORTS

- CSmT 041.004/2017 - Gyula Szabolcs FEKETE: Contrôle de Qualité des données sur 3 des 6 Cellules de la cartographie Topographie - MGCP en plus de la qualité des produits imageries (anaglyphes et composition colorées/multispectral) - [Volet A-1];
- CSmT 041.005/2017 - Pablo AMADO MONTERO: Contrôle de Qualité des données sur 3 des 6 Cellules de la cartographie Topographie - MGCP en plus de la qualité des produits imageries (anaglyphes et composition colorées/multispectral) - [Volet A-1];
- CSmT 041.038 - Gyula FEKETE: Contrôle de Qualité des données sur Deux (2) des 4 cellules de la Cartographie Topographique - MGCP en plus de la qualité des produits imagerie (anaglyphes et composition colorées/ multi spectral) – [volet A-1];



2. Number of potential target areas with geological information available

Target: Six (6)

Evidences:

(A) CONTRACTS WITH GEOLOGICAL WORKS FIRMS

- Contract with Groupement IGS-PWG and NRG (*Campagnes Géophysiques*)
- Contract with Groupement BRGM, IGS, and GEOCOFF (*Études regionals sur trois areas cibles*)(Nord Katanda, Dud Katanga, et Equateur Ouest)
- Contract with BRGM (*Schema de données*)
- Avenants 1, 2, and 3 with Groupement IGS-PWG and NRG
- Avenat 1 and 2 with BRGM

(B) QUALITY CONTROL CONTRACTS AND REPORTS

- CSmT 041.006/2017 - Marc MUNSCHY: Contrôle de Qualité des données sur la Campagne géophysique aéroportée sur 6 sites (ZRG) en incluant une interprétation préliminaire des données et produits générés - [Volet A-3]
- CSmT 041.012/2017 - Marco KOMAC: Contrôle de Qualité des données sur les études régionales sur 3 Zones cibles (Zones Nord Katanga, Sud Katanga, Équateur Ouest) totalisant approximativement 6 degrés carré - [Volet A-4]
- CSmT 041.014/2017 - Uroš HERLEC: Contrôle de Qualité des données sur les études régionales sur 3 Zones cibles (Zones Nord Katanga, Sud Katanga, Équateur Ouest) totalisant approximativement 6 degrés carré - [Volet A-4]
- CSmT 041.015/2017 - Matevz Uroš PAVLIC: Contrôle de Qualité des données sur les études régionales sur 3 Zones cibles (Zones Nord Katanga, Sud Katanga, Équateur Ouest) totalisant approximativement 6 degrés carré - [Volet A-4]
- *CSmT 041.011 - Fernando PEREZ CERDAN: Contrôle de Qualité des données sur la définition d'un schéma des données géoscientifiques et la révision ou amélioration de la Banque Nationale des Données Géoscientifiques (BNDG) - [Volet A-2].

3. Operationalization of the NGS

Target: NGS established and fully functioning

Evidences:



- Report BRGM on the organization and business model for the NGS (2015)
- *Décret 17/006, du 4 décembre 2017, portant création, organisation et fonctionnement du Service Géologique National du Congo*
- Design of the new building for the NGS (2018)
- EIES of the NGS new building (2018)
- Matrix of the program of the training of the 'homologues' to prepare the staff of the NGS (2018)
- Report on the implementation of the training of the 'homologues' (2018)
- Report on the design of the building for the NGS and schedule and chronogram for the second phase (2018)
- Report of the Mission to Morocco NGS (June 2018)
- Report of the Mission to Burkina Fasso NGS (October 2018)
- Report of the Mission to Tanzania NGS (November 2018)

4. Improve communication and information flow within the sector including consultations with civil society

Target: Ministry communicates regularly and professionally with all relevant stakeholders

Evidences:

- Documents on PSDP (mentioned in PDO Indicator 2)
- Regular meetings of the thematic group (mines, hydrocarbons, electricity) (mentioned in PDO Indicator 2)
- Participation of stakeholders in all the conferences and workshops on the mining sector and the mining week in DRC

5. Incorporation of key stakeholder perspectives (government, civil society and private sector) into the Mining Code revision process

Target: New Mining Code adopted and disseminated in at least 25 communities per project target province

Evidences:

- Official Text of Reformed Mining Code, approved on March 9, 2018



- Official Text of the Règlement (Secondary Regulation) of the Mining Code, approved on June 2018 (Règlement code minier Décret 18/24 du 8 juin 2018)
- Reports of PROMINES on participation in the preparation of the new Mining Code
- Facture for the publication of copies of the Mining Code and '*Règlement Minier*' to be distributed
- List of localities where the Mining Code copies have been distributed

6. Number of CAMI provincial offices covered by the online cadaster system

Target: 5 offices fully functioning with the online cadaster system (Kinshasa, Lubumbashi, Bukavu, Kindu and Kisangani)

Evidence:

- Report of the CAMI on the 5 offices fully functioning with the online cadaster system (Kinshasa, Lubumbashi, Bukavu, Kindu, and Kisangani)

7. Capacity and performance of SAESSCAM (Government Service to Support Artisanal Miners)

Target: ASM strategy improved to provide services to artisanal miners. Database in place and populated.

Evidences:

- Strategic Plan of SAESSCAM
- Action Plan du SAESSCAM
- Annual Reports SAESSCAMM 2015 AND 2016
- Décret 17/009 du 4 avril 2017 créant SEAMAPE
- Note on the support to mining cooperatives
- Note on the registration of artisanal miners
- Note on the traceability system
- ToRs on the support to mining cooperatives
- ToRs on the registration of artisanal miners
- ToRs on the traceability system



- Database of mining sites and mineral collected: www.saesscam.cd/SAESSCAM/Map/V4d/#-0.03295898255728466/27.158203125/6/terrain,1,4,5/1,2,3,4,6,7,8,50less,50plus,500plus/

8. Optimization of human resources in the Ministry of Mines and its specialised agencies

Target: Appropriation of the HR optimization plan by the Government

Evidences:

(A) INSTITUTIONAL REFORMS

A.1. Core Administration of the Ministry of Mines: *Secrétariat Général*

- New description of posts (*Référentiel*)
- New identification of required skills (*Bilan de Compétences*)

A.2. CTCPM

- New description of posts (*Référentiel*)
- New identification of required skills (*Bilan de Compétences*)

A.3. Inspection Generale des Mines (new structure)

- New description of posts (*Référentiel*)
- New identification of required skills (*Bilan de Compétences*)

(B) REASSIGNMENT OF HR

Approval of the 'Commissions d'affectation' from the Ministry of Mines on the reassignment of staff

(C) MANAGEMENT IMPROVEMENTS (THROUGH CONSULTATIVE SERVICES)

- HR identification and distribution (consultative service)
- Soft for the HR management (User's Manual)

D) CAPACITY BUILDING CONTINUOUS TRAINING STRATEGY

- Establishment of the continuous training committee
- First program of continuous training
- Three follow-up reports on the implementation and evaluation of the three phases of the continuous training programm



- Final report of the continuous training program

(E) QUALITY CONTROL OF THE REFORM

- Contract of consultant for quality control
- Reports of quality control

(F) RETIREMENT OF STAFF

Lists prepared between the Ministry of Mines and the Ministry of Civil Service identifying all staff to be retired and the pensions

9. Established systems for the registration of artisanal miners

Target: Registration system in place and functioning in the designated provinces

Evidences:

- Note on the registration of artisanal miners
- ToRs on the registration of artisanal miners
- Report SAEMAPE 2015
- Report SAEMAPE 2016
- *Table Evolution de l'Effectif des Exploitants Miniers Artisanaux*
- Table comparaison SAESSCAM-DDI
- Database of mining sites and mineral collected: www.saesscam.cd/SAESSCAM/Map/V4d/#-0.03295898255728466/27.158203125/6/terrain,1,4,5/1,2,3,4,6,7,8,50less,50plus,500plus/

10. Improved implementation and extended coverage of traceability and certification systems in Eastern DRC and Katanga

Target: The traceability systems are operational in 4 mining provinces (Katanga, South Kivu, North Kivu, and Maniema)

Evidences:

- Number of places covered by ITSCI traceability system in the four provinces of Katanga, and three Western provinces of South Kivu, North Kivu and Maniema (748 in October 2018, t.b.c.): <https://www.pactworld.org/itsci/our-work> and (576 at the end of the third trimester 2018, confirmed in the four mentioned provinces): <https://www.itsci.org/purpose/#results>

11. Increase in number of mine sites covered by traceability systems



Target: 600

- Number of places covered by ITSCI traceability system in the four provinces of Katanga, and three Western provinces of South Kivu, North Kivu, and Maniema (748 sites in October 2018, t.b.c.): <https://www.pactworld.org/itsci/our-work> and (576 sites at the end of the 3rd trimester 2018, confirmed in the four mentioned provinces): <https://www.itsci.org/purpose/#results>

12. Improved understanding of major social and environmental impacts of mining sector in DRC and enhanced government capacity to manage these impacts

Target: Decision support system linked to environmental impact information is fully functioning

Evidences:

- Report Agence Congolaise de l'Environnement on the 'Etat de lieux de l'environnement en RDC'
- Preparatory study from Katanga and the two Kasai provinces (evaluation of the environmental passive in the mining sector)
- Social and Environmental Evaluation of the sector
- ToRs and bidding for a study about the suppression of the use of mercury in the artisanal mining

13. Support women's economic and social empowerment working in the mining sector

Target: Women in Mining network established and two activities for promoting women's participation in the sector achieved

Evidences:

- Statutes of RENAFEM
- Convention RENAFEM-PROMINES 2018
- Program 1st Conference on Women in the Mining Sector in DRC (2015)
- Program 2nd Conference on Women in the Mining Sector in DRC (2017)
- Final rapports of the 1st and 2nd conferences
- Pilot project in South Kivu to separate women from Mines

14. Number of viable artisanal mining zones for cooperative exploitation supported

Target: 3



Evidences:

- Contract PROMINES No 04 – 080/ 2018 Consultative service (TA) for the ‘ Zones d’ Intérêt Artisanale’(Zones of Artisanal Interest)
- Deliverable of technical assistance



2. CHANGES AND OUTCOMES IN THE PROMINES RESULTS FRAMEWORK

(A) PDO INDICATORS

Indicator Name in PAD	PDO Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring (November 2015)	Actual	Observations
Performance of key institutions in the minerals sector to enforce the legal and regulatory framework	No change	The existing framework is poorly enforced.	Improved framework effectively enforced	Revised framework submitted to Parliament, promulgated by the President, and published in the official journal	Reforms of the Ministry of Mines and its specialized agencies are complete	Fully achieved	The target as defined in the PAD was less precise and was also fully achieved.
Status of transparency and accountability mechanisms	No change	Very little availability of data. Debate largely dependent on NGO reports or poor-quality media reporting. Little informed public debate.	Dissemination and discussion of EITI reconciliation reports (national and provincial levels)	No change	Dissemination and discussion of EITI reconciliation reports (national and provincial levels). Multistakeholder platform for the extractive industries meeting at least biannually	Fully achieved	The target defined in the PAD was simpler and less ambitious than in the second restructuring and was also fully achieved.
Increase in private investments in the mineral sector (aggregate percentage increase in	No changes	23	30	15	As in first restructuring	Fully achieved	The target as defined in the PAD was also fully achieved.



Indicator Name in PAD	PDO Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring (November 2015)	Actual	Observations
private investments from the mineral sector)							
Fiscal revenues from the mining sector	No changes	75	300	No change	1,300	Fully achieved	The target defined in the PAD was less ambitious than in the second restructuring and was also fully achieved.
Working and living conditions of artisanal and industrial mining communities in project areas	No changes	Very limited availability of data. Reports on specific sites suggest that 20% of diggers in Kolwezi (Katanga) are children, 40% of people involved in ASM (including support activities) are women, and on average, copper	Detailed indicators, baseline, milestones and target will be established as part of project monitoring system (including household consumption in targeted mining communities).	No change	Information management tools in place in government institutions to monitor working and living conditions of artisanal and industrial mining communities	Partially achieved	The target defined in the PAD was more specific and was also only partially achieved.



Indicator Name in PAD	PDO Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring (November 2015)	Actual	Observations
		andcobalt diggers in Katanga earn US\$100–US\$120 per month. Detailed indicators, baseline, milestones, and targets will be established as part of project monitoring system ¹⁰ (including household consumption in targeted mining communities).					



(B) INTERMEDIATE INDICATORS

Indicator Name in PAD	Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring	Indicator Achievement
Nonexistent	<p>Created by the first restructuring as follows: revision of the Mining Code and development of mining regulations integrating all stakeholders' recommendations (government, civil society, and private sector)</p> <p>Deleted by the second restructuring</p>	Weak mining law and implementation (Mining Code and regulation of mines) has marginal impact on the operations of the sector.	Nonexistent	Dissemination of Mining Code at the national and provincial levels with a particular focus on mining provinces	Marked for deletion	The target was fully achieved. Below, there is a new indicator about the Mining Code also fully achieved.
Production of EITI reconciliation reports for increased transparency of mining sector	<p>Modified in the first restructuring as follows: improved revenue transparency in mining sector</p> <p>Deleted by the second restructuring</p>	Government and mining sector companies provide necessary information for cobalt and copper for EITI reconciliation report for FY2008 and FY2009, that is, production of first	Government and mining sector companies provide necessary information for cobalt, copper, and on other resources for EITI reconciliation report for FY2013. Recommendations	Reports issued throughout life of project	Marked for deletion	These targets were fully achieved.



Indicator Name in PAD	Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring	Indicator Achievement
		EITI report for DRC	from previous reports acted upon.			
The geodesic network	Deleted by the second restructuring	35 reference points	Geodesic network covers the whole country with adequate density	No change	Marked for deletion	Activity suspended; not achieved
Nonexistent	Topographic base map (MGCP) in the designated areas (created in second restructuring)	0.00	Nonexistent	Nonexistent	6.00	Fully achieved
Availability of geological information for the country	Deleted by the second restructuring	Existing data scattered and incomplete	Database publicly accessible and range of maps produced.	No change	Marked for deletion	Partially achieved (the PAD only required regional surveys in key areas with minerals potential).
Nonexistent	Created by the first restructuring as follows: number of potential target areas with geological information available	0.00	Nonexistent	Nonexistent	6.00	Fully achieved
Communication and information flow within the sector including	Modified in second restructuring as follows: improve communication and	Ministry's communications with stakeholders in the Government, the	Ministry communicates regularly and professionally with	No change	No change	Fully achieved; there is only a minor change in the name of the



Indicator Name in PAD	Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring	Indicator Achievement
consultations with civil society	information flow within the sector including consultations with civil society	private sector, and civil society unplanned and ad hoc which hampers the development of a coherent vision for the future of the sector	all relevant stakeholders			indicator to describe it more accurately.
Nonexistent	Operationalization of the National Geological Survey	<i>Centre de Recherche Geologie Miniere</i> exists but not under the responsibility of the Ministry of Mines	Nonexistent	Nonexistent	NGS established and fully functioning	Partially achieved
Nonexistent	Created by the first restructuring as follows: the revision of the Mining Code incorporates the key stakeholder perspectives (government, civil society, and private sector) (indicator not in the original PAD) Modified in the second restructuring as	Weak mining law and implementation (Mining Code and regulation of mines) has marginal impact on the operations of the sector	Nonexistent	New Mining Code adopted and disseminated in at least 25 communities per project target province	No change	Fully achieved; minor modification the indicator



Indicator Name in PAD	Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring	Indicator Achievement
	follows: incorporation of key stakeholder perspectives (government, civil society, and private sector) into the Mining Code revision process					
Presence and capacity of CAMI (Mining Titles Registry)	Modified by the first restructuring as follows: improved effectiveness and efficiency of CAMI (Mining Titles Registry) in key mining provinces Modified in the second restructuring as follows: number of CAMI provincial offices covered by the online cadastre system	No functional CAMI operations at the provincial level Modified by the second restructuring as follows: no CAMI offices have an online cadastre system	Fully functioning CAMI operations at the national level and in target provinces	Fully functioning CAMI operations at the national level and in Maniema, Orientale, and Katanga provinces	5 offices fully functioning with the online cadastre system.	Fully achieved; the successive changes in the definition and the target addressed to make the indicator and its target more accurate and ambitious.
Capacity and performance of SAESSCAM (Government)	No change	PAD target: SAESSCAM presence and capacity weak and not fulfilling its	National Plan fully implemented, SAESSCAM reformed and	ASM strategy improved to provide services to artisanal miners.	ASM strategy improved to provide services to artisanal miners.	Fully achieved; progressive refining of the baseline and target



Indicator Name in PAD	Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring	Indicator Achievement
Service to Support Artisanal Miners)		remit to provide support services to artisanal miners Modified by second restructuring as follows: ASM Strategy exists; however, not clear, coherent, or implementable	fulfilling its remit to provide support services to artisanal miners		Database in place and populated.	to adapt them to the evolution of the facts
Nonexistent	Created by the second restructuring as follows: optimization of human resources in the Ministry of Mines and its specialized agencies	40% of Ministry of Mines staff not on the payroll. Average age of mine engineers and geologists is 55 and 66, respectively.	Nonexistent	Nonexistent	Appropriation of the HR optimization plan by the Government	Fully achieved
Status of tax collection framework for mining sector	Deleted by the first restructuring	Multiple legal taxes not consistently applied; numerous additional 'unofficial' taxes also applied	Tax regime effectively and consistently applied in line with the law.	Marked for deletion	Nonexistent	Work well under way by IMF and GIZ. However, the World Bank also contributed through other projects and some relevant fiscal analyses financed by PROMINES.



Indicator Name in PAD	Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring	Indicator Achievement
Monitoring of social and environmental impacts of industrial mining activities involving the participation of local communities	Deleted by the first restructuring	Social and environmental impacts of mining activities not well understood and managed	Environmental management and community participation in mining sector improved	Marked for deletion	Nonexistent	Partially included in another new indicators
Nonexistent	Created by the first restructuring as follows: improved implementation and extended coverage of traceability and certification systems in Eastern DRC and Katanga	Systems in place but extent of reach limited to two provinces (Katanga and South Kivu)	Nonexistent	The traceability and certification systems are operational in 4 mining provinces (Katanga, South Kivu, North Kivu, and Maniema).	The traceability systems are operational in 4 mining provinces (Katanga, South Kivu, North Kivu, and Maniema).	Fully achieved; the second restructuring excluded from the target the certification systems, but there are only five months between the first and the second restructurings; therefore, there was no room to make the first target operational.
Formalization of artisanal mining	Modified by the first restructuring as follows: established systems for the registration of artisanal miners	Defined by PAD as follows: <ul style="list-style-type: none"> Poor conditions (economic, social, health and safety, security, and so on) in designated artisanal mining sites improved 	Conditions (economic, social, health and safety, security, and so on) in designated artisanal mining sites improved	ASM database fully functioning	Registration system in place and functioning in the designated provinces.	Partially achieved; progressive refining of the definition of the indicator and the target



Indicator Name in PAD	Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring	Indicator Achievement
		<p>on) in designated artisanal mining sites;</p> <ul style="list-style-type: none"> • Proportion of registered production for gold is between 2% and 10% in 2008 (various sources) • Limited registration done by artisanal miners. <p>Modified by the first restructuring as follows: 0 (zero)</p> <p>Modified by the second restructuring as follows: limited registration done by artisanal miners</p>	Proportion of officially registered ASM production increased by 15% over baseline in target provinces			
Nonexistent	Created by the second restructuring as follows: increase in number	0	Nonexistent	Nonexistent	600	Almost fully achieved (579 in October 2018)



Indicator Name in PAD	Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring	Indicator Achievement
	of mine sites covered by traceability systems					
M&E framework established	Deleted by the first restructuring	No M&E framework	Well-functioning M&E system delivering quality reports for all logframe indicators	Marked for deletion	Nonexistent	End target was fully achieved.
Availability of household economic data for mining areas	Deleted by the first restructuring	Nonexistent information	Repeat survey carried out. Data available after project end	Marked for deletion	Nonexistent	Partially achieved; incomplete data
Nonexistent	Created by the first restructuring as follows: Improved understanding of major social and environmental impacts of mining sector in DRC and enhanced government capacity to manage these impacts	Social and environmental impacts of mining activities not well understood and managed	Nonexistent	Environmental management and community participation in mining sector improved	Decision support system linked to environmental impact information is fully functioning	Partially achieved; the change in the target addressed to a more accurate and specific definition of the output
Nonexistent	Created by the first restructuring as follows: economic and social	Defined by the first restructuring as follows: no existing network	Nonexistent	Women in mining network established at the national level with	Women in Mining network established and 2 activities for	Fully achieved; the successive changes in the definition of indicator, baseline,



Indicator Name in PAD	Indicators Created, Deleted, or Modified by First or Second Restructuring	Baseline	End Target in PAD	End Target in First Restructuring (May 2015)	End Target in Second Restructuring	Indicator Achievement
	empowerment of women in the mining sector Modified by the second restructuring as follows: support women’s economic and social empowerment working in the mining sector	Modified by the second restructuring as follows: few outreach programs available to improve women’s standing in the mining sector		offices in 2 mining provinces	promoting women’s participation in the sector achieved.	and particularly the target look for more accurate and larger scope in the output.
Nonexistent	Created by the second restructuring as follows: number of viable artisanal mining zones for cooperative exploitation supported	0	Nonexistent	Nonexistent	3	Fully achieved