



**Ex-post Evaluation: *Human
Mobility Related to the Artisanal
Mining Sector: Comparative Case
Studies in Angola, Mozambique
and the Democratic Republic of
Congo (DRC)***

CE.0349

Final Report

March 2022

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Executive Summary

The following report is an ex-post evaluation of the project, CE.0349 “*Human Mobility Related to the Artisanal Mining Sector: Comparative Case Studies in Angola, Mozambique and the Democratic Republic of Congo (DRC)*”, managed by the IOM DRC Country Office (CO) and funded by the IOM Development Fund (“the Fund”) and carried out between December 2016 - 2018.

This ex-post evaluation was commissioned by the Fund and was carried out by Anita Leutgeb, Owl RE, research and evaluation consultancy, Geneva, from November 2021 to March 2022. The purpose of this evaluation was to assess the relevance and coherence of the project for the stakeholders and beneficiaries, the effectiveness and efficiency of project management and implementation, the expected impact, how well cross-cutting themes of human rights, and gender were mainstreamed in the project, and how sustainable the desired effects were or could be.

The evaluation was carried out remotely, using a desk review of available data and documents and key informant interviews with 9 project stakeholders.

Findings

The project was found to have mixed results, with problems related to both design and implementation. The aim to contribute to artisanal mining was relevant and compatible with other IOM activities. The focus on the linkage between artisanal mining, labour mobility, health, and environmental issues and the comparison between Angola, DRC, and Mozambique was distinct from similar studies. As the involvement of government stakeholders in the design phase (and in the case of Angola also during implementation) was limited it is unclear how relevant the project was to the participating governments. The project was not able to achieve all outputs, outcomes, and objectives as planned; implementation and reporting suffered from considerable delays.

The project had some short-term success in contributing to the creation of new partnerships, strengthening collaboration between stakeholders and an enhancing the knowledge of stakeholders on the livelihoods of artisanal miners, their health and socio-economic situation as well as migratory dynamics. Follow-up measures and monitoring of the implementation of recommendations, best practices, and lessons learned would have been required soon after project completion to increase the impact and make the results sustainable.

Relevance, (rating: Adequate – 2)

The relevance of the project was mixed. The aim of the project to contribute to responsible mining in the informal artisanal sector was relevant. The project was aligned with national priorities, strategies, and global commitments. As the involvement of government stakeholders in the design phase was limited it is unclear how relevant the project was to

the participating governments. The miners were interested in sharing their experience and the difficulties they face as they expected the study to result in livelihood improvements. The project design was appropriate but shows inconsistencies in formulation, vague terminology, or weak links between overall objective, outcomes, and outputs with indicators and targets. The project did not achieve all results as expected and interviewees still active on the ground described that most of the problems identified in the study are still persisting. The majority of interviewees considered the study focus on the linkage between artisanal mining, labour mobility, health, and environmental issues as the most relevant component.

Coherence, (rating: Good – 3)

The project was compatible with other IOM activities in the same or related fields of intervention. Other interventions in the field could not be identified by this evaluation.

Effectiveness, (rating: Adequate – 2)

The effectiveness was assessed as adequate. Based on the indicators/targets included in the RM the objective and one outcome were assessed as being partially achieved. The second outcome was not achieved. The comparative study report and national reports were successfully delivered. However, there is no indication that the content of the study, mainly the country-specific recommendations, best practices and lessons learned have been implemented by the participating governments.

Efficiency & Cost Effectiveness, (rating: Adequate – 2)

The project was rated as having adequate efficiency and cost effectiveness. The project was found to have used its available human and financial resources cost-effectively. 72% of the financial resources were spent. Underspensing has largely to do with the fact that several project activities were carried out only in DRC and Mozambique. Moreover, fewer resource mobilization meetings took place. Project management presented considerable inefficiencies with delays in implementation and reporting. A no cost extension of six months was requested and approved.

Impact, (rating: Adequate – 2)

The project was assessed as having an adequate impact. The evaluation identified short term impacts but no longer-term impacts. In the short to medium term, new partnerships were created and collaboration among stakeholders strengthened as well as an enhanced knowledge sharing between the participating stakeholders in the three project countries. However, the project also represented a lost opportunity which could have (potentially) been realized if it could have put together the joint proposal based on the study findings and if resource mobilization meetings would have taken place as originally envisaged. The longer-term impact will depend upon if the study continues to be used for future action planning and if a follow-up on the implementation of recommendations will be carried out.

Sustainability, (rating: Adequate – 2)

The sustainability of the project results was assessed as poor. The project was not designed specifically with measures to guarantee sustainability, such as a hand-over or follow-up action plan, study dissemination plan, etc. The evaluation did not find evidence on the use of the results by other projects, in particular the comparative study findings.

Conclusions and recommendations

The project set out to contribute to responsible mining in the informal AM sector in Angola, Mozambique, and the DRC. The project specifically wanted to achieve that governments initiate processes for implementing the study recommendations for developing the concept of artisanal labour migration programming. Within the scope of this evaluation, it was not possible to systematically track if, by now, progress has been made in the implementation of recommendations included in the comparative study produced. However, all indications are that there has been little follow-up or progress.

The project managed to achieve some key outputs/outcomes but suffered from some inefficiencies in project management and sustainability. The project contributed to several short-term results. It contributed, for example, to increase collaboration and cooperation among several IOM Missions and researchers in the three participating countries and it provided evidence for the multiple livelihoods and security challenges artisanal miners in the three countries face. The study, therefore, still has the potential to guide development actions for artisanal miners.

Following are conclusions and recommendations drawn from the detailed findings presented in the previous sections:

A. Project Design

The project design phase is crucial for the success of a project. It is important to assess the “potential for success of the project idea” and involve external stakeholders from the beginning. In this project external stakeholders were consulted little in the project design (i.e., level 1 or 2 of the Stakeholder Participation Matrix, Tool 1.4., p. 21 of the IOM Project Handbook). Moreover, some more attention should have been paid to the development of the results matrix with SMART indicators and with a column “sources and means of verification” added. In the project description there should have been included a more explicit description of how the cross-cutting issue gender and human rights will be addressed, and sustainability measures specified more concretely, in particular follow-up to monitor the implementation of study recommendations. The AM project was a “stand-alone” project with little or no links to existing programming approaches within the three countries. Therefore, it was not able to be integrated within an overall programming approach, which was partially why it had little impact or sustainability.

Recommendations (priority level: 3-low – to be completed by 1 February 2023):

For IOM DRC for future similar projects designed and implemented in the next year (and then integrated within good project practices for consequent years):

- Ensure that proposed projects are linked or integrated within existing programming priorities of the COs concerned.
- Ensure that a solid needs assessment based on a broad stakeholder consultation is undertaken in the project identification/design phase ensuring project relevancy and increasing ownership. The preparation of a formal stakeholder participation matrix could help the process.¹
- Ensure that indicators and targets are correctly formulated and are coherent with the result they want to measure. The RM needs to include a column of sources and means of verification.
- Ensure that follow-up and sustainability measures are included in the project design. For example, measures to promote and track the use of the study and the implementation of recommendations.
- Include a more detailed description of how the principles of human rights, a rights-based approach and gender is considered throughout the project.²

B. Project management

Project delivery and reporting were late for several reasons:

- Delays in the launch and implementation of several activities,
- The PM left before the delivery of the final report and the new CoM was not familiar with the project.

Recommendations (priority level: 3-low – to be completed by 1 February 2023):

For IOM DRC for future similar projects designed and implemented in the next year (and then integrated within good project practices for consequent years):

- A proper hand-over process should be planned when key staff such as the PM leaves before the end of the project. This is crucial to keep and transmit knowledge and avoid delays when one person leaves.
- Carefully monitor project implementation, including assumptions and risks, and take timely measures to avoid delays or deviance from the plan.
- Ensure that reporting is carried out on time and information concerning budget changes (e.g., concerning underspending) is documented and remains accessible also after the project ends to staff not directly involved and to evaluators.

¹ See IOM Project Handbook, p. 21.

² See IOM Project Handbook, p. 38-44.

Points identified requiring an institutional response

For the donor (IOM Development Fund):

- It is suggested that the narrative description of the project documents (proposal and reports) should include a specific section that describes how both cross-cutting issues, gender mainstreaming and human rights, will and are being addressed.
- Funded projects should have a sustainability and follow-up plan as part of the final report which already includes financial and human resources to implement the plan.

Lessons identified

The following lessons were identified that could be of use for future similar projects:

- It is important to plan sustainability and knowledge management from the outset as it does not happen by itself.
- Projects that do not consider and integrate time for phasing out and follow-up assessment reduce the potential to learn, hand-over, and build ownership.
- Challenges artisanal miners face are multifaceted and intersectional and require collaboration between a broad range of stakeholders (including miners themselves) but each country has its own specificities that need to be taken into consideration.

Glossary of Terms

| | |
|---------|--|
| AM | Artisanal Mining |
| CO | Country Office |
| CoM | Chief of Mission |
| CSO | Civil Society Organization |
| DRD | Donors Relations and Resources Mobilization Division |
| DRC | Democratic Republic of Congo |
| FP | Focal Point |
| GIZ | <i>Gesellschaft für Internationale Zusammenarbeit</i> |
| HQ | Headquarter |
| IOM | International Organization for Migration |
| MiGOF | Migration Governance Framework |
| NCE | No-Cost Extension |
| PM | Project Manager |
| RM | Results Matrix |
| RO | Regional Office |
| SAEMAPE | <i>Service d'assistance et d'encadrement des mines artisanales et de petit echelle</i> |
| TWG | Technical Working Group |
| USAID | United States Agency for International Development |

1. Introduction

The following report is an ex-post evaluation of the project, CE.0349 “*Human Mobility Related to the Artisanal Mining Sector: Comparative Case Studies in Angola, Mozambique and the Democratic Republic of Congo (DRC)*”, managed by the IOM DRC Country Office (CO) and funded by the IOM Development Fund (“the Fund”) and carried out between December 2016 - 2018.

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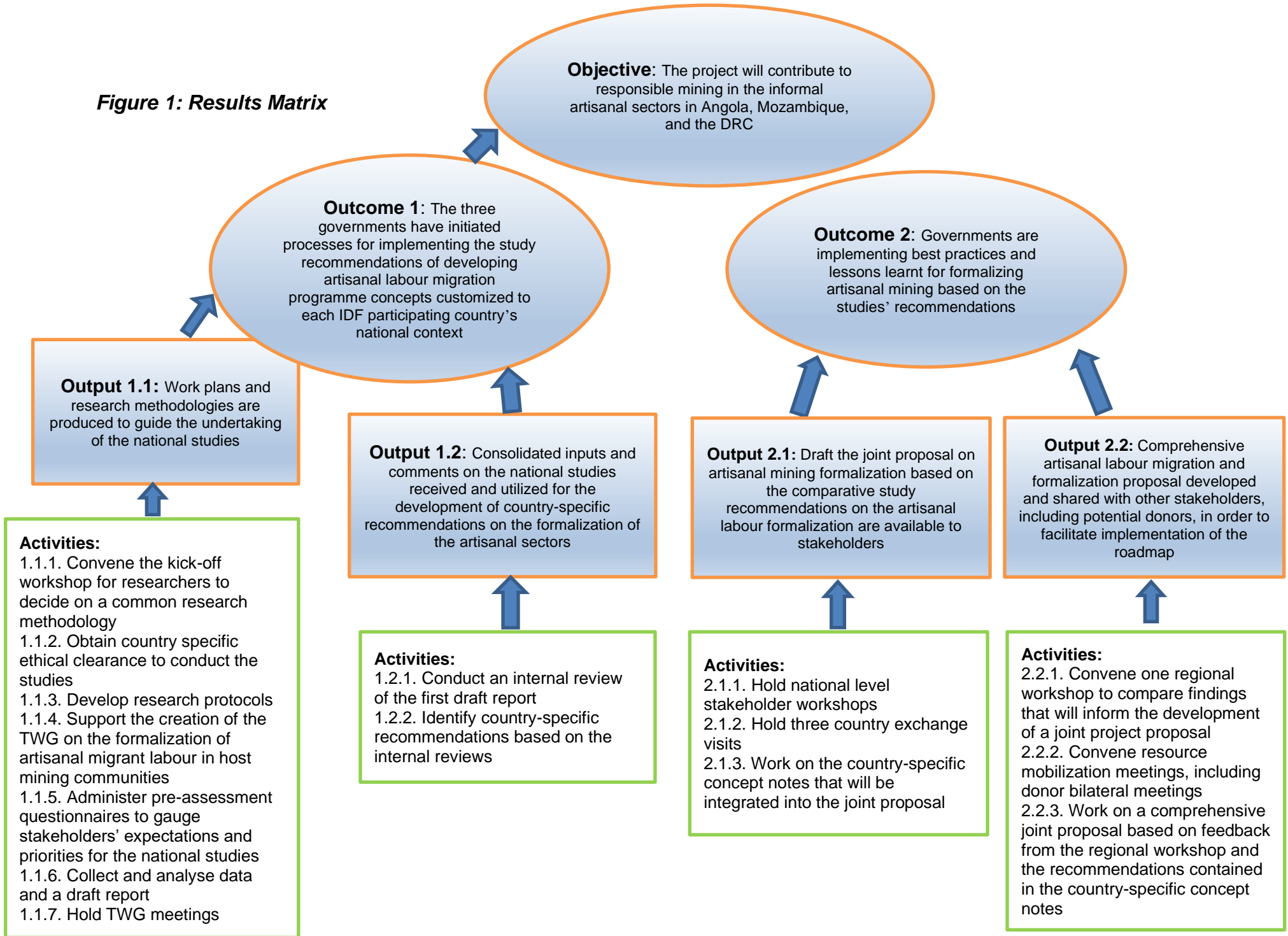
2. Context of the evaluation

Financed by the Fund, this project aimed to undertake studies to provide a comparative perspective of the trends and potential of migration flows in the informal artisanal mining sectors of Angola, Mozambique, and the DRC. It aimed to assess how lessons learnt can contribute to responsible mining in the targeted region.

The project linked artisanal mining with migration, explored and compared the situation in DRC, Angola, and Mozambique. It identified three broad areas to focus on: 1) International and internal migration, 2) New livelihoods and economies of artisanal mining, and 3) Governance and formalization of artisanal mining.

The Results Matrix (RM) is reproduced below to illustrate the intervention logic foreseen for the project as outlined in the project proposal document.

Figure 1: Results Matrix



3. Evaluation purpose and objectives

3.1. Purpose and objectives

The purpose of conducting this ex-post evaluation is to assess the relevance of the project to its stakeholders and beneficiaries, coherence, the effectiveness and efficiency of project management and implementation, the expected impact, how well were cross-cutting themes of human rights and gender mainstreamed in the project, and if the desired effects are sustainable, and/or have the prospects of sustainability, (following the DAC evaluation criteria³).

The evaluation aims to promote transparency and accountability which will, in turn, assist the Fund in its decision-making and to better equip staff to make judgments about the project and to improve effectiveness where possible and with regard to future project funding. Concerning the expected use of findings, the ex-post evaluation aims to also identify lessons learned, good practices, and provide a learning opportunity for the Fund and its implementing partners with regard to the project formulation process. The findings will also help make evidence-based strategic decisions in relation to specific projects, while also demonstrating the Fund's on-going commitment to results based management.

The primary objectives of the evaluation are to:

- (a) Assess the relevance of the project's intended results;
- (b) Assess the relevance of the Theory of Change and design of the results matrix and the extent to which the objective, outcomes and outputs are well formulated; the indicators were SMART and baseline and targets appropriate;
- (c) Assess the coherence of the project with IOM's activities and other interventions in the sector;
- (d) Assess the extent to which the needs of stakeholders and beneficiaries were taken into account during project design and if the project is aligned with national priorities and strategies, government policies and global commitments;
- (e) Assess the effectiveness of the project in reaching their stated objectives and results, as well as in addressing cross-cutting issues such as gender, human-rights based approach;
- (f) Assess the efficiency and cost-effectiveness of project implementation, along with regular progress monitoring of project resources and if the costs were proportional to the results achieved;
- (g) Assess the impact prospects and outcomes to determine the entire range of effects of the project (or potential effects) and assess the extent to which the project have been successful in producing expected change;

³ Organisation for Economic Co-operation and Development – Development Assistance Committee, 'Evaluation of development programmes, DAC Criteria for Evaluating Development Assistance', web page, OECD. See <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>.

- (h) Assess the sustainability of the project's results and benefits (or measures taken to guarantee it) or prospects for sustainability, and if these benefits generated by the project still continued once external support ceased;
- (i) Assess how effectively issues of gender equality and human rights protection were mainstreamed in the process of project design and during project implementation;
- (j) Identify lessons learned and best practices in order to make recommendations for future similar projects and help the Fund in its decision-making about future project funding.

These objectives are operationalised in a series of evaluation questions and indicators (see section 3.3 below).

The findings, recommendations and lessons learned from this evaluation are to be used by IOM Angola, DRC, and Mozambique, all IOM units implementing IOM Development Fund projects and the Fund, as described in the following table.

Table 1: Intended uses and users of this evaluation

| Intended Users | Intended Uses |
|--|--|
| IOM Angola IOM DRC IOM Mozambique | To improve identification of countries' needs and alignment of IOM's interventions with national, regional and global development agenda; To improve identification of and alignment of IOM's interventions with national, regional, and global development and migration agenda. To improve efficiency and effectiveness of future project implementation. To demonstrate accountability of project implementation and use of resources. To identify specific follow-up actions/initiatives and project development ideas. To document lessons learned and best practices. |
| All IOM units implementing IOM Development Fund projects | To improve efficiency and effectiveness of current and future Fund-funded projects |
| IOM Development Fund | To assess value for money. To use the findings and conclusions in consideration of future project funding approval. |

3.2. Evaluation scope

The evaluation covered the full project period from 5th December 2016 to 4th December 2018. This period includes a six-months no cost extension (NCE) approved by the Fund. Partners and stakeholders interviewed were chosen based on the extent of their involvement in the project and availability and were identified in collaboration with the IOM Program Support Unit in DRC and with the former project focal point at IOM Mozambique. The terms of reference/inception report for the evaluation can be found at annex 1. The list of interviewees can be found in annex 2 and the main documents consulted are listed in annex 3.

3.3. Evaluation criteria

The evaluation focused on the following six main evaluation criteria, based on the OECD/DAC guidelines: relevance, coherence, effectiveness, efficiency, impact, and sustainability. Gender and human rights were also mainstreamed where pertinent. In response to the evaluation purpose and scope, the evaluation focused on 21 out of the 25 evaluation questions found in the evaluation matrix (as outlined in the Inception Report found in annex 1). Responses to cross-cutting questions were integrated across the findings where possible.

4. Evaluation methodology

The evaluator used a participatory and mixed methods approach, involving and consulting with the relevant stakeholders as much as possible, integrating this approach into the methodology as feasible. Data was collected from a number of different sources in order to cross validate evaluation findings.

Data sources and collection

Two data collection methods were employed to ensure reliability of data:

- 1) Desk review of available data and documents (see annex 3);
- 2) Key informant interviews conducted with IOM and external stakeholders involved in the project.

4.1. Data sampling

A sample of 9 stakeholders involved in the project were interviewed remotely. The stakeholders included:

3 IOM staff:

- 1 IOM CO Mozambique (former programme officer),
- 1 IOM CO Angola (former focal point),
- 1 IOM CO DRC (former focal point)

6 external interviewees:

- 4 researchers,
- 1 Provincial government staff, DRC
- 1 government staff, Mozambique, Ministry of Health

In addition to the interviews, email exchanges were conducted with the current IOM Chief of Mission (CoM) in DRC and with the Programme Support Unit Coordinator on a few questions.

(See annex 2 for the complete list of persons interviewed).

4.2. Data Analysis

Quantitative and qualitative approaches were used to analyse findings from the document review and interviews. This approach was also used to assess the achievements of the results matrix and accompanying project documentation. Whenever possible, triangulation (reviewing two or more sources of data) was used to corroborate findings, substantiate findings and to underline any weaknesses in the evidence. For each evaluation criteria a rating was determined based on the following scale:

Table 2: Evaluation criteria and scaling

| Evaluation Criteria Scaling | | Explanation | Supporting evidence |
|-----------------------------|--|--|--|
| 5 | Excellent (Always) | There is an evidence of strong contribution and/or contributions exceeding the level expected by the intervention. | <i>Supporting evidence will be detailed for each rating given.</i> |
| 4 | Very good (Almost always) | There is an evidence of good contribution but with some areas for improvement remaining. | |
| 3 | Good (Mostly, with some exceptions) | There is an evidence of satisfactory contribution but requirement for continued improvement. | |
| 2 | Adequate (Sometimes, with many exceptions) | There is an evidence of some contribution but significant improvement required. | |
| 1 | Poor (Never or occasionally with clear weaknesses) | There is low or no observable contribution. | |

4.3. Limitations and proposed mitigation strategies

In total, 4 limitations and challenges were identified for the evaluation and detailed in the Inception Report. The following table describes these limitations and how they were addressed.

Table 3: Limitations and challenges

| No. | Limitation | How these limitations were addressed |
|-----|--|--|
| 1 | Timing: The timing of the evaluation during the Covid19 pandemic response will likely impact on the availability of IOM staff and project stakeholders/ | Within a period of eight-weeks the evaluator repeatedly invited stakeholders to participate in the evaluation, but the response rate remained rather low, especially from government stakeholders. The timing of one month before Christmas could have |

| | | |
|---|--|--|
| | beneficiaries, and/or extend the time that will take to respond to the evaluation request and provide inputs. | had an influence. In addition, the support from the involved IOM COs in sending invitation letters to potential interviewees was less than expected. Therefore, there is a larger focus in this evaluation on the available project documentation than on interviews. |
| 2 | General problem of insufficient data or insufficient representative data collected, owing to poor response rate from interviewees. | Collection of data was problematic for the evaluation. There was little responsiveness to participate in the evaluation. Reasons to mention are staff changes in the government institutions and at IOM, connection problems and conflict (mainly in DRC and Northern Mozambique), maybe timing of the evaluation before/during seasonal holidays, as well as a “remote interview fatigue”. Because of the low number of interviewees (in Angola for example it was only possible to talk to the former IOM focal point), the evaluation had to focus on the document review supplemented by the available information provided by interviewees. |
| 3 | Objective feedback from interviewees – they may be reticent to reveal the factors that motivate them or any problems they are experiencing or being transparent about their motivation or about internal processes. | This did not materialize as a major obstacle; all discussions were transparent and open. Interviews were conducted by the evaluator alone. In one case interview answers were provided in a written format and in another case the interview situation was rather difficult with continuous power breaks. |
| 4 | General bias in the application of causality analysis. | This did not pose a major limitation to the findings as a general consensus was found on the majority of findings. |

5. Findings

The project was found to have mixed results, with problems related to both design and implementation. The aim to contribute to artisanal mining was relevant and compatible with other IOM activities. The focus on the linkage between artisanal mining, labour mobility, health, and environmental issues and the comparison between Angola, DRC, and Mozambique was distinct from similar studies. As the involvement of government stakeholders in the design phase (and in the case of Angola also during implementation) was limited it is unclear how relevant the project was to the participating governments. The project was not able to achieve all outputs, outcomes, and objectives as planned; implementation and reporting suffered from considerable delays.

The project had some short-term success in contributing to the creation of new partnerships, strengthening collaboration between stakeholders and enhancing the knowledge of stakeholders on the livelihoods of artisanal miners, their health and socio-economic situation as well as migratory dynamics. Follow-up measures and monitoring of the implementation of recommendations, best practices, and lessons learned would have

been required soon after project completion to increase the impact and make the results sustainable.

The table below summarizes the findings and provides a rating for each evaluation criteria:

Table 4: Summary evaluation findings per criteria

| Evaluation criteria and rating | Explanation | Supporting evidence |
|--|--|---------------------------------|
| Relevance 2 – adequate | The relevance of the project was mixed. The aim of the project to contribute to responsible mining in the informal artisanal sector was relevant. The project was aligned with national priorities, strategies, and global commitments. As the involvement of government stakeholders in the design phase was limited it is unclear how relevant the project was to the participating governments. The miners were interested in sharing their experience and the difficulties they face as they expected the study to result in livelihood improvements. The project design was appropriate but shows inconsistencies in formulation, vague terminology, or weak links between overall objective, outcomes, and outputs with indicators and targets. The project did not achieve all results as expected and interviewees still active on the ground described that most of the problems identified in the study are still persisting. The majority of interviewees considered the study focus on the linkage between artisanal mining, labour mobility, health, and environmental issues as the most relevant component. | Interviewees Document review |
| Coherence 3 –good | The project was compatible with other IOM activities in the same or related fields of intervention. Other interventions in the field could not be identified by this evaluation. | Interviewees Document review |
| Effectiveness 2- adequate | The effectiveness was assessed as adequate. Based on the indicators/targets included in the RM the objective and one outcome were assessed as being partially achieved. The second outcome was not achieved. The comparative study report and national reports were successfully delivered. However, there is no indication that the content of the study, mainly the country-specific recommendations, best practices and lessons learned have been implemented by the participating governments. | Interviewees Document review |
| Efficiency and cost effectiveness 2- adequate | The project was rated as having adequate efficiency and cost effectiveness. The project was found to have used its available human and financial resources cost-effectively. 72% of the | Interviewees Document review |

| | | |
|-----------------------------------|---|---------------------------------|
| | financial resources were spent. Underspending has largely to do with the fact that several project activities were carried out only in DRC and Mozambique. Moreover, fewer resource mobilization meetings took place. Project management presented considerable inefficiencies with delays in implementation and reporting. A no cost extension of six months was requested and approved. | |
| Impact 2- Adequate | The project was assessed as having an adequate impact. The evaluation identified short term impacts but no longer-term impacts. In the short to medium term, new partnerships were created and collaboration among stakeholders strengthened as well as an enhanced knowledge sharing between the participating stakeholders in the three project countries. However, the project also represented a lost opportunity which could have (potentially) been realized if it could have put together the joint proposal based on the study findings and if resource mobilization meetings would have taken place as originally envisaged. The longer-term impact will depend upon if the study continues to be used for future action planning and if a follow-up on the implementation of recommendations will be carried out. | Interviewees Document review |
| Sustainability 1- Poor | The sustainability of the project results was assessed as poor. The project was not designed specifically with measures to guarantee sustainability, such as a hand-over or follow-up action plan, study dissemination plan, etc. The evaluation did not find evidence on the use of the results by other projects, in particular the comparative study findings. | Interviewees Document review |

Relevance – 2 – Adequate

The relevance of the project was mixed. The aim of the project to contribute to responsible mining in the informal artisanal sector was relevant. The project was aligned with national priorities, strategies and global commitments. However, as the involvement of external stakeholders in the design phase was limited it is unclear how relevant the project was to the participating governments. The miners were interested in sharing their experience and the difficulties they face as they expected the study to result in livelihood improvements. The project design was appropriate but shows inconsistencies in formulation, vague terminology, or weak links between overall objective, outcomes, and outputs with indicators and targets. The project did not achieve all results as expected and interviewees still active on the ground described that most of the problems identified in the study are still persistent. The majority of interviewees considered the study focus on the linkage between artisanal mining, labour mobility, health, and environmental issues as the most relevant component.

1. **To what extent is the project aligned with national priorities and strategies, government policies and global commitments?**

Finding: The evaluation found a good alignment of the project with national priorities and strategies, with the Migration Policy Framework for Africa and Plan of Action (2018-2030) of the African Union and with the SDG targets 10.7. and 8.8 that refer to labour migration, mobility, and protection.

According to IOM, consultants and documentation, the project was well aligned with national priorities to promote the legalization of the artisanal mining (AM) sector as the governments in the project countries were at the stage of promoting the organisation of artisanal mining associations/cooperatives as legal entities to interact with and for better economic control. Therefore, there was a need to increase the evidence base on human mobility, the local employment situation, environmental questions, questions related to health and hygiene, etc. which the project addressed. Unfortunately, with the small number of interviewees from governments as well as changes at the government level it was impossible to assess their view on this alignment.

Consultants noted that the study was the first of its kind in the selected study areas in Mozambique. The focus of this study was specific as it tried to find out about **multiple vulnerabilities** (migrant) miners face, for example also on the health impact of their constant moves from one site to the other and of the unprotected use of chemical materials (e.g., mercury). The innovative aspect of the study was the analysis of the linkage between AM and migration as data on that specific connection and the need for a critical point of view to understand how things work on the ground were inexistant.

With reference to the nexus of migration and health, the project aligned with the **Migration Policy Framework for Africa and Plan of Action (2018-2030)** with outlines in chapter 9.6 Migration and Health that “Migrants are especially susceptible to health risks because of their pronounced conditions of vulnerability, including their restricted access to health services, both during and after periods of mobility.” The Policy Framework recommended to “Conduct situation analyses and needs assessments of the health of migrants for planning purposes, with involvement and participation of the most vulnerable, including women and girls.”⁴

Moreover, the project aligned well with the SDG target 10.7, which calls on countries to **facilitate orderly, safe, regular and responsible migration and mobility of people**, and with target 8.8 **Protect labour rights and promote safe and secure working environments for all workers**, including migrant workers, in particular women migrants, and those in precarious employment.

⁴ African Union, Migration Policy Framework for Africa and Plan of Action (2018-2030), p. 75.

2. **To what extent were the needs of beneficiaries and stakeholders, taken into account during project design?**

Finding: The project was discussed and designed by various IOM Missions, most actively by IOM DRC and the Regional Office (RO) in Pretoria. The evaluation did not find evidence of a formal needs assessment document. There is evidence of a consultation meeting with government stakeholders in Mozambique four months before the actual project start.

Prior to this project IOM in DRC has been active in the mining sector since 2012. As part of the diversification of the portfolio of the mining programme, migration related issues were included and processes initiated to find donors. The link of migration and mining was new, and no studies were available.

The evaluation did not find evidence of a formal needs assessment document or meeting protocols of consultation meetings with government stakeholders. However, the endorsement letter of Mozambique refers to a prior meeting that took place with an IOM delegation and the Ministry of Mineral Resources and Energy.

Stakeholder involvement at the design phase could have certainly been more intensive. Although recognizing that there was a need for this study one external stakeholder criticized the general approach of IOM by saying "They [IOM] conceive the project, they come, they explain what to do. They then ask if we agree."

3. **Was the project designed with a logical connection between its objective, outcomes, outputs and indicators based on a solid rationale/needs assessment?**

Finding: The analysis of the vertical logic of the project results matrix (RM) mostly shows a logical connection between the objectives, outcome, outputs, and activities. In a few cases the proposal and RM show an inconsistent formulation, terms that are open to interpretation (like "responsible mining") or a weak link of the overall objective as well as of outcomes, and outputs with indicators and baseline/targets. The RM in the proposal also included assumptions under which the project logic should hold true. Means and sources of verification of targets were not included in the RM which are now mandatory to include in a RM. The evaluation did not find a formal needs assessment document but found evidence that the intervention logic was based on needs observed by the IOM COs in the three project countries.

Relevance of results-based matrix (RM) and vertical logic analysis:

The project was mostly designed in accordance with the IOM Project Handbook. The RM was developed with two outcomes (see Figure 1, p. 11) and two outputs for each outcome. The outcomes foresaw that governments would have initiated processes for implementing

the study recommendations and implementing best practices and lessons learned based on the study recommendations.

The formulation of objectives, outcomes, outputs, and indicators could have been improved, for example by having the study itself as an output of the project (output 1.1.) or by explaining the term “responsible mining” in the objective.

The objective in the RM included in the project proposal did not follow the same wording as the overall objective in the summary at the start of the proposal:

The overall objective of this project is to undertake intervention studies to provide a comparative perspective of the trends and potential of the managed migration flows and how lessons learnt can contribute to responsible mining in the informal artisanal sectors in Angola, Mozambique and the DRC. (Project proposal, Summary, p. 1)

The project will contribute to responsible mining in the informal artisanal sectors in Angola, Mozambique and DRC. (Project proposal, RM, p. 5)

As the table below demonstrates other inconsistencies in the RM refer to a mismatch between the outcome and indicator (Outcome 1) or an inexistent or incorrectly formulated link between an indicator and the target (e.g., Indicator and Target b of the Objective).

A “data source and collection method” column in the RM would have strengthened the project design, as recommended in the IOM Project Handbook (p. 121).

The evaluation did not find evidence of a detailed needs assessment or stakeholder consultation process. Both external interviewees from government and IOM country project staff (with the exception of DRC) reported that IOM presented the proposal to them without their prior consultation to shape the project design.

Table 5: Evaluation Assessment of the Project Results Matrix Vertical Logic

| Vertical Logic and suggestions | Analysis |
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| <p>Objective: <i>The project will contribute to responsible mining in the informal artisanal sectors in Angola, Mozambique and the DRC</i></p> <p>Indicators: <i>a. Labour migration programmes developed to formalize the artisanal mining sector</i></p> <p><i>b. Number of best practices and lessons learnt that can be emulated elsewhere</i></p> | <p>The objective was appropriate for the project. A definition of “responsible mining” could have been provided (at least in a footnote) to make the objective more specific or to reformulate:</p> <p>The project will contribute to the formalization of the artisanal mining sector in Angola, DRC, and Mozambique:</p> <p>Indicator a could have been merged with indicator c as they express almost the same thing with the same target.</p> |

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| <p><i>c. Number of IDF associated countries that are implementing programmes for responsible artisanal mining that respect national and regional guidelines of labour migration and artisanal sector formalization</i></p> <p>a. Baseline: 0</p> <p>Target: 3 (one in each of the participating countries)</p> <p>b. Baseline: 0</p> <p>Target: 3 case studies, one in each of the participating countries</p> <p>c. Baseline: 0</p> <p>Target: 3 associated IDF countries: DRC, Angola, and Mozambique</p> <p>Assumptions: N/A</p> | <p>Indicator b refers to “best practices” and “lessons learnt”; the respective target mentions only “case studies”. Indicator and target need to be directly linked.</p> <p>A suggested formulation of the indicator is:</p> <p>Number of case studies containing best practices and lessons learnt that can be emulated elsewhere.</p> |
| <p>Outcome 1: <i>The three governments have initiated processes for implementing the study recommendations of developing artisanal labour migration programme concepts customized to each IDF participating country’s national context</i></p> <p>Indicator: <i>The number of recommendations on the formalization of the artisanal migrant labour proposed by the study taking into accounts the gender perspectives and age categories</i></p> <p>Baseline: 0.</p> <p>Target: Develop 3 recommendations per country (DRC, Angola, Mozambique)</p> <p>Assumptions: <i>Ministries of Mines demonstrate political will at a high level to develop labour migration programmes for formalizing the artisanal mining sector</i></p> | <p>The wording of outcome 1, “have initiated processes” is not precise. The indicator should have been more coherent with the outcome. The indicator does not contain any verb, so it is unclear what it measures. To be directly linked to the outcome the indicator should measure the initiation of the process. However, the target indicates the development of the recommendations. A second indicator could have improved the measurement of the outcome.</p> <p>Suggested formulation: Ind. a. Number of study recommendations on developing artisanal labour migration programme concepts taking into account gender and age perspectives developed</p> <p>Ind. b. Number of governments that have initiated processes to implement study recommendations by the end of the project</p> <p>If b. is chosen it should be explained in the project description what the initiation of processes means. Is it a first meeting? Is it a concrete action? Etc.</p> |
| <p>Output 1.1: <i>Work plans and research methodologies are produced to guide the undertaking of the national studies</i></p> | <p>Output 1.1. is formulated as an output according to the IOM Project Handbook, demonstrating the availability of a product, new skills, or services. However, outputs are somehow short-term milestones of a project.</p> |

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| <p>Indicators: Existence of work plans and research methodologies. (The research methodology will capture data disaggregated by gender and age.)</p> <p>a. Baseline: 0</p> <p>Target: 3 (each for the three associated countries)</p> <p>Assumptions: Relevant stakeholders are accessible for the purposes of research design and data collection.</p> <p>Ministry of Mines technical working groups actively participate in the development of the work plans.</p> | <p>Therefore, the most important products (also in terms of budget) shall be included as outputs. In this case it is suggested to have the study itself as an output. Work plans and research methodologies can be considered as the results of preparatory activities.</p> <p>The indicator measures the “existence” of work plans and research methodologies. If “existence” used, then baseline and target should be expressed as “yes” or “no”. If baseline and targets are expressed in numbers, then the indicator should be:</p> <p>Number of work plans and research methodologies developed.</p> <p>The second assumption should probably be more general to include not only the workplans but also the methodology. It could have been formulated as follows:</p> <p>Technical working group members actively participate in the development of the proposed activities.</p> |
| <p>Activities under Output 1.1.</p> <p>1.1.1. Convene the kick-off workshop for researchers to decide on a common research methodology</p> <p>1.1.2. Obtain country specific ethical clearance to conduct the studies</p> <p>1.1.3. Develop research protocols</p> <p>1.1.4. Support the creation of the TWG on the formalization of artisanal migrant labour in host mining communities</p> <p>1.1.5. Administer pre-assessment questionnaires to gauge stakeholders’ expectations and priorities for the national studies</p> <p>1.1.6. Collect and analyse data and a draft report</p> <p>1.1.7. Hold TWG meetings</p> | <p>The activities supporting output 1.1. are well related to the indicators under output 1.1. However, they should have been put in the right logical/chronological order. There should have been included activities related to the creation of work plans, recruitment of consultants, inception report, etc.</p> |
| <p>Output 1.2: Consolidated inputs and comments on the national studies received and utilized for the development of country-specific recommendations on the formalization of the artisanal sectors</p> <p>Indicators: Number of reports including stakeholders’ inputs and comments for each country</p> | <p>Output 1.2. focuses on “the development of country-specific recommendations”. The RM includes a baseline and target for it, but no indicator.</p> <p>A suggested indicator is:</p> <p>Number of recommendations on the formalization of the artisanal sector developed based on stakeholders’ inputs and comments for each participating country.</p> |

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| <p>a. Baseline: 0</p> <p>Target: 3 reports (Each participating country receives the relevant stakeholders' inputs and comments)</p> <p>b. Baseline: 0</p> <p>Target: 3 recommendations per country (DRC, Angola and Mozambique) developed</p> <p>Assumptions: Relevant stakeholders have the requisite capacity to provide useful inputs and comments.</p> <p>Relevant stakeholders provide inputs and comments in a timely manner.</p> | <p>Formulated as such this indicator would have been captured both the development of recommendations and the collection of stakeholder inputs/comments.</p> <p>The assumption should be: Relevant stakeholders are capable and willing to provide inputs and comments.</p> |
| <p>Activities under Output 1.2</p> <p>1.2.1. Conduct an internal review of the first draft report</p> <p>1.2.2. Identify country-specific recommendations based on the internal reviews</p> | <p>Activities under output 1.2. well support the output. 1.2.1. could have included that the internal review serves to capture stakeholder inputs and comments.</p> |
| <p>Outcome 2: Governments are implementing best practices and lessons learnt for formalizing artisanal mining based on the studies' recommendations</p> <p>Indicator: Number of specific recommendations on artisanal migrant labour formalization which are implemented by governments based on the studies' recommendations</p> <p>Baseline: 0</p> <p>Target: Implement 3 recommendations per country (DRC, Angola and Mozambique)</p> <p>Assumptions: Ministries of Mines demonstrate political will at a high level to implement the recommendations.</p> | <p>The outcome, indicator, baseline and targets are technically formulated appropriately. However, as mentioned above the wording between the outcome and the indicator should be more coherent. The outcome mentions the implementation of "best practices and lessons learnt". Therefore, the indicator also should mention them. In addition, the outcome speaks of the formalization of "artisanal mining" while the indicator uses the formulation "artisanal migrant labour formalization".</p> <p>Indicator c of the objective set out to measure the implementation of the recommendations. The same indicator was used for Outcome 2. It is good practice that the same indicator is not used at different levels of the project logic and for different things.</p> <p>The assumptions are well formulated but could be kept more general at the design stage. E.g., The involved Ministries demonstrate...In this project also Ministries of Labour and Ministries of Health were involved in some countries.</p> |
| <p>Output 2.1. Draft the joint proposal on artisanal mining formalization based on the comparative study recommendations on the artisanal</p> | <p>Output 2.1. is formulated partly as an activity (with the verb at the beginning). The word "draft" should be deleted. The word "formalization" is redundant the second time it appears. Suggested formulation:</p> |

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| <p><i>labour formalization are available to stakeholders</i></p> <p>Indicators:</p> <p><i>a. Number of concept notes derived from the country-specific studies</i></p> <p><i>b. Number of exchange visits</i></p> <p>a. Baseline: 0 Target: 3 (DRC, Angola, Mozambique)</p> <p>b. Baseline: 0 Target: 3 country exchange visits</p> <p>Assumptions: <i>The technical working groups, in collaboration with IOM focal points, will provide their reports in a timely manner and of satisfactory quality.</i></p> | <p>A joint proposal on artisanal mining formalization based on the comparative study recommendations is available to stakeholders.</p> <p>Indicators, baseline, targets, and assumptions are appropriately formulated.</p> <p>As above, the output speaks of a “joint proposal” while the indicator uses the term “concept notes”. These are two different things. It is suggested to add an indicator for the joint proposal:</p> <p>Number of joint proposals on artisanal mining formalization developed</p> |
| <p>Activities under output 2.1.</p> <p>2.1.1. Hold national level stakeholder workshops</p> <p>2.1.2. Hold three country exchange visits</p> <p>2.1.3. Work on the country-specific concept notes that will be integrated into the joint proposal</p> | <p>The activities supporting output 2.1. are appropriate.</p> |
| <p>Output 2.2. <i>Comprehensive artisanal labour migration and formalization proposal developed and shared with other stakeholders, including potential donors, in order to facilitate implementation of the roadmap</i></p> <p>Indicators:</p> <p><i>a. Number of regional workshops held to compare and validate the findings</i></p> <p><i>b. Existence of comprehensive proposals</i></p> <p><i>c. Number of donor bilateral meetings held</i></p> <p>a. Baseline: 0 Target: 1</p> <p>b. Baseline: No Target: Yes</p> <p>c. Baseline: 0 Target: 5 bilateral donor meetings</p> <p>Assumptions: <i>Potential donors have expressed interest in engaging in dialogue on pertinent artisanal</i></p> | <p>Technically Output 2.2., indicators, baseline, targets, and assumptions appropriate. However, the difference between output 2.1. and output 2.2. is not very clear. E.g., Indicator b. of Output 2.2. measures the existence of comprehensive proposals. Output 2.1. mentions a joint proposal. Output 2.1. would probably have been sufficient.</p> |

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| <i>labour migration issues in the three participating countries.</i> | |
| Activities under Output 2.2. 2.2.1. Convene one regional workshop to compare findings that will inform the development of a joint project proposal 2.2.2. Convene resource mobilization meetings, including donor bilateral meetings 2.2.3. Work on a comprehensive joint proposal based on feedback from the regional workshop and the recommendations contained in the country-specific concept notes | Activity 2.2.1. and 2.2.3. seem to be more appropriate for output 2.1. |

4. To what extent do the expected outcomes and outputs remain valid and pertinent as originally intended in terms of direct beneficiary needs?

Finding: The evaluation cannot answer this question for all three project countries because of a lack of data. But as not all results have been achieved by the end of the project or after the end it is expected that at least some of the outcomes and outputs remain valid and pertinent. Stakeholders in DRC and Mozambique also noted that the problems identified by the study are still persistent.

The expected outcome and outputs remain valid and pertinent as not all have been achieved by the project or after the end of the project. Stakeholders in DRC and Mozambique also noted that the problems identified by the study are still persistent, e.g., artisanal miners still work and live under precarious and dangerous health and social conditions in the mining areas included in the comparative study.

5. How adequately were human rights and gender equality taken into consideration during the project design and implementation?

Finding: The consideration of gender is mentioned in the proposal document, but it is not mainstreamed in the RM. During implementation, the study looked at the situation of men, women, and youth living at the mining sites and how it affected their lives differently. The research instruments (e.g., interview guides) had included questions that should help to identify gender related power relations, GBV, and homosexuality. The study findings were based on gender disaggregated data. Less women than men were interviewed because of small-scale mining being a male-dominated sector.

The project does not directly contribute to the promotion of gender and the protection of human rights, but it does so indirectly by aiming to formalize the AM sector, which in turn is assumed to improve the living conditions of migrants and host communities.

The proposal document in the rationale part of on page 3 refers to gender: “*The research will strategize to capture women’s as well as men’s concerns and experiences in the*

artisanal mining sector as an integral dimension of the design, implementation and evaluation of the planned actions and results of the studies in each of the participating countries". Although gender is not mainstreamed in the RM, except for the indicators of outcome 1 and output 1.1. interviews and documentation provide evidence that the researchers in the three countries observed both men, women, and youth in the mining sites. They interviewed people of different gender and age and tried to identify the different jobs and tasks men, women, and youth carry out and how this affects their income and health situation. Hence, the study highlights the role of women and young people in and around mining sites and expressed concerns about the respect of human rights in the targeted areas. The researchers presented evidence for frequent cases of sexual exploitation and gender-based violence are particularly problematic and developed specific recommendations in this regard.

6. Is the project in line with IOM/IOM Development Fund priorities and criteria?

Finding: The project was found to be aligned to IOM and the Fund's priorities and criteria. It supported three of IOM's current strategic foci and IDF's eligibility criteria. The project also supported the second principle of IOM's Migration Governance framework (MiGOF) by providing evidence for policymaking.

The project was found to support three of IOM's current strategic foci,⁵ notably:

- No. 3. To offer expert advice, research, technical cooperation and operational assistance to States, intergovernmental and non-governmental organizations and other stakeholders, in order to build national capacities and facilitate international, regional and bilateral cooperation on migration matters.
- No. 6. To be a primary reference point for migration information, research, best practices, data collection, compatibility and sharing.
- No. 12. To support the efforts of States in the area of labour migration, in particular short-term movements, and other types of circular migration.

The project was also in line with the MIGOF, under Principle 2 contributing to produce facts and a well-founded analysis for policymaking.

The main project activities were capacity development and therefore in line with the Fund priorities.

⁵ IOM mission and strategic focus: https://www.iom.int/sites/default/files/about-iom/iom_strategic_focus_en.pdf, accessed: 2 July 2021.

Coherence – 3- Good

The project was compatible with other IOM activities in the same or related fields of intervention. Other relevant interventions in the AM field were not identified by this evaluation.

7. To what extent is this project compatible with other IOM activities?

Finding: The project was found to be compatible with other IOM activities in all three countries.

Based on stakeholder interviews, in Angola the project was aligned with IOM objectives and goals towards migrants in mining areas. In DRC IOM implemented the Responsible Mineral Trade (RMT) project funded by USAID in parallel to this project.⁶ In Mozambique, the AM topic was completely new, but integrated with other labour mobility and health programmes (which were the focus of the study).

According to stakeholders and the available documentation the project was distinct from other AM studies that can be found in the literature given its focus on linking AM with labour mobility, health, and environmental issues and comparing the three countries of Angola, DRC, and Mozambique.

8. To what extent is this project compatible with other interventions in this field?

Finding: The evaluation could not identify any relevant external interventions.

The evaluation could not identify any external interventions in the AM field in the three project countries that were running concurrently to this project.

Effectiveness – 2 – Adequate

The effectiveness was assessed as adequate. Based on the indicators/targets included in the RM the objective and one outcome were assessed as being partially achieved. The second outcome was not achieved. The comparative study report and national reports were successfully delivered. However, there is no indication that the content of the study, mainly the country-specific recommendations, best practices and lessons learned have been implemented by the three participating governments.

⁶ Responsible Minerals Trade: Creation and Monitoring of Conflict-free Supply Chains

9. Have the project’s outputs and outcomes been achieved in accordance with the stated plans and results matrix?

Finding: Most project outputs and outcomes were only partially achieved. The main reason was little engagement of the Angolan Government after government restructuring. In Mozambique and DRC most targets were achieved. However, as noted in the Table 5 of this report, not all indicators and targets did perfectly match with the result they wanted to measure. The comparative study report and national reports which can be considered as the main outputs of the project were successfully delivered. No information was found that the content of the study, mainly the country-specific recommendations, best practices and lessons learned have been subsequently implemented by the three governments.

Most targets included in the results matrix were only partially achieved. The lack of engagement of the Angolan Government was one of the main hindering factors for achievement of several targets as all targets had been set on the assumption of three involved project countries.

Table 6: Assessment and Analysis of the Project Results Matrix

| Results matrix element | Level of achievement | Analysis |
|--|-----------------------------|--|
| <p>Objective: <i>The project will contribute to responsible mining in the informal artisanal sectors in Angola, Mozambique and the DRC</i></p> | Partially achieved | <p>Indicator a set out to measure if in each project country labour migration programmes were developed to formalize the artisanal mining sector. This target has not been achieved. Following the final report concept notes were developed recommending specific programme interventions.</p> <p>The target of indicator b has been achieved. In each of the participating countries a case study report including best practices and lessons learnt have been produced.</p> <p>Indicator c has not been achieved. The evaluation did not find evidence for the implementation of the study recommendations.</p> |
| <p>Outcome 1: <i>The three governments have initiated processes for implementing the study recommendations of developing</i></p> | Achieved | <p>The target of developing 3 recommendations on the formalization of the artisanal migrant labour per country has been achieved but as noted, the</p> |

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| <i>artisanal labour migration programme concepts customized to each IDF participating country's national context</i> | | evaluation did not find evidence for the actual initiation of processes for implementing the study recommendations. |
| Output 1.1: <i>Work plans and research methodologies are produced to guide the undertaking of the national studies</i> | Achieved | In all three participating countries work plans and a research methodology has been prepared. |
| Output 1.1. Activities | Partially achieved | Five out of seven activities have been achieved. Two activities were only partially achieved, (a) in Angola the technical working group (TWG) was not created because of changed priorities in the new government and, therefore, (b) no meetings of the TWG were held in Angola. |
| Output 1.2: Consolidated inputs and comments on the national studies received and utilized for the development of country-specific recommendations on the formalization of the artisanal sectors | Partially achieved | Output 1.2. was partially achieved. Instead of three only two final reports were shared with the respective Governments for inputs, i.e., in DRC and Mozambique. According to the final report the Government of Angola did not provide any inputs because of a lack of interest in the study. It has to be noted that the indicator had two targets included in the RM which is wrong. Moreover, it is an overlap with the target of outcome 1 which set out to measure the development of recommendations. |
| Output 1.2. Activities | Achieved | The two foreseen activities were fully achieved. As the output has only been partially achieved, it means that the proposal should have contained additional activities. |
| Outcome 2: <i>Governments are implementing best practices and lessons learnt for formalizing artisanal mining based on the studies' recommendations</i> | Not achieved | According to the project documentation, DRC and Angola shared recommendations at the regional validation workshop that they proposed to implement. As noted above the evaluation did |

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| | | not find evidence for the implementation of these recommendations. This is partly because of the low response of government stakeholders in this evaluation. |
| Output 2.1. <i>Draft the joint proposal on artisanal mining formalization based on the comparative study recommendations on the artisanal labour formalization are available to stakeholders</i> | Partially achieved | The target was to have concept notes derived from the country-specific studies for each of the participating countries. These were produced but not the joint proposal based on the concept notes and the study. |
| Output 2.1. Activities | Partially achieved | According to the project documentation, DRC and Mozambique held national stakeholder workshops in December 2017 and January 2018. During these workshops technical guidance on the findings and recommendations was offered by TWG members. Angola did not create a TWG and, hence, did also not organize such a stakeholder workshop. |
| Output 2.2. <i>Comprehensive artisanal labour migration and formalization proposal developed and shared with other stakeholders, including potential donors, in order to facilitate implementation of the roadmap</i> | Partially achieved | The planned regional workshop to validate the study findings was held in Pretoria, South Africa, in November 2018. Instead of “comprehensive proposals” concept notes were elaborated. Instead of the planned five bilateral donor meetings only one was held by the DRC Mission with USAID. According to IOM these discussions did not result in a concrete collaboration of these two entities. |
| Output 2.2. Activities | Partially achieved | The activities have been achieved to a limited extend except for the regional validation meeting. The COs did discuss key priorities for a joint proposal but it was not documented. The evaluation found no evidence that this has been done after the project end. As mentioned above only IOM DRC had a resource mobilization meeting with USAID which has not been successful in terms of funding. |

10. Was the collaboration and coordination with partners (including project implementing partners) and stakeholders effective, and to what extent have the target beneficiaries been involved in the processes?

Finding: Collaboration and coordination with (implementing) partners and internal and external stakeholders across the three involved countries was mostly perceived as good or very good. IOM DRC as the management site regularly coordinated with the country focal points and the technical experts of the IOM Pretoria RO for Southern Africa. Government staff participated in Technical Working Group meetings and validation workshops. Artisanal miners themselves were interviewed but were not involved in other project activities. The evaluation did not find evidence for the involvement of external stakeholders in the discussions among various IOM COs and the IOM HQ's Donors Relations and Resources Mobilization Division (DRD) before and during the project design.

IOM DRC as the management site regularly coordinated with the country focal points via email/skype or in person. IOM DRC collected feedback on the various project documents from IOM in Angola and Mozambique.

Collaboration and coordination between the various stakeholders were perceived by most stakeholders as good or very good. The researchers in DRC reported that their institutional contacts with stakeholders in the artisanal mining sector (in particular at the level of the Provincial Government and with IOM) stemming from other projects were very useful to carry out the study and get access to the required data. In Mozambique, too, the research team had previous contacts with IOM which facilitated the collaboration. IOM's good relationship with the involved institutions and, in case of DRC, the familiarity of the PM with the mining sector contributed to a smooth collaboration.

During the inception phase the project team consulted with the IOM Regional Labour Migration/Migration and Development specialist and the Regional Migration Health (MH) specialist for Eastern and Southern Africa. The technical team also coordinated the recruitment of the lead researcher which was based in Mozambique. Researchers also noted that online events to define the research methodology among the research teams in the three countries went well.

Artisanal miners themselves were interviewed but were not involved in other project activities. Government staff participated in Technical Working Group (TWG) meetings and validation workshops in November 2018. In Mozambique a wide range of stakeholders participated in the presentation of the study in the Cabo Delgado Province, including National and Provincial government staff and representatives of Academia.

The IOM Mission in DRC and Angola as well as the IOM HQ's Donors Relations and Resources Mobilization Division (DRD) discussed in the years before the actual project

design about the need to gather evidence on the migration and mobility link. The evaluation did not find evidence for the involvement of external stakeholders in these preliminary discussions and in the project design as described above.

11. What major internal and external factors have influenced (positively or negatively) the achievement of the project's objectives and how have they been managed within the project timeframe?

Finding: A number of internal and external factors influenced the results of the project. Negative factors included the loss of interest in the project by the Angolan Government after structural changes in the government. This is the main reason why several targets that involved Angola (e.g., the creation of a TWG, production of a concept note, etc.) could not be fully achieved. In Mozambique and DRC data collection was somehow difficult because of ongoing conflicts and political instability. In addition, in both countries the Governments insisted in changing the previously chosen study sites after a first round of data collection had already taken place. Positive factors included the good relationship among the involved stakeholders, previous contacts of researchers with IOM and government staff, trust built with miners in DRC through another project and therefore greater willingness to participate in interviews.

The following positive factors which influenced the results of the project were identified:

Internal

- Good working relationships among stakeholders
- In-depth thematical knowledge and experience of IOM staff and researchers (particularly in DRC)
- National case study reports produced in French and Portuguese that made them more accessible for audiences

External

- Previous and parallel collaboration experience of researchers with IOM and government entities
- Interest and previous existence of the TWG in DRC
- Trust built with artisanal miners through an USAID funded mining project in DRC increased their willingness to respond to interview questions

The following negative factors which influenced the results of the project were identified:

Internal

- The departure of the Project Manager (PM) before the preparation of the final report resulted in a delay in the finalization of the report.
- Interviewees from DRC did not recall that the final study report was shared and/or presented to government or other relevant stakeholders at Provincial level and criticized the insufficient dissemination.

External

- Staff changes in Government institutions and varying engagement levels, for example, the focal point (FP) in Mozambique became a Ministerial adviser and a new FP had to be nominated.
- In Angola, changes in the government structure had the effect that no TWG was created, IOM had difficulties to find a FP within the government; and the responsiveness of the Angolan Government to engage in this project was very low.
- In DRC it was challenging for the consultants to access the mining sites for data collection because of their remoteness, data collection during rainy season, lack of communication networks.
- Political instability (DRC), conflict (Northern Mozambique) and changes in the Government structures (Angola) contributed to difficulties in implementing the project activities as planned.

Efficiency & Cost Effectiveness – 2 - Adequate

The project was rated as having adequate efficiency and cost effectiveness. The project was found to have used its available human and financial resources cost-effectively. 72% of the financial resources were spent. Underspensing has largely to do with the fact that several project activities were carried out only in DRC and Mozambique and not Angola as originally foreseen. Moreover, fewer resource mobilization meetings took place. Project management presented considerable inefficiencies with delays in implementation and reporting. A no cost extension of six months was requested and approved to finalize the one key product, namely the comparative study.

12. How cost-effective was the project? Could the activities have been implemented with fewer resources without reducing the quality and quantity of the results?

Finding: The existing evidence indicates that the project used the resources cost-effectively. The project used 72% of its funds as most activities were carried out only in two project countries (Mozambique and DRC) and not Angola as originally foreseen. Stakeholders were very satisfied with the quality of the study report. The central management of the project and its resources seemed to have had slight implications on the effective management as more coordination was needed between the COs.

The existing evidence indicates that the project used the resources cost-effectively, in particular considering that the research team had to carry out a second round of data collection (in Mozambique and DRC). The underspending of several budget lines can be explained that most activities were only carried out in Mozambique and DRC (and not in Angola as originally foreseen) and that the Lead Researcher could not travel to DRC because of the security situation. Interviewed external and internal stakeholders were very satisfied with the quality of the study report.

The human and financial resources available were enough to carry out the project activities, except for the last phase where the departure of the PM did pose some problems to the DRC Mission.

Almost a third of the budget was not spent given that the activities could not be carried out as planned in Angola following government restructuring. The objectives, targets and budget were not formally adapted to reflect this change.

In Mozambique the IOM project staff coordinated with colleagues that the event for the study presentation in the Province of Cabo Delgado would be financed by another IOM project funded by the Swiss Government as it was not foreseen by this project budget.

13. How efficient was the overall management of the project?

Finding: Project management suffered from inefficiencies. The implementation and reporting were considerably delayed and the comparison between planned vs. actual budget expenditure shows considerable differences.

The implementation and reporting were considerably delayed and the comparison between planned vs. actual budget expenditure shows considerable differences.

According to the available documentation and interviews there are several reasons for implementation and reporting delays:

- More time needed for data collection to prepare the study as in DRC and Mozambique the first mining sites were not accepted by the governments
- Delay in finalizing the inception report and inception workshop
- The time needed to hold national level stakeholder workshops to discuss country-specific recommendations for the formalization of the AM sector.
- The departure of the PM before the finalization of the final report resulted in a long delay of the submission of the final narrative and financial reports.

14. Were project resources monitored regularly and managed in a transparent and accountable manner to guarantee efficient implementation of activities? Did the project require a no-cost or costed extension?

Finding: Both narrative and financial progress reports were submitted throughout the timeframe, and were of good quality but with considerable delays. The total budget of USD 200,000 was used with considerable variance for most budget items except for staff and office costs. Underspensing was mainly related to little activities going on in Angola and to less travel activity of the lead researcher than foreseen due to security reasons. There was one budget revision in the second year of implementation with a request and approval of a six months no cost extension (NCE) due to the challenges and delays faced.

The inception workshop was carried out only one year after the start of the project, implying an initial delay of 12 months. An analysis of the implementation timeline and completion dates indicates that the project was not very timely in conducting its activities compared to the planning set out in the project proposal document. The project was also not timely in its reporting.

Interim report three was delivered with a delay of eight and a half months, interim report two had a delay of two months, and interim report one a delay of three months.

The project (including 6 months extension) ended on 4th December 2018. The final financial report was uploaded onto the IOM Reporting Platform PRIMA on 10th June 2021; hence, it was two years and three months late.

The budget was revised after one and a half years of implementation (20th July 2018) and requested a no extension of six months which was approved by the Fund on 20th August 2018. The extension was requested to “hold national level stakeholders” workshops in each of the participating countries to receive country-specific recommendations on the formalization of the artisanal sectors based on the research reports for the national studies as noted in the available documentation.

Budget analysis: The project was allocated USD 200,000 (including USD 10,000 for evaluation). The total budget used was USD 139,692. The final financial report is based on the latest approved budget and included only USD 6,900 for the evaluation. Considering the decreased value for the evaluation the disbursement rate equals 72%.

Table 7: Comparison between the planned budget and the actual budget spent

| Expenditure item | Budget (USD) | Actual expenditure (USD) | Revision /Change indicated in documentation |
|---|--------------|--------------------------|--|
| Staff | 50,220 | 50,214 | n/a |
| Office | 9,780 | 9,781 | n/a |
| Output 1.1 Work plans and research methodologies are produced to guide the understanding of the national studies | 67,021 | 48,210 | Output 1.1. included logistics/meeting costs to support the creation of the TWG and monthly TWG meetings. In Angola these activities did not take place. |
| Output 1.2 Consolidated inputs and comments of the national studies received and utilized for the development of the country specific recommendations on the formalization of the artisanal sectors | 10,963 | 6,003 | Output was only partially achieved as the government of Angola did not share any inputs and comments. |
| Output 2.1. Draft joint proposal on artisanal mining formalization | 15,856 | 1,569 | 90% underspending. The output of drafting the joint proposal was not achieved. However, two concept notes for Mozambique |

| | | | |
|--|----------------|----------------|---|
| based on the comparative study recommendations on the artisanal labour formalization are available to stakeholders | | | and Angola were developed and stakeholder workshops held. |
| Output 2.2. Comprehensive artisanal labour migration and formalization proposal developed and shared with other stakeholders, including potential donors, in order to facilitate implementation of the roadmap | 39,260 | 23,915 | Resource Mobilization meetings did take place only to a limited extent (in DRC with USAID). |
| Evaluation | 6,900 | - | n/a |
| TOTAL | 200,000 | 139,692 | |

15. Were the costs proportionate to the results achieved?

Finding: Although the project's objective was only partially achieved the results achieved were found to be proportionate to the costs expended, i.e., two thirds were spent in two countries for most activities. The evaluation found no evidence for impact and sustainability; however, the comparative study still has the the potential to guide future work in this area if follow-up measures to promote and monitor the implementation of study recommendations are developed.

The results achieved were found to be proportionate to the costs expended, i.e., two thirds were spent for several activities in two countries (Mozambique and DRC). Looking at impact and sustainability the project has not been very cost-effective. However, the comparative study still has the potential to guide future work in this area if follow-up measures to promote and monitor the implementation of study recommendations are developed (see "Sustainability" below).

Impact – 3- Adequate

The project was assessed as having an adequate impact. The evaluation identified short term impacts but no longer-term impacts. In the short to medium term, new partnerships were created and collaboration among stakeholders strengthened as well as an enhanced knowledge sharing between the participating stakeholders in the three project countries. However, the project also represented a lost opportunity which could have (potentially) been realized if it could have put together the joint proposal based on the study findings and if resource mobilization meetings would have taken place as originally envisaged. The longer-term impact will depend upon if the study continues to be used for future action planning and if a follow-up on the implementation of recommendations will be carried out.

16. Which positive/negative and intended/unintended effects/changes are visible (short and long-term) as a result of the project?

Finding: It was not possible to assess the longer-term impact of the project. The evaluation did not find significant evidence for the implementation of the study recommendations or follow-up projects based on this project. According to IOM, in Mozambique, the government has been promoting health clinics in mining areas which was a study recommendation. However, it remained unclear to what extent the study recommendations triggered the promotion of the clinics. Short-term to medium term contributions to change included a new partnership created between IOM and the Mineral Resources and Energy Ministry in Mozambique, strengthened collaboration between different Ministries represented in the TWG and enhanced knowledge sharing between the participating stakeholders in the three project countries.

The following positive short to mid-term contribution to changes were identified:

- IOM observed that the government of Mozambique did advocate to set up mobile clinics in the mining areas which was among the recommendations of the study during the last years and that some organisations followed the government's call to action. However, the link between this activity and the study recommendations could not be proven.
- Within IOM, synergies were created between AM and different IOM thematic areas such as Labour Migration, Migration and Health, Migration and the Environment and Immigration and Border Management.
- IOM Mozambique established a new partnership with the Ministry of Minerals Resources and Energy.
- The study findings increased the available knowledge of stakeholders on the link between AM, labour mobility, health, and environmental issues, as well as providing recommendations to promote the formalization of the AM sector.
- The regional validation meeting was seen by stakeholders as an important opportunity to discuss the study findings and learn from other countries.

No negative effects were identified, although it is assumed that the study created expectations amongst stakeholders, including the miners who participated in the research, that there would be concrete follow-up and changes based on the study, which has largely not occurred, based on what this evaluation could determine.

17. Can those changes /outcomes/ expected impact be attributed to the project's activities? Are there any contributions from external factors?

Finding: The existing evidence indicates that the project contributed to the above-mentioned short-term changes.

The existing evidence indicates that the project contributed to the above-mentioned short-term changes. With the available resources and data it was not possible to assess if the project resulted in any longer-term impact.

Sustainability - 1 - Poor

The sustainability of the project results was assessed as poor. The project was not designed specifically with measures to guarantee sustainability, such as a hand-over or follow-up action plan, study dissemination plan, etc. The evaluation did not find evidence of the use of the project results by other projects, in particular the comparative study findings.

18. Did the project take specific measures to guarantee sustainability and how was this supported by partners and the IOM?

Finding: The project's planned activity to produce a joint regional project proposal based on the country-specific study findings was not achieved nor were there produced concept notes for all three countries. The project did not have enough planned measures in place to guarantee sustainability and it lacked follow-up measures to promote and monitor the implementation of study recommendations in the participating countries or the development of IOM projects based on the study findings.

The activity behind output 2.1.⁷ was to use the study findings and the national concept notes to develop a regional project focusing on formalising the AM sector. It was anticipated in the proposal that the evidence created by the study would inform follow-up IOM project development contributing to the sustainability of project results and achievements. The objective of writing a joint proposal was not achieved and, as mentioned above, there is no evidence of follow-up actions. The exact reasons for not preparing the proposal remained unclear, but it is supposed that it has at least partly to do with staff changes within IOM and with the changed priorities of the new government in Angola.

Although not planned and funded by this project, in Mozambique the study was presented at a conference that discussed the implication of migration in the Cabo Delgado Province. The conference took place on 23 August 2018, was funded by the Swiss Development Cooperation with a total of 194 participants from Provincial Administration, Migration Experts, IOM, CSOs, migration and police services, guests from the neighbouring Provinces of Tete, Nampula and Niassa.⁸ A second meeting to present the study to

⁷ Output 2.1. Draft the joint proposal on artisanal mining formalization based on the comparative study recommendations on the artisanal labour formalization are available to stakeholders, Results matrix, Endorsed Proposal.

⁸ The "Provincial Multi-Stakeholder Global Migration Conference in Cabo Delgado", funded by the Swiss Agency for Development and Cooperation, aimed to promote discussion on cross-border mobility in the

government stakeholders was organised in Maputo and a third one in Pretoria (South Africa) with IOM and external participants from all three study countries. Although it is unclear if and how the study has been used by conference and meeting participants the fact that it was presented to them has at least increased the potential for sustainability.

19. Have the benefits generated by the project deliverables continued once external support ceased?

Finding: In all three countries the evaluation did not find evidence of follow-up actions by the government or IOM that are based on the study findings and recommendations.

As noted above the evaluation did not find evidence of follow-up actions that are based on the study findings and recommendations.

IOM Mozambique expressed their interest in continuing to work in the area of AM but so far has not been able to secure funding. In DRC, discussions held with USAID for a follow-up project did not materialize because of a change in priorities of the US government based on the difficult and unstable political situation in DRC during the last years. In Mozambique, the situation is somehow similar, as, according to several interviewees conflict in the Cabo Delgado Province as well as natural disasters where this project was carried out has been influencing the government's choice of activities to focus on. *"If we were in peace maybe there would be more effort to put in place recommendations"* one consultant noted. It is important to underline that this is the view of one interviewee that could not be corroborated from other sources.

In Angola the project deliverables were not sustainable as the government left the project early.

The project consultants in DRC (who are still working in the mining area) reported that they have not seen much change or actions that would imply that the study recommendations were implemented. There are still the same problems that can be found, for example cholera and other diseases where the study provided recommendations to prevent them (e.g., awareness raising campaigns, the creation of health posts, etc.).

Several interviewees suggested carrying out a follow-up study to see to what extent the recommendations, lessons learned, and best practice have been implemented. They proposed that the existing study could be used as a baseline study to compare the new findings to.

region and identification of development opportunities and security challenges inherent to mobility processes, Final report to the Swiss Agency for Development and Cooperation (SDC), p. 2.

20. Was the project supported by national/local institutions and well-integrated into national/local social and cultural structures?

Finding: The project was supported by government partners and stakeholders to different extents in the three countries. Although endorsed by all three participating countries early in the process, the Angolan government stopped its active engagement after changes to the government. The evaluation found no evidence that the study findings were implemented and used to guide further action. Several interviewees reported that the study report was not sufficiently disseminated.

The project was endorsed by the governments of the three participating countries at the beginning of the project. In Mozambique and DRC technical working groups were established and met regularly. The available documentation and interviews with stakeholders indicated that the governments, IOM, or other stakeholders did not use extensively the study findings and recommendations as a reference document for follow-up actions.

All stakeholders interviewed in DRC saw the need for greater dissemination of the study within IOM and external stakeholders to make it useful and used. Government stakeholders in DRC reported that, for example, the installation of local hygiene committees, which was recommended by the study, has since been put in place but that this is not necessarily related to this project as the stakeholders could not recall having seen the project study report.

21. Have adequate levels of suitable qualified human resources been available to continue to deliver the project's stream of benefits?

Finding:—The project was not designed specifically with measures to guarantee sustainability, such as a hand-over or follow-up action plan to monitor the implementation of the study recommendations or the AM formalization process. Therefore, partners had not committed human resources and budgets and this stage. Staff turnover in both IOM and government institutions were problematic for the integration of the outputs created into institutions together with a lack of a knowledge management strategy. No other AM projects were carried out since the project end by IOM in the three countries.

As described above, the project was not designed specifically with measures to guarantee sustainability, such as a hand-over or follow-up action plan. Therefore, stakeholders had not committed human resources and budgets and this stage. The project had included as an activity to hold resource mobilization meetings with potential donors (as part of Output 2.2.). This was carried out only in DRC with USAID and has not led to project funding. The foreseen joint proposal for AM formalization (Output 2.1.) which had been planned as to “directly inform follow-up IOM project development processes, thereby contributing to the

sustainability of project results and achievements” (proposal, p. 4) was not carried out. No other AM projects were carried out since the project end by IOM in the three countries.

6. Conclusion and recommendations

The project set out to contribute to responsible mining in the informal AM sector in Angola, Mozambique, and the DRC. The project specifically wanted to achieve that governments initiate processes for implementing the study recommendations for developing the concept of artisanal labour migration programming. Within the scope of this evaluation, it was not possible to systematically track if, by now, progress has been made in the implementation of recommendations included in the comparative study produced. However, all indications are that there has been little follow-up or progress.

The project managed to achieve some key outputs/outcomes but suffered from some inefficiencies in project management and sustainability. The project contributed to several short-term results. It contributed, for example, to increase collaboration and cooperation among several IOM Missions and researchers in the three participating countries and it provided evidence for the multiple livelihoods and security challenges artisanal miners in the three countries face. The study, therefore, still has the potential to guide development actions for artisanal miners.

Following are conclusions and recommendations drawn from the detailed findings presented in the previous sections:

C. Project Design

The project design phase is crucial for the success of a project. It is important to assess the “potential for success of the project idea” and involve external stakeholders from the beginning. In this project external stakeholders were consulted little in the project design (i.e., level 1 or 2 of the Stakeholder Participation Matrix, Tool 1.4., p. 21 of the IOM Project Handbook). Moreover, some more attention should have been paid to the development of the results matrix with SMART indicators and with a column “sources and means of verification” added. In the project description there should have been included a more explicit description of how the cross-cutting issue gender and human rights will be addressed, and sustainability measures specified more concretely, in particular follow-up to monitor the implementation of study recommendations. The AM project was a “stand-alone” project with little or no links to existing programming approaches within the three countries. Therefore, it was not able to be integrated within an overall programming approach, which was partially why it had little impact or sustainability.

Recommendations (priority level: 3-low – to be completed by 1 February 2023):

For IOM DRC for future similar projects designed and implemented in the next year (and then integrated within good project practices for consequent years):

- Ensure that proposed projects are linked or integrated within existing programming priorities of the COs concerned.
- Ensure that a solid needs assessment based on a broad stakeholder consultation is undertaken in the project identification/design phase ensuring project relevancy and increasing ownership. The preparation of a formal stakeholder participation matrix could help the process.⁹
- Ensure that indicators and targets are correctly formulated and are coherent with the result they want to measure. The RM needs to include a column of sources and means of verification.
- Ensure that follow-up and sustainability measures are included in the project design. For example, measures to promote and track the use of the study and the implementation of recommendations.
- Include a more detailed description of how the principles of human rights, a rights-based approach and gender is considered throughout the project.¹⁰

D. Project management

Project delivery and reporting were late for several reasons:

- Delays in the launch and implementation of several activities,
- The PM left before the delivery of the final report and the new CoM was not familiar with the project.

Recommendations (priority level: 3-low – to be completed by 1 February 2023):

For IOM DRC for future similar projects designed and implemented in the next year (and then integrated within good project practices for consequent years):

- A proper hand-over process should be planned when key staff such as the PM leaves before the end of the project. This is crucial to keep and transmit knowledge and avoid delays when one person leaves.
- Carefully monitor project implementation, including assumptions and risks, and take timely measures to avoid delays or deviance from the plan.
- Ensure that reporting is carried out on time and information concerning budget changes (e.g., concerning underspending) is documented and remains accessible also after the project ends to staff not directly involved and to evaluators.

Points identified requiring an institutional response

For the donor (IOM Development Fund):

⁹ See IOM Project Handbook, p. 21.

¹⁰ See IOM Project Handbook, p. 38-44.

- It is suggested that the narrative description of the project documents (proposal and reports) should include a specific section that describes how both cross-cutting issues, gender mainstreaming and human rights, will and are being addressed.
- Funded projects should have a sustainability and follow-up plan as part of the final report which already includes financial and human resources to implement the plan.

Lessons identified

The following lessons were identified that could be of use for future similar projects:

- It is important to plan sustainability and knowledge management from the outset as it does not happen by itself.
- Projects that do not consider and integrate time for phasing out and follow-up assessment reduce the potential to learn, hand-over, and build ownership.
- Challenges artisanal miners face are multifaceted and intersectional and require collaboration between a broad range of stakeholders (including miners themselves) but each country has its own specificities that need to be taken into consideration.

Annex one: Terms of reference and inception report

1. Introduction and Context

| | |
|---------------------------------------|--|
| Project for Ex-Post Evaluation | CE.0349 |
| Duration of the Project | 30 months (5 December 2016 - 4 December 2018) |
| Budget (USD) | USD 200,000 |
| Donor | IOM Development Fund |
| Countries covered | Angola, Democratic Republic of Congo, Mozambique |
| Evaluation | External Independent Ex-post Evaluation |
| Evaluation Team | Owl RE Research and Evaluation |
| Evaluation Period | November – January 2021 |

This document is a combined Terms of Reference (ToR) and Inception Report produced for the IOM Development Fund (the Fund), the ex-post evaluation of the project *Human Mobility Related to the Artisanal Mining Sector, Comparative Case Studies in Angola, Mozambique and the Democratic Republic of Congo (DRC)*. This report outlines the purpose, objectives, methodology, questions, tools and workplan of the consultancy.

Financed by the Fund, this project aimed to undertake studies to provide a comparative perspective of the trends and potential of migration flows in the informal artisanal mining sectors of Angola, Mozambique and the DRC. It aimed to assess how lessons learnt can contribute to responsible mining in the targeted region.

The project links artisanal mining with migration and explored the phenomenon at the regional level. It identified three broad areas to focus on: 1) International and internal migration, 2) New livelihoods and economies of artisanal mining, and 3) Governance and formalization of artisanal mining.

2. Purpose and Objectives

The purpose of conducting this ex-post evaluation is to assess the relevance of the project to its stakeholders and beneficiaries, coherence, the effectiveness and efficiency of project management and implementation, the expected impact, how well were cross-cutting themes of human rights and gender mainstreamed in the project, and if the desired effects are

sustainable, and/or have the prospects of sustainability, (following the DAC evaluation criteria¹¹).

The evaluation aims to promote transparency and accountability which will, in turn, assist the Fund in its decision-making and to better equip staff to make judgments about the project and to improve effectiveness where possible and with regard to future project funding. Concerning the expected use of findings, the ex-post evaluation aims to also identify lessons learned, good practices, and provide a learning opportunity for the Fund and its implementing partners with regard to the project formulation process. The findings will also help make evidence-based strategic decisions in relation to specific projects, while also demonstrating the Fund's on-going commitment to results based management.

The primary objectives of the evaluation are to:

- (k) Assess the relevance of the project's intended results;
- (l) Assess the relevance of the Theory of Change and design of the results matrix and the extent to which the objective, outcomes and outputs are well formulated; the indicators were SMART and baseline and targets appropriate;
- (m) Assess the coherence of the project with IOM's activities and other interventions in the sector;
- (n) Assess the extent to which the needs of stakeholders and beneficiaries were taken into account during project design and if the project is aligned with national priorities and strategies, government policies and global commitments
- (o) Assess the effectiveness of the project in reaching their stated objectives and results, as well as in addressing cross-cutting issues such as gender, human-rights based approach, etc.;
- (p) Assess the efficiency and cost-effectiveness of project implementation, along with regular progress monitoring of project resources and if the costs were proportional to the results achieved;
- (q) Assess the impact prospects and outcomes to determine the entire range of effects of the project (or potential effects) and assess the extent to which the project have been successful in producing expected change;
- (r) Assess the sustainability of the project's results and benefits (or measures taken to guarantee it) or prospects for sustainability, and if these benefits generated by the project still continued once external support ceased;
- (s) Assess how effectively issues of gender equality and human rights protection were mainstreamed in the process of project design and during project implementation;
- (t) Identify lessons learned and best practices in order to make recommendations for future similar projects and help the Fund in its decision-making about future project funding.

¹¹ Organisation for Economic Co-operation and Development – Development Assistance Committee, 'Evaluation of development programmes, DAC Criteria for Evaluating Development Assistance', web page, OECD. See <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>.

These objectives are operationalised in a series of evaluation questions and indicators (see annex 1: Evaluation matrix). The Results Matrix (RM) is reproduced in annex 5 to illustrate the intervention logic foreseen for the project.

3. Methodology

The evaluation framework will focus on the standard DAC criteria and cross-cutting themes criteria, supported by standard tools (i.e. interview guide and evaluation checklist – see annexes 3 and 4) and will take place over a period of about 10 weeks. The evaluation will be conducted remotely, in line with COVID 19 restrictions and take a participatory approach involving and consulting with the relevant stakeholders in the different steps of the evaluation and integrating this approach into the methodology as far as is feasible. It will use a mixed methods approach and cross validate evaluation findings through the triangulation process, where possible.

3.1. Research methods/tools

Research tools will be both quantitative and qualitative and will be used across the different themes and questions. The following table provides further information on these tools and how they will be deployed.

| Tool | Description | Information Source |
|----------------------------|---|--|
| <i>Document review</i> | Review of main documentation | IOM documentation on PRIMA, including internal/external reports, relevant publications, review of websites, country reviews etc. |
| <i>Interviews internal</i> | Some 4-6 semi-structured interviews using an interview guide | By Zoom, Skype, etc.: - IOM staff from country offices in DRC, Mozambique, Angola - IOM Regional staff |
| <i>Interviews external</i> | Some 8-10 semi-structured interviews using an interview guide | By Zoom, Skype, etc.: - Selected government stakeholders, project partners, study recipients; consultants |

3.2. Sampling

Overall sampling will be purposeful in that the stakeholders will be selected for the evaluation, based on their involvement as staff, consultants, experts, partners or beneficiaries of the project. The selection of participating stakeholders will be led by the head of the Programme Support Unit (DRC) and the former project staff in Angola and Mozambique and will aim to be representative, to ensure that a balance is found in terms of gender, race/ethnicity, age range and other project-specific criteria.

3.3. Analysis

The findings from the desk review, key informant interviews will be collated and analysed using appropriate quantitative and qualitative techniques and the evaluation criteria used will be rated by the evaluator based on the scale in the table below, with supporting evidence described. Where the evidence is weak or limited, it will be stated.

Findings will be used to assess the achievements of results as articulated in the Results Matrix, (see Annex 1) both numeric and descriptive results and used to rate the project as a whole according to the assessing evaluation criteria, see table below for further explanation.

| Evaluation Criteria Scaling | Explanation | Supporting evidence |
|--|---|--|
| 5 Excellent (Always) | There is an evidence of strong contribution and/or contributions exceeding the level expected by the intervention | <i>Supporting evidence will be detailed for each rating given.</i> |
| 4 Very good (Almost always) | There is an evidence of good contribution but with some areas for improvement remaining | |
| 3 Good (Mostly, with some exceptions) | There is an evidence of satisfactory contribution but requirement for continued improvement | |
| 2 Adequate (Sometimes, with many exceptions) | There is an evidence of some contribution, but significant improvement required | |
| 1 Poor (Never or occasionally with clear weaknesses) | There is low or no observable contribution | |

3.4. Limitations and proposed mitigation strategies

The following limitations have been identified with accompanying mitigation strategies to minimise the impact described, where possible. If it is not possible to fully rectify the limitations identified, findings will have to be reached based on partial information. Where this occurs, the evaluation will seek to be transparent about the limitations of the evaluation and to describe how these may have affected the overall findings, conclusions and recommendations.

- (a) The context of COVID-19: The timing of the evaluation during the COVID-19 pandemic response might impact on the availability of IOM staff and project stakeholders/

beneficiaries, and/or extend the time it will take to respond to the evaluation request and provide inputs.

Mitigation strategy: Early and close involvement of the project manager and former project managers to help coordinate meetings and ensure availability of key stakeholders. Interviews will take place remotely over a period of 4 weeks and will allow for an extended interview period to compensate for the disruptions that might be caused by COVID-19.

- (b) General problem of insufficient data or insufficient representative data collected, owing to poor response rate/recall from interviewees and availability of interviewees, especially as some might have moved on from respective institutions.

Mitigation strategy: Triangulation with other data gathering tools from different sources will help address data gaps.

- (c) Objective feedback– interviewees may be reticent to reveal the factors that motivate them or any problems they are experiencing or being transparent about their motivation or about internal processes.

Mitigation strategy: Anonymizing sources and ensuring interviews are conducted on a one-to-one basis in confidentiality as well as adherence to IOM's data protection principles can help address issues of reticence.

- (d) General bias in the application of causality analysis

Mitigation strategy: Judgements will be informed by the team and all findings will be reviewed jointly, as well as by the project manager and the main evidence for ratings will be described.

4. Workplan

The workplan is divided into three phases, covering a 10-week period:

Phase 1 – Inception: An initial meeting with the project manager to discuss the evaluation framework, identify stakeholders and to ensure involvement and ownership from the start. From this, a methodology, timeline, standard tools and evaluation approach has been developed and detailed in the inception report (this document).

Phase 2 – Data collection: During the second phase of the evaluation field work will be undertaken remotely. Interviews will be conducted through a virtual platform (Skype, Zoom, etc.), phone (WhatsApp) or email, and all relevant project data will be collected and reviewed.

Phase 3 - Report writing: During the final phase collected data will be analysed and a report drafted for validation. The results of the evaluation will be disseminated by means of the report.

The key tasks and timing are described in the following table:

| | November 2021 – January 2022 | | | | | |
|---|------------------------------|--------|---------------|-------------|-------|-------|
| Week beginning | 01.11. | 15.11. | 22.11.-20.12. | 20.12.-3.1. | 10.1. | 17.1. |
| Key tasks | 1 | 2 | 3 - 6 | 7-8 | 9 | 10 |
| Kick off meeting with project manager; document review | | | | | | |
| Drafting and delivery of inception report | | | | | | |
| Data collection: remote interviews | | | | | | |
| Data analysis and report writing | | | | | | |
| Delivery of draft report | | | | | | |
| Validation of the report by the project manager and Fund staff; finalisation of report and evaluation brief | | | | | | |

4.1. Team management

The evaluation will be carried out by Anita Leutgeb with Glenn O’Neil as a support and for quality control.

5. Deliverables

The following deliverables (draft and final) are foreseen for the consultancy: Inception report (this document), Executive summary, (2 pages), Evaluation report and Evaluation learning brief.

| Deliverables | Schedule of delivery (week beginning) |
|--|---------------------------------------|
| 1. Inception Report shared with IOM | 15.11.2021 |
| 2. Completed field data collection | 20.12.2021 |
| 3. De-briefing session with project manager delivered | 03.1.2022 |
| 4. Draft Evaluation Report | 10.1.2022 |
| 5. Final Evaluation Report, Evaluation Learning Brief Management Response Matrix | 17.1.2022 |

Annex One: Evaluation Matrix

| Key Evaluation Questions and sub questions | Indicators | Data Collection Tools | Sources of Information |
|--|--|-------------------------------|---------------------------------------|
| RELEVANCE: Extent to which the project's objective and intended results remain valid as originally planned or modified | | | |
| 1. Is the project aligned with national priorities and strategies, government policies, regional and global commitments? | Alignment of project with relevant national policies, strategies, government policies, regional and global commitments (e.g. international treaties and agreements). | Document review Interviews | Project documentation Interviewees |
| 2. To what extent were the needs of beneficiaries and stakeholders taken into account during project design? | Needs of beneficiaries and stakeholder groups reflected in project design. Evidence of consultation during project development and of project activities and outputs tailored to their needs | Document review Interviews | Project documentation Interviewees |
| 3. Was the project designed with a logical connection between its objective, outcomes, outputs and indicators based on a solid rationale/needs assessment? | Consistency and logic of the results matrix. Design of project according to IOM project development guidelines; SMART indicators and outcomes, needs assessment carried out. | Document review | Project documentation |
| 4. To what extent do the expected outcomes and outputs remain valid and pertinent as originally intended in terms of direct beneficiary needs? | Current relevance of project outputs and outcomes to beneficiary needs. | Document review Interviews | Project documentation Interviewees |
| 5. How adequately were human rights and gender equality taken into consideration during the project design and implementation? | Reference to human rights and gender equality concerns integrated into project design and deliverables. Informed opinion/perceptions of Project Manager and key informants on human rights and gender equality issues in relation to the project. | Document review Interviews | Project documentation Interviewees |

| | | | |
|---|---|-------------------------------|---|
| 6. Is the project in line with IOM/IOM Development Fund priorities and criteria? | Adherence to IDF eligibility criteria, IOM's current strategic focus and the principles/objectives of IOM's Migration Governance Framework (MIGOF). | Document review Interviews | Project documentation Interviewees |
| COHERENCE: The compatibility of the project with other IOM activities and interventions of the sector. | | | |
| 7. To what extent is this project compatible with other IOM activities? | Extent to which the project is compatible with other IOM activities in the country. | Document review Interviews | Project documentation External documentation Interviewees |
| 8. To what extent is this project compatible with other interventions in this field? | Extent to which the project is compatible with other identified interventions in this field. | Document review Interviews | Interviewees External documentation |
| EFFECTIVENESS : The extent to which the project achieves its intended results | | | |
| 9. Have the project's outputs and outcomes been achieved in accordance with the stated plans and results matrix? | Extent to which project outputs and outcomes have been achieved and the projects deliverables and results (expected and unexpected) led to benefits for stakeholders and beneficiaries. | Document review Interviews | Project documentation Interviewees |
| 10. Was the collaboration and coordination with partners (including project implementing partners) and stakeholders effective, and to what extent have the target beneficiaries been involved in the processes? | Level of Involvement and extent of effectiveness of target beneficiaries, partners and stakeholders in collaboration and coordination processes. | Document review Interviews | Project documentation Interviewees |
| 11. What major internal and external factors have influenced (positively or negatively) the achievement of the project's objectives and how have they been managed within the project timeframe? | Identification of influential a) internal factors (positive and negative) and b) external factors (positive and negative). Effectiveness of project management of internal and external factors. | Interviews | Interviewees |
| EFFICIENCY & COST EFFECTIVENESS: How resources (human, financial) are used to undertake activities and how well these are converted to outputs | | | |
| 12. How cost-effective was the project? Could the activities have been implemented with fewer resources without reducing the quality and quantity of the results? | Adherence to original budget- Level of budget variance. Extent to which the resources required for project activities could have achieved the same results with less inputs/funds, on a sustainable basis. | Document review Interviews | Project documentation Interviewees |

| | | | |
|--|---|-------------------------------|---------------------------------------|
| 13. How efficient was the overall management of the project? | Degree of timeliness of project inputs provided by stakeholders /beneficiaries needed to implement activities. Narrative and budget reports submitted on time. Implementation of project activities implemented as scheduled; any variations to the project reported and adapted on PRIMA | Document review Interviews | Project documentation Interviewees |
| 14. Were project resources monitored regularly and managed in a transparent and accountable manner to guarantee efficient implementation of activities? Did the project require a no-cost or costed extension? | Level and quality of monitoring of project resources. Incidence of no cost/ costed extension allocated. | Document review | Project documentation |
| 15. Were the costs proportionate to the results achieved? | Comparison of costs with identified results. | Document review Interviews | Project documentation Interviewees |
| IMPACT: How the project intervention affects outcome and whether these effects are intended or unintended. | | | |
| 16. Which positive/negative and intended /unintended effects/changes are visible (short and long-term) as a result of the project? | Incidence of positive and negative effects /changes (short and long-term, intended and unintended) to which the project contributes. | Document review Interviews | Project documentation Interviewees |
| 17. Can those changes /outcomes/ expected impact be attributed to the project's activities? Are there any contributions from external factors? | Estimation of contribution of project and identified external factors. | Document review Interviews | Project documentation Interviewees |
| SUSTAINABILITY : If the project`s benefits will be maintained after the project ends | | | |
| 18. Did the project take specific measures to guarantee sustainability and how was this supported by partners and the IOM? | Number of documented specific measures taken ensure sustainability; level of support by partners and IOM. | Document review Interviews | Project documentation Interviewees |
| 19. Have the benefits generated by the project deliverables continued once external support ceased? | Extent to which the benefits generated by the project have continued post external support. | Interviews | Interviewees |
| 20. Was the project supported by national/local institutions and well-integrated into national/local social and cultural structures? | Extent of sustainability measures taken by national /local institutions to support the project. | Interviews | Interviewees |

| | | | |
|--|---|-------------------------------|--|
| | Level of commitment by key stakeholders to sustain project result. | | |
| 21. Have adequate levels of financial resources and suitable qualified human resources within IOM and partners been available to continue to deliver the project's stream of benefits? | Extent of level of financial capacity and human resources of partners and IOM to maintain project's benefits in the future. | Interviews | Interviewees |
| Cross Cutting Criteria | | | |
| 22. Was the project designed and planned, taking into consideration a gender analysis, needs assessment and available guidance? | Extent to which the project has carried out a gender analysis and needs assessment and followed MA/59 (Guidelines on Implementing the IOM Programme Policy on Migrants and Gender Issues) and MA/62 (Guide on Gender Indicators for Project Development). | Document review Interviews | Project documentation Interviewees |
| 23. If greater gender equality was created through the project, has there been increased gender equality beyond project completion? | Extent to which gender equality has been created by the project and is still evident. | Document review Interviews | Project documentation Interviewees |
| 24. During data collection (if carried out during implementation), were the persons interviewed or surveyed diverse and representative of all concerned project's partners and beneficiaries and the data appropriately disaggregated and in respect of IOM's Data Principles? | Extent to which data collected is representative of the diversity of the project's partners and beneficiaries. Application of IOM's Data Protection Principles. Disaggregation of data collected e.g. by age, disability, displacement, ethnicity, gender, nationality, migration status. | Data analysis Interviews | Project documentation/data Interviewees |
| 25. How were the various stakeholders (including rights holders and duty bearers, local civil society groups or nongovernmental organizations) involved in designing and/or implementing the project? | Level and quality of involvement of stakeholders designing and/or implementing the project. | Interviews Document review | Interviewees Project documentation |

Annex Two: Draft structure for evaluation report

1. Executive summary
2. List of acronyms
3. Introduction
4. Context and purpose of the evaluation
 - context
 - evaluation purpose
 - evaluation scope
 - evaluation criteria
5. Evaluation framework and methodology
 - Data sources and collection
 - Data analysis
 - Sampling
 - Limitations and proposed mitigation strategies
6. Findings
7. Conclusions and recommendations
8. Annexes:
 - Evaluation terms of reference;
 - Evaluation inception report;
 - Evaluation matrix;
 - Timeline,
 - List of persons interviewed or consulted;
 - List of documents/publications consulted;
 - Research instruments used (interview guidelines, survey, etc).

Annex Three: Interview guide

This guide is intended for interviews with internal and external stakeholders. The questions will be adapted on the basis of the persons being interviewed.

| Interview Questions | | Informants |
|----------------------------|---|-------------------|
| General | | |
| 0.1 | Please briefly explain your work at IOM/external organisation (and how long have you been in this position?). | All stakeholders |
| 0.2 | What has been your role and involvement in the project being evaluated? At what stage did you become involved in the project? | All stakeholders |
| Relevance | | |
| 1.1 | How well aligned is the project with relevant national/regional policies, organisational mandates and global commitments? - What were the national / regional policies the project aligned to? - How well aligned is the project to the IOM mandate and relevant country and regional strategies/ MIGOF? | All stakeholders |
| 1.2. | How relevant was the project to the needs and priorities of stakeholders and beneficiaries? - Were stakeholders and beneficiaries consulted during the development of the project? If so, were the project activities/outputs tailored to their needs? Did they change at different stages of the project? - To what extent were their needs reflected in project design? | All stakeholders |
| 1.3. | Were the project activities and outputs consistent with the intended outcomes and objective? -Is the original project logic still relevant? Did the assumptions hold true? If not, how were the results affected and how did the project respond? - To what extent, if any, was the project revised/amended from the first to the second phase, to be more relevant to stakeholders' needs? | IOM Staff |
| 1.4. | How did the project consider human rights, protection mainstreaming, and gender equality during the project design and development (and implementation?) | All stakeholders |
| Coherence | | |
| 2.1. | How well is the project integrated with other IOM work in the country? | IOM staff |
| 2.2 | How well is the project integrated with other work with similar objectives? | All stakeholders |
| Effectiveness | | |
| 3.1. | Did the project produce the intended results, compared to its plan and target outputs? How was the quality of results? -Does this include gender and HR considerations? | All stakeholders |

| | | |
|---------------------------------------|---|--------------------------------------|
| | | |
| 3.2. | What role did collaboration and coordination play in the project's achievements? [With the different government departments, consultants and other stakeholders]. | All stakeholders |
| 3.3. | What would you describe as the factors [Classify by internal or external] which helped or hindered the achievement of the output, outcome and objective results? And, how did the project respond / adapt to those factors? | All stakeholders |
| Efficiency and Cost Efficiency | | |
| 4.1. | To what extent did the project represent the best possible use of available resources to achieve results of the greatest possible value to stakeholders and beneficiaries involved? | All stakeholders |
| 4.2. | How well was the project implemented; were all inputs delivered on time? -Were the project activities undertaken and were the project outputs delivered on time / within budget, as planned? | IOM staff |
| 4.3. | Were project resources monitored regularly and managed in a transparent and accountable manner to guarantee efficient implementation of activities? Did the project require a no-cost or costed extension? | IOM staff |
| 4.4. | Are the costs proportionate to the results achieved? | IOM staff |
| Outcomes and Impacts | | |
| 5.1. | What would you describe as the positive/ negative changes resulting from the project in the short term and longer term? [Classify by intended or unintended] | All stakeholders |
| 5.2 | Can those changes / expected impact be attributed to the project's activities? Are there any contributions from external factors? | All stakeholders |
| Sustainability | | |
| 6.1 | What measures did the project take to ensure sustainability? | IOM staff Government institutions |
| 6.2 | How likely are the benefits of the project to continue and what are the main factors that influence the achievement or non-achievement of project sustainability? | IOM staff Government institutions |
| 6.3. | How well has the project been supported by national/local institutions and how well is it integrated? -What sustainability mechanisms/options were put in place by the Government and/or partners to ensure that project results are sustained? -Are there sufficient resources in place to ensure sustainability of the project's financial and human resources? | IOM staff Government institutions |
| 6.4. | What resources are there within IOM and partners to continue to deliver the project's stream of benefits? - To what extent have the partners and beneficiaries been able to 'own' the outcomes of the project post funding? | IOM staff Government institutions |
| Cross Cutting | | |
| 7.1. | Were the guidelines MA/50 and MA/62 referred to when designing the project? | IOM staff |
| 7.2. | To what extent is gender equality created by the project still evident? | IOM staff |

| | | |
|--------------------|---|------------------|
| 7.3. | Is the data collected representative of the diversity of the project's partners and beneficiaries? Were IOM's Data Protection Principles applied? | IOM staff |
| 7.4. | What was the level of involvement of stakeholders in designing and/or implementing the project? | All stakeholders |
| Other | | |
| 8.1. | What would you recommend for the continued success for this project's results (and other similar)? | All stakeholders |
| 8.2. | What would you say are the main lessons learnt from this project? 1) for the management of the project and 2) the results achieved? | All stakeholders |
| Any other comments | | All stakeholders |

Annex Four: Checklist for evaluation

Following is a checklist that will be followed by the evaluation team for the evaluation.

| # | Step | Yes / No Partially (specify date) | Explanation / comment |
|---|--|--|------------------------------|
| <i>Inception and preparatory phase</i> | | | |
| 1. | Document review by Owl RE team | | |
| 2. | Kick-off meeting with project manager | | |
| 3. | Creation of an inception report | | |
| 4. | Validation of inception report by project manager | | |
| 5. | Validation of inception report by Fund team | | |
| 6. | Creation of interview schedule by project manager | | |
| 7. | Reception and comment on interview schedule by the evaluation team | | |
| <i>Data collection phase</i> | | | |
| 8. | Initial briefing with IOM manager/staff | | |
| 9. | Data collection conducted with main stakeholder groups | | |
| 10. | Feedback presentation/discussion with IOM manager/staff at conclusion of data collection | | |
| <i>Analysis and reporting phase</i> | | | |
| 11. | Compilation and analysis of data /information | | |
| 12. | Quality control check of evidence by evaluation team leader | | |
| 13. | Submission of draft report to project manager and Fund team | | |
| 14. | Reception of comments from project manager and Fund team | | |
| 15. | Consideration of comments received and evaluation report adjusted | | |
| 16. | Validation of final report by project manager | | |
| 17. | Validation of final report by Fund team Production of learning brief | | |

Annex 5: Results Matrix (see figure 1)

Annex two: List of persons interviewed

1. Linda Manjate, Former Project Focal Point, IOM Mozambique
2. Alberto Muxa, Former Project Focal Point, IOM Angola
3. Mohamed Cherif Diallo, Former Project Focal Point, IOM DRC
4. Ines Raimundo, Lead researcher, Eduardo Mondlane University Mozambique
5. Filip Mate, Researcher, Eduardo Mondlane University Mozambique
6. Waldo Diaz Piñera, Labour health expert, Ministry of Health, Mozambique
7. Innocent Cigoho, Researcher, DRC
8. Benjamin Cibaye, Researcher, DRC
9. Théophile Basoshi, Provincial Director of SAEMAPE (*Service d'assistance et d'encadrement des mines artisanales et de petit échelle*), DRC

All interviews were conducted remotely during November and January 2021 and had a duration of about 15 minutes to 1 hour.

Annex three: List of documents / publications consulted

Project documentation:

- Endorsed proposal and budget
- Narrative and financial interim and final reports
- Project Performance Review Report
- A comparative perspective of the trends and potential of managed migration flows within responsible informal artisanal mining in Angola and Mozambique, Maputo, January 2019
- Projet Regional sur l'artisanat minier, Étude comparative de la mobilité humaine et la traite migratoire dans le secteur minier artisanal de l'Angola, du Mozambique et de la République Démocratique du Congo, Rapport d'étude effectuée dans les Provinces du Nord et du Sud Kivu en République Démocratique du Congo, Prof. Dr. Albert B. Kalonga, Octobre 2018

Other documents:

- Final Report to the Swiss Agency for Development and Cooperation on the Provincial multi-stakeholder global migration conference Cabo Delgado Province
- PROMINES Study, Artisanal Mining in the Democratic Republic of Congo, Pact Inc., June 2010
- Migration Policy Framework for Africa and Plan of Action (2018-2030), African Union, May 2018

- IOM Guide on Gender Indicators for Project Development (January 2006)
- IOM Project Handbook (July 2017)
- IOM Fund eligibility criteria (undated),
- IOM mission and strategic focus (undated)