MID-TERM EVALUATION OF THE SCALING UP iTSCi MINERAL TRACEABILITY PROJECT

A focus on project activities in Burundi and Democratic Republic of Congo (North Kivu and South Kivu)

Authors:
Anselm Iwundu
Michiel Hillen
Jeredy Malonga Kambasu

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About this report

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Authorship

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Front page cover photograph by Anselm Iwundu | Miners in Nyabibwe, South Kivu, DRC, listening to Evaluators during a mine visit in December 2016.

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Disclaimer

Acronyms and Key terms

The table below presents acronyms and description of some key terms and expressions used in this report.

3TG	Tin, Tantalum, Tungsten and Gold
ARDERI	Association Régionale Pour le Développement Rural Intégré
ASM	Artisanal and Small Scale Mining
BEPAT	Bureau d'Elaboration des Projets et d'Application Technique
BGR	German Federal Institute for Geosciences and Natural Resources
CEEC	Centre d'Evaluation, d'Expertise et de Certification
CFTI	Conflict Free Tin Initiative
CFSP	Conflict Free Smelter Programme
CLS	Comité Locale de Suivi
CMM	La Société Congo Minerals & Metals
CPP	Comité Provincial de Pilotage
CSO	Civil Society Organisation
CTO	Chargé des Techniques et Opérations
DMFA	Dutch Ministry of Foreign Affairs
EPRM	European Partnership on Responsible Mining
GIZ	German Society for International Cooperation
GLR	Great Lakes Region
GRF	Gender Resource Facility
ITRI	Global tin industry association
iTSCi	ITRI Tin Supply Chain Initiative
MONUSCO	Mission de l'Organisation des Nations Unies en République démocratique du Congo
MOU	Memorandum of Understanding
NK	North Kivu
OBM	l'Office Burundais des Mines et Carrières
OCA	Organizational Capacity Assessments
OECD	Organisation for Economic Co-operation and Development
OGP	l'Observatoire pour la Gouvernance et la Paix
OHS	Occupational Health and Safety
OPI	Organizational Performance Index
PDA	Personal Digital Assistant
PPA	Public Private Alliance
SAESSCAM	Service for Artisanal and Small Scale Mining
SECOMIB	Société d'Exploitation et de Commercialisation des Minerais du Burundi

SMB	Societe Miniere de Bisunzu
SK	South Kivu
Scaling up iTSCi	Refers to the "Scaling Up iTSCi Mineral Traceability in the Great Lakes Region project" which includes: the field implementation of iTSCi traceability & due diligence and other accompanying aspects enhancing social value such as training on business literacy skills and occupational health and safety for ASMs;
Sector	Refers to production unit, which generally corresponds to a mining concession.[1]
Sites	Refers to pits and/or tunnels. [2]
Sub-sector	Refers to production unit, which is composed by different numbers of pits, tunnels. This corresponds to the mining sites as per OECD definition. [3]
Validated sites	Implies mine sites that have been classified as "*green*" by the Congolese government.

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Executive Summary

The Netherlands Ministry of Foreign Affairs currently provides a three-year financial support to Pact for the implementation of the Scaling up iTSCi mineral traceability project in Rwanda, Burundi and the DRC (Katanga, Maniema, North Kivu and South Kivu).

This evaluation is intended to provide the DMFA with a broad qualitative assessment of the progress of the Scaling Up iTSCi project at the mid-term mark. It comes on the heels of the Pact Scaling up iTSCi 2015 annual report which already provides detailed qualitative data and analysis. Due to security and other limitations, the mid-term evaluation was less extensive, concentrating mainly on activities and stakeholders in Burundi and two provinces in the DRC (South Kivu and North Kivu).

Several internal data and literature sources were reviewed, a mine visit was conducted to Nyabibwe Kalimbi mine in South Kivu and over 40 stakeholders and project partners in Burundi and the DRC were interviewed. The project was assessed on four broad areas: project functioning, project effectiveness, project improvement and project sustainability. Below is a summary of the findings on the four assessment areas:

1. Project functioning: General assessment of the extent that the incorporated lessons learned from CFTI influences the actual functioning of the Scaling Up project.

The evaluators conclude that the main lessons from the CFTI are being sufficiently taken into consideration in the implementation of the Scaling up iTSCi project. Only a few of the stakeholders interviewed in the field were aware of the lessons learned from the CFTI. Pact being a principal party involved in the scaling up project is fully aware of the lessons learned from the CFTI and has taken them into account in the design of the Scaling up iTSCi project.

A number of Pact staff already worked on the CFTI project and as a result, these staff members have been able to bring in their experience from the CFTI project into the management of the Scaling up iTSCi project. Several interviewees maintained that the CFTI project paved the way for the supply of 'conflict-free' minerals from the entire GLR, and as such they view the scaling up project as an extension of the CFTI. Some of the actions being taken on the CFTI lessons are summarised below:

- Ensuring market inclusivity: The Scaling up iTSCi project has been designed to support an inclusive and open market approach to mineral trade in the GLR. Inclusivity is a key goal and benefit of the project as it has currently formalised thousands of ASMs that would otherwise be left out from the region's mineral trade and extended iTSCi to territories in the DRC like Walikale and Shabunda, which were once known for conflict minerals.

- Reinforcing the role of governments: The project is implementing training and capacity building activities to empower governments in the DRC and Burundi to take responsibility for ensuring improved security, taxes and better mining operations. For example, in the DRC government agents from SAESSCAM, Mine Division and CEEC have been trained in two pilot sites on electronic data collection, so that they can efficiently collect accurate data for the traceability system. In Burundi, the government has recently revised (reduced) the taxes charged to cooperatives and comptoirs partly due to intervention by the project.

- Reducing confusion and opportunities for fraud: The scaling up project is so far successful in monitoring and resolving incidents and ensuring conflict-free mineral trade within the region. In the DRC, Pact/iTSCi monitors and resolves incidents at mine sites, along transport routes and internationally. Pact/iTSCi is in partnership with the local NGO, Save Act Mine (SAM) to monitor incidents and to implement whistleblowing to supplement the incident reporting process. Border guards in DRC and Burundi have only one type of tag to recognize and approve, which dramatically reduces confusion and the potential for fraud.

- Formalising more mine sites: The project has made significant progress in ensuring that there are more ASMs and mines operating within the iTSCi system. For the entire project (including all active countries), by the end of 2016 the iTSCi programme was operational in 1,690 mine sites, with 725 of them active. During this year, the number of miners was 50,229.

- Ensuring local integration and ownership: The scaling up project is intended as a system whereby government authorities and other parties can implement and mainstream the local activities of the project on a long term. At a high level, ITRI has established partnerships with the Burundian and Congolese governments operating with clear MoUs. In addition local governance structures such as the CLS and CPP have been set up and are relatively active in both countries either at mine level, national or provincial levels. This has greatly facilitated local ownership.

- Achieving gender equality: The recommendations from the GRF gender study is now being taken into account by Pact/iTSCi in its Baseline study template, as well as the development materials for the OHS and WORTH programme in the DRC. For example, SAESSCAM through the OHS committee carried out sensitization in which women's rights and sexual violence were part of the discussion.

2. Project effectiveness: Assessing the extent to which objectives are being met at outcome and output level.

In 2015 and 2016, the Scaling up iTSCi project faced unforeseen challenges posed by low prices of commodities, low production levels and the impact of the political and security situation especially in Burundi and the DRC, which affected the delivery of the expected results. Nevertheless, the project is effective and has made progress in realising many of its output and outcome targets for each of the three objectives, as summarized below (Note that as at the time of evaluation, some of the results for the scaling up project were still being compiled; so the final numbers are still likely to change):

- Objective 1: Improve the formalisation of ASMs and mineral trade:
  - Based on the results on the state of implementation of the iTSCi system from 2014 to 2016, the evaluators conclude that there has been significant improvement and increase in the number of (active) sites, number of miners and average mine level production in NK, SK and Burundi between 2014 and 2016. This is quite an achievement by the project considering the contextual challenges in Burundi and the DRC during these years.
  - A crucial and significant milestone for the project, was the extension of iTSCi to Walikale and Shabunda territories in 2015. This is especially positive for the communities in these territories that depend on mineral extraction and trade for their livelihoods, as both territories were long considered as infamous 'conflict minerals' areas in the DRC.[4]

- There was an increase in the number of government agents in mines and depots implementing the iTSCi system, from 650 (expected) to 670 (realised) in 2016. However, during the year, the number of government agents trained on the electronic PDAs was less than expected – 100 (expected) and 46 (realised). Pact/iTSCi placed less emphasis on training of agents during the last part of 2016 following a decision to invest in substituting the current software for a more user-friendly and cost-effective version. Overall, it is positive that there are more government agents at iTSCi mines and more trained agents on the electronic PDA than at the baseline year.

- Objective 2: Strengthen good governance and transparency of conflict-free minerals:
  - With respect to strengthening good governance and transparency of conflict-free minerals, the evaluators observed visible progress. Functioning structures have been created like the CLS and CPP. Different parties in the committees also attested that the committees are well organised at both local and provincial levels and they provide actionable and timely information to the group.
  - Two partners of Pact/iTSCi – ARDERI and BEPAT – have concluded OPI and OCA assessments and due diligence trainings given by Pact/iTSCi and have developed their plan of actions to address the findings and implement recommendations. BEPAT attests that the trainings and assessments from Pact was extremely beneficial for their organisational development.
  - In 2015, the project surpassed the target for due diligence and voluntary principles trainings organised for the CLS and CPP (8 trainings were expected while 12 trainings were realised). However, in 2016, only 3 have been organised compared to the 8 trainings expected; this was primarily because Pact/iTSCi observed that the quality of discussions in these committee meetings improved and thus switched to giving more attention to other activities including OHS.
  - In 2015 and 2016, the number of incidents reported and addressed by the CLS and CPP were significantly higher than expected; similarly the number of security incidents in the vicinity of mines participating in the project increased in 2016. While these are not positive outcomes, a number of reasons could account for this, including that the number of data related incidents tend to increase with an increasing number of new sites in the system. In this case, between 2015 and 2016, 200 more sites have been added to the iTSCi system.
  - Pact/iTSCi is successfully raising awareness about the project among stakeholders. For example, the project made a number of presentations at international meetings such as OECD, TIC and EICC. In 2015 and 2016 the number of presentations made were 7 and 9 respectively. This is higher than the planned 6 presentations for each year. Similarly in 2016, 20 organisations were represented during the organised quarterly stakeholder calls for the Scaling up project. This is higher than the expected 15 for 2016 and significantly higher than 5 realised in 2015, indicating a growing stakeholder interest in the program.

- Objective 3: Strengthen security and economic capacity of the mining sector:
  - There was strong focus and significant progress in 2016 on improving occupational health and safety in mines. SAESSCAM for example requested OHS trainings during their capacity assessment. From June to August 2016 train the trainers on OHS in mines was organised in Goma (NK), Bukavu (SK) and Kindu (Maniema) with participation of amongst others, government agents, cooperatives and mine police. OHS committees are formed to implement follow-up activities after these trainings. Over thirty OHS sensitization activities

have been implemented with 2,070 people sensitized. This result is significantly higher that the expectation for 2016 (i.e. 200 people).

- In 2016, 18 WORTH groups were formed in Rubaya (NK) and Manono (KT). Among the 18 WORTH group, there are 7 women groups, 3 men groups, and 8 mixed groups, with a total of 421 members between these two provinces, who have started their saving activities. Trainings on savings started in North Kivu in October and the groups formed there have saved almost 1,500 USD up until December 2016. This result is quite positive considering that the WORTH groups were only formed in September 2016.

3. Project improvement: Assessing if the design or implementation of the project should be improved to better achieve the project objectives

The evaluators conclude that the Scaling up project is well designed in the sense that the proposed project interventions and work plan are fit to realise the targets outlined for each objective and also considering the context in which the project is being implemented (i.e. the prevailing market and political dynamics) which is often outside the control of Pact/iTSCi. In general, it is important to note that almost all stakeholders attested that iTSCi is the most effective due diligence and traceability system for the GLR, as it covers all segments of the mineral supply chain, from miners to exporters.

In NK and SK, most of the interviewed parties were quite positive about the current functioning of the scaling up project. They particularly credit the smooth functioning to the good collaboration and relationship they have developed with Pact staff. During the interviews in NK and SK, many suggested improvement measures were highlighted. Some of which are presently outside the current project scope and mandate. The improvements measures raised can be summarised as follows:

- measures that aim to significantly reduce errors and bureaucracy in the entire system from validation of mine sites to export; and
- measures to restructure and professionalize existing ASM cooperatives.

In Burundi, although the project is already improving mineral trade, most of the interviewees expressed desire for other social value added activities. They acknowledge that without iTSCi traceability system, mineral trade would not be possible for ASMs in Burundi, yet they expect other additional activities that would improve the knowledge and livelihoods of the ASMs. It is important to stress that only limited activities could be implemented by Pact/iTSCi in Burundi due to the current political and security situation as well as the low mine level production of minerals in the past couple of years. As such, funds have mainly been used to maintain the traceability system and not to extend to other activities such as WORTH and OHS. In Burundi, some interviewees also expressed scepticism and an apparent lack of understanding about the intention of the project, citing that they feel the system is just another means to raise taxes and levies. The improvement measures highlighted can be summarised as follows:

- measures to ensure better understanding and ownership of the traceability system and its benefits, and
- measures to provide better technical and financial support directly to ASMs and their cooperatives.

4. Project sustainability: Assessing the extent to which systems are put in place to support the continued implementation of the project should the DMFA financial support stop.

The project's financial sustainability is summarised in two parts: financing for Objective 1 and financing sustainability for Objective 2 and 3.

- Financing of Objective 1: The evaluators conclude that although the iTSCi levy mechanism was intended as a self-financing structure for the project over time, in 2015 and 2016 this was not fully feasible. This was mainly due to the fact that the low prices of mineral commodities combined with the significantly low mine level production (especially in Burundi) could not generate enough levies to cover the costs of the traceability system. The DMFA support was a necessary intervention during this period. However, the financial situation is improving and as from January 2017, Objective 1 will be entirely non-donor funded. Without DMFA support, most of the activities in Objective 1 will continue, but it is unclear how this would affect the extension of iTSCi to additional sites. This should be considered carefully in the decision to stop the DMFA support.
- It is important to highlight that many of the stakeholders interviewed in the field are neither aware of the financial state of the project nor this financial self-sufficiency. They still assume that the traceability system is dependent entirely on donor financing. This has led to a fear that without continued financial support from donors (like the DMFA) for the Scaling up iTSCi project after the three years, the situation of mineral trade and security in general could deteriorate. Therefore, it is important to at least strengthen communication with all key stakeholders at the local level regarding the overall financing structure and state of affairs, in order to safeguard their commitment and confidence in the system.
- Financing of Objectives 2 and 3: Presently, the DMFA support is used for financing several activities in objective 2 and 3 which are preferred but not essential to the operation of the traceability system. Without the DMFA support, these activities (e.g. Capacity development, OHS and WORTH) will most likely stop unless Pact/iTSCi secures additional support elsewhere. It is worth noting that there have been some actions by Pact/iTSCi towards raising funds for complementary project activities, for example the recent financial commitment of Qualcomm to co-finance the development of the OHS curriculum as well as funding from the PROMINES project for supporting the OCA and OPI trainings for SAESSCAM branches.

Recommendations

Below is a summary of recommendations proposed by the evaluators based on their observations in the field and extensive input from stakeholders interviewed. A few of these recommendations could be addressed within the current project scope and mandate, while many others are outside the current project scope and would therefore require additional programming and funding.

Recommendations that could be linked to the current project scope and mandate include:

- Implement more intensive trainings for agents in NK and SK who complete these log books and forms in the field, to ensure that they master how to fill them correctly and legibly, so as to avoid errors and bureaucratic delays;
- Follow-up on the plan to improve the software of the PDA system making it more user friendly for field agents in the Kivus;
- Endeavour to fully activate the WORTH programme in the DRC in the agreed project areas identified in the work plan;

- Organise intensive sensitivity trainings for all parties in Burundi (especially government officials) on what the mineral traceability system is about, its benefits to the different players and why it is essential for Burundi as a country;
- Endeavour to make the link between OHS activities and productivity of miners. Stories of best practice of this should be identified, documented and shared with miners;
- Ensure greater transparency to all the key local stakeholders regarding the overall financing structure and financial state of affairs of the project; and
- Together with the DMFA, explore the possibility of continued multi-year project funding for at least objective 2 and 3 (or funding for new programming) via the recently established European Platform for Responsible Minerals (EPRM)

Recommendations outside the project scope and requiring new programming and funding include:

- Set up a microfinance scheme specifically for ASMs to invest in mining equipment and safety gears;
- Extend activities such as WORTH, OHS and extend the electronic PDA to Burundi.
- Reinforce the monitoring of human rights situation related to the mining sector in Burundi and at later stage start initiate capacity development activities to develop the organisational capacities of local independent CSOs to work towards improving human rights and other issues in the mining sector;
- Assist in organising and formalising more ASMs into cooperatives in the DRC and advocate for better restructuring and professionalization of existing cooperatives;
- Collaborate with actors such as the World Bank and OBM in Burundi to establish activities aimed at enhancing the technical knowledge of ASMs, including providing consistent data on production levels and improved techniques for mineral exploration, extraction and cleaning;
- Assist with advise on the transparent management of the locally established 'Basket Funds' in the DRC and encourage its use for the procurement of field necessities for agents such as electronic weighing scales, photocopiers, etc.;
- Collaborate with actors such as the World Bank to advocate towards the Government of Burundi to consider a longer-term mining license for cooperatives; and
- Collaborate closely with customs and border agents as well as other projects that work to address illicit border trade of minerals, especially in the DRC.

Figure 1 A miner weighing a 45kg bag of minerals before tagging.

Introduction

The Scaling up iTSCi mineral traceability project is a three-year project being implemented by Pact and its partners in Rwanda, DRC (North Kivu, South Kivu, Katanga and Maniema) and Burundi. The project seeks to improve governance and benefits of the mining and trading of tin, tantalum and tungsten (3Ts) in the GLR. It does this by supporting iTSCi's due diligence and mineral traceability portfolio, as well as by integrating other social components.[5]

While the majority of funding for the iTSCi traceability system is generated through an industry mechanism,[6] the DMFA provided crucial donor funding to Pact for a portion of this traceability activity (i.e. objective 1) during a period of re-activation of 3T mining and for other activities related to social change (objective 2 and 3).

The project is currently halfway through implementation and as a result a mid-term evaluation is necessary. The DMFA has therefore commissioned Profundo consultants to conduct this mid-term evaluation to provide a broad assessment on whether the project leads to the expected results.

To provide a general qualitative assessment, the evaluators concentrated on activities and stakeholders in Burundi and the Democratic Republic of Congo DRC (specifically South Kivu and North Kivu. Several internal data and literature sources were reviewed, a mine visit to Kalimbi Nyabibwe mine in South Kivu DRC was conducted and over 40 stakeholders and project partners in Burundi and the DRC were interviewed.

The project was assessed on four broad areas: project functioning, project effectiveness, project improvement and project sustainability.

This report presents the findings and recommendations by Profundo consultants.

The report is structured into four chapters: Chapter one presents the background of the assignment and the main objectives. Chapter two outlines the methodology and scope of the assignment. Chapter three presents a discussion of the findings. Chapter four outlines a few recommendations based on the findings.

A summary of the findings and recommendations of this assignment can be found on the first pages of this report.

Chapter 1 Background and Objectives

1.1 Background

Africa's Great Lakes Region (GLR) possesses large quantities of minerals, and mineral production and trade are central to the countries in the region. Most mining activities in the GLR involve artisanal and small-scale mining (ASM), rather than large industrial mines. In recent years, the link between minerals sourced through ASM in the GLR and the way in which these minerals are used to fuel and perpetuate conflict has drawn international attention. Four so-called 'conflict minerals' were identified (tin, tantalum, tungsten and gold, collectively referred to as 3TG), as they could often be linked to conflicts and human rights violations in ASM. The international attention resulted in several measures intended to break the link between minerals and conflict. The 2010 Dodd Frank Act in the United States, the OECD Due Diligence Guidance (and the recently agreed EU legislation on conflict minerals) have all set new standards for trade in minerals from the GLR and from elsewhere.[7]

In 2012, the Dutch Ministry of Foreign Affairs (DMFA) convened a coalition of companies from all stages of the supply chain to encourage them to return to the most conflict affected areas of the GLR for their minerals, after the Dodd-Frank Act had led to a de facto embargo. The coalition supported the implementation of ITRI Tin Supply Chain Initiative (iTSCi) in South Kivu through the Conflict-Free Tin Initiative (CFTI), with the NGO Pact as implementing partner for field activities of iTSCi. Over the course of two years, CFTI showed that it is possible to provide a supply of conflict-free minerals to the international market, even from the most complex and volatile regions in the DRC, and that this results in enhanced local economies, social benefits and security. The project concluded in 2014 although work in the project areas was sustained by industry. In 2015, Pact and iTSCi announced a follow-on project, again with the DMFA, called Scaling up iTSCi Mineral Traceability in the GLR in order to roll out the impacts more widely.[8]

The Scaling up iTSCi project is a three-year project that aims to improve governance and benefits of the mining and trading of tin, tantalum and tungsten (3Ts) in the GLR. It does this by supporting iTSCi's due diligence and mineral traceability portfolio, as well as by integrating other social components.

It has three main objectives.

- First, it aims to improve the formalisation of artisanal mining and mineral trade, for example through strengthening data collection systems for traceability, including through support to government services targeted to continue implementation in the long term.
- The second objective is to strengthen good governance and transparency of risks in mineral supply chains, for instance through building the capacities of NGO partners, government agents, stakeholders group at the local and provincial levels, mining cooperatives and local business.
- The third objective is to strengthen security and economic capacity of the mining sector, for example through focusing on occupational safety and health (OHS) and strengthening the economic capacity (knowledge on saving and basic economics) of artisanal miners.

As the project is currently halfway, the DMFA commissioned Profundo to conduct a mid-term evaluation to assess broadly if the Scaling up iTSCi project leads to expected results.[9]

1.2 Objectives and assessment questions

The goal of the assignment is to produce a midterm evaluation report that gives a broader assessment of how the scaling up mineral traceability project is functioning, and if changes in the project design or implementation are needed. It is important to stress that this qualitative assessment comes on the heels of the Pact Scaling up iTSCi 2015 annual report which already provides detailed qualitative data and analysis. Due to security and other limitations, the mid-term evaluation was less extensive, concentrating mainly on activities and stakeholders in Burundi and two provinces in the DRC (South Kivu and North Kivu).

The objectives and assessment questions are as follows:

- Objective 1: Assessment of the extent that the incorporated lessons learned from CFTI influence the actual functioning of the Scaling Up iTSCi project;
  - What are the lessons learned from CFTI and how are they reflected in the project design of the Scaling Up iTSCi project?
  - Are the involved parties, meaning PACT, ITRI, ITSCi, Bepat and Arderi, aware of the lessons learned from CFTI? If yes, to what extent do they take them into account in the management of the Scaling Up iTSCi project?
  - Do the involved parties feel that the lessons learned from CFTI influence the actual functioning of the Scaling Up iTSCi project? If yes, how? If no, why not? [10]

- Objective 2: Assessment of the effectiveness of the project
  - To what extent are objectives at outcome level being met for the project?
    - To what extent are objectives at outcome level being met for objective 1: Improve the formalization of artisanal mining and mineral trade?
    - To what extent are objectives at outcome level being met for objective 2: Strengthen good governance and transparency of conflict-free minerals?
    - To what extent are objectives at outcome level being met for objective 3: Strengthen security and economic capacity of the mining sector?
  - To what extent do the involved parties feel that they can influence reaching the objectives and to what extent do they feel external factors are determining?
  - Are the project activities adequate to realize the project objectives? [11]

- Objective 3: Assessment of the sustainability of the project
  - To what extent does the Scaling Up iTSCi project establish processes, systems and knowledge and expertise/experience that are likely to support the continued implementation of the project after donor support stops?
  - Are the involved parties willing and able to continue the Scaling Up iTSCi project activities on their own? [12]
- Objective 4: Recommendations for changes in project design
  - How do the involved parties feel about the current functioning of the Scaling Up project? Is there room for improvement, in their view, and if yes, what kind of improvements?
  - How can the overall design of the project be improved to better achieve the project's objectives? [13]

Figure 2 A mineral tagging point in Kalimbi Nyabibwe mine.

Chapter 2 Methodology and Scope

2.1 Methodology

In line with the terms of reference, a qualitative method was used in the mid-term evaluation. The methodology consists of reviewing several internal and external documents, conducting semi-structured interviews with key stakeholders and a mine visit in South Kivu. At first it was decided not to include a mine site visit in the evaluation study because of the short notice received by the consultants and the security situation in the Kivus and in Burundi. At a later stage, and in consultation with both the DMFA and Pact, it was decided to add a mine site visit to the evaluation study. Such a visit presents an added value of understanding the project and direct interaction with local stakeholders, communities and committees. The mine that was selected for this site visit was the Kalimbi tin mine near Nyabibwe (South Kivu). A survey was planned but was not conducted due to the small sample size of stakeholders.

2.1.1 Literature Review

The evaluation team reviewed a substantial number of publications on mineral traceability in the region as well as on the CFTI and Scaling up iTSCi project. Most of the documents reviewed were received from Pact, ITR, SAESSCAM, World Bank, ARDERI and BEPAT. Other documents were found online. All documents were professionally written and were considered by the evaluators as very useful resources for the evaluation. A list of key documents reviewed for the evaluation study can be found in appendix 1 to this report.

2.1.2 Stakeholder Interviews

For the evaluation study 36 stakeholders were interviewed in the field, of which 13 in North Kivu, 11 in South Kivu and 12 in Burundi.

Stakeholder groups represented include:

- Pact staff and local partners;
- Government agents and officials (Ministers, DGs, etc.);
- Local civil society organisations (CSOs);
- Representatives of cooperatives;
- Négociants and comptoirs (traders, exporters).

The interviews served to obtain the perspectives of the different stakeholders on the four assessment areas namely: project functioning, project effectiveness, project improvement and project sustainability. The outcomes are presented in chapter 3. A full list of stakeholders that were interviewed for the evaluation study can be found in appendix 2 of this report.

During the drafting of this report, representatives of Pact and ITRI were consulted and provided extensive input both written and in interview. Their input have been largely incorporated.

2.1.3 Mine Site Visit

During the mine visit, the evaluation team was accompanied by Pact field staff. The visit comprised a tour around the village, a meeting with government officials, as well as a visit to the mining site uphill. At the mine site, the evaluators had the opportunity to have a group meeting with over 40 people consisting of miners, agents, négociants and heads of cooperatives who were attending a SAESSCAM OHS sensitization meeting. The group conversation mainly served to get a better understanding of the impact of OHS awareness and sensitization trainings especially from the

perspective of the miners, and to get feedback from the miners on their challenges and experience with the Scaling up traceability project and on improvement measures under the project.

Nyabibwe Kalimbi Mine Site
The Nyabibwe Kalimbi mine was selected for a site visit because it gives an almost perfect example of the potential beneficial impact that responsible ASM operations can have on the economic development of miners and their community.

Nyabibwe is located roughly halfway between Goma and Bukavu, in Kalehe territory in South Kivu Province. The local tin (cassiterite) mine called Kalimbi is situated around 5 km from Nyabibwe town. The Kalimbi mine is divided in two sections, called T20 and Koweit. The deposits at Kalimbi were first explored by MGL/KOMINKO in the early eighties. Under the Mobutu administration a concession was granted to a French mining company, and after a breach of contract the mine was eventually given into concession to artisanal miners.

Nyabibwe was among the first mines in South Kivu Province to be validated and since the iTSCi traceability system was implemented in Nyabibwe, the number of artisanal miners has vastly increased. Today between 1,000 and 1,500 miners earn their living in Kalimbi mine, as well as around 35 négociants.

The impact on local society is not to be underestimated. Some thirty years ago Nyabibwe was not more than a settlement of two houses. It was due to the development of the Kalimbi mine that the settlement could develop into the town it is today. In Nyabibwe, people from all South Kivu ethnicities live together without major problems.

Apart from the mine, Nyabibwe could in the future also benefit from its strategic location between Goma and Bukavu as long as the road is rehabilitated. Nyabibwe could also benefit from an electrification of the town and mine. A branch of the electric power line is planned to be developed over the next years, subject to securing funding. Eventually Nyabibwe is expected to gain the status of city in the DRC decentralization scheme.

2.2 Geographic Scope

The mid-term evaluation concentrated on activities and stakeholders in Burundi and Democratic Republic of Congo DRC (specifically South Kivu and North Kivu). Due to limitations expressed in section 2.2. of this report, the evaluators did not include activities and interviews in other parts for this evaluation.

2.2.1 DRC

In the DRC, mining accounts for about 60% of the country's exports. Exports of the 3Ts, account for 80% of the economy of eastern DRC. Mining, processing, transporting and trading of 3Ts provide livelihood for hundreds of thousands of individuals and their families in the region and act as the main stimulus for creating trade revenues and enabling the flow of goods and services into mining areas.[14] In April 2010, the iTSCi programme was launched in the NK and SK. Tagging started in June 2010 at Nyabibwe.[15] In September 2010, the Congolese government suspended mineral exploitation in Eastern DRC and as such there was a de facto embargo as international end-user industries cut non-traceable minerals from the DRC from their supply chains. iTSCi could no longer operate in South Kivu and legitimate sales outlets disappeared. Miners started to leave town. Less than 100 miners stayed in Nyabibwe during the initial suspension and subsequent embargo.[16] The DMFA took action to encourage international sourcing of conflict-free minerals from high-risk

areas by financing the re-launch of the iTSCi due diligence and traceability programme in the Kivu Provinces, specifically the Kalimbi mine in Nyabibwe area of South Kivu.[17] Pact/iTSCi is currently implementing the Scaling up project in four provinces in the DRC, namely: Katanga, Maniema, South Kivu and North Kivu.

2.2.2 Burundi

In Burundi, artisanal mining secures the livelihood for up to 34,000 people. About 7,000 men and women are working in mines producing 3Ts. In Burundi, the iTSCi programme was launched in May 2014 [18] and is still at early stages compared to other countries in the GLR, mainly due to the impact of the country's political situation and significantly low mine level mineral production.

Burundi has been marked by political unrest around the re-election of President Pierre Nkurunziza's and this significantly impacted Pact/iTSCi operations in the country to the extent that it nearly led to the closure of iTSCi in Burundi. Pact/iTSCi significantly reduced its staff in Burundi to only one person managing the operations in Burundi and two support staff. In addition, in 2014, production was significantly low at 140 tonnes and of the total amount of minerals mined in the year, 38% were wolframite, 30% tantalite, whereas Cassiterite was in low quantities with no official exports in 2013 and 2014. Many important companies in the 3T mining sector suspended operations in the country in May 2015, whilst only three exporters remained. As a result, the market stagnated and many mines suspended activities. More than 30% of mines were inactive and production was extremely low, reducing industry funding for essential support work.[19]

2.3 Limitations

The evaluators found limitations in three aspects:

- Limitations with regard to the security situation in DRC and Burundi: As a result of the political instability DRC and Burundi the security situation in both countries is critical. The Netherlands Ministry of Foreign Affairs issued a negative travel advice for the region: For DRC (North Kivu, South Kivu, Maniema), the general advice is to not travel to the Provinces of North and South Kivu with the exception of the two cities Goma and Bukavu, and to travel to Maniema Province and its capital Kindu only if expressly necessary. For Burundi: The general advice is to not travel to Burundi, especially to avoid Bujumbura rural. In response to the challenges deriving from this, Profundo developed a slightly different logistic approach:[20]
  - Rwanda was used as a logistic hub for travelling to DRC and from DRC to Burundi.
  - All interviews and meetings in North and South Kivu were held in the cities Goma and Bukavu.
  - For the mine site visit in South Kivu the team travelled at day time and was accompanied by a representative from PACT.
  - For Burundi, the evaluation team only operated in the city Bujumbura. All interviews and meetings were held in town.
- Limitations with regard to availability of interviewees: In some cases it was difficult or impossible to have the planned or desired interviews as some stakeholders were upcountry at their mining sites during the days the evaluators were in town. And specifically for Burundi it was impossible to interview independent local CSOs involved in the mining sector, as there are almost no active independent CSOs existing in the country. The current political climate makes it impossible for local CSOs to operate.
- Limitations with regard to resources: due to limited resources, no interviews were held with stakeholders in Maniema province. Travelling there would incur high costs. The same goes for a visit to the country's capital Kinshasa.

Chapter 3 Discussion of Findings

3.1 Project Functioning

The evaluators conclude that the main lessons from the CFTI[21] are being sufficiently taken into consideration in the implementation and functioning of the Scaling up iTSCi project. Only a few of the stakeholders interviewed in the field were aware of the lessons learned from the CFTI, this is understandable considering the fact that not all parties interviewed were part of the CFTI project. However, Pact being a principal party involved in both projects is fully aware of the lessons learned from the CFTI and has taken them into account in the design of the Scaling up iTSCi project.
The lessons learned from the CFTI project are also well addressed in Pact's Scaling up iTSCi 2015 annual report.[22] A number of Pact staff already worked on the CFTI project and as a result, these staff members have been able to bring in their experience from the CFTI project into the management of the Scaling up iTSCi project. Several interviewees maintained that the CFTI project paved the way for the supply of 'conflict-free' minerals from the entire GLR, and as such they view the scaling up project as an extension of the CFTI.

The main lessons learned from the CFTI and a few applications in Burundi and the DRC include:

- Creating a system that allows for an inclusive open market approach to mineral trade: The (semi) close-pipe approach created several challenges during the CFTI project when it was applied at the Kalimbi mine.[23] The Scaling up iTSCi project however is designed to support an inclusive and open market approach to mineral trade in the GLR. Inclusivity is a key goal and benefit of the project as it has currently formalised thousands of ASMs that would otherwise be left out from the region's mineral trade and extended iTSCi to territories in the DRC like Walikale and Shabunda, which were once known for conflict minerals. The evaluators conclude that the application of risk based due diligence, and other human rights principles relevant to the OECD guidance at every iTSCi mine site, and on the longer term the consideration of aspects such as OHS and gender equality principles at all iTSCi mines raises the standard of minerals coming from the GLR. Ultimately the market will become more inclusive and the minerals used by smelters will become more acceptable to all international end-buyers.

- Empower government agencies to take responsibility for ensuring improved security, taxes and better mining operations: The project is implementing training and capacity building activities to empower governments in the DRC and Burundi to take responsibility for ensuring improved security, taxes and better mining operations. For example, in the DRC government agents from SAESSCAM, Mine Division and CEEC [24] have been trained in two pilot sites (Luwowo and Kalimbi) on electronic data collection in 2015. In Burundi, the government has recently revised (reduced) the taxes charged to cooperatives and comptoirs partly due to intervention by the project. The high tax rates were a major problem for informal cooperatives to become formal, and in order to increase the number of formal cooperatives, the Pact/iTSCi team advocated for the reforms to be adopted.[25] In Burundi, during the heat of the political crisis, Pact/iTSCi continued to train government field agents, organized about 100 visits to mine sites and exporters to closely check the security situation. They discussed the situation with government entities and continued to manage tags and collect data.[26]
- Develop a standardized system that ultimately reduces confusion and opportunities for fraud: The Scaling up iTSCi project is so far successful in monitoring and resolving incidents and ensuring conflict-free mineral trade within the region. In the DRC, Pact/iTSCi monitors and resolves incidents at mine sites, along transport routes and internationally. Pact/iTSCi is in a

successful partnership with the local NGO, Save Act Mine to monitor incidents and to implement whistleblowing to supplement the incident reporting process. [27] Border guards in DRC and Burundi have only one type of tag to recognize and approve, which dramatically reduces confusion and the potential for fraud. [28]

- Formalise more mines sites: The project has made significant progress in ensuring that there are more formalised ASMs and mines in the iTSCi system. For the entire project (including all active countries), as at the end of 2016 the iTSCi programme was operational in 1,690 mine sites, with 725 of them active. During this year, the number of miners was 50,229. [29]

- Ensuring local integration and ownership: The scaling up project is intended as a system whereby government authorities and other parties can implement and mainstream the local activities of the project on a long term. At a high level, ITRI has established partnerships with both the Congolese and Burundian governments, operating with clear MoUs. In addition, local governance structures such as the CLS and CPP committees have been set up and are relatively active in both countries either at mine level, national or provincial levels. This has facilitated local ownership. Furthermore, in terms of ensuring financial sustainability and mainstreaming of the project, there has been some progress since 2014/15 to the extent that in 2017 the traceability part of the project will be self-sustaining with mainly upstream mineral levies, direct payments and member fees.

- Implement projects activities that specifically work to achieve gender equality: In the DRC, following gender equality recommendations from GRF consultants,[30] Pact/iTSCi is now integrating gender principles in all its projects (including the scaling up project). GRF's recommendations is being taken into account by Pact/iTSCi in its Baseline study template, as well as the development materials for the OHS and WORTH programme in the DRC. Also, SAESSCAM through the OHS committee carried out sensitization in which women's rights and sexual violence were part of the discussion. Pact/iTSCi is now using drawings of female miners (instead of male miners) in illustrations for the project's OHS sensitization and training manuals to draw attention to the need for more women miners. In Burundi, the application of this lesson was not visible. This is understandable given the fact that the focus of Pact/iTSCi in Burundi has been largely on maintaining the traceability system.

3.2 Project Effectiveness

In 2015 and 2016, the Scaling up iTSCi project faced unforeseen challenges posed by low prices of commodities, low production levels and the impact of the political and security situation especially in Burundi and the DRC, which affected the delivery of the expected results. Nevertheless, the evaluators conclude that the project is effective as it has made progress in realising many of the output and outcome targets for each of the three objectives.

Objective 1- Improve the formalisation of ASMs and mineral trade:

- **Expanding traceability and due diligence process field operations**: Based on the results on the state of implementation of the iTSCi system from 2014 to 2016, there has been significant improvement in the project's expansion efforts. The project realised increases in the number of (active) sites, number of miners and average mine level production in NK, SK and Burundi between 2014 and 2016. (see table 1)

Table 1 Project implementation results DRC & Burundi 2014 - 2016

Country	Province	Number of sites	Number of miners	Average mine level production kg/m
Burundi	All	2014: 31 sub-sectors, covering 39 sites, all active	2014: 2,955	2014: 11,487
		2015: 34 sub-sectors covering 43 sites, 21 active	2015: 2,992	2015: 16,591
		2016: 40 sub-sectors covering 49 sites, 22 active	2016: 3,304	2016: 20,638
DRC	SK	2014: 15 sub-sectors covering 29 sites, 26 active	2014: 1,126	2014: 65,597
		2015: 27 sub-sectors covering 57 sites, 53 active	2015: 2,877	2015: 145,519
		2016: 37 sub-sectors covering 83 sites, 72 active	2016: 4,066	2015: 160,410
	NK	2014: 15 sub sectors covering 15 sites, all active	2014: 4,057	2014: 86,155
		2015: 28 sub-sectors covering 60 sites, 59 active	2015: 6,810	2015: 110,558
		2016: 54 sub-sectors covering 117 sites, 88 active	2016: 8,126	2016: 209,046

Source: Pact (2016) Table 3.2: Current state of implementation of the iTSCi system (December 2016)

- Considering the consolidated figures from all countries and provinces where the project is being implemented, the total number of sites in the iTSCi program increased by 410 between 2015 – 2016, while the number of active sites reduced during the same period (see table 2). According to Pact, a number of reasons were responsible for this reduction including: low mineral commodity prices; mine sites that are no longer profitable; high mobility of miners from one site to another as extraction conditions change and the decision by the government of Rwanda to remove traceability material for companies with exploration licence as opposed to exploitation licence, thereby rendering more than half of the sites inactive (448 sites were marked active at the end of 2014, and only 223 sites were active at the end of 2016).[31]

Table 2 Project implementation result all countries 2014 - 2016

Indicators	2014	2015	2016
Number of sites	1,280 sites, 812 active	1,490 sites, 799 active	1,690 sites, 725 active
Number of miners	78,090	55,409	50,229[32]
Ave. mine level production kg/m	1,808,893	1,450,234	1,519,418

Source: Pact (2016) Table 3.2: Current state of implementation of the iTSCi system (December 2016)

- A crucial milestone for the project, was the extension of iTSCi to Walikale and Shabunda territories in 2015. This milestone is especially significant for the communities in these territories that depend on mineral extraction and trade for their livelihoods, as both territories were considered as infamous 'conflict minerals' areas in the DRC.[33]
- Despite this important progress made by the project, it is important to state that there are problems with the pace of the validation missions in the DRC due to the fact that some parties involved often claim that they cannot access the mine site to be validated. Several stakeholders in NK and SK stressed that the pace at which sites are validated has to be enhanced, as the current imbalance between non-validated and validated mine sites risks mineral contamination and could ultimately weaken the perception of the effectiveness of the system. Pact/ iTSCi participates in meetings where validation priorities are discussed and often advocates for the

inclusion of more productive sites. Presently, iTSCi is implemented in all 3T mines validated by the government. More validation missions are expected in 2017 which will create opportunities to further expand within these territories.[34]

- **Strengthening data collection systems for traceability**: Overall, there are currently more trained government agents at iTSCi mines and more trained agents on using the electronic PDA than at the baseline year. There was an increase in the number of government agents in mines and depots implementing the iTSCi system, from 650 (expected) to 670 (realised) in 2016. However during this year, the number of government agents trained on the electronic PDAs was less than expected – 100 (expected) and 46 (realised). According to Pact/iTSCi, in 2016, ITRI decided to move away from their current IBM database, called Maximo, to another one in order to improve data collection and analysis. The shift is expected to have an impact on electronic data collection in the field since a new software will be installed on the devices that will be used by field agents. The new software is expected to be more user friendly and adaptable to smart phones and not PDAs. All the agents will need to be trained on how to use the new software, taking this into account, it was decided that there would be no extension of electronic data collection to additional areas in 2016. Therefore Pact/iTSCi placed less emphasis on training of agents for this during the last quarter of 2016.[35]

Table 3 Overview of results for objective 1 during 2015 and 2106

Indicators	Indicator Type	Baseline	2015 Results		2016 Results	
			Expected	Realised	Expected	Realised
No. of mines with an iTSCi baseline	Output (annually)	736	836	799	876	725
No. of miners working at a mine with iTSCi baseline	Outcome (annually)	63,090	80,232	55,409	82,892	54,466
No. of government agents in mines and depots implementing iTSCi program	Outcome (annually)	550	600	571	650	672
Percentage of minerals covered by the electronic tracking system in DRC and Burundi	Outcome (annually)	0%	8%	1.1%	15%	Not yet available
No. of Government agents trained on the electronic mineral tracing information system	Output (annually)	0	40	38	100	46
Reduction in the number of incidents	Outcome (quarterly)	130	120	151	110	360

Source: Indicator Results -2016 (received 15 February 2016), p.3

Objective 2: Strengthen good governance and transparency of conflict-free minerals:

- **Increased capacity of CLS and CPP to report and address incidents**: With respect to strengthening good governance and transparency of conflict-free minerals, there is visible progress. Functioning structures have been created like the CLS and CPP. Different parties in the committees attest to the fact that the committees are well organised at both local and provincial levels and they provide actionable and timely information to the group. In 2015, the project surpassed the target for due diligence and voluntary principles trainings organised for

the CLS and CPP (8 trainings were expected while 12 trainings were realised). However as of 2016, only 3 have been organised compared to the 8 trainings expected; this was because Pact/iTSCi observed that the quality of discussions in the committee meetings improved and thus switched to giving more attention to other activities including OHS. The number of incidents reported and addressed by the CLS and CPP were significantly higher than expected in 2015 and 2016; similarly the number of security incidents in the vicinity of mines participating in the project increased in 2016. While these are not positive, a number of reasons can be attributed to this including that the number of data related incidents tend to increase with an increasing number of new sites in the system. In this case, 200 more sites have been added to the iTSCi system between 2015 and 2016. Furthermore, incidents are now better reported to reflect the different categories of incidents and according to SAESSCAM CTOs in NK and SK, in some sites the number of incidents have reduced significantly. The collaboration between PACT and Save Act Mine (SAM) in incident monitoring is also going well and will be extended to Maniema and Katanga in 2017.

- **Increased capacity of NGO partners and SAESSCAM:** In 2016, six OCAs/OPIs were completed by the project's implementing partners - ARDERI, BEPAT and SAESSCAM. ARDERI and BEPAT concluded 2 OPIs, SAESSCAM branches concluded 3 OPIs while ARDERI concluded 1 OCA. Both ARDERI and BEPAT now have performance plans to implement. The OCA for BEPAT was done at the beginning of 2017. OCA and OPI for SAESSCAM branches were carried out with funding from the PROMINES project. In 2017, Pact/iTSCi will follow-up on their implementation and provide mentoring and coaching sessions for both organisations. During the interviews, BEPAT stressed that the trainings and assessments from Pact/iTSCi had been extremely beneficial for their organisational development.
- **Increased engagement with external audiences on Scaling up project activities**: Pact is successfully raising awareness about the project among stakeholders. For example, Pact made a number of presentations at international meetings such as OECD, TIC and EICC. In 2015 and 2016 the number of presentations made were 7 and 9 respectively. This is higher than the expectations of 6 presentations for each year. Similarly in 2016, a total of 20 organisations were represented during the organised quarterly stakeholder calls for the Scaling up project. This is higher than the expected 15 for 2016 and significantly higher than 5 realised in 2015, indicating a growing stakeholder interest in the project. The project website is also being revamped to a more user-friendly version with easy access to key information about the project.

Table 4 Overview of results for objective 2 during 2015 and 2106

Indicators	Indicator Type	Baseline	2015 Results		2016 Results	
			Expected	Realised	Expected	Realised
Increase in the number of incidents reported and addressed by the local committees	Outcome (quarterly)	5	10	21	10	61
Percentage of committees posting meeting summaries publicly at least once a year	Outcome (annually)	0	10%	Not available	30%	Not yet available
No. of security incidents in the vicinity of mines participating in the project	Outcome (annually)	20	20	12	18	Not yet available
No. of implementing partners which receive an OCA/OPI	Output (annually)	0	7	8	6	16
No. of implementing partners that complete the trainings indicated in the OCA within a year	Output (annually)	Target to be set	Target to be set	Target to be set	Target to be set	Target to be set
No. of implementing partners who follow 75% of planned mentoring session	Output (annually)	Target to be set	Target to be set	Target to be set	Target to be set	Target to be set
Change in organisational performance of implementing partners	Outcome (annually)	Target to be set	Target to be set	Target to be set	Target to be set	Target to be set
No. of presentations made at international meetings (OECD, PPA, CFSP, etc)	Output (quarterly)	6	6	7	6	9
No. of organisations represented on the quarterly stakeholder calls	Output (annually)	0	10	5	15	20
No. of updates provided for the project website per year	Output (quarterly)	0	4	Not available	12	15
No. of trainings held on due diligence processes (12-20 people per training)	Output (quarterly)	0	8	12	8	3
Percentage of participants with increased knowledge on due diligence after training	Outcome (annually)	0%	30%	Not available	40%	Not yet available

Source: Indicator Results -2016 (received 15 February 2016), p.4

Objective 3: Strengthen security and economic capacity of the mining sector:

- **Improving occupational health and safety**: There was strong focus on OHS by Pact/iTSCi in 2016 which led significant progress. In the DRC, from June to August 2016 a train-the-trainers on OHS in mines was organised in Goma (NK), Bukavu (SK) and Kindu (Maniema) with participation of amongst others, government agents, cooperatives and mine police. As part of their field exercises, the participants were asked to identify risks and associate mitigation measures at pilot mine sites. OHS committees were formed after these trainings to implement follow-up activities. Over 30 OHS sensitization activities have been implemented with a total of 2,070 people sensitized. This result is significantly higher that the expectation for 2016 (i.e. 200). SAESSCAM CTOs (technical officers) maintain that mine accidents are reducing in some of the sites since the inception of the OHS sensitization. Miners at the Kalimbi Nyabibwe mine site attest that that the sensitivity trainings have been beneficial to them especially on discussing topics like asphyxiation.
- **Strengthening economic capacity:** There was consensus amongst stakeholders interviewed in the DRC that the establishment of the WORTH programme (PACT's literacy and financial savings programme for ASMs – 'Worth for Miner') holds great potential in contributing towards alleviating the economic challenges of ASMs. In 2016, the WORTH curricula was finalised. Also in 2016, 18 WORTH groups were formed in Rubaya and Manono. Among these groups are 7 women groups, 3 men groups, and 8 mixed groups, with a total of 421 members between these two provinces, who have started their saving activities. Trainings on savings started in North Kivu in October and the groups formed there have saved almost 1,500 USD up until December 2016.[36] These results are commendable considering that WORTH groups were only set up in September 2016. However, WORTH and OHS activities have not been introduced in Burundi yet, partly because it was not originally planned with the DMFA funding. In any case, Pact staff in Burundi has very limited capacity to introduce or focus on other activities.

Table 5 Overview of results for objective 3 during 2015 and 2106

Indicators	Indicator Type	Baseline	2015 Results		2016 Resuts	
			Expected	Realised	Expected	Realised
No. of people sensitized on OHS principles	Output (quarterly)	0	100	0	200	2,070
No. of accidents in the mines where the OHS sensitization has been done	Outcome (quarterly)	Not available	24	0	16	16
No. of SAESSCAM reports about incidents in mines	Outcome (annually)	0	0	0	5	Not yet available
Percentage of WORTH group members who increase their savings in the course of the year	Outcome (annually)	0%	0%	0%	75%	100%
Percentage of WORTH group members who increase their level of literacy after one year of participation	Outcome (annually)	0%	0%	0%	40%	Not yet available

Indicators	Indicator Type	Baseline	2015 Results		2016 Resuts	
			Expected	Realised	Expected	Realised
Percentage of WORTH group members who use WORTH funds to invest in mining and/or other business activities during the reporting period	Outcome (annually)	0%	0%	0%	20%	Not yet available

Source: Indicator Results -2016 (received 15 February 2016), p.5

3.3 Project Improvement

Overall, the evaluators conclude that the Scaling up project is well designed in the sense that the proposed project interventions and work plan are fit to realise the targets outlined for each objective, and also considering the prevailing political and market dynamics which is often outside the control of Pact/iTSCi.

It is important to note that almost all stakeholders attested that iTSCi is the most effective due diligence and traceability system for the GLR, as it covers all segments of the mineral supply chain, from miners to exporters. In NK and SK, most of the interviewed parties were quite positive about the current functioning of the scaling up project. They particularly credit the project's smooth functioning to the good collaboration and relationship they have developed with Pact staff.

During the interviews many suggested improvement measures were highlighted and discussed Most of them are presently outside the current project scope and mandate. All the improvement areas are further outlined in chapter 4 of this report.

In NK and SK, two main improvement measures discussed can be summarised as follows:

- Measures that aim to significantly reduce errors and bureaucracy in the entire system from validation of mine sites to export as agents are still not efficient in the tagging and registration process. Several incident reports indicate cases where log books and forms are not accurately filled in;
- Measures to restructure and professionalize existing ASM cooperatives as in the DRC, cooperatives are less structured and unprofessional. ASMs often do not benefit much from joining cooperatives and most leaders of cooperatives enrich themselves at the expense of their members

In Burundi, the project is already improving mineral trade and most of the interviewees expressed desire for other social value added activities. They acknowledge that without the iTSCi traceability system, mineral trade would not be possible for ASMs in Burundi, yet they expect other additional activities that would improve the knowledge and livelihoods of the ASMs. It is important to stress that only limited activities could be implemented by Pact/iTSCi in Burundi due to the current political and security situation as well as the low mine level production of minerals in the past couple of years. As such, project funds have mainly been used to maintain the traceability system and not to extend to other activities such as WORTH and OHS.

Furthermore, some interviewees in Burundi expressed scepticism and an apparent lack of understanding about the intention of the project, citing that they feel the system is just another means to raise taxes and levies.

Two main improvement measures highlighted in Burundi can be summarised as follows:

- Measures to ensure better understanding and ownership of the traceability system and its benefits, as in Burundi several stakeholders interviewed appear to still lack understanding of the Scaling up traceability project and are sceptical of its benefits,
- Measures to provide better technical and financial support directly to ASMs and their cooperatives, as ASMs in Burundi lack investments to improve their knowledge and technical know-how. This is seen as one of the factors affecting production levels of minerals in Burundi.

3.4 Project Sustainability

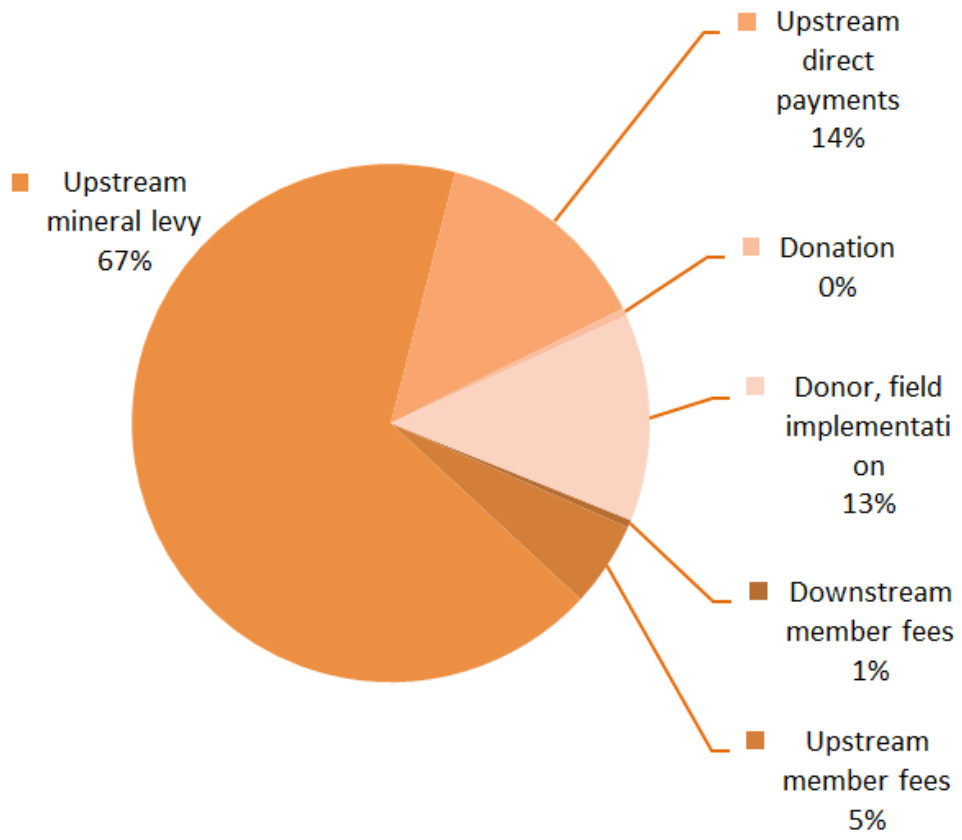
Based on information received from ITRI and Pact, the evaluators conclude that objective 1 of the scaling up iTSCi project is self-sustaining. Therefore without the DMFA funding, this aspect of the project would continue. It is important though to reflect on whether the pace of extending iTSCi to more territories and validated sites might be affected. However activities for objective 2 and 3, are still dependent on donor support from DMFA, Qualcomm, PROMINES, etc. which are already secured by Pact. Without continued funding from DMFA or other donor(s), these activities (e.g. Capacity development, OHS and WORTH) would stop.

Financing Objective 1: Although the iTSCi levy mechanism was intended as a self-financing structure for the project over time, in 2015 and 2016 it was not fully feasible. This was mainly due to the fact that the low prices of mineral commodities combined with the significantly low mine level production (especially in Burundi) could not generate enough levies to fully cover the costs of the traceability system.

In May 2014, the Government of Burundi contributed some funds to the iTSCi programme, which was used to start up the project. At the beginning, the production of minerals in Burundi was very low and became almost nil as the security condition in the country grew worse; even the levies for 3T exports were unable to cover the costs for the implementation of the traceability project. The financial support from the DMFA for this project was mainly used to resuscitate the project to the extent that without the DMFA support, the project in Burundi would likely not survive. The DMFA support was a necessary intervention during this period. The funding not only boosted the project especially in terms of extending the iTSCi traceability system to more sites, it also restored confidence in minerals coming from DRC and Burundi.

However, the financial situation is improving, mineral production (and prices) have shown sign of improvement but it is still unclear if this trend will continue. As at 2015, donor support accounted for only 12.9% of the overall funding for iTSCi implementation (see figure 3) and as of January 2017, objective 1 of the Scaling up iTSCi project will be entirely non-donor funded. If the situation continues to improve, funds to support the field implementation of iTSCi will fully be realized from upstream mineral levies, direct payments and member fees. Based on this, the evaluators conclude that without DMFA support, most of the project activities in Objective 1 will continue, but perhaps the extension of iTSCi to additional sites might go slower than it is now.

Figure 3 iTSCi funding breakdown 2015



Source: ITRI (2015) Financial Information for Year 2015, online: https://www.itri.co.uk/index.php?option=com_mtree&task=att_download&link_id=55620&cf_id=24, viewed 23 February 2017

It is important to highlight that many of the stakeholders interviewed in the field are not aware of the financial set up of the project and definitely not yet aware of the financial self-sufficiency for objective 1. They still assume that the traceability system is dependent entirely on donor financing. This has led to a concern that without continued financial support from donors (like the DMFA) for the Scaling up iTSCi project after the three years, the situation of mineral trade and security in general could deteriorate. Therefore, it is important to at least strengthen communication with all key stakeholders at the local level regarding the overall financing structure and state of affairs, in order to safeguard their commitment and confidence in the system. ITRI has been providing information via its annual report on the financial status of the traceability system, Pact/iTSCi should take advantage of the upcoming annual report (2016) to provide an update to key stakeholders in these countries.

In addition, in NK and SK, there is some progress in the establishment of processes, knowledge and systems to support the continued implementation of the traceability aspects of the project. PACT/iTSCi office in NK is relatively well staffed and able to handle the pressures of the traceability project in the DRC. A number of the staff have worked on the previous CFTI project and have brought their experiences to the Scaling up project. There is already a working structure for knowledge development, collaboration and information sharing amongst the various parties involved in the traceability project in established committees at local and provincial levels.

Financing Objective 2 and 3: Presently, the DMFA support is used for the financing of several activities in objective 2 and 3. Although interviewed parties in the DRC and Burundi would like to see OHS and WORTH activities continue, these activities are preferred but not essential to the operation of the traceability system. Without the DMFA support, activities such as capacity development for government agencies and NGOs, OHS trainings and WORTH will most likely stop unless Pact secures additional support elsewhere.

There have been some actions by Pact/iTSCi towards raising funds for complementary project activities, for example the recent financial commitment of Qualcomm to co-finance the development of the OHS curriculum[37] as well as funding from the PROMINES project for supporting the OCA and OPI trainings for SAESSCAM branches.

With respect to ability and willingness of the parties interviewed to continue the other Scaling up iTSCs project activities in objective 2 and 3 on their own, the evaluators conclude that while stakeholders indicated a clear willingness, the likelihood that they will finance these activities by themselves is quite low. SAESSCAM however indicated to the evaluators that they already started internal discussions (in 2016) about what to do should the DMFA not continue its support for activities in objective 2 and 3.

Figure 4 Field agents collecting data with iTSCi electronic PDA

Chapter 4 Recommendations

This chapter highlights some recommendations proposed by the evaluators based on observations in the field and extensive input from stakeholders interviewed. It should be noted that not all recommendations fall under the current project scope and mandate. Where additional measures or activities are recommended, the authors have used their best judgement to suggest if these can be considered within the current programming or for future programming, without recourse to any budgetary consequences.

Therefore the recommendations are split into ones that could be addressed within the current project scope and others that are outside the current project scope and would therefore require additional programming and funding. Recommendations that could be linked to the current project scope include:

- In both the DRC and Burundi, agents are still not efficient in the tagging and registration process. Several incident reports indicate cases where log books and forms are not accurately filled in. In Burundi at the start of the project in 2014, more than 90% of the incidents raised were on violations of the tagging procedures. This often results in setbacks and delays in processing minerals for export as stressed by the CEEC. Pact/iTSCi should intensify the trainings for agents in NK and SK who complete these log books and forms in the field, to ensure that they master how to fill them correctly and legibly, so as to avoid errors and bureaucratic delays;
- In the DRC, some government field agents in Luwowo (NK) and Kalimbi (SK) have been trained on using the electronic PDAs for data collection, most of them claim that the software application is not user friendly. Therefore Pact/iTSCi should continue working on the plan to improve the software of the PDA system and making it more user friendly for field agents in the Kivus;
- Pact/iTSCi should endeavour to fully activate the WORTH programme in the DRC in the agreed project areas identified in the work plan. Also one of the most challenging aspects for Pact staff in the DRC is how to manage expectation especially in explaining the benefits of programs like WORTH to the groups, they would need some training as well on how to do this;
- In Burundi, several stakeholders interviewed appear to still lack understanding of the Scaling up iTSCi traceability project and are sceptical of its benefits. Pact should organise intensive sensitivity trainings for all parties in Burundi (especially government officials) on what the mineral traceability system is about, its benefits to the different players and why it is essential for Burundi as a country;
- As Pact/iTSCi continues to implement OHS trainings and sensitization activities, it should endeavour to make the link between OHS activities and productivity of miners.[38] Stories of best practice of this should be identified, documented and shared with miners. This would help to stimulate the interest for OHS implementation from more miners. In addition, the cases could be used in funding applications by Pact/iTSCi;
- Many of the stakeholders interviewed in the field are not yet aware of the financial structure and situation of the project. They still assume that the traceability system is dependent entirely on donor financing. As mentioned earlier, this has led to a fear that without continued financial support from donors (like the DMFA) for the Scaling up iTSCi project after the three years, the situation of mineral trade and security would deteriorate. Pact/iTSCi should take advantage of the upcoming ITRI financial annual report[39] and communicate the overall financing structure and financial state of affairs of the project to all key stakeholders in the DRC and Burundi.

Furthermore, Pact/iTSCi should ensure greater transparency by establishing a better communication mechanism on the topic of the project's financial sustainability, so that everyone is kept on the same page; and

- In 2016, the DMFA and other EU partners launched the EPRM, a multi-stakeholder partnership aiming to increase the proportion of responsibly-produced minerals from conflict-affected and high risk areas and to support the socially responsible extraction of minerals that contributes to local development. The EPRM supports efforts and project activities that help to improve knowledge on and implementation of due diligence, to create an enabling business environment, and to promote sustainable mineral extraction that contributes to local development.[40] Together with the DMFA, Pact/iTSCi should explore the possibility of continued multi-year project funding for at least objective 2 and 3 (or funding for new programming) via the EPRM.

Recommendations outside the project scope and requiring new programming and funding include:

- ASMs in both Burundi and the DRC lack access to working capital especially to invest in mining equipment and safety gears. Pact can set up a microfinance scheme specifically for ASMs to invest in mining equipment and safety gears. Although the distribution of safety equipment is not part of the Scaling up project, it is an important issue to consider in future programming, as ASMs are unable to access them. Awareness raising on OHS can become much more effective if miners can obtain the necessary safety gear and equipment;
- In Burundi, most of the interviewees expressed desire for other social value added activities that would improve the knowledge and livelihoods of the ASMs. Pact/iTSCi could extend activities such as WORTH, OHS to Burundi. Also, government agents in Burundi feel that the electronic system could enhance their efficiency, however, the electronic PDAs have not been introduced to them. With additional funds, PACT/iTSCi could consider extending the electronic PDA to Burundi;
- Due to the political instability in the Burundi, there are almost no independent CSOs. The involvement of local CSOs in critically examining the governance and transparency of conflict minerals is crucial for the credibility of the system. Pact could reinforce the monitoring of human rights situation related to the mining sector in Burundi and at later stage start initiate capacity development activities to develop the organisational capacities of local independent CSOs to work towards improving human rights and other issues in the mining sector;
- In the DRC, cooperatives are less structured and unprofessional. ASMs often do not benefit much from joining cooperatives and most leaders of cooperatives enrich themselves at the expense of their members. Similar to Burundi where ASMs are fairly well organised into cooperatives, Pact can assist in organising and formalising more ASMs into cooperatives in the DRC and advocate for better restructuring and professionalization of existing cooperatives;
- ASMs in Burundi still use rudimentary techniques even in the processing of minerals. They need technical support on modern techniques for mineral exploration, extraction and cleaning. The lack of investments to improve the knowledge and technical know-how of ASMs in Burundi is seen as one of the factors affecting production levels of 3Ts in Burundi. Pact could collaborate with actors such as the World Bank and OBM in Burundi to establish activities aimed at enhancing the technical knowledge of ASMs, including providing consistent data on production levels and improved techniques for mineral exploration, extraction and cleaning;
- In several mines sites especially in the DRC, field agents do not have access to electronic weighing scales. The measurement scale used in the field is often different from those used by

comptoirs. Stakeholders maintain that this enhances data recording errors in the chain as well as loss of money for the miners. Similarly, government agents in the field should have some basic administrative equipment. Since paper is mostly used in the field, to preserve originals, equipment like photocopiers should be available in all offices. There were reported cases where agents had to walk for several kilometres to find the nearest copier. Pact/iTSCi can assist with advice on the transparent management of the locally established 'Basket Fund' in the DRC and encourage its use for the procurement of field necessities for agents such as electronic weighing scales, photocopiers, etc. The Basket Fund is a local initiative of an earmarked budget for community investments funded by contributions raised from mineral exporters and managed by local governments and communities. In North and South Kivu the concept is fully operational. Despite its success, questions about the transparency of the use of this fund remain;

- More mining police need capacity building and equipment to improve security around the mines. Pact could organise train-the-trainer for mine police bosses in the DRC on improving security around the mines, for example in Walikale territory; and
- In Burundi, cooperatives maintain that the 2-year mining licence from the government currently makes it difficult for them to obtain investment financing from banks. Pact could collaborate with actors such as the World Bank to advocate towards the Government of Burundi to consider a longer-term mining license for cooperatives.

Figure 5 An active underground mine at Kalimbi Nyabibwe site

Appendix 1 List of key documents reviewed

Owner	Key documents
PACT	Scaling Up Mineral Traceability Technical Proposal
PACT	Scaling Up iTSCi project plan Y1 and Y2
PACT	iTSCi Overview 2016 Q3
PACT	Scaling Up iTSCi 2015 Annual report
SAESSCAM (SK)	Report of awareness raising training on OHS given at mining sites of Kalimbi (T20 and KUWAIT) in Kalehe territory from 12 to 15 October 2016.
PACT	GRF Final Report PACT ASM and Gender – Scaling Up mineral traceability
PACT	PACT final report mineral traceability in Eastern DRC (2012 – 2014)
WORLD BANK	Transparency in Revenues from Artisanal and Small Scale Mining of Tin, Tantalum, Tungsten and Gold in Burundi
SAESSCAM (SK)	Organisational and Financial structure SAESSCAM
SAESSCAM (SK)	Report of training on hygiene, health and security in KINDU in MANIEMA Province from 16 to 25 October 2016.
SAESSCAM (SK)	Report of awareness raising training on OHS in the mines given at Nyabibwe mine from 21 to 25 November 2016
SAESSCAM (NK)	Report of a mission carried out by the antenna provincial SAESSCAM/North Kivu and PACT/DMFA project in KINDU from 17 to 25 October 2016 as part of training of trainers of SAESSCAM/Maniema on the health, safety and Hygiene agents in the mine
SAESSCAM (NK)	Report of the joint mission carried out by the antenna provincial SAESSCAM/North Kivu/PACT/DMFA Project in RUBAYA from 13 to 17 September 2016 as part of the follow-up activities of health, safety and Hygiene at the pilot site of LUWOWO
ARDERI	Capacity Solutions Platform - Organizational Capacity Assessment (OCA): ARDERI
ARDERI	OPI Result: ARDERI
ARDERI	Plan of Actions based on OCA of ARDERI
BEPAT	Capacity Solutions Platform - OCA of BEPAT South Kivu, Bukavu November 2016
BEPAT	Plan of Actions based on OCA of BEPAT
PACT (Goma)	Field Report on the pilot site visit of KANGONDE to KALIMA in PANGI territory, MANIEMA Province; done in Committee composed of delegates from Coordination national SAESSCAM, antennas SAESSCAM MANIEMA, NORTH and SOUTH KIVU, Pact / projects PROMINES-SAEP and AFP, and Estelle Levin Limited; 17-October 25, 2016, as part of the implementation of the activities Health, safety and Hygiene in the mine.

Appendix 2 List of Stakeholders interviewed in Burundi and DRC

Name	First Name	Title	Organization Name	Segment	Country/ Province
Songe	Vincent	Deputy Programme Manager - DRC	PACT	NGO	NK
Songoli	Alpy	Project Manager iTSCi North Kivu	PACT	NGO	NK
Mukwaka	Marcel	Capacity Development	PACT	NGO	NK
Mbaya	Raphael	Capacity Development Advisor	PACT	NGO	NK
Posho	Machérie	Capacity Development	PACT	NGO	NK
Muhasa	Roger	Directeur du Cabinet	Ministry of Mines	Government	NK
Paluku	Valentin		Ministry of Mines	Government	NK
Punzu	Daddy	Chargé de Techniques et Opérations	SAESSCAM	Government	NK
Ndimubanzi	Emmanuel	Chef de Division	Mine Division	Government	NK
Mudaganda	Déo	Head of traceability	Mine Division	Government	NK
Usseini	Jamal	Directeur	Save Act Mines	CSO	NK
Kashongwe	Fiston	Programme Assistant	Save Act Mines	CSO	NK
Sumbu	Kote	Due diligence point of contact	CMM	Private sector	NK
Bisimwa	Desiré	Team Leader	BEPAT	NGO	SK
Aganze	Joseph	Geologist	BEPAT	NGO	SK
Lubwe	Theophile	CTO	SAESSCAM	Government	SK
Liete	Michel	Chef de Division	Division des mines	Government	SK
Bulindi	Apollinaire	Minister	Ministry of Mining and Hydrocarbons	Government	SK
Samine	Gilbert	Directeur Provincial	CEEC	Government	SK
Lumbu	Déo	Chargé de la certification	CEEC	Government	SK
Nzogu	Léon	Export Manager	Ets Rica	Private sector	SK
Kitambala	Edouard	Export Manager	WMC	Private sector	SK
Mambo	Frank	Secretary	COMIKA	Private sector	SK
Kajamba	Eric	Executive Director	OGP	CSO	SK

Name	First Name	Title	Organization Name	Segment	Country/ Province
Kanani	Amouran	President	Site de Rwamirambo I	Private sector	BD
Habiyakare	Leonidas	Directeur Administratif et Financier	ATM	Private sector	BD
Mudende	Liber		Ministry of Energy & Mines	Government	BD
Sabukwigura	Jean Baptiste	Team Leader	PACT	NGO	BD
Manirakiza	Côme	Minister	Ministry of Energy & Mines	Government	BD
Niyonsaba	Sylvestre	President & CEO	SECOMIB	Private sector	BD
Nduwayo	Jean Claude	Directeur Général	OBM (Office des Mines du Burundi)	Government	BD
Bigendako	Edmond	Directeur des opérations	OBM (Office des Mines du Burundi)	Government	BD
Niyongabo	Jean Bosco	Directeur - traceability focal point	Recherche Géologique et Minière	Directeur	BD
Midende	Gilbert	Professor	University of Burundi	Academic	BD
Hategekimana	Révérien	Directeur Général	BME	Private sector	BD
Verwey	Harry	Ambassador	Embassy of the Kingdom of The Netherlands	Government	BD

References

1 Indicator Results -2016 received from Pact on 15 February 2016, footnote Table 3.2.
2 Indicator Results -2016 received from Pact on 15 February 2016, footnote Table 3.2.
3 Indicator Results -2016 received from Pact on 15 February 2016, footnote Table 3.2.
4 Indicator Results -2016 received from Pact on 15 February 2016, p.2
5 PACT (2016) Pact Scaling Up iTSCi 2015 Annual Report, p.4
6 ITRI (2015) Financial Information for 2015, online: https://www.itri.co.uk/index.php?option=com_mtree&task=att_download&link_id=55620&cf_id=24, viewed on 23 February 2017
7 Profundo (2016) Proposal Mid-Term Evaluation of 'Scaling Up Mineral Traceability' Project in DRC and Burundi, p.2
8 Profundo (2016) Proposal Mid-Term Evaluation of 'Scaling Up Mineral Traceability' Project in DRC and Burundi, p.2
9 Profundo (2016) Proposal Mid-Term Evaluation of 'Scaling Up Mineral Traceability' Project in DRC and Burundi, p.2
10 Profundo (2016) Proposal Mid-Term Evaluation of 'Scaling Up Mineral Traceability' Project in DRC and Burundi, p.3
11 Profundo (2016) Proposal Mid-Term Evaluation of 'Scaling Up Mineral Traceability' Project in DRC and Burundi, p.3
12 Profundo (2016) Proposal Mid-Term Evaluation of 'Scaling Up Mineral Traceability' Project in DRC and Burundi, p.3
13 Profundo (2016) Proposal Mid-Term Evaluation of 'Scaling Up Mineral Traceability' Project in DRC and Burundi, p.3
14 PACT (2014) Scaling Up Mineral Traceability in the Great Lakes Region Technical Proposal, p. 6
15 PACT (2016) Scaling Up iTSCi: History, online: http://www.Pactworld.org/projects/scaling-itsci/history, viewed on 9 January 2017
16 ITRI (2013) Nyabibwe comes back to life, online: https://www.itri.co.uk/index.php?option=com_mtree&task=att_download&link_id=53328&cf_id=24, viewed on 9 January 2017
17 Resolve (n.d) Conflict Free Tin Initiative, online: http://solutions-network.org/site-cfti/, accessed on 9 January 2014
18 ITRI (2014) Status Report iTSCi Burundi Field Operations May – December 2014
19 iTSCi (2016) Stories from the field: Burundi - new opportunities after a crisis, p1.
20 Profundo (2016) Proposal Mid-Term Evaluation of 'Scaling Up Mineral Traceability' Project in DRC and Burundi, p.5
21 PACT (2016) Pact Scaling Up iTSCi 2015 Annual Report, p.7-8
22 PACT (2016) Pact Scaling Up iTSCi 2015 Annual Report, p.7-8
23 PACT (2014) Scaling Up Mineral Traceability in the Great Lakes Region Technical Proposal, p.10
24 PACT (2014) Scaling Up Mineral Traceability in the Great Lakes Region Technical Proposal, p.24
25 ITRI (2014) Status Report iTSCi Burundi Field Operations May – December 2014, p.7
26 iTSCi (2016) Stories from the field: Burundi - new opportunities after a crisis, p2.
27 PACT (2016) Pact Scaling Up iTSCi 2015 Annual Report, p.39
28 PACT (2014) Scaling Up Mineral Traceability in the Great Lakes Region Technical Proposal, p.27
29 PACT (2016) Scaling Up Yr2 PMP Results
30 GRF (2016) Advancing Gender Equality in the Scaling Up Mineral Traceability Project, p.7-11
31 Indicator Results -2016 received from Pact on 15 February 2016, p.2
32 It should be noted that the number of miners and number of active mines fluctuate for several reasons including: low mineral commodity prices eroding the viability of miners continuing to work in the sector. 3T miners often leave the sector migrating into agriculture, venturing into petty trade or going into gold mining
33 Indicator Results -2016 received from Pact on 15 February 2016, p.2
34 Indicator Results -2016 received from Pact on 15 February 2016, p.2
35 Indicator Results -2016 received from Pact on 15 February 2016, p.2
36 Indicator Results -2016 received from Pact on 12 February 2016, p.5
37 PACT (2016) Pact Scaling Up iTSCi 2015 Annual Report, p.52
38 Key OHS lesson learned and suggestion raised by Marlene Waffler (Pact) during the drafting stage of this report
39 It should be noted that ITRI has been transparent about the financial status of iTSCi via previous annual reports, during the interview with Kay Nimo (on 13 February 2017), it was a shared view that the upcoming annual financial figures (2016) might be another medium to keep local stakeholders updated.
40 EPRM(2016) FAQs on European Partnership for Responsible Minerals, p.1

profundo

RESEARCH & ADVICE

Naritaweg 10
1043 BX Amsterdam
The Netherlands
+31-20-8208320
profundo@profundo.nl
www.profundo.nl