



This action is funded by the European Union

ANNEX

of the Commission Implementing Decision on the pilot project in favour of the Democratic Republic of the Congo to be financed from the general budget of the Union

Action Document for the 'Socio-economic reintegration of children and female sex workers living around artisanal mines in Mwenga Territory, South Kivu Province, and Eastern Democratic Republic of Congo'

INFORMATION FOR POTENTIAL GRANT APPLICANTS

WORK PROGRAMME FOR GRANTS

This document constitutes the work programme for grants in the sense of Article 128(1) of the Financial Regulation (Regulation (EU, Euratom) No 966/2012) in the following sections concerning grants awarded directly without a call for proposals: 5.4.1.

1. Title/basic act/ CRIS number	Socio-economic reintegration of children and female sex workers living around artisanal mines in Mwenga Territory, South Kivu Province, and Eastern Democratic Republic of Congo. CRIS number: PP-AP/DCI/038-150 financed under the Budget of the European Union in the sense of Article 54(2) of the Financial Regulation (UE, Euratom) no. 966/2012
2. Zone benefiting from the action/ location	The action will be carried out at two sites within the Mwenga Territory (the chiefdoms of Luhwindja and Kamituga), South Kivu Province, and Eastern Democratic Republic of Congo.
3. Programming document	Preparatory Action
4. Sector of concentration/ thematic area	Education/ vocational training/ healthcare
5. Amounts concerned	Total estimated cost: EUR 2 444 444 Total amount of EU budget contribution EUR 2 200 000 This action will be co-financed by Panzi Foundation for an amount of EUR 244 444.
6. Aid modality and implementation modality	Project Modality Direct management - Grants – direct award
7. DAC code(s)	43081 – multisector education/training 11330 – vocational training 11220 – primary education 16020 – employment policy and administrative management 13020 – reproductive healthcare 13040 – STD control

8. Markers (from CRIS DAC form)	General policy objective	Not targeted	Significant objective	Main objective
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	x
	Aid to environment	x	<input type="checkbox"/>	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	<input type="checkbox"/>	x
	Trade Development	x	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	<input type="checkbox"/>	x	<input type="checkbox"/>
	RIO Convention markers	Not targeted	Significant objective	Main objective
	Biological diversity	x	<input type="checkbox"/>	<input type="checkbox"/>
	Combat desertification	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change mitigation	x	<input type="checkbox"/>	<input type="checkbox"/>
	Climate change adaptation	x	<input type="checkbox"/>	<input type="checkbox"/>
9. Global Public Goods and Challenges (GPGC) thematic flagships	The action relates to the 'human development' Global Public Goods and Challenges (GPGC) thematic programme.			

SUMMARY

A substantial part of the population living in Mwenga Territory in South Kivu relies on income related to mining activity. School attendance in these areas is low as many children are working in the artisanal mines; prostitution among women and girls is widespread.

The overall objective of the project is to better the standard of living of communities in the vicinity of artisanal mining sites in Mwenga Territory by providing remedial education to children and by offering adolescents and sex workers alternative opportunities to earn a living through the provision of vocational training.

The project aims to increase school enrolment for children working in the mines through remedial education, reduce the number of adolescents and sex workers returning to work in or around the mines and raise awareness among local stakeholders about child protection and human rights, including women's rights. Medical assistance will be provided to sex workers in order to combat sexually transmitted diseases and avoid unwanted pregnancies.

This preparatory action will be implemented through Panzi Foundation in partnership with locally-based organisations specialising in education and vocational training.

The objectives of the action are closely linked to the objectives set for the human development programme of Global Public Goods and Challenges (GPGC) flagship programmes, which contributes to: inclusive education, providing vocational education and training, economic empowerment of vulnerable populations, improved access to healthcare services and tackling the worst forms of child labour.

1 CONTEXT

1.1 Sector/Country/Regional context/Thematic area

During the past 20 years the Kivus have been subject to instability and violent conflict as a result of widespread poverty, natural resource mismanagement, weak governance, land disputes and ethnic tensions. Civil war and the continued presence of armed groups has caused a breakdown of community structures, a loss of livelihoods, displacement and dispossession, hampering much needed economic and social development. An exploitative government system further impedes community and livelihood development. Access to basic social services, infrastructure and social protection is limited and often dysfunctional.

The exploitation of vast reserves of national resources in the Democratic Republic of Congo and its associated problems such as the fuelling of armed conflict, child labour and the abuse of women are well known. With an estimated 900 formal and informal mining sites, South Kivu holds important reserves of coltan, tin and gold. South Kivu makes up about 50%¹ of Congo's overall gold production, of which a great deal is dug up by artisanal and small-scale miners. More precisely, gold mining is the most important artisanal mining activity in Eastern Democratic Republic of Congo, employing four times more artisanal miners than tin, tantalum and tungsten combined.

Artisanal gold mining and businesses which surround the mines such as gold trading, brothels, bars and restaurants remain an important way of income generation for communities living in Mwenga Territory, one of the 8 administrative territories in South Kivu. With little alternative economic opportunities, gold mining is considered a profitable and viable livelihood, a way of making quick-cash. Children, adolescents and women work in and around these mining sites, often at the expense of completing basic education.

1.1.1 Public Policy Assessment and EU Policy Framework

Problems of child labour, low school enrolment rates, the lack of viable alternative economic activities, gender inequality², limited awareness of child³ and human rights, unwanted births and prevalence of HIV and other sexually transmitted diseases is common in mining areas throughout the Democratic Republic of Congo.

Although the Democratic Republic of the Congo has ratified key international conventions concerning for example child labour and compulsory education, these conventions and the national laws emanating from them are not systematically enforced. The laws exist but national action plans and strategies for their implementation lack government prioritisation and funding.

The 2014-2020 Global Public Goods and Challenges (GPGC)⁴ thematic programmes support economically and socially sustainable development. The human development programme aims to: promote inclusive education; support effective, productive and decent employment through vocational education and training; economically empower vulnerable groups; improve access to healthcare services, especially for sexual and reproductive health; promote women's rights and empowerment; and tackle the worst forms of child labour.

By encouraging children working in mines to return to school, by offering adolescents vocational training to encourage other ways of income generation, by incentivising female sex workers to take up alternative activities and by providing them with the necessary healthcare advice, the action aims to contribute to all of the GPGC goals mentioned above.

¹ Enough Project (2012). *'From child miners to jewellery store: the six steps of Congo's conflict gold'*.

² The DRC ranks 186th out of 187 countries on the Human Development Index (HDI 2014). The gender inequality index for the DRC is 0.669, ranking 147th out of 152 countries. According to the UNDP (2009), women earn USD 15 per month in contrast to a monthly income of USD 20 for men.

³ Over the past couple of years, the national legal arsenal has been revised, particularly with the 2009 law on child protection. However, adherence to this law is limited.

⁴ C(2014)5072 of 23.07.2014.

To some extent, the project also contributes to the objective of improving access to healthcare services for both women and children as stipulated in the 2014-2020 Democratic Republic of Congo National Indicative Programme. The project will follow the guiding principles of the Agenda for Change, especially those related to gender equality through the 2010 Gender Action Plan, and capacity building of civil society organisations, social partners and local authorities. The conclusions and recommendations of the Democratic Republic of Congo 'Gender Country Profile 2014'⁵ will be taken into account. The project is in line with the Decent Work Agenda and the EU guidelines for the promotion and protection of the rights of the child.

1.1.2 Stakeholder analysis

A. Panzi Foundation

The Panzi Foundation was founded in 2008 with the intention to provide victims of sexual violence treated at Panzi Hospital, run by Dr Denis Mukwege, with transitional housing and long-term care. Complementing Panzi Hospital's work, Panzi Foundation provides a holistic approach aiming to improve women's livelihoods through vocational training and access to finance, improve the access to healthcare (especially maternal and reproductive health), improve outreach services to rural clinics and communities and promote the application of women's rights and gender equality. Through their various institutions and programmes, Panzi's activities focus on socio-economic reinsertion, job skills training, therapeutic counselling, judicial and legal support, promoting behavioural change and managing Panzi Hospital's data. Panzi Foundation supports health centres outside of Bukavu through mobile health clinics and one-stop centres.⁶ Donors include UNICEF and USAID.

The Panzi Hospital specialises in medical care for victims of sexual violence, offering psychological counselling as well as treating gynaecological conditions, specifically those due to reproductive trauma and trauma from sexual violence. For over a decade, the European Commission Humanitarian aid and Civil protection Department (DG ECHO) supports the Survivors of Sexual Violence (SSV) project of Panzi Hospital.

B. Communities surrounding artisanal mines, and in particular:

- (i) children and adolescents working in and around artisanal mining sites;
- (ii) women (and girls) working as sex workers in and around artisanal mining sites.

Children and adolescents failing to attend school due to their involvement in mining activities and women working in brothels surrounding the mining sites are the final beneficiaries of the preparatory action. It is estimated that children, some as young as eight years old, make up around 40% of miners in eastern Congo. One in four women in mining towns self-identify as sex workers and 4 in 10 claim to trade sex simply to gain access to work or basic goods⁷. The project will sensitise artisanal mining communities including local authorities, men, parents and adults working alongside children in the mines about various issues such as human rights (including women's rights), health issues related to mining (especially the hazardous working conditions of children), the deferred benefit of schooling and international child protection legislation. The implication of men is considered key to the project's success. They will be central to the consultative activities to be conducted at the beginning of the project and are primary targets of advocacy/sensitisation activities. Panzi Foundation has projects dedicated

⁵ Commissioned by the Swedish Embassy in collaboration with DFID (Department for International Development – UK), the European Union Delegation and the Embassy of Canada, in Kinshasa. UN women's 'Gender Profile' of various provinces, including South Kivu, is soon to be published. Recommendations and conclusions will likewise be consulted.

⁶ The one-stop centre holistic care model aims to reinforce national health infrastructure, and in doing so, ensure that Congolese women have primary access to the same quality and range of services offered by Panzi Hospital (psychological support, legal assistance, economic opportunities/empowerment) in their own communities.

⁷ World Bank, 2015. *Resources and resourcefulness: gender, conflict, and artisanal mining communities in Eastern Democratic Republic of the Congo*.

to changing men's behaviour and mind-sets, activities which will be integrated in this project. The detailed stakeholder analysis will pay special attention to gender dynamics.

C. Local and provincial authorities

The project aims to involve local and provincial authorities as closely as possible in order to increase sustainability prospects through state capacity building. The project will closely liaise with the « Ministère provincial de la santé du genre, de la famille et des affaires humanitaires », the « Ministère provincial des affaires sociales », the « Ministère provincial des mines » and the « Ministère provincial de l'éducation ». Local authorities have recognised the issues at play and have expressed their willingness to collaborate. However, they suffer from a lack of human and financial capacity.

Authorities' main concern relates to the fact that few if any of the taxes levied on gold production by the central government are channelled back to the province in which the gold is extracted (the Constitution mandates that 40% of revenues emanating from the provinces need to be returned to them by the central authorities).

D. Traditional local leaders

Customary chiefs or 'mwami' are closely involved in artisanal mining as they are traditionally regarded as allocators and guardians of the land. Although not in conformity with state law, miners are required to pay regular taxes to customary chiefs in return for 'tenure security on account of the perceived legitimacy of a customary title'.⁸ Mwamis act as main intermediaries between international mining corporations and the local community and determine for instance which local labour forces to provide to the international corporations. Their lucrative positions occasionally lead to accusations of corruption and nepotism. Customary chiefs are not elected but appointed on the basis of elite family ties. However, centralised state authorities can freely remove chiefs and appoint new ones, and determine which customary chiefs are appointed to provincial assemblies. The mwami for the chiefdom of Luhwindja has taken a great interest in this project.

E. Banro Cooperation

Banro Corporation, a Canadian gold mining company, has been active in eastern Democratic Republic of Congo since November 2004 and currently operates two active mines and two exploration sites in South Kivu. Both Twangiza, one of the two active mining sites, and Kamituga, one of the explorations sights, are located in Mwenga Territory. Banro started exploration activities at Twangiza in 2005 and exploitation in September 2012. Banro is currently producing around 10 500 oz/month (\pm 300 kg) at the Twangiza sight and employs around 1,250 nationals either directly or indirectly (around 95% of total employees). The stock-listed company is facing serious financial difficulties and has seen most of its market value vanish over the past three years.

The arrival of Banro in Mwenga has forced some artisanal miners to relocate, creating tensions related to land rights, jobs and the perceived lack of community development support provided by the multinational.

F. Banro Foundation

The Banro Foundation, established in 2005, is a Corporate Social Responsibility (CSR) initiative by Banro Corporation and is mandated to improve living standards of people living in proximity of Banro mining sites through investments in education, health and infrastructure development. CSR programmes are key in easing tensions between multinational corporations and local communities. Banro Foundation invests USD 1 per ounce of gold produced by its mines in projects benefitting the surrounding communities. Between 2005 and 2014, the Foundation has invested approximately 4.5 million USD through 70 community development projects of an estimated 279.8 million USD of revenues made since 2012.

⁸ Geenen, S. and Claessens, K. (2013). 'Disputed access to the gold sites in Luhwindja, eastern Democratic Republic of Congo', *The Journal of Modern African Studies* 51(1), pp 85-108.

G. Local (Congolese) NGOs

Together with Panzi Foundation, local Congolese non-governmental organisations (NGOs) will be the project's direct beneficiaries responsible for parts of project implementation. For example 'Action pour la promotion des enfants et de la femme' (APEF), located in Luhwindja near to artisanal mining sites, was established in 2003 and aims to improve the conditions of women and children living in Luhwindja through schooling, vocational training and small enterprise support. Overall, local NGOs have limited management, logistical and financial capacity.

H. International NGOs operating locally

With provincial offices located in Bukavu, several international NGOs are working to improve the lives of women and children in South Kivu. In many cases, close partnerships with local NGOs has helped to develop their understanding of the local context. The project may work with international NGOs provided that there is an added value to their involvement.

I. Local businesses and industries

Local businesses and industries are considered project beneficiaries since they are anticipated to indirectly benefit from the education and vocational training provided. The involvement of local businesses is crucial; they should be analysed to identify skill needs as they can potentially provide tailored trainings and employment opportunities.

1.1.3 Priority areas for support/problem analysis

The Territory of Mwenga has a population of roughly 424 000 inhabitants, covering around 11 172 km² of hilly landscape including part of the Twangiza-Namoya gold belt. Mining laws and regulations created in the post-conflict period - currently still applicable - were designed to attract foreign investments and are thus advantageous to large scale industrial mining projects. In the case of Mwenga, the arrival of Banro Corporation has caused artisanal miner displacement to more hazardous sites, created tensions over land rights with artisanal miners claiming 'traditional rights' to their ancestral land, and altered local power relations through lucrative economic ties between local leaders and mining companies.

Depraved conditions both within and around the artisanal mines are evident. Miners can dig shafts of up to 60 meters deep in suffocating conditions, without any health or safety standards. There is an overwhelming presence of women (some underage) working in brothels around the mines, with a high prevalence of sexually transmitted diseases. School attendance in these areas is low as many children work in the artisanal mines, their small physique enabling them to climb into tiny mine shafts. Drug and alcohol abuse is rife in the mines in the area, further perpetuating the general situation of insecurity.

1.2 Other areas of assessment

Not applicable.

2 RISKS AND ASSUMPTIONS

Risks	Risk level	Mitigating measures
Security/conflict: Numerous armed groups and criminal networks are active in South Kivu, with certain parts remaining under their control.	H	Monitoring the evolving security situation. Close communication with local security intelligence such as The United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO). Project activities should focus on areas free of armed group presence.

Political: The upcoming electoral process may alter provincial political interests with, potentially, even greater security risks.	H	Identify political risks in light of the shifting political climate. Manage risk through close political dialogue and through involvement of local authorities in order to gain their support.
Corruption/bad governance: prevalent at all levels of society, including the government.	H	Ensure that all rules relating to good conduct are thoroughly understood at all levels of project implementation (code of conduct, training, etc.). Adherence is to be closely monitored.
Local government institutional capacity and commitment: is low due to a centralised system of governance limiting financial means made available and impeding human resource development.	H	Engage in local community capacity building, relying on existing structures. Continuous close communication with local authorities, involving them in the consultative approach.
Local mining mentality: artisanal mining is considered a profitable livelihood, more than other income generating activities.	H	Promoting alternatives which are most promising in terms of income. Community needs assessments/ surveys will need to be conducted in order to provide targeted vocational training for labour market needs.
Lack of project sustainability: the relatively short lifespan of the project, the limited capability of government involvement during and after implementation, perpetual poverty, an unprosperous economic context and a general state of insecurity contribute to the project's unsustainability.	H	Whilst aiming to include local authorities and the private sector as far as possible, project sustainability is likely to increase through a well-designed community based consultative approach.
Capacity of implementing organisation: due to high visibility and donor interest, total funds to be received by Panzi may exceed the organisation's operational and financial capacities, including its capacity to effectively apply European Commission procedures.	M	Although Panzi Foundation is considered an experienced lead organisation with sufficient absorption capacity, and the ability to provide sub-grants to smaller local NGOs, donor coordination is required to avoid exceeding the organisation's financial and operational capacities.
Displacement: Banro may engage in exploitation activities in areas occupied by artisanal miners. Additional mining contracts may also be awarded.	M	Panzi Foundation and implementing partners should take into account the likelihood of displacement when determining precise project sites (using innovative approaches such as mobile clinics).
Perverse impacts: there is a risk of worsening problems at play; i.e. children previously not involved in mining work might perceive this as a precondition to obtain specific benefits. The project may also attract unwanted attention or experience harassment due to additional funding (such as experienced by Panzi Hospital).	M	Implementation strategy accounts for these potential perverse effects.

Tensions between local communities and local leaders: as a result of shifting power relations and socio-economic dynamics can affect the achievement of project outcomes.	L	Close monitoring of the relationships and the various interests at play. Continuous dialogue with civil society representatives and organisations and local leaders.
Assumptions		
It is assumed that sufficient education, vocational training and health facilities infrastructure is in place not requiring the project to foresee construction of new schools and centres.		

3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

3.1 Lessons learnt

The EU has not financed a project with similar aims in South Kivu. An exploratory mission to the area was conducted in February 2015, during which meetings were organised with key stakeholders, including Banro Foundation, Panzi Foundation, local authorities as well as other NGOs and donors active in the region in order to realise any potential synergies. Research⁹ conducted and discussions held during the project design phase have contributed to a better understanding of the local context and the likely difficulties to be faced during project implementation. As a result, the project will be based on a consultative approach involving entire communities rather than direct beneficiaries - children, adolescents and sex workers-solely, in order to better adapt to the local context and maximise sustainability. Research has also shown that incentives encouraging school enrolment should be provided at a universal level to all children, where feasible, rather than to targeted mining children only in order to avoid perverse effects.

'Action pour la Promotion des enfants et de la femme' (APEF) has implemented a socio-economic integration project with Banro Foundation funds up until 2013. The project lacked sustainability with activities stopping as soon as funds were spent and monitoring of the targeted beneficiaries limited as a consequence. During the field visit, deserted vocational training sights of the APEF project were visited. To avoid a similar outcome, the project will involve local authorities and the private sector as far as possible in order to maximise sustainability and the chance of follow-up funding.

3.2 Complementarity, synergy and donor coordination

The European Commission's Humanitarian Aid and Civil Protection Department (DG ECHO) supports Panzi Hospital through Médecins du Monde Belgique for medical and psychological assistance to survivors of sexual violence and women in need of specialised gynaecological care in South Kivu. Apart from medical care, the project has also funded occupational therapy and educational activities for the victims of SGBV. The EU Delegation is currently funding the 'Projet d'amélioration de la prise en charge destinée aux victimes de violence sexuelle dans l'est de la République démocratique du Congo', implemented by Oxfam Novib.

Various local and international NGOs are present in South Kivu working to improve the lives of women and children. The Norwegian Refugee Council is actively involved in promoting and providing access to education across the Kivus. International Alert focusses on women's economic empowerment and participation by providing microfinance credits and by supporting cross-border trade of small informal enterprises in the Great Lakes region. War

⁹ Including: i) Geenen, S. (2013). 'Who seeks, Finds': How artisanal miners and traders benefit from gold in the Eastern Democratic Republic of Congo'. *European Journal of Development Research*, 25 (2), pp. 197-212. ii) Geenen, S., and Claessens K. (2013). 'Disputed access to the gold sites in Luhwindja, eastern Democratic Republic of the Congo'. *The Journal of Modern African Studies* 51, pp. 58-108. iii) Winrock International (2008). 'Best practices in preventing and eliminating child labour through education'. iv) War Child Holland report on informal education for children affected by conflict. v) World Bank funded Great Lakes emergency sexual and gender based violence and women's health project. vi) Banro Foundation, International Alert and Panzi Foundation reports.

Child Holland based in Bukavu and active throughout various areas in South Kivu provides vocational training to children affected by conflict and provides psychological support activities. 'Action pour la Promotion des enfants et de la Femme' (APEF) aims to improve the conditions of women and children living in Luhwindja, a chiefdom of Mwenga Territory, through schooling, vocational training and small enterprise support. Vocational training to both women and children has been given for mechanics, plumbing, masonry, sewing, carpentry and cookery. Coordination with existing initiatives will be ensured in cases where activities are overlapping.

Human rights are a primary concern of the European Union, putting special emphasis on the protection of the rights of women. In the Democratic Republic of Congo, the EU supports the rights of women through various international, regional and national initiatives.¹⁰ The European Initiative « Femmes et Hommes, progressons ensemble pour lutter contre les violences liées au genre en RDC » and the European Union supported Gender Based Violence (GBV) programme in the provinces of Kinshasa and Bandundu will be consulted for knowledge sharing and learning and development.

Government coordination of various donor initiatives in this sector is limited, not least because of the vastness of the issues at play. Government representatives will be involved in the project Steering Committee in order to try to improve this coordination.

3.3 Cross-cutting issues

Child labour and the engagement of often young women in sex work around the artisanal gold mines relate to issues of **gender equality and human rights**. In order to promote equality between men and women, special attention will be given to improving women's access to their rights and the effective implementation of these rights. A gender sensitive stakeholder analysis will encourage women representation to allow the expression of their specific needs, concerns and perspectives.

Both **awareness raising activities and behavioural change advocacy** will target men, parents and adults working alongside children in the mines and local leaders about intolerant practices.

The project will contribute to the improvement of **maternal and reproductive health** through the provision of medical advice on birth control and sexually transmitted diseases (STDs).

The project intends to involve local authorities whenever possible and will encourage principles of **good governance** by promoting accountable and transparent local authorities.

The rehabilitation of existing schools, vocational centres and medical facilities will not negatively impact the **environment** and environmental impacts of project activities will be judged throughout project lifetime (in particular those related to the disposal of medical waste).

4 DESCRIPTION OF THE ACTION

4.1 Objectives/results

The **overall objective** of the project is to better the standard of living of communities in the vicinity of mining sites in the territory of Mwenga by providing remedial education¹¹ to children and by promoting alternative economic opportunities for adolescents and sex workers through vocational training activities.

¹⁰ For example: the DRC national strategy on the fight against gender based violence, various SADC (Southern African Development Community) and CIRGL (Conférence Internationale sur la Région des Grands Lacs initiatives, and UN Security Council resolutions 1325 and 1820.

¹¹ Remedial education programmes last 3 years for children who have never attended primary school. Given the short implementation period of the project, beneficiaries in need of remedial education will be carefully selected, ensuring their reintegration within the project's lifetime.

Specific objective: Improve access to basic social services through the provision of education, vocational training and health care to beneficiary population (children, adolescents and sex workers).

The project will achieve its objectives through a community-based consultative approach which will engage the entire community (instead of direct beneficiaries only) including local authorities, men, parents, teachers, local businesses, trade unions, traditional leaders and miners working alongside children. Project objectives will be explained to community groups, discussing their needs and expectations and how to address these effectively. A base line evaluation will assess the working conditions in mining sites, the main qualitative characteristics of mining work (daily displacements of workers, push factors, etc.), the number and age of children, adolescent and sex workers working in the mining sites, the number of children enrolled in education, local perspectives about child protection and human rights. Results of the baseline study will determine the number of targeted beneficiaries and will allow activities to be realigned, tailored to stakeholder needs. Community groups will also be involved in project activities such as awareness-raising, monitoring, advocacy and communication. Consultative processes accounting for stakeholder interests at all phases of project design and implementation will increase the likelihood of sustainability through local ownership. Discipline and social pressure needed for the project's success will come from within the community, not least as a result of the project's advocacy and awareness raising activities.

Every effort will be made to align the project's strategy and activities with government programmes to generate support from authorities, including potential post-project support and ownership. An exit strategy outlining the appropriations of the structure when the project ends should be designed at the early stages of the project.

Results per output are as follows:

Output 1: Increased school attendance amongst a select group of children working in the artisanal mines: child miners are empowered by their rights to education and reintegrated into the schooling system, benefiting from a better quality of life and improved employment prospects. Emphasis should be placed on female enrolment.

Output 2: A reduction in the number of targeted adolescents and sex workers returning to work in the mines through the provision of vocational training: adolescents and sex workers attain job skills in alternative professions, not related to artisanal mining or the sex industry surrounding the mines and benefit from an improved overall standard of living. Emphasis should be placed on female enrolment.

Output 3: Local stakeholders are aware about child protection, human rights, deferred benefits of schooling, and sexual health through awareness raising activities: local communities are sensitised and support human rights, women and children's rights in particular.

Output 4: Increased access to medical assistance and facilities for sex workers working in vicinity of mining sites in order to combat sexually transmitted diseases and avoid unwanted pregnancies: improved sexual health of sex workers benefitting from the medical assistance provided¹². Health zones targeted apart from the Mwana health zone will be identified during the baseline study. Cases which cannot be treated under the project's activities will be referred to local health institutions. Guidance will be provided by Panzi Hospital as needed.

¹² The primary beneficiaries of this output are sex workers. However, acknowledging the fact that women are a vulnerable group in general, services will be extended to other women if deemed financially feasible.

Output 5: Establish two one-stop medical centres to ensure holistic accompaniment of targeted populations, with special attention to most vulnerable categories (children and women): for local coordination, technical support and for general referral.

4.2 Main activities

Output 1: Increased school attendance amongst a select group of children working in the artisanal mines

- **Logistics:** identifying education facilities in the proximity of the target area and analysing their accessibility and capacities to annex remedial education centres; refurbishment of existing remedial education centres or school annexes if needed; providing necessary equipment; and recruitment of qualified staff for remedial education centres with skills able to deal with children from a mining background (emphasis on recruiting local female teachers), including staff with psycho-social guidance skills.
- **Remedial education provision:** selecting beneficiaries according to prior established criteria; preparing a framework of education competences based on national frameworks to assess levels of schooling of beneficiaries; selecting appropriate training course/curriculum according to child necessities; providing remedial education to selected beneficiaries; testing and preparing children for enrolment in mainstream education systems, and providing necessary psychological counselling to children.
- **Cooperation with existing education facilities:** establishing partnerships with local education facilities and close cooperation with existing structures to allow easier transition to formal school in an appropriate academic level.
- **Providing incentives and increasing sustainability:** designing and implementing mechanisms to incentivise school attendance in order to compensate for the loss of family income. These measures are key to project sustainability and should be discussed throughout the various consultative processes. Measures facilitating the transition could include: the provision of remedial facilities' school meals (possibly through agro pastoral activities for parents), fresh drinking water, school uniforms, school materials, performance-based awards, etc.; partnering with Panzi Hospital and their mobile health centres to offer free medical check-ups; and setting up parent associations with micro-finance projects and/or innovative saving and loan schemes (Panzi's 'Village Saving and Loan Associations' and 'Mutuelle de solidarité' schemes). Whether these incentives should be provided to the entire school and not just direct beneficiaries in order to avoid stigmatisation will be carefully considered.
- **Monitoring:** establishing monitoring systems, analysing educational progress made; monitoring daily school enrolment rates, and assessing project impact on beneficiaries and their progress after intervention. Keeping close track of performance and behaviour helps to pre-empt drop-out and provide support and encouragement where needed. For example, children not turning up to school will receive home visits. The latter should be done in close collaboration with parents and teachers. Teachers can reach out to parents and help them understand their roles and responsibilities (participative action monitoring).
- **Complementary measures:** extracurricular activities (recreational, social, cultural activities); teaching topics such as life skills, nutrition, health, crop growing and hygiene, and setting up children's clubs and societies. These measures can benefit the child's overall development, enhance the child's social development and potentially improve its well-being.

Output 2: A reduction in the number of targeted adolescents and sex workers returning to work in the mines through the provision of vocational training

- **Logistics:** identifying vocational education facilities in the target area and analysing existing capacities; refurbishment of existing vocational education centres if needed; recruitment of vocational trainers/'maître artisans-formateurs' and staff with psycho-social guidance skills; and providing the necessary equipment.

- **Market survey/analysis:** conducting market analysis to establish market gaps (including the potential of agricultural activities) and necessities and identifying on-the-job-training and job placement possibilities. The analysis will map the private sector institutions present and include a survey on average salaries earned and benefits available such as social protection schemes.
- **Vocational training provision:** selecting beneficiaries according to prior established criteria, developing training programmes, providing vocational education tailored to the different target groups and market survey results and providing necessary psychological counselling.
- **Providing incentives and increasing sustainability:** supporting the reintegration of adolescents and sex workers through innovative microcredit, savings and loan schemes and providing food during training.
- **Monitoring:** establish monitoring systems, analysing progress made; monitoring enrolment rates and performance, and assessing project impact on beneficiaries (including economic impact), determining whether the training provided has helped address local necessities and whether beneficiaries return to work in the mines.

Output 3: Local stakeholders are made aware about child protection and human rights

- **Organising advocacy and awareness raising activities** in local communities tailored to the various beneficiary groups. This should include awareness raising about human rights, women and children's rights, social inclusion (community acceptance of ex-sex workers), child protection legislation, the hazards of child labour, the minimum legal age to work, safe working conditions (underlining the health hazards of working conditions for children especially), the benefits of vocational training and the deferred benefits of education. Key messages will be identified and stakeholders will be engaged at all levels of advocacy activities. Activities will use innovative ways to reach out to the community (establishing/identifying youth clubs, women's groups, information workshops, home visits, theatre, discussion forums, media campaigns, etc.).

Output 4: Increased access to medical assistance and facilities for sex workers working in vicinity of mining sites in order to combat sexually transmitted diseases and avoid unwanted pregnancies

- **Logistics:** establish synergies between the Panzi mobile health clinic and local (medical) organisations (Mwana Health Zone, Hôpital Général de Référence Ifendula and various health centres) and recruiting staff if necessary.
- **Medical assistance:** increasing STD prevention and treatment by offering screening sessions for STDs; provision of medication; capacity building of local health institutions; enrolling project beneficiaries into health insurance systems (children and adolescents); conducting sexual health and birth control information sessions; providing necessary psychological counselling; and capacity building of local staff.
- **Monitoring:** designing mechanisms which determine whether birth control and STD prevention advice is being put in practice.

Output 5: Establish two one-stop medical centres to ensure holistic accompaniment of targeted populations, with special attention to most vulnerable categories (children and women)

- **Logistics:** providing necessary equipment and recruitment of a psychologist, a legal assistant socioeconomic experts and a project coordinator.
- **Assistance:** capacity building of local hospital staff through various training sections relating to the provision of a 'holistic' approach.

4.3 Intervention logic

Through the provision of remedial schooling to children and vocational education to adolescents and sex workers, the promotion of economic opportunities other than mining activity will serve to contribute to an overall improvement in living standards, from a health/human rights and economic perspective. Mining communities will be sensitised and

health advice will be provided to sex workers in order to reinforce the overall objective of improved living conditions. It is assumed that local education, vocational training and health facilities/infrastructure are existent.

5 IMPLEMENTATION

5.1 Financing agreement

In order to implement this action, it is **not** foreseen to conclude a financing agreement with the partner country, referred to in Article 184(2)(b) of Regulation (EU, Euratom) No 966/2012.

5.2 Indicative implementation period

The indicative operational implementation period of this action, during which the activities described in section 4.12 will be carried out and the corresponding contracts and agreements implemented, is **36 months** from the date of the adoption by the Commission of this Action Document.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements; such amendments to this decision constitute technical amendments in the sense of point (i) of Article 2(3)(c) of Regulation (EU) No 236/2014.

5.3 Implementation of the budget support component

Not applicable.

5.4 Implementation modalities

5.4.1 Grant: direct award 'Socio-economic reintegration of children and female sex workers living around artisanal mines in Mwenga Territory, South Kivu Province, and Eastern Democratic Republic of Congo' (direct management)

All of the envisaged activities will be implemented through one direct grant award to Panzi Foundation.

(a) Objectives of the grants, fields of intervention, priorities of the year and expected results

The direct grant award consists of five key outputs:

Output 1: Increased school attendance amongst a select group of children working in the artisanal mines: child miners are empowered by their rights to education and reintegrated into the schooling system, benefiting from a better quality of life and improved employment prospects. Emphasis should be placed on female enrolment.

Output 2: A reduction in the number of targeted adolescents and sex workers returning to work in the mines through the provision of vocational training: adolescents and sex workers attain job skills in alternative professions, not related to artisanal mining or the sex industry surrounding the mines and benefit from an improved overall standard of living. Emphasis should be placed on female enrolment.

Output 3: Local stakeholders are made aware about child protection, human rights, deferred benefits of schooling, and sexual health through awareness raising activities: local communities are sensitised and support human rights, women and children's rights in particular.

Output 4: Increased access to medical assistance and facilities for sex workers working in vicinity of mining sites in order to combat sexually transmitted diseases and avoid unwanted pregnancies: improved sexual health of sex workers benefitting from the medical assistance provided¹³. Health zones targeted apart from the Mwana health zone will be identified during

¹³ The primary beneficiaries of this output are sex workers. However, acknowledging the fact that women are a vulnerable group in general, services will be extended to other women if deemed financially feasible.

the baseline study. Cases which cannot be treated under the project's activities will be referred to local health institutions. Guidance will be provided by Panzi Hospital as needed.

Output 5: Establish two one-stop medical centres to ensure holistic accompaniment of targeted populations, with special attention to most vulnerable categories (children and women): for local coordination, technical support and for general referral.

Activities envisaged during the first year of the programme will involve conducting baseline surveys and market surveys, identifying and possibly rehabilitating remedial and vocational education centres, establishing functioning health centres, signing partnership agreements, selecting beneficiaries and conducting child protection and human rights sensitisation campaigns. All project activities including the establishment and functioning of remedial education and vocational training centres as well as health care clinics will be functional in the first year of implementation.

The second year will put emphasis on providing remedial education, vocational skills training and related activities such as the provision of additional support to parents.

(b) Justification of a direct grant

Under the responsibility of the Commission's authorising officer responsible, the grant may be awarded without a call for proposals to Panzi Foundation.

Considering its experience, its local networks and its financial and technical capacity, Panzi Foundation is the only organisation able to implement all three of the project's main components (education, vocational training and medical assistance) and finds itself in a de facto monopoly position.

The Democratic Republic of the Congo finds itself in a crisis situation as referred to in Article 190(2) of the Rules of Application (RAP). Under the responsibility of the Commission's authorising officer responsible, the recourse to an award of a grant without a call for proposals is justified because the country is in a crisis situation referred to in Article 190(2) RAP. In addition, the beneficiary is in a factual monopoly situation being the only entity in South Kivu applying a holistic approach in the area of health care, education and socio-economic reintegration of women and children affected by sexual violence and exclusion.

The nature of the action requires working with a local NGO with sufficient management, technical and logistical capacity. Panzi Foundation is considered a capable and experienced organisation with sufficient absorption capacity, able to provide sub-grants to smaller local NGOs.

Furthermore, Panzi Foundation has experience in the territory, has developed wide-spanning networks and is familiar with the final beneficiaries. Panzi has the capacity to establish the necessary infrastructure needed in what remains a difficult context in terms of security and development. Panzi's financial capacity has been verified.

Panzi Foundation has solid experience in the reintegration of vulnerable women, including the provision of vocational training. Panzi will seek technical support and advice from local partners where deemed necessary, especially for the education component. Medical assistance will be provided in conjunction with Panzi Hospital.

(c) Essential selection and award criteria

The essential selection criteria are the financial and operational capacity of the applicant.

The essential award criteria are relevance of the proposed action to the objectives of the call; design, effectiveness, feasibility, sustainability and cost-effectiveness of the action.

(d) Maximum rate of co-financing

The maximum possible rate of co-financing for this grant is 90%.

In accordance with Articles 192 of Regulation (EU, Euratom) No 966/2012, if full funding is essential for the action to be carried out, the maximum possible rate of co-financing may be increased up to 100%. The essentiality of full funding will be justified by the Commission's

authorising officer responsible in the award decision, in respect of the principles of equal treatment and sound financial management.

(e) Indicative trimester to conclude the grant agreement

The grant agreement will be concluded in the fourth trimester of 2015.

5.5 Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents will apply.

The Commission's authorising officer responsible may extend the geographical eligibility in accordance with Article 9(2)(b) of Regulation (EU) No 236/2014 on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

5.6 Indicative budget

Activities	EU contribution (EUR)	Indicative third party contribution (EUR)
5.4.1. – Improve access to basic social services through the provision of education, vocational training and health care to beneficiary population (children, adolescents and sex workers).	2 200 000	
- Direct grant to Panzi Foundation (direct management) composed of (indicative amounts):	2 200 000	244 444
<i>Output 1: increasing primary school attendance for children working in the artisanal mines</i>	<i>580 000</i>	<i>40 000</i>
<i>Output 2: reducing the number of targeted adolescents and sex workers returning to work in the mines through the provision of vocational training</i>	<i>650 000</i>	<i>40 000</i>
<i>Output 3: sensitising local stakeholders about child protection and human rights</i>	<i>110 000</i>	<i>50 000</i>
<i>Output 4: increasing access to medical assistance and facilities for sex workers working in vicinity of mining sites in order to combat sexually transmitted diseases and avoid unwanted pregnancies</i>	<i>340 000</i>	<i>84 444</i>
<i>Output 5: Establish two one-stop centres for a holistic approach</i>	<i>300 000</i>	<i>30 000</i>
<i>Contingencies</i>	<i>36 000</i>	
<i>Administration fees</i>	<i>154 000</i>	
5.9 – Evaluation, 5.10 – Audit	will be covered by another decision	
5.11 – Communication and visibility	30 000	
Totals	2 200 000	244 444

5.7 Organisational set-up and responsibilities

The project will be implemented by the lead organisation, Panzi Foundation, in collaboration with local partners. Panzi Foundation is responsible for the overall implementation of the project. A project Steering Committee will be set up which will include representatives from the EU Delegation, Panzi Foundation, the Government and key local implementing partners. The European Commission will closely monitor project implementation given the nature of the action and risks involved.

5.8 Performance monitoring and reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partner will establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report will provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, using as reference the logframe matrix. The report will be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

5.9 Evaluation

Having regard to the nature of the action, a final evaluation will be carried out for this action or its components via independent consultants contracted by the Commission.

It will be carried out for accountability and learning purposes at various levels (including for policy revision), taking into account in particular the fact that the project is a preparatory action to be tested.

The Commission will inform the implementing partner at least 30 days in advance of the dates foreseen for the evaluation missions. The implementing partner will collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports will be shared with the partner country and other key stakeholders. The implementing partner and the Commission will analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

The financing of the evaluation will be covered by another measure constituting a financing decision.

5.10 Audit

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

The financing of the audit will be covered by another measure constituting a financing decision.

The financing of the audit will be covered by another measure constituting a financing decision.

5.11 Communication and visibility

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action will contain communication and visibility measures which will be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation and supported with the budget indicated in section 5.6 above.

In terms of legal obligations on communication and visibility, the measures will be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations will be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action will be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

6 PRE-CONDITIONS

Not applicable.

APPENDIX - INDICATIVE LOGFRAME MATRIX

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action without an amendment to the financing decision. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for listing the activities as well as new columns for intermediary targets (milestones) when it is relevant and for reporting purpose on the achievement of results as measured by indicators.

	Intervention logic	Indicators	Baselines (incl. reference year)	Targets ¹⁴ (incl. reference year)	Sources and means of verification	Assumptions (general)
Overall objective: Impact	Contribute to poverty reduction of artisanal mining communities in the territory of Mwenga.	Various quantitative (such as mean incomes, poverty headcount ratio) and qualitative social indicators measurable within the project's scope.	To be established at starting point.	To be established after baseline survey.	Locally registered data, baseline and end line survey reports.	
Specific objective(s): Outcome	Improve access to basic social services through the provision of education, vocational training and health care to beneficiary population (children, adolescents and sex workers).	Ensure that targeted children (male, female) are reintegrated in primary school systems; increased school attendance rates of targeted children (measured at remedial education stage); reduction in the number of children, adolescents (male, female) and sex workers (female) working in the mines; increased awareness on human rights and general wellbeing, and; improvement in sexual health of sex workers.	To be established at starting point.	To be established after baseline survey.	Baseline and end line survey reports.	It is assumed that the political and security context will not negatively impact project implementation. It is assumed that local partners and authorities are involved and worked in a collaborative climate.

¹⁴ All targets listed are *indicative only* and will be revised during the baseline study and consultative approaches envisaged at the start of the project. Reference years will be the end of the project, namely end 2017 unless otherwise indicated.

Outputs	<p>Output 1: Increased school attendance for children (male, female) working in the artisanal mines</p> <p>Output 2: A reduction in the number of targeted adolescents and sex workers returning to work in the mines through the provision of vocational training</p> <p>Output 3: Local stakeholders are made aware about child protection and human rights</p> <p>Output 4: Increased access to medical assistance and facilities for sex workers working in vicinity of mining sites in order to combat sexually transmitted diseases and avoid unwanted pregnancies</p> <p>Output 5: Establish two one-stop medical centres to ensure holistic accompaniment of targeted populations, with special attention to most vulnerable categories (children and women)</p>	<p>Indicator 1.1: Net remedial school attendance rate, % Indicator 1.2: Reduction of the net school dropout rate solely attributable to mining (measured at remedial education stage), %</p> <p>Indicator 1.3: Proportion of enrolled children (in remedial education) who pass tests, %</p> <p>Indicator 1.4: Percentage of parent organised in micro-finance projects and/or innovative saving and loan schemes.</p> <p>Indicator 2.1: Net adolescents and sex workers dropout rate, %</p> <p>Indicator 2.2: Revenue gained by beneficiaries as a result of vocational training</p> <p>Indicator 3.1: Targeted audience has retained key messages of the sensitisation campaigns</p> <p>Indicator 4.1: Percentage of sex workers diagnosed with STDs and treated</p> <p>Indicator 4.2: Reduction of beneficiaries with STDs and unwanted pregnancies with treated patients, %</p> <p>Indicator 4.3: Percentage of enrolled sex workers sensitised on birth and unwanted pregnancies who practice acquired knowledge</p> <p>Indicator 5.1: Number of beneficiaries benefiting from one-stop centre services</p> <p>Indicator 5.2: Number of health institutions benefiting from capacity building</p>	To be established at starting point	<p>T1.1: at least 80% of enrolled children (around 300) attend remedial school</p> <p>T 1.2: reduction of 80% of the net school dropout attributed to mining</p> <p>T 1.3: at least 80% of children pass the tests and successfully reintegrate in primary education</p> <p>T1.4: at least 80% of parent have access to microfinance and innovative saving and loan schemes</p> <p>T 2.1: not to exceed 20% of enrolled beneficiaries</p> <p>T2.2: should exceed basic poverty threshold of 1.25 USD at 2005 purchasing-power parity (PPP).</p> <p>T 3.1: at least 90% of audience</p> <p>T 4.1: 90% of those diagnosed are treated</p> <p>T4.2: 90% reduction of STD and unwanted pregnancies</p> <p>T 4.3: 90% of sex workers practice acquired knowledge</p> <p>T 5.1: On a needs basis, to be established at starting point</p> <p>T5.2: to be established at starting point</p>	<p>MOV 1.1: project progress reports, primary school registers and records</p> <p>MOV 1.2: primary school records</p> <p>MOV 1.3: remedial education school annual reports</p> <p>MOV 1.4: partners' progress reports, records count</p> <p>MOV 2.1: project progress reports</p> <p>MOV 2.2: Survey/ project reports</p> <p>MOV 3.1: Knowledge, Attitude and Practice (KAP) study</p> <p>MOV 4.1: project progress report, hospital reports</p> <p>MOV 4.2: project progress report, hospital reports</p> <p>MOV 4.3: survey, project end line evaluation report.</p> <p>MOV 5.1: progress reports</p> <p>MOV 5.2: institution records, reports</p>	<p>It is assumed that sufficient education, vocational training and health facilities infrastructure is in place not requiring the project to foresee construction of new schools and centres.</p> <p>It is assumed that the targeted population will actively engage in alternative income generating activities.</p>
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