

# Climate Change Adaptation and Stability in Fragile Border Areas of Mali

## Key results:

- 150 units of climate smart infrastructure in communities
- 75.000 people gained access to clean drinking water
- 75.000 people gained access to clean energy
- 10.000 people (at least 50% Women and at least 50% youth) supported in income generating activities
- 20% increase in average income of small-scale food producers (SDG 2.3.2) in targeted communities
- 15 intercommunal natural resource management agreements (for water, arable land, forests, energy) concluded
- 40 social dialogue sessions facilitated between local government stakeholders and conflict-affected communities
- The number of on-going natural resource management related conflicts at community level reduced by half
- At least a non-increase in violent incidents, food insecurity, and the number of IDPs and refugees originating from the region.

## Justification for support:

- The fragile border areas between Mali, Burkina Faso and Niger are a scene of a negative spiral of population growth, climate change and increased pressure on natural resources, being a reason for conflicts and instability.
- In addition, historical conflicts between pastoralists and farmers can spark poverty, food insecurity and displacement. More than five million people in the Central Sahel are food insecure and approx. one million are internally displaced.
- The initiative will feed into the Danish priorities for development assistance (2020-2023) on a clear green ambition, supporting resilience in fragile communities, and the strengthened focus on Africa and particularly Sahel.
- The initiative will be a new complementary green approach to national and regional stabilisation initiatives in the same geographical areas.

## Major risks and challenges:

- Break out of major conflict in individual project areas rendering access too dangerous or impossible – mitigation through close monitoring, adjustment and if necessary relocation of activities
- Risk of increasing tension between groups by offering infrastructure and equipment – mitigation through solid social preparation, inclusive transparent, locally led decision-making processes around the infrastructure, comprehensive group involvement and fair distribution of resources

## Strategic objective:

Strengthen resilience of communities in fragile border areas between Mali and Niger & Mali and Burkina Faso through climate change adaptation and stabilisation measures

## Justification for choice of partner:

The partner identified to manage of the Project is the PATRIP Foundation, an independent non-profit fund management institution established in 2011 by the KfW Development Bank, on behalf of the Foreign Office of the Federal Republic of Germany (GFFO). After almost 10 years of existence, the PATRIP Foundation looks back at a solid track record of diverse small and medium sized infrastructure funding in complex and fragile settings. The Foundation has considerable experience working in fragile border regions of Afghanistan and started activities in the Sahel in 2018, with about 140 projects funded in total (both regions, completed and ongoing).

## Summary:

Facing the vicious circle of climate change and conflicts over resources, particularly present along the border of Mali and Burkina Faso, and Mali and Niger, the project will seek to reach its objective through an integrated community approach focusing on two complementary outcome areas:

- (1) Local communities have access to climate smart economic and social infrastructure in particular in the agriculture, water, and energy sectors.
- (2) Reduced conflicts, increased social dialogue and joint community management particularly regarding natural resource and community infrastructure management.

The implementation is done through a partnership with PATRIP Foundation, which will manage a call for proposals for individual cross-border community projects while applying its expertise in the selection of concept notes, final project formulation and monitoring & evaluation.

## Budget:

<b>Total</b>	<b>55,000,000</b>
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<b>File No.</b>	2020-27563					
<b>Country</b>	Mali, with some project activities in Burkina Faso and Niger					
<b>Responsible Unit</b>	Bamako					
<b>Sector</b>	Climate Change & Resilient communities					
<b>Partner</b>	PATRIP Foundation					
	<i>DKK mill.</i>	<b>2020</b>	<b>2021</b>	<b>2022</b>	<b>2023</b>	<b>2024</b>
<b>Commitment</b>	55	0	0	0	0	55
<b>Projected ann. disb.</b>	0	16.5	17.875	17.875	2.75	55
<b>Duration</b>	01-01-2021 – 30-06-2024					
<b>Previous grants</b>	None					
<b>Finance Act code</b>	06.34.01.70 Klimapulje					
<b>Head of unit</b>	Rolf Holmboe (from 1 <sup>st</sup> September 2020)					
<b>Desk officer</b>	Niels Bossen					
<b>Reviewed by CFO</b>	YES: Mirja Crone					

## Relevant SDGs

 No Poverty	 No Hunger	 Good Health, Wellbeing	 Quality Education	 Gender Equality	 Clean Water, Sanitation
 Affordable Clean Energy	 Decent Jobs, Econ. Growth	 Industry, Innovation, Infrastructure	 Reduced Inequalities	 Sustainable Cities, Communities	 Responsible Consumption & Production
 Climate Action	 Life below Water	 Life on Land	 Peace & Justice, strong Inst.	 Partnerships for Goals	

## 1. INTRODUCTION

The Danish Embassy in Mali has received a financial framework of DKK 55 million from additional climate funding from the Danish Public Budget (2020), to develop an initiative that will support climate change adaption of economic activities and natural resource management (water, energy) in the fragile areas along Mali's borders to Burkina Faso and to Niger. The Project "*Climate Change Adaptation and Stabilisation in Fragile Border Areas of Mali*" is to be seen in the light of the Danish Government's ambitions to strengthen its climate change mitigation and adaption efforts at home and abroad as laid out in Vision 2030 and Danish Development Cooperation Priorities for 2020-23. The Project will equally contribute to supporting stabilisation and resilience in fragile departure zones for displacement and migration and will be a part of the Danish contribution to the Sahel Alliance agenda. The main focus will be on Mali but with cross-border activities into both Burkina Faso and Niger.

The partner identified to manage the Project is the PATRIP Foundation, an independent non-profit fund management institution established in 2011 by the KfW Development Bank, on behalf of the Foreign Office of the Federal Republic of Germany (GFFO).

PATRIP's purpose is "*the promotion of development cooperation, in particular through measures with short and medium-term effect, which serve to stabilise fragile states, contain crises or support transitions, and mitigate the consequences of crises. These measures can be implemented both in individual countries and regionally (cross-border).*"

After almost 10 years of existence, the PATRIP Foundation looks back at a solid track record of diverse small and medium sized infrastructure funding in complex and fragile settings. The Foundation has considerable experience working in fragile border regions of Afghanistan and started activities in the Sahel in 2018, with about 140 projects funded in total (both regions, completed and ongoing).

## 2. SUMMARY

The fragile areas of the border region between Mali, Burkina Faso and Niger are a scene of a negative spiral of population growth, climate change and increased pressure on natural resources, being a reason for conflicts and instability. In addition, historical conflicts between pastoralists and farmers can spark poverty, food insecurity and displacement. It is estimated that over five million people in the Central Sahel are food insecure and approx. one million are internally displaced. In this light, solutions are needed that strengthen the population's resilience to climate change through adapted agriculture and access to (clean) water and energy.

Facing the vicious circle of climate change and conflicts over resources, particularly present along the border of Mali and Burkina Faso, and Mali and Niger, the project will seek as its objective to: *strengthen resilience of communities in fragile border areas between Mali and Niger & Mali and Burkina Faso through climate change adaptation and stabilisation measures.*

The objective will be reached through an integrated and cross-border community approach focusing on two complementary outcome areas:

- Local communities have access to climate smart economic and social infrastructure in particular in the agriculture, water, and energy sectors.
- Reduced conflicts, increased social dialogue and joint community management particularly regarding natural resource and community infrastructure management.

The implementation is done through a partnership with PATRIP Foundation, which will manage a call for proposals for individual cross-border community projects while applying its expertise in the selection of concept notes, final project formulation and monitoring & evaluation. At community level, individual project partners will deliver climate smart economic and social infrastructure in the agriculture, water, and energy sectors all while enhancing local joint management capacity of community and natural resource infrastructure through increased social dialogue and agreements.

The success of tackling sensitive issues through the provision of climate smart infrastructure and related services all while promoting dialogue and participation comports moderate to high risks. Such risks will

be eased through rigorous baseline analysis, continuous monitoring, and dialogue on the level of individual projects so as to ensure the fostering of relevant and fact-based coordination, learning and cooperation. The residual risks are assessed to be moderate. But the high level of ambition of the results framework within the short implementation period (4.5 years) may pose a risk of failing to fully achieve the end targets.

### 3. STRATEGIC CONSIDERATIONS AND JUSTIFICATION

#### 3.1 CONTEXT

Climate Change is unquestionably one of the biggest challenges facing our civilization today. The consequences of human activities on the world climate has reached an alarming level and poses critical threats to human life particularly in fragile contexts.

It is no longer just an environmental concern but is now widely recognized as a critical developmental, humanitarian and security challenge given how some of its dire manifestations of extreme heat and precipitations bring about droughts, storms, floods, desertification, etc., which in turn have threatening consequences on livelihoods impacting agricultural value chains, natural resource management and health. Vulnerabilities to climate stress include economic stability, food security, increased poverty, malnutrition, hunger, disease as well political instability and armed conflicts.

Mali as well as Burkina Faso and Niger (central Sahel) remain among the 25 poorest countries in the World and among the most vulnerable countries to climate change and crisis due to the geographical localisation, the climate sensitive economy and endemic poverty levels. All three countries rely mostly on mining and agriculture exports for revenue – in the case of Mali, gold and cotton represent 80% of its export earnings.

The central Sahel continues to endure dire security issues in particular along the borders of Mali and Burkina Faso and Mali and Niger, where armed conflicts aggravate humanitarian needs. The UN Office for the Coordination of Humanitarian Affairs (OCHA) reports<sup>1</sup> that there are currently over 250 000 internally displaced people in Mali as well as nearly 85 000 Malian refugees in Niger and in Burkina Faso.

A lingering physical insecurity brought about by ideological and intercommunal conflicts disrupt livelihoods and humanitarian access in the aforementioned areas, forcing numerous farmers to abandon their fields or deviate herds from their usual movements leading to localized production shortfalls. Current food insecurity is set to increase and worsen as nearly 3 million people are unable to afford some essential non-food expenditures and more than 750 000 people are facing crisis and emergency levels of acute food insecurity.

As the impacts of climate change compound an already challenged political, economic, and social environment, Mali continues to be the theatre of a broad concertation of donor efforts in the area of peace and stabilisation. Building resilience to these climate change impacts has emerged as an additional key strategic tool to support the improvement of the lives and livelihoods of the people most affected by these multiple crises.

#### 3.2 STRATEGIC FRAMEWORK AND OBJECTIVES

By adopting an integrated community approach, the Project *Climate Change Adaptation and Stabilisation in Fragile Border Areas of Mali* will endeavour to contribute to the economic and social stability of border areas of Mali and seek to successfully address the needs and priorities of the vulnerable populations in terms of resilience to climate change through adapted climate smart solutions.

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<sup>1</sup> Overview of IDP in Mali. UNHCR and OCHA Mai 2020.

In this context, the **Strategic Objective of the Project is to strengthen resilience of communities in fragile border areas between Mali and Niger & Mali and Burkina Faso through climate change adaptation and stabilisation measures.**

The Project is expected to contribute to achieving this overall Objective by pursuing the following Outcomes:

**O1: Local communities have access to climate smart economic and social infrastructure in particular in the agriculture, water, and energy sectors.**

**O2: Reduced conflicts, increased social dialogue and joint community management particularly regarding natural resource and community infrastructure management.**

**Geographical scope:** the overall project area is the zone along the border Between Mali and Burkina Faso and the zone along the border between Mali and Niger. A call for proposal for individual projects within this zone will administered which will lead to several smaller and concentrated intervention areas within the overall area. Ideally, individual projects will all work cross-border. In some cases, non-crossborder projects in Mali could be accepted.

#### **SECTORAL FOCUS AND POTENTIAL INITIATIVES**

Efforts will primarily be directed towards financing climate-smart infrastructure solutions, but also include complementary and accompanying measures, in the following sectors and sub-sectors. Potential funding initiatives are presented for indicative purposes:

AREAS OF SUPPORT	SECTOR	SUB-SECTOR	POTENTIAL FUNDING FOR INFRASTRUCTURE AND INCOME GENERATING ACTIVITIES
Stabilisation & Climate Change Adaptation	Renewable Resources	Water	<ul style="list-style-type: none"> <li>❖ Installation and restoration of access to surface and groundwater resources;</li> <li>❖ Supply and storage (basins and ponds);</li> <li>❖ Restoration of water points and catchment improvements;</li> <li>❖ Construction / rehabilitation of anti-erosion dikes, canals, and reservoirs, drip irrigation systems, smart-pumping systems, boreholes;</li> <li>❖ Construction / rehabilitation of sanitation, sewage, and drainage systems;</li> </ul>
		Energy	<ul style="list-style-type: none"> <li>❖ Installation of small-scale generation and transmission of renewable energy sources;</li> </ul>
		Agricultural production and food security	<ul style="list-style-type: none"> <li>❖ Value chain activities in agriculture, pastoralism, and aquaculture;</li> <li>❖ Construction / rehabilitation of silage, storage, wind breaks, and other related installations etc.;</li> </ul>
		Other renewable resource climate change sensitive related- subsectors	<ul style="list-style-type: none"> <li>❖ Ecosystem management, protection, and restoration of arable lands, degraded lands, forests, and wetlands;</li> <li>❖ Dune stabilization and natural regeneration;</li> </ul>
	Community Infrastructure	Various	<ul style="list-style-type: none"> <li>❖ Green and smart climate adapted construction and rehabilitation of schools, storages, stores, marketplaces, roads, and bridges, etc.;</li> </ul>
	Intercommunal relationship building	Resource Management &	<ul style="list-style-type: none"> <li>❖ Capacity building for conflict resolution, civic engagement and trust building</li> </ul>

	and conflict resolution	Income Generation	between local communities, IDPs/refugees, and local government; ❖ Income generation and employment activities involving implementation of climate change adaptation measures. aimed at women, youth and vulnerable people including IDPs and Refugees;
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### 3.3 CONTRIBUTION TO DENMARK'S STRATEGIC PRIORITIES

In January 2017, the Danish Government presented its strategy for development cooperation and humanitarian action, *The World 2030*, which was adopted by a broad political majority in the Danish Parliament. For the first time, Danish development cooperation and humanitarian action is combined in one strategy.

#### DANISH STRATEGIC OBJECTIVES <sup>2</sup>

1. *Security and development - Peace, Security and Protection.*

The Government of Denmark aims to invest in peace, stability, protection, and increased resilience in developing countries. It will strengthen its assistance targeting internally displaced people, refugees, and local communities, and through enhanced protection and improved livelihoods, education and employment opportunities, Denmark will contribute to the economic emergence of targeted countries and to the prosperity of their populations.

2. *Migration and Development.* Denmark will contribute to countering irregular economic migration and to addressing the root causes of migration.

3. *Inclusive, Sustainable growth and development.* Denmark will invest in inclusive, sustainable growth and development in developing target countries, focusing on energy, water, agriculture, food, and other areas where Denmark has special knowledge, resources, and interests. This will contribute to creating sustainable societies with economic freedom, opportunities, and jobs with a special concern for young people who represent a key focus in Denmark's overall Strategy.

4. *Freedom and Development - Democracy, Human Rights and Gender Equality.* Denmark will invest in activities that promote Human Rights, Democracy, Rule of Law and Gender Equality. Everyone is entitled to live in security, without fear and with inclusive participation, equal opportunities, and will work with countries that share its values as well as respect internationally agreed rules equally fostering sustainable growth and prosperity.

The CCASFBA Mali project will support several elements of these strategic objectives, among others: Stability, resilience and local community and livelihood development (1); root causes of migration (2); Sustainable development, water, energy, agriculture (3).

The project will equally feed into to the Danish priorities for development assistance (2020-2023) on a clear green ambition, supporting resilience in fragile communities, and the strengthened focus on Africa and particularly Sahel.

#### DENMARK IN THE SAHEL

Denmark's engagement in the Sahel has steadily been growing over recent years and now cover a full range of security, development and humanitarian initiatives including large individual country programmes in Mali, Niger and Burkina Faso and a regional Sahel Peace and Stabilisation Programme. The new project will add value with its cross-border community development and climate change adaption approach to supporting stabilisation.

<sup>2</sup> Adapted from current GoD / Denmark publications.



## DENMARK IN MALI

Denmark's overall vision for its partnership with Mali as stated in the Country Policy Paper for 2016-2021 is that *the people of Mali enjoy sustainable peace and development, underpinned by an inclusive and legitimate state with respect for human rights*. To operationalise this vision, a Country Programme Document for the period of 2017-2022 was approved and launched in spring 2017. The Country Programme comprises three thematic programmes: Peaceful Coexistence programme, a Decentralisation programme and a Private Sector programme.

The ongoing Danish Country Programme in Mali (2017-2022) is steadily increasing its focus on climate change. In 2018, DKK 35 million of climate funding was added to the Inclusive Financing of Agricultural Value Chains Project (INCLUSIF) with the objective of providing credit lines to green equipment, greening the supported joint business ventures, and developing risk management mechanisms. Further in 2019, an agreement was made with WFP to support resilience activities in fragile regions of Mali with a substantial element related to climate change adaptation of livelihoods with a budget of DKK 50 million, increased to 70 million in 2020. The new project will support this direction.

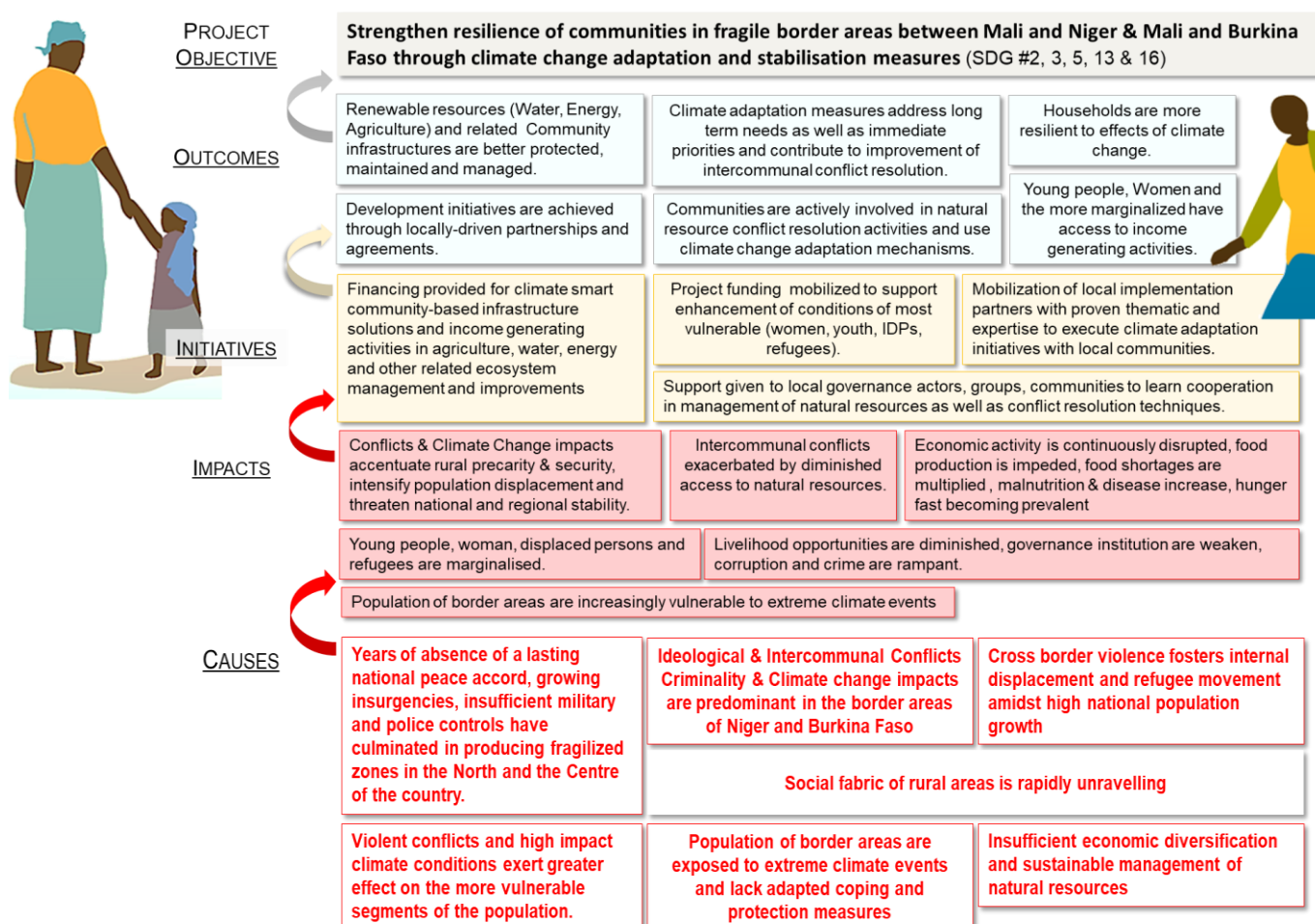
### 3.4 RELEVANCE AND JUSTIFICATION

The CCASFBA-Mali Project will add value to the Danish engagement in Mali and in the Sahel on several areas:

- 1) The fragile border areas between Mali, Burkina Faso and Niger are a scene of a negative spiral of population growth, climate change and increased pressure on natural resources, being a reason for conflicts and instability. In addition, historical conflicts between pastoralists and farmers can spark poverty, food insecurity and displacement. More than five million people in the Central Sahel are food insecure and approx. one million are internally displaced. This new innovative initiative combining climate change action, infrastructure development and stabilisation in an integrated cross-border community approach, provides an opportunity to act in a new and different way to these challenges, in complement to e.g. more security focused interventions or to social dialogue projects that carry little concrete investment with them to the communities.
- 2) The project will add another element of greening of the Danish country programme in Mali and test approaches to combining climate change adaptation to stabilisation with relevance for the development of the next country programme after 2022 and regional initiatives with climate change, conflict, displacement and stabilisation.
- 3) The initiative will feed into to the Danish priorities for development assistance (2020-2023) on a clear green ambition, supporting resilience in fragile communities, and the strengthened focus on Africa and particularly Sahel and be complementary to ongoing regional actions.
- 4) Joining forces with other donors of PATRIP, the project will be a clear Danish contribution to the Sahel Alliance agenda to coordinate integrated responses to stabilise fragile communities in the Sahel.

## THEORY OF CHANGE

The following Theory of Change (ToC) illustrates how the Project intends to bring about change to the people living along the borders with Mali and Niger and Mali and Burkina Faso. It outlines the key elements that will contribute to create such change, its expected outcomes as well as the underlying risks and assumptions that describe the current situation.



## CLIMATE CHANGE RESILIENCE AND STABILISATION: A DUAL COMPLEXITY

### CLIMATE CHANGE RESILIENCE <sup>3</sup>

With its increasing intensity and severity, climate change is unleashing devastating impacts suffered around the globe. Its effects are undermining lives and livelihoods, food, water, and health security as well as the preservation and access to renewable resources throughout. Evidence is growing that climate challenges are contributing to spur social disruptions that lead to conflicts and violence. In fragilized and strife-riddled regions climate change increasingly acts as a *risk amplifier*.

With the combined rise of numerous other stress generating conditions (feeble governance, resource scarceness, as well as weak decision-making mechanisms), the social and economic fabric of fragile regions are further exacerbated by these integrated crises.

<sup>3</sup> Peacebuilding and Climate Change in Mali and Somalia, DanChurchAid, Norwegian Church Aid, ACT Alliance. June 2020.

Climate change mitigation in such a context is fast becoming critical. The Sustainable Development Goal (SDG) 13 is defined as taking urgent action to combat climate change and its impacts.

In the Mali regions of Ségou and Mopti, evidence indicates for example, that the presence of conflict resolution measures for natural resource management are perceived by local communities to halt the worsening of climate change impacts. But even such perfunctory results can still indicate *a need to better align and integrate* peacebuilding and climate adaptation measures<sup>4</sup>.

Researchers<sup>5</sup> *were able to identify numerous structural factors as compelling drivers of violent conflict. These drivers include agricultural encroachment that led to reduced mobility of herders; corrupt rent-seeking government officials that undermined institutional trust; and various opportunistic behaviours of rural actors.* Additional research<sup>6</sup> also indicates that *weakening political control of the region* allowed for easier access to arms subsequently escalating natural resource conflicts into the realm of fatal violence.

#### THE CONCEPT OF STABILISATION <sup>7</sup>

The Sustainable Development Goal (SDG) 16 is defined as the *promotion of peaceful and inclusive societies for sustainable development*. The engagement in fragile and conflict-affected regions with humanitarian, development and stabilisation interventions has become a growing preoccupation amongst all donors as well as the nexus between the concept of *security* and that of *development* that support such engagements, more and more also with a specific link to climate change.

The importance of a wider humanitarian-development-security relationship is increasingly recognized. As one of the key responses to this, the Sahel Alliance was launched in 2017 with the purpose of coordinating donor efforts in the G5 Sahel countries (Mauritania, Mali, Niger, Burkina Faso and Chad). Denmark joined the alliance in 2018. The concept of *stabilisation* remains to this day, quite broad and is understood to include notions of conflict management, peacebuilding, state-building, or even counterinsurgency. It is however more so associated with integrated civilian/military initiatives undertaken by external actors in conflict situations. To succeed, the execution of such integrated efforts needs to rely on **local ownership** of the process as well as the results.

These processes also need to be highly **inclusive** and involve a broad representation of the communities that they are meant to support. **Clearly defined objectives and results** must also be formulated at the conceptual stage so as to ensure that the targeted end-states are achieved

Although *stabilisation* by definition involves military as well as political initiatives, it is understood for the purpose of this Project, that the notion of *stabilisation* means to address the economic and social components of a *stabilisation* endeavour which can be best illustrated through more pragmatic and realistic objectives and activities<sup>8</sup> that support *the forging of inclusive locally-driven partnerships, agreements and deals with a view of achieving developmental outcomes in a context of climate change*.

The following figure best illustrates a comprehensive view of such a construct <sup>9</sup>.

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<sup>4</sup> See Note 16, page 13.

<sup>5</sup> Benjaminsen, T.A., Alinon, K., Buhaug, H., & Buseth, J.T. *Does climate change drive land-use conflicts in the Sahel ?* Journal of Peace Research, 49 (1), p.97-111 (2012).

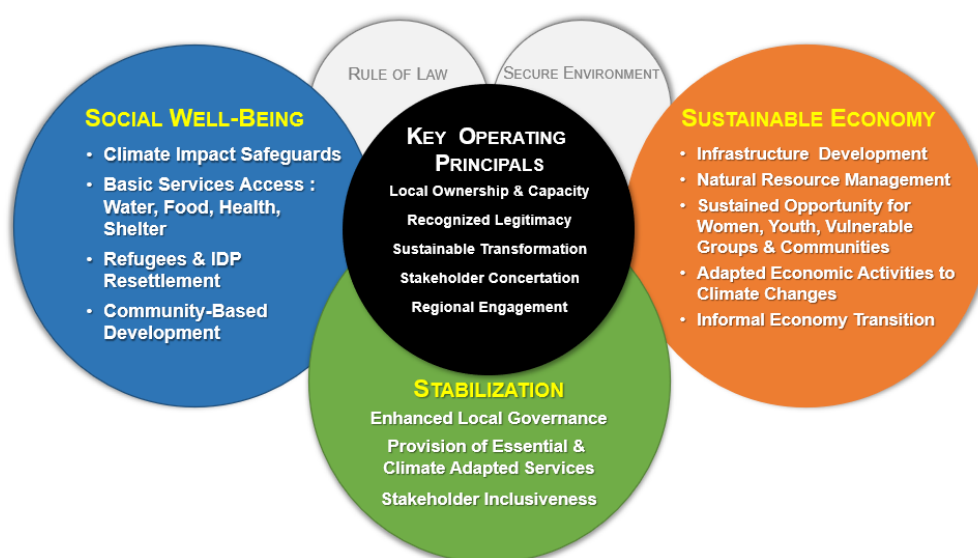
<sup>6</sup> Kone, Y., Gutierrez, E., Challenges in the Sahel : Implications for policy and programme work in fragile states. Christian Aid (2017).

<sup>7</sup> *Stabilization - Development Nexus*, Global Affairs Canada .Tana Copenhagen ApS (01.03.2019).

<sup>8</sup> See Note 13 p.35

<sup>9</sup> Readers must take notice that the full framework construct is not fully represented. The principles, outcomes and results show are selected to best illustrate the strategic focus of this initiative. Adaptation from *Guiding Principles for Stabilization and Reconstruction*, United States Institute of Peace and the U.S. Army Peacekeeping and Stability Operations Institute, Washington D.C. 2009.





Adapted from *Guiding Principles for Stabilization and Reconstruction*, United States Institute of Peace and the U.S. Army Peacekeeping and Stability Operations Institute, Washington D.C. 2009.

## 5. SUMMARY OF RESULTS

Reaching the Project's Objective of **strengthening resilience of communities in fragile border areas between Mali and Niger & Mali and Burkina Faso through climate change adaptation and stabilisation measures** will be supported through two main outcomes.

**O1: Local communities have access to climate smart economic and social infrastructure in particular on agriculture, water, and energy**

**O2: Reduced conflicts, increased social dialogue and joint community management particularly regarding natural resource and community infrastructure management.**

The expected results at objective and outcome level can be found in the below table, whereas the output level is added in annex 3. Two key output indicators are worth mentioning here: the target of providing clean water and energy to 75.000 people before the end of the project.

PROJECT		Climate Change Adaptation and Stabilisation in Fragile Border Areas of Mali	
OBJECTIVE		Strengthen resilience of communities in fragile border areas between Mali and Niger & Mali and Burkina Faso through climate change adaptation and stabilisation measures	
IMPACT INDICATORS		1. Number of violent incidents in the targeted regions (e.g. ACLED data)	
		2. Level of food insecurity (FIES scale) (SDG 2.1.2)	
		3. Number of IDPs and refugees originating from the region (e.g. IOM data)	
BASELINE	YEAR	2021	1) TBD 2) TBD 3) TBD
TARGET	YEAR	2025	A non-increase in 1,2,3.

<b>OUTCOME 1</b>	<b>Local communities have access to climate smart economic and social infrastructure in particular on agriculture, water, and energy</b>
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<b>OUTCOME INDICATORS</b>		i. Average income of small-scale food producers (SDG 2.3.2) in targeted communities (including separate data for women and youth)	
		ii. Proportion of population using safely managed drinking water services (SDG 6.1.1) in targeted communities	
		iii. Proportion of population with access to electricity (SDG 7.1.1)	
<b>BASELINE</b>	<b>YEAR</b>	2021	<i>Baselines can only be defined after call for proposals when exact intervention areas are known.</i> i. TBD ii. TBD iii. TBD
<b>TARGET</b>	<b>YEAR</b>	2024	i. +20% ii. +20% iii. +20%

<b>OUTCOME 2</b>	<b>Reduced conflicts, increased social dialogue and joint community management particularly regarding natural resource and community infrastructure management</b>
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<b>OUTCOME INDICATOR</b>		i. # of local development plans integrating climate change and disaster risk reduction considerations discussed and validated with population	
		ii. # of on-going natural resource management related conflicts have decreased at community level	
<b>BASELINE</b>	<b>YEAR</b>	2021	i. TBD ii. TBD
<b>TARGET</b>	<b>YEAR</b>	2024	i. +100% ii. -50%

## 6. INPUTS / BUDGET

Denmark will mobilize 55 million DKK (around EUR 7.4 M) to fund the Project “*Climate Change Adaptation and Stabilisation in Fragile Border Areas in Mali*”, including evaluation costs as well as PATRIP management and monitoring fees. Through a Call for proposals prepared, launched, and managed by PATRIP, individual projects will be identified that focus on climate change adaptation within agriculture, water, and energy in the border areas to Burkina Faso and Niger. These projects will be implemented by qualified partner organisations. Progress and financial monitoring will be done by PATRIP supported by an external monitoring team.

		DKK	EUR <sup>10</sup>
<b>1.</b>	<b>Direct Costs</b>		
1.1.	<i>Operational costs</i>	48,620,000.00	6,519,455.80
1.2.	<i>Evaluation (1%)</i>	487,142.86	65,320.99
<b>2.</b>	<b>Indirect Costs</b>		
2.1.	<i>Monitoring (8%)</i>	3,928,571.43	526,782.14
2.2.	<i>Project Management (4%)</i>	1,964,285.71	263,391.07
	<b>Total</b>	<b>55,000,000.00</b>	<b>7,374,950.00</b>

The Royal Danish Embassy in Mali (RDE) will disburse on the receipt of a formal disbursement request, specifying bank details and amount. PATRIP is requested to send a written confirmation upon receipt of funds.

PATRIP will disburse to the Implementing partners in EUR. Any loss due to variation of exchange rates between the grant in DKK, the EUR and the XOF must be covered within the grant.

## 7. INSTITUTIONAL AND MANAGEMENT ARRANGEMENT

The Royal Danish Embassy in Mali (RDE) will provide funding to the PATRIP Foundation who will act as the Project's Fund Manager with the budget and management fees as described in the budget. The funds will be managed according to the objectives, outcomes, outputs, as well as to the agreed budget as outlined in this project document. The funds will be managed using PATRIP guidelines and procedures<sup>11</sup> as well as PATRIP's established monitoring system including third party monitoring.

The project is planned in a way that additional funds of other donors could be managed in parallel, or jointly, by PATRIP. PATRIP will closely coordinate any potential pooling of funds with the RDE and the respective donor(s).

The duration of this Project should be 4,5 years starting in January 2021. PATRIP will be responsible for the full project cycle including developing and launching a call for proposals for individual projects, managing the selection process, and monitoring and evaluating the projects funded. At certain milestones of the project cycle, PATRIP will ask for non-objection (NO) from the RDE:

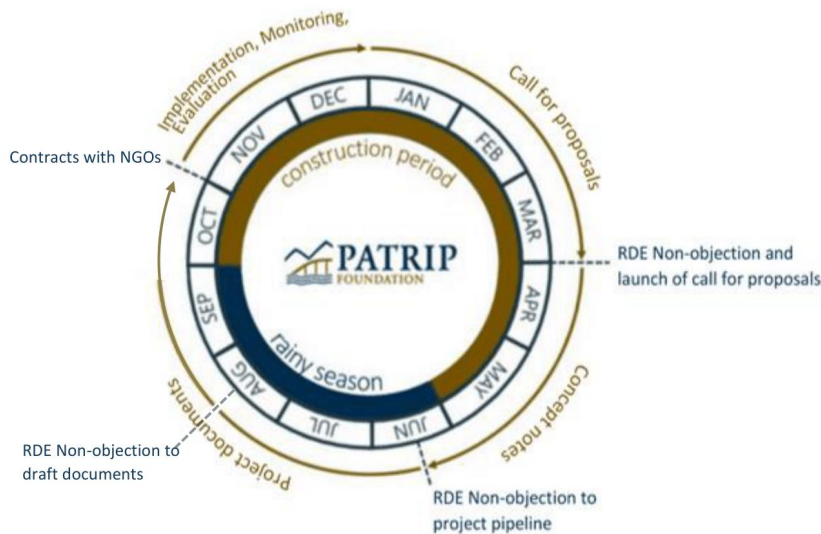
- (1) before launching the call for proposals,
- (2) at the selection of project proposals (concepts) to be funded under this grant.

In addition, during the appraisal process the RDE will be asked for non-objection in form of a silent procedure based on the draft project documents submitted by the selected implementing partners. The

<sup>10</sup> 1 DKK = 0,13409 EUR

<sup>11</sup> Such as (1) PATRIP Application Manual, (2) PATRIP Implementation Guidelines and Reporting Manual, (3) PATRIP Environmental and Social Policy, (4) PATRIP Code of Conduct, (5) NGO Assessment Tool, (6) PATRIP Organisational Guidelines.

final project documents for each individual project will be submitted to RDE for information and record.



PATRIP will guide the NGOs whose concepts have been selected for funding in the elaboration of detailed project documents which form an integral part of the individual financing agreements to be signed between PATRIP and the Implementing partner (IP). Agreements will only be signed with organisations that have been assessed based on PATRIP's NGO Assessment Tool covering legal, organisational, and financial aspects of the respective organisation.

At the local level, the implementing partners selected should prioritize working in partnership with local authorities and respecting local development plans, where applicable. This requirement will be part of the call for proposals.

Danish NGOs working in Mali will be invited to respond to the call for proposals along with other international, regional, and national NGOs. RDE will support the identification of NGOs by providing a list. No preferential treatment of Danish NGOs will be applied in the selection process.

Monitoring will be ensured by PATRIP and its external Monitoring consulting team which consists of experienced international and national consultants providing technical, environmental, social, financial and procurement expertise. The Monitoring consulting team aims to visit project sites and partner offices once every three months, subject to the security situation and accessibility, to assess the technical and financial feasibility of proposed projects and assist with procurement processes, to render technical support to the IPs, and to monitor all aspects of project implementation, including compliance with designs, work quality, materials quality and workmanship. Besides checking the mandatory external audit reports of the IPs, the PATRIP monitoring consulting team undertakes annually internal financial audits of the IPs to ensure that funds are being utilized satisfactorily as agreed for the project activities and that proper financial and procurement controls are in place at the IPs' level.

At the completion of each individual project, the monitoring consulting team verifies whether the project has been successfully implemented and the IP has fulfilled all obligations according to the agreements signed with the PATRIP Foundation. As far as possible, a final inspection visit is carried out or in the case of minor rectification work photographic evidence is used to verify whether the project may be considered complete. The final instalment is only disbursed to the IPs when the Project Completion Checklist has been completed and signed by the monitoring consulting team.

The Board of Trustees is the PATRIP Foundation's supervisory board. It approves the annual budget, controls the budgetary and economic management, adopts the annual financial statement of the Foundation, and is involved in overall strategic decisions such as engagements with new donors. As a financial partner to PATRIP, the RDE should be invited to nominate a person to participate in the Board of Trustees. According to the Foundation's Articles of Association, the appointment of a Danish member to the Board of Trustees is done by co-option.

The RDE in Mali will engage with and inform national counterparts on the project. This includes the Malian Government and the Donor community. Apart from this, the communication plan outlines a variety of external communications and visibility tools to inform the Malian public, the international community and the Danish public on the project and its results. This includes a workshop event in the country which is planned to include ceremonial and technical sessions, as well as success stories and social media posts published on PATRIP and RDE online platforms, and possible joint field visit with the Danish Embassy in Bamako.

## 8. FINANCIAL MANAGEMENT, PLANNING AND REPORTING

PATRIP shall maintain appropriate accounting and financial records in accordance with PATRIP Rules and Regulations and in respect of the receipt, use and management of the Contributions made under this Agreement.

PATRIP shall provide Denmark with half-yearly and annual progress reports for the contribution made under this Agreement in line with PATRIP reporting standards – this can also be in form of a general progress report for PATRIP's activities in Sahel with specifications of the Danish contribution.

The half-year progress reports shall be submitted to the RDE three months after the end of the reporting period (31 March and 30 September respectively). A continuous dialogue will be held between PATRIP and RDE. Specific meetings will be held to discuss half-year progress reports.

PATRIP will be responsible for the financial supervision and audit of the Implementing partners. Audited annual financial statements of the PATRIP Foundation will be made available to RDE, at the latest six months after the end of the calendar year (30 June) with specifications of the Danish contribution. The individual projects will be audited on an annual basis. These audit reports will be submitted to the RDE upon request. The contributions made to PATRIP are subject to the single audit principle and Denmark will rely on the single audit principle consistent with Denmark's active engagement in the international efforts towards harmonising procedures and rules among donors with a view to simplifying aid administration.

Any unspent balance or any savings of project funds shall be returned to the Danish Ministry of Foreign Affairs (MFA). Interests accrued from the Danish funds can be used within the project.

PATRIP uses a Results Based Management approach to monitor partner projects and their efficiency and effectiveness in achieving results (outputs, outcomes, impact).

At the end of the project, a final evaluation will be made and reported upon. The monitoring and evaluation will respond to the results framework defined in this project document plus additional indicators as relevant.

Denmark and the PATRIP Foundation have a zero-tolerance policy towards corruption and all suspected cases of corruption or misappropriation of funds related to the programme must immediately be reported to the Danish Embassy in Mali. Any such practise will be grounds for the immediate cancellation of the grant and for such additional action, civil and/or criminal, as may be appropriate.

In case of an investigation, Representatives of RIGSREVISIONEN (the institution of the Auditor General of Denmark) have the right: (i) to carry out any verification or inspection considered necessary with regard to the allocation of the Danish funds in question on the basis of all the documentation relevant; (ii) to verify the accounts and records of the contracting parties, suppliers and companies with regard to the performance of the contract and to carry out a full audit.

## 9. SUMMARY RISK ANALYSIS

The following section highlights some of the risks, which are described and analysed in the risk assessment and risk management matrix in Annex 5. The overall risks rating of the Project is estimated to be *High*, with the proposed mitigation measures in place, the residual risks are assessed to be *Moderate*.



Specifically, the results framework with its related indicators will be supervised closely to ensure progress towards targets. Denmark is part of a multi-country early warning system that are established to monitor these and other risks which are periodically discussed between all key stakeholders.

The **Contextual Risks** are primarily related to the current and on-going fragile, insecure, and very volatile situation that grips the targeted region. The factors involved are broad and overwhelming and the residual risks will remain high. For example, climate change will worsen the situation by increasing water stress as well as the number of extreme weather events such as floods and droughts. Research confirms that in poor countries like Mali, women and children suffer disproportionately from such risks. The focus of the Project around the management of natural resources (agriculture, water, energy) through improved sharing and communal participation has, however, the potential to reduce the impact of contextual risks from high to moderate.

The **Programmatic Risks** are mostly associated to knowledge constraints and absorption capacities at the ground level of each intervention as well as to the identification of qualified local partner organisations working in the targeted, very fragile areas and absorption capacities of these (in particular local partners). Since the Project is focused on alleviating the dual impact of physical insecurity brought about by violence and strife compounded by the harsh impacts of climate change on the lives and livelihoods of the inhabitants of diversified communities that make up the region, the success of tackling sensitive issues through the provision of climate smart infrastructure and related services all while promoting dialogue and participation comports moderate to high risks. Such risks will be eased through rigorous baseline analysis, continuous monitoring, and dialogue on the level of individual projects so as to ensure the fostering of relevant and fact-based coordination, learning and cooperation. The residual risks are assessed to be moderate to low. But the high level of ambition for the results framework within the short implementation period (4,5 years) may pose a risk of failing to fully achieve the end targets that in itself are high.

The single **Institutional Risk** identified relates to the intercommunal mistrust that permeates relationships of all groups that strive to build resilience to their afflictions: farmers versus pastoralists, caretakers of the resource versus dependants of that resource, citizens versus public authorities as well as issues of transparency versus corruption. The risk is assessed to be moderate and is fuelled by the perception of what one group would be gaining to the detriment of another, even if supported initiatives does not favour specific groups but are aimed at whole communities. Continuous monitoring, emergency planning and implementation of rigorous social dialogue measures will reduce the risk of such occurrences, but the residual impact of lingering tensions will remain *moderate to high* over the period.

## Annex 1: Context Analysis

**Notice.** Although impact of the COVID-19 pandemic has been referenced, the full extent of its shock on the country is still being measured and assessed.

Climate Change is unquestionably one of the biggest challenges facing our civilization today. The consequences of human activities on the world climate has reached an alarming level and poses critical threats to human life particularly in fragile contexts. Climate change impacts endanger physical, social, and economic structures in every corner of the planet. Change in world temperatures from greenhouse gas emissions, ozone layer depletion from the overuse of various chemical products as well as the warming of oceans brought about by an increase in absorption of Earth's rising heat represent some of the most notable effects of climate change that are having massive degrading impacts on our lives.

Climate change is no longer just an environmental concern but is now widely recognized as a critical developmental, humanitarian and security challenge given how some of its dire manifestations of extreme heat and precipitations bring about droughts, storms, floods, desertification, etc., which in turn have threatening consequences on livelihoods impacting agricultural value chains, natural resource management and health. Vulnerabilities to climate stress include economic stability, food security, poverty, malnutrition, disease as well political instability and armed conflicts.

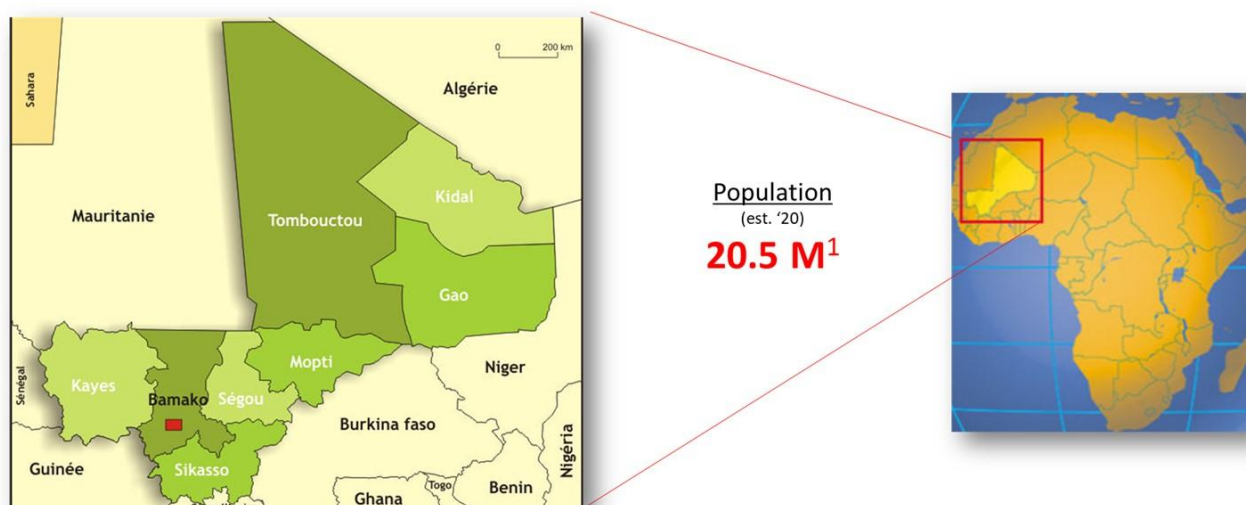
### **MALI: COUNTRY OVERVIEW**

Mali remains one of the 25 poorest countries in the World. Landlocked<sup>12</sup>, it relies on mining and agriculture exports for revenue, gold and cotton representing 80% of its export earnings. Economic activity is mainly confined to the riverine areas irrigated by the Niger River with 65% of its territory comprised of arid Sahara and semi-arid Sahel lands.

It is widely viewed as one of the most vulnerable countries to climate stress due to its geographical localisation, its climate sensitive economy and endemic poverty levels. Mali's agricultural sector represents 40% of the country's GDP with 80% of its population engaged in agricultural activities. The sector is mainly comprised of ill-equipped smallholdings that farm on 5 hectares or less. Only 7% of Mali's 44 million arable hectares are currently cultivated and 14% of its potential 2.2 million irrigable hectares are supplied with sufficient water.

**FIGURE 1**

**MALI**



(1) Global report on Food Crisis (GRFC) 2020, Food Security Information Network (FSIN). May 2020

<sup>12</sup> Mali - Economic Indicators. Moody's Analytics, [www.economy.com](http://www.economy.com)

## A CHALLENGED ECONOMIC CONTEXT

Mali is currently crossing a long period of political, economic, and social disturbance that has been generating instability since 2012. The country's development is continuously being threatened by the physical insecurity of citizens living in the midst of ethnic and ideological armed conflicts in the northern and central areas of the country as well as the impact of a combination of droughts, extreme heat and flooding brought about by dramatic climate changes. To add injury, the permanent crisis is further compounded by the yet unknown consequences of the coronavirus pandemic.

Although Mali's economy<sup>13</sup> has been generating growth over the last years in a range averaging 5% per annum, it has been slowly slipping from a 2017 high of 5.3% to a projected pre-pandemic 2020 level of 4.9%. Early estimates suggest that economic growth might fall to 0-2% in 2020 due to the COVID-19 crisis (IMF).

The latest United Nations Human Development Index (2019) ranked Mali 184<sup>th</sup> amongst 189 countries<sup>14</sup>. Mali's estimated Gros National Income per capita (2018)<sup>15</sup> was USD 840 per person. The level of economic activity<sup>16</sup> of Mali's population (15+ y.o.) was of 82.5% for men and 60.6% for woman. More than 50% of its population lives under the internal poverty line of USD 1.90 (2011 PPP) per day per capita.

Agriculture offers the greatest economic development potential for the country but remains insufficiently valued, as well as continuously confronted by climate change obstacles and natural hazards (extreme heat, droughts, and floods), poor sustainable natural resource and land management, low level of mechanisation, insufficient and dilapidated infrastructure, inadequate capacity building of local actors and stakeholders.

## MULTIPLE CRISES OVERTAKEN BY EMERGENCIES

Insecurity and population displacements. Armed conflicts continue to aggravate humanitarian needs across the country and particularly in the north, central and border areas. The UN Office for the Coordination of Humanitarian Affairs (OCHA) reports<sup>17</sup> that there are currently over 250 000 internally displaced people in Mali as well as nearly 85 000 Malian refugees in Niger and in Burkina Faso, of which 1/3 have been displaced more than once. The areas of Ménaka, Mopti and Ségou are among the most affected.

Food security and agriculture production<sup>18</sup>. Lasting physical insecurity as well as ideological and intercommunal conflicts continue to disrupt livelihoods and humanitarian access in the North and the Centre forcing numerous farmers to abandon their fields or deviate herds from their usual movements leading to localized production shortfalls. Ensuing food insecurity is set to increase and worsen as nearly 3 million people are currently unable to afford some essential non-food expenditures and more than 750 000 people are currently facing crisis and emergency levels of acute food insecurity. The coronavirus pandemic is set to compound the impact of all these crises on the Malian population. The UN estimates that 4.3 million struggling people will require emergency aid by the end of the June to August 2020 lean season.

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<sup>13</sup> Mali Overview, World Bank (2020) <https://www.banquemondiale.org/fr/country/mali/overview> and *Perspectives économiques au Mali* (2019), Banque Africaine de Développement, <https://www.afdb.org/fr/countries/west-africa/mali/mali-economic-outlook>.

<sup>14</sup> *Rapport sur le Développement Humain 2019*. Programme des Nations Unies pour le développement (UNDP). [http://hdr.undp.org/sites/default/files/hdr\\_2019\\_overview\\_-\\_french.pdf](http://hdr.undp.org/sites/default/files/hdr_2019_overview_-_french.pdf)

<sup>15</sup> Current World Bank data.

<sup>16</sup> Estimates modeled by the International Labour Organization (ILO).

<sup>17</sup> Overview of IDP in Mali. UNHCR and OCHA Mai 2020.

<sup>18</sup> Global Report on Food Crises 2020. FSNI /WFP April 2020.

## **CLIMATE CHANGE (CC) IMPACT IN MALI** <sup>19</sup>

### **CLIMATE ISSUES IN MALI**

Continuous increase in temperatures lead to higher frequency and intensity of flood and droughts in the South and accelerated desertification with decreased rain in the North. Four sectors are particularly vulnerable to climate change :

#### **AGRICULTURE**

High variability in annual rainfall combined with increased heat are leading to permanent decline in (rainfed) subsistence crop yields as well as reduced crop/livestock production consequently exacerbating food security and intensifying malnutrition and hunger. Current issues affecting pastoralist range and pasture access as well as precocious herd movements will also lead to lower food stocks. Climate change will also impact the prevalence, breadth, and frequency of livestock disease vectors and pathogens. In addition, poor land management has compounded the impact of intensification of agriculture and pastoral production and further imperil food security.

#### **WATER RESOURCES**

Water availability as well as long- and short-term vulnerabilities to fluctuations will affect populations living outside of the Niger River and Senegal River Basins that depend on wet season surpluses. Extreme heat and droughts reduce potable water access with lower groundwater supply. Expanding much needed irrigation, reduced rainfalls and runoffs, evaporation and other water stressors have also led to internal migration and communal conflicts over usage rights and availability.

#### **ECOSYSTEMS**

Forests offer an important source of food, fodder and medicinal products as well as provide over 90% of the country's energy consumption (firewood, charcoal). Climate Change has already reduced biodiversity, altered forest lands, degraded trees, plants, and soil, and turned areas into sandy and grassy dunes as well as deadwood zones.

Mali also has 4.2 million hectares of wetlands of international importance with the Inner Niger Delta being one of the largest in the World. Over 1 million people use the floodplain for livestock grazing, inland fishing, and rice cultivation. These lands continue to struggle against recurring and intensified droughts, soil erosion, desertification, salinization, and desiccation leading to issues of food security.

#### **HUMAN HEALTH**

From a national health perspective, exposure to heat extremes as well as other conditions (droughts, floods, storms, etc.) generate important disturbances of ecological systems as well as increased levels of biological impact on air and water ranging from changes in transmission zones of vector-borne diseases, malnutrition, growth impairments on children, water contamination and many other wide ranging consequences affecting public health.

Pre-COVID19 health conditions, infrastructure and services were already well below international standards, making Mali's health sector highly vulnerable to Climate Change impacts.

### **KEY ONGOING RESILIENCE MEASURES AND KEY IMPLEMENTING PARTNERS** <sup>20</sup>

Mali has an important arsenal of *National Strategies and Plans* to counter impacts of CC. These have been adopted in the course of the last two decades as well as some dating back to the late 80's. : *National Program to Combat Deforestation* (1988) ; *Initial National Communication* (2000) ; *Strategic Framework for Growth and Poverty Reduction* (2002) ; *National Adaptation Programme of Action* (NAPA, 2007).

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<sup>19</sup> Adapted from *Mali - Climate Risk Profile & Climate Change Adaptation*. USAID Fact Sheet (2018) and *Climate Change : A Theoretical Review*, Rahman, School of Geography and Environmental Science, Monash University, Melbourne Australia, (2012).

<sup>20</sup> As compounded by USAID (see Note 8) and K4D Help Desk / UK DFID (2019).

Mali's *Institutional Framework* mobilized for the implementation of relevant CC actions plans include the Ministries of Agriculture, Environment, Wastewater and Sustainable Development, Livestock and Fisheries, Planning and Spatial Planning as well as Energy and Water, and their related agencies. The National Directorate for Meteorology (DNM) is the institutional focal point for coordination of CC initiatives including the UN Framework Convention on Climate Change. Lastly Mali's *Permanent Secretariat for the Institutional Framework of Environmental Issues Management* is charged with managing all relevant information.

NAPA is more specifically called to identify priority sectors and provide detailed information on the Government's Priorities. These include improvements to infrastructure (roads, dams, and irrigation schemes), use of integrated water resource management schemes as well as income-generating activities as a basis for adaptation.

Most climate initiatives are supported by major donor partners including the German *GIZ*, France's *Afd*, Netherlands' *SNV*, most relevant institutions of the UN System including the *UNDP*, the *FAO* and *IFAD*. Many of these programmes and projects focus on issues related to agriculture, food security, water, clean energy, resource management, and rural livelihoods.

The Danish government has also been actively involved funding initiatives related to water resources and sanitation, agriculture and private sector development, energy, good governance as well as building awareness and training.

- Current initiatives of multilateral and bilateral donors include *Mali Solar Rural Electrification Project*, Green Climate Fund (GCF) and Development Bank of West Africa (BOAD), approved 2019 ;
- *Investment Program for Integrated Development and Climate Resilience of Populations of the Delta 2 Plains Area*, African Development Bank (AfDB), 2018-2020 ;
- *Strengthening the Sustainable Management of Natural Resources (Forest Sector)*, EU / GCCA, 2017-2026 ;
- *Climate Resilience Enhancement Programme (Africa Hydromet)*, 2016-2021 ;
- *Mali Climate Change Adaptation Activity*, USAID, 2020-2025 ;

Significant additional funding is still required to increase the implementation of climate adaption projects.

## **CONFLICTS, VULNERABILITIES AND BORDER AREAS**

### **WEAKENING SECURITY <sup>21</sup>**

Issues of Climate change are but part of the multidimensional crisis currently overwhelming the country. The lingering security situation is intensifying with increased inter-community conflicts, national political tensions and growing public expressions of dissatisfaction towards the political class related to lack of security and protection as well as deficit of basic services (education, health).

The crisis is equally fuelled by cross-border crime linked to drugs, arms, and human trafficking which adds to the toll of migrating populations fleeing violence and strife. This is particularly the case in the Central and Northern areas where ideological groups are jockeying for political leverage and intercommunal violence between the pastoralist Peuhls and the farming Dogons continue to add to the high count of civilian deaths.

In addition, the COVID-19 pandemic is further aggravating a fragilized situation with severe impacts on the economy (slowing activity, falling family revenues, lower remittances,...) and most notably on food security (weakening of domestic demand, disruption of food supply chains,...) which can already be assessed to have long lasting repercussions.

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<sup>21</sup> Follow up note. Mali Country Programme, Ministry of Foreign Affairs, Embassy in Bamako. May 2020.

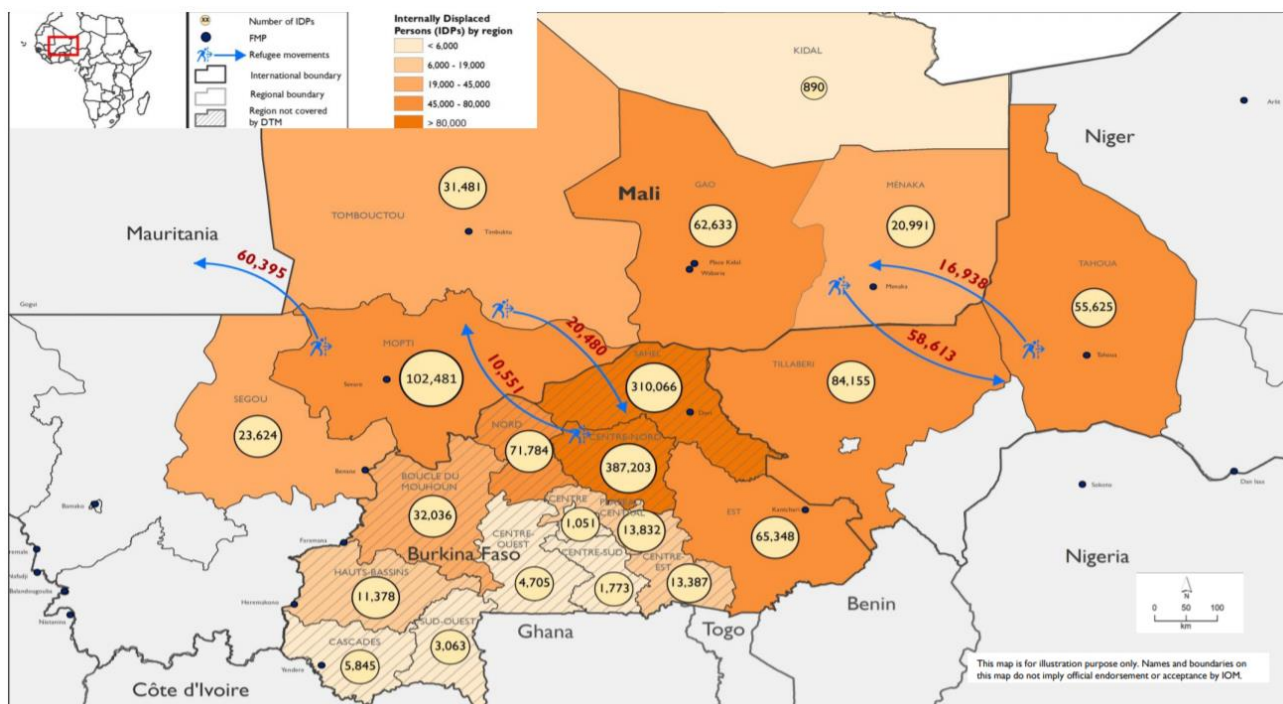


## BORDER-CENTRIC ISSUES

Mali shares its borders from the north-northeast to the north-west with the countries of Algeria, Niger, Burkina Faso, Ivory Coast, Guinea, Senegal, and Mauritania. The Central Sahel and in particular the Liptako Gourma areas, is a region comprised of border areas of the countries of Mali, Burkina Faso, Niger, and Mauritania, which is particularly affected<sup>22</sup> by a complex crisis involving growing competition over dwindling resources, demographic pressure, high levels of poverty, disaffection and a lack of livelihood opportunities as well as previously stated issues of climate change, communal tensions, lack of basic services; and overall violence. The crisis has led to the death of thousands and has triggered significant displacement of populations in the three affected countries. As of June 2020, over 1,4 M individuals had been displaced, of which 88% were IDPs in the 4 countries and 12% were refugees. Burkina Faso accounted for 66% of the total of displaced individuals, Mali's share was 18% (+250 000), Niger accounted for 11% and Mauritania 4%.

The populations of the Mali areas of Ségou, Mopti, Gao and Ménaka as well as in their immediate cross border areas located in its 2 other neighbouring countries of Burkina Faso and Niger, all suffer from<sup>23</sup> increased poverty, food insecurity, limited resources, inadequate economic prospects for its youth, as well as of weak border management which leads to the spread of crime and terrorism.

**FIGURE 2**  
**IOM CENTRAL SAHEL & LIPTAKO GOURMA CRISIS- DISPLACEMENT TRACKING MAP (JUNE 2020)**



<sup>22</sup> Central Sahel Crisis – Monthly Dashboard #6 (24.06.2020). International Organization for Migration (IOM).

<sup>23</sup> *Friedens – und Konfliktanalyse Liptako -Gourma*. KfW, (24.01.2020).

## Annex 2: Partners

### SUMMARY OF STAKEHOLDER ANALYSIS

The PATRIP Foundation was established by the KfW Development Bank on behalf of the German Federal Foreign Office (GFFO) in 2011 to support stabilisation in fragile border regions in Afghanistan, promote regional integration and enhance cross-border cooperation and exchange between populations. To this end, PATRIP funds a wide range of social and economic projects aiming to contribute to stabilisation by combining basic infrastructure with cross-border dialogue between communities and state actors. Projects are implemented in many different sectors, including electricity, transport, health, education, water supply and sanitation, with some of the projects being of cross-sectoral nature. While PATRIP projects focus on economic and social infrastructure, measures are often accompanied by a range of softer measures such as trust-building activities and local conflict resolution mechanisms.

In 2017, PATRIP's geographical mandate was extended allowing the foundation to work in fragile border regions around the world. Since 2018, PATRIP is engaged in the Sahel.

The PATRIP Foundation's implementation partners in West Africa are international NGOs working in the region. Together with their local partners and teams, they facilitate the coordination with local authorities. Projects respond to the priorities of local inhabitants and are aligned with local development plans as far as possible. The projects are realised by PATRIP's implementing partners in close collaboration with the community itself.

The responsibility for the operation and maintenance of the (re-)installed infrastructure is clarified before releasing funds to ensure sustainability. The partners establish whether operation and maintenance can be carried out solely by the local community, or if the local administration accepts responsibility.

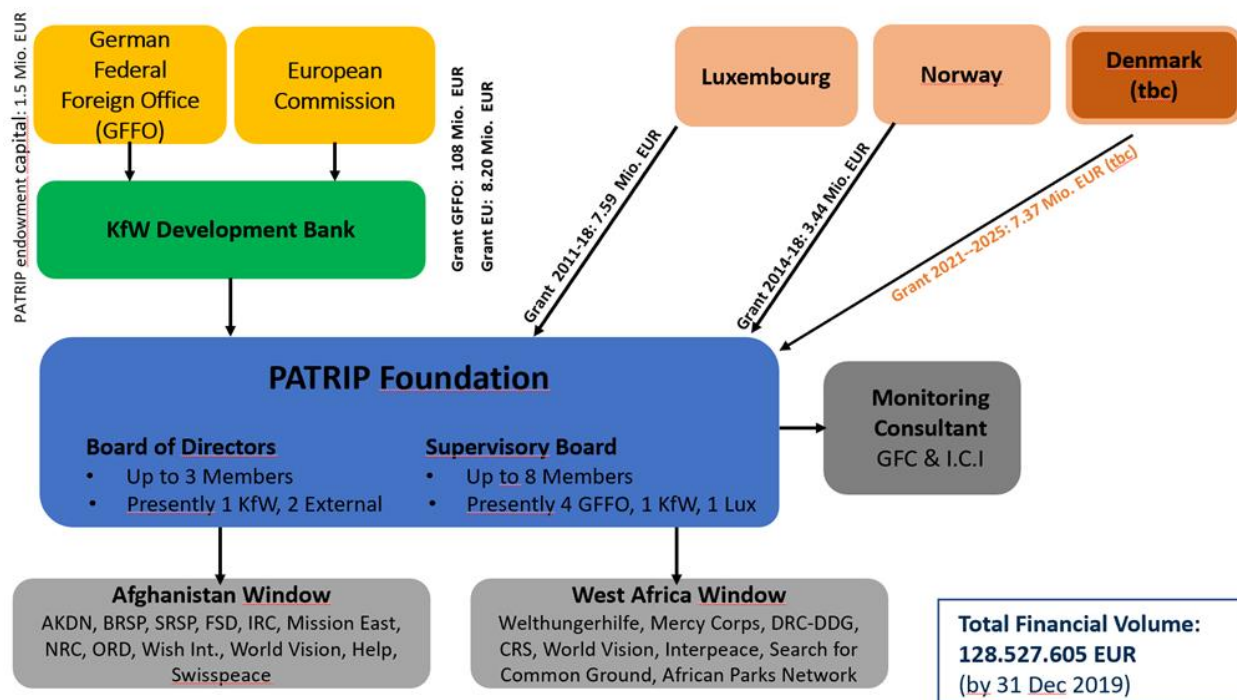
PATRIP will closely coordinate the implementation of the Project with the RDE in Bamako who will oversee the communication with the Government of Mali and other donors, as appropriate, in relevant donor and sector coordination mechanisms.

### CRITERIA FOR SELECTING PROGRAMME PARTNERS

The PATRIP Foundation acts as a trust fund manager for bilateral and multilateral donors. Where grants for individual countries stop at political borders, PATRIP supports projects that tackle the often particularly vulnerable border areas of fragile regions.

Since 2011, the PATRIP Foundation has managed 143 projects (closed and ongoing projects) in the Pakistan-Afghanistan-Tajikistan region and West Africa. PATRIP's annual budget is constantly increasing, amounting to average annual project commitments of EUR 13,98 Mio over the last 9 years. Key criteria used to select implementing partners include: Organizational experience, expertise, and capacities.

The PATRIP structure is presented in the following Figure 3:

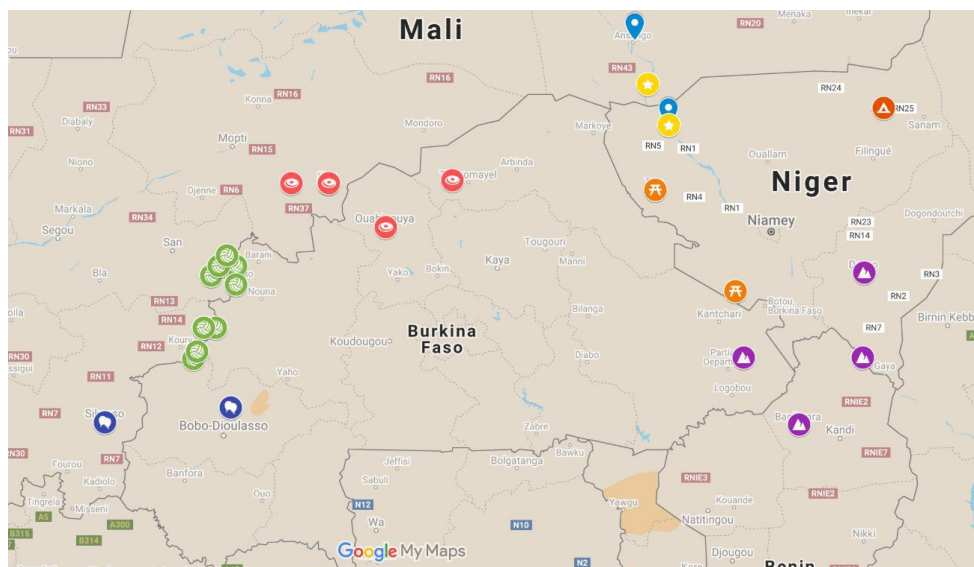


#### BRIEF PRESENTATION OF PARTNERS

PATRIP operates based on clear and robust principles, with procurement guidelines and a reporting system based on KfW international standards. A highly specialised monitoring toolbox, including site visits in fragile areas as well as remote monitoring technology, is used by PATRIP's (external) monitoring consulting team to ensure that the best results are delivered for the local communities, and that projects remain tangible for donors. A tailored Environmental and Social Protection Policy ensures that projects are implemented with the greatest consideration for persons and the environment.

In West Africa, PATRIP is currently funding 8 international NGOs working in border regions between Mali and Burkina Faso, Mali and Niger, Burkina Faso and Niger, and Benin, Burkina Faso, and Niger. Figure 4

PATRIP project locations as per 31 December 2019



## Summary of Key Partner Features

Partner Name <i>What is the name of the partner?</i>	Core business <i>What is the main business, interest, and goal of the partner?</i>	Importance <i>How important is the program for the partner's activity-level (Low, medium, high)?</i>	Influence <i>How much influence does the partner have over the program (low, medium, high)?</i>	Contribution <i>What will be the partner's main contribution?</i>	Capacity <i>What are the main issues emerging from the assessment of the partner's capacity?</i>	Exit Strategy <i>What is the strategy for exiting the partnership?</i>
PATRIP Foundation	PATRIP acts as a trust fund manager, pooling funds and coordinating implementation partners to enhance cross-border exchange and provide stability in border areas of fragile regions through basic infrastructure and political/community dialogue.	Medium.	High. PATRIP will manage the implementation of the Danish fund by selecting and funding implementing partners and monitor their work.	Project management and monitoring.	PATRIP has almost 10 years of experience in cross-border approaches and the (re-) habilitation of basic infrastructures aiming at promoting stability in fragile border regions. The Foundation is based in Germany and supported by a very experienced monitoring team that is based in Pakistan and Burkina Faso, realizing regular on-site monitoring visits.	There are no special requirements at the end of the project. Individual projects funded out of this project have responsibility for the operation and maintenance of the (re-)installed infrastructure clarified before funding starts.

## Annex 3: Project Results Framework Indicators

**Important note:** The project is carried out through call for proposals for community based projects responding to the objectives, outcomes and outputs defined in this results framework – for this reason baseline and targets are to a very high degree estimates and should be read with caution. For some indicators baselines and thereby targets can only be known after the call for proposals. Indicators and targets will be further developed based on results of baseline studies on the level of individual projects. Revisions might take place as appropriate and in consultation with the RDE in Bamako.

<b>PROJECT</b>		Climate Change Adaptation and Stabilisation in Fragile Border Areas of Mali	
<b>OBJECTIVE</b>		Strengthen resilience of communities in fragile border areas between Mali and Niger & Mali and Burkina Faso through climate change adaptation and stabilisation measures	
<b>IMPACT INDICATORS</b>		1. Number of violent incidents in the targeted regions (e.g. ACLED data)	
		2. Level of food insecurity (FIES scale) (SDG 2.1.2)	
		3. Number of IDPs and refugees originating from the region (e.g. IOM data)	
<b>BASELINE</b>	<b>YEAR</b>	2021	1. TBD 2. TBD 3. TBD
<b>TARGET</b>	<b>YEAR</b>	2025	A non-increase in 1, 2, 3.

<b>OUTCOME 1</b>	<b>Local communities have access to climate smart economic and social infrastructure in particular on agriculture, water, and energy</b>
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<b>OUTCOME INDICATORS</b>		i. Average income of small-scale food producers (SDG 2.3.2) in targeted communities (including separate data for women and youth)	
		ii. Proportion of population using safely managed drinking water services (SDG 6.1.1) in targeted communities	
		iii. Proportion of population with access to electricity (SDG 7.1.1)	
<b>BASELINE</b>	<b>YEAR</b>	2021	<i>Baselines can only be defined after call for proposals when exact intervention areas are known.</i> i. ii. iii.
<b>TARGET</b>	<b>YEAR</b>	2024	i. +20% ii. +20% iii. +20%



OUTPUT 1.1		Delivery of numerous and various agriculture, water resource management and energy related climate smart community infrastructure and equipment	
INDICATORS		i. Quantity and type of provided infrastructure adapted to climate change and used by beneficiaries	
		ii. % of infrastructure handed over to local communities through an agreement on its operation and maintenance	
BASELINE	YEAR	2021	N/A
TARGET	YEAR 1	2022	i. 50 (by type) ii. 90%
TARGET	YEAR 2	2023	i. 100 (by type) ii. 90%
TARGET	YEAR 3	2024	i. 150 (by type) ii. 100%

OUTPUT 1.2		Increase of number of people having secured access to clean drinking water and energy in the target areas	
INDICATORS		i.	# of additional persons having stable access to clean drinking water
		ii.	# of additional persons enjoying stable access to clean energy
BASELINE	YEAR	2021	N/A
TARGET	YEAR 1	2022	i. 25.000 ii. 25.000
TARGET	YEAR 2	2023	i. 50.000 ii. 50.000
TARGET	YEAR 3	2024	i. 75.000 ii. 75.000

OUTPUT 1.3		Support to income generating activities of women, youth and other marginalized persons	
INDICATORS		i. # of persons having participated in income generating activities of the individual projects (disaggregated data)	
BASELINE	YEAR	2021	N/A
TARGET	YEAR 1	2022	2.000 (of which at least 50% women and 50% youth)
TARGET	YEAR 2	2023	5.000 (> 50% W & 50% Y)
TARGET	YEAR 3	2024	10.000 (> 50% W & 50% Y)

OUTCOME 2		Reduced conflicts, increased social dialogue and joint community management particularly regarding natural resource and community infrastructure management	
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OUTCOME INDICATORS		iii. # of local development plans integrating climate change and disaster risk reduction considerations discussed and validated with population	
		iv. # of on-going natural resource management related conflicts have decreased at community level	
BASELINE	YEAR	2021	i. TBD ii. TBD

<b>TARGET</b>	<b>YEAR</b>	2024	i. +100% ii. -50%
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<b>OUTPUT 2.1</b>		Execution of numerous intercommunal natural resource management agreements	
		Number of intercommunal natural resource management agreements (for water, arable land, forests, energy) concluded	
<b>BASELINE</b>	<b>YEAR</b>	2021	N/A
<b>TARGET</b>	<b>YEAR 1</b>	2022	5
<b>TARGET</b>	<b>YEAR 2</b>	2023	10
<b>TARGET</b>	<b>YEAR 3</b>	2024	15

<b>OUTPUT 2.2</b>		Introduction of participative approaches to communal decision making	
<b>OUTPUT INDICATOR</b>		i. Number of social dialogue sessions where local government stakeholders have engaged with conflict-affected communities	
		ii. % of targeted populations having participated in social dialogue activities	
<b>BASELINE</b>	<b>YEAR</b>	2021	N/A
<b>TARGET</b>	<b>YEAR 1</b>	2022	i. 10 ii. 10%
<b>TARGET</b>	<b>YEAR 2</b>	2023	i. 20 ii. 15%
<b>TARGET</b>	<b>YEAR 3</b>	2024	i. 40 ii. 20%

## Annex 4 – Budget details

Denmark will mobilize 55 million DKK (around EUR 7.4 M) to fund the Project “*Climate Change Adaptation and Stabilisation in Fragile Border Areas in Mali*”, including evaluation costs as well as PATRIP management and monitoring fees, as follows:

		DKK	EUR <sup>24</sup>
<b>1.</b>	<b>Direct Costs</b>		
1.1.	Operational costs	48,620,000.00	6,519,455.80
1.2.	Evaluation (1%)	487,142.86	65,320.99
<b>2.</b>	<b>Indirect Costs</b>		
2.1.	Monitoring (8%)	3,928,571.43	526,782.14
2.2.	Project Management (4%)	1,964,285.71	263,391.07
	<b>Total</b>	<b>55,000,000.00</b>	<b>7,374,950.00</b>

The disbursements to the PATRIP Foundation are planned in annual instalments according to the following indicative timeline:

Year	Amount DKK	Amount EUR	Comment
2021	16,500,000	2,212,485	Advance payment of 30% of the total budget
2022	17,875,000	2,396,858.75	According to project progress
2023	17,875,000	2,396,858.75	According to project progress
2024	2,750,000	368,747.50	Final payment
<b>Total</b>	<b>55,000,000</b>	<b>7,374,950</b>	

The Royal Danish Embassy in Mali (RDE) will disburse on the receipt of a formal disbursement request, specifying bank details and amount. PATRIP is requested to send a written confirmation upon receipt of funds.

PATRIP will disburse to the Implementing partners in EUR. Any loss due to variation of exchange rates between the grant in DKK, the EUR and the XOF must be covered within the grant.

<sup>24</sup> 1 DKK = 0,13409 EUR

## Annex 5: Risk Management Matrix

I. CONTEXTUAL RISKS						
Risk Factor	Probability	Impact Severity	Background	Mitigation	Residual Risk	Residual Impact
Political and social turmoil reach a national governance paralysis level impeding Project execution	High	High	Mali is currently going through a challenging period following the outcome of the national elections of March 2020. Growing public demonstrations calling for the resignation of the President, continuous attacks on Malian forces as well as civils in the central areas, the overall impacts of the pandemic, and the increasing food insecurity threatening more than 4 million people all converge to weaken the economic and social fabric of the country.	Continuous monitoring, project implementation adaptation measures, closer coordination among donors and joint increased pressure on civil authorities can contribute to create and maintain a secure and efficient implementation environment.	High to Moderate	Moderate to High
Intensification of insecurity due to increase conflicts in border areas rendering access to some or many areas from limited to dangerous	High	High	Short to mid-term improvements of security environment is unlikely with potential serious implications for project activities.  No conflict preventive measures are available, but DK may receive intelligence from the National Early Warning and Response Mechanism as well as from other sources.	Some project activities limited to safer areas where feasible.  Some activities to be suspended.  Situation to be monitored closely.	Short-term security risks may be reduced due to selection of safer areas within the project targeted region.  General security risks prevail but can be acted upon due to initiation of close monitoring.	Moderate to High

Climate change impacts (extreme conditions, drought, fires, floods, etc.) are increasing and worsening	High	High	Data supports probability of worsening cumulative impacts from “season” to “season” in the targeted project area.	Rapid adaptation of resilience projects to worsening situation will alleviate additional impacts	Strength and intensity of impacts may overwhelm implementation of local projects reduce their anticipated effects.	Moderate
Trust in local authorities and institutions further diminished due to increase in intercommunal conflicts, weakness of natural resource management and inadequacy of climate change adaptation measures.	High	High	Years of social and economic strife have diminished capacity of local governing institutions to meet their public responsibilities. Crime and corruption have further reduced public confidence.	Introduction of conflict resolution and continuous dialogue techniques and measures, focusing on climate change resilience building through construction and rehabilitation of infrastructure will alleviate communal tensions and rebuild trust.	Residual risk not reduced. However, the actions taken could gradually increase trust.	Moderate

II. PROGRAMMATIC RISKS						
Risk Factor	Probability	Impact Severity	Background	Mitigation	Residual Risk	Residual Impact
The Project is generating inefficiencies due to duplication and lack of coordination with on-going, multilateral / multi-donor programs	Moderate	High	Critical multisector regional programs currently executed to foster dialogue and align partner strategies and approaches aimed at structural causes of fragility with emphasis on climate change, demographic growth, and weak institutions.  Country members of the Sahel Alliance partner with ECOWAS, the Liptako-Gourma Authority (Autorité du Liptako-Gourma - ALG) and	RDE must ensure efficient integration and coordination of the Project within the activities of the Sahel Alliance and its associated partners as well as capitalise on the experiences of the current initiatives in the targeted areas of the Project.	Residual risk greatly reduced	Low



			other institutions to support transborder initiatives by the Swiss (DDC) and French (Afd) Agencies.			
Inadequate grasp of potential impacts of contextual risks hampers achievement of Project objectives	Moderate	High	Mali offers a relatively unique composite of social and political crisis issues intermixed with severe climate change impacts, ideological, intercommunal, and natural resource-driven conflicts further compounded by a latent food security catastrophe exacerbated by the impact of a worldwide pandemic.  Assessing local needs and mitigating measures in the fragile and unstable border areas present a critical challenge.	Rigorous funding approval methodology as well as management and operational planning and coordination will ensure that project funding proposals are well grounded in fact and reflect local conditions and issues.	The residual risk of a critical programmatic failure will be minimized.	Moderate to High
Expedited local needs assessments lead to project implementation deficiencies						
Climate adaptation measures applied to natural resource management increase tension between groups and cause further conflicts	High	High	Current efforts to better integrate peacebuilding and climate change adaptation efforts are not yet taking place in a systematic fashion. <sup>25</sup>	Inclusive transparent, locally led peaceful decision-making processes will lead to widespread awareness and understanding of each implemented measure, local ownership of the system or infrastructure, comprehensive group involvement and fair distribution of resources.	Residual risks will be greatly reduced	Moderate

<sup>25</sup> *Peacebuilding and Climate Change in Mali and Somalia*. DanChurch Aid, Norwegian Church Aid and ACT Alliance. June 2020

III. INSTITUTIONAL RISKS						
Risk Factor	Probability	Impact Severity	Background	Mitigation	Residual Risk	Residual Impact
Denmark's involvement in some border communities appear to side with certain groups to the detriment of others	Moderate	Moderate to High	The threats to safety of staff and partners and to the operational continuity of field activities continue to increase and any appearance of preference in the arbitration of climate adaptation measures may increase insecurity.	Continuous monitoring of local events, robust emergency intervention planning, and rigorous social dialogue measures contribute to reduce impact of risks	The occurrence of threats will linger but the impact will be contained.	Moderate to High

## Annex 6 – List of supplementary materials

#	Document / Material	Source
1	PATRIP Annual Report 2019	PATRIP
2	PATRIP Implementation Guidelines and Reporting Manual	PATRIP
3	PATRIP Application Guidelines	PATRIP
4	PATRIP Environmental and Social Policy	PATRIP
5	PATRIP NGO Assessment Tool	PATRIP
6	PATRIP Articles of Association	PATRIP

## ANNEX 7 – COMMUNICATION PLAN

What? (the message)	When? (the timing)	How? (the mechanism)	Audience(s)	Responsible
Denmark supports improvement of resilience to climate change of populations living in fragile border areas of Mali and supports reduction of risk of climate change contributing to violence	After signing the partnership agreement between RDE and PATRIP;  Could be linked to an event related to the Sahel Alliance	<i>Note Verbale</i> to GoM, eventually press release; Social medias	Government of Mali (and neighbouring countries?), Malian population, international community	RDE (for <i>Note Verbale</i> and Press release), PATRIP for social media messages
DK contribution to the Sahel Alliance	Linked to an event related to the Sahel Alliance	Depending on the communication channels of the Sahel Alliance	Sahel Alliance, GoM and neighbouring countries, international community, population	RDE
Information on individual projects (specified in terms of sectors, expected results, etc), including Danish support to provide access to water	After signing of contracts between PATRIP and implementing partners	Social media platforms of PATRIP, RDE, partner NGO's;	Malian population, population of targeted border regions, GoM, international community	PATRIP, NGOs
Presentation of results of the Project (including Danish contribution to it)	After completion of individual projects and Project evaluation	Annual PATRIP workshop including presentation of evaluation findings	GoM, international communities, int. and local NGOs	PATRIP
Regular information on progress and results of individual projects	Regularly	Social media platforms of PATRIP, RDE, partner NGOs; Annual PATRIP Workshop (including field visit if possible)	Malian population, population of targeted border areas, GoM, international community	PATRIP, NGOs

## ANNEX 8 - PROCESS ACTION PLAN (PAP)

Action/product	Deadlines	Responsible/involved Person and Unit	Comment/status
Signing of Agreement between RDE and PATRIP	December 2020	PATRIP, RDE	
First disbursement from RDE to PATRIP	Beginning of 2021	RDE	
Preparation of Call for Proposals	Jan-March 2021	PATRIP	
Non objection of RDE to CfP and launch of CfP	March 2021	RDE	
Deadline for submission of project concept notes	May 2021	PATRIP	
Annual PATRIP Workshop in Bamako	May 2021	PATRIP, RDE, partners	Communication and visibility event including more ceremonial part with donors and officials, and technical part with NGOs to discuss project concepts
Assessment and selection of concept notes	May-June 2021	PATRIP	
Non objection of RDE to selection of project concepts	June 2021	RDE	
Preparation of detailed project documents for selected concepts	July – Sep 2021	PATRIP, IPs	Non-objection of RDE of draft project documents through silent procedure (2 weeks) within PATRIP's appraisal process
Signing of agreements with selected Implementing Partners	Oct 2021	PATRIP, IPs	
Implementation of individual projects	Nov 2021 – Oct 2024	IPs	
Half-year and annual reports (incl. annual audit report) from PATRIP to RDE	As per 30 June > 30 Sept As per 31 Dec > 31 March	PATRIP	
Evaluation	Last quarter of 2024, first quarter of 2025	PATRIP	
Completion of project	June 2025	PATRIP	Eventually presentation of evaluation results at final PATRIP Workshop

## Annex 9 - Quality Assurance checklist for appraisal of programmes and projects<sup>26</sup>

File number/F2 reference: \_\_\_\_\_

Programme/Project name: \_\_\_\_\_

Programme/Project period: \_\_\_\_\_

Budget: \_\_\_\_\_

Presentation of quality assurance process:

- ☐ The design of the programme/project has been appraised by someone independent who has not been involved in the development of the programme/project.

*Comments:*

- ☐ The recommendations of the appraisal has been reflected upon in the final design of the programme/project.

*Comments:*

- ☐ The programme/project complies with Danida policies and Aid Management Guidelines.

*Comments:*

- ☐ The programme/project addresses relevant challenges and provides adequate responses.

*Comments:*

- ☐ Issues related to HRBA/Gender, Green Growth and Environment have been addressed sufficiently.

*Comments:*

- ☐ Comments from the Danida Programme Committee have been addressed (if applicable).

*Comments:*

- ☐ The programme/project outcome(s) are found to be sustainable and is in line with the partner's development policies and strategies. Implementation modalities are well described and justified.

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<sup>26</sup> This Quality Assurance Checklist should be used by the responsible MFA unit to document the quality assurance process of appropriations where TQS is not involved. The checklist does not replace an appraisal, but aims to help the responsible MFA unit ensure that key questions regarding the quality of the programme/project are asked and that the answers to these questions are properly documented and communicated to the approving authority.

*Comments:*

- ☐ The results framework, indicators and monitoring framework of the programme/project provide an adequate basis for monitoring results and outcome.

*Comments:*

- ☐ The programme/project is found sound budget-wise.

*Comments:*

- ☐ The programme/project is found realistic in its time-schedule.

*Comments:*

- ☐ Other donors involved in the same programme/project have been consulted, and possible harmonised common procedures for funding and monitoring have been explored.

*Comments:*

- ☐ Key programme/project stakeholders have been identified, the choice of partner has been justified and criteria for selection have been documented.

*Comments:*

- ☐ The executing partner(s) is/are found to have the capacity to properly manage, implement and report on the funds for the programme/project and lines of management responsibility are clear.

*Comments:*

- ☐ Risks involved have been considered and risk management integrated in the programme/project document.

*Comments:*

- ☐ In conclusion, the programme/project can be recommended for approval: yes / no

Date and signature of desk officer:\_\_\_\_\_

Date and signature of management:\_\_\_\_\_