MMSD

Mining Minerals and Sustainable Development

Final Notes from the
Strategic Planning Workshop

Hosted by the
International Institute for Environment and Development

Thursday 4 May to Saturday 6 May 2000

Table of Contents

APPENDIX A – AGENDA

APPENDIX B – LIST OF PARTICIPANTS

APPENDIX C – PRESENTATIONS

1   INTRODUCTION

From 4 to 6 May 2000, the Mining, Minerals and Sustainable Development (MMSD) Project held a Strategic Planning Workshop in London. Over 45 individuals from many different countries and organisations participated. Participants brought a broad range and diversity of interests, perspectives and knowledge to the discussions. [Appendix C lists participants].

The Workshop involved a series of presentations as well as small and large group discussions [Summaries of the presentations are contained in Appendix D]. Key objectives of the Strategic Planning Workshop were to:

- Describe the Global Mining Initiative (GMI) and MMSD
- Understand participants' concerns
- Discuss the four project elements: research and analysis, stakeholder engagement, communication and implementation
- Develop ideas on the decentralised process
- Envision outcomes

This document summarises the discussions around each major theme. The *Workshop Agenda* is contained in Appendix A.

2   EXPECTATIONS AROUND PARTICIPATION IN THE WORKSHOP

Glenn Sigurdson, as the Facilitator, presented the following as suggestions for participants as a basis for moving into the workshop discussions:

- Consider the framework and elements within it to provide the context within which to build the strategic direction of the MMSD project.

- To explore, not negotiate; to share not to decide

- To understand the diversity of perspectives and build relationships

- To respect that participation in the workshop and contributions to it are not or are not to be seen as an endorsement by any participant of the MMSD project

- To consider how to widen the network of connections with which the project will need to build complementarity and linkages

- To identify where it will help to inform and guide the flow of the discussions and the development of the project, areas of common ground, and areas of differences and the underlying reasons

Following discussions, the workshop participants agreed that these were a helpful set of understandings from which to proceed. In this context, it is important that the reader does not expect answers in these notes from a meeting which was intended to generate questions.

It was agreed that Workshop Notes would be prepared by the MMSD Work Group and before finalisation would be reviewed by a subgroup of participants representative of the diverse views and regions. The suggestion was also made and accepted that the Notes would be summary in nature and would not make specific attribution of comments.

3   CHALLENGES AND CONCERNS

During the course of the workshop, participants identified challenges faced by MMSD and raised a number of concerns, as summarised below:

3.1 Project Organisation

3.1.1 Global Mining Initiative
- What is the motivation behind the GMI? Is it a glorified public relations exercise or a way of avoiding tackling the 'real' issues?

3.1.2 Project Governance
- How is MMSD to be governed?
- Who makes governance decisions?
- Who does the Assurance Group represent (geographically, different organisations)?
- Does IIED have the right to publish irrespective of whether the Sponsors agree with the outcomes?
- What is the relative authority of the Assurance Group as compared to the Sponsors?
- How was the initial Assurance Group selected and by whom?

3.1.3 Funding
- The success of MMSD is based on securing considerable extra funding in a very limited time period.
- Some expressed concern that MMSD divert research funds from other ongoing initiatives and research projects.

3.1.4 Timing
- 2002 is too short a deadline to carry out all the work required.

3.1.5 Goals
- Lack of definition of goal in terms of interim activities and final outputs.
- A clearer definition of sustainable development would help in determining goals.

3.1.6 Ongoing Activities
- To what extent will the research community's agenda be set by MMSD over the next two years?
- MMSD needs to capitalise on what is already being done and has already been done.

3.2 Decentralisation
- How will the regions be defined?
- How will the regional goals differ from the global goals?
- How viable will the regional platforms be? Given the short-term nature of the project, the regional partners could end up being saddled with expectations they cannot fulfil.
- How will the regional centres relate structurally to the MMSD Work Group in London?
- How will the regional centres and consultants be selected?

3.3 Research and Analysis
- The focus is too broad and needs to be narrowed in order to move forward.
- MMSD may focus more on mining rather than broader life-cycle issues.
- Need to be careful not to develop a skewed agenda which concentrates more on the environmental and consumption concerns of developed countries than the social development and production concerns of less developed countries.
- How will difficult issues such as the enhanced greenhouse effect and radiation be dealt with?
- When and where to mine and non-sustainable practices, not just operational issues, should also be a focus of the research.

3.4 Stakeholder Engagement
- To what extent are the process and project elements already decided? For example the two-year time frame has already been set by the CEOs.
- Who are the stakeholders? Who will decide which stakeholders are approached? We need to ensure that the project includes representatives from all stakeholder groups and across all regions from the mine site to consumption and disposal.

- How will they engage? What will the ethic of partnership mean in practice?
- Why will stakeholders want to be involved? It may be difficult to engage some stakeholders, for example, small-scale miners and juniors.
- How will the interest of stakeholders be sustained over the life of the Project?
- Need to be very clear about the expectation of participants.
- Need to understand the interconnections between the different stakeholders and how they relate to each other.
- What will be the impact on the credibility of stakeholders/organisations involved?
- If the initiative is seen to be controlled by the companies, many potential stakeholders may simply decide not to participate.
- For stakeholders to be interested, they must get something tangible out of it. A number of participants expressed concerns that the product should not be limited to a report but should include concrete environmental and social commitments.

3.5 Implementation

3.5.1 Designing the Process
- How can an implementation process be designed before a clear idea of the products has been developed?
- Where and when is the implementation process going to end?

3.5.2 Outcomes
- The outcomes of MMSD are unclear.
- What are the companies going to do as a result of MMSD? Need to make sure that MMSD succeeds within industry. This will require careful but rapid cultural change within a 'stubborn' industry
- Outcomes should not wait until the end of the MMSD process. The implementation process should begin as soon as possible.
- What will happen to MMSD post 2002?

4 BUILDING THE PROJECT

The project will be carried out along four main tracks, which will be woven together in a dynamic and integrated process. The four activities are:

- **Research and Analysis.** A focused programme of research and analysis to advance understanding of priority issues.

- **Stakeholder Engagement.** An ambitious programme of engagement with stakeholders both regional and globally.

- **Information and Communication.** An ongoing programme of communication with interested parties regarding goals, processes and the key outputs.

- **Implementation.** A consensus-based programme for voluntary implementation by a variety of stakeholders of the project results.

4.1 Research and Analysis
Small group sessions 'brainstormed' a possible range of topics and areas of emphasis around which the research agenda might be fashioned. These were provided with a view to assisting and informing MMSD as it moves forward in determining its research agenda. What follows is not a consensus of the full group but a collage of ideas resulting from several distinct small group sessions. The initial framing of the work of the sessions was a presentation made by Nick Robins of the MMSD Work Group - 'The Research Horizon; A First View at 30,000 ft' as a starting point for discussions on horizons, zones and initial preferences. A growing sense of direction also emerged that the MMSD focus should be an analysis for change rather than research.

<div style="border:1px solid black; padding:10px;">

Conceptual Framework as a Starting Point for Discussion
presented by Nick Robins

Research Horizons
Objectives, risks, choosing priorities, scoping the horizons, identifying key steps, initial suggestions

Research Objectives
To assess global mining and minerals use in terms of the transition to sustainable development, and to identify how the services provided by the minerals system can be delivered in accordance with sustainable development in the future

Research Risks
Superficiality, duplication, over-Ambition

Choosing Priorities
What's essential? What should not be done? What do we not know now – and are unlikely to know by 2002? Where are we uncertain?

Scoping the Horizons
Sustainable Development – the value chain, minerals, time, geography, actors

Identifying Key Steps
Baseline assessments, drivers of change, benchmarks and targets, tools for improvement

Initial Suggestions
Baseline Assessments - Information needs, mineral cycles, material flows
Drivers - Finance, global markets, technology
Benchmarks and Targets
Culture

</div>

4.1.1 What is meant by Sustainable Development?

Sustainable for whom? There are many perceptions/interpretations of sustainable development. For example what relative weighting should be given to environmental, social and economic goals? Do rights have a role to play and who determines them?

How can a framework be developed which respects the dichotomy of interests at local, national and international level? And for the dichotomy of interests between developed and developing countries.

- Developed world/consumer perspective – "Most awful sector": concern is environment and consumption.
- Developing world/producer perspective – "A vital industry": concerns are social, jobs, poverty reduction and production.

One view expressed was that mining is inherently unsustainable since minerals are a non-renewable resource.

4.1.2 Ideas for Research Tools

There was considerable discussion on what role 'research' would play in the project given its short time-span. It was suggested that it would be appropriate and possible to critically review the "state of science" with regard to certain topics and to identify certain topics where additional research is warranted. Several participants felt strongly that it should not be a "research" project.

<u>Review Existing Research</u>
- Existing research is strong, credible and relevant.
- Since much work has already been done, before MMSD embarks on analysis, existing research should be collated and reviewed with a view to identifying gaps.
- Expertise/lessons should also be captured from similar processes and research in other sectors.

<u>Baseline Assessment</u>
- Concise description of the industry as it is now as a baseline to judge improvements.

"What are we doing well or getting better at?" – suggestions included:
- Environmental and Social Impact Assessments
- Public reporting
- Company reporting
- Policy development
- Good awareness amongst stakeholders
- Greater awareness of issues
- Technology
- Environment largely internationalised
- Big three - labour, government and industry - are now more inclusive of civil society, NGOs and indigenous groups

"What have we done badly?" – suggestions included:
- Distribution of benefits - big diversity
- Carrying through implementation of policies due to lack of resources and capacity
- Mine closure
- Communications/consultation
- Total industry image
- No baselines
- At an operational level, social issues are often poorly addressed
- No framework/methodology exists for assessing the impact on mining on livelihoods
- Externalities not properly priced

<u>Survey of Best/Worst Practice in Key Areas</u>
Different participants brought different perspectives as to what a survey of best/worst practice might include, for example:
- Community consultation
- Education
- Capacity
- Safety
- Operations and tailings management
- Protected areas
- Environmental impact and footprints

<u>Perception Survey</u>
A survey amongst stakeholder groups in different regions to identify areas of concern, misunderstanding and mismatches of perception and reality

4.1.3 Suggested Topics
There was general consensus that the initial challenge is to reach clarity and focus regarding questions MMSD should be asking, underpinned by a crisp and clear vision driven by stakeholders. There was some discussion around which minerals and mineral products should be addressed by MMSD. The decentralised approach to MMSD, as well as the reality that the social, economic and environmental importance of different minerals, differ across regions, argue for flexibility. However, finite monetary and temporal resources make it impossible

for MMSD to address all aspects of all resources everywhere, particularly for issues pertaining to the mineral product cycle. This will require real choices to be made.[1]

Listed below are the main themes suggested with examples of each.

Drivers of and Impediments to Change (See Section 4.4.2)

Stakeholder Analysis (See Section 4.2)
- Appropriate roles and integration of roles.
- Capacity of different stakeholders.
- Stakeholder preferences.

"Total Value Added"
- Positive and negative contributions to current and future generations and to the environment.
- Sensitive to local culture.
- Understand how rents are being gathered, distributed and invested.
- Wealth creation – where and how? Who wins and who loses?
- Endowed wealth.
- Wealth transfer/ownership.
- Distribution of rent.

Health and Safety
- How to ensure, for example, that operations are safe, healthy, environmentally benign?

Environment
- Emissions
- Recycling

Decision Making
- In or around the mining and minerals industry.

Material Flows/End-Use
- Recycling.
- "Competitive Materials" e.g. copper/plastic.
- Risk perception – metals should be eliminated.

Post-Mining
- Mine closure and abandoned mines - social as well as environmental.

Decision Making
- What determines decisions e.g. investment.

Technology
- Identify technology changes necessary to allow unacceptable practices to be phased out or rectified.
- Technology development required, for example, to tackle acid mine drainage.

Finance
- Understand how sustainable development is currently considered in finance industry.
- Standards for financial institutes.

---

[1] We are currently seeking and encouraging specific input and comment on ideas for 'topics for analysis' from all interested parties. A consultation document outlining the broad themes that the project plans to address can be found on our web site at www.iied.org/mmsd/.

- Interaction of non-technical/financial values into decision-making.

Social
- Open up a dialogue around codes/ethics/values.

Crisis Management (collective)
- Response
- Sovereignty
- Liability

4.1.4 General Approach that Began to Take Shape
- MMSD should undertake *analysis for change* rather than *research*. Much research has been undertaken but has not necessarily achieved change.
- Since it will be difficult to get consensus on the goals, the Project should focus on clarifying the issues.
- Focus on a manageable number of topics. Possibilities that should be given careful consideration include wealth generation and distribution, minority/indigenous communities, financial drivers, end use, technology.
- Understand drivers and impediments to change.
- The output should be meaningful and useful to practitioners/stakeholders in language and format.

4.2 Stakeholder Engagement
Small group discussions following an overview presentation by Luke Danielson produced a range of ideas and perspectives to inform and help shape the engagement process and guide communication activities. Other significant outcomes from these sessions included identifying the drivers of and impediments to change.

4.2.1 Stakeholders
Stakeholders include:
- Workers
- Communities and indigenous groups
- Civil society
- Industry (including juniors, suppliers, operations managers)
- Financial community
- Government – international to local
- Educational sector/academics
- Customers/consumers
- Processors
- Service companies

Need to understand the interconnections between the different stakeholders and how they relate to each other.

4.2.2 Process of Engagement
There should be no presumption of trust before, during or after the process.

Need strategic approach to identify/engage stakeholders by, for example, mining and mineral cycle, driving forces regulating change (e.g. consumers, financial services, special interests), scale of activity, geography.

There should be multiple routes of engagement to multiple stakeholders, for example, Assurance Group, regional processes and global dialogues. The capacity of different stakeholders to engage in terms of time and resource should be considered. Concern about having sufficient outreach and communication into communities.[2]

In order to keep stakeholders engaged for the life span of the project, interim outputs should be considered. In addition, constant refrain to change must come from the companies and CEOs.

---

[2] We have been and are continuing to solicit comment on what is an appropriate governance structure directly for this process.

4.2.3 Stakeholder Perspectives

Civil society views of the mining industry include:

- Irresponsible – environment, human rights
- Unaccountable – to stakeholders
- Unethical – justice, rights, common good → decisions
- Dominant – stronger than governments → erosion of sovereignty
- Aboriginal communities - from the perspective of aboriginal communities, mining projects are short term in nature relative to the life span of communities.

Industry views of civil society include:

- Fragmented - moderates and radicals
- Single issue advocates
- Unaccountable
- Irresponsible - don't take the economics into account
- Ethical? Decision values based or power based? Globalisation favours civil society!

4.2.4 Outcome of Engagement

The key outcome of the engagement process should be *better understanding* of stakeholder perceptions as a 1st step to building consensus and trust.

4.3 Communication and Information

An important message to come across in the workshop was the importance of focusing on the transfer of information to audiences and stakeholders. This is a <u>critical element</u> in developing a transparent and inclusive trust building process. In particular it was suggested that:

- Each group needs to be approached differently depending on interests and needs.
- Need constant flow of information so that people do not lose interest.
- Take advantage of the internet for dialogue.
- Use of languages other than English – which ones?
- Need capacity and commitment to communicate.

4.4 Preparing for Implementation

In terms of preparing for implementation of MMSD's outcomes, the following points were raised:

- Given that the mining/minerals world is complex and interdependent, implementation will require negotiation between key stakeholders. Plenty of data and knowledge exists which is not being applied because the interconnections between different stakeholders are not properly understood.

- How and the extent to which research is translated into action needs to be understood. For example, it was suggested that MMSD should perhaps undertake an independent audit of IIED's project 'Towards a Sustainable Paper Cycle' and the impacts its recommendations have had.

- The need to be careful not to privatise the process was raised. Emphasis needs to be given to government and the informal sector.

4.4.1 Roles of Different Actors

Each group will need to develop their own strategy (pathway) to move towards the defined goals. Pathways will be influenced by those taken by other participants.

Industry

- Initiatives by Chief Executive Officers and Board of Directors.
- Evolution of management tools.
- Mining companies need to be major players in integrated planning.
- Sustainable development policies, commitments.
- Monitoring, reporting -- certification?
- Stakeholder engagement in decisions: interest / <u>values.</u>

- Collaboration with NGOs, IGOs, Governments on sustainable development.
- Introducing cultural change and leadership.
- Building a system for performance measurement.

Government
- Regulations on: exploration, extraction, consumption.
- Distribution of rents nationally and locally.
- Definition of "no-go" zones.

Community
- Capacity of communities to implement changes?
- Long term institutional building required.

Civil Society
- Influencing Government and companies.
- Pressure groups.

Stakeholders
- Need to engage stakeholder representative organisations to market MMSD outputs to their constituencies, suitably adapted to meet their requirements.

4.4.2 Drivers of and Impediments to Change
Participants were divided into small groups and asked to consider drivers and impediments to change towards sustainable development in mining and mineral production sectors:

Drivers/Opportunities
- Regulation in exploration and consumption; sharing of rents locally nationally and internationally.
- Credible codes.
- Technology.
- Globalisation – corporate, society, government.
- Well-informed customers - branding and recognition in markets.
- Initiatives by CEOs.
- Civil society influencing government.
- Power at local level.
- Risk averse finance/ pressures of financial markets.
- Image/reputation.
- Accreditation and certification.
- Environmental incentives.
- Internet - advocacy, markets.

Impediments
- Low levels of intellectual capital concerning social issues such as land tenure.
- Good actors are not differentiated from bad actors.
- Financial markets do not recognise good actors.
- Large players do not encourage "good" behaviour in juniors.
- Growing gap between leaders and laggards.
- Tax breaks.
- Disempowered communities.
- Lack of communication and consultation.
- Commodity prices – cyclical nature.
- Market anonymity: branding may help. Consumers need to become more engaged in supporting responsible behaviour.
- North-South environment and development dichotomy.
- Discontinuity – digger versus user. This may change with for example, e-commerce and supply chain management.

- Technology - labour, price effects.
- Globalisation - fear of it.

5 DEVELOPING A DECENTRALISED APPROACH

One of the guiding characteristics of MMSD is its decentralised structure. The project will involve contracting five or six regional partners in several of the world's principal mineral producing and consuming regions. In summary, the tasks of these regional centres will include:

- Managing the regional stakeholder engagement process.
- Providing regional inputs into the knowledge review.
- Managing regionally-based research.
- Inputting into work on global themes.
- Building and managing regional aspects of the project database
- Communicating project progress and disseminating project outputs to regional stakeholders.
- Reviewing the draft Final Report.

The following questions were raised regarding the regional processes:

5.1 Defining the Regions
How will the regions be defined given the significant differences not only between regions but also within regions:

- How will the boundaries of regions be defined?
- Which regions/countries will be included?
- Will regional synergies be formed?

5.2 Timing
Since the regional processes have not started yet, concerns were raised regarding timing. Will regional issues get less time than the global issues? How long will the regional processes go on for?

5.3 Goal
At a regional level, supporting and encouraging dialogue and building trust between diverse stakeholders started would be a big achievement in itself.

Participants also hoped that existing regional and national processes would be supported, maximising the opportunities to feed into and get feedback from ongoing discussions and forums.

6 SOME ENVISAGED OUTCOMES – MOVING FORWARDS BY LOOKING BACKWARDS!

In order to capture a sense of how participants envisioned the MMSD project might 'make a difference', participants were divided into small groups and asked to identify specific events or changes that will have happened in 2005 and the role that MMSD had played in promoting and supporting these changes. The outcomes of this exercise are summarised below:

6.1 Social
- Definition of no-go zones – communities have the power to say 'no'.
- Small-scale miners helped towards sustainable development by other industry actors.
- Closure plans as a precondition of mining.
- Reduction in inconsistency in the approach to land access, approvals, regulations etc.
- Integration of social values into decision-making.

6.2 Environmental
- Progress being made in phasing out environmentally hostile processes.

6.3 Economic/Equity
- Rent distribution mechanisms.
- A framework developed for sharing of benefits from mining/minerals projects with which all participants are able to accept.

6.4 Governance
- Certification.
- Collective crisis management.
- Adequate legislation.
- Agreement of what "non-sustainable practices" are.
- Capacity building in intergovernmental processes and governance.
- Collaboratively developed "code of practise".
- Model legislation / regulation.

6.5 Education
- Integration of sustainable development issues into education.
- Improved training in social issues.

6.6 Finance
- Responsible financing mechanisms.
- Environmental/Social Funds.
- Sustainability-based mineral tax reform

6.7 Health & Safety
- Reduction in accidents.
- Reduction in the incidence of HIV among mine workers.

6.8 Supply Chain
- Provenance system for metals/minerals (code of standards / audits).
- Progress towards differentiating of bulk commodity producer outputs which will favour environmentally and socially responsible miners, smelters, processors etc.
- Identified chain of responsibility – transparency of upstream performance.

6.9 Engagement
- Greater degree of trust developed.
- Development enhanced through tri-sector development.

7 PROJECT GOVERNANCE

7.1 Assurance Group - gap analysis
- International development agency.
- Health and safety.
- Mineral economist.
- Labour movement.

7.2 Future Role of Workshop Participants?
- The MMSD Work Group needs to decide what will be the future role of workshop participants if any? Does the group need to meet again in the future?

- Workshop participants are seen as a 'visiting committee' to help the MMSD Work Group with views and guidance.

7.3 Intellectual Property Rights

Issue of sub-contracting – how will property rights be decided? This needs to be thought of at the outset.

8 CONCLUDING COMMENTS

> Some closing comments by participants:
>
> 'It will always be a struggle to engage but this is a valuable opportunity we must not lose'
>
> 'Capacity building for delivery will be the key challenge'
>
> 'Sustainable communities is what we are really talking about not sustainable mining'
>
> 'Implementation is where the rubber will hit the road'
>
> 'The North/South tension is a critical component – finding the balance will be a key to success'
>
> 'The project cannot fail – the credibility of the industry is on the line'
>
> 'Partnering must be pursued, building together'
>
> 'We are working on the frontiers of change. Clarity, discipline and focus on clear questions within a crisp mission will be critical'
>
> 'The watchwords for the project should be reciprocity, complementarity and redistribution'
>
> 'Many perspectives are in this room but many are not. The project must keep searching for ways to include as wide a spectrum of interests as we can – understanding their concerns and goals and providing opportunities for building ongoing platforms for engagement'

Concluding observations:

- An opportunity which may not recur soon
- We have an obligation to do what we can to take advantage of that opportunity now
- There is broad support from participants to do that
- Project management should be bold and move fast

APPENDIX A - AGENDA

THURSDAY 4 MAY

5:30   *Refreshments*

6:00   **Welcome**
> Nigel Cross, Executive Director, IIED and Margaret Flaherty, World Business Council for Sustainable Development, will introduce the Project and welcome participants.

6:20   **Workshop Goals and Objectives**
> Luke Danielson, Director of the MMSD Project, will provide an initial overview of the workshop objectives including a quick review of the agenda.

6:35   **Participants: Getting to Know Each Other**
> Introductions

8:00   *Cocktail Party*
> For participants and invited guests.

FRIDAY 5 MAY

8:30   **What is the Role of MMSD?**
> Introduction by Luke Danielson and Richard Sandbrook (WBCSD) followed by a group discussion.

- The 'Big Picture'
- Project Governance
- Elements of the Project - research, engagement, information and communication and implementation
- Outcomes

9:30   **Workshop Expectations: Goals, Participation, and Notes**
> The framework for workshop discussions

10:00   *Refreshments*

10:15   **The Global Picture: Players, Perspectives, Problems and Places**
> Discussion of key challenges in building a more sustainable future and how MMSD can best connect to and complement existing activities, interests, ideas and interactions.

11:30   **The Research Horizon: A First View at 30 000 ft**
> ➢ Nick Robins from the IIED will lay out a conceptual framework as a starting point for discussions – horizons, zones and initial preferences.
> ➢ Group discussions will first focus on the scope and key dimensions that mark out the Project's horizons.

12:30   *Buffet Lunch*

1:30   **The Research Horizon** *Continued*
              Continuation of group discussions followed by report back.

2:45   **The Global Mining Initiative**
              Robert Court will describe the Global Mining Initiative.

3:00   **Implementation and Outputs: Turning Words into Action**
              Luke Danielson will communicate preliminary ideas for the implementation process
              and project outputs.

3:30   *Refreshments*

3:45   **Making a Difference: Going Forward by Working Backwards**
              Envisioning outcomes from the Project that might make a difference
5:00 – 5:30 **Summing Up**
              Recap of day and introduction to Saturday's agenda.

7:00   ***Dinner at the Sheraton***

SATURDAY 6 MAY

8:30   **The Research Zones: Parameters and Preferences**
              The focus of the discussion will move into prospective major research zones of
              activity – identifying clusters for analysis and suggesting some initial preferences.
              This will include discussion groups and reporting back.

10:45   *Refreshments*

11:00   **The Engagement Platforms: Principals and Processes**
              A short presentation by Luke Danielson of initial ideas will be followed by small
              group discussions on how to achieve effective engagement on regional and global
              themes and collaboration with existing activities, and ensure that engagement is an
              evolving process.

12:30   *Buffet Lunch*

1:30   **What is Taking Shape?**
              ➢ Research: musts, must nots and maybes!
              ➢ Engagement: interests, interactions and ideas!
              ➢ Information and communication: words and getting the words out!

              Small discussion groups around these four elements.

2:45   *Refreshments*

3:00   **Pulling Everything Together**

> Report back from smaller group discussions followed by full group discussion.

4:30   **Reflecting on the Workshop: Have we Achieved our Goals?**

> Providing the chance to reflect on what has worked and not worked and what we have learned through the process.

5:00 - 5:15   **Closing Remarks**

Evening   *Optional Dinner*

> Informal dinner in Central London.

APPENDIX B – LIST OF PARTICIPANTS

PARTICIPANTS

Mr Frank Almond
Consultant to WWF-UK
United Kingdom

Mr Craig Andrews
Principal Mining Economist, Mining Department
The World Bank
USA

Mr Jerry Asp
Vice President
Canadian Aboriginal Minerals Association
Canida

Mr Robert Ayres
INSEAD
France

Mr Fritz Balkau
Principal Officer
Industry and Environment Office
United Nations Environment Programme
France

Ms Susan Bass
Director
Inter-American Program
Environmental Law Institute
USA

Mr James Bond
Director, Mining Department
The World Bank
USA

Mr Peter Börkey
Environment Directorate, NMC
OECD
France

Prof Glynn Cochrane
Communities and Anthropology advisor
RioTinto
UK

Mr Jim Cooney
Placer Dome
Canada

Mr Stephen D'Esposito
President
Mineral Policy Centre
USA

Mr Yin Deren
Division Chief and Senior Engineer
Department of Policy and Legislation
Ministry of Land and Resources
China

Ms Cristina Echavarria
Co-ordinator, Mining, Environment & Community
Programme
Institute of Regional Studies-INER
University of Antioquia
Columbia

Mr Edouard Gervais
International Zinc Association
Belgium

Mr Bernard Guarnera
President & CEO
Behre Dolbear Inc
USA

Dr Jay Hair
Immediate Past President
IUCN - World Conservation Union
USA

Mr Tony Hodge
Anthony Hodge Consultants, Inc.
Canada

Ms Lois Hooge
Canadian Advisor
Kwagga Mining and Minerals Project
Minerals and Energy Policy Centre
South Africa

Ms Wanda Hoskin
Principal Officer
Industry and Environment Office
United Nations Environment Programme
France

Mr Norman Jennings
Senior Industrial Specialist
Industrial Activities Branch
International Labour Office
Switzerland

Ms Susan Joyce
Senior Social Specialist
Golder Associates Ltd
Canada

Professor Gustavo Lagos Cruz-Coke
Head of the Mining Centre
Faculty of Engineering
Catholic University of Chile
Chile

Mr Peter Laver
Chancellor of Victoria University of Technology
Australia

Mr Daniel Limpitlaw
Lectuer, Environmental Engineering
Dept of Mining Engineering
University of Witwatersrand
South Africa

Dr Fernando Loayza Careaga
ECOLOGICALINK Investment Group
Executive Vice-President
Bolivia

Mr Doctor Mthethwa
Project Officer
Group for Environmental Monitoring
South Africa

Mr Gary Nash
International Council on Metals and Environment
Canada

Mr Mehrdad Nazari
Principal Environmental Specialist
Environmental Appraisal Unit
European Bank for Reconstruction and
Development
United Kingdom

Mr Don Newport
Head of Mining Finance
Standard Bank
United Kingdom

Dr Andrew Parsons
Chamber of Mines in South Africa
South Africa

Mr Michael Rae
Programme Leader
Resource Conservation
WWF – Australia

Mr Damien Roland
ICEM, International Federation of Chemical
Workers' Unions
Belgium

Dr Hesphina Rukato
Senior Policy Analyst
Minerals and Energy Policy Centre
South Africa

Professor Nick Segal
Director
Graduate School of Business

University of Cape Town
South Africa

Dr Carlos Sere
International Development Research Centre
Uraguay

Dr Deborah Shields
Principal Mineral Economist
USDA Forest Service-Research
Rocky Mountain Research Station
USA

Mr Slavko Solar
Geological Survey of Slovenia
Slovenia

Dr Fiona Solomon
Research Fellow
CSIRO Minerals
Australia

Mr Ian Thomson
Ian Thomson Consulting
Canada

Professor Dirk van Zyl
Director, Mining Life-Cycle Center
University of Nevada -Reno
Mackay School of Mines
USA

Professor Alyson Warhurst
Director Mining and Energy Research Network
Director Corporate Citizenship Unit
Warwick Business School
The University of Warwick
United Kingdom

Mr Dick Wells
Executive Director
Minerals Council of Australia
Australia

WORKSHOP FACILITATION

Mr Glenn Sigurdson
The CSE Group
Canada

GLOBAL MINING INITIATIVE (GMI)

Mr Robert Court
Head, Government and Community Affairs
Rio Tinto
United Kingdom

**WORLD BUSINESS COUNCIL FOR
SUSTAINABLE DEVELOPMENT**

Mr Richard Sandbrook
Project Coordinator
United Kingdom

Ms Margaret Flaherty
Programme Manager
WBCSD
Switzerland

MMSD WORK GROUP (IIED - UK)

Mr Nigel Cross
Executive Director, IIED

Mr Luke Danielson
Project Director

Nick Robins
Project Rapporteur

Lutske Newton
Workshop Organiser

Clare Palmer
Workshop Organiser

Jacqueline Saunders
Workshop Organiser

Elisabeth Wood
Assistant Project Manager

APPENDIX C - PRESENTATIONS

INTRODUCTION – RICHARD SANBROOK, PROJECT COORDINATOR, WBCSD

A great opportunity but …traps we wish to avoid
- Reducing existing research budgets
- Holding up other initiatives
- Setting unrealistic timetables
- Over generalising from the particular
- Abusing research/stakeholders, stealing ideas

Things we want to see
- Reinforcing existing efforts
- Reinforcing existing initiatives
- Reinforcing or creating structures as needed
- Expanded financial resources – additionality
- Raised standards / capacity /reputations
- Enhanced equity

The objective is not to resolve all questions issues or disputes <u>but</u> to expose them in a researched context that will lead to resolution over time
- What are the issues – from all points of view?
- What solutions are at hand – process, technology, practice, law?
- What responsibilities fall to who to resolve them? (local, national, regional, international)

GLOBAL MINING INITIATIVE – ROBERT COURT, RIO TINTO

Envisioned outcomes from the perspective of Rio Tinto:
- Market access
- Access to resources
- Trust
- Stronger environmental and social performance focus
- Better reputational capture
- Position
- Sharper advocacy

AN OVERVIEW OF MMSD – LUKE DANIELSON, PROJECT DIRECTOR OF MMSD

Project Objective
To identify how mining and minerals can best contribute to a global transition to sustainable development

Project Elements
The project has four elements

1. Research and analysis
- Potential areas of research are very broad
- Key challenge is to fund issues where we can make a difference
- Value: systematise what we know and what we don't know
- Value: fill in the gaps between the efforts of others

2. Stakeholder engagement
- Consultation must occur at multiple levels
- All participants must be comfortable with the process
- Consultation will occur in multiple processes and multiple forms
- But we will develop understood principles of engagement
- Even the best research and analysis will not be accepted simply because it is performed by 'experts'
- Stakeholders have to help define the questions
- And define who will answer them
- And the methods employed

- Relationship between research and stakeholder engagement
- Must be highly interactive
- Stakeholders can then ask more focussed questions
- Stakeholders help set research priorities
- Results from research should inform stakeholders

3. Communication
- We can't involve everyone individually in the project
- Absence of information creates distrust
- We need to communicate constantly
- We need to listen, not just talk
- We need to identify mechanisms (e.g. website, email, bulletin)

The concept: a transparent process of research, analysis and engagement "research in a fishbowl"

4. Implementation
- Research and dialogue processes have been tried before
- Important conclusions have been reached but the long-term impact is sometimes questionable
- Implementation of the conclusions must be a consideration from the outset
- These elements work together to produce:
- A clear agenda for change
- On a foundation of careful analysis
- Understood and supported by stakeholders
- With a clear and accepted process for ongoing implementation

The tool box of research, analysis and engagement at the global level:
- Junior research fellows
- Contracted research (cash or sponsorship)
- Research which Central Office requests from Regional Centres
- "Focus Groups" or research committees
- Multi-stakeholder dialogues on specific issues

Regional Structures
- We cannot cover the whole world
- *But* should establish a regional presence in 5-6 principle producing/consuming regions
- Regional boundaries should be largely self-defined

Regional Structures – Steps
- July1- Sept 1: Identify regional partner
- May be consortium
- Oct-Feb: Hold regional stakeholder event
- Identification of priority regional issues
- Nov1-March1: Establish Regional Steering Committee

Regional Institutions - Characteristics
- Acceptable to all stakeholders
- Credibility in sustainable development
- Credibility in mining
- Commitment to high quality work
- On-going institutional existence
- Highly desirable: regional partner has some kind of role in education/research

Regional Research, a combination of
- Research and analysis in support of priorities identified at the global level
- Research and analysis in support of priorities identified at the regional level

Research Centres
- Start with seed funding from MMSD
- Evolve mixed funding
- Ultimately (if shareholders in region think useful) could become stand-alone institution
- May not be one institution (consortium approach)

Function of Regional Centres
- Has a role in all four elements
- Research and analysis (conducts and contracts)
- Stakeholder engagement
- Communication
- Implementation

Global Level
- Regional work needs to 'bubble up' to the global level
- But some specific issues need to be dealt with at global level – e.g. free trade, access to markets, environmental concerns over use of metals
- 3-4 key issues should be dealt with in depth by stakeholder dialogues at the global level

Products
- Defined implementation process
- Agreed principles for engagement
- 3-4 global dialogues on key issues
- Stronger regional research capabilities
- Thorough survey of available information (possible series of CDs)
- Report (may be a constellation of objects, not just a document)
- Agenda for future research (global and regional)
- Platforms for engagement at the regional level
- Action agenda (global and regional)
- Support for GMI project