

Investing in African Mining, Indaba
3-6 February 2014, Cape Town

Meeting report

Governments, large- and small- scale mining: beginning a dialogue

Report back from Indaba Mining Conference 2014

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Acknowledgements

IIED would like to thank the IGF for creating a space to hold this discussion at Indaba. We would also like to thank our discussants Jennifer Hinton, Randy Barnes and Benjamin Ayree for sharing their time and insights. And special thanks are due to Holger Grundle for bringing energy and clarity to the discussion through his chairing.

The LSM-ASM interface: Engaging in dialogue

Report back from Indaba Mining Conference,
3–7 February 2014, Cape Town

The interface between artisanal and small-scale mining (ASM) and large-scale mining (LSM) is often characterised by conflict and distrust. Examples of successful engagement are scarce and short-lived. IIED is creating a safe and neutral space for companies, miners and government to build trust, shared understanding and solutions through dialogue.

IIED facilitated a session at the Intergovernmental Forum on Mining, Minerals, Metals and Sustainable Development's (IGF) day on ASM at the Indaba International Mining Conference in Cape Town on Wednesday 5th February 2014. This short session explored the questions of how to bring the right players to the table for a dialogue and what is the vision for change in the sector.

Summary

Beginning a dialogue on LSM–ASM–government relations

At the 2014 Investing in Mining Conference (Indaba) in Cape Town, the Intergovernmental Forum on Mining, Minerals, Metals and Sustainable Development (the IGF) hosted a day of discussions on artisanal and small-scale mining (ASM). This is part of the IGF's efforts to better understand the sector and ways to implement the [Mining Policy Framework](#) for improved ASM amongst its member countries – 48 of the world's resource rich countries. The full agenda for the day can be found in Annex 1. IIED facilitated a panel representing the voices of ASM, LSM and government to discuss the terms on which they would be willing to come to the table to discuss common problems and identify shared solutions.

IIED is establishing a knowledge programme for the artisanal and small scale mining sector. The programme has three core components, one of which is a Dialogue Series on particularly contentious issues in the sector. The purpose of a dialogue series on ASM–LSM–government relations is to bring the parties around a table to build trust, develop a shared understanding of the problems they face, and facilitate collaborative solutions that achieve tangible changes in policy and practice.

The first stage in a dialogue is to **engage** (see diagram 1). This involves identifying contentious sector level issues, engaging key players, beginning to map knowledge and perspectives, and designing a process for dialogue that involves all the key sector and issue stakeholders. We therefore took this opportunity to begin discussions by asking two questions:

1. How do we get the right players to the table?
2. What is the change those players would like to see?

The session was opened by Ms Abbi Buxton (Researcher and ASM Programme Lead, IIED) who gave a presentation on The Parameters of Dialogue. The Chair, Holger Grundle (Senior Natural Resource Governance Advisor, DFID) then facilitated the discussion between the audience of 5–060 key sector stakeholders and the three discussants representing the three major stakeholder groups in a dialogue on this issue:

- Ms Jennifer Hinton, Director, Auranda Minerals and Adjunct Professor, Carleton University – representing the views of ASM
- Mr Randy Barnes, Regional Vice President, Sustainability and External Relations, Africa Region, Newmont Mining Corporation – representing the views of LSM
- Mr Benjamin Aryee, CEO, Ghana Minerals Commission – representing the views of government

What we heard

- We need to undertake a thorough **stakeholder mapping** in each country before identifying who should come to the table. The process should identify key policy influencers and processes impacting ASM.
- We need **briefings** targeted at each stakeholder group to explain the opportunities of engaging and the risks of not engaging with ASM in order to convince key stakeholders to come to the table.
- There are **opportunities** in the very process of bringing people to the table to empower, increase accountability and inform key stakeholders of the sector.
- We need to recognise artisanal miners as **legitimate economic actors** in order to bring them to the table.
- We need to **structure the discussion** in a way that creates shared and common understanding of the sector and works towards identifying mutually beneficial solutions that can be implemented by each stakeholder.

Our key action points and next steps

- **Fundraising** – IIED is in positive discussions with a number of potential funders for a full Dialogue Series, costing £400,000 (US\$650,000), on LSM–ASM–government relations.
- **Research** – IIED is undertaking research to strengthen the business case for large-scale mining companies to come to the table in a dialogue to address ASM issues.
- **Communications** – IIED wrote an article for The Guardian’s Sustainable Business Blog on the event – [‘Building bridges between the money and the many in mining’](#). This was published on The Guardian website and IIED’s website the week after the event.
- **Ongoing engagement** – As part of IIED’s fundraising and research, we continue to engage key stakeholders in shaping the dialogue series. This includes large-scale mining companies, international institutions, and local NGOs in ASM countries.

Background

LSM–ASM–government relations

The interface between governments, ASM, and LSM can be highly complex and contested. This is due to vested interests, legal, illegal and informal miners operating on the same site, weak state institutions and accountability, under-resourced government departments, and wildly different ideas around how mining supports economic development. Even where governments or companies have policies and processes to improve sector governance, artisanal and small-scale miners often lack the collective voice, resources, time or power to engage or influence these.

But opportunities for collaboration are opening up. Governments are recognising the potential for ASM to support jobs and livelihoods (for example, the 2009 Africa Mining Vision, 2010 Mining Policy Framework of the Intergovernmental Forum of Mining, Minerals, Metals and Sustainable Development). New international obligations to reduce or eliminate mercury from gold mining (UN Minamata Convention), and ensure minerals do not fund conflict (for example, the US Dodd–Frank Act, OECD Voluntary Guidelines) provide incentives to find collaborative solutions.

The purpose of a dialogue series on ASM–LSM–government relations is to bring the parties around a table to build trust, develop a shared understanding of the problems they face, and facilitate collaborative solutions that achieve tangible changes in policy and practice. The series will focus on highly contentious issues that affect the whole sector – like site security and rights to deposits – and use real-life examples to define good practice and explore how to sustain it.

The dialogue series is part of IIED’s ASM Knowledge Programme (see further Box 1 ‘IIED’s ASM Knowledge Programme’ and Diagram 1 ‘Mapping the ASM Knowledge Programme’ below).

The dialogue process

The IIED Knowledge Programme on ASM will set up a series of in-depth international and national dialogues that brings diverse stakeholders around a table to discuss and address a particularly contentious issue critical to the ASM sector and relevant across many countries. The purpose is to build trust and understanding, develop responses to the issue, and facilitate collaborative solutions by stakeholders that achieve tangible changes in policy and practice.

Dialogues will be co-convened by IIED and one or more organisations, which could be the learning group partners or other expert organisations. Issues appropriate for dialogue will be decided in consultation with partners, experts and the programme’s International Advisory Panel. Opportunities have already been identified for running or supporting a dialogue series on a range of issues including: LSM–ASM–government engagement; ASM in forests and protected areas; and Gold Dialogues on human rights, conflict and LSM-ASM relations in Colombia, Peru and Bolivia (the latter is already being undertaken by our partner ARM). The programme would explore formally linking the Dialogue Series to complementary initiatives, for example, Global Mercury Partnership, Supply Chain Standards (World Gold Council conflict-free gold standard, OECD due diligence guidelines), or the Extractive Industries Transparency Initiative.

The process of dialogue within the IIED Knowledge Programme is illustrated in Diagram 1 below. This model draws strongly on IIED’s experience with The Forest Dialogues.

One Dialogue Series would typically involve an expert workshop, background scoping paper, three national dialogues and an international dialogue, each lasting 1–4 days. A single process on one issue takes around 12–15 months and can be run sequentially or in parallel depending on resourcing, so within five years at least three full series would be completed.

Box 1: IIED's ASM Knowledge Programme

IIED is planning to establish a **five-year knowledge programme** for the artisanal and small-scale mining (ASM) sector. Operating at global and national levels, IIED will coordinate work in at least six countries, including Tanzania and Ethiopia (led by in-country partners Pact), Colombia, Peru and/or Bolivia (Alliance for Responsible Mining), India (Development Alternatives) and Indonesia (Yayasan Tambuhak Sinta), with potential to expand to other countries and partners.

The goal is to create a **better enabling environment** for the ASM sector, which supports more secure, dignified livelihoods for miners and enables their empowerment; promotes increased collaboration among sector actors; and addresses often severe social and environmental impacts. It will do this by improving the knowledge, policy and practice of key actors whose role it is to support the ASM sector, or whose activities impact on or are impacted by it – including governments, large-scale mining companies, global mining initiatives, ASM representative organisations, donors, technical experts and NGOs.

The initiative targets three linked problems: **lack of knowledge** about the ASM sector and/or effective solutions; a **lack of connection**, trust or collaboration between sector stakeholders; and **poor representation** of miners' and 'on-the ground voices' in higher level decision-making.

The direct **beneficiaries** of the Programme are ASM sector stakeholders who participate in learning groups and dialogues, or use the knowledge products and services. ASM miners benefit indirectly from an improved enabling environment, and from programme initiatives, which increase their capacity to engage with policy-makers and companies.

The Programme's **core components** are: six country learning groups and national ASM 'outlook' reports; multi-stakeholder dialogues on contentious issues; and global engagement through an online ASM resource centre, virtual network and policy communications. These core components which are the basic processes – leading from engagement to exploration and then change – are mapped in Diagram 1 below.

IIED aims to start activities in the second half of 2014 and is in promising discussions with a number of funders.

Dialogue outcomes

An effective dialogue does not work to a specific pre-determined objective; there are other fora for this. The changes we can expect are:

- **Improved knowledge and understanding** among dialogue participants
- **Stronger relationships and trust** between ASM stakeholders who don't normally sit around the table together
- **Policy and operational change** within participants' organisations
- The seeding of **new collaborative initiatives** which take off after the dialogue
- **Better-informed national or global policymaking** through the dissemination of key dialogue findings by participants in the dialogue.

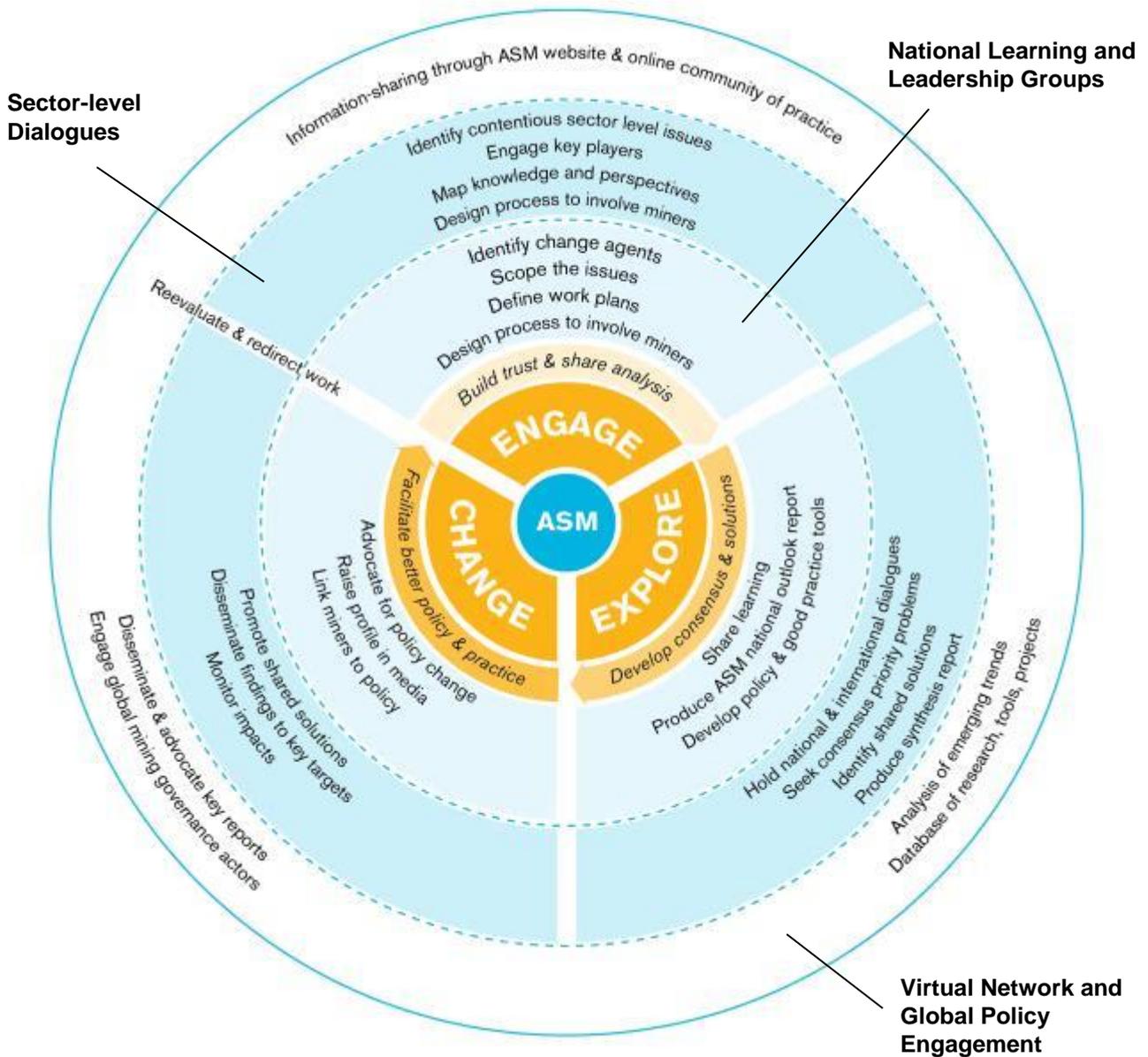
Dialogues involve high-level, knowledgeable and enthusiastic champions from across ASM stakeholder groups, who are committed to finding shared solutions and making change happen in their organisations.

- Dialogue could help **miners** and their representatives secure their rights, access markets, improve their health, safety and environmental impacts, and have a voice in policy processes.
- Dialogue could help **large, mid-tier and junior mining companies** address issues of security, risk, securing licences, corporate reputations and managing local conflicts.

- Dialogue could help **governments** to design and implement more effective policies, including promoting collaboration between large and small-scale mining.

IIED housed Mining Minerals and Sustainable Development (MMSD) – a process which proved dialogue can achieve massive changes in policy and practice in the mining sector.

Diagram 1: Mapping the ASM Knowledge Programme



Session Logistics

When and where

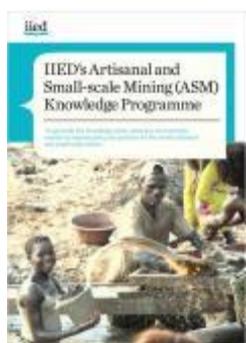
This session was part of the IGF Regional Meeting on Artisanal and Small-Scale Mining (ASM). It took place on Wednesday, 5 February, 2014 at the Victoria & Alfred Hotel, Cape Town. Although the event was by invitation only, it was possible for a range of people to attend because it was held outside of the conference centre so no ticket was needed.

The session was chaired by Mr Holger Grundle, Senior Natural Resource Governance Advisor, UK Department for International Development.

Session materials

The following materials were prepared in advance by IIED for distribution at Indaba:

ASM Knowledge Programme [flyer](#)



ASM Knowledge Programme [dialogue insert](#)



IIED's [presentation](#) on 'The parameters of a Dialogue'



Session outline

Time	Segment	Moderator Notes
1100-1110	Introduction Ms Abbi Buxton , IIED Presentation 'The parameters of a Dialogue'	<ul style="list-style-type: none"> - What would a dialogue on ASM–LSM look like? - How do we determine 'the right players'? - How could this lead to actual change?
1110-1115	Handover to Chair, Mr Holger Grundle , Senior Natural Resource Governance Advisor, DFID	<ul style="list-style-type: none"> - Introducing the speakers/structure

PART 1: How do we get the right players to the table (and who are the right players)?

1115-1125	<p>Ms Jennifer Hinton, Director, Auranda Minerals and Adjunct Professor, Carleton University <i>The ASM perspective</i></p> <hr/> <p>Mr Randy Barnes, Regional Vice President, Sustainability and External Relations, Africa Region for Newmont <i>The LSM perspective</i></p> <hr/> <p>Mr Benjamin Aryee, CEO, Ghana Minerals Commission <i>The Government perspective</i></p>	<p>Given we want this to be a dialogue <i>with</i> ASMers and not <i>about</i> them: How do we get ASM to the table? Both a process and an incentive question? <i>In your comments, think about the implications for governments in addressing, managing or playing a facilitating role.</i></p> <hr/> <p>How do we get LSM to the table knowing that dialogue will only work if (a) senior people with the ability (and willingness) to effect change in their organisations are involved and (b) those people believe in the ability of dialogue to find mutually beneficial solutions (and have incentive to implement those solutions)? <i>In your comments, think about the implications for governments in addressing, managing or playing a facilitating role.</i></p> <hr/> <p>How do we get government to the table? How can government make use of its existing relationship with ASM and LSM to bring both to the table? What government incentives might bring the players to the table? <i>A response to the previous two comments on the role of government.</i></p>
1125-1135	Buzzgroup on How do we get the right players to the table?	<p><i>One question, 10 minutes. Discuss with the people on your table. Think about from your stakeholder perspective. Reflect on comments from discussants.</i></p> <p>Identifying ASMers and innovative methods for bringing them to the table (including unregistered ASM)</p> <p>Right people in government with the ability to affect policy change</p> <p>Right people in LSM who are bought into the process and have the seniority to affect change</p>

		Who else should be involved, and why?
1135-1150	Plenary on How do we get the right players to the table?	1-2 points from each table (2 minutes each) Response from discussants where possible/ appropriate

PART 2: What is your vision for change?

1150-1200	Discussants on What is your vision for change?	What should we be talking about in a dialogue? What should we be looking to achieve? What does a mutually beneficial ASM-LSM relationship look like? <i>In your comments, think about the implications for governments in addressing, managing or playing a facilitating role.</i>
1200-1210	Buzzgroup on What is the change you would like to see?	<i>One question, 10 minutes. Discuss with the people on your table. Think about this from your stakeholder perspective. Reflect on comments from discussants.</i>
1210-1225	Plenary on What is the change you would like to see?	1-2 points from each table (2 minutes each) Response from discussants where possible/ appropriate

CLOSE: Wrap up & IIED next steps

1225-1230	AB wrap up/ where next	Summarise discussion in answer to the 2 questions – 2/3 bullets on each Slide: Where next – fundraising (interest/ideas for funders welcome), flyer available, join our mailing list for updates
1230	THANK YOUs – continue over lunch.	

Session Notes

The parameters of a dialogue

Abbi Buxton, Researcher from IIED and ASM Programme Lead, opened the session with a presentation describing IIED's Knowledge Programme and the key elements of a Dialogue Series therein (see further details given in 'Background' and Box 1 above).

The knowledge programme has been designed to address policy and knowledge gaps in the sector. This is based on IIED research into the sector (Buxton 2012). These gaps include lack of knowledge about the ASM sector and solutions; lack of trust and collaboration between sector stakeholders; and poor representation of voices 'on the ground'. A Dialogue Series on LSM–ASM–government relations will seek to address these gaps on this issue.

The dialogue process that IIED will adopt is based on that of [The Forest Dialogue](#) (TFD). TFD was an outcome of Towards a [Sustainable Paper Cycle](#), which was a similar multi-stakeholder research process to [Mining, Minerals and Sustainable Development](#) (MMSD), which IIED hosted. TFD was set up to continue multi-stakeholder dialogue in the sector to address particularly contentious issues. The same process is needed in the mining sector. This too can be seen as a continuation from MMSD on ASM issues. The dialogue process as defined by TFD is as follows:

- The drafting of a concept note, providing the justification and basis for the initiative.
- The formation of an initiative advisory group;
- The production of a scoping paper, which is reviewed by members of the initiative advisory group;
- A scoping dialogue in which acknowledged experts and resource persons are invited to review and enrich the scoping paper and, critically, to identify 'fault lines of disagreement or conflict';
- Field dialogues in locations that provide practical examples of the conflict or theme under review. These may take place in countries or locations where conflicts have been resolved, as a way of profiling potential solutions;
- Thematic dialogues, where specific themes are explored in depth – and where location or field experience is less important;
- The production of a summary and recommendations report encapsulating the initiative, from problem identification to proposed solutions and practical actions for partners.

The impact pathway for change through dialogue is illustrated as follows:



According to TFD, change is predicated on the following, without which effective dialogue has proven challenging if not impossible:

- A common problem that can only be addressed through the joint action of different stakeholder groups (i.e., not solvable by a single stakeholder group);
- ‘Fault lines’ around which opinions are strongly divided;
- Agreement that the identified topic is relevant and applicable, and a willingness amongst key sector stakeholders to work with IIED to lead its development and help mobilise funds;
- Stakeholders with a legitimate interest in the problem who respect dialogue as a valid means to address deep-seated problems and share a willingness to listen, respect alternative views and compromise. Some dialogues have suffered when positions are so entrenched and distrust (or vested interest) runs so deep that this pre-condition is missing. Furthermore, the individuals invited to dialogue have sufficient capacity to be able to influence the actions of an institution or interest group.

The impacts of a dialogue are increased where:

- The dialogue coincides with ongoing policy processes. For LSM-ASM, this may be the OECD guidelines; Dodd Frank; IGF Mining Policy Framework, and so on.
- One or more of the stakeholders carry forward the outcomes of the initiative and have resources to back it. This is particularly true at a national level, where there may be a role for the World Bank and/or others to impact change. Our partner organisations on the ASM knowledge programme – already ARM and PACT – represent an opportunity to implement the solutions.
- The dialogue captures the interest of a wide range of people who are heavily engaged and have bought into the process.
- Subjects are high on the list of ‘burning issues’ in the sector.
- Follow up communications are strong.

IIED has engaged with many stakeholders over recent years, including at Indaba 2013, and identified LSM–ASM–government relations as a ‘burning issue’ within the sector that needs addressing. This topic acts to engage and capture the interest of a wide range of major stakeholders, with resources and activities on the ground, impacting the ASM sector.

In beginning a dialogue on this issue, two questions can be considered in order to engage key players.

1. Who are the right players?

TFD has shown that the people to engage in dialogue are ‘policy connected individuals’ representing all stakeholder groups with an impact on the ground; people who are willing to engage in open and honest dialogue and sufficiently senior to effect change within their organisation. Key among these are ASM miners/representatives. A major part of the IIED programme will be building the capacity of these people to ensure proper representation and voice in policy making.

2. What is the change those players would like to see?

A learning of the TFD process, and IIED’s engagement with stakeholders on ASM to date, is the importance of mapping ‘outcome areas’ and ensuring that dialogue will lead to practical and applied solutions. The IIED ASM Knowledge Programme will ensure that, although it is not possible to predetermine the solution, there will be a clear process towards achieving potential outcome areas such as guidelines, policy advocacy and institutional change. Moreover, it will ensure that these outcomes are of a practical and applied nature. But what are the impacts that key stakeholders would like to see? What should we be looking to achieve? What are the examples of how to achieve those outcomes/impacts?

These are the two questions that will be discussed in the session.

Who are the right players?

The first question put to the discussants was: how do we bring the right players to the table in a dialogue on LSM–ASM issues? A number of points were true across all stakeholders:

- Individuals need to know the benefits, risks and opportunities of engaging before they will engage – a challenge to IIED as convener to convey the real opportunities offered by collaboration, and the risk of not doing so.
- Participants in the dialogue need to be confident in the process and that it will lead to actual and positive outcomes. The process is only worth doing if there is a realistic chance of success. IIED needs to explain the process in a way that gives stakeholders the confidence to engage.
- The process of identifying who should be at the table needs to carry a weight of legitimacy and needs to involve the very players it seeks to bring together – a sense of ownership from the very beginning. Government has an important role to play in convening the right people – an important part of their contract with citizens and their relations with mining companies
- Stakeholders should be recognised as legitimate and important participants in the debate both in the process of selection and in the process of dialogue – in particular, we need to minimise the risks of ASM operations been undermined or threatened by recognising them as legitimate economic actors and discussants at the table; and LSM needs to be assured that it won't be seen only as the payer in solutions that are identified

What also emerged from the discussion were the opportunities offered by a dialogue process – not only in its outputs (to identify shared solutions) but in the very process of engaging and bringing players to the table. In the forests sector, The Forest Dialogue has shown how an effective dialogue process can lead to the creation of new global alliances of rights-holders, such as the [G3 group](#), and new national level dialogue processes, as in the case of the [Brazilian Forest Dialogue](#). The Indaba participants identified the opportunities for the process to catalyse organisation amongst ASM to build capacity and engage in policy debate. They spoke of increasing government accountability through a national process of dialogue.



Jennifer Hinton has a PhD in Mining Engineering from the University of British Columbia and owns her own gold–lead–silver mine in Western Uganda. Based on her experience and representing ASM issues, she suggested undertaking a stakeholder mapping exercise in each country to understand who should be at the table. This exercise should identify structures to get participation of the right people and more marginalised people. An example of this would be working with respected community leaders to ensure women's participation and through regional miners associations. This process should identify companies operating in the area, including exploration companies as it is often where that the relationship between large- and small-scale miners start and therefore where trust needs to be built. These companies can be targeted through national Chambers of Mines and through the Prospectors

and Developers Association of Canada (PDAC). A review of the policy landscape would also help to identify government officials engaged in formalisation efforts to bring ASM to the table for dialogue.

‘You need to ensure you mobilise the marginalised – such as women and illiterate miners’ (Ms Jennifer Hinton)

Ms Hinton suggested the programme consider a ‘participants fund’ for helping artisanal miners attend international events and conferences. The German Geological Society used to run such a fund.

The second discussant was Randy Barnes, Regional Vice President for Africa on Sustainability for Newmont Corporation. He emphasises that, from the perspective of large-scale mining (LSM) companies, the process is only worth doing if there is a realistic chance of success. LSM has come to the table before but has not seen mutually beneficial approaches. This is the legacy that we need to work with and try to move beyond, in a positive way. They need to be convinced of the plan or process to achieve mutually beneficial solutions that does not only lead to LSM having to pay for the solutions or give up their concessions.

‘LSM needs to be convinced that all efforts will be towards a mutually beneficial solution and not how LSM can fund the solution’ (Mr Randy Barnes)

LSM needs to be made clear of the risks of *not* coming to the table, in order to see the benefits of doing so. They also need to understand the commitments from other stakeholders to find a solution and what their role will be in delivering on that solution. The mechanisms of enforcement and implementation of the solutions determined through dialogue, and the role of each stakeholder in that, are key.

The process of identifying who should be at the table is an important one, and LSM should be involved in that process (as should representatives from all the major stakeholder groups). Mr Barnes differentiated between engaging with different groups of ASM – those that are legally registered and working within formal processes versus those who are working informally or illegally. Government has a key role to play here as it is responsible for governing and regulating the activities of LSM and ASM and is therefore best placed to identify actors which should represent formal, informal and illegal ASM.

The third and final discussant was Benjamin Ayree, CEO of Ghana Minerals Commission. The Commission is the main promotional and regulatory body for the minerals sector in Ghana, responsible for regulating and managing the utilisation of Ghana’s mineral resources and coordinating and implementing policies relating to mining. Mr Ayree highlighted the importance of creating a business case for artisanal and small-scale miners for them to come to the table. Under-resourced operators need to be made clear of the economic opportunities for engaging in dialogue. Moreover, ASM won’t engage if it is perceived as illegal or illegitimate. The approach to bringing them to the table therefore needs to be integrated within a formalisation process that allows operators to feel like they are operating legitimately in order to take part. A stakeholder mapping should also therefore map the policy and institutional environment to see what initiatives a dialogue could work with to create this legitimacy and space for ASM to come to the table.

‘ASM operators are keen to engage where they feel you have their best interests at heart’ (Mr Ben Ayree)

Following these comments from the discussants, each table engaged in a 10-minute discussion on ‘who are the right players’ and ‘how do we bring them to the table. In plenary, a number of key points were raised.

Artisanal and small-scale miners and their representatives are the main stakeholders in a dialogue, yet the ones who are most difficult to identify. Local associations of miners at the mine site need to elect leaders who can represent them. There are also customary systems for identifying who should come to the table that should be respected and followed. It is important, however, to ensure this includes women and other marginalised groups. In identifying ASM, we need to think not just about the landowners and beneficiaries but the ecosystem, the financiers, buyers, traders, marketers etc. The chieftdom or mining allocation committee – those who give consent to mine – also need to be contacted.

‘If you have a legal framework that makes it legitimate for ASM to exist then they are

more likely to come to the table' (Christopher Sheldon, World Bank).

It is important to explain the dialogue process in a way that gives stakeholders confidence to engage. This needs to involve an element of trust building between stakeholders about moving forward, and not just looking back at past issues in a relationship. It is important to demonstrate progress and make clear the incentives of coming to the table.

The process also needs to recognise the political economy of mining at the moment, including issues such as resource nationalism – recognising that mining and other communities do not feel like they have benefited from mining. How can a dialogue process address that?

Engaging the managers of mining exploration companies and junior mining companies can be difficult. Yet these are important players and, according to the IFC, a stakeholder group particularly interested in ASM at the moment.

Governance of the dialogue process is particularly important. This is key in selecting who should be at the table – and it might be necessary to have ‘multiple tables’ before bringing the different stakeholder groups to the one table to capture a wider range of views and perspectives – and this should be a participatory process. Finally, enforcement is key. Bringing people to the table who are able to act on and enforce the solutions will be crucial to the success of the dialogue process. Recognising traditional structures within mining communities will be important in this.

*'We need people to provide perspective as well as enforcement'
(Berne Klein, University of British Columbia)*



What is the change those players would like to see?

The second question to the discussants was ‘what is the change those players would like to see’.

Ms Hinton highlighted an opportunity within the process of bringing people to the table to strengthen links between governments, miners and large-scale companies. Organising miners in this way will act as a catalyst for increased government accountability for the sector. A dialogue on these issues, she hoped, would lead to a genuine appreciation of ASM issues and ownership of the outcomes. Examples from Mongolia highlight the importance and effectiveness of improved lobbying and advocacy for ASM, which a dialogue process could help achieve through capacity building and organisation of miners.

Mr Barnes suggested that packaging information from forums like these could be just one benefit of coming to the table – to share experiences and make information and knowledge on the sector more accessible. It is important too that participation will not lead to compulsory burdens for the participants. More focus and engagement of landowners is important to improve accountability in the ASM sector, along with improved education and communication for communities.

Mr Ayree identified three key changes that he would like to see inform the dialogue outcomes: (1) increased capacity building of artisanal and small scale miners; (2) training of local governments and local authorities; and (3) viable economic opportunities for ASM.

Unfortunately there was no time for discussion on this question with the audience.

Next steps

IIED will take forward the findings from this discussion and engagement with other stakeholders to progress on identifying and bringing the right players to the table for a dialogue on ASM. IIED is currently fundraising for a mid-2014 start on this dialogue series, and the broader ASM Knowledge Programme. One dialogue series costs approximately £400,000 (US\$650,000).

IIED is currently working on a concept note that will provide further justification and basis for this initiative – targeting both donors and the business community on why they should engage with this issue.

Once funding is agreed, IIED will form a Dialogue Advisory Group of key sector stakeholders who will play a major role in determining the dialogue process going forward. We welcome advice and inputs on this.

IIED continues to engage with related and major international policy processes such as the IGF and OECD to promote the importance and need for better solutions to the LSM–ASM–government interface.

We welcome any feedback and comments, so please keep in touch (abbi.buxton@iied.org).

Annex: IGF ASM Day Agenda

Regional Meeting – Artisanal and Small-Scale Mining (ASM)

Wednesday, February 5, 2014

Location: Victoria & Alfred Hotel, Cape Town, South Africa

08:00	Breakfast
09:00	<p>Managing the Environmental Dimensions of ASM</p> <p>The range of environmental challenges posed by ASM, from well-known concerns over the use of mercury and other contaminants, to deforestation, to unstable work areas continues to be a challenging dimension of the ASM sector for governments. This panel will focus on the following key questions:</p> <ul style="list-style-type: none"> • What measures should be taken to make ASM less environmentally damaging? Which stakeholders need to be involved in making this happen/possible, and what are their perceived roles? • What are the key obstacles to moving ASM producers away from environmentally degrading techniques? • What can be done to make responsible approaches to ASM production more appealing to artisanal and small-scale miners? <hr/> <p>Presenters:</p> <p>Bern Klein, Acting Director General, Canadian International Institute for Extractives and Development (CIIEID)</p> <p><i>'Artisanal mining and effects on environmental quality'</i></p> <p>Philip Schütte, German Federal Institute for Geosciences and Natural Resources</p> <p><i>'Environmental Management in the ASM Sectors of Rwanda and Burundi: Progress and Challenges'</i></p> <p>Jon Hobbs, International Network Director, Extractives Sector, Worldwide Fund for Nature (WWF) International</p> <p><i>'ASM in Africa – the Policy Context'</i></p>
10:30	Coffee Break
10:45	<p>ASM-LSM (Large-Scale Mining) Interface</p> <p><i>Presenter:</i></p> <p>Nicholas Garrett, Director, RCS Global</p> <p>- <i>'ASM/LSM - Towards sustainable co-habitation'</i></p>
11:00	<p>The ASM-LSM Interface: Engaging in Dialogue</p> <p>The interface between ASM and large scale mining (LSM) is often characterised by conflict and distrust. The purpose of a dialogue series on ASM-LSM-government relations is to bring the parties around a table to build trust, develop a shared understanding of the problems they face, and facilitate collaborative solutions that achieve tangible changes in policy and practice. The questions we need to answer/are asking now are:</p> <ul style="list-style-type: none"> • How do we get the right players to the table?

- What is the change those players would like to see?

Presenter:

Abbi Buxton, Researcher, Sustainable Markets Group, International Institute for Environment and Development (IIED)

'The Parameters of a Dialogue'

Discussants:

Jennifer Hinton, Director, Auranda Minerals, Adjunct Professor, Carleton University

'The ASM Perspective'

Randy Barnes, Regional Vice President, Sustainability and External Relations, Africa Region for Newmont

'The LSM Perspective'

Ben Aryee, Chief Executive Officer, Ghana Minerals Commission

'The government perspective'

12:30 Lunch

13:30 Certification of ASM Minerals

Certifying the provenance of ASM minerals is increasingly important for both producers, who reap various benefits including higher prices, as well as down-stream users who wish to - or are legally required to demonstrate - that they are sourcing minerals from responsible producers and suppliers.

- How can ASM minerals be reliably certified?
- What are the primary obstacles to getting artisanal and small-scale miners into certification programs?
- How can certification be scaled-up and used to leverage further benefits for ASM producers?

Presenters:

Silas Sinyigaya, Democracy and Good Governance Program Officer, International Conference on the Great Lakes Region (ICGLR)

'The ICGLR Regional Initiative Against the Illegal Exploitation of Natural Resources'

Karen Hayes, Director, Mines to Market Programme, PACT

'iTSCi: Enabling conflict-free, ASM minerals from the Great Lakes Region to reach international markets'

Nicholas Garrett, Director, Better Sourcing Program

'The Better Sourcing Program and Standard - Ensuring Conflict Free and Transparent Mineral Supply Chains'

15:00 Coffee Break

15:30 ASM Standards and Performance

Experiences in the sector indicate that artisanal and small-scale miners often do not adopt new technologies/approaches/methods designed to improve performance in the ASM sector, even when access is not a barrier, unless there is tangible benefit for them.

- What incentives and/or legislative/regulatory measures are required for artisanal and small-scale miners to adopt new approaches and cleaner technologies for production?
- How can responsible approaches to ASM improve the lives and livelihoods of

ASM producers?

- What are the key barriers that prevent artisanal and small-scale miners from being responsible and sustainable? Capital? Technology? Organization? Market access?

Presenters:

Olivier Bovet, Senior Programme Manager, State Secretariat for Economic Affairs SECO, Switzerland

'ASM: More Shine With The Better Gold Initiative'

Tyler Gillard, Legal Advisor and Project Head, Organisation for Economic Cooperation and Development (OECD) Investment Division

'Building responsible ASM supply chains through stakeholder collaboration'

John Tychsen, Director, Development projects, Geological Survey of Denmark and Greenland (GEUS)

'How can governments Influence ASM Standards and Performance'

17:00

End of Day

Author information

This report was written by:
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About the event

The interface between artisanal and small-scale mining (ASM) and large-scale mining (LSM) is often characterised by conflict and distrust. Examples of successful engagement are scarce and short-lived. IIED is creating a safe and neutral space for companies, miners and government to build trust, shared understanding and solutions through dialogue.

IIED facilitated a session at the Intergovernmental Forum on Mining, Minerals, Metals and Sustainable Development's (IGF) day on ASM at the International Mining Indaba in Cape Town on Wednesday 5th February 2014. This short session explored the questions of how to bring the right players to the table for a dialogue and what is the vision for change in the sector.



Event
Materials

Sustainable Markets

Keywords:
Informal sector, mining, artisanal and small-scale mining



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