HIGHLIGHTS

State of the PPA
RESOLVE summarized the “State of the PPA,” including current membership, resources, and activities, as well as an analysis of the PPA’s achievements to-date relative to its Results Framework (slides 10-11).

Members reviewed prospective priority topics previously flagged for work in 2020 (Slide 14), and considered how work on each topic might support further achievements toward PPA objectives and desired outcomes (slides 15-23). While these topics remain of interest to members, members generally agreed that they do not wish to proceed with the small grants series previously envisioned for 2020, as available resources may be more efficiently leveraged for other endeavors such as PPA-led convenings or coordination on these topics. Planning for 2020 should also include further development of a monitoring and evaluation framework for PPA activities, including considerations such as gender sensitivities and equity in PPA-supported activities and learning and communication channels. (This may be an opportunity for coordination with OECD and EPRM.) Tracking and communicating about related work that PPA members are doing and funding may prove impactful by enabling closer alignment and coordination between members and by highlighting opportunities for full PPA action (e.g., aggregating common datasets, communicating about successes in responsible minerals trade, and more).

RESOLVE also reminded members of various opportunities to engage in PPA activities (slides 24-26).

PPA Delegation to DRC
Members discussed the forthcoming PPA delegation to DRC, planned for December 8-15 (slides 27-29). In reflecting on prior delegations, as well as opportunities in December, members flagged the following potential impacts and outcomes:

- Participation by businesses and civil society in meetings with regional government agents can help to reinforce the veracity and importance of messages about due diligence and transparency that may get less uptake when delivered solely by donor governments. These organizations can also speak more directly and address topics that may be too sensitive for state-to-state diplomacy.

- Many members conceptually understand challenges in the region, but observation and in-person engagement provides opportunities to more deeply understand local issues and nuances, including what incentives most motivate upstream actors and the solutions local stakeholders may find most valuable, and what competitors or disincentives create the most challenge for adherence to responsible practices.
• Given the recent political transition in DRC – and demonstrable interest by the new president on issues related to responsible minerals trade – there is a particular moment of opportunity to engage with the new administration and communicate about objectives, priorities, and investment.

Members indicated that they would be interested in observing or hearing observations from delegation participants regarding the following:
• Identification of actors to engage, and ideas on how the PPA could leverage or coordinate with existing programs and systems that are already in place to scale and maximize the PPA’s desired impacts
• Awareness by upstream actors of Responsible Minerals Assurance Program
• Perceptions from upstream actors and government about what is working and what isn’t relative to due diligence schemes and responsible sourcing schemes, as well as the challenges associated with implementing the adjustments requested by US and EU regulations.
• Insights from those in the artisanal mining sector about challenges and how to resolve them, as well as views on “competition” from the illicit sector and how to engage actors in responsible minerals trade
• Use of blockchain or other electronic assurance programs

Discussion also revealed interest in leveraging the delegation to help to “tell the story” of responsible minerals trade, capturing challenges, opportunities, success stories, and ambitions relative to responsible minerals, complemented by images as possible. Additionally, as connectivity allows, the PPA may wish to leverage social media (including shared use of hashtags) to raise awareness of the delegation’s experiences. Following the delegation, a webinar with all PPA members could share insights or lessons learned. Creation of a systems map, including parties interested in partnering, data inputs, and decision-making pathways, could also be a useful tool to scope as an outcome of the delegation and ongoing work.

Co-Creation with USAID
Members discussed and clarified objectives for an October 23rd session to “co-create” with USAID to explore opportunities for longer-term planning, action, and resources for the PPA. USAID will produce a separate report from that event.

Lightning Talks
Members had the opportunity to share 3-minute “lightning talks” to raise awareness about initiatives or recent outputs which may be of interest to other PPA members. Slides from ARM, Google, IPIS, and Solidaridad appear at the end of the Member Meeting slide deck. The University of Delaware shared supplemental content which appears after the slides. Following their verbal comments at the meeting, ICGLR, IMPACT, PAMP, RMI, and the University of Delaware also shared some short written comments, which are below. Additional verbal comments provided by Enough Project and Pact did not include visuals and are not represented here.
ICGLR

- The revised RCM Manual was adopted by ICGLR Member States at the 19th meeting of the ICGLR Regional Committee held in Burundi from 1st – 4th October 2019. The Conference Secretariat took the opportunity to thank all PPA members who actively participated in the 18 month revision process. ICGLR further informed that the next step was to carry out dissemination of the changes in Member States for amendment of their national legislations where RCM is implemented and effective implementation where it is yet to be implemented. ICGLR requested PPA members to continue to support efforts towards recognition of the ICGLR Certificate by downstream actors as the best way of supporting RCM implementation.

- The ASM Gold Strategy was adopted by the 5th meeting of ICGLR Ministers in charge of Mines in December 2018. An attempt was made to mobilize destination countries of artisanal gold from ICGLR Member States in the margins of the 13th Paris Forum with no success as destination countries did not show up. The implementation of the ASM Gold Strategy will not be effective unless all actors along the supply chains are fully participating, which is why ICGLR calls for PPA support to mobilize downstream stakeholders.

- Burundi launched issuance of ICGLR Certificate on 1st of October 2019; thus became the 3rd country to issue ICGLR Certificate after DRC and Rwanda. The next expected countries to issue ICGLR Certificate are Tanzania and Uganda as well as Zambia.

IMPACT

- IMPACT’s October 17, 2019 newsletter includes a focus on “Financial Inclusion/Breaking links to Predatory lenders in ASGM + Gender”, which may be of interest to members.

PAMP

- Downstream manufacturers must learn about the refining process in order to ensure that they are receiving the flow of material of their choice.

- Downstream manufacturers identifying what flows of material they want and the risks involved in regards to recycled vs mining material.

- Connecting upstream and downstream ensures all members of the supply chain are held accountable for each other’s reputation and brand.

RMI

- The New Fund: The RMI has created a fund for smelters and refiners to offset the costs of mine-level assessments in CAHRAs that are not already covered by an upstream assurance mechanism. The fund would support the following activities:
  - Smelters and refiners independently conducting due diligence on their upstream supply chains either themselves or with a consultant
  - Local suppliers of smelters and refiners to conduct assessments themselves
  - Local communities from which smelter and refiners source to build capacity to conduct the assessments and ongoing mine site monitoring
Financial assistance to industry associations, educational organizations, or other not-for-profits who are looking to develop or expand upstream assurance mechanisms into CAHRAs more broadly

- This fund is applicable to all minerals covered by RMAP / RMI. The fund is housed within the RBA Foundation. Companies can contribute to the fund at their voluntary discretion, and receive acknowledgement. To be eligible for use of the funds, smelters must first meet the RMAP eligibility requirements. Funds are available on a first-come, first-served basis, as resources are available. Each smelter or refiner may apply once per year, and receive up to $10,000. Funds will be made available once donation total reaches $50,000.
- Fund Donations: Please earmark your donation for the Upstream Due Diligence Smelter Fund. Donations to the RBA Foundation can be made via check or wire transfer. Contributing companies will receive a letter from the Foundation thanking them for their donation and support of RMI. Please note, the Foundation deducts 2% of the donation for operational costs. For more information or to make a donation, please contact Marianna Smirnova or Catherine Tyson.

University of Delaware

- The Minerals, Materials and Society (MMS) graduate certificate is one of the first of its kind in the United States to offer a for-credit graduate program aimed at industry, government and civil society professionals working across mineral and extractive supply chains.
- The program is designed with online offerings as well as on-campus and field course offerings.
- Online courses offered through the University of Queensland's Masters in Responsible Resource Development program
- Learn more here: https://sites.udel.edu/ceoe-mms/mms-graduate-certificate/
Public-Private Alliance for Responsible Minerals Trade

Jen Peyser and Taylor Kennedy
RESOLVE, PPA Secretariat

PPA Member Meeting
October 21, 2019
PPA by the Numbers

8 Years since PPA Phase I launch

42 Member organizations

11 Sessions bringing together ICGLR, member states, due diligence systems, supply chain actors, and civil society

$2M+ Total private sector contributions to on-the-ground activity

$35M+ Parallel funding by USAID
PPA Members

Supply Chain Actors and Industry Associations (21)

Acer
Apple
Boeing
Dell
Ford Motor Company
Global Advanced Metals
Google
HP
Intel
International Tin Supply Chain Initiative
KEMET
LG Electronics
Microsoft
Nokia
NVIDIA
PAMP MKS
Responsible Minerals Initiative
Signet Jewelers
Sony
Telefonica
Verizon

Civil Society and Other Organizations (16)

Africa Faith and Justice Network
Alliance for Responsible Mining*
Assent Compliance*
Diamond Development Initiative Enough Project
Global Communities
Global Witness
Heartland Alliance International
IMPACT
IPIS
Pact
RESOLVE
Responsible Sourcing Network*
Save Act Mine
Solidaridad
University of Delaware’s Minerals, Materials and Society Program*

Governments (5)

International Conference on the Great Lakes Region (ICGLR)
German Society for International Cooperation (GIZ)*
US Department of State
US Agency for International Development (USAID)
US Department of Labor

*Indicates organizations that have agreed to join the Responsible Minerals Initiative.
PPA Resources

• 2011 – October 2019: ~$2 million USD contributed by participants
• $673,750 available to grant
  o Have preliminarily set aside up to $125,000 to pilot test approaches to expand ASM access to finance (would leave $548,750.39 available for further granting.)
• Member expertise, networks, influence
• Secretariat implementation
**PPA OBJECTIVE**
Establishment (G) and scale-up (3TG) of efficient, impactful, and effective minerals due diligence and governance systems in the GLR to promote economically sound and ethical global supply chains.

**OUTCOME 1**
Increased alignment of industry operations and governance mechanisms to the OECD Guidance and ICGLR framework, to enhance efficiency of due diligence and related governance systems.

**OUTCOME 2**
Collection and socialization of high-quality independent data to identify key barriers to impactful due diligence and to measure progress (toward the goal statement).

**OUTCOME 3**
Testing and analysis of solutions to key barriers that are obstructing the establishment and effective performance and governance of due diligence systems.
PPA in 2019

• **April:**
  - Publication of PPA research on how financial institutions can better support responsible minerals sourcing
  - Presentation at OECD
  - 11th Alignment Session

• **May:** Request for information on responsible minerals challenges/opportunities in GLR

• **June – August:** Request for Initial Concepts on ASM finance / evaluation

• **October:** 8th PPA Member Meeting

• **December:** Delegation to GLR
PPA Impacts: Taking Stock, Next Priorities
OUTCOME 1
Increased alignment of industry operations and governance mechanisms to the OECD Guidance and ICGLR framework, to enhance efficiency of due diligence and related governance systems.

OUTCOME 2
Collection and socialization of high-quality independent data to identify key barriers to impactful due diligence and to measure progress (toward the goal statement).

OUTCOME 3
Testing and analysis of solutions to key barriers that are obstructing the establishment and effective performance and governance of due diligence systems.

Eleven Alignment Sessions
Two Member Delegations

IPIS - Data Collection at ASM Gold Trading Hubs
Levin Sources - Independent Closed-Pipe Assessment
IMCA Pilot

IMPACT - Early Work on Conflict-Free Gold
SAM – Hotline to Report Smuggling/Fraud
CENADEP – Building Civil Society Capacity in S. Kivu
COSOC - Awareness of Mine Demilitarization
Sofala Partners/BetterChain - Roles of Financial Institutions
TBD - Improving and Expanding Artisanal Access to Finance
## Areas of Most Activity

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Next: ASM Finance Pilot

- Pilot to test finance products or services to increase or expand access to finance for those involved in legitimate artisanal minerals trade of 3TG in the Democratic Republic of Congo.
Next: Promoting Member Learning, Upstream-Downstream Coordination

- In-Region Delegation: December 2019
- Additional PPA “alignment sessions” to identify and address possible solutions to technical and policy coordination gaps
2020: Prospective Priorities

- Addressing illegal/fraudulent taxation
- Improving artisanal miners’ access to formal/legal finance
- Child labor/livelihoods for young adults
- Capacity of government agents relating to due diligence
- Risk and incident reporting
- Women’s empowerment
- NGO technical/management skills
- Occupational health and safety
- Formalization and organization of artisanal miners
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### Ending child labor/Promoting young adult livelihoods

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Sub-outcome 2.1

Improved access to existing data to bolster due diligence, monitoring incident response, and reporting

Sub-outcome 2.2

Improved information on the impacts of due diligence to improve public and private action

Sub-outcome 3.1

Identification of key upstream barriers to effective due diligence systems and responsible minerals sourcing and sustainability

Sub-outcome 3.2

PPA members’ and partners’ influence, expertise, and resources leveraged to address barriers

Sub-outcome 3.3

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## Risk and incident reporting

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Engagement Opportunities
Participation Opportunities

Membership
• Participate: Member Meetings/Webinars
• Receive: PPA Updates
• Advise: via Funder Approvals, direct to GC reps or Secretariat, or ad hoc TG

Projects & Resources WG
• Volunteers advise GC
  o Project priorities
  o Project oversight
  o Communications planning

Governance Committee
• Selected to represent members in decision-making and Alignment sessions
• Funding recommendations
• Approve work plan and PPA documents
Participation Opportunities

- 2020-2021 Governance Committee
  - November 4 – 15: Self-nomination period
  - November 18 – December 6: Voting
  - December 11: New GC announced
- December 2019 In-Region Delegation
- Projects and Resources Work Group (ongoing)
- Evaluate Small Grant Series Concepts (early 2020)
- In-Kind Support
- Supplemental Contributions to Funding Pool
PPA Delegation
PPA Delegation Objectives

- Direct engagement, problem-solving with local stakeholders and supply chain actors;
- Learning about progress and challenges from stakeholder meetings and mine site visits;
- Assessing opportunities for scaling up RMT;
- Communicating PPA’s tripartite objectives and international due diligence principles to regional actors and leaders; and
- Vetting ideas for potential PPA grants to in-region organizations, to maximize value/impact of PPA grants.
PPA Delegation Itinerary

- **Kinshasa:** Planning session, GDRC and other stakeholder meetings (3 days)

- **Travel to Eastern DRC**

- **South Kivu:** Mine site visits (tin, gold), stakeholder meetings, supply chain actor meetings

- **Travel to Kigali** (home or additional site and stakeholder visits)
Member Perspectives

- Private Sector
- NGO
- Government
Discussion

• What types of communications/reporting could help promote alignment and inform PPA activities in 2020 and beyond?

• What do PPA members want to see, hear, and read about the delegation, for what purposes?

• What are other opportunities to leverage the delegation reporting and communications with external partners and other stakeholders?
  o Who are the key audiences?
  o What information or messages could support PPA objectives?
Co-creation opportunities
What is a GDA?

- Global Development Alliance – partnership between USAID and the private sector
- Core characteristics:
  - Based on complementary interests/objectives
  - Market-based approaches and solutions
  - Extensive co-creation and shared responsibility
    - Wednesday, October 23 workshop
  - Private sector contributions for increased impact
USAID-PPA GDA

- **Timeframe:** 2020 – 2022
- **Objective:** to support supply chain solutions to conflict minerals challenges in the GLR of Central Africa

- Guided by PPA Results Framework and multi-stakeholder member input via Governance Committee and work groups (e.g., PAR)
- Described in an initial draft “Annual Program Statement” (APS) submitted to USAID in July
Role of PPA Members in Proposed GDA (from APS)

- Contributing project funding;
- Engaging with, helping to influence leaders and stakeholders in the GLR on technical and policy challenges;
- Distilling lessons learned to inform future work;
- Supporting communications and outreach to RMT partners and stakeholders
- Providing technical expertise so activities are relevant to the market, sustainable over time, and achieve maximum supply chain engagement
Complementarity to USAID Development Objectives (from APS)

- Informing the work of USAID and its implementing organizations
- Providing financial contributions to enable additional project funding
- Collaborating in outreach to key actors and stakeholders
- Providing feedback to USAID on how regional interventions are impacting global due diligence
- Partnership with IPIS to produce data-based reports and maps of mining sites in Eastern DRC
## Notional Budget

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>3-YEAR TOTAL</th>
<th>% total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic Direction, Governance, Oversight</td>
<td>$147,423.04</td>
<td>5.1%</td>
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<tr>
<td>Planning, Management, Implementation of Priority Activities and Funded Projects</td>
<td>$2,407,174.77</td>
<td>83.5%</td>
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<tr>
<td>• Preparation/management of PPA grants, promoting in-region alignment work group activities, ODCs</td>
<td></td>
<td></td>
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<tr>
<td>• Project implementation (for grantees/researchers)</td>
<td></td>
<td></td>
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<tr>
<td>• IPIS conflict mapping</td>
<td></td>
<td></td>
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<tr>
<td>Delegation to GLR (2021 only)</td>
<td>$69,534.42</td>
<td>2.4%</td>
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<td>Member Engagement and Recruitment</td>
<td>$91,217.27</td>
<td>3.2%</td>
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<td>External Engagement and Communications</td>
<td>$113,809.51</td>
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<tr>
<td>Administration</td>
<td>$54,550.02</td>
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<td><strong>TOTAL GDA BUDGET</strong></td>
<td><strong>$2,883,599.04</strong></td>
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Lightning Talks
9% Average electrification rate across DRC

[1% rural areas]

Sources: Goldemberg 1996; Alstone, Gershenson & Kammen, 2015; Lee, Miguel & Wolfram, 2017
Reduce conflict
Increase clean energy
Increase alternative economic activity
Improve conservation outcomes
Funded:
Walikale, Idjwi, Ituri, Nyamurhale

Ready to Fund:
● Idjwi Island Expansion
● Walikale Expansion
● Platform development and communications
● Commitment to scale
  ○ Additional areas in gold + cobalt mining communities
CRAFT Code of Risk mitigation for ASM engaging in Formal Trade Committee

- Open-source, due diligence for development, connecting to markets
- Released CRAFT Code in July 2018, undergoing revision
- Adoption: Gems (PACT in Tanzania, group of jewelers in Sri Lanka), Cobalt (PACT, potential GBA), Gold (potential GEF, Solidaridad)
- References: OECD, LBMA, RJC CoP, RCS Bettersourcing, Gemfair ASM, Levin Sources
- Application by ARM: Burkina Faso (EU), Ghana & Philippines (ILO, Solidaridad), Colombia (EPRM, USDOL, SHIRM), Honduras (Lundin Foundation)

- Opportunities for pre-competitive collaboration, learning and impact reporting!
Fairmined

- Since 2014, **1.1 ton** of Fairmined Gold sold
- **1.643** small-scale and artisanal miners in **8** Fairmined certified mining organizations in various regions of Colombia, Peru and Mongolia (including CAHRA)
- **224** brands and **20** providers from **27** countries buy Fairmined gold
- More than **4.4** millions USD of Fairmined Premium invested by certified mining organizations
- Used by Better Gold Initiative and Solidaridad, SAM Project
- Revision of Fairmined Standard to make it more inclusive and impactful
Responsible mining territories

- Landscape strategy for clusters of mines in one territory: regions in Colombia, 2 Perú, 1 Honduras, 3 Burkina Faso
- Improvement plans with miners through CRAFT to Fairmined
- Local multi-stakeholder dialogue around practical barriers and opportunities, e.g. banking, due diligence
- Bottom-up advocacy with governments, from local planning to policy
- Research and case studies
- Women empowerment: association of female mining professionals, women artisanal miners, jewelry in certified mine, premium investments
Component 1: Capacity enhancement of mining cooperatives on ASM gold mines in South Kivu (CEGEMI)

Action: 1 week of Training in:
- due diligence, mineral trade and taxation, cooperative principles and law, financial management and administration, gender equality, technical prospection & extraction methods, environmental protection.

Funded by the European Partnership for Responsible Minerals (EPRM) For 2 years.
Component 2: Development of incident reporting and monitoring system in the ASM gold sector in South Kivu and Ituri provinces (IPIS)

Objective: Providing assistance to fulfill Steps 2 and 3 of the OECD Due Diligence Guidance: companies must “identify and assess risks in the supply chain” and “design and implement a strategy to respond to identified risks”

This project provides a transparent tool for incident identification, monitoring and follow-up

Methodology:
1. Villagers text a phone number to report incident.
2. Respondents answer different questions by SMS
3. Expert National CSOs in natural resources trained by IPIS and CEGEMI ensure the follow up of the incident reporting
Civil society organisations are actively involved in verification and follow-up at mine site level of reported incidents

Since November 2018: 270 incidents reported
25 million artisanal gold miners worldwide are women.
The Golden Line
WHAT THE PROGRAM IS ABOUT

2016 - 2020
GHANA & TANZANIA

Solidaridad
Simavi
Healthy Entrepreneurs

**IMPROVE** women’s working conditions and economic positions within gold mines

**INCREASE** women’s ability in mining communities to engage in economic opportunities

**Targets:**
- 30 artisanal gold mines
- 1,500 women miners
- 3,500 miners in total
- 5,500 women access to loans and skills to start own business
Thanks!

Contact Info for RESOLVE, PPA Secretariat

Jennifer Peyser
Senior Mediator
jpeyser@resolve.ngo

Taylor Kennedy
Senior Program Manager
tkennedy@resolve.ngo

Margaret Lee
Program Associate
mlee@resolve.ngo

www.pparmt.org
In response to the growing need for sustainable development training due to concerns about conflict minerals and post-carbon transition of communities, the Minerals, Materials and Society (MMS) graduate certificate equips students with the skills necessary to obtain jobs in the growing field of sustainability and corporate social responsibility management and to become world leaders and game changers in this arena.

Launching in January 2020 under the leadership of Dr. Saleem H. Ali, Blue and Gold Distinguished Professor of Energy and the Environment at the University of Delaware, the MMS program is among the first of its kind in the United States that takes an interdisciplinary approach to linking science and policy with environmental and socio-economic issues around extractive supply chains for all consumer industries of minerals, extractives and related materials.

PROGRAM HIGHLIGHTS

- 15-credit graduate certificate program
- Complete in 18-24 months
- Majority of classes offered online
- On-campus, 1-2 week intensive classes during summer and winter sessions
- Classes include Responsible Resource Development, Supply Chain Certification Systems and more
- Experiential learning opportunities with several international universities, including the University of Queensland’s Sustainable Materials Institute and Russia National University of Science and Technology

The MMS program brings together the University’s leading faculty resources to address environmental and social performance of various industries that have been expanding to embrace sustainability and responsible sourcing of natural resources.

Candidates for the MMS program include, but are not limited to:

- Mid-career energy and extractives industry and sustainability professionals
- Government officials and other civil servants
- Economists and scientists
- Graduating college students studying related disciplines
- Nonprofit, museum and jewelry industry professionals

FOR MORE INFORMATION

Patricia Syvrud
MMS Program Manager
psyvrud@udel.edu
(Mobile) +1-760-525-9393

Dr. Saleem Ali
(Office) +1-302-831-0871

https://sites.udel.edu/ceoe-mms/mms-graduate-certificate/

125 Academy Street, Newark, DE 19716 USA

Photos courtesy of PACTWorld and Laurent Cartier