MINING, MINERALS AND SUSTAINABLE DEVELOPMENT

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PROJECT STRATEGY

Discussion Draft

March 22, 2000

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EXECUTIVE SUMMARY

The Mining, Minerals, and Sustainable Development (MMSD) project is an independent process of participatory analysis with the objective of identifying how mining and minerals can best contribute to the global transition to sustainable development. The project has been initiated by the World Business Council for Sustainable Development (WBCSD) on behalf of the Global Mining Initiative (GMI). The project rests on three main pillars: first, an independent Work Group to implement the project; second, a multi-stakeholder Assurance Group to ensure quality and integrity; and third, a broad-based Sponsoring Group to provide financial backing. In December 1999, the WBCSD appointed the International Institute for Environment and Development (IIED) to manage the project. IIED has already produced a scoping document[1] which sets out the overall rationale and vision for the project that has already been approved by the WBCSD.

This document presents a first look at IIED's draft strategy for implementation and describes the project's structure, activities and expected outputs. It provides the basis upon which the contract and budget between the WBCSD and IIED will be finalised. It will also be used to inform all interested parties of the progress to date and begin the process of engagement. IIED is now involved in the start-up phase of the project and will - after in depth discussion with a variety of involved parties - present a detailed Project Work Plan by the end of May 2000.

The project's structure is made up of four key components: its objectives, phasing, IIED's overall approach, and division of tasks between IIED and regional partners. The four overall objectives are drawn from the scoping report (Section A.1). The phasing is conceived in four steps, with the current start-up activities ending with the finalisation of the Work Plan (Section A.2). The project's operational phase is already underway and will be completed with the presentation of a draft Final Report on 15 December 2001. Extensive dialogue and dissemination around the project results will follow, culminating in a conference under the auspices of the Global Mining Initiative, tentatively scheduled for June 2002. Possible implementation strategies would be an early priority for study and discussion, but application of any steps which were agreed on would presumably take place starting with the presentation of the Final report.

In terms of its approach, IIED will manage the MMSD project as an open and independent process (Section A.3). Both the Work Plan and the project itself will be based on the consultation and engagement of stakeholders and leading experts, as well as the impartial analysis of existing knowledge, priority issues and possible solutions towards sustainable development. The project envisaged is also highly collaborative, designed to rely to the greatest possible extent on past achievements and existing efforts, as well as to build active and robust cooperation with other institutions. Finally, IIED views the project as a decentralised process, in which a large part of the activities will be carried out within an agreed overall framework by regional institutions in the world's

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[1] This document may be viewed on IIED's web site at *www.iied.org/mmsd/*

prinicipal centres of mineral production and consumption. As a result, a suggested breakdown is provided of the division of key tasks between the core team at IIED and regional partners (Section A.4).

While a substantial part of the funds necessary to develop the vision expressed in this document have been secured, efforts to obtain the full financial backing to ensure its complete elaboration are still underway. We anticipate that development of more concrete designs for the project execution will assist in securing this backing.

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

- **Research and Analysis.** A focused programme of research and analysis to advance understanding of priority issues (Section B.1).

- **Stakeholder Engagement.** An ambitious programme of engagement with stakeholders both regional and globally (Section B.2).

- **Information and Communication.** An ongoing programme of communication with interested parties regarding goals, processes and the key outputs (Section B.3).

- **Implementation.** A consensus-based programme for voluntary implementation by a variety of stakeholders of the project results (Section B.4).

In each case, these activities will be carried out at the global and regional levels, in line with IIED's aim to decentralise the project.

Certain activities will take place at the global project level. Others will take place at a regional level.

These activities will produce a set of concrete outputs (Section C.1). IIED's goal is that these outputs are broadly recognised as emerging from a fair and transparent process and produced to high standards of analytical rigour, and represent a shared outcome of a range of stakeholders, rather than the views of one group or indeed simply of recognised experts.

The first set of outputs will involve the rolling identification of key priorities and actors. Building on this, the project will also produce a series of mechanisms for stakeholder engagement and capacity strengthening, including the Assurance Group and a series of regional consultative bodies. A range of analytical outputs are foreseen, including the publication of literature reviews, research reports as well as the draft and final report of the project itself. Finally, the project will generate processes for onward implementation, including the agreement of mechanisms for review and follow-up on a voluntary basis with specific stakeholders.

This draft Project Strategy marks the first milestone in moving from the general vision contained in the Scoping Document to a detailed framework for action. Between March and May, a number of steps will be taken to further refine the proposals so that they can form a detailed Work Plan for presentation to the Sponsoring Group, including:

- Holding a Strategic Planning Workshop to define the project's research agenda.

- Establishing the Assurance Group core and holding its first meeting.

- Identifying key regional and other project partners.

- Finalising project activities and the budget with the Sponsoring Group.

Part A – PROJECT STRUCTURE

A.1. <u>Project Objectives</u>

The overall goal of the Mining, Minerals and Sustainable Development project is to:

"identify how mining and minerals use can best contribute to the global transition to sustainable development"

This is broken down further in the Scoping Report into four objectives:

- First, to assess global mining and minerals use in terms of the transition to sustainable development. This will cover the current contribution - both positive and negative - to economic prosperity, human well-being, ecosystem health and accountable decision-making, and the track record of past practice;

- Second, to identify how the services provided by the minerals' system can be delivered in accordance with sustainable development in the future;

- Third, to propose key elements for follow-up on how to improve the minerals system; and

- Fourth - and crucial for long-term impact - to build a platform of analysis and engagement for ongoing cooperation and networking between all stakeholders.

In Part B, these objectives are translated into specific aims for the project's four key activities: research, engagement, communications and implementation.

A.2. <u>Project Phasing</u>

The project was initially designed as a two-year programme starting in December 1999, culminating in 2001, covering two main stages: project start-up and project operation. Two further phases have been added: project presentation and project implementation.

Phase I: Start-Up

This phase is already underway, and this document constitutes an important milestone in its accomplishment. Phase I consists of (a) development, through a series of iterations – of which this Strategy forms the first - of a detailed Work Plan to guide the administration and operation of the project; (b) informal consultation with key stakeholders in the process of Work Plan development; (c) a Strategic Planning Workshop to be held in early May, 2000; (d) careful review of the draft Work Plan by the project's Assurance Group; and (e) finalisation of the plan and its submission to the Sponsoring Group via the WBCSD by the end of May 2000.

Phase II: Operation

This phase is also underway. It consists of (a) identification of the internal and external resources necessary to implement the Work Plan, and contracting or acquiring them; (b) implementation of the Work Plan; (c) the production of a series of interim outputs; and (d) the presentation of the draft Final Report, on or before 15 December 2001.

Phase III: Presentation

Beginning some time prior to the submission of the draft Final Report, there will be a programme of dialogue and dissemination to generate a final document - as well as other possible ancillary materials which explain or summarise it, including video presentations, condensed versions, and other materials - for presentation at an industry-organised conference, tentatively scheduled for June 2002. The MMSD report will be a major component of this event so as to ensure maximum follow-up. During this period, there will also need to be a concentrated effort to explain publicly and privately its conclusions and the process through which they were developed, in order to ensure that key actors understand its rationale and importance.

Phase IV: Implementation

The project's credibility for many stakeholders depends heavily on their belief that there will be some concrete process of change following the presentation of the Report. Perceived lack of follow-up on some past processes is a principal concern about committing time and energy to this project. We have no doubt therefore that the development of and commitment to a follow-up process is necessary to the success of this endeavour. Exactly what that process should be, and how it can be complementary to, rather than duplicative of, other processes, will need to be looked at carefully, in close consultation with key actors, starting early on in the Project. That there should be some such process we have no doubt.

At present we envisage as one of the central outputs of the project a set of clearly defined and voluntary processes, developed by consensus, by which companies, governments and other actors could implement its findings. These processes could involve, at a minimum, institutions committing themselves to examine and react publicly to the report and its conclusions. The processes would necessarily be voluntary. Each actor would determine which parts of any conclusions were appropriate and applicable to it. An agreement to implement some or all of the conclusions of the report could however incorporate both specific timelines for implementing the measures defined, as well as periodic independent review of progress. Implementation is described in more detail in Section B.4 below.

A.3. <u>IIED's Approach</u>

IIED is committed to making the MMSD an example of broad-based stakeholder engagement, impartial analysis and collaborative partnerships with other institutions across the world. We perceive that we were selected for the role of managing the project as a result of our substantial experience in advanced research and analysis related to sustainable development. In particular, IIED has managed a similar process to understand the sustainable development challenges facing global paper production and consumption: the final report, *Towards a Sustainable Paper Cycle*, was published in 1996 and details are available on *http://www.iied.org/enveco/p_paper.html*. But we also understand that IIED's selection may have occurred at least in part because, not having been a centre of mining and minerals research in the past, IIED has a certain degree of independence and separation from past debates, positions, and advocacy surrounding a very controversial set of issues.

To be successful, the project must attract a high degree of cooperation from the wide range of institutions - government, corporate, academic and civic - with specific expertise and experience in the vast and complex set of issues related to sustainable development in minerals production and consumption. The project will need to rely to the maximum feasible extent on past achievements and existing efforts in the field.

While a number of the leading networks or centres of research, analysis and policy formation in different components of the mineral cycle are clearly identifiable, others are not. One of the early efforts of the project, in collaboration with other components of the Global Mining Initiative, will be an effort to broaden our contacts with existing centres and networks, and seek more active collaboration with them.

IIED is also committed to finding ways to use this project to identify, involve and in the process strengthen existing centres of research, dissemination of information, education and training related to mining and sustainability, particularly in developing countries. It is not our intention to attempt to become a permanent centre of mining related research and dissemination beyond the scope envisaged by this project.

Furthermore, while it will be managed by a core staff headquartered in London, the project is conceived as a decentralised effort, with a great deal of the work managed by regional institutions in the principal centres of mineral production and consumption. IIED has a strong tradition of collaborative research and will ensure that the project is managed on the principles of partnership. Each of the regional centres will not only manage its portion of the project, but also feed into the overall results and outputs. The centres will also be able to incorporate lessons learned during the project into their own ongoing activities of research, education and training, stakeholder dialogue and related activities.

Thus, one product of the project will be strengthening of institutions capable of carrying on and deepening its work at the regional level in Phases III, IV and beyond.

A.4. <u>The Division of Tasks</u>

The project will be managed by IIED in collaboration with a number of regional organisations and other centres of excellence. The division of tasks between IIED and its regional partners will be organised in the following way.

A.4.1   <u>Organisation of the Project at IIED</u>

The core team based at IIED will be responsible for the following key tasks:

- Administering the project in terms of finance, organisation and outputs;

- Coordinating regional and other project partners

- Liaising with the WBCSD and Project Sponsors

- Organising meetings of the Assurance Group

- Managing the overall process of stakeholder engagement, regionally and internationally

- Carrying out a review and gap analysis of existing knowledge and literature

- Delivering the programme of research and analysis, including a range of interim reports and working papers

- Communicating the project's aims, activities and results to key audiences on a regular basis

- Establishing an accessible network of knowledge resource centres on mining, minerals and sustainable development

- Delivering the draft and final Project Reports on time and on budget

- Encouraging actors to implement the project findings

- Exploring options for follow-up and onward engagement

To deliver this programme, current plans are that the following full- or part-time staff will be part of the core team in London:

Project Director: The project's overall Director, Luke Danielson, reports to the Executive Director of IIED.

Assistant Project Manager. This junior professional will report directly to the Director and will be charged with assisting the Director in all phases of project management as assigned by the Director.

Coordinator of Stakeholder Engagement: This senior staff member will report to the Project Director, and will be directly in charge of ensuring implementation of all elements of the project's engagement process.

Research Manager: This senior level professional will report to the Project Director, and will be directly in charge of ensuring implementation of all elements of the project's research programme.

Information Officer: This professional, reporting to the Assistant Project Manager, will be charged with the internal information organisation (eg database management, cataloguing, resource centre development) and the projection of the project's aims, activities and outputs to a wide external audience.

Junior Research Fellows. These junior researchers will be charged with a range of research tasks, and assisting the Project Rapporteur in development of the Final Project Report. They report to the Research Manager.

Project Rapporteur. The Project Rapporteur will be charged with the overall development of the final Project Report, in coordination with other project staff. This senior level professional reports to the Project Director.

Project Administrator. The Project Administrator will report to the Project Director, and is tasked with all phases of project administration, including budget, funds management, personnel issues, and contracting and contract management.

Administrative Assistant/PA: The project will have an Administrative Assistant/PA who will report to the Project Administrator.

A.4.2   Organisation of the Project at the Regional Level

As outlined above, the project will involve contracting 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.

While we would prefer for administrative reasons that all these functions be centralised in one institution in each region, it may not be possible to achieve this in all cases. We would be open to working with consortia of regional institutions or such other structures as may be appropriate to meet the needs of specific regions.

Part B – PROJECT ACTIVITIES

The project will be composed of four basic activities, which will be woven together in a dynamic and integrated process to produce a number of concrete outputs. These four activities are:

1. **Research and Analysis**. A focused programme of research and analysis, designed to synthesize existing knowledge, identify gaps, to target research at these gaps, and in the process to increase understanding and the accessibility of key materials to a wide range of stakeholders.

2. **Stakeholder Engagement**. An ambitious programme of engagement with stakeholders globally and regionally in the world's principal mining and mineral consuming regions.

3. **Information and Communication**. An ongoing programme of communication with all interested parties regarding the project's goals, its process and the key outputs.

4. **Implementation.** A consensus-based programme of implementation, designed to provide a clear and disciplined set of mechanisms for the adoption by a variety of stakeholders of the project results.

Each of these four elements is treated in more detail in the sections which follow.

B.1. <u>Research and Analysis</u>

The project will carry out a focussed programme of applied research and analysis. The programme will be designed to identify and synthesize existing research and information, identify any gaps and target research at these areas to increase understanding. In the process, we will also develop a research agenda for future action and increase the availability of key materials for stakeholders in the world's principal mining and mineral consuming regions.

It is clear that there is a great deal of research available on topics related to mining, minerals and sustainable development. It is in no sense our goal to duplicate this. Indeed, we hope to assist to strengthen existing institutions and networks to help them maximise the value of their work. But much of this information is difficult to access, especially in developing countries, or only available in certain regions or countries. The project intends to work to support the broader availability of such information at the regional levels.

B.1.1 <u>Research Objectives</u>

The research and analytical programme will have six main objectives:

- **Evaluate the existing knowledge base**. The research programme will undertake a broad evaluation of the current knowledge base on sustainability issues related to minerals production and consumption, taking maximum advantage of existing databases and bibliographic material, at both the international and regional levels. This review will identify gaps in the existing knowledge base where new research can advance understanding and overall project objectives.

- **Advance understanding**. The programme will commission original research to tackle the critical gaps identified, and synthesize this with the existing knowledge base in order to provide an assessment of current mineral production and consumption in terms of sustainable development and to suggest the conditions for future sustainability.

- **Inform and respond to stakeholder engagement**. The research programme will aim to both inform the process of stakeholder engagement and respond to issues and priorities that emerge from that process, particularly from the regional fora.

- **Identify best practice**. Through review, new research and case studies, the programme will identify best practice from all stakeholders with a view to wider dissemination and promotion.

- **Develop an agenda for future research**. The Project Report will then lay out an agenda defining future research priorities for the implementation phase.

- **Improve access to information**. Finally, the research programme will aim to make key materials easily accessible to all stakeholders through a combination of electronic media and regional resource centres.

B.1.2. Phasing of the Research Programme

The timing of the Project Report and the long lead times typical of original research are critical factors in determining the phasing of research activities into four phases. Any new work designed to produce results in time to inform the Project Report will necessarily have to be commissioned very promptly

B.1.2.1 Literature reviews

It is hard to avoid duplication of effort, or to identify gaps in existing knowledge, without a comprehensive review of existing knowledge, research and analysis. In some cases, this kind of review is already underway under other auspices. In those cases, we intend to draw on these results. In addition, Junior Research Fellows will be employed to prepare overviews in a number of key areas of mining and mineral use. The regional partners will also review literature in their regions. The key areas will be defined by our internal staff, in the initial Strategic Planning Workshop described below, and by our Assurance Group. Key goals include hiring at least one and preferably two junior researcher fellows by May, and developing the basic list of tasks by early June.

B.1.2.2 Baseline research studies

Given the limited time available for research to be conducted and finalised, decisions to commission studies must be taken in the next several months. We intend to convene a Strategic Planning Workshop in May, at which a limited number of leading experts will be asked to help us define such priority research tasks. The resulting Research Agenda will then be reviewed by our Assurance Group in May. We hope to commission the first studies in this group by the beginning of July.

B.1.2.3 Responsive research studies

In addition to the baseline research, priority issues will also emerge as gaps from the review of the knowledge base and from the stakeholder engagement process. As a result, the project will maintain a research fund to investigate critical issues on a timely basis.

B.1.2.4 Agenda setting

The project will synthesize the results of these research activities, and the stakeholder engagement process, and will in consultation with the Assurance Group, develop an Agenda for future research toward sustainability in mineral production and consumption, which will be included in the Project Report.

B.1.3. Elements of the Research Programme

B.1.3.1 Research at the Project Level

At the project level, the research programme will have the following elements:

- **Assurance Group**. Our global Assurance Group will review our initial research agenda and all other significant proposals for funding research by the project, will assist in synthesizing and reviewing the draft project results, and in developing the agenda for future research which will form part of the Final Report.

- **Research Workshops**. The project will conduct a series of Research Workshops to help set its research agenda and evaluate research during the project. We envisage these as being generally relatively small (8-10 attendees) and generally limited to specific topics or issues. The exception will be the initial Strategic Planning Workshop which is designed to guide the knowledge review and develop the agenda for baseline research studies. This will necessarily be broader in scope.

- **Research Manager**. The project is in the process of advertising for and hiring a full time senior level professional, who will report to the Project Director, and who will be directly in charge of ensuring implementation of all elements of the project's research programme. Our objective is to have this position filled by the end of Phase I.

- **Research Fellows**. The project is in the process of contracting at least one Research Fellow, who will report to the Research Director. Our objective is to have at least one such position filled by the end of Phase I.

- **Consultants.** Finally, we may engage consultants periodically to help in the review of existing literature and in its synthesis.

B.1.3.2 Regional research

The project will also include a strong component of regional research work. This research will have two basic components: (1) research conducted in support of the overall project objectives set in consultation with the Assurance Group, and (2) research in support of any regional objectives identified in the regional consultation process.

- **Regional coordinator**. The project intends to identify in each region an institution capable of serving as the regional coordinator for the research programme outlined above. The project would then contract this regional institution for support in elaborating the defined research activities. Among the activities to be contracted would be the regional component of the overall literature review, the conduct of other specific research as agreed, or its contracting to third parties, and general dissemination of research results and products of the project on a regional basis.

- **Research in support of overall project objectives**. A certain amount of the research needed to meet overall project objectives will be conducted at the regional level. Much of the critical information about sustainability in current mining, mineral processing and consumption cannot efficiently be gathered from a central location. There may also be a report. The project anticipates directly funding these types of

research, with the regional partner either conducting the research itself, or contracting it within the region to third parties.

- **Research in support of regional objectives**. A fundamental project objective is to create an organic interaction between the stakeholder engagement process and the research process, at both the global and regional levels. The regional stakeholder engagement process will identify regionally important research objectives. The project intends to identify a "seed money" or matching funds mechanism for supporting these objectives, within the overall framework of the project. The long-term continuity and further development of these themes will require the mobilisation of regionally based and other funding sources external to the project.

B.2. <u>Stakeholder Engagement</u>

Powerful differences exist among key actors in terms of their access to information, individual and group interests, values and goals in relation to mining, minerals and sustainable development. Even the best and most objective research and the most insightful conclusions will have limited value if they are not broadly accepted as legitimate, and are seen to have been reached as the result of a fair and transparent process.

Moreover, many actors vitally concerned with mineral production and use lack efficient and effective means of communication with other stakeholders on issues of clear mutual interest. While some notable efforts have been made on a national level, or around specific mineral products or sustainability concerns, there is a lack of adequate platforms for engagement on vital issues. And if a more sustainable world is everyone's business, everyone must have a chance to participate in the dialogue and the structures within which it can occur.

IIED views the creation of such structures – nationally, regionally and globally - in forms which are capable of being carried forward after the project if the various actors so desire as an important and valuable output of MMSD.

B.2.1. <u>Objectives</u>

In the context of this project, the engagement process has five objectives.

- **Support and legitimize the research agenda**. A report prepared in isolation by even the best experts will simply be the informed views of those experts. As such, it would be hard to distinguish from other reports done by other experts who may have different views or emphases. Further, some groups of actors have been much more successful in getting research funds directed to their issues of concern than have others. One objective of the engagement process is therefore to ensure that the

research commissioned by or as a result of the project addresses the priority concerns of the diverse groups of actors affected by and concerned about the mineral cycle.

- **Promote project independence and credibility**. This project cannot achieve its objectives if it is widely perceived to be serving the interests of, or responsive to, a limited group of actors. That means that there must be access to the process by all significant groups who perceive themselves as having an interest in the way minerals are produced and consumed. Ensuring that access on a continuing basis is a fundamental goal of the engagement process.

- **Create a constituency for change**. Real change toward a more sustainable future cannot generally be achieved solely by experts, or by any one sector acting alone. Proposals for change are more likely to be successful if the rationale for them is understood in depth by a variety of interest groups who have had a hand in shaping them, feel their interests have been honoured in the process of development of the proposals, and see the vital importance of advocating them. The project aims to become a major step forward in the development of mutual expectations on both the global and the regional levels.

- **Build a durable platform for effective dialogue.** This project does not set out to solve the vast array of issues involved in the sustainability of mineral production and consumption. But it can be an important start in helping the concerned actors to define key issues together and then create a fair and efficient platform – or more usefully and realistically a set of platforms – in which relationships can be built, value created, and progress made on building a more sustainable future. Catalysing the development of these structures, starting with the immediate needs of the project, but with the door open to their continuation if the various stakeholders decide they want that, may be one of the most important products of this project.

- **Develop incentives for best practice**. Previous research has documented a number of creative and interesting cases of best practice in minerals production and consumption. But there are no mechanisms to agree on what constitutes best practice in all areas, and often few incentives or rewards for achieving it. A key objective of this project, described below, is to create a rigorous, robust mechanism for following up and where appropriate adopting outcomes defined in the course of the project. To be effective, this process must follow the same principles as the rest of the elements of the project: the transparent and effective engagement of all affected parties. This is the final objective of the engagement process.

B.2..2 <u>The Engagement Process</u>

The project intends to engage stakeholders on three levels: first, at the level of the overall conduct and operation of the project; second, at the regional level in several of the important mineral producing and consuming regions; and third, on an issue level, focussing on several of the most difficult strategic issues inherent in moving towards sustainable development.

In doing so, there will be constant attention to the need to integrate the engagement process with the research process, so that research becomes guided by, and in turn informs, the process of engagement.

B.2.2.1 Engagement at the Overall Project Level

At the project level, the engagement of external actors will have the following elements:

- **Sponsoring Group:** The MMSD aims to attract a broad range of sponsors from the corporate, public and independent sectors. Regular presentations and reports to the Sponsoring Group will be a primary way of understanding the concerns and priorities of these stakeholders.

- **Assurance Group:** IIED, together with the Project Coordinator and the WBCSD is establishing a global Assurance Group, made up of leading individuals with the task of promoting the project's quality and integrity: their roles and functions are described in more detail in the scoping document. This Group will be balanced regionally, in terms of expertise, and in terms of responsiveness to the concerns of the many different stakeholders affected by the mineral production and consumption cycle. We anticipate that the Group, to meet these objectives of balance, will ultimately be composed of between 20 and 25 individuals.

In the formation of the Group, we are conscious of two conflicting objectives. On one hand, to be as broadly representative as possible of the very diverse stakeholder concerns around the world, it would be ideal if this Group were to be formed slowly as stakeholder issues emerged in the project's regional work, and able, energetic individuals with a commitment to active participation were identified.

On the other hand, we are committed to a strong stakeholder role starting at the early stages of project development, which will be most difficult to achieve without the robust stakeholder presence which the Assurance Group is designed to provide.

Our intention is therefore to form the Assurance Group in March 2000, with approximately half of its ultimate membership, leaving room to bring in additional members as awareness of the project increases and appropriate candidates become identified by stakeholders. The first meeting of the Assurance Group will be held in May 2000 to approve the Work Plan.

- **Coordinator of Stakeholder Engagement**. The project is in the process of advertising for and hiring a full time senior level professional, who will report to the Project Director, and who will be directly in charge of ensuring implementation of all elements of the project's engagement process. Our objective is to have this position filled by the end of Phase I.

- **Consultants**. We have engaged and will continue to engage consultants periodically to help in the review and development of the engagement process. The key role of the consultants will be to ensure that we are continuously evaluating and improving our performance and are incorporating the best possible measures to insure meaningful and satisfactory engagement of the many external actors interested in sustainability in the mining and minerals sector.

- **Web-site and bulletin**. As described in Section B.3, the project will have a web-site which it will use to inform all interested parties of its activities. A bulletin will also be sent electronically on a periodic basis to as broad an array of interested individuals and institutions as possible.

B.2.2.2 Regional Engagement

The project will also include a strong component of stakeholder engagement at the regional level. We anticipate holding a meeting (or forum) in potentially six of the principal mineral producing and consuming regions. We also anticipate the formation, perhaps coming out of the Forum, of a broadly representative regional body (or council) in each of these regions. Consistent with our goal of decentralisation of the project, a regional institution in each region would be contracted to coordinate this process. Finally, the project will provide technical support to these regional processes as requested by the regional actors.

While the project will support some of these elements, particularly in the initial phases, their continuation and evolution will eventually require the development of regionally-based or other funding sources at the project end.

- **Regional meetings**. The project intends to hold, in cooperation with regional institutions contracted for the purpose, approximately six regional meeting in principal mineral producing and consuming regions of the world. Each meeting (or Forum) will be designed to engage a significant number of diverse stakeholders in support of the five objectives of the project's engagement process as outlined above. This is an integral part of Phase II of the project.

In addition, we anticipate that each of these events may have further outcomes. First, out of each may come identification of a core group which can form the basis of a regional

Consultative Council which will have an ongoing role in advising the project in conjunction with the global Assurance Group. Second, these events could serve to identify appropriate participants in the global conference planned for June 2002 under the auspices of the Global Mining Initiative.

The design of these events will need to combine clear general guidance to ensure that they are supportive of the overall goals of this project and significant flexibility to ensure that they can effectively address the issues as seen from the regions. Therefore, precise definition of the regions, and the structure of these events must await discussions with the regional partners, our Assurance Group and other stakeholders.

These events could be preceded - and indeed, followed-up - by meetings of stakeholder subgroups. Again, this is also a matter to be decided on a case by case basis in consultation with our regional partners. The first of these events will be held by the end of September 2000, and all should be concluded by the end of July 2001.

- Regional consultative bodies. The global Assurance Group will, by its size limitation and its broad focus, not be an easy place for discussion of highly important regional issues, nor diverse enough to ensure that all stakeholders have as broad a means of access to the project as is desirable. The regional meetings, while important, will by nature be one-off events.

Therefore, to have a broad enough base for engagement, the project has a need for the creation of regional consultative bodies (or Councils) with longer duration, offering the opportunity for deeper engagement. We therefore propose to encourage the formation of regional bodies of perhaps twenty members who would continue to support the project during Phase II. This role would include, in addition to the general objectives of the engagement process, a role in review and comment on the draft Final Report. There may be other potential roles for these bodies in Phases III and IV of the project, or in other activities directed to sustainability in mineral production and consumption.

In regions in which fora are not held, the project may examine other ways to form such structures.

- Regional coordinator. The project intends to identify in each region an institution capable of serving as a regional coordinator for the process as outlined above. Criteria for selecting such institutions will be elaborated in the Work Plan but will include commitment to a regional, not simply a national process; acceptability to all stakeholders; capability to carry out this demanding task; and sustainability in terms of providing an ongoing home able to make use of and build on the information and experience gained in implementation of the project.

The project would then contract this regional institution for a range of activities, including the organisation of the regional forum and acting as a secretariat for the consultative body. The coordinator would also be charged with disseminating information on the stakeholder engagement process in the region, identifying individuals and organisations who should receive the project bulletin and providing a mechanism for regional actors to submit comments, ideas and suggestions to the core team at IIED.

- Technical support. In dialogue with the regional partner, IIED's Coordinator would identify any areas in which technical support was necessary, desired by the regional partner and useful in achieving project objectives.

B.2.2.3 Engagement on Strategic Issues

Many of the critical sustainable development issues facing mineral production and consumption are global and cut across different regions. As a result, we anticipate that a number of strategic issues will emerge from the research agenda and the regional stakeholder processes. The project therefore envisages two mechanisms for dealing with such issues.

- **Workshops.** The project will organize a limited number of research workshops to bring together experts, as described in Section B.1.3.1.

- **Stakeholder processes**. On some particularly critical issues, it may be appropriate to organise broader meetings, in which stakeholder groups from different countries can engage to discuss, define, and attempt to advance understanding of, strategic issues. As with the regional engagement processes, platforms for future engagement on these priorities could also emerge.

B.3. <u>Information and Communication</u>

The success of the project is critically dependent upon its ability to communicate its objectives, activities and its progress to a wide variety of constituencies around the world. The project intends to produce results important to a variety of actors, and those results will have limited value of they are not timely and widely disseminated.

The information and communication element of the project will consist of the following elements dealing with internal and external information and communications activities:

- **Information Officer**. The project will have a Information Officer, charged with managing the development and maintenance of the project website, developing and maintaining a database of contacts, producing and disseminating the project bulletins,

and otherwise ensuring broad, accurate and timely dissemination of information about the project and its activities.

- **Database**. The project will build - or obtain from existing sources - a comprehensive database of institutions, companies, research centres, individuals and others concerned with sustainable development in mining and mineral consumption. The database will be used for project purposes but will be made available to interested parties for noncommercial purposes. As regional partners are identified, management of regional portions of the database may, if appropriate, be transferred to these regional institutions.

- **Website**. The project has already started development of a website, the preliminary version of which can be seen as *www.iied.org/mmsd.* IIED will use this site as a primary vehicle for communication regarding project activities, the dissemination of research results and updates on project status. The website will also be designed as an interactive device with a provision for submitting ideas, suggestions, or comments to IIED.

- **Project bulletins**. The project will produce and distribute periodic bulletins to inform interested parties about its activities, plans, and progress. These will be distributed to those on the project database, and any other persons who request it.

- **Knowledge base**. Research and analytical materials collected and catalogued during the project will be made available to interested parties through the website, in written form, or, if appropriate, as compact discs. During the course of the project, consideration will be given to the rationale for and feasibility of a network of regional resource centres to maintain and update this information after Phase II is completed

- **Research outputs.** As the project generates individual research outputs - including the Final Report - these outputs will be distributed as appropriate through the website and other means.

B.4 Implementation

The project intends to distinguish itself from many other study efforts by building in an implementation component from the outset. This component will be consensus-based and voluntary. As such, its success will depend heavily on the early engagement of the stakeholders involved in design the phase. Design of a potential system would be a part of Phase II of the project. Its actual announcement and implementation would be part of Phase IV.

Although it is inappropriate at this stage to provide a detailed structure, the following principles may be useful in suggesting how such a process could be developed:

- **Voluntary participation**. Participation on the part of any institution would be voluntary.

- **Development of process**. It is unrealistic to believe that institutions will agree in advance to adopt project recommendations without knowing what they will be. The initial commitment would therefore be to a process, not to substantive actions.

- **Public response**. Participants would agree to respond publicly to the Report and its conclusions, identify elements they deemed inapplicable inappropriate, or duplicative of what they are already doing, and provide a plan for implementation of those elements to which they agree.

We propose that the definition of the implementation component begin with a workshop for mining industry stakeholders in the fall of 2000, and that this dialogue subsequently be expanded to include other stakeholders in the discussion. The aim would be to have a clear outline of the proposed process as it might apply to mining companies and other stakeholders, eg international institutions, government agencies and NGOs, developed by late 2000.

PART C – EXPECTED PROJECT RESULTS

C.1 <u>Outputs</u>

IIED intends to produce a package of concrete outputs. These would include interim outputs generated during the course of the project; outputs produced at the end of the project; and dynamic outputs that could have a life beyond the project in the implementation phase. These outputs will be designed to achieve change, and move the sustainable development agenda forward. One way in which these outputs could break new ground is the extent to which they are regarded as shared products by a range of different stakeholders.

The first set of outputs will involve the rolling identification of key actors and priorities:

- **Identification of key actors**. In the course of the project, IIED will identify the critical actors involved in work on mining, minerals and sustainable development and the types of activities being carried out by each. IIED will also attempt to strengthen networks for exchange of information among these actors, to increase the value of their work.

- **Construction of the database**. The project will build the most complete database of stakeholders, researchers and others interested in sustainability in the production and consumption of minerals in the world, and make it available for noncommercial use by others.

- **Identification of strategic priorities**. The project intends to identify, through a highly consultative process, a series of strategic priorities and work to better define them, improve understanding, and point to processes through which further progress is possible.

- **Identification of regional priorities**. Each of the regional meetings will produce a document which summarises the key sustainability issues as seen by a broad selection of regional stakeholders.

Building on this, the project will also produce a series of mechanisms for stakeholder engagement and capacity strengthening, including:

- **Establish a balanced and experienced Assurance Group**, which could serve as a nucleus for continuing dialogue among important actors on sustainability issues in Phases III and IV of the project and beyond.

- **Formation of regional consultative bodies**, which can have a role in continuing dialogue on regional sustainability concerns in Phases III and IV of the project and beyond.

- **Strengthened capacity of a series of regional centres** for continuing research, discussion, education, and dissemination of information about sustainability in mineral production and consumption.

Analytical results will form a major part of the project outputs, including:

- **Publication of research workshop results**. The project will publish the results of the research workshops.

- **Publication of reviews of existing knowledge base**. The project will also publish the results of the initial literature reviews of key aspects of the minerals cycle, along with a strategy for regional resource centres.

- **Publication of research reports**. As the project develops individual research reports on key issues, it will publish them for the use of all interested actors.

- **Development of research agendas**. Through consultative processes, the project aims to produce agendas of important areas of research, both at the outset to guide the project, and as part of the project's Final Report, to guide future researchers.

- **Publication of draft and final report**. The analysis, conclusions and recommendations of the project will be documented in the draft report and then following review a final report during the first half of 2002.

The project will ensure the broadest possible means of distribution, at the global and regional level, of all of its written products.

Finally, the project will generate processes for onward implementation, including:

- **Possible agreement of mechanisms for review and follow-up**: A series of voluntary mechanisms for reviewing the results and implementing those deemed appropriate will be developed for different stakeholder groups.

- **Establishment of a global panel for follow-up**: The Assurance Group could form the nucleus for continued dialogue in Phases III and IV as well as a possible vehicle for tracking follow-up.

- **Formation of regional panels**: These could emerge out of the regional consultative bodies established during the project and again become nuclei for onward dialogue and review.

C.2 <u>Next Steps</u>

This draft Project Strategy marks the first milestone in moving from the general vision contained in the Scoping Document to a detailed framework for action. Between March and May, a number of steps will be taken to further refine the proposals so that they can form a detailed Work Plan for presentation to the Sponsoring Group. These steps include:

- Holding a Strategic Planning Workshop to define the project's research agenda.

- Establishing the Assurance Group core and holding its first meeting.

- Identifying key regional and other project partners

- Finalising the project activities and budget with the Sponsoring Group.