

13th Forum on Responsible Mineral Supply Chains

23-26 April 2019, OECD, Paris









About the OECD

The Organisation for Economic Co-operation and Development (OECD) is a forum in which governments compare and exchange policy experiences, identify good practices in light of emerging challenges, and promote decisions and recommendations to produce better policies for better lives. The OECD's mission is to promote policies that improve economic and social well-being of people around the world.

About the ICGLR

The International Conference on the Great Lakes Region (ICGLR) is an inter-governmental organization of the countries in the African Great Lakes Region. Its establishment was based on the recognition that political instability and conflicts in these countries have a considerable regional dimension and thus require a concerted effort in order to promote sustainable peace and development. www.icglr.org/index.php/en/

About the United Nations Group of Experts (UN GoE)

The UN GoE for the Democratic Republic of Congo (DRC) was established by Resolution 1533 (2004) to monitor the implementation of the UN Security Council sanctions regime for the DRC. The GoE is composed of experts who conduct investigations in areas where armed groups are active, including into political and military leaders of armed groups, individuals and entities illegally supporting armed groups through illicit trade of natural resources, elements of state security forces engaged in illegal natural resource exploitation and due diligence implementation with regard to natural resources.

About the OECD Due Diligence Guidance

The <u>OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and</u> <u>High-Risk Areas</u> (OECD Minerals Due Diligence Guidance) provides detailed recommendations to help companies respect human rights and avoid contributing to conflict through their mineral purchasing decisions and practices. The OECD Minerals Due Diligence Guidance is for use by any company potentially sourcing minerals or metals from conflict-affected and high-risk areas. It is one of the international frameworks available to help companies meet their due diligence reporting requirements. This Guidance builds on the broader recommendations on responsible business conduct set out in the OECD Guidelines for Multinational Enterprises.

mneguidelines.oecd.org/mining.htm and http://mneguidelines.oecd.org/



Supported by the European Union through the Instrument contributing to Stability and Peace

Background

The Forum on Responsible Mineral Supply Chains was initiated in 2011. The Forum is jointly organised by the OECD, the International Conference on the Great Lakes Region (ICGLR) and UN Group of Experts on the Democratic Republic of Congo with the support of the European Union (EU).

Meeting format

The Forum on Responsible Mineral Supply Chains will provide the opportunity to review and discuss implementation of the <u>OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from</u> <u>Conflict-Affected and High-Risk Areas</u> (OECD Minerals Due Diligence Guidance), and other initiatives to enable responsible mineral production and sourcing. More than 1000 stakeholders will come together to discuss measuring impact and driving change, opportunities and challenges related to specific minerals such as diamonds, base metals, cobalt, 3Ts and gold, and cross cutting issues such as reporting requirements, collaborating with industry initiatives, addressing corruption risks, and more.

Ground Rules

The OECD is committed to providing an inclusive space for constructive dialogue between stakeholders. Participants in the Forum are expected to be respectful of the views of fellow participants, and the Forum will not tolerate harassment or intimidation. If issues arise, please contact the OECD focal point Louis Maréchal (louis.marechal@oecd.org), or the civil society Vice-Chair in the Multi-stakeholder Steering Group Joanne Lebert (jlebert@impacttransform.org).

The meeting will be held under the Chatham House Rule from Tuesday 23 April 16:30 until the end of the day on 26 April 2019; exceptionally, the opening session in the morning of 23 April (from 14:15 to 15:45) will be open to the press. "When a meeting, or part thereof, is held under the Chatham House Rule, participants are free to use the information received, but neither the identity nor the affiliation of the speaker(s), nor that of any other participant, may be revealed." This rule applies to social media.

Practical information

23 - 25 April 2019 OECD Conference Centre

In light of increased security measures, you must pre-register for the meeting and print your validated registration to access the OECD reception area. On arrival, you must register at the Reception desk to obtain a visitor's badge. Please bring photo identification with you. **Please arrive well in advance of the start of your meeting to allow sufficient time for the formalities.**

26 April 2019 OECD Conference Centre, Room CC1

The Forum will be followed by an OECD-World Bank event on artisanal and small scale mining which will take place on 26 April 2019 at 8:45 – 16:15 at the OECD Conference Centre.

A QR code will be automatically sent to all registered participants by email on Thursday 18th April. Access to the OECD Conference Centre will be granted upon showing a printed or a mobile version of the QR code and the participant's passport.

■ Contact

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14:00 - 16:15	Forum opening *** OPEN TO MEDIA *** EN - FR - SP - CH
 Room CC1 14:00 - 14:30 14:30 - 15:15 15:15 - 16:15 	 Opening remarks Angel Gurría, Secretary General of the OECD Amb. Zachary Muburi-Muita, Executive Secretary on the International Conference on the Great Lakes Region (ICGLR) Nelson Alusala, Expert on natural resources, UN Group of Experts on the Democratic Republic of the Congo Keynote addresses Michelle Bachelet, UN High Commissioner for Human Rights Andreas Wendt, Member of the Board of Management of BMW AG, responsible for Purchasing and Supplier Network Panel: Looking Towards the Future Moderator: Gabriela Ramos, OECD Chief of Staff and Sherpa to the G20 Speakers: Boris Kamstra, CEO, Alphamin Matthew Chamberlain, CEO, London Metal Exchange (LME) Kimberly Pittel, Group Vice President Sustainability, Environment & Safety Engineering, Ford Motor Company Gillian Caldwell, CEO, Global Witness Fredrik Reinfeldt, Chair of the Extractive Industries Transparency Initiative
16:15 - 16:45	Coffee break
16:45 – 18:00	Measuring Impact of Supply Chain Due Diligence EffortsEN - FR - SP - CH
16:45 – 18:00 PRoom CC1	Measuring Impact of Supply Chain Due Diligence EffortsEN-FR-SP-CHImplementation to date has resulted in increased awareness amongst stakeholders that companies have a responsibility to cut the link between mineral trade, serious human rights abuses and conflict. Despite anecdotal reports of results, there seems to be a lack of comprehensive and empirically-based evidence. The session will take stock of various efforts to measure the results of the implementation of due diligence
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▶ Room CC1	Implementation to date has resulted in increased awareness amongst stakeholders that companies have a responsibility to cut the link between mineral trade, serious human rights abuses and conflict. Despite anecdotal reports of results, there seems to be a lack of comprehensive and empirically-based evidence. The session will take stock of various efforts to measure the results of the implementation of due diligence practices in mineral supply chains and will seek to inform the OECD's work to develop a monitoring and evaluation framework to measure the outcomes of implementation of the OECD Guidance. Moderator: Mathilde Mesnard, Deputy Director, Directorate for Financial and Enterprise Affairs, OECD Speakers: • Gerard van der Burg, Innovation Director, IMPACT • Jocelyn Kelly, Fellow, Harvard Humanitarian Initiative • Nene Morisho, Coordinator, Pole Institute, Goma • Ken Matthysen, Researcher, International Peace Information Service • Chris Bayer, Principal Investigator, Development International

DAY 1: TUESDAY, 23 APRIL 2019 | Measuring Impact & Looking Towards the Future

DAY 2: WEDNESDAY, 24 APRIL 2018 | Minerals specific discussions

9:00 – 10:30 Parallel sessions

The **Exploratory Sessions** will introduce and explore new ideas and topics and the **Deep Dive Sessions** will discuss technical challenges and/or deal with recurring topics with a view to supporting concrete follow up actions

Deep Dive – Cobalt: Addressing gaps in responsible sourcing efforts P Room CC1 EN – FR – CH

Participants in this session will discuss various gaps in responsible sourcing efforts for cobalt, including between initiatives, development on the ground, and sourcing of cobalt on the open market.

Moderator: Mamadou Barry, Senior Mining Specialist, World Bank

Deep Dive sessions will not feature panellists; the moderator will set out objectives and call on participants from the floor.

Exploratory – Gold: Understanding policy developments and market requirements P Room CC4 EN – FR – SP – CH

This session will explore challenges with designing and implementing policy on responsible gold sourcing, including challenges with translating these efforts to progress on the ground.

Moderator: Philipp Wiederspahn, Natural Resource Governance Expert, Gesellschaft für Internationale Zusammenarbeit (GIZ)

Discussants:

- Isaac Karikari, National Project Coordinator, Multisectoral mining integrated project, Ghana
- Silvana Habib, President of the National Mining Agency, Colombia
- Jiao Jin Pu, Chairman, Shanghai Gold Exchange
- Amb. Ambeyi Ligabo, Director, Democracy and Good Governance, ICGLR
- Joanne Lebert, Executive Director, IMPACT

11:15 – 12:45 Parallel sessions

Exploratory – Understanding and aligning developing Initiatives in base metals and steel

Room CC1 EN – FR – CH

This session will explore new and developing initiatives from different base metals, and efforts towards convergence with the Guidance.

Moderator: Ruth Crowell, CEO, London Bullion Market Association (LBMA)

Discussants:

- Georgina Hallett, Chief of Staff, LME
- Kay Nimmo, Head of Sustainability, International Tin Association Ltd.
- Matthew Wenban-Smith, Executive Director, ResponsibleSteel
- Marieke van der Mijn, Director of Impacts and Partnerships, Aluminium Stewardship Initiative
- Fleming Voetman, Vice President of Public Affairs, International Copper Association
- Sophia Pickles, Team Leader, Conflict Resources, Global Witness

Deep Dive – Gold: Operationalising markets' commitments towards greater ASGM inclusion P Room CC4 EN – FR – SP

Participants in this session will explore the reasons why challenges persist to greater inclusion of artisanal gold in international markets, despite efforts to operationalise responsible sourcing commitments by downstream and midstream actors.

Moderator: Zobel Behalal, former Coordinator, UN Group of Experts on the Democratic Republic of the Congo

Deep Dive sessions will not feature panellists; the moderator will set out objectives and call on participants from the floor.

12:45 – 14:15 Lunch break

13:00 - 14:15 Lunch session: Deep Dive - Due diligence and industry initiatives

EN – FR – SP – CH

Room CC1
The Alignment Assessment showed a tension between collective industry action and companies retaining individual responsibility for their due diligence. This session will provide an update on the EU Delegated Act, alignment efforts by programmes with a focus on auditor training, and a discussion on the role industry initiatives play in supply chain due diligence: how companies rely on joint industry efforts, and the extent to which companies should support, engage with or supplement work carried out by industry initiatives with their own due diligence.

Moderator: Hannah Koep-Andrieu, Policy Adviser, Responsible Business Conduct Unit, OECD

14:15 – 16:00 Parallel sessions

Deep Dive – Follow-up discussion on the value of due diligence Room CC1 EN – FR – SP – CH		Deep Dive – Diamonds: Putting Commitments into Action <i>P</i> Room CC4 EN - FR	
This session will follow up on last year's discussions of the value and costs of implementing supply chain due diligence by taking stock of any progress that has been made and addressing key outstanding issues. Moderator: Tyler Gillard , Head of Sector Projects, RBC Unit,		This session will take stock of recent standard making developments in upstream and downstream diamond supply chains, including the revised Responsible Jewellery Council Code of Practices and the World Diamond Council System of Warranties, and seek to identify the key needs and priorities to implement	
OECD		changes.	
Deep Dive sessions will not feature panellists; the moderator will set out objectives and call on participants from the floor.		Moderator: Terah de Jong , Technical Adviser, USAID Artisanal Mining and Property Rights Project	
		Keynote: Alok Vardhan Chaturvedi, Director General, Directorate General of Foreign Trade, Government of India and Kimberley Process Certification Scheme Chair 2019	
		Deep Dive sessions will not feature panellists; the moderator will set out objectives and call on participants from the floor.	
16:00 - 16:30	Coffee break		
16:30 – 18:00	Parallel Sessions		
Deep Dive – Workshop on Step 5 Reporting		Exploratory – Coloured Stones	
PROOM CC1 EN - FR - CH		Room CC4 EN - FR - SP	
This session will seek to provide practical insight into how companies can prepare a Step 5 report. Selected companies will be invited to "workshop" their reports and seek concrete feedback from stakeholders to understand potential gaps, and the reasons why information may or may not be included.		This session will take stock of responsible sourcing efforts and risks in coloured stones supply chains, reflecting on specific challenges with a view to identify priorities for due diligence implementation in upstream and downstream supply chains.	
Moderator: Hannah Koep-Andrieu , Policy Adviser, Responsible Business Conduct Unit, OECD		Moderator: Marie Gay Ordenes , Regional Director South East Asia, EITI	
Deep Dive sessions will not feature panellists; the moderator will set out objectives and call on participants from the floor.		Discussants:	
		 Anne-Marie Fleury, Director of Standards and Impacts, Responsible Jewellery Council John Hall, Consultant, Signet Jewellers Emmanuel Piat, CEO, Piat Clement Sabbagh, President, International Colored Gemstone Association (ICA) Matthieu Salomon, Senior Governance Officer, Natural Resource Governance Institute (NRGI) 	

DAY 3: THURSDAY, 25 APRIL 2019 | Government efforts and cross-cutting issues

8:45 – 9:45 Plenary session

Exploratory – Policy updates Proom CC1 EN – FR – SP – CH

In this session, countries will present on on-going efforts to ensure widest possible implementation of the Guidance in and from their jurisdictions, with a special focus on policies to promote integration of the 5 Step Framework into company practices.

Moderator: Nicola Bonucci, Director for Legal Affairs, OECD

Discussants:

- Carolina Rojas Hayes, Vice-Minister, Ministry of Mines and Energy, Colombia
- Marten Westrup, Coordinator Energy and Raw Materials, DG Trade, European Commission
- Pamela Fierst-Walsh, Senior Adviser on Conflict Minerals and U.S. Kimberley Process Certification Scheme Representative, United States
- Olivier Bovet, Senior Adviser, Federal Department of Economic Affairs, Switzerland
- Gerard Nayuburundi, Coordinator, Technical Unit on Natural Resources, ICGLR

9:45 – 10:45 Plenary session

Deep dive – Following Through on Country Commitments PROOM CC1 EN – FR – SP – CH

This session will highlight progress and challenges in following through their commitment to ensure the widest possible dissemination of the Guidance as well as supporting and monitoring its implementation. The session will also feature preliminary results of the 2018 questionnaire for governments Adherents to the OECD Minerals Guidance.

Moderator: Nicola Bonucci, Director for Legal Affairs, OECD

Deep Dive sessions will not feature panellists; the moderator will set out objectives and call on participants from the floor.

10:45 – 11:15 Coffee break

11:15 – 12:45 Parallel sessions

Exploratory – Applying a gender lens to due diligence and responsible mineral supply chains

PROOM CC1 EN - FR

The session will identify issues related to gender-specific risks in the minerals sector and provide an overview of genderfocused mitigation strategies in responsible mineral projects. Presenters will provide examples of empowerment opportunities through mitigation strategies and highlight current gaps in identification and mitigation of genderspecific risks. This session will also be an opportunity to present and discuss a draft statement prepared by members of the Multi-stakeholder Steering Group on implementing gender-responsive due diligence.

Moderator: Luke Sookocheff, Deputy Director, Natural Resources Policy, Global Affairs Canada

Video: Josée Atigwe, Artisanal gold miner / Réseau pour l'autonomisation des femmes des communautés minières (REAFECOM)

Discussants:

- Beata Stappers Karpinska, Technical Expert, Terre des Hommes and Responsible Mica Initiative
- Cynthia Trigo Paz, Human Rights Senior Adviser, Total
- Jocelyn Kelly, Fellow, Harvard Humanitarian Initiative
- Stéphanie Rugamika, Head of Office, General Secretariat for Mines, Democratic Republic of the Congo

Exploratory – Due Diligence for Corruption Risks

▶ Room CC4 EN – FR – SP – CH

Participants will have the opportunity to hear from the anti-corruption and foreign bribery experts on how to conduct enhanced due diligence and engage with key stakeholders to address risks of corruption in mineral supply chains.

Moderator: Patrick Moulette, Head of Division, Anti-Corruption Division, OECD

Discussants:

- Elisabeth Caesens, Director, Resource Matters
- Yves Bawa, DRC, Rwanda and Burundi Country Manager, Pact
- Phaedon Stamatopoulos, Director, Refining and Bank Products, Argor-Heraeus SA
- Celestino Calabrese, Senior Officer, Money Laundering, Bribery and Corruption Threat Team, UK National Crime Agency

12:45 – 14:15 Lunch break

13:00 - 14:15 Lunch session: Civil society views from the ground

EN – FR – SP – CH

Room CC1 Civil society representatives from mineral producing countries across the world will share their insights on progress implementing due diligence to date, related findings from field research, and emerging challenges and priorities for future efforts on responsible mineral supply chains

14:15 – 15:45 Parallel Sessions

Exploratory – Leveraging the role of the financial sector for responsible sourcing

P Room CC1 EN – FR – SP – CH

Financial institutions play a critical role in the mineral value chain by providing services to miners, refiners to traders and retailers, including via lending or providing trade or project finance. This session will explore how financial institutions can undertake due diligence on their clients involved in mineral production and trade, playing an important role to enhance responsible supply chains of minerals.

Moderator: Ruth Crowell, CEO, LBMA

Discussants:

- Maarten de Jongh, Senior Sustainability Manager ING and ING lead Dutch banking Sector Agreement
- Stéphanie Clément de Givry, Global Head of Metal and Mining Finance, Société Générale
- Ben Daly, Executive Director, Corporate & Institutional Banking, Standard Chartered
- Yves Bertran, Executive Director, Alliance for Responsible Mining

Exploratory – Due Diligence on the Use of Security Forces Room CC4 EN – FR

This session will focus on security sector reform and business and human rights initiatives, such as the Voluntary Principles on Security and Human Rights, to have clarity on how these initiatives align and interact with each other.

Moderator: Frédéric Chenais, Political Adviser, Human Security Division, Switzerland

Discussants:

- Alan Bryden, Assistant Director, Geneva Centre for the Democratic Control of Armed Forces
- Eric Kajemba, Director, Observatoire Gouvernance et Paix
- Boris Kamstra, CEO, Alphamin
- Hannah Blyth, Programs Manager, Fund for Peace
- Charlotte Artaz, Security and Human Rights Officer, Total
- Annie McGee, Head of the Responsible Business Team, UK Foreign Office

15:45 – 16:30 Coffee break

16:30 – 18:00 Parallel Sessions

Exploratory – Identifying red flags and conflict-affected and high-risk areas *P* Room CC1 EN – FR – SP – CH

The session will seek to clarify the expectations laid out by the Guidance in relation to red flags (mineral origin and transit, suppliers and circumstances) and will feature some of the tools that companies can use to identify red flags and conflict-affected and high-risk areas.

Moderator: Guus Houttuin, Senior Adviser on Trade Issues, EEAS

Discussants:

- Kay Nimmo, Head of Sustainability, International Tin Association Ltd
- Marianna Smirnova, Project Manager, Responsible Mineral Initiative
- Lucy Graham, Researcher, Business & Human Rights, Amnesty International
- Jean-Paul Meutcheho, Director of Sourcing and Corporate Sustainability, Global Advanced Metals
- Simon Nibizi, Coordinator of ICGLR Audit Committee for the Regional Certification Mechanism

Exploratory – Clarity in the collection and use of data PROOM CC4 EN – FR

In this session, panellists will discuss efforts to make the data gathering process more consistent, comparable, and relevant, as well as issues related to data ownership, and the implications these efforts will have on responsible sourcing.

Moderator: Joanne Lebert, Executive Director, IMPACT Discussants:

- Michèle Bruelhart, Director of Innovation, Responsible Minerals Initiative (RMI)
- Johan Zandbergen, CEO, ChainPoint
- Nicholas Garrett, CEO, RCS Global Group
- Katie Hoard, Global Director for Agricultural Innovation & Sustainability, AB InBev
- Safanto Bulongo, Coordinator, Max Impact

18:00 - 18:15	Closing session	EN – FR – SP – CH
PRoom CC1	 Concluding remarks by Chair and Vice-Chairs of the Multi-Stakeholder Steering Group Guus Houttuin, Senior Adviser on Trade Issues, EEAS Joanne Lebert, Executive Director, IMPACT Ruth Crowell, CEO, LBMA 	

DAY 4: FRIDAY, 26 APRIL 2019 |

Artisanal and small-scale mining day - following through on the Mosi-oa-Tunya Declaration

11:00 - 11:30	Coffee break
11:30 – 13:00	Deep dive - Integration of ASM into local, national, regional and international supply chains EN – FR – SP Deep Dive sessions will not feature panellists; the moderator will set out objectives and call on participants from the floor.
▶ Room CC1	In addition to regulatory constraints and sometimes inadequate legal frameworks, responsible artisanal production still faces transport and other logistical hurdles – thus remaining unable to reap the benefits of economies of scale. The aim of this session will be to hear what the major challenges are for companies in engaging with responsible artisanal and small scale mining and share lessons learnt of successful business models. Moderator: Mamadou Barry , Senior Mining Specialist, World Bank
13:00 - 14:00	Lunch break
14:00 - 16:00	Deep dive -Inclusive finance: access to finance for responsible artisanal mining projects EN – FR – SP
	Deep Dive sessions will not feature panellists; the moderator will set out objectives and call on participants from the floor.
PRoom CC1	Access to finance for artisanal miners has been identified as one of the most important blockages to scaling up of responsible production. Projects aimed at facilitating the formalisation and the promotion of artisanal mining also face significant challenges in having access to basic financial services or credits. This session will seek to share innovative experience to reduce barriers to financial services for artisanal mining and highlight under what conditions these have been successful.
	Moderator: Caroline Ngonze, Programme Specialist, ACP-EU Development Minerals Programme
16:00 - 16:15	Wrap up and next stepsEN - FR - SP
PRoom CC1	 Tyler Gillard, Head of Sector Projects, Responsible Business Conduct Unit, OECD Mamadou Barry, Senior Mining Specialist, World Bank

Launched in 2011, the Forum is jointly organised by the OECD, the International Conference on the Great Lakes Region and UN Group of Experts on the Democratic Republic of Congo and is supported by the European Union through the Instrument contributing to Stability and Peace.



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