



Public Private Alliance for Responsible Minerals Trade

18 OCTOBER 2017
MEMBER MEETING

PPA members gathered on October 18 in Santa Clara, California, to reflect on the success and lessons from the first 6 years of the PPA, to celebrate the beginning of a second phase of the PPA, to confirm a results framework to guide decisions and priorities in this second phase, and to begin planning for 2018-2019 activities. Please see attachment for the list of participants.

NEXT STEPS

- **Pilar, Joanne, Alicia, Pamela, Kelly, and Leah** will participate in an interim task group to further develop the Phase II Results Framework
- **RESOLVE** will:
 - o Draft a response to the USAID DRC Co-Creation Request for Information (*done*)
 - o Initiate the Governance Committee selection process in November (*in process*)

PHASE I SUCCESSSES

Participants reflected on several highlights from the PPA's first phase (RESOLVE's PowerPoint presentation is posted [here](#)), many of which are also summarized in the [PPA Contributions to Responsible Minerals Trade](#) document. These achievements and outputs include the following:

- First funder on artisanal gold – one of the biggest responsible sourcing challenges in the Great Lakes Region. With PPA's support, IMPACT (formerly Partnership Africa Canada) initiated early development of what became the first due diligence system for artisanal gold in the GLR, the Just Gold Project. IMPACT also identified and testing possible interventions to break the cycle of conflict financing, as well as insights into the dynamics, practices, and incentives for upstream actors in the artisanal gold trade in DRC.
- A manual on due diligence for upstream actors. In 2014, the PPA provided funding to Save Act Mine to develop a graphic manual (available in French, Swahili, and Lingala) to educate upstream actors on the importance of due diligence. 1,000 hard copies were distributed to miners, traders, and civil society across five provinces in Eastern DRC. The printable manual is available online for use and distribution by other organizations.
- The development of a gold trade monitoring model, and current data about trade in Mambasa (Ituri, DRC). Under its 2016–2017 grant from the PPA, IPIS initiated and tested a geography-focused and primarily mobile-based system to collect, assimilate, and disseminate due diligence information on gold production and trade in and around Mambasa, a major artisanal gold hub in eastern DRC. IPIS and a network of local partners collected production estimates and number of artisanal workers at mine sites surrounding a trade hub; estimated volume and value of trade at hubs; sources and destinations of gold being traded; typical pricing, taxes (formal and informal), and fees; demographics on traders at hubs; and information on OECD conformance (e.g., presence and interference of armed groups; security/human rights incidents; and presence of

children). Verified and non-sensitive information is being posted on websites of IPIS and their local partners. The pilot yielded useful insights about the region and some of the obstacles to responsible gold trade. The model of using local partners proved largely effective and could be continued, expanded, or replicated.

- Supporting in-region alignment. The PPA convenes regular “alignment meetings” among ICGLR member states, due diligence system operators, supply chain actors, and civil society. In-region and international stakeholders find them to be a valuable platform for tough discussions and information exchanges.
- Helping to establish the ICGLR ombuds function. The PPA provided recruitment and placement support and early funding required to establish the office of the ICGLR’s Independent Mineral Chain Auditor (IMCA). The IMCA position is an ombuds function for the ICGLR’s Regional Certification System and is a lynchpin in supporting due diligence and credible, legal, conflict-free exports from the region. In 2016–2017, the PPA — along with USAID’s Capacity Building for Responsible Minerals Trade Program, implemented by Tetra Tech ARD — funded the first 15 months of the office to establish the architecture, framework, capacity, systems, and relationships of the office that must be in place for investigations to occur. Based on this experience, the terms of reference have been revised for the next IMCA to include lessons learned during this phase.

RESOLVE also shared an update on member re-enrollment in Phase II of the PPA (see [PPA website](#) for most up-to-date member list) and provided information about the final balance of the PPA’s funding from Phase I, as well as new funds based on renewed commitments to the PPA.

PHASE I LESSONS AND INSIGHTS

To inform the PPA’s focus and activities in Phase II, participants discussed lessons and insights from experiences in the PPA’s first 6 years.

Members recognize the importance of sustainability and scalability. These objectives have been incorporated into the PPA’s grant design and evaluation process over time, recognizing that PPA can meaningfully contribute to initiatives that are already in operation and seeking to scale up or complement existing activities. At the same time, members recognized that supporting the *testing* of new models (as with its first grant to IMPACT and recent grant to IPIS) can contribute to broader sustainability by eliciting and disseminating new insights and approaches to a wide range of stakeholders supporting and engaging in responsible sourcing.

Members also discussed the value of leveraging and collaborating with others whose activities are aligned with the PPA’s goals. For instance, USAID’s DRC mission recently posted a request for information to support a “co-creation process” to identify priority activities and focus issues that USAID’s next programs in the region should engage on. Members offered specific ideas, which RESOLVE captured in a separate submission to USAID on behalf of the PPA (please contact Margaret to request a copy).

Participants underscored the value of the PPA’s annual alignment sessions, which have built trust and enabled dissemination of insights from PPA projects, and similarly offered insight into priorities for PPA grant making.

PPA PHASE II OBJECTIVES

With these reflections in mind, participants reviewed a draft “results framework” to clarify the PPA’s objectives and goals for Phase II, and to help guide the selection of activities and grants throughout that period.

The framework articulates the two following **goals** – impacts to which the PPA *contributes* but which cannot be directly attributed to PPA:

- Economically sound and socially responsible mineral supply chains are established and scaled-up in the GLR
- Due diligence systems to address conflict minerals (3TG) challenges and human rights violations in the GLR are effectively supported and promoted.

Additionally, members agreed to the following **outcomes** – intermediate goals that the PPA will directly contribute to and assess progress against:

1. Increased awareness of alignment needs, strategies, and responses to maximize effectiveness and efficiency of due diligence and governance efforts;
2. Key upstream barriers to effective due diligence systems and responsible minerals sourcing are identified and addressed; and
3. Improved access to high quality, independent information on upstream supply chains to bolster due diligence, incident response, and reporting.

With these outcomes in mind, members met in breakout groups to articulate proposed **outputs and activities** – specific results that support the PPA’s achievement of the *outcomes*. Examples of activities suggested during the report-out from these discussions included the following:

Alignment

- Alignment needs identified and prioritized annually
- Responses developed to address alignment needs in partnership with relevant stakeholders
- Proactively coordinate with EPRM to share experience and expertise on GLR

Barriers

- Organize research and convene organizations implementing responsible sourcing pilots to explore how business models can be made more sustainable and scalable.
- Build capacity of regional entities on due diligence guidance and existing tools that could be customized to different supply chains (e.g., training or handbook for governments and other sectors on expectations in OECD Due Diligence Guidance)
- Leverage expertise of members (such as DOL experience in Colombia on formalization) to offer potential tools and approaches for GLR
- Develop criteria to help prioritize regions of focus for implementation of programs and projects
- Develop partnerships with NGOs to invest in capacity building, use PPA as a platform where companies can participate in and showcase due diligence efforts
- Address the communication/information gap, e.g., develop handbook for in-region individuals to highlight existing tools and lessons learned

Data and Communications:

- Further review and dissemination of insights from past PPA projects

- Design (and possibly develop, or find home for) a consolidated independent depository reporting platform that hosts all reporting information from upstream, downstream, and NGO/media
- Commission an independent study to measure impact in GLR (including first developing consistent metrics)
- Develop a template of common and appropriate information expectations or questions that supply chain participants should ask partners

Initial suggestions have been incorporated into a revised Results Framework that will be further developed by a small task group of volunteers (Pilar, Joanne, Alicia, Pamela, Kelly, and Leah), consulted again with the full membership, and ultimately finalized by the incoming Governance Committee. Members also discussed the need to prioritize application of limited resources across the three outcomes, and to further develop and maintain the “brand” of the PPA, which could serve to attract further participation and resources.

OTHER PPA BUSINESS

RESOLVE will soon initiate a selection process to seat a representative Governance Committee for the 2018 – 2019 term. RESOLVE will also seek input on work groups and time-limited task groups for particular activities.

Coordination with the European Partnership for Responsible Minerals is ongoing, with a next milestone including sharing of the PPA’s and EPRM’s respective annual plans for 2018.

Attachment: PPA Meeting Participants

PPA MEMBER MEETING

OCTOBER 18, 2017

Acer Inc.

Eric Gilbert

Apple

Christy Dehus

Boeing Supplier Management

David Hancock

Dell

Alicia Chen

Ford Motor Company

Kelly Katynski

Global Witness

Carly Oboth

HP Inc.

Jay Celorie

James Riddle

ICGLR

Gerard Nayaburundi

Simon Nibizi

IMPACT

Joanne Lebert

Victoria Reichel

Kady Seguin

Intel Corporation

Bryan Fiereck

ITRI Ltd/ITSCI Programme

Kay Nimmo

Nokia

Elina Raask

NVIDIA

Chelsea Verhasselt

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U.S. Dept. of State

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Pilar Velasquez