



**5<sup>TH</sup> ICGLR-OECD-UN GoE JOINT MEETING  
ON DUE DILIGENCE IN THE TIN, TANTALUM, TUNGSTEN AND GOLD SUPPLY CHAINS**

***Annotated Agenda***

**2-3 May 2013**

**Venue:** OECD Conference Centre, 2 rue André-Pascal, 75016 Paris, France.

**Format:** The 5<sup>th</sup> ICGLR-OECD-UN GoE Joint Meeting on Due Diligence in the Tin, Tantalum, Tungsten and Gold Supply Chains will be held in Paris on the 2<sup>nd</sup> and 3<sup>rd</sup> of May. Day 1 (2<sup>nd</sup> May) will consist of two separate and concurrent meetings. One meeting will focus on implementation of due diligence in the gold supply chain, and the other meeting will focus on implementation of due diligence in the tin, tantalum and tungsten (3Ts) supply chain. Participants are encouraged to attend the sessions that are most relevant to them.

Day 2 (3<sup>rd</sup> May) will be a joint Gold and 3T meeting in plenary for the entire day. Issues pertinent to both the gold and 3T supply chains will be discussed. The European Commission will also lead a public consultation on a possible EU initiative on responsible sourcing of minerals from conflict-affected and high-risk areas in the afternoon of the 3<sup>rd</sup> May.

**Note:** The meeting will avoid long presentations by panellists. Instead, interveners will be asked to provide initial thoughts in five minutes as a way of launching a high-value discussion which will fully engage the expertise in the room. All participants are encouraged to actively participate in the discussion.

**Rooms:** On Day 1 (2<sup>nd</sup> May) participants will meet in conference center room 12 (CC12) for the gold sessions and conference center room 9 (CC9) for the 3T sessions. The joint plenary session on Day 2 (3<sup>rd</sup> May) will be held in conference centre room 12 (CC12). Break-out sessions on 3<sup>rd</sup> May will be held in both conference centre rooms 12 (CC12) and 9 (CC9). **In order to accommodate the widest possible participation and avoid overcrowding, a listening room (called the "Auditorium") has been arranged during the joint plenary session on 3<sup>rd</sup> May.**

**Badges:** On arrival, you must register at the OECD reception desk to obtain a visitor's badge. Please bring your passport or identity card with you. Please arrive well in advance of the start of the meeting to allow time for the registration formalities. *For security reasons, you must wear your visitor's badge at all times.*

**Chatham House Rule:** The meeting will be held under the Chatham House Rule for both days. *"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."*


**DAY 1: THURSDAY MAY 2, 2013 - GOLD AND 3T MEETINGS**

*Objectives:*

- Formally launch the gold Implementation programme, funding and participation; report on project initiation and progress to date; discuss challenges and opportunities on key issues, including artisanal and small-scale mining and regional outreach.
- Agree on 3T implementation activities and action items including for example outreach and awareness raising, risk mitigation approaches, confidentiality and disclosure.

	<b>GOLD SESSION (CC 12)</b>	<b>3T SESSION (CC9)</b>
<b>9:00 – 9:10</b>	<b><i>Welcome: OECD Secretariat, IGG Co-Facilitators Objectives of the day Format of the meeting</i></b>	<b><i>Welcome: OECD Secretariat, IGG Co-Facilitators Objectives of the day Format of the meeting</i></b>


<p>9:10 – 9.30</p>	<p><b>Gold Implementation Programme – introduction.</b> The proposed activities for the programme on implementation of due diligence in the gold supply chain stem from three main objectives identified in the Terms of Reference approved by the Forum in May 2012. The activities were developed through multi-stakeholder discussion within the Interim Governance Group of the OECD implementation programme.</p> <p><b>Reference documents:</b></p> <ul style="list-style-type: none"> <li>📄 Final activities for the gold implementation programme</li> </ul>	<p><b>Share lessons learnt on ICGLR regional certification mechanism and national certification, on-the-ground risk assessments and monitoring, focusing on areas for improvement.</b> Government-level or joint industry certification efforts, assessments and monitoring can contribute to the implementation of specific elements of due diligence in the Great Lakes Region. Despite significant progress in on-the ground certification schemes, key challenges still remain. This session will focus on identifying challenges and ways the Forum can help overcome them, for example on issues such as audit fatigue, the costs of certification and due diligence programmes, and experiences in monitoring.</p>
<p>9:30 – 10:30</p>	<p><b>Update on due diligence awareness and implementation-levels in the Great Lakes Region and other areas, to feed into the baseline assessments under Objective 2 of the gold implementation activities.</b> This session is intended to identify specific actors and areas for further outreach and awareness-raising on due diligence, including among artisanal miners, gold traders, refiners and exchanges.</p> <p><b>Moderator:</b> Ms. Sabrina Ramzi, Democracy and Governance Division, Department of Foreign Affairs and International Trade, Canada</p> <p><b>Interveners:</b></p> <ul style="list-style-type: none"> <li>• Ms. Emilie Serralta, Coordinator and natural resource expert, UN Group of Experts on the DRC</li> <li>• Mr. Didier de Failly s.j., Manager, Bureau d’Etudes Scientifiques et Techniques (B.E.S.T), Bukavu, South-Kivu, DRC</li> <li>• Mr. Hassan Nasser, Director Compliance &amp; Inspection, DMCC</li> </ul>	<p><b>Moderator:</b> Dr. Gudrun Franken, Head of Unit, Mining and Sustainability, Federal Institute for Geosciences and Natural Resources (BGR)</p> <p><b>Interveners:</b></p> <ul style="list-style-type: none"> <li>• H.E. Minister Evode Imena, Minister in charge of Mining, Ministry of Natural Resources, Rwanda</li> <li>• H.E. Minister Amisi Lupia Patrick, Provincial Minister of Mines, Maniema, DRC</li> <li>• H.E. Minister Jean Ruyange, Provincial Minister of Mines, North Kivu, DRC</li> <li>• Mr. Serge Mulumba Kalambay, President, CDMC Coopérative Minière</li> <li>• Ms. Boukje Theeuwes, Supplier Sustainability Manager, Royal Philips Electronics- Conflict-Free Tin Initiative</li> <li>• Ms. Joanne Lebert, Director-Great Lakes Programme, Partnership Africa Canada (PAC)</li> <li>• Mr. Uwe Naeher, Project Manager, Mineral Certification, Federal Institute for Geosciences and Natural Resources (BGR)</li> </ul>
<p>10:30 – 11.00</p>	<p><b>Break</b></p>	
	<p><b>GOLD SESSION (CC 12)</b></p>	<p><b>3T SESSION (CC9)</b></p>
<p>11:00 – 13:00</p>	<p><b>Building secure and transparent conflict-free supply chains of gold from artisanal and small-scale gold mine sites through country-specific projects (Objective 3 of the gold implementation activities).</b> This session will feature discussion of specific projects and artisanal and small-scale mine sites, and the practical and concrete steps still needed to get those sites operational, consistent with the Supplement on Gold and Appendix 1. In particular, the session will encourage participants to explore the ways in which they can engage in or support specific projects to begin responsible sourcing programmes from artisanal and small-scale mine sites.</p> <p><b>Moderator:</b> Ms. Sarah Best, Senior Researcher, Sustainable Markets Group, International Institute for Environment and Development</p> <p><b>Interveners:</b></p> <ul style="list-style-type: none"> <li>• Ms. Joanne Lebert, Director-Great Lakes Programme, Partnership Africa Canada (PAC)</li> </ul>	<p><b>Bringing Clarity to Risk Mitigation.</b> The Secretariat and members of the Interim Governance Group will present initial high-level thoughts on a possible approach to managing risk of fraud, incorrect information from suppliers and gaps in supplier due diligence with a view of getting feedback on reasonable approaches to avoid financial disincentives and identifying early warning mechanisms that could work on the ground.</p> <p>Key points to cover:</p> <ul style="list-style-type: none"> <li>• Uncovering risks prior to disposing of material</li> <li>• Existing stocks</li> <li>• Seized stocks</li> </ul> <p><b>Moderator:</b> Mr. Adam Greene, IGG Co-facilitator and Vice President, Labor Affairs and Corporate Responsibility US Council for International Business (USCIB)</p> <p><b>Interveners:</b></p> <ul style="list-style-type: none"> <li>• Ms. Candida Owens, Sales Manager, Cronimet</li> </ul>

	<ul style="list-style-type: none"> <li>• Ms. Dorothée Gizenga, Executive Director, Diamond Development Initiative (DDI)</li> <li>• Ms. Laura Barreto, Chair, Alliance for Responsible Mining (ARM)</li> <li>• Mr. Olivier Demierre, SVP Corporate Social Responsibility, PAMP SA</li> </ul> <p><b>Discussants:</b></p> <ul style="list-style-type: none"> <li>• Eng. Edwin A. Ngonyani, Chief Inspector of Mines and Assistant Commissioner for Mines Inspectorate, Ministry of Energy and Minerals, United Republic of Tanzania and ICGLR Steering Committee</li> <li>• Dr. Kevin Telmer, Executive Director, Artisanal Gold Council</li> </ul>	<ul style="list-style-type: none"> <li>• Ms. Kay Nimmo, Manager of Sustainability and Regulatory Affairs, ITRI Inc.</li> <li>• Mr. Jamal Useni, Director, Save Act Mine, DRC</li> <li>• Mr. Jean-Paul Meutcheho, Director of Corporate Sustainability, Global Advanced Metals</li> <li>• Mr. Mike Loch, Director Supply Chain Sustainability, Motorola Solutions and Conflict Free Sourcing Initiative (CFSI)</li> <li>• Ms. Annie Dunnebacke, Campaign Leader, Global Witness</li> </ul>
<b>13:00 – 14:30</b>	<b>Lunch</b>	
<b>14.30 – 16:00</b>	<p><b><i>Developing criteria and indicators of Conflict-Affected and High-Risk Areas (under Objective 1 of the Gold implementation activities)</i></b></p> <p>In support of the gold implementation activities, the Geneva Academy on International Humanitarian Law and Human Rights will present a draft of indicators and criteria of conflict-affected and high-risk areas, which are intended to enable the private sector to more effectively carry out due diligence. Representatives from other organisations involved in conflict assessments will be invited to provide constructive feedback to the draft paper prepared by the Geneva Academy.</p> <p><b>Moderator:</b> Mr. Mark Taylor, Senior Researcher, FAFO Institute</p> <p><b>Presenter:</b></p> <ul style="list-style-type: none"> <li>• Mr. Stuart Casey-Maslen, Head of Research, Geneva Academy of International Humanitarian Law and Human Rights</li> </ul> <p><b>Discussants:</b></p> <ul style="list-style-type: none"> <li>• Mr. Dan Smith, Secretary General, International Alert</li> <li>• Mr. David Nyheim, Chief Executive, INCAS Consulting Ltd.</li> <li>• Mr. Simon Ellerbrock, Head of Africa Group and Member of the Board of Directors, Heidelberg Institute for International Conflict Research</li> <li>• Ms. Jolanda Profos, Policy Analyst, Secretariat of the International Network on Conflict and Fragility (INCAF)</li> </ul>	<p><b><i>Outreach and awareness-raising (session expected to end at 15:30)</i></b></p> <p>Participants will discuss specific plans and opportunities (e.g. workshops, training seminars, conferences, etc.) for outreach in Africa’s Great Lakes Region and Asia (focus on China), as well as reflect on any lessons learnt from outreach already taken place. Discussions will focus on developing two-year outreach goals targeting specific countries and actors in the supply chain for the 3Ts.</p> <p><b>Moderator:</b> H.R.H. Prince Jaime de Bourbon Parme, Special Envoy Natural Resources, Ministry of Foreign Affairs, the Netherlands</p> <p><b>Interveners on outreach in the Great Lakes Region:</b></p> <ul style="list-style-type: none"> <li>• Mr. Silas Sinyigaya, Democracy and Good Governance Programme Officer, Executive Secretary of the International Conference on the Great Lakes Region, ICGLR</li> <li>• Mr. Cyprien Birhingingwa, Coordinator and Executive Secretary for COSOC/GL, CENADEP Kivu</li> </ul> <p><b>Interveners on outreach in Asia:</b></p> <ul style="list-style-type: none"> <li>• Mr. Bob Leet, Supplier Chain Code of Conduct Program Manager, Intel Corp./EICC</li> <li>• Ms. Kay Nimmo, Manager of Sustainability and Regulatory Affairs, ITRI Inc.</li> </ul> <p><b>Reference documents:</b></p> <ul style="list-style-type: none"> <li>•  Draft example tool on outreach in China prepared by the Interim Governance Group</li> </ul>
<b>16:00 – 16:30</b>	<b>Break</b>	

	<b>GOLD SESSION (CC 12)</b>	<b>3T SESSION (CC9)</b>
<b>16:30 – 18.00</b>	<p><b>Case studies and Peer-learning (Objective 2 of the gold implementation activities).</b> During this session, participants will get snap shots on the implementation of due diligence by private sector actors at specific points in the supply chain. Interveners will provide brief high-level information on the implementation, focusing on the specific challenges encountered and tools used, including programmes or initiatives developed by industry that have enabled their due diligence. Participants in the session will then discuss a proposed way forward for fostering peer-learning on the implementation of due diligence in the gold supply chain and the preparation of related case studies.</p> <p><b>Moderator:</b> Mr. Farid Baddache, Director, Europe, Middle East &amp; Africa, BSR</p> <p><b>Interveners:</b></p> <ul style="list-style-type: none"> <li>• <i>Large-scale miners:</i> Ms. Yedwa Simelane, Senior Vice President: Corporate Affairs, Anglo-Gold Ashanti</li> <li>• <i>Refiners:</i> Dr. Wilfried Hoerner, Director Refining &amp; Bank Products, Argor-Hereaus SA</li> <li>• <i>Banks:</i> Mr. Peter Kilchenmann, Head of Business Risk Management, Credit Suisse and Ms. Sarah Masterson, Business Manager, Precious Metals Trading, HSBC</li> <li>• <i>Jewellers:</i> Mr. Philip Olden, Consultant, Signet Jewellers Limited</li> <li>• <i>Industrial users:</i> Mr. Mike Loch, Director Supply Chain Sustainability, Motorola Solutions and Conflict Free Sourcing Initiative (CFSI)</li> </ul>	<p><b>Consolidating lessons learnt from the pilot.</b> This session will focus on consolidating lessons learnt from the pilot (upstream and downstream) to inform other next steps.</p> <p>Suggested topics:</p> <ul style="list-style-type: none"> <li>• Identifying and consolidating areas of confusion in the Tin, Tantalum and Tungsten Supplement</li> <li>• Recognition of industry schemes</li> <li>• Confidentiality v. disclosure</li> </ul> <p><b>Moderator:</b> Mr. Mark Taylor, Senior Researcher, FAFO Institute</p> <p><b>Reference documents:</b></p> <ul style="list-style-type: none"> <li>• Consolidated list of lessons learnt on interpreting and applying the Tin, Tantalum and Tungsten Supplement, from the downstream reports of the 3T pilot</li> </ul>
<b>18:00</b>	<b>Close of the Gold Session</b>	<b>Close of the 3T Session</b>

**DAY 2: FRIDAY MAY 3, 2013 - JOINT 3T AND GOLD FORUM MEETING**

**Objectives:** Update on the situation on the ground in the Great Lakes Region; confirm the composition of the multi-stakeholder steering group; provide an opportunity to contribute to the public consultation of a possible EU initiative on conflict minerals; reach agreement on next steps to improve programmes.

9:00 – 9:05	<b>Overview of the objectives of the day and format of the meeting by the co-facilitators of the Interim Governance Group</b>	
9:05 – 9:15	<b>Welcome Address</b> – Ms. Carolyn Ervin, Director, Directorate for Financial and Enterprise Affairs, OECD	
9:15 – 10:00	<b>Update by the UN Group of Experts on the DRC and International Conference on the Great Lakes Region</b>	
10:00 – 11:00	<p><b>Long-term governance arrangement for the implementation programme of the Due Diligence Guidance</b></p> <p>This session will update participants on the approval of the long-term governance arrangement, the proposed composition of the multi-stakeholder steering and its Chair and Vice-Chairs. The session will seek to get Forum approval of the Multi-Stakeholder Steering Group (MSG) composition and Chair.</p> <p><b>Moderator:</b> H.R.H. Prince Jaime de Bourbon Parme, Special Envoy Natural Resources, Ministry of Foreign Affairs, the Netherlands</p> <p><b>Reference documents:</b></p> <p> Long term governance arrangement for the implementation programme of the OECD Due Diligence Guidance, approved by the Investment Committee and the Development Assistance Committee on 28 February 2013</p>	
11:00 – 11.30	<b>Break</b>	
11.30 – 13.00	<b>Concurrent Sessions (CC12)</b>	<b>Concurrent Sessions (CC9)</b>
	<p><b>Step 4 Refiner and smelter audits.</b></p> <p>Participants in this session will discuss progress and technical issues associated with refiner/smelter due diligence and associated audit programmes, including harmonisation, role of exchanges and intermediaries, etc.</p> <p><b>Moderator:</b> Ms. Ruth Crowell, IGG Co-facilitator and Deputy Chief Executive, London Bullion Market Association (LBMA)</p> <p><b>Interveners:</b></p> <ul style="list-style-type: none"> <li>• Ms. Jacqueline Mayor-Meylan, Director Compliance, MKS (Switzerland) SA</li> <li>• Mr. Rami Shakarchi, Managing Director, Emirates Gold and Mr. Abidh C.P., Compliance Officer, Emirates Gold</li> <li>• Mr. Jean-Paul Meutcheho, Director of Corporate Sustainability - Conflict Minerals, Global Advanced Metals</li> <li>• Mr. Andrew Britton, Senior Manager, Climate Change and Sustainability services, Ernst &amp; Young</li> </ul>	<p><b>Donor support for the implementation of due diligence in the Great Lakes Region and beyond.</b></p> <p>While the OECD Guidance is geared towards companies, host governments and donors have a central role to play to create the enabling conditions for responsible supply chains. This session will feature short inputs by DAC donors on how development assistance can be used to facilitate, reinforce, or complement host governments' and companies' efforts for responsible supply chains (both within the mining sector and beyond), and what development related questions they faced while implementing the due diligence Guidance. Other donors and host countries will be invited to share their programmes; participants will discuss these interventions and reflect about entry points for donors and possible good practice.</p> <p><b>Moderator:</b> Mr. Frode Neergaard, Deputy Permanent Representative, Vice-Chair of the OECD Development Assistance Committee and DAC Permanent Delegate, Permanent Delegation of Denmark to the OECD</p> <p><b>Interveners:</b></p> <ul style="list-style-type: none"> <li>• Canada: Mr. Andrew Dawe, CIDA</li> <li>• USA: Dr. Catherine Picard, US Department of State</li> <li>• Switzerland: Mr. Olivier Bovet, EITI Board Member, State Secretariat for Economic Affairs SECO</li> <li>• Netherlands: Ms. Marion van Schaik, Ministry of Foreign Affairs</li> <li>• Germany: Mr. Philip Schuette, Federal Institute for Geosciences and Natural Resources, BGR</li> </ul>
13:00 – 14.30	<b>Lunch</b>	

14.30 – 16.30	<p><b>Public consultation - EU initiative on responsible sourcing of minerals from conflict-affected and high-risk areas</b></p> <p>This session will begin with a presentation by the European Commission’s Ms. Signe Ratso (DG TRADE Director) and will provide participants with an opportunity to provide input and feed into the EU’s on-going public consultation process on a possible EU conflict minerals initiative. Questions relevant for the public consultation are available online: <a href="http://trade.ec.europa.eu/consultations/?consul_id=174">http://trade.ec.europa.eu/consultations/?consul_id=174</a></p> <p><b>Moderator:</b> Ms. Elena Peresso, Member of Cabinet, European Commission, Karel De Gucht's Private Office, Commissioner for Trade</p> <p><b>Interveners:</b></p> <ul style="list-style-type: none"> <li>• Mr. Erik Kajemba, Coordinator, OGP Observatoire Gouvernance</li> <li>• Mr. Steffen Schmidt, Project Manager, International Mining, Wolfram Bergbau und Hütten AG</li> <li>• Mr. Pankaj Parekh, Vice-Chairman, Gem and Jewellery Export Promotion Council India (GJEPC)</li> <li>• Mr. Thomas Kentsch, Corporate Supply Chain Management, Siemens AG</li> <li>• Mr. Benedict Cohen, Chief Counsel for Government Operations, The Boeing Company</li> <li>• Ms. Sophia Pickles, Campaigner, Conflict Resources, Global Witness</li> </ul>
16:30 – 17:00	<b>Break</b>
17:00 – 18:00	<p><b>Next Steps</b></p> <p>OECD Secretariat, IGG Co-Facilitators. Summary of major issues and insights from the two day meeting. Discussion of next steps and expected milestones before the next Forum meeting in November</p>
18:00	<b>Closing of the Forum Meeting</b>