RESOLVE

ROUNDTABLE ON THE FUTURE OF CASM

28-29 JUNE 2010
WASHINGTON D.C.

Stephen D'Esposito, President

Jennifer Peyser, Senior Mediator

Roundtable Objectives

- Explore vision and mandate for CASM or new entity responding to key ASM challenges over the next decade

- Identify criteria/options/models for governance, funding, and an institutional home

- Discuss timeline and process for moving forward – refine option(s); stakeholder consultation and consensus building; other preparation for the September CASM meeting; steps to define business plan

RESOLVE

Meeting Ground Rules

- ☐ Be forward-looking and solution-oriented
- ☐ Focus on issues, not individuals or organizations
- ☐ Make room for comments and ideas from all
- ☐ Keep focused on the group conversation
- ☐ Respect time and use tent cards

RESOLVE

Working Assumptions

- Not a formal CASM meeting
- Shared recognition of need, importance of ASM issues
- Acknowledge past accomplishments & challenges— meeting looks forward
  - $1 million annual budget
  - Over 30 partner agencies
  - Active in over 25 countries
  - 120,000 annual website hits
  - Growing attendance at ACC
  - Effective networking, information sharing

RESOLVE

Working Assumptions

- Question of impact

- CASM "sub-critical" scale

- Governance unclear

- Status quo (including funding) in jeopardy, CASM as currently organized unlikely to continue
    - New Mandate, Role, Mission
    - Need a Business Plan

- Build on CASM assets, build CASM 2.0

RESOLVE

Visioning a New Response to ASM Issues
A Framework

- **Define Problem:**
  - Formalization/Rights (New Law, Policy, Organizing)
  - Sustainable Development (Resources, Partnerships)
  - Issues & Situational Responsiveness (Policy Framework, Project Capacity, Resources, Tools)
- **Beneficiaries:**
  - Small Miners/Communities
  - Governments & National Economies
  - LSM
- **Nature of Needs:**
  - Information Sharing (Network Structure)
  - Policy Gaps (Policy and/or Advocacy Capacity)
  - Solutions in the Field (Project Delivery Structure)

RESOLVE

Visioning a New Response to ASM Issues Feedback

- Repository of best practice

- Capacity to support action on issues

- Models for political and regulatory frameworks

- Models for voluntary initiatives: e.g. support for ethical supply chains, certification

- Responsive to issues (conflict, mercury/cyanide, health, women's issues, conflicts with LSM)

- Emergency issue and site response mechanisms

- Access to resources (micro-finance, market incentives)

RESOLVE

Visioning a New Response to ASM Issues Potential Elements of a Mission

- Promote sustainable development; with responsible ASM as one route; advance formalization were ASM can support sustainable development

- Leaders in ASM policy frameworks and policy tools

- On-the-ground solutions capacity; including technical expertise

- Convene necessary actors and possess expertise to respond to issue challenges

- Access to resources to support ASM solutions

RESOLVE

Visioning a New Response to ASM Issues Guidance Questions

1. What's the need? What are the key challenges or roadblocks to solutions related to sustainable development for the ASM sector?

2. Which of these needs or challenges represent gaps in capacity, coordination, or other support?

3. Where are the most promising opportunities to respond to gaps or enhance existing efforts?

4. Based on the overall landscape of ASM needs and opportunities, what might constitute a compelling mission statement?

RESOLVE

Scope & Role Feedback

- <u>Network & training base</u> (status quo + new capacity)
- <u>Added capacity</u>:
  - Repository of best practice
  - Develop policy tools and solutions
  - Implement solutions in the field
  - Access to experts
  - Source of resources, finance, incentives for solutions
- <u>Questions</u>:
  - Advocacy?
  - Consultancy services?
  - Rapid response capacity?

RESOLVE

Scope & Role
Guidance Questions

- What scope or issue sets will be addressed?

- What should be the role of a new entity or type of services/support offered?

- What specifically would you like to see a new entity accomplish in the next decade? What would be the measures of success?

- Does this suite of scope, role, and outcomes inform an overall mandate that would be compelling to the range of potential partners and sectors?

Governance
Input on Institutional Home

- Government relations "entrée," status, reputation
- Access international and regional/country level networks
- Good reputation, impartial
- Not benefiting any one sector/interest
- Effective, responsive administrative capacity: able to manage finances, membership, with transparency but not bureaucratic and slow
- Builds donor confidence
- Meeting and facilitation skills

RESOLVE

Governance
Nature of Board/Steering Committee

- Tripartite/multi-stakeholder partnership: agencies/government; ASM and civil society; and industry

- Funders participate, but not funder driven

RESOLVE

Governance Examples

- UNEP Global Mercury Partnership ("but more dynamic")

- Cyanide Code Management Institute

- EITI

- Certification initiatives such as Better Cotton, FSC, etc.

- Business for Biodiversity Offset Program (some aspects only)

- Water and Sanitation Program of the World Bank

Governance Guidance Questions

1. What should be the principles in designing a governance structure?

2. What are the key criteria or desirable characteristics of an organization (or organizations) that could provide an institutional home?

3. How would you craft a business case / story for core + program funding?

☐ *Prepare 5-minute maximum report to the full group on 1-3 priority ideas for each of the above questions.*

RESOLVE

Funding Mechanisms –
Feedback on General Principles

- Seek diversity of funding

- Establish long term mechanism

- Solicit funds to respond to donor interest in specific issues (e.g. mercury) as well as general funds

- Should be funded in part by relevant host country governments - test of resolve to engage

- Seek private funds (although some concerns expressed)

- Explore potential "earned-income" project streams

RESOLVE

Funding Mechanisms
Options & Ideas

- Trust Fund
- Direct bi-lateral
- Project-specific funding
  - Become a technical expertise body - organizations agree to work on specific projects with donor funding for core costs
- In-kind support for projects, country- or site-based work
- Membership/dues
- The donor community and private sector may choose to contribute based on host country commitment, actions and success
- Earned, project based income (i.e. hybrid consultancy)

RESOLVE

Funding Mechanisms
Need a Business Case

- Need mandate, business case, evidence of strong management and focus on key programmatic areas and meet the principles of:
  - Action oriented
  - Measurable results – performance evaluations
  - Tripartite or multi-sector governance – a partnership

Funding Mechanisms
Guidance Questions

1. Given vision, mission, and criteria/desired characteristics of housing and governance, what are potential funding mechanisms?

2. Are there existing funding mechanisms that could serve as a model?

3. Are the proposed funding mechanisms sustainable and aligned with the mission?

RESOLVE

RESOLVE

Jennifer Peyser

jpeyser@resolv.org

Stephen D'Esposito

sdesposito@resolv.org

(202)944-2300

www.resolv.org

CONTACT INFO