The African Minerals Development Centre

Business Plan

November, 2012
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Acronyms

ADF  African Development Forum
AfDB  African Development Bank
AMDC  African Minerals Development Centre
AMV  Africa Mining Vision
ASM  Artisanal and small-scale mining
ATPC  African Trade Policy Centre
AU  African Union
AUC  African Union Commission
CASM  Communities and Small-Scale Mining
CEPMLP  Centre for Energy, Petroleum and Mineral Law and Policy
CIIEID  Canadian International Institute for Extractive Industries and Development
CSO  Civil society organisation
ECA  Economic Commission for Africa
EITI  Extractive Industries Transparency Initiative
EI-TAF  Extractive Industries Technical Advisory Facility
E&T  Education and Training
FDI  Foreign Direct Investment
HRD  Human Resources Development
ICMM  International Council on Mining and Metals
IFC  International Finance Corporation
ILO  International Labour Organisation
IM4DC  International Mining for Development Centre
ISG  International study group
JSSO  Joint Secretariat Support Office
KPI  Key Performance Indicator
LFA  Logical Framework Analysis
MCE  Meeting of the Chief Executives
MDG  Millennium Development Goal
MUSD  Million US Dollars
NEPAD  New Partnership for Africa’s Development
NPCA  NEPAD Planning and Co-ordinating Agency
OAGS  Organisation of African Geological Surveys
PGM  Platinum group metals
RBM  Results-based management
REC  Regional Economic Community
RCM-Africa  Regional Coordination Mechanism for Africa
RMCD  Regional Member Countries
RWI  Revenue Watch Institute
SDI  Spatial Development Initiative
SEAMIC  Southern and Eastern African Mineral Centre
SIFEE  Secrétariat international francophone en évaluation environnementale
SRCM  Sub Regional Coordinating Mechanism
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<tr>
<th>Acronym</th>
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<tr>
<td>UNO or UN</td>
<td>United Nations Organisation</td>
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<tr>
<td>UNCTAD</td>
<td>United Nations Conference on Trade and Development</td>
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<tr>
<td>UNECA</td>
<td>United Nations Economic Commission for Africa</td>
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<tr>
<td>UNEP</td>
<td>United Nations Environmental Programme</td>
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<tr>
<td>UNIDO</td>
<td>United Nations International Development Organisation</td>
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<td>WB</td>
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Acknowledgements

This Business Plan was developed under the overall guidance of Her Excellency, Mrs Sinkinesh Ejigu, Minster of Mines of the Federal Republic of Ethiopia, and Chairperson of the Bureau of the Second AU Conference of Minsters Responsible for Mineral Resources Development. The Bureau endorsed the Business Plan at their meeting held on 9 October, 2012.

The Plan was developed with generous financial support from the Australian and Canadian Governments, who also funded the extensive consultations undertaken on the work areas of the African Minerals Development Centre. The AUC, UNECA and AfDB directly supervised the Business Plan development process, including a detailed final review of its contents.
Executive Summary

Introduction

Africa is well endowed with mineral resources and has a long history of mining, but has so far not reaped the developmental benefits from these resources. Historically, this is attributable to the weak integration of Africa’s mining sector into national economic and social activities. The African Union (AU) Heads of State and Government have taken deliberate steps to address this weakness, through the creation of the Africa Mining Vision (AMV), the Action Plan for implementing the Africa Mining Vision (Action Plan) and the establishment of the African Minerals Development Centre (AMDC) to provide strategic operational support for the Vision and its Action Plan.

This Business Plan provides has been developed to facilitate the establishment of the AMDC. The Plan sets out the vision and mission of the AMDC, its structure and governance as well the main Results Areas, with their associated budget.

Vision and Mission of the AMDC

The AMV seeks to create a “transparent, equitable and optimal exploitation of [Africa’s] mineral resources to underpin broad-based sustainable growth and socio-economic development”. The Vision of the AMDC is to become the Facilitator of choice to enable AU member States realise the Africa Mining Vision.

The Mission of the AMDC is to Work with AU member States and their national and regional organisations, including the AUC, the NEPAD Planning and Coordinating Agency (NPCA), and Regional Economic Communities (RECs) to enable mineral resources play a greater transformative role in the development of the continent through increased economic and social linkages, and in this manner, help address its intractable poverty and limited development.

Justification for the AMDC

The central argument for the AMV is that mineral resources can play a transformative role in Africa’s development, based on the creation of appropriate social and economic linkages. Currently there is no single organisation that links Africa’s socio-economic development to its mineral endowment, as demanded by the AMV. The AMDC will fill this gap and provide a central and strategic coordinating capacity for implementing the AMV and its Action Plan. This is necessary given the diversity of challenges that need to be addressed. This diversity, for example, extends from the need to optimise the policy space, to up-scaling geological exploration activities, to improving the viability of small-scale mining, and to addressing serious weaknesses in natural resources governance. For this, the AMDC will need to not only develop
expertise for policy research and analysis, but coordinate expertise from a wide range of sources in support of Africa’s mineral led transformation.

**Outcome chain and Results Areas**

The main developmental outcomes of the AMDC are to create a centre that enhances the capacity of African mining countries to derive economic and social benefits from implementing the Africa Mining Vision; a centre that contributes significantly to the development of African mining economies based on consistent development-oriented mineral policies and regulatory frameworks across the continent. This will require the enhanced use of geological and geospatial information to manage long-term developmental outcomes in African mining countries, as well as a well-governed African mining sector that is socially and environmentally accountable, and provides broad benefits to stakeholders. It will also require a viable and sustainable ASM sector with increased incomes from this sub sector to provide for a decent quality of life for rural communities. It is hoped that the centre will also contribute to a highly skilled and knowledge-driven mining sector which delivers greater economic and social benefits as a result of high productivity levels.

To achieve these developmental impacts, the work of the AMDC has been built around seven Results Areas, all derived from Action Plan. The Results Areas have been designed around a logical framework analysis (LFA) approach, that sets out the logical connection between the higher-level (long-term development) goals of the AMDC, its short-term objectives, and a summary of proposed activities (with associated outputs and outcomes) for each of the seven Results Areas (see Annex 4). The Results Areas and their expected outcomes, based on the above developmental goals, are as follows:

**Results Area 1 - Policy and Licensing**

The expected outcomes are:

1. Enhanced capacities for mineral policy design and understanding the mining value chain;
2. The mining sector in Africa supports a broader share of social and economic development objectives; and
3. African countries receive an enhanced share of mineral revenue.

**Results Area 2 - Geological and mining information systems**

The expected outcomes are:

1. Improved decision-making capabilities to manage the mining sector, as well as other sectors requiring geospatial information; and
2. Improved national and subregional capacities to manage geological and geospatial information for broader development objectives.

**Results Area 3 - Governance and participation**
The expected outcomes are:

1. Strengthened stakeholder capacities to participate fully in governance processes;
2. Improved balance and equity in decision-making in the mineral sector;
3. Improved human rights in Africa’s mineral sector; and
4. Improved social and environmental management of the mineral sector in Africa.

**Results Area 4 - Artisanal and small-scale mining (ASM)**

The expected outcomes are:

1. A viable and sustainable artisanal and small-scale mining sector;
2. Strengthened capacities of ASM operators; and
3. Reduced negative environmental, health and welfare impacts from ASM.

**Results Area 5 - Linkages, investment and diversification**

The expected outcomes are:

1. Increased private sector funding for R&D leading to greater knowledge generation;
2. Strengthened government planning capacities for integrated development and mapping of economic linkages between the minerals sector and other sectors of the economy;
3. Greater domestic availability of investment finance leading to greater wealth creation and ownership by nationals; and
4. Integrated mining infrastructure and spatial development in Africa providing for greater economic and social benefits.

**Results Area 6 - Building human and institutional capacities**

The expected outcomes are:

1. A mining sector with a greatly strengthened and competitive skill base;
2. Strengthened capacities of stakeholders to make decisions affecting various aspects of the mineral value chain;
3. Educational and training delivery in which learning outcomes are aligned to the economic and social development objectives of the AMV; and
4. Liberal movement of skills across regions due to accessibility and accreditation of E&T facilities.

**Results Area 7 - Communication and advocacy**

The expected outcomes are:

1. Enhanced awareness and understanding among stakeholders of the AMV and AMDC activities and the role of these activities in the economic and social transformation of African mining countries;
2. Strengthened capacities of stakeholders to make informed decisions affecting various aspects of the mineral value chain;
3  Strengthened acceptance and ownership of AMV and AMDC activities by all stakeholders in African mining countries; and
4  Increased access to information and knowledge packaging, resulting in improved analysis and decision making.

Funding and resources mobilisation

Budget and staff
A budget of USD 65 million is proposed (see Annex 1), being a considered estimate based on the preliminary work plan and realistic expectations as to what is achievable within a 5-year period. Personnel costs amount to 17 MUSD over five years, while direct programme implementation costs amount to 37 MUSD over the same period. Programme support, reporting and communication and outreach costs amount to USD 6 million.

The budget is based on a regular staff complement of 27 people, engaged on standard UN conditions. The staff comprises a Director of the Centre (D1), 5 senior managers (P5), 6 mid-level professionals (P4) and eight junior professionals (P3 and P2) to provide analytical support for the Results Areas. Seven administrative staff (LL, local level) complete the staff complement. Two posts, a P4 and a P3, have been recommended for the AUC to boost its leadership capacity to implement the AMV. While 20 professional posts sound a large number, Executive Coordination at about 1 MUSD (7% of total personnel costs) have been kept to a minimum. Including overhead costs, Executive Coordination costs constitute 7% (4.8 MUSD), and programme 93% (about 61 MUSD) of total project costs. This indicates a lean centre geared towards programme implementation rather than bureaucracy and inefficiency. The AMDC could be established with a minimum of about 20-25 MUSD, representing about two years of operations.

Funding
Seed funding for the AMDC is expected to come mainly from the Australian and Canadian Governments. Serious interest from other donors, in particular the United Kingdom, the EU, Germany, France and the World Bank, has been expressed and it is expected that some of these may be a part of the Joint Financing Agreement, a cooperative financing platform, while others may fund specific programme activities. In order to diversify funding for the AMDC and secure its long-term sustainability, it will be important to engage China, India and other new entrants in the exploration and exploitation of African mineral resources. The private sector and member States themselves are likely to support a significant portion of programme activities. Fundraising has already commenced and will run in parallel with other start-up activities during the latter part of 2012 and the early part of 2013.
Implementation strategy

The Business Plan covers a five-year period from 2013 to 2017, during which the AMDC will operate in three phases: i) a build-up phase (1 year) during which primary effort is focused on establishing the Centre; ii) a main phase (3 years) in which most of the projects are initiated and carried through; and iii) a review phase (1 year) during which most of the projects are completed and possibilities for the continuation of the AMDC are pursued.

It is proposed that the Centre start work in the second quarter of 2013.

Governance

The AMDC will be housed at ECA and implemented as a joint project of the AU Commission (AUC), the African Development Bank (AfDB) and the United Nations Economic Commission for Africa (UNECA). It has a practical governance structure that allows for effective decision-making and fosters ownership at all levels. Operational level accountability will be held by the Meetings of the Chief Executives (MCEs) of the AUC, the AfDB and UNECA, the Joint Secretariat. The MCEs will be responsible for the supervision of the AMDC, supported by the Joint Secretariat Support Office (JSSO), but will not be involved in day-to-day decisions.

An AMDC Steering Committee will be responsible for providing overall policy direction on the activities of the AMDC, including reviewing its annual work programme and budget, and reviewing and evaluating its activities and effectiveness. The AUC will provide secretariat services for the Committee. It will comprise: the Chair of the Conference of Ministers Responsible for Mineral Resource Development or nominee (as chair), The Chief Executives of the AUC, UNECA and AfDB (or their nominees), 2 nominees of the Regional Economic Communities (RECs), a representative of the funding partners, and the Director of the AMDC.

An Advisory Council will also be established to provide a forum for stakeholder input into the AMDC activities. It will comprise wider representation of stakeholders, including RECs, the private, civil society sectors, participating donors, and academia.

Partnerships

Given the diverse nature of AMDC activities, a wide range of expertise and partnerships will be needed. The AMDC will be required to coordinate expertise from other organisations, and will be expected to develop different cooperative mechanisms for funding, joint research, secondment of staff and partnerships with education and training institutions.

While the primary partners will be the AUC, UNECA and the AfDB, a number of multilateral development partners, the private sector and CSOs have expressed interest in collaborating with the AMDC to realise the Vision. The Business Plan provides an indicative list of potential
partners and the AMDC Results Areas of interest to them, as revealed by preliminary stakeholder consultations.

Bilateral development partners, comprising primarily government-to-government cooperative arrangements, will also be important. Both the Canadian and Australian Governments are active in capacity-building initiatives through ventures such as the International Mining for Development Centre (Australia) (IM4DC) and the Canadian International Institute for Extractive Industries and Development (CIIEID), while China has given active support to large budget infrastructure projects in return for mineral resources. Other partnerships will be forged with research institutions and universities, and with UN entities. The United Nations Environmental Programme (UNEP), the United Nations Conference on Trade and Development (UNCTAD), and the United Nations International Development Organisation (UNIDO) are already participating in the implementation of the AMV.

**Monitoring and evaluation**

An initial Results-Based Matrix setting out goals, outcomes and indicators of achievement has been developed (see Annex 4) and will form the basis for a comprehensive monitoring and evaluation framework to be developed by the AMDC by the end of its first quarter of operations.

Three high-level (external) evaluations by independent evaluators using UN guidelines will be undertaken at the end of years 1, 3 and 5. Regular internal monitoring and evaluation will be integrated into routine processes, including annual reports on outputs and outcomes using verifiable indicators.

An assessment of the risks related to the AMDC as an institution, as well as those linked to its activities and beneficiaries, has been undertaken and a table of risk mitigation measures prepared (see Table 1 in Chapter 11 and Annex 4). The risks will be regularly monitored by the MCEs on behalf of the AMDC Steering Committee.

**Summary**

This Business Plan provides a clear way forward for the establishment of the African Minerals Development Centre. This will be instrumental to the achievement of the Action Plan and in realising the primary goal of the Africa Mining Vision, namely the transparent, equitable and optimal exploitation of Africa’s mineral resources to underpin broad-based, sustainable growth and socio-economic development.

The Business Plan is backed by extensive stakeholder consultations thus providing for comprehensive African ownership, and leadership, over the goals and outcomes for the transformative change in Africa’s mineral sector, as envisaged by the AMV.
1 - Background

Key features of African Mining

Africa harbours the world’s largest mineral reserves of platinum, gold, diamonds, chromite, manganese, phosphates and vanadium. In addition, it has world-class reserves of coal, copper, cobalt, iron ore and uranium. In line with this mineral endowment, Africa is a global leader in the production of platinum group metals (PGMs), phosphate, gold, vanadium, cobalt, diamonds and aluminium and a significant producer of copper and uranium. However, despite its abundant mineral resources and the long history of mining, so far Africa has not reaped the developmental benefits from these resources. Widespread poverty and underdevelopment continue to co-exist with large investments into the mining industry.

Historically, this is attributable to structural deficiencies in Africa’s mining sector, which primarily revolve around its weak integration into national social and economic activities. Key features of this include: the export of mineral output as primary commodities without significant processing into value-added products; imports of most of the inputs that the industry requires; mineral export earnings that do not significantly enter the national economy; a skills base that is dominated by expatriate labour; and a general lack of participation of nationals, including communities, in the mining value chain. While the last decade has seen a significant escalation in foreign direct investment in African mining, the persistence of these structural weaknesses suggests that the contribution of the minerals sector to Africa’s socio-economic development will remain uncertain, and even contested, unless deliberate steps are taken for these major assets to become a significant part of a broad-based development process.

The Africa Mining Vision

The Africa Mining Vision (AMV) was adopted by the First AU Conference of African Ministers Responsible for Mineral Resources Development, held in Addis Ababa in October 2008. In February 2009 the AU Heads of State and Government, at the Summit held in Addis Ababa, adopted the Africa Mining Vision. The vision advocates

“..Transparent, equitable and optimal exploitation of mineral resources to underpin broad-based sustainable growth and socio-economic development”.

The AMV is designed to exploit Africa’s mineral endowment, and the prevailing high commodity prices, to improve its development prospects. It is a strategy for integrating Africa’s mining sector into its broader social and economic development processes, and thereby addressing its persistent poverty and underdevelopment. This is an attempt not only to address the sector’s isolation from mainstream social and economic activities, but to create win-win outcomes for all stakeholders.
The report of the International Study Group

The roots of the AMV can be traced to the “Big Table” held in February 2007 under the auspices of UNECA and the African Development Bank (AfDB). It was attended *inter alia* by Ministers and senior officials from eleven mineral-rich African countries and their counterparts from OECD countries. The theme of the Big Table was “Managing Africa’s Natural Resources for Growth and Poverty Reduction”. Among the many recommendations of the Big Table was the establishment, under the auspices of UNECA, of an International Study Group (ISG) to review Africa’s mineral regimes to make them more development-oriented. The ISG was responsible for researching and writing the report *Minerals and Africa’s Development*, which was published in December 2011. This report formed the primary source of recommendations contained in the Action Plan for implementing the AMV. The ISG process was characterised by extensive multi-stakeholder consultations across Africa, involving RECs, governments, the private sector, CSOs and international development partners and finance institutions. In a sense, therefore, the report is multi-stakeholder owned.

The Action Plan of the AMV

In approving the AMV, the African Union Heads of State and Government called for an Action Plan to guide its implementation. This was subsequently developed and comprises nine core programme clusters of activities in the following areas:

1. Mining revenues and mineral rents management.
2. Geological and mining information systems.
4. Artisanal and small-scale mining.
6. Research and development.
7. Environmental and social issues.
8. Linkages and diversification.

Two additional key areas of focus were added to the Plan by the Second AU Conference of Ministers Responsible for Mineral Resources Development held in December 2011; these are policy, regulations and administration, and information dissemination and advocacy. The Action Plan was reviewed and finalised by a multi-stakeholder group which met prior to the Second AU Conference of Ministers.

Mandates, ownership and leadership of the AMV processes

In addition to adopting the Vision, the first AU Conference of African Ministers Responsible for Mineral Resources Development adopted the Declaration on the Development and Management
of Africa’s Mineral Resources. The Declaration reaffirmed the Ministers’ “commitment to prudent, transparent and efficient development and management of Africa’s mineral resources to meet the MDGs, eradicate poverty and achieve rapid and broad-based sustainable socio-economic development”. In Decision EX.CL/Dec.474(XIV), the AU Heads of State and Government Summit held in February 2009 not only endorsed both the Vision and the Declaration, but also requested “... the AU Conference of Ministers in Charge of Mineral Resources Development to develop a concrete Action Plan for the realisation” of the AMV.

The Action Plan was subsequently approved by the Second AU Conference of Ministers Responsible for Mineral Resources Development, which through the Conference’s Declaration on Building a Sustainable Future for Africa’s Extractive industry – from Vision to Action, endorsed it as the “continental tool for guiding the prudent, transparent and efficient development and management of Africa’s mineral resources in order to meet the MDGs, eradicate poverty and secure broad-based sustainable socio-economic development”. The Second AU Conference of Ministers further approved the establishment of a “Mineral Development Centre to provide strategic technical support capacity to AU/NEPAD, Regional Economic Communities (RECs) and member States for the implementation of the Action Plan and hence the AMV”, and called “on development partners to support the activities of the proposed centre”.

The outcomes of the Second AU Conference of Ministers Responsible for Mineral Resources Development were endorsed by the AU Heads of State and Government Assembly in July 2012 in Decision EX.CL/Dec.714 (XXI). The Decision further requested the “(AU) Commission and NEPAD Planning and Co-ordinating Agency (NPCA), in collaboration with RECs, UNECA and AfDB, to submit to the Assembly every two years, progress reports on the implementation of the Action Plan of the Africa Mining Vision”.

The above decisions of the AU Ministers and Heads of State provide strong mandates for both implementing the AMV and establishing the AMDC. Among the implications of the decisions are the following:

1. The AMV and its implementation processes are owned by the AU leadership at the highest level – the Assembly. While other frameworks and processes for developing mineral resources on the continent may exist, the AMV takes primacy as the continental “home-grown” framework. The strong ownership and leadership exhibited by the AU and its subsidiary constituencies have implications for the governance structures of the AMDC;

2. The Action Plan and AMDC are the principal recognised formal organs for implementing the AMV. The Assembly has given the primary responsibility and mandate for coordinating the implementation of the AMV to the AUC, UNECA and AfDB. This, too, has implications for the governance and management of the AMDC;

3. Through the extensive consultative processes followed, the activities of implementing the Vision are not only multi-stakeholder driven but also co-owned by a broad range of
stakeholders representing governments, private sector, civil society, labour, and academia; and

4. The need for biennial reports to the Assembly has implications for monitoring, evaluation and reporting on the activities of the AMDC

2 - Justification – the need for the AMDC

The primary justification for establishing the AMDC is that the AU member States have requested it and see it as the means to realise the benefits implied by the Vision. This Business Plan therefore not only answers the call by the AU Heads of State and Government, but is essentially a tool for addressing the strong demand for interventions expressed by the AU member States.

Secondly, in the extensive stakeholder consultations undertaken so far, all expressed a strong desire for a centre such as the AMDC to coordinate activities of the multiple actors in Africa’s mining sector. The work areas of the Business Plan have been the focus of two multi-stakeholder consultative workshops held in June 2012. Direct inputs and comments from governments and other stakeholders—including the private sector, regional research institutes and CSOs – have been taken on board. More importantly, however, the stakeholders see themselves not only as partners to the AMDC, but as co-owners of its activities.

The technical argument in favour of the AMDC may be gleaned from the tenets of the Mining Vision. The main features of the mineral sector needed to achieve the Vision are:

- A diversified and globally competitive African mineral industry with broad economic and social linkages
- A transparent and accountable mineral sector in which resource rents are optimized and well managed
- Good governance in which communities and citizens participate in mineral assets and there is equity in the distribution of benefits
- Optimizing knowledge resources to extend the benefits of finite mineral resources at all levels and for all minerals
- Integrating small scale mining to improve rural livelihoods and integration into the rural and national economy
- Improving human and institutional capacities to support innovation, research and development

It is clear from this that implementation of the Vision requires a wide ranging developmental approach. For this reason, the Action Plan for implementing the Africa Mining Vision necessarily contains a large variety of programme activities that address inter alia: the optimisation of the policy space to secure the maximum developmental benefits; upscaling
geological exploration activities to increase the knowledge base of Africa’s mineral potential; addressing the intractable weaknesses of small-scale mining to improve its viability and integrate it into rural development programmes; making governance inclusive of all stakeholders and investing in economic linkages and infrastructure to diversify national economies. These diverse, and at times divergent, needs cannot be met without a strategic coordinating capacity.

The need for strategic coordination is amplified by the proliferation of actors in Africa’s mineral sector. While UNECA, for example, has been active in the mineral policy area and capacity building, it is not the only one. Multilateral agencies such as the EU, World Bank and African Development Bank have also been active in these areas, in addition investment activities related activities. Other UN agencies too have traditionally provided support to AU member States in areas related to the AMV, based on their mandates and competencies. Furthermore, bilateral assistance programmes, based on relations between governments, have been a key feature of African mining, as has been the key role of the private sector in investment activities. Civil society organisations, both local and international, are also active, particularly in areas of governance and community involvement.

It can be presumed, from the above, that technical support for implementing Africa’s mineral development agenda, although widely available, is fragmented and uncoordinated, and hence has little impact on Africa’s broad-based sustainable growth and socio-economic development. Thus implementing the AMV (and its Action Plan) will require a strategic coordination capacity to integrate mining into Africa’s broad stream development – a one-stop shop that harmonises technical support and minimises duplication to expand the developmental impact of technical support from multiple sources.

3 - Vision and Mission of the AMDC

The primary and long-term goal of the AMV is the “transparent, equitable and optimal exploitation of [Africa’s] mineral resources to underpin broad-based sustainable growth and socio-economic development”. Aligned to this, the Vision of the AMDC is to become the:

Facilitator of choice to enable AU member States achieve the Africa Mining Vision

First and foremost, among the many lessons to be learnt from the Nordic countries, Australia and Canada is that resource-based industrialisation is possible. However, in order to achieve this it is fundamental that Africa shifts its focus from simple mineral extraction to much broader developmental objectives in which mineral policy integrates with development policy. For minerals to play a transformative role in Africa’s development, it is necessary to build appropriate social and economic linkages that meet national and regional developmental objectives. Yet, despite the proliferation of actors in Africa’s mineral sector, currently there is no single organisation that integrates approaches to mineral development in the manner demanded by the AMV.
This is the core **Mission** of the AMDC; that is to:

*Work with AU member States and their national and regional organisations, including the AUC, the NPCA, and RECs to enable mineral resources play a greater transformative role in the continent’s development through increased economic and social linkages, and in this manner, help address its intractable poverty and limited development. This is to be achieved by particularly focusing on:*

1. Tracking and coordinating the implementation of the AMV and activities of the Action Plan;
2. Identifying gaps and areas of need in the member States and accessing expertise and information resources from a broad range of local and international sources to address such needs;
3. Undertaking, as well as coordinating, policy research to develop policy strategies and options for realising the Vision;
4. Implementing a continuous advocacy and information dissemination campaign including maintaining websites and discussion fora to engage various stakeholders and help create a “movement” for achieving the AMV;
5. Undertaking monitoring and evaluation activities and proposing corrective action to maintain relevance of interventions to the AMV; and
6. Generally providing a “think-tank” capacity for embedding the AMV into Africa’s long-term development.

The present mineral boom, which has lasted longer than any earlier booms, offers a window of opportunity for African countries to use their mineral resources to develop their economies. Earlier attempts to do so have failed for a variety of reasons. The present proposal to set up the AMDC and its activities differs in several important ways from many current and previous interventions in Africa’s mineral sector. Firstly, the interventions have not been rooted in the need to structurally transform the African mineral sector in a holistic and integrated manner. Secondly, the interventions have been externally driven and have lacked both African ownership and leadership. Thirdly, the AMV and its Action Plan take a longer term view of transforming Africa’s mineral sector in a sustained, coordinated and harmonised manner; and lastly there is a keen understanding of the importance of creating a “movement” of champions at all stakeholder levels including governments, private sector, CSO, academia and others.
4 - **Outcome chain and Results Areas**

**High level impacts**

The high-level and long-term development impacts expected from AMDC activities are:

1. A Centre that enhances the capacity of African mining countries to derive economic and social benefits from implementing the Africa Mining Vision;
2. A mining sector which contributes significantly to the development of African mining economies based on consistent development-oriented mineral policies and regulatory frameworks across Africa;
3. Enhanced use of geological and geospatial information to manage long-term developmental outcomes in African mining countries;
4. A well-governed African mining sector that is socially and environmentally accountable, and provides broad benefits to stakeholders;
5. A viable and sustainable ASM sector with increased income for the sector and for surrounding rural communities, leading to a better quality of life;
6. A mining sector which makes a significant contribution to African resource-based industrialisation through intensive economic and social linkages;
7. A skilled and knowledge-driven mining sector which delivers greater economic and social benefits as a result of its high productivity levels;
8. Improved social and economic development options through a free flow of information among all stakeholders around the AMV, AMDC and mineral-based transformation; and

The above developmental goals are articulated in Annex 4, segmented into key Results Areas of the AMDC. For each Results Area, associated activities, outputs and outcomes have been identified. The Results Areas have been derived from the Action Plan, as approved by the Ministers and the additional focus areas they proposed. More complete details of the activities of the AMDC are hence contained in the Plan itself.

**The seven Results Areas**

In total, there are seven Results Areas, these are:

1. Policy and licensing;
2. Geological and mining information systems;
3. Governance and participation;
4. Artisanal and small-scale mining;
5. Linkages, investment and diversification;
6. Human capital and institutional capacities; and
7. Communication and advocacy.
Below is an outline of each of the Results Areas, including the challenges to be addressed and the goals and outcomes for each of them.

**Results Area 1 - Policy and licensing**

**Key challenges**

A principal obstacle to implementing the AMV is that the mineral policies, and hence regulatory frameworks, of most African mining countries are not, in the first place, development-oriented, and the current approach of taxing the industry in order to obtain development revenue is not at all optimal. The sentiment that Africa does not obtain commensurate compensation from the exploitation of its mineral resources has become particularly pronounced since the current mineral commodity boom, which began around 2003. While the boom has substantially lifted profits for mining companies, African mining countries have not captured a fair share of the potentially large additional profits. This is due to the poorly designed fiscal provisions for collecting mineral rent\(^1\) which are characterised by overly generous tax holidays and poorly designed royalties and additional profit taxes. Transfer pricing has exacerbated this problem for many African mineral exporting countries. Transfer pricing of inputs is often not transparent as equipment prices are not obvious and tax evasion may take place through the use of non-arm’s-length suppliers based in tax havens.

**Results Area goal**

*To create a sustainable and well-governed mining sector that effectively garners and deploys resource rents and contributes to broad-based growth and development*

This Results Area seeks to mainstream the AMV and its tenets into mineral policies and regulatory frameworks of AU member States. It aims to achieve this by: working with member States to redesign their mineral policies and regulatory frameworks for the mining sector; developing guidelines, booklets, and fact sheets; and by undertaking further research work to elucidate AMV-compliant policy options for member States. The Results Area also seeks to optimise the fiscal provisions for mineral taxation, including building the capacity of Government officials to design prudent mineral tax regimes, negotiate meaningful fiscal provisions, and improve the management of mineral revenue. The Results Area is mainly based on programme cluster 1 of the approved Action Plan.

**Expected outcomes**

The expected outcomes for this Results Area are:

1. Enhanced capacities for mineral policy design and understanding the mining value chain;
2. The mining sector in Africa supports a broader share of social and economic development objectives; and

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\(^1\)Mineral rent is the difference between the price and the extraction costs, after accounting for normal returns.
3 African countries receive an enhanced share of mineral revenue.

**Results Area 2 - Geological and mining information systems**

**Key challenges**

The availability of geological and mineral data allows both the public and private sectors to make informed decisions on mineral sector development, and lowers the investment risk for exploration and mine development. An added benefit is that geological information has a universal value and is useful in other economic sectors, such as infrastructure and agriculture.

There is currently limited availability of, and access to, basic geological information and mineral inventories in Africa. A large percentage of the continent is yet to be geologically mapped and explored in a systematic manner and at an appropriate scale. This is mainly due to the inadequate capacity in most member States to carry out exploration activities and store these in digital geological information systems.

The inadequacy of geological and mineral information has resulted in African countries being disadvantaged during negotiations with mining companies because the essential basis for assessing the real value of mineral projects (and granting exploration and mining permits) is missing. Thus a comprehensive geological and mineral information database will not enable only the negotiation of sustainable mineral development contracts with foreign investors, but also provide governments with better developmental decision-making options.

**Results Area goal**

*To improve geological and geospatial information and its use in mining and broad development processes in Africa*

This Results Area aims to enhance the capacities of national geological institutions; increase regional mapping and exploration activities to upgrade mineral inventories and geoscientific information data bases; and, more generally, to improve geological information management systems on the continent. The Results Area is based on programme cluster 2 of the Action Plan.

**Expected outcomes**

The expected outcomes for this Results Area are:

1. Improved decision-making capabilities to manage the mining sector, as well as other sectors requiring geospatial information; and
2. Improved national and subregional capacities to manage geological and geospatial information for broader development objectives.
Results Area 3 - Governance and participation

Key challenges
Public participation processes are not entrenched in the African mineral sector. For example, governments see policy making as their prerogative, and there is an asymmetry in power relations between mining companies and communities, and even between mining companies and governments. This is exacerbated by a general lack of capacity and material resources, especially for weak and vulnerable groups. Often, too, there is a mismatch between the expression in formal instruments of public participation rights and their implementation. Yet public participation legitimises a project, thus reducing the costs emanating from the social tensions that can result from an externally imposed project.

The exploitation of minerals has also been associated with the violation of human rights. This is one of the most prominent issues consistently raised by mining-affected communities and civil society organisations working on mining issues. Respect for human rights by companies is an important part of their social licence to operate, but the scope of the obligations imposed on them by international human rights law is limited and often contentious.

With respect to environmental and social issues, while frameworks that incorporate environmental and, to a lesser extent, social issues into the evaluation of the costs and benefits of mining projects have evolved significantly, their application to assessment and regulation of their impacts has not developed that much in many African countries. Further, even in countries where these have developed, capacity to enforce them is often lacking, particularly to address cumulative environmental impacts in large mining districts. The poor management and regulation of negative environmental and social impacts of mining have fuelled criticism and, in some cases, hostile attitudes towards the mining industry and governments among communities affected by mining and a range of civil society organisations.

Results Area goal
To create a mining sector that is environmentally and socially responsible, and appreciated by all stakeholders including surrounding communities

This Results Area aims to strengthen the policy and institutional space for governance in order to create an inclusive mining sector in which all stakeholders have a voice. It seeks to strengthen transparency and access to information at all levels; improve public participation in the formulation and implementation of national policies, laws and regulations; and develop programmes to strengthen the capacity of local governments, communities, CSOs and oversight bodies (including parliaments) to make informed decisions on mining projects. The Results Area includes a range of environment and social programmes to strengthen skills and capacities for effective environmental regulation and management; and building the capacity of communities and CSOs to negotiate economic and social benefits agreements with mining companies. The Results Area accommodates programme clusters 5 and 7 of the Action Plan.
Expected outcomes
The expected outcomes for this Results Area are:

1. Strengthened stakeholder capacities to participate fully in governance processes;
2. Improved balance and equity in decision-making in the mineral sector;
3. Improved human rights in Africa’s mineral sector; and
4. Improved social and environmental management of the mineral sector in Africa.

Results Area 4 - Artisanal and small-scale mining (ASM)

Key challenges
Artisanal and small-scale mining is beset by a number of challenges which prevent it reaching its full developmental potential. Many of these include inadequate policy and regulatory frameworks; the limited technical capacity of miners; lack of access to finance and appropriate technologies; and, regrettably, child labour issues. These challenges generally lock small-scale miners into a cycle of subsistence operations with significant negative consequences for the environment and human life. Further, the ASM sector is prone to trade in conflict minerals as many of the miners operate outside the law for various reasons.

The ASM sector can be transformed into an engine for sustainable development, particularly in rural areas, if these challenges are adequately addressed through a series of well-targeted interventions. These should recognise the need for ASM policy to be embedded into a broad rural development strategy, taking into account the poverty cycle that limits the development of the ASM sector in Africa.

Results Area goal
To create a mining sector that harnesses the potential of artisanal and small-scale mining to advance integrated and sustainable rural socio-economic development

This Results Area aims to harness the potential of artisanal and small-scale mining by integrating it into sustainable economic and social development activities. Key actions include developing policies, laws and regulations that promote a viable and sustainable ASM sector, and where possible to embed ASM into broad-stream rural development strategies. It also seeks to develop programmes to upgrade the knowledge, skills and technologies used in the ASM sector, and generally to develop institutional capacities that support a viable ASM sector. The Results Area is based on programme cluster 4 of the Action Plan.

Expected outcomes
The expected outcomes for this Results Area are:

1. A viable and sustainable artisanal and small-scale mining sector;
2. Strengthened capacities of ASM operators; and
3. Reduced negative environmental, health and welfare impacts from ASM.
Results Area 5 - Linkages, investment and diversification

Key challenges

Research and development

With the exception of South Africa, the mineral sector in Africa generates little new knowledge in terms of mining-related products, processing technologies and services. There are a number of reasons for this, including the weak funding, from both public and private sources, of technology institutions and research processes, and the generally weak partnerships between research institutes and mining companies. The dearth of R&D activities in Africa presents a critical challenge to the competitiveness of the African mineral sector. Local R&D is a key prerequisite for creating value added to mineral products as well as generating technology options for the mineral sector.

Linkages and diversification

Generally, linkages between the mining and other economic and social sectors are not well developed in the African mineral industry, with the exception of the transport and energy sectors. This reflects the reliance of the industry on extracting and evacuating bulk minerals to overseas markets. A number of challenges inhibit the development of economic linkages in the African mineral sector. These include, for example, large infrastructural deficits; externally oriented procurement policies of mining companies; and the large business skill gaps that exist in the continent generally.

Mobilising mining and infrastructure investment

Although prices for Africa’s mineral resources have risen exponentially, wider investment in mining projects remains a constraint on increased mineral exploitation due to Africa’s large infrastructure deficit, especially in transport and energy. Furthermore, a plethora of perceived risk factors, among them political risk, sovereign credit ratings and technical risk, also tend to limit the levels of investment in mining and infrastructure projects in Africa. A further limiting factor is that domestic sources of capital, as well as the private sector, do not fully participate in infrastructure projects to unlock increased mineral project opportunities.

The possibility of simultaneous infrastructure and mining investment, for example by establishing a natural resources-driven development corridor, offers a pragmatic approach for unlocking not only mining and infrastructure projects, but also other collateral economic and social opportunities.

Results Area goals

To create an investment-friendly mining sector that is a key component of a diversified, vibrant and globally-competitive industrial African economy

The Results Area addresses issues related to research and development, linkages and diversification, and mobilisation of mining, as well as infrastructure investment. Of core
importance here is the need to develop benchmarked programmes and incentives for private-sector-driven investment; and to develop related policies and strategies, as well as projects that enhance mineral value added along the value chain. The Results Area also seeks to develop spatial development corridors, based on mineral resources, in which targeted infrastructure development unlocks other economic opportunities which may otherwise lie fallow. The Results Area is based on programme clusters 6, 8 and 9 of the Action Plan.

**Expected outcomes**

The expected outcomes for this Results Area are:

1. Increased private sector funding for R&D leading to greater knowledge generation;
2. Strengthened government planning capacities for integrated development and mapping of economic linkages between the minerals sector and other sectors of the economy;
3. Greater domestic availability of investment finance leading to greater wealth creation and ownership by nationals; and
4. Integrated mining infrastructure and spatial development in Africa providing for greater economic and social benefits.

**Results Area 6 – Building human and institutional capacities**

**Key challenges**

Institutions that support mineral development in Africa are generally weak and not necessarily suited to meeting the objectives of the AMV. These weaknesses apply to government departments charged with the responsibility for formulating policies, laws and regulations, as well as those tasked with negotiating mineral development agreements and monitoring and regulating the exploitation of mineral resources. These government departments are often poorly resourced, and this exacerbates their weaknesses.

The above weaknesses extend to education and training institutions. This results in significant shortages in mineral-related skilled manpower in both qualitative and quantitative terms. To an extent the situation is exacerbated by the fact that industry does not significantly participate in the delivery of education and training, as happens in mature mining countries such as South Africa, Australia and Canada.

Realisation of the AMV will require a significant upgrade in skill levels, in terms of variety, depth and numbers. For example, public officials charged with administering and managing mineral operations and collecting revenues will need much broader developmental skills, while a number of stakeholder institutions that play a watchdog role, such as parliaments, local communities, civil societies and NGOs, also need capacity-building programmes to enable them discharge their roles more effectively.
Results Area goal

To create a mining sector that is knowledge-driven and is the engine of an internationally competitive African industrial economy

This is a cross-cutting Results Area. It aims at building human and institutional capacities across the other Results Areas, thus supporting a range of aspects such as policy direction, governance and small-scale mining. In terms of knowledge and skills building, the obvious options are to strengthen education and training delivery, align such delivery to the developmental objectives of the AMV, diversify funding sources for education and academic and professional training to include the private sector, and to develop the capacity of stakeholders to participate effectively in the minerals value chain. The Results Area includes actions from programme cluster 3 of the Action Plan and capacity building activities contained in the other Results Areas.

Expected outcomes

The expected outcomes for this Results Area are:

1. A mining sector with a greatly strengthened and competitive skill base;
2. Strengthened capacities of stakeholders to make decisions affecting various aspects of the mineral value chain;
3. Educational and training delivery in which learning outcomes are aligned to the economic and social development objectives of the AMV; and
4. Liberal movement of skills across regions due to accessibility and accreditation of E&T facilities.

Results Area 7 – Communication and advocacy

Key challenges

It is crucial that the work of the AMDC be communicated consistently, widely and timely to all stakeholders both in Africa and globally. This Results Area is another cross-cutting one which seeks to communicate information on the activities and achievements of the AMDC, and generally to sustain a transformative awareness campaign to promote the AMV. The challenge is to create a broad understanding of the activities of the AMDC, thereby engendering acceptance, partnerships and ownership of the activities. A further challenge is to provide a forum for the exchange and cross-fertilisation of ideas, and ensure the AMDC is a vibrant, active and responsive resource for all its member States. The Results Area will build on the excellent momentum created in the lead-up to the Second AU Conference of Ministers Responsible for Mineral Resources Development.

A key lesson from publicity surrounding the 2008 AU Ministerial Conference and the February 2009 AU Summit is that continuity of communications activities is vital. Even though the AMV had been agreed in 2009, by 2011 few constituencies were aware of it. An analysis of web
citations of the AMV since October 2008 bear this out since. While interest peaked around the 1st Conference, this soon dissipated after the February 2009 AU Summit.

Without confidence that progress is being made, there is the possibility that support for the AMV as a developmental mining framework may decline. Hence it is important that the interest of stakeholders is sustained and, where possible, further extended. There is also a need to recognise that the AMV will take some time to implement, so any communications must take a longer term view.

**Results Area goal**

*To improve social and economic development options through a free flow of information among all stakeholders around the AMV, AMDC and mineral-based transformation*

**Expected outcomes**

The expected outcomes for this Results Area are:

1. Enhanced awareness and understanding among stakeholders of the AMV and AMDC activities and the role of these activities in the economic and social transformation of African mining countries;
2. Strengthened capacities of stakeholders to make informed decisions affecting various aspects of the mineral value chain;
3. Strengthened acceptance and ownership of AMV and AMDC activities by all stakeholders in African mining countries; and
4. Increased access to information and knowledge packaging, resulting in improved analysis and decision-making by stakeholders.

**5 - Funding and resources mobilisation**

The AMDC is an African project. African countries and governments have initiated the idea of such a centre and started the implementation process. They have taken ownership of the Centre through their three premier pan-African organisations, namely AUC, AfDB and UNECA. The mineral-rich African countries, together with these three organisations, have a key role in ensuring that the AMDC garners the necessary political support both globally and in Africa, and receives sufficient funding to tackle its important tasks within the proposed time frames.

The diversified nature of its activities will necessarily require of the AMDC a broad range of in-house expertise. Many of the identified activities cannot, however, be exclusively implemented by the Centre. Partnerships and cooperation with other initiatives and projects, both in Africa and globally, will be crucial. To carry out the work outlined in the seven Results Areas, the AMDC will require strong technical expertise and management capacities.

Particularly, the Centre will need:

1. A strong strategic capacity and the ability to provide support to member States to enable them realise the aspirations of the Africa Mining Vision effectively and efficiently;
2. The capacity to be nimble and to respond quickly to identified needs;
3. To be an expertise resource hub capable of marshalling appropriate expertise both from within member States and globally if necessary;
4. Capacity to create effective project teams representing a wide range of expertise; and
5. The ability to nurture current networks and create new ones to facilitate the sharing and transfer of knowledge.

**Funding**

Funding for the AMDC is expected to come from a broad range of sources, with the seed funding coming mainly from the Australian and Canadian governments. Serious interest has been expressed by other donors, in particular the UK, the EU, Germany, France and the World Bank, and it is expected that some of these may be a part of the joint financing agreement. Others may well prefer to fund specific programme activities. It is expected that African Governments, the private sector, the three managing organisations (AUC, AfDB and UNECA) as well as other international organisations, including other members of the United Nations group of agencies, will support the implementation of specific activities.

Ideally, new and innovative ways of funding the Centre, both in kind and with cash, will need to be established in the first years of operation to underline the transformative nature of the AMDC mission. In particular, it would be important to engage China, India, Brazil and other new participants in the exploration and exploitation of African mineral resources, in order to diversify funding for the Centre and secure its long-term sustainability. Ultimately, the long-term sustainability of the Centre can only be assured if the member States in which mining takes place, and the private sector that undertakes the mining activities, take on significant responsibilities in implementing the AMV. Some members of the private sector have already expressed interest in financing some of the activities of the Centre.

Funding partners will make direct arrangements with UNECA about payments, the mechanisms for these, and the conditions for their release, in line with standard practices through a Joint Financing Agreement as a cooperative platform. Management of funds will follow standard UNECA procedures. Before the Centre is established it will be necessary to obtain pledges of some 20-30 million US dollars (MUSD) to cover at least the first two years of activities. This will enable the Centre to offer two-year contracts to staff, at a minimum. Fundraising, which has already commenced, should be scaled up now that the Business Plan has been endorsed by the Bureau of Ministers and will run in parallel to the other start-up activities to the end of 2012 and beginning of 2013.

**Budget**

The proposed budget for the AMDC is outlined in Annex 1. This is divided into three main parts: post resources including overheads; operational costs for the Results Areas; and support costs.
including communications, monitoring and evaluation. It is, of course, neither possible nor appropriate to draw up a definitive budget at this stage and tie up the Centre in too much detail. It is, however, envisaged that a total amount of about 65 MUSD would be a reasonable estimate based both on considerations of what a centre of this type could achieve within a five-year period and the preliminary work plan. At the same time it is clearly understood that this figure represents seed money. The Centre will not be able to implement all the activities in support of the Africa Mining Vision, and many projects and activities will be carried out by other organisations outside the indicated AMDC budget, some in collaboration with the AMDC.

Total regular post resources amount to about 17 MUSD over a period of five years, excluding fellowships and short term experts and consultants. The post resources are based on standard UN salary costs for a full complement of 27 regular staff. If overheads and travel are included, the total cost of establishing and running the Centre, excluding programme and support costs, amounts to about 23 MUSD over five years.

Programme implementation costs amount to 37 MUSD across the six core Results Areas, including capacity-building but not communication and advocacy, which is a support function. If further funding is secured, programme implementation costs could go up to 40-50 MUSD or more, as more partners provide additional project-based finance.

Programme support, reporting, and communication and outreach costs amount to 6 MUSD. Communication and advocacy, including the AMDC Annual Conference and the Advisory Council, will play a more important role in the AMDC than in many similar organisations given the transformational role that the Centre is expected to perform. The budget for these activities is hence larger than in similar organisations. These budget items include statutory reporting costs (for meetings of policy organs), monitoring and evaluation.

Annex 2 shows the distribution of both posts and the overall budgetary resources. The posts comprise a Director of the Centre (D1) to provide overall strategic direction and management of the Centre, five senior managers (P5) to provide programmatic strategic support and leadership for the main Results Areas (one to five), six mid-level professionals (P4), with capacity building (results Area 6) and communications functions (results Area 7) headed at this level, while three lead subsidiary work-streams for the larger Results Areas (one, three and five). Eight junior professionals (7 P3 and 1 P2) provide analytical support for all the Results Areas, while seven administrative staff (LL, local level) complete the staff complement.

The twenty professional posts include two posts (a P4 and a P3) to be seconded to the AUC to backstop its activities for implementing the AMV. Currently, the AUC does not have sufficient technical expertise in mining and this has limited their participation in both developing and implementing the AMV, relying substantially on expertise from UNECA. Yet it will be necessary to have a minimum level of expertise for the AUC to exercise its leadership role in the implementation of the AMV, as well as provide a strong interface between the member States and their intergovernmental structures. The two posts will also enable the AUC participate fully in the JSSO activities.
While twenty professional posts may sound large, Annex 2 demonstrates an optimal staff complement to provide capacity to handle the work programme of the AMDC, without being bureaucratic and inefficient, and yet maintain the ability to respond swiftly to ad hoc requests from member States. For example, if posts are distributed to their functions, Executive Coordination, at 1.2 MUSD, represents only 7% of total regular post resources of about 17 MUSD. Including overheads, Executive Coordination at 4.8 MUSD still represents only about 7% of total project resources of 65 MUSD. Programme implementation, at about 61 MUSD, represent 93% of the total budget of the AMDC over the five year project life.

The Results Areas and their prioritisation were subjected to extensive stakeholder consultations prior to finalising the business plan. Indicative priorities for a number of African mining countries are presented in Annex 3. This initial feedback suggests that policy design, governance and participation, small-scale mining, and linkages and diversification represent areas of relative priority among the member States. These areas have been allocated relatively more post and non-post resources. However, it is clear from Annex 3 that the member States deem the other areas to be important as well.

**Staff**

To be able to take advantage of the window of opportunity presently open in the mineral markets and to realise the goals of the Results Areas, the AMDC must have critical mass. At a minimum, it is estimated that it is necessary to have an in-house core staff of some 25-30 persons for the AMDC to function over at the five-year project period. However, due to the time required for the transformative and structural changes demanded by the AMV, particular in a conservative sector such as mining, the Centre needs to create the momentum to continue operating over a longer period.

The planned activities of the AMDC will place very high demands on the staff and consultants to be hired. It is obvious from the outset that when recruiting staff the net must be cast wide in order to find suitably qualified and experienced persons to work with the Centre. Every effort should be made to recruit the best possible staff from national administrations, academia, the private sector and civil society organisations, as well as international sources. Accordingly, job descriptions should emphasise substantive experience in the mining sector and related disciplines, whether in the sector itself or as a regulator, researcher or policy advocate. While nationality should not be a factor when employing staff, a broad geographical representation, particularly from Africa countries, will be necessary. This point has been emphasised by the Bureau of Ministers meeting of October 2012. The Centre should also aim for a gender balance among its staff.

A proper balance between youthful intellectual exuberance and the necessary skills and experiences will also be desirable. After all, it is a prime task of the AMDC to train staff who will eventually work with the national governments of African member States. The skills
required will not necessarily be found either within the UN system or from Africa alone. The current global mining boom, coupled with the small number of students enlisting in any of the mining-related courses offered around the world, has resulted in a shortage of suitable candidates for all types of jobs in the mining sector. Furthermore, given the developmental nature of the AMV, it will be necessary to broaden the Centre's skill mix to include development-oriented expertise. Of key importance, therefore, is the capacity of the AMDC to offer competitive salaries to the right persons, in accordance with UN rules and regulations.

6 - Implementation strategy - a three-phase approach

This Business Plan for the AMDC covers a five-year period from 2013 to 2017. While it is acknowledged that this is not enough time to complete all the activities outlined, it is too early to determine the form in which the Centre can continue its work after five years. Details of the extended future of the Centre will depend on, among other factors: how successful the Centre has been; willingness of African countries and their partners to continue funding the Centre; and developments in the global mineral sector. It is proposed that within that period the AMDC operates within three phases:

1. The build-up phase (1 year), during which the primary effort is focused on establishing the Centre and diversifying its funding base, cultivating partnerships with governments, the private sector and CSOs both from the continent and abroad; and ensuring all posts are filled with the best staff available. The phase will kick-start a number of project activities, particularly those with short-term goals, in order to produce some quick gains, and to swiftly establish the Centre as a resource for African countries and their organisations. Detailed prioritisation, scoping and planning for longer term projects will also be initiated during this phase. The phase will also be used to initiate the communication function of the Centre (web site, press contacts etc).

2. The main phase (3 years), in which most of the project activities are commenced and implemented. The emphasis will be on consolidating skills and expertise across all Results Areas of the Business Plan, and across its main service lines of policy coordination, research and development; policy advocacy, information networking and building capacities of stakeholders. Within this phase, a wide range of African and global partnerships will be consolidated. Planning to secure the future of the Centre beyond the initial five years should start towards the end of this phase.

3. The review phase (1 year) during which most of the projects initiated are completed and discussions and negotiations concerning the continuation of the AMDC are undertaken based on the evaluation of progress achieved thus far. The Centre must not become a self-perpetuating end in itself, but a source of knowledge and policy advice in demand across Africa. While there are several alternatives for the future of the Centre – such as becoming a stand-alone organisation; becoming attached to a
suitable successor institution for some of its projects; or closing down some its activities – the ultimate decision will be determined by the value the Centre demonstrates to stakeholders.

The Results Areas outlined for the AMDC are extensive and comprehensive. To maximise its impact over the 5-year period of this Business Plan, it is essential that the foundation activities on which other activities will build (some of which will start before phase 1) are identified, resourced and commenced in a planned way. Some of these include:

1. Appointing the Steering Committee and the Advisory Council;  
2. Ensuring joint venture funding arrangements are in place;  
3. Scoping the duties of, and appointing, the Director and other key members of staff;  
4. Obtaining and fitting out premises and infrastructure;  
5. Establishing operating principles for the centre;  
6. Establishing a website and communication strategy; and  
7. Developing a detailed plan for the first year, and a rolling three-year operational plan leading into the main and review phases

7 - Governance

Formal processes

The AMDC will be implemented as a project of the AUC, AfDB and UNECA, and will report to AU member States through regular joint initiatives progress reports of the Chief Executives, who together comprise the leadership of the Joint Secretariat (JS) of the African Economic Community, established by the Assembly of the Heads of State and Government of the Organization of African Unity (OAU) meeting at its 25th Ordinary Sessions in Addis Ababa, Ethiopia, in July 1989. Coordination between the JS entities in AMDC project implementation and reporting will be supported by the Joint Secretariat Support Office. The project will be housed at UNECA, at least for the first five years until its review.

It is anticipated that the three organisations will sign a memorandum of agreement (or letter of understanding) for the project, designating UNECA as the body that will sign the joint financing agreement (see below) for the Centre, on behalf of the partners. UNECA will also provide administrative support to the Centre, including recruitment of its staff, who will be employed under appropriate UN conditions and remuneration rates.

Governance of the AMDC

A solid governance structure for the AMDC will be key to its success. A sound and practical governance structure that allows for effective decision-making and fosters ownership at all levels is proposed.
There will be three tiers to AMDC governance. Operational accountability will be held by the Meetings of the Chief Executives (MCEs) of the African Union Commission, the African Development Bank and the UN Economic Commission for Africa, or their senior representatives.

The MCEs, supported by the JSSO, will be responsible for the overall supervision of the AMDC, but will not be involved in day-to-day or operational decision-making. This will be the responsibility of the Director.

The MCEs will:

1. Appoint the AMDC Director (and Chief Executive Officer), set his/her authorities, role and KPIs and monitor his/her performance;
2. Ensure the Business Plan and operational plans support the strategic and long-term goals set by the Steering Committee;
3. Review the AMDC Business Plan annually, including the annual work programme and budget; and use of donor funding;
4. Ensure appropriate employment and consultancy policies are in place;
5. Ensure clear and robust financial policies and practices are in place and routinely implemented; and
6. Identify and manage risks faced by the Centre.

The MCEs will review the AMDC Annual Report (covering both activities and funding) of management, review the minutes of the Steering Committee for compliance and take on board outcomes of Advisory Council meetings to accommodate stakeholder views.

The AMDC Steering Committee will be the main organ responsible for providing overall policy direction on the activities of the AMDC. It will:

1. Determine the general policy direction governing activities and programmes of the AMDC in line with the outcomes of the AU Conference of Ministers Responsible for Mineral Resources Development and Assembly;
2. Review the annual work programme and budget, and recommend any changes; and
3. Review the annual report of Centre activities and evaluation of the Centre’s effectiveness, and report accordingly to the Ministers.

The Steering Committee will be chaired by the Chair of the AU Conference of Ministers Responsible for Mineral Resource Development, or their nominee. The African Union Commission (AUC) will be the Secretariat for the Committee and convene all its meetings, including those of the Bureau of AU Ministers, as well as the biennial full meetings of AU Ministers Responsible for Mineral Resources Development. Other members of the Committee will be: one nominee of each of AUC, UNECA and AfDB, and three nominees of the Regional Economic Communities (it is suggested the RECs be grouped into two, with one nominee to represent each group), a nominee of the funding partners and the Director of the AMDC. The Steering Committee will meet once a year.

An **Advisory Council** will also be established. This group will provide a forum for diverse stakeholder input. It will:

1. Either on its own initiative or at the request of the Steering Committee, advise the Steering Committee on matters relating to AMDC programmes and activities;
2. Provide a broad representation of African mining stakeholder concerns and interests in relation to AMDC activities;
3. Facilitate communication between AMDC and its stakeholders located both in Africa and globally;
4. Within the framework of the AMDC’s annual business plan, carry out stakeholder consultation, seeking constituency views on AMDC initiatives; and
5. Arrange and conduct interest group meetings from time to time.

The Advisory Council will comprise a broader representation of stakeholders than the Steering Committee, including:

1. Representatives from Regional Economic Communities (RECs);
2. Stakeholders including global mining companies, academia, civil society, gender groups, business enterprises, and trade unions
3. Specialised institutions such as the Southern and Eastern African Mineral Centre (SEAMIC) and global mineral institutions such as the Extractive Industries Transparency Initiative (EITI) and Revenue Watch Institute (RWI); and
4. Participating donors.

The Chair will be appointed by the Steering Committee from among Advisory Council members. To encourage support for the AMDC, observers will be allowed to attend the meetings of the Advisory Council. The Advisory Council will meet annually.
8 - Developing through partnerships

Carrying out the diversified activities of the AMDC will necessarily require a very broad range of partnerships. A key component of the AMDC mandate, therefore, will be the co-ordination of expertise from other organisations, based on their comparative advantage, and placing it at the disposal of the AU member States. Based on the stakeholder consultations, preliminary indicative partnerships have been mapped for the AMDC Results Areas and are reflected in Annex 5. The AMDC will develop many different modes of cooperation with its partners, including funding, joint research, secondment of staff, and partnerships in capacity building, education and training. It is important that all cooperative activities are AMV compliant and that the AMDC maintains control over joint activities.

The primary partners will be the African Union Commission, UNECA and the African Development Bank, who have the main responsibility and mandate of the AU Assembly to coordinate the implementation of the AMV, and have been driving the process for establishing the AMDC. All three have small core mining teams capable of providing robust partnerships and helping with the oversight function through their respective Chief Executive Officers. Some of the major partners are described below - the selection is neither prioritised nor exhaustive.

**African Development Bank**

The AfDB has actively participated in the process leading up to the AMDC through co-funding of the development of the Action Plan. The Bank’s objective is to spur sustainable economic development and social progress in its regional member countries (RMC) by mobilising resources for investment and providing policy advice and technical assistance to support development efforts. In the mining sector more specifically, the Bank: (i) provides governance-related assistance to promote greater transparency and accountability and strengthen legislative frameworks; (ii) through the Africa Legal Support Facility, assists RMCs in international litigation and concession negotiations; (iii) supports educational programmes to build capacity in the sector; and (iv) funds catalytic private-sector-led projects in the areas of mining and infrastructure which foster local content and inclusive community development.

In this context, the AfDB offers partnerships and potentially significant support for AMDC activities related to: mineral rents and investment; human and institutional capacity development; value addition; and economic linkages.

**Multilateral development partners**

A number of multilateral development partners are already active in many areas of relevance to the AMV and some have expressed interest in collaborating with the AMDC.
EU

The EU is already active in providing development finance for infrastructure development and mining through the European Investment Bank and will be an important partner in the implementation of the AMV. The European Commission is also interested in working with the AU in some areas of the AMV under the EU Raw Materials Initiative.

World Bank

The World Bank (WB) and its agencies provide mining finance through the International Finance Corporation (IFC) and by participating in infrastructure finance. The World Bank also supports revenue transparency through the Extractive Industries Transparency Initiative (EITI), contract negotiations through the Extractive Industries Technical Advisory Facility (EI-TAF), and sustainable livelihoods in the small-scale mining sector through the Communities and Artisanal and Small Scale Mining (CASM). The WB is keenly interested in geo-mapping and developing a geosciences database for Africa. To this end, the proposal to set up the African Minerals Geoscience Initiative was enthusiastically welcomed and reviewed during the Eighth African Development Forum (ADF VIII) held in Addis Ababa in October 2012. The proposal seeks to establish a substantial pool of funds, syndicated by the WB, to geomap the continent and develop digital geospatial capabilities, as part of Results Area 2 for implementing the AMV.

The private sector

The private sector, both African and non-African, which have been involved in the development of the ISG’s report and the Business Plan, is a key partner in achieving the goals of the AMV. African mining is dominated by private sector investment, especially juniors, from Australia and Canada. Chinese, Brazilian and Indian investors have also become increasingly active in the African minerals industry and will constitute part of the larger private-sector stakeholder group.

The private sector is expected to support the implementation of the AMV directly through engagement in AMDC project activities and through investment in mining and infrastructure projects. Collaboration will also be pursued through the International Council on Mining and Metals (ICMM), which is involved in ground-breaking research work on policy options and strategies to promote sustainable development in the mining sector.

During ADF VIII, the African Mining Schools Initiative was launched as collaborative effort between Anglo Gold, ECA and AusAID. The Initiative aims to broaden mining skills delivery to accommodate developmental imperatives as envisaged by the AMV. The Initiative has already attracted significant resources as part Results Area 6 on capacity building. Other private sector companies have expressed interest to participate in the Initiative, as well as in other areas of AMDC activities.
**Bilateral development partners**

These comprise primarily government-to-government cooperative arrangements that support or facilitate mining investment from either private or public companies. Such facilitation has seen, for example, use of sovereign wealth funds to purchase equity through national investment guarantee agencies. Both the Canadian and Australian Governments are active in capacity-building initiatives and the provision of social infrastructure aid. Both the Australian and Canadian governments have supported the development of the Business Plan and have pledged support in funding the AMDC.

Notable bilateral initiatives are the International Mining for Development Centre (IM4DC) established by Australia; the Canadian International Institute for Extractive Industries and Development (CIIEID) currently being established by the government of Canada; and the Minerals for Development (M4D) initiative started by the Nordic countries and spearheaded by Finland. The AMDC will seek to create a working partnership with these initiatives.

China has emerged in the last ten years as a major investor in mining in Africa with active and structured support from its government in facilitating investment. China’s approach has involved large budget infrastructure projects, particularly in hydroelectric dams and transport (road, rail and ports) in return for mineral concessions. These resources for infrastructure contracts combine mining contracts and infrastructure projects to offer FDI benefits greater than provided by either FDI source acting separately. They therefore offer possibilities for developing large natural resources development corridors under the AMV. Some of the aspirations of the AMV, including strengthening linkages, local procurement and infrastructure development and collaboration with local entrepreneurs, could be included in the agreements with Chinese investors.

**NGOs and CSOs**

NGOs and CSOs have a major role to play in building capacities for communities, playing an advocacy role to secure their interests, participating in policy-making to ensure all stakeholder interests are secured and generally playing a watchdog role and ensuring that domestication of the Vision captures all aspirations. For NGOs and CSOs to fully discharge these roles, they need to strengthen their technical capacities in relation to various aspects of the mineral value chain. Nevertheless, they remain important partners in implementing the AMV and have key roles to play at national level. Examples of such partnership organisations are the Third World Network-Africa, Publish What You Pay, Southern Africa Resource Watch, Revenue Watch Institute, Tax Justice Network and the EITI. These organisations have been participating in the development of the AMDC work streams.
**Research institutions and universities**

There are a number of mineral development centres of excellence such as the Southern and Eastern African Mineral Centre (SEAMIC), the Secrétariat International Francophone en Évaluation Environnementale (SIFEE) and MINTEK. In addition, mining schools at some universities in African countries will be partners in the work of AMDC. There are also a number of universities and research centres elsewhere with which the AMDC could cooperate in many areas. These include the Centre for Energy, Petroleum and Mineral Law and Policy (CEPMLP) at the University of Dundee and the Vale Columbia Centre on Sustainable International Investment at Columbia University. These institutions have also participated in developing the work streams of the AMDC.

**The United Nations System**

The United Nations System can potentially offer support in implementing the AMV in a number of areas, given the diversity of its competencies. The UN’s primary strengths lie in its neutrality in helping member States in advocacy, in consensus building to create African positions, and in capacity building and policy design roles. Through the UN Regional Coordination Mechanism for Africa (RCM-Africa), and the Sub Regional Coordinating Mechanism (SRCM), the United Nations can provide a coordinated approach in support of the implementation of the AMV.

The Economic Commission for Africa (ECA) has used these attributes to articulate the AMV, providing capacity building in areas such as contract negotiations and policy design, and assisting member States on policy harmonisation in the minerals sector. The United Nations Environmental Programme (UNEP) could contribute resources and technical expertise on the environment and on sustainable development of the AMV; the United Nations Conference on Trade and Development (UNCTAD) has experience in diversifying mineral commodity value chains and investment, while the International Labour Organisation (ILO) could possibly anchor work on labour issues and human rights, as well as small-scale mining. The United Nations International Development Organisation (UNIDO) has previously supported work on small-scale mining technologies and the development of industrial minerals/non-metallic minerals in Africa and could therefore contribute to the work of the AMDC. These UN agencies have been participated, at various points, in shaping the work of the AMDV.

**9 - Monitoring and evaluation: knowing whether the Centre has been a success**

The management approach of the African Mineral Development Centre will focus, first and foremost, on desired results. Supporting systems will be put in place in line with requirements of results-based management (RBM). In particular, monitoring and evaluation will be integrated into programme delivery. The Centre will benefit from monitoring and evaluation systems put in
place by the United Nations, both in general terms and for the other policy centres already operating at ECA (for example the African Trade Policy Centre and the African Climate Policy Centre), but it should also make its own arrangements for regular tracking and monitoring of progress. Constraints encountered will be constantly monitored, while lessons learnt will be consistently applied. AMDC will prepare annual reports reflecting activities undertaken and the outputs and outcomes achieved, using verifiable indicators.

A separate budget line should be allocated to monitoring and evaluation. This will be used to collect necessary data related to achievement indicators and to pay for the services and travel of independent evaluators. To this end, a Results Framework has been drafted setting out achievement goals, achievement indicators and the data required for verification. This will be incorporated into a comprehensive monitoring and evaluation framework to be developed for AMDC by the end of its first quarter of operation.

**Evaluation**

Three main evaluations should be undertaken during the first five years of activity. These are:

1. An initial external evaluation after one year to check that activities have started as planned;
2. A mid-term external evaluation at the end of year three, with a focus on how the AMDC is progressing in terms of its Results Framework; and
3. An end-of-project external evaluation after year five with a focus on outcomes in line with the Results Framework.

There should also be regular (annual) internal self-evaluations. The evaluations will be mandatory and conducted by independent evaluators using normal United Nations guidelines. Each of the three main evaluation reports should be considered and approved by the AMDC Steering Committee.

**Monitoring**

Monitoring activities will be undertaken following UN guidelines and will include:

1. Measurement against indicators in the results-based matrix in Annex 3;
2. Quarterly financial reports to the AMDC Steering Committee;
3. Quarterly Results Area progress reports, that include use of funds, to the AMDC Steering Committee; and
4. ‘Traffic light’ reports, highlighting risks to goal achievement.
10 - Anticipated Risks and Risk Management Strategy

There are two main categories of risks associated with AMDC, namely: those related to AMDC as an institution, and those linked to the Centre’s activities and beneficiaries.

Risk related to AMDC as an institution

With regard to AMDC itself, there is a risk that it may be unable to upscale efforts to meet the demands of various stakeholders due to inadequate financial resources, inadequate human capacity of the Centre, and delay in the take-off of the project. It is therefore particularly important to give attention to the process of ramping up activities.

Lack of or untimely provision of donor resources for the implementation of AMDC activities may hinder efforts by the Centre to provide a rapid and flexible response to requests for its services. The continued credibility of the Centre depends on its ability to continue its work, which in turn is dependent on the resources that it receives. Widening the partnership base and attracting support for the project will therefore remain key.

Risks associated with activities and beneficiaries

The risks associated with AMDC activities and beneficiaries are outlined in Annex 1. These include the risk that participating member States and RECs may not demonstrate high-level commitment to building their institutional capacity to undertake mineral policy analysis. This may be the case when officials trained by AMDC are reassigned to other duties within the government or RECs that have little or no relevance to the training they have received.

There is also a risk posed to beneficiaries arising from uncertain political situations which may lead to delays and disruption in project delivery. Moreover, changing international economic conditions may also pose a risk to project objectives. An associated constraint on results achieved by AMDC is the brain drain of trained government and REC officials. The improved expertise of these officials means that they are often attracted to better paying jobs abroad or to the private sector at home. While this in itself does not reduce the stock of people who understand the issues, there is need for further efforts to be concentrated on building a large and self-renewing base of such personnel if the final impact is to be achieved. This will also ensure that member States and RECs are able to retain staff.

Risk management strategy

Proposals for the mitigation of risks associated with AMDC activities and beneficiaries are outlined in Annex 1. The risk management strategy of AMDC is to meticulously identify risks at the design stage and continuously monitor and assess the risk profile during implementation. The regular meetings of the MCEs, Steering Committee and Advisory Council will provide additional fora for such reassessments.
Unless the AMDC continues to prioritise its activities, there is a risk that its resources will be spread too thin to have meaningful impact. Therefore, very soon after its launch the AMDC will have to develop a detailed time schedule for all activities in order to focus on the most important activities and those for which resources (mainly human) are available. Table 1 presents the identified institutional risks and corresponding mitigation measures.

**Table 1: Institutional Risk Assessment and Mitigation Measures**

<table>
<thead>
<tr>
<th>Risks</th>
<th>Probability</th>
<th>Risk mitigation measures/assumptions</th>
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<tbody>
<tr>
<td>Insufficient AMDC human and financial resources to meet the demands of stakeholders</td>
<td>Low-medium</td>
<td>Building or strengthening partnerships with mining and mineral-related institutions; use of consultants; attract support through resource mobilisation; prepare a comprehensive resource mobilisation plan</td>
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<tr>
<td>Lack of or untimely provision of donor resources to implement AMDC activities</td>
<td>Low</td>
<td>Sponsors to provide operational resources for an initial period of 2 years to secure the start-up of the AMDC; Build AMDC programmes into established UNECA/AUC/AFDB work to facilitate tapping into resources to keep the AMDC operational and maintain its visibility even when donor resources are low</td>
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<tr>
<td>Lack of strong commitment by member states and RECs</td>
<td>Medium-High</td>
<td>Sign Memoranda of Understanding (MoUs) with UNECA and RECs with mineral development as an important component; full consultation with RECs in order to identify and prioritise joint activities with AMDC; operationalise and expand the AMV communication and dissemination strategy</td>
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<tr>
<td>Trained officials of REC and member states are reassigned to other duties</td>
<td>Medium-High</td>
<td>Ongoing development of a large pool of trained personnel</td>
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<tr>
<td>Brain drain of trained officials from RECs and member states</td>
<td>Medium-High</td>
<td>Ongoing development of a large pool of trained personnel to fill any gaps that arise; provide incentives to retain highly skilled staff; encourage cross-ministry collaboration to help maintain continuity at member State level</td>
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<tr>
<td>Supply-side constraints which are not directly addressed by the AMDC</td>
<td>Medium-High</td>
<td>Allocate resources for research, advocacy and emerging issues; provide advisory services on building supply-side capacity</td>
</tr>
<tr>
<td>Reluctance of member States to domesticate the aspirations of the African Mining Vision</td>
<td>Medium</td>
<td>Include parliamentarians and CSOs as target groups of the AMV and the AMDC and provide them with training and advisory services so that they can provide checks and balances. Operationalise and expand the AMV communication and dissemination strategy</td>
</tr>
<tr>
<td>Other mineral-related institutions are not committed to partnership with AMDC</td>
<td>Low</td>
<td>AMDC will demonstrate its willingness to collaborate with partners by developing programmes which emphasise collaboration and will consult widely and hold consultative meetings before launching any programmes</td>
</tr>
<tr>
<td>RECs do not have sufficient staff to commit to participation in the roll out of the activities of the AMDC</td>
<td>Medium</td>
<td>Providing technical support to RECs through backstopping and emphasising the role of RECs as the building blocks of the African Economic Community. Broaden partnerships with mineral development institutions to provide wider support base</td>
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## Annex 1: Proposed Budget for the African Minerals Development Centre

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<tr>
<th>SN</th>
<th>ACTIVITY DESCRIPTION</th>
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<td>Equipment and furniture</td>
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<td>Grand Total</td>
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Annex 2: Distribution of post and resources for the African Minerals Development Centre

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<tr>
<th>Regular posts</th>
<th>Executive Coordination</th>
<th>Work stream 1</th>
<th>Work stream 2</th>
<th>Work stream 3</th>
<th>Work stream 4</th>
<th>Work stream 5</th>
<th>Work stream 6</th>
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Annex 3: Indicative areas of interest in the AMDC Results Area

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<th>Stakeholders</th>
<th>RA1</th>
<th>RA 2</th>
<th>RA 3</th>
<th>RA 4</th>
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</tbody>
</table>

**Legend**

**Results Area (RA) – Policy and Licensing**

1. Design of development-oriented mineral policies and regulatory frameworks
2. Design of improved fiscal frameworks for mineral taxation
3. Management and use of mineral revenue
4. Strengthening stakeholder capacities in policy design, mineral value chain audits, contract negotiation, etc

**Results Area (RA) 2 - Geological and Mining Information Systems**

1. Strengthening geological exploration and mineral information systems and management
2. Strengthening stakeholder capacities

**Results Area (RA) 3 - Governance and Participation**

1. Strengthening mineral sector governance
2. Human rights processes
3. Strengthening environmental and social practice
4. Strengthening stakeholder capacities

**Results Area (RA) 4 - Artisanal and small-scale mining (ASM)**

1. Improving viability of ASM operations
2. Strengthening stakeholder capacities

**Results Area (RA) 5 - Linkages, Investment and Diversification**

1. Strengthening Research and Development
2. Mobilizing mining and infrastructure investment
3. Linkages and diversification
4. Strengthening stakeholder capacities

**Results Area (RA) 6 - Building human and institutional capacities**

1. Strengthening training institutions, skills and expertise

**Results Area (RA) 7 - Communication and Advocacy**

1. Communicating the work of the AMDC
Annex 4: Results-based matrix for the Africa Mineral Development Centre (AMDC)

<table>
<thead>
<tr>
<th>NARRATIVE SUMMARY</th>
<th>EXPECTED RESULTS</th>
<th>PERFORMANCE INDICATORS</th>
<th>MAIN ASSUMPTIONS</th>
<th>RISK MITIGATION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AMV Goal:</strong></td>
<td></td>
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</tr>
<tr>
<td>&quot;To use Africa’s mineral resources to meet the Millennium Development Goals (MDGs), eradicate poverty, and achieve rapid and broad-based socio-economic development&quot;</td>
<td><strong>Impact:</strong></td>
<td>Poverty and underdevelopment (including MDGs) significantly reduced</td>
<td>Extent to which social and economic development indicators improve</td>
<td>Political unrest, wars and corruption will not hinder policy implementation</td>
</tr>
<tr>
<td><strong>Purpose</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To provide strategic technical support capacity to the African Union, Regional Economic Communities and Member States for the implementation of the AMV</td>
<td><strong>Outcomes</strong></td>
<td>A Centre that enhances the capacity of African mining countries to derive benefits from implementing the Africa Mining Vision</td>
<td>Number of countries reporting that AMDC has contributed to strengthened mineral-related policy, legislation and negotiating capacity</td>
<td>External and domestic funding is sufficient to implement the AMV</td>
</tr>
<tr>
<td><strong>Results area 1 - Policy &amp; Licensing.</strong></td>
<td></td>
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</tr>
<tr>
<td><strong>Results Area Goal</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sustainable mining sector with consistent policy and regulatory frameworks across Africa</td>
<td><strong>Impact</strong></td>
<td>Mining sector makes a significant contribution to the development of African mining economies</td>
<td>Improvement in the contribution that mining makes to GDP and social indicators</td>
<td>Governments and mining companies accept the need to institute long-term measures to reform the sector</td>
</tr>
<tr>
<td><strong>Purpose</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>To mainstream the AMV and its principles into mineral policies and regulatory frameworks of AU member States</td>
<td><strong>Outcomes</strong></td>
<td>Enhanced capacities for mineral policy design and understanding the mining value chain</td>
<td>Extent to which stakeholders benefit from increased social and economic impacts of mining</td>
<td>Stakeholders do not have unrealistic expectations</td>
</tr>
<tr>
<td>The mining sector in Africa supports a broader share of social and economic development objectives</td>
<td></td>
<td>Level of improvement in fiscal revenue collected by African mining countries</td>
<td></td>
<td>No major change to the global mineral markets and hence prices of commodities will continue to be remunerative</td>
</tr>
</tbody>
</table>
### NARRATIVE SUMMARY

**Activities**
- Review mineral policies and regulatory frameworks in African mining countries to include development objectives
- Develop and disseminate policy-related templates, guidelines and toolkits
- Build capacity for mineral policy design
- Review mineral regimes in African mining countries to optimise fiscal provisions and improve mineral revenues
- Develop guidelines and specific legal provisions to address transfer-pricing
- Build capacity to negotiate (renegotiate) mineral contracts and to audit the mining value chain

**Outputs**
- Mineral policies and regulatory frameworks of African mining countries aligned with the AMV
- Policy templates, guidelines and toolkits developed and disseminated to member States
- Training workshops on AMV-compliant mineral policy design
- Improved fiscal frameworks for mineral taxation developed and disseminated
- Legislative provisions against transfer pricing developed and implemented
- Training workshops on contract negotiations, transfer pricing and auditing of mining value chains

**Performance Indicators**
- Number of African mining countries with AMV-consistent policy, legislation and regulations
- Extent to which guidelines, templates and toolkits are used by member States
- Number of participants attending AMDC training workshops
- Number of African mining countries optimising their fiscal provisions
- Number of participants attending contract negotiations, transfer pricing and mineral audit training workshops

**Main Assumptions**
- African governments are willing to have new mineral policies and share internal information with AMDC
- No major change to the global mineral markets and hence prices of commodities will continue to be remunerative

**Risk Mitigation**
- Regular dialogue and communication between AMDC and governments to build trust and understand the long term benefits of the AMV
- Regular sharing of information between AMDC and governments on global mineral markets

### Results area 2 - Geological and mining information systems

**Results Area Goal:**
To use geological and geospatial information for broader development in Africa

**Impact:**
Enhanced use of geological and geospatial information to manage long-term developmental outcomes in African mining countries

**Outcomes**
- Improved decision-making capabilities to manage the mining sector, as well as other sectors requiring geospatial information
- Extent to which geological and geospatial databases are used to support decision-making at national and subregional levels

**Purpose**
To improve geological and geospatial information and its use in mining and broad development processes in Africa

**Extent of use of geological and geospatial information across different economic and social sectors**
National governments will adopt a more integrated approach to development

Understanding of development synergies inherent in different sectors

National governments will adopt a more integrated approach to development

Understanding of the benefits of
<table>
<thead>
<tr>
<th>NARRATIVE SUMMARY</th>
<th>EXPECTED RESULTS</th>
<th>PERFORMANCE INDICATORS</th>
<th>MAIN ASSUMPTIONS</th>
<th>RISK MITIGATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improved national and (sub)regional capacities to manage geological and geospatial information for broader development objectives</td>
<td><strong>Outputs</strong></td>
<td>Extent of increase in exploration activities and functioning mineral databases in African mining countries</td>
<td>collaborate on cross-border use of geo-spatial data</td>
<td>cross-border geology and regional collaboration</td>
</tr>
<tr>
<td>Activities</td>
<td></td>
<td>Level of increase in accessibility of geological maps and databases</td>
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<tr>
<td>Revamp national geological surveys in African mining countries</td>
<td></td>
<td>Extent to which geological and geospatial information systems are harmonised at the subregional levels</td>
<td></td>
<td></td>
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<tr>
<td>Increase mapping and geological exploration activities at national and subregional levels</td>
<td></td>
<td>Extent to which continent-wide exploration programme links into national exploration campaigns</td>
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</tr>
<tr>
<td>Strengthen subregional capacities to standardise and manage geological and geospatial information</td>
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<tr>
<td>Develop a continent-wide mapping and mineral inventory program for AUC (in collaboration with the Organisation of African Geological Surveys), with special attention to cross-border areas</td>
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<tr>
<td>Results area 3-Governance and participation</td>
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<td>Result Area Goal:</td>
<td><strong>Impact</strong></td>
<td>Improved ratings of the mining sector, by oversight organisations including Transparency International, and human rights organisations, and through stakeholder surveys</td>
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<tr>
<td>To create a well-governed mining sector that is environmentally, socially and materially responsible, and appreciated by all stakeholders including surrounding communities</td>
<td></td>
<td>African governments and private companies are willing be scrutinised on their performance</td>
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<tr>
<td>An African mining sector that is socially and environmentally accountable, and provides broad benefits to stakeholders</td>
<td></td>
<td>Provide systems to offer positive assistance when deficiencies are identified</td>
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</table>

Page 47
### NARRATIVE SUMMARY

**Purpose**

To strengthen stakeholder participation in the governance processes in order to provide balance and equity in the mineral sector.

**Activities**

- Review policy and institutional space for public participation, transparency and access to information in the mineral sector.
- Strengthen capacity of stakeholders (local governments, communities, CSOs, parliaments, etc.), to make informed decisions.
- Strengthen skills and capacities for effective environmental regulation and management.
- Mainstream environmental, social and human rights issues into mineral policies, laws, regulations and impact assessments.

### EXPECTED RESULTS

**Outcomes**

- Improved balance and equity in decision-making in the mineral sector.
- Improved human rights in Africa’s mineral sector.
- Improved social and environmental management of the mineral sector in Africa.

**Outputs**

- Policy and regulatory frameworks improved in respect of public participation, transparency and access to information.
- Stakeholder capacities strengthened to participate in decision-making.
- Instruments developed to domesticate the Protocol of Free Prior Informed Consent with respect to communities affected by mining.
- Policies and legal frameworks strengthened and effectively implemented in respect of environmental, social and human rights.

### PERFORMANCE INDICATORS

- Extent to which stakeholder participation influences decisions in the mineral sector.
- Extent of decline in human rights violations.
- Satisfaction of stakeholders concerning governance processes in the mining sector in Africa, as demonstrated through regular stakeholder surveys.

### MAIN ASSUMPTIONS

- Governments are willing to cede space for genuine and broad stakeholder participation and engagement in governance processes of the mineral sector.
- African governments and private companies are willing to be scrutinised on their performance on human rights.

### RISK MITIGATION

- Regular dialogue and communication with stakeholders on the benefits of good governance.

### RESULTS AREA 4 - Artisanal and small-scale mining

**Result Area Goal:**

A mining sector that harnesses the potential of artisanal and small-scale mining to advance rural development.

**Impact**

- Increased income for the ASM sector and relevant rural communities leading to a better quality of life.
- Improved indices in the quality of life of ASM operators and communities around them as measured by development surveys.
- National governments are willing to devote resources to ASM.
- Demonstration of social and economic benefits of ASM by AMDC.

**Outputs**

- Policy and regulatory frameworks improved in respect of public participation, transparency and access to information.
- Stakeholder capacities strengthened to participate in decision-making.
- Instruments developed to domesticate the Protocol of Free Prior Informed Consent with respect to communities affected by mining.
- Policies and legal frameworks strengthened and effectively implemented in respect of environmental, social and human rights.

**Indicators**

- Degree of public participation in policy and regulatory formulation and in institutions of governance in the mineral sector.
- Number of mining companies complying with environmental and social regulations.
- Number of mining companies complying with human rights standards as demonstrated through annual stock take by AMDC.
### NARRATIVE SUMMARY

**Purpose**
To strengthen capacities of ASM operations to operate viably with minimum environmental and social damage.

**Outcomes**
- A viable and sustainable artisanal and small-scale mining sector
- Strengthened capacities of ASM operators
- Reduced negative environmental, health and welfare impacts from ASM

**Expected Results**
- Outcomes
- Performance Indicators
- Main Assumptions
- Risk Mitigation

**Activities**
- Review of policies, laws, regulations, standards and codes relating to ASM to improve viability and integration into the rural economy
- Develop programmes to upgrade knowledge, skills and technologies in the ASM sector
- Review of health, safety, environment, gender, labour standards, working conditions and human rights in ASM in Africa

**Outputs**
- ASM policies, laws and regulatory framework improved
- Programmes and capacity building workshops for ASM operators
- Reports and guidelines on safety, environmental, labour and human rights for the ASM reviewed

**Impact**
- The mining sector makes a significant contribution to African resource-based industrialisation and social economic development
- Increase in share of Africa’s GDP attributed to the mining sector as shown through annual economic reviews of World Bank/UN statistics
- Governments are willing to provide resources for implementing an integrated approach to development

**Results Area Goal:**
An investment-friendly mining sector that is a key component of a diversified, vibrant and globally-competitive industrial African economy
<table>
<thead>
<tr>
<th>NARRATIVE SUMMARY</th>
<th>EXPECTED RESULTS</th>
<th>PERFORMANCE INDICATORS</th>
<th>MAIN ASSUMPTIONS</th>
<th>RISK MITIGATION</th>
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<tr>
<td>Purpose</td>
<td>Outcomes</td>
<td>Level of increase in private sector funding to R&amp;D</td>
<td>Private sector is willing to invest in domestic R&amp;D and value-creating projects</td>
<td>Governments provide a supportive and enabling environment</td>
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<tr>
<td>To promote linkage development between the mining and other economic and social</td>
<td>Increased private-sector funding for R&amp;D leading to greater knowledge creation and use</td>
<td>Increase in domestic linkages between mining and other economic sectors</td>
<td>African mineral-rich countries are willing to explore an integrated approach to mineral development</td>
<td></td>
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<tr>
<td>sectors through knowledge creation, greater domestic financing and an integrated</td>
<td>Strengthened government planning capacities for integrated development and mapping</td>
<td>Level of participation of nationals and local institutions in financing mining and</td>
<td>Governments and industry leaders</td>
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<td>approach to mineral development</td>
<td>of economic linkages between the minerals sector and other sectors of the economy</td>
<td>infrastructure projects</td>
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<td>Greater domestic availability of investment finance leading to greater wealth</td>
<td>Number of integrated SDI projects undertaken at national and subregional levels</td>
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<td>creation and ownership by nationals</td>
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<td>Integrated mining infrastructure and spatial development in Africa providing for</td>
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<td>greater economic and social benefits</td>
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<tr>
<td>Activities</td>
<td>Outputs</td>
<td>Degree of private sector participation in R&amp;D</td>
<td>Private sector is willing to invest in domestic R&amp;D and value creating projects</td>
<td>Governments provide a supportive and enabling environment</td>
</tr>
<tr>
<td>Develop mineral policy and tax laws that encourage private sector participation in</td>
<td>Mineral policies that provide an enabling environment for private sector investment</td>
<td>Number of countries adopting policies that encourage creation of value added in the</td>
<td>African mining countries are willing to explore an integrated approach to</td>
<td>Formal mechanisms are established for dialogue between governments and</td>
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<td>R&amp;D</td>
<td>in R&amp;D</td>
<td>mining sector</td>
<td>development</td>
<td>industry leaders</td>
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<td>Develop policies and strategies to enhance mineral value added along the value</td>
<td>Mineral policies and strategies that encourage the creation of value-added in the</td>
<td>International investment agreements that enable African mining economies to develop</td>
<td>Parties to international agreements are willing to have dialogue on realignments</td>
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<td>chain (including beneficiation, local content, employment creation, etc)</td>
<td>mining sector</td>
<td>local beneficiation industries</td>
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<td>Review and align international agreements to promote domestic mineral-based</td>
<td>International investment agreements that enable African mining economies to develop</td>
<td>Number of international agreements that support domestic beneficiation and value added</td>
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<td>industrialisation</td>
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<td>Develop domestic structures for planning and financing mining and infrastructure</td>
<td>Structures developed in African mining countries for planning and financing</td>
<td>Increase in projects that have a domestically financed component</td>
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<td>projects</td>
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<td>Develop strategies and scoping studies</td>
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<td>MAIN ASSUMPTIONS</td>
<td>RISK MITIGATION</td>
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<td>for mineral-driven spatial development corridors</td>
<td>developed for mineral-based SDI corridors</td>
<td>countries undertake scoping studies for mineral-based SDI corridors</td>
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Results area 6 - Human capital and institutional capacities

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<th>Impact</th>
<th>Expected Results</th>
<th>Performance Indicators</th>
<th>Main Assumptions</th>
<th>Risk Mitigation</th>
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</thead>
<tbody>
<tr>
<td>A skilled and knowledge-driven African mining sector that supports a competitive African industrial economy</td>
<td>A mining sector which delivers economic and social benefits to a broad range of stakeholders based on high productivity levels.</td>
<td>Improved economic and social indicators for Africa in Annual World Bank/UN publications</td>
<td>Governments and mining companies are willing to share the economic and social benefits resulting from a competitive and highly productive mining sector</td>
<td>Strong government leadership in assuming the role of the developmental state</td>
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Purpose

To build capacities in the African mining sector through strengthened delivery of, and access to, quality E&T and short-term courses on the mineral value chain

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<tr>
<th>Purpose</th>
<th>Outcomes</th>
<th>Impact</th>
<th>Expected Results</th>
<th>Performance Indicators</th>
<th>Main Assumptions</th>
<th>Risk Mitigation</th>
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</thead>
<tbody>
<tr>
<td>To build capacities in the African mining sector through strengthened delivery of, and access to, quality E&amp;T and short-term courses on the mineral value chain</td>
<td>A mining sector with a greatly strengthened and competitive skills base</td>
<td>Degree of improvement in skills base of the mining sector as shown through periodic surveys of selected companies</td>
<td>Governments and mining companies are willing to continuously invest in skills building based on the needs of the AMV</td>
<td>Dialogue and communication among all stakeholders</td>
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<td></td>
<td>Educational and training delivery in which learning outcomes are aligned to the economic and social development objectives of the AMV</td>
<td>Extent to which principles of AMV are included in learning programmes</td>
<td>The policy and institutional landscape allows for greater stakeholder participation and voice</td>
<td>Demonstration by the AMDC of benefits in broader access to learning</td>
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<td></td>
<td>Strengthened capacities of stakeholders to make decisions affecting various aspects of the mineral value chain</td>
<td>Extent to which stakeholder participation is effective as revealed by periodic stakeholder surveys.</td>
<td>Governments promote access to cross-country learning facilities</td>
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<td>Liberal movement of skills across regions due to accessibility and accreditation of E&amp;T facilities</td>
<td>Extent to which foreign African nationals study and work in other African mining countries</td>
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Activities

Assess human resource and skills needs of African mining countries and develop a skills forecasting model

Develop strategies to diversify funding of E&T to include private sector

Develop strategies to align education and training delivery to AMV principles and

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<th>Performance Indicators</th>
<th>Main Assumptions</th>
<th>Risk Mitigation</th>
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<td>Assess human resource and skills needs of African mining countries and develop a skills forecasting model</td>
<td>Assessment of skills undertaken and a skills focussing model developed</td>
<td>Extent to which assessment and skills forecasting model is used by member States to guide skills development</td>
<td>Governments and the private sector are willing to implement the outcomes of the assessments and strategies developed</td>
<td>Good dialogue and communication among all stakeholders</td>
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<td>Develop strategies to diversify funding of E&amp;T to include private sector</td>
<td>Strategies for diversifying E&amp;T developed and implemented</td>
<td>Extent to which the private sector participates in E&amp;T</td>
<td>Institutions of learning are willing to collaborate in implementing cross-country initiatives</td>
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<td>Develop strategies to align education and training delivery to AMV principles and</td>
<td>Strategies to align E&amp;T delivery to AMV and needs of industry developed and implemented</td>
<td>Degree of alignment of E&amp;T to Governments and the private sector are willing to implement the outcomes of the assessments and strategies developed</td>
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Demonstration by the AMDC of benefits in broader access to learning |
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<th>NARRATIVE SUMMARY</th>
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<th>MAIN ASSUMPTIONS</th>
<th>RISK MITIGATION</th>
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<tr>
<td>needs of industry</td>
<td>Training workshops on various aspects of the mineral value chain</td>
<td>objectives of the AMV</td>
<td>RECs provide effective leadership on cross-country arrangements for E&amp;T</td>
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<tr>
<td>Build stakeholder capacities to participate effectively in the minerals value chain (eg in policy design, contract negotiations, value chain audits)</td>
<td>Accreditation framework developed and implemented</td>
<td>Number of stakeholders participating in capacity-building workshops</td>
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<td>Develop uniform accreditation frameworks to improve cross-country access to E&amp;T and promote movement of skills</td>
<td>Levels to which cross-country access to learning improve</td>
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**Results area 7 - Communication and Advocacy**

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<tr>
<td>To improve the social and economic development options through a free flow of information among all stakeholders around the AMV, AMDC and mineral-based transformation</td>
<td>Improved stakeholder equity in the distribution of benefits of economic and social transformation of African mining countries</td>
<td>Extent to which human and social development indicators improve</td>
<td>Governments and the private sector are willing agents in the economic and social transformation of the African mining sector</td>
<td>Regular updates and examples of success provided to Ministers and mining companies</td>
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**Purpose**

To strengthen awareness, understanding, capacities and ownership of the AMV and its Action Plan, and the activities of the AMDC amongst African and international constituencies

**Outcomes**

- Enhanced awareness and understanding by stakeholders of the AMV and AMDC activities and their role in the economic and social transformation of African mining countries
- Strengthened capacities of stakeholders to make informed decisions affecting various aspects of the mineral value chain
- Strengthened acceptance and ownership of the AMV and AMDC activities by all stakeholders in African mining countries
- Increased access to information and knowledge packaging resulting in improved analysis and decision-making

- Extent to which the AMV and AMDC activities are referenced by stakeholders in media and other communication tools
- Extent of participation by stakeholders in the activities of the AMDC
- Improved quality of debate on the mining sector as demonstrated through regular surveys of stakeholder publications and media reporting

- Extent to which key stakeholders, eg the media, reflect the principles of the AMV

- Governments support the free flow of information on the AMV and AMDC among stakeholders
- Stakeholders are willing to own and champion the AMV and AMDC activities

- Sensitisation campaigns by the AMDC on the benefits of free flow of information about the AMV among stakeholders
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<th>NARRATIVE SUMMARY</th>
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<th>MAIN ASSUMPTIONS</th>
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<td>Develop and implement a proactive and differentiated strategy targeting all stakeholders to communicate the AMV and AMDC activities</td>
<td>Proactive and differentiated strategy developed and disseminated</td>
<td>Number of stakeholder organisations referencing the AMV and the AMDC as a key influence in mining</td>
<td>Stakeholders see the importance of the AMV and AMDC activities</td>
<td>Regular opportunities for two-way feedback with stakeholders</td>
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<tr>
<td>Develop and implement a minerals and development communications strategy</td>
<td>Strategy on minerals and development developed and disseminated</td>
<td>Extent to which the minerals and development strategy is adopted and implemented in African mining countries</td>
<td>Media is not drowned out by unexpected high-profile stakeholders</td>
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<td>Develop and implement a media strategy targeting differentiated stakeholders</td>
<td>A media strategy developed and disseminated</td>
<td>Number of African media referencing or implementing the media strategy</td>
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<td>Create media and stakeholder champions (especially for high-level advocacy) for the AMV and AMDC in African mining countries and globally</td>
<td>Media champions identified and regular contact maintained with them</td>
<td>Number of AMV/AMDC champions created across the continent</td>
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<td>Build the capacity of the media and other stakeholders on various aspects of the AMV and AMDC activities</td>
<td>Stakeholder champions identified and regular contact maintained with them</td>
<td>Number of people attending training workshops on communications and advocacy on the AMV</td>
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**Annex 5: Indicative partnerships on the AMDC Results Areas as expressed during stakeholder consultations**

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Legend - See Annex 2