

## Annex

### Table 1<sup>1</sup>

#### Baseline for Generally Accepted International Best Practice in the Mining and Minerals Industries<sup>2</sup>

### Report of the Mining Minerals and Sustainable Development Project

In 1999, key leaders in the minerals industry, government, and civil society initiated what became a three-year process of consultation, research, and dialogue, the Mining, Minerals and Sustainable Development Project. The report of that effort, submitted at the World Summit on Sustainable Development in Johannesburg, is widely recognized as a baseline for performance in the minerals industries. The final report from 2002 is entitled, *Breaking New Ground: Mining, Minerals and Sustainable Development*, and is available on the website of the International Institute for Environment and Development at: <http://pubs.iied.org/9084IIED.html> (last visited July 16, 2012).

### Extractive Industries Review

In 2002, the World Bank began a three-year review of its policies in the extractive industries under the leadership of Indonesia's former Environment Minister, Dr. Emil Salim. While the World Bank failed to accept all of its recommendations, the Extractive Industries Review's (EIR) final report in 2004, *Striking a Better Balance—The World Bank Group and Extractive Industries: The Final Report of the Extractive Industries Review*, is a widely recognized source

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<sup>1</sup> An earlier and less complete version of this Table was recently published in Buxton, MMSD+10: Reflecting on a decade (IIED 2012) at 13, available at <http://pubs.iied.org/1604IIED.html> (last visited August 5, 2012).

<sup>2</sup> There are other authoritative statements of practice applying to specific issues affecting particular segments of the minerals industries. Examples are the Kimberly Process (diamonds) and the Cyanide Management Code (for processing employing cyanide).

of best practice and is available at

[http://www.ifc.org/ifcext/eir.nsf/AttachmentsByTitle/FinalMgtResponseExecSum/\\$FILE/finaleirmanagementresponseexecsum.pdf](http://www.ifc.org/ifcext/eir.nsf/AttachmentsByTitle/FinalMgtResponseExecSum/$FILE/finaleirmanagementresponseexecsum.pdf) (last visited July 16, 2012).

## International Council on Mining and Metals Principles and Toolkits

The International Council on Mining and Metals (ICMM) has produced the “ICMM Principles,” widely regarded as a consensus statement of the expectations for the social, economic and environmental performance of mining companies. The ICMM Principles are available at <http://www.icmm.com/our-work/sustainable-development-framework/10-principles> (last visited July 16, 2012).

The International Council on Mining and Metals has further produced “Toolkits” that are widely recognized as best practice guidance on the subjects that they address. These Toolkits include topics such as *Planning for Integrated Mine Closure*, *Indigenous Peoples and Mining*, *Mining: Partnerships for Development*, and many more are available at [www.icmm.com/library](http://www.icmm.com/library) (last visited July 16, 2012).

## Global Reporting Initiative

The Global Reporting Initiative (GRI) is a network-based organization that produces a comprehensive sustainability-reporting framework of principles and performance indicators that organizations can use to measure and report their economic, environmental, and social performance. This GRI (and its *Mining and Metals Sector Supplement*) forms the baseline for reporting on environmental, social, and economic performance in the minerals industries. The GRI and the *Mining and Metals Sector Supplement* are available at

<https://www.globalreporting.org/reporting/sector-guidance/mining-and-metals/Pages/default.aspx> (last visited July 1, 2012).

## Global Compact

“The UN Global Compact is a strategic policy initiative for businesses that are committed to aligning their operations and strategies with ten universally accepted principles in the areas of human rights, labour, environment and anti-corruption. By doing so, business, as a primary driver of globalization, can help ensure that markets, commerce, technology and finance advance in ways that benefit economies and societies everywhere.” Global Compact Website, available at <http://www.unglobalcompact.org/AboutTheGC/> (last visited August 3, 2012).

## Extractive Industries Transparency Initiative

The Extractive Industries Transparency Initiative (EITI) is a set of principles and procedures aimed at strengthening accountable and transparent governance in resource-rich countries through the verification and full publication of company payments and government revenues from oil, gas, and mining. It’s centered on a coalition of governments, companies, civil society groups, investors, and international organizations. More information on the EITI is available at <http://eiti.org/> (last visited July 1, 2012).

## Voluntary Principles for Security and Human Rights

The Voluntary Principles for Security and Human Rights provide a broad framework that can help companies operate in ways that provide security to their facilities while respecting human

rights and fundamental freedoms. Unveiled in December 2000 by the U.S. State Department and the Foreign and Commonwealth Office of the United Kingdom, after a yearlong process involving government officials, oil and mining companies, and non-governmental organizations (NGOs). The Voluntary Principles for Security and Human Rights provide guidance to companies operating in zones of conflict or fragile states and are available at [http://www.voluntaryprinciples.org/files/voluntary\\_principles\\_english.pdf](http://www.voluntaryprinciples.org/files/voluntary_principles_english.pdf) (last visited July 1, 2012).

## IFC Performance Standards

The Performance Standards of the International Finance Corporation (IFC) are applicable to all projects supported by the IFC and the Multilateral Investment Guarantee Agency (MIGA), both arms of the World Bank Group. The Performance Standards are available at <http://www.ifc.org/ifcext/sustainability.nsf/Content/PerformanceStandards> (last visited July 16, 2012).

The Performance Standards are also broadly applicable to projects supported by most private financial institutions, through their adherence to the Equator Principles, which are available at <http://www.equator-principles.com/> (last visited July 16, 2012).

Furthermore, note that the Performance Standards have recently been revised considerably; more information from Mehrdad Nazari, “Updated IFC Performance Standards and changes to Equator Principles” (Wausau, Wisconsin: Prizma, 2011), available at <http://prizmablog.com/2011/05/24/updated-ifc-performance-standards-and-changes-to-equator-principles/> (last visited July 16, 2012).

## Human Rights

The United Nation's Guiding Principles on Business and Human Rights, which now represent the UN's official position on corporate duties toward human rights, are available at <http://www.business-humanrights.org/media/documents/ruggie/ruggie-guiding-principles-21-mar-2011.pdf> (last visited July 16, 2012). The Special Representative's online portal is available at <http://business-humanrights.org/SpecialRepPortal/Home> (last visited July 16, 2012).

## OECD Guidelines for Multinational Enterprises

The *OECD Guidelines for Multinational Enterprises* were updated in 2012 to incorporate human rights into corporate duties. They are available at <http://www.oecd.org/dataoecd/43/29/48004323.pdf> (last visited July 16, 2012).

## Indigenous Communities And Extractive Industries

James Anaya, the United Nations Special Rapporteur on the Rights of Indigenous Peoples, issued a preliminary report on August 30, 2011, which is available at <http://unsr.jamesanaya.org/notes/annual-report-to-the-human-rights-council-with-preliminary-assessment-of-extractive-industries-operating-in-or-near-indigenous-territories> (last visited July 16, 2012).

The Special Rapporteur's online portal further contains a variety of useful national studies and is available at <http://unsr.jamesanaya.org/index.php> (last visited July 16, 2012).

## Akwé: Kon Guidelines

The *Akwé: Kon Voluntary Guidelines for the Conduct of Cultural, Environmental and Social Impact Assessments Regarding Developments Proposed to Take Place on, or which are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities (Akwé: Kon Guidelines)*, prepared by the Secretariat of the Convention on Biological Diversity, are designed to set out accepted processes for consultation of indigenous communities where development may impact indigenous lands and resources. The *Akwe-Kon Guidelines* are available at <http://www.cbd.int/doc/publications/akwe-brochure-en.pdf> (last visited July 16, 2012).

## Framework for Responsible Mining

The Framework for Responsible Mining is a joint effort by N-G-Os, retailers, investors, insurers, and technical experts working in the minerals sector. It outlines environmental, human rights, and social issues associated with mining and mined products and it is available at <http://www.frameworkforresponsiblemining.org/> (last visited July 16, 2012).

## The Natural Resource Charter

The Natural Resource Charter is a set of principles for governments and societies on how to best harness the opportunities created by extractive resources for development and is available at <http://www.naturalresourcecharter.org/> (last visited July 16, 2012).

## Extractive Industries Source Book

A website that attempts to collect widely recognized statements on current best practice in the extractive industries—particularly in oil, gas, and mining. It is run from the Centre for Energy, Petroleum and Minerals Law and Policy at the University of Dundee. The Extractive Industries Source Book is available at <http://www.eisourcebook.org/> (last visited July 16, 2012).