
Ghana Responsible Mining Alliance

The Ghana Responsible Mining Alliance is a Global Development Alliance (GDA) of Gold Fields Ghana, Newmont Ghana Gold Ltd. and the U.S. Agency for International Development. The Alliance is committed to healthy, prosperous and lasting communities in Asutifi and Wassa West districts and to building a roadmap for responsible mining in Ghana.



Asutifi District Development Planning Officer Kofi Antwi Boasiako, September 13, 2006 – USAID/Ghana Photograph

Collaborative Planning: Findings and Options

May 2007

This report was prepared for the Ghana Responsible Mining Alliance by RTI International (Research Triangle Institute), Research Triangle Park, North Carolina USA

Acknowledgements

The Ghana Responsible Mining Alliance thanks the many organizations and individuals who contributed to collaborative planning in Asutifi and Wassa districts and in Accra. The Alliance extends special thanks to:

- Asutifi and Wassa West Districts Assemblies for taking the lead for district planning workshops held in Asutifi and Wassa West districts in September 2006
- Workshop participants from Asutifi and Wassa West districts and Accra for sharing time, energy and insights
- Kofi Antwi Boasiako, Development Planning Officer, Asutifi District Assembly, for his leadership and facilitation of planning workshops in Asutifi and Wassa West districts
- Lydia Okle, USAID/Ghana, project development team, for assistance with workshop logistics and documentation
- The Institute of Local Government Studies (ILGS), Accra, Ghana, for participation and use of equipment
- Representatives of the USAID-supported TIPCEE (Trade and Investment Program for a Competitive Export Economy) and GAIT II (Government Accountability Improves Trust) projects for assistance with planning and facilitation

Contact for Additional Information

Information about the Ghana Responsible Mining Alliance is available from the USAID/Ghana, Office of Democracy and Governance (DG Office), Accra, 228440 or 780-580.

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4. International Codes of Conduct and Best Practices Matrix
5. Memorandum of Understanding – Partnership Agreement, May 24, 2006
6. Draft Alliance Organizational Chart (Organigram)
7. Web Resources

Abbreviations and Acronyms

AAGI	Ahafo Agribusiness Growth Initiative
AEA	Agriculture Extension Agent
APELL	Awareness and Preparedness for Emergencies at Local Level
CHRAJ	Commission on Human Rights and Administrative Justice
DA	District Assembly
DCE	District Chief Executive
DG	Democracy and Governance
DPO	Development Planning Officer
EDC	Education Development Center
EGAT	USAID Office of Economic Growth and Transition
EITI	Extractive Industries Transparency Initiative
EPA	Environmental Protection Agency
GAIT II	Government Accountability Improves Trust II
GDA	Global Development Alliance
Gold Fields	Gold Fields Ghana
GOG	Government of Ghana
GRI	Global Reporting Initiative
GTZ	<i>Gezellschaft für Technischen Zusammenarbeit</i> , a limited liability company owned by the German federal government for technical cooperation and assistance in developing countries
ICMC	International Cyanide Management Code
ICMM	International Council on Mining and Metals
IFC	International Finance Corporation
ILO	International Labour Organization
ILGS	Institute of Local Government Studies
ISO14001	Environmental management system that supports systematic approach and continual improvement in environmental management
LEEP	Livelihood Enhancement and Community Empowerment Program
MLGRDE	Ministry of Local Government, Rural Development and Environment
MOFA	Ministry of Food and Agriculture
MoU	Memorandum of Understanding
Newmont	Newmont Ghana Gold Ltd.
OICI	Opportunities Industrialization Centers International
PMP	Performance Management Plan
SEED	Sustainable Community Empowerment and Economic Development Program
SMC	School Management Committee
SME	Small Medium Enterprise
SNV	Netherlands Development Organization
TIPCEE	Trade and Investment Program for a Competitive Export Economy
USAID	U.S. Agency for International Development
UNEP	United Nations Environment Programme
U.S. DOD	U.S. Department of Defense
Voluntary Principles	Voluntary Principles on Security and Human Rights
WACAM	Wassa Communities Affected by Mining

Executive Summary

The Ghana Responsible Mining Alliance (the Alliance), initiated in May 2006, joins the industry and development expertise, experience and resources of Gold Fields Ghana (Gold Fields), Newmont Ghana Gold Ltd. (Newmont) and the U.S. Agency for International Development (USAID) in a commitment to build prosperous, healthy and lasting communities in the mining areas of Asutifi and Wassa West districts of Ghana and develop a roadmap for responsible mining in Ghana.

Gold Fields, Newmont and USAID view the Alliance as more than a program or set of activities. It is a pledge to ensure Asutifi and Wassa West communities are stronger, not weaker, because they are homes to gold mining and major mining companies.

In September 2006 the Alliance consulted with representatives of local and national government, civic organizations and mining resettlement communities, traditional authorities, the donor and development community, implementing partners and the mining industry. Consultations were aimed at vetting the Alliance's operative workplan and identifying strategic opportunities for work in 2007 and beyond. Over 275 representatives of diverse organizations participated in three collaborative planning workshops held in Accra, Asutifi and Wassa West districts.

This report provides the results of those consultations, expressed in seven findings:

1. There is significant support, at local and national levels, to reduce the roles mining companies currently play in district development and "put District Assemblies (DAs) in the lead for development," as per their mandate.
2. Compensation and resettlement decisions of the recent and distant past color attitudes, behaviors and expectations across the spectrums of local governance, economic opportunity and responsible mining practices.
3. Communities and local government authorities express interest in increasing their participation in monitoring and protecting the environment, public safety and human rights and in using that experience to raise the standards for mining in Ghana.
4. There is significant will, and opportunity, to strengthen local problem-solving mechanisms for grievances and conflict resolution.
5. Both the mining revenue distribution formula and lack of transparency of the revenue distribution process are recurring issues at national and local levels. There is will for local and national action on compliance with the Extractive Industries Transparency Initiative (EITI) and support for strengthening district assemblies' capacity to lobby for increased local share of mining revenue.
6. There is recognition that local economic enhancement programs and activities are disjointed and not integrated with district development plans.
7. The call to "put DAs in the lead for local development" included suggestions for re-examination of some initial assumptions about Alliance management, organization and roles, particularly the role Asutifi and Wassa West districts play in Alliance planning and implementation and the dual roles Gold Fields and Newmont play as Alliance members *and* participants in district development.

The discussion of findings is followed by a summary of existing Alliance activities and recommendations for additional activities that respond to priorities identified in collaborative workplanning and the Alliance's unique opportunities in 2007 and beyond.

The report is organized in five sections:

- Section 1:** Introduction
- Section 2:** Forces and Findings
- Section 3:** Activities Options
- Section 4:** Alliance Organization and Management
- Section 5:** Conclusion

Annexes provide summaries of discussions and conclusions reached in the September workshops, a summary of international codes of conduct and best practices, a draft organigram illustrating an expanded role for districts in the Alliance and additional reference information.

Section 1: Introduction

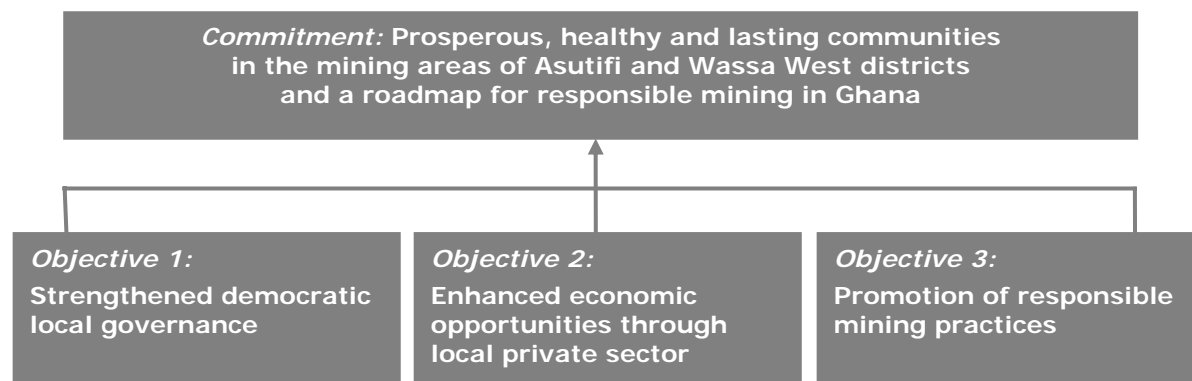
Background

The Ghana Responsible Mining Alliance (the Alliance) was inaugurated through a Memorandum of Understanding (MoU) signed May 24, 2006, in Accra, Ghana. The Alliance joins the industry and development expertise, experience and resources of Gold Fields Ghana (Gold Fields), Newmont Ghana Gold Ltd. (Newmont) and the U.S. Agency for International Development (USAID) in a commitment to:

- Build prosperous, healthy and lasting communities in the mining areas of Asutifi and Wassa West districts of Ghana, and
- Develop a roadmap for responsible mining in Ghana.

Gold Fields, Newmont and USAID view the Alliance as more than a program or set of activities. It is a pledge to ensure Asutifi and Wassa West communities are stronger, not weaker, because they are homes to mining and major mining companies. Alliance work is organized around three objectives with the recognition that many activities are mutually reinforcing and will affect results across the board. The framework is the foundation for a Ghana owned and inclusive approach over the near and long-term. *Figure 1, Alliance Framework*, following, provides a snapshot of the base.

Figure 1: Alliance Framework



The Alliance draft workplan of May 2006 provides a summary of each objective and associated strategies, implementing partners and funding envisioned over a four-year term, 2006-2010. The draft workplan is a living document intended to guide decisions as the Alliance deepens understanding and relationships among members, with implementing partners, and with the people, networks and institutions of Asutifi and Wassa West districts and the Ghana mining industry.

Collaborative Planning

In September 2006 the Alliance consulted with representatives of local and national government, civic organizations and mining resettlement communities, traditional authorities, the donor and development community, implementing partners and the mining industry. Consultations were aimed at vetting the workplan and seeking the best opportunities for lasting impact. Consultations included formal workshops conducted at national and district levels. Over 275 representatives of diverse organizations participated in three collaborative planning workshops held:

- Sept. 6, 2006: Accra, Alisa Hotel, North Ridge, 64 registered participants (78% male, 22% female)
- Sept. 13-14, 2006: Asutifi District, Hwidiem Secondary School, 92 registered participants (76% male, 24% female)
- Sept. 27-28, 2006: Wassa West District, Tarkwa Secondary School, 125 registered participants (76% male, 24% female)

Workshop programs, participant lists, group reports and conclusions are provided in *Annexes 1-3*.

In addition to the formal workshops, small group consultations were held with members of resettlement communities in Asutifi and Wassa West districts, Gold Fields and Newmont mine management and operations staff, and members of civic organizations serving as mining and development watchdogs.

The collaborative planning process was organized and implemented by a team that included:

- Ted Lawrence, USAID/Ghana, Democracy and Governance Officer
- Dora Plavetic, USAID/Ghana, Project Development Officer
- Leslie Johnston, USAID/Washington, Senior Environmental Policy Advisor - Multilateral Development Banks, Office of Environment and Science Policy
- Rob Clausen, USAID/West Africa, Regional Environmental Advisor
- Kofi Antwi Boasiako, Asutifi District Assembly, Development Planning Officer
- Anthony (Toni) Aubynn, Gold Fields Ghana and Gold Fields representatives in Wassa West District.
- Dr. Chris Anderson, Newmont Ghana Gold Ltd., and Newmont representatives in Asutifi District
- Becky Gadell, RTI International (RTI), Research Triangle Park, NC USA

The collaborative planning process initially envisioned a fourth, wrap-up workshop where stakeholders would consider results of consultations, refine existing strategies and activities and identify additional opportunities. The initial three workshops, however, raised issues and yielded perspectives with implications for activity, organization and management aspects of the Alliance. The fourth, wrap-up session, therefore, was postponed to allow for consideration of findings and adjustments to strengthen the base.

Report Purpose and Organization

This report provides a summary of issues and perspectives – referenced as findings – that emerged from collaborative planning and proposes activity options, including suggested activities, and organizational recommendations for Alliance consideration.

The report is organized in five sections and includes annexes:

Section 1: Introduction

Section 2: Forces and Findings

Section 3: Activities Options

Section 4: Alliance Organization and Management

Section 5: Conclusion

Annexes:

1. Accra Planning Workshop, Sept. 4, 2006: Program, Group Reports and Registered Participants
2. Asutifi District Planning Workshop, Sept. 13-14, 2006: Program, Group Reports and Registered Participants
3. Wassa West District Planning Workshop, Sept. 27-28, 2006: Program, Group Reports and Registered Participants
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Section 2: Forces and Findings

This section provides a summary of forces in the environment and seven key findings based on issues and perspectives that emerged with consistency in national, district and community consultations. Findings have implications for activity programming and for Alliance organization and management. Related activity options are provided in Section 3.

Forces in the Development Environment

While participants in Accra, districts and communities agreed the Alliance provides a unique opportunity to strengthen mining communities and industry practices, there was limited consensus on concrete activities the Alliance might support. Discussions frequently returned to broad governance and development issues; general and specific resentments about compensation, resettlement, and access to land and water; and, wide-ranging, sometimes colliding, expectations of mining companies, citizens, traditional authorities, and central and local government.

Exhibit 1, Summary of Forces in the Development Environment, provides a snapshot of issues, or forces, expressed with consistency. Forces are organized by their potential to help or hinder sustainable development in mining communities and improvement in mining practices in Ghana. This summary is intended to provide context and not a comprehensive view of the development environment in Asutifi and Wassa West districts.

Exhibit 1: Summary of Forces in the Development Environment

Hindering →	← Helping
<p>Limited citizen and District Assembly (DA) participation in development decisions and action. General agreement that local development decisions are "made in Accra," by government or mining companies, and that DAs are constrained to fulfill their mandate to lead local development.</p> <p>Consultation structures introduced by mining companies run parallel to local governance structures</p> <p>Weak systems for DA, citizen assessment and feedback on livelihood enhancement activities introduced by mining companies</p>	<p>Strong support for "putting the DA in the lead" for facilitating local development and collaboration of local government, citizens, traditional authorities and private sector, including mining companies</p> <p>Consultation initiatives, including the Ahafo social responsibility forum and agreement and community consultative committees in Wassa West District, are building a body of experience, lessons</p> <p>Livelihood enhancement programs have experience, lessons districts can use. Alliance brings experience of USAID trade and investment program to districts.</p>
<p>Lack of transparency: Lack of coherent mechanisms citizens can use to get information about the activities of mining companies and local government; lack of coherent mechanisms citizens can use to communicate and resolve problems</p>	<p>Expressed will to improve access to information and problem-solving mechanisms. DAs, local agents of the Environmental Protection Agency (EPA) and Commission for Human Rights and Administrative (CHRAJ) express will to "open up," improve local mechanisms for grievances and problem-solving</p>
<p>Perceptions mining companies "co-opting" traditional authorities, compromising and undermining traditional governance systems</p>	<p>Recognition traditional authorities "have the respect of the people," are positioned to influence citizens, mining companies and local government</p>
<p>Simmering resentments over recent and historical compensation and resettlement decisions; mining activities and practices that affect access to resources, primarily land and clean water; and, security/police response to citizens and organizations that speak out, demonstrate against mining</p> <p>Mistrust between industry and watchdog organizations. Minimal exchange of information, ground to consider right to mine and right to dissent.</p>	<p>Recognition "we cannot undo the past" and expressed will to move forward</p> <p>Gold Fields, Newmont and other members of the Ghana mining industry have signed on to, and in some instances led development of, numerous international best practices, standards and codes</p> <p>Industry, civic and local government interest in community monitoring of environment, human rights and security, systems for transparency</p>
<p>Confusion about mining revenue and distribution of mining revenue, particularly royalty revenue, to local level. DAs and citizens lack information about royalty revenue distribution system and actual revenue that flows to district. Expectations change in mining revenue distribution formula and increased flow in revenue to local level are a <i>quick fix</i>.</p>	<p>Support for action on Extractive Industries Transparency Initiative (EITI). Government of Ghana, Gold Fields and Newmont are EITI signatories. Some recognition increase in local share of mining revenue requires constitutional amendment and will require time and advocacy. Support for strengthening DA capacity to advocate for increased local share.</p>
Hindering →	← Helping

Findings

The following seven findings are based on specific input captured in local and national planning workshops and consultations with communities and civic organizations.

Finding #1: There is significant support, at local and national levels, to “put DAs in the lead for development” by acknowledging their rightful role to lead local development and strengthening their capacities to follow through with actions that respond to the unique challenges and opportunities that come with mining. The Alliance received a resounding recommendation to “put local government in the lead” in consultations at both the national and district levels.

The recommendation emerged initially from the September 4 Accra workshop where participants, including local government representatives, emphasized the District Assembly (DA) is mandated by Ghanaian law to lead district development planning and action and to facilitate the involvement of traditional authorities, civic organizations and the private sector throughout. They emphasized the Alliance workplan, and mining companies’ development and community initiatives, should be in the context of the district development plan, not the other way around. Participants recognized strengthening DA capacity to lead is critical to development and decentralization and suggested strengthening DA leadership capacities of as part of the Alliance local governance work.

Discussions of DA capacity were constructive, supportive of assemblies and cognizant that money alone will not solve development problems. DA skills and capacities mentioned most frequently – by citizens, local government authorities and traditional authorities – were communication; development planning; resource mobilization, budgeting and financial management; environmental protection; and, problem-solving with citizens. Limited DA access to planning tools and resources, such as base maps, was discussed.

Five suggestions related to “putting local government in the lead” emerged with consistency. These suggestions and brief descriptions follow.

1. *Mining companies – and the Alliance – should resist pressures to “behave like a government” and create parallel governance structures and systems that can compete with local governance systems.* Community and civic organization representatives underscored the significance of representation and opinions that existing parallel structures for consultation do not reflect the diversity of the population and do not adequately represent people, such as farmers and resettled households, who are affected by mining.

Dr. Chris Anderson of Newmont discussed the surrogate government concern in a speech presented at the forum, “The Mines’ Corporate Social Responsibility towards Sustainable Alternative Livelihood to Affected Communities in the Ghana Mines Section,” Kwame Nkrumah University of Science and Technology (KNUST), Kumasi, August 2, 2006. The following is an excerpt from his presentation.

The common view today in Ghana of ‘social responsibility’ for companies is: ‘What can you pay for?’ What inputs are you prepared to make for the benefits of the locals? This is fair enough to a point. However, it runs two risks: that companies become a surrogate government, which we cannot and must not do; it also allows companies to think that their only responsibility is paying money.

We need to think beyond this and work closely and at length with communities to see what their priorities are and who can contribute what. What are the various roles and responsibilities for all in a setting where you have fledgling local governments, rural poor and a large, well-off industrial operation that springs up seemingly out of nowhere with apparently unlimited resources?

– Dr. Chris Anderson, Newmont Ghana Gold Ltd., Director of Corporate and External Relations

2. *Protect the role of traditional authorities, as guardians and caretakers of the land, and as leaders of local opinion and action.* Participants noted that, in addition to 1992 Constitution mandates, traditional authorities have the “respect of the people,” thus are well positioned to influence decisions and actions of government and citizens. Concerns

included perceptions of companies “co-opting” and “undermining” existing local governance systems, both traditional and official, leading to fragmentation of existing governance structures.

Some civic advocacy groups remain at a distance from the Alliance due to concerns that cooperation would lead to a loss of legitimacy. There were suggestions that Alliance support for independent, local governance structures could reduce misgivings and provide openings for these groups to get involved.

3. *Strengthen local processes and structures for problem solving, particularly in the context of development.* Participants emphasized that local capacity gaps fuel simmering dissatisfaction with recent and historical decisions about significant issues, including compensation for land designated for mining, resettlement of people displaced by mining operations, access to land for farming, access to water and monitoring of the environment.

There were suggestions the Alliance support the establishment of rational, transparent local grievance and conflict resolution processes that empower appropriate local government agencies and reduce threats to security and peace. This suggestion is explored in more detail in a subsequent finding.

4. *Strengthen the capacity of DAs to advocate for increased local share of mining royalty revenue.* The issue of local share of royalty revenue is discussed in a subsequent finding; however, participants noted repeatedly that DAs need assistance to advocate more effectively.
5. *Reconsider the role of Asutifi and Wassa West district stakeholders, including DAs, in the Alliance.* The Alliance organizational structure, as envisioned in the GDA proposal and memorandum of understanding (MoU), does not define the role of DAs. Gold Fields, Newmont and USAID are identified as members and assigned a role as policy leaders via the Secretariat. Contractual partners are identified as implementers and assigned a technical advisory role.

Shifting the Collaborative Planning Approach

In response to the “put local government in the lead” rallying cry that emerged in Accra, the Alliance shifted the approach to collaborative planning workshops scheduled in Asutifi and Wassa West districts. Instead of leading the workshops with Alliance implementing partners, as had been planned, the Alliance and implementing partners worked with the DA, particularly the district

What does the notion of ‘representativeness’ mean in this context? Who represents whom? Traditional systems and some aspects of modern democracy are not always aligned. Urban versus rural; educated versus not, etc. Who has rights to speak for whom?

– Questions posed by participant in Wassa West District planning workshop, September 2006

development planning officers (DPOs), to put the DA in the lead and put the Alliance workplanning in the context of the mid-term district development planning process currently in progress.

With Alliance support, Asutifi and Wassa West DAs consulted with traditional authorities, civic organizations and assembly members to plan and implement the district workshops. DA responsibilities included identification of participants, organization of invitations, program planning and facilitation, and the provision of some equipment. The Alliance provided background assistance and resources in partnership with the DA. District workshops were conducted in the

language of participants’ choice, thus plenary and break-out discussions were conducted in *Twe* with occasional use of English.

The DAs welcomed the leadership role and integration of Alliance planning with district development planning. Appreciation of the approach was particularly significant in Asutifi District, where the DPO contributed knowledge, experience and facilitation skills in his district and in Wassa West District. The shift in context and leadership have increased the complexity of district development planning and Alliance workplanning, but local government and Alliance representatives have agreed the potential benefits outweigh the added complexity.

Expanding Composition of Planning Participants

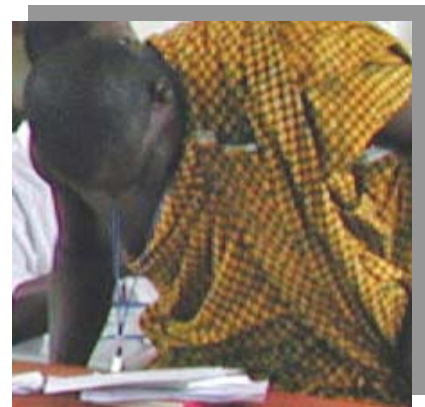
The shift in the leadership of the planning process was accompanied by expansion of participant composition to ensure residents of mining resettlement communities were at the planning table. DA and Alliance organizers recognized that extra effort was required to go beyond inviting district civic organizations which typically represent citizens in mining resettlement communities to making it comfortable and convenient for residents of mining resettlement communities to attend and express their views. Extra effort included hand delivery of invitations, personal requests, and bus transportation provided by Gold Fields and Newmont. In Wassa West District, participants also included small scale miners. *Annexes 1-3* provide listings of registered participants in Accra, Asutifi and Wassa West workshops.

The extra efforts strengthened the diversity of attendance, but it is not clear if discussions or conclusions were altered significantly as a result. Nurturing a level playing field, where all voices are raised and recognized with the same weight, remains a challenge for districts and the Alliance.

It is worth noting that local government elections were conducted during the period of the workshops, thus there were no "sitting" assembly members or presiding members in Asutifi or Wassa West districts. Outgoing assembly members and presiding members and, in Wassa West, some newly elected (but not seated) officials represented perspectives of elected officials.

Finding #2: Local dissatisfaction with compensation and resettlement decisions of the recent and distant past colors attitudes, behaviors and expectations across the spectrums of local governance, economic opportunity and responsible mining practices. In Wassa West District, where underground and surface mines have operated over 100 years, residents in the vicinity of the Gold Fields Damang and Tarkwa mines drew few distinctions between Gold Fields and other mining companies operating in the district. Impressions of mining affects on personal livelihoods, the environment and development were broad-brushed. Consultations with national watchdog organizations also revealed limited distinctions among companies and related dissatisfaction levels with compensation and resettlement decisions and practices.

Local governance capacity discussions in Asutifi and Wassa West districts circled repeatedly to issues of compensation. While some of the repetition was driven by particularly vocal participants, it is clear that simmering resentments strain relationships between and among citizens, local government, traditional authorities and mining companies.



Asutifi District, September 2006 – USAID/Ghana Photograph

Activities to strengthen local governance capacity will inevitably encounter this resentment in various forms, due in part to citizen expectations that the DA has a responsibility to support improved compensation and resettlement practices and that mining companies have a responsibility to remedy the past and consult with citizens before making future compensation and resettlement decisions.

Expectations of traditional authorities were not as clear, but there was feedback that while government and traditional systems are both recognized and delineated by the Constitution, these systems "seem to be more and more crossing over each other. Land tenure, property and usage rights are dynamic and problematic if you want to leverage land rights into credit and capital access."

Work on compensation and resettlement practices holds significant potential for the Alliance to explore new ways to go beyond the letter of the law, leave communities better off and raise the bar for industry compensation and resettlement practices. While the Alliance cannot undo the past, there are pertinent lessons in Gold Fields and Newmont experience in Ghana. Both companies have, and continue to support, numerous initiatives to strengthen communication, transparency and consultation with communities. The development of improved practices can consider, as a start, issues and lessons emerging from existing consultative mechanisms, such as the Ahafo Social Responsibility Forum and Agreement.

Finding #3: Communities and local government want to get involved in monitoring and protecting the environment, public safety and human rights. Participants at local and national levels made it clear that industry and central government commitments to international best practices and monitoring for compliance, alone, are not enough to support sustainable development and progress across Alliance objectives.

Lessons from the Tarkwa (Wassa West District) cyanide spill of 2001 and Asutifi District experience surrounding water quality and blasting are among many that confirm gaps in citizen access to information and participation in protection of resources and rights, fuel unrest and hinder progress toward standards to which Ghana mining companies, and in some cases the GOG, are signatories.

Gold Fields, Newmont and other members of the Ghana mining industry have signed on to, and in some instances led development of, numerous best practices through international compacts and other vehicles. *Exhibit 2, Matrix of International Codes of Conduct and Best Practices*, provides an overview of codes of conduct and best practices to which Gold Fields and Newmont are signatories. *Annex 4* provides an expanded view and additional information, including definitions and links to additional on-line information.

Exhibit 2: Matrix of International Codes of Conduct and Best Practices

Best Practice	Signatory
International Council on Mining and Metals (ICMM) www.icmm.com	Newmont is an ICMM member Gold Fields is ICMM association member (Chamber of Mines South Africa)
AccountAbility AA 1000 www.accountability21.net/aa1000/default.asp	Newmont and Gold Fields
Voluntary Principles on Security and Human Rights www.voluntaryprinciples.org	Newmont
Awareness and Preparedness for Emergencies at Local Level for Mining (APELL) www.uneptie.org/pc/apell/publications/related_pubs.html	Newmont, as ICMM member Gold Fields, as ICMM association member, Chamber of Mines South Africa
Environmental Monitoring, Local Level www.ifc.org/ifcext/enviro.nsf/Content/GuidanceNotes	Newmont through IFC financed loan
WB Mining and Milling – Open Pit www.ifc.org/ifcext/enviro.nsf/AttachmentsByTitle/gui_mining_opn pit/\$FILE/mining_openpit.pdf	Newmont through IFC financed loan
IFC Precious Minerals Mining – draft of July 2004	Newmont through IFC financed loan
International Cyanide Management Code www.cyanidecode.org	Gold Fields and Newmont
Council for Responsible Jewellery (sic) Practices http://www.responsiblejewellery.com/	Newmont
Extractive Industries Transparency Initiative (EITI) www.eitransparency.org and www.geiti.org	Gold Fields, Newmont and the Government of Ghana are EITI signatories

There have been numerous public discussions of Gold Fields, Newmont and mining industry commitments to international standards and actions to support those commitments. The Sustainable Development Forum and the Ghana Chamber of Mines have supported public discourse. But citizen and local government contribution to, and monitoring of compliance with, international codes and standards have been limited. There have been some monitoring efforts through the activities of watchdog organizations, such as WACAM (Wassa Communities Affected by Mining) and its regional and international networks and partners. But the ground for cooperation is shaky due, in part, to the legacy of mistrust.

Local and national planning participants expressed interest in community monitoring with an emphasis on partnerships that promote access to current, accurate local environmental information; provide experience with the practices of effective community monitoring; and, offer a role to anyone who wants to get involved.

Planning discussions included consideration of the mandated monitoring and grievance roles – and capacity gaps – of district and regional agents of the Environmental Protection Agency (EPA), Commission for Human Rights and Administrative Justice (CHRAJ) and the Ghana Water Company. Resources – such as independent university-based research assistance – could be used to support gathering of baseline data and other tasks in ways that strengthen local capacity.

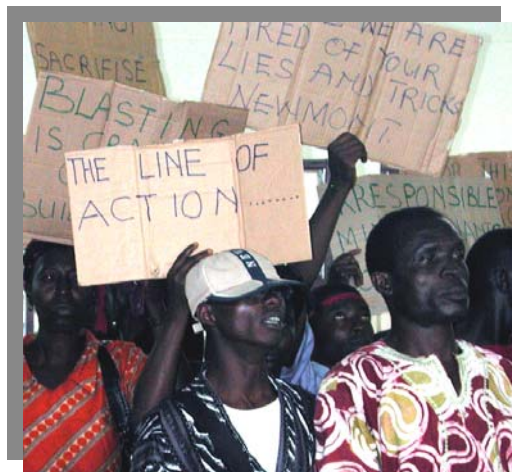
Workshop discussions indicate the need to design community monitoring activities with special attention to clarity, particularly in gathering and analyzing data in ways that are useful to citizens as well as government authorities and mining companies. The potential for misunderstanding and misuse of data is high, evidenced by ongoing disputes over water quality, the effects of blasting, and compensation systems.

Public Safety and Security

Work to strengthen local capacity in public safety and emergency preparedness has just begun. Minimally trained local public safety and militia forces, coupled with voids in local emergency preparedness systems, pose risks across several realms, including human rights. Risks are particularly high in communities where incidents and long-term resentments have increased volatility. Consultations with national and local civic organizations revealed chasms in trust are due, in part, to altercations between security forces and citizens involved in mining-related demonstrations.

Gold Fields has begun a local public safety and emergency preparedness initiative in Wassa West.

Finding #4: There is expressed will, and opportunity, to strengthen local problem-solving mechanisms for grievances and conflict resolution. While considered under finding #1, “put local government in the lead,” local problem solving gaps are significant and warrant special attention as a potential strategic entry point for producing results while promoting collaboration among local government, citizen groups, traditional authorities and mining companies.



Asutifi District, September 2006, USAID/Ghana Photograph

The need to strengthen problem-solving systems became acutely evident at the Asutifi District planning session of Sept. 13. A group of approximately 45 citizens arrived to protest against mining-related blasting and to ask USAID to pressure Newmont for compensation for wall cracks in houses. Other issues, including land compensation, were included in letters and petitions presented by the group.

The Alliance response was to support the district chief executive (DCE) who, with the help of the paramount chief, invited protestors to join the planning workshop. Several did. Follow-up discussions involving the DA, representatives of the protest group and Newmont staff continue, underscoring the need to strengthen local systems for getting ahead of and resolving issues.

While gaps in local problem-solving systems are not unique to mining communities, the blasting issue called attention to the unique opportunity of the Alliance to:

- Strengthen existing, but weak, local grievance processes within the EPA, CHRAJ and potentially other agencies. Activity planning should consider development of advanced mitigation plans and work with the mining companies, DA, traditional authorities, communities and local agencies (such as the EPA and CHRAJ) to ensure a clear conflict resolution and grievance process that is supported by trained and resourced staff, understood and respected by citizens and local authorities.

- Strengthen industry and local government practices for preparing communities for the effects of mining activities and responding effectively to inevitable issues and complaints.

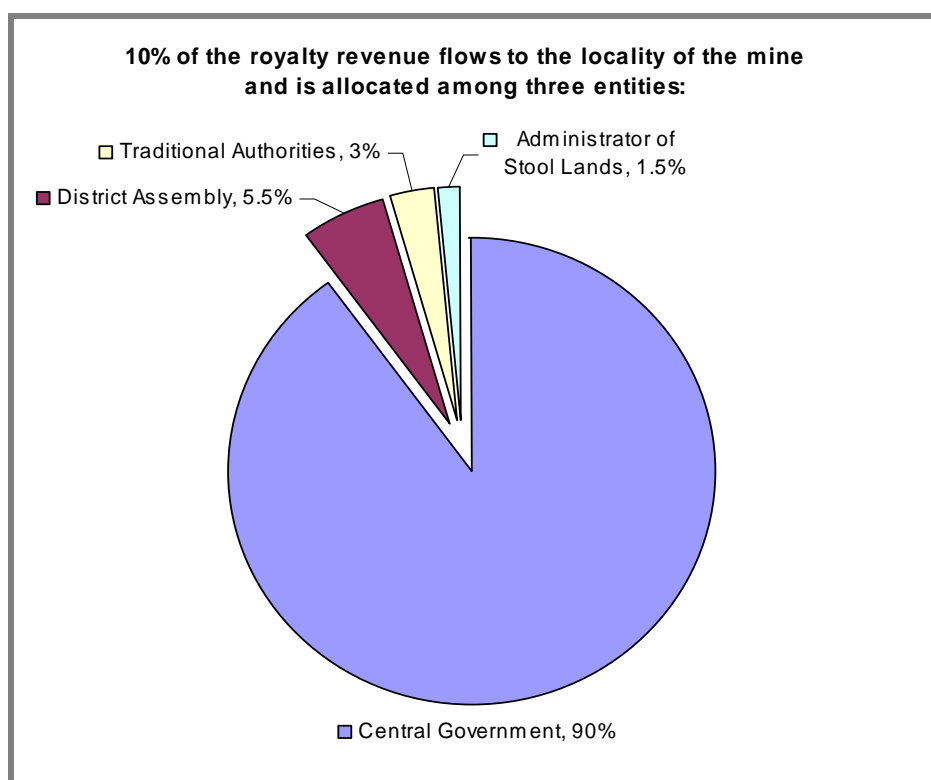
In the case of blasting in Asutifi, Newmont has committed resources to support communication about the potential affects of blasting, blasting schedules and related issues. But perceptions of impact – not necessarily the science of blasting – fuel ongoing conflict with no apparent arbitrator for lasting resolution of citizen concerns and charges.

Finding #5: Mining revenue distribution formula and transparency of the revenue distribution process are recurring issues at national and local levels. Participants at the Accra workshop suggested the Alliance should support efforts to raise the level from its current 10% to 30%, the figure currently proposed by the Ghana Chamber of Mines. District workshop discussions centered on the need to ensure that more revenue from mining should flow back to mining communities. Participants at national and district workshops cited the need for transparency in royalty revenue flows and the need to support action on the Extractive Industries Transparency Initiative (EITI).

The current royalty distribution formula is defined in the Ghana Constitution. There were suggestions that good governance efforts of the Alliance could include lobbying, specifically DA lobbying of their respective Members of Parliament.

The State is the owner of all minerals occurring in their natural state within Ghana's land and sea territory. The bulk of the revenue from royalty payments remains at the central level, with flows to the localities of the mines allocated according to a formula: 10% of the royalties generated by a mine flow back to the locality of revenue generation and is distributed among the DA (5.5%); traditional leaders/Chiefs and Elders, (3%); and the Administrator of Stool Lands (1.5%). *Figure 1: Mining Royalty Revenue Flow*, following, illustrates the distribution.

Figure 1: Mining Royalty Revenue Flow



EITI Opportunity

National and local action on commitments to EITI was cited as a practical step toward providing information that supports change in policy, specifically increasing the local share of mining royalty revenue, and an opportunity to strengthen local governance in Asutifi and Wassa West districts.

Ghana was an early supporter of the transparency initiative and announced in June 2003 its intention to pilot EITI in the mining sector. In September 2003, the Ghana Minerals Commission released the first revenue figures. A multi-stakeholder steering committee was established to oversee implementation, but progress has lagged behind

In February 2005, a ministerial decree created an EITI working group and a secretariat was formed to oversee implementation led by the Ministry of Finance and Economic Planning. Information about the current status of EITI implementation is available on the recently inaugurated Ghana EITI web, <http://www.geiti.gov.gh/>.

Collaborative planning feedback included suggestions that, while EITI criteria focus on national level transparency, the Alliance has a unique local level opportunity to support EITI compliance of Asutifi and Wassa West district assemblies and the voluntary compliance of traditional authorities in those districts. Local activities could include technical assistance to the DA that supports financial transparency, including development and use of mechanisms to track and communicate mining related revenue flowing to the district and its use in the district.

At this stage, local mechanisms do not support public monitoring of mining-related revenue sources and uses. Lack of public information and monitoring of DA revenue and expenditures is potentially contributing to the focus – evident at the collaborative planning workshops – on individual compensation v use of mining-generated funds for community and district development as a whole.

Finding #6: There is recognition that local economic enhancement programs and activities are disjointed, not integrated with district development plans. Participants recognized that such lack of integration is not unique to districts that are home to mining operations, but the result of economic planning that does not place the district at the center of development. Again, the direction was to let district development priorities drive Alliance economic enhancement activities and not the other way around.

Discussions of local economic opportunity and private sector enhancement also cited the need to:

- Bring the people in mining affected communities into district development planning *and* the development of mining company-sponsored activities, including SEED (Sustainable Community Empowerment and Economic Development Program) and LEAP (Livelihood Enhancement and Community Empowerment Program). Institute feedback loops that allow for DA and community participation in monitoring, assessment and adjustment of livelihood enhancement programs and activities. The suggestion for such involvement was most pronounced in Asutifi District.
- Take an integrated approach that considers farmers, small and medium enterprises (SMEs), and the broader community capacity
- Expand economic development focus beyond agriculture, consider that current alternative livelihood programs may be too agro based. Take a market-based approach
- The big issues, compensation and resettlement, distract focus.

Finding #7: Collaborative planning led to changes in some initial Alliance assumptions about roles, particularly the role Asutifi and Wassa West districts play in Alliance planning and decision-making and the dual role of Gold Fields and Newmont play as Alliance members *and* district participants in development.

The call to “put the DA in the lead for development” led to an examination of the Alliance organizational structure and ideas for strengthening the districts’ role in Alliance planning and implementation. The draft Alliance organigram in *Annex 6* provides a graphical look at ideas for increasing district participation and strengthening the Alliance technical management capacity.

Discussions at local and national levels also underscored Alliance members’ commitment to a guiding principle of “transparency in all things.” The challenge of transparency and frankness has

been most pronounced surrounding activity planning for objective three – promotion of responsible mining practices. Accra workshop participants pointed out:

We need to question ourselves and demonstrate that it is possible to do mining responsibly. What can we do differently? What can we add on? There are different competing interests ... all have a role. There needs to be room for these different interests to play out.

– *Collaborative Planning Workshop, Accra, September 6, 2006*

There is agreement that development and mining industry objectives, priorities, timelines, and terminology are fundamentally different, requiring extra attention to clarity in communication that supports movement of abstract ideas about the “special opportunity of the Alliance” from the abstract to the concrete.

The next section of this report, *Activities Options*, lays out activity options for Alliance consideration.

Section 3: Activities Options

Accra workshop participants concurred, "One of the major challenges is to take the abstract ideas about sustainable development and responsible mining to concrete realities." This section provides an overview of existing Alliance activities followed by recommendations for additional activities that respond to results of the collaborative planning process. Recommendations are provided for objectives one through three and for Alliance organization, management and communication.

Current Activities and Technical Implementers

Technical implementers working with Alliance members support numerous concrete activities aimed at strengthening democratic local governance, enhancing local economic growth and sharing of experience in sustainable development and mining. *Exhibit 3, Alliance Technical Implementers*, provides a summary of implementers and their technical focus.

Exhibit 3: Summary of Alliance Activities and Technical Implementers (May 2007)

Projects and Implementer	Technical Focus
AAGI implemented by African Connections, supported by Newmont	Enhanced economic opportunities through the local private sector: The Ahafo Agribusiness Growth Initiative (AAGI) supports improved performance and productivity, access to domestic markets and access to micro-credit for small and medium enterprises and farmers.
GAIT II implemented by CLUSA in collaboration with EDC and ILGS, supported by USAID/Ghana	Strengthened democratic local governance: Government Accountability Improves Trust (GAIT II) works in 20-plus districts, including Asutifi and Wassa West, to strengthen democratic and decentralized governance through civic involvement and increased community advocacy for quality education. Implemented by the Cooperative League of the USA (CLUSA) with Education Development Center (EDC), Institute of Local Government Studies (ILGS).
SEED, LEEP, food aid and livelihood development implemented by OICI, supported by Gold Fields and Newmont, respectively	Enhanced economic opportunities through the local private sector: Many of objective two resources will be applied through the existing Sustainable Community Empowerment and Economic Development (SEED) program and Livelihood Enhancement and Community Empowerment Program (LEEP) implemented by the U.S. Private Voluntary Organization Opportunities Industrialization Centers International (OICI). Gold Fields support to SEED under the Alliance is devoted to agricultural livelihoods: oil palm, cocoa, vegetables, aquaculture, livestock; value adding for agricultural products, including palm oil, cassava, soap making and grain milling; vocational training; and, sustainability activities related to each. Newmont support to LEEP under the Alliance provides training and support to help displaced farmers in the Ahafo project area develop new skills and livelihoods in areas such as soap making, batik, tie and dye, grass cutter production, vegetable and mushroom production.
SME Linkages Program, supported by Newmont with IFC match	Enhanced economic opportunities through the local private sector: SME Linkages aims to enhance the capacity of local businesses and key financial institutions in areas affected by Ahafo project in Asutifi District.
TIPCEE implemented by Chemonics International in a consortium with TechnoServ Ghana, CARE, Geomar, supported by USAID/Ghana	Enhanced economic opportunities through the local private sector: In 2007, TIPCEE is conducting a set of pilot/demonstration activities working with three farmer groups organized by OICI and consisting of approximately 35 farmers. Pilots: <ul style="list-style-type: none"> • Introduce new vegetable commodities with local market potential • Conduct training, with MOFA agriculture extension agents, in good agricultural practices for vegetable production • Establish three family low-pressure drip irrigation demonstration sites which test new crops (25%) and local food crops with which the farmer is familiar (75%) • Link farmers to local markets – mining companies, hotels, local.
Sustainable Development Forum, implemented by Ghana Chamber of Mines with Gold Fields and Newmont support	Promotion of best practices in responsible mining and development of a roadmap for responsible mining is currently supported through discussions sponsored the Sustainable Development Forum

Objective One: Strengthened Democratic Local governance

Objective one assumes that laying the ground for prosperous, healthy and lasting communities in Asutifi and Wassa West districts requires that local government institutions, traditional authorities, communities of interest acquire the capacities – and authorities and resources – that enable them to make local choices and act on them effectively and accountability.

Current local governance strengthening activities in Asutifi and Wassa West are supported by USAID through the GAIT II project and are designed to strengthen civic involvement and increased community advocacy for quality education. GAIT II works primarily with civic organizations including school management committees and parent teachers associations (SMCs/PTAs), coalitions of civic organizations including civic unions, and with local authorities including district assemblies and district education offices. GAIT II activities underway are available in the GAIT II workplan.

Recommended Additional Programming, 2007-09

Collaborative planning results indicate strong support from local and national stakeholders, including local government officials, to strengthen local:

1. **Mechanisms for two-way communication** between government and citizens, mining companies, traditional authorities and news media.
2. **Problem-solving mechanisms** with a focus on strengthening the capacities of the DA, EPA and CHRAJ to fulfill their mandated responsibilities, particularly responsibilities related to public safety and security, environmental protection and resource management, and human rights.
3. **Local government planning and budgeting practices** that support financial transparency and integration of the resources of government, private and civic sectors to support shared priorities, including priorities for the development and maintenance of infrastructure and basic services (access to roads and affordable transport, clean water, health and education, affordable housing, emergency public safety services) and the development of opportunities to enhance economic growth through the local private sector.
4. **Capacity to act locally on Ghana's commitment to the Extractive Industries Transparency Initiative (EITI)** and DA capacity to advocate for the allocation of increased resources, including mining revenue, to the local level. Capacity to act locally includes technical assistance for the development of district assembly mechanisms that support transparent monitoring of mining revenue income and uses.

Alliance activities that capitalize on these priorities are summarized in *Table 1, Recommended Additional Activities, Objective One, 2007-09*, following. These recommended activities assume:

- Implementation with and through district partners from local government, traditional authorities, civic groups, private sector (including mining companies) and media and in coordination with technical assistance provided by the Alliance and other donors working in Asutifi and Wassa West districts
- The need to strengthen the capacities of local government authorities to fulfill their mandated responsibilities and to avoid the creation of parallel or substitute mechanisms that may inadvertently undermine or compete with local governance mandates and structures. Examples: mandates of DA to lead development planning, EPA to monitor and protect the environment, CHRAJ to monitor and protect human rights.
- Technical assistance and support beginning in early summer 2007 to prepare the ground for DA budgeting in fall 2007
- Cost sharing across public and private sectors augments Alliance investments
- Work is cross-cutting in nature and supports progress toward Alliance objectives two and three
- A strategic emphasis on creating a culture of innovation, trying new things to tackle old problems, and institutionalization of innovations in local governance structures and operations.

Table 1: Recommended Additional Activities, Objective One, 2007-09

1. Strengthen Local Mechanisms for Two-Way Communication	2007	2008-09
<i>Sub-activities</i>		
1.1. Design and conduct community-level survey	Summer	—
1.2. Conduct communications audit, district and community levels	Summer-Fall	—
1.3. Facilitate public review and analysis of survey and audit results, use to fuel engagement in cross-sectoral communication innovations team	Summer-Fall	—
1.4. Facilitate and support communication innovation team start-up, research, planning and action	Fall-Winter	—
1.5. Support action on communication improvements evolving from innovation team	Fall-Winter	Ongoing
1.6. Support public information, promotion of communication innovations	Fall-Winter	Ongoing
1.7. Initiate and support innovations exchange between Asutifi and Wassa West districts [also supports activities 2-4]	—	Spring-Summer
1.8. Support annual community survey-alliance contribution [also supports local governance activities 2-4; objective 3 activities]	—	Summer 2008 and ongoing
1.9. Support development, implementation of annual district innovations awards [also supports local governance activities 2-4; objective 3 activities]	—	Summer 2008 and ongoing
2. Strengthen Local Problem Solving Mechanisms	2007	2008-09
<i>Sub-activities</i>		
2.1. Initiate, support district issues forum series	Summer	Ongoing
2.2. Document existing problem-solving mechanisms within the realms of DA, CHRAJ, EPA, mining companies, traditional authorities	Summer-Fall	—
2.3. Support community consultations, exploration of existing systems, identification of priority mechanisms for improvement	Fall	—
2.4. Support design, implementation of priority improvements	Winter and ongoing	Ongoing
2.5. Support public information, promotion of improved mechanisms	—	Ongoing
2.6. Problem solving innovations awards-alliance contribution	—	Ongoing

Table 1: Recommended Additional Activities, Objective One, (continued from prior page)

3. Support Integrated DA Budget	2007	2008-09
Sub-activities		
3.1 Facilitate formation of integrated budget process design team	Summer	—
3.2 Conduct consultations with GAIT II budget pacesetter districts	Summer, and ongoing	—
3.3 Provide technical assistance for development and piloting of district participatory budget process, beginning with 2008 budget process	Fall-Winter	Ongoing
3.4 Support integrated process, including budget public hearings	Fall-Winter	Ongoing
3.5 Support for continued budget process improvement and institutionalization of participatory mechanisms in DA policies and practices	Winter	Ongoing
4. Support Local Action on EITI	2007	2008-09
Sub-activities		
4.1 Conduct assessment of local awareness of and commitment to EITI initiative and criteria; identify information needs and priorities [supported by community survey and communication systems assessment and analysis conducted under activity 1]	Summer-Fall	Ongoing monitoring of awareness and commitment
4.2 Facilitate planning for local action on EITI with DA elected and administrative leadership, traditional authorities, local civic organizations, mining companies	Summer-Fall	Ongoing monitoring, adjustment of plan
4.3 Support DA action through capacity development, including capacity for local action on EITI, networking with other mining districts and advocacy for increase in resources to local level	Winter	Ongoing
4.4 Support civic action through development of capacity to monitor and use financial information, including information on mining revenue flows and uses at district and community levels	Winter	Ongoing
4.5 Design and implement program to develop traditional authorities' capacity to act on EITI	Winter (design)	Ongoing

Objective Two: Enhanced Economic Growth through Local Private Sector

Objective two focuses on enhancing economic opportunities and the local productivity of people living in the mining areas of Asutifi and Wassa West. Following are the Alliance activities operating in Asutifi and Wassa West districts:

- The Ahafo Agribusiness Growth Initiative (AAGI), implemented by African Connections and supported by Newmont, supports improved performance and productivity, access to domestic markets and access to micro-credit for small and medium enterprises and farmers.
- Sustainable Community Empowerment and Economic Development (SEED) program in Wassa West District and Livelihood Enhancement and Community Empowerment Program (LEEP) in Asutifi District implemented by the U.S. Private Voluntary Organization Opportunities Industrialization Centers International (OICI).

Gold Fields support to SEED is devoted to agricultural livelihoods: oil palm, cocoa, vegetables, aquaculture, livestock; value adding for agricultural products, including palm oil, cassava, soap making and grain milling; vocational training; and, sustainability activities related to each.

Newmont support to LEEP provides training and support to help displaced farmers in the Ahafo project area develop new skills and livelihoods in areas such as soap making, batik, tie and dye, grass cutter production, vegetable and mushroom production.

- SME Linkages, supported through a collaboration of Newmont and the IFC, aims to enhance the capacity of local businesses and key financial institutions in areas affected by the Ahafo project in Asutifi District.
- The USAID supported Trade and Investment Program for a Competitive Export Economy (TIPCEE) project. TIPCEE is conducting a set of pilot/demonstration activities working with three farmer groups organized by OICI and consisting of approximately 35 farmers.

TIPCEE Activities in 2007

The USAID supported TIPCEE project began work in Asutifi and Wassa West districts following the collaborating planning workshops in September 2007. Following are: (1) a summary of opportunities and constraints relative to TIPCEE agribusiness development activities, and (2) TIPCEE activities for 2007.

In Asutifi District

Opportunities

- Arable land
- Good roads
- Many farmers
- Sufficient water – rivers and streams – for irrigation efforts
- Markets for higher value crops at Newmont compound and in nearby Sunyani and Kumasi
- Farmer groups already formed by OICI

Constraints

- Many projects/donors on ground – coordination an issue
- Farmers used to tradition cropping and food crop farming, not high value
- Asutifi is far away from exporters
- Poor ICT infrastructure – mobile phone coverage, but no internet
- Only one rural bank and not yet oriented to small agric lending
- No local inputs – need to go to Sunyani
- Must determine true residents for long-term, temporary settlers (for sustainability)
- Access to land an issue – most have no more than one acre
- Most settlers have only short-term leases (one year to start) which discourages investment in inputs, irrigation, or tree crops
- There are unsettled land dispute over compensation from Newmont

Asutifi District Activities, 2007

TIPCEE is conducting a set of pilot/demonstration activities, working with three farmer groups organized by OICI and consisting of approximately 45-50 farmers. Pilots will:

- Introduce new vegetable commodities with local market potential. TIPCEE will provide seeds. This will build on current experience with production of chili peppers.
- Conduct training, with Ministry of Food and Agriculture (MOFA) agricultural extension agents (AEAs), in good agricultural practices for vegetable production, including appropriate inputs.
- Establish three family low-pressure drip irrigation demonstration sites which will then test 25% new crops and 75% local food crops with which the farmer is familiar.
- Conduct trial of new variety of tomato.
- All training will include AEAs, OICI staff and other local agents as appropriate and include dissemination of technical manuals, production guides, etc.
- Link farmers to local markets – Newmont compound, Sunyani and Kumasi, as needed.

In Wassa West District

Opportunities

- Sufficient water – rivers and streams – for irrigation efforts
- Markets for all agricultural products because fewer people farm their land
- Market access with mining companies and Takoradi
- Good roads including feeder roads
- Access to inputs
- Internet /ICT access
- Many financial institutions present
- Opportunities for oil palm cultivation as outgrower to larger plantations in area. Climate good for oil palm.

Constraints

- Lack of arable land
- Leached soils
- Lack of farm labor
- Industrial orientation , not agricultural focus
- Weak group formation and groups tend to be business focused, not agriculture focused (e.g., group of bakers)
- Presence of a dependency mindset – waiting for mining job or hand out in many cases.

Wassa West District Activities

In 2007 TIPCEE will conduct a set of pilot/demonstration activities, working with three farmer groups organized by OICI and consisting of approximately 35 farmers. Pilots will:

- Introduce new vegetable commodities with local market potential. TIPCEE will provide seeds.
- Conduct training, with MOFA AEAs, in good agricultural practices for vegetable production, including appropriate inputs.
- Establish three family low-pressure drip irrigation demonstration sites which will test new crops (25%) and local food crops with which the farmer is familiar (75%).
- All training will include MOFA AEAs, OICI staff and other local agents as appropriate and include dissemination of technical manuals, production guides, etc.
- Link farmers to local markets – mining companies, hotels, local.

The results of 2007 pilots will steer TIPCEE programming in subsequent years.

Objective Three: Promotion of Responsible Mining Practices

Objective three assumes citizen participation is fundamental to developing and sustaining responsible mining practices, beginning with participation at the local level.

This section outlines recommended activities to strengthen civic participation in responsible mining at district and community levels in Asutifi and Wassa West districts. Recommended activities would:

- Augment and support national level activities conducted through the Sustainable Development Forum implemented by the Ghana Chamber of Mines with support from Gold Fields and Newmont.

Support would include development and dissemination of improved local practices that can inform improvement in mining industry practices in Ghana and, potentially, policy reform over the long term.
- Develop local capacity, including transparent mechanisms, which support Gold Fields and Newmont commitments to international standards and practices and respond to local will for civic involvement in responsible mining, as detailed in Findings #3 and #4, pages 8 through 10 of this report.
- Be integrated with Alliance activities to strengthen local governance identified under objective one. Integration includes consideration of existing mandated responsibilities of government authorities and industry-supported initiatives already underway, such as Gold Fields work on community participation in emergency preparedness and response in Wassa West District and the environmental management and monitoring systems of Gold Fields, Newmont and the Government of Ghana.
- Strengthen clarity and transparency, particularly in the development of sustainable practices for gathering and analyzing data in ways that are meaningful and useful to citizens as well as government authorities, Gold Fields and Newmont.

Recommended Additional Programming, 2007-09

Recommended activities for 2007-09 seek the intersections of Gold Fields, Newmont and local level priorities, as identified in the collaborative planning workshops, with activities that support:

1. Community participation in monitoring, beginning with assessment, analysis and program design in 2007 and implementation in 2008 and 2009.
2. Local level compliance with the Voluntary Principles on Human Rights and Security (VP), beginning with assessment, analysis and program design in 2007 and implementation in 2008 and 2009.
3. Compliance with Awareness and Preparedness for Emergencies at the Local Level (APELL), beginning with needs assessment and program design in 2008 and implementation in 2009.

These activities are summarized on the following page in *Table 2: Recommended Additional Activities, Objective Three*.

Table 2: Recommended Additional Activities, Objective Three

1. Community Participation in Monitoring	2007	2008-09
Sub-activities		
1.1 Desk review and field work to support assessment, analysis and program design	Summer-Fall	—
1.2 Program design	Fall-Winter	—
1.3 Data analysis assistance	Fall-Winter	
1.4 Implementation	—	2008-09
2. Voluntary Principles on Human Rights and Security	2007	2008-09
Sub-activities		
2.1 Conduct risk, authority and needs assessments	Summer-Winter	—
2.2 Develop training and implementation plan	—	2008
2.3 Develop procedures for managing, responding to allegations	—	2008
2.4 Develop prototype for monitoring and evaluation	—	2008
2.5 Implementation, beginning in 2008 and continuing in 2009	—	2008-09
3. Awareness and Preparedness for Emergencies at the Local Level (APELL)	2007	2008-09
Sub-activities		
3.1 Needs assessment with United Nations Environment Programme (UNEP) APELL expert technical assistance	—	2008
3.2 Program design	—	2008
3.3 Implementation	—	2009

Section 4: Alliance Organization and Management

Collaborative planning called attention to the need to strengthen: (1) the role of district stakeholders, including local government authorities, in Alliance planning and implementation, and (2) the Alliance capacities for technical management and assistance.

Organization and the Role of District Stakeholders

As described in Finding #1, participants in national and district workshops emphasized the need to strengthen the leadership roles of Asutifi and Wassa West DAs in development planning and implementation, including Alliance planning and implementation.

The Alliance organizational structure, as envisioned in the GDA proposal and memorandum of understanding (MoU), does not define the role of DAs but recognizes the Alliance aim to apply available resources to “support initiatives that will improve upon the capacity of both formal and informal local governance structures to manage and sustain economic growth and increase the self-governance and self-reliance of local communities.” *Annex 5* provides the text of the MoU, signed in May 2006, for reference.

In light of this aim and collaborative planning input, Alliance members have begun to examine potential changes in organizational structure that would strengthen local, including DA, involvement in planning, implementing and monitoring of Alliance activities. *Annex 6* provides a draft organigram that illustrates potential adjustments. The form and timing of such adjustments is a matter for consideration by Alliance members with district stakeholders.

Technical Management Capacities

Collaborative planning also called attention to gaps in Alliance technical management capacity to:

1. Initiate and sustain increased local level involvement in planning, implementing and monitoring of Alliance activities
2. Provide technical assistance for recommended additional activities under objectives one and three
3. Support clear and effective communication – including media relations and issues management – among Alliance members and stakeholders at national and local levels.

The Alliance GDA proposal and draft workplan recognized the need, and identified some funds, to provide additional technical assistance in support of objectives one and three. The draft workplan, as expressed in the following excerpt, also recognized that the management structure and related technical support needs would evolve and be considered based on collaborative planning with stakeholders:

“Global experience provides no magic formula for organizing and managing development alliances. Few end up with the structure they established at outset.

Coordinating multiple partners with diverse interests to achieve shared goals requires specific skills from all partners, including firms and governments. Firms must learn to accommodate stakeholders other than shareholders and regulators in their planning and operations. Governments, for their part, have to learn to “govern by network.”

In this new model of governance, with implications for business as well as government, officials do more than manage people and programs in hierarchical structures – they manage relationships among a shifting range of partners and marshal the resources of those partners to produce public value.

– USAID, *Global Development Business Model*, January 2006”

The organigram provided in *Annex 6* illustrates some potential adjustments, including the addition of contract technical management assistance to support work at national and local levels. The form and timing of such adjustments is a matter for consideration by Alliance members.

Section 5: Conclusion

USAID's Global Development Alliance lessons include the recognition that alliances, such as Ghana's, should assume the need for ongoing adjustments, as expressed in the following excerpt from a USAID GDA report:

Alliances are built on institutional and personal relationships that require a strong dose of trust among partners ... building and managing those relationships becomes simultaneously more difficult and more essential, particularly when some of the partners are networks. (Several of USAID's alliances include networks of organizations that have coalesced around a particular issue, such as cocoa in West Africa or youth employment in the Americas.) As time goes on, it becomes apparent that adjustments to approaches, planning, and funding will occur.

– *USAID Global Development Alliance Report, Public-Private Alliances for Transformational Development, January 2006*

Collaborative workplanning confirmed that Alliance activities under way in Asutifi and Wassa West districts provide a strong base. Findings and recommendations in this report are designed to help steer near- and longer-term adjustments to the Alliance workplan, organizational structure and technical management capacities.

Recommended immediate next steps are:

1. Alliance review of this report's findings and recommendations; finalization of the report.
2. Determination of affordable adjustments to the workplan, organizational structure and technical management capacities.
3. Review of determinations with Alliance implementing partners. This review could coincide with start-up of the planned technical advisory committee.
4. Facilitation of the final, wrap-up workshop that was postponed to allow for consideration of the results of collaborative workplanning.

Annexes

1. Accra Planning Workshop, Sept. 4, 2006: Program, Group Reports and Registered Participants
2. Asutifi District Planning Workshop, Sept. 13-14, 2006: Program, Group Reports and Registered Participants
3. Wassa West District Planning Workshop, Sept. 27-28, 2006: Program, Group Reports and Registered Participants
4. International Codes of Conduct and Best Practices Matrix
5. Memorandum of Understanding – Partnership Agreement, May 24, 2006
6. Draft Alliance Organizational Chart (Organigram)
7. Web Resources

Annex 1: Accra Planning Workshop, Sept. 6, 2006
Program, Group Reports, Registered Participants

**Ghana Responsible Mining Alliance
Accra Planning Workshop**

When: Wednesday, September 6, 2006
08:00-17:00

Where: Alisa Hotel-North Ridge, Accra
Asante II Conference Room

Who: Ghana Responsible Mining Alliance members and partners

Programme

08:00 Coffee, tea and croissants

08:30 Start

Welcome and Introductions

Discussion of Alliance Governance

Review of Draft Workplan – current and planned activities, identification of opportunities and gaps

10:30 Break

11:00 Adding Meat to the Bones: Roadmap for Year One

13:00 Buffet Lunch

Adding Meat to the Bones: Roadmap for Year One, *continued*

Planning for district level workshops

17:00 Adjourn

Accra Workshop: *Summary of Issues Raised in Plenary Discussions*

1. **Alliance will face a major challenge managing expectations**
 - How much should be expected of mining companies and local government?
 - How do districts work out roles of local government, companies ...?
 - Who does what? Who invests and pays for what?
2. **There are big issues around local share of mining revenue, including**
 - Loss of local revenue due to leases and concessions
 - Need to advocate for more local share in revenue from mining
 - DA lack of capacity to lobby. Lack of citizen awareness and confidence that they could advocate for more local share of mining revenue
3. **Global issues that affect all Alliance objectives include**
 - Practice of paying for citizen participation
 - How will the Alliance Technical Advisory Board function?
 - Find linkages and avoid duplication
 - Manage expectations
 - The four groups (DAs, Traditional Authorities, Citizen Groups and Mining Companies) have different power base relations
 - How will we achieve what is envisioned in the draft workplan? We must:
 - Be practical and concrete, go from abstract to concrete
 - Give room for interests
 - Find some quick wins
4. **How can the Alliance best support Ghana action on EITI** (Extractive Industries Transparency Initiative)? Consider roles of the Ghana Chamber of Mines and the bigger governance projects.
5. **We should recognize who is driving development:** the Mining Companies. This is a policy. We need to link mining with development agenda.
6. **Compensation** in Wassa West is woefully inadequate
7. **“We need to understand that small and medium mining companies do not have the resources to conduct responsible practices.** This must be taken into consideration when dealing with these companies.” (OICI)
8. **Objective 3 poses a big challenge.** We need to question ourselves and demonstrate that it is possible to do mining responsibly. What can we do differently, what can we add on? Different competing interests – all have a role so there needs to be room for these different interests to play out.
9. **Artisanal mining** is a major issue
10. **Asutifi Social Responsibility Forum** to develop agreement defining roles and responsibilities. Participants include senior traditional authorities, MPs, DCE, DA representatives; farmers, women, and NGOs. The forum started in January 2006 and meets every six weeks.
11. **Group SWOT analysis of Asutifi and Wassa West districts**

Strengths

 - There is a full complement of core staff in Wassa West and Asutifi
 - Legal framework and mandate give districts autonomy
 - Financial resources exist
 - Wassa West – old and established
 - Natural resource base is rich (Wassa West and Asutifi)
 - Human resource base is rich (Wassa West and Asutifi)
 - Wassa West – vibrant and commercial

- Ability to raise local revenue
- FM radio exists (Wassa West)
- Information centers exist – privately owned (Asutifi)
- Financial centers exist (Wassa West)

Weaknesses

- Women are under represented
- Conflicts between DCEs and MPs
- Lack of resources for assembly members to communicate with citizens
- Decentralized departments have decentralized financial resources
- Political and administrative interference from central level and political parties
- Low levels of internally generated revenue
- Appointed DCEs
- Public apathy

Threats

- Could have a new and weak assembly after the local government election
- Lack of understanding of the role of assembly members
- Weak capacity of assembly members
- Inadequate DA resources for monitoring
- High DA staff turnover, lack of institutional memory
- DA has lack of historical records, lack of institutional memory
- Lack of data
- Overly bureaucratic
- Poor capacity to coordinate
- Inability to apply the legal framework
- Weak leadership

Accra workshop group reports begin on the next page

Accra Workshop: Group Reports

Objective One/Group One: Strengthened democratic local governance

Facilitator: Kofi Antwi Boasiako (Asutifi District DPO) with Ted Lawrence (USAID/Ghana), Becky Gadell (RTI International)

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- | | |
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Summary Report

Key message and recommendation from the local governance group: "Put local government in the lead for local development."

Special Opportunities of the Alliance:

1. Current high price of gold provides an advantage
2. Put local government in the lead for development. District Assemblies, not mining companies, are mandated to lead local development. DAs lack capacity. Alliance has an opportunity to help close local government capacity gaps, including DA capacity to help local government, mining companies/private sector, traditional authorities and citizen groups work together for sustainable development.
3. Asutifi and Wassa West districts are now at work on their mid-term development plans. Integrate district development and alliance plans
4. Local elections will bring new assemblies/assembly members to the table. This is a special opportunity to look at roles, responsibilities, leadership ...
5. Ghana commitment to Extractive Industries Transparency Initiative (EITI) is an opportunity to strengthen local governance
6. New mining regulations are under study, bringing opportunities to influence legislation
7. The Ghana Responsible Mining Alliance is an opportunity unto itself.

Discussion Notes

Assumption: Strengthening democratic local governance requires that the DA, Citizens Groups, Traditional Authorities, Business/Mining Companies *work together* for development in Asutifi and Wassa West districts.

Question posed to the group: What can we do to help the DA, Citizens Groups, Traditional Authorities, Business/Mining Companies *work together* for development?

Strengths and Opportunities for Strengthening Local Governance

What is working in favor of local government, traditional authorities, citizen groups and mining companies working together for sustainable development in Asutifi and Wassa West districts?

Across the districts and sectors

- There is a mutual desire of many to work together for development. Consultations are happening at district and community levels.
- DAs have legal mandate to facilitate development in the district. DAs and traditional authorities have legal and traditional mandates to lead the people in development.
- Mining companies are willing to contribute to development and are contributing
- CSOs are present and active
- Mining companies have shown responsiveness to citizens concerns, i.e. impacted areas
- DAs have shown some commitment to partner with mining companies and communities
- Existence of mechanisms for mobilizing community support of chiefs
- Existence of [FM radio stations for orientation and sensitization
- Availability of financial and human resources
- The districts have gold
- There is investment in the districts
- Community and citizens have shown they want to get involved in monitoring processes

Mining companies have unique strengths

- Networking relationships with other stakeholders
- They have put some channels for decision making in place. Examples: Applying consultative process; Sustainability Forum; Resettlement Negotiation Committee
- They support development
- They have financial and human resources
- They want to contribute to community development
- They have the capacity to turn raw resources into money

DAs have unique strengths

- Legal mandate to facilitate local development
- Desire to improve the district
- Resources to support platforms for exchange of information
- Legal framework is in place. Law defines role and obligations of DA and staff.

Citizen Groups have unique strengths

- Radio discussions on education on FM stations
- Consciousness of citizens groups
- Effective CSO participation exists
- Communities want to get involved in monitoring processes

Traditional Authorities have unique strengths

- Well-defined structures
- Traditional authorities are mandated custodians of lands.
- Traditionally, citizens respect and respond to their traditional authorities.
- They have capacity to mobilize citizens.

Weaknesses and Threats

What is working against local government, traditional authorities, citizen groups and mining companies working together for sustainable development in Asutifi and Wassa West districts?

Across the districts and sectors

- Inadequate capacity on the part of DA, citizen groups and traditional authorities to advance good governance
- Persistent mindset that supports community dependency of mining companies
- Conflicts between mining companies and citizens
- Conflicting interests and responsibilities of DAs, chiefs and companies. Individual interests do not work together:
 - Mining companies want to have peace of mind to work
 - Traditional authorities supported by government want maintenance of status
 - Power differences in terms of the resources of power among partners
 - Lack of adequate resources to implement programs
 - Inadequate understanding of communities' role in district governance
 - Groups do not collaborate on use resources
- Illegal Mining
- Corruption
- Poverty levels shift citizen participation in development process to that of survival
- Lack of secured and alternative livelihoods for citizens
- Inadequate and ineffective information flow among the various stakeholders
- Inadequate participation due to various factors, including lack of information, selfishness/greed, apathy, lack of transparency and accountability
- Poor communication between and among:
 - DAs and traditional authorities
 - CSOs and mining companies
 - DAs and mining companies
- Lack of citizen participation and consultation below district/DA level
- Structural problems, including power differences, lack of platforms for working together, leadership problems
- Land degradation and land fragmentation
- Conflict, including chieftancy disputes, youth, unemployed and displaced persons, mining company disputes
- Chieftancy disputes divide the district (Wassa West)

DA weaknesses and threats

- DAs have inadequate capacity – human, material, logistical, financial – to play facilitative leadership role in development to fulfill their legal mandate. Inadequate district capacity to facilitate and coordinate development, set priorities [DA is the legally constituted body to lead the people in development.]
- Inability to generate adequate internal, new local revenue. Inability of DA to meet internally generated revenue (IGR) targets.
- Constant transfer of DA staff
- Selection of DA appointees largely not based on professional competence but instead on political linkages
- DAs overwhelmed with additional responsibilities to deal with in health, education, water ...
- Lack of adequate data. Example: absence of base maps for planning.

Mining companies' weaknesses and threats

- Mining companies sometimes assume the role of DAs and government
- Lack of communication on the part of mining companies
- Legalistic mentality of mining companies
- Lack of commitment to training local people to take skillful positions

Traditional authorities' weaknesses and threat

- Chieftancy and land disputes
- Chiefs seek their own interest at the expense of communities

Citizen groups' weaknesses and threats

- Lack of adequate/accurate information
- Weak capacity to engage, demand accountability from DA, mining companies and chiefs
- People, community members who want to be paid for participation
- Lack of resources
- Illiteracy prevents citizen groups from advocating for the interests of their members
- Many people pursue their personal interest at the expense of the community members.
Focus on individual interests as opposed to the larger interest

Accra workshop group 2 report begins on the next page

Objective Two/Group Two: Enhanced economic growth through local private sector

Facilitators: Rick Ody, TIPCEE, and Dora Plavetic, USAID/Ghana

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Summary Report: Issues and Recommendations:

- [Consider] policy as it relates to Government, Minerals Commission. Make national development linkages.
- Districts have to be center for development
- Integration: Project affected people and the larger community linked with economic opportunity. Integrated approach i.e. farmers, SMEs, larger community, capacity
- Need to integrate and link programs *at district level*
- Important to coordinate activities and programs, avoid duplication
- Compensation of affected people is inadequate. Alliance objective two targets a few people.
- Assistance is delayed
- Alternative livelihood programs are too agro based. Alliance should enhance other industry livelihoods, i.e. traditional authorities
- GAIT II: Participatory linkages at district level need to be strengthened
- Programs should be practical, show results and have impact on the people
- There are BIG issues, such as resettlement
- Gold industry is growing:
 - Companies have varied levels of capacity to meet standards
 - Don't scare off small and medium players

Local Economic Growth Discussion Notes

Responsible Mining Practices

- | | |
|--|--|
| • Good sanitation/water | • Social accountability |
| • Access to potable Water | • Commitment to work |
| • Waste management | • Protection of Natural Resources (Conservation and Reclamation) |
| • Easy access to land for investment | • Environmental cleanliness |
| • Good coordination between public and private sectors | • Openness to innovation and new ideas |

Economic Growth Issues

- | | |
|---|--|
| • Employment Avenues Available (Job creation) | • Access to health services at affordable cost |
| • Access to basic education | • Access to communication |
| | • Durable infrastructure |

- Water and Sanitation
- Access to toilet facilities
- Human resource development
- Access to market facilities
- Access to education
- Access to social amenities eg. electricity, water, housing, good roads etc.
- Easy Access to land for investment purpose
- Access to shelter
- Business training (money and financial management)
- Proper nutrition
- Financial support from Banks to support economic lives
- Better buildings that conform to modern standards
- Housing and helter are enough for all (affordable housing)
- Food security
- Quality health delivery
- Good transportation system
- Access to well-trained teachers.
- Affordable energy and water
- Infrastructural development
- Low level of poverty
- Existence of small and medium enterprises
- Access to credit facilities
- Thriving agric business
- High literacy rate
- High enrolment
- Accessible and affordable health insurance facilities
- Access to potable water
- Low maternal and infant mortality

Governance Issues

- Good infrastructure – i.e. clinics, schools, roads, etc
- Enough and quality health staff
- Good/efficient judicial system
- Conflict free society
- High participatory decision making process in place
- Highly qualified personnel to staff DAs
- Low crime rate
- Openness to Innovations
- Respect for Traditional Values
- Grass-root participation in decision making
- Gender Equity
- Freedom of expression
- Good relations with communities and stakeholders
- Good security
- Effective coordination between public, private sectors
- Good leadership
- Respect for each other
- Communal spirit
- Freedom of expression
- Justice
- Social Accountability
- Commitment to work
- Access to Basic Education
- Well planned community with emphasis on sanitation
- Utilities such as potable water, road network are available
- Quality education is available
- Peace prevalence
- Respect for Authority
- No conflict
- Access to education
- Access to social amenities.
- Observance of fundamental Human Rights
- Efficient Traditional System
- Unity of Purpose
- Grass-root Participation
- Freedom of Expression
- Security, law and order
- Transparency in Governance
- Social Accountability

Local Economic Growth: SWOT Analysis of Asutifi and Wassa West Districts

Strengths – Asutifi District

- Food secure
- Adequate population size to sustain economic activity

Agriculture

- Productive land
- Sufficient rainfall, but at times too much rain
- Access to inputs – but only at regional capitals – not locally
- Farmers sell plantains, cassava, oil palm, cocoa, little bit of pineapple
- New crops with market potential – chili peppers, soya, anatoe, aquaculture, grasscutter raising

Markets

- Main markets for surplus are Sunyani and Kumasi (Some pineapples go to Burkina)
- Near markets for artisanal goods

Infrastructure

- Distances by road:
 - Sunyani – 45 minutes – good road
 - Kumasi – 2 hours – good road, but lots of traffic
 - Techiman – 1 hour, 15 minutes – good road
- Near airport in Sunyani or Kumasi

Businesses – SMEs

- Entrepreneurs exist, but virtually no SMEs
- Opportunity – development of technical support consultants/businesses closer to mines – but current population lack these skills – includes electricians, plumbers, ICT/computer specialists, maintenance, transport, garments, food production of a quality and consistency to sell to mine

Support Agencies

- Financial institutions are present – commercial banks nearby, rural banks
- Ministry of Food and Agriculture (MOFA) Agricultural Extension Agents (AEAs) have appropriate skills, but limited resources
- Near Sunyani – Catholic University
- Development partners already on the ground
- Local organizations exist and are functioning

Local Governance

- Traditional leadership is well-organized in Asutifi
- Civil society is active

Weaknesses – Asutifi District

- There is a mentality that mining company or donor support will continue forever
- Low level education/training skills
- Low opportunity for formal employment

Agriculture

- Mostly subsistence agriculture approach – not farming as a business
- Farm size is small – most 1/2 to 1 acre – but some small commercial farms
- Rain fed agriculture only – no irrigation
- Soil fertility is good at the moment but beginning to degrade
- Over production of oil palm with no storage facilities
- Elephant grass is endemic in fields
- Farmers follow fallow periods instead of crop rotation
- No local access to inputs
- No maize storage capacity

Markets

- Lack of market information
- Open air markets – no covered storage facilities

Infrastructure

- No maize storage capacity
- Asutifi not completely electrified
- Mobile phone coverage is uneven
- No internet connectivity

Associations

- Previous efforts at forming farmer based organizations were not market focused and too large (e.g. 300 member ginger growers association)
- Associations did not support access to equipment, inputs, or credit

Support agencies

- MOFA Agricultural Extension Agents (AEAs) have limited resources

Strengthens - Wassa West District

- Food secure
- Adequate population size to sustain economic activity

Agriculture

- Sufficient rainfall
- Farmers sell plantains, cassava, oil palm, vegetables – okra, garden egg
- New crops with market potential – Allenblackia, aquaculture, grasscutter raising
- Access to inputs, but only at regional capitals – not locally

Markets

- Farmers sell plantains, oil palm, citrus
- New activities with market potential – griffonia harvesting, artisanal mining

Infrastructure

- Markets have covered sheds and storage facilities
- Distances by road:
 - Takoradi – 1 hour– good road
 - Kumasi – 2-1/2 hours – good road

- Internet connectivity available in much of Wassa West
- Mobile phone coverage in much of Wassa West

Businesses

- Opportunity – development of technical support consultants/businesses closer to mines – but current population lack these skills – includes electricians, plumbers, ICT/computer specialists, maintenance, transport, garments, food production of a quality and consistency to sell to mine

Support agencies

- Financial institutions are present – commercial banks and rural banks
- MOFA Agricultural Extension Agents (AEAs) have appropriate skills, but limited resources
- Development partners already on the ground
- Local organizations exist and are functioning
- Near University of Mines and Technology
- Near rubber plantation

Weaknesses - Wassa West District

- Long-term (decades long) “reliance” of Wassa West communities and local government on mining Companies
- Large transient population – men only – looking for work
- Local artisanal mining causes conflict in area
- Low level education/training skills

Agriculture

- Mostly subsistence agriculture approach – not farming as a business
- Limited availability of arable land
- Many sites have seriously degraded soil fertility (leached soils)
- Period of extensive rain in Wassa West
- No local access to inputs

Markets

- Lack of market information

Infrastructure

- Feeder roads degraded

Businesses

- Few SMEs

Associations

- Previous efforts at forming farmer based organizations were not market focused
- Associations did not support access to equipment, inputs, or credit

Support agencies

- MOFA Agricultural Extension Agents (AEAs) have limited resources

Accra workshop group 3 report begins on the next page

Objective Three/Group Three: Promotion of responsible mining practices**Facilitator:** Leslie Johnston, USAID/Washington, and Rob Clausen, USAID/Ghana**Participants:**

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| 9. Emmanuel Kuyole | |

Summary Report: *Issues, Questions and Recommendations*

1. How do we best tap expertise of the group (technical v non-technical)?
2. Communication: how do we get messages out from the Alliance?
3. Mine closure
4. Site specific conditions (Ahafo is not Akyem) should be considered
5. Social acceptance stems from environmental responsibility
6. How does a company disclose issues?
7. Involve the media: public relations departments within companies need to communicate better and more
8. What about juniors not participating in the Alliance?
9. Lack of transparency in the mining industry
 - What is transparency? Definition is needed. Best practices need to be set.
 - Transparency allows public to determine negligence v accident
 - “If they can’t do it properly, they shouldn’t be mining.”
10. Increasing militarism in communities
 - How can communities trust when problems “solved” by heavy-handed military response?
 - Do some situations call for military force?
11. Lack of education within civil society. Need capacity building for civil society.
12. Are mining and biodiversity, conservation irreconcilable?
13. Community consultation should proceed exploration
14. Where is national involvement in the Alliance?
15. What are the mechanisms for dispute resolution? No guidance from the government on:
 - Large-scale
 - Grievance
 - Compensation

Discussion Notes: *Issues, focus for action*

- Transparency
 - Need to define the term. Company definitions vary greatly. Are the people in the communities understanding what the companies are saying?
 - Best practices need to be set: “If they can’t do it properly, they should not be mining.”

- There is the process of transparency and there is the substance of transparency. Substance would consider social, environmental, economic impacts; employment policies and procedures; production; royalty payments; payments to chiefs ...
- Security
 - Increasing militarization in communities
 - How can communities trust when problems are “solved” by heavy-handed military response.
 - Protecting the right to mine and protecting the right to dissent
 - Need for mechanisms to bridge civil society, military, companies. *This is a potential role for the Alliance.*
 - Newmont has signed on to the Voluntary Principles and stated it is critical the Government of Ghana sign on
- Community Relations and Communication
 - Consultation and involvement mechanisms must be two-way
 - EPA should inform community about what it is doing, work with civil society
 - Civil society is a conduit
 - Every employee of the companies is a part of the communications team
 - Consultation requires equal partners, legitimate representation
 - Need capacity building to inform people about rights and responsibilities
 - Community involvement in developing and maintaining monitoring mechanisms: participatory monitoring and complimentary EPA monitoring
 - Educating people to conduct monitoring exercises
- Protect areas, biodiversity
 - Companies need to integrate conservation principles into internal policy and mine planning
 - Pre- and post-planning (rehabilitation and restoration planned from start)
 - Need for more baseline data
- Resettlement/Compensation
 - Lack of national guidelines
 - Problem of resettlement “fraud” *and* “fly-by-night development
 - Defining the principle of “land for land.” How do you do this?
 - Need for resettlement policies, but not limited to mining
 - Lump sum payments are bad, especially for people who lack financial management skills
- Dispute resolution, potential for ombudsman: Need an arena to develop suitable conflict resolution process, including and going beyond traditional conflict resolution structures
- Small scale mining
- Environmental Impact Assessment (EIA) implementation, verification, execution
- Mine closures
- Local decision-making process

Accra workshop participant list begins on the next page

Accra Workshop
Sept. 6, 2006
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62.	Leslie Johnston	USAID/DC, EGAT/ESP/MPC	LJohnston@usaid.gov
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Annex 2: Asutifi District Planning Workshop, Sept. 13-13, 2006
Program, Group Reports, Registered Participants

Asutifi District
 Planning Workshop

When: Wednesday-Thursday, 13-14 September 2006

Where: Hwidiem Secondary School, Assembly Hall

Programme

Day 1: Wednesday

08:30 Coffee, tea and rolls

09:30 Start

Welcome and Introductions, District Development Planning Officer (DPO)
 Working Together for Development in Asutifi District, District Chief Executive
 District Role in Development Planning and Action, facilitated by DPO
 Advancing a Vision for Asutifi District Development

11:30 Brief Break

Ghana Responsible Mining Alliance: Information and Discussion

13:00 Lunch

Putting Meat on the Bones: Group Planning to Strengthen (1) Governance (2)
 Local Economic Growth, (3) Promotion of Responsible Mining Practices

16:30 Adjourn for the day

Day 2: Thursday

08:30 Coffee, tea and rolls

09:30 Start

Welcome Back
 Putting Meat on the Bones, *group work* continued

11:30 Brief Break

Group Reports and Discussion

13:00 Lunch

Making Development Choices and Identifying Roles

16:30 Adjourn

Asutifi District Workshop Plenary and Group Reports

Characteristics of a *healthy, prosperous, lasting community*, as identified by Asutifi District workshop participants

- Observance of fundamental human rights
- Respect for each other
- Effective coordination between private and public sectors
- Social accountability
- Respect for rule of law
- Transparency in governance
- Respect for authority (Rule of Law)

Issues (to be explored by breakout groups for objectives one through three)

- Conflict-free society
- Prevalence of peace
- Gender equity
- Literacy rate
- Human resource development
- High participation in decision making process in place
- Unity of purpose

Asutifi District *Parking Lot* Issues that were identified, but not explored in depth

- Fundamental responsible mining issues
 - Simultaneous rehabilitation of affected land areas
 - Respect for human rights
 - Maintaining good relationships with neighboring communities and other stakeholders
 - Transparency
 - Meeting all statutory obligations
- Access to information
- Develop and implement social responsibility programs
- Turnover of Technical/Department heads
- Delays in payment of compensation
- Alternate conflict resolution, peace clubs
- Ensuring “maximum input,” grassroots participation and not just representation by a few
- Effects of mining activities on close communities
- Animal Production in Poverty reduction – issues of grazing lands and zooholics

Asutifi District workshop group reports begin on the next page

Objective One/Group One: Strengthened democratic local governance**Facilitator:** Kofi Antwi Boasiako, Asutifi District Development Planning Officer**Participants:**

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(Resource) |
| 9. Boakyee Fosuhene
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| 10. Adwoa Nkrumah | 20. Dada Opoku Agyemang | |

Assumption: Strengthening democratic local governance requires that the DA, citizen groups, traditional authorities, mining companies/business *work together* for development

Question posed to the group: What can we do to help the four groups *work together*?

Conclusion: DA, citizen groups, traditional authorities, mining companies/business would work together better if there were stronger systems for sharing information and building alliances.

Priorities for Working Together	Possible Approaches
1. Improve relations of the four groups (DA, citizen groups, traditional authorities, mining companies/business) with communities, stakeholders	<ul style="list-style-type: none"> – Have quarterly stakeholders meetings – Have regular radio programs – Educate public on DA-citizen relationship – Have a well-resourced information center – Build the capacity of Nananom to manage efficiently – Host regular community meetings of the four groups
2. Develop human resources	<ul style="list-style-type: none"> – Leadership training for the four groups – Community orientation on social accountability, auditing – SMCs/PTAs advocate for resources for education
3. Improve local revenue generation to facilitate development	<ul style="list-style-type: none"> – Tax education – Host budget public hearings – Revaluation of assets – Taxpayers are involved in fee fixing – Provide training and motivation for revenue collection staff
4. Improve security, law and order	<ul style="list-style-type: none"> – Regular interaction between police and communities – Advocacy for effective judicial system – Establish community watch committees – Promote alternative conflict resolution, Nananom arbitration – Promote fundamental human rights
5. Improve compensation system, practices	<ul style="list-style-type: none"> – Increase transparency in compensation management – Alternative investment procedures, including shareholding – Reinvest part of compensation in mining – Decrease delays in payment of compensations – Eliminate waste in endeavors

Objective Two/Group Two: Enhanced economic growth through local private sector**Participants:**

- | | | |
|----------------------------|-------------------------|---------------------------|
| 1. Nana Yaa Adutwumwaa II | 13. Cecilia Vorleto | 26. Dr. B.S. Ashmora |
| 2. Nana Ameyaw | 14. Selom Attipoe | 27. Paul Boakye |
| 3. Nana Ama
Acheampomaa | 15. Sam Debrah | 28. Richard Adjei-Poku |
| 4. Prosper Bissi | 16. Hamza Bawa Mahama | 29. K.M. Fordjour |
| 5. Charles O. Addo | 17. James Kusi | 30. Patricia Frimpong |
| 6. Effah Kyereh | 18. Amoah Kwasi Wulunbo | 31. S.B. Nsankyiri |
| 7. Norbert Anane Nyarko | 19. H. Hammond | 32. Alpha Benjamin Benzah |
| 8. Olivia Agyeiwaa | 20. Akoto Nimoh F. | 33. Raymond Gunn |
| 9. Diana Pokuaah | 21. Solomon Abroampah | 34. Auesja Jalee, |
| 10. Gborglah K. Alfred | 22. Joseph Agbema | 35. Kwasi Acheampong |
| 11. Francis Kumah | 23. Charles Essel | 36. Dora Plavetic |
| 12. Albert Boakye Amofa | 24. Opoku Amoako | |
| | 25. Opare-Addo Okyereh | |

Question posed to the group: What can we do to promote local economic growth in Asutifi District?

Conclusions: The group summarized recommendations, what it will take to grow the local economy. Issues and recommendations were organized around the categories of:

- Thriving Agric Business
- Food security
- Access to credit facilities
- Business training (money and financial management)
- Access to agric, business support services
- Marketing
- Small and Medium Enterprises (SMEs)
- Access to Quality Education (formal and informal)

THRIVING AGRIC BUSINESS

- Provision and Development of quality seeds
- Talking to landlords to provide land.
- Training Farmers on Efficient land management
- Helping Farmers acquire inputs by linking them to suppliers
- Linking Farmers to extension services to acquire training
- Linking Farmers to credit providers

Post Harvest Issues

- Provision of storage facilities
- Processing equipment and technology
- Technical and credit assistance
- Transport to convey food stuffs
- Preservation of food stuffs

Marketing

- Packaging
- Provision of market facilities
- Animation and strengthening of marketing groups
- Promotion of trade through adverts
- Access to marketing information

- Market research
- Safety and quality standards

BUSINESS TRAINING

- Poor business management practices
- Low-level of technology
- Limited business skills
- Limited entrepreneurial skills
- Low retrieval of credit
- Formation of business groups
- Financial management training
- Provision of business development services

ACCESS TO CREDIT

- High risk area
- Unable to meet conditions of banks
- Low loan repayment history
- High levels of poverty

Access issues, ideas

- Information Seminars
- Public/Private dialogue
- Sensitization of Banks on the needs of the District
- Information seminars on loan repayment
- Implement Venture Capital fund/micro grant
- Patronizing goods and services from the local areas
- Access to quality health services at affordable cost (NHIS)
- Housing and shelter are enough for all (affordable housing)
- Training on water harvesting
- Training on use of local materials

ACCESS TO AGRIC, BUSINESS SUPPORT SERVICES

- Water and sanitation
- Roads
- Energy, extension of electricity to residential areas
- Housing
- Good transportation system
- Affordable communication systems
- Create an industrial zone separated from residential areas
- Create final waste disposal site
- Partake in clean up exercises regularly
- Educate citizens on need to maintain clean environment
- Research the quality of pipe born water and rainwater
- Adequate housing and shelter. Provide proper housing plan, district housing scheme
- Maintain buildings properly
- Adequate health services and facilities
 - Accommodations for health personnel
 - Support local people/residents in health training schools
 - Source external support to acquire hospital
 - Educate and encourage local people to register with National Health Insurance Scheme (NHIS)
 - Upgrade the health centers with hospitals

ACCESS TO MARKET FACILITIES

Issues

- Poor quality of products
- Limited marketing skills
- Marketing outlets limited or localized
- Problem of product diversification
- Limited access to marketing information
- Sale of raw products
- Low level of adoption of innovations
- Weak trade associations
- Poor transportation system
- High transport charges

Ideas, proposed activities

- Link trades to internal and external markets
- Form marketing groups
- Provide customized market facilities
- Create Market Information System (Center)
- Organize trade shows and fairs

SMALL AND MEDIUM ENTERPRISES

- Creation and survival of SMEs requires:
- Provide specialized business service to start up and on-going businesses
Develop Data Base of business development service providers
- Develop a database on SME's

QUALITY EDUCATION

- Discipline in schools
- Enforcement of teacher discipline measures
- Establish District Scholarship schemes

Low enrollment

- Provide hostel facilities at the Vocational Institute
- Creating of access roads to residential areas
- Conduct research to problems of building damages

Education development

- Support the training of more teachers for the district
- Provision of learning and teaching materials for schools
- Support Circuit Supervisors to intensify their supervision of schools
- Everybody should support

Additional Discussion Notes:

Crops

- | | | |
|------------|--------------|------------|
| – Plantain | – Maize | – Oranges |
| – Cocoyam | – Vegetables | – Oil Palm |
| – Cassava | – Pineapples | – Rice |

Agriculture Production Issues

- Seed development and supply, quality
- Access to land
- Efficient land management
- Access to inputs
- Access to external support
- Access to credit

Commerce/Service Sector

- Hairdressers
- Batik tie and dye makers
- Soap makers
- Bakers
- Traders
- Carpenters
- Welders
- Masons
- Space to Space sellers
- Agro chemical sellers
- Electricians
- Chemical Sellers
- Computer Services
- Farmers groups
- Printing process
- Fitters
- Food sellers
- Snail Farmers
- Mushroom Cultivators
- Grasscutter Farmers

Asutifi District workshop group 3 report begins on the next page

Objective Three/Group Three: Promotion of responsible Mining practices**Participants:**

- | | | |
|------------------------|---------------------------|-----------------------------|
| 1. Nana Nsiah Ababio | 12. Richard Boamah | 23. Kofi Dwomor-Asubontgeng |
| 2. Nana Akua Affriyie | 13. Joseph Danso | 24. Prosper Nkrumah |
| 3. Nana Anim Dua Bonsu | 14. Nana K. Gyan | 25. Dr. Chris Anderson |
| 4. Ken Ramsey | 15. Kofi Karikan | 26. J.K. Manu |
| 5. P.K.Osei | 16. Edmund Korankye | 27. Gabriel Adu-Bonsu |
| 6. Eric Addae | 17. Eddie B. Afful | 28. Kwame Agyemum |
| 7. Asante Ameyaw | 18. David Johnson | 29. Robert Dzokoto |
| 8. Kwasi Addae | 19. Elizabeth Opoku-Darko | 30. O. Acheampong |
| 9. S. Ofeng Mensah | 20. Chris Fell | 31. Mary Boakye |
| 10. Nana Asamoah | 21. Nana Dapaah S. | 32. Augustina Mensah |
| 11. P.B. Agyeman | 22. Nana Yaa Kyere | |

Question posed to the group: What can we do to promote responsible mining practices (in environment, social and governance) in Asutifi District?

Conclusions: The group summary of issues and recommendations follows.

Priority Practice	Recommended Actions, Activities (leaders and facilitators)
1. Transparency and Accountability	<ul style="list-style-type: none"> – Regular community meetings, information sharing (DA and GAIT II) – Provide information centers (Newmont) – Seek out information people need to have (local NGOs, civic unions) – Organize site tours (Newmont, civic groups)
2. Respect for Human Rights	<ul style="list-style-type: none"> – Create awareness of basic human rights (NCCE, CHRAJ to facilitate) – Setup an office to receive and review rights abuses (CHRAJ; DA; civic groups)
3. Land Use Planning	<ul style="list-style-type: none"> – Educate communities to adopt improved farming practices (MOFA; civic groups; OICI) – Keep mine take as small as possible (Newmont; EPA)
4. Waste Management	<ul style="list-style-type: none"> – Ensure implementation of agreed waste management plan, tailings (Newmont; EPA) – Monitor/supervise contractor handling waste (grease, tires, oil, etc.) both on and off mine site (Newmont; contractor) – Support DA to manage community waste (DA; civic groups)
5. Closure of Mines	<ul style="list-style-type: none"> – Ensure implementation of closure agreement, particularly environmental aspects (EPA; Newmont; Communities) – Develop and implement social closure plans for communities (Newmont; Communities; DA)
6. Openness to Innovation, New Ideas	<ul style="list-style-type: none"> – Target specific areas and get local input and experience, for example in growing cocoa (Newmont; Communities; other organizations)
7. Establish cordial relationships with host communities	<ul style="list-style-type: none"> – Hold regular meetings with traditional authorities and unit committees, youth, CBOs, civic union, farmers, assembly members (Newmont, DA and Mining Alliance)
8. Joint Monitoring /	<ul style="list-style-type: none"> – Form joint monitoring team that includes Newmont, DA,

Priority Practice	Recommended Actions, Activities (leaders and facilitators)
Community Monitoring	farmers, civic groups (joint task) <ul style="list-style-type: none"> – Train joint monitoring team on technical and social processes – Conduct monthly monitoring exercises DA, Newmont, EPA, traditional authorities and community representatives) – Hold regular (quarterly) public briefings – Hold emergency meetings and briefings when necessary – Provide equipment for monitoring (Ghana Responsible Mining Alliance)
9. Protection of Natural Resources (Conservation and Reclamation) Include water, forest, wildlife	<ul style="list-style-type: none"> – Prevent waste discharge into water bodies (Newmont; Joint Monitoring Team) – Put measures in place to check erosion (Newmont; Joint Monitoring Team) – Enforce observance of policies on forestation and lumbering (Joint Monitoring Team; Forestry Commission; EPA) –
10. Conflict Resolution	<ul style="list-style-type: none"> – Form task force on conflict resolution (DA; Nananom; Newmont) – Build capacity in conflict resolution, targeting CHRAJ, community representatives, farmers, NCCE, Newmont, social welfare and police (DA; Newmont) – Establish complaints, problem solving center (DA; Newmont)
11. Compensation to Farmers through dialogue	<ul style="list-style-type: none"> – Set up cooperative compensation review committee for farmers, MOFA, DA, traditional authorities, CBOs, Newmont (DA; Newmont) – Committee to assess market value of property (DA; Newmont) – Strengthen capacity (DA; valuation board/department; Newmont)
12. Social Responsibility, including closure and land rehabilitation	<ul style="list-style-type: none"> – Review existing social responsibility agreement to reflect real will of the people (Joint Monitoring Team; Newmont; DA) – Rehabilitation of affected lands should be done simultaneously with mining, unused land should be rehabilitated as activities progress (Newmont; Alliance; DA; Joint Monitoring Team)
13. Clean Water	<ul style="list-style-type: none"> – Monitor cleanliness of water, including water provided via tankers (Joint Monitoring Team; DA; Newmont) – Provide treated water (Joint Monitoring Team; Newmont) – Provide bore holes for communities (Newmont)

**Asutifi District Workshop
Sept. 13-14, 2006
Registered Participants**

	NAME	ORGANIZATION & POSITION	CONTACT INFORMATION
1.	Nana Adu Kwaku Ababio	Ntotoroso Akuamuhene	0243-669103
2.	Asante Ameyaw	Youth Chairman, Ntotoroso	0243-839029
3.	Nana Anin Dua Bonsu	CE Kenyasi	0242-587555
4.	Mary Boakye	Wamahinso Youth Association	0246-569104
5.	Kwasi Adae	Kroye Farmers Association	BH15, Kenyasi No. 1
6.	Adwoa Nkrumah	Kenyasi No. 1 Civic Union	0242-566546
7.	Diana Pokuaah	Kenyasi No.1 Bakers Association Chairperson	0242-566546
8.	Gawusu A. Wadood	Reg. Director, CHRAJ	0242-658002
9.	Boakye-Fosuhene Snr.	NCCE Dist. Director	0243-253897
10.	S. Oteng Mensah	CHRAJ – District Director	0242027065
11.	Gborglah R. Alfred	Vulnerable Representative	024630183
12.	Afia Sarpong	Civic Union Member	NT 37 Kenyasi No. 1
13.	Nana Asamoah	District Civic Union Chairman	0242-001123
14.	Kwaku Dua	Registrar Hwidiem, Traditional Council	0242-320063
15.	P. B. Agyeman	Vulnerable Representative	0243-474329
16.	Nana Ama Acheampomaa	Civic Union Board Member, Kenyasi No.1	0243-385252
17.	Nana Abena Sarpomaa	Queen Mother Nkasiem	0243-180327
18.	Nana Ameya	Chief Rep. Nkasiem	
19.	Nana Akua Affriyie	Queen Mother, Gyedu	0243-322854
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32.	Albert Boachie-Amofa	Opportunities Industrialization Centers International (OICI) - SME Development Officer	0246-655922
33.	Richard Boaman	Director, F&A, Guards of the Earth Vulnerable (GEV)	0244-240292
34.	Cecilia Vorleto	OICI, Program Officer Vulnerable	0243-843046
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39.	Joseph Danso	Kenyasi No.2 Youth Leader	0243-420675
40.	Nana K. Gyan	Kenyasi No.1	0246-602087
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	NAME	ORGANIZATION & POSITION	CONTACT INFORMATION
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50.	David Johnson	Gold Fields Ghana	0244-334884
51.	Solomon Aborampah M..	GAIT II	0244-563277
52.	Joseph Agbeme	Assembly Member	H/No 61
53.	Cletus Ayireje	GAIT II	0244-920707
54.	Toni Aubynn	Gold Fields Ghana	0244-324843
55.	Elizabeth Opoku-Darko	NGGL	0242-555659
56.	Charles Essel	GAIT II	0244-0750808
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58.	V.K. Tawiah	Acherensua Traditional Council	0246-694817
59.	Opoku Amoaku	Ghana Health Service (GHS)	0246-694817
60.	Opore-Addoh Kkyereh	Golder Associates	0242-889780
61.	Chris Fell	Golder Associates	0244-766428
62.	Nana Abuh Adansi	Vulnerable Committee	0246-369545
63.	Dr. B.S. Ashmora	African Connections Ltd., Consultant	N/A
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65.	Paul Boakye	MOFA	0242-511157
66.	Nana Yaa Adutumwa II	Kenyasi No.1 Queen Mother	0244-822607
67.	Nana Osei Kofi Abiri	Omanhene, Kenyasi, No.1	0243-184683; 0277-542314
68.	Odineho Dadeako Nsia Ababio	Omanhene, Kenyasi, No.2	0246-746688; 0244-443646

	NAME	ORGANIZATION & POSITION	CONTACT INFORMATION
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71.	Richard Adjei-Poku	Group for Livelihood & Environment (GLE)	0243-388299; 0276-900858
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73.	Nana Dapaah Asi Siakwan	Okyeame	0243-351582
74.	Nana Yaa Kyere	Queen Mother	0242-340694
75.	K.M. Fordjour	Director MOFA	0244-590280; 0276-900956
76.	Nana G.B. Boateng	Ankobeahene, Kenyasi No. 1	0275-252041
77.	Patricia Frimpong	Kenyasi No. 1 Traders Association	NT. 30 Kenyasi No.1
78.	Dada Opoku Agyemang	Kenyasi No. 1	0244-740975
79.	Kofi Dwomor-Asubontgeng	Kenyasi	0243-866949
80.	Nsnkyi S.B.	Asutifi Dist Assembly, Kenyasi	0243-376231
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82.	Alpha-Benjamin Bonzali	OICI, Kenyasi	0244-063177
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88.	Kwame Agyemum	GAIT II	0246-159382
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92.	Dora Plavetic	USAID/Ghana, Program Office	021-228440

Annex 3: Wassa West Planning Workshop, Sept. 27-28, 2006
Program, Group Reports, Registered Participants

Wassa West District
Planning Workshop
Ghana Responsible Mining Alliance

When: Wednesday-Thursday, 27-28 September 2006

Where: Tarkwa Secondary School, Assembly Hall

PROGRAMMME

Day 1: Wednesday, 27 September 2006

09:00 Start

Welcome and Introductions

Working Together for Development in Wassa West District:

- District Role in Development Planning and Action
- Alliance Organization and Draft Workplan

Advancing a Vision for Wassa West District Development

13:00 Lunch

Putting Meat on the Bones: (1) Governance, (2) Local Economic Growth,
(3) Responsible Mining Practices

17:00 Adjourn

Day 2: Thursday, 28 September 2006

09:00 Start

Welcome Back

Putting Meat on the Bones, *group work* continued

13:00 Lunch

Group Reports and Discussion

Making Development Choices and Identifying Roles

17:00 Adjourn

Wassa West District Workshop Group Reports

Characteristics of a *healthy, prosperous, lasting community*, as identified by Wassa West District workshop participants:

1. Good infrastructure
2. Well planned layout
3. Social amenities/infrastructure
4. Good housing scheme
5. Industry/employment
6. Economic opportunities, credit and jobs
7. High level of employment
8. Commercial activities
9. Food Security
10. Peaceful and stable environment
11. Good leadership
12. Unity
13. Full participatory decision making, participation in governance
14. Healthy environment

Cross-Cutting Issues that affect all objectives:

- Resettlement
- Transparency
- Communication and information sharing
- Decisions about district development should not be taken in Accra; people in the district have information and can make the critical decisions
- Employment
- Involvement of citizens in decision making
- Working together

Wassa West District workshop group reports begin on the next page

Objective One/Group One: Strengthened democratic local governance

Facilitators: Evelyn Arthur (GAIT II), Kofi Antwi Boasiako (Asutifi District DPO)

Participants:

- | | | |
|---------------------------|--------------------------|--------------------------------|
| 1. Isaac Aikins | 15. H. Amoah-Darkwa | 29. Santy Omar Timtey |
| 2. Nana Peprah | 16. Benjamin Agbotsi | 30. Nana Kwamena Dansu |
| 3. Kwabena Bonsu | 17. Bashiru Ibrahim | 31. Nana Kwabena Angu |
| 4. Patterson Donkor | 18. E.T. Mensah | 32. Stephen Kwofie |
| 5. Kwaku Nketia | 19. Emmanuel Atsu | 33. Harriet Asiamah |
| 6. Hannah Quaicoo | 20. Abdulkei Yahaya | 34. Samuel Tandoh |
| 7. L. Gyekye Mensah | 21. Kwesi Enyam | 35. Nana Enimil Kumalu |
| 8. Francis J. Nabie | 22. F.W.K. Anani | 36. Nana Enimil Kwaw |
| 9. Anthony Kwofie | 23. Nana Abena Appea II | 37. Ernest Niko |
| 10. Daniel Oscar Kwarteng | 24. Salomon Isaac Faibil | 38. Ted Lawrence |
| 11. Nana Nteful II | 25. Nicholas Ntiamoah | 39. Becky Gadell
(Resource) |
| 12. E.K. Ayensu | 26. Hilda Sam | |
| 13. P.A. Asumadu | 27. David Johnson | |
| 14. Nana Kwantwi | 28. Francis Donkoh | |

Group Report:

Assumption: Progress toward the vision of healthy, prosperous, lasting communities in Wassa West District requires that four key groups work together. Those groups are:

1. District Assembly (DA)
2. Citizens
3. Mining companies
4. Citizens-Civic Groups

Approach: The group identified communication and collaboration weaknesses – and possible solutions – for the key groups.

DA Weakness #1: Poor communication, characterized by

- Short notice given by DA for citizens and chiefs to attend programs
 - Assembly Members do not understand proceedings and their roles; cannot communicate back to their electorates
- Lack of citizen involvement in planning and budgeting
 - Citizens are not informed about the choice of projects for their communities
- Poor response to community needs and request
 - Citizens are not involved in fixing rates and fees
- Lack of Transparency
- Do not control the [mining] concessions
- Poor service delivery
 - DA's do not properly supervise projects they themselves awarded

Possible Solutions to DA weaknesses in communication

- Advance notice through letters, FMs [radio stations], information vans, phone calls
- Public notice boards
- Announcements and information at churches, mosques, public gatherings, funerals
- Schools
- [Communication through] Assembly women and men, committees
- [Working with] Nananom

DA Weakness #2: Planning and budget processes are not participatory

Possible Solutions to weakness in planning and budget processes

- Involve rate payers in fixing fees through stakeholders meeting (civic unions, traditional leaders, mining companies)
- Involve chiefs, mining companies and citizens in planning and budget processes
- Involve chiefs in local government
- Assembly members should consult citizens before and after every meeting
- Take advantage of civic union network to reach out to citizens
- Share budget and planning information.
- DA should sign agreements with communities
- DAs should conduct public hearings on plans, budgets, etc
- DAs should organize public Assembly meetings in areas other than the district capital
- DA sub-committees should meet in other towns

Citizens-Civic Groups: Weaknesses

- Party divisions
- Views of citizens are not taken into consideration/seriously
- Indiscipline among citizens
 - Citizens refusing to attend communal Labor and disrespect to authorities
- Lack of interest in decision making
 - Insufficient education on community responsibilities
- Ignorance
 - Citizens may not understand the local government system and their roles in local governance
- Communities do not have the capacity to fill vacancies

Citizens-Civic Groups: Possible Solutions

- Citizens require skills in advocacy and training on local governance issues
- Citizens should be given adequate and timely information
- Citizens should show interest and take ownership of community issues
- Stop politicizing issues
- Citizens should respond to communal labor
- Citizens should commit their time, skills, money and ideas

Mining Companies: Weaknesses

- Insufficient compensation to the citizens
 - Mining companies pay less than value of land taken
 - Mining companies provide small [compensation]
 - Mining companies do not give provision for livelihood after settlement
 - Mining companies refusing to pay compensation for uncompleted structures
 - Forceful ejection
 - Mining companies do not compensate for natural resources losses, such as trees.
 - Mining companies refusing to tar [pave] road in settlement areas, thereby creating problem for the DA
- Lack of warning systems against blasting – the citizens should know
- Poor communication between land owners and the mining companies
- Insufficient attention to waste management
 - Projects do not have involvement of DAs and communities.

Mining Companies: Possible Solutions

- Improve Compensation, Livelihoods and Communication
 - Mining companies should consult and negotiate with those affected before fixing levels of compensation

- Mining companies should hold public consultations with communities and not always deal with the consultative committees
- Mining companies should involve DA, CU, and communities in planning, implementation and monitoring of projects and programs

Traditional Authorities: Weaknesses

- Chieftaincy dispute (cancelled)
- Land Litigation (cancelled)
- Traditional Authorities
 - Lack of Transparency e.g. Royalties
- Do not control the concessions
- Lack of involving the citizens in the decision making
- Chiefs do not always respond to the DA's requests to mobilize or inform communities

Traditional Authorities: Possible Solutions

- Chiefs should share information on royalties during durbars, community gatherings
- Social auditing should be incorporated into all community activities
- Traditional authorities should involve citizens in decisions on how royalties are utilized and involve communities in planning

Strengths of the Four Groups – District Assembly, Mining Companies, Traditional Authorities (Nananom) and Citizens – to *WORK TOGETHER*

District Assembly has:

- Access to vehicles for communication, such as FMs [radio stations], Assembly members
- Access to funds e.g. Royalty, DACF [District Assembly Common Fund], IGF [Internally Generated Revenue], etc.
- Access to technocrats e.g. engineers, planners and other professionals
- Assembly Members, the Representatives of the People
- Legal mandate to lead, facilitate development

Mining Companies have:

- Investment in the district
- Public Relations Officer
- Royalties
- Employment
- Provision of social amenities
- Resources, funds and human
- Machinery and equipment

Citizens-Civic Groups have:

- Communal work
- Represent the people
- Advocacy
- Funds through dues and registration fees
- Non-political
- Ghanaians have passion for celebrating success, community spirit

Nananom has:

- Land
- Royalty revenue
- Respect and authority
- Ability to mobilize [citizens and communities]
- Tradition

Objective Two/Group Two: Enhanced economic growth through local private sector

Assumption: Objective two is about economic growth, enhanced opportunities, improved local livelihoods

Conclusions: The group identified key issues and options for action

Crosscutting Issues

- Resettlement
- Transparency
- Communication Information Sharing
- Employment
- Working Together

Agriculture Priority Needs

- Creation of land banks
- Encourage group formation and associations
- Encourage land use planning/cultivation of high yielding varieties
- Establish input depots at the Area Council level
- Sensitize financial institutions on farming
- Encourage best farming practices through training
- Adding value to raw agricultural produce
- Provision of storage facilities

Intensify Theoretical and Practical Training, Packaging and Marketing

- Institute Market Days in Tarkwa with involvement of:
 - Ministry of Food and Agriculture (MOFA)
 - Gold fields
 - Traditional authorities
 - District Assembly
 - OICI and TIPCEE
 - Associations
 - Chiefs, land heads
 - NBSSI
 - Financial institutions
 - Market Queens
- Select Banks that are friendly to various artisanal groups
- Train illegal miners on occupational health and safety
- Establish business information centers
- Increase collaboration with local banks
- Involve DA in the selection, disbursement of micro-credits
- Group formation for artisans
- Needs
 - Equipment Supply
 - Technical Training
 - Market Linkages
 - Establish vocational training centers

Improve Services

- Improve education and health delivery
- Review Policies on small scale mining
- Create a desk for farmers and artisans in the banks
- Assist illegal miners to acquire licenses
- Roles for:
 - DA
 - Gold Fields
 - NGOs
 - DEO
 - Forestry Department
 - EPA
 - Small Scale Miners
 - Banks
 - MOFA
 - Illegal Miners Association

Types of Livelihoods

- Small scale mining (including *galamsey*)
- Animal farming
- Crop farming
- Artisanship
- Trading
- Aquaculture
- Food Processing

Weakness – Barriers to Improved Livelihoods

- Inadequate Training
- Lack of appropriate technology to manage the various livelihood
- Inadequate information flow
- Inadequate farming lands
- Limited Access to market
- Lack of storage facilities
- Limited access to credit
- Illegal mining
- Difficulty in changing attitudes

Wassa West workshop group 3 report begins on the next page

Objective Three/Group Three: Promotion of responsible mining practices

Participants:

- | | | |
|--------------------------|-------------------------|-----------------------------------|
| 1. Stephen Opoku | 14. Emmanuel Qauyson | 27. Charles Essel |
| 2. Nana K. Baah | 15. Daniel Ameshere | 28. Solomon Osei |
| 3. Mama Aea Dwaa IV | 16. Nana Molobah | 29. A.A. Laryea |
| 4. Nana Kweku Asare | 17. John Anaglo | 30. Yaw Britwum Opoku |
| 5. Nana K. Bukuroh | 18. Nana Kweku Nuama | 31. Nana Gri Foriwaa |
| 6. Asana Kamari | 19. Orpheus Mensah | 32. Kofi Bentil |
| 7. Sarah A. Dewodo | 20. George K. Amonoo | 33. Nana Kwaw Amuah II |
| 8. Nana Andoh Kyei | 21. Elsie Kissi-Appiah | 34. Nana Oye Kuedufia |
| 9. Gifty E. Kubi | 22. Richard A. Okoampah | 35. Nana Blay Kofie |
| 10. Ama Ohene Adubea | 23. Francis T. Ohipeni | 36. Nana Kwesi Ansah |
| 11. Rebecca Mansa Appiah | 24. Peter K. Afful | 37. George Fobil |
| 12. Grace Amuah | 25. Kofi Ben-Blay | 38. Leslie Johnston
(Resource) |
| 13. Agnes Ackah | 26. Tim Buchanan | |

Question posed to the group: What can we do to promote responsible mining practices (in environment, social and governance) in Asutifi District?

Conclusions: The group summary of issues and recommendations follows.

Mining activities that do not bring problems to the communities:

- Work according to laid down rules
- Good relationship between mining company and the community
- Welfare of the community
- Observation of environmental rules
- Provision of bore holes, instead of hand dug wells, during the dry season
- Illegal mining in mining concessions
- Involve communities in EIA preparations
- Effective bargaining arrangements for resettlement/compensation (services of a solicitor)
- Evaluation of resettlement of communities
- Public hearings
- Sharing of information annually
- Job creation
- Well-planned participatory resettle arrangements
- Disturbance and displacement of landowners
- Payment of Health Insurance for resettlement premium
- Perpetual up keep allowance for resettled community members
- Adequate building space for resettled families
- Provision of shallow hand dug well ...

Issues that bring problems to the communities:

- Lack of access to idle farmlands previously owned by the communities for farming and other economic activities
- Health hazards, including all forms of pollution – air, soil and water
- Effects of mining in the heart of towns and villages e.g. Prestea
- Lack of employment for physically challenged (the vulnerable and the excluded)

- Dust pollution from auto mobile plying on access roads and main streets of resettled communities
- Thin layer of top soil deposit during reclamation
- Lack of training skills for community and youths
- Cultivation of non-economic trees on reclaimed land

Wassa West District Workshop
Sept. 27-28, 2006
Registered Participants

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Annex 4: Matrix of International Codes of Conduct and Best Practices

Best Practice	Signatory	Commitments	Status	Comments
<p>International Council on Mining and Metals (ICMM)</p> <p>The Principles were adopted by Council for implementation in May 2003.</p> <p>The reporting indicators were devised in partnership with the Global Reporting Initiative (GRI) in 2004 through a multi-stakeholder consultation process.</p> <p>ICMM members form the largest industry group that has committed to report in accordance with the GRI framework, the highest standard of reporting.</p> <p>www.icmm.com</p>	<p>Newmont – as an ICMM member</p> <p>Gold Fields – As an ICMM association member, Chamber of Mines South Africa</p>	<p>ICMM Principles:</p> <ol style="list-style-type: none"> 1. Implement and maintain ethical business practices and sound systems of corporate governance. 2. Integrate sustainable development considerations within the corporate decision-making process. 3. Uphold fundamental human rights and respect cultures, customs and values in dealings with employees and others who are affected by our activities. 4. Implement risk management strategies based on valid data and sound science. 5. Seek continual improvement of our health and safety performance. 6. Seek continual improvement of our environmental performance. 7. Contribute to conservation of biodiversity and integrated approaches to land use planning. 8. Facilitate and encourage responsible product design, use, re-use, recycling and disposal of our products. 9. Contribute to the social, economic and institutional development of the communities in which we operate. 10. Implement effective and transparent engagement, communication and independently verified reporting arrangements with our stakeholders. 	<p>In January 2005, the ICMM Council committed corporate members to report to the highest level of reporting 'in accordance' with the Global Reporting Initiative (GRI) Guidelines and Sector Supplement.</p> <p>GRI Mining and Metals Sector Supplement is to be used in conjunction with the 2002 GRI Sustainability Reporting Guidelines. Together the Guidelines and Supplement provide the basis for ICMM members to report their economic, environmental, human rights and social performance against the 10 Principles. They include specific performance indicators as well as principles for good reporting, such as completeness and materiality.</p> <p>Reporting in accordance with the GRI framework begins in 2007, reporting for year 2006.</p> <p>Newmont/Gold Fields – Annual Reports 2005 – inclusion of GRI content index.</p> <p>www.corporateregister.com/data/report.pl?num=15840&r=0</p> <p>www.corporateregister.com/data/report.pl?num=14134&r=0</p>	<p>Voluntary Principles – no quantitative standards, subjective interpretation</p> <p>Performance against the principles is aspirational, not mandatory. It is intended this will be further defined in line with the debate on consistent performance measures across the sector.</p>

e	Signatory	Commitments	Status	Comments
<p>AccountAbility AA1000</p> <p>The AA1000 is an effort to use a specified set of principles and standards to assess the quality of a Reporting Organization's subject matter to provide credibility to the subject matter for stakeholders.</p> <p>The Assurance Standard developed for assessing, attesting to, and strengthening the credibility and quality of organizations' sustainability reporting and their underlying processes, systems and competencies.</p> <p>www.accountability21.net/aa1000/default.asp</p>	<p>Newmont</p> <p>Gold Fields</p>	<p>Commitment to the practice of <i>inclusivity</i>:</p> <ul style="list-style-type: none"> • Commitment to identify and understand its social, environmental and economic performance and impact and associated views of its stakeholders • Commitment to consider and coherently respond to the aspirations and needs of its stakeholders in its policies/practices • Commitment to provide an account to its stakeholders for its decisions, actions and impacts <p>The following principles are applied in the Assurance process:</p> <ul style="list-style-type: none"> • Materiality – statement as to whether the Reporting Organization has included in the Report the information about its Sustainability Performance required by its stakeholders for them to be able to make informed judgments, decisions, actions. • Completeness – evaluation of the extent to which the Reporting Organization can identify and understand material aspects of its sustainability performance, including stakeholder perceptions on performance. • Responsiveness - evaluation whether the Reporting Organization has responded coherently and consistently to stakeholder concerns, policies, relevant standards and adequately communicated these responses in its Report. 	<p>Assurance activities for ICMM members are not proposed to begin until 2008 reporting for calendar year 2007.</p> <p>This assurance standard will be reflected in the ICMM GRI reporting framework (see above).</p>	

Best Practice	Signatory	Commitments	Status	Comments
<p>Voluntary Principles on Security and Human Rights</p> <p>Set of principles to guide extractive companies in maintaining the safety and security of their operations within an operating framework that ensures respect for human rights and fundamental freedoms.</p> <p>www.voluntaryprinciples.org</p>	Newmont	<ol style="list-style-type: none"> 1. Risk assessment considering: <ul style="list-style-type: none"> – Identification of security risks – Potential for violence – Human rights records – Rule of law – Conflict analysis – Equipment transfers 2. Interactions between companies and public security – companies have an interest in ensuring that actions taken by governments are consistent with the protection and promotion of human rights 3. Interactions between companies and private security 	<p>Newmont: Implementation is unclear since two contradicting statements made during each site visit.</p> <ul style="list-style-type: none"> • Nov 2005 – Identification of issues and impacts related to security forces and formally subject these to risk assessment. • Oct 2006 – Risk assessment has not been conducted and is scheduled for 2007 • Security Contractor providing security services and their contract does require them to be in conformance with the VP • Screening of security personnel that includes identification of prior records of human rights abuses. • VP training/awareness program for security force staff and contractors. Security personnel have undergone human rights training. • A system of investigation and reporting of contraventions of the VP & supporting records. There is an incident reporting system in place which includes all incidents related to safety, security, community relations issues, etc. which is one of the processes by which any human rights abuse can be reported and investigated 	<p>Requires the involvement of all stakeholders to ensure:</p> <ul style="list-style-type: none"> • Assessment & management of risks of their activities that could precipitate or exacerbate conflict • Engagement, proactively/transparently with all stakeholders on security issues • Actions taken by governments are consistent with the protection and promotion of human rights • Creation of capacity within local communities/NGOs to participate in the VP process

Best Practice	Signatory	Commitments	Status	Comments
<p>Awareness and Preparedness for Emergencies at Local Level (APELL)</p> <p>Guidance developed for both mining companies and communities to raise awareness of the importance of preparedness at the local level and to assist emergency response providers to become thoroughly prepared for the work required.</p> <p>www.uneptie.org/pc/apell/publications/related_pubs.html</p>	<p>Newmont – as ICMM member</p> <p>Gold Fields – as an ICMM association member, Chamber of Mines South Africa</p>	<p>Not known</p>	<p>Not known</p>	<p>APELL objectives:</p> <ul style="list-style-type: none"> • Provide information on hazards involved in the operation and on the measures taken to reduce risk • Review, update, establish emergency response plans in the local area • Increase communication between the three main groups of stakeholders – company, community, local authorities • Structured communication between emergency response • Integrate company emergency response plans and local emergency response plans into one overall plan for the community to handle all types of emergencies • Improve effectiveness of response to accidents • Allow ordinary people to react appropriately during emergencies

Best Practice	Signatory	Commitments	Status	Comments
<p>Environmental Monitoring – Local level</p> <p>www.ifc.org/ifcext/enviro.nsf/Content/GuidanceNotes</p>	<p>Newmont – through IFC financed loan</p>	<p>IFC Guidance Note 1:</p> <p>“Participatory monitoring (i.e. involvement of affected communities and other stakeholders) should be considered for large, high-risk projects. In these cases, the client should evaluate the capacity of those participating in the monitoring and provide periodic training and guidance as appropriate.”</p>	<p>Not being done at present</p>	<p>Additional considerations:</p> <ul style="list-style-type: none"> • Independent experts • Local level involvement (local authorities, communities) • Mechanism for sharing findings with all stakeholders • Mechanism for responding to findings • Capacity building, including training, to enable local level participation

Best Practice	Signatory	Commitments	Status	Comments
<p>WB Mining and Milling – Open Pit</p> <p>www.ifc.org/ifcext/enviro.nsf/AttachmentsByTitle/qui_mining_openpit/\$FILE/mining_openpit.pdf</p>	<p>Newmont – through IFC financed loan</p>	<p>Covers:</p> <ul style="list-style-type: none"> • Tailings disposal (optimizes protection of human safety and the environment) • Liquid effluents discharged to receiving waters (pH, BOD, TSS, Temp) <ul style="list-style-type: none"> – Residual heavy metals - recommended targets for arsenic (1 mg/l); cadmium (0.1 mg/l); – Cyanide – target guidelines for discharges – in no case should the concentration in the receiving water outside of a designated mixing zone exceed 0.022 mg/l – free cyanide (0.1 mg/l); total cyanide (1.0 mg/l); WAD (0.5 mg/l). Measures to prevent access by wildlife and livestock are required for all open waters where WAD is in excess of 50 mg/l • Ambient air • Erosion & sediment control plan • Mine reclamation plan` 		<p>November site visit report – deficiencies noted including:</p> <ul style="list-style-type: none"> • Water monitoring locations • Acid base accounting methods • OP 4.37 – Safety of Dams – not made available to the public • Cyanide management

Best Practice	Signatory	Commitments	Status	Comments
IFC Precious Minerals Mining – draft July 2004	Newmont – through IFC financed loan	<p>Coverage includes:</p> <ul style="list-style-type: none"> • Water and wastewater management <ul style="list-style-type: none"> – Mine effluents • Erosion and sediment control • Waste management <ul style="list-style-type: none"> – Acid mine drainage – prediction should be carried out according to internationally recognized methods and approaches <p>www.em.gov.bc.ca/Subwebs/mining/Project_Approvals/policy.htm</p> <ul style="list-style-type: none"> • Dam Safety <ul style="list-style-type: none"> – Wall height greater than 15 m must be designed, operated and maintained for compliance with ICOLD3 and ANCOLD4 or some other authority (WB OP 4.37 – Safety of Dams) <p>http://wbIn0018.worldbank.org/Institutional/Manuals/OpManual.nsf/toc2/C12766B6C9D109548525672C007D07B9?OpenDocument</p> <ul style="list-style-type: none"> • Emergency response and contingency <ul style="list-style-type: none"> – APELL process should be followed • Occupational health and safety 		<p>November site visit report – deficiencies noted, including:</p> <ul style="list-style-type: none"> • Water monitoring locations • Acid base accounting methods • OP 4.37 – Safety of Dams – not made available to the public • Cyanide management

Best Practice	Signatory	Commitments	Status	Comments
<p>International Cyanide Management Code</p> <p>A voluntary initiative for the gold mining industry, producers, transporters of the cyanide used in gold mining.</p> <p>The Code focuses on the safe management of cyanide.</p> <p>www.cyanidecode.org</p>	<p>Newmont</p> <p>Gold Fields</p>	<p>Principles and Standards of Practice</p> <ol style="list-style-type: none"> 1. Encourage responsible cyanide manufacturing by purchasing from manufacturers who operate in a safe and environmentally protective manner. 2. Protect communities and the environment during cyanide transport. 3. Protect workers and the environment during cyanide handling and storage. 4. Manage cyanide process solutions and waste streams to protect human health and the environment. <ol style="list-style-type: none"> 4.4 Implement measures to protect birds, other wildlife and livestock from adverse effects of cyanide process solutions. 4.9 Implement monitoring programs to evaluate the effects of cyanide use on wildlife, surface and ground water quality. 5. Protect communities and the environment from cyanide through development and implementation of decommissioning plans for cyanide facilities. 6. Protect workers' health and safety from exposure to cyanide. 7. Protect communities and the environment through the development of emergency response strategies and capabilities. 8. Train workers and emergency response personnel to manage cyanide in a safe and environmentally protective manner. 9. Engage in public consultation, disclosure. 	<p>Newmont received preoperational compliance with the Code on October 4th, 2006.</p> <p>www.cyanidecode.org/signatory_newmont.php</p> <p>First gold was poured in July 2006.</p> <p>Its certification is based on the company's written commitments to implement the measures necessary for cyanide management once it is operational. A follow-up audit must be conducted within one year of the mine's first receipt of cyanide to confirm that it has met these commitments. The operation will be re-audited every 3 years thereafter.</p> <p>Gold Fields – Tarkwa and Damang sites are intended to be certified – no dates are listed.</p> <p>http://www.cyanidecode.org/signatory_goldfield.php</p>	<p>Golder Associates conducted the audit. Golder met the strict intent of the Code, that the auditor company cannot derive more than 30% of income from the operation being audited.</p> <p>However, there is the appearance of a conflict of interest since Golder is carrying out the ESIA for Ahafo North.</p> <p>www.cyanidecode.org/auditors_become.php</p> <p>Additional considerations:</p> <ul style="list-style-type: none"> – Local government, community understanding and involvement to verify commitments are met. – Commitment to good science and good management must extend to a commitment to communication of risks and performance.

Best Practice	Signatory	Commitments	Status	Comments
<p>Council for Responsible Jewellery (sic) Practices</p> <p>Promotes responsible ethical, social and environmental practices throughout the diamond and gold jewelry supply chain from mine to retail.</p> <p>http://www.responsiblejewellery.com/</p>	Newmont	<p>Code of Practices encompasses:</p> <ul style="list-style-type: none"> • Business ethics (e.g. bribery, money laundering, Kimberley Process, product integrity....) • Social performance (e.g. general employment, child labor, health/safety, hazardous substances, community impact...) • Environmental performance (e.g. waste, air/water emissions, energy use) 	<p>Code of Practice was released September 2006 after draft and consultation version.</p> <p>The Principles and Code of Practices will constitute the foundations for the CRJP's Responsible Practices Framework and monitoring system, which will be completed in 2007.</p> <p>CRJP will implement its system allowing for the independent third party monitoring of Members' performance in January 2008.</p>	<p>Code of Practices does not provide quantitative standards in most cases and in most cases members "shall seek" to fulfill specific obligation.</p>

Best Practice	Signatory	Commitments	Status	Comments
<p>Extractive Industries Transparency Index (EITI)</p> <p>www.eitransparency.org</p> <p>Aims to ensure that revenue from extractive industries (oil, gas and mining) contribute to sustainable development and poverty reduction. At the core is a set of principles and criteria that establish how EITI should be implemented. Introduced at the World Summit on Sustainable Development, September 2002, EITI assumes:</p> <p>Revenue from extractive industries should be an important engine for economic growth leading to sustainable development.</p> <p>Transparency decreases the risk of diversion or misappropriation of resources and increases accountability and the likelihood that revenue generated by the development of natural resources is used efficiently and equitably.</p>	<p>Gold Fields Newmont Government of Ghana</p>	<p>EITI Criteria</p> <ul style="list-style-type: none"> Regular publication of all material oil, gas and mining payments by companies to governments ("payments") and all material revenues received by governments from oil, gas and mining companies ("revenues") to a wide audience in a publicly accessible, comprehensive and comprehensible manner. Where such audits do not already exist, payments and revenues are the subject of a credible, independent audit, applying international auditing standards. Payments and revenues are reconciled by a credible, independent administrator, applying international auditing standards and with publication of the administrator's opinion regarding that reconciliation including discrepancies, should any be identified. This approach is extended to all companies including state-owned enterprises Civil society is actively engaged as a participant in the design, monitoring and evaluation of this process and contributes towards public debate. A public, financially sustainable workplan for all the above is developed by the host government, with assistance from the international financial institutions where required, including measurable targets, a timetable for implementation, and an assessment of potential capacity constraints. <p>Ghana EITI Objectives (source: www.geiti.org)</p> <ul style="list-style-type: none"> Carry out an independent Audit of Ghana's Extractive Industry. Develop and implement a revenue disclosure, oversight and publication mechanism to ensure that Ghanaians get all the information on their Extractive Industry revenue and public expenditure enabling them hold the government to account. 	<p>Ghana EITI web: http://www.geiti.gov.gh/</p> <p>Report on Ghana EITI status and the Accra Declaration on EITI, January 2007, available at www.eitransparency.org/section/countries/ghana/january_workshop</p>	<p>Ghana announced its intention to pilot EITI in the mining sector in June 2003, but progress has been slow. In September 2003, the Minerals Commission released the first revenue figures. A multi-stakeholder steering committee was established to oversee implementation.</p> <p>In February 2005, a ministerial decree created an EITI working group and a secretariat was formed to oversee implementation led by the Ministry of Finance and Economic Planning.</p> <p>Related resource: www.publishwhatyoupay.org</p> <p>The following Ghana NGOs are signatories to Publish What You Pay International appeal:</p> <ul style="list-style-type: none"> CASOLS Friends of the Nation ISODEC Third World Network Wassa Association of Communities Affected by Mining (WACAM)

e	Signatory	Commitments	Status	Comments
		<ul style="list-style-type: none"> • Build Capacity for government Agencies and Civil Society in EITI • Develop and implement a Communications Strategy to fully engage the different Ghanaian publics, particularly Civil Society Organizations and Community Groups to ensure that Ghanaians know that the Extractive Industry resources belong to them. • Legislation of EITI principles and objectives to ensure their existence in subsequent years beyond the present administration. 		

Annex 5: Memorandum of Understanding–Partnership Agreement, May 24, 2006

GOLD FIELDS GHANA, NEWMONT GOLD GHANA LTD, and UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT (USAID) / GHANA PARTNERSHIP AGREEMENT

PREAMBLE

Although it is a nation with ample natural resources and a recent political history free from conflict and large-scale corruption, Ghana ranks a poor 138 out of 177 countries in the 2005 UN Human Development Index. USAID/Ghana Mission has been operating in Ghana since 1957 during which time it has sought to help address the many pressing needs in health, education, democracy and governance, and economic growth.

The gold mining industry in Ghana is fast emerging as the nation's most economically significant export industry. However, gold mining is not new to Ghana and carries an unfortunate legacy of environmental degradation, health and safety hazards, and impoverishment of local communities.

Against this backdrop, contemporary gold mining companies operating in Ghana are challenged to devise and implement effective contributions to community sustainable development. Leading mining companies have dedicated and deployed significant resources to development programs but in some cases the absence of development expertise and capacity-building has resulted in their programs achieving mixed results.

The proposed Global Development Alliance ("Alliance") is a response to the challenges that mining companies and USAID face in creating lasting improvements in the lives of Ghanaians. The three partners of the Alliance – USAID/Ghana, Gold Fields Ghana and Newmont Ghana Gold Limited – seek to collaborate on development activities of mutual interest. The Alliance will leverage the financial resources and field experience of the companies with the technical capacity and development expertise of USAID/Ghana in order to create measurable improvements in the lives of Ghanaian mining communities.

THE PARTNERS:

Newmont Ghana Gold Limited is one of the world's largest gold producers with operations on five continents and two new mine sites in Ghana, Ahafo and Akyem. While Newmont is a relatively new player in Ghana, the company will become a major producer of gold after both sites become operational. In late 2004, Newmont released a draft community development plan at Ahafo as part of its Livelihood Enhancement and Community Empowerment Program (LEEP). All Newmont mine sites worldwide undergo independent annual social and environmental audits through the company's highly-regarded "Five Star Integrated Management System."

Gold Fields Ghana (GFG) is the largest gold producer in Ghana, with investments totaling over \$700 million since 1993 at its Tarkwa and Damang gold mines in the Western Region. GFG adheres to the highest international standards of environmental management at its operations in Ghana, and both the Tarkwa and Damang gold mines (and all of the company's operations worldwide) have achieved and maintain rigorous ISO14001 certification. The Gold Fields Ghana Foundation, a legally registered charitable organization in Ghana, was established by GFG to manage funding for its social responsibility and sustainable development initiatives in Ghana. To date, development projects have been completed/initiated in the areas of health, water and sanitation, education (primary–tertiary), income enhancement/livelihoods (agriculture/agribusiness, processing/value adding, other economic opportunities, vocational training, beneficiation), and artisanal/small-scale mining (ASM).

Both GFG and Newmont have been working with local partners on development projects and have explored other MoU's. GFG is currently working under a MoU with USAID/TIPCEE on a project designed to advance the jewelry making industry in Ghana and develop an export market for its gold jewelry products. Newmont is currently working under and MoU with environmental NGO Conservation International to innovate new ways to proactively conserve biodiversity through its operations. Additionally, GFG and Newmont have engaged the services of two development NGOs who are major USAID contractors in Ghana, Opportunities Industrialization Centres International and TechnoServe, to facilitate delivery of development projects in Ghana.

The United States government through the United States Agency for International Development (hereinafter referred to as "USAID") is one of the largest bilateral donors to Ghana, operating in Ghana since 1957. In the last five years, USAID has provided nearly USD \$300 million in assistance to Ghana in support of democracy and governance, economic and agricultural growth, education and health, including HIV/AIDS. USAID's assistance activities in Ghana are carried out primarily through USAID's bilateral assistance mission in Ghana, hereinafter "USAID/Ghana." USAID/Ghana works at national, state and local government levels with public, private, and civil society partners to develop frameworks and strategies to consolidate democratic rule, increase incomes and deliver services to communities. USAID/Ghana is also working with communities themselves, particularly through women's groups and other non-governmental organizations, to help

institutionalize democratic principles and increase the capacity of these organizations to advocate for their needs and hold government accountable.

PURPOSE

Gold Fields Ghana, Newmont and USAID/Ghana (hereinafter referred to as "the Parties") share the common goals of promoting stability and economic prosperity in Ghana, with particular emphasis on improving the quality of life in, and fostering the sustainable social and economic growth of local communities in the mining areas. The purpose of this Memorandum of Understanding (hereinafter referred to as the "MoU") is to establish a partnership among the Parties for the achievement of these goals and a framework within which specific projects may be jointly developed and implemented in/near mining communities and elsewhere in Ghana, as may be agreed upon from time to time by the Parties. The Parties specifically acknowledge that this MoU is not an obligation of funds, nor does it constitute a legally binding commitment by any Party. Specifically, the Parties will collectively aim to carry out the following activities to the greatest extent practical within resource limitations:

- Support initiatives that will improve upon the capacity of both formal and informal local governance structures to manage and sustain economic growth and increase the self-governance and self-reliance of local communities.
- Foster innovation in, and provide support for the economic development of mine-affected communities, with a focus on export commodity development, value-added of food crops, training programs for impacted community members and unemployed youth, and food security.
- Foster communication and collaboration amongst regional and national stakeholders in order to establish a clear guide for how to implement strong social and environmental practice for mining in Ghana.

Whereas the MoU creates an understanding that the parties are willing to substantively partner (and would do so whenever the conditions are mutually beneficial), the MoU does not in any way automatically compel any of the parties to commit to any given project unless such the project concept has first satisfied each party's internal processes and procedures, and earned formally authorized approval. Individual projects may involve all of the parties, or a subset of the parties depending upon the project's location and applicability. This memorandum may be terminated by any party at any time, with written notice received one month prior to dissolution.

STRUCTURE

This MoU is signed with the understanding that the parties shall, pursuant hereto, execute an Addendum to agree to specific terms that shall apply to the implementation of each Sustainable Community Development project (the "Project").

Each Addendum will be based on a project proposal hereafter called the "Scope of Work" which will provide details of the illustrative budget, implementation, management, monitoring and evaluation of the project, and expected results. All proposed projects will be circulated among the partners, discussed, and determination on inclusion will be made jointly.

Each Addendum (and any schedules attached thereto) will become an integral part of this MoU and reference to this MoU includes reference thereto.

RELATIONSHIP MANAGEMENT

Each party shall appoint a representative (hereinafter called the "Relationship Manager") responsible for the management and development of the relationship between the parties under this MoU. The Relationship Managers shall meet at least once every month.

Each party shall notify the other in writing of the name and contact details of its Relationship Manager or such person as may be designated in his/her absence.

PROJECT FUNDING AND SUPPORT

The Parties agree to work together to develop and support development activities of mutual interest in furtherance of the goals of this MoU. The Parties anticipate their combined support to total at over USD \$9.0 million, used as follows:

Subject to the availability of funds, completion of the relevant Parties' internal approval processes, and the agreement of all relevant Parties to proceed,

USAID/Ghana Mission shall provide support (whether in cash or in kind) in an amount not less than USD\$850,000 over a budget period of four years (June 2006 to May 2010), for such projects as may be agreed to by the Parties.

USAID/GDA shall provide support (whether in cash or in kind) in an amount not less than USD\$400,000 over a budget period of four years (2006 to 2010), for such projects as may be agreed to by the Parties.

Gold Fields shall provide support (whether in cash or in kind) in an amount not less than USD\$2,900,000 over a budget period of four years (2006 to 2010), for such projects as may be agreed to by the Parties.

Newmont shall provide support (whether in cash or in kind) in an amount not less than USD\$5,500,000 over a budget period of four years (2006 to 2010), for such projects as may be agreed to by the Parties.

This MoU sets forth the basic commitment of the Parties to work in partnership to develop and carry out development activities in Ghana. The specific contributions of each party with respect to individual projects carried out in furtherance of this MoU shall be set forth in separate, project-specific Addenda. With the mutual agreement of the Parties in writing, the content of this MOU may be revisited at any time to clarify or redefine the nature and scope of the associated activities in general, or with respect to an individual project. However, the Parties agree that, in principle, such modifications shall be made with the intent of increasing the effectiveness of the Alliance in the achievement of its stated goals.

PROJECT MANAGEMENT

The parties herein undertake to implement each component based on their shared vision, common goals and in a spirit of mutual trust.

The Alliance shall establish a Coordinating Unit, to be administered by a designated USAID staffer, for basic leadership and administration. Overall leadership will be provided by the Alliance Secretariat, made up of a representative from each member. Membership in the Alliance can be expanded, if all current members agree to admit others.

INTELLECTUAL PROPERTY RIGHTS

Each Addendum shall contain appropriate provisions regarding intellectual property rights.

COMPLIANCE

Each Party shall implement this MoU and activities under it in accordance with its applicable laws, regulations and principles regarding high standards of ethical conduct and integrity, including, where applicable, the Parties' stated policies in the areas of Ethics, Human Rights, Environment, Sustainable Development and Community Relations, and USAID's internal requirements in these and other areas.

PUBLIC INDEPENDENCE OF THE PARTIES

Without prejudice to the terms of this MoU, the Parties agree that any Party may embark on any other project by itself without recourse to the other provided always that the said project shall not in any way undermine any existing or planned project which the Parties have already agreed to execute together. However, all new project proposals will be circulated among the partners, discussed, and determination on inclusion will be made jointly.

PUBLIC STATEMENTS AND USE OF NAME/LOGOS/MARKS

Each Party shall provide appropriate publicity for activities carried out under this MoU and its Addenda, including appropriate recognition of the contributions of the other Parties. Prior to making any press releases or any other public statements in connection with this MoU or the collaborative efforts contemplated hereunder, each Party shall obtain the prior written approval of the other Party either by facsimile or electronic mail. Each party to this MoU also agrees to not use the name, logos or marks of the other party without obtaining prior written consent of the other party.

DURATION

This MoU shall remain in effect for all Parties from the date of signing hereof until May 31, 2010, unless terminated earlier. Extension can be made by agreement of all Parties.

TERMINATION RIGHTS

This agreement may be terminated by any party at any time upon one month's written notice to the other parties. Every effort should be made to avoid disruption of ongoing, successful projects.

CONSEQUENCES OF TERMINATION

If one private partner elects to terminate the agreement, the other private partner and USAID will have 30 days to decide if they wish to continue the Alliance in the absence of the third party. If the parties elect to continue, they must sign a revised MoU that reflects the change in Alliance structure within 30 days of the initial termination.

The party who leaves the Alliance is entitled to a refund of any of its contributed funds that have not been allocated in a signed contract or grant for an Alliance activity. In the event that a party terminates the agreement with funds already allocated to a signed Scope of Work, the party is obligated to not reclaim the funds it contributed to the activity, but will otherwise receive a refund of all other contributed funds.

NOTICES

Any notice or other formal communication to be given under this MoU shall be delivered by hand or sent by a pre-paid courier or registered post to a Party at the following address for such Party or such other address as the Party may from time to time designate by written notice to the other:

Gold Fields Ghana Limited

Attention: Dr. Toni Aubynn, Corporate Manager, Public Affairs and Social Development, Gold Fields Ghana, PO Box KA30742, Airport, Accra, Ghana; aaubynn@abosso.com

Newmont Ghana Gold Limited

Attention: Chris Anderson, Director, External Affairs, Africa & Europe, Newmont Ghana Gold Limited, PMB Airport Post Office, Accra, Ghana; chris.anderson@newmont.com

United States Agency for International Development/Ghana

Attention: TBD

AGREEMENT

In recognition of their common desires for the sustained social and economic growth of the communities in and around mining areas and other regions of Ghana, the authorized representatives of the Parties hereto have set their hands this 24th day of May 2006.

Alan Ashworth
Managing Director
Gold Fields Ghana Ltd.

Sharon L. Cromer
Mission Director
USAID/Ghana

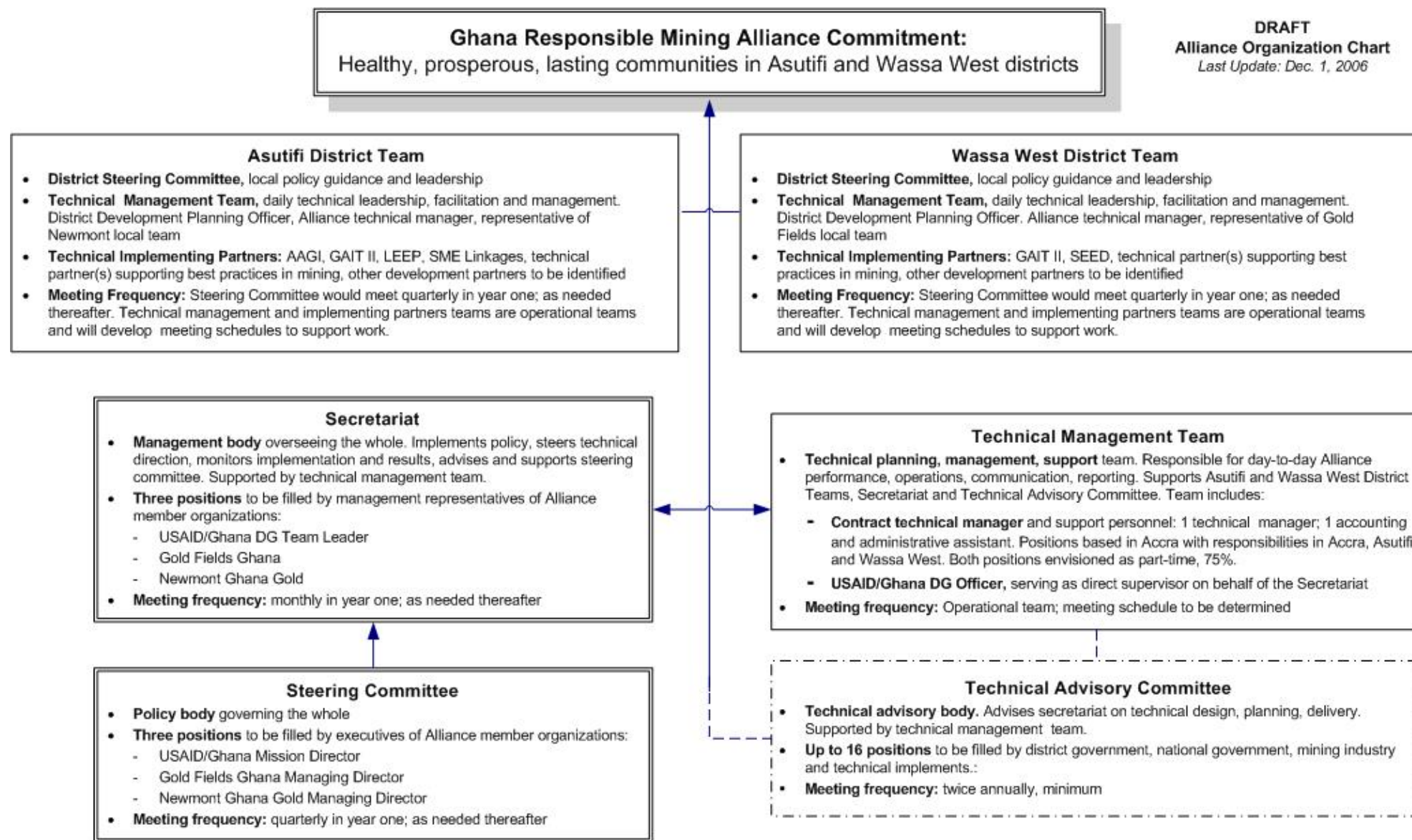
Bill Zisch
Managing Director
Newmont Ghana Gold Ltd.

Date

Date

Date

Annex 6: Draft Alliance Organigram



Annex 7: Web Resources

Standards, guidelines and practice references are available on line. The following list is a summary of web resources.

APELL

Bank Information Center

www.bicusa.org

Business Partners for Development

www.bpd-naturalresources.org/

Equator Principles

www.equator-principles.com/principles.shtml

Extractive Industry Transparency Initiative

<http://www.eitransparency.org/index.htm>

Ghana EITI status and the Accra Declaration on EITI, January 2007, available at

www.eitransparency.org/section/countries/_ghana/_january_workshop

Ghana EITI web: <http://www.geiti.gov.gh/>

International Council for Mining and Metals

www.icmm.com/

www.goodpracticemining.org/library.php

www.icmm.com/library_publicats.php

International Finance Corporation/ World Bank

<http://ifcln1.ifc.org/ifcext/enviro.nsf/Content/PoliciesandGuidelines>

www.worldbank.org/html/extdr/thematic.htm

International Labour Organization (ILO)

www.ilo.org/public/english/standards/norm/

Mine Certification Evaluation Project

www.minerals.csiro.au/sd/SD_MCEP.htm

Mining, Minerals and Sustainable Development Project

www.iied.org

www.iied.org/mmsd/finalreport/index.html

Publish What You Pay Coalition

<http://www.publishwhatyoupay.org/english/>

Revenue Watch Institute

<http://www.revenuwatch.org>

Social Accountability International, SA8000

www.sa-intl.org/index.cfm?fuseaction=Page.viewPage&pageId=540&parentID=473

South African Mining Charter

www.dme.gov.za/minerals/mining_charter.htm

Voluntary Principles on Security and Human Rights

<http://www.voluntaryprinciples.org/principles/public.php>

World Business Council for Sustainable Development

www.wbcsd.ch/web/publications/sl-field-guide.pdf

World Economic Forum – Partnership against Corruption Principles for Countering Bribery

www.weforum.org/site/homepublic.nsf/Content/Partnering+Against+Corruption