

Mid-Term Review
of International
Mining for
Development
Centre (IM4DC)

Final Report



Prepared for DFAT
April 2014

Abbreviations and Acronyms

AAPF	Australia–Africa Partnerships Facility
AMDC	Africa Minerals Development Centre
AusAID	Australian Agency for International Development
CHOGM	Commonwealth Heads of Government Meeting
DFAT	Department of Foreign Affairs and Trade
EITI	Extractive Industry Transparency Initiative
EMI	Energy and Minerals Institute
GASI	Generalised Agency for Specialised Inspection, Mongolia
GIMPA	Ghana Institute of Management and Public Administration
GIS	Geographic Information System
ICMM	International Council on Mining and Metals
IMF	International Monetary Fund
IM4DC	International Mining for Development Centre
MAC	Mining for Development Advisory Committee
MTR	Mid-Term Review
SMI	Sustainable Minerals Institute
UNSW	University of New South Wales
UQ	University of Queensland
UWA	University of Western Australia

Table of Contents

Executive Summary	i
Introduction	1
Establishment of IM4DC	2
Governance and Management	4
Performance	5
Conclusions	22
Recommendations	23

Figures

Figure 1	Alumni Survey – Relevance	8
Figure 2	Alumni Survey – Content and Delivery	11
Figure 3	Value for Money Principles	16
Figure 4	Delivery Costs through Universities, 2013-14	17
Figure 5	Alumni Survey – Return to Work	19

Annexes

- Annex 1: Terms of Reference**
- Annex 2: People consulted**
- Annex 3: Key Performance Indicators**
- Annex 4: Flagship Courses**

Executive Summary

Australia's Mining for Development (M4D) Initiative was established to support developing countries to manage their extractive industries to promote economic growth and poverty reduction. The International Mining for Development Centre (IM4DC) – a partnership between the Energy and Minerals Institute (EMI) of the University of Western Australia (UWA), Perth, the Sustainable Minerals Institute (SMI) of the University of Queensland (UQ), Brisbane, and the Australian Government (initially AusAID and now through DFAT) – was launched in 2011 as one part of the M4D Initiative. DFAT is the sole funder of the IM4DC, through a grant agreement for \$31 million over four years to June 2015 signed between DFAT (then AusAID) and UWA.

The Mid Term Review of the IM4DC was commissioned to assess the performance of the IM4DC since its inception in October 2011, including in the context of the overall M4D Initiative, and recommend any changes for the remaining 14 months of IM4DC grant agreement. The Review team has used the following approaches: reviewed and analysed project documents; consulted with DFAT; met with IM4DC at UWA and UQ; interviewed stakeholders in Australia and other countries; attended and observed IM4DC training courses and interviewed participants; and surveyed IM4DC alumni.

OVERALL ASSESSMENT

Overall, the Review assesses IM4DC positively and believes the Centre should be able to complete its plans currently being developed for the period up to June 2015. The work of IM4DC is valued by partner governments and key officials who have participated in education, training and research. The Review Team's assessment is that the IM4DC has delivered activities, especially short course training, to a high standard. The quality of Australian expertise provided through IM4DC has been high and Australia's reputation as a trusted partner in the mining field is well recognised. For the most part, the IM4DC is considered to be delivering value for money, with some concerns around the principle of 'competition' and an always-present need to be cost conscious.

The model established for IM4DC and the compressed process to establish it, however, raise a number of issues that will need to be addressed in the final year of the Grant Agreement. In particular, engagement with Australian industry and other Australian universities could be enhanced. The Review Team believes that over the next year: (i) IM4DC should work with DFAT and the Australian mining industry to align its priorities with the Australian Government's new paradigm for its overseas development budget and its Economic Diplomacy agenda; (ii) there should be greater industry engagement in the design and delivery of activities; and (iii) there should be more competition amongst Australian universities in the selection of academic expertise to deliver IM4DC activities.

ESTABLISHMENT

Rationale for the M4D Initiative

Working in the mining sector in a dedicated way was a new experience for the Australian aid program. The rationale of the M4D Initiative – to support developing countries to maximise the economic benefits from their extractives sector in a socially and environmentally sustainable way – was logical and consistent with the Australian Government's commitment to making progress towards the Millennium Development Goals. The Australian Government recognised that the mining sector had considerable potential to help reduce poverty, accelerate human development and economic growth, but also recognised that many resource-rich developing countries were not performing well on human development indicators.

Australian Capacity

In launching the M4D Initiative, the Australian Government recognised that Australia had a great deal to offer developing countries around mining. Australia had a mature domestic mining sector, effective institutions, and structures in place to manage the sector and the wealth it creates. Australia also had significant development expertise and was well-placed to assist developing countries overcome the challenges the sector can present. From the start, the Initiative was set up to draw on experience from across the Australian

government, industry and the university sectors to help developing countries address mining related governance, capacity and technological challenges.

Process to establish the IM4DC

IM4DC was established in October 2011, following approximately two years of AusAID research, analysis and consultation on mining and development and a rapid preparatory phase for the Centre itself.

Over the previous two years, AusAID had been working on an approach to mining and development, in close consultation with international players, such as the Extractive Industry Transparency Initiative (EITI) and the International Monetary Fund (IMF). Within Australia, AusAID was in close discussion with the Department of Resources, Energy and Tourism and was engaging with, and assessing the capacity of, Australian universities with expertise in mining. Through this period, Africa was emerging as a focus, but other countries and regions were also in the picture.

While this preparatory work had been underway for some time and had laid the groundwork for AusAID to engage substantively with mining in developing countries, the actual process to establish the IM4DC as a specific entity was done very quickly. The total length of time from the initial approach to the two selected universities, to the launch date was 12 weeks – with the deadline fixed by the decision to announce IM4DC at the Commonwealth Heads of Government Meeting (CHOGM) scheduled for the end of October 2011. This duration did not allow time for usual design and tendering processes.

It is a credit to those involved – the AusAID staff and the two universities – that IM4DC was able to be established under this time pressure. The decision to approach two universities directly was part of this process – the very rapid AusAID agreement process for the establishment of an academic-focused institution could arguably only have been progressed by Universities with academic and institutional mining education, training and research capabilities already in place and off-the-shelf courses ready to be rolled out. As AusAID wanted a Centre that could hit the ground running in a new area for the aid program, the decision to directly source the UWA and UQ, with their years of experience and strong expertise, was understandable.

However, the tight timeframe and the absence of a competitive process have been the subject of concern raised during the Review. If IM4DC had gone out to tender it would have opened the possibility of multiple bidders, with the potential for efficiency and effectiveness gains that a competitive process brings. The fact that other universities and institutes were not given an opportunity to bid for the activity – especially such a large activity – also created some concern, especially among other well-credentialed universities with mining expertise. This is an issue that will be very relevant for DFAT in any ongoing work beyond the time period of the IM4DC Grant Agreement.

The Grant Agreement

There was a deliberate decision to deliver the IM4DC through a Grant Agreement, rather than a Contract, as AusAID was buying into the existing expertise of UWA and UQ and seeking to learn from them as partners. A Grant Agreement gives the recipient of the funds more flexibility and freedom, and was often used for research and training partnerships, whereas a Contract gives the Australian Government more control over how the recipient spends the money and is generally used where a commercial contractor is selected as the successful tenderer. The Grant Agreement required the IM4DC to deliver on the Activity Proposal submitted by UWA and UQ, which included activities and Key Performance Indicators that AusAID wanted the partnership to provide. A Grant Agreement was also advantageous in this case given the compressed timeframe that would not have allowed time for a full competitive tender.

GOVERNANCE, MANAGEMENT AND OPERATIONS

Governance

The Governance arrangements, whereby IM4DC is a joint venture between UWA and UQ, appear to work well. The streamlined Board of two people appears to run efficiently and effectively in serving its decision-making and oversight role.

The Mining for Development Advisory Committee (MAC) which was established in 2012 by the Australian Government has not served the purpose, in relation to IM4DC, that was expected. The original intention of the MAC was to provide advice to AusAID and IM4DC on the design, implementation and effectiveness of the Mining for Development Initiative and IM4DC, and to provide a channel for the views of stakeholders to be considered.

However, in 2012 before the Committee had met for the first time, its role was changed to oversee the whole M4D Initiative, which diluted the opportunity for specific guidance to IM4DC. The Committee has not convened since the 2013 Federal Election and its future is uncertain. While it seems highly unlikely that the Committee will resume its role – the Review Team is of the view that the Committee could have been a very valuable resource for IM4DC, but this potential was not realised.

Management and leadership

The administrative headquarters of IM4DC are located at UWA and management services for the IM4DC's activities operate under the policies, practices, procedures and corporate governance of UWA. The non-administrative activities of IM4DC are delivered by UWA and UQ, along with third party universities and other organisations that are subcontracted to provide services in line with their expertise.

The Review is of the opinion that IM4DC has been able to attract staff with appropriate skills and experience to ensure the Centre was able get up and running quickly, to develop strong links across the world and to be effective in promoting Australia as an international leader in mining for development.

Activities

IM4DC pursues a number of activities towards meeting its objectives as follows:

- > education and training programs by short courses – core activity;
- > action research;
- > annual conferences;
- > visiting fellows;
- > publications;
- > technical advice;
- > alumni; and
- > institutional links.

Geographic priorities

IM4DC operates in Africa, Asia and Latin America, and has eight priority countries:

- > Indonesia;
- > Philippines;
- > Mongolia;
- > Zambia;
- > Ghana;
- > Liberia;
- > Mozambique; and
- > Peru.

PERFORMANCE AGAINST DFAT EVALUATION CRITERIA

Relevance

IM4DC was established as one component of the Australian Government's M4D Initiative which was set up to support developing countries to manage their extractive industries to promote economic growth and poverty reduction. This objective remains relevant in light of the Australian Government's new paradigm for its overseas development budget, in particular the promotion of prosperity and poverty reduction by enabling the private sector to drive growth.

At a conceptual level, an academic-focused centre can play a role in the delivery of quality training and research as part of a larger package of assistance. At a practical level, the Review has confirmed that the Centre's work has been highly relevant to the objectives of the M4D Initiative and strongly aligned with other Australian Government M4D activities.

The Centre's approach to planning and prioritising its activities has changed over time. The initial rush to get started meant that activities were necessarily 'off the shelf'. Once the establishment phase was over, the Centre has employed a rigorous approach to planning and has worked well with other DFAT-funded programs (such as the *Australia Africa Partnerships Facility* (AAPF) and *Australia Awards*) to complement other activities and avoid duplication, notwithstanding a need to improve coordination with some DFAT programs.

At a broader level, this review has observed a debate within the Australian mining industry about the relevance of the whole M4D Initiative. The most common view heard was one of welcoming Australian support that will help improve governance and create a more stable environment for mining companies investing in developing countries. Some, however, were critical about the Australian Government providing support to developing countries that has the potential to 'help Australia's competitors'. Another industry view heard was that this kind of support helps to 'level the playing field' for attracting investment to Australia by promoting similar standards in developing countries as there are in Australia. With the Australian Government's economic diplomacy agenda focusing on the four objectives of trade, growth, investment and business, dialogue with DFAT and industry at this point would be very helpful to assist IM4DC to sharpen its focus in support of this agenda.

Effectiveness

The Centre's internal monitoring and evaluation suggests that IM4DC is exceeding or meeting its key performance indicators in most areas, in particular short courses and action research, but falling short in relation to fellowships and technical advice. Externally, and anecdotally, many stakeholders value IM4DC for what they consider its high-level degree of performance, and IM4DC is regularly invited to be represented at national and international mining development forums. Nevertheless, this Review provides an opportunity to test the effectiveness of the Centre from an independent perspective, through close scrutiny of its short-term training courses and other activities, the findings of which are briefly outlined below.

Short courses: The IM4DC's core activity is the delivery of short courses. The Review assesses that these are of very high quality with expert UWA, UQ and other presenters – generally leaders in their fields with strong academic, government and / or industry experience. The courses showcase Australia's best practice mining for development capability, and are well tailored to the context of IM4DC partner countries. While it is still early days, the transfer of knowledge and skills has assisted participants from many countries to implement useful change in their return to work. A survey of IM4DC alumni was conducted as part of this Review. A total of 237 alumni responded with predominantly positive feedback and comments.

Institutional links: High quality and effective institutional links have been established in most of IM4DC's partner countries, especially in Africa where universities, training centres and government facilities are used for IM4DC meetings, workshops and short courses for mutual benefit. There is potential for IM4DC to work more closely with developing country institutions as partners – in this regard, the IM4DC's commencement of a strong relationship with the Africa Minerals Development Centre (AMDC) is a very positive step.

Research: The IM4DC's delivery of short courses is underpinned by a high-quality action research program that focuses on measurable and objective learning and improvement. The research also identifies needs and gaps in the various programs, leading to the development of contacts with researchers, institutions and NGOs in partner countries. Most of the action research activities are on an internally competitive basis with proposals invited from UQ and UWA staff, with only limited involvement of external researchers.

Alumni: The building of an alumni network is considered, by IM4DC, to be one of its most important priorities to ensure the sustainability of the benefits of IM4DC activities. There are now over 1,000 IM4DC alumni across the world, and the Centre is working to engage effectively with them to support their work. For example: IM4DC hosted an alumni forum following the May 2013 M4D conference, encourages Return-to-Work Reports, conducts surveys and encourages communication between alumni. The new online alumni community – M4DLink – has the potential to be an effective platform for on-going networking and discussions of important issues. IM4DC has been supported to reach this point by the AAPF which took the lead role in setting up an alumni database for Africa, and the subsequent transition of this function to IM4DC.

Conference: The Mid-Term Review has heard both criticism and praise of the two IM4DC conferences to date, with most comments about the Conference held in May 2013 in Sydney. Many participants appreciated the benefits they gained from the conferences, particularly the opportunity to learn from experts and to network. Criticism has come from some in industry and government particularly about the cost of the 2013 event (\$974,541 for a 2-day conference), in particular the Conference dinner which some attendees felt was extravagant for an activity funded by the Australian aid program. The request by senior management in AusAID at the time to double the number of attendees reflected the unique circumstances presented by Australia hosting the Extractive Industries Transparency Initiative (EITI) conference around the same time and the opportunity to include additional participants who were in Australia for the EITI conference. That said, the large number of participants certainly contributed to the higher cost on this particular occasion. The Review notes that the Conference planned for the second half of 2014 will not proceed as originally planned, and the Review Team is of the view that any future conferences should be smaller and more frugal.

Advice to the Australian Government: The work undertaken by IM4DC has generated a great deal of rich information that has the potential to inform policy development in Australia and overseas, but it has been underutilised. IM4DC has developed a reputation in key quarters in other countries and IM4DC's Director, and other staff, are regularly invited to speak and provide advice around the world. In the future it would be best if DFAT and IM4DC can agree on an avenue for IM4DC work to be regularly taken into account in Australian Government policy discussions.

Coordination: It is recognised by IM4DC that coordination with DFAT programs is essential for ongoing feedback from in-country activities and to avoid duplication with the other parts of the aid program also working in the mining area. In Africa, this has been particularly important given the significant proportion of aid spending related to mining, through IM4DC and two other programs – the AAPF and the Australia Awards for Africa. IM4DC generally has positive interaction with the AAPF study tours, sometimes delivering particular components, as well as the Australia Awards where IM4DC provides additional top-up funds for post graduate geology and mining students.

Coordination with industry has been a point of serious contention. Some in industry express concern that IM4DC does not engage regularly with them. IM4DC concedes this has not been strong, but says that it was acting under instructions from AusAID from the early days. While there has been some involvement from industry in the delivery of IM4DC courses, this is a serious weak point around the Centre. In future, not only should industry be more involved in assisting the delivery of activities, industry should also be given the opportunity to participate in IM4DC strategy and planning. Should MAC (or something similar) be formed in the future, it could play a stronger role in encouraging IM4DC coordination with industry.

Efficiency and Value for Money

The Review has assessed the IM4DC against the DFAT's draft Value for Money Principles: Cost Consciousness; Encouraging Competition; Evidence-based Decision-Making; Proportionality; Performance and Risk Management; Results Focus; Experimentation and Innovation; Accountability and Transparency.

Overall, the Review assesses the IM4DC as providing value for money. The one area requiring attention is that of 'competition; where there are issues for both DFAT and IM4DC to address. As there was not a competitive tender to select the Contractor for IM4DC, questions have been raised about value for money. UWA and UQ responded to an approach by the Australian Government in good faith and proposed approaches, activities and costings. At the time, AusAID did undertake some benchmarking of costs against similar activities and this showed that IM4DC costs were reasonable – and, in fact, the evidence shows that the IM4DC has kept its average costs per course participant lower than the approved estimates in the Grant Agreement. Comparisons with other Australian Government -funded courses show that IM4DC course costs are significantly below the average cost for similar courses with classroom and site visit elements. A comparison with private sector-funded training shows IM4DC course costs at a similar level.

At the activity level, there are good examples of IM4DC creating efficiencies by working closely with other programs. For example, IM4DC and the AAPF have worked together in delivering a number of training activities.

However, when it comes to the question of providing avenues for other Australian universities and research institutions to contribute expertise, the Review Team is concerned about lost opportunities for demonstrating perceived value. The vast majority of expertise sourced by IM4DC has come from within UWA and UQ. To some extent, this was to be expected as UWA and UQ were chosen because of their strong reputations for expertise, but the Review Team is of the view that strong expertise exists across many institutions and could be more broadly sourced and recommends greater contestability over the remaining 14 months.

Impact and Sustainability

IM4DC has only been running since 2011 and in this relatively short time frame it is difficult to assess and measure changes in partner countries. Preliminary evidence to date suggests that improved partner country skills as a result of IM4DC education, training and research programs will lead to long-term benefits of a well-managed mining sector. IM4DC's short course Return-to-Work Plan and the establishment of the online alumni community, M4D link, will provide an important means to facilitate and continue ongoing and shared learning and support to sustain impacts. Partnerships with other centres such as the AMDC are also expected to help sustain impact in the long-term.

Monitoring and Evaluation

IM4DC has established good systems for monitoring and evaluation at the activity level. Participants in activities are given the opportunity to provide feedback, which feeds into six-monthly reports. The Centre is also prepared to seek independent evaluation, as demonstrated through their engagement of the Accelerated Learning Laboratory at UWA to undertake an Evaluation of Impact Report for IM4DC.

Analysis and Learning

IM4DC uses a number of tools to obtain formal feedback on activities. Examples of such tools used on all IM4DC short courses, fellowship and training activities are: in-course group discussions, networking, presentations, and post-course participant surveys / appraisals. Feedback through these tools is used to inform course and activity development. Continuous improvement in IM4DC activities is reviewed by the UQ- and UWA-based presenters and organisers during and after each course; and reflection workshops are held to share experiences. The participants are also encouraged to assess the courses and provide ideas and comments. Continuous learning is afforded on line through the M4D link, which keeps alumni, presenters and other IM4DC parties informed on return to work progress, challenges and forum networking.

Gender Equality

The Grant Agreement's guidance to the IM4DC around gender was fairly broad and general. The focus was primarily on participation of women in the ranks of participants, course presenters and in positions of influence in developing countries. The Grant Agreement was not specific in pushing the IM4DC to address broader issues of gender equality in the mining and extractives sector. Given that mining is a male dominated industry, especially in developing countries, the Grant Agreement missed the opportunity to push

the IM4DC to look at issues relating to the impact of mining on women and men, including: opportunities for women to participate and have their voices heard in communities affected by mining; issues of violence against women in mining communities; and the differences between women and men in terms of the overall impact of IM4DC activities. Despite this, the IM4DC has gone ahead and done some very good work through the Action Research Program and through supporting joint training activities focused on gender and mining.

The Review team assesses that the IM4DC has taken some steps towards the broad gender objectives set out in the Grant Agreement, but that much more could be done to address gender in the remaining 14 months. The onus is on DFAT in the first place to give the IM4DC more substantive expectations on how gender needs to be addressed. Following this, the IM4DC should update its Monitoring and Evaluation Framework to reflect more serious attention to gender. Given that the Minister for Foreign Affairs has clearly underscored women's economic empowerment and women's leadership as central tenets of the Australian Government's aid program, the approach to gender should be assessed and updated by DFAT and the IM4DC as a matter of priority.

THE FUTURE

Given the extremely short timeframe to establish IM4DC in 2011, those involved deserve credit for making it happen. The very rapid AusAID agreement process for the establishment of an academic-focused institution could only have been progressed by Universities with academic and institutional mining education, training and research capabilities. However if IM4DC had gone out to tender it would have opened the possibility of multiple bidders, with the potential for efficiency and effectiveness gains that a competitive process brings. IM4DC would have also been strengthened if AusAID had allowed for more industry involvement and engagement.

While the Review should not provide recommendations beyond the end of the Grant Agreement, it has been asked to recommend relevant changes up until June 2015. The key recommendations are:

1. The IM4DC should be able to continue to deliver its planned activities over the remainder of the Grant Agreement, due to finish in June 2015, and continue the momentum it has built in the first 2½ years.
2. In addition to supporting the Australian Government's development agenda of economic growth and poverty reduction, the IM4DC's priorities should also be increasingly targeted to support the Australian Government's economic diplomacy agenda.
3. The Australian mining industry and other stakeholders should be brought into the planning and delivery of activities much more closely.
4. A greater degree of competition should be introduced to selection of expertise for IM4DC activities.
5. The geographic priority to Africa and Latin America should remain even if the bilateral / regional programs to these regions are reduced in size.
6. DFAT and the IM4DC should agree on a more rigorous set of expectations in relation to gender and mining, and that this should be reflected in an updated Monitoring and Evaluation Framework. This should take account of the Australian Government's priority placed on women's economic empowerment and women's leadership as central tenets of the Australian Government's aid program

Introduction

Mining for Development and the IM4DC

In October 2011, the Australian Prime Minister launched the Mining for Development (M4D) Initiative, a \$127 million four-year program to support developing countries to manage their extractive industries to promote economic growth and poverty reduction. The M4D Initiative was established with six components, which involved a range of existing and new work:

- > The International Mining for Development Centre
- > Community and Social Development Program – a new activity that was ultimately never realised
- > Economic Capacity Building Program – existing work with IMF and World Bank
- > Promoting Transparency – existing work with EITI
- > Government Linkages Program – expanding work by Australian public sector agencies and universities
- > Australia Awards – collation of existing scholars.

IM4DC, a partnership between EMI of UWA, Perth, and SMI of UQ, Brisbane, was also launched in October 2011 as the flagship of the M4D Initiative and the Australian Government (previously AusAID, now DFAT). It was tasked to work closely with Australian universities and research institutions to build capacity in mining governance and sustainable development through transfer of world-leading knowledge to developing countries in Africa, Latin America and Asia. DFAT is the sole funder of the IM4DC, through a grant agreement for \$31 million over four years to June 2015 signed between DFAT (then AusAID) and UWA.

Terms of Reference for the Mid-Term Review

The independent Mid Term Review (MTR) of the International Mining for Development Centre was commissioned to assess the performance of IM4DC since its inception in October 2011, including in the context of the overall M4D Initiative, and recommend any changes for the remaining 14 months of IM4DC grant agreement. The Terms of Reference required the Review to assess IM4DC against the DFAT Evaluation Criteria of:

- > Relevance;
- > Effectiveness;
- > Efficiency and Value for Money;
- > Impact;
- > Sustainability;
- > Monitoring and Evaluation;
- > Analysis and Learning; and
- > Gender Equality.

The Terms of Reference do not give the Review Team a mandate to evaluate the M4D Initiative as a whole, nor the other five components, although these aspects inevitably arose in the course the Review. In addition, the Terms of Reference do not ask the Review Team to make recommendations about future support beyond the life of the IM4DC, only recommendations for change during the remainder of the current grant agreement period (ending June 2015).

The full Terms of Reference are at Annex 1.

Approach and Methodology

The Mid Term Review represents a broad strategic review of the IM4DC, looking at the range of priorities and activities of the Centre since 2011. The Review was undertaken by a team of two, Michael Pilbrow and Mike Katz, over the period January–April 2014. The information collected as part of this Review is primarily of a qualitative nature, drawing on a participatory approach involving the following six analytical tools:

1. literature review of key DFAT and IM4DC documents;
2. consultations with officials at DFAT Canberra and at post, both verbal and written;
3. meetings with IM4DC at the UWA Perth and UQ Brisbane;
4. interviews and contacts with stakeholders in Australia and in developing countries;
5. attendance and observation of IM4DC training courses at UWA and UQ, including interviews with participants; and
6. on-line survey of IM4DC alumni.

In total, over 100 people were interviewed as part of the Review (see Annex 2).

It should be noted that the Review has taken place over the period of the integration of DFAT and AusAID, but that the Review period included a significant period of time when AusAID was a separate agency. The Review therefore refers to 'AusAID' in an historical sense, especially when discussing the 2011 establishment of the IM4DC. When discussing current issues or the future, the Review refers to DFAT.

Establishment of IM4DC

While it is not useful to dwell too much on the origins of IM4DC as it is not possible to go back and change this, there is value in understanding the context in which the Centre and the broader Mining for Development (M4D) Initiative were established. Both the policy priorities of the Australian Government at the time and the Australian Government's timetable for establishment help to explain the nature of the institution that we have today.

Rationale for the M4D Initiative

Working in the mining sector in a dedicated way was a new experience for the Australian aid program. The rationale of the M4D Initiative – to support developing countries to maximise the economic benefits from their extractives sectors in a socially and environmentally sustainable way – was logical, and consistent with the Australian Government's commitment to making progress towards the Millennium Development Goals. The Australian Government recognised that the mining sector had considerable potential to help reduce poverty, accelerate human development and economic growth, but also recognised that many resource-rich developing countries were not performing well on human development indicators.

The Australian Government understood that mining generates economic opportunities by contributing to broader economic growth and private sector development, and through the direct employment of workers. In addition, taxes, rents, royalty payments and social responsibility programs arising from mining operations are all very important to the expansion of public services, such as healthcare and education, in developing countries.

However, the Australian Government also recognised that converting mining into sustainable development was challenging, and that economic instability, poor transparency, weak institutional capacity, and corruption were realities in some resource-rich countries. Environmental degradation, inequality and poor infrastructure for growing populations in mining areas of developing countries were other challenges being faced.

Ultimately, in 2011 the case for the Australian Government devoting resources to support improvements in mining in developing countries was strong as it presented an opportunity for Australia to contribute significantly to poverty reduction and economic growth in new ways.

Australian Capacity

In launching the M4D Initiative, the Australian Government recognised that Australia had a great deal to offer developing countries in terms of good practices for the mining sector. Australia had a mature domestic mining sector, effective institutions, and structures in place to manage the sector and the wealth it creates. Australia also had significant development expertise and was well-placed to assist developing countries overcome the challenges the sector can present. From the start, the Initiative was set up to draw on experience from across the Australian Government, industry and the university sector to help developing countries address mining related governance, capacity and technological challenges. This sharing of Australian capacity has been a feature of IM4DC and has been well received, and has built on Australia's good international reputation in this area.

Process to establish the IM4DC

IM4DC was established in October 2011, following approximately two years of research, analysis and consultation on mining and development and a rapid preparatory phase for the Centre itself.

Over the previous two years, AusAID had been working on an approach to mining and development, in close consultation with international players, such as the EITI and the IMF. Within Australia, AusAID was in close discussion with the Department of Resources, Energy and Tourism and was engaging with, and assessing the capacity of, Australian universities with expertise in mining. Through this period, Africa was emerging as a focus, but other countries and regions were also in the picture.

While this preparatory work had been underway for some time and had laid the groundwork for AusAID to engage substantively with mining in developing countries, the actual process to establish the IM4DC as a specific entity was done very quickly. The total length of time from the initial approach to the two selected universities to the launch date was 12 weeks – with the deadline fixed by the decision to announce IM4DC at CHOGM scheduled for the end of October 2011. This duration did not allow time for usual design and tendering processes.

A Mining Taskforce was established in AusAID to turn the M4D Initiative, including the IM4DC, from a concept to a reality in a matter of weeks. As an alternative to design and tendering processes, AusAID approached UWA and UQ to seek their interest in putting together a joint venture and a proposal to operate the IM4DC. The decision to approach the two universities was based on the expertise and experience the two universities had in the mining for development area in the form of specialised institutes – EMI at UWA and SMI at UQ. The expertise of EMI and SMI was recognised both by the Australian Government and by industry, providing justification for the direct approach.

UWA and UQ were given a short amount of time to put together an activity proposal which, following discussion and negotiation with AusAID, formed the basis of the IM4DC's establishment and operations. IM4DC was launched at CHOGM by the Prime Minister, and the first training activity commenced very soon afterwards.

It is a credit to those involved – the AusAID staff and the two universities – that IM4DC was able to be established under this time pressure. The decision to approach two universities directly was part of this process – the very rapid AusAID agreement process for the establishment of an academic-focused institution could arguably only have been progressed by Universities with academic and institutional mining education, training and research capabilities already in place and off-the-shelf courses ready to be rolled out. As AusAID wanted a Centre that could hit the ground running in a new area for the aid program, the decision to directly source the UWA and UQ, with their years of experience and strong expertise, was understandable.

However, the tight timeframe and the absence of a competitive process have been the subject of concern raised during the Review. If IM4DC had gone out to tender it would have opened the possibility of multiple bidders, with the potential for efficiency and effectiveness gains that a competitive process brings. The fact that other universities and institutes were not given an opportunity to bid for the activity – especially such a large activity – also created some concern, especially among other well-credentialed universities with mining expertise. This is an issue that will be very relevant for DFAT in any ongoing work beyond the time period of the IM4DC Grant Agreement.

The Grant Agreement

There was a deliberate decision to deliver the IM4DC through a Grant Agreement, rather than a Contract, as AusAID was buying into the existing expertise of UWA and UQ and seeking to learn from them as partners. A Grant Agreement gives the recipient of the funds more flexibility and freedom, and was often used for research and training partnerships, whereas a Contract gives the Australian Government more control over how the recipient spends the money and is generally used where a commercial contractor is selected as the successful tenderer. The Grant Agreement required the IM4DC to deliver on the Activity Proposal submitted by UWA and UQ, which included activities and Key Performance Indicators that AusAID wanted the partnership to provide. A Grant Agreement was also advantageous in this case given the compressed timeframe that would not have allowed time for a full competitive tender.

The Grant Agreement, through the Activity Proposal, spelt out the proposed approach and activities in some details. It set out the purpose and themes of IM4DC and, importantly, defined the deliverables that would be the focus (subject to an annual planning process) as:

1. Design and conduct training programs in agreed core themes.
2. Prepare and disseminate reports, practical guides and tools related to contemporary issues in minerals and energy, both for general audiences and tailored for individual countries.
3. Conduct an annual conference on the development aspects of minerals and resources industries.
4. Provide technical advice to the Australian Government.
5. Undertake an action research program within IM4DC's themes and aligned with its education activities.
6. Establish a Visiting Fellowships program.
7. Build and maintain a network of IM4DC alumni.

Governance and Management

The way in which IM4DC was established dictated a unique set of arrangements for the ongoing governance, management and operations of the IM4DC.

Governance

Since October 2011, IM4DC has been established as a joint venture between UWA and UQ, with all funding from the Australian Government through an Australian Aid initiative. The Grant Agreement required a single entity to sign. This task was performed by the UWA, which is therefore DFAT's counterpart in a legal sense.

The administrative headquarters of IM4DC are located at UWA and management services for the IM4DC's activities operate under the policies, practices, procedures and corporate governance of UWA. IM4DC activities that are undertaken at each of the partner universities are done so under the policies, practices, procedures and corporate governance of the relevant university, with reference to the overarching Memorandum of Understanding between the two universities, the defining principles above and the requirements of IM4DC funding agreement.

IM4DC reports to a Board of Management comprising two people, the Director of EMI at UWA and the Director of SMI at UQ. The small, lean board appears to run efficiently and effectively in serving the decision-making role it has.

One change from original expectations has been in relation to the Mining for Development Advisory Committee (MAC). The Committee was established in 2012 with the original intention to provide advice to Australian Aid and IM4DC on the design, implementation and effectiveness of the Mining for Development initiative and IM4DC, and to provide a channel for the views of stakeholders to be considered. This Committee had the potential to be a very helpful source of strategic guidance to IM4DC, especially given its original Terms of Reference which were IM4DC-focused of:

1. Provision of advice on the international development environment in relation to the energy and minerals sectors.
2. Provision of advice on the direction and strategy for the future operation of IM4DC.
3. Provision of advice on the content of the annual business plans for IM4DC.
4. Oversight of the financial performance of the IM4DC.
5. Oversight of performance benchmarks for the IM4DC.
6. Provision of advice on the education and training activities of the IM4DC.
7. Assistance to IM4DC in establishing high-level international government, NGO and industry contacts.
8. Assistance in promoting the activities of IM4DC to government, business and other appropriate sectors.
9. Liaison and provision of advice back to stakeholder organisations on the process and activities of the IM4DC.

However, before the Committee had been formed, a decision was made by AusAID, in conjunction with the Chair and the two universities, that changed the role of the Committee to oversee the whole M4D Initiative, which diluted the opportunity for specific guidance to IM4DC. IM4DC's Director has been the Secretary of the Committee. The Committee has not convened since the 2013 Federal Election and its future is uncertain. While the Team appreciates that it is highly unlikely that the Committee will resume its role – the Review Team is of the view that if there is a similar Committee formed in the future it would be valuable for it to bring a breadth of expertise and experience to advise the IM4DC. In particular, the opportunity such a Committee presents to have key industry leaders engaged would help address the issues around industry engagement raised as part of this Review.

Management and leadership

IM4DC's senior management team comprises three people: Director; Deputy Director – Education and Australian Capability; and Deputy Director – Operations and Business Development. The Director reports directly to the Director, EMI at UWA and is responsible to deliver against the objectives of the IM4DC, with a requirement to report regularly to the IM4DC Management Board and the Australian Government, in line with reporting requirements of the IM4DC Grant Agreement. The two Deputy Directors report to the Director. One is located at each of the partner universities. Supporting the Director and Deputy Directors are a range of staff whose roles include coordination of education activities, financial management support and administrative support.

The Review is of the opinion that IM4DC has been able to attract staff with appropriate skills and experience, in particular a leadership team that was able to get the Centre established and delivering activities quickly, to develop strong links across the world and to promote Australia as an international leader in mining for development.

The use of partner universities' existing systems for finding and developing staff is sensible and efficient.

Performance

At the time of writing, IM4DC has been in operation for 2½ years out of a total lifespan of 3¾ years. While past the half-way mark, IM4DC is nonetheless a relatively young organisation and, in undertaking this assessment of performance, the Review Team is conscious that benefits from the type of capacity building activities that IM4DC delivers – which are listed below – are generally not realised for many years.

- > education and training programs by short courses;
- > action research;
- > annual conferences;
- > visiting fellows;

- > publications;
- > technical advice;
- > alumni; and
- > institutional links.

The first activity – the design and delivery of short courses is clearly the core business of the IM4DC, and has been the subject of most scrutiny in this Review. The performance of this and the other components are discussed in more detail below under ‘Effectiveness’.

Within that context, the Review has assessed the performance of IM4DC against DFAT’s evaluation criteria, of:

- > Relevance;
- > Effectiveness;
- > Efficiency and Value for Money;
- > Impact;
- > Sustainability;
- > Analysis and Learning;
- > Monitoring and Evaluation; and
- > Gender Equality.

Each will be explored in more detail below.

Relevance

IM4DC was established as one component of the Australian Government’s M4D Initiative which had the following objectives: i) ‘help developing countries do mining well and maximise the dividends that come from possessing mineral wealth; ii) protect the environment in places where mining occurs; and iii) ensure that local communities benefit from mining activity.’ The Review concludes that IM4DC has been a highly relevant part of the M4D initiative – starting from the original rationale discussed above, and continued through the delivery of its activities.

Academic focus

At a conceptual level, an academic-focused centre can play a role in the delivery of quality training and research as part of a larger package of assistance. It can take people out of the busyness of their regular workplace and provide an environment for bigger picture, longer-term thinking with a strong theoretical base. Feedback from participants has shown that this is greatly valued.

What is potentially most valuable is that IM4DC operates independently of country programs. This means it can go to countries that might not otherwise be a high priority – or it can work with organisations or sectors that are not part of the formal country strategy. While this requires constant vigilance in terms of coordination with other parts of the aid program, this independence provides great potential for IM4DC to complement and strengthen Australia’s engagements with partner countries. It feeds into the discussion below on geographic focus as IM4DC provides a neat avenue for Australia to engage with countries that might be diminishing in importance as aid partners, and where resources are diminishing also, but where niche mining support could still be very important.

Geographic priorities

IM4DC has had a broad geographic focus on countries and regions where mining is a significant sector and where Australia has strong economic interests. Interestingly, this has meant that the IM4DC’s geographic

priorities do not match up exactly with the Australian Government's overall geographic priorities for the broader aid program, as shown by the eight priority countries of:

- > Indonesia;
- > Philippines;
- > Mongolia;
- > Zambia;
- > Ghana;
- > Liberia;
- > Mozambique; and
- > Peru.

While Asia is well represented, around 50% of IM4DC's work has been with Africa – well beyond Africa's usual share of the aid program. Latin America has also been a significant participant in IM4DC activities.

The Review Team did hear feedback about possible expansion of IM4DC's geographic focus to other countries in Asia and the Pacific in view of the Australian Government's economic diplomacy agenda – countries mentioned include India, Pakistan, Bangladesh and Sri Lanka in South Asia, Myanmar, Thailand, Laos, Cambodia, Vietnam and East Timor in Southeast Asia, China and the Pacific Islands of Fiji, Solomon Islands, Vanuatu and Tonga.

The High Commission in India relayed the demand from stakeholders within India for IM4DC support:

'Extending IM4DC engagement to India has the potential to vastly improve the governance and performance of the Indian mining sector, and there is likely to be interest from Indian stakeholders in participation in IM4DC activities given the challenges that the sector is facing. Offering this support to India will also help us entrench Australia as a key partner for India on energy and resources, and improve the investment framework for Australian companies operating in India. Activities under IM4DC would likely showcase the comparative advantages of Australia's resources and energy sector to the growing Indian mining sector and attract further Indian interest in our world class mining equipment, technologies and services industry.'

The Review's view is that, while the case for expansion into South Asia and the Pacific has some merit, we are not in a position to recommend this within the existing budget envelope for IM4DC and with only one year remaining of the Grant Agreement.

However, the Review Team does recommend a continuing, strategic focus on Africa and Latin America, despite their lower priority in the overall aid program. With Africa and Latin America diminishing as recipients of Australian aid, a niche focus on mining in these two regions could be mutually beneficial. For relatively modest investment, Australia could continue to be a much appreciated supporter of good governance in mining for the benefit of the developing countries in Africa and Latin America and Australia's national interests.

Planning and prioritisation

The Centre's approach to planning and prioritising its activities has changed over time. The initial rush to get started meant that activities were necessarily 'off the shelf'. Since the establishment phase finished, the Centre has employed a rigorous approach to planning and has worked well with other DFAT-funded programs (such as AAPF and Australia Awards in Asia, Africa and Latin America) to complement other activities and avoid duplication.

A number of AusAID posts commented favourably about IM4DC's engagement with them in the preparation of the IM4DC's Annual Plan. This has been very important in avoiding duplication and confusion between IM4DC and bilateral programs also working in similar areas. There were also some comments from posts suggesting that communication and engagement could still be improved, for example:

‘IM4DC has developed an integrated annual plan. Whilst this is a good step, Post assesses that there is scope for wider consultation with participating countries in the planning phase. Post is willing to support IM4DC to better identify and prioritise local training needs’.

‘In selecting the most appropriate candidates for in-Australia activities from government, the community and the tertiary sectors (and on occasion from the private sector) IM4DC’s team has worked constructively with DFAT and Austrade staff at Post’.

Partner country and participant views

The overwhelming view from partner countries – government, institutions and participants – has been one of great appreciation for the IM4DC’s support. At one level this is not surprising – beneficiaries of support, especially when involving the opportunity to do a course in Australia, are generally positive and grateful for what they have received. At the same time, the Review endeavoured to dig deeper to discover the actual, tangible benefits that have been realised.

Feedback from partner countries – either directly or through feedback from DFAT posts – focused on the appreciation of the support and also the interest in being more involved in planning. Partner country views are outlined at relevant points in the report.

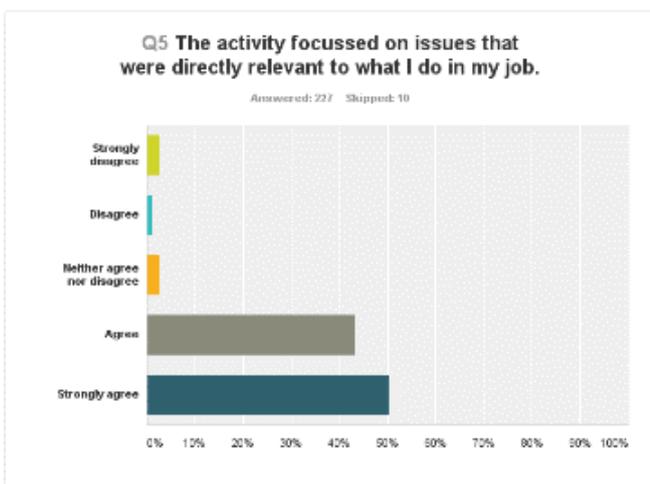
An alumni survey was sent to over 900 alumni. A total of 237 responses were received, a response rate of over 25%. The geographic break-up of the respondees was as follows:

Africa	158
Asia	46
Latin America	31
Pacific	2
TOTAL	237

The team acknowledges that the positive experiences most participants have when they attend courses and activities means that there is a strong positive bias in this kind of survey. Having said that, the survey was not subject to any sampling by the Review Team (random or otherwise), but approached the full complement of alumni.

Key results from the survey are shared in graph form at relevant places in this report. For example, in this section of Relevance, the following Figure 1 highlights the participants’ assessment of the relevance of IM4DC to their specific work situation:

Figure 1: Alumni Survey - Relevance



Industry views

The Review Team took the opportunity to interview a number of Australian industry representatives to seek their views on the role and performance of the IM4DC. These discussions highlighted that there is not a single, unanimous view in the Australian mining sector on either IM4DC or M4D more broadly.

In relation to the IM4DC's work, there were mixed views. A number of industry representatives were very positive about the relevance of the topics and quality of the teaching at IM4DC courses, and some were regular guest presenters which indicated a level of commitment and also that they had the opportunity to observe course delivery up close. There was another view expressed that IM4DC doesn't engage enough with industry and therefore misses out on a stronger industry perspective in the courses. IM4DC acknowledged that there could have been more engagement with industry from the outset and this is something that they have indicated is being given more attention.

On the broader issue of Australian Government support for M4D, there were a number of different views expressed. While outside the direct scope of this Review, these views on the M4D initiative are relayed here as some stakeholders didn't distinguish between M4D and IM4DC. The most common view expressed was one of support for Australian assistance for improved mining governance, on the basis that it would create a more stable environment for Australian companies investing in these developing countries. There was also support for Australian assistance that helps to 'level the playing field' for attracting investment to Australia by promoting similar standards in developing countries as there are in Australia. A further, more negative view, was that the Australian Government providing support to developing countries has the potential to 'help Australia's competitors'. This feedback from industry presents an opportunity for IM4DC, DFAT and Industry representatives to work together to define the IM4DC's contribution to the Australian Government's economic diplomacy agenda, an issue that is discussed further in the next section.

Relevance to Australian Government agenda

As mentioned in the above discussion on the origins of the IM4DC, the Centre was established as one component of the Australian Government's M4D Initiative to support developing countries to manage their extractive industries to promote economic growth and poverty reduction. This objective remains relevant in light of the Australian Government's new paradigm for its overseas development budget, in particular the promotion of prosperity and poverty reduction by enabling the private sector to drive growth. Mining generates economic opportunities by contributing to broader economic growth and private sector development, and support to developing countries to maximise the benefits of mining, as the IM4DC does, remains highly relevant to the Government's development agenda.

The Australian Government's economic diplomacy agenda – focusing on the four objectives of trade, growth, investment and business – also presents an opportunity for mining-related assistance to demonstrate its value both to developing countries and to Australia. Dialogue with industry should be an important part of this process. All the arguments made for the original rationale to establish IM4DC still stand up today – and can be joined by the vigorous debate mentioned above about the benefits, or otherwise, to the Australian mining industry.

The Review Team considers that the activities delivered by IM4DC are prime examples of economic diplomacy in action. IM4DC works in resource-rich countries that are committed to developing their minerals and energy sectors and in deriving strong and sustainable benefits. These countries also host Australian-managed exploration and mining activities and are important destinations for Australian mining equipment, technology and services exports.

The Review Team believes that it is imperative that DFAT, industry representatives and IM4DC commence a dialogue about the benefits to Australia from IM4DC's work. The view from DFAT posts will be important in this dialogue. For example, the Post in Lima, Peru, says:

Governments in Latin America regularly seek Australian expertise, investment, and knowledge of how to build an environmentally sound mining base that allows for benefits to be distributed equitably. Australian aid through IM4DC (and together with projects under the Public Sector Linkages Program and Australia Awards), has supported this interest, and in so doing, raised

Australia's profile in Peru and increased our reputation (in a competitive environment) as a responsible mining nation.

IM4DC has put together a short paper about the Centre's support for the Economic Diplomacy agenda, which the Review Team believes is a valuable addition to the dialogue between government, industry and the IM4DC on economic diplomacy

The other aspect of the Australian Government's agenda that IM4DC touches on is the recognition that the private sector, not aid, is more important to growth and poverty reduction in developing countries. Mining, and other private sector development, dwarfs Official Development Assistance in size and capacity to generate long-term sustainable benefits. For example, in Africa in 2009, natural resource exports were worth \$246 billion – six times greater than the aid to Africa. Working with mining in developing countries gives Australia the opportunity to help countries build up their private sectors and create growth, and ultimately become less reliant on aid.

Effectiveness

IM4DC has been structured around three education and training themes:

1. governance and regulation;
2. community and environmental sustainability; and
3. operational effectiveness.

And six strategic program areas:

1. regional and local economic and social development;
2. sub-national governance of the mining sector;
3. minerals policy, regulation and agreements;
4. community engagement and consultation;
5. health and safety of workforces and resource communities; and
6. environmental management and regulation.

The Mid Term Review has found that IM4DC has worked very effectively within these themes since 2011. Supporting this view is the IM4DC's six monthly report from July–December 2013 (which has the most recent progress information) which shows that IM4DC is exceeding its Key Performance Indicators in the short courses core activity, as well as meeting its objectives in action research, conferences and alumni networks (See Annex 3).

Short Courses

Short course programs for mineral and mining development are a useful and popular means for continuing education and for upgrading qualifications for geologists, mining engineers and other government and mining industry professionals and personnel in country and overseas. Although IM4DC education and training programs are presented in the classroom and in the field, there is also scope for distance e – learning. Australia is recognised as a leading provider of international mining education and training on the professional, vocational and higher education levels.

The UWA's EMI and the UQ's SMI had the capability and capacity record for running appropriate, modern and relevant mining short courses even before the establishment of the IM4DC. Their mining education and training experience was a prime factor in AusAID's decision to establish IM4DC with a UWA / UQ Joint Venture. As a result, in the early days, their existing education, training and research programs fitted in well to meet the needs and demands of the partner countries and were aligned with the priorities of the Australian Government in the key themes of governance and regulation (EMI taking the lead), community and environmental sustainability (SMI experience) and operational effectiveness.

The Mid Term Review feels that IM4DC has created a strong and relevant suite of short course options tailored to the specific needs of participating countries. This can be seen through the various short course options provided by IM4DC:

- > Specific tailor-made and demand driven courses focusing on a defined practical program for a small intimate group from one country and organisation (For example the South Mongolia Hygiene in Mining five-day course held for mine inspectors in Doulanzadgad on site in October 2012).
- > Review courses of a key and timely showcase topic for a large mixed group from several, sometimes disparate, countries and organisations (For example the Mine Management of Large Volume Waste 12-day course held in Brisbane and in the field in July 2012)
- > Flagship courses of approximately 20 days that include a field trip component and that are aligned with the IM4DC’s strategic program areas and have a leadership framework. (For example the Occupational Health and Safety Leadership 20-day course held in Perth and in the field in November 2013.)
- > Master class courses on specific key topics presented before and after the 2013 annual conference (For example the Mineral Economics course held in Perth May 2013.)
- > Workshops (usually one-day duration) organised as a component of an AAPF study tour. (For example the African Gold Mining and Fraud Prevention one-day workshop held in Perth July 2013)

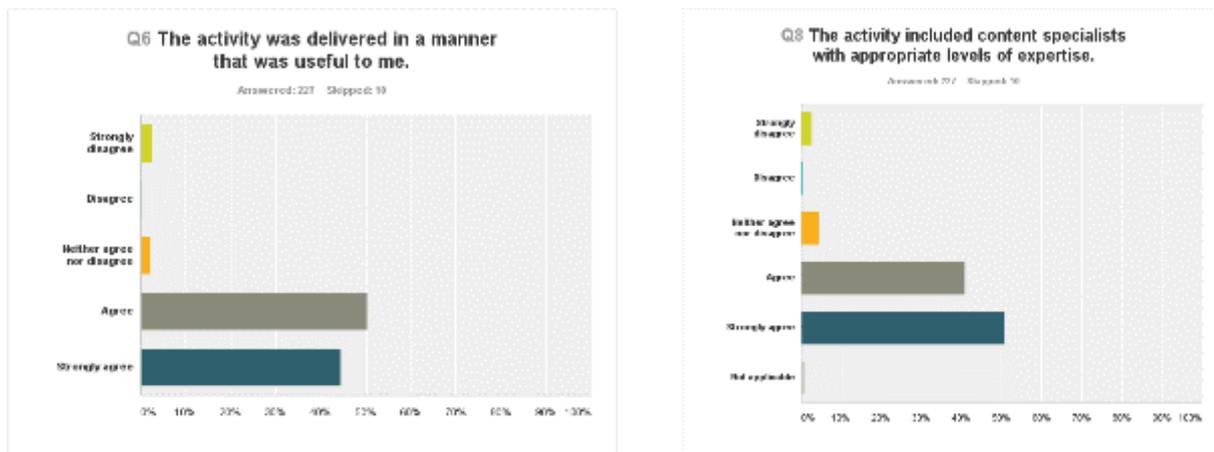
In the 28 months of operation to date, more than 1400 participants from government, NGOs and universities in over 40 resource-rich countries have attended 54 short courses, generating 7300 participant training days. Female participation has been consistent at a creditable 30% of total participants.

The short course education and training programs presented both in Australia and in several countries from 2011–2013 show impressive quality, breadth and numbers of professional and experienced participants. The MTR Team also feel the courses cover all the major themes with an emphasis on Theme 1 – governance and regulation and Theme 2 – community and environmental sustainability.

Course Appraisals: The two courses that were observed by the Review Team were assessed as of high quality and the UWA and UQ staff, and other invited presenters, were observed as leaders in their fields with a good mix of experience. The courses showcased Australia’s mining for development capability, and worked to ensure its relevance to the participants. The participants met were selected on the basis of (amongst other things) their ability to implement useful change in their return to work. The Mid Term Review Team have determined that such intention does exist in the participants met, as expressed through meetings and short interviews with the majority of participants from a range of countries and experience levels across the two Flagship short courses that the Team observed (see Annex 4 for details).

The Review Team’s observations were backed up by the results of the alumni survey which showed that the vast majority of participants rated the course content and delivery very highly, as shown in Figure 2:

Figure 2: Alumni Survey – Content and Delivery



IM4DC Short Courses Critical Evaluation: The coverage of topics and participants in IM4DC activities was the subject of some discussion.

For example, the IM4DC's Grant Agreement gave it a remit to include the oil / gas sector to make it a more complete extractive industry program but the MTR Team found this had not occurred. The Team was advised that AusAID steered the IM4DC away from oil and gas and encouraged a focus on traditional mining industry activities.

The IM4DC's focus is instead on large-scale mining with the artisanal small-scale mining sector now getting some consideration. This recognises the role of artisanal small-scale mining in providing a livelihood for the millions of disadvantaged people in many of the partner countries and is important for building and developing small – medium enterprises. The important issue of indigenous people and mining is also getting deserved attention.

IM4DC short courses are designed mainly for government and academia with some participation from NGOs and civil society. A potential important stakeholder is also the mining unions and groups who have little or no participation in the programs. Industry involvement and engagement is minor and is only present in some course presentations and mine visits. Technical and vocational training for support personnel is lacking if not completely absent.

Action Research Program

Over 30 action research projects have addressed priority issues in mining for development since the IM4DC commenced. The Action Research Program has the objective of commissioning research that provides material to support and complement its wider activities, particularly the education and training program, and which adds to the stock of knowledge in the Mining for Development field. The research has focused on identifying and / or addressing mining for development issues in developing countries, and been aligned with one or more of the Centre's strategic programming areas.

IM4DC Action Research has to date been organised into three elements:

1. An internal scheme where funding is allocated on a competitive basis to proposals submitted by staff from Centres and Schools across the partner universities: UWA and UQ.
2. A top-up funding scheme to enhance and expand the research activity of post-graduate students from developing countries examining mining related issues, which has included students at UQ, UWA, the University of New South Wales (UNSW) and Curtin University (Curtin).
3. Commissioned activities, with funding allocated to address specific issues and needs, including support for AusAID scoping studies and short-term assignments.

Grants of up to \$50,000 for staff projects and \$10,000 for student top-ups are awarded within the competitive funding schemes; occasionally funding over and above these figures may be agreed upon on a discretionary basis. Funds may be used to support researchers' time inputs, research costs and reasonable travel expenses. They may not be used for the purchase of equipment or other capital items.

There is also a top-up funding (\$10,000) scheme for postgraduate students undertaking M4D relevant research at UWA and UQ, as well as UNSW and Curtin universities – for example the postgraduate research program undertaken by Mohamed Abdulla of the UNSW on Environmental Consequences of Blasting in Open Pit Mining in the Sudan. Commissioned research for scoping studies, short course development, workshop reports and case studies is another action research activity – for example, the important research on Evaluation of Impact by Mark Griffin of the UWA.

The high-quality action research program underpins the IM4DC's core education and training themes by providing measurable and objective on-going learning and improvement. The research conducted within this component is a means of identifying needs and gaps in the various short courses / training programs and developing contacts with researchers, institutions and NGOs in partner countries. Most of the action research activities are provided by in-house organisations, as they are on an invited competitive basis with proposals mainly received from UQ and UWA staff. For example the Mining and Regional Development Training research by Paul Huddleston of UWA.

Action research reports demonstrate the quality and breadth of research undertaken by the UWA and the UQ staff and higher degree students.

Mining for Development Conferences

One of the key deliverables of the M4D Initiative is the annual high-level Conference which showcases and communicates good practice examples and case studies from IM4DC and Australia's M4D Initiative, and promotes Australia as a global centre for mining expertise and services to national and international stakeholders.

The first M4D Conference was a one-day Roundtable held on 27 August 2012 in Perth attended by over 120 participants from Africa, Canada and Australia. The Roundtable formulated its commitment to build international relationships, exchange knowledge of leading-practice approaches to mining for development, and review the performance of mining in generating economic benefits, facilitating social progress in developing countries, and identifying the themes and principles required to guide future policy and best practice. This event was aligned with the Africa Down Under Conference from 29–31 August.

The second M4D Conference 'Maximising Benefits for Communities' took place 20–21 May 2013 in Sydney and was attended by almost 600 delegates from 69 African, Asian and Latin American countries. The Conference provided an opportunity to discuss the challenges and opportunities that developing countries face as they commercialise their resources sectors and focused on a range of issues that underpin the realisation of long-term, sustainable benefit arising from mining for communities across the developing world. The partner country delegates also could take advantage of two master class courses offered by IM4DC before and after the Conference.

The 20-21 May 2013 Conference was organised in collaboration with the Extractive Industries Transparency Initiative (EITI) Global Conference. The EITI is the global standard for transparency of revenues from natural resources, and it was a sensible move for the IM4DC to hold its conference just before the EITI conference for mutual benefit and synergy. The unique circumstances of Australia hosting the EITI Conference led AusAID to request an increase in the size of the Conference – from 300 to 600 participants - to allow the attendance of additional participants already in Australia for the EITI Conference. The expansion of the size of the Conference did lead to an increase in costs. While the Grant Agreement allocated a budget of \$256,500 for the 2012-13 Conference, the total cost ended up at \$974,541 with \$660,000 from IM4DC grant funding and the remainder funded directly by AusAID.

The Mid-Term Review has heard both criticism and praise of the IM4DC conference held in May 2013. Criticism has come from some in industry and government particularly about the cost of the event, in particular the Conference dinner which some attendees felt was extravagant for an activity funded by the Australian aid program. These criticisms received some coverage in the Australian media. Many participants appreciated the benefits they gained from the conference, particularly the opportunity to learn from experts and to network with people working in the field across the world. The Review notes that the Conference planned for the second half of 2014 will not proceed as originally planned, and the Review Team is of the view that any future conferences should be smaller and more frugal.

Fellowship Program

The MTR Team concluded that the Fellowship Program has been underutilised. There has been only one Distinguished Fellow (Dr Wane Ousmane, Head Department of Geology University of Science, Technical and Technology, Bamako, Mali) and 14 Development Fellows since the Fellowship program commenced in 2011–2012.

In 2013 IM4DC hosted a group of six government officials from the Ministry of Mines, Afghanistan for 12 weeks, which also afforded them the opportunity to attend the M4D and EITI Conferences.

Four senior mine inspectors from the Mines Inspectorate Division of Minerals Commission in Ghana in 2013 in two lots undertook six-week programs which involved workshops and placements with State Government Mines Departments and training institutions, site visits and workshops at Universities.

IM4DC worked with the AAPF to implement a program for two regional planners from Mozambique government agencies which involved placing them in the Central Highland Regional Council in Emerald, Queensland in collaboration with the SMI, Centre for Social Responsibility in Mining.

While the concept of the Fellowships is good, the delivery has been less than anticipated. One simple explanation for this is that IM4DC has been more focused on other components and has given less attention to the Fellowships.

However IM4DC has recently adjusted its guidelines to provide more flexibility for appointments, so the Fellowship Program is expected to improve with those changes.

Publications

IM4DC has produced a series of guides to Australian best practice in mining with additional publications planned for 2014. The topics have been relevant and topical:

- > Mineral royalties and other mining – specific taxes / Governance and Regulation;
- > Social impact assessment of resource projects / Community and Environmental Sustainability;
- > The management of occupational health and safety in the Australian mining industry / Environmental and Social Impact; and
- > How to Improve Mining Tax Administration and Collection Frameworks / Governance and Regulation with the World Bank.

Feedback received indicates that the publications have been used and appreciated, especially by developing country participants and institutions.

Government Advisory Service

This has been an underutilised component of the IM4DC's work to date. The work undertaken by IM4DC has generated a great deal of valuable information that has the potential to inform policy development in Australia and overseas, but it has been underutilised. The advice to Governments component of IM4DC was intended to be a vehicle for rapid delivery of advice to Australian and priority partner countries' governments on policy, legislation, systems and technical matters. Only 10 days of advice, in total, has been requested since the beginning of IM4DC – once for DFAT and the once for the Government of Kenya. IM4DC has developed a reputation in key quarters in other countries and IM4DC's Director, and other staff, are regularly invited to speak and provide advice around the world in the future it would be best if DFAT and IM4DC can agree on an avenue for IM4DC work to be regularly taken into account in Australian Government policy discussions given IM4DC's research program and its opportunities to engage internationally with key people and important policy debates. It is recognised by IM4DC that coordination with DFAT posts is essential for on-going feedback from in-country activities.

Alumni

Alumni network building is considered to be one of the highest and most important priorities for IM4DC. For example, IM4DC hosted an alumni forum following the May 2013 M4D conference where a roundtable discussion was held on new approaches, challenges and opportunities for the alumni present. The participants had the opportunity to identify gaps, priorities and demands and this event summary was published.

IM4DC's alumni program assists participants to implement their learning and to develop a community of practice where they assist each other. IM4DC has established an alumni database (about 1,000 alumni) that provides them with updates and it has also been used by IM4DC to identify and select course participants. The IM4DC's online alumni portal – M4D link – is now in full operation and on-going networking and return to work reports as well as forums and discussions are being processed on line that will be an important IM4DC contribution to strengthening M4D alumni experts in partner countries.

A new element in the Alumni program is the allocation of funds to support alumni participation in workshops and seminars with the intention of supporting alumni in their return to work.

Institutional Linkages

IM4DC is facilitating collaborative linkages between Australian universities and institutions in priority partner countries in order to strengthen their capacity to play a key role in M4D with a focus on co-delivery of courses and enhancing research. IM4DC has established partnerships with like-institutions notably with the AMDC and the Training Agency of the Indonesian Ministry of Energy and Mineral Resources.

The MTR Review Team has found that there is effective and on-going IM4DC interaction with partner government institutions especially during short courses, meetings, workshops and in–Australia and in-country activities. The ‘Regional Development in Mining’ short courses are a good example of IM4DC interaction with partner government institutions. The course was first run in Australia at the UWA in March 2013 and a partner, the Ghana Institute of Management and Public Administration (GIMPA), was chosen to run the course in Ghana in August 2013 with the intention that GIMPA conduct the courses in the future. The follow up course at UWA was observed in February 2014.

Mongolia DFAT expressed appreciation for IM4DC’s role in supporting a key institution:

‘IM4DC has good relationships with agencies in Mongolia enabling IM4DC to target training that meets human resource capacity development needs. For example, IM4DC consulted the Generalised Agency for Specialised Inspection (GASI) to ensure its courses responded to GASI’s needs and priorities in human resource management. Further, GASI uses the IM4DC’s post training evaluation report to inform planning for their human resource training activities in the year ahead.’

The DFAT post in Pretoria sees the potential for IM4DC to play a stronger role in supporting institutions in Africa:

The capacity of African training and research institutions is a major gap and one where we felt IM4DC was well placed to add value given it comprises two of Australia’s leading training and research institutions in this field. Post has worked with IM4DC to establish relationships with key mining-related training and research institutions in Africa: the African Minerals Development Centre, the University of Zambia and Copperbelt University; the University of Ghana and Ghanaian Minerals Commission; Eduardo Mondlane University in Mozambique. These relationships are developing well but need to be sustained in order to have lasting impact. There is also a need to diversify Africa-Australia university-to-university links, to draw on the expertise of other Australian universities beyond University of Western Australia and University of Queensland. A role for IM4DC in brokering these links was part of IM4DC’s original mandate but has not eventuated to any large degree in Africa.’

Consultations with two key international entities provided some very useful feedback on the IM4DC.

The Africa Minerals Development Centre (AMDC), based in Addis Ababa, is very enthusiastic about the potential mutual benefits that will come about from the Memorandum of Understanding currently being developed with the IM4DC. The AMDC is very positive about the training the two institutions have done together so far, and looks forward to collaborating more in the future, especially in training and action research. The AMDC sees value in the IM4DC, as a Centre based in a developed country, adding value through offering different and complementary skills and resources.

The London-based International Council on Mining and Metals (ICMM) brings a very useful perspective as a global entity funded by the private sector. The ICMM sees a great need for knowledge sharing with developing countries with mining industries and very few entities meeting this need. In the view of the ICMM, the IM4DC is helping meet this need and providing leadership globally because of both its clarity of thinking and track record of doing good things. The ICMM is conscious that it takes time to build the relationships across cultures and expressed confidence that the momentum built so far by the IM4DC will grow in the future.

Efficiency and value for money

In focusing on the very important issue of value-for-money, the Review has been guided by the 8 draft Value for Money principles that have been developed by DFAT. While the Team is conscious that these are not yet finalised, they provide a very helpful framework for assessing Value for Money.

The 8 Principles constitute an expansion of the four principles of Economy, Efficiency, Effectiveness and Ethics, as shown below:

Figure 3: Value for Money Principles

Economy	Efficiency	Effectiveness	Ethics
1. Cost consciousness	3. Evidence based decision making	5. Performance and Risk Management	8. Accountability and transparency
2. Encouraging competition	4. Proportionality	6. Results Focus	
		7. Experimentation and innovation	

A discussion of the IM4DC against these 8 Principles follows. Some of this discussion below draws on and repeats information covered in other sections, but this is considered worth doing in order to collate in one section all the essential information to assess value for money.

Principle 1: Cost Consciousness

The IM4DC demonstrates through its budgeting and decision-making systems that it takes cost consciousness seriously. This was evident at the Centre's beginning when UWA and UQ presented costs in their Activity Proposal – before the signing of the Grant Agreement AusAID undertook benchmarking of costs against similar activities which showed that IM4DC's costs were reasonable for the type of activities being planned. Evidence shows that the IM4DC has kept its average costs per course participant lower than the approved estimates in the Grant Agreement. For example, the Grant Agreement estimated average costs per participant week in 2012-13 of \$6,576, and \$6,013 in 2013-14 – the actual costs per participant week have come in lower at \$4,665 in 2012-13 and \$4,708 in 2013-14 so far. Comparisons with other Australian Government-funded short courses show that IM4DC's costs are significantly lower than the average of a sample of courses involving participants from a range of countries in Africa, the Middle East and Asia. Separate from the Australian Government, the Review also considered a comparison with courses in Australia privately funded by Tata Steel, India – for example, a Tata Steel course in Australia in 2011-12, involving visits to Queensland and Western Australia, cost \$4,458 per participant week, a similar cost to the average cost of IM4DC courses

At the activity level, there are good examples of IM4DC creating efficiencies by working closely with other programs. For example, IM4DC and the AAPF have worked together in delivering a number of training activities jointly. The IM4DC has offered some courses in-country, a cheaper alternative to in-Australia courses – although the Review Team acknowledges that in this case cheaper does not always mean better value for money as in-Australia courses provide excellent opportunities for participants to learn about the Australian mining industry and governance arrangements, and to build people-to-people links with Australians.

Another area where cost consciousness was an issue was in relation to the 2013 Annual Conference. As discussed in this report, the Conference was the subject of some criticism for what was considered to be an overly expensive event – and as also discussed some of the reasons for this high cost resulted from the sensible decision by AusAID to expand the size of the Conference by including additional participants in Australia for the Extractives Industry Transparency Initiative (EITI) conference. Given this background, the flexibility shown by IM4DC when suggested by DFAT that the 2014 Conference not proceed was a sensible

and flexible response that, among other things, indicates an understanding of the importance of cost consciousness.

Principle 2: Encouraging Competition

This is the value for money principle requiring most attention from the IM4DC, and DFAT, over the next 14 months.

As there was not a competitive tender to select the Contractor for IM4DC, there have been questions asked about the value for money impact of not having contestability at the overall level of the activity. The approach of sole sourcing is an entirely legitimate approach within the Commonwealth Procurement Guidelines, and UWA and UQ responded to an approach by the Australian Government in good faith and proposed approaches, activities and costings for operating the IM4DC as they were requested. There were good substantive reasons for doing this, relating to the experience and expertise of the two universities and the compressed timeframe, but nevertheless it is impossible to say what would have happened had there been a competitive tender. While this issue cannot be revisited for the current Grant Agreement, it is certainly an issue that should be addressed for any future initiative in this area.

However, when it comes to the question of providing avenues for other Australian universities and research institutions to contribute expertise, the Review Team is concerned about lost opportunities for value for money. The vast majority of expertise sourced by IM4DC has come from within UWA and UQ, as shown in Figure 4 below for an example year (2013–2014). To some extent, this was to be expected as UWA and UQ were chosen because of their strong reputations for expertise, but the Review Team is of the view that strong expertise exists across many institutions and could be more broadly sourced. The Review Team accepts that opening up research to other universities should not be the focus, given it would distract from the core business of linking action research to courses and would generate significant transaction costs in terms of managing diverse small proposals. However, the Review recommends a greater culture of contestability in the identification and selection of academic experts to be used in delivery of short courses.

Figure 4: Delivery costs through universities, 2013-14

Delivery costs paid to universities, 2013-14				
	UQ	UWA	OTHER UNIVERSITY	Total Delivery Costs
Australian Course	\$628,795.00	\$460,887.00	\$0.00	\$1,089,682.00
Offshore Course	\$459,863.00	\$629,691.00	\$17,698.00	\$1,107,252.00
Development Fellowship	\$78,500.00	\$78,500.00	\$0.00	\$157,000.00
Distinguished Fellowship	\$38,895.00	\$91,767.00	\$0.00	\$130,662.00
Publications and Guides	\$12,450.00	\$0.00	\$0.00	\$12,450.00
Advice to Government	\$28,000.00	\$28,000.00	\$14,000.00	\$70,000.00
Action Research	\$882,498.00	\$585,731.00	\$438,000.00	\$1,906,229.00
Total Delivery Costs	\$2,129,001.00	\$1,874,576.00	\$469,698.00	\$4,473,275.00

Principle 3: Evidence Based Decision Making

The IM4DC demonstrates a sound approach to evidence-based decision making. The IM4DC's strong Monitoring and Evaluation approach and culture of learning provide a framework for logical and rigorous decision-making on the Centre's programming. Engagement with DFAT programs and posts in the development of the annual work plan has improved and interviews with DFAT staff showed considerable satisfaction with the IM4DC's coordination, albeit with some room for improvement identified by a small number of posts. One area where evidence-based decision-making could be improved is in relation to engagement with the Australian mining industry. The Review makes a recommendation about the need for closer engagement with industry and is of the view that this will inevitably enhance the Centre's evidence-based decision making.

Principle 4: Proportionality

The IM4DC is a relatively small organisation delivering a series of relatively discrete activities. While this Review recommends a more rigorous system for selecting experts and presenters, this is consistent with the principle of proportionality given the significant funds allocated to the provision of training. In another area, that of logistical support for visiting training courses and study tours, the IM4DC demonstrates a sensible and proportional approach. For example, in Queensland, the IM4DC has an arrangement with UniQuest to provide logistical support on an as-needed basis. This support is ad hoc and often relatively small, and the funds allocated to this task are relatively small. The arrangement with UniQuest frees up IM4DC from having to undertake time-consuming processes to select logistics providers for each course. UniQuest's own flexibility to deliver what is needed, whether with a long lead-time or short notice, is a great asset to the Centre.

Principle 5: Performance and Risk Management

As outlined in the section on Monitoring and Evaluation, the IM4DC has a rigorous approach to tracking and measuring performance. While this was lacking at the commencement of the Centre, the IM4DC is to be commended for developing a logical Monitoring and Evaluation Framework which it uses to guide its annual work plan. The IM4DC has a Risk Management Plan as part of its Operations Manual and manages risk at the activity level in a very serious manner, in particular through its administration of training and other activities involving multiple participants travelling away from home. At a financial level, the annual financial audits of the IM4DC have indicated sound financial management by the Centre.

Principle 6: Results Focus

As discussed under the "Impact and Sustainability" section, the IM4DC has an ambitious agenda to achieve results, but needs to be realistic given the short timeframe the Centre has been operating and the even shorter time period for most activities. A very positive element of the IM4DC's approach to training is the focus on changes that participants can make on their return – feedback from the alumni questionnaire highlighted good examples of participants making modest but significant steps towards reform as a result of the enhanced knowledge, confidence and contacts generated by the training course.

Principle 7: Experimentation and Innovation

At one level the whole of the IM4DC activity was an example of experimentation and innovation. Mining for development was not an area that the Australian aid program had a great deal of experience, and there were no examples of similar centres operating in other countries that the Australian Government could follow. The decision to sole source two well-credentialed universities was a way of getting the initiative up and running quickly and ensuring that it has 2 ½ years of experience already. During its operation, the Centre has utilised both tried and tested approaches, drawing on UWA and UQ's extensive experience – but also experimenting with new and innovative approaches. For example, the interactive, web-based alumni system, M4DLink has over 2,000 alumni (including over 1,000 from IM4DC activities and the remainder from Awards and AAPF) able to be contacted by the Centre and able to communicate with each other – one reason it has reached this point is that the system is a result of innovative cooperation between the IM4DC, the Australia Africa Partnerships Facility (AAPF) – who led the way initially to get the alumni database established – and the Australia Awards for Africa (AAA).

Principle 8: Accountability and Transparency

The IM4DC is highly transparent in its operations and its administration. The Board operates to high standards of corporate governance, as should always be the case when managing taxpayer funds. The Centre publishes annual reports and other reports, is audited at the appropriate times and has proactively sought independent evaluation from a non-related entity with UWA. An external audit of IM4DC financial reporting covering the period from October 2011 to December 2013 found that in the auditors' opinion the report presents IM4DC income and expenditure fairly in all material respects.

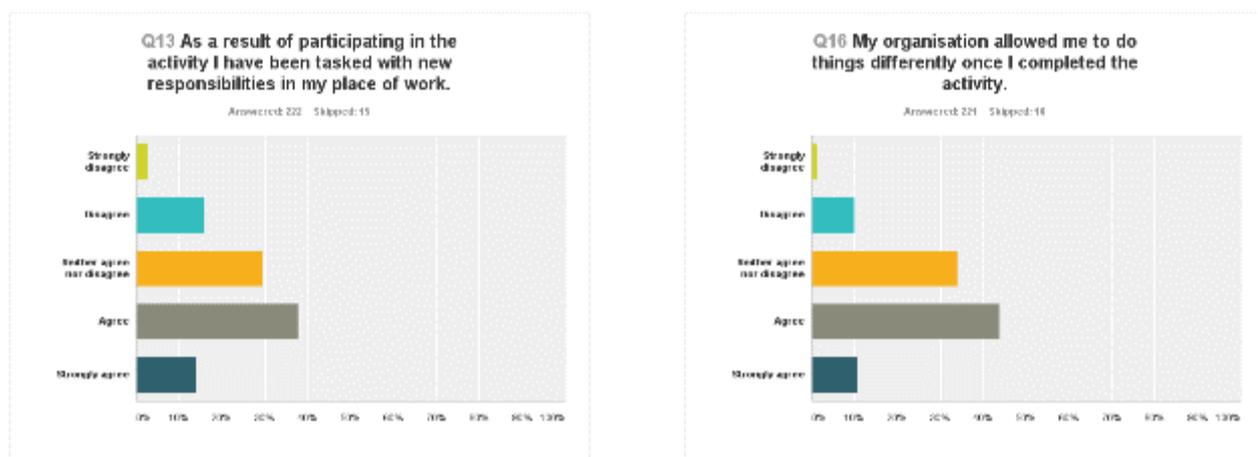
Overall assessment of value for money

Overall, the Review assesses the IM4DC as representing value for money against the 8 principles above. The most urgent issue for the IM4DC to address is that of competition. As recommended in this Review, the introduction of some steps to demonstrate that the selection of academic experts and presenters is based on a rigorous assessment of the requirements and the skills, including of experts in other universities, would be a very positive step to give confidence of value for money at that level. The broader issue of the absence of a competitive tender for the initial selection of the provider is one for DFAT's consideration in the event of a decision to continue with a mining/extractives centre in the future.

Impact and Sustainability

IM4DC has only been running since 2011 and in this relatively short time frame it is difficult to assess and measure impact in partner countries. Preliminary evidence to date suggests that participants in IM4DC education, training and research programs benefit both in terms of enhanced skills and increased opportunities to contribute to their country's development on their return to work. The Alumni Survey shows positive results for many participants on their return to their workplace.

Figure 5: Alumni Survey – Return to Work



Senior government officials in participating countries back up this experience of participants. For example, a senior Mongolian official reported that staff skills and competence had significantly improved as a direct result of IM4DC's training. It is hoped that these short-term positive indications will lead to long-term benefits of a well-managed mining sector, but it will be a number of years before this kind of impact can be measured.

Sustainability is also difficult to assess at this stage. Improved partner country skills as a result of IM4DC education, training and research programs should increase the likelihood of a well – managed mining sector with the potential for long-term benefits for communities. IM4DC short course return to work plans and the establishment of the M4D link will provide an important means to facilitate and continue on-going and shared learning and support to sustain impacts. The recent establishment of the AMDC will also sustain impact after the time that Australia's contribution to this M4D sector will diminish or cease. The strong and lasting partner countries institutional links that have been developed, especially in the case of the AMDC–IM4DC planned program collaboration in mining education, training and research for Africa will bode well for future sustainability.

Analysis and Learning

IM4DC has a strong culture of learning and looking to improve. It uses a number of tools to obtain formal feedback on activities. Examples of such tools used on all IM4DC short courses, fellowship and training activities are: in-course group discussions, networking, presentations, post-course participant surveys / appraisals and action research. Feedback through these tools is used to inform course and activity development. Continuous improvement in IM4DC activities is reviewed by the UQ- and UWA-based

presenters and organisers during and after each course; and reflection workshops are held to share experiences. The participants are also encouraged to assess the courses and provide ideas and comments. Continuous learning is afforded on line through the M4D link, which keeps alumni, presenters and other IM4DC parties informed on return to work progress, challenges and forum networking.

Geographic Information System (GIS) data and publications such as guide books, and tool kits developed for IM4DC training and research projects in Australia and in-country can be put to good use for a positive tangible impact. For example the Centre for Exploration Targeting has initiated important GIS data management in IM4DC capacity building courses with a range of stakeholders in West Africa in July 2012 and more recently at the Zambian School of Mines that included field geophysics and geochemistry techniques that has direct intended changes in the modern application of mineral exploration in these partner countries.

Formal feedback processes for all IM4DC short courses, training and fellowship activities include assessments by way of in course group discussions, networking and presentations and after the course participant surveys and presenters appraisals for activity development. Continuous learning is afforded on line through the M4D link, which keeps alumni, presenters and other IM4DC parties informed on return to work progress, challenges and forum networking. Continuous improvements in IM4DC activities are reviewed by the UQ and UWA based presenters and organisers during and after each course and in the reflection workshops that bring them together to share experiences. The participants are also encouraged to assess the courses and provide ideas and comments for improvement in the question forms distributed after activity completion.

Monitoring and Evaluation

IM4DC has a comprehensive Monitoring and Evaluation (M&E) Framework covering the period 2013–2015. It sets out a clear purpose for IM4DC M&E:

- > Provide **performance information** (both qualitative and quantitative) that helps IM4DC **make decisions** about its activities and strategic directions.
- > **Be accountable to stakeholders** particularly DFAT, supporting universities and the broader Australian community (i.e. taxpayers).
- > **To learn from what is or isn't working and understand why.** This includes reflecting on IM4DC work so that IM4DC is continually improving including looking for alternative ways of doing things.
- > **Help identify inefficiencies in activities.** This will ensure we continually look to make our systems work better so that we can reduce resources in particular areas of our work.
- > **To be transparent with partners and others** doing similar work so that there is sharing of information and lessons learnt and minimisation of duplication.

The primary audiences for the M&E framework are the most immediate stakeholders who require M&E information to make decisions and those who will use M&E information to inform the work that they do – IM4DC staff, UWA and UQ, DFAT (Mining team and country programs), and the IM4DC Board.

The Review Team's assessment of the Monitoring and Evaluation Framework is that it is conceptually sound and it serves a very useful practical purpose:

- > The Framework outlines a very good program logic for IM4DC and its work. Activities are linked to intermediate outcomes, which are then linked to higher-level program outcomes and ultimately to the broader goals of the Centre in a clear and sequenced way;
- > In practical terms, IM4DC produces regular performance reporting from the individual activity / course to six monthly aggregations of monitoring.

These Monitoring and Evaluation processes are strongly supported by IM4DC's competent and experienced staff working on Monitoring and Evaluation.

IM4DC has also demonstrated a positive willingness to open itself up to internal independent scrutiny. Recently, the Accelerated Learning Laboratory at UWA (ALL@UWA) was engaged for a project to assist IM4DC to understand how its educational and developmental programs have contributed to the improvement of the practices, policies and cultures of targeted developing nations. This involved a diverse sample of 25 alumni being interviewed using key questions from the Monitoring and Evaluation Framework. The ALL@WA summarised its findings as follows:

‘Overall, the interviews suggest that IM4DC programs have enabled the alumni to apply the learning into practice and to bring about changes to their work and organisations. Our analysis suggests that participants have developed their leadership capability, initiated innovative activities and changes, strengthened their networks, and can potentially contribute to the improvement of social, economic, environmental status of their home countries. We nevertheless make recommendations for further enhancing the impact, such as: involve key personnel and decision makers in IM4DC training; provide focused, systemic training to develop participants’ change management skill; follow up with alumni to support their change initiatives; create platforms to share innovative and effective practices among alumni, among others. These initiatives would collectively facilitate the achievement of transformational changes in the targeted countries over time.’

One suggested improvement in relation to Monitoring and Evaluation from one of the DFAT posts is for more immediate reporting of activity outputs. At present the only formal reporting arrives several months after the event via the global Six Monthly Report by which time the opportunity for immediate learning has been lost.

Gender Equality

The Grant Agreement included the following expectations for the IM4DC in relation to gender:

“7. Gender Equality

Gender equality refers to the extent to which the program advances gender equality and promotes the role of women.

The IM4DC will make all endeavours to optimise female participation in its programs in order to contribute to the gender equality target of MDG3. It will also ensure that gender equality is addressed in the delivery of programs by seeking optimal female participation in course delivery, leading practice literature, research projects and other contributions. The IM4DC will monitor the ratio of females to males in its alumni, including the portion of females rising to key positions of influence in government, industry and academia in developing nations.

The IM4DC will also promote corporate and government policies of gender quotas in key decision-making bodies.”

The Team’s first observation is that the Grant Agreement’s guidance to the IM4DC around gender was fairly broad and general. The focus was primarily on participation of women in the ranks of participants, course presenters and in positions of influence in developing countries. The Grant Agreement was not specific in pushing the IM4DC to address broader issues of gender equality in the mining and extractives sector. Given that mining is a male dominated industry, especially in developing countries, the Grant Agreement missed the opportunity to push the IM4DC to look at issues relating to the impact of mining on women and men, including: opportunities for women to participate and have their voices heard in communities affected by mining; issues of violence against women in mining communities; and the differences between women and men in terms of the overall impact of IM4DC activities.

The Review team assesses that the IM4DC has taken some steps towards the objectives set out in the Grant Agreement. The Monitoring and Evaluation Framework requires the keeping of statistics on the participation of women and men in IM4DC activities, but does not go any further to look at broader gender impacts. The Team observed that IM4DC has taken an active approach to targeting women as participants, not just to make up the numbers but to encourage and inspire women in the mining industry. With over 30% of activity participants being female, the Centre’s efforts have ensured that women have been represented at a higher level than their overall representation in the mining industry workforce.

However, the Review Team considers that much more could be done to address gender in the remaining 14 months of the IM4DC's Grant Agreement. The onus is on DFAT in the first place to give the IM4DC more substantive expectations on how gender needs to be addressed. Following this, the IM4DC should update its Monitoring and Evaluation Framework to reflect more serious attention to gender. Given that the Minister for Foreign Affairs has clearly underscored women's economic empowerment and women's leadership as central tenets of the Australian Government's aid program, the approach to gender should be updated by DFAT and the IM4DC as a matter of priority.

Within this generally limited approach to gender, there are some pockets of very targeted attention to gender issues, in some cases beyond the scope of the Grant Agreement.

One example is the IM4DC supporting the *Australia Africa Partnership Facility's* Mining and Gender Study Tour in 2013. A group of 35 African women examined issues around recruitment, retention and leadership of women in the sector, and ways to promote the equitable distribution of the costs and benefits of mining.

Another example is an Action Research Project *Mapping Gender Based Violence and mining infrastructure in Mongolian mining communities, a comparative analysis* being supported by the IM4DC. The purpose of this research is to improve understanding of gender-based violence experienced in mining communities, by examining whether the proximity of mine camp locations (and other associated infrastructure) to population centres, affects the degree of gender-based violence experienced in the community. Due to the high populations of men, excess spending money and associated alcoholism, gender-based violence in the form of: sex-trafficking, prostitution, domestic violence and sexual abuse are linked to the arrival of mining in developing world communities. This research, which is ongoing, is conducting a comparative analysis of two mine-affected communities in the South Gobi of Mongolia.

Conclusions

Given the extremely short timeframe to establish IM4DC in 2011, those involved deserve credit for making it happen. The very rapid AusAID agreement process for the establishment of an academic-focused institution could arguably only have been progressed by universities with existing academic and institutional mining education, training and research capabilities. However if IM4DC had gone out to tender it would have opened the possibility of multiple bidders, with the potential for efficiency and effectiveness gains that a competitive process brings. In fact the opportunity of using more external organisations and individual experts is always there for IM4DC at the activity level – they have done this on numerous activities, but there is potential for more of this engagement. IM4DC would have also been strengthened if AusAID had allowed for more industry involvement and engagement.

Overall, this Review assesses that the IM4DC is highly relevant to the Government's Economic Diplomacy Agenda and has provided value for money, with the potential for greater value for money with the introduction of more competition and contestability,

As the flagship of the M4D Initiative, it has delivered quality support to developing countries, especially through the education and training short courses. The breadth, depth and quality of the courses, the professional expertise of the UWA and UQ course organisers, the presenters and the enthusiastic feedback from the course trainees have all been assessed positively.

The action research record is also of high quality and the competitive staff calls for proposals covered the program themes with emphasis on governance and regulation and community and social responsibility with priority country focus.

The linkages program and the institutional capacity building partnerships that have been developed especially in Africa, Mongolia and Indonesia have been highly effective and mutually beneficial. The establishment of the AMDC is a case in point where IM4DC has plans for developing collaborative activities including the participation of AMDC staff in IM4DC programs.

The monitoring and evaluation of alumni education and training inputs have been strong in terms of the short course performances, reflection workshops and the participant's unanimous positive course and activity

appraisals. The alumni outcomes and impact on the ground are more difficult to assess as the IM4DC program has only been in operation for just over two years. All the indications from IM4DC's website, newsletters, and records, various informal alumni follow ups, the alumni forum held in May 2013, the recent IM4DC *Evaluation of Impact* report, the M4D on line link and the MTR on line survey, show a very positive result in regard to implementing return to work changes, influencing policy and networking.

IM4DC's publication record is adequate, but both the fellowship programs and advice to governments have been underutilised and hardly ever requested. These services must be developed and promoted better by IM4DC if they are to be maintained in the future.

Overall, the Review assesses IM4DC positively and believes the Centre should be able to complete its plans currently being developed up to June 2015.

Recommendations

While the Review should not provide recommendations beyond the end of the Grant Agreement, it has been asked to recommend relevant changes up until June 2015. Given there are only 14 months remaining, it would be inappropriate to make a large number of recommendations. Therefore the Review Team has made the following six priority recommendations:

1. The IM4DC should be able to continue to deliver its planned activities over the remainder of the Grant Agreement, due to finish in June 2015, and continue the momentum it has built in the first 2½ years.
2. In addition to supporting the Australian Government's development agenda of economic growth and poverty reduction, the IM4DC's priorities should also be increasingly targeted to support the Australian Government's new economic diplomacy agenda, in close dialogue with DFAT and industry. The Review notes that IM4DC is already doing some positive work in this regard.
3. The Australian mining industry and other stakeholders should be brought into the planning and delivery of activities much more closely.
4. A greater degree of competition should be introduced to selection of expertise for IM4DC activities. Full tendering for each expert is not suggested, but IM4DC should be able to demonstrate the value for money of those chosen (from UWA, UQ or elsewhere) were superior to other options available.
5. The geographic priority to Africa and Latin America should remain even if the bilateral / regional programs to these regions are reduced in size. An Australian mining niche in these two places would not only continue the good assistance already in place, but would be of considerable benefit in terms of Australia's national interest.
6. DFAT and the IM4DC should agree on a more rigorous set of expectations in relation to gender and mining, and that this should be reflected in an updated Monitoring and Evaluation Framework. This should take account of the Australian Government's priority placed on women's economic empowerment and women's leadership as central tenets of the Australian Government's aid program.

ANNEX 1: TERMS
OF REFERENCE
FOR THE MID
TERM REVIEW



Annex 1: Terms of Reference for the Mid Term Review

The Department of Foreign Affairs (DFAT) has contracted Cardno Emerging Markets to provide the Services detailed below.

Objectives

The Mid Term Review of the International Mining for Development Centre will assess performance of IM4DC since its inception in October 2011, including in the context of the overall M4D initiative, and recommend any changes required for the remaining period of the IM4DC grant agreement until June 2015.

Background

Australia's *Mining for Development (M4D) Initiative* supports developing countries to manage their extractive industries to promote economic growth, trade and poverty reduction. The IM4DC, a partnership between UWA and UQ, is part of the M4D Initiative. DFAT is the sole funder of the IM4DC, through a grant agreement for \$31 million over four years to June 2015 signed between DFAT (then AusAID) and UWA. IM4DC is building human resource capacity in partner countries in mining-related government agencies and civil society organisations.

Inputs

The review will be conducted by a team of two experts in the evaluation of international development programs, with Mr Michael Pilbrow as team leader and Dr Mike Katz as team member, for up to 90 days between December 2013 and April 2014.

Scope

The Review Team must:

- > Meet DFAT and IM4DC to discuss key issues and clarify expectations of the review and confirm issues to be considered, stakeholders to be interviewed, due dates, departmental support and logistics issues.
- > Read and review project documents provided by DFAT and IM4DC including the grant agreement, periodic reports, annual plans, M&E framework, activity assessment reports, and DFAT country / regional M4D design and scoping documents and country / regional strategies related to the work of IM4DC.
- > Prepare an Evaluation Plan / Methodology for the conduct of the review, including a consultation list and itinerary for DFAT approval. The review methodology must synthesise high-level questions that enable the review to fully address all specified services.
- > Interview stakeholders as agreed with DFAT to gather information about IM4DC performance and future options, through travel to Canberra, Perth, Brisbane, Melbourne and Pretoria, and through communication with partner countries (e.g. Mozambique, Zambia, Ghana, Liberia, Indonesia, Mongolia, Peru, Myanmar) and donor partners.
- > Discuss initial findings and recommendations with DFAT and with IM4DC prior to production of required outputs.

The review consultations and reports must address the following questions:

- > What is the quality of IM4DC courses? To what extent are they demand-driven, relevant, designed and delivered by a sufficiently broad pool of suitable experts that have recognised standing within their profession / field of expertise, current in content, responsive to stakeholder comment, well targeted, value for money, gender balanced, and well resourced, planned, managed, delivered and documented? Are the courses sensitive to the absorptive capacity of target agencies / organisations?
- > What is the quality and effectiveness of institutional capacity-building partnerships? Are they targeted to priority needs? Are they building capacity for institutions to deliver without ongoing support?

- > What is the quality of IM4DC research and advice? Does it draw from an adequate pool of experts? Does it influence policy? Is it well managed?
- > How well is IM4DC building an alumni network of mining for development experts in partner countries? Is information from alumni adequately captured for continuous improvement of IM4DC activities? What are views of Australia Awards office and country programs more advanced in alumni work? What opportunities exist for synergy and improved coordination regarding alumni?
- > Does the annual planning process adequately identify priority needs and capacity of IM4DC to deliver agreed activities?
- > How effectively does IM4DC engage with and align its activities with DFAT country / regional programs and in-country M4D programs? To what extent are IM4DC and DFAT country / regional program activities harmonised?
- > **Relevance:** Is the IM4DC the most appropriate way, in the context of the overall M4D Initiative, to meet the mining for development objectives of the Australian aid program and development partners?
- > **Effectiveness:** Is the IM4DC meeting its stated objectives and managing risk according to guidance provided by DFAT? Was the scope as defined in the grant agreement appropriate for managing performance and issues around accountability and representation?
- > **Efficiency:** Are the resources allocated by DFAT and partner governments appropriate to the objectives and context, and achieving the intended outputs in a timely way with value for money?
- > **Impact:** What positive and / or negative changes to practices in partner countries (directly or indirectly, intended or unintended) has the IM4DC produced? Is the course material targeted appropriately to the context, including through transferrable technologies, frameworks and systems?
- > **Sustainability:** What measures have been put in place to sustain impact after Australia's contribution is provided?
- > **Monitoring and evaluation:** Is an appropriate system providing sufficient information and being used to assess progress towards meeting objectives?
- > **Interactions:** How do synergies and disconnects with other programs affect implementation? How effectively does IM4DC interact with Posts, delivery mechanisms (AAPF, Australia Awards, Australian Development Research Awards Scheme), DFAT Thematic networks and partner government institutions? Is IM4DC providing avenues for other Australian universities and research institutions to contribute niche expertise to bolster the quality and reach of IM4DC's work?
- > **Analysis and learning:** How does the IM4DC apply sound technical analysis and continuous learning? Are IM4DC systems appropriate and fit for purpose in producing continuous improvements in IM4DC's activities
- > **Gender equality:** Does the IM4DC incorporate appropriate and effective strategies to advance gender equality and promote women and girls' empowerment?
- > **Benchmarking:** Could things be done differently? Do other examples of donor collaboration with research institutions have lessons for the university-led model?

REPORTING REQUIREMENTS

#	Description of Report	Format	Due Date
(a)	Evaluation Plan / Methodology: a four-page Evaluation Plan that will inform discussions with DFAT on the process of the review;	Electronic submission	28 January 2014
(b)	Aide Memoire: a four-page summary of findings and recommendations	Electronic submission	15 March 2014
(c)	Draft Report: up to 30 pages in length, for DFAT and external	Electronic submission	30 March 2014

#	Description of Report	Format	Due Date
	stakeholder consideration, documenting stakeholder views on priorities and lessons for future directions for the IM4DC and for this type of program more broadly, detailing findings from consultations against tasks specified in these services, and recommending any changes required for the remaining period of the grant agreement		
(d)	Oral Presentation to DFAT Peer Review Meeting by both consultants	Verbal Presentation / PowerPoint document submission	15 April 2014
(e)	Final Review Report addressing DFAT comments on the draft report	Electronic submission	30 April 2014

ANNEX 2: PEOPLE
CONSULTED



Annex 2: People Consulted

The Review Team spoke with the following people over the course of the Review. Face-to-face consultations were held in Perth, Brisbane, Canberra, Sydney and Pretoria. The team attended the Cardno Resources and International Development Conference in Melbourne in February 2014, and took the opportunity to consult key people in attendance*. Interviews outside Australia, with the exception of those in Pretoria, were undertaken by teleconference. In addition, numerous written comments were received as part of the Review, in particular bringing on board views from DFAT posts, and their contacts, in Latin America, Asia and Africa.

Name	Affiliation
Anthony Hodge	President, International Council on Mining and Metals (ICMM)
Wilfred Lombe	Coordinator, Africa Minerals Development Centre (AMDC)
Brendan Pearson	Chief Executive, Minerals Council of Australia
Melanie Stutsel	Minerals Council of Australia
Therese Postma	Minerals Council of Australia
Bill Turner	Chairman, Australia Africa Mining Industry Group (AAMIG)
Trish O'Reilly	CEO, Australia Africa Mining Industry Group (AAMIG)
Jeff Hart	AAMIG
Nicole Roocke	Director, WA Chamber of Minerals and Energy (CME)
Michelle Andrews	Deputy Director General, WA Department of Mines and Petroleum
May Hermanus	Executive Director, Natural Resources and Environment, CSIR, South Africa
Ian Satchwell	Director, IM4DC
Richard Slattery	Deputy Director, IM4DC
Robin Evans	Deputy Director, IM4DC
Helen Langley	Program Manager, IM4DC
Maria Adams	IM4DC
Tim Shanahan	Director, Energy and Minerals Institute (EMI), UWA
Mark Stickells	Deputy Director, Energy and Minerals Institute (EMI), UWA
Chris Moran	Director, Sustainable Minerals Institute (SMI), UQ
Jan Adams	Deputy Secretary, DFAT
Sam Gerovich	First Assistant Secretary, Trade and Economic Diplomacy Division, DFAT
Blair Exell	First Assistant Secretary, Development Policy Division, DFAT
Rebecca Bryant	Assistant Secretary, Economic Engagement Branch, DFAT
David Osborne	Director, Resources & Energy Section, DFAT
Bronwen Burfitt	DFAT Resources & Energy Section
Robert Tulip	DFAT Resources and Energy Section
Kate Thelander	DFAT Resources & Energy Section
Melinda Sutherland	DFAT Latin America
Graham Teskey	Principal Adviser, Governance, DFAT
Jim Woodhill	Principal Adviser, Rural Development, DFAT
Tim Kendall	DFAT Business Engagement Section
Jay Sangani	DFAT Business Engagement Section
Anh Thu Nguyen	DFAT Private Sector Development Section
Simon Cramp	DFAT Private Sector Development Section
Katherine Harman	General Manager, Minerals Productivity Branch, Department of Industry

Name	Affiliation
Luke Bewley	Department of Industry
Nick Birch	Department of Industry
Simon Cann Evans	DFAT
Tess McSpedden	DFAT PNG
Penny Davis	DFAT Performance Analysis
Russell Harwood	DFAT Mongolia
Joseph Manteit	DFAT Africa
Matt Kellam	DFAT Africa
Neil McCulloch	DFAT Indonesia
David Gottlieb	DFAT Indonesia
Derek Taylor	DFAT Afghanistan
Tanya McQueen	DFAT Afghanistan
Michael Costa	DFAT Afghanistan
Ying Lena Wang	Accelerated Learning Laboratory, UWA
Daniela Andrei	Accelerated Learning Laboratory, UWA
Jelena Opacic	Accelerated Learning Laboratory, UWA
Karina Jorritsma	Accelerated Learning Laboratory, UWA
Mark Griffin	Accelerated Learning Laboratory, UWA
Tracey Johnson	Team Leader, Australia Awards for Africa (AAA), Pretoria
Jenny Laughton	Australia Awards for Africa (AAA), Pretoria
Bridey Kerwick	Australia Africa Partnerships Facility (AAPF)
Jeanne Ellis	Australia Africa Partnerships Facility (AAPF)
Andrew Edge	DFAT Pretoria
Ali Buchberger	DFAT Pretoria
Andrea Shaw	DFAT Pretoria
Christopher Sheldon	World Bank
Andrew Schloeffel	World Bank
Ros Taplin	UNSW ACSMP
Serena Lilywhite	Oxfam Australia
Mohamed Abdulla	UNSW Sudan University
Fancisco Gonzalez	UNSW University of Chile
Andrea Garzon	UNSW Rio Tinto
Leanne Howie	University of Sydney
Peter Dowd	University of Adelaide
Paul Kay	Geoscience Australia
Damien Giurco	UTS ISF, CSIRO Minerals
John Miller	CET UWA
Mark Jessell	CET UWA
Vaclav Metelka	CET UWA
Ariane Ford	CET UWA
Steven Micklethwaite	CET UWA
Steve Hall	Curtin University

Name	Affiliation
David Day	Business School UWA
Paul & Veronica Huddleston	SEE UWA
Rosario Santa Gadea	UP, Peru
Caroline Baillie	UWA SCEME
Margaret Callan	Australian National University
Frank Aneke	October first
Mark Greeff	AABC
Galaazagraa Hantulga	Embassy of Mongolia
Joe Cucuzza	AMIRA International Managing Director
Alfredo Nogueira	MIREM, Mozambique
Daud Liace Jamal	IGM
Francisco Junior	IGM
Lucy Hopgood-Brown	CLAY
Greg Thompson	TI
Bruce Harvey	Rio Tinto
Ume Wainetti	PNG
Prue Fleming	Program Manager SMI UQ
Saleem Ali	CSRM Director UQ
David Brereton	SMI Manager UQ
Isabel Cane	CSRM UQ
Ben Mullin	Uniquist UQ
Phil Dash	P&K Dash
Corinne Unger	CMLR UQ
Anthony Halong	SGPEM UQ
Glen Corder	CSRM UQ
Talitha Santini	CMLR UQ
Oscar Matallana	UTEC, Peru
Angel Chavez	MEM Peru
Wilfredo Moncano	DENR, Philippines
Nino Blanco	CIPL UQ
David Clift	MISHC UQ
David Mulligan	CMLR UQ
Jill Howieson	UWA Law
Daniel Franks	CSRM UQ

ANNEX 3: KEY
PERFORMANCE
INDICATORS FOR
IM4DC



Annex 3: Key Performance Indicators For IM4DC

IM4DC 6 monthly report July–December 2013

	Key Performance Indicator	Already delivered 2011–2012 + 2012–2013 & to Dec 2013	Total to be delivered 2011–2012 to 2014–2015	Grant Agreement KPIs 2011–2012 to 2014–2015	Comment on July–December 2013 outturn
Training – in Australia					
1.1	Number of courses	30	48	34	
1.2	Participant training days	4068	8552	8270	
1.3	Total number of students Female / Male (target >20%F)	528 152F / 376M	859	680	
1.4	Number of unique or repeat students	10	Not specified	Not specified	
1.5	% of participants overall satisfaction positive	95 %	80%	80%	Feedback received for six courses undertaken in Australia.
Training – in country					
1.6	Number of courses	23	47	34	
1.7	Participant training days	3213	8552	6850	
1.8	Total number of students Female / Male (target >20%F)	839 264F / 575M	859	1190	The Dialogue and EIA Processes course was split into 2 contiguous workshops. Each workshop has been treated separately for the purposes of participant accounting; however, it is defined as 1 course for reporting purposes.
1.9	Number of unique or repeat students	26	Not specified	Not specified	36 Participants attended both workshops of the Dialogue and EIA Processes, held in Lima, Peru.
1.10	% of participants overall satisfaction positive	90%	80%	80%	Feedback received for 5 courses undertaken in-country
Visiting Fellows					
2.1	Distinguished Fellows Female / Male (target >20%F)	1 0F / 1M	14	24	
2.2	% of Distinguished Fellows overall satisfaction positive	TBC	80%	80%	Feedback to be inserted
2.3	Development Fellows (target >20%F)	12 2F / 10M	20	0	
2.4	% of Development Fellows overall satisfaction positive	80%	80%	80%	Only one participant data available
Annual Conference					
3.1	Annual Conference attendance (target >30%F)	685 239F / 446M	1285	1100	2013 / 14 Conference not yet held

	Key Performance Indicator	Already delivered 2011–2012 + 2012–2013 & to Dec 2013	Total to be delivered 2011–2012 to 2014–2015	Grant Agreement KPIs 2011–2012 to 2014–2015	Comment on July–December 2013 outturn
3.2	IM4DC supported places (target 20%F)	65 18F / 47M	125	120	2013 / 14 Conference not yet held
3.3.	% of conference participants overall satisfaction positive	86%	80%	80%	2013 / 14 Conference not yet held
Technical Advice					
4.1	Advice to Government (days)	10.5	80	120	
4.2	Timeliness / quality – % of clients rating overall satisfaction positive		80%	80%	
Action Research / Tailored Advice					
5.1	Number of new competitive Action Research / Tailored Advice projects	32	TBC	44	Targets to be confirmed
5.3	Student and fellowship research support	25	TBC	37	Targets to be confirmed
5.4	% of projects that meet IM4DC quality needs		90%	90%	
5.5	Number of publications	3		85	
Alumni					
6.1	Number of alumni meetings (in country)	2	5	6	
6.2	Alumni attending alumni meetings in-country	55	195	180	
6.3	Alumni attending annual conference	55	135	95	2013 / 14 Conference not yet held
Institutional linkages					
7.1	Number of formal partnerships with local / regional institutions	1	11	0	
7.2	Activities conducted with partner institutions in developing countries	6	36	0	TBC: this reflects the 10 partner institutions activities have been conducted with

ANNEX 4: IM4DC
FLAGSHIP
COURSES



Annex 4: IM4DC Flagship Courses

'Regional Development and Mining' 3–28 February 2014

Participants interviewed on 14 February 2014 at UWA School of Earth and Environment

Name	Country of Residence	Organisation	Position
Davis Ombese *	Kenya	Tax Justice Network Africa	Project Coordinator EI Development Program
Tikondane Phiri	Malawi	Department of Mines	Mining Engineer
Delgersuren Jambelsuren	Mongolia	Gachuurt NGO of Nature Environment Restoration	Operation Manager
Chinbat Tumur-Ochir	Mongolia	Gachuurt NGO of Nature Environment Restoration	Vice Director
Enkhbold Dashtsesenjin *	Mongolia	Mongolian National Mining Association	Foreign Affairs Manager Translator
Salleye Soumana	Niger	Ministry of Mines and Industrial Development	Head Division of Mining Economy and Taxation
Marian Ojeaga *	Nigeria	Ministry of Economic Planning	System Analyst
Rabiu Kabir *	Nigeria	Revenue Mobilisation Allocation & Fiscal Commission	Assistant Director (Solid Minerals)
Rosario Santa Gadea Durate *	Peru	University of Pacifico	Researcher Coordinator of Economics, Business and International Relations
Rec Erhuela *	The Philippines	University of Southeast Philippines	Associate Professor
John Kayangira *	Rwanda	Natural Resources and Geology and Mines Authority	Director of Support Services in Mining Investment and Business Development
Narcisse Ntihinyuzwa *	Rwanda	Ministry of Natural Resources	Mineral Economist
Christopher Byaruhanga *	Uganda	Actionaid Uganda	Manager, Oil Project
Moses Nadlope *	Uganda	Makerere University	Investment Research Officer
Ida Zulu *	Zambia	Copperbelt University	Lecturer and Researcher

Summary

The participants were unanimous in the interest shown and in the value and benefits of the course in relation to their work and position. The course allowed them to work in both diverse and more country / region groupings in an enthusiastic, friendly and convivial atmosphere. The group presenters were elected and the presentations of the topics discussed were of a high calibre. The participants' diversity was seen to be an advantage in sharing country knowledge and experience. They all had return to work plans from the knowledge gained from this course which were very relevant to their organisations and which they were eager to transfer, make change and implement. For example Rabiu Kadir of Nigeria had return to work interest in more local procurement in the supply chain for mining.



Group discussions with Marian Ojeaga of Nigeria making a presentation from her group of Salleye Soumana of Niger, Rec Erhuela of the Philippines and Rabiou Kabir of Nigeria to her left.

Flagship Course 'Environmental Management in Mining' 3– 28 February 2014

Participants interviewed on 25–26 February 2014 at UQ Sustainable Mining Institute

Name	Country of Residence	Organisation	Position
Sereima Koli *	Fiji	Ministry of Lands and Mineral Resources	Acting Senior Scientific Officer – Mining Division (Environment Unit)
Justus Deikumah *	Ghana	University of Cape Coast	Lecturer
Azaria Indrawardhana *	Indonesia	Ministry of Energy and Minerals	Mines Inspector
Donny Simorangkir *	Indonesia	Ministry of Energy and Minerals	Section Head, Technical Supervision of Coal
Ben Toejaeh *	Liberia	Ministry of Lands, Mines and Energy	Mining Engineer
Samuel Wilson *	Liberia	Ministry of Lands, Mines and Energy	Mining Engineer
Emmanuel Mwathunga *	Malawi	Ministry of Mining	Mining Engineer (Environment)
Mphatso Chikoti	Malawi	Ministry of Mining, Department of Mines	Mines Inspector
Khulan Bayar	Mongolia	Ministry of Mining	Officer of Department for Coordination of Policy Implementation
Abiodun Odukoya *	Nigeria	University of Lagos	Senior Lecturer
Oscar David Matallana Tost *	Peru	UTEC University	Academic, Qualified Teacher, Researcher
Angel Chavez *	Peru	General Bureau of Mining and Environmental Affairs	Legal and Regulatory Affairs Manager
Gustavo Castelo Mamanchura *	Peru	Ministry of Energy and Mines	Environmental Evaluator of Mining Projects
Carmelita Martinez *	The Philippines	University of Southeastern Philippines	Extension Director, Chair – Department of Development Studies
Rowena Varela *	The Philippines	Caraga State University	Associate Professor
Wilfredo Moncano *	The Philippines	Mines and Geo-Sciences Bureau R-X1	Chief Mine Management Division
Angeli Valera *	The Philippines	Mindanao State University – Iligan Institute of Technology	Assistant Professor IV
Lesley Siowi *	Papua New Guinea	ABG Mining Department	Environmental Scientist
Pelis Vatnabar *	Papua New Guinea	Papua New Guinea Mineral Resources Authority	Mining Exploration Coordinator
Manuela Morales *	Uruguay	Facultad de Ciencias, Universidad de la República	Associate Professor
Kondwani Zimba *	Zambia	Geological Survey Department	Geologist

Summary

The participants were unanimous in the interest shown and in the value and benefits of the course in relation to their work and position. The course expert presentations, the lead questions and the participants' answers

and involvement were enthusiastic, friendly and sociable. The participants' diversity was seen to be an advantage in sharing country knowledge and experience. They all had return to work plans from the environmental management in mining knowledge gained from this course which were very relevant to their organisations and which they were eager to transfer, make change and implement. For example Carmelita Martinez is in a good position to develop a similar program at the University of the Southeast Philippines.

The M4D link

Input from Pelis Vatnabar of PNG as follows:

"It is effectively a day to go, Friday 27th February 2014, and on Saturday all participants including myself who set out expectantly a month ago to upscale skills on Environmental Management in Mining at UQ would be gone back to the respective countries we represent. Given the interwoven and interdisciplinary approach that is critical in managing environmental issues in mining operations, I wasn't quite sure what the take home message would be for me by the end of the course so my expectations / view seemed relatively relax and flexible from the outset.

As the course is now, just about to conclude, I reflect briefly on the program and I am satisfied that I had actually got more than what I initially set out to achieve. I think one of the single most significant component of the course was on the strength and emphasis on Acid Mine Drainage which although is widespread and typically discounted in most mining operations in the developing world, including PNG where I am from, the issue is become an imminent threat to millions of livelihoods and endangers the food web chain at the project scale. Acid Mine Drainage knows no boundary and although it is generated locally, the effects are impacting critically at the global scale.

As a regulatory government official who is mandated to grant mining licenses, regulate the operations of mining developers and to ensure compliance to existing mining legislations, the challenge is to proactively engage with developers and to advocate that appropriate environmental management considerations are taken into consideration and built into mine development planning stage. Whilst this aspires to safeguard the environment at large, it equally has the potential to fast track the licensing process and improve the interfacing relations between developer, government and the landowner. That is where the challenge lies and I am definitely applying the tools and skills from the environmental management in mining course for this purpose."