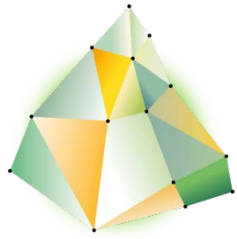




Good governance in Minerals Policy in Europe: Overview & examples good practice

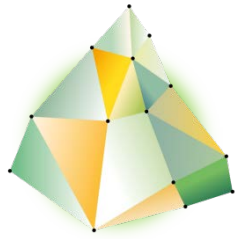
Andreas Endl

Institute for Managing Sustainability
Policy Laboratory I, Vienna, 4-5 Oct 2016



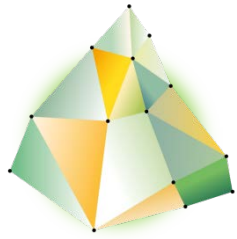
Presentation Overview

1. Challenges of EU and EU MS policy governance
2. MIN-GUIDE approach of Good Governance
3. Results of the stock-taking on EU MS practices
4. Outline of good practice governance



Governance concept: management for policy

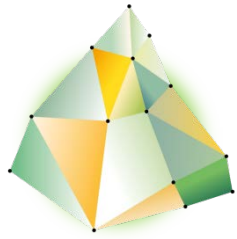
- **Governance**... process for **managing**, steering and guiding **public policy decision-making** by **governing mechanisms and institutions**
- **“Good governance”**: a normative concept
 - prescribes certain **steering procedures and institutions**
 - **based on principles, values and norms** (e.g. participation of stakeholders)
 - **that should be adopted to achieve preferred outcomes** (e.g. legitimacy, policy coherence)



Overview of challenges in minerals policy governance

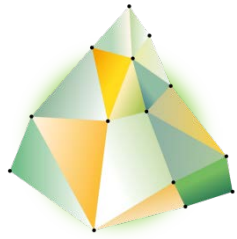
Challenges faced by minerals sector, its stakeholders and minerals policy are manifold...

- **Civil society engagement** in mineral production
- **Incoherent, intransparent and conflicting policies**
- Lack of **capacity for learning and exchange**
- **Permitting procedure:** lengthy and involves many authorities with overlapping and even conflicting requirements
- Unfavourable **climate for industrial development**



Overview of the MIN-GUIDE Approach for Good Governance

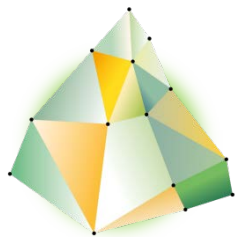
- **MIN-GUIDE understanding of 'Good governance'**
 - I. Based on **EU governance frameworks** (general and minerals policy specific)
 - II. Summarised in **general principles for Good Governance**
 - III. Investigated **to what extent these principles are part of in EU Member states minerals policy frameworks**



EU framework for good governance in the minerals sector

- **Sector-specific minerals policy governance**
 - European Innovation Partnership SIP, 2013
 - Raw Materials Initiative, 2008

- **General EU governance aspects**
 - EU better regulation communication, 2015
 - EU Treaty (Sustainable Development) *and forthcoming EC Communication on 2030 Agenda for SD (2016)*
 - EU White paper for Good Governance, 2011



EU framework: identifying major building blocks for governance

EIP SIP / RMI

Mineral Policy Strategies

mineral policy **Integration, coherence**

Mineral policy **transparency**

Acceptance & trust in the mining sector

EU better regulation

Well planned and timed policies

coherency across policy domains

policies are to be **understood and credible**

participatory / Open to stakeholders' views

EU 2030 / White p.

✓

✓

✓

✓

Evaluation & Monitoring

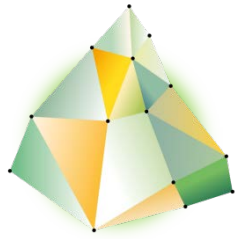
MIN-GUIDE Approach

Strategic policy framework

Policy integration

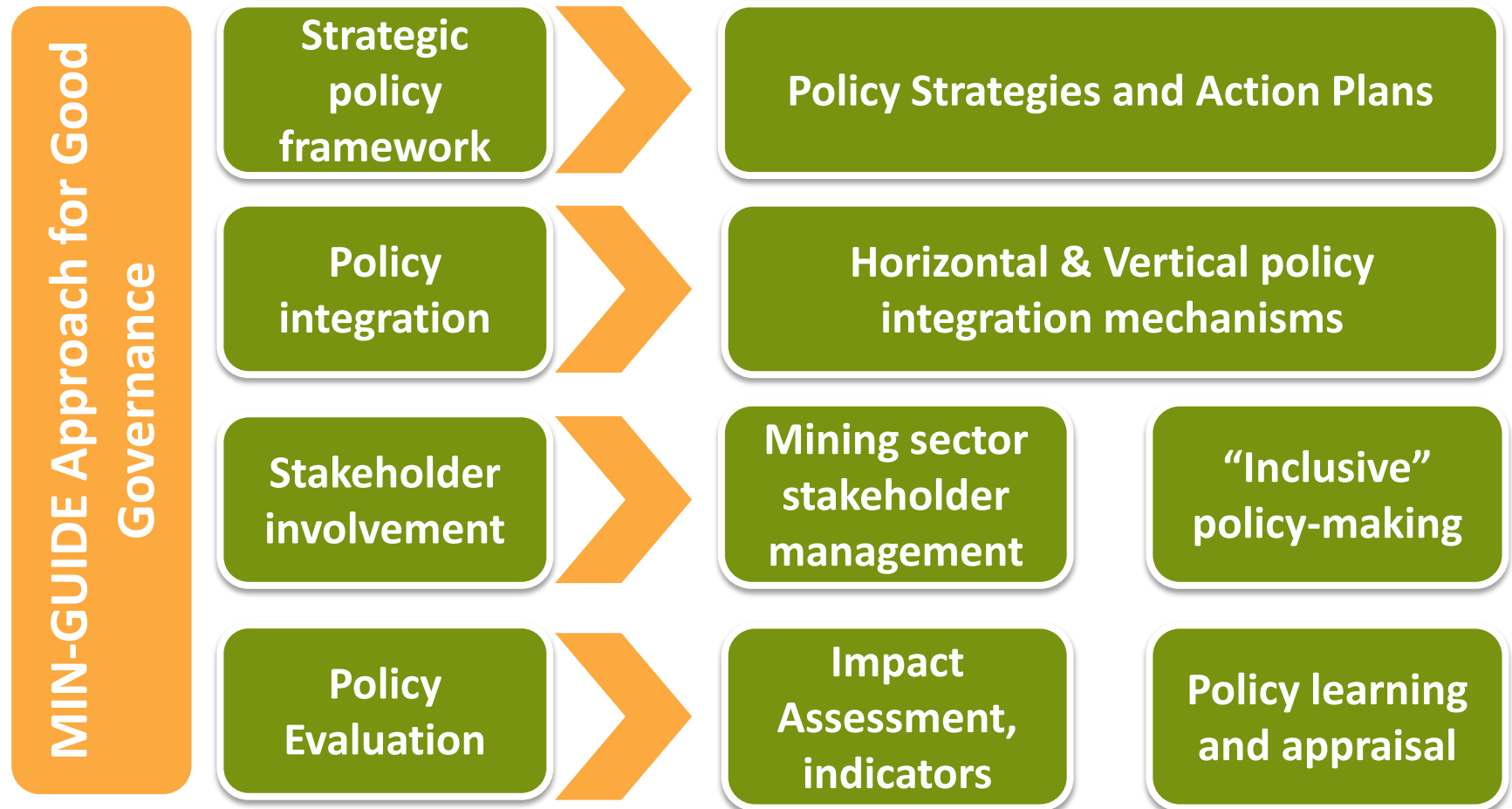
Stakeholder involvement

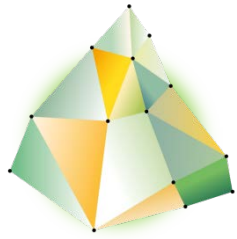
Policy Evaluation



MIN-GUIDE Governance approach

Building blocks and policy instruments/processes





MIN-GUIDE Governance Approach

Focus & content

What is the content spin for Policy Laboratory 1

MIN-GUIDE
Approach for Good Governance

Sector-specific

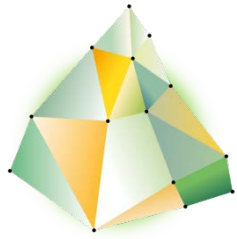
Strategic
policy
framework

Policy
integration

Stakeholder
involvement

Policy
Evaluation

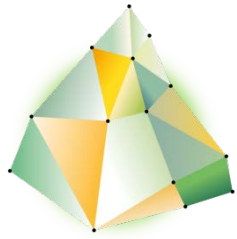
Streamlined
permitting
procedures



Stock-taking of EU MS policies

Overview of results

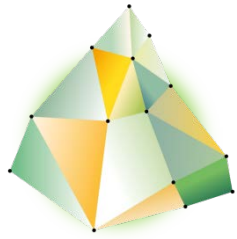
- Major objective: Compile and Process
- Mar 2016 – July 2016
- Individual **policy instruments & governance processes**
- **Minerals policy** and **related** policy domains
- **Desk-research** and **policy maker interviews**
- Baseline for **MIN-GUIDE Minerals Policy Guide** and **future work**



Stock-taking of EU MS policies

Outcomes

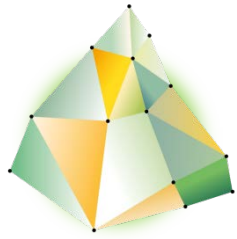
- Synthesised & shortened information
 - ✓ 1 EU level & 28 Member State country profiles
- Detailed & complete information
 - ✓ Project Deliverable 2.1 Stock-taking report
 - ✓ Minerals Policy Guide Version 1.0



Overview of results – stock-taking

Interesting pieces of analysis - instrument mix

- **Policy instruments are primarily of regulatory nature** as compared to economic instruments (tax incentives, R&D support) or “soft” instruments (stakeholder network or committee)
- **Strategic policy approach:** 10 EU MS (developed or are currently developing) National Policy Strategies
- **Stakeholder involvement:** going beyond legal compliance rarely encountered



Overview of results – stock-taking

Policy Strategy



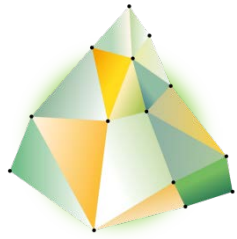
- **evaluation and monitoring:** using indicators and monitoring for policy revision



- **Follow up implementation:** follow up implementation plan financial framework, mile-stones and timeline,



- **Inclusive stakeholder approach:** a wide variety of stakeholders & ministries in design and implementation



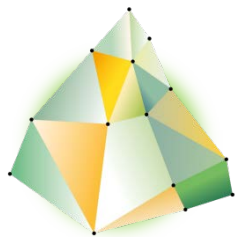
Overview of results – stock-taking

Horizontal / ministerial coordination

- Common and established mechanisms
- Both informal and ad-hoc communication and regular and established working groups
- Wide-spread participation of **public administrators** and **less higher level political representatives** (members of cabinet, ministers)



- ✓ **Austrian Raw Material Alliance:** platform for formulation of policies with both intra- and inter ministerial meetings



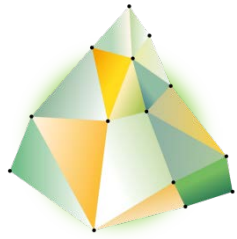
Overview of results – stock-taking

Vertical/different levels coordination

- **Less common** and rarely institutionally established and regular basis
- **Instrument and context-specific** coordination mechanisms



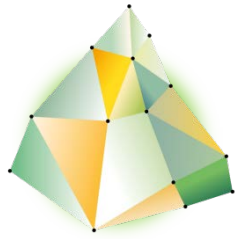
- ✓ **CZ: Voluntary and on-demand** coordination meetings with regions to develop a regional mineral policy



Overview of results – stock-taking stakeholder involvement in policy-making

- Mostly **minimum level** and **less advanced / beyond compliance** approaches
 - Largely **Informal and ad-hoc** and **less regular and established**
 - Primarily for **feedback** and for **creating legitimacy**
- ✓ **COMES - Committee for Strategic Metals formal forum** engages the key stakeholders along issues of the whole raw material supply chain





Thank you for your attention

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