





## Handbook:

#### Developing National ASGM Formalization Strategies within National Action Plans

Thursday 18 October, AGM 2018, Geneva

#### Artisanal and small scale gold mining



# ASGM

artisanal and small scale gold mining

**ŤŤŤŤŤŤŤŤŤŤ**ŤŤŤŤŤŤŤ 15 million people



Up to 20% of world's gold



Main source of mercury emissions to the atmosphere



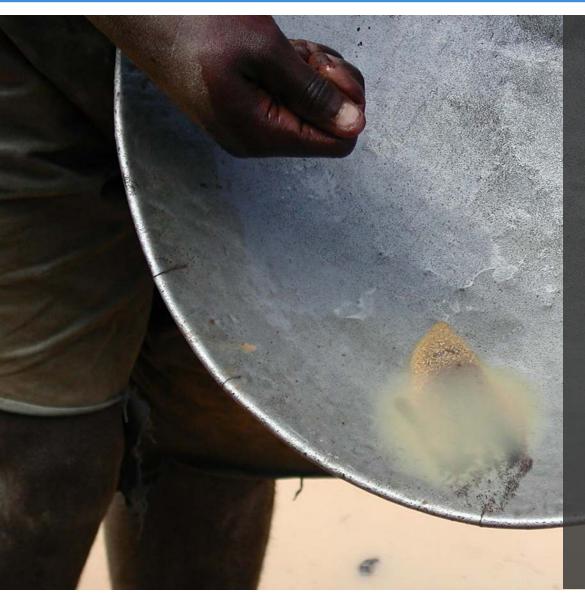
Occurs in more than 70 countries







#### **Minamata Convention on Mercury**





# Minamata Convention on Mercury

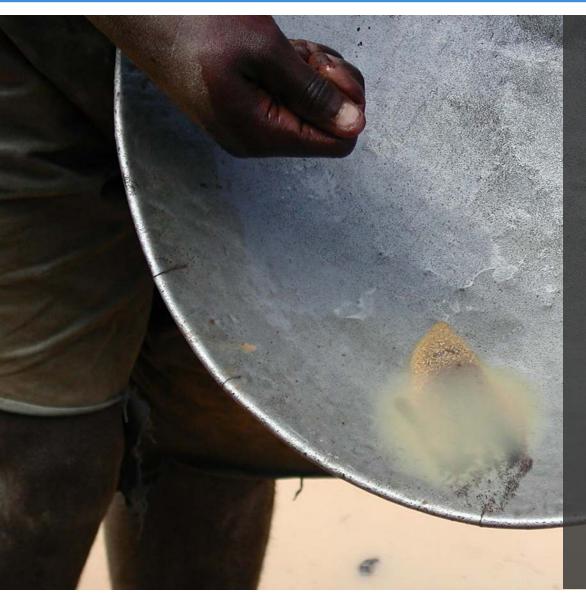
Objective: Protect human health and the environment from anthropogenic emissions and releases of mercury

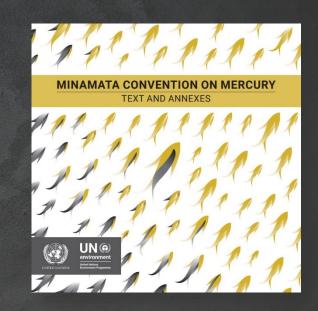






#### **Minamata Convention on Mercury**





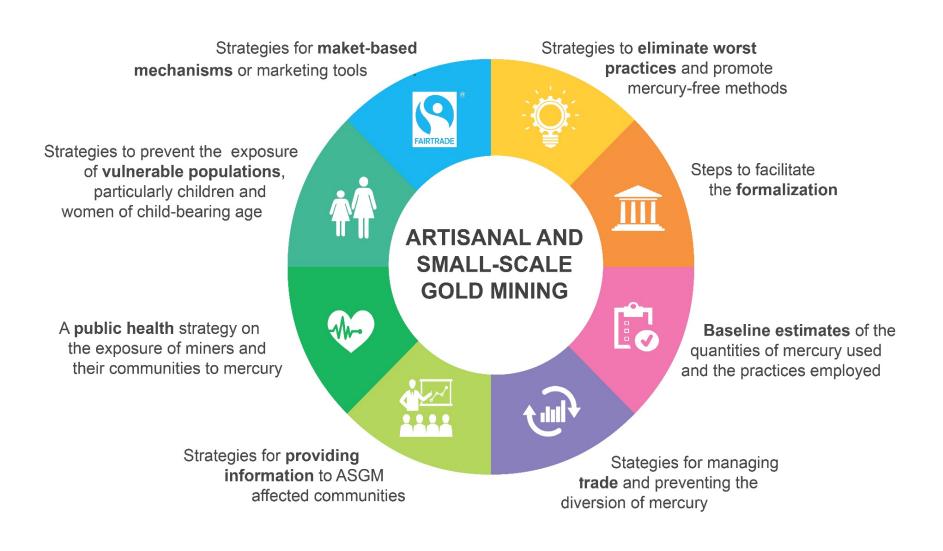
#### **National Action Plan**

to reduce and, where feasible, eliminate, the use of mercury in artisanal and small scale gold mining.



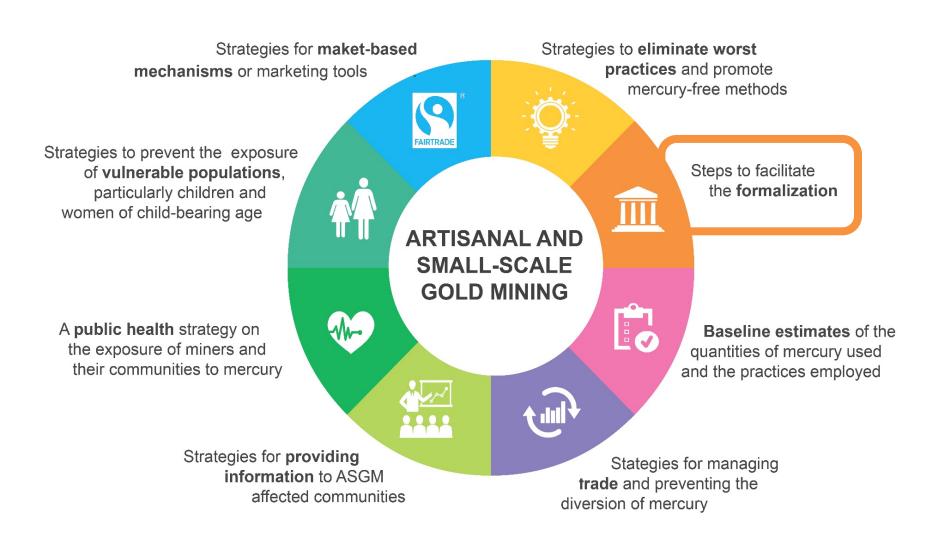






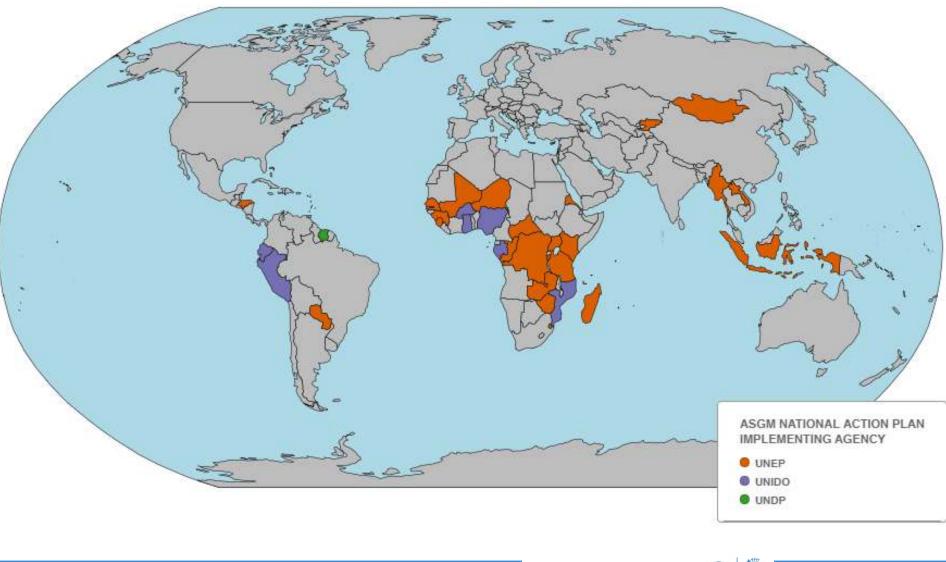






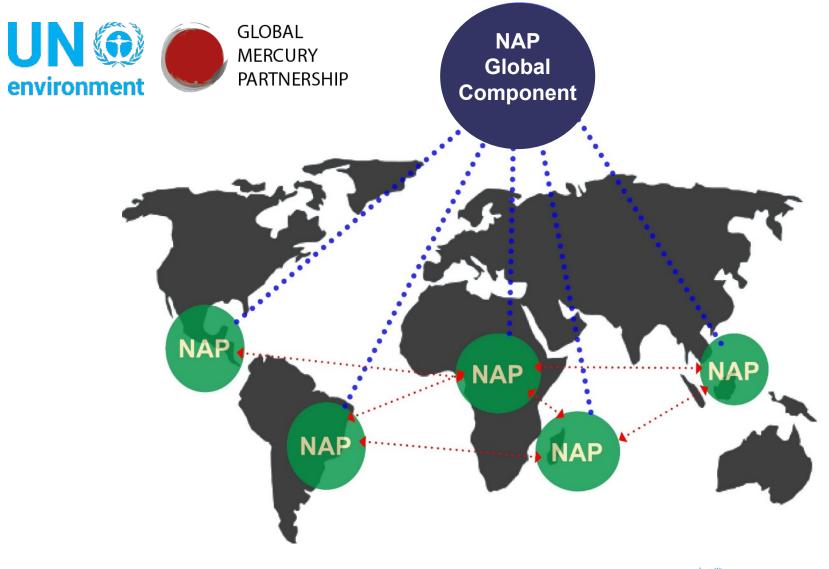






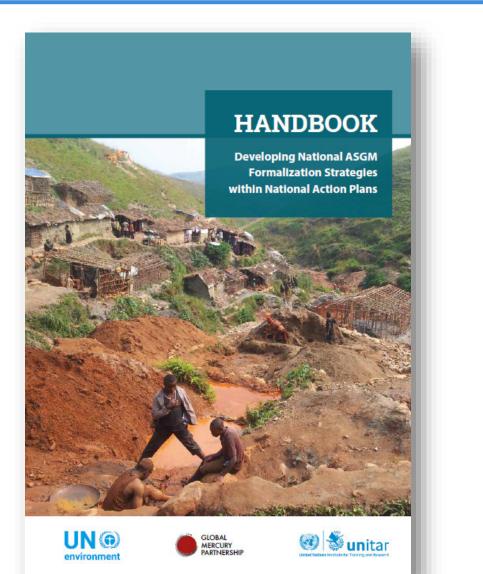


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#### Aim:

 to support countries in their efforts to develop artisanal and small-scale gold mining (ASGM) formalization strategies as part of their National Action Plans (NAPs) under the Minamata Convention on Mercury and beyond

#### **Target audience**

- NAP-executing countries and agencies
- Private sector stakeholders (including financial institutions and LSM companies)
- NGOs
- Other stakeholders involved in ASGM-related work.

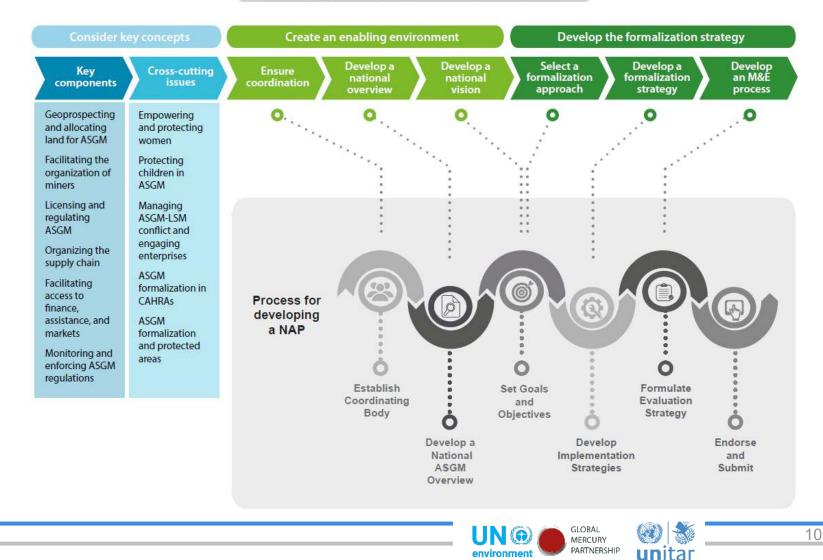






#### The process of developing a formalization strategy

Engage local stakeholders throughout the process



**Definition of ASGM formalization** 

#### At it simplest form:

"A process that seeks to integrate the ASGM sector into the formal economy, society, and regulatory system" (UN Environment, 2012)

 $\rightarrow$  It goes beyond legislation

#### What does this mean practically?

"A process that ensures that ASGM actors possess licenses and permits; that they are organized in legitimate entities which represent their needs; policies are implemented, monitored, and enforced; and, ASGM actors receive technical, administrative, and financial support that enables them to adhere to standards prescribed by regulations"

 $\rightarrow$  Multidimensional: legal, institutional, socio-economic, geoenvironmental and financial dimensions







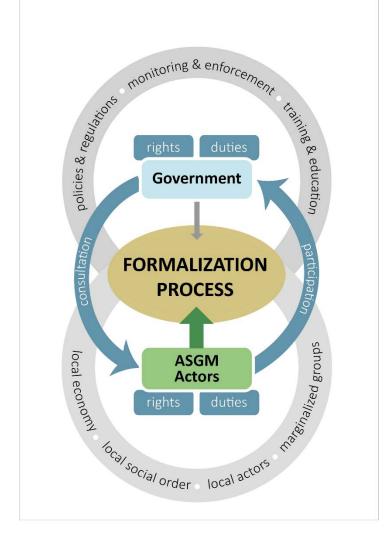
1) Background and context

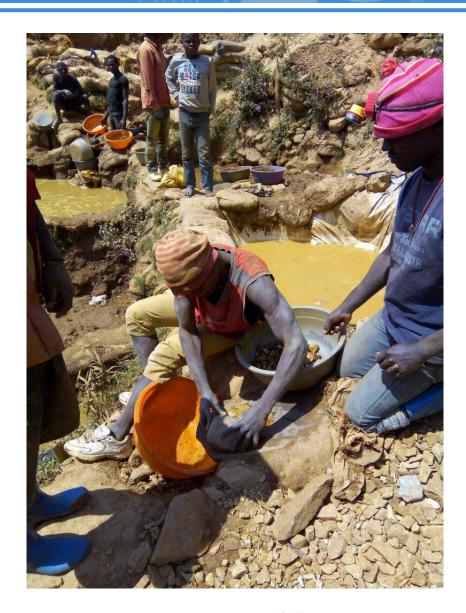
#### **ASGM formality spectrum**



#### 1) Background and context

#### Human rights-based approach









#### Key components of the formalization process





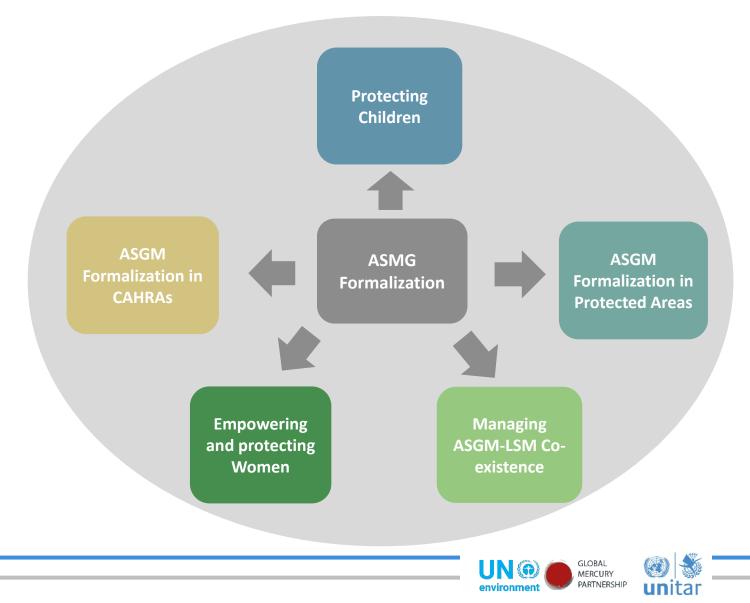






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#### **Cross-cutting issues in ASGM formalization**



1) Establishing coordination mechanisms and organizing the consultation process;

 Developing an overview of the ASGM sector;



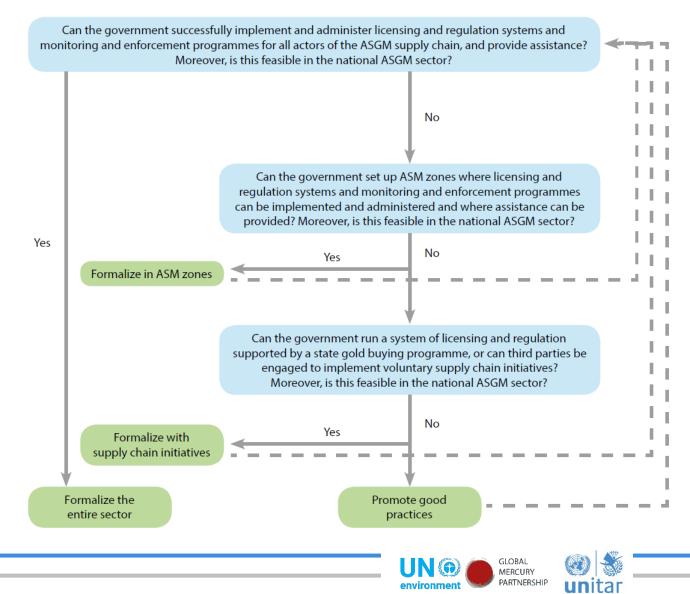
Developing a national vision for responsible
 ASGM that contributes to sustainable development





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#### Selecting approaches towards formalization



#### Selecting steps for selected approaches

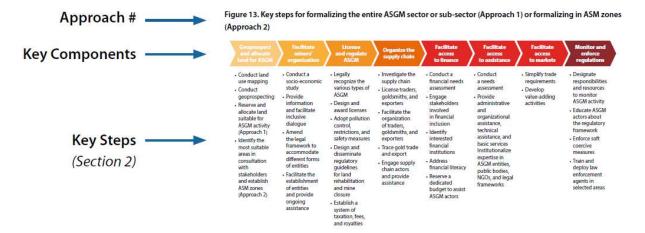


Figure 14. Possible steps for formalizing the entire ASGM sector or sub-sector (Approach 1) or formalizing in ASM zones (Approach 2)

Possible steps and additional capacity building efforts (Sections 2 and 3)

|   | Facilitate<br>miners'<br>organization  | Ucense<br>and regulate<br>ASGM   | Organize the<br>supply chain  | Facilitate<br>access<br>to finance  | Facilitate<br>access<br>to assistance   | Facilitate<br>access<br>to markets   | Monitor and<br>enforce<br>regulations   |
|---|--|--|---|---|---|--|---|
| Allocate land<br>on a first come,<br>first serve basis     Mediate ASCM-<br>ISCM co-<br>existence and<br>engage LSGM<br>enterprises to<br>assist ASCM<br>actors (see<br>options in<br>Section 3.5)     Build capacity<br>among<br>responsible<br>institutions<br>(e.g. Geological<br>Survey<br>Department,<br>Ministry of<br>Lands) | <ul> <li>Facilitate the<br/>establishment<br/>of GDo unions,<br/>and federations<br/>is facilitate<br/>women's<br/>leadership<br/>positions</li> <li>Build capacity<br/>among<br/>responsible<br/>institutions (eg.<br/>ASGM unions<br/>and federations,<br/>Ministry of<br/>Mines, Ministry<br/>of Labour)<br/>about ASGM<br/>organization</li> </ul> | <ul> <li>Harmonize<br/>regional fees,<br/>tax, and royalty<br/>rates</li> <li>Educate ASGM<br/>actors about<br/>the regulatory<br/>framework.</li> <li>Adopt<br/>regulations to<br/>protect children<br/>from harmful<br/>practices in<br/>ASGM</li> <li>Facilitate<br/>womer's rights<br/>and eliminate<br/>legal barriers</li> <li>Streamline<br/>ASGM<br/>regulations<br/>with CEDAW</li> <li>Build capacity<br/>among<br/>(decentralized)<br/>institutions<br/>issuing licenses</li> </ul> | Establish<br>voluntary<br>supply chain<br>initiatives<br>Establish SGB/s<br>Engage<br>stakeholders for<br>mapping gold<br>trade<br>Explore viable<br>business<br>relationships<br>between ASGM<br>and LSM<br>Build capacity<br>of customs<br>and law<br>enforcement<br>agencies<br>and other<br>stakeholders<br>involved in<br>organizing the<br>supply chain | <ul> <li>Establish<br/>saving: and<br/>loans groups<br/>in ASGM<br/>communities</li> <li>Develop a<br/>financial<br/>inclusion<br/>strategy</li> <li>Develop mobile<br/>financial<br/>services</li> <li>Facilitate<br/>and promote<br/>women's access<br/>to finance</li> <li>Build capacity<br/>among<br/>development<br/>and corporate<br/>banks and<br/>other relevant<br/>institutions<br/>about ASGM<br/>activity</li> </ul> | <ul> <li>Develop<br/>educational<br/>programmes on<br/>ASCM</li> <li>Establish<br/>specialized<br/>training architectural<br/>research centers</li> <li>Establish state-<br/>sponsored<br/>parts</li> <li>Engage LSM<br/>companies<br/>for assistance<br/>and support in<br/>formalization</li> <li>Build technical<br/>capacity on<br/>ASCM among<br/>government<br/>agencies and<br/>other relevant<br/>institutions</li> </ul> | <ul> <li>Introduce<br/>supply chain<br/>initiatives</li> <li>Establish SGBPs</li> <li>Pacilitate<br/>women's access<br/>to markets</li> <li>Explore viable<br/>business<br/>relations</li> <li>between ASGM<br/>and LSM</li> </ul> | Use remote<br>sensing<br>technology     Establish<br>Financial<br>Intelligence<br>Units     Monitor the<br>presence of<br>armed and<br>criminal groups<br>and demilitarize<br>mines (in<br>CAHRAs)     Set up<br>community-<br>based child<br>labour<br>monitoring<br>mechanisms<br>for identifying<br>children<br>working in<br>ASCM<br>Build capachy<br>among relevant<br>monitoring ant<br>enforcement<br>institutions |

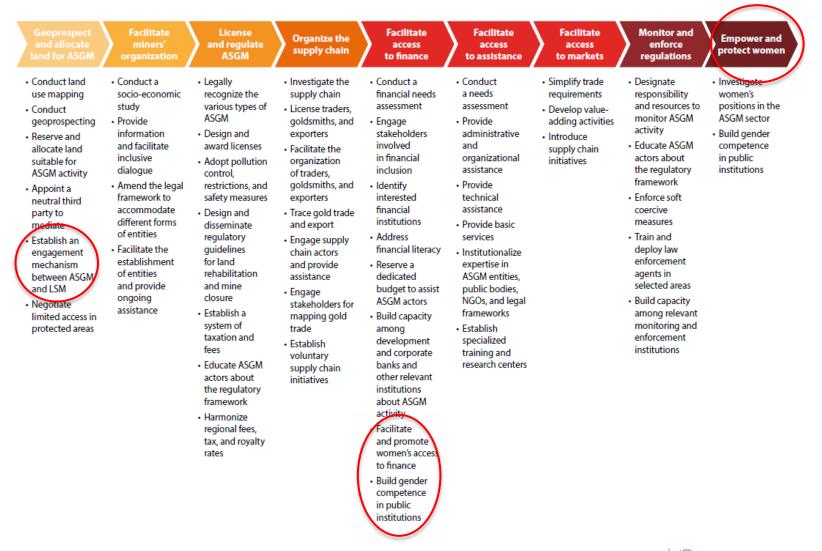
Add other cross-cutting steps and capacity building efforts, as appropriate (Sections 2 and 3)







#### Example: developing a country-specific strategy for Zlotostan







#### **Planning the details**

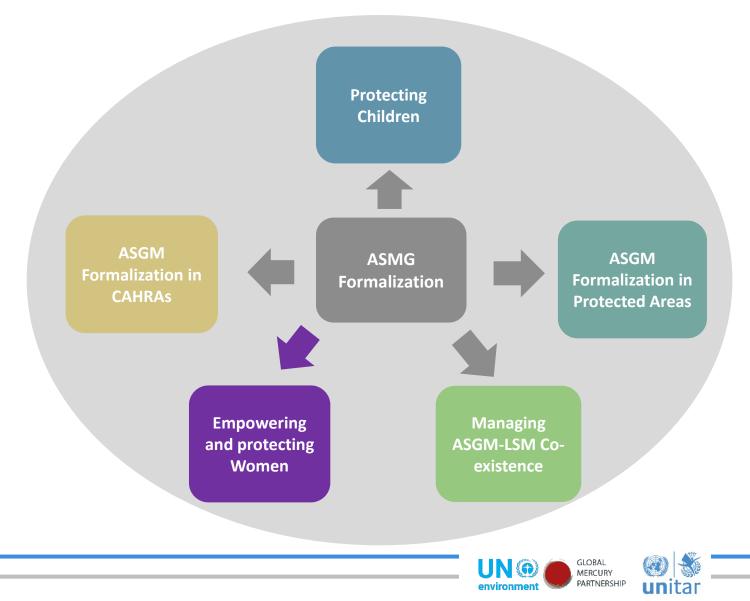
| Key component  |   | Priority<br>(high,<br>medium,<br>low) | Lead<br>agency                | Supporting<br>agencies  | Timeline |        |        |        |        |  |           |  |   |   |
|--|---|---------------------------------------|-------------------------------|---|----------|--------|--------|--------|--------|--|-----------|--|---|---|
|  | Steps and activities  |                                       |                               |   | Y<br>1   | Y<br>2 | Y<br>3 | Y<br>4 | Y<br>5 |  | Budget    | Funding<br>sources                         | Expected results  | Indicators  |
| Geoprospect and<br>allocate land for<br>ASGM                   | Conduct land<br>use mapping                                   | Medium                                | Min. of<br>Land               | Min. of<br>Agriculture     Min. of<br>Environment                               | x        |        |        |        |        |  | \$200,000 | National<br>budget                         | Land use has been mapped<br>by the Ministry of Land in<br>gold-producing provinces<br>X, Y, and Z by December<br>2020   | Hectares of<br>land mapped  |
|  | Conduct geo-<br>prospecting                                   | High                                  | Geological<br>Survey<br>Dept. | Min. of Mines     University X     ASGM     association Y     LSM company     Z | x        | x      |        |        |        |  | \$500,000 | LSM<br>companies<br>Donor X                | The Geological Survey<br>Department has conducted<br>geological prospecting in<br>the country's greenstone<br>belts in regions X and Y, and<br>has made the information<br>publicly available by<br>December 2021 | Hectares of<br>land geo-<br>prospected  |
|  | Reserve and<br>allocate land<br>suitable for<br>ASGM activity | High                                  | Min. of<br>Land               | <ul> <li>Min. of Mines</li> <li>Min. of<br/>Environment</li> </ul>              | x        | x      | x      |        |        |  | \$200,000 | Mining<br>taxes,<br>fees, and<br>royalties | 15 gold-rich ASM<br>concessions have been<br>allocated and approved by<br>the Ministry of Lands by<br>December 2022   | No. of ASM<br>concessions<br>allocated  |
|  | Build capacity<br>among<br>responsible<br>institutions        | Medium                                | Min. of<br>Mines              | University X     Geological     Survey     Department     NGO Y                 | X        | x      |        |        |        |  | \$300,000 | National<br>budget                         | Each regional office of the<br>EPA and Ministry of Mines<br>has two vehicles and staff<br>has been trained on ASGM<br>and mineral geology by<br>June 2020   | No. of vehicles<br>in regional<br>EPA and MoM<br>offices<br>No. of staff<br>trained in EPA<br>and MoM |
| Facilitate miners'<br>organization                             |   |                                       |                               |   |          |        |        |        |        |  |           |  |   |   |
| License and<br>regulate ASGM                                   |   |                                       |                               |   |          |        |        |        |        |  |           |  |   |   |
| Organize the supply chain                                      |   |                                       |                               |   |          |        |        |        |        |  |           |  |   |   |
| Facilitate access<br>to finance,<br>assistance, and<br>markets |   |                                       |                               |   |          |        |        |        |        |  |           |  |   |   |
| Monitor and<br>enforce ASGM<br>regulations                     |   |                                       |                               |   |          |        |        |        |        |  |           |  |   |   |





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#### **Cross-cutting issues in ASGM formalization**



# **GENDER EQUALITY:** Why it matters

# GENDER EQUALITY

### What's the goal here?

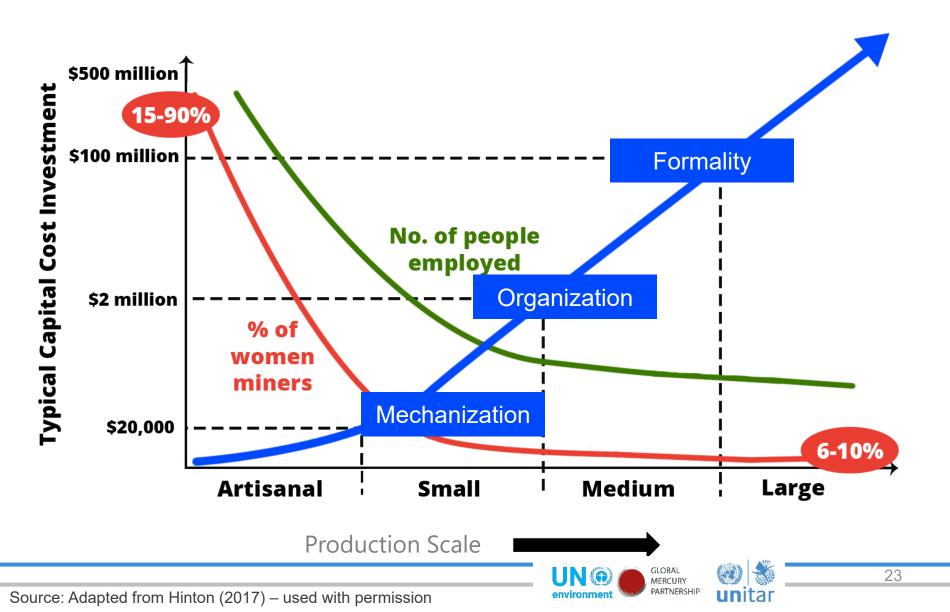
To achieve gender equality and empower all women and girls.

## Why?

Women and girls represent half of the world's population and therefore also half of its potential. But, today gender inequality persists everywhere and stagnates social progress.







#### **Gender Inequalities and vulnerable populations**



#### How does gender inequality affect women?

Disadvantages in education translate into lack of access to skills and limited opportunities in the labour market.

Women's and girls' empowerment is essential to expand economic growth and promote social development. The full participation of women in labor forces would add percentage points to most national growth rates double digits in many cases.



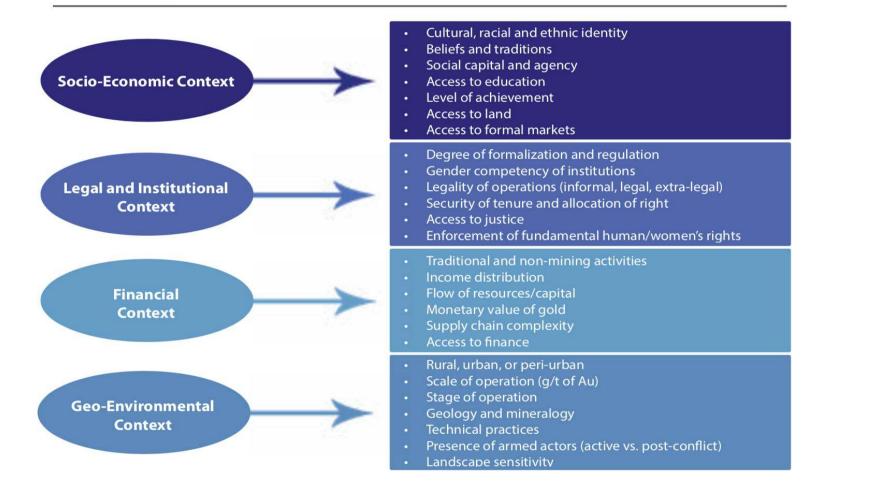


GLOBAI

MERCURY



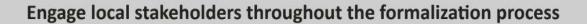
#### **Key Determinants of Women's Realities in ASGM**



Key determinants of Women's realities in the Artisanal and Small-Scale Gold Mining (ASGM) sector. Adapted from Hinton et al (2003), prepared by Dales and Brambilla (2018) from the Canadian International Resources and Development Institute (CIRDI).









# **5 GENDER EQUALITY**



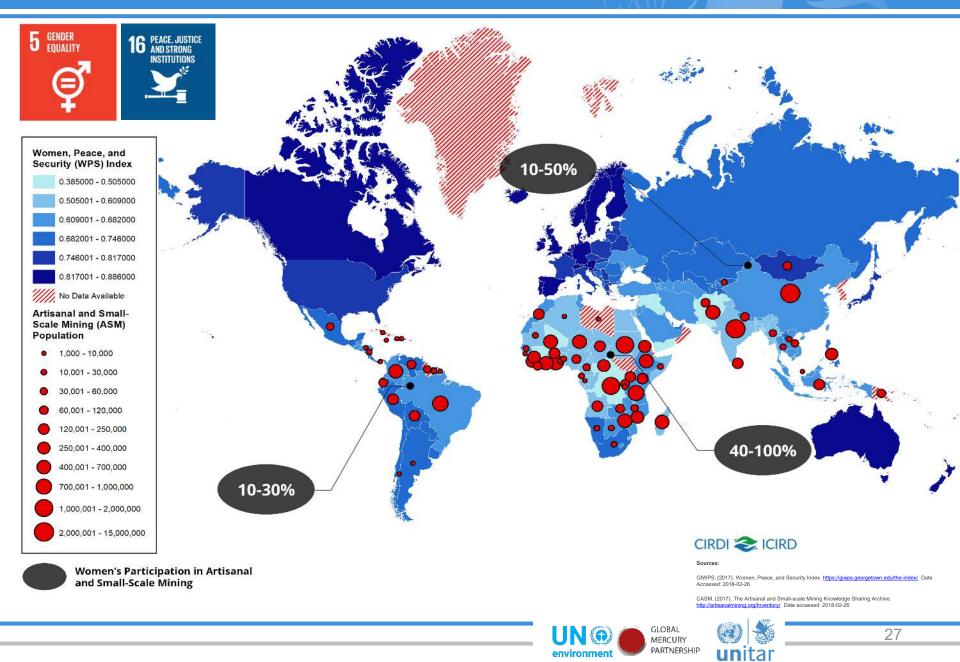
What happens if gender equality is not ensured?

Investigating identity factors among ASGM actors can help to understand gender-based risks, develop mitigation measures, and identify opportunities for promoting gender equality and women's empowerment.





Multiple Identity Factors: Gender, Sex, Ethnicity, Age, Geography...ect. Impact the effectiveness and outcomes of ASGM Formalization Policy



#### Possible steps to protect and empower women:

- Investigate gender roles in the ASGM sector
- Address the root causes of women's vulnerability
- Facilitate women's leadership and participation in decision-making
- Facilitate women's rights and eliminate legal barriers
- Facilitate and promote women's access to finance
- Streamline ASGM regulations with CEDAW
- Build gender competence in public institutions











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