



INTERGOVERNMENTAL FORUM  
on Mining, Minerals, Metals and  
Sustainable Development

# MANAGING ASM: REGIONAL WORKSHOP FOR LATIN AMERICA

PUNTA CANA, DOMINICAN REPUBLIC

JUNE 2018

## INTRODUCTION

Artisanal and small-scale mining (ASM) presents both significant opportunities and challenges to many countries. The sector is responsible for a large proportion of the global production in minerals and metals, and it supports countless livelihoods, both directly and indirectly. At the same time, it can be a source of considerable risk and impact, socially, economically and environmentally. Strong governance and management of the sector will help governments capture the positive benefits of ASM while ensuring that any negative environmental, social and economic risks are minimized or eliminated.

To help in this effort, the Intergovernmental Forum on Mining, Minerals, Metals and Sustainable Development (IGF) released the [\*IGF Guidance for Governments: Managing Artisanal and Small-Scale Mining\*](#) in late 2016. This guidance document, prepared at the request of IGF's members and developed through an iterative process of extensive research and stakeholder consultation, aims to guide governments in the development of effective and inclusive management strategies for their ASM sectors. It is a three-phase process: the first phase establishes a foundation for the

development of a management strategy; the second—and largest—phase focuses on the development of a management strategy; and the third phase concerns implementation, monitoring and evaluation.

Upon publication of the guidance and the completion of two trainings in Africa in French and English, the IGF's Latin American member countries, led by the Dominican Republic, requested that a related training program be designed and delivered in the region. The goal of the training program was to ensure these IGF member states had the capacities required to implement the guidance and develop their ASM management strategies. The scope of this demand-driven training workshop expanded with the participation of two strategic partners: the Canadian International Resources and Development Institute (CIRDI) and the ACP-EU Development Minerals Program/United Nations Development Programme (UNDP), who both added additional content to the program. Invitations were sent to Spanish-speaking Latin American countries with large or medium ASM sectors (as well as Brazil), to promote a rich sharing of experiences and to encourage peer learning.



The Regional Workshop for Managing ASM in Latin America was held June 24–29, 2018, in Punta Cana, Dominican Republic, with the financial support of the Government of Canada and ACP-EU. Twenty-seven participants attended from nine IGF member countries: Brazil, Bolivia, Colombia, Dominican Republic, Ecuador, Guatemala, Honduras, Mexico and Peru. UNDP invited three additional women from the host government to participate, which ensured that the meeting was gender balanced.

The goal of the workshop was to enhance the capacity of participants to apply and implement the *IGF Guidance for Governments on Managing Artisanal and Small-Scale Mining*. It is also meant to offer guidance and insights on key challenges in the sector, including gender equality, occupational health and safety, and strengthening the value chain. The workshop objectives were to:

1. Train IGF member representatives to understand the *IGF Guidance for Governments to Manage Artisanal and Small-Scale Mining*.
2. Create opportunities for knowledge sharing and peer learning on cross-cutting ASM issues and challenges.
3. Put in place a community of practice to support the integration of the *IGF Guidance for Governments to Manage Artisanal and Small-Scale Mining* in the participating countries.

The five-day workshop was facilitated and led by a team of IGF and CIRDI technical staff. It was co-hosted by the Government of the Dominican Republic and was officially opened by Antonio Isa Conde, Dominican Minister of Energy and Mines; Juana Barcelo, Chief Executive Officer of Barrick Pueblo Viejo; and Alexander Medina, Chair of the IGF.

In Isa Conde's opening remarks, he emphasized the challenges and positive impacts of ASM and encouraged participants to use the capacities gained at the workshop to positively impact their ASM sectors upon their returns. He further thanked the IGF and the Government of Canada for their support in the development of the guidance, as well as CIRDI and UNDP for organizing of the workshop together with IGF.

## TRAINING METHODOLOGY AND APPROACH

The workshop was designed around participatory exercises to ensure the active involvement of all participants and to enrich the learning process. The methods and materials used were focused on tapping into and building on the participants' extensive knowledge base, by applying this experience to the IGF guidance and the issues around gender, ASM value chains, and occupational health and security. The guidance document was distributed to participants in advance of the workshop and used as the basis for the training. Training techniques included:

1. Brief, lecture-style PowerPoint presentations on the phases and steps of the IGF guidance.
2. Group-based activities and assignments to work through and evaluate trainees' understanding of the guidance and its application.
3. Expert round tables and plenary discussions on ASM issues and challenges.
4. An ASM case study from the Dominican Republic, prepared and distributed in advance and presented on the first day, and on which most subsequent workshop exercises were based.





5. Additional ASM case studies from selected members states: Peru, Brazil and Colombia.
6. A field visit to an artisanal amber mine in Hato Mayor.
7. Return-to-work planning sessions to encourage the application of the guidance upon completion of the course.

## DAY 1: PHASE 1, GETTING STARTED

The training began with an overview of Phase 1 of the guidance: Getting Started. This phase of the guidance sets a foundation for the development of the ASM management strategy. Participants worked in groups through the steps of establishing an ASM task force, establishing a forum for stakeholder consultation, analyzing the ASM context and engaging with potential partners. Participants did so using the Dominican case study, which had been prepared for distribution prior to the training and was presented in detail early on Day 1 by the Mining General Director and IGF Chair, Alexander Medina. This case study introduced participants to the ASM sector in the Dominican Republic and provided a basis for discussions and exercises throughout the week. During the day, participants also reflected on the major challenges of the ASM sector through peer learning exercises and used these challenges to begin exercises for the second and most complicated part of the guidance: Developing an ASM Management Strategy. The purpose of this phase is to develop an ASM vision and management strategy that addresses the negative impacts of all types of ASM across a country and enhances its positive impacts. Given the length of this phase, it was covered over two days; on Day 1, facilitators introduced participants to the process of developing an ASM vision.

## DAY 2: AMBER MINE SITE VISIT

Day 2 proceeded with a field visit to an artisanal amber mine in the province of Hato Mayor, in the northeast of the country. Participants were able to tour the mine site and visit the surrounding communities and miners. They were divided in five thematic groups—environment; economic links and the value chain; occupational



health, safety and child protection; gender; and community links—in order to identify good and bad practices and make recommendations to the Dominican government. During the rest of the week, each group presented their findings and recommendations to the larger group.

## DAY 3: GENDER AND HEALTH & SAFETY IN ASM

Day 3 was facilitated by CIRDI and was built around two key issues for ASM: gender and health and safety. On gender, CIRDI emphasized the importance of inclusive development in mining. A targeted case study on gender in Peru, with a gender gap analysis activity, was presented by the president of non-governmental organization Red Social, Olinda Orozco, together with a Peruvian government delegate. CIRDI's presentation on gender in ASM focused on how to use the "gender lens" approach when designing ASM policies. During the afternoon, a series of presentations were done by CIRDI technical staff and another Peruvian delegate on health and safety in the ASM context, specifically drawing attention to Peru's relevant regulations. There was a facilitated discussion on understanding the "culture of safety" in ASM, as well as an exercise on the risk matrix framework used in Peru and how it could be applied to the amber mine in Dominican Republic.



## DAY 4: ASM VALUE CHAINS AND PHASE 2, DEVELOPING AN ASM MANAGEMENT STRATEGY

Day 4 began with presentations and discussions on ASM value chains, followed by more detailed discussions and exercises covering Phase 2 of the IGF guidance. The day started with a presentation from Red Social on ASM formalization and certification in Peru and was followed by another presentation on Brazil's legal framework for ASM, including the results of an assessment conducted on the ASM sector in the country. CIRDI technical staff concluded the morning session with the presentation of a value chain framework that was designed by Michael Porter to assess value chains. The framework was used in a group exercise to conduct and analyze the amber value chain in Dominican Republic, identifying bad and good practices.

In the afternoon, participants continued using the IGF guidance. They were introduced to the benefits of dividing the national ASM sector into different types to ensure that management strategies respond to the different needs and challenges of all ASM types present in a country. For the purposes of the exercise, and in keeping with the Dominican case study, the workshop participants were divided in four groups; two developed an ASM strategy for amber and the other two developed one for larimar. Group exercises then focused on the development of impacts and economic approaches to managing ASM. Participants worked in small groups to develop an approach to responding to ASM that focused on mitigating the negative social, environmental and economic impacts of the sector while ensuring its economic contribution to communities and the country.

## DAY 5: END OF PHASE 2 AND PHASE 3, IMPLEMENTING AN ASM MANAGEMENT STRATEGY

The work on Phase 2 of the guidance continued on Day 5. Participants were taken through the process of consolidating strategies for the various types of ASM into an overall ASM management strategy for the country.

The workshop then concluded with Phase 3: Implementing an ASM Management Strategy. This phase is about putting the ASM Management Strategy into practice and ensuring its success through effective monitoring and evaluation. In addition to brief lectures and group exercises, participants were given further opportunities at peer learning through expert round table discussions on identified ASM issues and challenges. This was a key highlight of the workshop because these sessions enriched participants' understanding and knowledge, while also serving to strengthen new relationships among the delegates, learning from each other's experiences in addressing ASM challenges and in harnessing ASM opportunities.

At the close of the workshop, country representatives presented their preliminary return-to-work plans, which had been developed throughout the week by the country teams to assist them in applying the guidance to the development of national ASM management strategies.

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