

GUIDANCE DOCUMENT



**Developing a National Action Plan to
Reduce, and Where Feasible, Eliminate
Mercury Use in Artisanal and Small
Scale Gold Mining**

Working Draft
August 17, 2015

Foreword

The Minamata Convention on Mercury, opened for signature in October 2013 in Japan, creates a blueprint for actions to protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds. Article 7 of the Minamata Convention addresses the largest anthropogenic source of mercury pollution, artisanal and small scale gold mining (ASGM). Under Article 7, countries where mercury is used in ASGM are required to take steps to reduce and, where feasible, eliminate the use of mercury. Because the ASGM sector is closely tied to complex economic development and poverty issues, the Convention allows flexible, country-specific solutions through the development of an ASGM National Action Plan (NAP). Although each country's NAP process will be unique, Annex C of the Minamata Convention provides a list of elements that must be included in each NAP.

This document represents an expansion of the UNEP's *Guidance Document: Developing a National Strategic Plan to Reduce Mercury Use in Artisanal and Small Scale Gold Mining* (UNEP 2011), and is intended to reflect Convention obligation and other advances in understanding of the ASGM sector. This document provides guidance to countries in formulating NAPs that are compliant with the requirements of the Minamata Convention, and provides technical, legal and policy information on issues related to ASGM, which can be useful when preparing and implementing the NAP. Although the use of this guidance is not a requirement under the Minamata Convention, this guidance is intended to assist countries with the preparation of their NAPs.

The document has been drafted by members of UNEP's Global Mercury Partnership, ASGM Partnership Area.

Table of Contents

Abbreviations and Acronyms	1
1. Introduction	2
1.1 The Minamata Convention on Mercury.....	2
1.2 About this document	2
1.3 Structure and use of this document	3
2. Artisanal and Small Scale Gold Mining (ASGM) and Mercury.....	6
2.1 The ASGM Sector	6
2.2 Overview of ASGM and Mercury Use	6
3. ASGM and the Minamata Convention	10
3.1 Obligations contained in Article 7 and Annex C of the Minamata Convention	10
3.2 Other Related Articles.....	10
3.3 Submission and Reporting Requirements.....	11
4. Steps for Developing a National Action Plan	14
4.1 Establishing a Coordinating Mechanism and Organization Process	14
4.2 Developing a National Overview.....	18
4.3 Setting Goals and Objectives	20
4.4 Formulating an Implementation Strategy.....	22
4.4(a) Workplan.....	25
4.4(b) Outreach Plan	25
4.4(c) Timeline.....	27
4.4(d) Budget	27
4.5 Developing an Evaluation Process	28
4.6 Endorsing and Submitting the NAP.....	30
5. Contents of the National Action Plan	33
5.1 National Objectives and Reduction Targets.....	33
5.2 Actions to Eliminate Worst Practices.....	36
5.3 Steps to Facilitate Formalization or Regulation	38
5.4 Baseline Estimates of ASGM Mercury Use.....	47
5.5 Strategies for Reducing Emissions, Releases, and Risks of Exposure	51

5.6	Managing Trade of Mercury and Preventing Diversion for Use in ASGM	56
5.6 (a)	Mercury supply, trade and ASGM.....	57
5.6 (b)	Strategies for managing trade	58
5.6 (c)	Strategies for preventing diversion of mercury to ASGM.....	60
5.7	Strategy for Involving Stakeholders	61
5.8	Public Health Strategy.....	63
5.9	Preventing Exposure of Vulnerable Populations to Mercury	64
5.10	Strategies for Providing Information Miners, Gold Processors, and Affected Communities	66
5.11	Schedule for Implementation	69
6.	Mechanisms for Promoting the Market for Mercury-free Gold.....	72
7.	Gender, Child Labor and ASGM	76
	Key Resources and References Cited.....	78
	ANNEX 1: Article 7 and Annex C of the Minamata Convention on Mercury	84
	ANNEX 2: Suggested Table of Contents for a National Action Plan.....	87
	ANNEX 3: Suggested questions for consideration in data collection on ASGM sector	89
	ANNEX 4: Sample Format for Workplan, Budget and Timeline.....	92
	ANNEX 5: Example of Baseline Inventory – Burkina Faso	93

Abbreviations and Acronyms

ASGM	Artisanal and Small-scale Gold Mining
Au	Gold
COMTRADE	United Nations Statistical Division – Commercial Trade
Convention	Minamata Convention on Mercury
COP	Conference of the Parties
EMP	Environmental Management Plan
EIA	Environmental Impact Assessment
GEF	Global Environmental Facility
Hg	Mercury
INC	Intergovernmental Negotiating Committee on Mercury
INF	Information document
INTERPOL	International Criminal Police Organization
NAP	National Action Plan
NGO	Non-Governmental Organization
OECD	Organization for Economic Cooperation and Development
SRI	Socially Responsible Investment
USEPA	United States Environmental Protection Agency
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
WHO	World Health Organization
WOA	Whole ore amalgamation



1

Introduction



1. Introduction

1.1 The Minamata Convention on Mercury

The Minamata Convention on Mercury is a global agreement to protect human health and the environment from the adverse effects of mercury. The text of the Convention was agreed in January 2013, and the Convention was opened for signature in October 2013.

The Convention addresses mercury, a globally ubiquitous and naturally occurring metal that has broad uses in everyday objects and industrial processes. Mercury is released to the atmosphere, soil and water from a variety of sources. Reducing and eliminating anthropogenic sources of mercury throughout its lifecycle has been a key factor in shaping the obligations under the Convention. As a result, the Convention includes, in part, measures to control the supply and trade of mercury, phase-outs of certain products and processes that use mercury, control measures for air, land and water emissions and releases, waste management requirements, actions to address contaminated sites, and steps to reduce, and where feasible eliminate, mercury use in artisanal and small-scale gold mining. Health aspects are addressed in a stand-alone article (Article 16) to emphasize the importance of the impact of mercury from various sectors to human health, as well as in other articles where specific engagement with the health sector is needed. The Convention also includes measures for technical exchange and international support.

1.2 About this document

The United Nations Environment Program (UNEP) first developed a guidance document on artisanal and small scale gold mining (ASGM) in 2011, entitled Guidance Document: Developing a National Strategic Plan to Reduce Mercury Use in Artisanal and Small Scale Gold Mining (UNEP 2011). The document was prepared to assist governments with the development of national strategic plans to improve practices and working conditions in ASGM communities and to reduce mercury, and where feasible eliminate, use, emissions and releases from the sector. The development of National Strategic Plans was pilot-tested in the Philippines and Cambodia and the 2011 guidance document reflects the experiences in those countries¹.

¹ The completed National Strategic Plan from the Philippines can be found at the UNEP website (<http://www.unep.org/chemicalsandwaste/Portals/9/2011-06-03%20NSP-ASGM.FINAL.2011.pdf>). While the National Strategic Plan from the Philippines does not reflect all of the requirements outlined under the Minamata Convention on Mercury, it may serve as a useful example to countries developing NAPs.

This document represents an expansion of this original guidance document and is intended to reflect the language of the Convention and other advances in understanding of the ASGM sector. It is intended to provide guidance to countries in formulating ASGM National Action Plans (NAPs) that are compliant with the requirements of the Minamata Convention. The document also provides technical, legal and policy information on issues related to ASGM, which may be useful when preparing and implementing the NAP. This guidance is indicative – the use of this document is not mandatory or a requirement under the Convention.

The mandate for the development of this document comes from the Final Act of the Minamata Convention, which called on the Intergovernmental Negotiating Committee on Mercury (INC) to support the development of guidance to countries in preparing their NAPs.

A proposal for the development of a guidance document based on UNEP's 2011 document was presented at the INC's 6th meeting. The proposal was accepted by the INC as a basis for the development of this guidance document for consideration at the INC's 7th meeting.

The initial draft guidance document was circulated to members of the UNEP Global Mercury Partnership and INC focal points for comment. Inputs were also provided by the World Health Organization on relevant health aspects. This current draft reflects consideration of the comments received on the initial draft. The guidance document may be further revised at the request of the INC.

The document has been developed by members of the UNEP Global Mercury Partnership, ASGM Partnership Area with financial support from UNEP and the U.S. Environmental Protection Agency (USEPA). The document was drafted by the Natural Resources Defense Council and the Biodiversity Research Institute, with significant contributions from an international panel of experts from the Artisanal Gold Council, the United Nations Industrial Development Organization (UNIDO), UNEP, Cordy Geosciences, U.S. State Department, USEPA, and BanToxics.

预览已结束，完整报告链接和二维码如下：

https://www.yunbaogao.cn/report/index/report?reportId=5_15689

