# Communities and Small-scale Mining (CASM)

### SECOND CASM ANNUAL GENERAL MEETING

TECHNICAL SESSIONS AND LEARNING EVENTS

ICA, PERU 23-28 SEPTEMBER 2002

#### Foreword

CASM's (Communities and Small-scale Mining) second annual general meeting and first regional learning event took place in Ica, Peru from September 23–28, 2002. More than 140 people from 27 countries participated in the meetings and workshops. Just under two thirds of the participants were based in Peru, while the rest came in from Africa, Asia/Pacific, Europe, and other countries in the Americas. In many ways, the meeting broke new ground.

The meeting agenda was set by the secretariat to highlight the emergence of new relationships such as those between miners and government or NGOs and miners, and to draw attention to new thinking about artisanal mining, including the livelihood issues underlying artisanal mining activity. Three learning sessions were organized: on knowledge sharing across international boundaries, on mineral processing for miners, and on communication and consensus building techniques for miners, communities, NGOs, government and mining companies.

While the formal presentations were fixed, participants set the tone and focus of ensuing discussions and, unlike in typical mining meetings, achieved a real mix of stakeholder interests. Almost one quarter of the participants were artisanal miners who represented 19 different artisanal mining companies, cooperatives and associations. The local and international NGO community was well represented, accounting for 20 percent of the participants, while research and academic institutions from Peru and elsewhere made up another 20 percent. Peruvian and foreign government representatives comprised only 12 percent of the gathering; donor agencies and assistance programs, another 12 percent. The private sector (consultants, mining equipment and mining companies, industry associations) accounted for the balance (11 percent). Twenty-five percent of the participants, cutting across all of the interest groups, were women. This mix of interests, backgrounds and cultures provided for lively, stimulating discussions.

The Annual General Meeting provided a neutral space in which the miners and other stakeholders could present their achievements and concerns and tackle difficult issues in an open and supportive environment.

#### Summary

The second annual general meeting of CASM was held in Ica, Peru to coincide with the fourth National Mining Congress hosted by the country's College of Engineers–Mining, Metallurgy and Geology Section. The CASM event highlighted the progress made to date and challenges that remain in implementing the country's new law to formalize and promote artisanal and small scale mining. Until this law was enacted in January 2002, artisanal mining had no legal standing in Peru. This occasion provided the first opportunity to acknowledge and applaud this important step forward before a sympathetic and supportive international audience and to share the Peruvian participants' hopes and concerns for its successful implementation.

The inaugural session focused on Peru: the morning session was devoted to the formalization experience, and the afternoon session to selected technical support initiatives of government and non-government organizations to artisanal and small scale miners. Each of the sessions was followed by a roundtable discussion led by a panel of international participants. The morning's discussion addressed the challenges of formalizing artisanal mining around the world. The Peruvian miners, who made up one quarter of the attendees, voiced their views regarding the strengths and weaknesses of the formalization experience in Peru. In the afternoon, following presentations of government and NGO experiences, a roundtable discussion examined the roles of governments, NGOs, and academics. A third session held on the second day of the meeting explored livelihood issues associated with artisanal mining in a regional context that drew on experiences in Bolivia, Ecuador, and Venezuela. Presentations related to the eradication of child labor from small scale mines, the social rationale of artisanal gold mining, and the community building processes in artisanal mining areas. The roundtable discussion considered the key question, "Can ASM contribute to the sustainable development of communities?"

The meeting sessions were followed by a series of workshops. A general workshop on sharing of international experiences highlighted ongoing work in Burkina Faso, Namibia, Brazil, Papua-New Guinea and the Philippines. Most of the Peruvian miners attended a technical workshop on mineral concentration technologies . In parallel, a workshop derived from the Business Partners for Development (BPD) initiative introduced concepts and tools for dialogue to a mixed group of miners, mining companies, government and NGO representatives.

The concluding plenary session, held on the morning of the third day, focused on how the CASM global knowledge initiative could better address the challenges posed by artisanal and small scale mining activities at the local level.

Members of the CASM expert advisory group who were present at the meeting drafted a letter to the Extractive Industries Review that affirmed the importance of artisanal and small scale mining as a source of employment and income to many emerging economies. The letter also emphasized the constructive role that the World Bank should play in helping countries sort out and respond effectively to the difficult issues posed by the subsector.

Following the meeting, a group of 30 international participants visited Nazca and the Santa Filomena mining community in the Nazca-Ocono district before returning to Lima and to their respective home countries.



CASM AGM 2002 – A Group of Participants. Photo - Jenn Hinton, 2002.



Santa Filomena Mining Cooperative. Photo by Jenn Hinton, 2002.

# THE PERUVIAN EXPERIENCE WITH ARTISANAL AND SMALL SCALE MINING (DAY 1 AM)

Mr. Edgardo Garcia of Living Earth Foundation (UK) chaired this session on the formalization process in Peru. The introductory presentation provided a background history of artisanal and small scale mining activity in Peru. Subsequent speakers from government, the small mines chamber, artisanal mining associations, and an international assistance project described the new legal approach and how it works, the current situation of ASM miners and their relationship to formal mining companies, and the perspective of international cooperation agencies. This was followed by a roundtable discussion on the formalization process of ASM in Peru and in general.

Zoila Martinez of the Instituto Para el Desarrollo Sustentable (Institute for Sustainable Development) in Peru spoke about the historical importance in the country of ASM, which goes as far back as 3,000 years. She drew many similarities between historical and present day ASM techniques in Peru: manual mining in shafts and galleries using wooden supports; pre-hispanic concentration methods such as quimbaletes (a large grinding stone, under which mercury is amalgamated with the crushed ore) and hauyras for smelting; and the use of mercury for concentrating (introduced by the Spaniards). She also described ASM activity in Peru today, which is of three types:

- A principal activity traditionally practiced by a stable local population (this is the case in Ananea and Puno).
- A principal activity adopted by a migrant population (as in Nazca and the Patas zone) when poverty in the countryside triggers migration to mining areas.
- A secondary activity practiced by a stable population (as occurs near the Ecuadorian border).

Guillermo Medina, director of the Small Scale Mining Project of the Peruvian Ministry of Energy and Mines, made a presentation about the new mining law (No. 27651). The mining code in Peru was originally designed to attract large scale foreign investment and has recently been changed to include ASM. The new law distinguishes artisanal from small-scale mining according to title area and production capacity:

- Artisanal mining refers to activity on less than 1,000 hectares of land that generates less than 25 metric tons of production a day.
- Small-scale mining refers to activity on 1,000 to 2,000 hectares of land , that generates 25 to 350 metric tons of production a day (with exceptions for certain minerals).

Registration requirements have been designed to facilitate the legalization process for ASM miners, for example by setting simplified environmental impact assessment obligations. Artisanal miners are now entitled to preferential land rights on condition that individuals or miners' associations are registered under the Dirección General de Minería (DGM) and that they do not operate on already licensed or occupied areas, or within national parks. The law also specifies minimum production volumes, fees,

penalties, and fines. Government measures to build technological capacity building and raise health and safety awareness have been instituted to support ASM.

The perspective of artisanal miners in Peru was presented by Manuel Reinoso, president of the AMASUC association of artisanal miners in southern Peru. He noted that a lack of other opportunities has meant that many people earn their living through artisanal and small scale mining. The mining population is typically made up of people who used to farm, have been displaced by terrorism, or have been retrenched by large scale private and national mines. These miners traditionally have operated outside the legal framework, but deteriorating conditions have forced them to organize themselves into regional associations and lobby for government recognition. A few years ago, most of the local miners' associations came together to form a joint commission and participated in a national forum on the mining situation, which resulted in the development of the new mining law. The commission was transformed into the Regional Association of Artisanal Mineral Producers of the Middle and Central South of Peru, AMASUC, which at the time of the Annual General Meeting was finalizing its strategic work plan (with support from a CASM small grant). According to Reinoso, the work plan focusses on opening markets to ASM products, improving technologies, and increasing earnings. The speaker emphasized that although the miners are happy to finally be recognized via the new mining law, they feel there is still much work to be done, particularly with respect to decentralization and government outreach.

The next presentation focused on small-scale mining's potential for long term job creation in isolated areas. Manuel Cabrera, president of the Junior Mining Chamber of Peru, emphasized that the sector needs assistance to move toward a more efficient level of mining operating with a business approach. Small mines can fit within a sustainable development framework if miners and mine operators with encouragement and training come to assume responsibility for health, safety and the environment and for maintaining good relations with nearby communities. The Chamber is actively seeking funds to help existing small scale mining operations. It also advocates a policy of promoting mining in areas where none exists.

Felix Hruschka of the Swiss-funded Peruvian-based GAMA project discussed some of the historic problems of directing international assistance and cooperation to the ASM sector in Peru. Only 3 percent of international aid is channeled to the sector. ASM is sometimes confused with large scale mining, and there is little recognition of the poverty alleviation potential of the sector. This is the case even though ASM fulfills many development goals such as job creation, revenue generation, regional economic development, and infrastructure development. Mr. Hruschka advocated providing different types of assistance for different types of ASM and focusing international aid accordingly: At the lowest end of the spectrum, poverty-driven artisanal mining needs humanitarian aid. More developed artisanal mining can benefit from projects to raise awareness and build capacity. Simple small scale mining operations need technical and environmental control assistance, while more developed forms of small scale mining can benefit from access to credit or lending facilities. The speaker concluded that efforts are

required to empower actors in the ASM sector such that they drive international cooperation objectives according to their needs, rather than the other way around.

#### Roundtable: steps following the formalization process

Moderator:	Edgardo Garcia Larralde
Panelists:	Leo Maraboli, World Bank, Washington
	Alcides Sanchez, Bella Rica Mining Cooperative, Ecuador
	Veston Malango, Ministry of Energy and Mines, Namibia.

The participants agreed that miners' associations are a platform for communication with the government and other organizations and constitute a key part of the formalization process. However, miners need some kind of incentive to function in organized groups.

Formalization is a long process that starts with legalization. It needs to be accompanied by an outreach program that builds bridges between government, miners, communities, and other stakeholders. It is important for governments to be able to assess how the ASM law is being applied and how it corresponds to the expectations of miners. The group agreed that formalization is not an end in itself, but rather a necessary step for the sustainable development of mining communities.

Several serious issues that need to be addressed by governments were discussed. Access to finance for ASM operations was seen as the most important issue by the miners. Credit agencies seldom provide financing because of a lack of collateral or guarantees. Environmental impacts were also identified as a serious concern, particularly as regards mining in protected areas. It was agreed that if this were to occur under any circumstances, it should be subject to strict environmental conditions. Dealing with bonanza or mining "rush" situations was also discussed. Governments struggle to deal with large numbers of people who do not belong to any organized structure. No global solutions were identified for these issues, but it was agreed that information sharing between governments is a first step.

International cooperation was recognized as vital for the improvement of the ASM sector. However, communities must be involved in any intervention program if it is to have lasting benefits. The group agreed that there is a need to expand the concept of technical assistance; that international aid should not focus solely on productivity and efficiency, but on ASM as part of a community development program; and that there is definite potential for ASM to contribute seriously to poverty reduction. A key conclusion was that for artisanal mining to become a viable activity, it must become commercially viable. This may mean mechanization and increasing the scale of operation. As this may not be possible in all or even the majority of situations, a transition to alternative economic activities will be necessary to assure community sustainability. Local economic diversification and development needs to be considered and consciously worked on during the life of the mine.

# ASSISTANCE PROJECTS FOR ASM IN PERU: GOVERNMENT AND NGO EXAMPLES (Day 1 PM)

Mr. Antonio Bermeo of the PRODEMINCA project in Ecuador chaired the session. Presentation topics included the government's environmental assistance project to the miners of Madre de Dios. NGO partnership projects with mining communities, the eradication of child labor, and occupational health. Technical assistance needs in Peru were also discussed.

The first assistance project to be presented was the Madre de Dios environmental project undertaken by the Peruvian Ministry of Energy and Mines (MEM). Jose Vidalon described the situation in the Huepetuhe-Caychive area, a subtropical mountain region near the Brazilian border. ASM there has led to deforestation, increased water turbidity, hydrological alterations, mercury contamination, and negative impacts on human health and biodiversity. The MEM project launched a program to raise awareness and build capacity in conjunction with specific environmental measures: encouraging the use of retorts; building tailings dams; implementing water recycling projects; undertaking a reforestation plan. Miners agreed to participate in the project only after significant trust building efforts by the government. This was fundamental and resulted in the success of reforestation efforts and increased retort use. The speaker concluded that a key element contributing to the success of the awareness raising program was the incorporation of environmental education in the local schools' curriculum.

Katia Romero from Cooperaccion, a Peruvian NGO, spoke about its participation with the mining community of Santa Filomena in the International Labour Office (ILO)– International Programme on the Elimination of Child Labor (IPEC). She described the five key program elements as:

- Awareness-raising campaigns, including those that use radio and television
- Mechanization: using technology (such as a power winch) to replace child labor
- Generation of alternative revenue: introducing a supplementary income generation program by using a rotating fund
- Strengthening of health and education services: mobilizing funds to build infrastructure with volunteer labor from the community. Teachers received specialized training for dealing with children who might work in mines.
- Implementation of a comprehensive community development plan: including building capacity to strengthen local institutions

The speaker concluded that the project has been successful due to its holistic approach and the engagement of the entire community.

An assistance project to improve occupational health in Huenca, a mining and cattle community, was presented by Anita Lujan from the Occupational Health Institute (ISAT) in Peru. A risk map was prepared in cooperation with the local community to analyze the mining process and identify risks at each stage according to gender and age groups. An accident register was developed and efforts were made to introduce a prevention culture.

Health risks were studied to design a program based on existing community health centers.

The speaker stressed that occupational health goes beyond working conditions and must also take into account general community and environmental health issues. In fact, the program paid a lot of attention to community health risks such as those associated with malnutrition. The uncontrolled use of mercury was identified as the greatest single health risk for the miners and the community.

A pilot project involving the use of a communal retort was introduced, financed by the Swiss. Initially it had limited use, but simple adjustments and improvements to the system have encouraged more miners to participate. The speaker noted that participation in existing roundtables and networks is a mutual learning process for all parties in assistance projects and contributes significantly to project success.

Finally, Francisco Lara of the Mining Engineers Development Consortium spoke about technical assistance needs for the ASM sector in Peru. Miners have important capacity needs in a number of areas: mining technologies, concentration methods, commercialization, strengthening mine management, and developing entrepreneurial skills. The speaker advocated assistance to ASM operations that has a focus on organizing them into small companies. This would reduce administration costs and enable the sale of greater volumes of concentrate at lower cost to the miners. It would also facilitate access to finance.

Roundtable: assistance projects: roles and relationships

Moderator:	Antonio Bermeo
Panelists:	BR Yakubu, Small Scale Mining Program, Minerals Commission, Ghana
	Evelyn Taucer, Conservation International, Bolivia
	Paul Warner, Community Relations, BHP-Billiton, Peru

The importance of assistance projects, particularly foreign assistance, was reiterated by representatives of ASM miners and communities. Many of these communities live in poverty and need economic and technical assistance, training, and environmental guidance to develop their livelihood. The group emphasized that ASM issues cannot be addressed with short term solutions. Assistance projects have temporary timeframes and need to focus on solutions that will outlast them. Awareness raising, capacity building, and education were identified as keys to long term solutions.

The active participation of governments in the mining industry is being reduced in most countries. However, it is clear that the ASM sector requires assistance that governments can facilitate. In addition to introducing policies that are appropriate for ASM, governments should support miners' compliance with legal requirements by making requisite documents easily available, by working with the miners to develop their own technical and administrative capacity to function legally, and by facilitating access to markets and a fair pricing system. A realistic fiscal regime that will not encourage black marketing is also important. Panelists discussed how, given the limitations of national

budgets, external assistance assumes an even greater importance for the improvement of working and living conditions in the sector. Mining ministries should not be lax in promoting the right environment for external assistance and in actively seeking such assistance. For example, the ministry must get ASM on the poverty reduction agenda of the national government and actively lobby for a piece of the development assistance pie.

The present tendency is for the state role to be substituted by the involvement of nongovernmental organizations. What is a fair measure of this substitution? Some of the participants felt that the role of national governments is undermined when international cooperation agencies channel everything through NGOs. It was agreed that to avoid this there needs to be good communication and collaboration between donor agencies, target communities, NGOs, and governments.

The role of NGOs in promoting alternative traditional economic activities was underlined. In mining communities, local economic opportunities can improve through the development of a coffee industry, eco tourism, animal husbandry projects, textiles, and other cottage industries.

A few examples of university assistance to ASM were given in Peru and in Southern Africa. The role of universities and academic institutions needs to be better explored. University programs usually focus on large scale mining (LSM) even in important ASM regions. One of the academics present suggested that students and professors are well placed to assist miners to comply with regulations, for example, by assisting with environmental impact assessments. However, the hazardous conditions of work at many ASM sites have discouraged students and academics from working more closely with miners.

The group discussed the relationship between large scale and artisanal and small scale mining. Both face many of the same issues. They need to take on board social and environmental costs and remain technically and economically viable. One fundamental difference is that large scale mining can afford to have a long term vision because of the resources it has at its disposal. At the recent Global Mining Initiative (GMI) meeting in Toronto, it was made clear by the major mining companies that it is the role of governments, not of companies, to provide help to the ASM sector. However, the group stressed that cooperation between the two can be mutually beneficial, especially at shared sites. Despite the Toronto conclusion, it was pointed out that individual large mining operations, at least in Southern Africa, have shown willingness to work with the ASM sector.

# REGIONAL AND INTERNATIONAL EXPERIENCES: ASM ASSISTANCE PROJECTS (DAY 2 AM)

Can ASM contribute to the sustainable development of communities? The question was the focus of the session chaired by Ms. Juana Kuramoto from the independent Peruvian research organization GRADE. Presentations on the elimination of child labor, capacity building for community development, and ASM as a survival strategy were followed by an open discussion.

The ILO–IPEC child labor eradication program is ongoing in Bolivia, Peru and Ecuador. Mr. Cesar Mosquera, the ILO regional program director, began by describing the reasons for child labor. Most children work not for financial gain, but because schools are costly and not accessibly located. The program was successful at decreasing the number of children working in mines in some areas and eliminating child labor entirely in others. Several conclusions were drawn:

- Assistance projects need to be based on good information. Lessons learned from past projects should be reviewed and understood before undertaking new ones.
- In order to successfully pursue child labor eradication objectives, miners' needs (usually financial and technical) must also be addressed.
- Projects need to incorporate capacity building within local institutions that will remain once the project is over.
- Assistance projects need to be included in wider poverty reduction strategies.
- Coordination between international projects needs to be reinforced.

The development of a health center in an ASM area in the state of Bolivar, Venezuela was presented by Divizay Delfino. The center was built under a Business Partners for Development (BPD) tri-sector partnership model that involved the private and government sectors as well as civil society. A transnational mining company (MINCA, majority owned by Placer Dome), governmental agencies (the health ministry, the state and municipal governments, and the army), local communities, the principal miners' association and Humanitarian Medical Relief Foundation (HMRF, an international NGO), worked together to build the center. The most challenging aspect was the linguistic and cultural diversity within the local communities, most of which lacked experience in participative processes. Dialogue structures were developed that allowed both indigenous and non-indigenous Creole mining communities to work together to achieve objectives of mutual importance and benefit. Strategic objectives were defined for the health center:

- Guarantee an integral health service.
- Develop prevention programs in conjunction with the local communities.
- Reduce the incidence of malaria.
- Improve the quality of life in the area.
- Help implement environmental programs for miners.

The center continues to function managed jointly by the state and the community. Its work is also supported by the Merunto Foundation, a community based organization with members from both indigenous and Creole communities that is involved in the development and promotion of a range of community development initiatives.

Finally, Marieke Heemskerke, a Dutch anthropologist, spoke about ASM gold mining as a survival strategy in Surinam. The Maroon people, a local ethnic group, have traditionally depended on subsistence activities in the forest areas of Surinam. Since the 1980s, many Maroons have undertaken gold mining as their primary activity. Those years saw a boom in gold mining because gold was more stable than the fluctuating Surinam currency. In addition, the capital investment required to begin mining is extremely low, and the relative earning potential in the mining industry is higher than in most other sectors. Although working conditions are arduous and incomes modest, the speaker indicated that the prevailing motivation for continuing involvement is that mining revenue provides the opportunity to invest in other activities or to send children to schools. Most Maroons want to be able to undertake different livelihoods in the future and do not wish their children to become miners. ASM is very much considered an opportunity to acquire a better standard of living, not a permanent occupation.



Peruvian Miners' Exhibit Model of a Quimbalete Gold Processing Operation. Photo by Jenn Hinton '02.

# **Open Discussion: can ASM contribute to the sustainable development of communities?**

#### Moderator: Juana Kuramoto, GRADE, Peru

It was noted in the discussion that where ASM is an important activity, it is usually the most promising, if not the only, accessible economic activity. ASM needs to be compared with realistic alternatives when considering how it can contribute to sustainable development. Agricultural livelihoods are often put forth as an alternative to mining; however, international trade has driven down prices and undermined this as a viable activity in many countries. It was agreed that in any situation, it is always beneficial to diversify economic activities and strategies. How this diversification and integration can happen needs to be explored further.

ASM often creates a spectrum of non-mining jobs through the products that miners consume and through the alternative businesses that miners or their dependents run. An example was provided from Ecuador, where roads built by ASM miners opened up markets for farmers and cottage industries in ASM communities. Formalized ASM can also contribute to national welfare through taxation, but in many cases, the national interest would be better served by reinvesting this revenue directly into local development projects, which would assist in securing a reasonable quality of life at the local level and promoting social and economic stability.

Although ASM provides jobs, its environmental impacts are usually detrimental. For example, large tracts of land in Bolivia have been devastated, and mercury contamination and extensive deforestation are serious concerns in Surinam. In many cases, miners do little to reduce impacts, because they consider their activity to be temporary believe their environment can withstand these impacts indefinitely, or simply do not have the resources to tackle the problem.

Environmental issues have yet to be resolved in any ASM country. Simply incorporating legal environmental requirements is not effective, although some participants felt that this approach is relevant for small and medium scale mining. The delegates agreed it is not feasible to simply expect miners to assume the cost of mitigating and remediating environmental impacts without any incentive. There was a group consensus that a step-by-step approach for implementing good practices is realistic, as long as environmental measures are part of an overall strategy to improve livelihoods.

Many of the delegates felt that in the proper framework, with appropriate assistance, ASM can contribute to sustainable development. However, a significant number of participants recommended that the gravity of environmental impacts means that it is imperative to compare ASM with other livelihood opportunities before encouraging the development of this sector.

# CONSENSUS AND CONCLUSIONS FROM THE PLENARY SESSION (DAY 3 AM)

#### What can CASM do to help local initiatives?

CASM can play an important global role in bringing attention to a sector that is often overlooked. It can help raise the profile of ASM within the international aid community as well as with national governments. The final plenary session served as a means of providing CASM with fresh guidance and insights to improve its future activities and work program. The plenary offered the Peruvian miners' associations a forum in which to formally present their concerns for the future to the international gathering.

During the plenary, the expert advisory group of CASM also presented for the proceedings a copy of a letter that the group had drafted for delivery to Dr. Emil Salim, chair of the Extractive Industries Review, and to Mr. James Wolfensohn, president of the World Bank. The letter was hand carried by Christina Echevarria, EAG member, to a meeting of the EIR panel being convened in Washington later that week. The letter affirmed the importance of artisanal mining activity for poverty alleviation efforts in many countries and recommended the World Bank's more proactive involvement in helping countries and communities address the challenges and opportunities presented by this activity (see Annex I).

At the meeting, representatives of the Peruvian miners' associations also formally presented their own draft document, which gave voice to their views on issues remaining to be addressed to complete the successful implementation of their formalization process.<sup>1</sup>

Mr. Reinoso, who summarized the miners' concerns before the assembly, noted that much work still remains to perfect the process. In brief, the group advocated legal recognition of miners working on third party concessions, a decentralization of the formalization process, and realistic paperwork requirements. A better system to evaluate and communicate ore values needs to be organized; under the current system, remote labs are often perceived to be colluding with mill owners to set a low value. A reliable newspaper or some other communication mode is necessary for miners in remote locations to obtain information on gold prices, legal requirements, and available assistance programs. The group also highlighted the need for training with respect to health and safety, appropriate mining methods and mining community leadership. (See Annex II)

In the general discussions that preceded and followed these presentations, the assembly turned its attention to CASM. *Summarized below are the main points which emerged from the group discussion:* 

<sup>&</sup>lt;sup>1</sup> See annex

1) CASM needs to continue facilitating the exchange of experiences between countries, building bridges to connect ASM networks, and linking assistance initiatives. More work is required to develop the webpage databases and to engage with the ASM sector, particularly in India and China, as over half the ASM miners in the world come from this region.

2) Certain key challenges have no easy solutions, and CASM can be instrumental in promoting research and new thinking on these issues, disseminating findings, and sharing successful approaches to problem resolution and positive experiences between countries. Specific areas to be explored by CASM were identified:

- The formalization process and the legal and regulatory framework for ASM. The second round of CASM small grants includes a project to support ASM miners with the formalization process in Peru and the Philippines. Another UK Department for International Development (DfID) and CASM project aims to create a model for ASM regulatory and institutional regimes. CASM should facilitate the next step by creating guidelines for governments, for example on the design of reasonable.
- Building an ASM component in the educational system. CASM could potentially work with universities to develop appropriate curriculum and programs that would better prepare graduates to be sensitive to and work more constructively with artisanal and small scale miners and their communities, especially so in Latin America and southern Africa. Current curricula concentrate almost exclusively on large scale and industrial mining technologies.
- Training for ASM assistance providers, specifically civil servants. CASM could identify training needs and facilitate the development of programs and vehicles for training delivery with ASM countries' technical institutions and universities.
- Education of miners at grassroots level. CASM should look for creative ways to promote education of miners and their associations in the basics of leadership, business operations, and group organization.
- Promoting dialogue between LSM and ASM. Positive experiences exist, for example in southern Venezuela, that have raised the standard.
- Promoting dialogue between artisanal miners and concession holders who, in Latin America, are often absentee entrepreneurs.
- Dealing with environmental impacts, disseminating good practices and reasonable but meaningful regulatory regimes.
- Access to credit and micro-financing schemes. CASM could develop reasonable lending criteria to promote with governments and lending agencies. Research and pilot projects are needed to identify successful elements of micro financing schemes. CASM could help identify funds and disseminate findings.
- Equitable commercialization. Avenues to promote commercialization of ASM minerals at fair prices for miners in remote areas need to be identified, not just for precious minerals but also for industrial minerals.
- Gender issues. CASM should promote consideration and integration of women's concerns into the international dialogue. Projects to assist women in mining communities and promote their active involvement should also be encouraged.

• Mineral price fluctuations. It was noted that a DfID funded research project will analyze the vulnerability of ASM to international prices.

3) The CASM small grants system needs to be revisited for Africa. More practical projects need to be solicited and academics should be considered, especially in areas where NGOs are not active. This issue will be discussed at upcoming meetings on ASM.

4) Finally, CASM should promote the development of regional strategic plans for ASM and measure progress with respect to the plan. Work on the design of a 10 year strategic plan for Latin America was initiated at a meeting held earlier in the year in Lima, sponsored by UNESCO and IDRC. This effort could serve as a model for other regions.

#### CASM LEARNING EVENTS (DAY 2 PM)

#### I. Sharing international experiences

a) Veston Malango of the Ministry of Energy and Mines in Namibia spoke about Government Support to the ASM sector. The Namibian government had committed itself to: improve the claim registration system; continue to provide loans to viable small scale mining projects; monitor environmental practices; and provide support through technical assistance and skills training via the recently created Small Miners Assistance Center (NSMAC). The Ministry had also helped to establish the Small Miners Association of Namibia (SMAN). The Directorate of Mines recently facilitated the establishment of a small-scale tin cooperative and a pilot plant in the Uis Imkor area. A large-scale mine closed there in 1991, leaving the community without jobs. Between 35 and 50 direct jobs have been created, and the plant is helping the ASM sector develop into a viable medium scale tin and tantalum operation.

b) A project to quantitatively assess the economic cost of mercury pollution in Diwalwal, the largest small scale mining area in the Philippines, was described by Danilo Israel from the Philippine Institute for Development. Results from the study funded by the Southeast Asian Economy and Environment Program and the World Bank indicated that in the gold mining chain, only the owners of concentration plants and financiers earn relatively important revenue. Miners cannot afford to undertake mercury pollution mitigation costs. Communal solutions could provide a way forward. Licensing requirements for cooperatives could include environmental measures such as shared retorts and communal tailings ponds.

c) World Bank support to the mining sector in Burkina Faso included an ASM assistance project. Mr. Joachim Bayah described how twelve site studies indicated a wide gap between ASM mining operations and the institutions tasked with promoting them. A workshop was held to discuss duplication of government responsibilities and a campaign was led to sensitize miners about where to seek assistance. Another focal point was on financial assistance needs. Workshops were held to build trust between miners and financiers, which resulted in several financial institutions' working with the ministry to

develop appropriate lending evaluation mechanisms. The project also included an equipment survey to promote local manufacturers and a study of alternative economic activities such as vegetable farming, animal husbandry, and agro processing/industry (shea butter). Lessons learned from the project were:

- A multidisciplinary team approach is beneficial. The project included geologists, mining and processing engineers, sociologists, experts in environmental and community health, communications advisors, micro financing specialists, and agriculturalists.
- Local knowledge is best for finding local solutions; listening to ASM miners and communities is imperative.
- Small, incremental objectives are best for trust building.

d) Saulo Rodríguez, from the Brazilian Mineral Technology Centre (CETEM), spoke on a recently approved Global Environment Facility (GEF) funded project to be undertaken by UNIDO in six countries: Tanzania, Sudan, Laos, Indonesia, Zimbabwe, and Brazil. In the participating countries, negative environmental impacts overshadow ASM's positive contributions. The effects of mercury pollution in the Amazon in Brazil are a threat to public health in the proximity of mineral processing activities, in the mining villages, and far downstream of mining areas. In each of the participating countries, the GEF project aims to reduce environmental impacts by: assessing the extent of mercury pollution; raising awareness for miners and the public; introducing cleaner, more efficient technologies; assisting the government with practical policies and legislation; and building local capacity to ensure continuous monitoring of mercury pollution.

e) ASM in Papua New Guinea (PNG) was discussed by Trevor Neale from Eadie Creek Mining Ltd. Approximately 50,000 ASM miners operate in PNG, a country where rural subsistence farmers comprise 70 percent of the population. The average annual income per miner is K3600 (US\$900), compared with the average PNG income of K994 (US\$250). The government supports the development of the ASM sector, particularly as large scale mines close and new jobs are needed. The sector is also well supported by international aid agencies, and projects have been implemented or are planned by AusAid, the World Bank, Sysmin, the Asian Development Bank, and the Japanese Social Development Fund (JSDF).

#### **Open discussion: sharing international experiences**

Over the past two years, the French Bureau of Geological and Mining Research (BRGM) has undertaken assistance projects in West Africa involving 10 countries. The program will end this year with work on gold mining in Burkina Faso and Gabon and industrial mineral mining in Tanzania and Mali. In each of the countries, a multidisciplinary team worked with local actors to try to achieve practical, lasting benefits. Measures were gradually implemented to achieve slow changes that did not perturb ASM communities. Projects in three or four countries were being planned for 2003.

In Ghana, the government accrued funds to cover environmental restoration costs through collection of three percent of the revenue generated through the central mineral-buying agency, but it never spent the funds. Some degraded areas have been recovered using other funds, but the issue remains to be effectively addressed.

#### **II. Mineral processing for beginners**

Hermann Wotruba, Professor of Mineral Processing from the University of Aachen, Germany, led a workshop on mineral concentration technologies used by artisanal and small scale miners in the region. Most of the participants were local miners who stressed their need for more appropriate technologies and access to the funds. Improving productivity to increase marginal revenue was considered far more important than implementing environmental measures. Participants were in favor of win-win technologies that mitigate environmental impacts and increase productivity at the same time. The workshop was considered extremely useful by the participants, who expressed their hope that such events be held regularly. Other avenues for technical assistance were identified: onsite advice to individual operations; practical demonstrations through model plants; and visits to ASM operations in other countries with advanced technologies.

#### III. Learning how to talk to each other: lessons from the BPD experience

Edgardo Garcia Larralde from the Living Earth Foundation in London held a workshop on tools for dialogue between miners, companies, governments and NGOs. It was attended by representatives of all stakeholder groups present at the AGM.

#### VISIT TO SANTA FILOMENA

The CASM meeting concluded with a visit to the artisanal mining community of Santa Filomena, about 7 hours by road to the south and east of Nazca, Peru. On September 27, approximately 30 of the international participants arrived at Santa Filomena, 2600 meters above sea level. The visit highlighted the constructive and positive efforts of local non-government organizations working with miners' associations and communities, giving substance and reality to the positive changes and progress documented in the NGO presentations made earlier in the week.



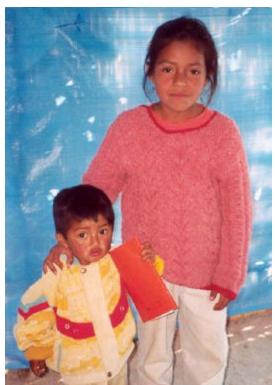
Santa Filomena Welcoming Committee. Photo by Jenn Hinton, '02.

Unemployed migrant workers and their families had moved to the area in the 1980s to mine gold from a failed "commercial" underground mining operation. They established a community centered around the mine's main access and put up simple reed homes. Scattered throughout were small shops and traditional mineral processing facilities using the "quimbalete," a large grinding stone, under which mercury is amalgamated with the crushed ore. Both mining and mineral processing operations were integral parts of the domestic work cycle in which all family members traditionally participated, including children and adolescents.

Santa Filomena, a community of 1500 people, of which 42% are under the age of 18, is a pilot community for the International Labor Organization's program to eradicate child labor in artisanal mining. A local Peruvian NGO, Cooperaccion, has been working with the community on a number of fronts. With support from the ILO and organizational

support from Cooperaccion, the miners have strengthened their organization and are now formalized. They have been able to acquire new "appropriate" technologies, including an ore hoisting system, and now are building a community processing plant in the valley bottom. A CASM small grant is financing the development of the plant's environmental management plan. Irrespective of what additional progress comes in the future, the miners have improved their productivity, have enhanced worker safety, and are eliminating the "need" for child labor in the mining or processing operations. The miners are now building a community processing plant in the valley bottom, which will improve gold recoveries, do away with the use of mercury, and also eliminate childrens' work in the processing cycle.

The community has a variety of vibrant civic associations, social welfare clubs and



Santa Filomena Children. Photo by Jenn Hinton, '02

organizations, and new small businesses. The local school provides preschool, primary and secondary education. The international visitors were impressed by the hospitality, spirit and positive outlook of people within the community, and especially by their real achievements in organization, health and safety, and quality of life improvements.



Women's Cooperative, Santa Filomena, with Gotthard Walser and Jenn Hinton '02.

#### Attachments

- Letter to EIR
- Document from Peruvian Miners (Spanish and English Translation)
- List of participants
- AGM Program of Events

#### **Acronyms and Abbreviations**

ASM - artisanal and small-scale mining

AusAid - Australian Government's overseas aid program

BRGM - Bureau de recherches géologiques et minières

CASM – communities and artisanal and small-scale mining

CETEM - Centre for Minerals Research in Brazil

DfID – UK Department for International Development

DGM - Dirección General de Minería

EAG - CASM expert advisory group

EIA - Environmental Impact Assessment

EIR – World Bank's Extractive Industries Review

GEF - Global Environment Facility

GMI - Global Mining Initiative

HMRF - Humanitarian Medical Relief Foundation

IDRC - International Development Research Centre

ILO- International Labour Office

IPEC - International Programme on the Elimination of Child labour

ISAT - Occupational Health Institute in Peru

JSDF - Japanese Social Development Fund

LSM - large-scale mining

MEM - Peruvian Ministry of Energy and Mines

NGO – non-governmental organizations

PNG – Papua New Guinea

SMAC - Namibian Small Miners Assistance Center

SMAN - Small Miners Association of Namibia

SYSMIN - European Commission project

UNESCO - United Nations Educational, Scientific and Cultural Office

Ica, Peru 24 September 2002

The Eminent Person Extractive Industries Review WASHINGTON

Dear Mr. Salim,

The purpose of this letter is to update you on the findings and results of the Second Annual Meeting of the CASM Expert Advisory Group that took place in Ica, Peru on September 23-28, 2002, and to request your consideration, and actions to address the main issues identified at this meeting. Our request is based on the following considerations:

- A number of recent multi-stakeholder processes, such as the Mining, Minerals and Sustainable Development project and the Extractive Industries Review itself, highlighted the importance of the artisanal and small-scale mining sector. These initiatives recognized that support for this sector is critical if it is to transform.
- Artisanal and small-scale mining is a reality in the developing world. The main challenge for its transformation lies in formalizing the activity by identifying and implementing the mechanisms and conditions that will allow the sector to move from unsustainable practices towards maximizing its potential to promote sustainable communities and contribute to poverty reduction.
- The ILO estimated that some 13 million people in developing countries are directly involved in this activity, among them many women, children, indigenous peoples and other vulnerable sectors of society.
- Natural disasters and civil conflict are driving increasing numbers of people into the sector.
- Downscaling and unplanned mine closure are contributing to an increase in these numbers.
- Well-managed artisanal and small-scale mining has shown to contribute positively to sustainable and diversified livelihoods, and to state revenues.
- In many developing countries, artisanal and small-scale mining is already contributing significantly to national and local economies.
- Artisanal and small-scale mining generates more local economic linkages and a wider spread of local benefits than large-scale mining.

In accordance with the recommendations of the Second Annual Meeting of the CASM Expert Advisory Group, we urge the World Bank Group and the Extractive Industries Review to fully incorporate the concerns of the artisanal and small-scale mining sector in the next phase of the Review and in its final recommendations. We shall be pleased to provide additional information and documentation as you may require, and will appreciate your actions on this matter.

#### EXPERT ADVISORY GROUP - CASM

The Communities and Small Scale Mining (CASM) initiative, is sponsored by various institutions, including the International Labour Organisation (ILO), the United Nations Department for Economic and Social Development, UK Department of International Development, the Mining Department of the World Bank and Conservation International.

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cc. Emil Salim, Eminent Person, EIR

# PROPUESTA DE LA MINERIA ARTESANAL DEL PERU

#### AREA LEGAL

- Perfeccionamiento de normas legales existentes sobre minería artesanal.
- Simplificación de la normatividad sobre medio ambiente.
- Asistencia y asesoramiento legal.
- Transparencia en los trámites administrativos.
- Descentralización efectiva e implementación de oficinas regionales del Ministerio de Energía y Minas para facilitar el proceso de formalización y promoción de la minería artesanal.
- Acceso a la seguridad social, según las características de la minería artesanal.

#### AREA TECNICO PRODUCTIVA

- Lograr normas técnicas adecuadas para el acceso legal a insumos y explosivos
- Capacitación y supervisión en seguridad minera.
- Asesoramiento y capacitación técnico-productiva.
- Instalación de plantas de beneficio y laboratorios químicos.
- Establecimiento de canales para hacer accesible el financiamiento.

#### AREA ORGANIZATIVA

- Fortalecimiento de la capacidad de organización minera mediante capacitación.
- Formalización de las organizaciones minero artesanales.
- Apoyo para desarrollar liderazgos en las organizaciones y comunidades mineras.
- Estrecha coordinación con las organizaciones de mujeres mineras.
- Formalización de las comunidades mineras (articulación administrativo-política).
- Atención del Estado para la infraestructura social.
- Proyectos de ampliación y construcción del tendido eléctrico.
- Acceso a la telefonía, informática e información para el desarrollo.

#### AREA SOCIO-AMBIENTAL

- Planificación de los asentamientos mineros que incluya zonas de producción alejadas de las zonas de vivienda.
- Generalizar el uso de retortas y mecanismos para evitar la contaminación ambiental por mercurio.
- Sensibilizar a la población y autoridades sobre la problemática de salud y el riesgo ambiental.
- Apoyo para lograr abastecimiento de agua en calidad y cantidad adecuadas.
- Construcción de silos y rellenos sanitarios para resguardar el saneamiento ambiental
- Campañas de despistaje de contaminación por mercurio (Ministerio de Salud y Energía y Minas, conjuntamente).
- Mejorar la infraestructura educativa y solicitar la dotación de profesores calificados para las comunidades mineras.
- Acciones permanentes para eliminar progresivamente el trabajo infantil.

#### AREA DE LA MUJER

- Capacitación para que las mujeres mineras desarrollen actividades productivas a través de micro empresas.
- Capacitación de las mujeres en aspectos del cuidado infantil, nutrición y salud familiar.
- Identificación de los problemas y búsqueda de soluciones organizativas.

# **Proposal For Artisanal Mining in Peru**

Presented by the Representatives of Artisanal Miners and Mining Associations present at the CASM AGM in Ica, Peru September 25, 2002

#### LEGAL AREA

- Improvement of existing legal standards regarding artisanal mining.
- Simplification of environmental regulations.
- Legal assistance and consultation.
- Transparency of administrative transactions.
- Effective decentralization and implementation of regional offices of the Ministry of Energy and Mines to facilitate the formalization process and the promotion of artisanal mining.
- Access to social security in accordance with the characteristics of artisanal mining.

#### TECHNICAL AND PRODUCTIVITY AREA

- Achieve adequate technical standards for legal access to materials and explosives.
- Training and supervision in mining safety.
- Technical and productivity advisory and training.
- Installation of business facilities and chemical laboratories.
- Establishment of channels to make financing accessible.

#### ORGANIZATIONAL AREA

- Strengthen organizational capacity through training.
- Formalize the artisanal miners' organizations.
- Support for leadership development in the mining organizations and communities.
- Incorporate coordination with female miners' organizations.
- Formalize the political/administrative status of mining communities .
- State attention to the [development of] social infrastructure.
- Projects to construct and expand electrical distribution systems.
- Access to telephone service, informatics and information to support development.

#### SOCIAL -ENVIRONMENTAL AREA

- Planning of mining communities that encompasses production zones in remote locations far from the residential area.
- Generalize the use of retorts and mechanisms to eliminate environmental contamination from mercury.
- Raise the awareness of the public and the authorities about health concerns and environmental risks.
- Support the achievement of a water supply of adequate quality and quantity.
- Construction of sanitary facilities, drainage and sewage systems to safeguard against pollution.

- Campaigns (in conjunction with the Ministries of Health and of Energy and Mines) to promote early detection and diagnosis of mercury contamination.
- Improve the educational infrastructure and recruit qualified teachers for the mining community.
- Committed actions to progressively eradicate child labor.

#### WOMEN'S AREA

- Training to prepare female miners for productive development activities through small businesses.
- Training of women in aspects of child care, nutricion and family health.
- Identification of challenges and efforts to seek organized solutions.

Translated by RH and JD 05/15/2003

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# **Final Program**

#### Communities and Small Scale Mining Annual General Meeting and Learning Event September 23-28, 2002 in Ica, Peru

#### Monday, September 23

(Local coordination: GAMA)

8:30	Transport of international participants from Lima to Ica
12:00	Lunch
13:00	Conference Registration
	Place: Hotel Turistas "Real Ica"
14:00	CASM Business Meeting (Part I) (in English with Spanish translation)
	<ul> <li>Review of work and financial statement</li> </ul>
	b. Review of short term challenges
15:45	Coffee break
16:00	Planning for the future of CASM (Part II) (in English with Spanish transl)
	a. Work plan for the coming year
	b. Strategic planning and alliances
18:00	Recess
20:00	Welcoming Reception

#### Tuesday, September 24

(Local coordination: MEM, GAMA) In Spanish with simultaneous English translation

The Peruvian experience with artisanal mining – history, new law, perspectives of miners, mining companies, and international cooperation; roundtable on next steps in the formalization process

9:00	Official Welcome
9:15	Zoila Martínez
	Historic description of artisanal mining in Perú
9:45	Guillermo Medina
	The new artisanal mining law
10:15	Manuel Reinoso (to be confirmed)
	An artisanal miner's perspective
10:45	Coffee break
11:00	ТВА
	A mining company perspective
11:30	Felix Hruschka
	An international cooperation perspective
12:00	Round Table Discussion
	Discussants: Leo Maraboli, World Bank, and Veston Malango, Ministry
	of Energy and Mines, Namibia
	After the new law: defining the way forward (next steps for the
	formalization of artisanal mining in Peru)

13:00
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#### Technical assistance to artisanal mining – Government and NGO examples; roundtable on role of government and NGOs in the delivery of technical assistance

14:30	TBA		
	Ministry assistance to miners in Madre de Dios, Peru		
15:00	Non-government assistance		
	15:00 Kathia Romero (Cooperaccion): Focus on child labor		
	15:15	Anita Luján (Instituto Salud y Trabajo): Focus on occupational	
		health	
	15:30	Francisco Lara : Business focus	
	Round	Table Discussion:	
15:45	Discus	sants: Christina Echeverría, Director-Mining Policy Research	
	Initiative (Latin America), IDRC		
	Biagya Yakubu, Director, Small-Scale Mining Program, Minerals		
	Commission, Ghana		
	Role of government and non-government institutions in the delivery of		
	technic	al assistance	
16:30	Coffee break		
10:50	Thomatic Discussions / Peacemmandations arising from the round		
16:50	Thematic Discussions / Recommendations arising from the round tables		
18:10	_	Poster Exhibits	
20:00	Recess		

#### Wednesday, September 25

(Local coordination: MEM, GAMA, CIP) In Spanish with simultaneous English (am only)

# Regional and international experiences: focus on child labour, community development and artisanal mining as part of a diversified livelihood strategy

8:00	Tour of Poster Exhibits (continued)
9:15	Cesar Mosquera (OIT-IPEC)
	Eliminating child labor in artisanal mining: the ILO experience in Bolivia,
	Ecuador and Peru
10:00	Divizay Delfino y Claudia Rojas (Fundación Merunto) Venezuela
	Capacity building for community development in artisanal mining areas
10:45	Coffee break
11:00	Marieke Heemskerke (University of Wisconsin, USA) y Jopie Matodja
	(Representative of the Njuka Maroon community) Surinam
	Costs and benefits of artisanal gold mining as rural survival strategy
	among the Njuka of Surinam
11:45	Round Table Discussion:
	Discussants: TBA
	Can artisanal mining contribute to the sustainable development of rural
	communities? In what ways? And under what conditions?
13:00	Lunch

### Talleres / Workshops

14:30	Hermann Wotruba University of Aachen, Germany: (Open Participation) Procesos de beneficio mineral, aptos para la minería en pequeña escala (Basics of Mineral Processing Appropriate for Small- Scale Mining) (in Spanish only)	<i>Edgardo García</i> <i>Larralde</i> Living Earth Foundation, London, England ( <i>Participation limited to</i> <i>30</i> ) Herramientas para la convivencia: aprender a cómo hablar el uno al otro para mineros, compañías mineras, Gobiernos y ONGs ( <i>in Spanish only</i> )	Sharing the International Experience The Uis Tin Mining Experience in Namibia, Mercury Pollution from Artisanal Gold Mining in the Philippines, World Bank assistance to artisanal miners in Burkina Faso, and others (in English with Spanish translation)
16:30	Coffee break		
16:45	Workshop continuation Wotruba	Workshop continuation García Larralde	Round Table on building international networks for sharing information
18:00	Transport to Hotel	Las Dunas	
19:00	Official closing ceremony of CASM AGM, with opening of the 4th National Mining Congress (to be confirmed)		
	Return transport to	o Hotel Real Ica	
20:00		ation of small grant award ster Exhibit; of the CASM	

Thursday, September 26 (Local coordination: GAMA, MEM)

9:00	Option 1: Visit to the Mine Equipment Exhibition	Option 2: Tourist trip to lagoon and dunes of Ica	Option 3: Participacion in Congreso Nacional de Minería (requires registration at preferential rates)	Option 4: Continuation of Wotruba and Garica workshops
11:30	Return to Hotel Ica F	Real		Workshop recommendations
12:00	Plenary: Conference Summary and Recommendations for Follow Up Actions (in Spanish with simultaneous English translation)			
13:00	Final Lunch			

15:00	Option Lima:	Option Nazca:
	Return of international participants to Lima	Transport to Nazca for tose participating in the optional excursión to Santa Filomena
17:00		Arrival to Nazca
18:30	Arrival to Lima	
19:00		Pre-Dinner talk on Nazca lines (to be
		confirmed)

#### Friday, September 27

(Local coordination: SOTRAMI / Cooperación / CASM) English & French translators

#### Nazca Option: Excursion to the mining community of Santa Filomena



#### Departure at 7 am

Visits to processing plant, mining center, and mining areas Meetings with SOTRAMI (the miners' company) and with the Local Management Committee for the Development of Santa Filomena re: community development and reduction in the use of child labor. Box lunch provided. Return to Nazca by 8:30 pm

#### Saturday, September 28

(Local coordination: GAMA)

8:30	Charter flights over the Nazca lines (optional)	
10:30	Return to Lima	
12:00	Lunch on the road	
16:30	Arrival to Lima	

#### FEES:

Registration: \$10 US or equivalent in Soles payable upon arrival in Ica

Those meals and coffee breaks, including the opening cocktail, highlighted in gray are provided courtesy of the conference organizers for all participants.

Transportation between Lima and Ica, as well as Ica-Nazca-Santa Filomena-Lima will be organized and paid for by the conference organizers for all participants (limited to 50).

The approximate cost in lodging and food to participants on the optional field trip to Santa Filomena is from \$ 50 US to \$ 150 US (depending on choice of lodging). The air charter over the Nazca lines is extra.

September 4, 2002