

# planetGOLD Criteria for Environmentally and Socially Responsible Operations

VERSION 3.0

MARCH 2025

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## About the planetGOLD Criteria

This guidance sets out specific criteria to govern the operations of artisanal and small-scale gold mining beneficiaries engaged with the planetGOLD programme. By adhering to these criteria, beneficiaries of the programme will meet the environmental and social safeguards required of Global Environment Facility-funded projects. This is a living document and the planetGOLD programme reserves the right to revise it based on implementation experience. The official language of the criteria is English and supersedes all other versions; see [planetGOLD.org](https://planetgold.org) for more information.

## Disclaimer

The planetGOLD Criteria is a branched version of the CRAFT Code which is published by the Code maintainer the Alliance for Responsible Mining (ARM).

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## Citation

planetGOLD Programme. 2025. The planetGOLD Criteria is a CRAFT branch using CRAFT 2.1 (published by ARM, March 2024 <https://www.craftmines.org>).

## Inquiries

We welcome feedback on the planetGOLD Criteria. Please contact us through [www.planetGOLD.org](https://www.planetgold.org).

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<sup>1</sup> In the case of inconsistency between versions, reference defaults to the official language version: English, version number 2.1. (CRAFT 2.1, 2024)

## Acronyms

<b>ASGM</b>	Artisanal and Small-scale Gold Mining
<b>ARM</b>	Alliance for Responsible Mining
<b>ASM</b>	Artisanal and Small-scale Mining
<b>CRAFT</b>	Code of Risk-mitigation for ASM engaging in Formal Trade
<b>EITI</b>	Extractive Industry Transparency Initiative
<b>GEF</b>	Global Environment Facility
<b>ILO</b>	International Labor Organization
<b>LBMA</b>	London Bullion Market Association
<b>ME</b>	Mining Entity
<b>MS</b>	Minimum Standard (used for GEF Standards)
<b>OECD</b>	Organization for Economic Co-operation and Development
<b>UNEP</b>	United Nations Environment Programme
<b>UNIDO</b>	United Nations Industrial Development Organization

## Introduction

The artisanal and small-scale gold mining (ASGM) sector is a source of employment for 10-20 million miners in over 80 countries, almost all of them in the developing world. Approximately 100 million people are economically supported by this largely informal industry, which produces roughly 20 percent of the world's gold.<sup>2</sup> However, ASGM is also a major source of mercury pollution: according to the UNEP Global Mercury Assessment, the ASGM sector accounts for about 38% of global mercury emissions. Regionally, the sector accounts for “about 70% and up to 80% of the emissions ...[in] South America and Sub-Saharan Africa, respectively” (UNEP, 2019).

Recognizing the substantial impact of mercury pollution from ASGM, the Minamata Convention on Mercury (UNEP, 2013) addresses ASGM in a stand-alone article (Article 7) and requires countries with significant ASGM to develop and implement a National Action Plan (NAP) to “reduce, and where feasible eliminate, the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, such mining and processing” (UNEP 2013).

Among other strategies, these NAPs must contain strategies to eliminate worst practices and reduce mercury use and exposures. However, such measures generally will require capital for investment in better equipment as well as training in new technical and business skills. Currently, ASGM practitioners face a range of legal, social and other barriers to making the transition to better practices.

The planetGOLD programme, funded by the Global Environment Facility (GEF), was designed to address these barriers by improving access to finance and access to markets, transferring mercury-free technology and assisting with formalization efforts. One key element of attracting finance and engaging formal markets is to ensure that gold is produced according to relevant environmental and social standards. The following guidance has been created to help position the planetGOLD programme participants to meet such requirements.

## Purpose of this Guidance

This guidance sets out specific criteria to govern the operations of artisanal and small-scale gold Mining Entities (MEs) engaged with the planetGOLD programme. Conformance with the criteria will ensure that artisanal and small-scale miners participating in the planetGOLD programme undertake sufficient efforts to avoid, minimize, mitigate, and where appropriate, offset adverse impacts to people and the environment. By adhering to these criteria, MEs participating in the programme will be able to meet the environmental and social safeguards required of GEF-funded projects and will enhance their ability to attract financing and sell their gold products to formal markets.

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<sup>2</sup> <https://www.iisd.org/sites/default/files/publications/igf-asm-global-trends.pdf>

# Content of the planetGOLD Criteria

## Basis of the planetGOLD Criteria

As the first step in creating the planetGOLD Criteria for Environmentally and Socially Responsible Operations (hereinafter referred to as planetGOLD Criteria), several relevant standards for existing responsible sourcing programs, as well as relevant policies of the GEF, international development agencies and other funders,<sup>3</sup> were reviewed. Special attention was given to requirements of the Minamata Convention on Mercury, the GEF Environment and Social Safeguards, the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-affected and High-risk Areas (OECD Minerals Guidance),<sup>4</sup> and the Code of Risk-mitigation for ASM engaging in Formal Trade (CRAFT).

The CRAFT Code was initially developed to help artisanal and small-scale miners, and the buyers of their mineral products, demonstrate conformance with the OECD Minerals Guidance. CRAFT has since evolved to become an open-source code that can be used by a wide range of actors to demonstrate and evaluate the responsible production of minerals. The code was developed through an inclusive process, including two multi-sector committees (a Standard Committee and Advisory Group)<sup>5</sup> and widely vetted; as a result, it incorporates the majority of elements contained within other key guidance and codes, including the OECD Minerals Guidance, London Bullion Market Association's (LBMA) Responsible Gold Guidance, and the Responsible Jewellery Council's (RJC) Code of Practices.

The planetGOLD Criteria have been aligned to CRAFT and can be recognized as a branched version of the CRAFT Code<sup>6</sup>. By aligning with CRAFT, the Mining Entities (ME) that conform with planetGOLD Criteria will also be in conformance with other key guidance and codes. **In addition to incorporating elements of the CRAFT Code, the planetGOLD Criteria include three criteria that are specific to the planetGOLD programme.** The CRAFT elements and planetGOLD-specific criteria are described below.

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<sup>3</sup> This guidance was created by reviewing standards for existing responsible sourcing programs, published by the following: Code of Risk-mitigation for ASM Engaging in Formal Trade (CRAFT), Fairmined, Global Environment Facility (GEF), London Bullion Market Association (LBMA), OECD Minerals Guidance, Minamata Convention, Responsible Jewelry Council, UNEP and UNIDO.

<sup>4</sup> The OECD Minerals Guidance and related instruments encourage or require downstream actors to further understand and "de-risk" their supply chains. (CRAFT 2.1, 2024).

<sup>5</sup> These two groups which consisted of artisanal miners, refiners, industry associations, civil society and organizations working directly with miners, and independent experts, provided guidance in the scoping and development of CRAFT.

<sup>6</sup> A localized or branched version of CRAFT is appropriate where supply chain schemes wish to implement and use the CRAFT Code with added, modified, or dropped requirements for MEs or beyond its scope. (See Vol. 3, CRAFT 2.1, 2024).

## planetGOLD Criteria and the CRAFT CODE

The planetGOLD Criteria incorporate **Modules 1-4**<sup>7</sup> of the [CRAFT Code](#), each described briefly here.<sup>8,9</sup>

**Module 1** requires the ME to adopt a management system. MEs are expected to provide a basic profile of their operations (the operating name of the ME, internal organization, geographic location) along with:

- ▶ A declaration in a written statement of its commitment to follow the planetGOLD Criteria;
- ▶ A declaration in a written statement of its commitment to “promoting the reduction and releases of, and exposure to, mercury in ASGM processing, including mercury-free methods, in accordance with the Minamata Convention on Mercury; and
- ▶ The nomination of a ME focal point who will be responsible for the implementation of the planetGOLD Criteria.

**Module 2** includes requirements and criteria to assess the “**legitimacy**” of the ME. To address the difficult concept of legitimacy, Module 2 provides four “**country context cases**” which illustrate different ways that a ME could be considered legitimate or not. These cases are designed to guide the ME in reporting its status as a legitimate entity.

**Module 3** of CRAFT addresses “Annex II risks” for which the Model Supply Chain Policy in Annex II of the OECD Minerals Guidance recommends that “BUYERS immediately suspend or discontinue commercial engagement” with MEs, if a reasonable risk is not mitigated”

**Module 4** addresses “Annex II risks” for which the Model Supply Chain Policy in Annex II of the OECD Minerals Guidance recommends suspension or discontinued commercial engagement with MEs “after failed attempts at mitigation”

<sup>7</sup> Mining entities should expect Modules 1-4 to be in alignment with the “Supply Chain Policy” provided in Annex II of the OECD Minerals Guidance, as noted by the CRAFT Code. Meeting these requirements is essential to engagement with formal markets. See Vol 1, pg.7 (CRAFT 2.1, 2024)

<sup>8</sup> CRAFT Modules 1-5. See Vol. 2A (CRAFT 2.1, 2024) and Vol. 4, Section 2.2 (CRAFT 2.0, 2020)

<sup>9</sup> See Annex C of the Minamata Convention on Mercury (UNEP, 2013)

Below is a high-level summary of the risks addressed in CRAFT Modules 3 and 4. <sup>10</sup>

<b>MODULE 3: “Annex II Risks” Requiring Immediate Disengagement if any of the following are identified:<sup>11</sup></b>	<b>MODULE 4: “Annex II Risks” Requiring Disengagement After Unsuccessful Mitigation of the following are identified:<sup>12</sup></b>
<ul style="list-style-type: none"> <li>• Direct or indirect support of worst forms of child labour, forced or compulsory labor;<sup>13</sup></li> <li>• Involvement or links to in any forms of torture or cruel, inhuman, and degrading treatment;<sup>14</sup></li> <li>• Involvement or links to gross human rights violations and abuses, such as widespread sexual violence;<sup>15</sup></li> <li>• Links to war crimes, crimes against humanity, or genocide;<sup>16</sup></li> <li>• Illegally controlled or subjected to illegal taxation or extortion of the ME and its operations by non-state armed groups.<sup>17</sup></li> </ul>	<ul style="list-style-type: none"> <li>• Direct or indirect support to entities that illegally control any stage of mining operation;</li> <li>• Refusal to seek the support of private or public security forces that maintain rule of law including safeguarding human rights and protecting mine sites;</li> <li>• Engagement with entities responsible for gross human rights abuses;</li> <li>• Misrepresentation of payments to government and security forces;</li> <li>• Failure to minimize adverse impacts associated with the presence of public or private security forces on the site;</li> <li>• Failure to pay and/or provide evidence regarding payment of taxes, fees and royalties to government related to mineral activities;</li> <li>• Offers, promises, or demands bribes, including the concealment or disguise of the origin of minerals; and</li> <li>• Contribution to money laundering.</li> </ul>

A more detailed description of these risks can be found in the [CRAFT document](#).

## planetGOLD-specific Criteria

As a GEF-funded programme supporting Parties in their implementation of the Minamata Convention on Mercury, projects conducted under the planetGOLD programme must align

<sup>10</sup> See Vol. 2A Module 3 and Module 4 (CRAFT 2.1, 2024) and Vol 4. Section 2.3 and Section 2.4 (CRAFT 2.1, 2024)

<sup>11</sup> See Vol. 2A Module 3 (CRAFT 2.1, 2024)

<sup>12</sup> See Vol. 2A Module 4 (CRAFT 2.1, 2024)

<sup>13</sup> Addresses OECD Minerals Guidance, Annex II, par. 1.iii, and Annex II, par. 1.ii. (CRAFT 2.1, 2024)

<sup>14</sup> Addresses OECD Minerals Guidance, Annex II, par. 1.i. (CRAFT 2.1, 2024)

<sup>15</sup> Addresses OECD Minerals Guidance, Annex II, par. 1.iv. (CRAFT 2.1, 2024)

<sup>16</sup> IF ME is located in a CAHRA (see M.1/5.2.3/R.1) (CRAFT 2.1, 2024)

<sup>17</sup> IF ME is located in a CAHRA (see M.1/5.2.3/R.1) (CRAFT 2.1, 2024)

with requirements of the Convention as well as the GEF’s Policy on Environmental and Social Safeguards.<sup>18,19, 20</sup>

Therefore, **in addition to** conforming with CRAFT Code Modules 1-4, planetGOLD MEs must address and comply with three additional criteria that are specific to the planetGOLD programme.<sup>21</sup>

- ▶ **Criterion A: Eliminate mercury in the mining process**, and appropriately manage mercury contaminated tailings, in keeping with the objectives of the Minamata Convention on Mercury, Annex C;
- ▶ **Criterion B: Respect and protect the rights of [Indigenous Peoples](#)**, per requirements of the GEF Environment and Social Safeguards; and
- ▶ **Criterion C: Minimize impact on biodiversity**, reflecting additional environmental protection considerations required by the GEF, with a special emphasis on protecting biodiversity and critical habitats.

The three planetGOLD specific criteria are described in detail below:

### **Criterion A: Mercury-Free Processing and Management of Chemicals and Wastes (cyanide, mercury tailings)**

This criterion requires that *all Mining Entities operate without mercury and align with Annex C of the Minamata Convention on Mercury (UNEP 2013)*, to eliminate the worst practice of using cyanide on mercury-contaminated tailings, which may remain from previous operations that used mercury.

Criteria	Means of Verification
A1. Facilities are mercury free.	Processing facilities have no evidence of mercury.
A2. No cyanide leaching is conducted on sediment, ore or tailings to which mercury has been added without first removing the mercury. <sup>22</sup>	Processing facilities provide evidence that they do not use cyanide on mercury-contaminated tailings, nor do they sell mercury-contaminated tailings to other processors who use cyanide without first removing mercury; OR processing facilities that treat mercury-

<sup>18</sup> See Article 7 and Annex C of the Minamata Convention (UNEP, 2013)

<sup>19</sup> See MS5: Indigenous Peoples (GEF, 2019)

<sup>20</sup> See MS3: Biodiversity Conservation and the Sustainable Management of Living Natural Resources (GEF, 2019)

<sup>21</sup> Adding these requirements is consistent with Module 5 of the CRAFT Code, which allows branches of the CRAFT Code to prioritize additional “**non-annex II risks**”.

<sup>22</sup> See Annex C, par.1 (b) (iv) (Minamata Convention); See Code Vol. 2B, Module 5, Section M.5/1.3.11/S.1.4 (CRAFT 2.1, 2024)

	contaminated tailings with cyanide provide evidence of mercury treatment (and environmentally sound management of mercury) prior to further processing or sale of tailings, or disposal of tailings.
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**Criterion B: Respect Rights and Lives of Indigenous Peoples**

This criterion requires that the Mining Entity *demonstrate respect for the individual and collective rights, culture, Cultural Heritage sites, views, and livelihoods of Indigenous Peoples* who may be impacted by mining projects and mining communities.<sup>23,24</sup>

To ensure that these requirements are met, it is recommended that planetGOLD projects and partnering mining operations refer to the report [“Agreements and Engagement with Rightsholders in Artisanal and Small-scale Gold Mining: Moving from Common Approaches toward Best Practice.”](#) This report offers guidance, existing legal requirements, and implementation tools on Free, Prior & Informed Consent.

*Note: The planetGOLD Criteria below recognize that the specific means of implementation of this criterion, including obtaining a FPIC, may vary based on national laws and circumstances.*

Criteria	Means of Verification
B1. The ME has a publicly available statement that acknowledges its commitment to respect the rights of Indigenous Peoples, their territory, natural resources, and Cultural Heritage sites. <sup>25</sup>	The ME must publicly share a written statement of commitment to respect Indigenous Peoples, their territory, resources and Cultural Heritage sites <b>and</b> ensure that Indigenous Peoples directly or indirectly affected by the company’s mining-related activities are aware of this policy.
B2. The ME has identified whether there are Indigenous Peoples who might be indirectly or directly affected by the mining operation and mining community.	The ME must: <ol style="list-style-type: none"> <li>1. Provide a description of those consulted, and other methods used, to help identify Indigenous Peoples who may potentially be affected.</li> <li>2. Provide a written plan to engage representative bodies of any such affected Peoples.</li> </ol>

<sup>23</sup> [https://www.un.org/esa/socdev/unpfii/documents/UNDG\\_guidelines\\_EN.pdf](https://www.un.org/esa/socdev/unpfii/documents/UNDG_guidelines_EN.pdf)

<sup>24</sup> MS5: par. 11, a-i (GEF, 2019)

<sup>25</sup> [United Nations Declaration on the Rights of Indigenous Peoples](#)

<p>B3. The ME:</p> <ol style="list-style-type: none"> <li>1. Has conducted outreach in a culturally appropriate manner to affected Indigenous Peoples to identify potential positive and negative impacts of the mining operation.</li> <li>2. Such impacts may occur by way of: <ol style="list-style-type: none"> <li>a) <i>Restriction of land use or loss of access to natural resources subject to traditional ownership or under customary use or occupation, or the location of a project or program on such land or the commercial development of such natural resources;</i></li> <li>b) <i>Relocation from land and natural resources subject to traditional ownership, or under customary use or occupation; and</i></li> <li>c) <i>Significant impacts on or the use of Cultural Heritage for mining operation purposes.</i> <sup>26</sup></li> </ol> </li> <li>3. Has worked alongside Indigenous Peoples to: <ol style="list-style-type: none"> <li>a) <i>Obtain consent for the project and mitigate any identified impacts; OR</i></li> <li>b) <i>Respect the decision of the Indigenous Community if they choose not to accept the request, deny the request or delay the request pending additional information or clarifications.</i></li> </ol> </li> </ol>	<p>The ME must:</p> <ol style="list-style-type: none"> <li>1. Provide documentation of outreach with the full representative body of the Indigenous community, and other forms of consultations, to introduce and discuss the operation, and answer questions presented by the full representative body;</li> <li>2. Provide a description of the method used to identify potential impacts;</li> <li>3. Provide a report on any potential positive or negative impacts identified;</li> <li>4. Provide evidence of mitigation of adverse impacts; and</li> <li>5. Provide documentation of final decision by community regarding consent.</li> </ol>
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<sup>26</sup> MS5 : par.10, a-c (GEF, 2019)

## Criterion C: Environment Protection

This criterion requires the ME to engage in preventive and restorative environmental practices and use environmentally responsible methods of production. Responsible MEs abide by the environmental laws in their countries, including requirements for environmental restoration; mitigate unavoidable negative impacts; and have systems in place to address and protect biodiversity.

Criteria	Means of Verification
<p>C1. MEs observe all legal environmental requirements, practice pollution prevention and avoid working in areas of high conservation value.</p>	<p>The ME must:</p> <ol style="list-style-type: none"> <li>1. Provide the environmental permit or license, where such permits or licenses are required; OR indicate that the area has been legally designated as an artisanal mining production area, and the miner has any required permission to work in the area; <b>and</b></li> <li>2. Provide water monitoring data or other evidence to demonstrate minimal water contamination.<sup>27 28</sup></li> <li>3. Consult with the relevant environmental authority to verify they are NOT working in a high conservation value area; or use the IBAT<sup>29</sup> and other relevant database to verify they are NOT working in such areas; <b>and</b></li> <li>4. Provide the plan that they will follow to rehabilitate the mined land after the mining operations are complete.</li> </ol>
<p>C2. <i>[Applies only to existing facilities with any required permission to work in areas of high conservation value]</i></p> <p>If it is impossible to avoid a high conservation valued area, mitigation efforts must be in place. Any other remaining identified environmental risks must also be assessed and mitigated.</p>	<p>The MEs must meet the following requirements:</p> <ol style="list-style-type: none"> <li>1. Provide their environmental permit or license that shows permission to work in this area <b>and</b>;</li> <li>2. In conjunction with relevant environmental authority, have a written plan to: <ul style="list-style-type: none"> <li>• Reduce the impact of the mining operation on land and water degradation; and</li> <li>• Report on what measures they will take to protect surrounding ecosystems, minimize biodiversity impact and deforestation, and protect the ecosystem services to surrounding communities.</li> </ul> </li> </ol>

<sup>27</sup> Level of contamination of water bodies with suspended solids, chemicals, and fuel residues is moderate to the extent that water quality does not represent a risk for the health and livelihoods of other water users or a serious risk for the sustainability of the ecosystem. (See Vol. 4, Sec. 2.5.4, M.5/4.2.2/R.1, CRAFT 2.1, 2024)

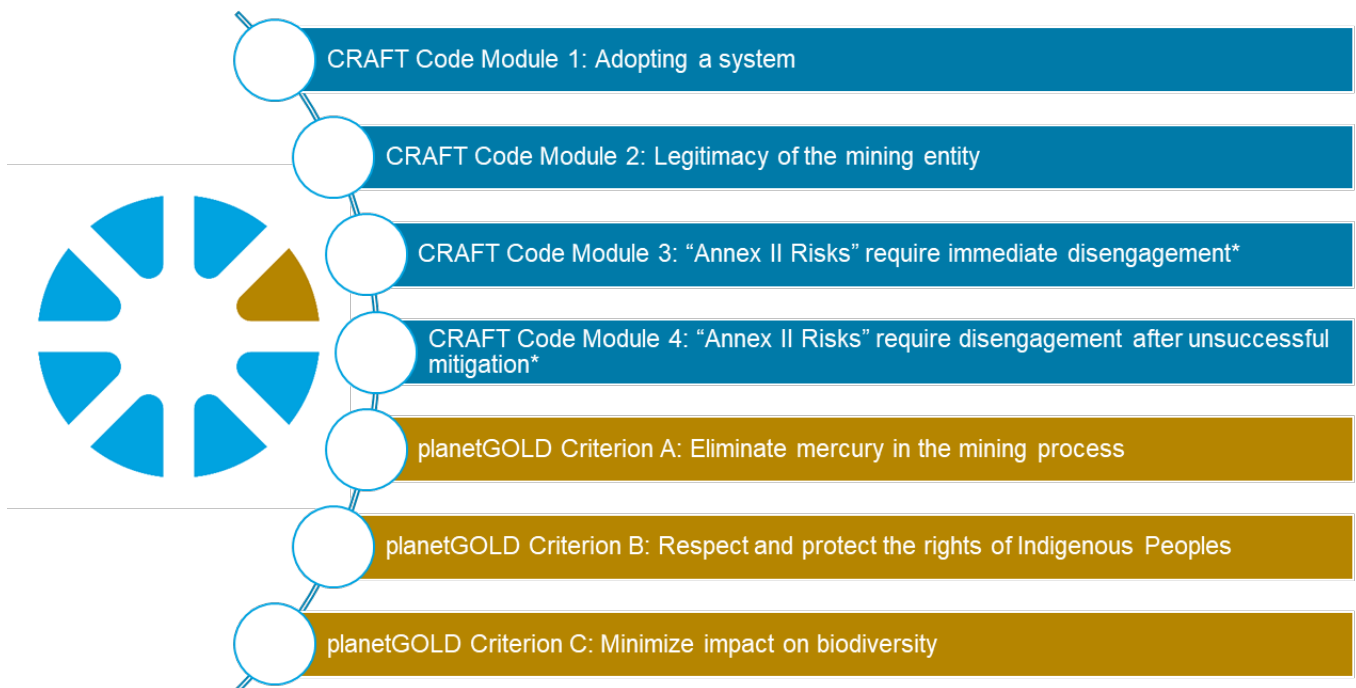
<sup>28</sup> See Vol. 4, Sec. 2.5.4, M.5/4.2.2/R.1. (CRAFT 2.1, 2024); MS7 (GEF, 2019)

<sup>29</sup> <https://www.ibat-alliance.org/data>

## Going Beyond the planetGOLD Criteria

Some Mining Entities may choose to go beyond the planetGOLD Criteria to comply with the specific requirements of given refiners, jewelers, or other downstream buyers with whom they are engaged. For example, by addressing other risks identified in Module 5 of the CRAFT Code, Mining Entities may increase their opportunities to work with additional buyers. The choice to meet these additional Module 5 requirements, or other requirements identified by buyers, is at the discretion of the ME and the associated planetGOLD project managers and is **not** mandatory.

To review, the planetGOLD Criteria include:



*\*This module has a pass/fail criteria.*

# Implementation Process

The Mining Entities (MEs) and the planetGOLD projects will each identify points of contact, to manage the assessment of conformance with CRAFT Code [Modules 1-4](#) and the three planetGOLD Criteria. More information regarding the suggested nominating procedures for these points of contact can be found in [Annex II](#).

As the MEs move through the levels of the assessment process, they can be considered at three different stages of conformance: conditionally in conformance, fully in conformance, and beyond conformance.

- ▶ **Level One:** Mining Entities are expected to establish management systems (CRAFT Module 1), provide evidence of their legitimacy (CRAFT Module 2) and assess and report on risks present within their operations, relative to risks identified in CRAFT Modules 3 and 4 and the three planetGOLD Criteria. After this assessment is complete, MEs can determine their conformance status as follows:
  - **In Conformance:**
    - MEs that satisfy **ALL** criteria are considered **in conformance**.
    - MEs that are in conformance meet criteria that are consistent with the OECD Minerals Guidance and therefore are ready to engage with responsible downstream buyers.
  - **Conditionally in conformance:** MEs are considered **conditionally in conformance** and can still engage with responsible buyers if at a minimum:
    - The ME **fully meets** the requirements identified in planetGOLD criterion (A) **AND** CRAFT Modules 1, 2, 3 **AND**
    - Where risks are still present that should be mitigated (as defined in CRAFT Module 4, and/or planetGOLD Criterion (B) and/or (C)), the ME must submit a mitigation plan(s) that explain (s) how progress will be made towards meeting these criteria.
- ▶ **Level Two:** For MEs that are **conditionally in conformance**, within 6 months the ME must submit a verifiable claim that the risks defined through CRAFT Module 4, and/or planetGOLD Criterion (B) and/or (C) are now controlled, **or** the ME can demonstrate measurable progress of their mitigation.<sup>30</sup>
  - Following the successful mitigation of risks, MEs are considered **in conformance**.

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<sup>30</sup> This is a CRAFT Code and OECD Minerals Guidance Annex II requirement.

- ▶ **(Optional) Level Three:** Some MEs may choose to go *beyond* planetGOLD Criteria and conform with additional requirements, such as addressing additional risks identified in Module 5 of CRAFT, to meet other responsible sourcing standards of downstream buyers. Once these requirements are met, including any buyer-specific verification requirements, the mining entity can engage with the relevant downstream buyer.
- ▶ **Note:** All Mining Entities must demonstrate ongoing conformance by re-assessing and reporting on all Modules 3 and 4 risks and all planetGOLD A, B and C criteria on an annual basis.

This implementation process is summarized below and explained in more detail in [Annex I](#).

**Figure 1: planetGOLD Implementation Process Overview**



## Documentation and Verification

**All Mining Entities are required to submit a planetGOLD Environmental and Social Risk Verification Form following the Level one assessment.**<sup>31</sup> This report, which documents the risk assessment, commitment to further risk mitigation, and verifiable claims, will provide evidence of conformance with the planetGOLD Criteria. This exercise should be conducted by the **ME point of contact** with assistance from the planetGOLD Country point of contact. Details discussing this documentation process can be found in [Annex III](#).

The planetGOLD programme itself does not require third party verification of the planetGOLD Environmental and Social Risk Verification Form. Rather the information provided in this form can be utilized as an input into due diligence processes required by downstream buyers. Because relationships differ between mining operations and their buyers, the specific types of audits or verifications required will be determined on a case-by-case basis. For example, buyers can verify the ME claims based on the evidence in the form as part of their due diligence processes.

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<sup>31</sup> A [template of this form](#) is available on the planetGOLD website.

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# ANNEXES

# Annex I: planetGOLD Criteria Implementation Process

## PLANETGOLD ENGAGEMENT WITH ASGM OPERATIONS



### Identification of Programme Participants

- Site selection; and
- Written Agreement with ASM planetGOLD participants, which includes agreeing to terms of process.

### planetGOLD Level One

#### planetGOLD Mining Entities are required to:

##### Establish a management system (CRAFT Module 1):



- ➔ Identify planetGOLD ME and country project focal points to oversee process and set communication systems into place.
- ➔ Develop systems to ensure conformance, allow for monitoring and documentation of conformance.
- ➔ Provide information about organization, location of operation, transport routes, and proximity to a CAHRA.



**Establish legitimacy (CRAFT Module 2):** according to planetGOLD Programme requirements.

##### Make a verifiable claim that it is reasonable to believe that the following criteria are met (CRAFT Module 3):



**NO** direct or indirect support of any forced labour, including child labour.

**NOT** involved or linked to in any activities that violate human rights.

**NOT** linked to committing war crimes, crimes against humanity, or genocide.

**NOT** controlled by non-state armed groups at sites or transportation routes.



**NOT** illegally controlled or subjected to illegal taxation or extortion of money or minerals by non-state armed groups.

##### Conduct an assessment regarding whether or not they meet the following criteria (CRAFT Module 4):



- Eliminate direct or indirect support to security forces that illegally tax, extort or control any points of operations.
- Maintain rule of law safeguarding human rights and protecting mine sites by public or private security forces.
- Does not knowingly hire entities responsible for gross human rights abuses.
- Ensure payments to public security forces are transparent and proportional.
- Pay all taxes and fees related to mining operation to the government and discloses those payments if necessary.
- Undertake all reasonable efforts to avoid the offer, promise, give, or demands of bribes and resists bribery to discuss the origin of minerals.
- Contribute to the effective elimination of money laundering.

## PLANETGOLD ENGAGEMENT WITH ASGM OPERATIONS

### planetGOLD Level One



**Make a verifiable claim that the following planetGOLD Criterion is met:**

(A) Eliminates the use of mercury in the mining process and appropriately manages mercury in contaminated tailings



**Conduct an assessment regarding whether or not they meet the following planetGOLD Criteria:**

(B) Respect and protect the rights of Indigenous Peoples; and

(C) Minimize impact on biodiversity.



**Develop a mitigation plan:**

If applicable, MEs apply a mitigation plan to any identified risks associated with CRAFT Module 4 risks and/or planetGOLD Criterion (B) and/or (C).

**Reporting:** Ensure all information required to document Level One (1) is collated and available.

**Conformance Assessment:**

The final report can serve as the basis for verification of all above claims. Following the completion and approval of planetGOLD Level One assesment, MEs can determine their conformance status as follows:

**In Conformance:** Mining Entities that satisfy ALL criteria above, are considered in conformance

*\*MEs that are in conformance meet criteria that are consistent with the OECD Minerals Guidance and therefore are ready to engage with responsible downstream buyers.*

**Conditionally in Conformance:** If at a minimum:

➔ The ME fully meets the requirements identified in CRAFT Modules 1, 2, 3 AND planetGOLD Criterion (A) AND

➔ Where risks are still present that should be mitigated (as defined in CRAFT Module 4, and/or planetGOLD Criteria (B) and/or (C) ), the ME must submit a mitigation plan(s) that explain how progress will be made toward meeting these criteria

*\*MEs that are conditionally in conformance meet criteria that are consistent with the OECD Minerals Guidance and therefore are ready to engage with responsible downstream buyers.*

## PLANETGOLD ENGAGEMENT WITH ASGM OPERATIONS

### planetGOLD Level Two

*If applicable, planetGOLD beneficiaries apply the mitigation plan to any identified risks associated with CRAFT Module 4, and/or planetGOLD Criteria (B) and/or (C).*



**Assess risks and mitigates:** Within 6 months the ME submits a verifiable claim that the risks defined through CRAFT Module 4, and/or planetGOLD Criteria (B), and/or (C) are controlled, or the ME can demonstrate measurable progress of their mitigation.

**Reporting:** Ensure all information required to document the above is collated and available.



**Conformance Assessment:** The final report can serve as the basis for verification of all above claims.

*\*Once risks are mitigated, beneficiaries are considered in conformance with planetGOLD operational criteria. Since these are consistent with the OECD Minerals Guidance, MEs may meet many downstream buyer requirements.*

### planetGOLD Level Three



**Assess risks and mitigates beyond planetGOLD:**

The ME identifies any additional risks and aspirational improvements, commits to their mitigation and mitigates the risks.



**Reporting:** Ensure all information required for market entry is documented and available.

*\*At this level the planetGOLD ME can engage with specific downstream buyers and continue to reassess in case of reappearing OECD Annex II risks.*

## Annex II: Point of Contact Nomination Procedures

### The planetGOLD Country Project Expectations:

The planetGOLD Country Projects will be expected to work with Mining Entities (MEs) engaged in the planetGOLD programme to document and verify compliance with planetGOLD Criteria. This responsibility is aligned with the responsibility of any GEF-funded project to have a system in place to ensure adherence to the GEF environment and social safeguards.

The planetGOLD Executing Agencies will be expected to designate a person within the project who will be responsible to oversee, manage, and communicate with the ME regarding this guidance. The person identified as the **planetGOLD Country point of contact** will be expected to:

- ▶ Communicate with the MEs on a regular basis.<sup>32</sup>
- ▶ Organize and observe audits of premises and any subcontracted premises of the MEs.
- ▶ Provide support to MEs as needed to provide necessary documentation.

### Mining Entity Expectations:

To facilitate implementation, MEs will be asked to nominate an individual who will be responsible to oversee, manage and communicate all information and any requests regarding this planetGOLD Guidance, and/or the [planetGOLD Environmental and Social Risk Verification Form](#). This contact should be identified as the **Mining Entity point of contact** and will be expected to:

- ▶ Communicate with the planetGOLD Country point of contact on a regular basis.
- ▶ Provide written evidence of adhering to the planetGOLD Criteria.
- ▶ Accept audits of premises and any subcontracted premises and provide information at the request of the planetGOLD country point of contact.
- ▶ Accept support from project focal points who work on behalf of the planetGOLD programme

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<sup>32</sup> It is suggested that this nominee be a government representative who is currently working on a national formalization program.

## Annex III: Documentation Process

Following their appointment, the **Mining Entity point of contact** and **planetGOLD Country point of contact**, will work together on completing the [planetGOLD Environmental and Social Risk Verification Form](#) to meet requirements of [planetGOLD Level One](#). This report should include all required information along with any additional information the ME believes is relevant to the process, including a plan to address any CRAFT Module 4 and planetGOLD risks that require mitigation.<sup>33</sup>

Means for documentation should include but are not limited to:

- ▶ Permits for mining operations.
- ▶ Declaration and supporting documents proving the legitimacy of the ME and its members.
- ▶ A data sheet indicating the location of the ME, general description of the mining operation, the number of miners, gender and age of miners.
- ▶ Maps indicating the location of mines, facilities and surrounding areas.
- ▶ Matrices documenting assessed risks.
- ▶ A mitigation workplan with deadlines.

Find a list of recommended report Annexes in [Annex IV](#).

The planetGOLD Country Project Manager is responsible for the review and final approval of the conformance form. If the form demonstrates that the ME meets all the criteria then they are in conformance.

If there are identified risks that require mitigation then the ME will be considered *conditionally in conformance* and will be required to monitor and report to the **planetGOLD Country point of contact**, according to specified and agreed deadlines.

If the conformance report is not approved and depending on the area which requires re-evaluation, the **Mining Entity point of contact** will have a specific amount of time to correct/improve the form.<sup>34</sup> Once the corrected conformance form is complete, the **Mining Entity point of contact** will re-submit to the planetGOLD Country Project Manager for review, and if approved, the ME will be considered *conditionally in conformance*.

Following this approval, Mining Entities will carry out their plan to mitigate risks associated with Module 4 and any planetGOLD Criteria that require mitigation. After 6 months, the **Mining Entity point of contact** must complete and document the risk assessment and risk mitigation progress. Following this assessment, and to meet the [planetGOLD Level Two](#) requirements, the ME will submit a Mitigation Report. This report should be submitted to the **planetGOLD Country point of contact** for

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<sup>33</sup> Additional guidance on the format of this report along with links to the CRAFT report can be found on the [planetGOLD website](#).

<sup>34</sup> This time limit should be discussed and agreed upon by the planetGOLD Country Coordinator and ME point of contact.

review who will then submit to the planetGOLD Country Project Manager for approval. Once risks are mitigated, beneficiaries are considered *in conformance* with the planetGOLD Criteria.

## Annex IV: List of Recommended Annexes

These documents are suggested Annexes to support the [planetGOLD Environmental and Social Risk Verification Form](#).

### **Criterion A: Mercury-Free Processing and Management of Chemicals and Wastes** (cyanide, mercury tailings)

- Evidence that facilities are mercury-free, and that cyanide is not used to treat any remaining mercury contaminated tailings, such as process diagram, photos, etc.
- Records showing sales of any mercury-contaminated tailings to only processing centers that treat mercury prior to processing
- [For facilities that process tailings] Description of procedures used to ensure tailings are mercury-free or process to remove mercury prior to treatment and mercury management plan

### **Criterion B: Respect Rights and Lives of Indigenous Peoples**

- Public statement of commitment
- Description of those consulted and methods used to help identify Indigenous Peoples
- Written plan to engage representative bodies of such affected Peoples
- Documentation of outreach and other forms of consultations (e.g., meeting notes).
- Provide documentation of final decision by community regarding consent.
- Description of methods used and/or reports to identify potential impacts (negative or positive)
- Evidence of mitigation of adverse impacts

### **Criterion C: Environment Protection**

- Environmental permits/licenses with evidence to legally operate in the production area (including permission to operate in areas of high conservation value, where applicable)
- Water monitoring data
- Written rehabilitation plan
- *[Existing facilities working in high conservation areas]*
  - Written plan to reduce the impact of the mining operations on land and water degradation
  - Report on mitigation efforts to protect surrounding ecosystems, minimize biodiversity impact and deforestation, and protect the ecosystem services to surrounding communities

## Annex V: Glossary of Terms

**Amalgamation** is a mineral processing method by which gold particles are alloyed and agglomerated using mercury to create "amalgam" (a gold-mercury alloy or composite), which is then decomposed leaving gold.

*Source:* Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1, (81-90).

**Artisanal and Small-Scale Mining (ASM)** are formal or informal mining operations with predominantly mostly simplified forms of exploration, extraction, processing, and transportation. ASM is normally low capital intensive and uses high labour-intensive technology. "ASM" can include children, women and men working on an individual basis as well as those working in family groups, in partnership, or as members of cooperatives or other types of legal associations and enterprises involving hundreds or even thousands of miners.

*\*It should be noted that the definition of ASM varies from country to country, as well as among sectors within countries.*

*Source:* OECD (2016b). Due diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas.

**Biodiversity** is the variability among living organisms from all sources, including diversity within species, between species, and of ecosystems; encompassing, *inter alia*, terrestrial, marine and other aquatic ecosystems, and the ecological complexes of which they are a part.

*Source:* Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

**Bribery of national public officials** is the promise, offering or giving, to a public official, directly or indirectly of an undue advantage, for the official himself or herself or another person or entity, in order that the official act or refrain from acting in the exercise of his or her official duties; the solicitation or acceptance by a public official, directly or indirectly of an undue advantage for the official himself or herself or another person or entity, in order that the official act or refrain from acting in the exercise of his or her official duties.

**Bribery of foreign public officials and officials of public international organizations** is a criminal offence, when committed intentionally, the promise, offering or giving to a foreign public official or an official of a public international organization, directly or indirectly, of an undue advantage, for the official himself or herself or another person or entity, in order that the official act or refrain from acting in the exercise of his or her official duties, in order to obtain or retain business or other undue advantage in relation to the conduct of international business.

*Source:* Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1, (81-90).; United Nations Convention against Corruption (2004).

**Community** is a group of people that share the same geographical space or have a common interest that brings them together. Community members generally share some beliefs and values. A community is any group of people that may experience positive or negative effects from nearby operations.

Source: Responsible Jewellery Council (2019). Code of Practices.

**Conflict-affected and high-risk areas (CAHRA)** as defined by the OECD (2016b) *are identified by the presence of armed conflict, widespread violence or other risks of harm to people. Armed conflict may take a variety of forms, such as a conflict of international or non-international character, which may involve two or more states, or may consist of wars of liberation, or insurgencies, civil wars, etc. High-risk areas may include areas of political instability or repression, institutional weakness, insecurity, collapse of civil infrastructure and widespread violence. Such areas are often characterized by widespread human rights abuses and violations of national or international law.*

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade , (4)2.1, (81-90).; OECD (2016b). Due diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas.

**Child labour** is defined as work that deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development.

It refers to any work that is mentally, physically, socially or morally dangerous and harmful to children; and interferes with their schooling by; depriving them of the opportunity to attend school; obliging them to leave school prematurely; or requiring them to attempt to combine school attendance with excessively long and heavy work.

In its most extreme forms, child labor involves children being enslaved, separated from their families, exposed to serious hazards and illnesses and/or left to fend for themselves on the streets of large cities-often at a very early age. Whether or not particular forms of “work” can be called “child labor” depends on the child’s age, the type and hours of work performed, the conditions under which it is performed, and the objectives pursued by individual countries. The answer varies from country to country, as well as among sectors within countries.

Source: International Labour Organization (2013). ([Webpage: What is child labor](#)).

Compliance is a state of being in accordance with established guidelines, specifications, or legislation.

Source: Responsible Jewellery Council (2019). Code of Practices.

## **CRAFT MODULES:**

**MODULE 1: Adopting a Management System** is the first step in the OECD Minerals Guidance “five-step framework.” This module has five requirements.

### **MODULE 2: Legitimacy of the AMP**

**MODULE 3: “ANNEX II RISKS” Requiring Immediate Disengagement** addresses risks for which the Model Supply Chain Policy in Annex II of the OECD Minerals Guidance suggests “BUYERS should immediately suspend or discontinue commercial engagement” with MEs, “if a reasonable risk is identified.”

**MODULE 4: “ANNEX II RISKS” Requiring Disengagement after Unsuccessful Mitigation** addresses those risks for which the Model Supply Chain Policy in Annex II of the OECD Minerals Guidance recommends suspension or discontinued commercial engagement with MEs “after failed attempts at mitigation.”

**MODULE 5: “NON-ANNEX II” High Risks Requiring Improvement** addresses high risks not specifically covered by the “*Model Supply Chain Policy for a Responsible Global Supply Chain of Minerals from Conflict-Affected and High-Risk Areas*” of the OECD Minerals Guidance. Such risks are commonly referred to as “non-Annex II risks”. While the requirements of Module 5 are “aspirational” in principle, by failing to assess high risks and failing to improve work practices, mining entities may lose business opportunities as buyers may disengage if they consider the lack of commitment from the mining entity to be a risk to their own business.

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade – Version 2.1.

**CRAFT Schemes** are implementations of the CRAFT Code by supply chain schemes that follow, uses, incorporates, or builds upon CRAFT for sourcing from ASM or for supporting ASM development. CRAFT Schemes may be established by buyers (e.g. by incorporating the CRAFT into their due diligence protocols), by independent third parties (governments, NGOs or service providers), by projects or programs, or similar. CRAFT Schemes have full control over their scheme.

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade – Version 2.1.

**Critical Habitats** is a Habitat with high Biodiversity value, including (i) Habitats of significant importance to Critically Endangered or Endangered species, as listed on the International Union for the Conservation of Nature (IUCN) Red List of threatened species or equivalent national approaches, (ii) Habitats of significant importance to endemic or restricted-range species, (iii) Habitats supporting globally or nationally significant concentrations of migratory or congregatory species, (iv) highly threatened or unique ecosystems, and (v) ecological functions or characteristics that are needed to maintain the viability of the Biodiversity values described in (i) and (v).

Source: Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

**Cultural Heritage** means both tangible and intangible cultural heritage, including movable or immovable objects, sites, structures, natural features, and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance, located in urban or rural settings, above ground, underground or under water; as well as practices, representations, expressions, knowledge, or skills- as well as the instruments, objects, artifacts and cultural spaces associated therewith-that communities, groups, and in some cases individuals, recognize as part of their heritage, as transmitted from generation to generation and constantly recreated by them in response to nature and a shared history.

Source: Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

**Direct or indirect support to non-state armed groups** or public or private security forces through the extraction, transport, trade, handling or export of gold includes, but is not limited to, procuring minerals from, making payments to or otherwise providing logistical assistance or equipment to, non-state armed groups or their affiliates who: (a) illegally control mine sites or otherwise control transportation routes, points where gold is traded and upstream actors in the supply chain; and/or (b) illegally tax or extort money or gold at points of access to mine sites, along transportation routes or at points where gold is traded; and/or (c) illegally tax or extort intermediaries, export companies or international traders.

Source: OECD (2016b). Due diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas

**Downstream** is used in relation to the point where ASM gold produced is sold to supply chain actors such as refiners and gold buyers.

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1, (81-90).

**Due Diligence** is an on-going, proactive and reactive process through which companies can identify, prevent, mitigate and account for how they address their actual and potential adverse impacts as an integral part of business decision-making and risk management systems. Due diligence can help companies ensure they observe the principles of international law and comply with domestic laws, including those governing the illicit trade in minerals and UN sanctions.

Source: OECD (2016b). Due diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas.

**Economic Displacement** is the loss of land, assets, or access to land or assets, and restrictions on land use and access to land, including those that lead to loss of income sources or other means of livelihood, whether permanent or temporary.

Source: Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

**Formalization** is a process that ensures that ASGM actors are licensed and organized in representative entities that represent their needs; policies are implemented, monitored, and enforced; and ASGM actors receive technical, administrative, and financial support that empowers them to adhere to requirements prescribed by national regulations.

Source: UNITAR & UN Environment (2018). Handbook for Developing National ASGM Formalization Strategies within National Action Plans.

**Gender-Based Violence** means any harmful act that is perpetrated against a person's will and that is based on socially ascribed differences between male and female individuals, including acts that inflict physical, mental, or sexual harm or suffering; threats of such acts; and coercion and other deprivations of liberty, whether occurring in public or in private life.

Source: Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

**Gender Equality** is defined as the equal rights, responsibilities and opportunities of women and men and of girls and boys. This means that women's and men's rights, responsibilities and opportunities will not depend on whether they are born male or female.

Source: Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

**Grievance Procedure** is a non-judicial procedure that offers a formalized means through which individuals or groups can raise concerns about the impact an enterprise has on them -including, but not exclusively, on their human rights- and can seek remedy. These mechanisms may use adjudicative, dialogue based or other processes that are culturally appropriate and rights compatible. According to the UN, for a grievance system to be effective, it should be.

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1, (81-90).

**Gross human rights abuses** as defined by CRAFT explains that The Universal Declaration of Human Rights and International Humanitarian Law lacks a clear definition of gross human rights abuses. The most serious crimes of concern against humans are: (a) crime of genocide; (b) crimes against humanity; (c) war crimes; and (d) the crime of aggression.

Annex II of the OECD Minerals Guidance states that:

1. **Regarding serious abuses associated with the extraction, transport or trade of minerals:** While sourcing from, or operating in, conflict-affected and high-risk areas, we will neither tolerate nor by any means profit from, contribute to, assist with or facilitate the commission by any party.
2. **Regarding risks management of serious abuses:** We will immediately suspend or discontinue engagement with upstream suppliers where we identify a reasonable risk that they are sourcing from, or linked to, any party committing serious abuses as defined in paragraph 1.<sup>35</sup>
3. **Regarding direct or indirect support to non-state armed groups<sup>36</sup>:** We will not tolerate any direct or indirect support to non-state armed groups through the extraction, transport, trade, handling or export of minerals. "Direct or indirect support" to non-state armed groups through the extraction, transport, trade, handling or export of minerals includes, but is not limited to, procuring minerals from, making payments to or otherwise providing logistical assistance or equipment to, non-state armed groups or their affiliates.
4. **Regarding risk management of direct or indirect support:** We will immediately suspend or discontinue engagement with upstream suppliers where we identify a reasonable risk that they are sourcing from, or linked to, any party providing direct or indirect support to non-state armed groups as defined in paragraph 3.<sup>37</sup>
5. **Regarding public or private security forces:** We agree to eliminate, in accordance with paragraph 10<sup>38</sup>, direct or indirect support to public or private security forces who illegally control mine sites, transportation routes and upstream actors in the supply chain; illegally tax or extort money or minerals at point of access to mine sites, along transportation routes or at points where minerals are traded; or illegally tax or extort intermediaries, export companies or international traders.

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1, (81-90).; (ICC 2002) (Statue of Rome.); OECD (2016b). (Due diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas.)

**Habitat** is a terrestrial, freshwater, or marine geographical unit or airway that supports assemblages of living organisms and their interactions with the non-living environment.

Source: Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

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<sup>35</sup> Regarding serious abuses associated with the extraction, transport or trade of minerals (OECD 2016b, Annex II, par. 1)

<sup>36</sup> To identify non-state armed groups, companies should refer to relevant UN Security Council resolutions (OECD 2016b, ANNEX II, par.3)

<sup>37</sup> Regarding direct or indirect support to non-state armed groups (OECD 2016b, Annex II, par. 3)

<sup>38</sup> Regarding risk management of public or private security forces (OECD 2016b, Annex II, par. 10)

**Indigenous Peoples** are people belonging to a distinct social and cultural group characterized in varying degrees by (i) self-identification as members of a distinct indigenous social and cultural group and recognition of this identity by others; (ii) collective attachment to geographically distinct Habitats, ancestral territories, or areas of seasonal use or occupation as well as to the natural resources in these areas; (iii) customary cultural, economic, social, or political institutions that are distinct or separate from those of the mainstream society or culture; and (iv) a distinct language or dialect, often different from the official language or languages of the country or region in which they reside. “To varying degrees” reflects the fact that some characteristics may be less, or no longer, evident, but have been present and are relevant in identifying Indigenous Peoples.

Source: Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

**Involuntary Resettlement** means when affected persons do not have the right to refuse Land Acquisition or Restrictions on Land Use that result in Physical or Economic Displacement, whether permanent or temporary.

Source: Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

**Legal ASGM:** ASGM actors are recognized by national law, are in possession of mining licenses and permits, and adhere to any other standards as required by national regulations.

Source: UNEP (2018). (Handbook: Developing National ASGM Formalization Strategies Within National Action Plans.)

**Legalization:** A process that ensures that ASGM actors possess the licenses and permits required by national law.

Source: UNITAR & UN Environment (2018).

**Meaningful Consultation** is a two-way process that: (a) begins early in the project or program planning process to gather initial views on the project or program proposal and inform design; (b) encourage Stakeholder feedback, particularly as a way of informing project or program design and Stakeholder Engagement in the identification and mitigation of Environmental and Social Risks and Impacts; (c) carried out on a continuous basis; as Environmental and Social Risks and Impacts arise; (d) based on prior disclosure and dissemination of relevant, transparent, objective, meaningful and easily accessible information in a timeframe that enables consultations with Stakeholders in a culturally appropriate format in relevant local language(s), and is understandable to Stakeholders; (e) considers and responds to feedback; (f) supports active and inclusive engagement with project-affected parties; (g) free of external manipulation, interference, coercion, discrimination, and intimidation; and (h) documented and disclosed by the executing agency.

Source: Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

**Minamata Convention on Mercury** entered into force in August 2017 as a global treaty aiming to protect human health and the environment from the adverse effects of mercury. Controlling the anthropogenic releases of mercury throughout its lifecycle is a key factor in shaping the obligations under the Convention.

Source: [mercuryconvention.org](http://mercuryconvention.org)

**Mining Entity** can also be referred to as “Miners,” and include all men and women involved in mineral extraction, selection, processing, or transportation of minerals from primary or secondary deposits, dumps and tailings, for simplicity, three organizational types can be distinguished: individuals; groups (family groups, partnerships, associations, cooperatives, companies, etc.); clusters (any combination of individuals and/or groups).

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1, (81-90).

**Mitigation Hierarchy** is a set of prioritized steps to alleviate environmental harm as far as possible through avoidance, minimization (or reduction) and restoration of detrimental impacts to biodiversity. Biodiversity offsetting is only considered to address residual impacts after appropriate avoidance, minimization and restoration measures have been applied.

Source: IFC Performance Standard 6

**Money laundering** is the processing of these criminal proceeds to disguise their illegal origin. This process is of critical importance, as it enables the criminal to enjoy these profits without jeopardising their source.

Illegal arms sales, smuggling, and the activities of organised crime, including for example drug trafficking and prostitution rings, can generate huge amounts of proceeds. Embezzlement, insider trading, bribery and computer fraud schemes can also produce large profits and create the incentive to “legitimise” the ill-gotten gains through money laundering.

When a criminal activity generates substantial profits, the individual or group involved must find a way to control the funds without attracting attention to the underlying activity or the persons involved. Criminals do this by disguising the sources, changing the form, or moving the funds to a place where they are less likely to attract attention.

Source: Financial Action Task Force (FATF) (2019). ([Webpage Money Laundering](#))

**Non-state armed groups** are defined as groups that have the potential to employ arms in the use of force to achieve political, ideological or economic objectives; are not within the formal military structures of States, State-alliances or intergovernmental organizations; and are not under the control of the State(s) in which they operate and are subject to a chain of command (formal or informal).

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1 (81-90).; UNOCHA (2006). (Human Negotiations with armed groups.)

**OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas** aims to help companies respect human rights and avoid contributing to conflict through their mineral sourcing practices. The Guidance also intends to cultivate transparent mineral supply chains and sustainable corporate engagement in the mineral sector with a view to enabling countries to benefit from their mineral resources and preventing the extraction and trade of minerals from becoming a source of conflict, human right abuses, and insecurity.

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1, (81-90).

**OECD Minerals Guidance Annex II risks** are the lists of serious human rights abuses and contribution to conflict that cannot be tolerated in Responsible Supply Chains of Minerals. The risks have significant adverse impacts which may be associated with extracting, trading, handling and exporting minerals from conflict-affected and high-risk areas.

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1, (81-90).

**Physical Displacement** is the relocation, loss of residential land, or loss of shelter, whether permanent or temporary.

Source: Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

**Pollution** means both hazardous and non-hazardous chemical pollutants in the solid, liquid, or gaseous phases; as well as thermal discharge to water, emissions of short-and long-lived climate pollutants, nuisance odors, noise, vibration, radiation, electromagnetic energy, and the creation of potential visual impacts, including light.

Source: Global Environment Facility (2019). Updated Policy on Environmental and Social Safeguards.

**Protected Areas** are a clearly defined, geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values.

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1, (81-90).; IUCN (2018). (What is a protected area?)

**Tailings** are an intermediate or final product from mineral processing with a non-economic concentration of the mineral. Tailings are deposited at tailings dumps or in tailings ponds. In some cases, tailings can be reprocessed to recover remaining mineral.

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1, (81-90).

**Terrorist Financing** is the financing of terrorist acts, and of terrorists and terrorist organisations.

Source: FATF (2012-2023), International Standards on Combating Money Laundering and the Financing of Terrorism & Proliferation, FATF, Paris, France.[www.fatf-gafi.org/en/publications/Fatfrecommendations/Fatf-recommendations.html](http://www.fatf-gafi.org/en/publications/Fatfrecommendations/Fatf-recommendations.html)

**Torture** is any act by which severe pain or suffering, whether physical or mental is intentionally inflicted on a person for such purposes as obtaining from him/her or a third person information or a confession, punishing him/her for an act he/she or a third person has committed or is suspected of having committed, or intimidating or coercing him/her or a third person, or for any reason based on discrimination of any kind, when such pain or suffering is inflicted by or at the instigation of or with the consent or acquiescence of a public official or other person acting in an official capacity. It does not include pain or suffering arising only from, inherent in or incidental to lawful sanctions.

Source: Alliance for Responsible Mining (2024). Code of Risk-mitigation for ASM engaging in Formal Trade, (4)2.1, (81-90).; (OHCHR 1984); (UN Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment)

**Vulnerable Group** is a group whose vulnerability may be based on socio-economic condition, gender, age, disability, ethnicity, or other criteria that influence people's ability to access resources and development opportunities. This group may include for example: households headed by women or children, the extremely poor, the elderly, at-risk children and youth, ex-combatants, internally displaced people and returning refugees, HIV/AIDS-affected individuals and households, religious and ethnic minorities, migrant workers, and groups who suffer social and economic discrimination, including indigenous peoples, minorities and in some societies, women.

Source: Responsible Jewellery Council (2019). Code of Practices.; IRMA (2019).

**Worst forms of child labor** as defined by the International Labour Organization Convention 182 defines the worst forms of child labour as:

- All forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced or compulsory labour, including forced or compulsory recruitment of children for use in armed conflict;
- The use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performances;
- The use, procuring or offering of a child for illicit activities, in particular for the production and trafficking of drugs as defined in the relevant international treaties; and
- Work which is likely to harm the health, safety or morals of children. This includes **hazardous work** as defined above.

Source: International Labour Organization (1999.) (C182-Worst Forms of Child Labour Convention (No. 182).)



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