



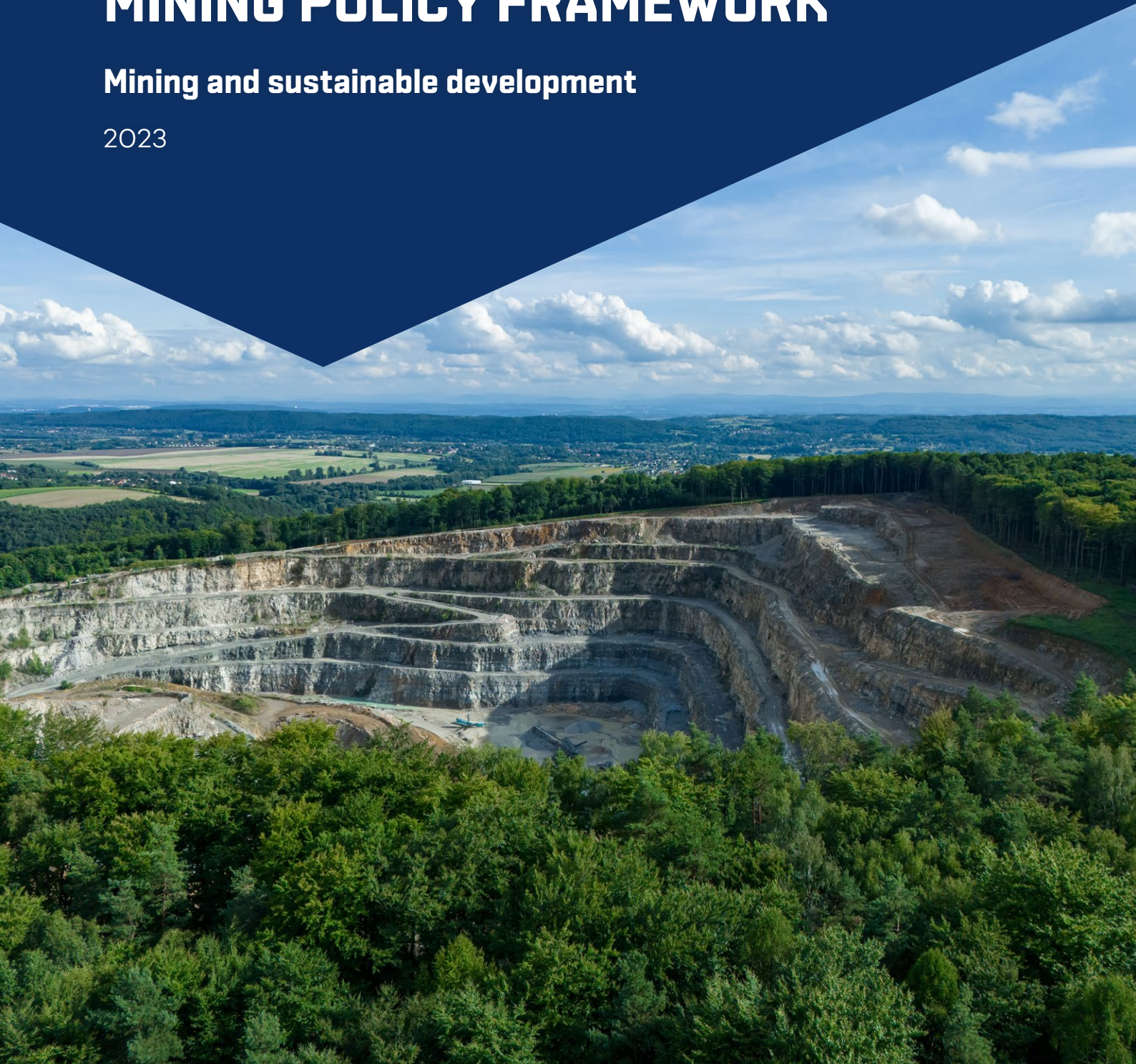
**IGF**

INTERGOVERNMENTAL FORUM  
on Mining, Minerals, Metals and  
Sustainable Development

# MINING POLICY FRAMEWORK

**Mining and sustainable development**

2023



Secretariat hosted by



Secretariat funded by



Kingdom of the Netherlands

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**The Intergovernmental Forum on Mining, Minerals, Metals and Sustainable Development (IGF)** supports its more than 80 member countries in advancing their sustainable development goals through effective laws, policies, and regulations for the mining sector. We help governments take action to develop inclusive and gender-equitable practices, optimize financial benefits, support livelihoods, and safeguard the environment. Our work covers the full mining life cycle, from exploration to mine closure, and projects of all sizes, from artisanal mining to large-scale operations. Guided by our members' needs, we provide in-country assessments, capacity building, technical training, publications, and events to advance best practices, peer learning, and engagement with industry and civil society. The International Institute for Sustainable Development has hosted the IGF Secretariat since October 2015. Core funding is provided by the governments of Canada and the Netherlands.

## IGF MINING POLICY FRAMEWORK

2023

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# Preamble

## Origins and Mandate of the Intergovernmental Forum on Mining, Minerals, Metals and Sustainable Development

At the World Summit on Sustainable Development in Johannesburg in 2002, a number of countries with an interest in mining decided to take action to demonstrate that the mining sector is a significant driver of development and drafted what is now paragraph 46 of the Johannesburg Plan of Implementation. This paragraph recognizes the positive contribution of mining to sustainable development and, more importantly, identifies priorities that will ensure and enhance the future contribution of mining to sustainable development.

Acknowledging the lack of a suitable global forum to advance the concerns and priorities of resource-rich countries as outlined in paragraph 46, Canada and South Africa promoted a partnership to fill the void. It was named the Global Dialogue on Mining/Metals and Sustainable Development and from the outset it was intended to be a platform for governments to share experiences and collaborate to advance sustainable development through mining.

The 53 countries participating in the Global Dialogue decided that their objectives would be best achieved by establishing a more formal, member-driven, intergovernmental forum. With support from the United Nations Conference on Trade Development (UNCTAD), the participant nations held two preparatory meetings at the Palais des Nations in Geneva in 2003 and 2004 at which they negotiated terms and prepared to launch the new forum. The Intergovernmental Forum on Mining, Minerals, and Metals (IGF) was launched in February 2005, with 25 countries as founding members and was recognized by the UN as a Type II partnership linked to the Johannesburg summit.

In 2005, the IGF organized its first annual general meeting hosted by UNCTAD at the Palais des Nations. The Government of Canada was the founding host of the IGF Secretariat and administered its operations for 10 years. The International Institute for Sustainable Development (IISD) took over the Secretariat's administration in October 2015.

The IGF has now become the leading global intergovernmental policy forum on mining and sustainable development. Membership is open to all member countries of the UN that have an interest in effectively managing their mining/metal sector for development benefits. It is a member-led, voluntary partnership. National representatives at the IGF are officials with the lead responsibility for the mining and mining-related activity in their country.

The objectives of the IGF are to improve, enhance, and promote the contribution of the mining, minerals, and metals sector to sustainable development and poverty reduction. Through sharing experiences and developments across the sector, the IGF helps enhance capacity for the improved management of member countries' mineral wealth.

The agenda of the IGF reflects the key topics and priorities of its member countries, as well as important international commitments such as the Sustainable Development Goals and the Paris Agreement. The IGF is open to the participation of the IGF's observers and stakeholders, and information about the IGF is provided at [www.igfmining.org](http://www.igfmining.org).

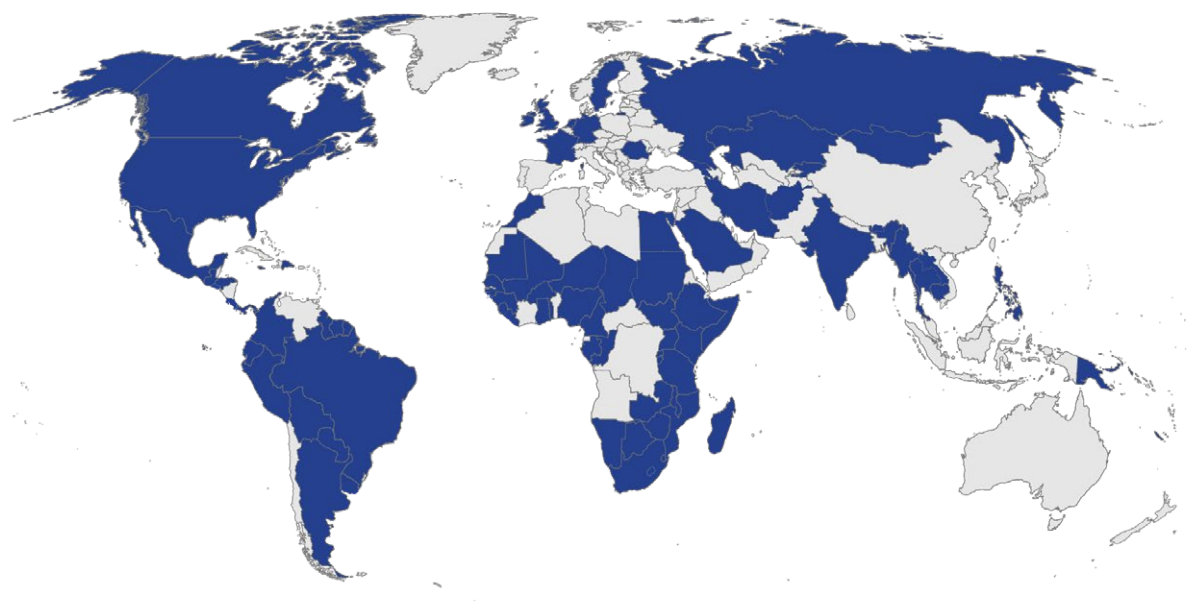


Annual general meetings of the IGF are hosted by the UNCTAD. The IGF Secretariat is hosted by IISD and, over the years, has received financial support from several governments including Canada, Germany, the Netherlands, Norway, the United Kingdom, and the United States.

## Membership as of 2023

The 81 members of the IGF include Afghanistan, Argentina, Armenia, Bhutan, Bolivia, Botswana, Brazil, Burkina Faso, Burundi, Cambodia, Cameroon, Canada, Chad, Colombia, Costa Rica, the Dominican Republic, Ecuador, Egypt, El Salvador, Eswatini, Ethiopia, Fiji, France, Gabon, Georgia, Germany, Ghana, Guatemala, Guinea, Guyana, Honduras, India, Ireland, Islamic Republic of Iran, Jamaica, Kazakhstan, Kenya, the Kyrgyz Republic, Laos, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritania, Mexico, Mongolia, Morocco, Mozambique, Myanmar, Namibia, the Netherlands, Niger, Nigeria, Panama, Papua New Guinea, Paraguay, Peru, Philippines, the Republic of Congo, Romania, the Russian Federation, Rwanda, Saudi Arabia, Senegal, Sierra Leone, Somalia, South Africa, South Sudan, Sudan, Suriname, Sweden, Tanzania, Thailand, Togo, Uganda, the United Kingdom, the United States of America, Uruguay, Zambia, and Zimbabwe.

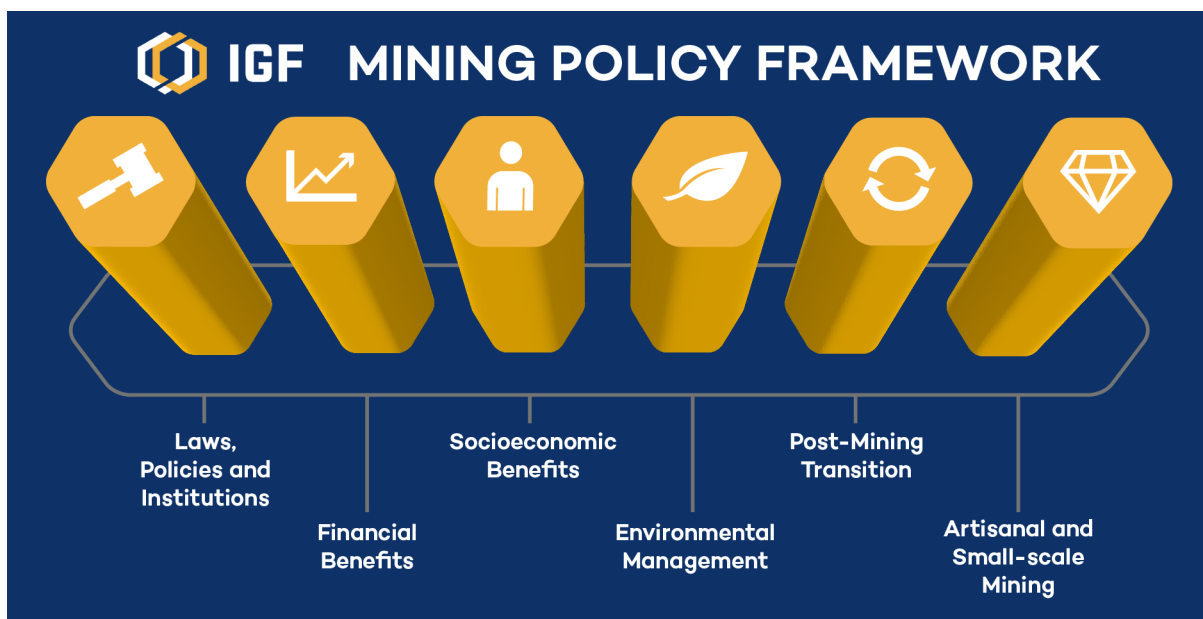
### IGF MEMBER MAP





# The Mining Policy Framework Process

At the 2010 annual general meeting, IGF member countries ratified its cornerstone Mining Policy Framework (MPF), a summary of practices that support good governance in mining. Informed by the needs and experiences of IGF members, the MPF was designed to help governments ensure their mining sectors contribute to sustainable development. As a policy guidance tool, the MPF outlines good governance throughout the full mining life cycle in the following six key pillars that form the organizing principles for much of the IGF's subsequent work with its members:



Tabled in May 2011 at the 19th session of the United Nations Commission on Sustainable Development (CSD19) in New York, the MPF was presented as a compendium of good international practices to assist governments in managing the full range of issues in the mining sector. Delegates to CSD19 recognized the MPF as a systemic approach applying sustainable development principles to all mining operations.

Since that time, the IGF member countries have made great strides in implementing the recommendations outlined in the MPF. At the request of member countries, the IGF Secretariat has performed 17 MPF assessments to date (as of 2023). The IGF Secretariat's team of experts work with member governments to apply the MPF in two phases. First, the team collaborates with governments to identify strengths, weaknesses, and gaps in existing mining laws, policies, and regulations and provides recommendations for improvement based on the good governance practices presented in the MPF. Second, the Secretariat works collaboratively to advise government officials leading tailored capacity-building and technical assistance to address the gaps identified in the MPF assessment.

In 2023, after extensive consultations with IGF's 81 members and other stakeholders, the MPF was updated to reflect the changing global context in which mining is now undertaken and to include evolving international commitments and benchmarks, good international practice, as well as experiences and lessons learned from MPF assessments performed over the past 10 years.



# The Mining Policy Framework

## Mining and Sustainable Development: Managing one to advance the other

The Mining Policy Framework represents the commitment of the IGF members to ensure that mining activities within their jurisdictions adhere to good international practice with respect to environmental, social, and economic governance, and promote the generation and equitable sharing of benefits in a manner that will contribute to sustainable development.

### 1.0 Laws, Policies, and Institutions

*A mature modern legislative regime is one that provides clear lines of responsibility and accountability. Such a regime provides the foundation of good governance and contributes to sustainable development in all aspects of social and economic life.*

#### 1.1 Generation and Access to Geological Information

1.1.1 Generate baseline geological, geophysical, topographical, and other information relevant for national land-use planning, mineral development, and environmental and social protections.

1.1.2 Provide access to geological and cadastral information to companies, individuals, communities, and other civil-society actors to ensure that consultations between parties can take place on an equal footing.

1.1.3 Require mining entities to share geological data, in a timely and comprehensive manner, with the government agency in charge of mineral development to improve the understanding of the country's mineral resources potential.

#### 1.2 Institutional Frameworks and Capacities


1.2.1 Define and coordinate roles and responsibilities of government institutions involved in the governance and management of mining.

1.2.2 Establish robust monitoring and enforcement mechanisms with appropriate sanctions and resources to ensure compliance with laws and regulations.


1.2.3 Strengthen institutional capacities and allocate resources to enhance expertise, transparency, and accountability.

#### 1.3 Mining Policies, Codes, Agreements, and Standards


1.3.1 Regularly revise and update mining codes, statutes, regulations, policies, and standards to reflect changing knowledge and good international practice. Ensure domestic law is consistent with international law, commitments, and norms.




1.3.2 Ensure mining codes, agreements, and standards address mining activities of all sizes, minerals, and metals from prospection through to closure and the post-mining transition.




1.3.3 Ensure mining codes, agreements and/or permits require mining entities to provide data and reports for review by authorities in order to make informed decisions.




1.3.4 Ensure mineral agreements are negotiated by multidisciplinary teams with the capacity and knowledge to effectively translate the country's mining policy and priorities into actionable provisions. Seek knowledge on how agreements are developed in other jurisdictions.



1.3.5 Promote transparency, disclosure, and public access to mineral agreements.



1.3.6 Respect the spirit and intent of current and evolving international agreements and normative language on human rights, gender equality, cultural heritage, and on Indigenous peoples where applicable.



1.3.7 Require mining entities to act in accordance with national and international laws and to implement responsible business-conduct standards.

## 1.4 Permitting and Licensing Process

1.4.1 Require mining entities to:

- a. Consult with affected communities and other stakeholders during the preparation of their permit application and each stage of the mine cycle, providing them with an opportunity to express their views on and concerns about project risks and impacts, and to be consulted on the development of mitigation measures. The nature and results of consultations are documented.
- b. Consult with Indigenous peoples when mining activities may affect them, obtaining free, prior, and informed consent, when applicable. The nature and results of consultations are documented.
- c. Submit an integrated environmental and social impact assessment that includes a description of baseline social and environmental conditions, potential risks and impacts of the mining activities, and proposed mitigation measures and management plans.
- d. Address potential social impacts including, but not limited to, cultural heritage, community health, safety and security, and resettlement and economic displacement.
- e. Identify opportunities and propose programs in permit submissions that create sustainable, equitable, and inclusive benefits during and beyond the life of the mine.
- f. Include robust plans for the closure of the mine, and the provision of adequate financial assurance to fund the closure and ongoing monitoring. Only consider permit applications to be complete when closure plans are submitted.

1.4.2 Review original permit conditions on a regular basis to ensure conditions are being met and update as needed to reflect any material changes.

1.4.3 Ensure the permitting process is managed in a timely, transparent, non-arbitrary, and consistent manner.

1.4.4 Do not issue permits for a deposit to be mined in an area of active armed conflict.





## 2.0 Financial Benefits

*Taxes and royalty revenues derived from exploration through to mine closure should reflect the value to society of the resources mined and be used in support of the sustainable development of the nation.*



### 2.1 Fiscal Regime Design

2.1.1 Design a fiscal regime that is based on law and quantitative and qualitative analysis, that optimizes government revenues across mining projects, and that is subject to the country's economic and social policy.

2.1.2 Adjust how much revenue the government collects according to the profitability of mining projects.

2.1.3 Ensure the fiscal regime is clear and simple for both investors and the government administration.

2.1.4 Limit opportunities for investors to engage in tax avoidance; adopt measures against base erosion and profit shifting in the domestic law and international legal instruments.



### 2.2 Fiscal Regime Administration

2.2.1 Ensure government officials have the technical capacity to effectively administer the fiscal regime.

2.2.2 Implement the necessary administrative mechanisms to monitor the value and volume of minerals produced and exported.

2.2.3 Ensure coordination between government agencies responsible for implementing the fiscal regime.

### 2.3 Management and Distribution of Financial Benefits

2.3.1 Adopt a transparent revenue management and distribution system.

2.3.2 Provide oversight mechanisms for the management and use of mining revenues, and transparent rules regulating revenue-allocation decisions.

2.3.3 Establish systems to manage macroeconomic volatility; those systems should include robust fiscal rules.

2.3.4 Establish fiscal mechanisms to enable mining communities to benefit financially from mining activities.

### 2.4 Fiscal Transparency

2.4.1 Ensure comprehensive public disclosure of:

- a. All fiscal charges paid by mining entities and received by the government.
- b. The distribution of mining revenues, subnational transfers, and revenue management and expenditures.
- c. The rules regarding the financial relationship between the government and state-owned enterprises, and the latter's role in mining revenue collection, distribution, and spending.



## 3.0 Socio-Economic Benefits

*Balancing the economic gains of mining with social well-being is the cornerstone of responsible mining, ensuring that communities thrive alongside mining activities with opportunities for growth and prosperity.*

### Local Economic Benefits

#### 3.1 Local Economic Development

3.1.1 Integrate mines and mining activities into local, regional, and national development plans.

3.1.2 Develop a supportive business environment to support local economic development.

3.1.3 Encourage mining entities to procure goods and services from local communities and regional and national providers, including from historically under-represented groups.

3.1.4 Require mining entities to monitor, report, and manage the impacts of mining operations on local communities and regularly update socio-economic plans, including those for employment and procurement.

#### 3.2 Labour Rights, Employment, Training, and Skills

3.2.1 Work collaboratively with the mining industry and institutions of academic and vocational education to develop curricula consistent with current and future local and national mining needs.

3.2.2 Require mining entities to:

- a. Respect workers' rights, prohibit the use of forced and child labour in the mine operation and their supply chains, and to provide workers with access to a grievance and redress mechanism.
- b. Optimize employment opportunities by providing employment for local communities and nationals, including increasing levels of managerial responsibility as an objective.
- c. Increase the participation of women and of Indigenous peoples in the mining workforce at all levels of occupations and with all levels of skills.
- d. Develop and implement training and skills development programs for workers, thereby ensuring the transfer of skills and knowledge to local workers.

3.2.3 Plan the maintenance, management, and transfer of educational infrastructure facilities and human resources during and beyond the mine life.

### Social Benefits

#### 3.3 Community Engagement

3.3.1 Require mining entities to:

- a. Undertake meaningful and inclusive consultations with affected communities and stakeholders in the design of community development activities, document the consultation process, and make the results accessible to communities.



- b. Establish grievance mechanisms to receive and facilitate resolution of grievances for affected communities.
- c. Provide fair compensation to improve the living conditions of people who have been involuntarily resettled and/or economically displaced due to mining.

3.3.2 Respect the protected rights, interests, and perspectives of Indigenous peoples and obtain their free, prior, and informed consent when applicable.

### 3.4 Community Health, Safety, Adaptive Capacity, and Security

3.4.1 Work with mining entities to ensure the protection of human rights, safety, and security during and beyond the mine life. In the event of an active conflict, governments and mining entities should act to protect human rights and ensure the safety of miners, their families, and communities.

3.4.2 Work with local communities and mining entities to design, construct, operate, and close mining operations that incorporate local adaptation measures to climate change.

3.4.3 Require mining entities to include community health considerations in social impact assessments, management plans, and monitoring.

3.4.4 Plan the maintenance, management, and transfer of health infrastructure and human resources for health facilities during and beyond the mine life.

### 3.5 Occupational Health and Safety

3.5.1 Require mining entities to:

- a. Provide occupational health and safety training and equipment to reduce hazards; minimize risk of accidents, injury, and disease, and create a safety-conscious work environment.
- b. Develop and implement corrective action plans to address failures in occupational health and safety performance.
- c. Design and implement policies to eliminate all forms of discrimination, harassment, exploitation, and abuse including gender-based violence.





## 4.0 Environmental Management

*Effective management of air, water, waste, and biodiversity supports sustainable development, allowing society to benefit from mining while protecting the environment and the ecosystem services needed to support communities.*

### 4.1 Air and Noise

4.1.1 Adopt standards for controlling and reducing greenhouse gas emissions to meet national commitments to international climate change goals.

4.1.2. Adopt standards for air quality and noise to protect people and the environment.

4.1.3 Require mining entities to:

- a. Minimize contributions to climate change by improving energy efficiency and reducing greenhouse gas emissions and to report on results.
- b. Manage noise and airborne emissions to protect people and the environment.

4.1.4 Establish robust mechanisms for monitoring air emissions that include regular inspections and analysis of emissions reports; enforce standards with appropriate sanctions to ensure compliance with laws and regulations.

### 4.2 Water

4.2.1 Adopt water management standards for the use of surface and ground water.

4.2.2 Implement planning at the watershed level, considering the protection of water sources for potential users and integrating the risks posed by climate change.

4.2.3 Require mining entities to:

- a. Establish environmental management programs for the use of surface and groundwater. Minimize potential impacts on water quality and quantity beyond the mining site, including potential trans-boundary impacts.
- b. Appropriately manage and treat the quality and quantity of mine effluent streams discharged to the environment to avoid potential adverse impacts.
- c. Protect groundwater from water-leaching or percolating waste dumps, tailings storage areas, and leach pads.

4.2.4 Establish robust mechanism for monitoring water quality and quantity, that include regular inspections and analysis of reports; enforce standards with appropriate sanctions to ensure compliance with laws and regulations.

### 4.3 Biodiversity

4.3.1 Adopt policies and plans and ensure capacities to manage biodiversity and ecosystem services.



#### 4.3.2 Require mining entities to:

- a. Identify and manage risks and impacts to biodiversity and ecosystem services by applying the mitigation hierarchy with the goal to achieve no-net loss across all activities throughout the mine life cycle.
- b. Avoid World Heritage Sites and respect legally designated protected areas.
- c. Monitor and report on risks and impacts to biodiversity and ecosystem services throughout the mining cycle as part of their environmental and social impact assessment and environmental management plan.

4.3.3 Establish robust biodiversity management mechanisms for monitoring that include regular inspections and analysis of reports; enforce standards with appropriate sanctions to ensure compliance with laws and regulations.

## 4.4 Waste

4.4.1 Enact standards and codes to ensure mine waste structures are appropriately and safely designed, operated, maintained, and closed.

#### 4.4.2 Require mining entities to:

- a. Plan, design, construct, and operate waste structures such that geotechnical, climatic, and environmental risks are assessed and managed throughout the mine life cycle.
- b. Commission independent technical reviews of tailings facilities for government approval prior to construction, when changes in design are proposed, and at regular intervals during the operating phase.
- c. Safely store and transport hazardous materials and manage hazardous waste.

4.4.3 Establish robust waste management mechanisms for monitoring by conducting regular inspections and analysis of reports submitted by mining entities; enforce standards with appropriate sanctions to ensure compliance with laws and regulations.

## 4.5 Emergency Preparedness and Response

4.5.1 Adopt and implement regional and national emergency preparedness and response programs to identify and minimize risks through hazard elimination, engineering controls, procedures, and education.

#### 4.5.2 Require mining entities to:

- a. Develop an emergency preparedness and response program prior to construction.
- b. Base all elements of the emergency preparedness and response programs on ongoing consultation and cooperation with local, regional, national and, if applicable, trans-boundary stakeholders.
- c. Conduct drills to monitor the effectiveness and responsiveness of the emergency preparedness and response programs in cooperation with communities and all levels of government.

4.5.3 Establish robust mechanisms for monitoring emergency preparedness and response requirements by conducting inspections and reviewing reports submitted by mining entities; enforce with appropriate sanctions to ensure compliance with laws and regulations.





## 5.0 Post-Mining Transition

A mining operation that is consistent with sustainable development requires the planning of its closure before mining and its implementation throughout the entire operation of the mine, including the conversion of former mine sites to other productive uses.

### 5.1 Mine Closure Plans

5.1.1 Adopt legal and regulatory frameworks and guidance documents for closure.

5.1.2 Maintain institutional capacity to monitor and enforce legal and regulatory frameworks.

5.1.3 Require mining entities to:

- a. As part of development and mining permit applications for a new mine, provide a comprehensive closure plan that includes adequate financial assurance. As part of permit applications for new exploration, provide a rehabilitation plan.
- b. Conduct meaningful consultation with communities and stakeholders in the development of closure objectives and plans.
- c. Contract independent technical experts to validate risk assessments, studies, and activities associated with high-risk elements such as tailings dams, waste dumps, and acid rock drainage.
- d. Regularly update and reassess closure plans, especially for mines with an expected short operating life, or as planned closure approaches.
- e. In order to reduce potential closure liabilities, embark upon progressive rehabilitation in mining and exploration areas as soon as the disturbed area is no longer required for its operation to reduce future closure liabilities and restore areas or minimize future environmental, economic, and social impacts.
- f. Ensure closure plans provide for productive, environmentally sound, and climate-resilient post-mining land uses.
- g. Include in closure plans support for the economic and social stability of communities during the post-mining transition and, where possible, provide economic and social opportunities through the chosen post-mining land uses.
- h. Undertake an independent audit of completed closure obligations against the closure plan prior to being granted approval of final closure and relinquishment of the mine.

5.1.4 Provide a legal process to discharge permits and relinquish the mine site from the mine operator to the post-mining landowner.

### 5.2 Financial Assurance Mechanisms

5.2.1 Adopt legislation, regulations, and guidelines for financial assurance.

5.2.2 Enact regulations on the types of financial assurance that are appropriate for mine closure, including their specific details and conditions.

5.2.3 Require mining entities to:

- a. Provide an adequate level of financial assurance based on realistic estimates to fund all outstanding closure work programs at any time by third-party contractors, including



those that are premature and/or temporary, in the event that the mine operator fails to fulfill its closure obligations.

- b. Provide financial assurance that is issued or held only by qualified and approved financial institutions, insurance companies, or other regulated institutions.
- c. In the event that the mining entity cannot fulfill its closure obligations, provide government the right to gain immediate and unencumbered access to the full amount of the financial assurance to cover the costs of all outstanding work programs.
- d. Allow for draw-down or release of a portion of financial assurance as progressive rehabilitation or other closure activities are completed and approved.

## 5.3 Orphaned and Abandoned Mines

5.3.1 Develop an inventory of and a tracking tool for abandoned mines that identifies potential hazards and impacts as well as opportunities and values.

5.3.2 Undertake a risk assessment for abandoned mines that considers likelihood and consequence of risks to people, the environment, and property.

5.3.3 Engage and involve communities in the identification and assessment of abandoned mines.

5.3.4 Develop remediation plans for abandoned mines that are consistent with risks and with regulations for mine closure, and that consider the redevelopment of abandoned mines or the preservation of values beneficial to people, wildlife, climate resilience, and the environment.





## **6.0 Artisanal and Small-Scale Mining**

*Artisanal and small-scale mining (ASM) is a complex and diversified sector that includes individual workers of metallic and non-metallic supply chains seeking subsistence livelihood, as well as small-scale commercial mining entities. Enhancing the quality of life of those workers and mining communities will enhance this sector's contribution to sustainable development.*

### **6.1 ASM in the Legal System**

6.1.1 Develop specific legal frameworks to manage ASM operations.

6.1.2 Develop appropriate strategies for different types of ASM to integrate ASM operators into the formal economy and legal system to help manage their impacts.

6.1.3 Support ASM operators to meet regulatory requirements.

6.1.4 Establish robust mechanisms for monitoring ASM sites and for enforcement with appropriate sanctions when practices are unacceptable, to ensure compliance with laws and regulations. Integrate local governments in monitoring and enforcement activities.

### **6.2 ASM in the Economic System**

6.2.1 Map and update existing ASM activities so authorities can make informed decisions.

6.2.2 Generate and provide access to geological information and identify areas with potential for ASM operations.

6.2.3 Provide technical training to improve productivity through efficient processes that protect the environment and the health, climate resilience, and safety of ASM workers.

6.2.4 Encourage and facilitate the creation of ASM associations.

6.2.5 Promote financial literacy and facilitate access to the financial system, including for women and other stakeholders who face barriers to financing.

6.2.6 Design transparent systems for the collection of revenue that are appropriate for the size and economic capacities of ASM operations.

6.2.7 Encourage, when applicable, responsible supply-chain initiatives to promote sustainable ASM.

6.2.8 Encourage mining entities to collaborate with ASM operators and establish conflict-resolution mechanisms when ASM is present or can be anticipated to follow the development of a mine.





## 6.3 Social and Environmental Protections in ASM

6.3.1 Develop, disseminate, and enforce regulations to safeguard water sources, minimize habitat loss, manage tailings, and rehabilitate sites associated with ASM.

6.3.2 Take steps to reduce and, where possible, eliminate, the use of mercury, and other toxic substances from ASM processes.

6.3.3 Develop an inventory of abandoned and orphaned ASM sites and undertake remediation measures of those sites.

6.3.4 Coordinate with ASM operators and local government on efforts to address economic, social and health impacts on ASM communities.

6.3.5 Develop programs to improve health and safety standards and provide access to quality education to ASM workers and their families.

6.3.6 Strengthen, monitor, and enforce labour laws and laws that prohibit forced and child labour in ASM.

6.3.7 Strengthen the capacity of women working in ASM and provide access to resources that promote their health, safety, and security.





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