**Annex 2. Institutional capacity assessment (ICA) key informant interview questionnaires**

**A. Health hazards in ASGM communities** (questions for ministry of health and other health-related institutions)

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|  | **Topic area and categories** | **Indicators and questions** |
| 1 | **Policy and regulatory environment** | |
| 1.1 | Legal and policy framework | ASGM communities’ health care provision and social protection  **Laws and regulations regarding the health care provision for artisanal and small-scale miners, their families and neighbours are clearly defined.**   * *Could you tell me about the laws or regulations regarding the health care provision for ASGM communities? Do they define which institutions are mandated to execute these laws and regulations?* * *Do they apply to both regular and emergency situations?* * *Do these laws and regulations apply at the national and local levels? Are they implemented at both levels?* * *Do policies cover the different status or groups of miners, for example migrant miners and their families in ASGM communities, artisanal and small-scale gold miners and other members of the communities who are not insured?* |
| ASGM communities’ health care provision  **An administrative programme, ordinances or administrative orders concerning health care provision for ASGM communities are clearly defined.**   * *Are laws and regulations translated into programmes and interventions concerning health care provision for ASGM communities?* * *Are they implemented at national and subnational levels?* * *Are there operative elements for achieving goals, for example information and campaigns for ASGM communities, training programmes for health workers, supervising mechanisms, or incentives (such as anonymous consultation)? [These topics are covered in detail later in the interview.]* * *If yes, are there evaluative elements that define how to measure the health goals you mention, for example indicators describing what has to be measured, how to measure them and at what time?* * *Are there instrumental and procedural elements that guarantee consistent application of the policy, such as standard operating procedures, reporting requirements or referral criteria?* |
| ASGM communities’ health care provision  **Laws, regulations and administrative programmes concerning health care provision for ASGM communities meet international standards defined in the Minamata Convention.**   * *Is there information about the geographical distribution of ASGM sites and the proximity of health services? If yes, may I have it?* * *Are there health data on exposure of artisanal and small-scale gold miners and their communities to mercury? If yes, may I have them?* * *Are those data disaggregated (for example, by children, pregnant women)?* * *Are there awareness-raising programmes through health facilities? If yes, do they cover health and environmental effects of mercury? Do they present available alternatives to mercury?* |
| Environmental and occupational health hazards related to ASGM  **Laws, regulations and specific policies regarding environmental and occupational health hazards related to ASGM are clearly defined.**   * *Are there laws and policies concerning chemical hazards (such as mercury, cyanide, chemicals contained in dust and toxic gases)? Can you tell me about them?* * *Are there health and safety regulations for ASGM activities or similar small-scale or informal activities? Can you tell me about them?* * *Are there laws and policies regarding biological hazards (such as waterborne and vector-borne diseases, sexually transmitted infections, HIV/AIDS and tuberculosis)? Can you tell me about them?* * *Are there laws and policies concerning biomechanical and physical hazards (such as musculoskeletal disorders, overexertion, physical trauma (burns, eye injuries, fractures, impalement, and in some instances physical dismemberment), noise, heat and humidity)? Can you tell me about them?* * *Are there laws and policies concerning psychosocial hazards (such as drug and alcohol abuse, violence, nutritional deficits, stress and fatigue)? Can you tell me about them?* * *Are there laws and policies regarding common ASGM-associated environmental hazards (such as land degradation, mercury emissions and pollution, siltation, erosion and water contamination)? Can you tell me about them?* |
| ASGM communities’ specific living conditions  **Laws, regulations and policies regarding ASGM-specific living conditions are clearly defined.**   * *Are there minimum sanitary and hygiene requirements for ASGM or small and medium-sized businesses?* * *Are there national standards or guidelines related to exposure to dust in specific working places? Are there exposure limits that might apply to ASGM?* |
| 1.2 | Organization | **An organizational chart of the public health system with key duties and responsibilities is clearly defined.**   * *Is there an up-to-date organizational chart available? Is the chart implemented?* * *Are roles and responsibilities (such as decision-making, consultation and execution) clearly defined so that overlaps, gaps or duplications between various units are avoided?* |
| **The organizational chart of the public health system is clearly divided into national and local levels.**   * *Is the organizational chart divided into national and local levels? Is it implemented at both levels?* * *How are roles and responsibilities distributed at the different levels?* |
| 1.3 | Coordination mechanisms | **Institutionalized coordination bodies and meetings between ministries are defined in relation to ASGM (either generally or for ASGM-specific health hazards).**   * *Do coordination bodies between relevant ministries exist?* * *Which ministries or units of ministries are represented?* * *How do they operate (responsibility for running the coordination body, level of representation, scope of topics covered, competencies (provide information, advise, make decisions), frequency of meetings)?* * *How formal or institutionalized are they?* |
| 1.4 | Knowledge links with key external institutions | **Knowledge hubs are involved with key public institutions related to ASGM and mercury.**   * *Does knowledge related to ASGM produced at universities or research centres reach the ministry of health? How?* * *Which research institutions, private think tanks, laboratories or networks produce knowledge related to health issues of the ASGM sector?* * *Does the ministry of health actively request studies, research, advice, consultancy or evaluation to obtain information for its policy-making?* * *Through which activities are universities and research centres linked to the ministry of health?* * *Does the ministry of health include knowledge produced at universities or research centres to design or improve its policies?* * *Are laboratories involved with the ministry of health (for example, through sharing information about chemical poisoning)?*   *Questions for health-related research centres*   * *Does your research centre produce knowledge linked to ASGM, mercury or occupational health hazards?* * *Could you tell me if knowledge on ASGM-related health hazards produced at universities or research centres reaches public institutions? How?* * *Could you mention research institutions, private think tanks, laboratories or networks that produce knowledge related to health issues of the ASGM sector?* * *Do public institutions actively request studies, research, advice, consultancy or evaluation to obtain information for their policy-making, either from your organization or others?* * *Through which activities are universities or research centres linked to public institutions?* * *Do you know if public institutions include knowledge produced at universities or research centres to design or improve their policies?* * *Do you know if laboratories are involved with public institutions (for example, by sharing information about chemical poisoning)?* |
| 2 | **Implementing capacity** | |
| 2.1 | Availability and accessibility of health facilities | **Artisanal and small-scale gold miners and communities have effective access to public health facilities, regardless of their legal status (for example, formally unemployed, migrant).**   * *Can people who do not have health insurance get public health assistance? How (for example, only at the emergency room)?* |
| **Primary health facilities are effectively accessible.**   * *Are primary health facilities reachable by foot? If not, is there any transportation available (such as charge-free ambulance)? If not, how do people reach the facilities?*   [Existence and availability of 24-hour emergency rooms and ambulance services are already covered.] |
| 2.2 | Emergency preparedness (chemical spill, disease outbreak, e.g. cholera) | **The country has mechanisms for responding to emergencies such as chemical spills, disease outbreaks or serious accidents related to ASGM.**   * *Are there mechanisms or plans for ASGM-related incidents and accidents, be they chemical (such as a spill or explosion), biological (such as an outbreak), or physical (such as a mine collapse resulting in mass trauma or casualties)?* * *Which institutions are involved?* * *Do they operate at the national and local levels?* * *To what extent do these plans relate to other plans (for example, for the mining sector)?* |
| 2.3 | Prevention systems | **The country has institutionalized mechanisms and resources in place to address health risks related to ASGM.**   * *Do preventive programmes or informational campaigns on exposure to mercury take place in ASGM sites?* * *Are there other programmes that require the mobilization of the community (such as hygiene or immunization)?* * *Are campaigns and programmes directed to vulnerable populations at risk (such as children or pregnant women)?* * *Is improved technology promoted along the ASGM supply chain?* * *Is protective gear promoted in the ASGM sector?* * *Is there occupational health and safety sensitization in the ASGM sector?*   [Also include in the analysis the answers to the Swiss Tropical and Public Health Institute rapid health assessment questionnaire concerning institutional support, for example, what has been done in the past, what is currently being done and what is planned to be done in the future (health education, interventions).] |
| 3 | **Technical capacities** | |
| 3.1 | Developing and maintaining staff | **A training programme for health staff to support detection, monitoring and surveillance of ASGM-related health issues takes place regularly.**   * *Is there a training programme for health staff to support detection, monitoring and treatment of ASGM-related health issues?* * *Which institution is implementing it? Does it take place regularly and at different levels (national and local)?* |

**B. Occupational health hazards related to ASGM** (questions for ministry of labour, other organizations involved in occupational health and safety)

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|  | **Topic area and categories** | **Indicators and questions** |
| 1 | **Policy and regulatory environment** | |
| 1.1 | Legal and policy framework | ASGM communities’ health care provision and social protection  **Laws and regulations regarding health care provision and social protection for artisanal and small-scale miners, their families and neighbours are clearly defined.**   * *Could you tell me about the working status of artisanal and small-scale gold miners?* * *Does their status affect their chances of getting health care (for example, migrant miners and their families in ASGM communities, artisanal and small-scale gold miners and other members of the communities who are not insured)?* * *Do insurance schemes exist for and apply to ASGM communities? If yes, which ones?* * *Do workers receive compensation in the event of occupational injury? If yes, how?* |
| Environmental and occupational health hazards related to ASGM  **Laws, regulations and specific policies regarding environmental and occupational health hazards related to ASGM are clearly defined.**   * *Are there policies concerning chemical hazards at the working place (such as mercury, cyanide, chemicals contained in dust and toxic gases)? Are they specifically addressed to ASGM?* * *Are there health and safety regulations for ASGM activities or similar small-scale or informal activities?* * *Are there policies concerning biomechanical and physical hazards at the working place (such as musculoskeletal disorders, overexertion, physical trauma (burns, eye injuries, fractures, impalement, and in some instances physical dismemberment), noise, heat and humidity)?* |
| ASGM communities’ specific living conditions  **Laws, regulations and policies regarding ASGM-specific living conditions are clearly defined.**   * *Are there policies or regulations addressing temporary worker camps?* * *Are there sanitary or hygiene requirements for small and medium-sized businesses?* * *Are there policies or regulations related to migrant workers?* * *Are there national standards or guidelines related to exposure to dust in specific working practices? Are there exposure limits that might apply to ASGM?* |
| ASGM-related handling of chemicals (such as mercury, cyanide and acids)  **Laws, regulations and policies specified for the transport, storage and use of chemicals (such as mercury, cyanide and acids) are clearly defined.**   * *Are there regulations specifically for the use of chemicals in the working place (such as mercury, cyanide and acids)?* |
| **Laws and regulations concerning the transport, storage and use of mercury meet international standards defined in the Minamata Convention.**   * *Are there strategies for promoting the reduction of exposure to mercury in ASGM? Are mercury-free methods promoted?* |
| 1.2 | Coordination mechanisms | **Institutionalized coordination bodies and meetings between ministries are defined in relation to ASGM (either generally or for ASGM-specific health hazards).**   * *Do coordination bodies between relevant ministries exist?* * *How formal or institutionalized are they?* * *Which ministries or units of ministries are represented?* * *How do they operate (responsibility for running the coordination body, level of representation, scope of topics covered, competencies (provide information, advise, make decisions), frequency of meetings)?* |
| 1.3 | Knowledge links with key external institutions | **Knowledge hubs are involved with key public institutions related to ASGM and mercury.**   * *Does knowledge related to ASGM and mercury produced at universities or research centres reach the ministry responsible for labour, employment and social security? How?* * *Which research institutions, private think tanks or networks produce knowledge related to work issues of the ASGM sector?* * *Does the ministry responsible for labour, employment and social security actively request studies, research, advice, consultancy or evaluation to obtain information for its policy-making?* * *Through which activities are universities or research centres linked to the ministry responsible for labour, employment and social security?* * *Does the ministry responsible for labour, employment and social security include knowledge produced at universities or research centres to design or improve its policies?* |
| 2 | **Implementing capacity** | |
| 2.1 | Emergency preparedness (chemical spill, disease outbreak, e.g. cholera) | **The country has mechanisms for responding to emergencies such as chemical spills, disease outbreaks or serious accidents related to ASGM.**   * *Are there mechanisms or plans for ASGM-related incidents and accidents, be they chemical (such as a spill or explosion), biological (such as an outbreak) or physical (such as a mine collapse resulting in mass trauma or casualties)?* * *Which institutions are involved?* * *Do they operate at the national and local levels?* * *To what extent do these emergency plans relate to other industrial plans (for example, for the mining sector)?* |
| 2.2 | Prevention systems | **The country has institutionalized mechanisms and resources in place to address health risks related to ASGM.**   * *Do preventive programmes or information campaigns on prevention regarding occupational exposure to mercury take place at ASGM sites? Are campaigns and programmes directed to vulnerable population at risk (such as children miners or pregnant women)?* * *Is improved technology promoted along the ASGM supply chain? Is protective gear promoted in the ASGM sector?* * *Is there occupational health and safety sensitization in the ASGM sector?* |

**C. Environmental hazards related to ASGM with implications for health** (questions for ministry of environment, other organizations involved in environmental issues)

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|  | **Topic area and categories** | **Indicators and questions** |
| 1 | **Policy and regulatory environment** | |
| 1.1 | Legal and policy framework | ASGM communities’ health care provision  **Laws, regulations and administrative programmes for ASGM communities meet international standards defined in the Minamata Convention.**   * *Could you tell me about any awareness-raising programmes aimed at environmental effects of mercury? If yes, do these programmes aim to present available alternatives?* |
| Environmental and occupational health hazards related to ASGM  **Laws, regulations and specific policies regarding environmental and occupational health hazards related to ASGM are clearly defined.**   * *Could you tell me about policies concerning chemical hazards (such as mercury, cyanide, chemicals contained in dust and toxic gases)?* * *Could you tell me about policies regarding common ASGM-associated environmental hazards (such as land degradation, mercury emissions and pollution, siltation, erosion and water contamination)?* |
| ASGM-related handling of chemicals (mercury, cyanide and acids)  **Laws, regulations and policies specified for the transport, storage and use of chemicals (mercury, cyanide and acids) are clearly defined.**   * *Are there regulations specifically for the transport, storage and use of chemicals (including mercury, cyanide and acids)?* * *Do they define which institutions are mandated for executing these regulations?* * *Do these regulations apply at the local level?* |
| **Specific policies for the transport, storage and use of chemicals (mercury, cyanide and acids) are clearly defined.**   * *Could you tell me about policies concerning the transport, storage and use of mercury, cyanide and acids?* * *Which institutions are mandated to execute these policies?* * *Are they implemented at national and local levels?* * *Is there information about risks and dangers of mercury, cyanide and acids? Are there incentives for proper handling? Is there technical assistance available? Do inspections take place? Are there penalties for illegal import or trading?* * *Regarding mercury, cyanide and acids, are there indicators describing what has to be measured, how and at what time?* * *Is a licence needed for the transport, storage and use of mercury? Is there a register of purchase and sales?* |
| **Laws and regulations concerning the transport, storage and use of mercury meet international standards defined in the Minamata Convention.**   * *Is there information on trade of mercury and mercury compounds?* * *Are there baseline estimates of the quantities of mercury used and the practices employed in artisanal and small-scale gold mining and processing?* * *Are there strategies for managing trade and preventing the diversion of mercury from both foreign and domestic sources to use in artisanal and small-scale gold mining and processing?* * *Are there strategies for promoting the reduction of emissions and releases of and exposure to mercury in artisanal and small-scale gold mining and processing, including mercury-free methods?* |
| **Laws and regulations concerning the transport, storage and use of cyanide meet international standards defined in the Minamata Convention and by the United Nations Environment Programme.**   * *Are there estimates of the quantities of cyanide used in ASGM? Is there information about cyanide leaching in sediment, ore or tailings to which mercury has been added without first removing the mercury?* * *Does the ministry work with cyanide processers to develop methods or protocols to avoid treating mercury-contaminated materials?* * *Has the country required cyanide processors, as part of licensing, to refuse to accept mercury-contaminated tailings, or to undertake removal of mercury prior to use?* |
| 1.2 | Coordination mechanisms | **Institutionalized coordination bodies or meetings between ministries are defined in relation to ASGM (either generally or for ASGM-specific health hazards).**   * *Do coordination bodies between relevant ministries exist?* * *How formal or institutionalized are they?* * *Which ministries or units of ministries participate?* * *How do they operate (responsibility for running the coordination body, level of representation, scope of topics covered, and competencies, such as providing information, giving advice or making decisions)?* * *How often do they meet?* |
| 1.3 | Knowledge links with key external institutions | **Knowledge hubs are involved with key public institutions related to ASGM and mercury.**   * *Does knowledge related to ASGM produced at universities or research centres reach the ministry responsible for land and environment? How?* * *Does the ministry responsible for land and environment actively request studies, research, advice, consultancy or evaluation to obtain information for its policy-making?* * *Through which activities are universities or research centres linked to the ministry responsible for land and environment?* * *Does the ministry responsible for land and environment include knowledge produced at universities or research centres to design or improve its policies?* |
| 2 | **Implementing capacity** | |
| 2.1 | Emergency preparedness (chemical spill, disease outbreak, e.g. cholera) | **The country has mechanisms for responding to emergencies such as chemical spills, disease outbreaks or serious accidents related to ASGM.**   * *Are there mechanisms or plans for ASGM-related incidents and accidents, be they chemical (such as a spill or explosion), biological (such as an outbreak), or physical (such a mine collapse resulting in mass trauma or casualties)?* * *Which institutions are involved?* * *Do they operate at the national and local levels?* * *To what extent do these plans relate to other plans (for example, for the mining sector)?* |

**D. Chemicals management related to ASGM** (questions for the ministry in charge of chemicals management)

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|  | **Topic area and categories** | **Indicators and questions** |
| 1 | **Policy and regulatory environment** | |
| 1.1 | Legal and policy framework | **Specific policies for the transport, storage and use of chemicals (mercury, cyanide and acids) are clearly defined.**   * *Could you tell me about the policies concerning the transport, storage and use of mercury, cyanide and acids? Which institutions are mandated for executing these policies?* * *Are they implemented at national and local levels?* * *Is there information about risks and dangers of mercury, cyanide and acids? Are there incentives for handling them? Is there technical assistance available? Do inspections take place? Are there penalties for illegal import or trading?* * *Regarding mercury, cyanide and acids, are there indicators describing what has to be measured, how and at what time?* * *Is there a licence needed for the transport, storage and use of mercury? Is there a register of purchase and sales?* |
| **Laws and regulations concerning the transport, storage and use of mercury meet international standards defined in the Minamata Convention.**   * *Is there information on trade of mercury and mercury compounds?* * *Are there baseline estimates of the quantities of mercury used and the practices employed in artisanal and small-scale gold mining and processing?* * *Are there strategies for managing trade and preventing the diversion of mercury from both foreign and domestic sources to use in artisanal and small-scale gold mining and processing?* * *Are there strategies for promoting the reduction of emissions and releases of, and exposure to, mercury in artisanal and small-scale gold mining and processing, including mercury-free methods?* |
| **Laws and regulations concerning the transport, storage and use of cyanide meet international standards defined in the Minamata Convention and by the United Nations Environment Programme.**   * *Are there estimates of the quantities of cyanide used in ASGM? Is there information about cyanide leaching in sediment, ore or tailings to which mercury has been added without first removing the mercury?* * *Does the country work with cyanide processers to develop methods and protocols to avoid treating mercury-contaminated materials?* * *Has the country required cyanide processors, as part of licensing, to refuse to accept mercury-contaminated tailings, or to undertake removal of mercury prior to use?* |
| 1.2 | Organization | **An organizational chart of the institution in charge of chemicals (mercury, cyanide and acids) with key duties and responsibilities is clearly defined.**   * *Is there an up-to-date organizational chart available (of the institution in charge of chemicals)? Is the chart implemented?* * *Are roles and responsibilities (decision-making, consultation, execution) clearly defined so that overlaps, gaps and duplications between various units are avoided?* |
| **The organizational chart is clearly divided into national and local levels.**   * *Is the organizational chart divided into national and local levels? Is it implemented at both levels?* * *How are roles and responsibilities distributed at the different levels?* |
| 1.3 | Coordination mechanisms | **Institutionalized coordination bodies and meetings between ministries are defined in relation to ASGM (either generally or for ASGM-specific health hazards).**   * *Do coordination bodies between relevant ministries exist?* * *How formal or institutionalized are they?* * *Which ministries or units of ministries participate?* * *How do they operate (responsibility for running the coordination body, level of representation, scope of topics covered, and competencies such as providing information, giving advice or making decisions)?* * *How often do they meet?* |
| 2 | **Implementing capacity** | |
| 2.1 | Emergency preparedness (chemical spill, disease outbreak, e.g. cholera) | **The country has mechanisms for responding to emergencies such as chemical spills, disease outbreaks or serious accidents related to ASGM.**   * *Are there mechanisms or plans for ASGM-related incidents and accidents, be they chemical (such as a spill or explosion), biological (such as an outbreak), or physical (such as a mine collapse resulting in mass trauma or casualties)?* * *Which institutions are involved?* * *Do they operate at the national and local levels?* * *To what extent do these plans relate to other plans (for example, for the environmental sector)?* |