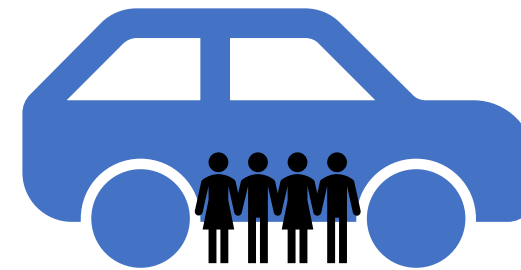


# DRIVING CHANGE: Putting small-scale producers in the driver's seat of battery-mineral supply chain regulation

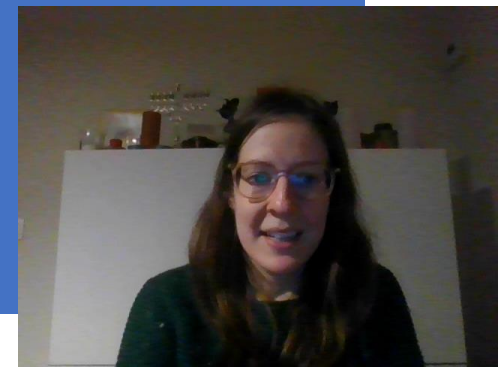
Dr. Sarah Katz-Lavigne, postdoctoral researcher, University of Antwerp

Dr. Sara Geenen, associate professor, University of Antwerp & CEGEMI



# Today

1. Presentation of the project
2. Mapping of supply chain regulations and initiatives
3. Case studies

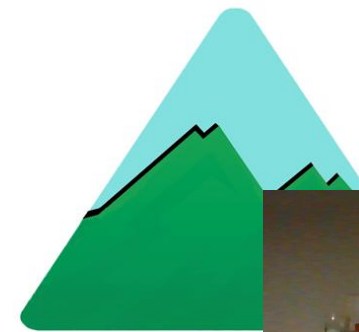


Project  
2022-2025



University of Antwerp

IOB | Institute of  
Development Policy



CEGE  
centre d'expertise en



# Context

- Companies must report on environmental, social and human issues in their supply chains
- EU and European countries adopt national **due diligence** regulations
- Lack of effective **participation** of communities and small producers in decision-making



# Objectives

1. To map the most recent developments in transnational non-state mineral supply chain regulation
2. To understand how small-scale producers participate in these regulatory initiatives
3. To understand the social dynamics and local knowledge surrounding these supply chains
4. To propose pathways for how small-scale producers can be put more in charge





# Provinces



# Methodology

- Qualitative methodology
- Participatory research methods
- Local research team
- In partnership with CEGEMI of UCB and the University of Lubumbashi (UNILU)
- Involvement of small-scale producers, workers and communities involved
- Including digital technology, increasingly adopted in global regulation



# Objectives

1. **To map the most recent developments in transnational non-state mineral supply chain regulation**
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# 1. Mapping

2022

- Current status of supply chain regulation initiatives, programmes and policies
- Literature search and coding with NVivo
- Selection of case studies (specific projects and programmes) for research in DRC



Global concerns about “conflict minerals”

Laws and directives (e.g. Dodd Frank 2010, EU Regulation 2021)

Limited or even negative impact of Dodd Frank Act (Parker & Vadheim 2017, Stoop et al 2019, Seay 2012, etc.)

Change of discourse: cobalt for “green transition”; “responsible sourcing”



# “This is What We Die For”

- “Human rights abuses in the Democratic Republic of the Congo power the global trade in cobalt” (Amnesty International et Afreewatch, 2016)
- Follow-up and monitoring report in 2017
- Dangerous conditions
  - Child labour
  - Frequent accidents in underground tunnels
  - Prolonged exposure to cobalt
  - Little or no personal protective equipment
- Major international buyers, including technology and vehicle companies



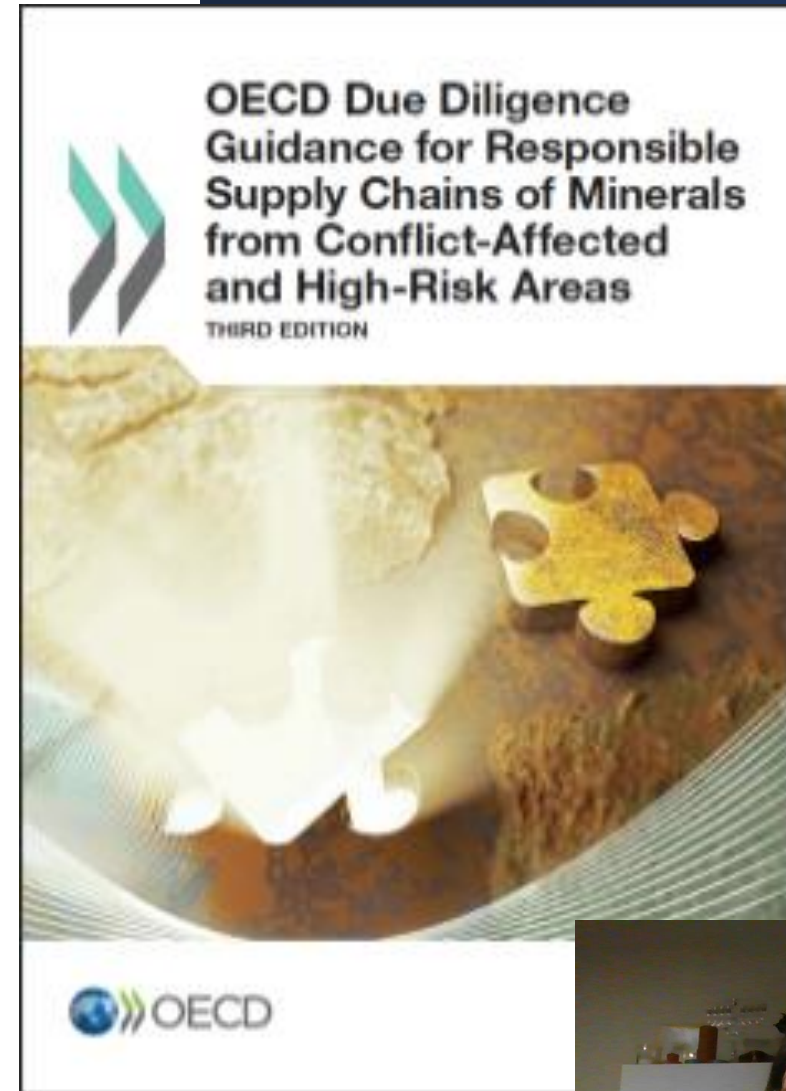
**“THIS IS WHAT WE DIE FOR”**

HUMAN RIGHTS ABUSES IN THE DEMOCRATIC REPUBLIC  
OF THE CONGO POWER THE GLOBAL TRADE IN COBALT



# International regulatory frameworks

- Reference texts
  - OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas, 3<sup>rd</sup> Edition
  - London Bullion Market Association Responsible Gold Guidance
  - ICMM Guide to Responsible Sourcing



# Multilateral and multi-stakeholder regulatory frameworks

- The Global Battery Alliance (GBA)
  - Cobalt Action Partnership (GBA CAP)
    - The Artisanal and Small-Scale Mining (ASM) Cobalt ESG Management Framework
- Responsible Minerals Initiative (RMI)
- Responsible Cobalt Initiative (RCI)
- Fair Cobalt Alliance
- Better Mining





# Responsible procurement standards and certification schemes

- The Responsible Minerals Initiative (RMI)'s Responsible Minerals Assurance Process (RMAP)
- CRAFT Code: the Alliance for Responsible Mining (ARM) et the NGO RESOLVE
- The Cobalt Refiner Supply Chain Due Diligence Standard (the Cobalt Standard)



# Regional regulatory frameworks

- EU Regulation on conflict minerals
- Upcoming EU human rights due diligence legislation
- The International Conference on the Great Lakes Region (ICGLR) Regional Certification Mechanism



# Congolese regulatory frameworks and institutions

- Congolese regulatory frameworks
  - The 2018 Congolese Mining Code
  - The ICGLR Regional Certification Mechanism (incorporated into Congolese law)
- Congolese institutions
  - ARECOMS
  - L'Entreprise Générale du Cobalt (EGC)



# Due diligence, responsible procurement and supply chain programmes and projects

- Traceability systems and assurance mechanisms
  - ITSCI Programme for Responsible Mineral Supply Chains
  - BGR's Certified Trading Chains scheme
- Responsible-sourcing/due diligence initiatives
  - Kufatilia – Incident Reporting and Monitoring
  - Matokeo – Impact Monitoring for the ASM Sector
  - Better Mining
  - Zahabu Safi (Commercially Viable Conflict-Free Gold Project – CVCFG)
  - The Madini project
  - Capacity Building for Responsible Minerals Trade (CBRMT)
    - Bwenge Buchiza Project
- ...et d'autres!



Due diligence,  
responsible  
procurement and  
supply chain  
programmes and  
projects

- Responsible-sourcing/due diligence initiatives
  - The Mutoshi pilot project (Lualaba)
  - Cobalt for Development (Lualaba)
  - Responsible Sourcing Blockchain Network (RSBN) (Lualaba)
  - Just Gold (Ituri)
  - Kampene Gold Traceability Project (Maniema)
- ...and others!





# 1. Mapping

2022



# Objectives

1. To map the most recent developments in transnational non-state mineral supply chain regulation
2. **To understand how small-scale producers participate in these regulatory initiatives**
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## 2. Case studies

2023-2025



Source: IPIS

For example, KUFATILIA

- Use of technology to encourage active participation in monitoring
- Reporting and follow-up of incidents
- Involvement of NGOs and local associations



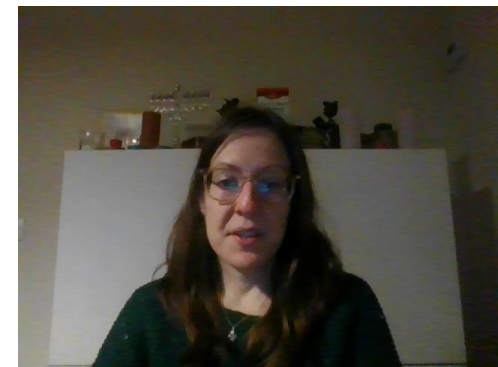


## 2. Case studies

2023-2025

### Methodology

- Field research
- Contact details by CEGEMI
- 6-month period
- 2 teams of 2 researchers (male/female)
- 2 to 4 sites per team



# Questions for us?

## Contact:

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