



# Annexe C: ASM data that could be reported under EITI Requirement 6.3

Category	Data points	Data sources
<b>Institutional governance</b>	<ul style="list-style-type: none"> <li>Ministries, agencies and units regulating ASM</li> <li>Structure and relationships between involved ministries, agencies and units</li> <li>Roles, responsibilities and mandates of oversight bodies</li> <li>Institutional resources (e.g. geographic reach, offices, etc.) and capacities (e.g. staff, budget, etc.)</li> <li>Mineral governance framework and plans for formalisation of the ASM sector</li> </ul>	<ul style="list-style-type: none"> <li>Mining regulations and codes</li> <li>Institutional statutes of establishment/incorporation</li> <li>Action plans</li> <li>Budgets</li> <li>Audits</li> </ul>
<b>Licensing process</b>	<ul style="list-style-type: none"> <li>Process for allocating, renewing, transferring and cancelling ASM rights and licenses</li> <li>Legal status of ASM (i.e. degree to which the licensing process is effective and respected)</li> <li>Terms and conditions of ASM operations</li> </ul>	<ul style="list-style-type: none"> <li>Mining regulations and codes</li> <li>ASM licensing authority</li> <li>Cooperatives/associations</li> </ul>
<b>Domestic production and exports</b>	<ul style="list-style-type: none"> <li>Production by mineral</li> <li>ASM production in absolute terms and as a percentage of total production</li> <li>Export volumes in absolute terms and as a percentage of total export volumes</li> </ul>	<ul style="list-style-type: none"> <li>Mining ministry field agents' reports</li> <li>Mining associations' reports, accounts</li> <li>Processing units/exporters' reports, accounts</li> <li>Official mineral export statistics</li> <li>Ministry of Trade and Commerce</li> <li>Ministry of Finance (national accounts)</li> <li>National institute of statistics</li> <li>Data reports on prices</li> <li>Data reports on fraud</li> </ul>

Category	Data points	Data sources
<b>Fiscal regime</b>	<ul style="list-style-type: none"> <li>• Laws governing the fiscal aspects of ASM</li> <li>• Rates for tax payments and fees</li> <li>• Roles and responsibilities of government agencies engaged in collecting and administering the fiscal regime for mining, including ASM</li> </ul>	<ul style="list-style-type: none"> <li>• Mining regulations and codes, tax codes, cooperative codes or statutes, or other legislation related to public financial management</li> <li>• Statutes of government agencies</li> <li>• National/international ASM experts</li> <li>• Academic studies and NGO reports</li> </ul>
<b>Government revenues generated by ASM</b>	<ul style="list-style-type: none"> <li>• Actual figures from ASM taxes, royalties, bonuses, fees, or other payments</li> <li>• Estimate of potential income from royalties based on the calculated level of production</li> <li>• ASM revenues in absolute terms and as a percentage of total revenues from mining</li> <li>• ASM export earnings in absolute terms and as a percentage of total revenues from mining</li> </ul>	<ul style="list-style-type: none"> <li>• Official tax statistics and receipts</li> <li>• ASM licensing process statistics</li> <li>• Official mineral export statistics</li> <li>• Ministry of Trade and Commerce</li> <li>• Ministry of Finance (national accounts)</li> <li>• National institute of statistics</li> <li>• Central bank (especially if country buys its own gold)</li> </ul>
<b>ASM revenues or funds for specific programmes or regions</b>	<ul style="list-style-type: none"> <li>• ASM revenues for social programmes in ASM areas</li> <li>• ASM revenues for management of ASM sector</li> <li>• ASM revenues supplemented/ matched by donors</li> <li>• Mechanisms for ensuring accountability and efficiency</li> </ul>	<ul style="list-style-type: none"> <li>• Mining ministry field agents' reports</li> <li>• Local authorities' reports</li> <li>• NGO reports</li> <li>• Donor reports</li> </ul>

## EITI REQUIREMENT 6.3

Coverage of ASM in EITI reporting

Guidance Note

### Other economic and development impacts of ASM

- Number of ASM sites and their locations
- Number of miners, disaggregated by gender
- ASM context and contribution to livelihoods
- Organisational and productive capacities of artisanal and small-scale miners (i.e. if ASM activities are formal or informal)
- Number of children involved in ASM, and quantitative or qualitative considerations related to child labour and mining
- Labour, safety and working conditions
- Impacts of ASM activities on women and qualitative gender considerations

### Environmental and health impacts of ASM

- Estimates of mercury use in ASM gold production
- Strategies for the reduction of ASM mercury use including reduction targets
- Estimates on the impacts of ASM activities on deforestation
- Health and prevention information
- Health and safety incidents and records related to ASM activities (e.g. accidents and collapses, water contamination, etc.)

### Security and conflict risks

- Minerals' seizure, smuggling and fraud Incidents
  - Estimates of smuggling and fraud activities (e.g. volumes, losses, etc.)
  - Human rights risks and incidents on ASM sites
  - Transportation routes and/or export points
  - Intelligence as to non-state armed groups' involvement on ASM sites, transportation routes and/or export points.
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