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

<table>
<thead>
<tr>
<th>Category</th>
<th>Data points</th>
<th>Data sources</th>
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</table>
| Institutional governance  | • Ministries, agencies and units regulating ASM  
• Structure and relationships between involved ministries, agencies and units  
• Roles, responsibilities and mandates of oversight bodies  
• Institutional resources (e.g. geographic reach, offices, etc.) and capacities (e.g. staff, budget, etc.)  
• Mineral governance framework and plans for formalisation of the ASM sector | • Mining regulations and codes  
• Institutional statutes of establishment/incorporation  
• Action plans  
• Budgets  
• Audits                                                                                                                |
| Licensing process         | • Process for allocating, renewing, transferring and cancelling ASM rights and licenses  
• Legal status of ASM (i.e. degree to which the licensing process is effective and respected)  
• Terms and conditions of ASM operations | • Mining regulations and codes  
• ASM licensing authority  
• Cooperatives/associations                                                                                               |
| Domestic production and exports | • Production by mineral  
• ASM production in absolute terms and as a percentage of total production  
• Export volumes in absolute terms and as a percentage of total export volumes | • Mining ministry field agents’ reports  
• Mining associations’ reports, accounts  
• Processing units/exporters’ reports, accounts  
• Official mineral export statistics  
• Ministry of Trade and Commerce  
• Ministry of Finance (national accounts)  
• National institute of statistics  
• Data reports on prices  
• Data reports on fraud                                                                                                 |
## EITI REQUIREMENT 6.3
Coverage of ASM in EITI reporting
Guidance Note

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<thead>
<tr>
<th>Category</th>
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| Fiscal regime | • Laws governing the fiscal aspects of ASM  
• Rates for tax payments and fees  
• Roles and responsibilities of government agencies engaged in collecting and administering the fiscal regime for mining, including ASM | • Mining regulations and codes, tax codes, cooperative codes or statutes, or other legislation related to public financial management  
• Statutes of government agencies  
• National/international ASM experts  
• Academic studies and NGO reports |
| Government revenues generated by ASM | • Actual figures from ASM taxes, royalties, bonuses, fees, or other payments  
• Estimate of potential income from royalties based on the calculated level of production  
• ASM revenues in absolute terms and as a percentage of total revenues from mining  
• ASM export earnings in absolute terms and as a percentage of total revenues from mining | • Official tax statistics and receipts  
• ASM licensing process statistics  
• Official mineral export statistics  
• Ministry of Trade and Commerce  
• Ministry of Finance (national accounts)  
• National institute of statistics  
• Central bank (especially if country buys its own gold) |
| ASM revenues or funds for specific programmes or regions | • ASM revenues for social programmes in ASM areas  
• ASM revenues for management of ASM sector  
• ASM revenues supplemented/matched by donors  
• Mechanisms for ensuring accountability and efficiency | • Mining ministry field agents’ reports  
• Local authorities’ reports  
• NGO reports  
• Donor reports |
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.