



# **LBMA RESPONSIBLE SOURCING PROGRAMME ASM SUPPLY CHAIN SELF-ASSESSMENT QUESTIONNAIRE**

V1, 01.06.2018

## 1. MINING SITE INFORMATION

1.1	Name of the Mine Site(s) <ul style="list-style-type: none"> <li>• Territory</li> <li>• Province</li> <li>• Country</li> </ul>	
1.2	Describe tenure status: <ul style="list-style-type: none"> <li>• Title holder</li> <li>• Permit holder, type, status, time period of permit (exploration, etc.)</li> <li>• License holder, type and status of license</li> </ul> Attach if applicable: <ul style="list-style-type: none"> <li>• Mining Title</li> <li>• Permit</li> <li>• License</li> <li>• Mine-level agreement</li> </ul>	
1.3	Minerals produced (plus annual totals).	
1.4	Number of pits or tunnels Name of pits or tunnels, if applicable (detail each separately).	
1.5	Method of gold processing (list any chemicals used).	
1.6	Do conditions of extraction involve the presence and involvement of non-state armed groups or public or private security forces?	If yes please provide details
1.7	Do third parties illegally tax or extort money or minerals at mine site?	

1.8	Name and description of the cooperative, association, or other structure of artisanal miners.	Please provide names or organizational charts and % ownership/stake.
1.9	Are there other cooperatives on site?	If yes, please provide details.
1.10	Please provide the name, first name, nationality, residence, date of birth of the management/representatives of the cooperative/association.	
1.11	Is there a presence of children on site?	If yes, please provide details.
1.12	Are children engaged in any activities defined by ILO as "worst forms of child labor" at the mine site?	If yes, please provide details.
1.13	Describe the measures taken to ensure that no children are illegally (in accordance with national law) working on the mine site.	
1.14	Government, political party, or military affiliation of the leadership of cooperative/association or miners' teams.	
1.15	Any evidence of "serious abuses" (as described in OECD DDG Annex II) at the mine site.	If yes, please provide details.
1.16	Status of site validation by government or designated authority.  If validation in progress, describe steps to finalisation, risks, and mitigation measures.	

## 2 SOCIAL, ENVIRONMENTAL AND GOVERNANCE

2.1	Type of mining (open-pit, alluvial, tunnels).	
2.2	Description of tunnels and the security measure for mining in tunnels, if applicable.	
2.3	Health and safety of miners on the site (protective equipment, security of pits/tunnels, use of chemical, etc.)	
2.4	Describe environment (e.g. Electricity (sources), Phone network coverage, Internet coverage, Other comments).	
2.5	Describe the requirements to be part of this cooperative / association (if applicable).	
2.6	Estimated number of miners Number of miners registered with relevant local or national agencies .	
2.7	Activities of men and women on the site.  Are these activities legitimate? Describe the activities carried out by women on site. Describe the presence of pregnant women on site and their activities.	
2.8	Describe positive and negative impacts of mining site over community.	
2.9	Describe any environmental or social assessments that have been undertaken of the mining site.  If no third party assessment exists, provide information of impact of mining activity on environment and social impacts.	



### 3 SYSTEM TO ESTABLISH SUPPLY CHAIN CONTROL, TRANSPARENCY AND INFORMATION COLLECTION

3.1	<p>Are supply chain actors operating in a conflict-affected or high-risk area?</p>	
3.2	<p>Please provide documentation to describe system used to establish transparency, information collection, and control of the supply chain to be able to identify origin of material, i.e., Traceability (e.g., bag and tag or electronic system to physically trace minerals) Chain of custody (a range of documents that identify the provenance of minerals and their transport routes).</p>	<p>Add additional sheets for supplemental information if necessary</p>
3.3	<p>Other supply chain intermediaries?</p> <p>If yes, note whether an additional KYC form will be used to seek supplementary information.</p>	
3.4	<p>Are there specific weaknesses in the traceability or chain of custody system that would allow conflict material to enter the supply chain? Describe other sources of material which could be mixed at the mine, trader, in transport, or at the exporter.</p> <p>What quantity (value/volume/percent of total) could potentially infiltrate the system? Evaluate the likelihood of this occurring.</p>	
3.5	<p>Are unique reference number assigned to each output? Are securities practices over gold such as sealed security boxes for shipment adopted in such a manner that tampering or removal of content during transport will be evident.</p>	



<p>3.6</p>	<p>Is the immediate proximity of the entire supply chain free of militarization and/or the presence of armed groups?</p> <p>If not, is further risk assessment or are mitigation measures needed?</p> <p>If yes, please describe recommended steps.</p>	
<p>3.7</p>	<p>Are there other recent activities or issues in the region of supply chain which could quickly escalate the risk of conflict or human rights abuses?</p>	



<b>4 GOVERNMENT AND TAXES</b>		
4.1	Describe of the system of tax, royalties and rights paid to government institutions and government officials for extraction, trade and export of gold.	
4.2	Are taxes, royalties and fees related to mineral extraction, trade and export being paid to government institutions and officials?	

Self-Assessment form completed by:

Position:

Signature:

Date:



## REFINER REVIEW

General comments:

Risk rating

Low

Medium

High

Site visit required

Yes

No

Comments:

Reviewed by Name:

Position:

Signature:

Date of current review:

Date of next review

*Adapted from the Responsible Artisanal Gold Solutions Forum ASM Due Diligence Toolkit. See [www.ragsforum.org](http://www.ragsforum.org) for full version and additional resources.*