

## LIST OF DOCUMENTS TO BE PRESENTED IN THE AUDIT

#	List of documents of the ASMO	Fairmined Standard Requirement	Year	¿Is it requested in the application form?
1	<b>Register of all miners of the System of Production</b> Complete list of all miners of the ASMO. Note: Please use the attached format; otherwise, ensure that the format used includes all the requested information.	1.2.1	Year 0 / Entry	✓
2	<b>A simplified list of temporary workers</b> , who work less than three months for a year in the operations included in the Fairmined or Ecological Fairmined System of Production of the ASMO.	Complement of the above requirement 1.2.1	Year 0 / Entry	✓
3	<b>Certificate/document of legal register of the ASMO</b>	1.1.1	Year 0 / Entry	✓
4	<b>Document of concessions/exploitation contract(s)/operation licenses</b>	1.3.1	Year 0 / Entry	✓
5	<b>Document related to the environmental license of the operation</b> (or equivalents according to the corresponding national legislation requirements)	2.2.1	Year 0 / Entry	✓
6	<b>Document related to land titles, contracts</b> or copy of the land registry of the surface lands being used in the operations	1.3.1	Year 0 / Entry	✓
7	<b>Documents related to permission for the use explosives and chemicals products</b>	2.2.1	Year 0 / Entry	
8	<b>Sketch maps of the concession/ area(s) of operation</b> (extraction, processing, including domestic units) indicating the mining area and the neighboring community	1.2.1	Year 0 / Entry	✓
9	<b>Flowchart of the Fairmined System of Production</b> (in the case that the sketch map does not reflect)	1.2.1	Year 0 / Entry	✓
10	<b>Statutes</b> (or other equivalent legal documents according to national legislation)	1.1.1, 1.2.3, 1.2.7	Year 0 / Entry	
11	<b>Internal regulations</b> (or other equivalent legal documents according to national legislation)	1.2.3, 1.2.7	Year 0 / Entry	
12	<b>Organization chart</b> of the ASMO	1.2.3	Year 0 / Entry	✓
13	<b>Contracts with external service providers</b> (e.g. processing)	1.2.2	Year 0 / Entry	
14	<b>Documents of financial control</b> , complying with national regulations.	1.2.4	Year 0 / Entry	
<b>Registers</b>				
15	<b>Payment registers of taxes, fees, royalties</b> or	1.3.2	Year 0 / Entry	

	other tributes as required by applicable national legislation			
16	Register of payments: <b>salaries, share distribution.</b>	3.4.1	Year 0 / Entry	
17	<b>Register of payments: Affiliations/ Social Security program benefits</b> (the latter applies if a public social security scheme exists in the country is available for artisanal miners and properly functioning)	3.3.1, 3.3.3	Year 0 and 3 / Entry/Progressive	
18	Registers and documentation of the <b>Internal Control System</b> (traceability). Minimum requirements are detailed in the Standard	1.2.5	Year 0 / Entry	
<b>Plans</b> (according to the specific situation of the ASMO):				
19	<b>Plan for reducing or eliminating the use of mercury</b>	2.1.1	Year 0 / Entry	
20	<b>Process or system that ensures tailings and contaminated water is never discharged into bodies of water.</b>	2.1.10	Year 0 / Entry	
21	<b>Mitigation plan of the environmental impact that can cause any technological change.</b> Note: This plan is requested, if given the case is not part of a wider environmental management plan, if such exists	2.2.5	Year 0 / Entry	
22	<b>Topographic restoration / re-vegetation plan</b> Note: This plan is requested, if given the case is not part of a wider environmental management plan, if such exists	2.2.9, 2.2.10	Year 3 and 6 / Progressive	
23	<b>Solid and liquid waste management plan</b> (e.g. tailings, wastewater and chemical residues) Note: This plan is requested, if given the case is not part of a wider environmental management plan, if such exists	2.2.11	Year 6 / Progressive	
24	<b>Environmental management plan for ecological gold.</b>	2.3.2	Year 0 / Entry Ecological gold	
25	<b>Evaluation of existing labor conditions and plan for improving them to establish policies and procedures.</b>	3.1.1, 3.2.11	Year 3 and 6 / Progressive	
26	<b>Documents of the occupational health and safety system or process</b>	3.2.1, 3.2.2, 3.2.3	Year 0 / Entry	
27	<b>Mining rescue plan</b>	3.2.13	Year 3/ Progressive	
28	A <b>salary improvement plan</b> towards a “decent salary” level above the official minimum wage.	3.4.12	Year 3/ Progressive	
29	<b>Employment plan or program for young employees.</b> Note: it is exceptional, because it is requested in case of systemic presence of child headed households	3.6.5	Year 0 and 3 / Entry/Progressive	
30	<b>Annual Production Plan of Fairmined Gold</b> (estimated volumes)	5.3.7	Year 3/ Progressive	

**Note:** Each document required for Entry / Year 0 will be requested its updates and monitoring for the next audit years.