# **Application form**

# **Fairmined Certification for Artisanal and Small-Scale Mining Organizations (ASMO)**

### Version 3.1 ENG

### Approved: March 4rd, 2016

### Introduction

By completing this document and sending it to Alliance for Responsible Mining (ARM), your ASMO takes the first important step towards the Fairmined Certification, a global certification system of best practices in artisanal and small-scale mining.

Once your application is verified and approved by ARM, IMOswiss AG (the certification body recognized by ARM) will contact you to define the next steps for an audit to verify compliance with the requirements of the Fairmined Standard.

Before proceeding with this application, it is recommended that you:

• Read carefully the Fairmined Standard version 2.0: <http://www.responsiblemines.org/images/sampledata/EstandarFairmined/Fairmined%20Stnd%202%200_2014_.pdf>

• Special attention should be paid to understand the concept of the Fairmined (or Fairmined Ecological) System of Production, which is the basis to properly fill out this application. The concept is explained in detail in the Chapter 0.2 of the Fairmined Standard. Throughout this document the term “Fairmined” is used to refer to both Fairmined and Fairmined Ecological certification.

• Fill out a self-assessment questionnaire against the requirements that will be subsequently audited to determine compliance of the ASMO with the Fairmined Standard. The self-assessment is available in the section of the Fairmined Certification on ARM´s website.

• Keep in mind that ARM may contact local / national actors to carry out the due diligence (verification of the information).

Completing the self-assessment questionnaire will help you decide whether your ASMO is sufficiently prepared to receive an audit by the certification body: IMOswiss AG. Importantly, this self-assessment is mandatory when the audit process starts.

###  Purpose of this application form:

To start the Fairmined Certification process, it is necessary that you provide ARM and IMOswiss AG with a **full description** of your artisanal and small-scale mining organization (ASMO) and its Fairmined or Fairmined Ecological System of Production, in order to:

1. Assess whether the application conforms to the pre-conditions set by ARM.
2. Define the scope and cost of the audit.
3. Provide the certification body with basic information regarding the organizational structure and management system of the ASMO.
4. Provide a complete register of all ASMO´s miners to the certification body, indicating which of them are included in the Fairmined or Fairmined Ecological System of Production (whichever applies).

ARM reserves the right to request additional information to determine whether the applicant mining organization is within the scope defined by the Fairmined Standard.

###  How to fill out the form:

This basic description must be updated **at least once a year** and should be filled out on a computer.

* This icon indicates that there is a writing space.      Please click once on this gray box and write your text. Please write your text in blue.
* This icon indicates that a supporting document must be annexed.
* [ ]  This check box indicates that you must select an answer. Click on the box to mark it with an "X".
* You may add new rows to existing charts.
* The profile must always be signed manually or electronically.

### Change notifications:

You have an obligation of informing ARM and IMOswiss AG of any change that may occur after the annual inspection:

* Changes in the ASMO's miners register (i.e. number of miners, included companies, opening of a new point of mineral extraction);
* Changes in the inclusion in the certified Fairmined System of Production (e.g. inclusion of a new processing plant);
* Major changes in the activities or organizational structure;
* Address changes/Productive Units relocation

### The requested certification

Through this application we request the Fairmined Certification of our ASMO:

[ ]  We wish to obtain certification for our ' Fairmined System of Production (we use chemical processes **such as amalgamation, cyanide leaching or flotation**) for:

[ ]  Gold
[ ]  Silver
[ ]  Platinum

[ ] We wish to obtain the certification for our ' Fairmined Ecological System of Production (we only use gravimetric methods, **without the use of amalgamation or cyanide leaching**) for:

[ ]  Gold

[ ]  Silver
[ ]  Platinum

### Nature of the mining organization

|  |
| --- |
| According to the definition of the National Legislation, the ASMO is classified as artisanal or small-scale mining: Yes [ ]  No [ ]  |
| In the event that the national legislation **does not define** the artisanal or small-scale mining, it is necessary to have the following information: |
| Average gold production in grams: daily       or monthly doku1      |
| The ASMO can also annex references that demonstrate their community-based artisanal and small-scale nature through a document/letter issued by mining associations, NGOs or public authorities, etc.**dokuPlease annex the reference(s).** |

### General information of the organization requesting Fairmined Certification

|  |
| --- |
| Name of the ASMO:       |
| Contact person for ARM/ IMOswiss AG:       |
| Postal address:       |
| Physical address:       |
| Country:       |
| Telephone number:      | Cell phone number:       |
| E-mail address 1:       |
| E-mail address 2 (if applicable):       |

### Legal form of the ASMO

[ ] Association

[ ]  Cooperative

[ ]  Joint-stock company

[ ]  Private limited company (Ltd)

[ ]  Public limited company (PLC)

[ ] Non-profit organization

[ ] Small Business

[ ] Community-based Organization (for example indigenous communities or other ethnicities),

[ ]  Other (describe if applicable) 

** Please annex a copy of the organization's legal registration.**

### ASMO Representatives

|  |
| --- |
| Who is the organization's legal representative? |
| Name: | Position | Responsibility |
|       |       |       |
|       |       |       |
|       |       |       |

### Legal status of the ASMO, its miners or companies registered with the ASMO (whichever applies)

### Concessions, mining rights, titles or exploitation contracts used within the ASMO's mining area :

(Also applies to miners in the process of formalization - please *state the status in the left column in applicable).*

 *****Please annex copies of the titles/contracts.***

|  |  |
| --- | --- |
| Name of the mining title, concession or exploitation contract **granted to the ASMO, or to its members or legal partners** | Location of the Mining concession/Mining Title - insert GPS coordinates if applicable |
| doku1      | doku1      |
| doku1      | doku1      |
| Name of the mining title or concession **granted to miners or companies** who operate within the ASMO's mining area with the ASMO´s consent: *Describe the kind of agreements that are in place between the ASMO and the mining title holder, giving the legal names of title holders.*  | Location of the Mining Concession - insert GPS coordinates if applicable |
| doku1      | doku1      |
| doku1      | doku1      |
| Name of **a concession/mining title belonging to a third party, and used by the ASMO through an agreement with this third party (contract of exploitation, cession, etc.):** | Location of the Mining title Concession - insert GPS coordinates if applicable: |
| doku1      | doku1      |
| doku1      | doku1      |

**Mining area of the ASMO in total hectares:**

Indicate the area in which the ASMO and the registered miners of the ASMO (or their companies) have the right to perform mining activity.



* 1. **Land rights for the area included in the System of Production of the ASMO:**

The necessary documents may include land/property title deeds which prove the land ownership, or rental agreements. The documents may appear in the name of the ASMO, or its registered miners and their companies.

*****Please annex copies of the land titles or rental agreements:***

|  |  |
| --- | --- |
| Name of the land title or contract granted to the ASMO. | Location - if applicable, insert GPS coordinates and mark the property on the sketch map  |
| doku1      | doku1      |
| doku1      | doku1      |
| Name of the land title or contract granted to miners or companies registered with the ASMO: | Location - if applicable, insert GPS coordinates and mark the property on the map/sketch  |
| doku1      | doku1      |
| doku1      | doku1      |

* 1. **Royalties paid by miners (or companies) included in the** **Fairmined System of Production**

|  |
| --- |
| Please explain if and how the royalties and other taxes are paid. - Does the ASMO pay them directly or are they paid individually by the registered miners or their companies? |
| Descripción: doku1      |
| Which authorities receive and inspect the payment of the royalties and other taxes? |
| Descripción: doku1      |

1. ***Description of the ASMO's ' Fairmined System of Production***

The ASMO requesting the Fairmined application must define its Fairmined System of Production before applying,

The description of the System of Production includes:

* 1. ***A current and complete register of all miners that are part of the ASMO and / or work in its mining area. The register must state which of them are included in the System of Production and which are not.***

**Please annex the miners register, as indicated below:**

Please use the attached format (ASMO Miners register\_ARM\_IMOV2\_EN) to complete the miners´ register of the ASMO.

For each registered miner[[1]](#footnote-1), the ASMO records at least:

1. *Name*
2. *Date of birth*
3. *Legal document / identity card number*
4. *Name of the organization, workgroup, mining location, micro-enterprise, mine, processing plant (domestic and industrial), office, housings, etc. where he/ she belongs to or works.*
5. *Indicate whether the person is included or not in the Fairmined System of Production of the ASMO.*

In the case of presence of miners or companies that are still in the process of legalization/ formalization in the ASMO´s mining area, please state so in the same format. These miners must not be included in the Fairmined System of Production until they complete their formalization process and comply with the requirements of the Fairmined Standard.

**ONLY THE MINERAL PRODUCED BY THE MINERS INCLUDED IN FAIRMINED SYSTEM OF PRODUCTION CAN BE SOLD AS FAIRMINED CERTIFIED MINERAL!**

***7.1.1. Summary of Miners included in the System of Production of the ASMO***

Please detail in the below table the total number of miners that are currently active and included in the Fairmined System of Production of your ASMO.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Area** | **No- of members/shareholders/partners miners of the ASMO included in the System of Production** | **No. of entrepreneurs and self-employed miners included in the System of Production (not contracted and non-members) \*** | **N° of permanent hired workers included in the System of Production \*\*** | **N° of seasonal /temporary hired workers included in the System of Production \*\*** |
|
|  | **Men**  | **Women** | **Men**  | **Women** | **Men**  | **Women** |  |
| **Mines** |       |       |   |   |       |       |            |
| **Processing plants** |       |       |   |   |       |       |            |
| **Management and services** |       |       |   |   |       |       |            |
| **Sub-Totals** |  |  |  |  |  |  |  |
| **TOTAL number** |  |
| \*refers to miners who are not hired: such as owners of micro-enterprises, small-entrepreneurs, individual self-employed miners, family units or groups of miners who share the mineral among them. |
| \*\* refers to all hired miners who work in the mines and processing plants , that are controlled by the ASMO or small businesses operating in the ASMO´s mining area. |

|  |
| --- |
| Additional comments about the staff (e.g. details on modified schedules, employment of temporary workers, etc.)[ ]  Yes [ ]  No If yes, describe: doku1       |
| Are holders of the capital of industrial mining among the owners or partners of the ASMO?[ ]  Yes [ ]  No If yes, describe: doku1       |
| Do all owners / partners / holders are part of the mining community? [ ]  Yes [ ]  No Describe: doku1       |

***7. 2 A description of the production process in the areas included in the Fairmined System of Production***

|  |
| --- |
| Please, describe in as much detail as possible **the production process and the flow of mineral (and precious metals) within the areas included in the Fairmined System of Production. The description should be** in a chronological order: from the mine, through the processing units, up to the moment where the final product leaves the hands of the ASMO. For each part of the process indicate how the miners are organized to work (work groups, small businesses, etc.) and what role the ASMO plays in the productive activities. |
| doku1           |

 **Please annex a simple sketch map (hand-drawn or computer generated)** of the mining community AND the mining area of the ASMO, that graphically shows the location of specific areas, mines and processing plants (including domestic), and the flow of certified minerals and metals.

 The map should clearly indicate which areas and production units are included in the Fairmined System of Production which are not.

**In the event that the sketch map cannot represent in detail the relation between the mining areas and the flow of mineral or metal to be certified, please attach a process flow diagram.**

**ONLY THE MINERAL PRODUCED IN THE AREAS AND PRODUCTIVE UNITS INCLUDED IN FAIRMINED SYSTEM OF PRODUCTION CAN BE SOLD AS FAIRMINED CERTIFIED MINERAL!**

***7.1.1 Mines***

* + 1. ***Industrial Processing Plants (owned by the ASMO, or Miners included in the Fairmined System of Production)****[[2]](#footnote-2)*

|  |
| --- |
| Name of the processing plant: doku1       |
| Activities carried out in this plant:Crushing and grinding: [ ] Gravimetric concentration: [ ] Amalgamation: [ ] Cyanidation: [ ] Precipitation and/or absorption: [ ] Desorption: [ ] Smelting units/ foundries [ ] Others: [ ]  doku1      |
| Number of workers operating in the processing plant:       |
| Name of the plants proprietors :  |
| Physical address:       |
| Telephone number:      | Cellphone number:       |
| E-mail address:       |

*(This chart refers to every Industrial Processing unit that can encompass various operations. Please add a chart for every separate industrial processing plant used by Fairmined System of production of the ASMO).*

* + 1. ***Domestic Processing Plants****[[3]](#footnote-3)* ***operating in the mining area of the ASMO and included in the Fairmined System of Production:***

|  |
| --- |
| Total number of Domestic Processing Plants included in the ASMO's Fairmined System of Production: doku1      Types of processing activities carried out by these plants: doku1       |
| Number of Domestic Processing Plants without hired labor: doku1     Approximate number of autonomous miners or owners/family members operating: doku1      |
| Domestic Processing Plants with hired labor:doku1     Number of Domestic Processing Plants with hired labor: doku1     Number of miners: doku1      |
| **These Domestic Processing Plants must be listed in the Register presented by the ASMO** |

* + 1. ***Sub-contracted Industrial Processing Plants*[[4]](#footnote-4)**

|  |
| --- |
| Name of the processing plant: |
| Activities carried out in this plant:Crushing and grinding: [ ] Gravimetric concentration: [ ] Amalgamation: [ ] Cyanidation: [ ] Precipitation and/or absorption: [ ] Desorption: [ ] Smelting units/ foundries [ ] Others: [ ]  doku1      |
| Number of workers operating in the processing plant:       |
| Physical address:       |
| Telephone number:      | Cellphone number:       |
| E-mail address: |

 *(Please add a chart for every outsourced industrial processing plant hired by the Fairmined System of Production).*

***7.2.1 Companies/Organizations (cooperative, small business, mineral selectors' organization, etc.) included within the Fairmined or Fairmined Ecological System of Production (if applicable)***

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Company/Organization 1** | **Company/Organization 2** | **Company/Organization 3** |
| **Name** |  |  |  |
| **Legal denomination**  |  |  |  |
| **Type of activity** |  |  |  |
| **Contact person** |  |  |  |
| **Number of Permanent hired miners:** |  |  |  |
| **Number of Temporary miners** |  |  |  |
| **Number of autonomous miners** |  |  |  |
| **Postal address** |  |  |  |
| **Physical address** |  |  |  |
| **Country** |  |  |  |
| **Cellphone number** |  |  |  |
| **E-mail address** |  |  |  |

 *(In case there is more legal company or organization that is part of the Fairmined or Ecological Fairmined System of Production, please add a new table).*

1. ***Community context of the ASMO***

|  |
| --- |
| Describe briefly the surrounding community(es) (approximate number of inhabitants, productive characteristics, educational and health infrastructures/facilities, etc.):doku1      |
| Distance between the ASMO and the closest community: doku1      |
| Describe the relationship between the ASMO and the surrounding community:doku1      |
| ¿Where do the miners come from and where do they live (community, mining camp, etc.)?doku1      |
| Is any large-scale mining present near the community? What is their relationship with the ASMO like?doku1      |

1. ***Trading***
	1. ***Trader in charge of trading/exporting on behalf of the ASMO*** *(if the ASMO does not trade or export its gold and associated precious metals directly)*

|  |
| --- |
| Name of the trader: doku1      |
| Contact person 1:       |
| Contact person 2:       |
| Postal address:       |
| Physical address:       |
| Country:       |
| Telephone number:       |
| E-mail address:       |

* 1. ***If given the case that the ASMO currently exports, who is the buyer?***

|  |
| --- |
| Name of the buyer: doku1       |
| Contact person 1:       |
| Contact person 2:       |
| Postal address:       |
| Physical address       |
| Country:       |
| Telephone number:      | Cellphone number:       | Fax:       |
| E-mail address 1:       |
| E-mail address: 2:       |

* 1. ***Consent for collaboration with the Fairmined Business Unit***

|  |  |  |
| --- | --- | --- |
| Once the ASMO is certified, it is interested in allowing the Fairmined Business Unit of ARM to look for potential buyers for its Fairmined certified gold production: | Yes[ ]  | No[ ]  |
| The ASMO/company approves that the Fairmined Business Unit of ARM contacts you to know your main productive and commercial characteristics, which allow to facilitate the connection between producers and buyers: | Yes [ ]  | No[ ]  |
| Name of the contact person in the ASMO (commercial area):  | doku1      |
| Telephone number: | doku1      |
| E-mail address: | doku1      |

* 1. ***Production and commercialization information (optional)***[[5]](#footnote-5)

|  |
| --- |
| To have a projected production supply of the ASMO/company and have more complete information to facilitate the market access of Fairmined gold buyers, it is requested to provide: |
| Estimated amount of gold production (kg/month): | doku1      | % Purity: | doku1      |
| Estimated amount of silver production (kg/month): | doku1      | % Purity: | doku1      |
| Estimated amount of platinum production (kg/month): | doku1      | % Purity: | doku1      |

* 1. ***Banking information of the ASMO applying for Fairmined Certification***

|  |
| --- |
| Bank's full name: doku1            |
| Postal address:       |
| Country:        |
| Telephone number:        |
| E-mail address:        |
| Account number:       |
| Account holder:       |
| SWIFT BIC Code:       |
| Intermediary bank/s in USA or Europe:       |
| Intermediary bank's address:       |
| Intermediary bank's country:       |
| Account number in intermediary bank:       |
| Account holder in intermediary bank:       |
| SWIFT BIC Code of intermediary bank:       |

1. ***Consent to use or disclose information***

In order to ensure good functioning of the Fairmined certification system, it is necessary that the ASMO shares certain information with different actors within the system. The use of this information is governed by strict confidentiality rules and is mainly concerned with the issues of traceability, transparency, ASMO´s certification status and the impact that Fairmined generates with the ASMOs and their communities.

By signing this document the ASMO expressly agrees to the disclosure and use of the information, according to the scope defined for each type of public accessing the aforementioned information:

1. ***Certification bodies authorized by ARM, and its inspectors.***

As specified in requirement 1.1.3 of the Fairmined Standard, the ASMO must disclose all the necessary information required for the audit to ARM's authorized certifying body and its inspectors. The information specified in the audit will be handled by IMO and ARM under strict confidentiality, as specified in the bilateral certification contract between IMOswiss AG and the ASMO.

Auditors shall also have access to information regarding sales and flow of goods in order to verify the traceability of Fairmined certified supply chain. This information includes detailed information regarding inventories, purchases, sales, and processing of goods, including the Fairmined prices and premium paid.

Information regarding the ASMO's certification status will be available to the public through ARM's website, in order to transparently inform if the certification is valid or suspended, whether the implementation of corrective measures is pending, or whether it is in the process of resolving complaints or appeals. The only information that shall be made public relates to changes in the certification status; the details of the decision (e.g. reason for non-compliance) shall be kept confidential.

1. ***ARM's Authorized Personnel***

As a proprietor of the Fairmined certification system, ARM has access to all the information provided by the ASMO, under strict confidentiality rules that ARM's authorized personnel must comply with.

Audit reports, including non-conformities, may be analyzed by ARM's team to: a) monitor the impact of Fairmined at the level of the certification initiative and b) identify areas where ARM must concentrate its efforts in designing training and support programs for miners working towards future certification.

*Statistical information regarding the ASMO's compliance with the Fairmined Standard shall never be disclosed with the ASMO's name,* but will be published in general terms in order to guarantee the anonymity of the mining organizations.

Information regarding sales and flow of goods shall be used by ARM to: a) produce sales reports of Fairmined certified gold and b) establish alerts regarding traceability in the Fairmined supply chain.

1. ***Authorized participants of Fairmined's certified supply chain: First Authorized Buyers (i.e. foundries), Authorized Operators (i.e. refiners or manufacturers), Fairmined Licensees (i.e. jewelry brands or small jewelers):***

Information available to Fairmined supply chain players regarding the ASMO includes the ASMO's name, contact information and information regarding the scope and state of its certification. *It does not include* *details regarding certification decisions and auditing content.*

Buyers and sellers of Fairmined certified precious metals shall have access to information regarding purchases and sales in which they have participated in order to confirm its authenticity.

1. ***Fairmined Certification Committee***

In case the certification body authorized by ARM cannot solve complaints and claims, the ASMO agrees to disclose all necessary information for filing a complaint, claim, appeal or allegation before the Certification Committee, which is a consulting committee comprised by ARM and the respective certification body.

1. ***General Public***

The success of the Fairmined initiative greatly depends on the appropriate communication of the positive impact that certification generates for ASMOs and their communities, particularly through Fairmined Premium investments.

In order to guarantee the availability of information regarding the impact generated by the Fairmined Premium, requirement 4.1.8 of the Fairmined Standard requires that on an annual basis “The ASMO must document, report to the Premium Committee every year, inform key stakeholders (miners in its mining area, ARM and local authorities) and publicly communicate the results of the implementation of the Fairmined Development Priorities Plan and the Fairmined Premium Investment Plan.”

ARM reserves the right to use this information in its external communications, together with brief profiles of certified organizations, photographic material, and miners' testimonies, taken with their consent.

Information regarding sales of Fairmined certified gold may be published only in general terms (total sales, by countries or by products), so that it is not possible to trace individual ASMO transactions.

Additionally, as part of Fairmined Impact Monitoring and Evaluation strategy, ARM may solicit the ASMO's participation in a specific case study; in such case a separate agreement shall be made regarding the use of the information gathered by the investigation.

1. ***Statement and signature***

|  |
| --- |
| In representation of the aforementioned organization, I, with signature below, have filled out this application to obtain Fairmined Certification. I have completed this application form in the best manner possible, with truthful and complete information. I give ARM my consent to contact clients and other parties if necessary in order to verify the information provided in this application. ARM and IMOswiss AG guarantee absolute confidentiality regarding all of the company's confidential information. IMOswiss AG may request additional information if needed. The aspiring organization will receive a notification by ARM when its application is approved. As of now, IMOswiss AG will be in direct contact with the ASMO in order to establish the certification contract terms and plan an audit with the ASMO.Name and last name:      Occupation within the organization:      Date:      Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Seal of the organization:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

|  |  |
| --- | --- |
| Please send the complete application and the required documents to the following e-mail address: | **cert@responsiblemines.org** |

***Required documents***

[ ]  **Sketch map** of the ASMO's mining area, AND neighboring community (if applicable);

[ ]  **Miners´register:** Updated and complete list of the miners of the ASMO (please use the attached format) indicating which form part of the System of Production for Fairmined Gold or Fairmined Ecological Gold;

[ ]  **A simplified list of temporary workers**, 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.

[ ]  **Copy of the certificate or legal registration** of the ASMO.

[ ]  **Copy of concessions/exploitation contracts** being used by the ASMO, its members, or miners and companies registered with the ASMO;

[ ]  **Copy of the land contracts/titles** or copy of the land registry of the surface of lands being used in the operations included in the Fairmined System of Production of the ASMO;

[ ]  **Copy of the operational and environmental licenses** of the operations included in the Fairmined System of Production of the ASMO;

[ ]  **Organization chart** of the ASMO;

[ ]  **Flowchart** of the Fairmined or Ecological Fairmined System of Production (in the case that the sketch map does not reflect);

[ ]  **Self-assessment questionnaire**. The ASMO should fill out and provide to IMOswiss AG. The check-list is an instrument of internal control and audit preparation; you may download the self-evaluation checklist from ARM´s website or could be provided on request by email. The list is optional for the application (although it is recommended to fill out to assess the compliance of the ASMO with the Fairmined Standard); however, it is mandatory to have it filled out in the moment of the audit.

#### ¡Congratulations, you have completed the application process to become Fairmined certified!

1. ***Information regarding the due diligence by ARM following the application:***

ARM reserves the right to exclude organizations from Fairmined Certification scope. ARM assesses the application before sending the Application Form to IMOswiss AG.

**Exclusion of organizations could occur for the following reasons:**

1. The mining organization does not qualify as an artisanal and small-scale mining organization, as per the definitions in Chapter 0 of the Fairmined Standard.
2. Conflict between agricultural activity and artisanal small-scale mining. ARM will identify these areas of conflict in line with the "Explanatory Document and Procedures for Determining Areas of Temporary Exclusion (ATE)". ARM holds a list of these areas. In these areas ASMOs can receive an exception and apply for certification only if they can demonstrate to an independent and relevant NGO or government institution familiar with the local situation that no conflict exists between their organization and the surrounding agricultural sector. Such endorsement must accompany the application..
3. ***Protected areas and critical ecosystems:***

***c1) Protected natural or archeological areas:*** This exclusion refers to all areas protected under national legislation where mining is not allowed, including buffer zones when the appropriate authority defines them as exclusion areas. ASMOs may request an exception and apply for certification if they can prove they have been working in the area for more than 10 years under the supervision of competent authorities, and that they have approved mining rights and environmental permits. New operators (operating for less than 10 years in these areas) will not be certified if they are operating within protected areas.

***c2) Critical ecosystems:*** environmentally sensitive areas (not protected by national legislation) where mining represents an extraordinary environmental threat may be identified by ARM. The list of ATE areas is maintained by ARM and determined on a demand basis. ASMOs in a zone determined as ATE may request an exception and apply for certification if they can demonstrate that their activity can co-exist with the protection objectives of the area, that it provides a viable solution for livelihood in complex areas and if they have mining rights and environmental permits approved. New operators (operating for less than 10 years in these areas) will not be certified if they are operating within protected areas.

***c3) Conflict-affected or High-risk areas:*** this exclusion refers to all areas identified as "red-flagged" conflict-affected or high-risk areas, according to the definition of the “Appendix 1” of the "Supplement on Gold" of the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas" ASMOs in such areas may only apply for certification if they can credibly ensure not to be involved in "direct or indirect support to non-state armed groups or public or private security forces through the extraction, transport, trade, handling or export of gold" as defined in the OECD Guidance.

Results of due diligence during application for certification or during audit only present the situation at that very moment in time. This does not exempt future certified, authorized or licensed buyers from carrying out their own due diligence processes. In order to be later able to export, it is therefore important for ASMOs in conflict affected and high-risk areas to become familiar with participation in due diligence processes at the earliest possible stage.

1. ***Application conclusions (filled out by ARM only)***

**Conclusions of the assessment of the application:** 

**The identification number (Fairmined ID) of the applying organization is:** 

**The application was approved by ARM and delivered to IMOswiss AG on day// month//year** 

**ARM's evaluator name and signature** 

**Delivery date to IMOswiss AG** 

1. **Miners** who are part of the register are defined as: a) partners, members and legal owners of the ASMO; b) miners employed by the ASMO, by its members or by formally registered companies of the ASMO; c) autonomous miners, including their employees d) family production units including mine and domestic plants´ employees; temporary/seasonal miners who operate more than three months a year in the ASMO or work for the miners or companies that are part of the ASMO's registry. [↑](#footnote-ref-1)
2. An 'Industrial Processing Plant' is a technical entity of mineral or precious metal processing. These processing plants depend structurally on hired labor and can belong to the ASMO, to ist members, to registered miners or companies registered with the ASMO, or to third parties providing the service for the ASMO as outsourcing. [↑](#footnote-ref-2)
3. A 'Domestic Processing Plant' is a formal or informal micro-enterprise are micro-enterprises and part of the Family Economy, which due to their size and characteristics may not require formal public registration, operation permits or labor inspection. The term “domestic” refers to the artisanal characteristics and may include for example small mills, amalgamation, micro-smelting, and pumps operated by family members and their workers.. These micro-enterprises may belong to registered miners and families who live in the neighboring community. [↑](#footnote-ref-3)
4. An subcontracted 'Industrial Processing Plant' is an entity that it is not part of the Fairmined System of Production of the ASMO ((they are not owned of the ASMO and the ASMO does have control over them), but they participate in some stages of the productive process, providing some thecnical services to the ASMO and its miners as outsourcing. [↑](#footnote-ref-4)
5. The purpose of this information request for the Fairmined Business Unit of the Alliance for Responsible Mining (ARM) is to provide opportunities for market access, and evaluate possibilities for the development of the supply chain to facilitate the export process. [↑](#footnote-ref-5)