National and Regional Traceability and Certification Initiatives
Contribution towards the implementation of specific elements of due diligence

Paul Mabolia Yenga (Promines DRC),
Uwe Näher & Bali Barume (BGR),
Supply Chain Initiatives

UPSTREAM

Artisanal mining

Comptoir

Local exporter

Smelter)

DOWNSTREAM

Industrial producer

Electronics industry

End user

Mineral concentrates

Metals and manufactured products

Due Diligence & Certification Initiatives (International)

<table>
<thead>
<tr>
<th>Initiative</th>
<th>CTC &amp; AFP (BGR)</th>
<th>ICGLR (BGR &amp; GIZ)</th>
<th>OECD Due Diligence</th>
</tr>
</thead>
</table>

Due Diligence & Traceability Initiatives (Industry)

<table>
<thead>
<tr>
<th>Initiative</th>
<th>iTSCi (ITRI)</th>
<th>CFS (EICC/GeSI)</th>
</tr>
</thead>
</table>
Certification - DR Congo

Milestones 2011

1. Development of Certification System:
   - Two Manuals produced (3T & Au), included in DRC Legislation since June 2011 per Ministerial Decree;

2. Implementation:
   - First Baseline Audit completed in September

3. Institutional Capacity Building:
   ongoing; Seminars on certification, traceability & legislation, Spectrometer use etc

4. Stakeholder Dialogue:
   Harmonization WS in Kinshasa, Cooperation with EITI, Roundtable Mukungwe
Joint Mine Qualification Missions in North & South Kivu

- Participation of Government, Industry, Civil Society
- Inspection of 35 sites in North and South Kivu (CdN Mugogo & Rubaya)

Standards and Criteria for Mine Site Qualification:

In accordance to OECD/UN Due Diligence and the ICGLR RINR
- Check for Presence or Involvement of Armed Groups
  or Congolese Military in Mine Operations (Conflict free)
- Check for Presence of Children in Mine Area (No Child Labour)
- Examination of Situation of Women in Mine Area (Gender Issues)
Centre de Negoce Project - DR Congo

Joint Mine Qualifying Missions in Nord and Sud Kivu

Centre de Negoce, Mugogo:
- 7 Green
- 12 Orange (Yellow Flag)
- 5 Black (Red Flag)

Territoire de Bukavu

Territoire de Walungu

Scale

Kilometers

WGS 84
Main Findings:

According to the ToR's list of qualified mines to be published by Nat Min based on result of Joint Mission.

- 18 green flag,
- 12 yellow flag
- 5 red flag

Results are to be used by upstream companies for their risk assessment under OECD guidance according to Ministerial Note in DRC
Mine Site Qualification - DR Congo

Lessons Learned:

- Good, quick and efficient way to assess mine sites
- High Credibility of team through participation of all stakeholders (Govt., Civil Society, Industry, Monusco, ICGLR and ID (BGR, USAID);
- Security and logistics provided by MONUSCO, technical expertise by BGR
- Opportunities for mine site sampling (AFP), mapping and inventory
Recommendations:
- ToR need to be updated to allow general mine site qualification joint missions;
- Validation and mapping to include also transportation routes;
- Expansion of qualification missions needed (Pr. Orientale, Maniema & Katanga;
- Support of MONUSCO needed to secure access to mines;
- More financing and support from industry and donors is needed (last mission was funded by MONUSCO, BGR and USAID);
- Validation and qualification does actually not address the issue of legalization.
Support of Mapping of the Militarized Mining Areas:

Certification - DR Congo
Mapping of the Militarized Mining Areas:

918 sites identified:

FARDC (155)
FARDC/CNDP (45)
PNC (34)
FDLR (104)
Mayi Mayi (56)
APCLS (7)
ADF (2)
FRF (2)

482 sites not mentioned
Thank You