



# CAPACITY BUILDING FOR A RESPONSIBLE MINERALS TRADE (CBRMT)

Evaluation of Potential Responsible Artisanal  
Mine Site Hubs: South Kivu

**NOVEMBER 2018**

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## **DISCLAIMER**

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# ACRONYMS AND ABBREVIATIONS

3Ts	Tin, Tantalum, and Tungsten
APJ	<i>Agent de la Police Judiciaire</i>
ASM	Artisanal and Small-Scale Mining
CBRMT	Capacity Building for Responsible Minerals Trade
COOMITU	<i>Coopérative Minière Tokunda Ulindi</i>
DGI	<i>Direction Generale des Impots</i>
DGM	<i>Direction Générale des Migration</i>
DRC	Democratic Republic of the Congo
FARDC	<i>Force Armée de la République Démocratique du Congo</i>
ICGLR	International Conference for the Great Lakes Region
IDP	Internally Displaced People
IPIS	International Peace and Information Services
ILO	International Labour Organisation
LBMA	London Bullion Market Association
SAEMAPE	<i>Service d’Assistance et d’Encadrement de l’Exploitation Minière à Petite Echelle</i>
STARR	Strengthening Tenure and Resource Rights
USAID	United States Agency for International Development
ZEA	<i>Zone d’Exploitation Artisanale</i>

# I.0 COMPARATIVE ASSESSMENT SUMMARY

## I.1 BACKGROUND

In May 2018, the International Peace Information Service (IPIS) was commissioned by the Capacity Building for Responsible Minerals Trade (CBRMT) project to develop and implement a methodology aimed at assessing the responsible sourcing potential of gold mining areas in South-Kivu. This methodology had been developed by June 2018 and was published on the IPIS website.<sup>1</sup> In July and August 2018, IPIS conducted field missions in seven gold trading hubs and their surrounding mines in South-Kivu: Shabunda centre (Shabunda territory), Katchungu (Shabunda territory), Mapimo (Shabunda territory), Matili (Shabunda territory), Kaziba (Walungu Territory), Mukera (Fizi territory), and Nyawaronga (Kalehe territory). In each hub, IPIS surveyors collected quantitative and qualitative data through a combination of observations and interviews with a selection of stakeholders at and around mining sites and trading hubs. At mining sites, people interviewed included artisanal miners, shop keepers, representatives of cooperatives (when existing) and heads of miner camps.

At trading points and in Bukavu, IPIS surveyors met with local administrative authorities (administrators, *Direction Générale des Migrations (DGM)*, police, *chefferie*), administrations in charge of the mining sector (*Service d'Assistance et d'Encadrement de l'Exploitation Minière à Petite Echelle (SAEMAPE)*, *Division des Mines*), representatives of the FARDC (*Force Armée de la République Démocratique du Congo*), civil society, cooperatives and informal *négociants*. The latter were interviewed either in their shops or on the road between mining site and trading hub.



Image I-1. Mining site, Ibutubutu, Lugungu.

The assessment of each of these hubs is published in seven separate reports. These reports follow a similar structure, which is organized around nine conditions impacting on the hubs' potential for responsible sourcing: security; accessibility; mining sites status; production; the presence of cooperatives; the behavior of local authorities; the presence of civil society; health and safety; and the organization of the gold trade. For each of these nine categories, several indicators (50 in total) were identified and included in a scorecard that enables ranking trading hubs per category. The design of the scorecards is detailed in the Site Assessment Methodology. These categories and indicators are based on the Annex II of OECD Due Diligence Guidance for responsible Supply Chain and the LBMA (London Bullion Market Association) Responsible Sourcing Initiative, and inspired by IPIS long experience of site evaluations.

<sup>1</sup> <http://www.ipisresearch.be>.

The objective of the assessment reports is to assist stakeholders in their evaluation of the responsible sourcing potential of each of these hubs. The reports scrutinize the strengths, challenges and opportunities of each hub and the mining sites supplying them. This cross-case analysis compares the overall potential of all seven hubs, thereby identifying important differences, trends and challenges. IPIS believes some of these findings are relevant for the whole of South Kivu.

## 1.2 SECURITY

The most secure mineral trading hubs in our sample are Kaziba, Matili, Mapimo and Shabunda centre. In Kaziba, no armed group presence has been reported since the second Congolese war, in the early 2000's. In Matili, Mapimo and Shabunda centre, the armed group Raïa Mutomboki posed a threat until 2013, but it has not interfered in mining activities since then.

The surroundings of Nyawaronga and Katchungu face security risks related to the presence of armed groups. In Nyawaronga, armed men suspected to be Maï-Maï Nyatura, pillaged one mining site in June 2018. Besides, there are tensions between two cooperatives. Around Katchungu, several mining sites remain under the control of Raïa Mutomboki. Besides, a murder linked to mining site ownership in Katchungu has affected the entire artisanal mining sector of the territory.

Finally, in Mukera, the situation is more complex as the region is recovering from recent armed conflicts. In fact, internally displaced people (IDP's) are cautiously returning to their homes. The situation remains fragile as the FARDC is still fighting the Maï-Maï of Ebuela Mtetezi in areas not far from Mukera. However, this challenging security situation presents an interesting opportunity for more ambitious peace building and stabilization initiatives. Indeed, setting up a responsible sourcing program could be incentive for demobilisation and re-integration, as well as a key income generating activity for returnees.

### 1.2.1 SECURITY ASSESSMENT SUMMARY

Minimum score: -18

Maximum score: +12

MINING SITE	SCORE	COMMENT
MATILI	+12	No visits by non-state armed groups to mines reported in the last 6 months (and in fact since 2013).  No presence of non-state armed groups reported in the last 6 months in a radius of 25 km.
KAZIBA	+11	No visits by non-state armed groups to mines reported in the last 6 months.  No presence of non-state armed group reported in the last 6 months in a radius of 25 km.  Relocation of artisanal miners currently present on Twangiza Mining concession could potentially cause instability in Kaziba.
MAPIMO	+9	No visits by non-state armed groups to mines reported in the last 6 months.  No presence of non-state armed group reported in the last 6 months in a radius of 25 km.



MINING SITE	SCORE	COMMENT
		<p>The last armed group attack on Mapimo dates back to March 2013. The armed group responsible was the Raia Mutomboki of Juriste Kikuni, who has since demobilised and joined the peace process in December 2014.</p> <p>However, FARDC officers play an important in the management of ASM sites and interfere in land disputes.</p>
SHABUNDA CENTRE	+4	<p>No visits by non-state armed groups to mines reported in the last 6 months.</p> <p>No presence of non-state armed group reported in the last 6 months in a radius of 25 km.</p> <p>However, FARDC play an important role in the management of mining sites and interfere in land disputes. In addition, a mining site owner's family member was murdered near Katuchungu in the context of a land dispute, in which high-level judicial authority had interfered, which increased tension in the ASM sector of Shabunda.</p>
NYAWARONGA	-4	<p>In August 2018, around 20 to 30 armed men, probably from the Mai Mai Nyatura armed group, were seen around Nyawaronga. On their way, they passed by several mining sites, where they stole food and gold, while also forcing the local population to carry their loot for them.</p> <p>Further insecurity is caused by two cooperatives operating in Nyawaronga: the COMINYA and COMITSHA. Their competition for gold has turned into ethnic tension, which has already led to violent confrontation.</p>
MUKERA	-9	<p>In June 2018, the mining site Asonge was pillaged by the Mai Mai Yakutumba, and in September 2018, the Mai-Mai Ebuela Mtetezi arrived at Mukera, causing 30 families to flee into the bush.</p>
KATCHUNGU	-12	<p>Certain mining sites supplying the trading point of Katchungu remain under the control of Raia Mutomboki. This is the case for Luguguma, Luguguma Amot, Ikusa Katota, Kalukundu and Kalusungu. Furthermore, Raia Mutomboki have been active along the Luguguma-Katchungu axis.</p> <p>In addition, FARDC officers play an important role in the management of mining sites and interfere in land disputes.</p> <p>Finally, a mining site owner's family member was murdered near Katuchungu in the context of a land dispute, which increased tension in the ASM sector of Shabunda.</p>

### 1.3 ACCESSIBILITY

An ideal gold trading point for responsible sourcing should be easily accessible to facilitate the logistics of the operation. From the seven trading hubs, Kaziba is clearly the most accessible. It is only 3 hours by car from Bukavu, and it can be reached by public transport. Mukera is also accessible by car but this requires at least a day of travel. On a map, Nyawaronga does not seem very far from Bukavu. However, the last part of the journey requires travel by motorbike or on foot.

Reaching all 4 trading hubs located in Shabunda territory, requires air travel as the roads between Shabunda centre and Bukavu are in extremely poor condition. Once landed at the airstrip of Shabunda centre, Mapimo, Katchungu and Matili are only accessible by motorbike. Car rental is not available in Shabunda centre. The individual assessment reports provide further details on the risks associated with private airlines in DR Congo.

#### 1.3.1 ACCESSIBILITY ASSESSMENT SUMMARY

Minimum score: -12

Maximum score: +8

MINING SITE	SCORE	COMMENT
KAZIBA	+8	Kaziba can be reached by road in less than 3 hours. It is accessible by car, motorbike, and by public transport.  The first mining sites can be reached in less than two hours on foot from Kaziba.
MUKERA	+5	It takes one day to reach Mukera by car. It is also possible to reach Mukera by public transport via Uvira. Once in Mukera, the first mines can be reached in 45 minutes on foot.
SHABUNDA CENTRE	+3	Traveling from Bukavu to Shabunda centre requires air travel, but should take less than half day. Once in Shabunda centre, the first sites can be reached in less than 1,5 hours by motorcycle, the last stretch being only accessible on foot.
NYAWARONGA	0	It is possible to get as far as Kalehe by car (2 to 3 hours). The next stretch requires travel by motorcycle for 1,5 hour. Finally, an additional 45 minutes of walking are required to reach Nyawaronga.  Once in Nyawaronga, the first mining sites are within 3 hours walking distance.
MATILI	-2	Traveling from Bukavu to Matili requires air travel, and then a motorbike. In total, it takes more than 1 day to arrive at the trading point. Once in Matili, the first sites can be reached in less than two hours by motorcycle, the last stretch being only accessible on foot.

MINING SITE	SCORE	COMMENT
KATCHUNGU	-2	Traveling from Bukavu to Katchungu requires air travel to Shabunda centre. From there, the next stretch must be done by motorbike and takes approximately 4 hours  Once in Katchungu, the first mining sites are within 3 hours walking distance.
MAPIMO	-2	Traveling from Bukavu to Mapimo requires air travel, and a stop in Shabunda centre. From there, it takes around 5 hours to reach Mapimo by motorbike. Once in Mapimo, the first sites can be reached in less than an hour by motorcycle, the last stretch being only accessible on foot.

#### I.4 MINING SITE STATUS

An important selection criterion for the mining areas considered for an assessment, was whether there were any ZEA's (Zone d'Exploitation Artisanale) nearby. A similar criterion was whether any mining sites had been validated as "green" sites by the joint teams checking conformance with the Regional Certification Mechanism of the International Conference of the Great Lakes (ICGLR).

However, IPIS' field visits uncovered some important challenges related to the status of mining sites. Firstly, it is difficult to determine the precise location of ZEA's, as they are not physically delimited. This causes considerable confusion and even disputes. Secondly, it turns out there is hardly any mining activity within the registered ZEA's. There are two explanations for this relatively surprising finding. On the one hand, it is possible that there are simply no good deposits within these zones or that none have (yet) been identified. On the other hand, it might be possible that the geographical references of the ZEA's, registered at the Mining Cadastre, are incorrect. In that case, important mining activity could be taking place in the ZEA's but it would not be visible on the map. The least productive ZEA's are located around Katchungu, Matili, Nyawaronga, and Kaziba. In Katchungu ZEA's was established at the request of cooperatives active in cassiterite. But it occurred that there is also gold deposit in these ZEA, so the question was raised to know if this gold could be considered as "green". In Kaziba ZEAs, there are also deposits gold but also of copper, cassiterite and coltan. The cooperative CMDK, which owns these ZEAs, is looking for funding to invest in copper.

Other important observations related to mining site status are:

- Most of the mining sites visited around the seven trading hubs are located on land that is not part of any concessions.
- Artisanal miners and cooperatives are often unaware of the legal status of the land on which they are working.
- At all mining sites visited, less than 10% of the artisanal miners was licensed (i.e. had a *carte de creuseur*).

The formalization of the artisanal mining sector is a key issue and a responsible sourcing initiative could make an important contribution by helping to clarify mining title issues and supporting applications for individual mining licenses and ZEAs.

### I.4.1 MINING SITE STATUS ASSESSMENT SUMMARY

Minimum score: -5

Maximum score: +6

MINING SITE	SCORE	COMMENT
KAZIBA	+5	Madhira/ Butuzi, Malindji and Luzinzi mining sites are located on a ZEA.  Less than 10% of miners hold a carte de creuseur.
MATILI	+2	Some mining sites around Matili have been validated.  Some mining sites are located on ZEAs, but the majority is on unregistered land.  Less than 10% of the miners hold a carte de creuseur.
KATCHUNGU	+2	There are 2 ZEA's in the vicinity of Katchungu and the mining site of Ibutubutu has been validated.  Less than 10% of the miners hold a carte de creuseur.
NYAWARONGA	+1	There are 2 active ZEA's in the vicinity of Nyawaronga. However, there is no validated mining site.  Less than 10% of the miners hold a carte de creuseur.
SHABUNDA CENTRE	-1	Mining sites around Shabunda centre have not been validated and they are not in a registered concession. Less than 10% of the miners hold a carte de creuseur.
MUKERA	-1	Mining sites are not within a registered concession, neither as a ZEA nor a private concession. Besides, mining sites have not been validated. Finally, less than 10% of the miners hold a carte de creuseur.
MAPIMO	-1	Mining sites around Mapimo have not been validated, and there is no mining concession in the vicinity. Less than 10% of the miners hold a carte de creuseur.

### I.5 PRODUCTION

Following the indicators identified in the methodology, five out of seven mineral trading points are supplied with gold from mining sites with a good level of production. Only Nyawaronga and Mukera currently appear to have relatively low production and trade volumes. However, the production data from Mukera may not be representative for its usual gold output. Historically, Mukera has produced a lot of gold. However, artisanal miners fled the area because of armed conflict and their return has only started a few months ago.

Shabunda centre and Katchungu both have a steady gold supply from more than different 20 mining sites. However, the same supply poses an important responsible sourcing challenge, because a large

proportion of the traded gold has been extracted by illegal dredges. The ownership of these dredges is unclear. As a consequence, it should be avoided that dredged gold contaminates responsible gold supply chains. Although in theory, it could be easy to report the production of each of dredge by simply placing one SAEMAPE officer and/ or one controller for the responsible sourcing project on board.

A challenge at many of the mining sites, is the poor level of mechanization. Artisanal miners complain that key equipment is missing and that their current tools are ill-suited to ensure sufficient production. However, this situation also provides an interesting opportunity. Providing suitable tools and technical training to increase production could be an important incentive for miners and cooperatives to join a responsible sourcing program. A further benefit is that equipping artisanal miners with appropriate tools can help to avoid the use of mercury.

### 1.5.1 PRODUCTION ASSESSMENT SUMMARY

Minimum score: -8

Maximum score: +8

MINING SITE	SCORE	COMMENT
MATILI	+8	In Moba, there are around 500 workers who produce approximately 600 grams of gold per week. A dozen of mining sites feed Matili.
KAZIBA	+6	There are more than 550 workers distributed over 4 mining sites visited in August 2018, or an average of 137 workers per mine. However, the level of mechanization is low.
SHABUNDA CENTRE	+6	There are more than 4500 workers distributed over 31 mine sites (IPIS database). On the 2 mining sites visited in 2018, there were more than 200 workers, and their weekly production was estimated at more than 300 grams each. However, the level of mechanization is low.
KATCHUNGU	+3	On average, there are 103 workers per mining site (8 sites visited in July 2018). Estimated production per mining site varies from 120 to 900 grams per week
NYAWARONGA	+2	In 2018, number of workers ranges from 60 to 250 in 3 mining sites. Estimated weekly production of the mining sites is relatively low, between 25 and 75 grams.
MAPIMO	+1	2 mining sites were visited in 2018. There were 30 and 80 workers. The first one was in preparation, the other one produces around 130 grams a week.
MUKERA	-4	On average, there are 64 workers per mining site. The weekly average gold production is estimated at 28,4 grams for the 7 mining sites visited in August 2018.



## I.6 COOPERATIVES

There are both legal and practical reasons why the presence of cooperatives is an important precondition for a responsible supply chain initiative. Legally, both the formal validation of an artisanal mining site and the registration of a ZEA require the presence of a cooperative. In addition, all artisanal miners need to carry identification through their *carte de creuseur*.

More practically, a good partnership with a cooperative should facilitate the artisanal miner identification phase. Furthermore, cooperatives also provide an opportunity to increase the local ownership of a responsible sourcing initiative, which can significantly improve the sustainability of the project.

However, the results of IPIS' field missions have shown that artisanal miners often distrust cooperatives and question their legitimacy. A recurring criticism is that cooperatives are owned and managed by political and economic elites that exploit workers. They also accuse their management to distribute the income unfairly. Communities also distrust cooperatives because they do not contribute to local development. Although, customary chiefs or their representatives are usually founding members of the cooperatives implemented on their land, and they participate in the restricted committees to make sure that they are paid their part.



Image I-2. Mining site, Changoboka, Kaziba.

COOCAM, active in Mukera, is the only cooperative encountered by IPIS, which truly defends artisanal miners. It challenges, for example, cases of illegal taxation. In addition, artisanal miners are much better represented, through periodic elections of the management board.

Because most miners distrust the cooperatives, they do not declare their production and directly sell the gold themselves. This feeds a vicious circle of distrust because leaders of the cooperatives are unwilling to invest in (safe) gold extraction when they do not gain from production. As the cooperatives have few funds to invest, they have nothing to offer to artisanal miners, except the right to work. This vicious circle of distrust has been observed in most mining sites and trading hubs visited, and it demonstrates that cooperatives have actually little control or power over artisanal miners.

In Kaziba for example, the CMDK is active on 3 validated mining sites. Customary chiefs (*chefferie*) and a very influential politician of Kaziba are founding members of and have invested in the CMDK. Yet, artisanal miners openly say, even in front of cooperative representatives, that they sell their production themselves to *négociants* in Kaziba and to their pre-financer.

This demonstrates that cooperatives are also willing to see a transparent supply chain, and therefore make them a natural partner for its implementation. Indeed, All of the interviewed cooperatives have shown support for responsible sourcing initiatives. In their view, such projects can provide technical assistance to produce more gold, attract international buyers, increase their visibility and put an end to illegitimate interference by local authorities (see below). However, from the above it is clear that the transparency, representation and local embeddedness of cooperatives need to be improved before a viable partnership can be established.

### 1.6.1 COOPERATIVE ASSESSMENT SUMMARY

Minimum score: -2

Maximum score: +7

MINING SITE	SCORE	COMMENT
MATILI	+2	Most mining sites have an active cooperative, which is formally registered. However, only very few <i>creuseurs</i> are members of it. The cooperative COOMIKA has followed a training in due diligence given by COSOC and BGR
NYAWARONGA	+2	Most mining sites have an active cooperative. However, only very few <i>creuseurs</i> are members of it. Furthermore, tensions between the COMINYA and COMITSHA cooperatives have sometimes turned into armed violence. Since April 2018, these two cooperatives have been following a training given by CEGEMI on cooperative management, including sessions on due diligence and responsible sourcing
MUKERA	+1	Most mining sites have the same active cooperative, the COOCAM, which is formally registered. However, only very few <i>creuseurs</i> are members of it. The COOCAM is the only cooperative encountered during this research on which artisanal miners have a positive opinion.
KATCHUNGU	+1	Most mining sites have an active cooperative, which is formally registered. However, only very few <i>creuseurs</i> are members of it.
SHABUNDA CENTRE	+1	Most mining sites have an active cooperative, which is formally registered. However, only very few <i>creuseurs</i> are members of it.
KAZIBA	+1	Most mining sites have an active cooperative, which is formally registered. However, only very few <i>creuseurs</i> are members of it.
MAPIMO	-1	Some mining sites are not covered by a cooperative. Existing cooperatives are registered, but less than 10% of miners are members of them.

## I.7 LOCAL AUTHORITIES

Among the seven trading points visited, only Matili is free of interference by local authorities. In other hubs, such interference takes many forms. Often, officials demand compensation for transport, food, phone credit or accommodation. Sometimes, they organize illegal taxation (e.g. on *carte de creuseur*). In Shabunda territory, as many as 7 agencies are allegedly interfering with artisanal mining. Despite the fact that these interferences present a significant challenge, the problem is not insurmountable. Many of the state officials may not even know that their presence on mining sites is forbidden by the Mining Code.

Responsible sourcing projects will therefore have to dedicate sufficient time and resources to sensitize and train both artisanal miners and state officials on the applicable laws and regulations. Clarity is needed on some basic principles: who is allowed to be present on mining sites, which taxes are to be paid and who is allowed to collect them?

In Shabunda territory, the interference of high-ranking officials is particularly worrisome. On the one hand, there are reports of military officers being involved in dredging operations on the Ulindi river. Other allegations concern a high-ranking magistrate abusing his authority to grab control over cooperatives or mining sites. This magistrate is known to delegate APJ's (*Agents de la Police Judiciaire*) to collect illegal taxes and arrest those who are unwilling to pay. These interferences affect Shabunda centre, Mapimo and Katchungu. Despite these challenges, local stakeholders believe that external attention from responsible sourcing initiatives could easily bring an end to such practices, which only endure because they remain out of the public eye.

### I.7.1 LOCAL STATE AUTHORITIES ASSESSMENT SUMMARY

Minimum score: -17

Maximum score: +9

MINING SITE	SCORE	COMMENT
MATILI	+6	There is no report of interference from state services in the artisanal mining sector. Furthermore, SAEMAPE and Division des Mines regularly visit mining sites.
KAZIBA	-2	Level of interference is moderate. SAEMAPE and Division des Mines sometimes request a payment for phone credit, transportation, food and accommodation.
MUKERA	-5	Most mining sites are visited on daily basis by SAEMAPE and Division des Mines. However, harassment and illegal taxation by 7 state agencies have been reported.
NYAWARONGA	-6	Most of the mining sites are infrequently visited, at best once a month. In addition, harassment and illegal taxation by 3 state agencies have been reported.
SHABUNDA CENTRE	-7	Most of the mining sites are visited on a daily or weekly basis by SAEMAPE and the Mining Division. However, illegal taxation, harassment of miners and other forms of interference in the artisanal mining sector by 6 state agencies, FARDC and a high-level judicial actor have been reported. In addition, the last two

MINING SITE	SCORE	COMMENT
		authorities own pits.
KATCHUNGU	-8	Artisanal miners have reported several forms of harassment by up to 7 state authorities. Furthermore, high-level judiciary representatives and FARDC own gold pits.
MAPIMO	-12	SAEMAPE and Division des Mines rarely visit mining sites, and they do not keep records. Furthermore, 6 different state agencies or representatives of the state are reported to harass and impose illegal taxation on artisanal miners. In addition, it has been reported that high-level judicial authorities and the FARDC own gold pits

## 1.8 CIVIL SOCIETY ORGANISATIONS

Integrating local civil society in the monitoring of a responsible sourcing initiative increases the local embeddedness of the project, thereby increasing the likelihood that it will succeed and sustain itself. Furthermore, civil society networks can help to detect and report incidents that could occur along artisanal gold supply chains.

Katchungu and Kaziba are the only trading hub where a civil society organisation with expertise on the mining sector was identified. In the five other hubs, the presence of civil society organisations was mostly limited to one “*représentant de la société civile*”. Such representatives are usually not involved in project implementation. They mostly function as a mouth-piece of the local population in their interaction with local authorities. The situation is probably worst in Mapimo and Mukera, because their civil society representatives are actually government officials. This clearly presents a conflict of interest.

The only other associations identified, included a micro-credit organization for women and some sort of syndicate for moto-taxi drivers. However, these small organisations have no experience in the mining sector or project management.

Responsible sourcing initiatives could consider collaborating with civil society organisations based in Bukavu. While this would weaken local ties and ownership, Bukavu-based CSO’s tend to be better informed and have more capacity. At the same time, partnering with a Congolese CSO, would make it easier for an international project to gain the trust of local communities. IPIS could share the contacts of trustworthy and competent CSOs based in Bukavu. For example, COSOC has developed a real expertise in the artisanal gold sector in Shabunda territory. In Kaziba,



Image 1-3. Mining site, Madirha, Kasheke, Kaziba.



*Justice Pour Tous* has worked on the relations between Twangiza Mining and local population. Finally, CEGEMI has been training the cooperatives in Nyawaronga.

In any case, working with a civil society organisation will require considerable investment in trainings on project management, responsible sourcing, due diligence and the mining code.

### 1.8.1 CIVIL SOCIETY ORGANISATIONS ASSESSMENT SUMMARY

Minimum score: -1

Maximum score: +6

MINING SITE	SCORE	COMMENT
KAZIBA	+5	ACOSYF is an organization of women active in Kaziba. Its president is the chef ad interim of the Kaziba chefferie. ACOSYF members are working at Malindji mining site and sell their agricultural products in other mining sites. Working with ACOSYF will require training in project management, but will ensure a strong local anchorage.
KATCHUNGU	+5	« AVEC » is a civil society organisation which supports women workers through providing micro-credit financing. “AVEC” members are women in charge of washing sand and sorting residuals.
MUKERA	-1	No civil society organization has been identified in Mukera.
SHABUNDA CENTRE	-1	Two civil society organizations have been identified but neither has experience in project management, collaborating with international organizations, or in the artisanal mining sector.
NYAWARONGA	-1	There is a representative of civil society, who is a sort of spoke person of the population when there is an interaction with the local authorities, or with the media. But there is no local civil society organisation operating near the mining sites
MATILI	-1	There is no civil society organization with experience in project management with international organization, or in the artisanal mining sector.
MAPIMO	-1	There is one organisation called RTM-C, which defends the interests of cassiterite transporters. Nevertheless, RTM-C has no experience in collaborating with an international organisation, neither in project management.

### 1.9 HEALTH AND SAFETY

During the past 6 months, no safety incidents resulting in serious injury or death have been reported in any of the seven mining areas.

A first explanation is related to the type of exploitation. The majority of the assessed mining sites is alluvial. The risk of serious accidents is relatively low in alluvial operations because there is no need to



dig tunnels or deep pits. Mining activity is limited to open spaces such as rivers, riverbanks or relative large and shallow open-air pits. However, at mining sites where gold is extracted from deep pits (Katchungu), or underground shafts (Kaziba), the risks are higher. Despite these dangers, no specific mitigation measures are in place. Usually, there are only a few rudimentary wooden support structures to prevent collapse and artisanal miners have no helmets to protect them against falling debris.

Child labour was reported on mining sites around Mukera, Kaziba and Nyawaronga, but not in Shabunda territory. Children's tasks consisted of washing sand and/or sorting the residuals. The ILO (International Labour Organisation) considers nearly all types of work done by children at a mining site as "child labour".<sup>2</sup> However, the latest Mosi-oa-Tunya declaration signed in September 2018 in Livingstone, Zambia, recognizes that child labour is a reality in many countries and that it sometimes needs to be assessed within its own specific context. An example of such a specific context are IPIS' findings that some children only work at mining sites during their summer holidays, to pay their school fees.

The OECD guidelines stipulate that child labour should be identified and reported as a risk to a responsible the supply chain. However, mining sites with child workers should not immediately be excluded. Instead, suppliers (or a responsible gold sourcing initiative) have to think about a long-term strategy to get them back to school. Temporary/transitional measures can be considered as well. For example, children can be sent to school in the morning, while being allowed to work at the mining site, under supervision, in the afternoon.

The use of mercury by artisanal miners has been reported in Mukera, Kaziba and Nyawaronga. In Katchungu, mercury is used by dredge operators. Most of miners ignore the danger of mercury amalgamation and burning. Therefore, it is usually done at the mining sites or close to other populated areas.

Finally, it was reported that one pregnant woman was working at the mining site of Lugulu/ Tukombe, near Mapimo, where she was washing sand. The 'risk' of pregnancy is one of the main reasons why women are discouraged to participate in any mining related activities. Often, they are even denied access to the mining site. There are indeed very few women working at mining sites. None of them is a member of a cooperative and they are certainly not involved in the management of cooperatives. In addition, the jobs women do are the least profitable. During the Mosi-oa-Tunya conference, an increasing number of donors explicitly mentioned their desire to see more female artisanal miners benefiting from development programs.

### 1.9.1 HEALTH AND SAFETY ASSESSMENT SUMMARY

Minimum score: -14

Maximum score: +4

MINING SITE	SCORE	COMMENT
MATILI	+1	No fatal or serious accidents have occurred in the past 6 months. Miners have invested in reinforcing the structures of the galleries.  Neither child labour nor mercury use have been reported in mining sites.
MAPIMO	0	No fatal or serious accidents have occurred.  Neither child labour nor mercury use have been reported in

<sup>2</sup> OECD, Practical actions for companies to identify and address worst forms of child labour, Paris, 2017, p. 14

MINING SITE	SCORE	COMMENT
		mining sites.
SHABUNDA CENTRE	-1	No fatal or serious accidents have occurred in the past 6 months.  No mercury use has been reported in mining sites. Children under 15 have been observed in  Kyendekuntu mining site, but it was not clear whether they were working or only visiting the site.
NYAWARONGA	-3	Most miners wear rubber boots. They also use torches, water pumps and oxygen pumps.  No fatal or serious accidents have occurred in the past 6 months. Child labour has been reported in Kasese and Mbururu/Kishanga.  Furthermore, artisanal miners use mercury but reuse the residues.
MUKERA	-3	No fatal or serious accidents have occurred in the past 6 months. However, children under 15 have been observed while washing sand in all 7 mining sites visited.
KATCHUNGU	-4	No fatal or serious accidents have occurred in the past 6 months.  Child labour has not been reported. However, artisanal miners use mercury, burn it in open air or throw the residues in the river.
KAZIBA	-7	No fatal or serious accidents have occurred. However, Butuzi mining site presents serious risks of collapsing.  Child labour has been reported at every mining site. In addition, in every mining site, artisanal miners use mercury, burn it in open air or throw the residues in the river or on the ground.

## 1.10 TRADE

Gold trade is a crucial economic activity in the seven assessed mining areas. Buyers travel to these trading points to buy gold on behalf of businessmen based in Bukavu. Most of the local shops and restaurants accept payments in gold, and have subsequently become gold traders themselves.

Hence, although there is a visible presence of official gold buying houses in bigger trading hubs such as Katchungu, Kaziba or Shabunda centre, most traders are difficult to identify. In addition, many of them do not hold a *carte de négociant* (i.e. trader license). In more remote trading hubs, such as Mapimo, Mukera and Katchungu, the bartering of gold is even more common. The presence of so many *de facto* gold traders will complicate efforts to increase transparency and traceability.

Besides the issue of illegal *négociants* and bartering, responsible supply chain initiatives will have to face the challenge of pre-financing. Pre-financing means that an investor pays for the tools, food and

accommodation of miners. In return, artisanal miners and the pre-financer share the production. The portion for the pre-financer depends from case to case, but can be up to 50 %.

Pre-financing arrangements are sometimes based on a longstanding family or business relationship. In those cases, the pre-financer often supports important expenses, such as a wedding, a funeral or school fees. In return, he expects to be compensated in gold or to be offered a good price for the gold produced. A responsible sourcing initiative should prevent that the project's gold is diverted from the supply chain to reimburse a pre-financer. At the same time, it is clear that a responsible sourcing project will affect systems of pre-financing that are already in place. Therefore, whenever possible, efforts need to be made to avoid creating resentment or fueling local tensions. Ideally, these pre-financing arrangements should be identified, understood and integrated into the supply chain.

There are also cases of malicious and illegal pre-financing, for example in Shabunda centre, Mapimo or Katchungu. In these 3 trading hubs, some mining activities are pre-financed by high-ranking FARDC officers or magistrates, often through coercion.

In Kaziba, the pre-financers (so-called '*supporteurs*') are mostly *négociants*. The business arrangement with these 'supporters' is more based on mutual respect and trust. In Mukera and Nyawaronga, no pre-financing systems were reported. In Mukera, most of the population has lost everything during the conflict. As a consequence, no one can afford to invest and pre-financers from Bukavu have not yet come back. In Nyawaronga, due to the unpredictable security situation, pre-financing is allegedly considered too risky.

## I.11 MASTER TABLE

CATEGORY	MATILI	KAZIBA	MAPIMO	MUKERA	NYAWARONGA	SHABUNDA CENTRE	KATCHUNGU
SECURITY	+12	+11	+9	+4	-4	-9	-12
ACCESS	-2	+8	-2	+5	0	+3	-2
MINING SITE STATUS	+2	+5	-1	-1	+1	-1	+2
PRODUCTION	+8	+6	+1	-4	+2	+6	+3
COOPERATIVES	+2	+1	-1	+1	+2	+1	+1
STATE AUTHORITIES	+6	-2	-12	-5	-6	-7	-8
CIVIL SOCIETY ORGANISATIONS	-1	+5	-1	-1	-1	-1	+5
HEALTH & SAFETY	+1	-7	0	-3	-3	-1	-4

## 2.0 SITE ASSESSMENT: KAZIBA<sup>3</sup>

### 2.1 SUMMARY

Compared to the six other trading points assessed for the CBRMT project, Kaziba probably offers the best conditions in terms of security, accessibility and production. Kaziba has not been controlled by any armed group since the second Congolese war. In terms of access, it is less than 3 hours by car from Bukavu and even accessible by public transport. In terms of production, its 4 mining sites visited in 2018 produce up to 100 grams a week in average. In addition, the busy gold market in Kaziba ensures a steady supply of gold. However, there is a problem with the origin of the traded gold, because important quantities are being mined at the Twangiza Mining concession. This company, associated to Banro, holds the exploitation rights over a huge concession from which thousands of uninvited artisanal miners are extracting minerals illegally. Tensions between the artisanal miners and the company are already affecting the neighbouring trading point of Luwhindja. In case of major violent incidents, the problem could eventually spread to Kaziba.

The problems related to artisanal mining in the Twangiza concession are unfortunate because the wider area provides good opportunities for legal artisanal gold mining. For example, 5 ZEA's are located in the vicinity of Kaziba, and 1 concession with research permit on behalf of the CMDK cooperative. Furthermore, in the long-term, CMDK wants to invest in copper, instead of gold, precisely because of the challenges involved in ensuring transparent gold supply chains.

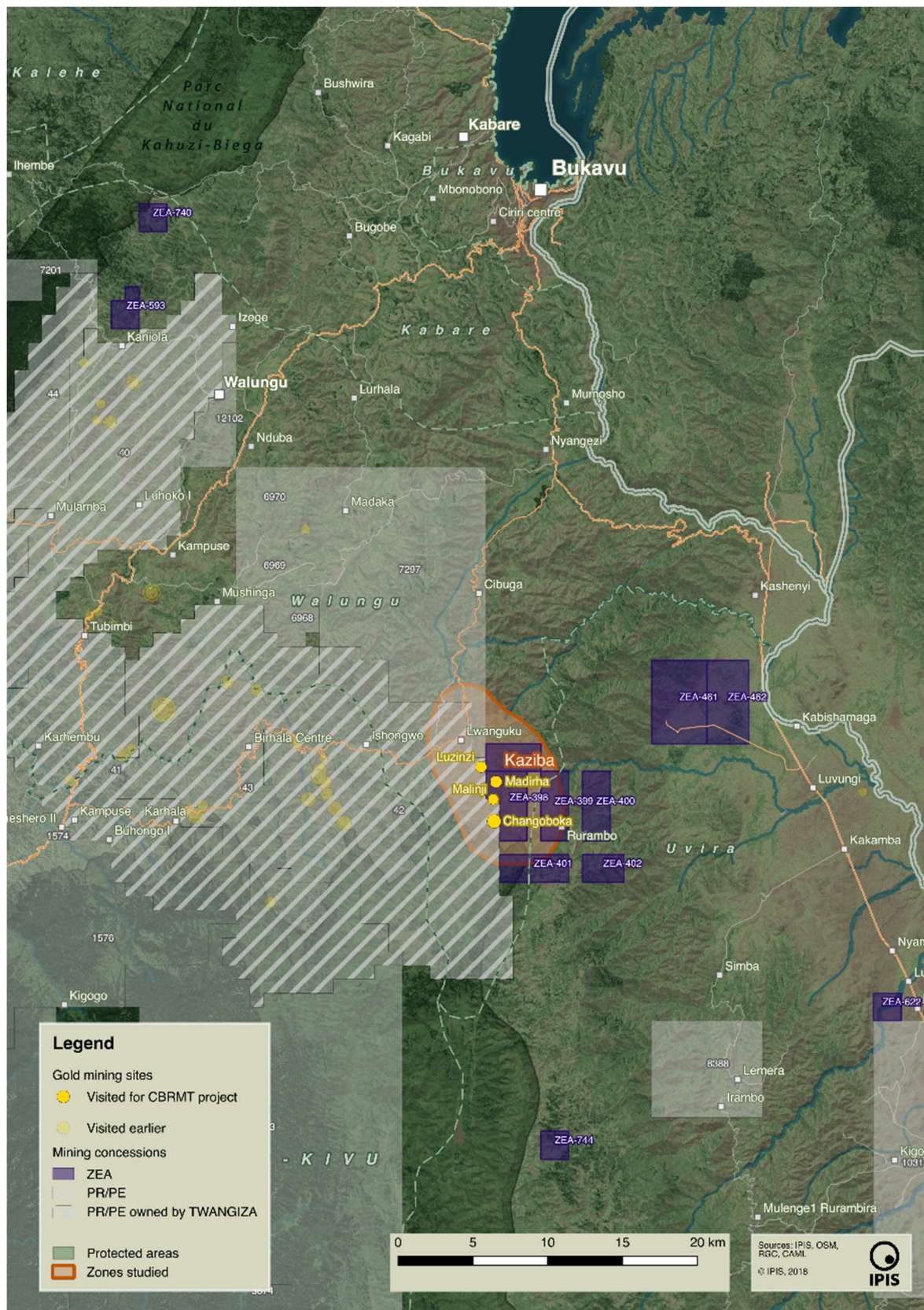
Efforts are also needed to get local authorities on board, because, at the moment, they show little interest in Kaziba. Interference or harassment by state authorities is quite limited in comparison with the other assessed mineral trading points. However, they rarely visit Kaziba and they take little action to formalise the sector.

Responsible sourcing from Kaziba will face other challenges, especially regarding safety. These issues may require collaboration with a cooperative to resolve them. For example, at every mining site visited, mercury was being used. There are also numerous underground galleries at the mining sites around Kaziba, and especially in Madhira/ Butuzi, which may be at risk of collapse as the wooden support structures are often not very stable. Furthermore, artisanal miners do not wear protective gear, such as helmets. Finally, child labour might be an important issue. Children under 15 have been reported washing and sorting residues in Luzinzi and Mbwega / Changoboka.

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<sup>3</sup> Data from mining sites visited for this research, but also for previous ones can be freely downloaded from the IPIS website: <http://ipisresearch.be/home/conflict-mapping/maps/open-data/>.





**Image 2-1. Mining area of focus in Kaziba.**

## 2.2 ASSESSMENT

### 2.2.1 SECURITY

Minimum score: -18

Maximum score: +12

Score obtained: +11

INDICATOR	COMMENTS	SCORE
Non-state armed group visits to mine in the last 6 months	No non-state armed group visits to mine have been reported in the last 6 months	+4
Non-state armed group presence in the last 6 months	No non-state armed group presence has been reported in the last 6 months, in a radius of 25 km.	+3
Roadblocks by non-state armed groups on mine's access routes (road between mine and its mineral trading point/trade hub)	No such roadblock has been observed between the mining site and its mineral trading point.	0
FARDC presence and/ or interference	Despite the presence of the FARDC in Kaziba, no interference has been reported.	+3
Banditry	Banditry in Kaziba is moderate.	+2
Roadblocks by FARDC on site access routes	The FARDC has not set up roadblocks.	0
All forms of sexual violence	No cases of sexual violence in past 6 months have been reported	0
Other conflict and tensions	Kaziba is near the village of Luhwindja where there are tensions between artisanal miners and Twangiza Mining. As of yet, it is difficult to assess how much this impacts on Kaziba	-1
Violence	No violent incident has been reported in the last 6 months.	0

The security situation in Kaziba and its surroundings is relatively good. The nearest violent incidents recently reported by MONUSCO were 45 kilometers from Kaziba. No armed groups are present in the area. However, the FARDC maintains a base in Kaziba. MONUSCO is deployed in Luhwindja, which is at a distance of 20 km. The presence of the FARDC and MONUSCO is partly due to the tensions between the industrial company Banro-Twangiza and thousands of artisanal miners who work illegally on the company's concession (284 mining squares). In January 2018, the governor signed a decree for the relocation of the mining community of Luhwindja to allow for the expansion of Banro's activities, despite protests by the civil society of South-Kivu.<sup>4</sup> So far, only 20 households were relocated and nonviolent incidents were reported.<sup>5</sup>

<sup>4</sup> *La Tempête: Sud Kivu: Délocalisation des populations de Luhwindja: la société civile du Sud-Kivu s'y oppose.*  
<http://www.latempete.info/delocalisation-des-populations-a-luhwindja-la-societe-civile-du-sud-kivu-soppose/>

<sup>5</sup> IPIS Interview with Researcher Ben Radley, October 2018.



## 2.2.2 ACCESSIBILITY

Minimum score : -12

Maximum score: +8

Score obtained: +8

INDICATOR	COMMENTS	SCORE
Minimum travel time from Bukavu to the mine's trading hub	Kaziba can be reached by road in less than 3 hours.	+2
Means of transport from Bukavu to hub in dry season	Kaziba is accessible by car, motorbike, and by public transport	+2
Means of transport from Bukavu to hub in rainy season	Same as above. No difference between dry and wet seasons.	0
Minimum travel time from trading hub to mine	From Kaziba, the first mining sites can be reached in less than an hour of walking time	+2
Means of transport from trading hub to mine (dry season)	Mining sites around Kaziba are reachable by foot and motorbike.	+1
Means of transport from Bukavu to hub in rainy season	Same as above. No difference between dry and wet seasons.	0
Telephone network coverage	For most of mining sites network coverage is within walking distance	+1

Kaziba is easily accessible from Bukavu. It is possible to reach the trading point in 2h30-3h by car. Bukavu-based *négociants* use public transport for 5 dollars. They also believe it is more discreet and therefore safer. Although mostly an advantage, the ease of access to Kaziba could also complicate gold tracing as more people can get involved in the trade.

Twice a week, on Tuesdays and Saturdays, the biggest traders come down from Bukavu to Kabiza for the gold market. On market days, the *chefferie* sets up a roadblock where everyone has to pay a 2 500-fc entrance ticket, which remains valid for one year. The association of moto-taxi drivers has installed a permanent barrier in Muchingwa, where all vehicles have to pay: fc 500 for motorbikes, fc 3000 for buses and fc 4000 for trucks at every passage.



**Image 2-2. Mining site in Luzinzi, Kaziba.**

Between Kaziba and the mining sites, distances are short. Some mining sites are within two hours of walking distance in the dry season. Butuzi and Luzinzi are even less than 30 minutes from Kaziba. Because of the short distances, the rainy season does not have much effect on travel times.

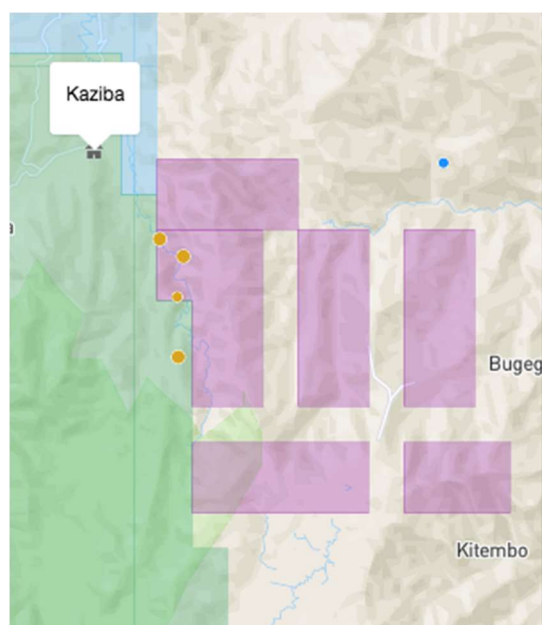
### 2.2.3 MINING SITE STATUS

Minimum score : -5

Maximum score: +6

Score obtained: +1

INDICATOR	VALUE	SCORE
Site qualification	Local state agencies, cooperatives and miners claim that Madhira/ Butuzi, Malindji and Mbwege/ Changoboka have been validated. However, according to BGR and IPIS data, no ministerial decree validating these 3 sites exists.	0
Site legal status	3 Mining sites visited are in a ZEA, 1 is in the concession of Twangiza Mining.	+2
Legal status of miners	Less than 10% of the miners hold a <i>carte de creuseurs</i>	-1



**Image 2-3. ZEAs in purple near Kaziba.**

The status of mining sites in Kaziba is complex, and will require some further investigation and consultation. There are 5 ZEA's in the vicinity of Kaziba, plus one concession registered as a research permit (PR). on behalf of the *Coopérative Minière pour le Développement de Kaziba (CMDK)*.<sup>6</sup>

IPIS has identified 3 mining sites that are located in ZEA n°398 and managed by CMDK: Malijndi, Madirha/Butuzi and Luzinzi.<sup>7</sup> The latter, however, involves extraction in the Luzinzi river, which was recently forbidden, around June 2018, by the administration and the *chefferie* for environmental reasons. Artisanal miners were diverting the flow of the water, thereby causing damages to crop fields and thus threatening food security in Kaziba.

In the other ZEAs and the PR, there are gold deposits, but also coltan, cassiterite and copper. These concessions are registered under CMDK management. These 5 zones are currently inactive but the cooperative is looking for further investments to start

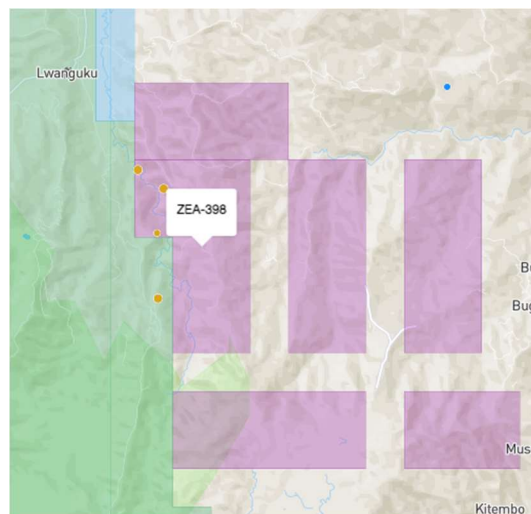
<sup>6</sup> Arrêté Ministériel n°404/CAB.MINI/MINES/01/2018 du 3 Mai 2018 portant sur la fermeture de la zone d'exploitation artisanale n°460.

<sup>7</sup> Further information on this mining site can be found in a case-study from IMPACT (former PAC) about mercury use and its environmental impact PAC, *Evaluation environnementale de la pollution au mercure dans l'est de la République démocratique du Congo*, UNEP, 2016.

the production of copper. Indeed, CMDK is complaining that it does not see return on investment in gold since workers hide the production and sell it for their own benefit.

For Mbwege/Changoboka there exists confusion around their legal status. According to CMDK and artisanal miners, it is qualified as « green » site. However, IPIS did not find any evidence of this. More worrisome even, Mbwege/ Changoboka is located in the Twangiza Mining concession (in green on the map), at 350 metres eastwards from the ZEA n°398. Twangiza Mining is not currently active, so there are no tensions about Mbwege/ Changoboka. In fact, there are numerous artisanal mining sites located in Twangiza Mining concession, <sup>8</sup> including Kadumwa, less than 30 km from Kaziba, where the number of artisanal miners may have grown from 600 workers, in 2017, to over 2,000 in 2018.<sup>9</sup>

Finally, the status of two neighbouring mines could pose problems as well. Mwana river (500 miners) and Lukungurhi (300 miners), both of which are located in the Twangiza mining concession, have been qualified as « red » mining sites. In 2017, the FARDC organised the illegal taxation of minerals in Lukungurhi. Their gold production could potentially contaminate the Kaziba market. Therefore, it will need to be ensured that the gold from these « red » mining sites does not enter the supply chain. For the same reasons gold from the national reserve of d'Itombwe should be strictly avoided as well, because Congolese law prohibits the exploitation of minerals in conservation areas. However, in the latter case, risk mitigation should be more straightforward as the production in the conservation area is currently limited to less than 4 grammes per week.<sup>10</sup>



**Image 2-4. ZEA n°398.**

## 2.2.4 SCOPE OF MINE PRODUCTION

Minimum score : -8

Maximum score: +8

Score obtained: +6

INDICATOR	VALUE	SCORE
Number of workers	There were more than 550 workers distributed over 4 mining sites visited in August 2018, or an average of 137 workers per mine. In Changoboka, there are more than 300 workers.	+3

<sup>8</sup> The complex relations between Banro (associate of Twangiza Mining) and the local populations of Kamituga, Twangiza and Lugushwa have been the subject of a study by LPI and PAX LPI-PAX-IPIS, *Entre le monopole de Banro et la survie des communautés locales, le dilemme de l'état congolais*, March 2016.

<sup>9</sup> Phone interview with Ben Radley.

<sup>10</sup> IPIS database, Visit made in May 2015.

INDICATOR	VALUE	SCORE
Estimated average gold production per week	The estimated average gold production per week is over 50 grams.	+2
Supported businesses at mining site (restaurants, shops)	There are a handful of small shops at each of the mining sites. However, the distance to Kaziba is so short that artisanal miners go there to take a break. Therefore, this indicator is not very accurate for this particular case.	+2
Level of mechanisation	Artisanal miners only use pans, shovels and iron bars.	-1

The volume of gold produced around Kaziba is considerable, as evidenced by the number of busy mining sites. The sites of Mbwega/ Changoboka and Madhira respectively count 300 and 121 artisanal miners. At the 4 sites visited in August 2018, the production varies between 21 grams and 240 grams per week. There are three types of mining sites: alluvial, eluvial and hard-rock gold veins in underground mining. Alluvial mining implies that miners collect sand in or along the bed of a river or creek, and process it to extract gold dust or nuggets/flakes. These placer deposits—as they are also called—eroded from their primary ore source and deposited through hydrological systems in riverbeds. On eluvial sites, miners sweep the earth and dig shallow pits in search of gold particles. Rainfall and erosion bring these particles to the surface on hillsides or flat-lying areas. And finally, hard-rock gold veins in underground mining involves digging tunnels in mountains or hills. In Butuzi, where miners work in underground galleries, a large amount and perhaps the majority of the gold is found in quartz-rich rocks. However, miners throw these rocks down the hill while focusing solely on gold deposits in the looser sand.<sup>11</sup> That a large part of the deposits is not exploited provides an opportunity to increase the production.

It also has to be noted that some galleries are more than 25 metre deep. This needs monitoring as the mining code imposes a maximum depth of 30 metres. The use of mercury to facilitate extraction is common on all but the alluvial mining sites. No crushers are currently being used.

The artisanal gold sector in Kaziba is relatively new. Belgian colonizers did not conduct geological research in its surroundings. These 4 mining sites were discovered by coincidence by herders in the 1990s, and have since then attracted considerable numbers of artisanal miners. With the exception of Mubuga and Kahya mining sites, at a distance of one-day walking distance, there are no other sites in Kaziba *chefferie*. Nevertheless, these 5 mining sites are sufficient to ensure steady supply of minerals to the Kaziba trading point. The main challenge when assessing the legal gold supply to Kaziba is to distinguish between production from Twangiza and from the ZEAs.

## 2.2.5 LOCAL STAKEHOLDERS: CAPACITIES AND BUY-IN OR INTERFERENCE FOR A POTENTIAL PROJECT IMPLEMENTATION

### Cooperatives

Minimum score : -2  
Maximum score: +7  
Score obtained: +1

<sup>11</sup> PAC-UNEP, *Environmental assessment of mercury in pollution in two artisanal gold mining sites in eastern Democratic Republic of Congo, Some in Ituri, and Butuzi in South Kivu*. November 2016, p. 16.



INDICATOR	COMMENTS	SCORE
Presence of one or more cooperatives on site	Most mining sites have an active cooperative.	+2
Cooperative is formally registered, or has obtained an 'agrément favorable' from the provincial government	All the cooperatives are formally registered, or have obtained their « agrément favorable ».	+1
Percentage of miners working on site that are member of cooperative	Less than 10 % of the workers are a member of a cooperative.	-1
Percentage of female members of cooperative	There were no female members in the cooperatives encountered.	-1
Women in management positions in cooperative	None	0
Cooperative members have followed training on responsible sourcing	To our knowledge, none of the encountered cooperative's members have ever followed a training on responsible sourcing.	0

The Congolese Mining Code requires that artisanal miners organize themselves into cooperatives. As a consequence, their presence is essential for any initiative intending to organise a transparent and responsible supply chain. Therefore, the site assessment and ranking methodology developed by IPIS gives a positive score when a cooperative is present. Furthermore, it seems fundamental to give the cooperative responsibilities in the framework of the project management. After all, the close involvement of a legitimate local organisation is the best guarantee for the long-term sustainability of a responsible gold trade. Success or failure of any project in the artisanal gold mining sector can depend on the quality of the collaboration between the implementer and the cooperative in charge of the mining site.

That being said, the results of IPIS' field missions in Shabunda, but also in Kalehe (Nyawaronga and Shanje) and Walungu (Kaziba), have shown that artisanal miners distrust cooperatives and criticize their legitimacy. Part of the issue stems from the word "cooperative" itself. It suggests some measure of solidarity that the miner expects to benefit from as a member. These expectations can include the payment of his *carte de creuseur*, a health insurance, the provision of safety equipment or a contribution to the school fees of miners' children. However, the system of cooperatives in South Kivu, and generally in eastern Congo, functions more like a (small) private company where the cooperative's board acts like an employer, and the miner as an employee. Furthermore, Instead of getting financial benefits, the miner has to pay for the right to work, making his own earning from the gold he finds. As a result, what they believe should be an organisation representing them and defending their interest, is perceived as an opaque institution led by unknown managers who exploit them.

**In Kaziba**, all mining sites visited are covered by the *Coopérative Minière pour le Développement de Kaziba* (CMDK), which is approved by the Ministry of Mines. However, their members remain a small minority within the total population of artisanal miners. In Luzinzi and Madirha/Butuzi, some women are members of the CMDK. According to our research, this is a rather exceptional situation. Nevertheless, the artisanal miners have a bad opinion of the cooperatives, which they consider as a tool of economic and political elites to exploit them. 32 of CMDK's founding members are wealthy people originally from Kaziba, such as representatives from the *chefferie* and influential politicians, who now live in Bukavu.

Furthermore, miners mainly criticize the fact that cooperatives do not defend their interests and do not help to increase production. In addition, they complain that some cooperatives have a virtual monopoly over the gold trade. Because most miners distrust the cooperatives, they do not declare their production and directly sell the gold themselves. This feeds a vicious circle of distrust because leaders of the cooperatives are unwilling to invest in (safe) gold extraction when they do not gain from production. As explained above, founding members of CMDK are therefore planning to dedicate the 4 other ZEAs and their PR (Research Permit) to copper, because its lower value-to-volume ratio makes it harder to hide and trade.<sup>12</sup> However, CMDK has expressed its interest in collaborating on responsible sourcing, it should be considered as a reliable and potentially capable partner, which is demonstrated by its efforts to transform a ZEA into a research permit.

It is interesting to note that despite the presence of the customary chief (*chefferie*) in the cooperative, its management remains illegitimate in the eyes of the miners. The power of the management to “force” miners to record their production is relatively weak. At Changoboka mining site, a miner has been appointed “representative of the CMDK”, but as he rarely goes down to Kaziba, and no one from the cooperative meets him up there, he is more inclined to stand up for the miners than for the cooperative.

### Local State Authorities

Minimum score: -17

Maximum score: +9

Score obtained: +1

INDICATOR	VALUE	SCORE
Frequency of SAEMAPE and/or Mining Division visits	Most of the mining sites are visited once week by SAEMAPE and once a month by the Mining Division.	+3
SAEMAPE and/or Mining Division provide regular training and assistance to miners	There is no evidence that mining agencies have provided any training or assistance to the miners.	0
Record keeping by SAEMAPE and/or Mining Division	Neither Division des Mines nor Mining Division keep records.	0
SAEMAPE and/or Mining Division staff trained on responsible sourcing	No agents of SAEMAPE or the Mining division has been trained in responsible sourcing.	0
Presence of Mining Police	No presence of Mining Police has been reported.	0
Illegal taxation or harassment by state services	Artisanal miners have reported harassment by SAEMAPE and the Mining Division	-2 (-1 per agency)
Pit ownership by state services	No ownership of a pit by a state service has been reported.	0

No FARDC interference has been reported. On the contrary, the public appreciates the army’s work and recognizes that its presence provides security.

<sup>12</sup> IPIS interview with CMDK president in Bukavu, 25 October 2018.

As the distances are relatively short SAEMAPE and the Mining Division visit mining sites regularly, usually once a week. No overt illegal taxation by these services has been reported. However, the artisanal miners report that they frequently experience harassment by SAEMAPE, the Mining Division and the Mining Police. These include requests to pay for the state agents' transportation, telephone credit or meals. They also fine miners working without their *carte de creuseur*.

In comparison to mining sites visited in Shabunda territory, the level of interference in Kaziba remains moderate. Nevertheless, implementing a project for responsible gold sourcing will have to prioritize the sensitization of local authorities, including searching for synergies on which to build collaboration. A first step could be to offer trainings to SAEMAPE and the Mining division, in particular on mining legislation, due diligence, certification schemes and data collection.

### Civil Society Organisations

Minimum score: -1

Maximum score: +6

Score obtained: +5

INDICATOR	VALUE	SCORE
Civil society operating in proximity of mine	ACOSYF is an organization of women active in Kaziba. ACOSYF members are working at Malindji mining site and sell agricultural products in other mining sites.	+2
Civil society is active at the mine	ACOSYF is currently building stairs in Malindji between the galleries in the hills and the washing station at the river, to facilitate the transport of sand.	+1
International experience of civil society	ACOSYF has never collaborated with an international NGO.	0
Percentage of female members of civil society organisations	More than 50% of ACOSYF members are women	+1
Women in management positions in civil society	The president of ACOSYF is a woman.	+1

ACOSYF is an organization of around 150 women, which aims at strengthening the financial independence of its members. ACOSYF produces agricultural products such as beans, potatoes and others made of soy (milk, yoghurts, tofu), which they sell in Kaziba and surrounding mining sites. Benefits serve to finance micro-credits for its members (*Mutuelle Solidarité*). They are also working at Malindji mining site on the construction of stairs from the galleries to the washing station, at the river, to facilitate the sand transport. Despite its status of civil society organisation, ACOSYF is closely linked to the *chefferie* of Kaziba, its president being the aunt of the customary chief, and currently acting as *chef ad interim*. Her office is based in Bukavu, but she keeps close links with Kaziba. She has facilitated IPIS work for its mission and has expressed an interest in implementing a responsible sourcing initiative in Kaziba.

Unfortunately, the local civil society representative is also an officer of the *chefferie*, which means he represents the interests of the local authority as well. However, Bukavu's CSOs have played an

important role in the area around Kaziba. They have, for example, lobbied provincial authorities to defend the interests of the people of the village of Luhwinja. Therefore, they might be competent to support a traceability project in the Kabiza region as well. For example, the Justice for All association published a report in 2015 on the socio-economic and environmental impact of Twangiza's activities on the mining community of Luhwinja.<sup>13</sup> IPIS is well-connected within Bukavu's civil society and could provide advice on a potential partner organisation.

Interactions with the local population at all mining centres show that they insist that the gold extracted comes from *their* land. Therefore, they believe they should benefit from it and that it should be used for the development of their region.

Congolese civil society organisations are becoming more vocal about the fact that natural resources benefit people from Western countries but are hardly helping local populations. Including civil society organisations in a responsible supply chain project guarantees a level of ownership and local embeddedness. Having a potentially critical voice on board of the project, also provides an opportunity for early warning on interference or any other problems.

Furthermore, the involvement of civil society organisations could make the project more sustainable as the supply chains of Congolese minerals will be controlled by Congolese NGOs. However, before civil society organisations can be included, extensive training in computer skills but also in due diligence and mineral certification will be required.



Image 2-5. Mining site in Madirha, Kaziba.

## 2.2.6 HEALTH AND SAFETY

Minimum score : -14

Maximum score: +4

Score obtained: -7

INDICATOR	VALUE	SCORE
Use of personal protective equipment	Most miners only wear rubber boots	0
Accidents resulting in injuries	No accident with seriously injured miners has occurred in the past 6 months.	0

<sup>13</sup> Justice Pour Tous, *Impacts Socio-économique et environnemental de l'exploitation minière industrielle sur les communautés locales: un regard analytique sur la filiale Twangiza Mining à Luhwinja, Bukavu*, 2015.

INDICATOR	VALUE	SCORE
Fatal accidents	No accidents with fatalities has occurred in the past 6 months	0
Maximal pit and/or gallery depth	No pit or gallery deeper than 30 metres has been reported.	0
Child labour: mining	Children have been reported washing and sorting residues in Luzinzi and Mbwega / Changoboka	-3
Child labour: non-mining	No children reported to work in non-mining activities.	0
Sanitary facilities for women	There are no separate sanitary facilities for women	0
Use of mercury and other chemicals (such as cyanide)	Mercury is being used at all of the 4 sites visited: Madirha/Butuzi, Malinji, Luzinzi and Mbwega / Changoboka	-2
Open air burning of mercury	At all 4 sites, mercury is burned in open air	-2

Miners from eluvial mining sites<sup>14</sup> supplying gold to Kaziba lack protective equipment and have been lucky, so far, not to experience any accidents resulting in death or injury. Miners have dug galleries as deep as 25 metres in which they enter without helmets, oxygen pumps or water pumps. No specific measures have been taken to prevent the collapse of tunnels, and there are no secondary exits.

On alluvial mining sites, miners do not wear any protective equipment either, but this type of extraction is much less risky.

The use of mercury was observed at all sites visited. Its use was observed at the site itself and at the nearby little hut where a gold trader makes his business. The way in which it is used is particularly worrying because mercury residues are often dumped in the river or in some nearby bushes.

Regarding the issue of child labour, some minors suspected to be younger than 15 were observed in Luzinzi and Mbwega/ Changoboka. They were in charge of washing and sorting the residues. The OECD considers this as a dangerous activity with potentially severe consequences for their health and development, in particular because of the use of mercury.<sup>15</sup>

It has to be noted that the visit by IPIS' research team took place during the school holidays. It is possible that the children encountered were only working in the mines for a limited time and until the reopening of schools. Further investigations should be made to confirm whether children work at the mining site on school days. In addition it should be established to what extent they are exposed to the mercury.

Despite the potentially problematic situation described above, minors washing and sieving during holidays is in and of itself not a reason to exclude mining sites from a responsible sourcing pilot project. However, in the risk identification and assessment of its supply chain (step II of the OECD guidelines),

<sup>14</sup> Eluvial mining targets secondary placer deposits that have their origin in the weathering of primary ore. Rainfall and erosion have deposited these reserves on hillsides or flat-lying areas. Here miners sweep the earth and dig shallow pits in search of gold particles, IPIS, Artisanal Gold Monitoring Pilot: Monitoring report, Artisanal Gold Monitoring Pilot in Mambasa, Ituri, Antwerp, 2017, p. 16

<sup>15</sup> OECD, *Practical actions for companies to identify and address worst forms of child labour*, Paris, 2017, p. 12

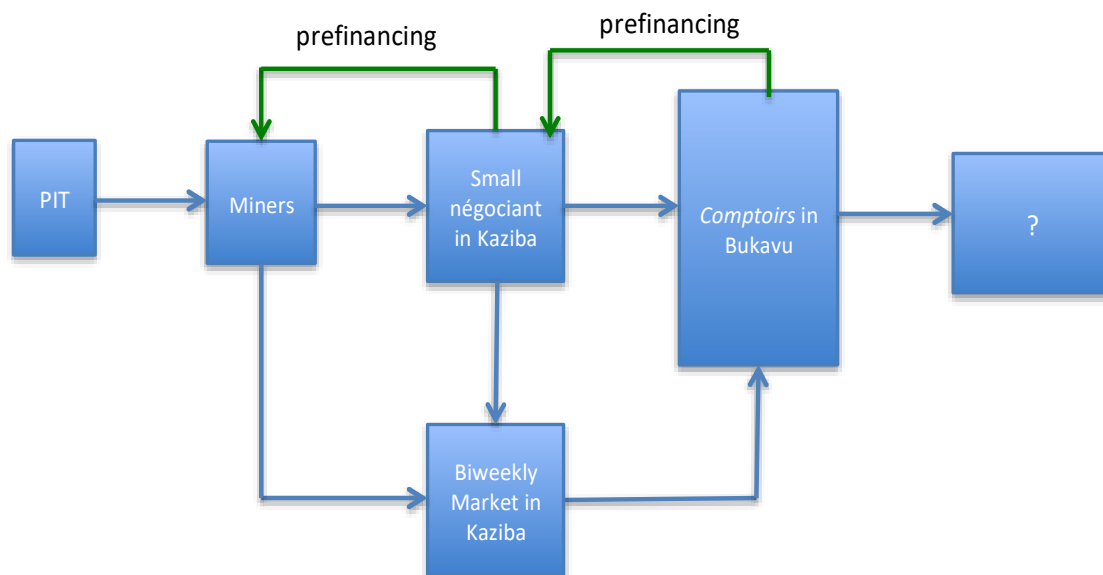
the project managers will have to mention child labour as a risk, and they will have to propose strategies to convince them to go back to school.

### 2.2.7 TRADE

Kaziba's gold trade is centered around the market, which takes place twice a week, on Tuesdays and Saturdays. It attracts a large number of traders from Bukavu and some of the quantities traded are quite large. The 'big traders' are easily recognized from their large private cars. Because of the market, the more traditional buying houses are virtually absent. However, up to 24 normal businesses occasionally operate (informally) as small gold traders. According to the Mining Division, only two traders bought a *carte de négociant* but there would be about 20 active unregistered traders operating from Kaziba.

Different from the mineral trading points of Katchungu, Mapimo, Matili or Shanje, Kaziba faces no competition from other trade hubs. This certainly helps with the traceability of the gold. Another facilitating factor is that most of the gold is traded during the biweekly market. Not only does this make it easier to monitor trade activities, it also allows for a straightforward identification of all relevant stakeholders. Despite these promising conditions, the important concern remains that a large part of the gold sold at the market comes from the Twangiza Mining concession. It will have to be ensured that this gold can be filtered out.

**Figure 2-1. Gold Supply Chain in Kaziba**





## 2.3 SUMMARY OF THE ASSESSMENT: KAZIBA

THEME	SCORE	COMMENTS
Security	+11	<p>No visits by non-state armed groups to mines reported in the last 6 months</p> <p>No presence of non-state armed group has reported in the last 6 months, in a radius of 25 km.</p> <p>Relocation of artisanal miners currently present on Twangiza Mining concession could perhaps cause instability in Kaziba.</p>
Access	+8	<p>Kaziba can be reached by road in less than 3 hours. It is accessible by car, motorbike, and by public transport.</p> <p>The first mining sites can be reached in less than two hours of walking time.</p>
Legal Status	+5	<p>Madhira/ Butuzi, Malindji and Luzinzi Mining sites are located on a ZEA.</p> <p>Less than 10% of the miners hold a <i>carte de creuseur</i>.</p>
Production	+5	<p>There are 550 artisanal miners spread around 4 mining site. There, the production varies between 21 grams and 240 grams per week</p>
Cooperatives	+1	<p>Most mining sites have an active cooperative, which is formally registered. However, only very few <i>creuseurs</i> are members of it.</p>
Local State Authorities	+1	<p>Level of interference is moderate but SAEMAPE and Division des Mines sometimes request a payment for their phone credits, transportation, food and accommodation. However, SAEMAPE and Division des Mines regularly visit the mining sites.</p>
Civil Society Organisations	+5	<p>« ACOSYF » is a civil society organisation which supports women in micro-credits. They build stairs at the Malindji mining site to facilitate access of the washing station.</p>
Health & Safety	- 7	<p>No fatal or serious accidents have occurred. However, Madhira/ Butuzi mining site presents serious risks of collapsing.</p> <p>Child labour has been reported at every mining site. In addition, in every mining site, artisanal miners use mercury, burn it in open air or throw the residues in the river or on the ground.</p>



## 3.0 SITE ASSESSMENT: MATILI

### 3.1 SUMMARY

Matili is approximately 40 km southwest of Shabunda centre and it is close to the provincial border with Maniema.

The gold trade in Matili is well-suited to implement a responsible gold sourcing initiative. Firstly, the whole area is secure. Secondly, there are several validated ‘green’ mining sites, one of which is located in a ZEA (Artisanal Exploitation Zones). There even appears to be an opportunity to support a request by artisanal miners to create an additional ZEA. Thirdly, more than 10 sites have been in operation for a long time providing a steady supply of gold. Fourthly, whereas the behavior of state agencies is an important challenge in other trading points in Shabunda territory (See the cases of Mapimo, Katchungu and Shabunda centre), their level of interference in Matili is limited and manageable.

The most important remaining challenges will probably be to formalize the mining and trading activities, to restore trust between artisanal miners and cooperatives, and to identify all traders.

On the below map, ZEA’s are in purple. The blue zone labelled as 8715 is a forfeited concession of the *Société d’Exploitation Minière*.

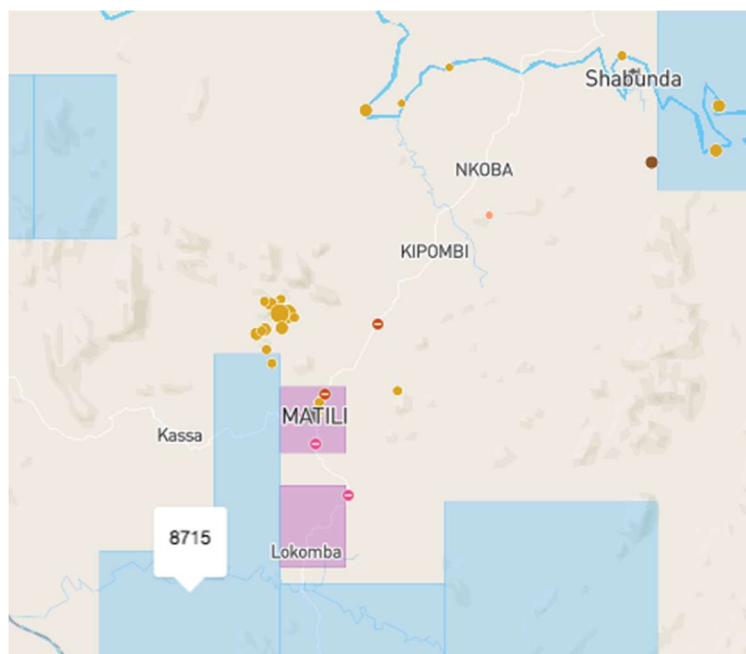


Image 3-1. ZEAs in purple near Matili.

### 3.2 ASSESSMENT

#### 3.2.1 SECURITY

Minimum score : -18

Maximum score: +12

Score obtained: +12

INDICATOR	VALUE	SCORE
Non-state armed group visits to mine in the last 6 months	No visits by non-state armed groups to mines reported since 2013.	+4
Non-state armed group presence in the last 6 months	No presence of non-state armed group has reported in the last 6 months, in a radius of 25 km.	+3
Roadblocks by non-state armed groups on mine's	No such roadblock has been observed between the mining site and its mineral trading point.	0

INDICATOR	VALUE	SCORE
access routes (road between mine and its mineral trade centre /trade hub)		
FARDC presence and/ or interference	No interference of the FARDC has been reported.	+ 3
Banditry	Banditry in Matili is moderate.	+ 2
Roadblocks by FARDC on site access routes	The FARDC has not set up roadblocks.	0
All forms of sexual violence	No cases of sexual violence in past 6 months have been reported	0
Other conflict and tensions	Matili has been spared conflict or tension caused by the judicial authorities of Shabunda.	0
Violence	No violence incident has been reported in the last 6 months.	0

After a long period of instability, the situation around Matili has dramatically improved. Already in 2008, IPIS reported that the gold price in Matili was fixed by the local military commander. This FARDC officer, Major Kagizi, also attended the meetings of the *Fédération des Entreprises du Congo* (FEC).<sup>16</sup> In 2010, the UN Group of experts denounced the control of (ex-CNDP) FARDC officers over the gold trade in Matili.<sup>17</sup> In June of the same year, the rebel leader Kyatenda and his group attacked Matili and killed a number of FARDC soldiers, causing people to flee towards Shabunda<sup>18</sup>. In 2013, IPIS reported the presence of FARDC and Raïa Mutomboki in mining sites further north, including Tokolonga, Pembéliaba and Kaneto 1 and 2. Both groups were levying taxes on mining and trade activities. In addition, the FARDC was responsible for cases of forced labour.

By 2015, the situation had started to improve, partly because of a mining sites demilitarization project implemented by COSOC and financed by BGR and GIZ. In the following years, the whole area would become secure. For example, whereas in 2013 IPIS reported that FARDC and Raïa Mutomboki were involved in illegal taxation at the mining sites of Muba 1 and Pembeliba, these two mining sites had been completely demilitarized by 2018. 3 other sites, Lukonyala, Kanyuki and Tusongembe, had already been validated in 2016.<sup>19</sup>

In March 2017, IPIS reported that two sites supplying Matili with gold, Musima and Kasangwa, were still the target of occasional pillaging by the Raïa Mutomboki.

Fortunately, in February-March 2018, the FARDC forced this armed group to retreat further south to Nepanepa, which is approximately 80 km from Matili<sup>20</sup>. Since their withdrawal, the Raïa Mutomboki have formed an alliance with the Mai-Mai Makaila.

<sup>16</sup> S. Spittaels and F. Hilgert, Mapping Conflict Motives: Eastern DRC, IPIS, March 2008, p. 34

<sup>17</sup> UN Panel of Experts Final report, S/2010/596, para 227.

<sup>18</sup> Julie Reynaerts, MONUC/ MONUSCO and the civilian protection in the Kivus, IPIS, 2011, p. 26.

<sup>19</sup> GIZ, *Résumé des qualifications et validations ainsi que des audits CTC des sites miniers en RDC de Juin 2011 à Décembre 2017*, December 2017, pp. 5-6

<sup>20</sup> Kivu Security Tracker, Monthly security report, March 2018, p.3

### 3.2.2 ACCESSIBILITY

Minimum score : -12

Maximum score: +8

Score obtained: - 2

INDICATOR	COMMENTS	SCORE
Minimum travel time from Bukavu to the mine's trading hub	Traveling to Matili from Bukavu requires more than a day of travel.	-2
Means of transport from Bukavu to hub in dry season	Airplane travel to Shabunda centre is required. From there, it takes another 90 minutes by motorbike.	- 2
Means of transport from Bukavu to hub in rainy season	Same as above	0
Minimum travel time from trading hub to mine	The first mines can be reached in less than 2 hours from Matili	+2
Means of transport from trading hub to mine (dry season)	Mining sites around Shabunda centre are reachable by foot and motorbike.	0
Means of transport from Bukavu to hub in rainy season	Same as above	0
Telephone network coverage	There is telephone network coverage at a maximum distance of 4km	0

To get to Matili from Bukavu, one has to take a flight to the airstrip of Shabunda-centre. The distance between Matili and Shabunda centre is 38km. However, because the condition of the road is very bad, it takes another 1h30 on a motorcycle. During the rainy season, the ruts created by the trucks coming from Kindu (Maniema) make the road even more difficult to pass.

### 3.2.3 MINING SITE STATUS

Minimum score : -5

Maximum score: +5

Score obtained: +2

INDICATOR	VALUE	SCORE
Site qualification	Some mining sites around Matili have been validated.	+2
Site legal status	Mining sites are either located in a ZEA , or on unregistered land.	+1
Legal status of miners	Less than 10% of the miners hold a <i>carte de creuseurs</i>	-1

A validation mission conducted in 2016 in the Matili region validated five sites:<sup>21</sup> Moba, Kanyuki 1 and 2, Tusongembele and Lukonyala. There are also 2 ZEA's (n° 013 and 014), both of which were established

<sup>21</sup> <http://rdcf finances.com/mines/archives/674-douze-sites-miniers-valid%C3%A9s-dans-le-territoire-de-shabunda.html>.

in 2008. These ZEA's are relatively small: respectively 16 and 20 *carrés miniers*. Furthermore, from the limited available information, there does not appear to be much mining activity within these zones. Musima I is the only active mining site identified within them. One potential explanation for this inactivity is that the status of one the ZEA's is disputed by a powerful individual in Kinshasa who claims that it overlaps with his property. Nevertheless, it seems recommended to further investigate the reason behind this lack of appeal of the ZEAs. Because of the above reasons, the gold traded at Matili has mixed origin. Gold comes from mining sites a clear status, and from others for which the status is unclear.

Finally, in the south of Matili, there is a mining concession for a research permit was issued to SEM company (*Société d'Exploitation Minière*). However, the company's rights have been forfeited in 2012 for reasons of non-payment (blue zone labelled 8715 on the map).

### 3.2.4 SCOPE OF MINE PRODUCTION

Minimum score : -8

Maximum score: +8

Score obtained: +8

INDICATOR	VALUE	SCORE
Number of workers	In Moba, there are around 500 workers who produce approximately 600 grams of gold per week. A dozen of mining sites feed Matili.	+3
Estimated average gold production per week	The estimated average gold production per week is more than 50 grams.	+2
Supported businesses at mining site (restaurants, shops)	Most of the mining sites have more that 5 restaurants or shops.	+2
Level of mechanisation	High. Artisanal miners use motor -pumps to evacuate water and to provide oxygen in the tunnels	+1

The mining sites around Matili are particularly busy. In 2013, IPIS visited 12 mining sites and found an average of 112 artisanal miners per site producing around 57,5 grams per week. In July 2018, IPIS limited its field visit to Moba, the biggest mining site of the zone, which has almost become a town because of the gold exploitation. Around 500 artisanal miners work in Moba and they benefit from the high level of mechanisation of the mining activities. The available equipment includes for example grinders and crushers. In the pits, they use motor-pumps to evacuate the water and oxygen pumps, which provide the miners with breathable air deeper inside the tunnels. The production is estimated at 600 grams per week.

Women also perform certain tasks. For example, some of them are in charge of transporting the gold. Furthermore, following the expansion of Moba, women have opened restaurants, shops and small gold trading houses. Finally, prostitution is occurring at Moba.

### 3.2.5 LOCAL STAKEHOLDERS: CAPACITIES AND BUY-IN OR INTERFERENCE FOR A POTENTIAL PROJECT IMPLEMENTATION

#### Cooperatives

Minimum score -2

Maximum score : 7

Score obtained : +2

INDICATOR	COMMENTS	SCORE
Presence of one or more cooperatives on site	Most mining sites have an active cooperative.	+2
Cooperative is formally registered, or has obtained an 'agrément favorable' from the provincial government	All the cooperatives are formally registered, or have obtained their « agrément favorable ».	+1
Percentage of miners working on site that are member of cooperative	Less than 10 % of the workers are a member of a cooperative.	-1
Percentage of female members of cooperative	There were no female members in the cooperatives encountered.	-1
Women in management positions in cooperative	None	0
Cooperative members have followed training on responsible sourcing	The cooperative COOMIKA has followed a training in due diligence given by the COSOC and BGR	+1

In 2014, there were 3 cooperatives registered by the Provincial Ministry of South Kivu: COOMIKA, COMIMAK, which is active in Moba, and the COOPEMUSCA.<sup>22</sup> In 2018, there were at least two active cooperatives in Matili: COOMIKA, COMIMAK and both have been registered at the National Ministry of Mines. COOMIKA has followed a training on due diligence in the 3T mining sector given by the Congolese NGO COSOC and the German organisation BGR.

However, artisanal miners continue to have a negative opinion of cooperatives. Specifically in Matili, they feel that the cooperatives are not looking after their interests. Consequently, only a small minority of the miners, less than 10%, are members of a cooperative. Moreover, none of the female workers have joined a cooperative.

Despite their overall negative opinion, it should be noted that the artisanal miners did not provide further details about their grievances. This was certainly different in the other trading hubs of Shabunda territory, where miners specifically complained about the fees to be paid to cooperatives and their lack of representation.

#### Local State Authorities

Minimum score: -17

Maximum score: +9

<sup>22</sup> Cabinet du Ministère Provincial. Ministre Provincial des Mines, des Hydroliques, Electricités et Hydrocarbures du Sud-Kivu, *Liste des coopératives minières qui sont opérationnelles dans la province du Sud-Kivu de 2010 à Mars 2014*, March 2014.

Score obtained: +6

INDICATOR	VALUE	SCORE
Frequency of SAEMAPE and/or Mining Division visits	Most of the mining sites are visited on a daily or weekly basis by SAEMAPE and the Mining Division.	+3
SAEMAPE and/or Mining Division provide regular training and assistance to miners	There is no evidence that mining agencies have provided any training or assistance to the miners.	0
Record keeping by SAEMAPE and/or Mining Division	The Mining Division keeps records of the <i>cartes de négociants</i> that are delivered, the number of workers and PDGs, the number of operational mines and the number of motor pumps.	+1
SAEMAPE and/or Mining Division staff trained on responsible sourcing	No agents of SAEMAPE or the Mining division have been trained in responsible sourcing.	0
Presence of Mining Police	No presence of Mining Police has been reported.	0
Illegal taxation or harassment by state services	There is no report of illegal taxation or harassment by state services.	+2
Pit ownership by state services	Representatives of state services do not own pits in Matili.	0

Other mineral trading points of Shabunda territory (see, for example Shabunda centre, Katchungu and Mapimo) are experiencing serious interference by state authorities, especially by the judiciary in Shabunda. Matili however, does not seem affected by this phenomenon. Indeed, as stipulated in the relevant legislation, only SAESSCAM and the Mining Division are present at the mining site. Neither of them seems to be involved in illegal taxation. There could be several explanations for this positive development. However, it is worth highlighting that in 2014 the 33<sup>rd</sup> batallion of the FARDC followed a training intended to dissuade them from interfering in the mining sector.<sup>23</sup>

On the road to enter/exit Matili, the *chefferie* has set up a roadblock where motorbikes (FC 500), cars (FC 1000) and trucks (FC 5000) have to pay a fee to pass. It is hard to determine whether this is legal or not, because the competences of the *chefferie* in terms of taxations are not well defined. Nevertheless, the local population considers it legitimate.

### Civil Society Organisations

Minimum score : -1

Maximum score: +6

Score obtained: -1

<sup>23</sup> <http://cosoc-gl.org/fr/2017/cosoc-gl-has-re-launched-its-awareness-campaign-on-demilitarizing-mining-sites-in-south-kivu-with-the-support-from-private-public-alliance-for-responsible-minerals-trade/>

INDICATOR	VALUE	SCORE
Civil society operating in proximity of mine	There is a civil society representative, but there is no local civil society organisation operating near the mining sites.	0
Civil society is active at the mine	No project implemented by a civil society organisation has taken place at mining sites in the least 3 years.	0
International experience of civil society	There is no CSO that has worked with, or was funded by, an international organisation	0
Percentage of female members of civil society organisations	There is no civil society organisation	-1
Women in management positions in civil society	There is no civil society organisation	0

The president of the civil society of Matili is a SAEMAPE agent. He cannot fulfil the critical role expected of a civil society representative as he has a clear conflict of interest. In addition, IPIS identified two Civil Society organisations. However, neither of them is active in the mining sector, has any experience in managing projects, or has ever collaborated with an international organisation. The first one is the AMOTOSKI8, which is an association of moto-taxi drivers. The second one is the COGEC (*Collectif des Gestionnaires pour la Construction moderne de Shabunda*), which acts more as political organisation. Therefore, AMOTOSKI8 and COGEC would probably not be the right type of partner to get involved in an initiative on a transparent gold supply chain.

### 3.2.6 HEALTH AND SAFETY

Minimum score: -14

Maximum score: +4

Score obtained: +1

INDICATOR	VALUE	SCORE
Use of personal protective equipment	Most miners wear ear-protection and rubber boots	+2
Accidents resulting in injuries	No accident with seriously injured miners has occurred in the past 6 months.	0
Fatal accidents	No accidents with fatalities have occurred in the past 6 months	0
Maximal pit and/or gallery depth	Pits are only 5 metres deep but up to 80 metres long	-1
Child labour: mining	No children work inside the mines	0
Child labour: non-mining	No child labour related to non-mining activities has been reported.	0
Sanitary facilities for women	There are no separate sanitary facilities for women	0



INDICATOR	VALUE	SCORE
Use of mercury and other chemicals (such as cyanide)	Mercury is not used at the mining sites	0
Open air burning of mercury	Not applicable	0

There is a Health & Safety policy in place at Matili mining sites. At Moba, the only mining site visited in 2018, the majority of the miners were wearing ear protection and rubber boots. Furthermore, tunnels have been strongly reinforced with wood beams and planks. The height of the tunnels is around 2,20 m so miners can stay upright when working. Horizontally, they are up to 80 metres long. Therefore, artisanal miners use motor-pumps to provide oxygen and evacuate the water.

Miners have confirmed that no fatal or serious accident has occurred in the last 6 months or long before that.

Finally, artisanal miners do not use mercury, and child labour has not been reported.

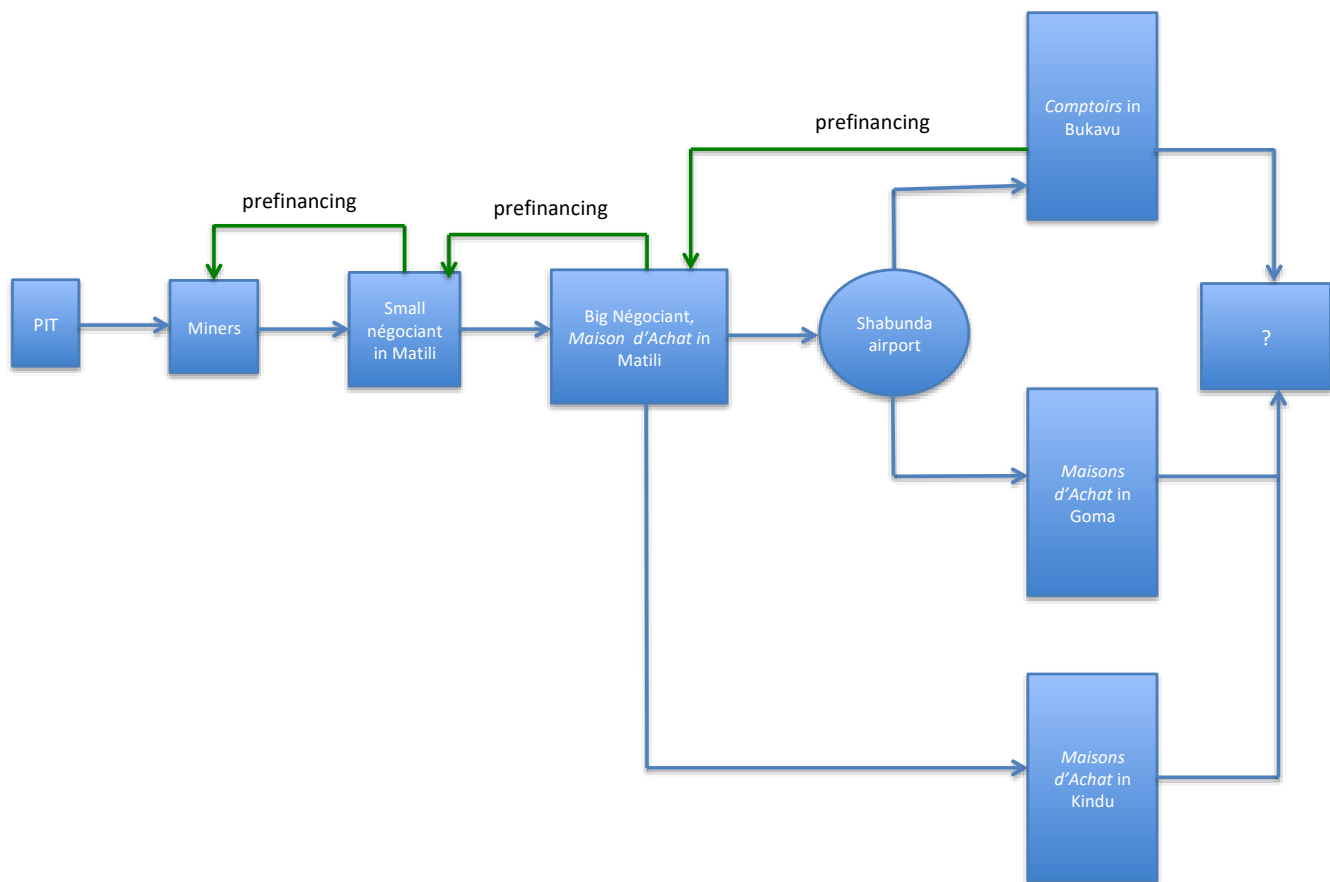
### 3.2.7 TRADE

There are roughly 12 gold mining sites that supply the Matili trading point. At first sight, the trade seems to be limited to 8 clearly identified maisons d'achats, who buy in large quantities from the 12 gold mining sites. In addition, there are also at least a dozen occasional traders based in Matili who do not have their *carte de négociant*. Finally, some of the trade is also conducted directly at the mine sites. In Moba, the largest site in the region, 9 of these 'embedded' traders are present. These traders do not have their *carte de négociant* either.



**Image 3-2. Mining site in Moba, Matili.**

**Figure 3-1. Gold Supply Chain in Matili**



### 3.3 SUMMARY OF THE ASSESSMENT: MATILI

THEME	SCORE	COMMENTS
Security	+12	No visits by non-state armed groups to mines reported since 2013.  No presence of non-state armed group has reported in the last 6 months, in a radius of 25 km.
Access	-2	Traveling from Bukavu to Matili requires air travel, and then the motorbike, so it takes more than 1 day to arrive at the trading point. Once in Matili, the first sites can be reached by motorcycle and on foot in less than two hours.
Mining Site Status	+2	Some mining sites around Matili have been validated. They are located either on a ZEA or unregistered land.  Less than 10% of the miners hold a <i>carte de creuseur</i> .

THEME	SCORE	COMMENTS
Production	+8	In Moba, there are around 500 workers who produce approximately 600 grams of gold per week. A dozen of mining sites feed Matili.
Cooperatives	+2	Most mining sites have an active cooperative, and most of them are formally registered. However, less than 10% of the workers are a member of the cooperative.
Local State Authorities	+4	There is no report of interference from state services in the artisanal mining sector. Furthermore, SAEMAPE and <i>Division des Mines</i> regularly visit mining sites.
Civil Society Organisations	-1	There is no civil society organization with experience in project management with international organization, or in the artisanal mining sector.
Health & Safety	+1	<p>No fatal or serious accidents have occurred in the past 6 months. Miners have invested in reinforcing the structures of the galleries.</p> <p>Neither child labour neither mercury use have been reported in mining site.</p>

## 4.0 SITE ASSESSMENT: MUKERA<sup>24</sup>

### 4.1 SUMMARY

Mukera is a small town located in Fizi Territory, in the southern part of the South-Kivu province. The nearest more sizeable cities are Baraka (57 km) and Fizi centre (25 km).

Mukera is still recovering from armed conflict and displaced civilians are gradually returning to their homes. This post-conflict situation, including the slow return of both the population and the local administration has to be taken into account by a gold traceability project. Therefore, introducing a traceability scheme in Mukera should be part of a more ambitious peace-building program, in which the artisanal mining sector could become an income generating activity for returnees. While the return of IDPs (Internally Displaced People) presents an opportunity for stabilization, it also poses a challenge. It will require the project to adapt quickly to population and trade growth, in particular the return of former stakeholders in the mining sector, wanting to restart their business.

Meanwhile, project managers will have to keep an eye on the security situation. While it has much improved, immediately after IPIS' visit, armed men arrived at Mukera, causing 30 families to flee the town.

Despite the current relatively low figures, nearby gold production has historically been excellent, which is an important condition for the sustainability of a traceability project. Indeed, the data collected by IPIS teams in 2018 indicate that there is only limited production and a small work force. However, this is a reflection of the current post-conflict context in which miners are only starting to return to the abandoned mining sites. Mukera offers much more potential.

A particularly positive point is the presence of a cooperative, COOCAM, which truly represents and defends artisanal miners. It should be a useful partner for identifying miners, deposits and the important stakeholders along the supply chain.

### 4.2 ASSESSMENT

#### 4.2.1 SECURITY

Minimum score : -18

Maximum score: +12

Score obtained: -9

INDICATOR	COMMENTS	SCORE
Non-state armed group visits to mine in the last 6 months	In June 2018, the mining site Asonge was pillaged by the Mai Mai Yakutumba	- 4
Non-state armed group presence in the last 6 months	The Mai-Mai Ebuela Mtetezi arrived at Mukera in September 2018.	- 3
Roadblocks by non-state armed groups on mine	There are several roadblocks on the road to Mukera.	-2

<sup>24</sup> All quantitative data collected for this present research and in previous IPIS visits are in open data and can be downloaded on IPIS website : <http://ipisresearch.be/home/conflict-mapping/maps/open-data/>

INDICATOR	COMMENTS	SCORE
access routes (road between mine and its mineral trade centre /trade hub)		
FARDC presence and/ or interference	The FARDC presence in Mukera is appreciated because it increases security.	+ 3
Banditry	Artisanal miners do not go to remote mining sites because of the threat posed by armed men.	-2
Roadblocks by FARDC on site access routes	The FARDC has set up a roadblock at the entrance of Mukera. However, the local population considers it legitimate as it ensures security and unpaid soldiers need to « survive »	-1
All forms of sexual violence	No systematic cases of sexual violence in the past 6 months have been reported	0
Other conflict and tensions	None reported	0
Violence	None reported	0

At the time of IPIS' visit, in August 2018, the World Food Program was distributing food to the people of Mukera, because fields had been ravaged by the fighting between the FARDC and the Mai-Mai Yakutumba. A new territorial expansion of the Mai-Mai Yakutumba and its allies started in December 2016 and peaked in September 2017. Between September 2017 and January 2018, Mai-Mai Yakutumba controlled a significant area of Fizi territory, north Tanganyika and south Maniema.<sup>25</sup> The heavy fighting completely emptied Mukera, and by November 2017, one month after the FARDC took back control over the town,<sup>26</sup> only 1,000 of the 13,500 inhabitants had returned to their homes.

The aftermath of this conflict still generates large population movements.<sup>27</sup> Since the beginning of 2018, the security situation is improving and people are returning from Baraka, Fizi and Uvira, reassured by the presence of an FARDC base in Mukera. Nevertheless, some of the IDP's are still hesitant because of banditry and occasional attacks. In June 2018, the mining site Asonge (around 2,5km from Mukera) was pillaged. 12 cows, some solar panels, a radio and some cash money were stolen by members of the Mai Mai Yakutumba. In addition, on 19 September 2018, a new Mai-Mai armed group led by rebel leader Ebuela Mtetezi arrived in Mukera, causing some 30 families to flee.<sup>28</sup> It is unclear if these Mai-Mai intend to stay, but the FARDC has already announced that it will force the armed group to withdraw from the town.<sup>29</sup> Hence, more violence can be expected.

<sup>25</sup> UN Group of experts, mid-term review, S-2018-531, para. 51.

<sup>26</sup> Radio Okapi, Uvira: Les FARDC contrôlent le village de Mukera après des affrontements avec la milice Yakutumba, 11 Octobre 2017, <https://www.radiookapi.net/2017/10/11/actualite/securite/uvira-les-fardc-controlent-le-village-mukera-apres-des-affrontements>

<sup>27</sup> OCHA, RD Congo, Maniema et Sud-Kivu, Notes d'informations humanitaires du 05.12.2017, December 2017. Et également ACP « Congo: Sud Kivu: Déplacement massif de la population du village de Mukera vers d'autres agglomérations », 12 Novembre 2017 <http://acpcongo.com/acp/sud-kivu-deplacement-massif-de-population-village-mukera-vers-dautres-agglomerations/>

<sup>28</sup> La Prunelle RDC Info: « Fizi: Panique cet après midi de mercredi à Mukera », 19 septembre 2018, <https://www.laprunellerdc.info/2018/09/19/fizi-panique-cet-apres-midi-de-mercredi-a-mukera/>

<sup>29</sup> La Prunelle RDC Info: Fizi: Panique cet après midi de mercredi à Mukera, 19 septembre 2018, <https://www.laprunellerdc.info/2018/09/19/fizi-panique-cet-apres-midi-de-mercredi-a-mukera/>

Roadblocks are a widespread phenomenon in Fizi territory and have therefore been denounced by the civil society.<sup>30</sup> At the entrance to Mukera, there are two roadblocks. The first is manned by the FARDC, which taxes 500 francs. Given the recent instability at Mukera, it is possible that this checkpoint reinforces the feeling of security among the local population. Despite its illegality civilians consider it a lesser evil, recognizing that these soldiers need to "survive". The second roadblock was set up by the Mutambala chiefdom, which demands a payment of 200 francs, which the population also considers legitimate.

#### 4.2.2 ACCESSIBILITY

Minimum score : -12

Maximum score: + 8

Score obtained: +5

It is possible to reach Mukera from Bukavu in one long day by car. The best itinerary would be Bukavu-Kamanyola (63 km), Kamanyola-Uvira (120 km), Uvira-Baraka (96 km), Baraka-Fizi centre (32 km), and finally Mukera. Alternatively, Uvira is reachable via Bujumbura in Burundi. The best routes go through Uvira. Without a private vehicle, the buyer must take the bus from Bukavu to Uvira, where he takes a second bus to Mukera. Alternatively, he can rent a motorcycle in Uvira. For bus travel, two days are needed. In case the visit requires an authorization by the local authorities, this has to be obtained at Fizi centre (at a distance of 26 km but still 2 hours by car).

The mining sites are very close to Mukera. It takes about 45 minutes to 1 hour on foot to get there, both in the dry and rainy season.

INDICATOR	COMMENTS	SCORE
Minimum travel time from Bukavu to the mine's trading hub	It takes one-day to reach Mukera by car.	0
Means of transport from Bukavu to hub in dry season	By car. It is also possible to reach Mukera with public transport, through Uvira.	+2
Means of transport from Bukavu to hub in rainy season	Same as above	0
Minimum travel time from trading hub to mine	The first mines can be reached in 45 minutes from Mukera.	+2
Means of transport from trading hub to mine (dry season)	Mining sites are reachable by foot or by motorbike	0
Means of transport from Bukavu to hub in rainy season	Same as above	0
Telephone network coverage	The mining sites of Mukera have relatively good network coverage.	+1

<sup>30</sup> Congo Actuel, Sud-Kivu: Au moins 45 barrières permanentes et payantes sur les routes de Fizi et Uvira, 10 Juillet 2018, <http://www.congoactuel.com/sud-kivu-au-moins-45-barrieres-permanentes-et-payantes-sur-les-routes-de-fizi-et-uvira-rlpc/>



### 4.2.3 MINING SITE STATUS

Minimum score : -5

Maximum score: +5

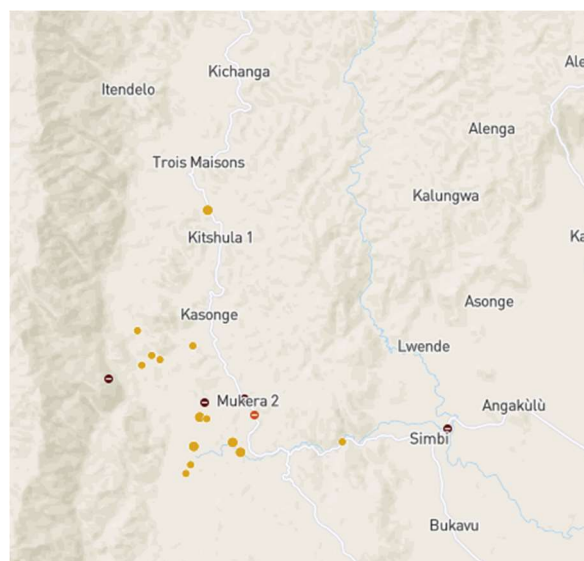
Score obtained: -1

INDICATOR	VALUE	SCORE
Site qualification	Mining sites around Mukera centre have not been validated	0
Site legal status	The artisanal gold mining sites are not within a private mining concession.	0
Legal status of miners	Less than 10% of the miners hold a <i>carte de creuseur</i> .	-1

According to the Bonn International Centre for Conversion, the South-African Transafrika Company holds a concession near Mukera. The company's Senior Manager is Thomas Nziratimana, the former deputy governor of South Kivu under the RCD-Goma<sup>31</sup>. Transafrika would have bought several concessions around Mukera between 2008 and 2013. However, due to insecurity they suspended their operations.<sup>32</sup> IPIS has not been able to corroborate this information. The DRC's official CAMI (Cadastre Minier) map, for example, does not show these concessions.

In fact, the CAMI maps shows that the area around Mukera is free of mining concessions. There is neither a ZEA (Zone d'Exploitation Minière) nor a mining industry or research permit. Therefore, organising a responsible supply chain initiative in Mukera could be an opportunity to formalize the presence of artisanal miners.

Qualification visits to Mukera happened in 2014 but none of the sites was validated due to the permanent presence of FARDC units, which were illegally levying taxes on minerals and searching gold for themselves. In 2018, such interference has stopped. However, given the fragile security situation, it is unlikely that Mukera will receive another validation team anytime soon.



**Image 4-1. CAMI map showing the lack of mining concessions around Mukera.**

### 4.2.4 SCOPE OF MINE PRODUCTION

Minimum score: -8

Maximum score: +8

Score obtained: -4

<sup>31</sup> Global Witness, *Faced with a gun, what can you do?* London July 2009, p. 21

<sup>32</sup> Bonn International Center for Conversion, « A la recherche de l'or propre: l'exploitation de l'or artisanale au Pérou et au Congo », *Brief n°46*, date unknown, p. 47



INDICATOR	VALUE	SCORE
Number of workers	On average, there are 64 workers per mining site.	-3
Estimated average gold production per week	The weekly average gold production is estimated at 28,4 grams for the 7 mining sites visited in August 2018.	0
Supported businesses at mining site (restaurants, shops)	There are no shops or restaurants at the mining sites since Mukera is very close.	0
Level of mechanisation	Artisanal miners do not use any machinery to extract gold.	-1

Gold mines around Mukera are alluvial (see chapter on health and safety for more details). Alluvial mining produces purer gold and does not require the use of mercury. Production data collected in 2018 at mining sites near Mukera show the discrepancy between the current gold production, which is still recovering, and the suspected potential of the area. The production figures collected in 2018 are well below those estimated by IPIS in 2013. In 2018, the average weekly production was estimated at only 28.4 grams and ranged from 4 to 100 grams depending on the mining site. In 2013, the production ranged from 25 to 320 grams per week, averaging 113 grams. Older data from the Kapanga site also shows that the production potential is present. In 2009, IPIS researchers counted up to 550 diggers at Kapanga, and in August 2018, only 40 remained.

In conclusion, with respect to the potential of Mukera's production, it is better to consider Mukera as an important centre for gold production in the Fizi territory, which (together with Shabunda) is recognized as one of the most auriferous regions in Congo. The data collected in 2018 paint a distorted picture because of the post-conflict situation and the slow return of the civilian population.



**Image 4-2. Mining site, Kapanga, Mukera.**

#### 4.2.5 LOCAL STAKEHOLDERS: CAPACITIES AND BUY-IN OR INTERFERENCE FOR A POTENTIAL PROJECT IMPLEMENTATION

##### Cooperatives

Minimum score: -2

Maximum score: +7

Score obtained: +1

INDICATOR	COMMENTS	SCORE
Presence of one or more cooperatives on site	Most mining sites have an active cooperative.	+2
Cooperative is formally registered, or has obtained an 'agrément favorable' from the provincial government	All the cooperatives are formally registered, or have obtained their « agrément favorable ».	+1
Percentage of miners working on site that are member of cooperative	Less than 10 % of the workers are a member of a cooperative.	-1
Percentage of female members of cooperative	There were no female members in the cooperatives encountered.	-1
Women in management positions in cooperative	None	0
Cooperative members have followed training on responsible sourcing	To our knowledge, none of the encountered cooperative's members have ever followed a training on responsible sourcing.	0

All mining sites are managed by approved cooperatives. The seven sites visited in August 2018 are controlled by the COOCAM (*Coopérative des creuseurs artisanaux de Mukera*). While in other trading points the perception of cooperatives was highly negative, they are well-respected in Mukera. COOCAM is perceived as a cooperative that acts in the interest of its members and of artisanal miners in general. Indeed, artisanal miners explained that COOCAM had defended them and protected them against illegal taxation. Furthermore, COOCAM membership fees are only USD 1 per member per month, which is affordable for even the poorest workers.<sup>33</sup>

Its organisational structure demonstrates an intention to promote transparency. Meetings are regular; minutes are written and archived; administrative and financial documents are kept up-to-date and are also archived; and elections are held periodically. Nonetheless, the number of members remains low due to the slow recovery of the artisanal mining sector in the post-conflict context. Implementing a responsible sourcing initiative in Mukera may have to be preceded by sensitization activities, promoting cooperative membership to artisanal miners in order to formalize the sector.

##### Local State Authorities

Minimum score: -17

Maximum score: +9

Score obtained: -5

<sup>33</sup> It does, however, not allow for any investment in its operations or activities.

INDICATOR	COMMENTS	SCORE
Frequency of SAEMAPE and/or Mining Division visits	Most of the mining sites are visited on a daily or weekly basis by SAEMAPE and the Mining Division.	+3
SAEMAPE and/or Mining Division provide regular training and assistance to miners	There is no evidence that mining agencies have provided any training or assistance to miners.	0
Record keeping by SAEMAPE and/or Mining Division	It does not seem that SAEMAPE or the Mining Division keep records.	- 1
SAEMAPE and/or Mining Division staff trained on responsible sourcing	No one in SAEMAPE or the Mining division has ever been trained in responsible sourcing.	0
Presence of Mining Police	No presence of mining police has been reported on mining sites.	0
Illegal taxation or harassment by state services	Artisanal miners have reported harassment by SAEMAPE, the Mining Division, the DGI, APJ's, the Art & Culture Department, the Energy Department and the Anti-fraud brigade.	-7
Pit ownership by state services	No. It has not been reported that any government officials own gold pits.	0

The state authorities have recently returned to Mukera. Unfortunately, officials are rarely, if ever, paid. As a consequence, illegal taxation and/or harassment of artisanal miners have become a popular strategy to generate an income. In addition to SAMAPE and the Mining Division, miners claim to be harassed by officials from the DGI (Direction Générale des Impôts or General Directorate of Taxes), the anti-fraud brigade, the Department of Culture and Art, the Department of Energy, and the judicial police. Not all of the mining sites around Mukera are equally affected by these harassments.

Concerning the FARDC, they have a base in Mukera centre. Their presence is appreciated by the population, in particular by the returning IDP's. Miners working on the sites near Mukera, credit the FARDC soldiers for ending the pillaging and providing stability and . FARDC members have been observed while selling charcoal, which is officially forbidden. However, in the context of Mukera, where the population lacks basic provisions, this 'Makala' (charcoal) trade is rather welcome until other traders fulfill the demand. In fact, no incidents have been reported regarding the FARDC.

### Civil Society Organisations

Minimum score: -1

Maximum score: +6

Score obtained: -1

INDICATOR	COMMENTS	SCORE
Civil society operating in proximity of mine	There is a civil society representative, but there is no local civil society organisation operating near the mining sites.	0
Civil society is active at the mine	No project has been implemented by a civil society organisation at mining sites in the least 3 years.	0

INDICATOR	COMMENTS	SCORE
International experience of civil society	There is no CSO that has worked with, or was funded by, an international organisation	0
Percentage of female members of civil society organisations	There is no civil society organisation	-1
Women in management positions in civil society	There is no civil society organisation	0

Interactions with the local population at all mining centres show that they insist that the gold extracted comes from *their* land. Therefore, they believe they should benefit from it and that it should be used for the development of their region. Congolese civil society organisations are becoming more vocal on the fact that natural resources benefit people from Western countries but are hardly helping local populations. Including civil society organisations in a responsible supply chain project, guarantees a level of ownership and local embeddedness. Having a potentially critical voice on board of the project, also provides early warning opportunities on interference or any other problems.

Furthermore, the involvement of civil society organisations could make the project more sustainable as the supply chains of Congolese minerals will be controlled by Congolese NGOs. However, before civil society organisations can be included, extensive training in due diligence and mineral certification will be required.

**Specific to Mukera:** to our knowledge, there is no civil society organisation based in Mukera. One particular man, Albert Mikaba, is recognized by the local population as the mouthpiece of the civil society. His advocacy efforts focus on denouncing human rights violations but he has no specific experience in the mining sector or project management and he has never received funding from an international organization. Organizations capable of managing a project and rallying local support, can be found in Uvira or Baraka. If needed, IPIS can suggest CSO's based in Bukavu, who are active in the artisanal mining sector and could be trustworthy partners.



**Image 4-3. Mining site, Nadele, Mukera.**

#### 4.2.6 HEALTH AND SAFETY

Minimum score : -14

Maximum score: +4

Score obtained: -3

INDICATOR	VALUE	SCORE
Use of personal protective equipment	Most miners only wear rubber boots	0
Accidents resulting in injuries	No accident with seriously injured miners has occurred in the past 6 months.	0
Fatal accidents	No accidents with fatalities has occurred in the past 6 months	0
Maximal pit and/or gallery depth	Not applicable.	0
Child labour: mining	At every mining site children are washing the residues.	-3
Child labour: non-mining	The only form of child labour is mentioned above.	0
Sanitary facilities for women	There are no separate sanitary facilities for women	0
Use of mercury and other chemicals (such as cyanide)	Mercury is not used at the mining sites	0

The mining sites supplying Mukera are mostly alluvial mining sites. This means that miners collect sand in or along the bed of a river or creek, and process it to extract gold dust or nuggets/flakes. These placer deposits – as they are also called - eroded from their primary ore source and were deposited through hydrological systems in riverbeds.<sup>34</sup> Earth and sand are then panned and washed with the water of the river on sluices. This activity is low-risk, and explains why artisanal miners only have rubber boots as protection.

Concerning child labour, it is widespread around Mukera. At all the sites visited, children were washing residues. However, this might be less problematic than it seems. The IPIS team visited Mukera during the school holidays, when children take advantage of their free time to work at the mines. Some of them even use the income to finance their school fees during the rest of the year. Furthermore, and specific to the post-conflict context in Mukera, it is likely that recently returned households are in urgent need of money to invest in rebuilding their house or farms. In addition, the washing of residues in Mukera does not involve mercury, which greatly reduces the risks for children's health.

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<sup>34</sup> IPIS, Artisanal Gold Monitoring Pilot: Monitoring report, Artisanal Gold Monitoring Pilot in Mambasa, Ituri, Antwerp, 2017, p. 15



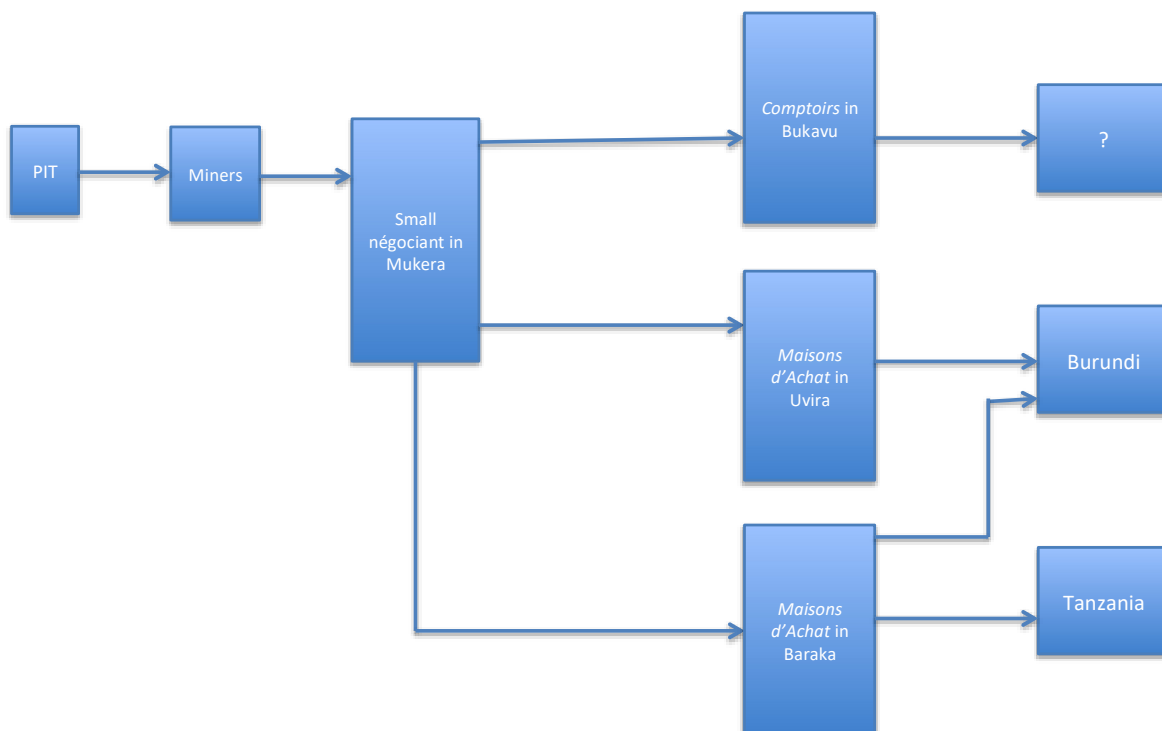


The latest Mosi-oa-Tunya declaration signed in September 2018 in Livingstone, Zambia, recognizes that child labour is a reality in many countries. The OECD guidelines stipulate that child labour should be identified and reported as a risk to a responsible the supply chain. However, mining sites with child workers should not immediately be excluded. Instead, suppliers (or a responsible gold sourcing initiative) have to think about a long-term strategy to get them back to school. Temporary/transitional measures can be considered as well. For example, children can be sent to school in the morning, while being allowed to work at the mining site, under supervision, in the afternoon.

**Image 4-4. Mining site, Amérique, Mukera.**

#### 4.2.7 TRADE

**Figure 4-1. Gold Supply Chain in Mukera**





There are 49 gold traders in Mukera but they no longer frequent the mining sites because of the insecurity. The fact that all gold traders are concentrated in Mukera provides an opportunity to integrate them into a traceability scheme. For the moment, gold traded at Mukera is smuggled out of the DRC via the road between Uvira and Bujumbura, or by boat to Tanzania via Baraka. This poses an important challenge. A further complication to traceability is the widespread use of gold as a currency. A pair of trousers, for example, is exchanged for one gram of gold. Finally, traders often engage in the pre-financing of artisanal miners. They provide equipment and food to the miners, in exchange for the exclusive right to buy their production.

#### 4.3 SUMMARY OF THE ASSESSMENT: MUKERA

THEME	SCORE	COMMENTS
Security	- 9	In June 2018, the mining site Asonge was pillaged by the Mai Mai Yakutumba. Furthermore, the Mai-Mai Ebuela Mtetezi arrived at Mukera in September 2018. Mukera is currently in a post-conflict phase, where former IDPs are returning in their home.
Access	+5	It takes one day to reach Mukera by car. It is also possible to reach Mukera in public transport via Uvira. Once in Mukera, first mines can be reached in 45 minutes.
Mining Site Status	-1	Artisanal gold mining sites are not within a registered land, neither as a ZEA nor a private concession. Besides, mining sites have not been validated. Finally, Less than 10% of the miners hold a <i>carte de creuseur</i> .
Production	-4	On average, there are 64 workers per mining site. The weekly average gold production is estimated at 28,4 grams for the 7 mining sites visited in August 2018.
Cooperatives	+1	Most mining sites have an active cooperative. However, only very few creuseurs are members of it. The COOCAM is the only cooperative encountered for which artisanal miners have a positive opinion.
Local State Authorities	- 5	Most of the mining sites are visited on daily basis. However, harassment and illegal taxation by 7 state agencies have been reported.
Civil Society Organisations	-1	No civil society organization has been identified in Mukera.
Health & Safety	-3	No fatal or serious accidents have occurred in the past 6 months. However, children under 15 have been observed washing sand in the 7 mining sites visited.

## 5.0 SITE ASSESSMENT: NYAWARONGA<sup>35</sup>

### 5.1 SUMMARY

Implementing a traceability project in Nyawaronga, and more generally in the highlands of Kalehe, will have to begin with an assessment of the security situation, which has been very volatile in recent years. The presence of armed groups, previously the FDLR and more recently the Nyatura, presents the main obstacle.

Furthermore, the competition between two cooperatives has sometimes turned into armed violence. A responsible sourcing programme will have to resolve this issue. At the same time, the strong local embeddedness of these cooperatives could facilitate the establishment of a closed supply chain. Thanks to their presence on the ground, they can assist with the identification of artisanal miners and traders. In addition, because of their monopoly on gold sales, they are key partners for developing a gold traceability system. Finally, artisanal gold production seems to be under the average in comparison with other mining sites visited in South Kivu.

### 5.2 ASSESSMENT

#### 5.2.1 SECURITY

Minimum score: -12

Maximum score: +8

Score obtained: 0

INDICATOR	VALUE	SCORE
Non-state armed group visits to mine in the last 6 months	In August 2018, armed men were seen in Shanje and Lumbishi. They were possibly from the Nyatura armed group	-4
Non-state armed group presence in the last 6 months	Same as above	-3
Roadblocks by non-state armed groups on mine access routes (road between mine and its mineral trade centre /trade hub)	No roadblock has been observed between the mining site and its mineral trade centre.	0
FARDC presence and/ or interference	No interference from the FARDC has been reported.	+3
Banditry	Banditry in Nyawaronga is moderate	+2
Roadblocks by FARDC on site access routes	The FARDC has not set up roadblocks.	0
All forms of sexual violence	No systematic cases of sexual violence in the past 6 months have been reported	0

<sup>35</sup> All quantitative data collected for this present research and in previous IPIS visits are in open data and can be downloaded on IPIS website : <http://ipisresearch.be/home/conflict-mapping/maps/open-data/>

INDICATOR	VALUE	SCORE
Other conflict and tensions	Tensions between the cooperatives COMINYA and COMITSHA have escalated and as a result 6 FARDC soldiers have been deployed at Nyawaronga to ensure stability.	- 2
Violence	These tensions have not resulted in violence in the last 6 months.	0

Of all mineral trading points studied for the CBRMT project, Nyawaronga knows one of the most worrying security situation. In August 2018, around 20 to 30 armed men, probably from the Mai Mai Nyatura armed group, were seen around Nyawaronga. It is likely that they were coming from Shanje and Lumbishi and they were possibly headed for Uvira. On their way, they passed by several mining sites, where they stole food and gold, while also forcing the local population to carry their loot for them.

Further insecurity is caused by two cooperatives operating in Nyawaronga : the COMINYA and COMITSHA. In July 2016, IPIS had already reported tensions between them. These tensions resulted in an armed confrontation, which led to the FARDC maintaining a small garrison of six men to keep the peace. Despite their presence, an armed group, suspected to be an FDLR unit, attacked the COMINYA. Initially, it was the competition over gold that caused the rivalry but later it took on an ethnic dimension. Indeed, COMINYA members are primarily from the Havu community and they accuse the Hutu-dominated COMITSHA to pay the FDLR to attack them. The FDLR members are also primarily Hutus speaking the same Kinyarwanda language.

In recent years, the Nyatura armed group, which was originally based in North Kivu, has extended its control to the Kalehe highlands and their mining sites.<sup>36</sup>

The Nyatura are also a Hutu (Rwandophone) armed group and its links with the FDLR have been well-documented. For example, the UN Group of Experts noted that the FDLR has trained, equipped and armed Nyatura units.<sup>37</sup>

Although some Nyatura have demobilized, they have not been disarmed. They continue to attack the Havu people, thereby fuelling resentment against Hutus and Rwandophones in general. In Shanje, reintegration centers have been opened but local sources report that these have had little success because demobilised soldiers are not “real Nyatura” but just unemployed young people.

### 5.2.2 ACCESSIBILITY

Minimum score: -12

Maximum score: +8

Score obtained: 0

INDICATOR	VALUE	SCORE
Minimum travel time from Bukavu to the mine's trading hub	Traveling to Nyawaronga from Bukavu takes less than 6 hours.	+2
Means of transport from Bukavu to hub in dry season	Cars can only drive until Kalehe. From there, onwards travel requires a combination of motorbike and walking.	-2

<sup>36</sup> CENADEP, *La fraude et la contrebande minière dans le territoire de Kalehe* (Sud-Kivu), IPIS, April 2018.

<sup>37</sup> UN Group of Experts, mid-term report, S/2018/531, para.15

INDICATOR	VALUE	SCORE
Means of transport from Bukavu to hub in rainy season	Same as above	0
Minimum travel time from trading hub to mine	Most of the mines are within 3 hours walking distance.	+2
Means of transport from trading hub to mine (dry season)	Mining sites around Nyawaronga and are only accessible on foot.	-1
Means of transport from trading hub to min in rainy season	Same as above	0
Telephone network coverage	Telephone network coverage is relatively poor.	-1

Nyawaronga is relatively close to Bukavu. It is possible to get as far as Kalehe by car (2 to 3 hours). The next stretch requires travel by motorcycle for an hour and 30 minutes. Finally, an additional 45 minutes of walking are required to reach Nyawaronga. First time visitors need to stop at Kalehe to go through some administrative procedures with the local authorities. Given that buildings in Nyawaronga are limited to a small number of huts, a pilot project could consider locating its offices in Shanje, where there are some more solid structures from the colonial period.



**Image 5-1. Mining site, Mbururu, Kalehe.**



### 5.2.3 MINING SITE STATUS

Minimum score: -5

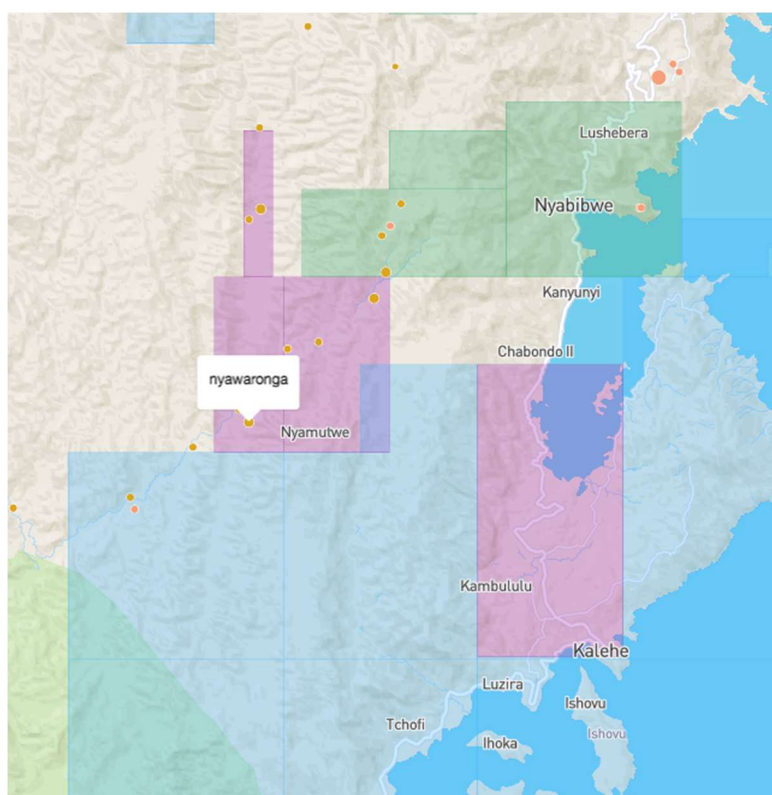
Maximum score: +5

Score obtained: +1

INDICATOR	VALUE	SCORE
Site qualification	Mining sites around Nyawaronga have not been validated	0
Site legal status	Many of the mining sites are located in 2 ZEAs	+2
Legal status of miners	Less than 10% of the miners hold a <i>carte de creuseurs</i>	-1

The presence of 2 ZEA's (*Zone d'Exploitation Artisanale*) is an advantage for the implementation of a traceability project. ZEA-005 spans over 36 *carrés miniers*, which is a relatively large surface compared to other areas dedicated to artisanal mining. IPIS has identified 6 active mining sites inside this zone. The second zone, ZEA-530, is smaller. It spans over 5 *carrés miniers*, in which 2 gold sites were identified. Some other relatively large mining sites are located on Sakima concessions, for example Mbururu, Binogo and Kisima I. Sakima confirmed to IPIS that it tolerates the presence of the artisanal miners as long as they respect the law and especially the mining code. Finally, there is a private concession nearby, owned by Kalika Mining. There are also some artisanal mining sites within this concession, such as Kairenge I, where more than 150 artisanal miners work. These sites have been established there illegally.

In conclusion, the official status of most of the mining sites is a strength of Nyawaronga. Its ZEA's are active mining areas, whereas other ZEA's are often ignored by the miners. Furthermore, the relation with SAKIMA is good as it tolerates artisanal miners on its concessions. That being said, the status of these sites remains a bit uncertain in light of the presence of armed groups in the region, as explained above.



**Image 5-2. Map showing the ZEAs in purple around Nyawaronga.**

#### 5.2.4 SCOPE OF MINE PRODUCTION

Minimum score: -8

Maximum score: +8

Score obtained: +2

INDICATOR	VALUE	SCORE
Number of workers	In 2018, number of workers ranges from 60 to 250 in 3 mining sites. However, this might be an overestimation because in 2015, there were on average 44 miners, and only 35 in 2013.	+3
Estimated average gold production per week	The estimated average gold production per week is between 25 and 75 grams.	0
Supported businesses at mining site (restaurants, shops)	One mining site has some shops but others do not have any small businesses.	-2
Level of mechanisation	Artisanal miners have some equipment such a motor pumps.	+1

Compared to the other mining sites of South Kivu, it seems that production in Nyawaronga is rather limited. According to interviews conducted at sites visited in August 2018, weekly production varies between 25 and 75 grams of gold, with an average of 43 grams. This is relatively low for mining sites with a workforce of between 60 and 250 artisanal miners. Moreover, the artisanal miners are, compared to other mining sites, relatively well-equipped. Indeed, they have motor pumps to evacuate the water (in Kahirenge and Mbururu in particular) and oxygen pumps that allow them to go deeper into tunnels (in Kahirenge). In Kasese, they have crushers and grinders to process the rock. Finally, they use mercury to separate the gold from the rock.

Probably, their level of production was lower than expected because our assessment took place in the dry season. At eluvial mining sites, such as Kasese, artisanal miners prefer to work in the rainy season when they do not need to fetch water from the river to wash rocks. Instead, they use puddles from the rain. That being said, weekly production estimates in Nyawaronga were also low in 2013 (12,5 grams/week for an average of 44 miners per mine) and in 2015 (3,6 grams/ week for an average of 35 miners per mine).

#### 5.2.5 LOCAL STAKEHOLDERS: CAPACITIES AND BUY-IN OR INTERFERENCE FOR A POTENTIAL PROJECT IMPLEMENTATION

##### Cooperatives

Minimum score: -2

Maximum score: +7

Score obtained: +3



INDICATOR	VALUE	SCORE
Presence of one or more cooperatives on site	Most mining sites have an active cooperative.	+2
Cooperative is formally registered, or has obtained an 'agrément favorable' from the provincial government	All the cooperatives are formally registered, or have obtained their « agrément favorable ».	+1
Percentage of miners working on site that are member of cooperative	Less than 10 % of the workers are a member of a cooperative.	-1
Percentage of female members of cooperative	There were no female members in the cooperatives encountered.	0
Women in management positions in cooperative	None	0
Cooperative members have followed training on responsible sourcing	The cooperatives COMYNIA and COMITSHA have been following since April 2018 a training in cooperatives management including sessions on due diligence and responsible sourcing. This training is given by the Bukavu-based NGO CEGEMI.	+1

The Congolese Mining Code requires that artisanal miners organize themselves into cooperatives. As a consequence, their presence is essential for any initiative intending to organise a transparent and responsible supply chain. Therefore, the site assessment and ranking methodology developed by IPIS gives a positive score when a cooperative is present. Furthermore, it seems fundamental to give the cooperative responsibilities in the framework of the project management. After all, the close involvement of a legitimate local organisation is the best guarantee for the long-term sustainability of a responsible gold trade

That being said, the results of IPIS' field missions in Shabunda (Shabunda centre, Mapimo, Katchungu and Matili) and Walungu (Kaziba), have shown that artisanal miners distrust cooperatives and criticize their legitimacy. Part of the issue stems from the word "cooperative" itself. It suggests some measure of solidarity that the miner expects to benefit from as a member. These expectations can include the payment of his *carte de creuseur*, a health insurance, the provision of safety equipment or a contribution to the school fees of miners' kids. However, the system of cooperatives in South Kivu, and generally in eastern Congo, functions more like a (small) private company where the cooperative's board acts like an employer, and the miner as an employee. Furthermore, Instead of getting financial benefits, the miner has to pay for the right to work, making his own earning from the gold he finds. As a result, what they believe should be an organisation representing them and defending their interest, is perceived as an opaque institution led by unknown managers who exploit them.

More specific to Nyawaronga, we have encountered 2 active cooperatives: COMYNIA and COMITSHA. In fact, it seems that almost all mining sites in the Kalehe highlands are covered by cooperatives. In July 2016, COMYNIA claimed that about 100 miners were members. COMITSHA said to have about 70. However, security incidents during the last two years have reduced their numbers. Many miners left the cooperatives and settled in other territories or provinces. Thus, in July 2018, less than 10% of the diggers said they were affiliated to a cooperative.

Despite the presence of leaders of the cooperatives on the ground and despite the fact that they are natives from the region, they are still distrusted by the local population. Similar to perceptions

elsewhere, they are accused of not contributing to the development of the region. COMYNIA and COMITSHA are not affiliated to any customary chief, such as chefferie. However, indirectly, the two cooperatives have gained some legitimacy from the ethnic tensions, in which COMYNIA would represent the Havu, and the COMITSHA the Hutu. As the tensions have limited movements of miners, it has *de facto* increased cooperatives control on them. A Hutu miner or *négociant* will always remain on mining sites managed by the COMISHA, and a Havu on sites of the COMYNIA. Both of cooperatives have a strong local anchorage, with representatives present at the mining sites to keep control on the production, even though it is inevitable that miners manage to hide some gold and sell it to someone else. Furthermore, as explained in the, rivalry for gold between COMYNIA and COMITSHA has taken an ethnic dimension, which has actually reinforced control of the cooperatives on the miners.

These tensions mentioned above and in the security chapter have turned into violence, have already been observed in 2016 by IPIS researchers. A project could be an opportunity to reconcile the two cooperatives and merge their common interests, nevertheless this animosity remains an important challenge to overcome for implementers of a responsible sourcing programme.

### Local State Authorities

Minimum score: -17

Maximum score: +9

Score obtained: -4

INDICATOR	VALUE	SCORE
Frequency of SAEMAPE and/or Mining Division visits	Most of the mining sites are rarely visited, at most once a month.	-3
SAEMAPE and/or Mining Division provide regular training and assistance to miners	There is no evidence that mining agencies have provided any training or assistance to the miners.	0
Record keeping by SAEMAPE and/or Mining Division	The Mining Division keeps records of the <i>cartes de creuseurs</i> and <i>cartes de négociants</i> .	+1
SAEMAPE and/or Mining Division staff trained on responsible sourcing	SAEMAPE has been trained in responsible sourcing by the Congolese NGO COSOC, based in Bukavu.	+1
Presence of Mining Police	No presence of Mining Police has been reported.	0
Illegal taxation or harassment by state services	Artisanal miners have reported harassment by 3 State agencies: SAEMAPE, the Mining Division, and the Mining Police.	-3 (-1 per agency)
Pit ownership by state services	Pit ownership by state services has not been reported	0

Due to the large distance, SAEMAPE and the Division des Mines only visit the mining sites once a month or less. Even if no illegal taxation has been reported, the miners claim that they have been the victim of frequent harassment by SAEMAPE, the Division des Mines and the Mining Police. They specifically refer to payments demanded by these services for transport, telephone units or meals. They also report that they are frequently 'fined' for working without a *carte de creuseur*.

In March 2017, SAEMAPE and the Division des Mines were trained on responsible mineral trade by COSOC and LASADO.

## Civil Society Organisations

Minimum score: -1

Maximum score: +6

Score obtained: -1

INDICATOR	VALUE	SCORE
Civil society operating in proximity of mine	There is a civil society representative, but there is no local civil society organisation operating near the mining sites.	0
Civil society is active at the mine	No project has been implemented by a civil society organisation at mining sites in the least 3 years.	0
International experience of civil society	There is no CSO that has worked with, or was funded by, an international organisation	0
Percentage of female members of civil society organisations	There is no civil society organisation	-1
Women in management positions in civil society	There is no civil society organisation	0

Interactions with the local population at all mining centres show that they insist that the gold extracted comes from *their* land. Therefore, they believe they should benefit from it and that it should be used for the development of their region. Congolese civil society organisations are becoming more vocal about the fact that natural resources benefit people from Western countries, but are hardly helping local populations. Including civil society organisations in a responsible supply chain project, guarantees a level of ownership and local embeddedness. Having a potentially critical voice on board of the project, also provides an opportunity for early warning on interference or any other problems.

Furthermore, the involvement of civil society organisations could make the project more sustainable as supply chains of Congolese minerals will be controlled by Congolese NGOs. However, before civil society organisations can be included, extensive training in due diligence and mineral certification will be required.

**Specific to Nyawaronga**, only one civil society organisation has been identified. UBUFASHAJE, which means “solidarity”, is an association of around a dozen women helping each other in their agricultural work. This association is probably not a suitable partner for a responsible gold sourcing project as it has no experience in the artisanal mining sector or in project management. It also seems to have never collaborated with international organisations.

Furthermore, there are civil society representatives in Shanje and Nyawaronga, representing organizations based in Bukavu. These representatives are currently focused on facilitating a dialogue between the Nyatura, the army and the police. They are also involved in an early warning system on armed group incursions in the villages of Kalehe. Their work as a mediator remains discreet and it is therefore difficult to assess their effectiveness and involvement. Should it be considered to include them as partners, they will require significant training in project management and responsible mineral trade. To our knowledge, they have never received funding from international organizations or collaborated with a donor on a project related to artisanal mining. IPIS has good contacts among civil society organisations based in Bukavu. If needed, these could be shared.





**Image 5-3. Mining site, Kairenge II, Kahele.**

## 5.2.6 HEALTH AND SAFETY

Minimum score: -14

Maximum score: +4

Score obtained: -3

INDICATOR	VALUE	SCORE
Use of personal protective equipment	Most miners wear rubber boots. They also use torches, light spots and motor pumps and pumps for oxygen	+2
Accidents resulting in injuries	No accident with seriously injured miners has occurred in the past 6 months.	0
Fatal accidents	No accidents with fatalities has occurred in the past 6 months	0
Maximal pit and/or gallery depth	Not applicable	0
Child labour: mining	Children under 15 have been reported washing sand at Mbururu/Kishanga and Kasese	-3
Child labour: non-mining	None.	0

INDICATOR	VALUE	SCORE
Sanitary facilities for women	There are no separate sanitary facilities for women	0
Use of mercury and other chemicals (such as cyanide)	Mercury is used at Kasese	-2
Open air burning of mercury	Mercury is reused.	0

Positively, among all sites assessed, eluvial sites in the Kalehe region are the only ones where wooden reinforcement structures were used. In addition, miners were equipped with flashlights and spotlights. Motor pumps and oxygen pumps further improve the safety at the mine site.

Negatively, however, is the use of mercury at less than 100 metres from the houses at Kasese. Regarding child labour, some children younger than 15 years have been observed in Kasese. However, this might be less problematic than it seems. The IPIS team visited Kasese during the school holidays, when children take advantage of their free time to work in the mines. Some of them even use the income to finance their school fees during the rest of the year.

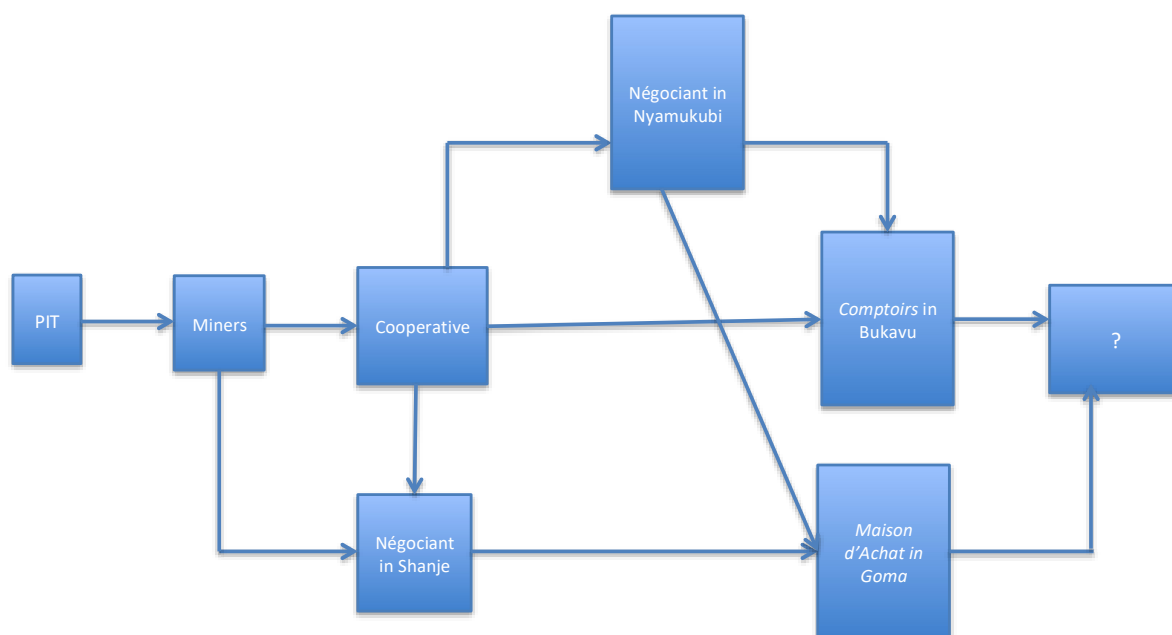
The latest Mosi-oa-Tunya declaration, signed in September 2018, states that child labour in the mining sector should be avoided but it does not strictly prohibit it. It recognizes that exceptions could be allowed. The OECD shares the same opinion and recommends stakeholders to take measures to manage and decrease child labour. It suggests, for example, that for a certain period children can be allowed to work on a mining site in the afternoon, if they went to school in the morning.

### 5.2.7 TRADE

Cooperatives control most of the supply chain because they own the mining sites and because they have a monopoly on the gold trade. In Nyawaronga itself, for example, the head of the cooperative is the only gold trader. He is also the only person who has a *carte de négociant*. Some gold is being traded outside of this main circuit, but this remains marginal. The cooperative management sells its gold at different trading points. The gold of Kahirenge and Kasese, for example, is traded in Nyamukubi and Shanje. According to SAEMAPE, in Shanje, there are only 13 buying houses for gold and 6 for cassiterite.

In the context of a traceability project, such a concentration of the gold trade, although criticized by miners, is an advantage. It can facilitate monitoring and helps to keep the supply chain closed. Moreover, the identification of traders is straightforward, since they are the managers of the various cooperatives.

**Figure 5-1. Gold Supply Chain, Nyawaronga**



### 5.3 SUMMARY OF THE ASSESSMENT: NYAWARONGA

THEME	SCORE	COMMENTS
Security	- 4	<p>Unidentified armed men, probably Nyatura were seen around Nyawaronga. On their way, they passed several mining sites, where they stole food and gold.</p> <p>Mai-Mai Nyatura are reported in the vicinity of Nyawaronga, more specifically in Lumbishi and Shanje.</p> <p>Finally, there are tensions between two actives cooperatives: the COMINYA and COMITSHA.</p>
Access	0	<p>It is possible to get as far as Kalehe by car (2 to 3 hours). The next stretch requires travel by motorcycle for an hour and 30 minutes. Finally an additional 45 minutes of walking are required to reach Nyawaronga.</p> <p>Once in Nyawaronga, the first mining sites are within 3 hours walking distance.</p>
Mining Site Status	+1	<p>There are 2 ZEA's actives in the vicinity of Nyawaronga. However, there is no validated mining site, and less than 10% of the miners hold a <i>carte de creuseur</i>.</p>
Production	+2	<p>In 2018, number of workers ranges from 60 to 250 in 3 mining sites. However, this might be an overestimation because in 2015, there was on average 44 miners. Weekly production of the mining sites is relatively low, between 25 and 75 grams.</p>



THEME	SCORE	COMMENTS
Cooperatives	+3	<p>Most mining sites have an active cooperative. However, only very few creuseurs are members of it. Furthermore, tensions between the COMINYA and COMITSHA cooperatives have sometimes turned into armed violence.</p> <p>COMINYA and COMITSHA are currently following a training given by CEGEMI on cooperative management, due diligence and responsible sourcing.</p>
Local State Authorities	- 4	<p>Most of the mining sites are rarely visited, at most once a month. In addition, harassment and illegal taxation by 3 state agencies have been reported.</p>
Civil Society Organisations	-1	<p>« UBUFASHAJE » is a civil society organisation which supports women workers in agriculture work. UBUFASHAJE does not seem to be the appropriate civil society organization to partner in a responsible sourcing project.</p>
Health & Safety	-3	<p>Most miners wear rubber boots. They also use torches light spots and motor pumps and pumps for oxygen</p> <p>No fatal or serious accidents have occurred in the past 6 months.</p> <p>Child labour has not been reported, however, artisanal miners use mercury. Residual mercury is reused.</p>

## 6.0 SITE ASSESSMENT: SHABUNDA CENTRE<sup>38</sup>

### 6.1 SUMMARY

Shabunda is the biggest Territory (*Territoire*) of the South-Kivu province. The town of Shabunda (often referred to as Shabunda centre) is its territorial capital. The security is ensured by FARDC and MONUSCO base and armed groups have not been seen in town since 2013. The city is in close proximity of several gold mining sites, most of which are located along the Ulindi river. The area attracts many artisanal miners. Mining sites such as Mapipi are frequented by up to 250 workers, for example. However, an important part of the gold traded in Shabunda centre does not originate from local artisanal mining but from nearby dredges.<sup>39</sup> In addition, some of the gold traded in the *Maisons d'Achats* comes from *negociants* who prospect in the entire territory and thus beyond the nearby mines.

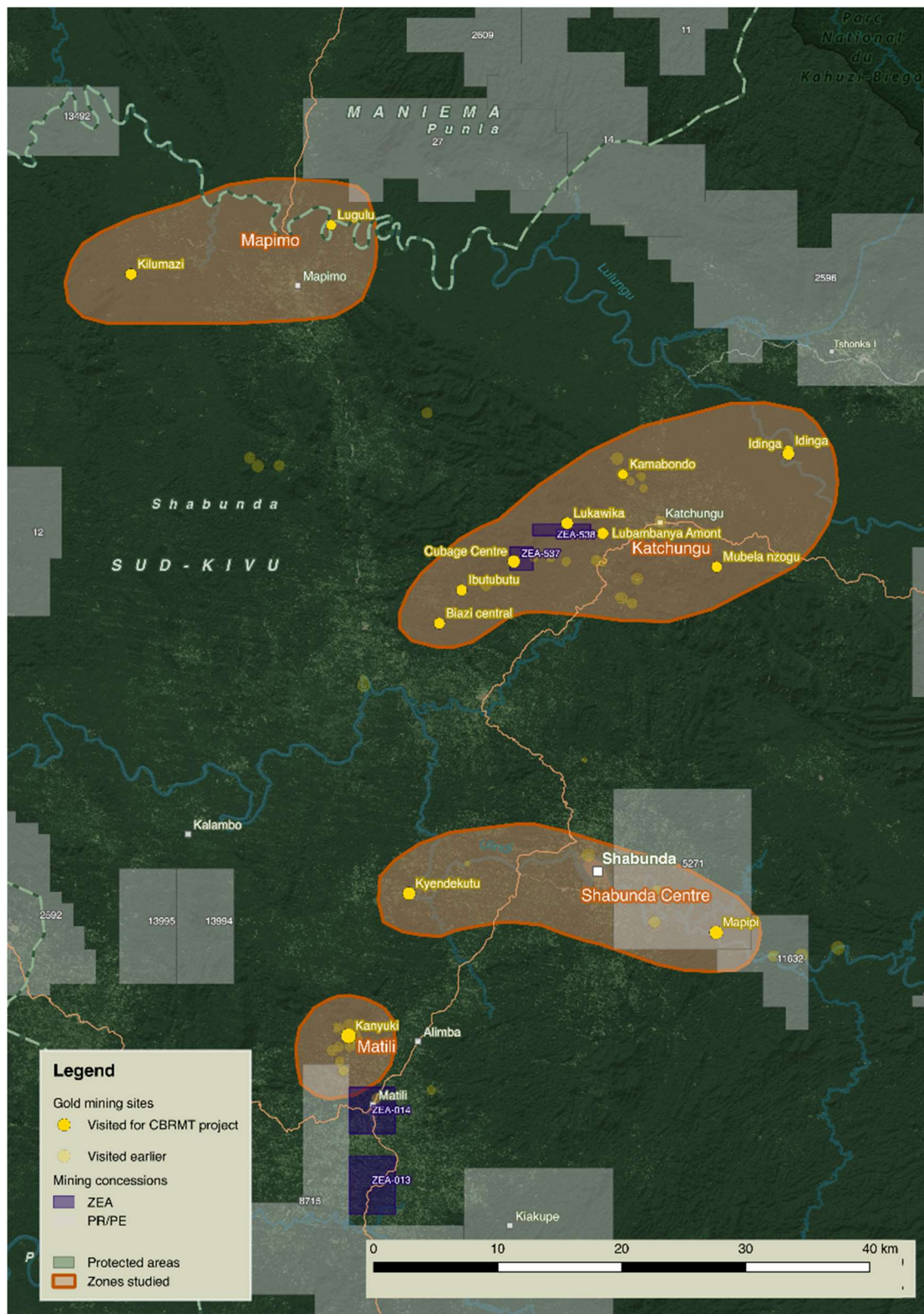
Nevertheless, Shabunda centre offers a steady supply of gold, which is an important advantage for downstream actors who need to know that there is *volume* before engaging in a responsible sourcing.<sup>40</sup> On the other hand, it can be a complicating factor for a responsible sourcing programme that considerable quantities of gold from an unknown origin are traded in Shabunda centre's market. Working in Shabunda centre can facilitate the communication with local authorities and mine owners since it is where they live and work. However, IPIS' field mission has demonstrated that their interference in the mining sector has an important negative impact. Therefore, any attempt to launch a responsible sourcing programme should include extensive sensitization. The OECD guidelines do not consider interference from local authorities as a reason to stop sourcing. However, the programme will have to demonstrate efforts of risk mitigation.

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<sup>38</sup> All quantitative data collected for this present research and in previous IPIS visits are in open data and can be downloaded on IPIS website : <http://ipisresearch.be/home/conflict-mapping/maps/open-data/>

<sup>39</sup> IPIS, *Analysis of the interactive map of the artisanal mining areas in the eastern DR Congo: 2015 Update*, Antwerp, 2016, p. 34.

<sup>40</sup> CBRMT presentation at the ICGLR Gold Experts Meeting, Nairobi, September 2018.



**Image 6-1. Mining areas of focus in Shabunda territory.**

## 6.2 ASSESSMENT

### 6.2.1 SECURITY

Minimum score: -18

Maximum score: +10

Score obtained: +4

INDICATOR	VALUE	SCORE
Non-state armed group visits to mine in the last 6 months	No visits by non-state armed groups to mines reported in the last 6 months (and in fact since 2013).	+4
Non-state armed group presence in the last 6 months	No presence of non-state armed groups reported in the last 6 months in a radius of 25 km.	+3
Roadblocks by non-state armed groups on mine access routes (road between mine and its trading point /trade hub)	No roadblock has been observed between the mine site and its mineral trading point.	0
FARDC presence and/ or interference	PDGs have reported that FARDC play an important role in the management of mining sites and interfere in land disputes.	-2
Banditry	Banditry in Shabunda centre is moderate.	2
Roadblocks by FARDC on site access routes	The FARDC has not set up roadblocks.	0
All forms of sexual violence	No systematic cases of sexual violence in past 6 months has been reported	0
Other conflict and tensions	A murder of a mining site owner's family member in the context of a land dispute was committed near Katchungu and has affected the ASM sector of Shabunda	- 1
Violence	See above incident	-2

Shabunda centre has not seen an armed group incursion since 2013.<sup>41</sup> In the last two years, the security situation around Shabunda Centre has steadily improved, especially after the FARDC liberated the wider area from the Raïa Mutomboki, ending their control over mineral transport and taxation.<sup>42</sup> By February 2018, armed groups had retreated into Walungu Territory,<sup>43</sup> including the Kahuzi Biega Park, where they have remained relatively inactive since.<sup>44</sup> The stability of Shabunda centre is currently also

<sup>41</sup> Entretien avec l'ANR

<sup>42</sup> Group of Experts

<sup>43</sup> Kivu Security Tracker, Monthly security report, February 2018, p.3

<sup>44</sup> Kivu Security Tracker, Monthly security report, March 2018, p.3

ensured by the presence of military bases of both MONUSCO and the FARDC. The two forces collaborate in their security tasks.

The main pocket of instability in the Shabunda territory is the Bakisi *chefferie*, in Bamuguba North and South, where different sections of Raïa Mutomboki (Mabala, Walike et Vunja Vikwazo) fight each other over the control of gold trade and production. In June 2018, two new factions emerged; the Raïa Mutomboki Habikuangaliye in Nduma and the Mai-Mai Napata in Kayumba-Abi.<sup>45</sup> Meanwhile, the leader of the Raïa Mutomboki Kazimoto was killed in September 2018 in a firefight with the FARDC on the Nduma-Nyambembe road.<sup>46</sup> However, this remaining pocket of insecurity is at a considerable distance from Shabunda centre - it is a three days walk and therefore it does not affect the security of the town.

As a further confirmation of the relative stability of the area, IPIS investigators have not encountered any barriers between the mining sites and the trading points of Matili, Katchungu and Mapimo. Nevertheless, gold traders continue to sleep in their stalls, to protect their gold.

Notwithstanding the above, armed violence is sometimes used in local conflicts. In late June, one week before IPIS' visit, a family dispute over the ownership and management of the Luguguma site led to the murder of one of the wives of the contenders. It appears that former Raïa Mutomboki were recruited by his competitor. The killing really shook the ASM sector and a crisis meeting was organised by the *Comité Provincial de Suivi* (CPS), chaired by the judge of Shabunda and attended by all artisanal mining site owners. The CPS is a structure bringing together local authorities, civil society organisations and artisanal miners (sometimes industrial operators as well, whenever they are present).

## 6.2.2 ACCESSIBILITY

Minimum score : -12

Maximum score: + 8

Score obtained: +3

INDICATOR	VALUE	SCORE
Minimum travel time from Bukavu to the mine's trading hub	Traveling from Bukavu to Shabunda takes less than 1 hour by plane. Including check-in and boarding processes, the travel should take 2 to 3 hours.	+2
Means of transport from Bukavu to hub in dry season	Reaching Shabunda from Bukavu requires air travel. The roads are currently in poor condition and not passable.	- 2
Means of transport from Bukavu to hub in rainy season	Same as above	0
Minimum travel time from trading hub to mine	The first mines can be reached in less than half a day from Shabunda centre	+2
Means of transport from trading hub to mine (dry season)	Mining sites around Shabunda centre are reachable by foot and motorbike.	0
Means of transport from Bukavu to hub in rainy season	Same as above	0

<sup>45</sup> Kivu Security Tracker, Monthly security report, June 2018, p.2

<sup>46</sup> Radio Okapi <https://www.radiookapi.net/2018/09/19/actualite/securite/sud-kivu-mort-de-kazimoto-chef-dune-faction-des-Raïa-mutomboki>

INDICATOR	VALUE	SCORE
Telephone network coverage	Mining sites of Shabunda have relatively good network coverage.	+1

The distance between Bukavu and Shabunda is 350 km. The town is only accessible by plane as the roads are in very poor condition. Flights are relatively frequent and there are 6 flight companies (AGEFRECO, IMI-GOMA, GOMA Express, MCA, CHARLES AVIATION and MAENDELEO) operating up to a dozen flights per week. Nevertheless, the flight schedule is often dependent on the availability of a cargo of cassiterite destined for Bukavu. Hence, it can happen that flights are cancelled. Furthermore, most of these airplanes do not comply with the international safety standards. Cassiterite flights are sometimes overloaded. Goma Express has officially been blacklisted by the national authorities.<sup>47</sup> Also, in the past, some airlines have been involved in illegal mineral trade. AGEFRECO, for example, was mentioned in a 2008 report by the Un Group of Experts for its involvement in buying and transporting 'conflict gold'.<sup>48</sup>

As an alternative, project implementers could use MONUSCO flights, which go twice a week and are probably more reliable and safe. However, the administrative process for requesting seats on these flights these can be quite cumbersome.

Once in Shabunda, mining sites are accessible by motorcycle and on foot. It takes between 1h30 and 3h to reach to the nearest sites. The rainy season does not impact the access to mining sites much, although the muddy tracks can increase walking times a little.

Regarding access to the telephone network, Shabunda is well covered by Vodacom and Tigo / Orange. On some sites, it may require walking up to a kilometer to find the network.

### 6.2.3 MINING SITE STATUS

Minimum score: -5

Maximum score: +5

Score obtained: -1

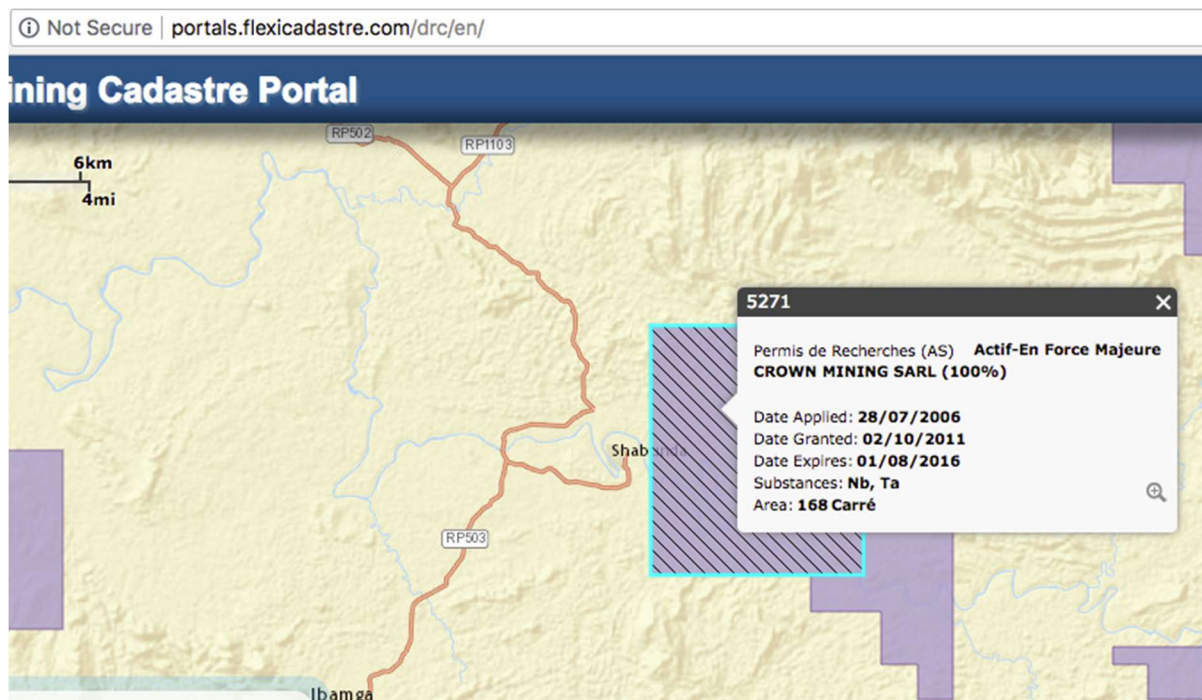
INDICATOR	VALUE	SCORE
Site qualification	Mining sites around Shabunda centre have not been validated	0
Site legal status	The artisanal gold mining sites are not within a private mining concession.	0
Legality of miners	Less than 10% of the miners hold a <i>carte de creuseur</i>	-1

Around Shabunda, only two concessions were registered with the Mining Cadastre. A first one is held by the industrial company Crown Mining SARL. It is located in the east of Shabunda and concerns a research permit for Niobium (Nb) and Tantalum (Ta). The licence officially expired in 2016, but remains active because of a force majeure situation. There have been no reports of tensions or conflict between the miners and Crown Mining SARL and it does not seem that the company has any presence or representation in Shabunda.

<sup>47</sup> UN Group of Experts, Final report, S/2015/19, para. 182

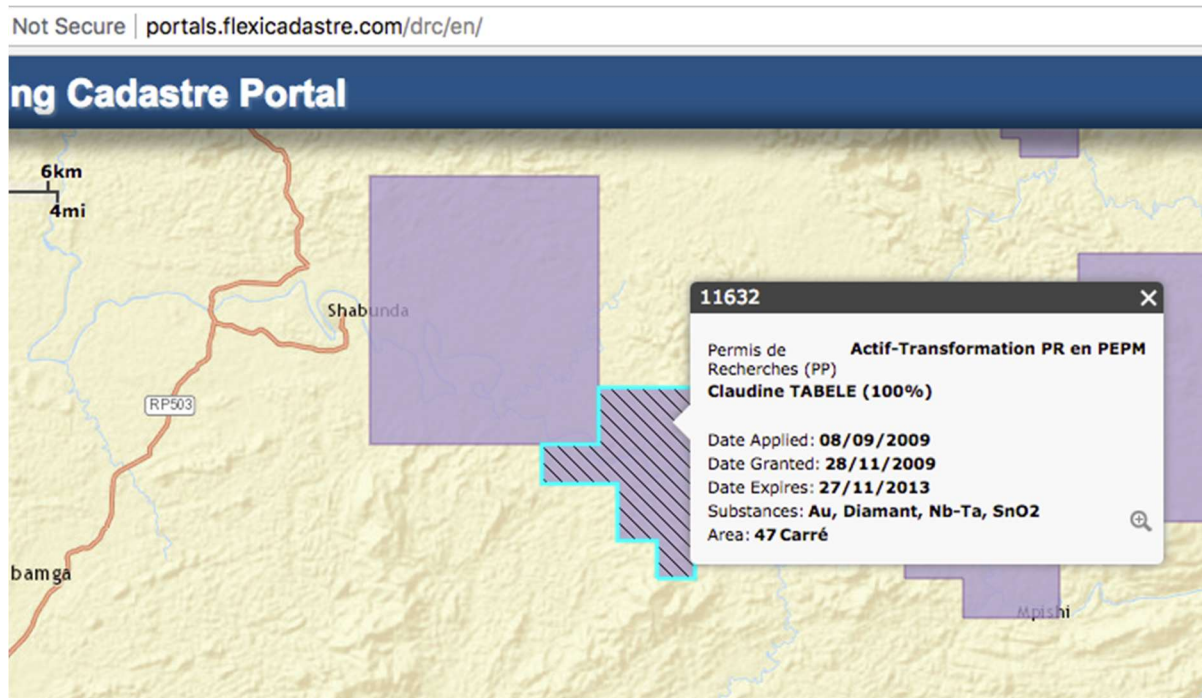
<sup>48</sup> UN Group of Experts, Final report, S/2008/773, para. 84





**Image 6-2. Screenshot of the research permit (Nb and Ta) registered with Mining Cadastre.**

The second concession is a research permit for gold and diamonds. It is registered under the name of a certain Claudine Tabele but expired in 2013. Therefore, the miners working within can be considered as working on a ground with no mining title.



**Image 6-3. Screenshot of the research permit (gold and diamonds) registered with Mining Cadastre.**

Regarding the status of the artisanal miners, less than 10% of them have a *carte de creuseur*. In the case of Lungulu there is not a single miner with such a card. This can be explained by the mistrust of the miners towards both the cooperatives and the local authorities.

#### 6.2.4 LOCAL STAKEHOLDERS: CAPACITIES AND BUY-IN OR INTERFERENCE FOR A POTENTIAL PROJECT IMPLEMENTATION

##### Cooperatives

Minimum score: -2

Maximum score: +7

Score obtained: +1

INDICATOR	VALUE	SCORE
Presence of one or more cooperatives on site	Most mining sites have an active cooperative.	+2
Cooperative is formally registered, or has obtained an 'agrément favorable' from the provincial government	All the cooperatives are formally registered, or have obtained their « agrément favorable ».	+1
Percentage of miners working on site that are member of cooperative	Less than 10 % of the workers are members of a cooperative.	-1
Percentage of female members of cooperative.	There were no female members in the cooperatives encountered.	-1
Women in management positions in cooperative.	None	0
Cooperative members have followed training on responsible sourcing	To our knowledge, none of the encountered cooperative's members have ever followed a training on responsible sourcing.	0

The Congolese Mining Code requires that artisanal miners organize themselves into cooperatives. As a consequence, their presence is essential for any initiative intending to organise a transparent and responsible supply chain. Therefore, the site assessment and ranking methodology developed by IPIS gives a positive score when a cooperative is present. Previous experiences of responsible sourcing projects have demonstrated that success or failure of the programme can reside in the quality of the collaboration between the implementer and the cooperative in charge of the mine site. Officially, it is the cooperative that decides how the mining site should be managed and what the rules are. Therefore, a good relation will facilitate new management decisions, and ensure that every stakeholder present is looking and working the success of the project. Furthermore, it seems fundamental to involve a cooperative, at an early stage of the project and to give it responsibilities to ensure ownership of the programme. If the cooperative feels that it is its project, it is likely that the project will sustain after the departure of the international implementers.

That being said, the results of IPIS' field missions in Shabunda territory, have shown that artisanal miners distrust cooperatives and criticize their legitimacy. Part of the issue stems from the word "cooperative" itself. It suggests some measure of solidarity that the miner expects to benefit from as a member. These expectations can include the payment of his *carte de creuseur*, a health insurance, the provision of safety equipment or a contribution to the school fees of miners' kids. However, the system of cooperatives in South Kivu, and generally in eastern Congo, functions more like a (small) private company where the

cooperative's board acts like an employer, and the miner as an employee. Furthermore, instead of getting financial benefits, the miner has to pay for the right to work, making his own earning from the gold he finds. As a result, what they believe should be an organisation representing them and defending their interest, is perceived as an opaque institution led by unknown managers who exploit them.

**More specific to Shabunda centre**, the Coopérative Minière Tokunda Ulindi (COOMITU) is in the hands of a single family, which increases the perception of nepotism and mismanagement. Artisanal miners refuse the legitimacy of the cooperative, despite the fact that it has been validated and registered by the Ministry of Mines. They describe their relations with COOMITU managers as difficult, accusing them of not being "native" to the area, of not contributing to development, and finally, of not equally sharing profits. Several miners claimed that there is no advantage to being a member of the cooperative, except getting the right to enter the mining site. These rather harsh views explain why less than 10% of the artisanal miners are affiliated to a cooperative. It should also be noted that none of the cooperative members is a woman.

The division between cooperatives and miners in Shabunda centre is not insurmountable. Besides, both parties have expressed to IPIS their interest in participating in a potential project on a transparent and responsible artisanal gold supply chain. From the miners' viewpoint, they expect such a project could lead to reforms at the level of the cooperatives. They believe these should include: real representation of the miners in management structures, more transparency in production and trade records, and fair and regular elections. The cooperative owners, on the other hand, expect an increase in profits by attracting foreign investors and buyers, who would be interested by the prospect of a legal gold export operation with a responsible reputation. Such changes could also be a catalyst to attract more women to the artisanal mining sector, thereby integrating them into the cooperative, for example by guaranteeing them a seat on the Cooperative's board. Related project activities could include trainings on cooperative management, due diligence, certification mechanisms and techniques to increase production.

### Local State Authorities

Minimum score: -17

Maximum score: +9

Score obtained: -7

INDICATOR	VALUE	SCORE
Frequency of SAEMAPE and/or Mining Division visits	Most of the mining sites are visited on a daily or weekly basis by SAEMAPE and the Mining Division.	+3
SAEMAPE and/or Mining Division provide regular training and assistance to miners	There is no evidence that mining agencies have provided any training or assistance to the miners.	0

Unfortunately, interference by state authorities in the artisanal mining sector in Shabunda is an issue. Unpaid state agents tend to consider miners as a convenient source of cash. There have been reports of pits owners being arbitrarily arrested by the *Agence Nationale de Renseignement* (ANR) or Judicial Police agents (APJ, *Agent de Police Judiciaire*). The pit owners are only released after the payment of a large sum of money or gold.

It also appears that senior judicial authorities in Shabunda have pre-financed motor pumps at Luguguma, a site near Katchungu. The site is known for an ownership dispute that led to an assassination. While the eldest brother of a family had been recognized by the rest of the family as the pit owner, the Shabunda prosecutor interfered on behalf of a younger brother, allegedly in exchange for a stake in the mine

management. Early July, former Raïa Mutomboki presumably recruited by the younger brother, invaded the eldest brother's house and killed his wife. The Shabunda prosecutor has made another questionable intervention at the mining site of Cubage when he was asked to settle a dispute between two families. Instead of resolving the issue, he posted a member of his own family at the site, who demanded a percentage of the production, for 'securing' the site.

SAEMAPE and the Mining Division visit the mining sites around Shabunda centre nearly on a daily basis, and at least once a week. While their visits are legal, and often considered helpful, their eager presence has led to a multiplication of taxes. A striking example is the double taxation on motor pumps, *carte d'enregistrement* and *carte de creuseur*, which are all collected by both services. The miners have also reported that the agents of the Mining division and SAEMAPE demand money for their transport, accommodation and food. Finally, they also seem to demand money on behalf of the heads of their offices.

In the Mapipi mining sites there are even more taxes to be paid. Miners also pay the FFN (*Fonds Forestier National* or National Forestation Fund), the Chieftdom and the DGI (*Direction Générale des Impôts* or Taxes General Direction). The legality of these taxes is difficult to assess properly and would demand a deeper research in the field. But it is certain that none of these three agencies are allowed on the mining sites and that off all agencies present, only SAEMAPE has the competence to levy taxes.

Concerning the FARDC, they are absent from the mining sites and population recognises that their presence has improved the overall security. However, some high-ranking officers, who have been deployed in Shabunda for years, are supplying miners with food and equipment, which the latter pay back through the gold they mine. As a result, those FARDC officers, all of which are posted in Shabunda centre, become co-managers of the mining sites. Such FARDC interference has been reported at the mining sites of Cubage and Kamambondo, on the Shabunda-Luguma road.

Although the situation described above may seem rather bleak, interference and illegal taxation are not an insurmountable issue. It can be dealt with through the sensitization of state authorities, trainings on due diligence and mineral certification, and advocacy efforts aimed at the validation of mining sites and the creation of ZEAs. Such trainings should be given to all stakeholders, including state agencies, local authorities, cooperatives, artisanal miners and traders.

## Civil Society Organisations

Minimum score: -1

Maximum score: +6

Score obtained: -1

INDICATOR	VALUE	SCORE
Civil society operating in proximity of mine	There is a civil society representative, but there is no local civil society organisation operating near the mining sites.	0
Civil society is active at the mine	No project implemented by a civil society organisation has taken place at mining sites in the least 3 years.	0
International experience of civil society	There is no CSO that has worked with, or was funded by, an international organisation	0
Percentage of female members of civil society organisations	There is no civil society organisation	-1

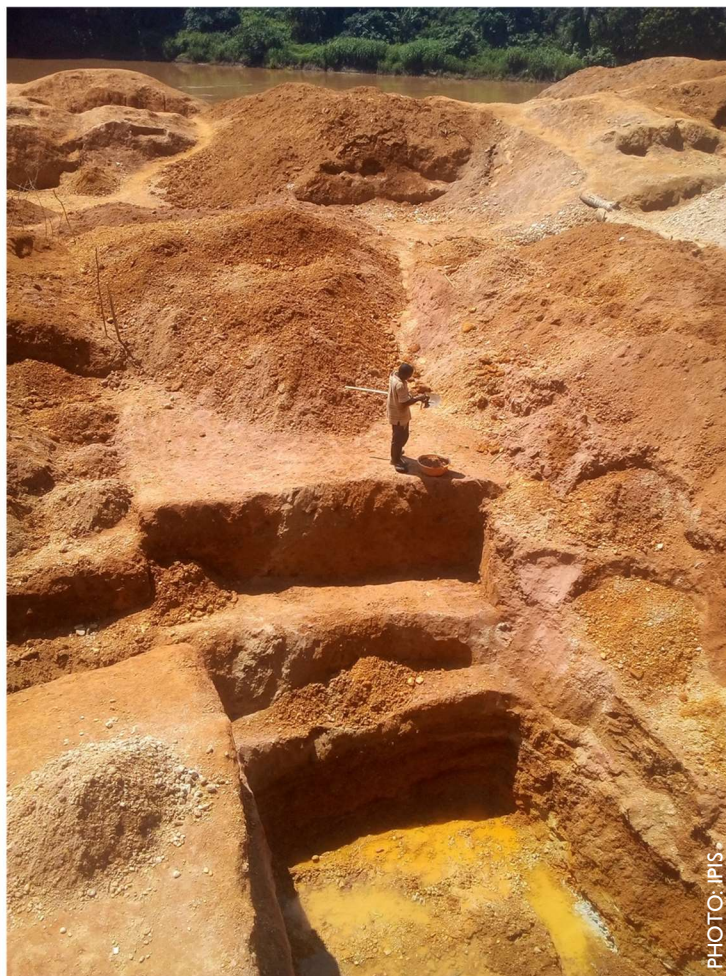


INDICATOR	VALUE	SCORE
Women in management positions in civil society	There is no civil society organisation	0

There is a representative of the umbrella of civil society organisations of Shabunda, but there is no specific organisation focusing on natural resources. Women and youth organisations do exist in Shabunda centre, for example ADMER (*Association pour la Démobilisation des Mineurs et la Réinsertion Volontaire des Adultes*) and ASODFP (*Association pour le Développement de la Femme Paysanne*). However, none of these organisations has implemented a project related to the artisanal mining sector in the least 3 years. Also no CSO has experience in implementing a project funded by an international organisation.

Interactions with the local population at all mining centres show that they insist that the gold extracted comes from *their* land. Therefore, they believe they should benefit from it and that it should be used for the development of their region. Congolese civil society organisations are becoming more vocal about the fact that natural resources benefit people from Western countries but are hardly helping local populations. Including civil society organisations in a responsible supply chain project, guarantees a level of ownership and local embeddedness. Having a potentially critical voice on board of the project, is also provides an opportunity for early warning on interference or any other problems.

Furthermore, the involvement of civil society organisations could make the project more sustainable as the supply chains of Congolese minerals will be controlled by Congolese NGOs. However, before civil society organisations can be included, extensive training in due diligence and mineral certification will be required.



**Image 6-4. Mine site in Mapipi, Shabunda.**



## 6.2.5 HEALTH AND SAFETY

Minimum score: -14

Maximum score: +4

Score obtained: -1

INDICATOR	VALUE	SCORE
Use of personal protective equipment	Most miners only wear rubber boots	0
Accidents resulting in injuries	No accident with seriously injured miners has occurred in the past 6 months.	0
Fatal accidents	No accidents with fatalities has occurred in the past 6 months	0
Maximal pit and/or gallery depth	Not applicable.	0
Child labour: mining	No children work are mining at the mining sites	0
Child labour: non-mining	Children under 15 have been observed in Kyendekuntu, but it was not clear whether they were working or only visiting the site.	-1
Sanitary facilities for women	There are no separate sanitary facilities for women	0
Use of mercury and other chemicals (such as cyanide)	Mercury is not used at the mining sites	0
Open air burning of mercury	Not applicable	0

The mining sites supplying Shabunda centre are all alluvial mining sites. This means that miners collect sand in or along the bed of a river or creek, and process it to extract gold dust or nuggets/flakes. These placer deposits - as they are also called - eroded from their primary ore source and deposited through hydrological systems in riverbeds.<sup>49</sup> Earth and sand are then panned and washed with the water of the river on sluices. This activity involves few risks or dangers, and does not involve the use of chemicals such as cyanide or mercury, which explains why no fatal accidents, or serious injuries, have been recorded in the last six months. The low risk level also justifies the lack of investment in protective equipment, which is limited to rubber boots. There are currently no active eluvial pits<sup>50</sup> around Shabunda centre because they would require significant investments and the entire workforce is busy at the alluvial mine sites.

Women represent only a very small minority of the workers active in the mining, even less than 2%. They are mainly in charge of washing the gold. Despite their role in the production chain, no woman is a member of a cooperative, let alone a member of the cooperative management.

<sup>49</sup> IPIS, Artisanal Gold Monitoring Pilot: Monitoring report, Artisanal Gold Monitoring Pilot in Mambasa, Ituri, Antwerp, 2017, p. 15

<sup>50</sup> Similar to alluvial mining, eluvial mining targets secondary placer deposits that have their origin in the weathering of primary ore. Rainfall and erosion have deposited these reserves on hillsides or flat-lying areas. Here miners sweep the earth and dig shallow pits in search of gold particles (IPIS, Artisanal Gold Monitoring Pilot: Monitoring report, Artisanal Gold Monitoring Pilot in Mambasa, Ituri, Antwerp, 2017, p. 16)

Women are better represented in jobs other than mining. Some of them have opened restaurants and shops on mining sites to supply the miners with food and equipment. At the sites visited around Shabunda centre, there were dozens of restaurants and shops. The OECD guidelines recommends the establishment of women's toilets at mining sites, but this measure is given little importance by miners and mining site managers. Indeed, none of the sites visited in South Kivu by IPIS has ever organized a system of separate toilets. Yet the construction of toilets at mining sites is not only a hygienic or sanitary measure, it is also recommended for safety reasons. To prevent sexual violence, it is safer for a woman to go to the toilet in a designated structure than to find an isolated spot.

The presence of children has been observed at the mining site of Kyendekuntu near Shabunda centre, but it but it was not clear whether they were working or only visiting the site.

In conclusion, working conditions at the sites around Shabunda are relatively better, than at other mines in the South Kivu. This is due to the fact that mines are mostly alluvial, which are less dangerous to work in. In addition, the relatively pure gold does not require mercury or cyanide for cleaning, which avoids pollution risks.

## 6.2.6 TRADE

As explained in the methodology, the ranking is done at mining site level and can therefore not fully include the issue of trade, which is mainly happening at trade hub level. Therefore, there is no ranking or score for the chapter on trade.<sup>51</sup>

As noticed in the chapter on production, Shabunda centre is undoubtedly one of the most important trading points of eastern DRC. IPIS investigators have identified at least 62 buying houses where artisanal miners, or traders go to sell their gold. Some trading activity does occur at the mining sites though. Some buyers from Shabunda or Bukavu send their agents to buy directly from the artisanal miners. At some of the most productive sites, more than twenty traders show up every day to buy gold.

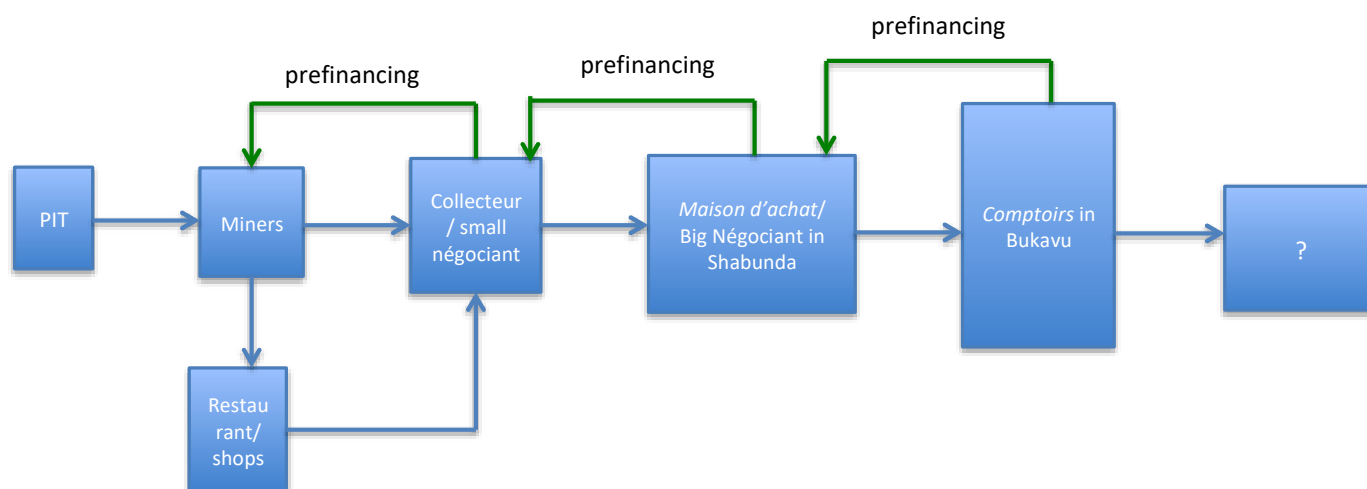
The gold trade remain very informal. Around 80% of the traders are not registered and do not have a *carte de négociant*. In addition, in Shabunda centre gold can be used for bartering. As a consequence shopkeepers or restaurateurs can suddenly become *de facto* gold traders.

The dynamism of the gold trade sector is a strength for any initiative to organise a transparent and responsible supply chain. In the case of Shabunda centre the large volumes of gold produced, are an important argument for a downstream buyer to get involved in such a project. One difficulty for responsible sourcing project is that Shabunda centre is a huge market, which leaves no room for an initial pilot phase of in a smaller area and then scaling up the project. The main difficulty resides in the number of stakeholders that will need to be involved, including their identification. The project should reach out to local buying houses and traders, which are relatively easy to identify. These groups should be natural allies of the project, as it will open up a new market for legal exports. However, it might be more complicated to get on board those traders working for businessmen based in Bukavu. Some of them might prefer a less transparent trade, which facilitates their dealings with high-ranking FARDC officers.

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<sup>51</sup> IPIS, *Site Assessment Methodology for the Responsible Artisanal Gold in South Kivu Province project*, CBRMT Prpgram implemented by Tetra Tech ARD, Antwerp, June 2018, p. 8

**Figure 6-1. Gold Trade Supply Chain in Shabunda Centre**



### 6.3 SUMMARY OF THE ASSESSMENT: SHABUNDA

THEME	SCORE	COMMENTS
Security	+4	No visits by non-state armed groups to mines reported in the last 6 months. And No presence of non-state armed group reported in the last 6 months, in a radius of 25 km.  However, FARDC allegedly play an important role in the management of mining sites and interfere in land disputes. In addition, a murder of a mining site owner's family member in the context of a land dispute was committed near Katchungu and has affected the ASM sector of Shabunda.
Access	+3	Traveling from Bukavu to Shabunda centre requires air travel, but should take less than half 3 hours. Once in Shabunda centre, the first sites can be reached by motorcycle and on foot in less than 1,5 hours.
Mining Site Status	-1	Mining sites around Shabunda centre have not been validated and they are not in a registered concession.  Less than 10% of the miners hold a <i>carte de creuseur</i> .
Production	+6	There are more than 4500 workers distributed over 31 mine sites (IPIS database). On mining sites visited in 2018, there were more than 200 workers, and their weekly production was estimated at more than 300 grammes each.
Cooperatives	+1	Most mining sites have an active cooperative formally registered. However, less than 10% of the workers are members.
Local State Authorities	-7	Most of the mining sites are visited on a daily or weekly basis by SAEMAPE and the Mining Division. However, illegal taxation, harassment against miners and other forms of

THEME	SCORE	COMMENTS
		interference in the artisanal mining sector by 6 state agencies, FARDC and a high-level judicial authority have been reported. In addition, the last two authorities own pits.
Civil Society Organisations	-1	Two civil society organizations have been identified but neither has experience in project management, collaborating with international organizations, or in the artisanal mining sector.
Health & Safety	-1	<p>No fatal or serious accidents have occurred in the past 6 months.</p> <p>No mercury use has been reported in mining site. Children under 15 have been observed in</p> <p>Kyendekuntu mining site, but it was not clear whether they were working or only visiting the site.</p>

## 7.0 SITE ASSESSMENT: KATCHUNGU

### 7.1 SUMMARY

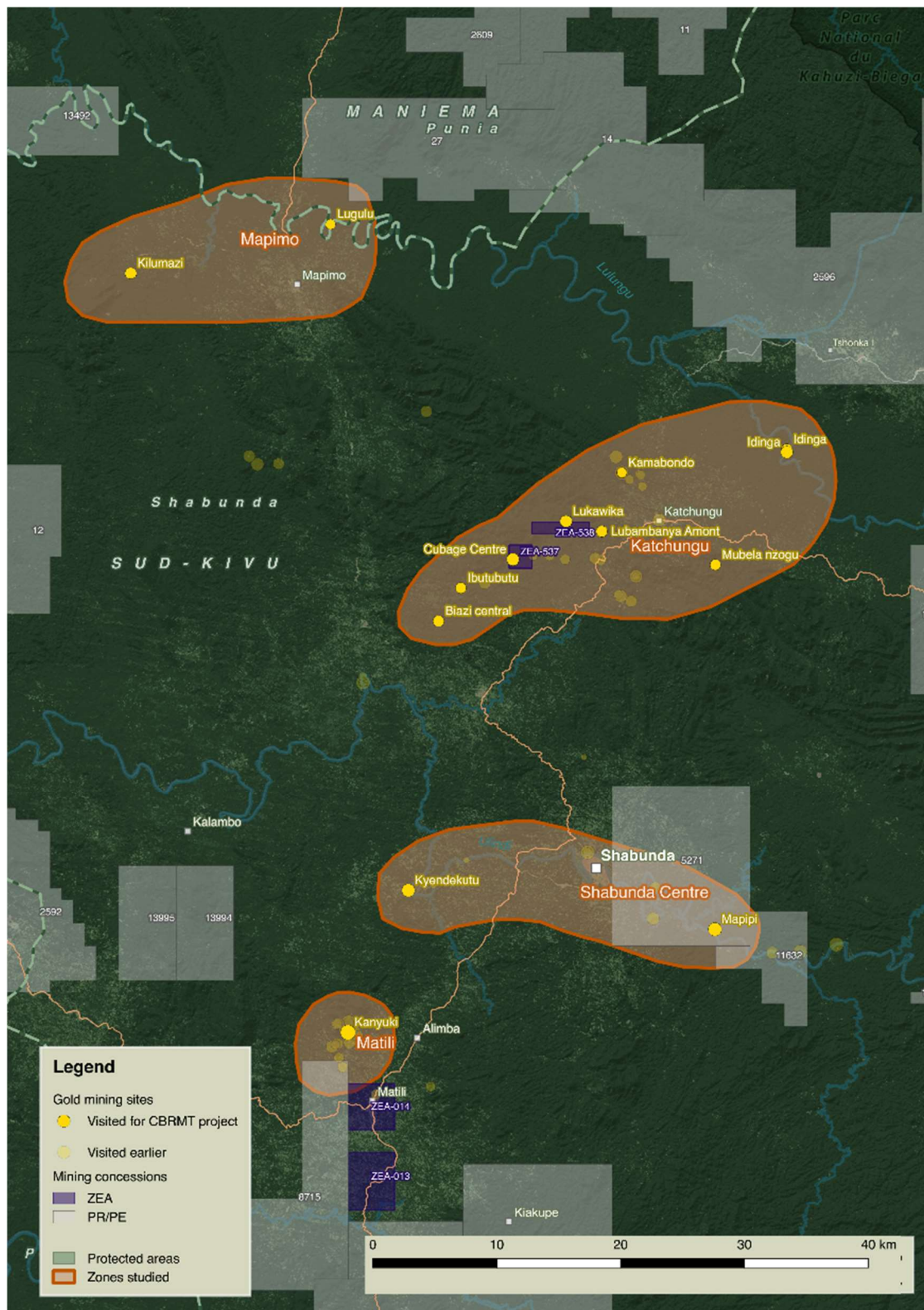
Katchungu is located in the Territory of Shabunda, and lies between Shabunda centre, in the South and the river Lugulu, in the North. Katchungu is a dynamic mineral trading point fed by around 20 sites, which ensure a steady supply in gold.

Accessing the town can be challenging as it requires 2 or 3 hours of traveling by motorbike from the nearest airstrips. Furthermore, despite an improvement of the security, Raïa Mutomboki groups remain a threat along the relatively nearby Nyambembe-Tchonka axis, including at mining sites that feed Katchungu, such as Luguguma, Luguguma Amot and Ikusa Katota. In fact, several Raïa Mutomboki groups have fought each other for the control of gold mines. As long as, this armed group is not removed further away from Katchungu, its interference poses a serious challenge for the implementation of a sustainable gold supply chain project.

There is also widespread interference by local state agents. Paradoxically, this could be turned into an opportunity, because several stakeholders want the sector to change. Indeed, cooperatives and PDGs are keen to participate in a gold traceability initiative. They think that it could stop harassment by state authorities. To be successful, such initiative should not start without training in due diligence for all the stakeholders, with particular attention to the management of cooperatives.

Tracing Katchungu gold will also require a strategy to deal with gold produced by dredging and the informality of the mineral trade. Finally, the 2 ZEA's near Katchungu provide the potentially interesting opportunity to create an entirely new upstream source that could feed the supply chain. However, this will require further prospection to find additional exploitable deposits within the ZEA's.





**Image 7-1. Mining areas of focus in Shabunda Territory.**

## 7.2 ASSESSMENT

### 7.2.1 SECURITY

Minimum score: -18

Maximum score: +12

Score obtained: -12

INDICATOR	COMMENTS	SCORE
Non-state armed group visits to mine	All mining sites visited in July 2018 were free of non-state armed groups. However, certain mining sites supplying the trading point of Katchungu remain under the control of Raia Mutomboki. This is the case for Luguguma, Luguguma Amot, Ikusa Katota, Kalukundu and Kalusungu	- 4
Non-state armed group presence in the last 6 months	Raia Mutomboki have been active along the Luguguma-Katchungu axis.	- 3
Roadblocks by non-state armed groups on mine access routes (road between mine and its mineral trading point/trade hub)	No roadblock has been observed between the mining site and its mineral trading point.	0
FARDC presence and/ or interference	PDG's have reported that FARDC officers play an important role in the ASM management of mining sites and interfere in land disputes.	- 2
Banditry	Banditry in Katchungu does not occur regularly	2
Roadblocks by FARDC on site access routes	The FARDC has not set up roadblocks.	0
All forms of sexual violence	No cases of sexual violence in past 6 months have been reported	0
Other conflict and tensions	A murder of a mining site owner's family member in the context of a land dispute was committed near Katchungu and has affected the ASM sector of Shabunda	- 1
Violence	See incident above	-2

The security situation around Katchungu has improved, especially since the military operations of February 2018, during which the FARDC chased the Raia Mutomboki to the limit of Walungu Territory and into the Kahuzi Biega park. The improvement of the security situation is further underlined by the withdrawal of the FARDC from the mineral trading points of Matebo, Mututungu and Lulungu. Nevertheless, serious problems persist.

Some Raia Mutomboki are still operating at the mining sites of Nyambembe, Suiza and Luyuyu, along the Nyambembe-Tchonka axis. These mines are 80-90 km from Katchungu, or approximately 2 to 3 walking days, and the two areas are separated by the Lugulu river. A second zone of instability in Shabunda Territory is located near the villages of Byangama and Maimingi, which are approximately 150 km southeast of Katchungu. However, the Congolese army is increasing its control over that area .

The nearest active combat zone is around Tchonka, which is at a reasonable distance from Katchungu and on the other side of the Lulungu river.<sup>52</sup>

However, other acts of violence by armed groups persist. Raia Mutomboki groups have, for example, launched pillaging raids against some of the mining sites around Katchungu.<sup>53</sup> Well-known for such violence is the ruthless group led by a certain « Monsieur Putchi », a native of Kimbundi, who operates along the Luguguma- Katchungu axis. Further east, despite the presence of the FARDC, Raia Mutomboki groups still occupy the mining sites of Bilika, Ikuza, Buluma. Despite attempts in December 2017 and July 2018, IPIS' research teams have not been able to visit the Luguguma, Luguguma Amot, Ikusa Katota and Kalukundu and Kalusungu mining sites due to the insecurity caused by the presence of the Raia Mutomboki. Officially, these sites are closed since July 2018, but some pits are allegedly exploited by artisanal miners supported by the judiciary authorities of Shabunda and with the approval of the Raia Mutomboki.

In addition to armed violence, there are strong tensions between other stakeholders. In Cubage, for example, cooperatives and pit owners are pitted against each other. In Indiga, it is cooperatives amongst themselves. At both mining sites, the opposing parties are fighting over the 'right' to tax 10% of the miners' production. In the end, the miners find themselves paying both parties, thereby losing 20% of their profit. The potential benefits from this taxation have resulted in conflicts between cooperatives, some of them claiming the same mining site.

Finally, violence is sometimes used in business conflicts. In late June, a family dispute over the ownership and management of the Luguguma site led to the murder of one of the wives of the contenders, a crime for which it seems that a some former Raia Mutomboki were recruited (this event is explained in more detail in the chapter on local authorities).

## 7.2.2 ACCESSIBILITY

Minimum score: -12

Maximum score: +8

Score obtained: -2

INDICATOR	COMMENTS	SCORE
Minimum travel time from Bukavu to the mine's trading hub	Traveling from Bukavu to Katchungu requires more than 1 day of travel	-2
Means of transport from Bukavu to hub in dry season	Reaching Katchungu from Bukavu requires air travel. The roads are currently in poor condition and not passable.	- 2
Means of transport from Bukavu to hub in rainy season	Same as above. No difference between dry and wet seasons.	0
Minimum travel time from trading hub to mine	The first mines can be reached in less than half a day from Katchungu centre.	+2

<sup>52</sup> MONUSCO bi-monthly incident reporting in South Kivu.  
[https://www.google.com/maps/d/u/0/viewer?mid=IZE\\_njp8CD9iXKqgL\\_ghmMVVzRvN25vPY&ll=3.819575358313011%2C25.588430554999945&z=5](https://www.google.com/maps/d/u/0/viewer?mid=IZE_njp8CD9iXKqgL_ghmMVVzRvN25vPY&ll=3.819575358313011%2C25.588430554999945&z=5)

<sup>53</sup> IPIS field visit in December 2017.

INDICATOR	COMMENTS	SCORE
Means of transport from trading hub to mine (dry season)	Mining sites around Katchungu are reachable by foot and motorbike.	0
Means of transport from Bukavu to hub in rainy season	Same as above. No difference between dry and wet seasons.	0
Telephone network coverage	For most of mining sites, network coverage is within walking distance	0

The access to Katchungu is relatively difficult. Firstly, it requires taking a plane to Shabunda or Tchonka. Between Bukavu and Shabunda, (cargo) flights are relatively frequent. There are 6 aviation agencies (AGEFRECO, IMI-GOMA, GOMA Express, MCA, CHARLES AVIATION and MAENDELEO) operating up to a dozen flights per week. Nevertheless, the flight schedule is often dependent on the availability of a cargo of cassiterite destined for Bukavu.

Hence, it can happen that flights are cancelled. Furthermore, most of these airplanes do not comply with the international safety standards. Cassiterite flights are sometimes overloaded. The national authorities have officially blacklisted Goma Express.<sup>54</sup> Also, in the past, some airlines have been involved in illegal mineral trade. AGEFRECO, for example, was mentioned in a 2008 report by the Un Group of Experts for its involvement in buying and transporting 'conflict gold'.<sup>55</sup>

As an alternative, project implementers could use MONUSCO flights, which go twice a week and are probably more reliable and safe. However, the administrative process for requesting seats on these flights these can be quite cumbersome.

Flights between Bukavu and Tchonka are also frequent, and the distance to Katchungu is less than from Shabunda centre. However, there are security concerns when flying into Tchonka because of the Raïa Mutomboki presence.

From Shabunda airport to Katchungu, it takes 4 hours by motorbike, therefore it is better to count one night in Shabunda centre after the flight from Bukavu.

Once in Katchungu, it takes less than 1h30 or 2h30 by motorbike and on foot to reach the first artisanal gold mining sites. The rainy season does not impact the access to mining sites much, although the muddy tracks can increase walking times a little.

### 7.2.3 MINING SITE STATUS

Minimum score: -5

Maximum score: +6

Score obtained: +2

INDICATOR	VALUE	SCORE
Site qualification	The mining site of Ibutubutu has been validated.	+1

<sup>54</sup> UN Group of Experts, Final report, S/2015/19, para. 182

<sup>55</sup> UN Group of Experts, Final report, S/2008/773, para. 84

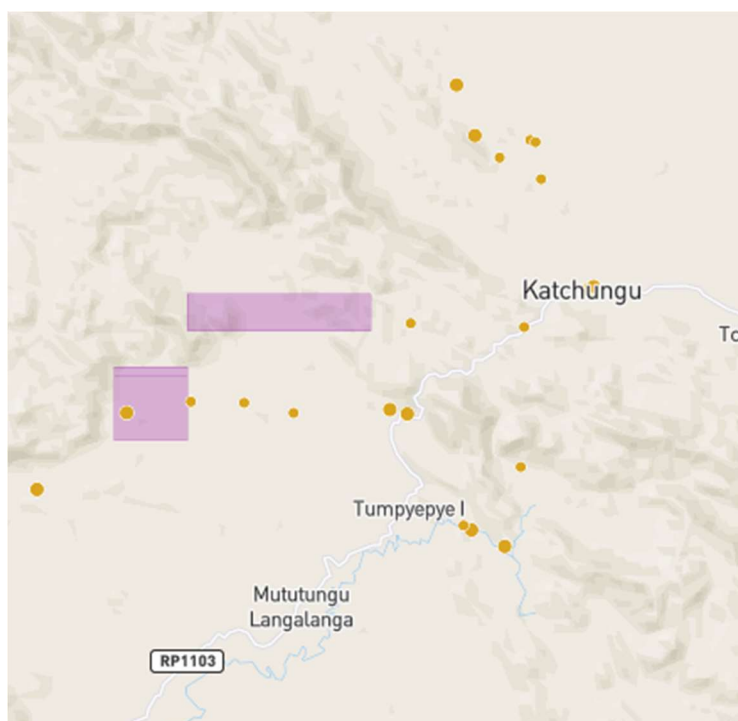
INDICATOR	VALUE	SCORE
Site legal status	There are 2 ZEA's in the vicinity of Katchungu. Ibutubutu is inside one of them. However, there are land disputes between cooperatives in Cubage.	+2
Legal status of miners	Less than 10% of the miners hold a <i>carte de creuseur</i>	-1

No private or industrial mining titles have been registered for the region of Katchungu. Furthermore, two ZEA's<sup>56</sup>(n°537 and n°538) have been designated. An in-depth assessment of their potential for mining should be conducted because the IPIS database suggests that there is little artisanal mining happening within these zones. It is also possible that the geo-references given to Mining Cadastre were wrong, which creates afterwards confusion on the ZEA location.

Also, no cooperatives are active within the ZEA's. The mining site of Ibutubutu is an exception as it is located in ZEA n°538.

However, its green qualification must refer to its cassiterite production. It was surprising that gold artisanal miners ignored they were working ZEA, as the request of such zone is a fastidious and expensive process. Therefore, it seems that the demand of the ZEA came from the cassiterite artisanal miners and it was extended to gold production.

Concerning the distribution of the *carte de creuseur*, less than 10% of the artisanal miners of Katchungu hold one, thereby following the general trend of South-Kivu.



**Image 7-2. Map showing ZEA sites near Katchungu.**

#### 7.2.4 SCOPE OF MINE PRODUCTION

Minimum score: -8

Maximum score: +8

Score obtained: +5

INDICATOR	VALUE	SCORE
Number of workers	On average, there are 103 workers per mining site (Sites visited in July 2018).	+3

<sup>56</sup> Zone d'Exploitation Artisanale or Artisanal Exploitation Zone.



INDICATOR	VALUE	SCORE
Estimated average gold production per week	Production varies from 120 to 900 grams per week	+2
Supported businesses at mining site (restaurants, shops)	From the 9 mining sites visited, 4 have more than 5 shops, and 5 have none.	+1
Level of mechanisation	Miners in Katchungu have not invested in equipment or material	-1

The trading point of Katchungu is supplied by some 20 mining sites. Some of the gold of the most productive is also traded at Shabunda centre. All the sites around Katchungu are alluvial. This means that miners collect sand in or along the bed of a river or creek, and process it to extract gold dust or nuggets/flakes. These placer deposits - as they are also called - eroded from their primary ore source and deposited through hydrological systems in riverbeds.<sup>57</sup> Earth and sand are then panned and washed with the water of river on sluices. At 3 of the visited mining sites, the diggers sort the waste to find any gold they could have missed during a first selection, thereby increasing their production. Production varies from 120 to 900 grams per week and at one site the reported production was even over 2 kg. The number of workers varies between 50 and 210, with an average of 103 artisanal miners.

As on the majority of mining sites in South Kivu, the presence of women remains very limited. According to IPIS investigators, they constitute less than 10% of the workforce and their activities are limited to less profitable tasks such as sorting residues and washing sand. Their marginalised position is the consequence of local beliefs that women could call a curse on the gold production, especially when they have their period. Their role, however, remains essential in economic activities around the mine, including the management of restaurants and shops.

A lack of funding prevents investment in mechanization equipment. However, the Cubage site, located in the ZEA, is equipped with motor pumps.

A part of the production comes from 11 dredges based near the mining site of Idinga's on the Lugulu river, north of Katchungu. The presence of such dredges poses a challenge for any traceability initiative, as they are mobile production units. In addition, in 2015 the Congolese civil society organisation COSOC denounced the opacity of the investment structures of dredging operations on the Ulindi river near Shabunda centre, their links with the Raia Mutomboki and their tax evasion.<sup>1</sup> Raia Mutomboki groups are also active around the Lugulu river and it is highly likely that these dredging operations are (or become) equally problematic. Despite the above, it remains possible to integrate the gold produced by dredges in a transparent supply chain. Theoretically, one SAEMAPE or *Division des Mines* agent could be on board of the dredge to register the production.

However, if the project focuses exclusively on small-scale mining, it can only consider integrating suction dredgers, which are still considered as artisanal equipment. Bucket-chain dredgers, on the other hand, fall under the semi-industrial category.

<sup>57</sup> IPIS, Artisanal Gold Monitoring Pilot: Monitoring report, Artisanal Gold Monitoring Pilot in Mambasa, Ituri, Antwerp, 2017, p. 15



Image 7-3. Mining site, Cubage Centre, Shabunda.

## 7.2.5 LOCAL STAKEHOLDERS: CAPACITIES AND BUY-IN OR INTERFERENCE FOR A POTENTIAL PROJECT IMPLEMENTATION

### Cooperatives

Minimum score: -2

Maximum score: +7

Score obtained: +1

INDICATOR	COMMENTS	SCORE
Presence of one or more cooperatives on site	Most mining sites have an active cooperative	+2
Cooperative is formally registered, or has obtained an 'agrément favorable' from the provincial government	All the cooperatives are formally registered, or have obtained their « agrément favorable ».	+1
Percentage of miners working on site that are member of cooperative	Less than 10 % of the workers are a member of a cooperative.	-1



INDICATOR	COMMENTS	SCORE
Percentage of female members of cooperative	There were no female members in the cooperatives encountered.	-1
Women in management positions in cooperative	None	0
Cooperative members have followed training on responsible sourcing	To our knowledge, none of the encountered cooperatives' members have ever followed a training on responsible sourcing.	0

The Congolese Mining Code requires that artisanal miners organize themselves into cooperatives. As a consequence, their presence is essential for any initiative intending to organise a transparent and responsible supply chain. Therefore, the site assessment and ranking methodology developed by IPIS gives a positive score when a cooperative is present. Previous experiences of responsible sourcing projects have demonstrated that success or failure of the programme can reside in the quality of the collaboration between the implementer and the cooperative in charge of the mining site. Officially, it is the cooperative that decides how the mining site should be managed and what the rules are. Therefore, a good relation will facilitate new management decisions, and ensure that the every stakeholder present is looking and working the success of the project. Furthermore, it seems fundamental to involve a cooperative, at an early stage of the project and to give it responsibilities to ensure ownership of the programme. If the cooperative feels that it is its project, it is likely that the project will sustain after the departure of the international implementers.

More specific to Katchungu, miners reject the cooperatives' legitimacy, despite the fact they have been validated and registered by the Ministry of Mines. The miners consider cooperatives as a vehicle for taxation used by the political and economic elite. For example, members of COOMIKI (*Coopérative Minière de Katchungu Iyela*) complained that there had been no election for managerial positions since 2012. They also accused the cooperative management of not sharing income equitably. Other miners criticized the gold trade monopoly of the BIAIKI (*Coopérative de Blazi, Ibutubutu, Kapimbi*), CMLB (*Coopérative Minière de Lukambiko Baboti*) and the COPEMU (*Coopérative de Umoja*) cooperatives. Artisanal miners also stand against the 10% tax on production that cooperatives have arrogated for their own profit.

Less than 10% of the artisanal miners have joined a cooperative, and women are completely absent from their membership.

Interestingly, miners, PDG's and representatives of the cooperatives seem to welcome the idea of participating in an artisanal gold supply chain traceability pilot. They believe that such a project would help preventing state agencies interfering with the gold mining. All three groups of stakeholders have confirmed that they have never followed any sort of training on mineral traceability or certification. They also believe that a better knowledge of relevant laws would help them to resist the interference by the state agencies.



**Image 7-4. Mining site, Lugulu, Shabunda.**

## Local State Authorities

Minimum score: -17

Maximum score: +9

Score obtained: -8

INDICATOR	VALUE	SCORE
Frequency of SAEMAPE and/or Mining Division visits	Most of the mining sites are visited on a monthly basis by SAEMAPE and the Mining Division.	0
SAEMAPE and/or Mining Division provide regular training and assistance to miners	There is no evidence that mining agencies have provided any training or assistance to the miners.	0
Record keeping by SAEMAPE and/or Mining Division	The Mining Division keeps records of the <i>cartes de négociants</i> that are delivered, the number of workers and PDG's, the number of operational mines and the number of motor pumps.	+1
SAEMAPE and/or Mining Division staff trained on responsible sourcing	No agents of SAEMAPE or the Mining division have ever been trained in responsible sourcing.	0
Presence of Mining Police	No presence of Mining Police has been reported on mining sites.	0
Illegal taxation or harassment by state services	Artisanal miners have reported several forms of harassment by up to 7 state authorities: SAEMAPE (Service d'Assistance et d'Encadrement de l'Exploitation Minière Artisanale et à Petite Echelle), Mining Division, ANR (Agence Nationale du Renseignement), a local authority, judicial authorities, FARDC (Force Armée de la DRC) and APJ (Agent de Police Judiciaire).	-7 (-1 per agency)
Pit ownership by state services	It has been reported that members of the judiciary and the FARDC own gold pits.	-2

The sites around Katchungu are visited on a monthly basis by SAEMAPE and the Mines Division. However, several other state services frequent the mining sites, trying to extort money or gold from the miners. State agents justify their actions, claiming they are legitimate contributions to their transport, catering, accommodation and communication costs. PDG's and diggers report that they pay such 'costs' to representatives of the FARDC, ANR, Mining Division, SAEMAPE and various other state authorities. They estimate that these payments amount to the equivalent of 8 times the sum they pay in regular taxes.

A particular worrying finding is that validated 'green' mines are not spared from such interference. In Cubage, for example, a 'green' site southeast of Katchungu and located in ZEA-537, judicial authorities interfered in a dispute between two cooperatives over the mine's ownership. They used the 'opportunity' to impose the 'secondment' of an affiliated agent at the site. IPIS' interaction with local stakeholders at Cubage suggests that it is barely known that the site is validated and/or that it is located in a ZEA. Targeted and clear communication on the mine's status might help to resolve the ownership conflict.

Several testimonies also indicate that FARDC officers finance certain pits. Some commanders, who have been in the Katchungu area for nearly eight years, are supplying miners with food and equipment, which

the latter pay back through the gold they mine. As a result, those FARDC officers, all of which are posted in Shabunda centre, become co-managers of the mining sites. Such FARDC interference has been reported at the mining sites of Cubage and Kamabondo, along the Shabunda-Luguma road. In addition, some of the officers have started a general trading business, selling for example cows or fish in exchange for gold. Miners feel they cannot refuse to buy these products, despite sometimes exorbitant prices. In July 2018 for example, a bull was sold in Kamabondo for 35 grams of gold.

Similar to the sites around Shabunda and Mapimo, there is a persistent problem of abuse of power by the judicial authorities. During production periods, miners and PDG's are arbitrarily arrested only to be released after paying a 'bail' in gold. Furthermore, judicial police officers (APJ) travel to mining sites where they find all sorts of reasons to fine the miners, forcing them to pay in gold. It has also been reported that senior civil servants of the Shabunda judiciary pre-financed motor pumps at Luguguma. Luguguma is a mining site near Katchungu and is the subject of an ownership dispute, which has led to an assassination. While the eldest brother of a family had been recognized by the rest of the family as the pit owner, the Shabunda prosecutor interfered on behalf of a younger brother, allegedly in exchange for a stake in the mine management. Early July, former Raia Mutomboki presumably recruited by the younger brother, invaded the eldest brother's house and killed his wife. Finally, a high-ranking magistrate<sup>58</sup> is reportedly involved in the exploitation of mining sites in Luguguma. Although these sites are officially closed since July 2018, because they came under Raia Mutomboki control, miners continue to operate there with the approval of the magistrate.

Although the situation described above may seem rather bleak, interference and illegal taxation are not an insurmountable issue. It can be dealt with through the sensitization of state authorities, trainings on due diligence and mineral certification, and advocacy efforts aimed at the validation of mining sites and the creation of ZEAs. Such trainings should be given to all stakeholders, including state agencies, local authorities, cooperatives, artisanal miners and traders.

### Civil Society Organisations

Minimum score: -1

Maximum score: 6

Score obtained: +5

INDICATOR	VALUE	SCORE
Civil society operating in proximity of mine	« AVEC » is a civil society organisation which supports women workers through providing micro-credit financing.	+2
Civil society is active at the mine	“AVEC” members are women in charge of washing sand and sorting residuals.	+1
International experience of civil society	AVEC has never been funded by an international organization, nor has it worked with one.	0
Percentage of female members of civil society organisations	All AVEC members are women, mostly widows.	+1
Women in management positions in civil society.	All management positions (President, Vice-president, secretary) are held by women.	+1

<sup>58</sup> Identity withheld but known to IPIS.



There is a civil society organization, named AVEC, focusing on women working in the artisanal mining sector. AVEC offers micro credits for women through a small fund. They finance this fund through money earned from secondary gold extraction from sand residues. They also organize the sand washing and the sorting of residues as collective activities to increase productivity. When needed the cooperative members help each other financially. There are about 60 members and most are widowed. Embedded within the community, the organization has the advantage of being very well informed of local dynamics. Since AVEC has never worked with an international NGO or received external funds before, any collaboration will require investment in office equipment and thorough management and computer training.

## 7.2.6 HEALTH AND SAFETY

Minimum score: -14

Maximum score: +4

Score obtained: -4

INDICATOR	VALUE	SCORE
Use of personal protective equipment	Most miners only wear rubber boots	0
Accidents resulting in injuries	No accidents with seriously injured miners have occurred in the past 6 months.	0
Fatal accidents	No accidents with fatalities have occurred in the past 6 months	0
Maximal pits and/or gallery depth	Not applicable.	0
Child labour: mining	° No children work inside the mines	0
Child labour: non-mining	No child labour has been reported.	0
Sanitary facilities for women	There are no separate sanitary facilities for women	0
Use of mercury and other chemicals (such as cyanide)	The use of mercury has been reported twice on mining sites where dredges are active.	-2
Open air burning of mercury	In both cases, the mercury was burned and its residual thrown in the river.	-2

Although safety precautions are rudimentary, no incidents resulting in injuries or death have been reported in the last 6 months. The most likely explanation is that all mining sites are alluvial, so the risk of accident is relatively low. The protective gear of miners is generally limited to simple rubber boots. On the Indiga / Makamba site, the diggers have invested in noise-cancelling helmets. On the Mubela Nzogu and Lukabinkyo/ Kamabondo sites, however, no protective gear has been observed.

No pregnant women have been reported at any site. At the 9 sites visited around Katchungu, a minority of women were identified to be involved in production of 6 mining sites. Their primary tasks appear to be sand washing, and waste treatment. Clearly, they remain in a small minority among the workforce, as they represent less than 5% of the total number of workers.

At the Indiga mining site, production processes involve the use of mercury. The mercury is imported from neighbouring and regional countries such as Tanzania, Burundi, and sometimes Kenya. The use of

the highly toxic mercury can have a severe impact on the environment. A first danger is the use of mercury near populated areas. Any mercury residues or waste left, pose a great risk to the health of nearby families. In addition, further harm is done by dumping the mercury in or near waterways and lakes, thereby contaminating drinking water, but also poisoning animals and fish. Finally, its fumes are very harmful and can travel long distances, affecting communities living both close and far away from mining areas.<sup>59</sup> In the case of Indiga, mercury was used at a distance of less than 100 m from houses.

### 7.2.7 TRADE

As explained in the methodology, the ranking is done at mining site level and can therefore not fully include the issue of trade, which is mainly happening at trade hub level. Therefore, there is no ranking or score for the chapter on trade.<sup>60</sup>

Katchungu must compete with other gold trading points such as Lulungu, Mututungu, Matebo, and of course, Tchonka. The latter is perhaps the more attractive because of its size and airport, but it is also the most insecure due to the presence of Raïa Mutomboki. The competition between trading points does not impact the suitability of Katchungu for a traceability initiative. On the contrary, it is proof that a significant volume of gold is available in the area, which is a crucial condition to attract downstream stakeholders. In addition, it is expected that many additional inactive or unexploited gold sites can be identified. Around 20 mines currently supply Katchungu. 9 of these were visited by IPIS in 2018 and 5 of those were producing more than 120 grams of gold every week. The two most productive mines reportedly produced up to 800 grams/week.

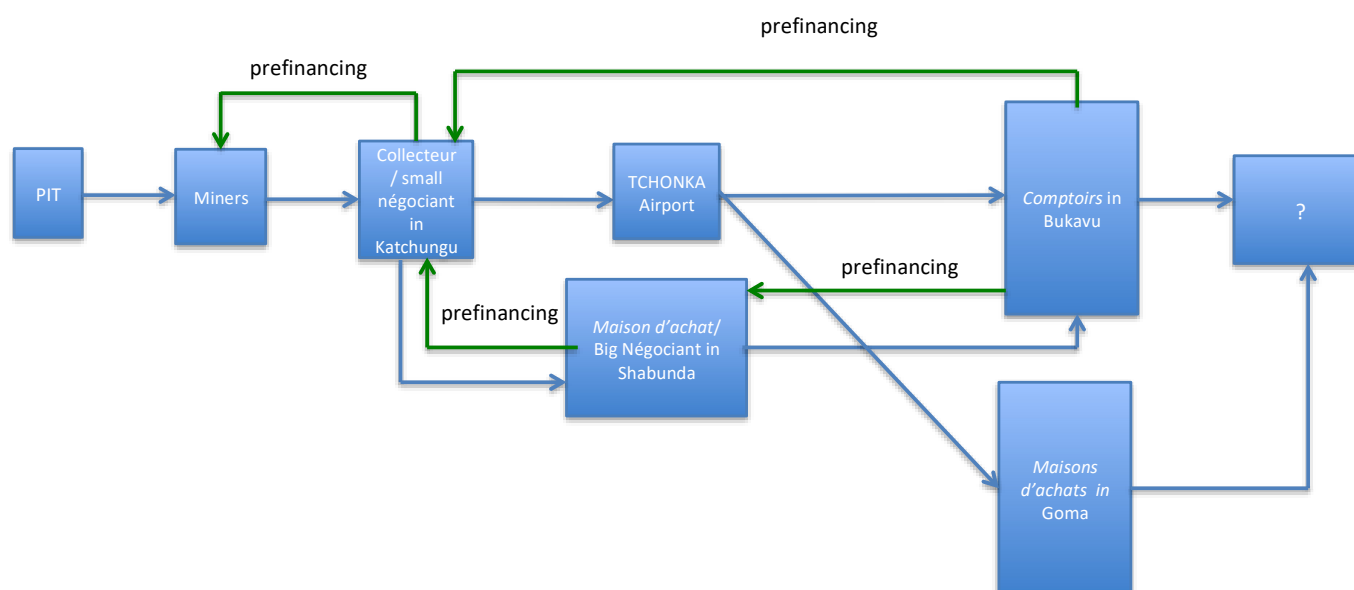
There are 17 gold buyers based in Katchungu, but the buyers also send commissioners to the mining sites to buy gold directly there. As a consequence, more than 60 commissioners and traders visit Indiga daily. Most of these buyers do not hold a *carte de négociant*. Furthermore, bartering practices for all sorts of economic transactions remain frequent, which certainly complicates traceability.

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<sup>59</sup> IPIS, *Artisanal Gold Monitoring Pilot: Monitoring report, Artisanal Gold Monitoring Pilot in Mambasa, Ituri, Antwerp*, 2017, p. 28.

<sup>60</sup> IPIS, *Site Assessment Methodology for the Responsible Artisanal Gold in South Kivu Province project*, CBRMT Program implemented by Tetra Tech ARD, Antwerp, June 2018, p. 8

**Figure 7-1. Gold Supply Chain in Katchungu**



### 7.3 SUMMARY OF THE ASSESSMENT: KATCHUNGU

THEME	SCORE	COMMENTS
Security	- 12	<p>All mining sites visited in July 2018 were free of non-state armed groups. However, certain mining sites supplying the trading point of Katchungu remain under the control of Raia Mutomboki. This is the case for Luguguma, Luguguma Amot, Ikusa Katota, Kalukundu and Kalusungu. Furthermore, Raia Mutomboki have been active along the Luguguma-Katchungu axis.</p> <p>In addition, FARDC officers play an important role in the ASM management of mining sites and interfere in land disputes.</p> <p>Finally, a murder of a mining site owner's family member in the context of a land dispute was committed near Katchungu and has affected the ASM sector of Shabunda.</p>
Access	-2	<p>Traveling from Bukavu to Katchungu requires air travel until Shabunda airport. From there, it takes 4 hours by motorbike to reach the trading point of Katchungu.</p> <p>Once in Katchungu, the first mining sites are within 3 hours walking distance.</p>
Mining Site Status	+2	<p>There are 2 ZEA's in the vicinity of Katchungu and the mining site of Ibutubutu has been validated. However, less than 10% of the miners hold a <i>carte de creuseur</i>.</p>

THEME	SCORE	COMMENTS
Production	+2	On average, there are 103 workers per mining site (Sites visited in July 2018). Production per mining site varies from 120 to 900 grams per week
Cooperatives	+1	Most mining sites have an active cooperative, which is formally registered. However, only very few creuseurs are members of it.
Local State Authorities	- 8	Artisanal miners have reported several forms of harassment by up to 7 state authorities. Furthermore, high-level judiciary representatives and FARDC own gold pits.
Civil Society Organisations	+5	« AVEC » is a civil society organisation which supports women workers through providing micro-credit financing. “AVEC” members are women in charge of washing sand and sorting residuals.
Health & Safety	-4	No fatal or serious accidents have occurred in the past 6 months.  Child labour has not been reported. However, artisanal miners use mercury, burn it in open air or throw the residues in the river.

## 8.0 SITE ASSESSMENT: MAPIMO<sup>61</sup>

### 8.1 SUMMARY

The gold mining area of Mapimo lies across the Ulindi River from Shabunda centre and borders the province of Maniema. Traveling to Mapimo requires flying into Shabunda, and then traveling by motorbike for nearly 50 km. Bridges on the access road are broken so it is impossible to reach the area by car. For the purpose of launching a responsible supply chain initiative, this remoteness is probably the main challenge. For the same reason, the mining activity around Mapimo has been insufficiently mapped. During its research, the IPIS team has faced logistical issues, which prevented it to stay long enough to identify all the remote mining sites. As a consequence, only 6 mines in the immediate surroundings were visited. Therefore, the reported gold production should be considered as an underestimation of the actual activity in the wider area. In fact, busy trading activity and the large number of trading points suggest that there is a high volume of gold being extracted around Mapimo.

One important challenge of Mapimo that could be turned into an opportunity is the absence of cooperatives on some mining sites, and the weakness of those existing. This needn't be a disadvantage, as it would allow to build miner's capacity and representation up from zero. As a consequence, any traceability scheme in Mapimo should prioritize the training of miners on cooperative management, the Congolese mining code and regional certification systems. Incentives to convince miners to take part in such a project could include such training. In addition, the prospect of a transparent and responsible supply chain discouraging harassment by local authorities could certainly appeal to them as well. Indeed, agents from the Mining Division and from SAEMAPE around Mapimo compensate the lack of income by extorting money from the miners. A responsible supply chain initiative could turn these civil servants into allies. For example by guaranteeing that their salaries are paid through the legal taxation of gold production. Finally, similar to Katchungu and Shabunda centre, Mapimo is faced with interference from the judicial authorities in Shabunda.

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<sup>61</sup> All quantitative data collected for this present research and in previous IPIS visits are in open data and can be downloaded on IPIS website : <http://ipisresearch.be/home/conflict-mapping/maps/open-data/>





## 8.2 ASSESSMENT

### 8.2.1 SECURITY

Minimum score: -18

Maximum score: +12

Score obtained: +9

INDICATOR	VALUE	SCORE
Non-state armed group visits to mine in the last 6 months	No visits of non-state armed group to mine have been reported in the last 6 months	+4
Non-state armed group presence in the last 6 months	No presence of non-state armed group presence been reported in the last 6 months, in a radius of 25 km.	+3
Roadblocks by non-state armed groups on mine access routes (road between mine and its mineral trading point/trade hub)	No roadblock has been observed between the mining site and its mineral trading point.	0
FARDC presence and/ or interference	PDG's have reported that FARDC officers play an important role in the ASM management of mining sites and interfere in land disputes.	-3
Banditry	Banditry in Mapimo is moderate.	+ 2
Roadblocks by FARDC on site access routes	The FARDC has not set up roadblocks.	0
All forms of sexual violence	No cases of sexual violence in past 6 months have been reported	0
Other conflict and tensions	A murder of a mining site owner's family member in the context of a land dispute was committed near Katchungu and has affected the ASM sector of Shabunda	0
Violence	The incident above did not affect the security situation of Mapimo	0

The last military attack on Mapimo dates back to March 2013. The armed group responsible were the Raia Mutomboki of Juriste Kikuni, who has since demobilised and joined the peace process in December 2014.<sup>62</sup> Clearly, the security situation in Mapimo and its surroundings is very stable, especially in comparison with other trading points in the region, such as Katchungu or Tchonka. The civil society credits the local community itself for the stability by successfully dissuading local youth to join the Raia Mutomboki. Indeed, Mapimo customary chiefs have threatened to ban to anyone joining the armed group. They also ordered those who had already enrolled to disarm, which led to a voluntary and relatively effective disarmament.

<sup>62</sup> Radio Okapi, Sud-Kivu: reddition d'une faction de Raia Mutomboki, 7 décembre 2017: <https://www.radiookapi.net/actualite/2014/12/07/sud-kivu-reddition-dune-faction-de-raia-mutomboki>

Banditry is not an issue in Mapimo either. While it is true that incident reporting in remote areas is not always complete, IPIS investigators have observed an active night life, which is usually a good indicator in the DRC that people feel safe. Moreover, since no armed group has been observed in the region since 2013, MONUSCO has not felt the need to establish a base there.

On the issue of roadblocks, none have been reported, even on the important axis between Mapimo and Kitamuna. The latter town is another auriferous area located in Maniema, along the Lugulu river.

### 8.2.2 ACCESSIBILITY

Minimum score: -12

Maximum score: +8

Score obtained: -2



Image 8-2. Mining site, Kilumazi, Shabunda

INDICATOR	VALUE	SCORE
Minimum travel time from Bukavu to the mine's trading hub	Traveling from Bukavu to Mapimo requires more than 1 day of travel	-2
Means of transport from Bukavu to hub in dry season	Reaching Mapimo from Bukavu requires air travel. The roads are currently in poor condition and not passable.	- 2
Means of transport from Bukavu to hub in rainy season	Same as above. No difference between dry and wet seasons.	0
Minimum travel time from trading hub to mine	The first mines can be reached in less than half a day from Mapimo.	+2
Means of transport from trading hub to mine (dry season)	Mining sites around Mapimo are reachable by foot and motorbike.	0
Means of transport from Bukavu to hub in rainy season	Same as above. No difference between dry and wet seasons.	0
Telephone network coverage	For most of mining sites, network coverage is within walking distance	0

Access to Mapimo is quite difficult from Bukavu. One has to take a plane to Shabunda, after which it takes 5 hours on a motorbike for about 70 km, to Lugungu (23 km) and another 48 km to Mapimo.

Between Bukavu and Shabunda, (cargo) flights are relatively frequent. There are 6 aviation agencies (AGEFRECO, IMI-GOMA, GOMA Express, MCA, CHARLES AVIATION and MAENDELEO) operating up to a dozen flights per week. Nevertheless, the flight schedule is often dependent on the availability of a cargo of cassiterite destined for Bukavu. Hence, it can happen that flights are cancelled. Furthermore, most of these airplanes do not comply with the international safety standards. Cassiterite flights are

sometimes overloaded. Goma Express has officially been blacklisted by the national authorities.<sup>63</sup> Also, in the past, some airlines have been involved in illegal mineral trade. AGEFRECO, for example, was mentioned in a 2008 report by the Un Group of Experts for its involvement in buying and transporting ‘conflict gold’.<sup>64</sup>

As an alternative, project implementers could use MONUSCO flights, which go twice a week and are probably more reliable and safer. However, the administrative process for requesting seats on these flights these can be quite cumbersome.

The travel time between Shabunda and Mapimo can further increase during the rainy season, when the roads become muddy. Cars would be able to reach Mapimo via the main road if the bridges were to be repaired but until then only motorbikes can make the entire trip.

Once in Mapimo, access to the surrounding mining sites is relatively easy. In the dry season, the first sites can be reached by motorcycle and on foot in less than an hour. In the rainy season, some sites are only accessible on foot, because of the ruts left by the trucks joining Maniema province. However, the walking time, which between 2 and 3 hours remains relatively short.

### 8.2.3 MINING SITE STATUS

Minimum score: -5

Maximum score: +6

Score obtained: -1

INDICATOR	VALUE	SCORE
Site qualification	The mining sites around Mapimo have not been validated	0
Site legal status	There are no mining concessions around Mapimo.	0
Legal status of miners	Less than 10% of the miners hold a <i>carte de creuseur</i>	-1

Interestingly, gold mining around Mapimo has remained largely under the radar. The IPIS web map identifies nearly 1650 gold mine sites in Eastern Congo, but it includes only 6 sites near Mapimo. 4 of these sites were visited in 2013 (Malimimongi, Camp Nzingi, Minoro and Mutengia), and 2 in July 2018 (Lugulu, Kilumazi). Due to logistic constraints, the IPIS team that travelled to Mapimo in 2018 did not have the time to identify or locate any additional mining sites. Nevertheless, the visits concluded that there are no active mining concessions near Mapimo. Data from the Congolese mining cadastre shown on the IPIS web map confirms this.

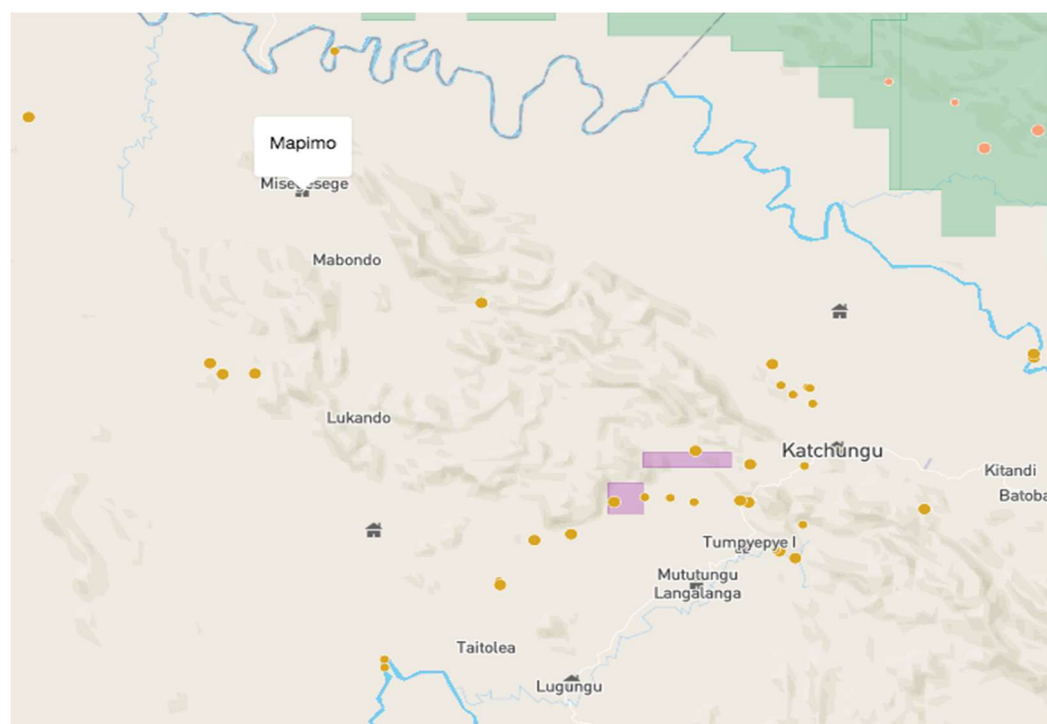
Concerning the legal status of the miners, fewer than 10% of them hold a *carte de creuseur*. At the Kilumazi mine site, not a single miner had such a card. This is not surprising given that SAEMAPE is rarely present at Kilumazi and no cooperative has been established. The situation described above shows that the artisanal mining sector around Mapimo remains particularly informal. It is however, important to highlight that, this does not cause any conflict or tensions between miners and the local population.

<sup>63</sup> UN Group of Experts, Final report, S/2015/19, para. 182

<sup>64</sup> UN Group of Experts, Final report, S/2008/773, para. 84



## 8.2.4 SCOPE OF MINE PRODUCTION



**Image 8-3. Map showing purple ZEA areas near Mapimo.**

Minimum score: -8

Maximum score: +8

Score obtained: +1

INDICATOR	VALUE	SCORE
Number of workers	On average there are 134 workers per mining site. (This figure is based on the both the data from 2013 and 2018).	+2
Estimated average gold production per week	The estimated average gold production per week is more than 50 grammes.	+2
Supported businesses at mining site (restaurants, shops)	No shops were observed at the mining sites visited in 2018.	-2
Level of mechanisation	Miners only have rudimentary tools	-1

Although some gold deposits are nearer to the town, Mapimo is better known for its cassiterite mines. Although none are certified, there are indeed several cassiterite mines around Mapimo.<sup>65</sup> Its reputation as a cassiterite centre, may explain why there seems to be less interest in its gold mining potential. Nevertheless, field visits in 2013 and 2018 have found some intensive artisanal gold mining activity. During the 2013 visits, the number of workers at the different sites varied from 80 to 300 workers, and

<sup>65</sup> UN Group of Experts, Final report, S/2015/19, para. 187



the average gold production was around 145 grams per week. One site visited in 2018 produced up to 130 grams of gold per week. At the second site, 30 workers were still preparing the area for exploitation. In addition, the research teams received reports that there are at least 7 productive alluvial sites around the relatively nearby village of Selebo village. In this zone, most of the mining pits are less than 5 meters deep, as the miners lack the equipment to attempt a deeper extraction. Indeed, the level of mechanization remains basic in entire area. Finally, some women are present, but they constitute a small minority, representing less than 10% of the workforce. They are mainly in charge of washing gold and sorting residuals.

From the above, it is clear that accurately assessing the production is difficult because of the limited data that could be obtained. However, there are some indications the level of production could be relatively high. A first one is the steady inflow of gold traders from Shabunda centre. It is reported that up to 60 traders arrive at Mapimo every day. A second indication is that Mapimo is surrounded by other gold trading points: Shabunda centre, Katchungu, Minoro, Lugungu, Kasangati, and Luza. It appears, in fact, that the whole region is rich in gold.

## 8.2.5 LOCAL STAKEHOLDERS: CAPACITIES AND BUY-IN OR INTERFERENCE FOR A POTENTIAL PROJECT IMPLEMENTATION

### Cooperatives

Minimum score: -2

Maximum score: 7

Score obtained: -1

INDICATOR	COMMENTS	SCORE
Presence of one or more cooperatives on site	Only 2 cooperatives are active for 6 mining sites : Coopérative Mobuto and coopérative minière Chunga Frère.	0
Cooperative is formally registered, or has obtained an 'agrément favorable' from the provincial government	The two cooperatives are formally registered, or have obtained their « agrément favorable ».	+1
Percentage of miners working on site that are member of cooperative	Less than 10 % of the workers are a member of a cooperative.	-1
Percentage of female members of cooperative	There were no female members in the cooperatives encountered.	-1
Women in management positions in cooperative	None	0
Cooperative members have followed training on responsible sourcing	To our knowledge, none of the encountered cooperatives' members have ever followed a training on responsible sourcing.	0

The Congolese Mining Code requires that artisanal miners organize themselves into cooperatives. As a consequence, their presence is essential for any initiative intending to organise a transparent and responsible supply chain. Therefore, the site assessment and ranking methodology developed by IPIS gives a positive score when a cooperative is present. Furthermore, it seems fundamental to involve a cooperative, at an early stage of the project and to give it responsibilities to ensure ownership of the

programme. If the cooperative feels that it is its project, it is likely that the project will sustain after the departure of the international implementers.

That being said, the results of IPIS' field missions in Shabunda, but also in Kalehe (Nyawaronga and Shanje) and Walungu (Kaziba), have shown that artisanal miners distrust cooperatives and criticize their legitimacy. Part of the issue stems from the word "cooperative" itself. It suggests some measure of solidarity that the miner expects to benefit from as a member. These expectations can include the payment of his *carte de creuseur*, a health insurance, the provision of safety equipment or a contribution to the school fees of miners' kids. However, the system of cooperatives in South Kivu, and generally in eastern Congo, functions more like a (small) private company where the cooperative's board acts like an employer, and the miner as an employee. Furthermore, instead of getting financial benefits, the miner has to pay for the right to work, making his own earning from the gold he finds. As a result, what they believe should be an organisation representing them and defending their interest, is perceived as an opaque institution led by unknown managers who exploit them.

More specific to Mapimo, the cooperative system is not well-established. There are several sites where miners have not organised themselves into a cooperative, for example in Lugulu. Where cooperatives are in place, there is a disconnect between their management, most of which lives in Shabunda centre, and the miners themselves. Moreover, both miners and the local population have a very negative perception of them. The miners reproach cooperatives for not representing them and for not defending their interests. Instead, they expect cooperatives to impose taxes on the production, (similar to what they do in Katchungu). Such complaints and fears explain why cooperatives have only few members. The negative opinion of the local population stems from their perception that cooperatives have not contributed to the development of the region. In light of the above, it is not surprising that none of the stakeholders knows the exact function of cooperatives, including the cooperatives themselves. As far as gender issues are concerned, women are completely absent from their membership.



**Image 8-4. Lugulu mining site, Mapimo.**

## Local State Authorities

Minimum score: -17

Maximum score: +9

Score obtained: -12

INDICATOR	COMMENTS	SCORE
Frequency of SAEMAPE and/or Mining Division visits	Most of the mining sites are rarely visited by SAEMAPE and the Mining Division.	- 3
SAEMAPE and/or Mining Division provide regular training and assistance to miners	There is no evidence that mining agencies have provided any training or assistance to miners.	0
Record keeping by SAEMAPE and/or Mining Division	It does not seem that SAEMAPE or the Mining Division keep records.	- 1
SAEMAPE and/or Mining Division staff trained on responsible sourcing	No one in SAEMAPE or the Mining division has ever been trained in responsible sourcing.	0
Presence of Mining Police	No presence of mining police has been reported on mining sites.	0
Illegal taxation or harassment by state services	Artisanal miners have reported harassment by SAEMAPE, Mining Division, ANR, DGI, APJ, judicial authorities and FARDC officers.	-6 (-1 per agency)
Pit ownership by state services	It has been reported that high-level judicial authorities and the FARDC own gold pits.	-2

Mapimo's delay in formalizing its artisanal gold sector, particularly regarding the creation of cooperatives, the registration of miners and the qualification of mining sites, is a consequence of the low level of engagement of SAEMAPE. Indeed, their mining site visits are rare and irregular and they are mostly limited to productive sites where they can collect the most tax. Owners of motor pumps, for example, find themselves paying tax on their tools twice: a first time to SAEMAPE (\$ 50 per month) and a second time to the mining division (\$ 50 per quarter).

Other state authorities levy illegal taxes as well. The DGI (*Direction Générale des Impôts* or General Direction of Taxes) abuses its power by collecting taxes from pit owners on behalf of the DPMER (*Direction Provinciale de Mobilisation et de l'Encadrement des Recettes* or Provincial Direction for the Revenue Mobilisation and Control). Some of the extortion is more brutal. It has, for example, been reported that pit owners were arbitrarily arrested by the *Agence Nationale de Renseignement* (ANR) or APJ officers (*Agent de Police Judiciaire*) only to be released after paying a 'bail' in gold. The APJ especially harass miners continuously, closely monitoring their activities so they can find the smallest of reasons to fine them. These APJ agents are reportedly working for a high-ranking magistrate in Shabunda centre.

State agents do not keep data of taxes they collected, which leaves the door open for abuses. Miners complain that SAEMAPE fine them for not having a *carte de creuseur*. Many of them claimed to have paid for the document multiple times, an accusation that we have not been able to verify.

Although the situation described above may seem rather bleak, interference and illegal taxation are not insurmountable issues. They can be dealt with through the sensitization of state authorities, trainings on

due diligence and mineral certification, and advocacy efforts aimed at the validation of mining sites and the creation of ZEAs. Such trainings should be given to all groups of stakeholders, including state agencies, local authorities, cooperatives, artisanal miners and traders.

### Civil Society Organisations

Minimum score: -1

Maximum score: +6

Score obtained: +1

INDICATOR	VALUE	SCORE
Civil society operating in proximity of mine.	There is one organisation called RTM-C, which defends the interests of cassiterite transporters.	2
Civil society is active at the mine.	RTM-C acts more as a trade-union. It does not implement projects.	0
International experience of civil society.	RTM-C has never collaborated with an international donor / partner.	0
Percentage of female members of civil society organisations.	There are none.	-1
Women in management positions in civil society.	None	0

There are a few individual ‘representatives’ of the civil society, who are also state agents. These cannot fulfil the role expected of a civil society organisation because they have a clear conflict of interest. Furthermore, there is one independent CSO, which is active in the mineral sector. The RTM-C (*Regroupement des Transporteurs des Minerais – Cassitérite*), represents transporters of cassiterite who operate between Mapimo and Shabunda centre. However, RTM-C would probably not be the right type of partner to get involved in an initiative on a transparent gold supply chain. It lacks experience in the gold sector and has never implemented a project before.

### 8.2.6 HEALTH AND SAFETY

Minimum score: -14

Maximum score: +4

Score obtained: 0

INDICATOR	VALUE	SCORE
Use of personal protective equipment	Most miners only wear rubber boots	0
Accidents resulting in injuries	No accident with seriously injured miners has occurred in the past 6 months.	0
Fatal accidents	No accidents with fatalities has occurred in the past 6 months	0
Maximal pit and/or gallery depth	Pits are under 30 meters deep, as required by law	0
Child labour: mining	No children work inside the mines	0
Child labour: non-mining	No children are working at the mining sites	0

INDICATOR	VALUE	SCORE
Sanitary facilities for women	There are no separate sanitary facilities for women	0
Use of mercury and other chemicals (such as cyanide)	Mercury is not used at the mining sites	0
Open air burning of mercury	Not applicable	0

The mining sites supplying Mapimo are mostly alluvial mining sites. This means that miners collect sand in or along the bed of a river or creek, and process it to extract gold dust or nuggets/flakes. These placer deposits - as they are also called - eroded from their primary ore source and deposited through hydrological systems in riverbeds.<sup>66</sup> Earth and sand are then panned and washed with the water of the river on sluices. This activity is low-risk. It does not involve the use of chemicals such as cyanide or mercury, which explains why no fatal accidents, or serious injuries, have been recorded in the last six months. The low risk level also justifies the lack of investment in protective equipment, which is limited to rubber boots.

In Kilumazi, there are 23 open-air pits, with a maximum depth of 6 metres. Miners have become more careful after 2015, when a pit collapsed, injuring 80 workers. Nevertheless, their protection equipment is still limited to rubber boots.

No child labour has been reported on any of the mining sites. However, two pregnant women have been spotted washing and sorting residuals, which is forbidden by the Congolese mining code. Such transgressions are not serious enough to exclude Kilumazi from a responsible sourcing pilot. However, they need to be addressed in the project's risk identification and assessment (step II of the OECD guidelines).

Finally, no mercury use has been reported at mining sites around Mapimo.

### 8.2.7 TRADE

Mapimo has initially developed as a cassiterite trading centre.<sup>67</sup> Then, established cassiterite traders extended their business to gold. Some of the biggest buying houses claim they buy 1 kg of gold per day. The high value to weight ratio of gold permits smaller businessmen to get involved in the trade as well. In Mapimo, 43 little shops referred to as "Vodacom houses" (because they sell phone credit) have extended their business to gold trading.

Furthermore, all small businesses accept payments in gold. Such bartering practices make gold traceability more difficult. However, they can only persist as long the sector remains largely informal. If the programme intends to work in a closed pipeline mineral supply chain system, bartering practices are expected to stop as soon as this scheme for gold is implemented. Therefore, the level of bartering in a mining area could be considered as an indicator of the level of implementation of the supply chain system.

Another challenge could be the gold smuggled from Maniema to Mapimo, risking to contaminate the local supply chain. The smugglers are motivated by the lower tax rates on trade and production in

<sup>66</sup> IPIS, Artisanal Gold Monitoring Pilot: Monitoring report, Artisanal Gold Monitoring Pilot in Mambasa, Ituri, Antwerp, 2017, p. 15

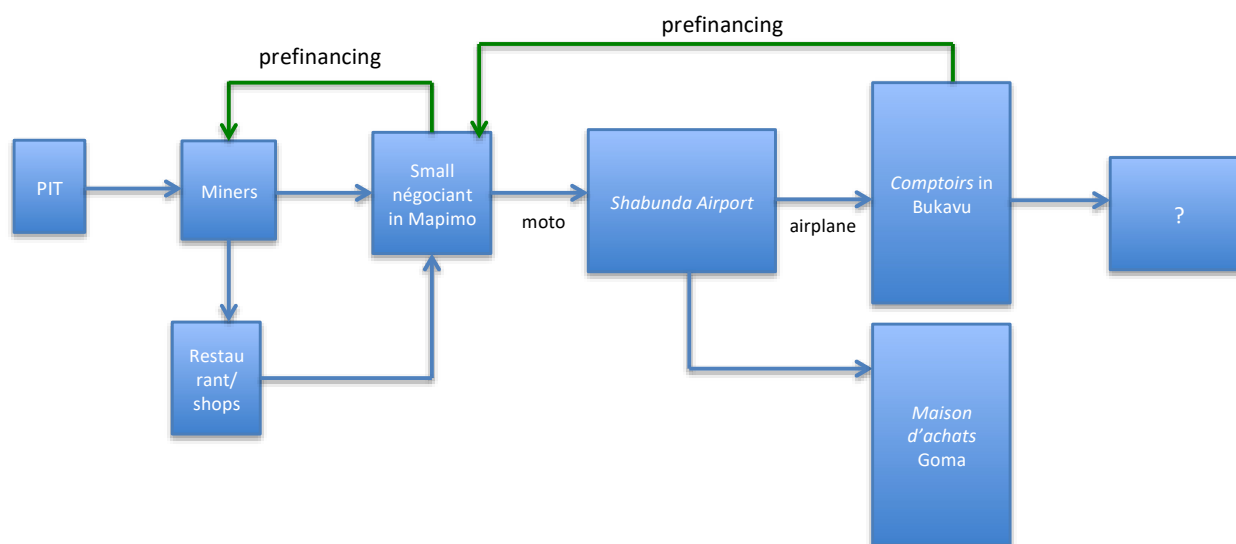
<sup>67</sup> UN Group of Experts for the DRC, final report, S/2015/19, para 181 and 187.



South-Kivu (13%) compared to Maniema (16,5 %).<sup>68</sup> The ITSCI programme, which focuses on 3T minerals (Tin, Tantalum and Tungsten), has acknowledged the cassiterite smuggling operations between Maniema and South Kivu.<sup>69</sup> The UN group of Experts has highlighted that Mapimo is likely to be a key transit point for the minerals.<sup>70</sup> Also the IPIS research teams have reported that gold from the mining site of Kitamuna, a very productive gold mine judging from the number of workers, 500 in 2015)<sup>71</sup>. Any initiative to organize a responsible supply chain should assess the risk of contamination. A positive development is that Maniema authorities have taken important measures to tackle the smuggling issue.<sup>72</sup> They might be an ally to develop strategies to stop the illegal transfer of Kitamuna gold to Mapimo. In fact, the most obvious measure to reduce smuggling would be to standardize the tax regime in both (or all) provinces, for which several Congolese NGOs have been advocated.

Smuggling issue aside, there is an important trade of Mapimo gold. As mentioned earlier between 50 and 60 motorbikes arrive at Kilumazi daily to buy gold for gold traders in Shabunda or Bukavu.

**Figure 8-I. Gold Supply Chain in Mapimo**



<sup>68</sup> CBRMT, Working with producers to responsibly source artisanal gold from the DRC, May 2015, p. 23

<sup>69</sup> ITRI response to the final report of the group of experts on the Democratic Republic of the Congo, S/2015-19 of the 12th January 2015. Available at <https://www.itsci.org/wp-content/uploads/2018/01/ITRI-COMMENTS-ON-FINAL-REPORT-GOE-Jan-2015final-1.pdf>

<sup>70</sup> UN Group of Experts for the DRC, final report, S/2015/19, para 181 and 187.

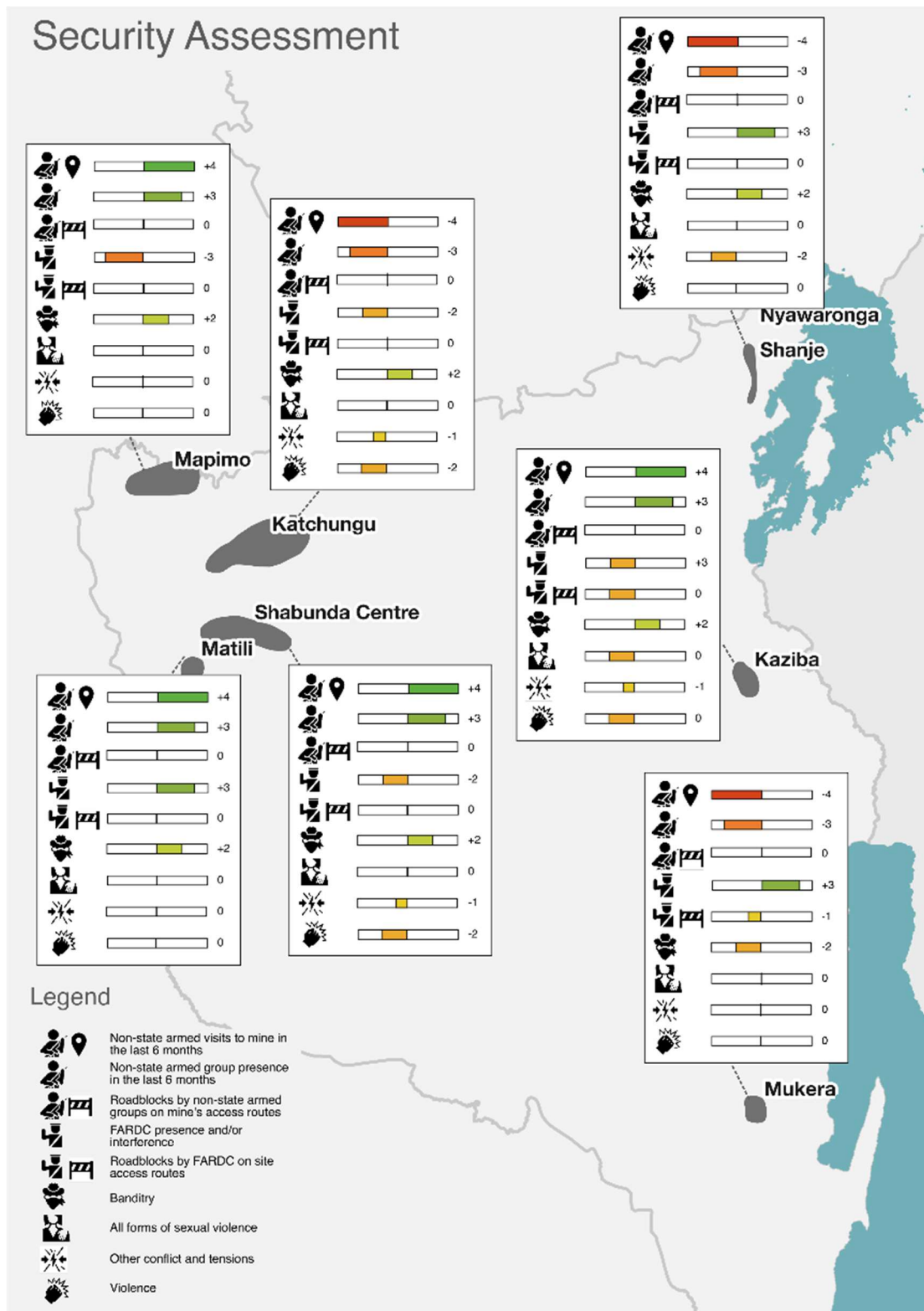
<sup>71</sup> IPIS field visit of the 7th July 2015.

<sup>72</sup> UN Group of Experts for the DRC, final report, S/2014/42, para 207.

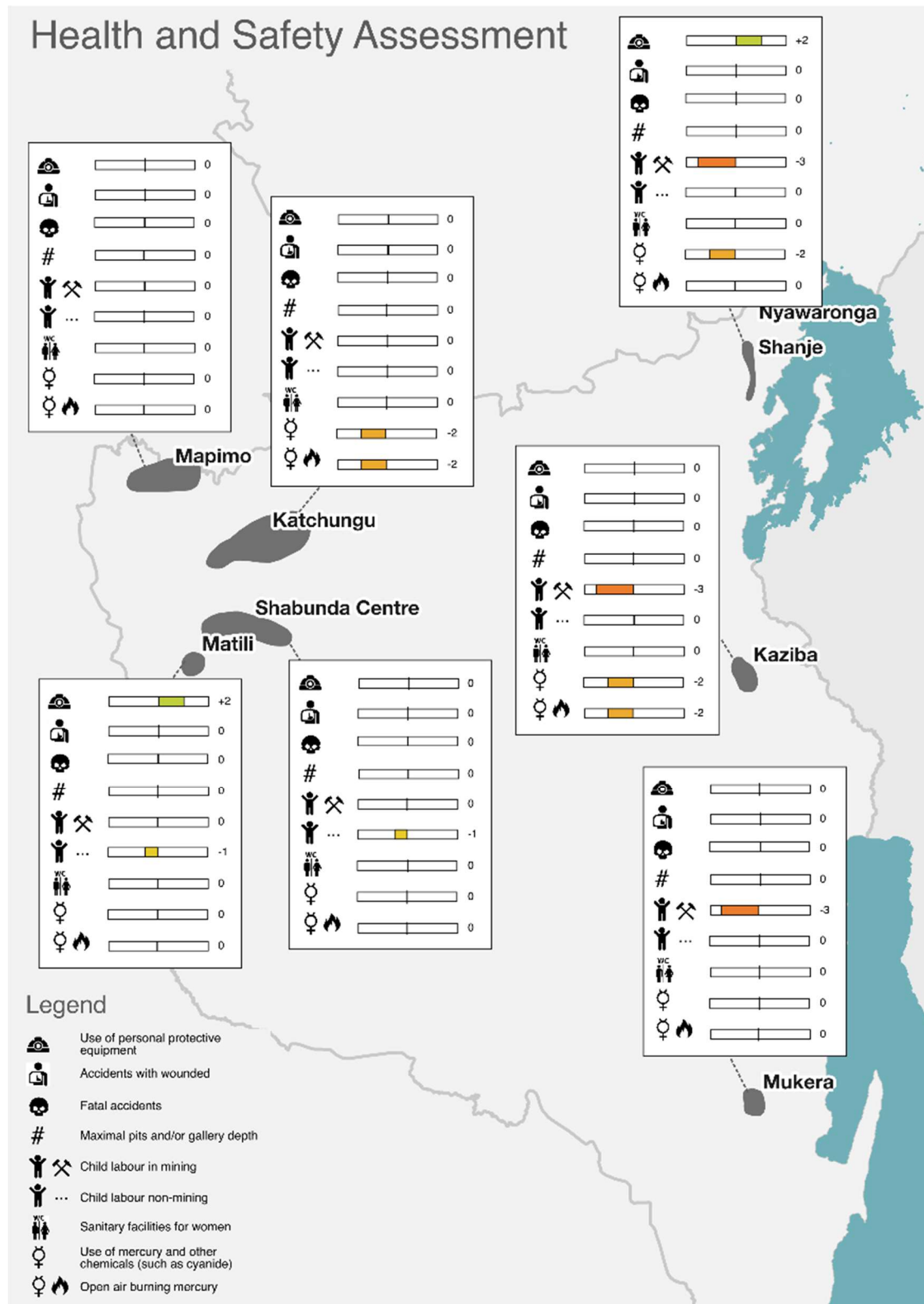
### 8.3 SUMMARY OF THE ASSESSMENT: MAPIMO

THEME	SCORE	COMMENTS
Security	+9	<p>The last military attack on Mapimo dates back to March 2013. The armed group responsible was the Raia Mutomboki of Juriste Kikuni, who has since demobilised and joined the peace process in December 2014.</p> <p>However, FARDC officers play an important role in the ASM management of mining sites and interfere in land disputes.</p>
Access	-2	Traveling from Bukavu to Mapimo requires air travel, and a stop in Shabunda centre. From there, it takes around 5 hours on to reach Mapimo by motorbike. Once in Mapimo, the first sites can be reached by motorcycle and on foot in less than an hour.
Mining Site Status	-1	<p>The mining sites around Mapimo have not been validated, and there is no mining concession in the vicinity.</p> <p>Less than 10% of the miners hold a <i>carte de creuseur</i>.</p>
Production	+1	2 mining sites were visited in 2018. There were 30 and 80 workers. The first one was in preparation, the other one produces around 130 grammes a week.
Cooperatives	-1	Some mining sites are not covered by a cooperative. Existing cooperatives are registered, but less than 10% of miners are members of them.
Local State Authorities	-12	SAEMAPE and <i>Division des Mines</i> rarely visit mining sites, and they do not keep records. Furthermore, 6 different state agencies or representatives of the state are reported to harass and impose illegal taxation on artisanal miners. In addition, it has been reported that high-level judicial authorities and the FARDC own gold pits.
Civil Society Organisations	+1	There is one organisation called RTM-C, which defends the interests of cassiterite transporters. Nevertheless, RTM-C has no experience in collaborating with an international organisation, neither in project management.
Health & Safety	0	<p>No fatal or serious accidents have occurred.</p> <p>Neither child labour nor mercury use have been reported in mining site.</p>

# ANNEX I: SECURITY ASSESSMENT MAP



## ANNEX 2: HEALTH & SAFETY ASSESSMENT MAP



# ANNEX 3: IPIS SITE ASSESSMENT METHODOLOGY



**Site Assessment Methodology**  
for the 'Responsible Artisanal Gold in South Kivu Province' Project  
Capacity Building for Responsible Mineral Trade (CBRMT) Program  
Implemented by Tetra Tech ARD

June 2018



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IPIS has been mandated by CBRMT to develop a methodology to evaluate 5 to 10 mining sites in South Kivu on their potential for establishing a responsible artisanal gold supply chain, compliant with national and international regulations. The present report describes the methodology to identify, analyse and rank the selected mining sites and their hubs.

## 1. Hub and mine site selection methodology

The first tool used to identify suitable sites is the newly updated IPIS database and interactive webmap<sup>1</sup>. It geo-localizes 2403 mine sites in Eastern Congo, including 1027 in South Kivu, and 322 selling points, of which 79 are in South Kivu. Different interfaces allow the user to tweak the map to his/her own needs and interests.

As a first step in narrowing the sample, we selected gold mines where at least 50 workers had been counted on our last visit. Gold mines located in protected areas were directly disqualified for their non-compliance with OECD and LBMA criteria (see below). We also removed all sites qualified “red” by the joint qualifications missions, keeping only green and yellow sites, as well as those without qualification. Sites flagged “yellow” are not automatically disqualified, but get a six-month period to adopt and implement a risk management plan to prevent or mitigate the risk. In addition, we disqualified sites with a non-state armed group presence. Sites frequented by FARDC were retained only when there was no reported interference with mining (such as pillage, forced labour, etc.) besides taxation.

Given that the Congolese authorities generally favour industrial mining over artisanal miners,<sup>2</sup> South Kivu is covered with a multitude of concessions held by (foreign) private companies. The layer “*titres miniers*” on IPIS’ interactive map allows visualizing this legal status of mining areas. As reflected in the indicators and ranking methodology (see below), priority will be given to mine sites located on ZEAs, green sites and sites that are not covered by an industrial mining title.

Mine sites located on industrial concessions will not be will not be automatically removed but will receive a lower ranking. In our view, the disqualification of mine sites located on concessions should not be automatic for two main reasons. Firstly, not all mining companies are entirely hostile towards artisanal miners. Banro, for example, is developing a practice of relocating artisanal miners within its concessions to areas where it is currently not operating. SAKIMA is another example of an industrial player that has entered into agreements with artisanal miners. Some actors looking to set up responsible supply chains might have an interest in

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<sup>1</sup> <http://www.ipisresearch.be/mapping/webmapping/drcongo/v5/>.

<sup>2</sup> J.K Buraye, N. Stoop, M.Verpoorten, Defusing the social minefield of gold sites in Kamituga, South Kivu. From legal pluralism to the re-making of institutions? Resources Policy 53, 2017, p.357.

areas covered by such industrial-artisanal mining arrangements. Obviously, this special status will require more research and outreach to the respective mining companies and small-scale cooperatives. Secondly, a responsible supply chain initiative can be an ideal avenue to mitigate conflict and build trust between artisanal miners, the local population and private companies.

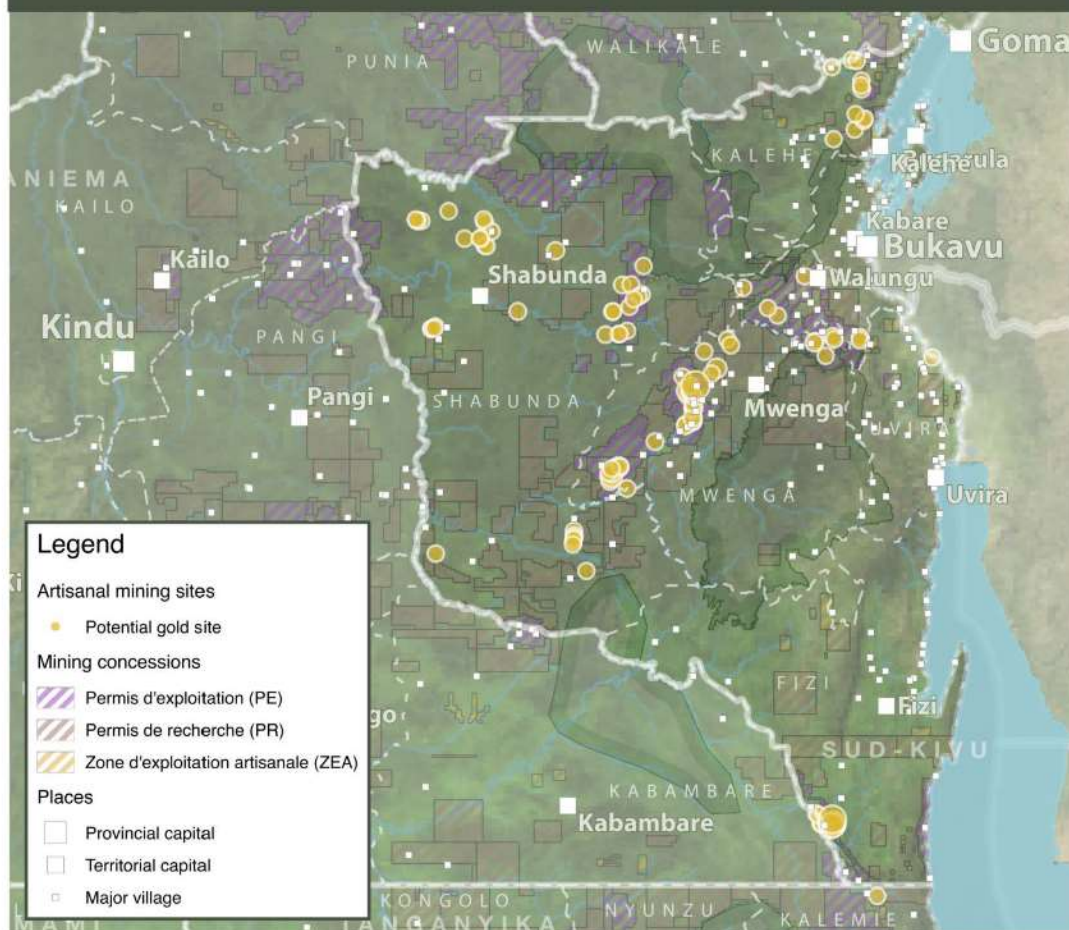
448 sites in our Eastern Congo database and map match the above criteria, 195 of them are located in South Kivu. More precisely, 145 of these 195 mines have no reported presence of armed groups, and 21 are frequented but not harassed by FARDC elements. We give preference to mine sites that have been visited in the last two years, although this is not exclusive. Some mine sites that were visited in 2015 still look promising. The database allows deepening information for each mine site on issues such as the capacities of cooperatives, child labour, existing tensions or conflicts between local entities (such as local chiefdoms, cooperatives, local communities, etc.).

The scanning of IPIS' database and map was complemented with desk-based research and consultative inquiries into potential locations. In its literature review, IPIS focused predominantly on documentation compiled by actors operating in South Kivu. It includes the Kivu Security Tracker monthly reports,<sup>3</sup> UN Panel of expert's reports, and data from recent joint qualification missions in Shabunda and Misisi. IPIS will continue to consult its extensive stakeholder network in South Kivu. This will be done remotely through phone/Skype interviews and in South Kivu through the IPIS' focal point in Bukavu. On this basis, IPIS will develop a preliminary selection of areas to be included in the first site assessment missions by the local civil society surveyors.

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<sup>3</sup> <https://kivusecurity.org/reports>

## Potential Gold ASM Sites In South-Kivu



## 2. Data collection methodology

For gathering the information IPIS will build on its trusted experience with **mobile data collection**. It will design specific mobile data sheets that cover the selected site assessment criteria and conditions through a variety of indicators. Given that it is challenging to obtain unbiased and accurate data on many of these criteria and conditions IPIS relies extensively on triangulation of diverse indicators and data sources.

These data sheets will subsequently be uploaded on Kobo Toolbox and downloaded on simple smartphones equipped with Open Data Kit (ODK). These open-source tools allow IPIS to author, field, and manage mobile data collection solutions and enable structured and smooth data collection, registration, transmission and analysis (see visualisation below). In addition to data sheets, these tools allow building multi-media rich mapping tools, including GPS locations, images and videos.



This quantitative and qualitative data will be collected through a combination of observation and interviews with a selection of stakeholders at and around mine sites and selling points.

## 3. Substantive scope of data and ranking

The mobile questionnaires and qualitative missions reports will cover a range of different indicators that can be grouped in 8 categories: security, accessibility, mine site status, scope of mine production, state oversight and interference, cooperatives, civil society organisations, and health and safety.

A first batch of data will focus on **security**. While we will pre-select sites where no armed presence or interference was reported, conditions on the ground change rapidly. Therefore, IPIS surveyors will verify this information and will inquire more



broadly about the stability and security in the focal areas, including armed group and FARDC visits to and interference on the mine in the past 6 months, their presence in the area, and roadblocks they operate on the site's access routes. In the case of FARDC we distinguish between strategic roadblocks that aim to improve security and roadblocks where illegal taxation is the main purpose. Our data collection will also assess other forms of conflict, tensions and violence between civilian actors (miners, cooperatives, customary chiefs, villagers, companies), with particular attention to cases of sexual violence. If specific demilitarisation programmes have been implemented in the area, surveyors will assess their efficiency and impact on security. Banditry equally poses security problems. IPIS will obtain information from miners, users of supply routes and the population at the selling points to determine its occurrence and intensity.

A second category is the **accessibility** of the mine and its trading hub. This will assess the travel time and means of transport from Bukavu to the selling points. The methodology will favour those located close to Bukavu, and reachable by car or motorbike, although more remote areas for which airplane is necessary have also been considered. We will moreover report how the dry/rainy season affects this itinerary. IPIS will additionally verify whether the selling point is accessible by public transport. Public buses facilitate movements of traders and miners, but can also obscure commerce and thereby complicate supply chain transparency. In this category we will also assess phone coverage on and around the site, which may be useful information for actors interested to set up a responsible sourcing initiative.

**The mine site status** category in the first place includes an indicator on the official mine qualification status by the joint evaluation missions. 'Red' sites are automatically disqualified, 'yellow' sites get a negative rating and 'green' sites a positive score. A second indicator relates to the legal status of the mine. Negative scores will be assigned to mines where there is a title or land dispute, where the legal status is unknown or when located on an industrial concession. There are two exceptions to the latter rule, Banro 'relocation sites' and SAKIMA concessions (for reasons explained above). The former will get a neutral score, the latter a positive one. Sites located on a ZEA (artisanal mining zone) also get a positive score. Finally, we will score the legality of individual miners by assessing the percentage of them that is licenced (holds a *carte de creuseur*).

**The scope of mine production** evaluates the production volume both directly (which is often speculative) and indirectly by assessing the activity on the mine site, through the number of workers, support businesses, and the level of mine mechanisation. The number of pits was not retained as an indirect production indicator to avoid favouring hard-rock open pit and underground mining sites over alluvial mines. These exploitation types will however be assessed in the qualitative survey.

A fifth scoring category will focus on **state oversight and interference**. This will rate whether and how often SAEMAPE and the Mining Division (the only state services with a legal mandate to visit mines) frequent sites, whether they keep records and provide training and assistance to miners. The presence of the Mining Police for reasons other than law enforcement is illegal and will be rated negatively. The same goes for illegal taxation and harassment by state services and pit ownership.

A sixth category is **health and safety** at the mine site. This covers the use of personal protective equipment, reported number of wounded and fatalities due to accidents in the last 6 months, the presence of separate sanitary facilities for women and the use and burning of mercury or other chemicals. It also assesses child labour in mining and non-mining, distinguishing between worst and other forms of child labour. Finally, surveyors will check if the depth of pits and galleries does not exceed 30 meters, as prohibited by the mining code for safety reasons.

Since the mining code requires that miners organise themselves in **cooperatives**, the seventh category will verify their presence, registration, membership (proportion of miners and women), and whether members have followed a training on responsible sourcing. Furthermore, IPIS will qualitatively assess the nature of miners' membership, in particular their active involvement in the cooperative's management, and whether they feel that it protects their interests.

Finally, a similar evaluation will be done for **civil society organisations**. Their presence is of considerable value for responsible sourcing programmes intending in getting local buy-in or ensure independent monitoring.

Given that the ranking is done on site level it cannot fully include issues of **trade** since this mainly happens at trade hub level. The site-level rankings will however be aggregated at hub level (see below) in hub profiles. It is here that will assess and contextualise commercial issues. This will focus on trade flows and destinations, its actors (cooperatives, buyers, comptoirs) and the legality of the trade (number of certified traders). Specific attention will hereby be given to the legality and nationality of big and small traders (sometimes called "commissioners" or "managers") and how their presence affects supply chain transparency.

These categories and their indicators have been inspired by IPIS long experience of site evaluations, and by the Annex II of OECD Due Diligence Guidance for responsible Supply Chain and the LBMA (London Bullion Market Association) Responsible Sourcing Initiative. The first tool identifies six types of risks that are intolerable and that would lead to a suspension and withdrawal of the upstream

suppliers. These six risks are: any forms of torture, cruel, inhuman and degrading treatment; any forms of forced or compulsory labour; the worst forms of child labour; other gross human rights violations and abuses such as widespread sexual violence; war crimes or other serious violations of international humanitarian law, crimes against humanity or genocide; direct or indirect support to non-state armed groups. The LBMA's Responsible Sourcing Initiative has similar objectives, such as preventing child labour and human rights violations, and has other more specific aims, such as the prevention of money laundering, financing terrorism, environmental degradation, and the promotion of industry initiatives for setting up responsible supply chains (BSP, iTSCI, etc.).

#### 4. Indicators and ranking methodology

The hub is the point, typically a village, where gold from the surrounding artisanal mining sites is collected and sold. It is a broader definition of selling point (or *point de vente* in French). A mine site on the other hand, is the location where the mineral is extracted. Occasionally, we also identify zones where artisanal gold mines are concentrated but *points de ventes* have not been spotted.

This study, and the accompanying ranking, will be done at both levels: the mines and the respective hubs.

First, we will survey and assess the pre-selected mines. Some of them will feed and therefore be part of the same hub. The field visits by IPIS surveyors and researchers serve to collect a wide range of quantitative and qualitative data on each of these mines. On this bases IPIS will one scorecard for each of these mines. This will enable ranking them on the level of each of the eight categories.

Second, on the hub level, IPIS will evaluate both the trade (see above) and the security. More specifically, the latter will cover security incidents that have occurred in the last 6 months at hub level and on its supply routes, interference by armed groups, FARDC and state services and issues of sexual harassment.

The evaluation on these two levels will be combined in hub profiles. The latter will include the aggregated rankings of sites in that hub, the hub-level evaluation of trade and security and other contextual information.

<b>1. Security</b> (minimum score: -18 / maximum score: +10) <i>IPIS has only pre-selected mines which, according to its most recent data, have no non-state armed presence. FARDC presence is accepted only if no interference, besides illegal taxation, has been reported. Security conditions on the ground change rapidly and the information should be checked regularly.</i>				
Indicator	Value	Score	Weight	Specific remarks
Non-state armed visits to mine	° Armed group is frequenting mine ° No armed group frequenting mine ° No armed group frequented mine in past 6 months	disqualifying 0 1	4	
Non-state armed group presence	° Armed group operating in 25km radius around mine ° No armed group operating in 25km radius ° No armed group operating in 25km radius in past 6 months	-1 0 1	3	
Roadblocks by non-state armed groups on mine's access routes (road between mine and its mineral selling point/trade hub)	° Yes (one or more) ° No	-1 0	3	We do not consider this a disqualifying factor as responsible sourcing initiatives can seek ways to circumvent roadblocks.
FARDC presence and interference	° Forced labour/ torture, cruel, inhuman and degrading treatment / sexual violence / looting / monopoly on selling and/or buying gold or other products – at present ° Illegal taxation at present ° No interference at present ° No interference in past 6 months	disqualifying -1 0 1	3	Annex II of OECD Guidance commits to eliminate, but does not does consider intolerable, illegal taxation by public security forces.

Banditry	<ul style="list-style-type: none"> <li>° Widespread banditry at present</li> <li>° None or low banditry at present</li> <li>° None or low banditry in past 6 months</li> </ul>	<ul style="list-style-type: none"> <li>-1</li> <li>0</li> <li>1</li> </ul>	2	Banditry intensity will be assessed by inquiring with miners, supply routes users, and selling point inhabitants.
Roadblocks by FARDC on site access routes	<ul style="list-style-type: none"> <li>° One or more roadblocks where FARDC is levying illegal taxes</li> <li>° No or only strategic/security FARDC roadblocks</li> </ul>	<ul style="list-style-type: none"> <li>-1</li> <li>0</li> </ul>	2	
All forms of sexual violence	<ul style="list-style-type: none"> <li>° Multiple cases of sexual violence in past 6 months</li> <li>° No cases of sexual violence in past 6 months</li> </ul>	<ul style="list-style-type: none"> <li>-1</li> <li>0</li> </ul>	3	
Other conflict and tensions	<ul style="list-style-type: none"> <li>° Mine has been affected by conflict between miners, cooperatives, villagers, companies, etc. in past 6 months</li> <li>° No conflict or tensions on mine in past 6 months</li> </ul>	<ul style="list-style-type: none"> <li>-1</li> <li>0</li> </ul>	2	
Violence	<ul style="list-style-type: none"> <li>° These conflicts or tensions have resulted in violence (among civilians) in past 6 months</li> <li>° These conflicts or tensions have not resulted in violence in past 6 months</li> </ul>	<ul style="list-style-type: none"> <li>-1</li> <li>0</li> </ul>	2	



<b>2. Accessibility</b> (minimum score: -12 / maximum score: +8)				
Indicator	Value	Score	Weight	Specific remarks
Minimum travel time from Bukavu to the mine's trading hub	<ul style="list-style-type: none"> <li>◦ More than 1 day (&gt;12 hours)</li> <li>◦ Less than 1 day (&lt;12 hours)</li> <li>◦ Less than half a day (&lt; 6 hours)</li> </ul>	-1 0 +1	2	
Means of transport from Bukavu to hub in dry season	<ul style="list-style-type: none"> <li>◦ Requires air travel</li> <li>◦ Part of travel only accessible on foot</li> <li>◦ Part of travel only accessible by motorbike</li> <li>◦ Fully accessible by car (4x4)</li> </ul>	-1 -1 0 1	2	
Means of transport from Bukavu to hub in rainy season	<ul style="list-style-type: none"> <li>◦ Similar to dry season</li> <li>◦ Deterioration (car becomes motorbike or foot, motorbike becomes foot)</li> </ul>	0 -1	1	
Minimum travel time from trading hub to mine	<ul style="list-style-type: none"> <li>◦ More than 1 day (&gt;12 hours)</li> <li>◦ Less than 1 day (&lt;12 hours)</li> <li>◦ Less than half a day (&lt; 6 hours)</li> </ul>	-1 0 +1	2	
Means of transport from trading hub to mine (dry season)	<ul style="list-style-type: none"> <li>◦ Part of travel only accessible on foot</li> <li>◦ Part of travel only accessible by motorbike</li> <li>◦ Fully accessible by car (4x4)</li> </ul>	-1 0 1	1	
Means of transport from Bukavu to hub in rainy season	<ul style="list-style-type: none"> <li>◦ Similar to dry season</li> <li>◦ Deterioration (car becomes motorbike or foot, motorbike becomes foot)</li> </ul>	-1	1	
Phone coverage	<ul style="list-style-type: none"> <li>◦ No</li> <li>◦ At walking distance</li> <li>◦ On site</li> </ul>	-1 0 1	1	

<b>3. Mine site status</b> (minimum score: -5 / maximum score: +5)				
Indicator	Value	Score	Weight	Specific remarks
Site qualification	<ul style="list-style-type: none"> <li>° Site is qualified 'red'</li> <li>° Site is qualified 'yellow'</li> <li>° Site has no qualification</li> <li>° Site is qualified 'green'</li> </ul>	<ul style="list-style-type: none"> <li>disqualifying</li> <li>-1</li> <li>0</li> <li>1</li> </ul>	2	
Site legal status	<ul style="list-style-type: none"> <li>° There is a dispute over title and/or land ownership</li> <li>° The legal status of the mine is unknown or unclear</li> <li>° Mine site located on an industrial concession (except Banro 'relocation sites' or SAKIMA)</li> <li>° The site is located on a Banro 'relocation site'</li> <li>° The site is located on a SAKIMA concession</li> <li>° There is no mining title</li> <li>° The site is located on a ZEA</li> </ul>	<ul style="list-style-type: none"> <li>-1</li> <li>-1</li> <li>-1</li> <li>0</li> <li>1</li> <li>0</li> <li>1</li> </ul>	3	Banro has practice of relocating ASM within concession; SAKIMA has long-standing practice of entering in agreements with ASM.
Legality of miners	<ul style="list-style-type: none"> <li>° Between 0 and 25% of miners on the site holds a license</li> <li>° Between 26 and 50% holds a license</li> <li>° Over 50% holds a license</li> </ul>	<ul style="list-style-type: none"> <li>-1</li> <li>0</li> <li>1</li> </ul>	1	

<b>4. Scope of mine production</b> (minimum score: -8 / maximum score: +8)				
Indicator	Value	Score	Weight	Specific remarks
Number of workers	<ul style="list-style-type: none"> <li>° Less than 100 workers</li> <li>° Between 101 and 200 workers</li> <li>° More than 200 workers</li> </ul>	-1 0 1	3	
Estimated average gold production per week	<ul style="list-style-type: none"> <li>° Less than 10 grams</li> <li>° Between 11 and 50 grams</li> <li>° More than 50 grams</li> </ul>	-1 0 1	2	Gold production is more speculative than worker numbers and therefore receives a lower weight
Supported businesses on mine (restaurants, shops)	<ul style="list-style-type: none"> <li>° None</li> <li>° Less than 4</li> <li>° More than 4</li> </ul>	-1 0 1	2	
Level of mechanisation	<ul style="list-style-type: none"> <li>° Low (pickaxe, shovel, machete, iron bar)</li> <li>° Middle (jackhammer, pulley, hoist, motor pump)</li> <li>° High (crusher, grinder, fan, metal detector)</li> </ul>	-1 0 1	1	

<b>5. State oversight and interference</b> (minimum score: -17 / maximum score: +9)				
Indicator	Value	Score	Weight	Specific remarks
Frequency of SAEMAPE and/or Mining Division visits	<ul style="list-style-type: none"> <li>° Less than monthly</li> <li>° One or several times a month (at least one of both services)</li> <li>° Weekly</li> </ul>	<ul style="list-style-type: none"> <li>-1</li> <li>0</li> <li>1</li> </ul>	3	
SAEMAPE and/or Mining Division provide regular training and assistance to miners	<ul style="list-style-type: none"> <li>° Yes</li> <li>° No</li> </ul>	<ul style="list-style-type: none"> <li>1</li> <li>0</li> </ul>	2	
Record keeping by SAEMAPE and/or Mining Division	<ul style="list-style-type: none"> <li>° Written records of production, licenses (miners and traders)</li> <li>° No written records</li> </ul>	<ul style="list-style-type: none"> <li>1</li> <li>0</li> </ul>	1	
SAEMAPE and/or Mining Division staff trained on responsible sourcing	<ul style="list-style-type: none"> <li>° Some staff members followed training on certification, responsible sourcing</li> <li>° None followed training</li> </ul>	<ul style="list-style-type: none"> <li>1</li> <li>0</li> </ul>	1	
Presence of Mining Police	<ul style="list-style-type: none"> <li>° Yes, for reasons of law enforcement</li> <li>° Yes, for other reasons</li> </ul>	<ul style="list-style-type: none"> <li>0</li> <li>-1</li> </ul>	2	Mining Police is allowed on mines in case of law enforcement only.
Illegal taxation or harassment by state services	<ul style="list-style-type: none"> <li>° Illegal taxation or harassment at present</li> <li>° None at present</li> <li>° None in past 6 months</li> </ul>	<ul style="list-style-type: none"> <li>-1 (per state service)</li> <li>0</li> <li>1</li> </ul>	2	According to the Mining Code, SAEMAPE and Mining Division are the only services allowed on mines.
Pit ownership by state services	<ul style="list-style-type: none"> <li>° State representatives own pits on this site</li> <li>° No state representatives own pits</li> </ul>	<ul style="list-style-type: none"> <li>-1</li> <li>0</li> </ul>	2	

<b>6. Health and safety</b> (minimum score: -14 / maximum score: +4)				
Indicator	Value	Score	Weight	Specific remarks
Use of personal protective equipment	° The majority of miners wears protective equipment (helmets, dust masks, earmuffs) ° The majority of miners wears no protective equipment	1 0	2	
Accidents with wounded	° At least one accident with wounded occurred on site in past 6 months ° No accidents with wounded occurred in the past 6 months	-1 0	2	
Fatal accidents	° At least one fatal accident occurred on site in past 6 months ° No accidents with wounded occurred in past 6 months	-1 0	3	
Maximal pits and/or gallery depth	° More than 30 metres ° Less than 30 metres	-1 0	1	
Child labour in mining	° Children under 15 doing hazardous mining work (descending in shafts, processing with mercury) ° Children under 15 doing other mining work (transporting, panning) ° No children work in mining on this site	disqualifying -1 0	3	
Child labour non-mining	° Children under 15 doing non-mining work on mine sites (small commerce, transporting food/drinks, etc.) ° No children doing non-mining work	-1 0	2	

Sanitary facilities for women	° There are separate sanitary facilities for women on this site ° No separate sanitary facilities	1 0	2	
Use of mercury and other chemicals (such as cyanide)	° Mercury is used on this mine ° No mercury	-1 0	2	
Open air burning mercury	° Mercury is burned in open air on or in vicinity of site ° No open air burning of mercury	-1 0	2	



<b>7. Cooperatives</b> (minimum score: -2 / maximum score: 7)				
Indicator	Value	Score	Weight	Specific remarks
Presence of one or more cooperatives on site	° Yes ° No	1 0	2	Mining legislation requires that miners gather under umbrella of cooperative
Cooperative is formally registered, or has obtained an 'agrément favorable' from the provincial government	° Yes ° No	1 0	1	
Percentage of miners working on site that are member of cooperative	° Less than 25% ° Between 25 and 50% ° More than 50%	-1 0 1	1	
Percentage of women members of cooperative	° Less than 25% ° Between 25% and 50% ° More than 50%	-1 0 1	1	
Women in management positions in cooperative	° At least 1 (president, vice-president, general secretary or treasurer)	1	1	
Cooperative members have followed training on responsible sourcing	° At least 5 ° Less than 5	1 0	1	

<b>8. Civil society</b> (minimum score: -1 / maximum score: 6)				
Indicator	Value	Score	Weight	Specific remarks
Civil society operating in proximity of mine	° At least one civil society actor is active in the proximity of the mine ° No civil society active in proximity	1 0	2	
Civil society is active on the mine	° At least one civil society actor has executed a project on the mine in the past 3 years ° No civil society project on mine past 3 years	1 0	1	
International experience of civil society	° At least one civil society actor operating in proximity of mine has experience of working with an international partner in past 3 years ° No civil society with international experience	1 0	1	
Percentage of women members of civil society (only if there is a CSO)	° Less than 25% ° Between 25 and 50% ° More than 50%	-1 0 1	1	
Women in management positions in civil society	° At least 1 (president, vice-president, general secretary or treasurer)	1	1	

## 5. Selection of the surveyors

IPIS has developed a practice of working with complementary teams of surveyors. For this assignment, this means that the team will include one experienced IPIS data collector, and one civil society member with a more academic background. In case of an unexpected withdrawal of one of them, a third surveyor will be trained and prepared to join the data collection mission.

The CVs of the 3 surveyors have been shared with the staff of Tetra Tech in Kivu.

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