

Buscando Sinergias

Open Government Partnership y la
Iniciativa para la Transparencia de
las Industrias Extractivas



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Sitio de la mina Erdenet Industry. Fotografía de la EITI Mongolia

Resumen ejecutivo

Antecedentes

Open Government Partnership (OGP) y la Iniciativa para la Transparencia de las Industrias Extractivas (EITI, por sus siglas en inglés) son dos iniciativas voluntarias, multilaterales y multisectoriales que impulsan la transparencia, la participación pública y la rendición de cuentas. Debido a que sus enfoques son diferentes, estas iniciativas tienen un enorme potencial de complementarse mutuamente. Sin embargo, este potencial no ha sido aprovechado al máximo, como lo revela el análisis que presentamos a continuación.

En 2018, OGP y la EITI firmaron un memorándum de entendimiento a través del cual acordaron colaborar en diversas áreas de interés mutuo. Esta publicación analiza varios elementos clave del memorándum, incluyendo temas como beneficiarios reales, empresas estatales y transparencia de los contratos, además de otros asuntos como género y medio ambiente. En estas áreas y en otras, OGP y EITI pueden complementar y acelerar su trabajo mutuamente. A través de los planes de acción de OGP, los países miembros de OGP y de EITI pueden comprometerse a trabajar hacia la transparencia de las industrias extractivas e ir más allá del estándar de la EITI. Asimismo, los países que son miembros de ambas organizaciones pueden aprovechar las evaluaciones y la red de reformadores de la EITI para guiar sus esfuerzos por mejorar la transparencia de las industrias extractivas.

A partir de datos tomados de las evaluaciones de la EITI y de OGP, este informe describe el estado de la cuestión en las áreas de interés mutuo de OGP y la EITI. Con base en ese análisis, el informe identifica oportunidades que los países pueden aprovechar para utilizar ambas plataformas con el fin de impulsar reformas en el sector extractivo.

Conclusiones principales

Analizando los compromisos establecidos hasta la fecha en los planes de acción de OGP y los puntajes del proceso de validación de la EITI se puede concluir que los países miembros de OGP y de la EITI:

- **Aceleran avances en la transparencia de los contratos y de los beneficiarios reales.** Por lo menos diez países miembros de OGP y de la EITI están usando sus planes de acción para acelerar la implementación del estándar de la EITI en materia de contratación abierta y por lo menos cinco países miembros de la OGP y de la EITI están acelerando la implementación en el tema de beneficiarios reales. La contratación abierta es el tema más común en los compromisos de OGP relacionados con el sector extractivo. Sin embargo, aún hay mucho trabajo por hacer en el tema de transparencia en la expedición de permisos.
- **Sobrepasan el estándar en materia de publicación de información ambiental.** Un grupo más pequeño pero significativo de países miembros de OGP han sobrepasado el estándar de EITI en materia de publicación de información de impacto ambiental, incluyendo actividades de mitigación del cambio climático y análisis de usos alternativos.
- **Podrían hacer más en materia de empresas estatales.** Pocos países miembros de OGP han utilizado sus planes de acción para impulsar la publicación de información de las empresas estatales y de ingresos por comercio de mercancías. Según las evaluaciones de la EITI, los países miembros de OGP y la EITI tienen un desempeño particularmente bajo en esta área.
- **Deben tomar medidas sobre género, datos abiertos y espacio cívico en el sector extractivo.** Aunque hay muchas oportunidades para generar sinergias en el impulso a reformas con enfoque de género, sobre la calidad y puntualidad de los datos abiertos o sobre espacio cívico, no hay evidencias de que estas oportunidades se han aprovechado.

ÁREAS DE POLÍTICA POR TIPO DE ACCIÓN		
<p>Los países miembros de OGP están <u>acelerando o sobrepasando</u> el estándar de la EITI en:</p> <ul style="list-style-type: none">• Transparencia en los beneficiarios reales• Transparencia de los contratos• Medio ambiente	<p>Los países de OGP están <u>reforzando</u> el estándar de la EITI en:</p> <ul style="list-style-type: none">• Empresas estatales• Transparencia en la expedición de permisos	<p>No se ha registrado actividad en las siguientes áreas con respecto al sector extractivo:</p> <ul style="list-style-type: none">• Género• Datos abiertos• Espacio cívico

Implicaciones

- Los países miembros de OGP que están utilizando sus planes de acción para sobrepasar el estándar de OGP podrían tomar medidas e **invitar a otros países** a tomar medidas similares o **compartir las lecciones** aprendidas a partir de sus esfuerzos.
- Para otros países, OGP puede representar **una oportunidad para innovar**.
- Para lograr la implementación del memorándum de entendimiento, es necesario **reactivar a OGP e impulsar** la publicación de información sobre empresas estatales, género y datos abiertos.



Fotografía de la EITI

Introducción

Antecedentes

OGP y la EITI son iniciativas voluntarias, multilaterales y multisectoriales que promueven la transparencia, la participación pública y la rendición de cuentas. Las diferencias más importantes que existen entre ambas es que la EITI es un estándar global que exige la publicación anual de información sobre el sector extractivo a través de un proceso participativo, la cual se verifica a través de un proceso de validación. Por su parte, OGP exige a sus miembros la cocreación y evaluación de planes de acción bianuales, los cuales son diseñados a nivel local. Más allá de sus procedimientos y requisitos, OGP, expresamente, no establece estándares, pues sus 99 miembros pueden tomar medidas unilaterales para promover la apertura en el Gobierno, incluyendo el sector extractivo. Debido a que sus enfoques son diferentes, estas iniciativas tienen un enorme potencial de complementarse mutuamente: la EITI por su rigor y enfoque y por contar con la participación en diversos sectores y contextos y OGP por su flexibilidad, adaptabilidad y potencial de difundir iniciativas innovadoras.

Nuestro análisis valida la posibilidad de esta complementariedad. Los países que han utilizado sus planes de acción para atender el sector extractivo han logrado avances importantes en la EITI, por ejemplo, en el tema de transparencia de los contratos. Asimismo, los compromisos de OGP que buscan implementar aspectos del estándar de la EITI son más ambiciosos y han logrado una mayor apertura con más frecuencia que los compromisos establecidos en otras áreas. Sin embargo, el potencial de reciprocidad no se ha aprovechado por completo, pues estos avances han sido registrados en relativamente pocos países. Otros países deben considerar utilizar sus planes de acción para trabajar en el sector extractivo, en particular en los temas que se discuten en este documento.

A través de los años, los países han establecido compromisos sobre el sector extractivo con cierta frecuencia (ver figura 1), incluso en países que no forman parte de la EITI. Sin embargo, se ha hecho poco por identificar sinergias a través de las cuales los países que son miembros tanto de OGP como de la EITI están 1) **reforzando** los requisitos de la EITI, 2) **acelerando** la implementación de los elementos que ya se han adoptado pero que aún no son obligatorios para cumplir con el estándar de la EITI o 3) **sobrepasando** el estándar. En este documento, describimos el estado en el que se encuentran las áreas de interés mutuo entre ambas iniciativas.

Acerca de la EITI

La Iniciativa para la Transparencia de las Industrias Extractivas (EITI, por sus siglas en inglés) es un estándar global que busca promover un manejo responsable del petróleo, gas y los recursos minerales. El estándar es implementado en más de 50 países y consiste en exigir a los países y a las empresas la publicación de información sobre elementos clave en la gobernanza de sus ingresos por petróleo, gas y minería. En cada país miembro de la EITI, un grupo multisectorial nacional en el que participan el Gobierno, la industria y la sociedad civil decide cómo debe operar el proceso de la EITI a nivel nacional. Un consejo internacional formado por actores de gobierno, la industria y la sociedad civil supervisa la EITI.

Acerca de OGP

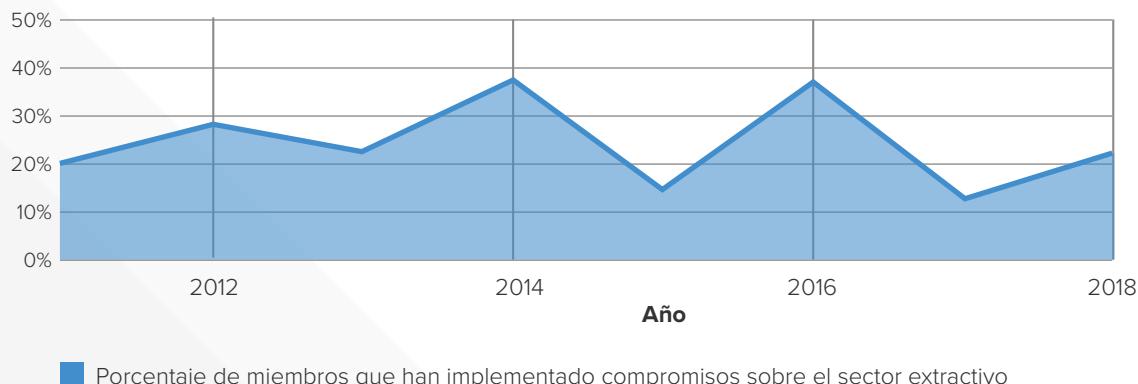
Open Government Partnership (OGP) es una iniciativa multilateral en la que participan 79 gobiernos nacionales y 20 gobiernos locales que buscan asegurar la creación de compromisos concretos por parte de los gobiernos para promover la transparencia, empoderar a la ciudadanía, luchar contra la corrupción y aprovechar las nuevas tecnologías para fortalecer la gobernanza. Promoviendo la colaboración multisectorial, un Comité Directivo que está formado por gobiernos y organizaciones de la sociedad civil supervisa a OGP. Para incorporarse a OGP, los países deben firmar la Declaración de Gobierno Abierto, desarrollar un plan de acción a través de un proceso de consulta pública y someterse a una evaluación independiente sobre sus avances.

El estado de los compromisos sobre el sector extractivo en OGP

Los compromisos de OGP del sector extractivo tienden a tener un mayor impacto y nivel de cumplimiento que los relacionados con otros temas. Según las evaluaciones del Mecanismo de Revisión Independiente de OGP (IRM, por sus siglas en inglés), más de uno de cada cuatro compromisos del sector extractivo tienen el potencial de transformar el statu quo – lo cual representa más del doble que en otras áreas. Además, más del 30% de los compromisos del sector extractivo ha logrado cambios significativos en la práctica del gobierno y en la apertura, mientras que en otras áreas, menos del 20% ha logrado dicho efecto.

A pesar del buen desempeño de estos compromisos, la proporción de miembros de OGP que ha adoptado compromisos sobre el sector extractivo ha variado desde el 2011 (ver figura 1). Menos de una cuarta parte de los miembros de OGP que ha desarrollado planes de acción incluyó al menos un compromiso sobre el sector extractivo. Por ello, existe un gran potencial de lograr avances significativos en la transparencia del sector extractivo a través de los planes de acción de OGP.

Figura 1. Porcentaje de miembros de OGP que han implementado compromisos sobre el sector extractivo



■ Porcentaje de miembros que han implementado compromisos sobre el sector extractivo

Alcance

Esta publicación surgió como resultado de una colaboración entre los secretariados de OGP y la EITI. En 2018, Frederik Reinfeldt (expresidente de la EITI) y Sanjay Pradhan (director ejecutivo de OGP) anunciaron la firma de un memorándum de entendimiento o “acuerdo de colaboración”.

En cuanto a su implementación, el acuerdo orienta al personal de la Unidad de Apoyo de OGP a trabajar con el secretariado de la EITI sobre las prioridades e intereses de los coordinadores. A través de dicha colaboración (entre el equipo de investigación y datos de OGP y el equipo de datos de la EITI), OGP generó esta revisión de sinergias potenciales.

El acuerdo busca la coordinación de las iniciativas en las siguientes áreas de política prioritarias:

- Promover la creación de compromisos y avances en la **transparencia en los beneficiarios reales**
- Mejorar la transparencia de las actividades de **empresas estatales**
- Mejorar la **transparencia en el comercio de mercancías**
- Mejorar la transparencia en los sistemas de Gobierno y de las empresas a través de **datos abiertos**
- Mejorar la **transparencia de los contratos** del sector extractivo

Estas áreas de política se seleccionaron para atender las prioridades de los países miembros de OGP que podían tomar medidas en el sector extractivo. Además, en algunas áreas, OGP se diseñó como un medio que los países pueden utilizar para sobrepasar el estándar internacional de la EITI y promover el establecimiento de compromisos más ambiciosos.

En este documento analizamos algunos de estos elementos (**transparencia en los beneficiarios reales, empresas estatales y transparencia de los contratos**), así como dos temas emergentes de interés en OGP y que son prioritarios para la EITI: **género y medio ambiente**.

El tema de espacio cívico no se incluyó en la evaluación debido a que hasta el momento pocos compromisos de OGP sobre el espacio cívico han estado explícitamente relacionados con el sector extractivo.

Metodología

Este informe parte de las siguientes preguntas:

- ¿En qué casos OGP está ayudando a reforzar, acelerar o sobrepasar los requisitos de la EITI?
- ¿En qué forma el trabajo de OGP y de la EITI se benefician entre sí?

El informe responde estas preguntas a nivel de país y entre país por área de política.

Esta evaluación se generó basada en una revisión de dos bases de datos públicas y abiertas: datos del Mecanismo de Revisión Independiente de OGP y datos del proceso de validación de la EITI.

Todos los compromisos se evaluaron con base en el estándar de la EITI vigente hasta agosto de 2019. Algunos de los requisitos son obligatorios (empresas estatales, ambiente y género), mientras que otros son recomendados (beneficiarios reales hasta el 2020 y publicación de contratos hasta el 2021).

Los compromisos de OGP se calificaron con una de las siguientes designaciones:

- **Refuerzan:** Son compromisos de OGP que duplican los elementos obligatorios del estándar de la EITI. Esta redundancia puede ser positiva (por dar una mayor visibilidad o rendición de cuentas) o negativa (por representar un conteo doble de reformas modestas). Dicha decisión está fuera del alcance de este documento.

- **Aceleran:** Estos compromisos de OGP duplican los elementos del estándar de la EITI que serán obligatorios en el futuro o que actualmente son recomendados.
- **Sobrepasan:** Son compromisos de OGP que cubren áreas similares al estándar de la EITI pero no se relacionan directamente con elementos del estándar.

Para cada área de política, se contabilizó la cantidad de compromisos de cada categoría.

La sección “Áreas de política” representa un análisis detallado de los elementos del estándar de la EITI, comparándolos con el trabajo que los países miembros de OGP han llevado a cabo a través de sus compromisos. En los casos en los que no se registró actividad, no se incluye una página del área de política, pues ni la EITI ni OGP cuentan con datos sobre medidas que ha tomado el país en el área. Esta sección puede ser de utilidad para quienes están interesados en una comparación a nivel global sobre la transparencia en el sector extractivo y representa una revisión sobre los avances en la implementación del acuerdo entre OGP y la EITI.

La sección “Páginas de miembros” está formada por páginas de los países que demuestran los compromisos que cada país ha establecido por área de política, sus implicaciones y el resultado de la validación de la EITI (codificado y cualitativo). Estas páginas posiblemente serán de utilidad para el personal del país y regional de OGP y de la EITI y otros usuarios interesados en identificar puntos de entrada para una mayor colaboración entre OGP y la EITI en los diferentes países.

Resumen de los hallazgos

Un análisis de los datos del IRM indica que **los compromisos de OGP sobre contratación abierta y expedición de permisos, beneficiarios reales y medio ambiente tienen un mejor desempeño en el sector extractivo que en otras áreas**. Esto sugiere que la participación en la EITI podría motivar a los países de OGP a trabajar en temas de transparencia en el sector extractivo a través de sus planes de acción y que la EITI representa una estructura que puede guiar a los países a implementar sus compromisos. Además, OGP apoya y potencia el trabajo de la EITI en las áreas de política que se incluyen en este documento.

Las categorías que se presentan a continuación indican la relación de los compromisos por área de política con los requisitos del estándar de la EITI. En la figura 2 se ilustra la distribución de los compromisos por área.

Compromisos que sobrepasan el estándar:

- **Medio ambiente.** Los requisitos recientemente adoptados en materia de medio ambiente promueven la publicación de información de monitoreo ambiental. Muchos compromisos de OGP están relacionados con la publicación de esta información y algunos de ellos proponen su publicación obligatoria, sobre pasando el estándar de la EITI.

Compromisos que aceleran el estándar:

- **Transparencia en los beneficiarios reales.** Aunque el estándar de la EITI no exige la publicación de los datos de los beneficiarios reales de las industrias extractivas hasta el 2020, cinco países miembros de OGP y de la EITI se comprometieron a publicar esta información a través de sus planes de acción.
- **Transparencia de los contratos.** Por lo menos 10 países que son miembros de OGP y de la EITI están utilizando sus planes de acción para acelerar la implementación del estándar, publicando todos los contratos y permisos. Esta acción no será obligatoria para la EITI sino hasta el 1 de enero de 2021. Además, ocho países se han comprometido a implementar elementos de la publicación de contratos y de licencias que ya son obligatorios en el marco de la EITI.

Compromisos que refuerzan el estándar:

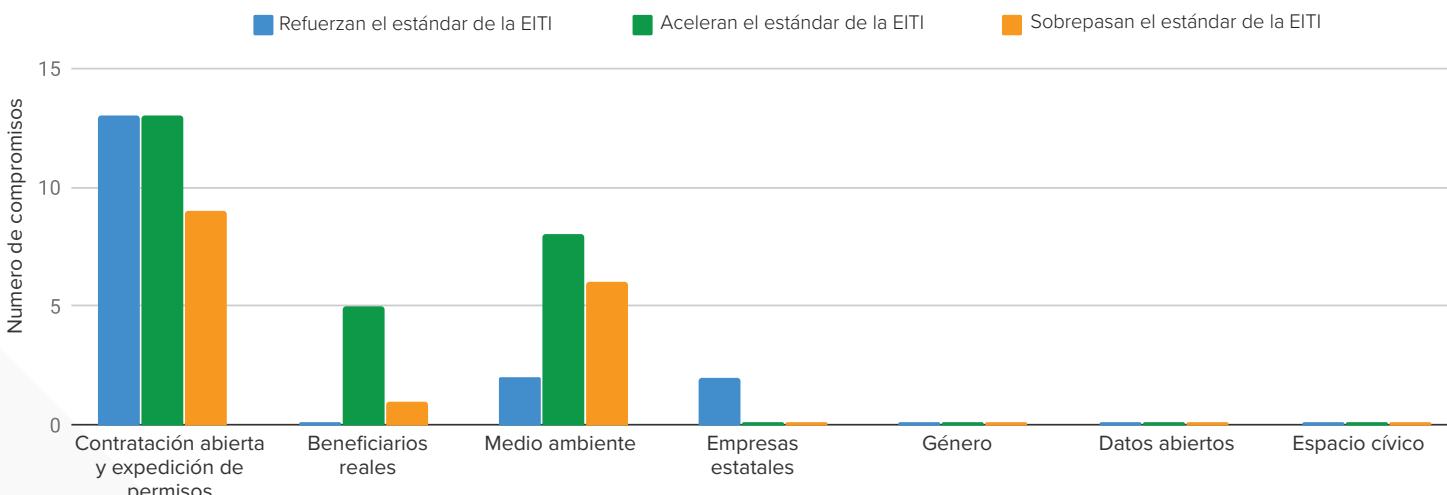
- **Empresas estatales.** Cinco países que son miembros de OGP y de la EITI se han comprometido a publicar datos sobre las empresas estatales, pero hasta el momento ningún país ha sobre pasado el estándar de la EITI.

- **Transparencia en la expedición de permisos.** Seis países miembros de OGP y de la EITI se han comprometido a publicar información sobre los permisos emitidos o sobre el proceso de expedición de permisos. Sin embargo, pocos países han sobrepasado el estándar de la EITI.

Sin actividad:

- **Género.** Hasta el momento, en el marco de OGP no se han diseñado compromisos relacionados con la industria extractiva que explícitamente atiendan el tema de género. A pesar de que el estándar de la EITI recientemente incluyó requisitos de género y de que los países de OGP y de la EITI están trabajando en el tema, estos esfuerzos no se han reflejado en los planes de acción de OGP.
- **Datos abiertos.** Como parte del proceso de OGP, no se han establecido compromisos de datos abiertos enfocados en el sector extractivo, aunque los países miembros de la EITI están obligados a establecer políticas de datos abiertos. Si bien se han establecido compromisos de datos abiertos que influyen en el sector extractivo, ninguno de ellos lo plantea específicamente como un objetivo. Asimismo, ningún compromiso del sector extractivo identifica el uso de datos abiertos como un elemento central.
- **Espacio cívico.** La participación ciudadana es fundamental tanto para OGP como para la EITI; sin embargo, hasta el momento ningún plan de acción de OGP ha incluido compromisos relacionados con el espacio cívico en el sector extractivo. Para consultar algunas acciones concretas que los países podrían implementar, ver el “Recuadro 1. El espacio cívico en el sector extractivo.”

Figura 2. Características de los compromisos de OGP por área de política OGP



Implicaciones

- En las áreas en las que los países miembros de OGP están sobrepasando el estándar de la EITI, OGP puede representar un **espacio de experimentación** para impulsar iniciativas innovadoras. Los países de OGP podrían invitar a otros países a tomar medidas similares o compartir las lecciones aprendidas a través de sus esfuerzos. Lo anterior es particularmente relevante en los temas de beneficiarios reales, publicación de contratos y de información ambiental.
- En las áreas de política en las que no se han implementado medidas, es necesario reactivar a OGP e impulsar la publicación de información sobre empresas estatales, procesos y compromisos sensibles a género y comercio de mercancías. Un área que está más allá del alcance de esta publicación y podría ser investigada es el estado del espacio cívico en los países, más allá de los grupos multisectoriales de cada país.



Mineros artesanales de oro en la República Democrática del Congo. Fotografía de Robert Carruba, Deutsche Gesellschaft für internationale Zusammenarbeit (GIZ) GmbH

Recomendaciones

Los gobiernos pueden mejorar el statu quo de las políticas y la práctica del sector extractivo en las cinco áreas mencionadas en esta publicación. A continuación proponemos algunas acciones y puntos de partida que se pueden adaptar a las necesidades y contextos locales, ya sea como parte de los planes de acción de OGP o independientemente de ellos. Las ventajas de los planes de acción de OGP son que ofrecen una mayor visibilidad, acceso a una red de reformadores y un proceso de rendición de cuentas gracias al IRM. Las acciones que proponemos están organizadas por su relación con el estándar de la EITI o si sobrepasan el estándar¹.

Beneficiarios reales

Acciones que refuerzan el estándar de la EITI:

- **Exigir a los gobiernos publicar** información sobre los beneficiarios reales, incluyendo la medida en la que son beneficiarios y si existe alguna persona expuesta políticamente.
- **Vincular la revisión de beneficiarios reales** con los procesos de expedición de permisos y los portales de publicación de contratos.

Acciones que sobrepasan el estándar de la EITI:

Información sobre beneficiarios reales de mayor utilidad

- **Ampliar el alcance de la información sobre beneficiarios reales a través de la publicación de información (desagregada por género cuando sea posible) acerca de:**

- Entidades involucradas en el comercio, refinamiento y procesamiento de mercancías
- Los beneficiarios reales de las empresas a quienes se les expiden permisos, así como quienes lo solicitan
- Otros sectores, por ejemplo el manejo forestal

- **Permitir la aplicación de auditorías públicas**, publicando datos antes de asignar contratos o expedir permisos.
- **Reducir el umbral** para la publicación de información sobre beneficiarios reales en el sector extractivo.
- **Mejorar la interoperabilidad**, adhiriéndose al Estándar de Datos de Beneficiarios Reales².
- **Utilizar identificadores** para asegurar que la información sea comparable entre plataformas de datos y entre jurisdicciones, por ejemplo utilizando el Identificador Global de Entidades Legales³.

Filtración

- **Diligencia debida:** Filtrar activamente la información sobre los beneficiarios reales para asegurar que no existan factores de riesgo o conflictos de interés durante el proceso de evaluación para emisión de permisos o durante las licitaciones.
- **Verificación:** Verificar que la información sobre los beneficiarios reales sea correcta, utilizando bases de datos complementarias y exigir que se entregue un comprobante de identidad.
- **Sanciones por falta de reporte:** Establecer sanciones y procesos de aplicación de la ley para los casos en los que las empresas y sus beneficiarios no cumplan con los requisitos.
- **Auditorías públicas:** Involucrar a los ciudadanos de manera que identifiquen señales de alarma a través de:
 - Mecanismos informales (por ejemplo reuniendo a periodistas y activistas) o
 - Mecanismos formales (por ejemplo a través de la creación de una defensoría del pueblo o de auditorías públicas).

Empresas estatales

Acciones que refuerzan el estándar de la EITI:

- **Publicar todas las transacciones** entre las empresas estatales y el Estado u otras entidades, incluyendo la asistencia financiera por parte del Estado a las empresas.
- **Publicar los resultados de las auditorías:** Exigir que los estados financieros de las empresas estatales sean sujetos a auditorías externas independientes y publicar los resultados de dichas auditorías.

Acciones que sobrepasan el estándar de la EITI:

- **Publicar información sobre compras y subcontratación:** Publicar información sobre las regulaciones y prácticas relacionadas con los gastos de operación y de capital de las empresas estatales, así como sus procesos de compras y de subcontratación.
- **Comparar el desempeño de las empresas:** Evaluar el desempeño de las empresas estatales en función de los objetivos establecidos por el Gobierno y por entidades internacionales.
- **Proteger a los activistas:** Crear e implementar protecciones sensibles a género para denunciantes, periodistas, organizaciones de la sociedad civil y el personal encargado de la aplicación de la ley que reportan casos de corrupción y aplicar las leyes anticorrupción. Debido a que, históricamente, las mujeres han sido víctimas de acoso, incluir protocolos sensibles a género cuando sea necesario.
- **Fortalecer el monitoreo público:** Asegurar que los ministerios, autoridades fiscales, auditores, parlamento y sociedad civil tengan los recursos financieros y el conocimiento necesario para vigilar a las empresas estatales. Por ejemplo, los países podrían crear una coalición de organizaciones de la sociedad civil y funcionarios para monitorear los contratos de las empresas estatales.
- **Transparencia en los beneficiarios reales:** Publicar los beneficiarios reales de las empresas estatales y quienes comercian mercancías.

Medio ambiente

Acciones que refuerzan el estándar de la EITI:

Pagos sociales y ambientales

- **Publicar los gastos sociales y ambientales:** Publicar información sobre los gastos materiales en materia ambiental y social por parte de las industrias extractivas que son obligatorios por ley, regulaciones o porque lo exigen los contratos.

Información sobre políticas ambientales de gobierno

- **Publicar las políticas de monitoreo:** Describir las leyes, reglas administrativas y prácticas sobre manifestaciones de impacto ambiental, esquemas de certificación y sanciones.
- **Describir las políticas sobre recuperación ambiental:** Incluyendo políticas de responsabilidad ambiental, empleo social para las comunidades en las áreas de extracción y programas de rehabilitación y remediación ambiental.

Acciones que sobrepasan el estándar de la EITI:

Impacto ambiental de las industrias extractivas (más allá de lo que exigen los procesos de expedición de permisos)⁴

- **Publicar los planes de monitoreo y evaluaciones,** por ejemplo evaluaciones de impacto ambiental, estudios de extracción y de estimación, planes de manejo ambiental, estudios de impacto social y planes para mitigar los impactos ambientales y sociales.
- **Publicar los procesos de consulta y participación** sobre los posibles impactos sociales y ambientales que los proyectos de extracción podrían tener en las comunidades afectadas. Llevar a cabo esfuerzos de difusión en línea y en persona para llegar a los actores, como mujeres y grupos indígenas, que podrían ser impactados desproporcionadamente por la actividad extractiva.
- **Publicar datos sobre los impactos** de la industria extractiva en las comunidades y en los ecosistemas (por ejemplo en los servicios de provisión de agua), desglosados por empresa y por proyecto.

Pagos sociales y ambientales discretionales

- **Publicar pagos voluntarios:** Estos pagos y contribuciones a las regulaciones ambientales no obligatorias podrían ser compensaciones a las comunidades afectadas y usualmente se entregan a terceros (elemento recomendado según el paso 6.1 del estándar de la EITI).

Compras y expedición de permisos

Acciones que refuerzan el estándar de la EITI:

- **Registro de permisos:** Mantener un registro público o catastro con información puntual, completa y actualizada sobre todos los permisos.
- **Publicar información sobre los procesos de expedición de permisos:** Publicar una descripción del proceso de expedición de permisos, criterios para la asignación de permisos, quiénes son los tomadores de decisiones y cualquier incumplimiento del marco legal y regulatorio registrado.
- **Publicar todos los contratos:** Publicar el texto completo de los contratos, permisos, anexos y enmiendas, incluyendo una descripción de los contratos que son de acceso público y los que no.

Acciones que sobrepasan el estándar de la EITI:

- **Centrar la atención en los usuarios:** Colaborar con la ciudadanía para asegurar que la publicación de información cumpla con las necesidades de los usuarios y crear mecanismos para la comunicación constante. Considerar llevar a cabo actividades específicas para difundir información a grupos claves como organizaciones de mujeres, grupos vulnerables y otras comunidades afectadas.
- **Vincular la información sobre contratos y permisos a los registros de beneficiarios reales:** Cuando los datos se vinculan, el público tiene la capacidad de identificar qué empresas tienen contratos y permisos y quiénes son las personas que están recibiendo los beneficios de dichos contratos. Estos datos se deberán publicar previo a la expedición de los permisos o a la asignación de contratos.
- **Abrir todos los componentes de la cadena de contratación:** Publicar información sobre todo el proceso de compras, incluyendo la planeación, asignación de contratos y permisos, los contratos y su implementación.
- **Exigir la publicación de información a nivel local:** Publicar datos cuantitativos y cualitativos sobre las compras a nivel de sitio, por ejemplo a través del Mecanismo de Información para la Adquisición Local en el Sector Minero⁵.
- **Adoptar una visión más amplia de la publicación de contratos:** Incluir documentos relacionados como las evaluaciones de impacto ambiental y social, evaluaciones de género, acuerdos de desarrollo comunitario y otros documentos relacionados con los impactos, derechos y obligaciones económicas, sociales y ambientales.
- **Publicación de información a nivel de proyecto:** Más allá del flujo de pagos, publicar datos sobre de implementación del flujo de beneficios desglosados a nivel de proyecto, así como evaluaciones de impacto ambiental y social.

Género

Acciones que refuerzan el estándar de la EITI:

- Reunir y publicar datos desglosados por género sobre los empleados del sector extractivo, incluyendo los directivos de las empresas (por ejemplo las empresas dirigidas por mujeres).
- Asegurar que los datos del sector extractivo sean accesibles para las mujeres y reflejen sus prioridades.
- Promover la paridad de género en los grupos multisectoriales de la EITI. Según la ONU, es necesario un 30% de representación para influir en la masa crítica.

Acciones que sobrepasan el estándar de la EITI:

Mejor implementación a nivel nacional

- **Vincular con las estrategias de género:** Vincular los compromisos de OGP y los planes de trabajo de la EITI con las políticas nacionales sobre género y sobre el sector extractivo para promover una implementación más efectiva.
- **Impactos de los compromisos y políticas diferenciados por género:**
 - Llevar a cabo análisis sensibles a género durante las fases de planeación de los proyectos, por ejemplo a través de una alianza con organizaciones de mujeres.
 - Publicar de forma proactiva evaluaciones de impacto ambiental, social y de salud con impactos de las industrias extractivas diferenciados por género.

Mejor acceso a una mayor cantidad de información

- **Datos más allá de lo relacionado con el empleo, desagregados por género:** Publicar información a nivel de persona, desagregada por género, sobre las compras públicas, esfuerzos de capacitación y pagos sociales a las organizaciones que trabajan en temas de género.

- **Llevar a cabo esfuerzos de difusión:** Apoyar procesos comunitarios con actores clave, incluyendo a grupos de mujeres, ofreciendo información sobre las políticas y datos de las industrias extractivas y obtener su retroalimentación.

Involucrar a las mujeres en los procesos de planeación estratégica y en la toma de decisiones

- **Creación de políticas incluyentes:** Considerar la creación de compromisos para mejorar la capacidad de las personas para participar en las industrias extractivas y beneficiarse de ellas.
 - Trabajar con una mayor diversidad de residentes, más allá del grupo multisectorial, en la identificación de políticas públicas que aborden las necesidades, limitaciones y beneficios para las mujeres, incluyendo grupos de género nacionales y regionales y organizaciones que trabajan por los derechos de las mujeres.
 - Evaluar las brechas entre la política y la implementación.
- **Objetivos de política incluyentes:** Decretar normas que exijan la participación de las mujeres en los procesos de negociación de acuerdos.

Fortalecer los mecanismos de denuncia

Asegurar que las mujeres tengan acceso equitativo a los mecanismos de denuncia a nivel de proyecto. Para facilitar el acceso a dichos mecanismos, los gobiernos pueden:

- Eliminar los costos asociados a los mecanismos de denuncia
- Ofrecer instrucciones claras a los usuarios
- Asegurar la anonimidad de las denuncias
- Identificar y publicar diversos puntos de acceso, incluyendo opciones en línea y en persona.

Género y las industrias extractivas

Los impactos sociales, económicos y ambientales de las industrias extractivas pueden reflejarse de forma diferenciada para los hombres y para las mujeres. Las mujeres sufren impactos diferentes en los cambios de empleo, el costo de vida, las dinámicas sociales y la tenencia de la tierra. Desde 2019, el estándar de la EITI exige a sus miembros publicar datos de los empleados por empresa, género y nivel de ocupación, así como incluir aspectos de género en los datos. Además, los miembros de la EITI están obligados a asegurar que los grupos multisectoriales tengan balance de género.

OGP cuenta con algunos compromisos sobre el sector extractivo y sobre recursos naturales, pero hasta el momento ninguno de ellos ha incorporado un esfuerzo por incluir a las mujeres en la creación o implementación de los compromisos. Mongolia, por ejemplo, creó una estrategia de equidad de género para el sector minero partiendo de una revisión de las leyes y políticas. Por su parte, Malawi, a través de su programa de trabajo de la EITI se comprometió a incluir datos desagregados por género en sus informes..

El espacio cívico y las industrias extractivas

Tanto OGP como la EITI creen que la gobernanza y la creación de políticas públicas se da de mejor manera cuando los funcionarios trabajan con actores de la sociedad civil. Sin embargo, el espacio cívico se ha reducido en todo el mundo, incluso en los países miembros de OGP y de la EITI, fenómeno que representa un reto para las áreas de política que discutimos en esta publicación. Según el análisis de CIVICUS publicado en 2017 sobre el espacio cívico en los países miembros de la EITI⁶, el cual coincide en gran medida con los hallazgos de un análisis similar que OGP publicó en 2018⁷, las tácticas más frecuentemente utilizadas para restringir el espacio cívico en los países miembros de OGP y de la EITI incluyen:

- Detención de manifestantes y defensores de los derechos humanos,
- Interrupción de manifestaciones (con o sin el uso de la fuerza) y
- Ataques a periodistas y censura a medios.

De acuerdo con los resultados del *Informe global de OGP*⁸, los países pueden tomar las siguientes medidas para luchar contra los atentados al espacio cívico y proteger el derecho de expresión, asamblea y asociación en el sector extractivo:

Prevención

- Implementar acciones de supervisión por parte de los gobiernos y estándares por parte de las industrias, para maximizar la seguridad y el derecho de asamblea.
- Crear leyes que definan y permitan las asambleas en territorios de acceso público.

Protección

- Establecer monitores de la sociedad civil. Un grupo de observadores de la sociedad civil puede monitorear los problemas relacionados con la sociedad civil en el sector extractivo antes de llegar a un punto de crisis. Considerar reclutar a miembros de las comunidades más afectadas como las mujeres y los grupos indígenas.
- Adoptar e implementar políticas de protección a denunciantes de acuerdo con las buenas prácticas y estándares internacionales.
- Involucrar a las organizaciones que representan a las mujeres y a las minorías en los foros en los que se identifiquen soluciones al acoso y a la violencia.

Acciones para la rendición de cuentas

- Crear mecanismos de denuncias accesibles para abordar las violaciones a los derechos perpetradas por las industrias extractivas.
- Asegurar que exista la posibilidad de apelar denuncias en los mecanismos formales de resolución de disputa de los gobiernos.



Taller regional de la EITI sobre beneficiarios reales realizado en Manila, Filipinas, en marzo de 2019. Fotografía de la EITI

Áreas de política

Contratación abierta y expedición de permisos

8 compromisos refuerzan / 13 compromisos aceleran / 4 compromisos sobrepasan el estándar de la EITI

Conclusiones principales

- OGP **acelera** los avances en la EITI sobre contratación abierta y expedición de permisos; 10 miembros de la EITI se han comprometido a publicar los contratos de la industria extractiva, lo cual no será obligatorio para la EITI sino hasta enero de 2021.
- Los compromisos de expedición de permisos aceleran o van más allá del estándar EITI con menos frecuencia. La mayoría de los compromisos refuerzan el estándar.
- En promedio, el desempeño de los países en la EITI sobre contratos y expedición de permisos está cerca de ser satisfactorio, según los requisitos de 2016. Los países pueden utilizar sus planes de acción de OGP para mejorar su cumplimiento con el estándar de la EITI en esta área a través de lo siguiente:
 - Publicar sus contratos o licencias, incluyendo los términos de las actividades de extracción y otros documentos relacionados
 - Aumentar la transparencia de la información sobre el proceso de expedición de permisos
- Según datos del IRM, en general, los compromisos de OGP sobre contratación abierta relacionados con las industrias extractivas tienen un mejor desempeño que los compromisos de contratación abierta de otros sectores.

Resumen de los estándares de la EITI relevantes

Proceso de contratación y expedición de permisos

- 2.2 – Contratos y asignación de licencias
 - Los países miembros de la EITI **están obligados** a publicar una descripción de sus procesos de expedición de permisos, los criterios asociados a la entrega de permisos, los beneficiarios de permisos en sus informes de la EITI y si se registró algún incumplimiento del marco legal y regulatorio en la expedición de permisos.
 - Se **recomienda** a los países de la EITI publicar información sobre los permisos asignados antes de la incorporación del país a la EITI.
 - Los países de la EITI que cuentan con procesos de licitación para la expedición de permisos **están obligados** a publicar información sobre los actores que participan en las licitaciones.

Transparencia de los contratos y permisos

- 2.3 – Registro de permisos
 - Los países miembros de la EITI **están obligados** a mantener un registro público o catastro que incluya información completa sobre todas las licencias.
- 2.4 – Política de publicación de contratos
 - Los países miembros de la EITI **están obligados** a incluir sus políticas de publicación de información en sus informes de la EITI.
 - Los países miembros de la EITI **están obligados** a publicar una lista de todos los contratos y permisos que se encuentran vigentes, indicando cuáles de ellos son de acceso público y cuáles no, incluyendo las barreras prácticas y legales que evitan la publicación.
 - Los grupos multisectoriales de los países de la EITI **están obligados** a publicar un plan para la publicación de contratos y un cronograma de implementación.
 - Los países miembros de la EITI **están obligados** a publicar todos los contratos y licencias firmados después del 1 de enero de 2021, incluyendo sus anexos y enmiendas.

Expedición de permisos

6 refuerzan / 2 aceleran / 1 sobrepasa el estándar de la EITI

Objetivos de los compromisos de OGP establecidos hasta la fecha

- Publicar registros de permisos de las industrias extractivas
- Publicar información sobre los procesos de asignación de permisos en las industrias extractivas
- Crear sistemas electrónicos sobre los trámites y expedición de permisos

Estado en la EITI (promedio): 5.00/Avances satisfactorios

Contratación

1 refuerza / 10 aceleran / 2 sobrepasan el estándar de la EITI

Objetivos de los compromisos de OGP establecidos hasta la fecha

- Publicar contratos e información relacionada con los procesos de compras en el sector extractivo
- Crear registros de beneficiarios reales para las entidades que tienen contratos en las industrias extractivas

Estado en la EITI (promedio): 5.00/Avances satisfactorios

Compromisos sobre contratación abierta y expedición de permisos según el IRM

189 compromisos de OGP sobre contratación abierta y expedición de permisos en total	→	25 de ellos son del sector extractivo
Establecidos por 70 países miembros de OGP	→	16 de ellos crearon compromisos en el sector extractivo
9 compromisos estelares	→	2 de ellos son del sector extractivo
19 compromisos tienen resultados significativos o excepcionales en la variable “¿contribuyó a la apertura en el Gobierno?”	→	2 de ellos son del sector extractivo
80 compromisos han sido implementados sustancialmente	→	12 de ellos son del sector extractivo
20 compromisos tienen un nivel alto de ambición	→	15 son del sector extractivo

Catálogo de compromisos del sector extractivo sobre contratación abierta y expedición de permisos

Identificador (años, número de compromiso)	País	Nombre del compromiso	Resumen/temas	Subtema ⁹
AP14-16 (1)	Armenia	Digitalización y publicación de datos en el Fondo Geológico Republicano	<ul style="list-style-type: none"> Publicación de las entidades que tienen derechos de extracción de recursos mineros 	Expedición de permisos
AP12-14 (9)	Bulgaria*	➊ Sistema público de información sobre recursos minerales	<ul style="list-style-type: none"> Crear un sistema público de información para publicar datos sobre los recursos extractivos, incluyendo registros de permisos y concesiones para exploración 	Expedición de permisos
AP14-16 (6)	Bulgaria*	Ley de transparencia de los recursos del subsuelo	<ul style="list-style-type: none"> Enmendar el marco legislativo sobre el procedimiento de asignar licencias para la exploración de recursos minerales 	Expedición de permisos
AP16-18 (3)	Georgia*	Introducción del sistema electrónico de expedición de permisos en el campo de los recursos naturales	<ul style="list-style-type: none"> Crear un sistema electrónico de permisos sobre recursos naturales 	Expedición de permisos
AP15-17 (1)	Ghana	➋ Contratación abierta	<ul style="list-style-type: none"> Apertura en los procesos de contratación, publicación de contratos de las industrias extractivas y de información sobre los beneficiarios reales de los contratos 	Contratación
AP13-15 (2.3)	Indonesia	Transparencia y rendición de cuentas en las actividades de manejo de recursos naturales	<ul style="list-style-type: none"> Publicar datos e información sobre las actividades de petróleo, gas y minería, incluyendo una lista de las empresas mineras que tienen permisos 	Expedición de permisos
AP14-16 (12)	Indonesia	Acelerar la implementación de buenas prácticas de gobernanza en el manejo de recursos naturales	<ul style="list-style-type: none"> Publicar los contratos que han sido renegociados y la información sobre adquisiciones en los sectores de petróleo, gas y minería 	Contratación

Identificador (años, número de compromiso)	País	Nombre del compromiso	Resumen/temas	Subtema
AP16-18 (4)	Kenia*	Publicar los contratos de petróleo y gas	<ul style="list-style-type: none"> • Publicación de contratos y de información sobre los ingresos resultantes de las industrias de petróleo y gas 	Contratación
AP18-20 (15)	Kirguistán	Publicar datos de la industria minera a nivel de permisos	<ul style="list-style-type: none"> • Publicar los permisos del sector minero con regularidad 	Expedición de permisos; contratación
AP13-15 (3)	Liberia	Transparencia de la industria extractiva	<ul style="list-style-type: none"> • Publicar los informes de la EITI, los cuales incluyen información sobre gastos del Gobierno y de las comunidades beneficiarias • Llevar a cabo auditorias tras la asignación de contratos e investigaciones sobre los contratos, concesiones y permisos asignados por el Gobierno de Liberia a las empresas que operan en los sectores de minería, petróleo, manejo forestal y agrícola 	Expedición de permisos
AP16-18 (5)	Malawi	Iniciativa para la Transparencia del Sector Extractivo (EITI por sus siglas en inglés))	<ul style="list-style-type: none"> • Contratos abiertos y transparencia de los ingresos del sector extractivo 	Expedición de permisos; contratación
AP11-13 (13)	México	Base de datos de los proyectos de minería	<ul style="list-style-type: none"> • Publicar una base de datos con información sobre los permisos de exploración y explotación de minas 	Expedición de permisos
AP11-13 (16)	México	Publicar datos del contrato de PEMEX	<ul style="list-style-type: none"> • Publicar los resultados de las licitaciones y los contratos que firma la empresa estatal petrolera 	Expedición de permisos; contratación
AP13-15 (22)	México	Petróleo para el beneficio de todos	<ul style="list-style-type: none"> • Publicar los contratos firmados con las empresas extractivas • Asegurar que las instituciones y ministerios reguladores publican informes completos y puntuales sobre sus operaciones, incluyendo sus ingresos y proyectos 	Contratación
AP14-16 (3.3.1.4)	Mongolia	Desarrollar una base de datos central de las entidades que tienen permisos de extracción de minerales, petróleo y de tenencia de la tierra abierta al público	<ul style="list-style-type: none"> • Desarrollar una base de datos centralizada con información sobre entidades que tienen permisos de minerales, petróleo y tenencia de la tierra 	Expedición de permisos

Identificador (años, número de compromiso)	País	Nombre del compromiso	Resumen/temas	Subtema
AP14-16 (3.3.1.5)	Mongolia	Asegurar la transparencia de todos los acuerdos sobre inversiones, estabilidad y producción de los recursos públicos como el agua, minerales, petróleo y el territorio	<ul style="list-style-type: none"> Publicar los contratos asociados a los recursos públicos (agua, minerales y territorio) 	Contratación
AP16-18 (II)	Mongolia	Transparencia de los contratos de explotación de recursos públicos	<ul style="list-style-type: none"> Identificar tipos de documentos, como acuerdos de uso de depósitos, acuerdos de inversión y sustentabilidad, acuerdos de acciones y distribución de productos y otros con el fin de publicarlos en línea Mejorar los acuerdos locales de cooperación y los acuerdos para el uso del agua y el territorio y desarrollar una base de datos con información de estos documentos que sea de acceso público 	Contratación
AP17-19 (2)	Nigeria	Implementación total de la contratación abierta y adopción del Estándar de Datos de Contrataciones Abiertas en el sector público	<ul style="list-style-type: none"> Implementar un esquema de contratación abierta en 5 áreas, incluyendo minerales sólidos 	Contratación
AP14-16 (7)	Sierra Leone	Escalamiento de las iniciativas de transparencia en las industrias extractivas	<ul style="list-style-type: none"> Publicar el proceso y los sistemas de control que el Ministerio de Minas y Recursos Mineros y la Dirección de Petróleo implementan para la asignación de permisos 	Expedición de permisos
AP14-16 (9)	Sierra Leone	70% de los contratos de arrendamiento son revisados y publicados con el fin de mejorar la transparencia, rendición de cuentas y participación pública	<ul style="list-style-type: none"> Publicar el 70% de los datos sobre minería y agricultura en un portal de datos abiertos 	Expedición de permisos; contratación
AP14-16 (11)	Sierra Leone	Crear un portal de datos abiertos para mejorar la transparencia de las transacciones fiscales y del sector extractivo	<ul style="list-style-type: none"> Identificar fondos para establecer un portal de datos para documentos del Gobierno por ejemplo de presupuestos, así como el 70% de los contratos de minas y agricultura y publicar el 20% de las leyes de Sierra Leona en la gaceta oficial 	Contratación
AP14-16 (3.5)	Tanzania	Tanzania cumplirá con sus compromisos de la EITI para junio de 2016	<ul style="list-style-type: none"> Documentar las prácticas de publicación de contratos del Gobierno 	Expedición de permisos; contratación

Identificador (años, número de compromiso)	País	Nombre del compromiso	Resumen/temas	Subtema
AP14-16 (4.2)	Trinidad and Tobago	Catastro de acceso público de los permisos y contratos para la exploración y producción de petróleo y gas	<ul style="list-style-type: none"> Publicar un catastro que incluya los permisos y volúmenes de producción petrolera y de gas 	Expedición de permisos; contratación
AP14-16 (18)	Túnez*	Desarrollo de una plataforma de “datos abiertos” específicamente para publicar información relacionada con el sector de inversión en petróleo y minería	<ul style="list-style-type: none"> Publicar datos abiertos de todos los contratos del sector petrolero y minero 	Expedición de permisos; contratación
AP18-20 (7)	Túnez*	Aplicación de principios de contratación abierta en el campo de los hidrocarburos	<ul style="list-style-type: none"> Desarrollar una plataforma electrónica para aplicar los principios de la contratación abierta, publicando todos los contratos concluidos en formato de datos abiertos, así como todos sus anexos y decisiones, además de difundir documentos sobre contratos que expliquen el proceso de contratación con inversionistas Preparar un estudio de referencia y aprender de las experiencias internacionales en el área de contratación abierta Desarrollar y ejecutar un programa de capacitación sobre el Estándar de Datos de Contrataciones Abiertas para los funcionarios 	Expedición de permisos; contratación

★ = Compromiso estelar

* = País que no es miembro de la EITI

Beneficiarios reales

0 compromisos refuerzan / 5 compromisos aceleran / 1 compromiso sobrepasa el estándar de la EITI

Conclusiones principales

- Cinco compromisos de OGP **aceleran** el estándar de la EITI sobre beneficiarios reales. Para la EITI no es obligatoria la creación de registros sobre beneficiarios reales, pero sí lo recomienda. Varios miembros de la EITI están creando estos registros a través de sus planes de acción de OGP.
- Según datos del IRM, en promedio, los compromisos de OGP sobre beneficiarios reales en el sector extractivo tienen mejor desempeño que los compromisos sobre beneficiarios reales en otros sectores¹⁰.
- Muchos compromisos sobre beneficiarios reales no centrados en el sector extractivo también afectan al sector extractivo.

Resumen de los estándares de la EITI relevantes

- 2.5 – Beneficiarios reales
 - Se **recomienda** a los países miembros de la EITI publicar registros nacionales de beneficiarios reales.
 - **Es obligatorio** para los países miembros de la EITI publicar una política pública sobre beneficiarios reales.
 - A partir del 1 de enero de 2020 **será obligatorio** para los países miembros de la EITI exigir a las empresas publicar información sobre sus beneficiarios reales a través de sistemas de gobierno y corporativos, utilizando el estándar de la EITI como suplemento.
 - » La información publicada deberá incluir el nombre, nacionalidad y país de residencia de beneficiario real e identificar las personas expuestas políticamente involucradas.

Objetivos de los compromisos de OGP establecidos hasta la fecha

- Crear registros de beneficiarios reales para el sector extractivo
- Exigir la publicación de información sobre los candidatos a ocupar puestos del consejo directivo de las empresas estatales
- Publicar información sobre los beneficiarios reales de los contratos públicos

Estado en la EITI: No se ha evaluado

Compromisos de OGP sobre beneficiarios reales según el IRM

31 compromisos sobre beneficiarios reales en total en OGP	→	6 de ellos se enfocan en el sector extractivo
Establecidos por 21 países	→	4 de ellos son compromisos sobre beneficiarios reales de las industrias extractivas
4 compromisos sobre beneficiarios reales son estelares	→	1 compromiso de beneficiarios reales en el sector extractivo es estelar
1 compromiso tiene resultado significativo o excepcional en la variable “¿contribuyó a la apertura en el Gobierno?”	→	0 compromisos son del sector extractivo
9 compromisos se han implementado sustancialmente	→	1 de ellos es del sector extractivo
7 compromisos tienen un nivel alto de ambición	→	3 de ellos son del sector extractivo

Catálogo de compromisos sobre beneficiarios reales en el sector extractivo

Identificador (años, número de compromiso)	País	Nombre del compromiso	Resumen/temas
AP18-20 (3)	Armenia	Registro de beneficiarios reales abierto y público	<ul style="list-style-type: none"> Crear un registro piloto de beneficiarios reales sobre las empresas nacionales de minería de metales
AP15-17 (1)	Ghana	❖ Contratación abierta y monitoreo de contratos	<ul style="list-style-type: none"> Publicar información sobre los beneficiarios reales de los contratos en el sector extractivo y en otras industrias
AP17-19 (3)	Ghana	Beneficiarios reales	<ul style="list-style-type: none"> Publicar información sobre los beneficiarios reales de las empresas que tienen contratos de petróleo, gas y minerales
AP18-20 (1)	Indonesia	Mejor manejo de datos y cumplimiento en los sectores extractivo, de manejo forestal y plantaciones	<ul style="list-style-type: none"> Crear un registro de beneficiarios reales para los sectores extractivo, de manejo forestal y plantaciones Enfocarse en la publicación y el uso de la base de datos de beneficiarios reales Publicar información sobre las solicitudes de permisos del sector extractivo y de aceite de palma
AP16-18 (12)	Mongolia	Transparencia de la información sobre los dueños de las entidades que tienen derecho a aprovechar los recursos minerales	<ul style="list-style-type: none"> Publicar un registro con los dueños de las empresas que están extrayendo recursos
AP16-18 (13)	Mongolia	Dar transparencia y efectividad a los permisos, información y actividades de las empresas	<ul style="list-style-type: none"> Exigir a las empresas estatales la publicación de informes financieros y operativos Crear una base de datos con los candidatos a ocupar puestos en el comité directivo de las empresas estatales

❖ = Compromiso estelar

Empresas estatales

6 compromisos refuerzan / 0 compromisos aceleran / 0 compromisos sobrepasan el estándar de la EITI

Conclusiones principales

- Los compromisos de OGP **refuerzan** el desempeño de los estándares de la EITI.
- En general, el desempeño de la EITI en cuanto a empresas estatales no es satisfactorio. Los países podrían aprovechar sus planes de acción para mejorar la implementación de la EITI y la supervisión de las empresas estatales.

Resumen de los estándares de la EITI relevantes

- 2.6 – Participación del Estado
 - Los países miembros de la EITI **están obligados** a publicar información sobre la relación financiera que existe entre las empresas y el Estado.
 - Los países miembros de la EITI **están obligados** a publicar el nivel de propiedad que tiene el Gobierno y las empresas estatales en las empresas del sector extractivo.
 - Los países miembros de la EITI **están obligados** a publicar los estados financieros auditados de las empresas estatales.
- 4.2 – Venta del porcentaje de los ingresos fiscales recaudados en especie
 - Los países miembros de la EITI **están obligados** a publicar los volúmenes de ingresos en especie recibidos y vendidos por el Estado.
 - Se **recomienda** a los países miembros de la EITI publicar una descripción del proceso de selección de empresas compradoras.
- 4.5 – Transacciones de las empresas estatales
 - Los países miembros de la EITI **están obligados** a publicar información completa sobre las transacciones financieras relacionadas a las empresas estatales.
- 6.2 – Gastos cuasi fiscales de las empresas estatales
 - Los países miembros de la EITI **están obligados** a incluir los gastos en los que incurren las empresas estatales en los informes de gastos cuasi financieros del Gobierno.

Objetivos de los compromisos de OGP establecidos hasta la fecha

- Exigir la publicación de informes financieros y operativos de las empresas estatales
- Incluir a las empresas estatales en el proceso de informe de la EITI

Estado en la EITI (promedio): 4.5/Avances significativos

Compromisos de OGP sobre empresas estatales según el IRM

6 compromisos sobre empresas estatales en total
Establecidos por 5 países miembros de OGP
0 compromisos estatales
2 compromisos tienen resultados significativos o excepcionales en la variable “¿contribuyó a la apertura en el Gobierno?”
3 compromisos se han implementado sustancialmente
3 compromisos tienen un nivel alto de ambición

Catálogo de compromisos sobre el sector extractivo y empresas estatales

Identificador (años, número de compromiso)	País	Nombre del compromiso	Resumen/temas
AP11-13 (16)	México	Publicar datos del contrato de PEMEX	<ul style="list-style-type: none"> • Publicar los resultados de las licitaciones y los contratos de la empresa estatal de petróleo
AP16-18 (13)	Mongolia	Dar transparencia y efectividad a los permisos, información y actividades de las empresas	<ul style="list-style-type: none"> • Exigir a las empresas estatales la publicación de informes financieros y operativos • Crear una base de datos con los candidatos a ocupar puestos en el comité directivo de las empresas estatales
AP16-18 (2)	Reino Unido	Transparencia en los recursos naturales	<ul style="list-style-type: none"> • Mejorar los informes de las empresas con respecto a los pagos a los gobiernos
AP19-21 (5)	Reino Unido	Transparencia en los recursos naturales	<ul style="list-style-type: none"> • Publicar datos abiertos sobre los ingresos de las empresas estatales
AP14-16 (4.3)	Trinidad & Tobago	Incorporar al sector mineral (empezando por National Quarries Company Ltd.) en el mecanismo de informe de la EITI de Trinidad y Tobago	<ul style="list-style-type: none"> • Incluir a National Quarries Company Ltd. en el proceso de informes de la EITI en Trinidad y Tobago
AP14-16 (18)	Túnez*	Plataforma de datos abiertos para las inversiones en los sectores petróleo y minería	<ul style="list-style-type: none"> • Publicar datos abiertos sobre los ingresos de las empresas estatales

* = País que no es miembro de la EITI

Medio ambiente

2 compromisos refuerzan / 8 compromisos aceleran / 6 compromisos sobrepasan el estándar de la EITI

Conclusiones principales

- Los países de OGP **aceleran** y sobrepasan el estándar de la EITI en términos de requisitos ambientales.
- Los países pueden seguir aprovechando sus planes de acción para dar apertura a las evaluaciones de impacto ambiental, publicar sus gastos en materia de mitigación y restauración y publicar información relacionada con sus acciones de monitoreo y aplicación y cumplimiento de la ley.

Resumen de los estándares de la EITI relevantes

- 6.1 – Gastos sociales obligatorios
 - Los países de la EITI **están obligados** a publicar pagos materiales hechos a los gobiernos en materia ambiental.
 - Se **recomienda** a los países miembros de la EITI publicar sus pagos a Gobierno, voluntarios o discretionales, en materia ambiental.
- 6.4 – Impacto ambiental de las industrias extractivas
 - Se **recomienda** a los países de la EITI publicar información sobre monitoreo ambiental.

Objetivos de los compromisos de OGP establecidos hasta la fecha

- Desarrollar leyes que exijan llevar a cabo evaluaciones de impacto ambiental antes y durante los proyectos extractivos
- Publicar datos sobre acciones de monitoreo y aplicación y cumplimiento de la ley.
- Publicar información sobre la distribución y el uso de los recursos naturales en las industrias extractivas.

Fuera de las industrias extractivas, los miembros de OGP están:

- Publicando datos geoespaciales y mapas de conservación y áreas ricas en recursos.
- Publicando datos ambientales, incluyendo información sobre los niveles de contaminación y las emisiones de carbono.
- Integrando políticas de mitigación del cambio climático en asociación con empresas privadas.
- Cocreando políticas de cambio climático con la ciudadanía y permitiendo a la ciudadanía participar en los esfuerzos de conservación.

Estado en la EITI (promedio): 4.00/Avances significativos¹¹

Compromisos ambientales de OGP según el IRM

145 compromisos de OGP sobre medio ambiente en total	→	16 de ellos son del sector extractivo
Establecidos por 52 países miembros de OGP	→	14 de ellos crearon compromisos sobre el sector extractivo
12 compromisos estelares	→	1 de ellos es del sector extractivo
17 compromisos tienen resultados significativos o excepcionales en la variable “¿contribuyó a la apertura en el Gobierno?”	→	1 de ellos es del sector extractivo
54 se han implementado sustancialmente	→	6 de ellos son del sector extractivo
54 tienen un nivel alto de ambición	→	8 de ellos son del sector extractivo

Catálogo de compromisos ambientales de OGP sobre el sector extractivo¹²

Identificador (años, número de compromiso)	País	Nombre del compromiso	Resumen/temas
AP16-18 (4)	Chile	Transparencia del sitio web CODELCO	<ul style="list-style-type: none"> • Publicar información sobre las operaciones y el impacto ambiental de CODELCO, empresa estatal de minería de cobre
AP15-17 (14)	Colombia	Manejo de gastos ambientales públicos	<ul style="list-style-type: none"> • Publicar información sobre la distribución de recursos del Fondo de Conservación
AP14-16 (19)	El Salvador	Incorporarse al Pacto Global de la ONU	<ul style="list-style-type: none"> • Adoptar requisitos de responsabilidad social corporativa para la protección de los recursos naturales
AP12-14 (11)	España	Simplificación de procesos de evaluación ambiental	<ul style="list-style-type: none"> • Reducir los tiempos asociados a los procesos de evaluación de impacto ambiental de los proyectos
AP16-18 (16)	Georgia*	★ Adopción del código de evaluación ambiental	<ul style="list-style-type: none"> • Publicar riesgos e impactos ambientales antes y durante las fases de planeación de los proyectos
AP16-18 (12)	Honduras	Comunidades resilientes	<ul style="list-style-type: none"> • Monitoreo ciudadano de los riesgos ambientales asociados a los proyectos extractivos
AP18-20 (19)	Honduras	Transparencia de las industrias extractivas	<ul style="list-style-type: none"> • Monitoreo ciudadano de los riesgos ambientales asociados a la actividad minera
AP14-16 (12)	Indonesia	Acelerar la implementación de buenas prácticas de gobernanza en el manejo de recursos naturales	<ul style="list-style-type: none"> • Publicar información sobre los volúmenes de producción y la planeación espacial en el sector de gas y minero
AP16-18 (8.3)	Macedonia	Asegurar la rendición de cuentas y la participación del sector privado en la política nacional de cambio climático	<ul style="list-style-type: none"> • Mejorar los datos recolectados por el sector privado sobre contaminación y cambio climático
AP13-15 (23)	México	Minería para todos	<ul style="list-style-type: none"> • Trabajar con organizaciones de la sociedad civil para evaluar el trabajo socioambiental relativo a la industria minera y crear propuestas para una mayor transparencia en la industria minera
AP16-18 (7)	México	Reducir la vulnerabilidad y riesgos asociados a la variabilidad y al cambio climático, generando, difundiendo y articulando información actualizada, asequible, pública y vinculante para la toma de decisiones públicas.	<ul style="list-style-type: none"> • Publicar información sobre el uso eficiente de los recursos naturales para reducir los riesgos asociados al cambio climático
AP16-18 (6)	Paraguay	Mejorar la calidad y cantidad de información sobre recursos naturales y medio ambiente	<ul style="list-style-type: none"> • Publicar informes sobre los impactos ambientales de los proyectos extractivos y datos sobre el uso de recursos naturales
AP12-14 (1:J)	Perú	Acceso a información ambiental	<ul style="list-style-type: none"> • Desarrollar una ley de transparencia en temas ambientales de los proyectos extractivos
AP16-18 (4)	Sudáfrica*	Portal de manejo de información ambiental	<ul style="list-style-type: none"> • Desarrollar un portal de datos espaciales ambientales para evaluar los impactos ambientales de los proyectos de desarrollo
AP16-18 (7)	Sri Lanka	Enmiendas a la ley nacional ambiental	<ul style="list-style-type: none"> • Restaurar el derecho del público a enviar sus comentarios a los análisis ambientales iniciales
AP16-18 (12)	Uruguay	Adaptabilidad y apertura de los datos ambientales	<ul style="list-style-type: none"> • Publicar la ubicación, naturaleza e impacto ambiental esperado de los proyectos extractivos

★ = Compromiso estelar * = País que no es miembro de la EITI

Referencias

- ¹ Los compromisos que *aceleran* el estándar de la EITI recibieron esta designación porque se comprometen a implementar un elemento del estándar que todavía no es obligatorio pero que lo será en los próximos años o porque se comprometen a implementar un elemento del estándar que actualmente es recomendado pero no obligatorio. En ambos casos, las acciones están de alguna manera incluidas en el estándar de la EITI por lo que nos referimos ellas como “acciones que refuerzan el estándar de la EITI”.
- ² <https://www.openownership.org/what-we-do/the-beneficial-ownership-data-standard/>
- ³ <https://www.gleif.org/en/about-lei/introducing-the-legal-entity-identifier-lei>
- ⁴ En los países en los que el Gobierno ya exige la publicación de información de impacto ambiental en los procesos de expedición de licencias, dichas acciones están cubiertas en la sección 2.4 del estándar de la EITI. Por lo tanto, los compromisos de OGP con relación a la publicación de información ambiental en los procesos de expedición de permisos refuerzan el estándar de la EITI en los países en los que ya es obligatorio por ley. Los compromisos sobre publicación de información ambiental que están fuera del proceso de expedición de licencias sobrepasan el estándar.
- ⁵ <http://miningsharedvalue.org/mininglprm>
- ⁶ Inés Pousadela, *Civic Space Under Threat in Extractive Industries Transparency Initiative Countries* (CIVICUS, Aug. 2017), <https://civicus.org/documents/CIVICUSMonitorFindings.EITI.Countries.pdf>
- ⁷ Tonusree Basu and Denisse Miranda, *The Right Tools for the Right Job: How OGP can help win the fight for civic space* (Open Government Partnership, 2018), https://www.opengovpartnership.org/wp-content/uploads/2018/05/Right-Tools_Civic-Space+20180508.pdf.
- ⁸ Sandy Arce, Renzo Falla and Joseph Foti, *Informe global de OGP: Democracia más allá de las urnas electorales* (Open Government Partnership, 2019), <https://www.opengovpartnership.org/campaigns/global-report/priority-policy-areas/>.
- ⁹ Para este análisis, clasificamos los compromisos según su enfoque en la expedición de permisos o en contratación. .
- ¹⁰ Nota: las generalizaciones sobre el desempeño del compromiso sobre beneficiarios reales son poco confiables dado el pequeño tamaño de muestra de compromisos sobre beneficios reales.
- ¹¹ Los países aún no han sido evaluados de acuerdo con la sección 6.4 del estándar de la EITI. .
- ¹² La siguiente lista de compromisos se seleccionó por su relación con el medio ambiente y el sector extractivo. Cabe mencionar que en algunos casos también se alinean directamente con otros requisitos no ambientales de la EITI.



Albchrome shpk es el mayor productor de mineral de cromo y ferrocromo en Albania. Fotografía de: Albchrome shpk, albchrome.al/

Páginas de miembros

Las páginas de los países incluyen información sobre el proceso de validación de la EITI más reciente por país. Cabe mencionar que aunque muchos países actualmente se encuentran en proceso de revisión, esta publicación incluye los datos y resultados publicados hasta el 1 de agosto del 2019. las siguientes páginas solo están disponibles en inglés.

Afghanistan

Joined OGP: 2017

EITI Status: Inadequate progress/suspended

Most recent validation: 2017

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The report does not cover significant aspects of the requirement, including the procedures followed for the award of licenses in the year under review, whether licenses were transferred or the process for transferring licences, the technical and financial criteria or a list of unsuccessful bidders. It is also unclear whether licenses were awarded or transferred for oil and gas in the period under review.	3	None	1 commitment	Consider Action
	Register of licenses (2.3)	On mining, while the recently launched MOMP Transparency portal offers overview of over 900 licenses, the comprehensiveness of these remains unclear. While the portal does not appear to list the four oil and gas licenses, the information on oil and gas licenses is provided in the full-text of the four oil and gas production-sharing contracts published on the MOMP website.	4			
	Policy on contract disclosure (2.4)	Afghanistan has disclosed the government's policy on contract disclosure and contracts are available on the Ministry of Mines and Petroleum's website	6			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Afghanistan has committed to establish an economy-wide register of beneficial owners and is taking steps towards its establishment. AETI has agreed a roadmap to publish beneficial owners of companies that operate, bid for or own licenses in the sector by 2020.	NA	None	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	Whilst 2 state-owned enterprises (SOE) are identified as operating in the sector, there is limited information on the level of state ownership, the terms associated with state equity nor any changes in state ownership. There is no information on the statutory financial relations between them and the state, nor any deviation in practice beyond a description of their weak accounting system.	3	None	No data	Consider Action
	Sale of State's Share of Revenues Collected in Kind (4.2)	This requirement is not applicable in Afghanistan.	NA			
	SOE transactions (4.5)	Whilst both SOEs were included in the scope of reporting, the report does not clearly distinguish payments from SOEs to MOF that are specific to SOEs and the comprehensiveness of SOE reporting is unclear. Uncertainty over the comprehensiveness of SOEs' reporting of transactions with government are linked to weaknesses in their record-keeping.	4			
	SOE quasi-fiscal expenditures (6.2)	There is insufficient information in the 2014-2015 EITI Report to assess whether material quasi-fiscal expenditures exist in Afghanistan.	2			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	Whilst the 2014-15 Report states that there are no mandatory social expenditures, several stakeholders confirmed that specific mining companies had undertaken mandatory social expenditures in the year under review.	3	None	None	Consider Action
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

No OGP Extractives Commitments

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Albania

Joined OGP: 2011

EITI Status: Meaningful progress

Most recent validation: 2017

Topic	Requirement	Progress on EITI Requirements			OGP Commitments		Action Implication
		Qualitative Assessment		#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The 2016 EITI Report and mining, oil and gas license registers published on the AlbEITI website identify the mining, oil and gas licenses awarded and the license transfers in 2016. While descriptions of the general processes for awarding and transferring licenses are publicly available for both mining and oil and gas, there is no evidence that the detailed technical and financial criteria for mining, oil and gas license awards and transfers are available to the public. Although the 2016 EITI Report highlights the MSG's assessment of non-trivial deviations in mining, oil and gas license awards, it does not describe the MSG's approach to assessing non-trivial deviations in license transfers in 2016. The report is transparent about legal constraints hindering disclosure of non-winning bidders for mining licenses awarded through licensing rounds, although this could be a significant challenge to Albania's adherence to Requirement 2.5.	4	None	3 commitments	Consider Action	
	Register of licenses (2.3)	The 2016 EITI Report and mining, oil and gas license registers published on the AlbEITI website provide all of the information listed under Requirement 2.3.b (including license-holder name, dates of award and expiry, commodity(ies) covered and coordinates), albeit not the dates of application for licenses held by material companies. The report is transparent about challenges in sourcing dates of application. The International Secretariat's view is that the lack of publicly-accessible dates of application is a marginal issue that does not affect Albania's progress in meeting the overall objective of transparency in license information.	5				
	Policy on contract disclosure (2.4)	The 2016 EITI Report clarifies the government's policy on contract disclosure in the oil and gas sector, but not in the mining sector. Stakeholder consultations confirmed that the government had a pro-disclosure policy in practice in the mining sector. While there is little evidence that the MSG has taken steps to codify this government policy for the mining sector, the Secretariat's view is that the government's pro-disclosure policy for mining contracts in practice, combined with the small number of contracts in the mining sector (three), mean that the broader objective of contract transparency has been achieved.	5				
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	The 2015 EITI Report does not clarify the government's policy on beneficial ownership disclosure in extractives companies but the names of legal owners of all material companies are publicly available on the National Registration Centre website.	NA	None	None	No EITI Assessment	

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	The 2016 EITI Report clarifies that Albpetrol was the only material SOE for EITI reporting purposes in 2016 and describes the financial relations between Albpetrol and the state, both statutorily and in practice, aside from the rules related to its ability to raise third-party financing. Stakeholder consultations confirmed that the Albpetrol company statutes clearly codified the rules related to third-party financing, although the public accessibility of these statutes was unclear during Validation. The report provides an overview of state equity in extractive companies, including terms associated with state equity, and stakeholder consultations confirmed that there were no changes in state participation in 2016. The report only confirms the lack of outstanding loans and guarantees from Albpetrol to extractive companies in 2016, without reference to any government loans or guarantees to extractive companies.	4	None	No data	Consider Action
	Sale of State's Share of Revenues Collected in Kind (4.2)	The 2015 EITI Report reconciles crude oil volumes collected under PSAs, discloses crude oil volumes sold and the value of proceeds from crude oil sales, disaggregated by buyer. The report provides volumes collected, volumes sold and sales proceeds for both the share of oil production under PSAs as well as Albpetrol's equity oil, albeit without disaggregation between the two. While there is a case for considering that Albania has gone beyond the minimum requirement by disclosing information on the sales of Albpetrol's equity oil, the International Secretariat's initial assessment is that Albania has made satisfactory progress in meeting this requirement given the lack of disaggregation between the state's in-kind revenues and Albpetrol's equity oil.	5			
	SOE transactions (4.5)	While the 2015 EITI Report includes a reconciliation of oil and gas company payments to extractives SOEs (Albpetrol) and of some of Albpetrol's payments to government, it only provides Albpetrol's unilateral disclosure of its dividends to government, which are not reconciled with MEDTTE receipts. While Albpetrol's dividends to MEDTTE are material, they account for only 0.39% of government revenues from the mining, oil and gas sectors. However, the International Secretariat understands that MEDTTE's receipt of Albpetrol dividends are disclosed in the annual budget execution report, given that MEDTTE's revenues are recorded in the national budget (see Requirement 5.1). In addition, the fact that Albpetrol's annual financial statements are audited (see Requirement 4.9) provides a high degree of quality assurance for Albpetrol's unilateral disclosure of its dividends to government.	5			
	SOE quasi-fiscal expenditure (6.2)	The 2016 EITI Report includes a summary of the MSG's deliberations on quasi-fiscal expenditures and its conclusions that Albpetrol did not undertake any quasi-fiscal expenditures in the year under review (2016).	NA			
ENVIRONMENT and Extractives	Mandatory social expenditure (6.1)	The 2016 EITI Report states categorically that there are no mandatory social expenditures in either mining or oil and gas, based on its review of available contracts and consultations with government and industry stakeholders. While material companies were requested to report details of their voluntary social expenditures in the 2016 EITI Report, none of the reporting mining, oil and gas companies reported such payments.	NA	None	2 commitments	No EITI Assessment
	Environmental Impact (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP12-14 (30)	2012-2014	Implement EITI recommendations and reorganize AlbEITI Inter-Ministerial Working Group	✓			No data

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Argentina

Joined OGP: 2012

EITI Status: Yet to be assessed against the Standard

Most recent validation: N/A

Topic	Requirement	Progress on EITI Requirements		OGP Commitments	
		Qualitative Assessment	#	Extractives focus	No extractives focus
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	Pending EITI assessment	NA	None	4 commitments
	Register of licenses (2.3)	Pending EITI assessment	NA		
	Policy on contract disclosure (2.4)	Pending EITI assessment	NA		
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Pending EITI assessment	NA	None	None
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	Pending EITI assessment	NA	None	No data
	Sale of state's share of revenues collected in kind (4.2)	Pending EITI assessment	NA		
	SOE transactions (4.5)	Pending EITI assessment	NA		
	SOE quasi-fiscal expenditures (6.2)	Pending EITI assessment	NA		
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	Pending EITI assessment	NA	None	1 commitment
	Environmental impact of extractive activities (6.4)	Pending EITI assessment	NA		

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP17-19 (6)	2017-2019	Centralize local, provincial, and national mining data in an online platform	Pending IRM Review			

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Armenia

Joined OGP: 2011

EITI Status: Yet to be assessed against the Standard

Most recent validation: N/A¹

Topic	Requirement	Progress on EITI Requirements		OGP Commitments	
		Qualitative Assessment	#	Extractives focus	No extractives focus
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	Pending EITI assessment	NA	1 commitment: AP14-16 (1)	5 commitments
	Register of licenses (2.3)	Pending EITI assessment	NA		
	Policy on contract disclosure (2.4)	Pending EITI assessment	NA		
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Pending EITI assessment	NA	1 commitment: AP18-20 (3)	None
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	Pending EITI assessment	NA	None	No data
	Sale of state's share of revenues collected in kind (4.2)	Pending EITI assessment	NA		
	SOE transactions (4.5)	Pending EITI assessment	NA		
	SOE quasi-fiscal expenditures (6.2)	Pending EITI assessment	NA		
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	Pending EITI assessment	NA	None	None
	Environmental impact of extractive activities (6.4)	Pending EITI assessment	NA		

¹ Armenia's first validation assessment commenced in 2019 and has not yet been completed.

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP14-16 (1)	2014-2016	Digitize over 12,000 geological reports and centralize information on mining rights	✓	✓		
AP14-16 (2)	2014-2016	Join EITI to improve mining transparency	✓	✓		
AP18-20 (3)	2018-2020	Pilot beneficial ownership registry using national metal mining companies	Pending IRM Review			

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Australia

Joined OGP: 2015

EITI Status: Does not participate in EITI

Topic	Requirement	OGP Commitments	
		Extractives focus	No extractives focus
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	None	2 commitments
	Register of licenses (2.3)		
	Policy on contract disclosure (2.4)		
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	None	1 commitment
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	None	No data
	SOE transactions (4.5)		
	Sale of state's share of revenues collected in kind (4.2)		
	SOE quasi-fiscal expenditures (6.2)		
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	None	None
	Environmental impact of extractive activities (6.4)		

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP16-18 (1.3)	2016-2018	Implement the EITI Standard and disclose company payments / government revenues from extractives		✓		No data
AP16-18 (3.3)	2016-2018	Improve accessibility of environmental data, including coal and coal seam gas bioregional assessments	✓	✓		No data

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Burkina Faso

Joined OGP: 2016

EITI Status: Meaningful progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The 2015 EITI Report describes the statutory license allocation and transfer procedures, highlighting the number of licenses that were granted or transferred in 201. However, it does not highlight non-trivial deviations from the statutory procedures for awards and transfers in the year under review (2015), when consulted stakeholders highlighted the existence of deviations from statutory allocation procedures.	4	None	None	Consider Action
	Register of licenses (2.3)	The 2015 EITI Report provides a list of mining licenses active in 2014 and provided information including license-holder name, dates of award and expiry, commodities covered and name of decree awarding the license, but not dates of application or license coordinates. The report also describes Burkina-Faso's cadastral management system, which provides public access to dates of application but only of maps of licenses, rather than their specific coordinates.	4			
	Policy on contract disclosure (2.4)	The 2015 EITI Report clarifies the government's policy on contract disclosure in the mining sector, although it does not clarify whether this 2015 policy is applied retroactively to contracts concluded prior to 2015. While the report comments on actual disclosure practice, noting that decrees approving and summarizing key terms of contracts are published but full-text of contracts are not (aside from Newmont's Tambao contract), it does not provide guidance on how to access the full text of any contracts.	5			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	The 2015 EITI Report notes that there is no clear government policy on beneficial ownership disclosure in extractives companies but provides information on the legal ownership of all but three material companies. While the MSG piloted beneficial ownership reporting in the 2015 EITI Report, only two companies reported details of physical owners..	NA	None	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	While the 2015 EITI Report describes the existence of three SOEs, it does not provide an explanation of the prevailing rules and practices regarding the financial relationship between the government and SOEs. The report provides a list of state participations in the mining sector, and describes the terms associated with the state's 10% free-carry equity in mining projects, but not of the state's equity in the three SOEs. The report highlights changes to state participation in the year under review 2015.	3	None	No data	Consider Action
	Sale of State's Share of Revenues Collected in Kind (4.2)	The 2015 EITI Report states that the Mining Code and model mining contract do not provide for the possibility of paying any mining-related taxes or fees in kind.	NA			
	SOE transactions (4.5)	State's participation in the extractive sector is managed directly by the treasury (DGTCP), which received USD 4,589,454 in dividends from mining companies in 2015. The newly created SOE, SOPAMIB that would manage state participation in the future was not operational during the period under review (2015), therefore no dividends transited through SOEs. Other SOEs operational in the mining sector (BUMIGEB and SEPB) receive government funding rather than make payments to the government.	NA			
	SOE quasi-fiscal expenditures (6.2)	While the 2015 EITI Report does not sufficiently address the issue of quasi-fiscal expenditures, stakeholder consultations confirmed that SOEs did not undertake such expenditures in 2015.	NA			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	There is a case for considering that Requirement 6.1 was not applicable to Burkina Faso in 2015, given that the 2015 EITI Report and stakeholder consultations confirmed that there were no mandatory social expenditures required by law or contract in 2015. However, given the MSG's efforts to address "encouraged" aspects of the requirement by presenting companies' unilateral disclosures of their voluntary social expenditures, albeit without reconciling these, the International Secretariat considers that Burkina Faso has made satisfactory progress in meeting this requirement.	6	None	None	Share Innovation
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

No OGP Extractives Commitments

Completed: Commitment had "substantial" completion or was "complete."

Ambitious: Commitment had a "moderate" or "transformative" potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially "transformative," and had at least "substantial" completion.

Strong early results: Commitment changed government practice in a significant way ("major" or "outstanding" on the IRM's "Did It Open Government?" variable).

Chile

Joined OGP: 2011

EITI Status: Does not participate in EITI

Topic	Requirement	OGP Commitments	
		Extractives focus	No extractives focus
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	None	3 commitments
	Register of licenses (2.3)		
	Policy on contract disclosure (2.4)		
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	None	1 commitment
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	None	No data
	SOE transactions (4.5)		
	Sale of state's share of revenues collected in kind (4.2)		
	SOE quasi-fiscal expenditures (6.2)		
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	1 commitment: AP16-18 (4)	1 commitment
	Environmental impact of extractive activities (6.4)		

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP12-14 (4.1)	2012-2014	Involve citizens in decision-making related to the environment	✓	✓		No data
AP14-16 (12)	2014-2016	Promote access to environmental information, participation, and climate justice	✓	✓	✓	
AP16-18 (1)	2016-2018	Centralize energy data online and encourage community involvement in energy projects	✓	✓	✓	✓
AP16-18 (4)	2016-2018	Publish information on the operations and impacts of CODELCO (state-owned copper mining company)	✓	✓		

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Colombia

Joined OGP: 2011

EITI Status: Satisfactory progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements			OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus		
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The requisite information regarding the award and transfer of licenses are disclosed in the 2016 EITI Report both for the hydrocarbon and mining. Information on awarding hydrocarbon contracts is available in the regulator (ANH) website. Information on awarding of mining titles is publicly available in the regulator (ANM) website including the cadastre system. Cadastre is being updated to improve navigability.	5	None	6 commitments	Share Innovation	
	Register of licenses (2.3)	Information regarding all active mining, oil and gas licenses is publicly available, as highlighted in the 2016 EITI Report aside from the commodity(ies) covered by mining licenses. The report provides links to both the mining cadastre and the hydrocarbon repository of contracts. Additionally, the public can access additional information, including commodity(ies) covered, upon request from the sector regulators.	5				
	Policy on contract disclosure (2.4)	The government's policy on contract transparency is described, which also provides an overview of current disclosure practice. In mining, current contractual arrangements are standardised per the Mining Law and are publicly available, with proprietary technical information redacted. All oil and gas contracts are published on the hydrocarbon regulator ANH website.	6				
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Colombia published the roadmap for disclosing beneficial ownership information. Limited progress has been done in implementing the beneficial ownership roadmap. An initial part of the plan relied on the passing of a beneficial ownership bill that is stalled in Congress. The MSG has started to consider alternative legal ways to ensure compliance with this requirement by 2020.	NA	None	None	No EITI Assessment	

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	The 2016 EITI Report contains and links to information regarding the relationship between the government and Ecopetrol including transfers of funds between the SOE and the state, retained earnings, reinvestment, third party financing, the financial relationship with the government, the government ownership including changes in 2016 and loans and guarantees.	5	None	No data	Share Innovation
	Sale of State's Share of Revenues Collected in Kind (4.2)	The 2016 EITI Report confirms that the government receives oil royalty payments in-kind and discloses and reconciles volumes of oil collected in-kind, volumes sold and proceeds of these sales to the sole buyer Ecopetrol. Given that all of the government's in-kind oil revenues are sold to a single buyer, Ecopetrol, they are effectively disaggregated by buyer in the 2016 EITI Report.	5			
	SOE transactions (4.5)	The 2016 EITI Report describes thoroughly the role of the SOE Ecopetrol including disclosure of all Ecopetrol payments to the state. The report explains that Ecopetrol does not collect payments from companies and comprehensively discloses and reconciled Ecopetrol's payments to government.	5			
	SOE quasi-fiscal expenditures (6.2)	The 2016 EITI Report demonstrates that Ecopetrol does not undertake any quasi-fiscal expenditures.	NA			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The 2016 EITI Report identifies mandatory social expenditures in both the mining and oil and gas sectors. The report explains the applicable social payments regime for hydrocarbon and mining companies and discloses both mandatory and voluntary social payments in 2016. Names of beneficiaries are published and the report confirms that all mandatory social expenditures are paid in cash.	5	1 commitment: AP15-17 (14)	4 commitments	Share Innovation
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP12-14 (3.4)	2012-2014	Publish government investments of royalties received from extractive industries	✓	✓	✓	No data
AP15-17 (8)	2015-2017	Raise public awareness of extractive sector value chain	✓	✓		
AP15-17 (11.1)	2015-2017	Publish visualizations and query information for extractives' project sites and execution status		✓		
AP15-17 (11.2)	2015-2017	Citizen monitoring and auditing of public investments	✓	✓	✓	✓
AP15-17 (14)	2015-2017	Publish information about the distribution of resources of the Environmental Conservation Fund				
AP17-19 (6)	2017-2019	Use a technology tool to allow the public to track ongoing energy and mining commitments			Pending IRM Review	

Completed: Commitment had "substantial" completion or was "complete."

Ambitious: Commitment had a "moderate" or "transformative" potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially "transformative," and had at least "substantial" completion.

Strong early results: Commitment changed government practice in a significant way ("major" or "outstanding" on the IRM's "Did It Open Government?" variable).

Côte d'Ivoire

Joined OGP: 2015

EITI Status: Meaningful progress

Most recent validation: 2017

Topic	Requirement	Progress on EITI Requirements			OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus		
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	Two implementing decrees provide technical and financial criteria for the oil, gas and mining sectors. The 2015 EITI Report did not comprehensively disclose the license allocation process for 90 licenses awarded in the mining sector in 2015, although this information is now available in the country's online mining cadastre. The technical and financial criteria used in license transfer that occurred in the oil and gas sector and the production sharing agreement, signed with ANADARKO in September 2015, were not published.	4	None	1 commitment	Consider Action	
	Register of licenses (2.3)	The RCI did not have a publicly available register or cadastre system for its oil, gas and mining industry, but the 2015 EITI Report includes comprehensive information on mining licenses in accordance with EITI Requirement 2.3.a, including names of license holders, location, size and coordinate for each mining license, dates of application award and expiration, allowing the reader to determine the validity period. It should be noted that the Report provided also detailed information on licenses held by artisanal miners of diamond and coltan and semi-industrial production of gold. However, the Report did not disclose comprehensive information of all licenses in the oil and gas sector.	4				
	Policy on contract disclosure (2.4)	The EITI Report provides a clear description of the government policy, which is not applied in practice. Despite a clear legal mandate to publish production sharing agreements in the hydrocarbon sector since 2012, the law has not been implemented in practice. Government officials at the Ministry of Hydrocarbon and Energy have argued against the publication of the production sharing agreements in a clear violation of article 12 of law N° 2012-369 of 18 April 2012.	5				
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	The international Secretariat took note of the study published by the MSG in December 2016, which reviews the legal and regulatory framework and sets out a methodology for agreeing a definition of beneficial ownership, the mechanism of collecting and publishing beneficial ownership data as well as the level of details to be disclosed. However, the International Secretariat notes that many stakeholders were not aware of this study and implementation of the beneficial ownership roadmap has been delayed. Moreover, very few oil and gas companies disclosed their legal owners as part of the 2015 EITI Report..	NA	None	None	No EITI Assessment	

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	While the 2015 EITI Report clearly describes the prevailing rules and practices regarding the financial relationship between the government and SODEMI, the descriptions of the financial relationship between the state and the national oil company (PETROCI) remains unclear and not fully comprehensive. The rules and practices governing transfers of funds between PETROCI and the state retained earnings, reinvestment and third-party financing cannot be fully assessed without PETROCI's financial statement, which is not published.	4	None	No data	Consider Action
	Sale of State's Share of Revenues Collected in Kind (4.2)	The 2015 EITI Report reconciles the volumes collected by PETROCI on behalf of the government with company payments of in-kind revenues and discloses volumes of the state's in-kind revenues sold by PETROCI as well as the transfer of sales proceeds to the Treasury. The volumes of oil and gas received by PETROCI were disaggregated by oil bloc, but the quantities of oil sold and revenues received were not disaggregated by buyer, except in the case of the domestic national refinery (SIR) and delivery of natural gas to Cote d'Ivoire Energy.	4			
	SOE transactions (4.5)	The 2015 EITI Report discloses SODEMI's transactions with the government and shows that SODEMI did not collect revenues from oil and gas companies. However, despite significant disclosures by PETROCI of its transactions with the state, several transactions involving PETROCI and Cote d'Ivoire Energy remains unreported and unclear to many MSG members.	4			
	SOE quasi-fiscal expenditures (6.2)	Revenues received in-kind by DGH and allocated to training activities or for the purchase of equipments and not recorded in the national budget should have been reported as quasi-fiscal expenditures. Similarly, in-kind revenues of natural gas used to offset electricity bills and not recorded on the national budget the same year, should have been reported as quasi-fiscal expenditures. The budget of the PETROCI foundation, which also makes quasi-fiscal expenditures was not published.	3			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The MSG agreed a definition of what constitutes mandatory and voluntary social payments and set a materiality threshold at zero for these types of payments. The 2015 EITI Report shows detailed information on mandatory and voluntary social payments made by each company (p.93). The Report also provides detailed payment of mandatory and voluntary social payments by company and by beneficiary (pp.109-110).	6	None	None	Share Innovation
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP16-18 (1)	2016-2018	Publish the number of carats of exported diamonds and their certificates of origin				No data
AP16-18 (2)	2016-2018	Establish local mining development committees consisting of industry and community representatives		✓		No data

Completed: Commitment had "substantial" completion or was "complete."

Ambitious: Commitment had a "moderate" or "transformative" potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially "transformative," and had at least "substantial" completion.

Strong early results: Commitment changed government practice in a significant way ("major" or "outstanding" on the IRM's "Did It Open Government?" variable).

Germany

Joined OGP: 2016

EITI Status: Satisfactory progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The process and criteria for awarding and transferring licenses is defined in legislation. Awards and transfers of oil, gas and mining licenses in 2016 are publicly available.	5	None	None	Share Innovation
	Register of licenses (2.3)	Information about licenses is mostly available in online license cadastres maintained by states. D-EITI also publishes a list of all licenses on its website.	5			
	Policy on contract disclosure (2.4)	The EITI Report addresses the requirement, both policy and practice, only superficially. On balance, the terms of exploration and extraction are strictly defined in legislation.	5			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Germany is affected by EU legislation that requires beneficial ownership transparency by January 2020. Following transposition of an earlier Anti-Money Laundering Directive, Germany has already established a register that is accessible upon proof of legitimate interest.	NA	None	None	No EITI Assessment
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	Technically Südwestdeutsche Salzwerke AG is a state-owned enterprise. However, while dividends from one company give rise to material revenues on the level of individual payments, state participation in the extractive sector is not material as a whole.	NA	None	No data	No EITI Assessment
	Sale of State's Share of Revenues Collected in Kind (4.2)	NA	NA			
	SOE transactions (4.5)	NA	NA			
	SOE quasi-fiscal expenditures (6.2)	NA	NA			

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	NA	NA	None	1 commitment	Consider Action
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP17-19 (5)	2017-2019	Publish information about extractive industry payments and mining rights		✓		

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Ghana

Joined OGP: 2011

EITI Status: Meaningful progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements			OGP Commitments		Action Implication
		Qualitative Assessment		#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The 2014 EITI Reports comprehensively disclose the respective process for awarding licenses. The technical and financial criteria for awarding licenses are described in general terms on the Ghana EITI website. The efficiency and effectiveness of licensing procedures are discussed in the reports, leading to recommendations for change which have potentially contributed to sector reforms.	5	1 commitment: AP15-17 (1)	3 commitments		Share Innovation
	Register of licenses (2.3)	Despite gaps and inconsistencies in the 2016 EITI Reports, Ghana's Petroleum Register and Online (mining) Repository provide all information required by Requirement 2.3.b for all active mining, oil and gas licenses.	5				
	Policy on contract disclosure (2.4)	The government's policy of not publishing contracts is clearly described in the 2014 EITI Reports. The report also describes the actual practice of publishing certain contracts. The reports have recommended to make contract public.	5				
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Stakeholders in Ghana seem committed to and in favour of beneficial ownership transparency and requirements related to beneficial ownership disclosure appear to be well understood. The multi-stakeholder group has already initiated the implementation of the beneficial ownership requirements by advocating for beneficial ownership disclosure in the amended Companies Act 2016.	NA	2 commitments: AP15-17 (1); AP17-19 (3)	2 commitments		No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	There were no material revenues related to SOEs in mining in 2016. The 2016 EITI Report confirms the materiality of state participation in oil and gas, and comprehensively lists all state participations upstream, including the lack of changes in 2016. The terms associated with GNPC's equity participations are described in the EITI Report and GNPC's published 2016 audited financial statements. The report describes loan and guarantee arrangements.	5	None	No data	Consider Action
	Sale of State's Share of Revenues Collected in Kind (4.2)	There are no in-kind revenues in mining. In oil and gas, the 2016 EITI Report and the pilot commodity trading report disclose the volumes of the state's in-kind revenues of oil and gas collected in 2016 and the proceeds of sales of the state's in-kind revenues, disaggregated by buyer. The pilot trading report reconciles sales of oil, not gas.	5			
	SOE transactions (4.5)	There were no material SOEs in mining in 2016. In oil and gas, the 2016 EITI Report discloses and reconciles companies' in-kind payments to GNPC, although there are significant gaps in the reconciliation of in-kind gas revenues. The report confirms the lack of dividend payments from GNPC and discloses, but does not reconcile, budget transfers to GNPC, although these transfers are reflected in both GNPC's 2016 audited financial statements and the 2016 national budget.	5			
	SOE quasi-fiscal expenditures (6.2)	There were no quasi-fiscal expenditures in mining in 2016. In oil and gas, the 2016 EITI Report provides a partial description of four types of expenditures that it categorises as quasi-fiscal, although these expenditures either did not take in the year under review (2016) or do not appear to fit the categorisation of quasi-fiscal expenditures. There is publicly-available evidence of other GNPC expenditures in 2016 that could be considered quasi-fiscal.	4			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The 2014 EITI Reports explain that there are no mandatory social expenditures in Ghana. The 2014 EITI Reports contain descriptions and some figures of voluntary corporate social responsibility projects by some companies, without being consistent and comprehensive across each sector.	NA	None	None	No EITI Assessment
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP13-15 (5)	2013-2015	Publish legislation relevant to permits/contracting for mineral resource extraction (gold)		✓		
AP15-17 (1)	2015-2017	Open up the contract process and publishing information about the beneficial owners of contracts	✓	✓	✓	
AP15-17 (5)	2015-2017	Create a mechanism for citizen oversight of oil and gas management	✓	✓	✓	
AP17-19 (3)	2017-2019	Provide information on the beneficial owners of public contracts				Pending IRM Review
AP17-19 (5)	2017-2019	Publish information on resource use and implement a legal framework for extractives management				Pending IRM Review

Completed: Commitment had "substantial" completion or was "complete."

Ambitious: Commitment had a "moderate" or "transformative" potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially "transformative," and had at least "substantial" completion.

Strong early results: Commitment changed government practice in a significant way ("major" or "outstanding" on the IRM's "Did It Open Government?" variable).

Guatemala

Joined OGP: 2011

EITI Status: Yet to be assessed against the Standard

Most recent validation: N/A¹

Topic	Requirement	Progress on EITI Requirements		OGP Commitments	
		Qualitative Assessment	#	Extractives focus	No extractives focus
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	Pending EITI assessment	NA	None	11 commitments
	Register of licenses (2.3)	Pending EITI assessment	NA		
	Policy on contract disclosure (2.4)	Pending EITI assessment	NA		
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Pending EITI assessment	NA	None	None
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	Pending EITI assessment	NA	None	No data
	Sale of state's share of revenues collected in kind (4.2)	Pending EITI assessment	NA		
	SOE transactions (4.5)	Pending EITI assessment	NA		
	SOE quasi-fiscal expenditures (6.2)	Pending EITI assessment	NA		
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	Pending EITI assessment	NA	None	4 commitments
	Environmental impact of extractive activities (6.4)	Pending EITI assessment	NA		

¹ Honduras' first validation assessment commenced in 2019 and has not yet been completed.

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP12-14 (3.2)	2012-2014	Implement EITI		✓		No data
AP14-16 (G15)	2014-2016	Implement and monitor EITI initiatives	✓			No data
AP14-16 (G21)	2014-2016	Promote transparency and accountability in the administration of natural resources				No data

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Honduras

Joined OGP: 2011

EITI Status: Meaningful progress

Most recent validation: 2017

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The required information regarding the award and transfer of licenses are disclosed in the EITI Report.	5	None	8 commitments	Share Innovation
	Register of licenses (2.3)	Information regarding licenses awarded to companies in the extractive sector, as required in the EITI Standard, is publicly available register in the EITI Report. This information is extracted from the official register kept in the regulator's information system SIHMON.	5			
	Policy on contract disclosure (2.4)	The Government of Honduras supports and practices contract transparency. Contractual arrangements in the mining sector are uniform per the mining law and available publicly. Oil and gas contracts are published in the official gazette and in the Ministry of Natural Resources' portal.	5			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Honduras has published a roadmap for disclosing beneficial ownership information in accordance with requirement 2.5.b. ii.	NA	None	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	The Government, through INHGEOMIN, confirmed it does not have any participation in any mining or hydrocarbon projects.	NA	None	No data	No EITI Assessment			
	Sale of State's Share of Revenues Collected in Kind (4.2)	Honduras' legal framework does not allow taxes or fees to be collected other than in cash.							
	SOE transactions (4.5)	There are no state-owned enterprises involved in the exploration, exploitation and commercialization of minerals or hydrocarbons.							
	SOE quasi-fiscal expenditures (6.2)	Honduras does not have any active state-owned enterprises or QFEs.							
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The 2014 EITI Report includes the unilateral disclosure of aggregated social payments made by the companies but does not provide information on the beneficiaries of such contributions.	4	2 commitments: AP16-18 (12); AP18-20 (19)	2 commitments	Implement for Results			
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA						

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP14-16 (10)	2014-2016	Disseminate information about progress in EITI to general public				
AP16-18 (12)	2016-2018	Citizen monitoring of environmental risks associated with extractives projects		✓		No data
AP18-20 (3)	2018-2020	Create open data portal for mining data				Pending IRM Review
AP18-20 (19)	2018-2020	Citizen environmental monitoring of mining activities				Pending IRM Review

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Indonesia

Joined OGP: 2011

EITI Status: Yet to be assessed against the Standard

Most recent validation: N/A¹

Topic	Requirement	Progress on EITI Requirements		OGP Commitments	
		Qualitative Assessment	#	Extractives focus	No extractives focus
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	Pending EITI assessment	NA	2 commitments: AP13-15 (2.3); AP14-16 (12)	4 commitments
	Register of licenses (2.3)	Pending EITI assessment	NA		
	Policy on contract disclosure (2.4)	Pending EITI assessment	NA		
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Pending EITI assessment	NA	1 commitment: AP18-20 (1)	None
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	Pending EITI assessment	NA	None	No data
	Sale of state's share of revenues collected in kind (4.2)	Pending EITI assessment	NA		
	SOE transactions (4.5)	Pending EITI assessment	NA		
	SOE quasi-fiscal expenditures (6.2)	Pending EITI assessment	NA		
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	Pending EITI assessment	NA	1 commitment: AP14-16 (12)	4 commitments
	Environmental impact of extractive activities (6.4)	Pending EITI assessment	NA		

¹ Indonesia's first validation assessment commenced in 2018 and has not yet been completed.

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP11-13 (12)	2011-2013	Publish government revenue information from the extractive industry	✓	No data	No data	No data
AP13-15 (2.3)	2013-2015	Publish extractive industry production and income, and list Clean and Clear mining license holders	✓			No data
AP13-15 (2.4)	2013-2015	Publish state income reports and EITI reconciliation data	✓			No data
AP14-16 (12)	2014-2016	Publish information about production volumes and spatial planning in gas and mining sector		✓		
AP18-20 (1)	2018-2020	Publish permit application information for extractives and palm oil	Pending IRM Review			
AP18-20 (11)	2018-2020	Develop a service system for complaint management and supervision in environment and forestry	Pending IRM Review			

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Kenya

Joined OGP: 2011

EITI Status: Does not participate in EITI

Topic	Requirement	OGP Commitments	
		Extractives focus	No extractives focus
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	1 commitment: AP16-18 (4)	4 commitments
	Register of licenses (2.3)		
	Policy on contract disclosure (2.4)		
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	None	2 commitments
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	None	No data
	SOE transactions (4.5)		
	Sale of state's share of revenues collected in kind (4.2)		
	SOE quasi-fiscal expenditures (6.2)		
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	None	2 commitments
	Environmental impact of extractive activities (6.4)		

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP16-18 (4)	2016-2018	Disclose contracts and revenue information of the oil and gas industry		✓		No data

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Kyrgyz Republic

Joined OGP: 2017

EITI Status: Inadequate progress / suspended

Most recent validation: 2016

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The 2013-2014 EITI Report includes an overview of licensing activity in 2014, and an explanation of the process for allocating licenses. This includes the technical and financial criteria used for tenders, auctions and direct negotiations. Procedures for transferring, suspending and revoking of licenses are described. Although the report provides significant information on the 14 tenders, it lacks full disclosure of whether all license allocations in 2014 followed the stipulated licensing procedures and standard technical and financial criteria. The 2013-2014 EITI Report includes extensive information on challenges in the licensing system as well as government plans for improving the licensing system.	4	1 commitment: AP18-20 (15)	1 commitment	Implement for Results
	Register of licenses (2.3)	Although the 2013-2014 EITI Report states that Kyrgyz Republic does not have a mining cadastre, the State Agency for Geology and Mineral Resources (SAGMR) has an online register of mining licenses that includes the name of the deposit, the name and contact details of the license holder, the location and size of the license area, the type of mineral for which the license is valid for, and the award and expiry dates of the license (p.116). It does not include coordinates or the date of application for the licenses. This information is maintained by SAGMR, but not available to the public.	4			
	Policy on contract disclosure (2.4)	The 2013-2014 EITI Report does not describe the government's policy or reforms underway with regards to contract transparency. It notes that in practice, details on the obligations contained in the license agreement are not public.	4			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	The Kyrgyz Republic took part in the beneficial ownership pilot, but only four companies disclosed their ultimate beneficial owners. The 2013-2014 EITI Report confirms that as of 2014, companies must disclose their beneficial owners when applying for a license and notify the government in case of changes in beneficial ownership. Failure to do so constitute grounds for revoking the license in accordance with the Subsurface Law.	NA	None	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	The 2013-2014 EITI Report notes that the State has interests in 11 state-owned companies engaged in the extractive sector. Only one of these companies – KyrgyzAltyn OJSC – is described in some detail. There is no information about the rules and practices governing the financial relationship between the State and the companies in which the State has an interest, nor does the report disclose the level of ownership of the State in the 11 companies and their subsidiaries (if any). It is unclear if there are any changes in government ownership in SoEs or mining projects in 2014. There is also no information on loan or loan guarantees provided by the State or by SoEs to other oil, gas and mining companies.	3	None	No data	Consider Action
	Sale of State's Share of Revenues Collected in Kind (4.2)	The 2013-14 EITI Report does not provide information on whether the government collects revenues in-kind. Government officials confirmed that in-kind revenues are not practiced.	NA			
	SOE transactions (4.5)	It has not been possible to ascertain whether there are other transactions between the government and SoEs beyond regular payments by the company to the government.	3			
	SOE quasi-fiscal expenditures (6.2)	The 2013-14 EITI Report does not address quasi-fiscal expenditures of state-owned enterprises, nor is there any evidence that the MSG has discussed this. Stakeholder consultations reveal that quasi-fiscal expenditures exist.	2			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The 2013-14 EITI Report explains that the amendments to the subsoil use law in 2014 introduced social expenditures (“social package”) by extractive companies. The report gives no detail on how these programmes are developed, nor any details on expenditure apart from related to the Kumtor project. The report does not disclose details regarding the value and beneficiaries of the social expenditures in 2014. Some social expenditures are also voluntary, and the report does not clearly delineate between voluntary and mandatory social expenditures.	3	None	None	Consider Action
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP18-20 (15)	2018-2020	Publish licenses in the mining industry regularly				Pending IRM Review

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Liberia

Joined OGP: 2011

EITI Status: Suspended for missing deadline

Most recent validation: 2016

Topic	Requirement	Progress on EITI Requirements			OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus		
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	LEITI Reports provide general information on the process for awarding mining licenses and petroleum blocks, on the identity of companies who were awarded licenses in 2013-14 and limited information on non-trivial deviations from the statutory procedures for awarding petroleum blocks. However, there are inconsistencies in the 2013/2014 EITI Report's description of the number of mining licenses that were awarded in the period under review, and no information on statutory allocation procedures for mineral production licenses, license transfers or non-trivial deviations in the award of mining licenses in the period under review.	4	1 commitment: AP13-15 (3)	1 commitment	Implement for Results	
	Register of licenses (2.3)	Although the 2013/2014 EITI Report does not provide information on all mining licenses and petroleum blocks held by material companies, some of this information was available on the two cadastres available online and through the National Oil Company of Liberia's (NOCAL) website for petroleum blocks.	4				
	Policy on contract disclosure (2.4)	While Liberia's EITI Reports do not refer to contract disclosure policy or practice, nor any commentary on planned reforms, LEITI annual activity reports describe the government's policy and referred to specific legal provisions requiring contracts to be published. The LEITI website provides some mining, oil and gas contracts, although the list of contracts that have been disclosed does not appear to be comprehensive.	5				
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	The MSG has undertaken some work on beneficial ownership, including publishing a beneficial ownership report covering companies operating in the mining, petroleum, agriculture and forestry sectors in December 2015. While disclosure of beneficial ownership information has been incomplete, with only around half of material companies reporting, the MSG has clearly considered the issue and undertaken work to disclose such information in a phased approach.	NA	None	1 commitment	No EITI Assessment	

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	LEITI Reports describe the state-owned enterprise (SOE) in the oil and gas sector, NOCAL, as well as the general rules related to its financial relations with the government, but it do not clarify the level of state ownership in either NOCAL or in mining projects. The 2013/2014 EITI Report does not cover changes in government ownership in the period under review, the rules and practices related to reinvestment and third-party financing, nor the existence of any loans or loan guarantees from the government or NOCAL to any extractives companies.	3	None	No data	Consider Action
	Sale of State's Share of Revenues Collected in Kind (4.2)	This requirement was not applicable in Liberia in the time under review.	NA			
	SOE transactions (4.5)	The 2013-2014 EITI Report discloses SOE transactions with government, although vaguely. The Report comprehensively disclosed and reconciled statutory payments from the SOE to the Government.	5			
	SOE quasi-fiscal expenditures (6.2)	There is no evidence of the MSG's discussions related to the existence or materiality of quasi-fiscal expenditures and the 2013-14 EITI Report does not refer to quasi-fiscal expenditures.	3			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The 2013-14 EITI Report provides companies' disclosures of mandatory social expenditures disaggregated by cash and in-kind but it doesn't disclose the nature of in-kind mandatory social expenditures nor the identity of any non-government beneficiaries. There is no evidence of the MSG's attempts to reconcile mandatory social expenditures nor of any barriers to such a reconciliation. It is unclear from stakeholder consultations whether the mandatory social expenditures reported in the 2013-14 EITI Report are comprehensive.	4	None	None	Consider Action
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP13-15 (3)	2013-2015	Publish EITI reports and conduct post-contract award audit in mining and oil sectors	✓	✓		No data
AP15-17 (4)	2015-2017	Consult citizens on proposed reforms in the land and natural resource sectors	✓	✓		✓

Completed: Commitment had "substantial" completion or was "complete."

Ambitious: Commitment had a "moderate" or "transformative" potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially "transformative," and had at least "substantial" completion.

Strong early results: Commitment changed government practice in a significant way ("major" or "outstanding" on the IRM's "Did It Open Government?" variable).

Malawi

Joined OGP: 2013

EITI Status: Meaningful progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	License awards are covered while no transfers occurred during the reporting period. The process for awards and transfers are fully detailed in legislation and in the report. No evidence suggests any deviations from statutory procedures. Descriptions of technical and financial criteria used, though limited, is deemed sufficient.	5	1 commitment: AP16-18 (5)	None	Implement for Results
	Register of licenses (2.3)	The Department of Mines systematically discloses information through a license registry. Coordinates are not explicitly detailed, but contracted areas are visible on a scale of 1:5,000. The score has been downgraded due to limitations with petroleum license data.	4			
	Policy on contract disclosure (2.4)	The 2015-16 EITI Report describes key provisions and regulations related to contract transparency. There is no government policy preventing disclosure of contracts. The government has not published contracts themselves, but the report and MSG confirm that Malawi relies on third-party disclosures through ResourceContracts.org.	5			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	MWEITI has clarified the government's policy and legislation on beneficial ownership disclosure. A beneficial ownership roadmap is published, and the report discloses beneficial owners for some companies. Legal owners of each material company are included in the report, referencing securities exchanges where several companies are listed.	NA	None	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	MWEITI demonstrates that the state participates through minority shares in two operations, that are not material or significant. Ideally, they should have clarified that status of the National Oil Company of Malawi (NOCMA) but publicly available data implies that NOCMA was not relevant during the period under review, according to the definition provided under Requirement 2.6.a.	NA	None	No data	No EITI Assessment
	Sale of State's Share of Revenues Collected in Kind (4.2)	There are statutory provisions for royalties in mining, oil and gas sectors enabling in kind payments, at the discretion of the Minister of Natural Resources, Energy and Mining. However, the report and stakeholders confirm that no in-kind payments were made by either mining or petroleum companies during the period under review.	NA			
	SOE transactions (4.5)	The International Secretariat's initial assessment is this requirement is not applicable in Malawi. For more details please refer to requirement 2.6 on state participation and the existence of state-owned enterprises.	NA			
	SOE quasi-fiscal expenditures (6.2)	The International Secretariat's initial assessment is this requirement is not applicable in Malawi. For more details please refer to requirement 2.6 on state participation.	NA			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The report covers mandatory social expenditures for two mining companies and all petroleum sector companies. But almost no payments are reported nor is any reason for lack of payments identified. Reported mandatory social payments are not disaggregated sufficiently. The report does describe and disclose voluntary social payments associated with one reporting oil and gas company.	3	None	None	Consider Action
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP16-18 (5)	2016-2018	Open contracts and revenue transparency in the extractive industry sector	✓			

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Mexico

Joined OGP: 2011

EITI Status: Yet to be assessed against the Standard

Most recent validation: N/A¹

Topic	Requirement	Progress on EITI Requirements		OGP Commitments	
		Qualitative Assessment	#	Extractives focus	No extractives focus
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	Pending EITI assessment	NA	3 commitments: AP11-13 (13); AP11-13 (16); AP13-15 (22)	4 commitments
	Register of licenses (2.3)	Pending EITI assessment	NA		
	Policy on contract disclosure (2.4)	Pending EITI assessment	NA		
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Pending EITI assessment	NA	None	None
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	Pending EITI assessment	NA	1 commitment: AP11-13 (16)	No data
	Sale of state's share of revenues collected in kind (4.2)	Pending EITI assessment	NA		
	SOE transactions (4.5)	Pending EITI assessment	NA		
	SOE quasi-fiscal expenditures (6.2)	Pending EITI assessment	NA		
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	Pending EITI assessment	NA	2 commitments AP13-15 (23); AP16-18 (7)	6 commitments
	Environmental impact of extractive activities (6.4)	Pending EITI assessment	NA		

¹ Mexico's first validation assessment commenced in 2019 and has not yet been completed.

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP11-13 (7)	2011-2013	Join EITI	✓	No data	No data	No data
AP11-13 (13)	2011-2013	Publish an electronic database with mining companies' exploration and exploitation projects	✓	No data	No data	No data
AP11-13 (14)	2011-2013	Publish PEMEX donation data and verification reports online	✓	No data	No data	No data
AP11-13 (16)	2011-2013	Publish bidding decisions and contracts entered into by the state-owned oil company		No data	No data	No data
AP11-13 (24)	2011-2013	Publish energy regulatory body resolutions and opinions through an online search engine	✓	No data	No data	No data
AP13-15 (11)	2013-2015	Make the entrepreneurial fund more transparent and promote spaces for participation	✓	✓		✓
AP13-15 (22)	2013-2015	Publish contracts signed with extractive companies and ensure timely monitoring of contracts	✓			✓
AP13-15 (23)	2013-2015	Work with CSOs to diagnose gaps and create proposals for greater transparency in the mining industry	✓			✓
AP13-15 (26)	2013-2015	Join EITI				
AP16-18 (7)	2016-2018	Publish information on efficient use of resources to reduce risks associated with climate change	✓			

Completed: Commitment had "substantial" completion or was "complete."

Ambitious: Commitment had a "moderate" or "transformative" potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially "transformative," and had at least "substantial" completion.

Strong early results: Commitment changed government practice in a significant way ("major" or "outstanding" on the IRM's "Did It Open Government?" variable).

Mongolia

Joined OGP: 2013

EITI Status: Satisfactory progress

Most recent validation: 2016

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The 2016 EITI Report discloses which mining, oil, and gas licenses were awarded and transferred during the year, highlighting any non-trivial deviations from the applicable legal and regulatory framework governing license awards and transfers. The extensive work on assessing deviations in practice constitutes a good example of increasing awareness of how criteria are assessed during the allocation process.	5	3 commitments: AP14-16 (3.3.1.4); AP14-16 (3.3.1.5); AP16-18 (11)	3 commitments	Share Innovation
	Register of licenses (2.3)	The 2016 EITI Report provides guidance on accessing license coordinates in the oil and gas sector. Having made efforts to secure dates of applications for licenses held by material companies, the MSWG disclosed dates of application for 251 of the 661 mining licenses and eight of the 11 PSAs held by material companies in the 2016 EITI Report. It has been transparent about obstacles hindering disclosure of dates of application for licenses awarded under the previous system and included activities in its 2018 work plan to secure remaining dates of application.	5			
	Policy on contract disclosure (2.4)	The 2014 EITI Report clarifies government contract disclosure policy and provides a review of actual disclosure practice. There has been follow up by the MSWG to develop a contracts portal, amend the model oil and gas PSAs to remove confidentiality clauses and to disclose all PSAs.	5			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	The MSWG has considered beneficial ownership disclosure in detail at several MSWG meetings and has conducted initial work on disclosure of legal ownership information (which includes some beneficial ownership disclosures) in the 2013 and 2014 EITI Reports.	NA	2 commitments: AP16-18 (12); AP16-18 (13)	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	The 2016 EITI Report clearly defines a set of nine SOEs making material payments to government and describes their statutory financial relations with the state, including loans and guarantees, as well as non-trivial deviations in the year under review.	5	1 commitment: AP16-18 (13)	No data	Share Innovation
	Sale of State's Share of Revenues Collected in Kind (4.2)	The 2014 EITI Report states that the two producing oil and gas PSA operators commercialise the state's share of in-kind revenues (Profit Oil). There are no in-kind revenues in mining. The value of cash proceeds from the sale of the state's Profit Oil is provided.	NA			
	SOE transactions (4.5)	The 2016 EITI Report clearly distinguishes SOE-specific transactions from other types of payments from SOEs (e.g. common taxes). Dividends from SOEs were below the MSWG's materiality threshold for selecting revenue streams and were thus unilaterally disclosed.	5			
	SOE quasi-fiscal expenditures (6.2)	The 2016 EITI Report describes the MSWG's definition of quasi-fiscal expenditures (consistent with the EITI Standard's), its assessment of their materiality and reporting of SOEs' unilateral disclosures of material quasi-fiscal expenditures in 2016.	5			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The 2016 EITI Report provides a clear differentiation between mandatory and voluntary social expenditures, distinguished from other types of payments such as quasi-fiscal expenditures by SOEs. The results of the MSWG's reconciliation of mandatory social expenditures are provided, disaggregated between cash and in-kind (with the nature and value of in-kind expenditures provided) and highlighting the identity of the few non-government beneficiaries. The 2016 EITI Report included material voluntary social expenditures.	5	None	1 commitment	Share Innovation
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP14-16 (3.3.1.4)	2014-2016	Publish open database of mineral, oil, and land tenure license owners		✓		
AP14-16 (3.3.1.5)	2014-2016	Publish public contracts on public-owned resources (water, minerals, land)		✓		
AP16-18 (11)	2016-2018	Publish agreements and other documents pertaining to local land use for extractives projects	✓	✓		No data
AP16-18 (12)	2016-2018	Publish a register of owners of companies who are exploiting extractives		✓		No data
AP16-18 (13)	2016-2018	Make financial and operational reporting by SOEs mandatory		✓		No data

Completed: Commitment had "substantial" completion or was "complete."

Ambitious: Commitment had a "moderate" or "transformative" potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially "transformative," and had at least "substantial" completion.

Strong early results: Commitment changed government practice in a significant way ("major" or "outstanding" on the IRM's "Did It Open Government?" variable).

Nigeria

Joined OGP: 2016

EITI Status: Satisfactory progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements			#	OGP Commitments		Action Implication
		Qualitative Assessment				Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	NEITI has disclosed information on the mining, oil and gas licenses awarded and transferred in 2015, including in the NSTP-JDZ, confirming the lack of non-trivial deviations from the applicable legal and regulatory framework. It has publicly described the process for awarding and transferring licenses, including technical and financial criteria assessed and the list of bidders for the three oil and gas licenses awarded in 2015 through competitive tender.	5	1 commitment: AP17-19 (2)		None		Share Innovation
	Register of licenses (2.3)	NEITI has published information on all licenses held by material companies covering all data points per Requirement 2.3, aside from dates of application for 15 of the 23 oil and gas production licenses and license coordinates for three oil and gas licenses. There was no oil and gas production associated with these three licenses in 2015. The MMSD's GeoMining Investor Portal provides all information per Requirement 2.3 aside from dates of application and license coordinates. However, this data is publicly-accessible free of charge upon request to the MCO's head office.	5					
	Policy on contract disclosure (2.4)	While there are only licenses, no contracts, in the solid minerals sector, Nigeria has clarified the government's policy on contract disclosure and reviewed actual practice in the oil and gas sector.	5					
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	The MSG has initiated discussions on beneficial ownership disclosure and Nigeria participated in the BO pilot in 2015 for its solid minerals sector. The 2013 EITI Report discloses legal owners of material companies, although there appears to be confusion over the distinction between legal and beneficial ownership.	NA	None	1 commitment:			No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	There were no material SOEs in mining in 2015. NEITI has published information confirming that state participation in oil and gas is material, disclosed a list of companies and joint ventures in which NNPC held equity and a list of PSCs in which NNPC held participating interests, including the lack of changes in 2015. NEITI has provided an overview of the statutory rules governing the financial relations between NNPC and government and highlighted deviations in practice. Finally, NEITI has disclosed information on loans and guarantees.	5	None	No data	Share Innovation
	Sale of State's Share of Revenues Collected in Kind (4.2)	The 2013 EITI Report provides volumes collected, sold and proceeds generated from the state's share of in-kind revenues. The MSG has gone beyond the requirement in disclosing significant additional information on the terms of sales and buyers of Nigeria's share of crude oil production. The requirement is not applicable in the solid minerals sector.	6			
	SOE transactions (4.5)	The 2013 EITI Report discloses SOE transactions with government including the remittance of proceeds of the sale of the state's in-kind revenues as well as dividends by Nigeria LNG Limited (NLNG, a state-owned enterprise), highlighting deviations from statutory rules in practice. This requirement is not applicable in the solid minerals sector.	5			
	SOE quasi-fiscal expenditures (6.2)	There are no quasi-fiscal expenditures in mining. In oil and gas, NEITI has disclosed information on off-budget fuel subsidies by NNPC. While the lack of access to NNPC's audited financial statements raise questions over the comprehensiveness of NEITI's reporting, there was consensus among stakeholders consulted that the 2015 EITI Report was comprehensive of NNPC's quasi-fiscal expenditures.	5			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	NEITI has publicly described mandatory social expenditures in both mining and oil and gas, comprehensively disclosing and reconciling these expenditures, with additional information in line with Requirement 6.1.a.	5	None	None	Share Innovation
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP17-19 (2)	2017-2019	Implement open contracting in five areas, including solid minerals				Pending IRM Review
AP17-19 (3)	2017-2019	Begin disclosure of extractive sector company payments to government				Pending IRM Review
AP17-19 (9)	2017-2019	Launch a public/private sector partnership on integrity with emphasis on extractives				Pending IRM Review

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Norway

Joined OGP: 2011

EITI Status: Satisfactory progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements			OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus		
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	Not available	6	None	1 commitment	Share Innovation	
	Register of licenses (2.3)	Not available	6				
	Policy on contract disclosure (2.4)	Not available	5				
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Not available	NA	None	2 commitments	No EITI Assessment	
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	Not available	6	None	No data	Share Innovation	
	Sale of State's Share of Revenues Collected in Kind (4.2)	Not available	NA				
	SOE transactions (4.5)	Not available	5				
	SOE quasi-fiscal expenditures (6.2)	Not available	NA				

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	Not available	NA	None	2 commitments	No EITI Assessment
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP11-13 (10)	2011-2013	Support and guide developing countries to implement the EITI standard				Not Reviewed
AP13-15 (4.22)	2013-2015	Support and guide developing countries in petroleum resource management				
AP16-18 (8)	2016-2018	Review country-by-country reporting on extractives projects by Norwegian companies globally				No Data
AP19-21 (2)	2019-2021	Publish data on petroleum production				Pending IRM Review

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Papua New Guinea

Joined OGP: 2015

EITI Status: Meaningful progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	While the EITI Report provides a list of mining tenement awards and transfers, the list appears to be non-comprehensive. For oil and gas, specific licenses awarded in 2016 were not provided in the report. The report only describes the general process for awarding and transferring licenses, and does not include the technical and financial criteria used.	3	None	1 commitment	Consider Action
	Register of licenses (2.3)	While the report covers all significant aspects of the requirement for mining tenements, there are significant shortcomings in the public availability and comprehensiveness of information on oil and gas licenses. Information on dates of application, award or expiry, coordinates, and commodity(ies) covered by oil and gas licenses were not provided.	4			
	Policy on contract disclosure (2.4)	The 2016 EITI Report sufficiently explains the government's policy and actual practice when it comes to contract disclosure. It should be noted, however, that contracts in PNG are not publicly accessible due to confidentiality provisions in the contracts.	5			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	The 2016 EITI Report does not contain any information on beneficial owners, although it provides some information on legal owners of mining companies. No such information was given for oil and gas companies.	NA	None	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	The report provides a list of companies in which the government holds majority equity interest. However, the list of state participation does not appear to be comprehensive. The report clarifies the actual practice of financial relations between SOEs and the government, but does not describe the statutory rules governing the financial relations.	4	None	No data	Consider Action
	Sale of State's Share of Revenues Collected in Kind (4.2)	Although the report does not explicitly state that the government is not entitled to in-kind revenues as fiscal payments, there was consensus among stakeholders consulted that this requirement was not applicable to PNG under the current fiscal regime.	NA			
	SOE transactions (4.5)	The 2016 EITI Report discloses, but does not reconcile, some revenues collected by SOEs from mining, oil and gas companies they hold interests in. While dividends paid by two SOEs to Treasury are disclosed and reconciled, it is unclear whether reporting of SOE transactions with other government entities is comprehensive.	4			
	SOE quasi-fiscal expenditures (6.2)	While the report notes that no SOE reported any quasi-fiscal expenditures (QFEs) for 2016, some stakeholders view that material QFEs exist and should be disclosed. It is unclear whether the MSG's approach to assessing the existence and materiality of QFEs was comprehensive of all types of expenditures that could be considered quasi-fiscal.	3			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The report does not distinguish between mandatory cash and in-kind social expenditures. Comprehensive information as to the nature, value and beneficiaries of social expenditure projects is also missing from the report. Nevertheless, the MSG made efforts to disclose information on mandatory social expenditures despite confidentiality constraints.	4	None	None	Consider Action
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP18-20 (7)	2018-2020	Establish a legal and policy framework for implementing EITI standard				Pending IRM Review

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Peru

Joined OGP: 2011

EITI Status: Meaningful progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements			#	OGP Commitments		Action Implication
		Qualitative Assessment				Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	While the E-cadastre system appears to comprehensively address license allocation in the mining sector, the issue of licence transfers in the hydrocarbon sector has not been addressed by the CMPE. Similarly, in the oil and gas sector, substantial information is publicly available. However, the comprehensiveness of this information and the disclosure of license transfers has not been addressed by the CMPE.	5		None	4 commitments	Share Innovation	
	Register of licenses (2.3)	The information required is publicly available through the webpages of INGEMMET and Perupetro.	5					
	Policy on contract disclosure (2.4)	Peru's approach to contract transparency is exemplary. Contracts are publicly available via MINEM or Perupetro's websites. The EITI Reports provide an overview of the mining projects that have signed special contracts for guarantees and promotion of investments and links to hydrocarbon contracts.	5					
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	There is no evidence that the CMPE has discussed this topic in any detail.	NA	None	None	No EITI Assessment		

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	With respect to Activos Mineros, EITI Peru provided a detailed explanation of the prevailing rules and practices regarding the financial relationship between this state-owned enterprise and the government. Activos Mineros has no ownership in any operating company within the country's extractive sector. EITI Peru provided a clear description of Perupetro's activities and revenues, including the operation of Block Z-2B. The coverage of royalty payments from license contracts appears to be comprehensive.	5	None	No data	Share Innovation
	Sale of State's Share of Revenues Collected in Kind (4.2)	Based on the information that is publically available, it seems clear that this requirement is not applicable.	NA			
	SOE transactions (4.5)	The 2013 EITI Report addresses the role of the state-owned enterprises. Material revenues collected by Perupetro are well documented in the assessment of Requirement 4.1. Revenues collected by Petroperu are related to the downstream sector and are not relevant for the EITI in Peru.	5			
	SOE quasi-fiscal expenditures (6.2)	Based on the information available, the understanding of the International Secretariat is that SOE's quasi-fiscal expenditures are not applicable in Peru.	NA			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	EITI Peru have agreed on the existence of mandatory social expenditures in the oil and the mining sector. There remains however a lack of comprehensive disclosure of social expenditures codified in provisions of mining companies' mandatory environmental impact assessments and oil and gas mandatory social expenditures by law or terms of the contract governing extractives activities.	4	1 commitment: AP12-14 (1:J)	3 commitments	Implement for Results
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP12-14 (1:J)	2012-2014	Draft a law on transparency in extractives		✓		No data
AP12-14 (1:K)	2012-2014	Prepare and disseminate evaluation of EITI implementation		✓		No data
AP15-17 (6)	2015-2017	Publish region-specific information about the use of natural resources from extractive activities	✓	✓	✓	✓
AP17-19 (4)	2017-2019	Publish information on extractive industries at national and subnational level				Pending IRM Review

Completed: Commitment had "substantial" completion or was "complete."

Ambitious: Commitment had a "moderate" or "transformative" potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially "transformative," and had at least "substantial" completion.

Strong early results: Commitment changed government practice in a significant way ("major" or "outstanding" on the IRM's "Did It Open Government?" variable).

Philippines

Joined OGP: 2011

EITI Status: Satisfactory progress

Most recent validation: 2017

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The 2014 EITI Report describes the procedures for awarding and transferring licenses, including technical and financial criteria, bidding processes and non-trivial deviations in practice.	5	None	3 commitments	Share Innovation
	Register of licenses (2.3)	The 2014 EITI Report has some minor deficiencies in that the date of application for oil, gas and coal contracts are not disclosed. Given the explanation of the constraints in disclosing this data, the efforts undertaken to compile the missing data, and the reforms underway, the wider objective of the requirement has been fulfilled. The 2014 EITI Report is also transparent about the gaps related to the dates of application, and provides recommendations and timeframes for how and when the gaps should be addressed.	5			
	Policy on contract disclosure (2.4)	The 2014 EITI Report clarifies the government's policy on contract disclosure and actual practice. In addition, the Philippines has gone beyond the minimum requirements by making contracts public as encouraged by the EITI Standard.	6			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	EITI has produced a beneficial ownership roadmap and provided contextual information about beneficial ownership reporting requirements in the Philippines.	NA	None	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	The 2014 EITI Report has some minor deficiencies in disclosures by SOEs related to ownership held in extractive assets. However, given that state-participation arguably does not give rise to material revenues in the Philippines, these deficiencies have not affected the overall objective of the requirement.	5	None	No data	Share Innovation
	Sale of State's Share of Revenues Collected in Kind (4.2)	The EITI Report and stakeholder views have confirmed that no company make payments of royalty, the government's share of production or other payments in-kind. The contractual framework only allows cash payments.	NA			
	SOE transactions (4.5)	Despite not giving rise to material revenues, the EITI Report has disclosed information about relevant mandatory transactions between the government, SOEs and private companies, notably dividends, and royalty fees and commitment fees.	5			
	SOE quasi-fiscal expenditures (6.2)	The EITI Report and stakeholder consultations have confirmed that quasi-fiscal expenditures do not occur in the extractive sector in the Philippines.	NA			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The 2014 EITI Report discloses the nature and value of mandatory social expenditures, including identifying the beneficiaries. The Philippines has gone beyond the minimum requirements by providing additional information on discretionary social expenditures as encouraged by the EITI Standard.	6	None	1 commitment	Share Innovation
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP13-15 (8)	2013-2015	Institutionalize fiscal transparency in extractives	✓	✓	✓	✓
AP15-17 (4)	2015-2017	Publish 2nd/3rd EITI reports, complete the validation process, and raise awareness	✓	✓		✓
AP17-19 (9)	2017-2019	Continue to implement EITI through stronger natural resource management and public dialogue			Pending IRM Review	

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Senegal

Joined OGP: 2018

EITI Status: Satisfactory progress

Most recent validation: 2017

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The 2014 EITI Report highlights the mining, oil and gas licenses awarded and transferred in 2014 and describes the general statutory procedures for awarding and transferring such licenses, which is vague in terms of the specific technical and financial criteria assessed. It provides a description of the actual procedures followed for awarding and transferring the licenses in 2014, including some technical and financial criteria assessed. Given the lack of specificity in the regulations, the IA considers that the transfer of oil and gas licenses was in line with statutory procedures. The descriptions provided of the mining license awards in 2014 appear in line with statutory procedures, even if this is not explicitly stated in the 2014 EITI Report. However, the 2014 EITI Report does not comment on any non-trivial deviations in the award of 14 artisanal mining licenses and 21 quarrying licenses awarded in 2014. The MSG has contracted a dedicated study into mining, oil and gas license allocations and transfers in the 2014-16 period to support concrete policy reform proposals, which it expects to publish in the final quarter of 2017.	5	None	None	Share Innovation
	Register of licenses (2.3)	While the 2014 EITI Report and EITI Senegal website provide most of the information on mining, oil and gas licenses held by material companies, the date of expiry of one mining exploration license is missing. However, stakeholders confirmed that this license, held by the government as an artisanal gold mining corridor, did not have a date of expiry in 2014. While dates of award and/or expiry are missing for a handful of quarrying licenses, none of these is held by a material company included in the scope of reporting for the 2014 EITI Report.	5			
	Policy on contract disclosure (2.4)	The 2014 EITI Report clarifies the government's policy on publishing all mining, oil and gas contracts and describes the actual practice. In the Secretariat's view, Senegal has also gone beyond the minimum requirements by making contracts public as encouraged by the EITI Standard.	6			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	The Government of Senegal has publicly stated its policy on beneficial ownership disclosure and the 2014 EITI Report provides the names of legal owners and their level of ownership of all but four material companies.	NA	None	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	The 2014 EITI Report provides a comprehensive list of companies in which the government holds equity and clarifies that state participation in Petrosen gives rise to material revenues. The report clarifies the actual practice of financial relations between the two SOEs Miferso and Petrosen in 2014, but does not clearly describe the statutory rules governing the financial relations between Petrosen and Miferso and the national government, aside from referring to them as commercially incorporated companies. While the report provides information on the terms associated with state equity in the mining sector, it only states that the terms of Petrosen's stakes in oil and gas projects is defined in each contract. While the full-text of all but Total's 2017 oil and gas contract has been published and the 2014 EITI Report provides guidance on how to access them, it does not clearly describe the terms associated with Petrosen equity in each PSC in the report itself. The report clarifies the lack of changes in state participation in the mining sector in 2014, but not in oil and gas. Finally, while the report clarifies that the government did not provide any loans or guarantees to the two SOEs in 2014 and that these two SOEs did not provide any loans or guarantees to extractives companies in 2014, it does not clarify whether the government extended any loans or guarantees to other extractives companies directly in 2014.	5	None	No data	Share Innovation
	Sale of State's Share of Revenues Collected in Kind (4.2)	The 2014 EITI Report describes the general statutory procedures for Petrosen's commercialisation of the state's in-kind revenues and confirms that the state's statutory in-kind revenue entitlements from Senegal's sole producing license are commercialised by the operator, who transfers the proceeds in cash to the government. The International Secretariat understands that there are no regulatory provisions for the state to receive any in-kind revenues from the mining sector.	NA			
	SOE transactions (4.5)	The 2014 EITI Report discloses and reconciles company payments to Petrosen, payments from Petrosen to the Treasury and from Treasury to Miferso and Petrosen. The International Secretariat received no information that suggested any company payment to SOEs or SOE payments to government were excluded from the scope of reporting.	5			
	SOE quasi-fiscal expenditures (6.2)	The 2014 EITI Report could have been clearer in describing the MSG's approach to demonstrating the lack of quasi-fiscal expenditures by either Miferso or Petrosen.	NA			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The 2014 EITI Report describes mandatory social expenditures in both mining and oil and gas and discloses these comprehensively, clearly identifying non-government beneficiaries where applicable and describing in-kind expenditures and their deemed value. In the Secretariat's view, Senegal has gone beyond the minimum requirements by providing additional information on discretionary social expenditures as encouraged by the EITI Standard.	6	None	None	Share Innovation
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

No OGP Extractives Commitments

Completed: Commitment had "substantial" completion or was "complete."

Ambitious: Commitment had a "moderate" or "transformative" potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially "transformative," and had at least "substantial" completion.

Strong early results: Commitment changed government practice in a significant way ("major" or "outstanding" on the IRM's "Did It Open Government?" variable).

Seychelles

Joined OGP: 2018

EITI Status: Meaningful progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	PetroSeychelles publishes comprehensive information on allocation petroleum licenses/agreements. It is also described and referenced to in the EITI Report. There appears to be a lack of clarity on the allocation of quarrying agreements. There were no awards to transfers of petroleum or mining licenses in the years covered by the assessment.	4	None	None	Consider Action
	Register of licenses (2.3)	License information on petroleum and quarrying agreements has been made available through government websites and in the EITI Report, although dates of application and award of the licenses are not disclosed.	4			
	Policy on contract disclosure (2.4)	The report describes the government's policy on not disclosing contracts or license agreements, noting a lack of clear policy. In practice, quarrying leases and agreements appear to be accessible in person from the Registrar General's Office.	5			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Seychelles has published a beneficial ownership disclosure roadmap and requested reporting entities to disclose their ultimate owners. It is encouraging that the MSG has decided to collect ownership information and has tasked the IA with recommending a definition of beneficial ownership	NA	None	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	The EITI Report provides an explanation of the prevailing rules and practices regarding the financial relationship between the government and SOEs. There is however some lack of clarity related to the prevailing rules and practices regarding the financial relationship between the two of the SOEs (SEYPPEC and PetroSeychelles).	4	None	No data	Consider Action
	Sale of State's Share of Revenues Collected in Kind (4.2)	There is no production and thus no in-kind revenue collected by the government. The requirement on in-kind revenues is therefore not applicable to Seychelles.	NA			
	SOE transactions (4.5)	The 2015-16 EITI Report comprehensively discloses the transactions between the government and SOEs.	5			
	SOE quasi-fiscal expenditures (6.2)	EITI reporting and stakeholder consultations confirmed that SOE quasi fiscal expenditures do not exist. The requirement on quasi-fiscal expenditures by state-owned enterprises is therefore not applicable.	NA			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The 2015-16 EITI Report confirms that mandatory social expenditures do not exist in Seychelles. The requirement on social expenditure is therefore not applicable to Seychelles. Voluntary social expenditures were disclosed by reporting companies.	NA	None	None	No EITI Assessment
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

No OGP Extractives Commitments

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Sierra Leone

Joined OGP: 2013

EITI Status: Meaningful progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The 2016 EITI Report adequately describes that license allocations are made at the discretion of the Minister of Mines and Mineral Resources, although an assessment is provided by a Minerals Advisory Board. Their assessments of technical and financial criteria are not clear, nor whether there are deviations from license awards procedures.	4	3 commitments: AP14-16 (7); AP14-16 (9); AP14-16 (11)	2 commitments	Implement for Results
	Register of licenses (2.3)	Mining licenses of all material and non-material companies are accessible through an online repository, although it does not cover artisanal licenses. Based on a sample of entries all required information is described in the registry. A pilot cadastre is available via the Petroleum Directorate's although it does not yet contain all required information.	5			
	Policy on contract disclosure (2.4)	Despite not having a general government policy on contract disclosure, the interpretation is that they should be transparent due to enabling provisions in sector-specific legislation. In addition, current reforms are underway demanding publication of mining contracts. So far, six agreements are accessible, as are their environmental impact assessments.	5			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Although the Government of Sierra Leone does not yet have a policy in place for beneficial ownership disclosure, the commitments made by the current administration show promise for the future development of policies, laws and amendments related to beneficial ownership disclosure. One company, Koidu Limited, have published its beneficial owners.	NA	None	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	Although state participation is not related to upstream extractive sector activities, the MSG did not discuss definitions or applicability of this requirement. Evidence suggest that Sierra Rutile Limited repaid a significant loan in 2016 which was not covered in the report, constituting a significant gap in coverage of state loans to extractives companies.	4	None	No data	Consider Action
	Sale of State's Share of Revenues Collected in Kind (4.2)	The 2016 Report confirms that no state-owned enterprise exists through which government receives in-kind revenues, nor does any private company provide revenues in kind.	NA			
	SOE transactions (4.5)	The report does clarify that there were no state-owned enterprises in the upstream extractive sector giving rise to revenues to the government.	NA			
	SOE quasi-fiscal expenditures (6.2)	The International Secretariat's initial assessment is that this requirement is not applicable in Sierra Leone in the year under review (2016). The 2016 EITI Report confirms the lack of extractives SOEs in Sierra Leone in 2016.	NA			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	The report does attempt to disclose mandatory social expenditures under Community Development Agreements. In the end only Sierra Minerals Holding No.1 Limited reported their transactions to a development fund. There is no explanation of why the other seven companies did not report, and financial data is not reconciled.	3	None	1 commitment	Consider Action
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP14-16 (5)	2014-2016	Streamline government fiscal procedures and increase transparency in government spending	✓	✓	✓	
AP14-16 (6)	2014-2016	Implement Extractives Industry Revenue Bill by publishing government tax expenditures and revenue		✓		
AP14-16 (7)	2014-2016	Publish process for license allocations in gas and mining industries		✓		
AP14-16 (9)	2014-2016	Disclose environmental impact assessments prior to the award of extractives rights		✓		
AP14-16 (11)	2014-2016	Establish a pilot data portal for government documents such as mining and agricultural contracts	✓	✓		

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

South Africa

Joined OGP: 2011

EITI Status: Does not participate in EITI

Topic	Requirement	OGP Commitments	
		Extractives focus	No extractives focus
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	None	1 commitment
	Register of licenses (2.3)		
	Policy on contract disclosure (2.4)		
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	None	1 commitment
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	None	No data
	SOE transactions (4.5)		
	Sale of state's share of revenues collected in kind (4.2)		
	SOE quasi-fiscal expenditures (6.2)		
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	1 commitment: AP16-18 (4)	3 commitments
	Environmental impact of extractive activities (6.4)		

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP16-18 (4)	2016-2018	Develop a portal of environmental spatial data to assess environmental impacts of development projects	✓	✓		

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Trinidad and Tobago

Joined OGP: 2012

EITI Status: Meaningful progress

Most recent validation: 2018

Topic	Requirement	Progress on EITI Requirements			#	OGP Commitments		Action Implication
		Qualitative Assessment		#		Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The information listed in Requirement 2.2 regarding the award and transfer of licenses in the oil and gas sector is disclosed through the EITI Report. The situation in the mining sector is problematic. The licensing allocation procedures and the cadastral information are unclear. The government acknowledges these deficiencies and is addressing its remediation. However, timescale for achieving that is uncertain.	4	1 commitment: AP14-16 (4.2)	None	None	None	Implement for Results
	Register of licenses (2.3)	Information regarding all active oil and gas licenses is provided in the EITI Report. However, some required information is missing. The government does not have an up-to-date data base of the mining licenses. A great number of the licenses are under revision and pending collecting necessary information. The government acknowledges these deficiencies and is addressing its remediation. Timescale for achieving that is uncertain.	4					
	Policy on contract disclosure (2.4)	The government's policy on contract transparency is described in the 2016 EITI Report, which also provides an overview of current disclosure practice.	5					
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Trinidad and Tobago published a roadmap for disclosing beneficial ownership information. There has been some progress in implementation to date. Beneficial ownership legislation will establish a registry expected to collect information to be shared among enforcement agencies. The MEEI has considered that future oil and gas licensing rounds might include knowing the beneficial owners of bidders.	NA	None	None	None	None	No EITI Assessment

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	The report included information regarding the financial relationship between SOEs and the government including transfers of funds between SOE and state, retained earnings, reinvestment and third-party financing, government ownership including changes in 2016 and loans and guarantees. This also includes the level of ownership in oil and gas companies and authorizations for financial operations.	5	1 commitment: AP14-16 (4.3)	No data	Implement for Results
	Sale of State's Share of Revenues Collected in Kind (4.2)	The 2016 Report confirms that revenues collected in kind was material and disclosed the volumes sold and revenue received partially. However, the information is not disaggregated by individual buying company. There is not additional information on the type of product. There was no reconciliation with the buying companies. The report does not provide a clear picture on the share of production received by NGC from other operators.	4			
	SOE transactions (4.5)	Payments from SOEs to the government are disclosed and reconciled. Lack of comprehensive information about in-kind payments to SOEs is reflected in the assessment of Requirement 4.2.	5			
	SOE quasi-fiscal expenditures (6.2)	The 2016 EITI Report demonstrates that SOE does not undertake any quasi-fiscal expenditures.	NA			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	Some companies made voluntary social contributions in 2016. The 2016 EITI Report includes voluntary social expenditures for nine companies including the two SOEs NGC and Petrotrin in the hydrocarbon sector.	NA	None	4 commitments	No EITI Assessment
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP14-16 (4.2)	2014-2016	Publish cadastre of licenses and contracts for exploration and production of oil and gas resources		✓		
AP14-16 (4.1)	2014-2016	Audit the Ministry of Energy and Energy Affairs according to international standards		✓		
AP14-16 (4.3)	2014-2016	Include the National Quarries Company Ltd into the TTEITI reporting process	✓	✓		✓

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Tunisia

Joined OGP: 2014

EITI Status: Does not participate in EITI

Topic	Requirement	OGP Commitments	
		Extractives focus	No extractives focus
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	2 commitments: AP14-16 (18); AP18-20 (7)	3 commitments
	Register of licenses (2.3)		
	Policy on contract disclosure (2.4)		
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	None	None
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	1 commitment: AP14-16 (18)	No data
	SOE transactions (4.5)		
	Sale of state's share of revenues collected in kind (4.2)		
	SOE quasi-fiscal expenditures (6.2)		
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	None	2 commitments
	Environmental impact of extractive activities (6.4)		

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP14-16 (18)	2014-2016	Publish open data on all contracts in the oil and mining sector	✓	✓		✓
AP16-18 (1)	2016-2018	Join EITI		✓		No data
AP18-20 (6)	2018-2020	Establish a multistakeholder group and join EITI				Pending IRM Review
AP18-20 (7)	2018-2020	Publish all concluded contracts in an open format with annexes and associate decisions				Pending IRM Review

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

Ukraine

Joined OGP: 2011

EITI Status: Meaningful progress

Most recent validation: 2017

Topic	Requirement	Progress on EITI Requirements		OGP Commitments		Action Implication
		Qualitative Assessment	#	Extractives focus	No extract. focus	
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	The report covers all significant aspects of the requirement, disclosing the relevant procedures and practices for allocating licenses or extractive rights in Ukraine. The Independent Administrator clearly states that no significant deviations from existing procedures were identified. The 2014-2015 EITI Report itself covers most of the information and where information is missing in the report, references and links are provided.	5	None	7 commitments	Share Innovation
	Register of licenses (2.3)	The Ukrainian online and publicly available license registry, Geoinform, is maintained and regularly updated. It contains all necessary information on license holders, coordinates, relevant dates of the licences, and information regarding which commodities the special permits pertain to.	5			
	Policy on contract disclosure (2.4)	The 2014-2015 EITI Report and supplementary comments to it clarify that there is no single government policy on contract disclosures, and no requirements to disclose contracts exist in laws governing the legal agreements used in Ukraine. The EITI Report outlines terms and conditions of contracts. The MSG and national secretariat have made significant efforts in promoting contract disclosure through the draft law.	5			
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Implementing countries are not yet required to address beneficial ownership and progress with this requirement. However, Ukraine has gone beyond this requirement by creating a publicly accessible register of beneficial owners as encouraged by the EITI Standard.	6	None	2 commitments	Share Innovation

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	The EITI Report includes which state-owned companies are part of the scope of the report; however, it was not possible to assess the comprehensiveness of the information. The report does not contain general information regarding rules between SOEs and central government and does not provide specific comments towards assessing the comprehensiveness of government ownership.	3	None	No data	Consider Action
	Sale of State's Share of Revenues Collected in Kind (4.2)	This requirement is not applicable in Ukraine.	NA			
	SOE transactions (4.5)	Due to the amount of SOEs in Ukraine, alongside limited information regarding transactions of SOEs, it was not possible to assess whether the EITI Report comprehensively addresses SOE transactions. Much of the abovementioned information was gathered or clarified by stakeholders during consultation, and are not sufficiently documented.	3			
	SOE quasi-fiscal expenditures (6.2)	There is insufficient information in the EITI Report to assess whether quasi-fiscal expenditures are sufficiently and comprehensively included in the EITI Report. Although several mandatory and voluntary social expenditures certainly are of a quasi-fiscal nature, they are not explicitly identified as such nor whether they are included in local government budgets.	3			
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	Ukraine has gone beyond towards meeting this requirement by covering the encouraged aspect of the requirement. While the EITI Through consultations among stakeholders and through the third-party research it is confirmed that there are no mandatory social expenditures. The report provides unilateral aggregated disclosure of the discretionary social payments from the company side.	6	None	3 commitments	Consider Action
	Environmental Impact of Extractive Activities (6.4)	This new requirement has not yet been incorporated into EITI validation assessments.	NA			

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP12-14 (11)	2012-2014	Establish a multistakeholder group and join EITI	✓	✓	✓	No data
AP14-16 (8)	2014-2016	Reform the extractives legal framework to meet EITI standards	✓	✓		✓
AP16-18 (9)	2016-2018	Implement EITI standards, publish reports in Ukrainian and English	✓	✓	✓	✓
AP18-20 (10)	2018-2020	Review, digitize, and publish, in an open data format, government registers of natural resources	Pending IRM Review			
AP18-20 (14)	2018-2020	Develop software for an EITI platform to automate collection of information for extractive reports	Pending IRM Review			

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).

United Kingdom

Joined OGP: 2011

EITI Status: Yet to be assessed against the Standard

Most recent validation: N/A¹

Topic	Requirement	Progress on EITI Requirements		OGP Commitments	
		Qualitative Assessment	#	Extractives focus	No extractives focus
OPEN CONTRACTING and Extractives (contract disclosure and licensing)	Contract and license allocations (2.2)	Pending EITI assessment	NA	None	8 commitments
	Register of licenses (2.3)	Pending EITI assessment	NA		
	Policy on contract disclosure (2.4)	Pending EITI assessment	NA		
BENEFICIAL OWNERSHIP and Extractives	Beneficial ownership (2.5)	Pending EITI assessment	NA	None	3 commitments
STATE-OWNED ENTERPRISES and Extractives	State participation (2.6)	Pending EITI assessment	NA	2 commitments: AP16-18 (2); AP19-21 (5)	No data
	Sale of state's share of revenues collected in kind (4.2)	Pending EITI assessment	NA		
	SOE transactions (4.5)	Pending EITI assessment	NA		
	SOE quasi-fiscal expenditures (6.2)	Pending EITI assessment	NA		
ENVIRONMENT and Extractives	Mandatory social expenditures (6.1)	Pending EITI assessment	NA	None	None
	Environmental impact of extractive activities (6.4)	Pending EITI assessment	NA		

¹ The United Kingdom's first validation assessment commenced in 2018 and has not yet been completed.

Share Innovation: Average EITI assessment is 5 or above ("Satisfactory") and there are OGP commitments in the area. As leaders, these countries can share experiences with others.

Implement for Results: Average EITI assessment is below 5, but there are OGP commitments in the area. The next step for these countries is to achieve implementation and impact.

Consider Action: Average EITI assessment is below 5 and there are no OGP commitments in the area. These countries may consider reforms within or outside of the OGP framework.

All OGP Extractives Commitments

Label	Year	Commitment Description	IRM Assessment			
			Completed	Ambitious	Starred	Strong early results
AP13-15 (21)	2013-2015	Publish the first EITI report and legislate data publishing requirements for UK extractive companies	✓	✓	✓	✓
AP16-18 (2)	2016-2018	Enhance company disclosures regarding payments to governments	✓			
AP16-18 (27)	2016-2018	Wales publishes environmental well-being objectives in line with sustainable development principles	✓	✓	✓	✓
AP19-21 (5)	2019-2021	Improve company payment disclosures in extractive industries	Pending IRM Review			

Completed: Commitment had “substantial” completion or was “complete.”

Ambitious: Commitment had a “moderate” or “transformative” potential impact.

Starred: Commitment was verifiable, relevant to open government, potentially “transformative,” and had at least “substantial” completion.

Strong early results: Commitment changed government practice in a significant way (“major” or “outstanding” on the IRM’s “Did It Open Government?” variable).