

Exploiter les Synergies

Le Partenariat pour un
Gouvernement Ouvert et l'Initiative
pour la Transparence dans les
Industries Extractives

Open
Government
Partnership



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Site minier industriel d'Erdenet. Photographie de l'ITIE Mongolie

Résumé

Contexte

Le Partenariat pour un gouvernement ouvert (PGO) et l'Initiative pour la Transparence dans les Industries Extractives (ITIE) sont deux initiatives volontaires multilatérales et multipartites qui visent à renforcer la transparence, la participation publique et la responsabilisation. Leurs approches différentes présentent un grand potentiel de complémentarité. Toutefois, comme le révèle l'analyse qui suit, ce potentiel reste largement inexploité.

En 2018, le PGO et l'ITIE ont signé un protocole d'entente pour encourager les travaux dans plusieurs domaines d'intérêt mutuel. Dans le présent document, nous examinons plusieurs éléments clés du protocole d'entente, notamment la propriété effective, les sociétés d'État et la transparence des contrats, en plus d'autres domaines comme le genre et l'environnement. Le PGO et l'ITIE peuvent s'appuyer sur ces éléments afin d'accélérer le travail de chacun et d'en tirer parti. Les pays du PGO/de l'ITIE peuvent s'engager, au moyen des plans d'action du PGO, à encourager la transparence dans les industries extractives à surpasser la norme de l'ITIE. De même, les pays du PGO/de l'ITIE peuvent compter sur l'ITIE pour des évaluations crédibles des progrès et un réseau de réformateurs pour les guider dans l'amélioration de la transparence dans les industries extractives.

Le présent rapport comprend des données provenant d'évaluations de l'ITIE et du PGO pour décrire la situation actuelle dans leurs champs d'activité respectifs. En nous fondant sur l'analyse, nous définissons les possibilités et les moyens pour les pays d'utiliser les deux plateformes pour faire avancer les réformes dans les industries extractives.

Principales conclusions

Une analyse des engagements du PGO existants et des scores de validation de l'ITIE suggère que les pays membres :

- **Font des avancées en matière de transparence des contrats et de propriété effective.** Au moins dix pays du PGO/de l'ITIE mettent à profit leurs plans d'action du PGO pour accélérer l'adoption de la norme de l'ITIE relative au processus ouvert d'octroi de contrats, et au moins cinq pays facilitent la mise en œuvre de la propriété effective. Une part importante des engagements des industries extractives dans le cadre du PGO vise le processus ouvert d'octroi de contrats. Toutefois, il est possible d'en faire davantage en ce qui concerne le processus d'octroi de permis.
- **Dépassent les attentes relatives à la divulgation de données environnementales.** Un nombre plus restreint, mais significatif, de pays ont surpassé la norme en matière de divulgation environnementale. Parmi ces activités, citons la prise en compte de l'atténuation du changement climatique et l'analyse d'autres usages des terres.
- **Doivent accroître les efforts visant les sociétés d'État.** Peu de pays du PGO ont utilisé leurs plans d'action pour faire avancer la communication des informations concernant les revenus des sociétés d'État et des opérations sur marchandises. Les évaluations de l'ITIE révèlent que les pays du PGO/de l'ITIE ont encore beaucoup de chemin à faire dans cette sphère.
- **Doivent prendre des mesures relatives au genre, aux données ouvertes et à l'espace civique dans les industries extractives.** Malgré les nombreuses possibilités, il n'y a aucune manifestation de synergie autour des réformes des industries extractives tenant compte des questions de genre, de la qualité et de l'actualité des données ouvertes, ou de l'espace civique.

DOMAINES D'ACTION PAR TYPE D'ACTION

Les pays du PGO adoptent rapidement ou surpassent les normes de l'ITIE dans les sphères suivantes :

- Transparence relative à la propriété effective
- Transparence des contrats
- Environnement

Les pays du PGO renforcent les normes de l'ITIE dans les sphères suivantes :

- Entreprises d'État
- Transparence du processus d'octroi de permis

Les industries extractives des pays du PGO n'ont pris aucune action dans les sphères suivantes :

- Genre
- Données ouvertes
- Espace civique

Conséquences

- Les pays du PGO qui misent sur leurs plans action pour surpasser les normes de l'ITIE peuvent envisager de jouer un rôle actif soit **en encourageant d'autres pays** à prendre des mesures similaires, soit **en partageant les acquis** de leurs propres innovations.
- Pour d'autres pays, le PGO peut s'avérer un **espace d'innovation**.
- Pour que le protocole d'entente soit pleinement mis en œuvre, il faudra concentrer les efforts sur **la dynamisation du PGO et la divulgation** de l'information sur les sociétés d'État, le genre et les données ouvertes.



Photographie de l'ITIE

Introduction

Contexte

Le PGO et l'ITIE sont deux initiatives volontaires multilatérales et multipartites qui visent à renforcer la transparence, la participation publique et la responsabilisation. La principale différence entre les deux est que l'ITIE est une norme mondiale exigeant la divulgation annuelle d'informations sur les industries extractives par un processus participatif, qui est vérifiée par validation. Le PGO requiert plutôt la co-création et l'évaluation biennales de plans d'action établis localement. Au-delà de ces exigences procédurales, le PGO n'est pas un organisme de normalisation. Les 99 pays membres du PGO peuvent prendre toute mesure unilatérale pour assurer un gouvernement ouvert, visant notamment les industries extractives. Leurs approches différentes présentent un grand potentiel de complémentarité : l'ITIE par sa rigueur, son objectif et son adoption dans tous les secteurs et contextes; le PGO par sa souplesse, son adaptabilité et son potentiel de dissémination virale de l'innovation.

Notre analyse met en lumière ce potentiel de complémentarité. Les pays qui ont fait porter leurs plans d'action du PGO sur les industries extractives ont fait des avancées relatives à l'ITIE, par exemple en ce qui a trait à la transparence des contrats. De même, les engagements du PGO visant à mettre en œuvre certains aspects de la norme de l'ITIE sont plus ambitieux et conduisent plus fréquemment à des améliorations significatives en matière d'ouverture des gouvernements que les engagements du PGO dans d'autres domaines. Toutefois, le potentiel de réciprocité reste largement inexploité, ces avancées n'étant constatées que dans un nombre relativement restreint de pays. En ce qui concerne les industries extractives, un plus grand nombre de pays devraient envisager de recourir à leurs plans d'action pour réaliser des progrès dans les domaines examinés ici.

Au fil des ans, les engagements visant les industries d'extraction se sont souvent retrouvés dans les plans d'action du PGO (voir la figure 1), y compris dans des pays qui n'ont pas adopté l'ITIE. Néanmoins, peu s'est fait pour cerner les synergies dans les pays du PGO et de l'ITIE qui 1) **renforcent** les exigences de l'ITIE, 2) **accélèrent** la mise en œuvre des éléments adoptés (mais pas encore requis) ou encouragés de la norme de l'ITIE, ou 3) **surpassent largement** la norme. Le présent document décrit l'état actuel des domaines d'intérêt mutuel des deux initiatives.

À propos de l'ITIE

L'Initiative pour la Transparence dans les Industries Extractives (ITIE) est une norme mondiale visant à promouvoir une gestion ouverte et responsable des ressources pétrolières, gazières et minérales adoptée par plus de 50 pays. La norme de l'ITIE exige que les pays et les entreprises divulguent régulièrement des informations sur les étapes clés de la gouvernance des revenus pétroliers, gaziers et miniers. Dans chaque pays, un groupe national multipartite (gouvernement, industrie et société civile) décide du fonctionnement de son processus de l'ITIE. L'ITIE est régie par un conseil international composé d'intervenants des gouvernements, de l'industrie et de la société civile.

À propos du PGO

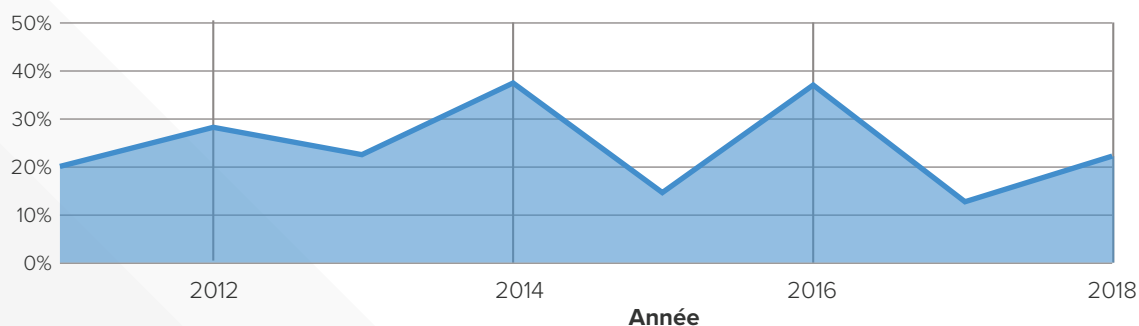
Le Partenariat pour un gouvernement ouvert (PGO), une initiative multilatérale regroupant des membres de gouvernements nationaux (79) et locaux (20), vise à obtenir des engagements concrets de leur part pour promouvoir la transparence, mobiliser les citoyens, lutter contre la corruption et exploiter les nouvelles technologies pour renforcer la gouvernance. Dans un souci de pleine collaboration, le PGO est supervisé par un comité directeur représentant les gouvernements et les organisations de la société civile. Pour devenir membres du PGO, les pays participants doivent souscrire à une déclaration de gouvernement ouvert, présenter un plan d'action national élaboré dans le cadre d'une consultation publique et s'engager à présenter des rapports indépendants sur leurs progrès.

Le point sur les engagements au sein des industries extractives dans le cadre du PGO

Les engagements du PGO concernant les industries extractives **portent plus souvent leurs fruits** et sont plus **complets** que les engagements dans d'autres domaines. Les évaluations effectuées dans le cadre du Mécanisme d'évaluation indépendant (IRM) du PGO révèlent que plus **d'un engagement sur quatre dans les industries extractives** a un potentiel de transformation du statu quo — deux fois plus que les autres engagements. Aussi, plus de **30 % des engagements visant les industries d'extraction entraînent des changements** dans la gouvernance et l'ouverture, comparativement à moins de 20 % des engagements dans d'autres domaines.

Malgré le bon rendement au chapitre des engagements, la proportion des membres qui prennent des engagements visant les industries extractives a fluctué depuis 2011 (voir figure 1). En 2018, moins d'un quart des plans d'action des membres du PGO comprenaient au moins un engagement visant les industries extractives. On constate donc un potentiel inexploité : un plus grand nombre de pays pourraient faire des avancées sur la transparence dans les industries d'extraction au moyen de leurs plans d'action du PGO.

Figure 1. Proportion (%) des membres mettant en œuvre des engagements visant les industries extractives



■ Proportion de membres du PGO qui mettent en œuvre des engagements visant les industries extractives

Portée

Le présent document est le fruit d'une collaboration entre les secrétariats du PGO et de l'ITIE. En 2018, Frederik Reinfeldt (ancien président de l'ITIE) et Sanjay Pradhan (président-directeur général du PGO) ont annoncé la signature d'un protocole d'entente.

Quant à la mise en œuvre concrète, le protocole d'entente a guidé le personnel de l'unité de soutien du PGO dans sa collaboration avec le secrétariat de l'ITIE sur l'état des priorités et des intérêts des coordonnateurs. Le fruit de cette collaboration (entre l'équipe de recherche et données du PGO et l'équipe de données de l'ITIE) est le présent survol des synergies possibles.

L'entente visait la coordination des domaines d'action prioritaires suivants :

- Encourager la prise d'engagements et les actions visant la **transparence relative à la propriété effective**;
- Améliorer la transparence des activités des **sociétés d'État**;
- Améliorer la **transparence des opérations sur marchandises**;
- Améliorer la transparence des systèmes de gouvernements et d'entreprises au moyen des **données ouvertes**; et
- Améliorer la **transparence des contrats** dans les industries extractives.

Ces domaines d'action ont été choisis pour répondre aux priorités des pays du PGO qui pourraient adopter des mesures visant les industries extractives. De plus, dans certains domaines, le PGO se voulait un moyen pour les pays de surpasser la norme internationale de l'ITIE et d'encourager des engagements plus ambitieux.

La présente analyse porte sur plusieurs de ces éléments (**transparence relative à la propriété effective, sociétés d'État et transparence des contrats**), ainsi que sur deux enjeux émergents d'intérêt permanent pour le PGO et l'ITIE : **le genre et l'environnement**.

L'évaluation exclut l'espace civique, car il y a peu d'engagements en la matière dans les industries extractives.

Méthodologie

Deux simples questions de recherche ont guidé le présent rapport :

- Dans quelles sphères le PGO renforce-t-il, amplifie-t-il ou surpasse-t-il les exigences de l'ITIE?
- En quoi les efforts déployés dans le cadre du PGO et de l'ITIE sont-ils complémentaires?

Le rapport explore ces questions par domaine d'action aux niveaux national et international.

L'évaluation est entièrement fondée sur un examen de banques de données publiques et ouvertes tirées du Mécanisme d'évaluation indépendant du PGO et du processus de validation de l'ITIE.

Chaque engagement du PGO est évalué en fonction de la norme de l'ITIE en date du mois d'août 2019. Certains sont des exigences (sociétés d'État, environnement, genre), d'autres, des mesures encouragées (propriété effective jusqu'en 2020, divulgation des contrats jusqu'en 2021).

On attribue à chaque engagement du PGO l'une de trois désignations :

- **Renforcement** : L'engagement du PGO correspond à une exigence de la norme de l'ITIE. Cette redondance peut être positive (visibilité et responsabilisation accrues) ou négative (double comptage de réformes modestes). Une telle distinction dépasse la portée de la présente évaluation.
- **Accélération** : L'engagement du PGO correspond à une mesure actuellement encouragée ou qui deviendra une exigence de la norme de l'ITIE.
- **Surpassement** : L'engagement du PGO se rapproche de la norme de l'ITIE sans y correspondre exactement.

Pour chaque domaine d'action, nous avons compté le nombre d'engagements par catégorie.

La section « Domaines d'action » présente une exploration d'éléments de la norme de l'ITIE et les compare aux efforts et engagements des pays du PGO. S'il n'y a pas eu d'activité, la page de domaine d'action pertinente est absente, car ni l'ITIE ni le PGO n'ont de données correspondantes au niveau national. Cette section peut être très utile à ceux qui s'intéressent aux comparaisons mondiales sur la transparence dans les industries extractives et à un examen des progrès réalisés dans le cadre du protocole d'entente entre le PGO et l'ITIE.

La section « Pages de pays » présente les fiches des pays, qui montrent les engagements de chaque pays par domaine d'action, les mesures à prendre et l'état actuel de la validation (codée et qualitative). Cette section peut être très utile aux intervenants nationaux et régionaux du PGO et de l'ITIE, et autres utilisateurs, qui souhaitent définir des pistes pour une collaboration accrue entre les deux initiatives dans certains pays.

Sommaire des conclusions

L'analyse de données de l'IRM du PGO révèle que **les engagements du PGO visant le processus ouvert d'octroi de contrats et de permis, la propriété effective et l'environnement offrent de meilleurs résultats dans les industries extractives que dans d'autres industries**. La participation à l'ITIE pourrait donc inciter les pays du PGO à travailler sur la transparence des industries extractives au moyen de leurs plans d'action. Elle fournit également un cadre clair qui peut guider les pays à mener à bien leurs engagements. Le PGO soutient et amplifie également l'ITIE dans les domaines d'action examinés dans cette analyse.

Les catégories ci-dessous indiquent les correspondances entre les engagements du PGO et les exigences de la norme de l'ITIE pour chaque domaine d'action. La figure 2 montre la distribution des engagements dans chaque domaine.

Surpassement :

- **Environnement**. Les exigences environnementales de l'ITIE, adoptées récemment, encouragent la divulgation d'informations sur la surveillance de l'environnement. De nombreux engagements du PGO portent déjà sur ces divulgations, et certains couvrent des divulgations prescrites par la loi qui vont au-delà de la norme de l'ITIE.

Accélération :

- **Transparence relative à la propriété effective**. Bien que la norme de l'ITIE ne l'exige pas avant 2020, cinq pays membres se sont engagés à publier des données sur la propriété effective des industries extractives dans le cadre de leurs plans d'action du PGO.
- **Transparence des contrats**. Au moins 10 pays du PGO/de l'ITIE misent sur leurs plans d'action du PGO pour accélérer l'adoption de la norme de l'ITIE en publiant les renseignements de tous les contrats et permis. La norme de l'ITIE ne l'exige pas avant le 1er janvier 2021. Huit autres se sont engagés à déployer des efforts visant la mise en œuvre d'éléments de divulgation de contrats et permis déjà exigés par la norme de l'ITIE.

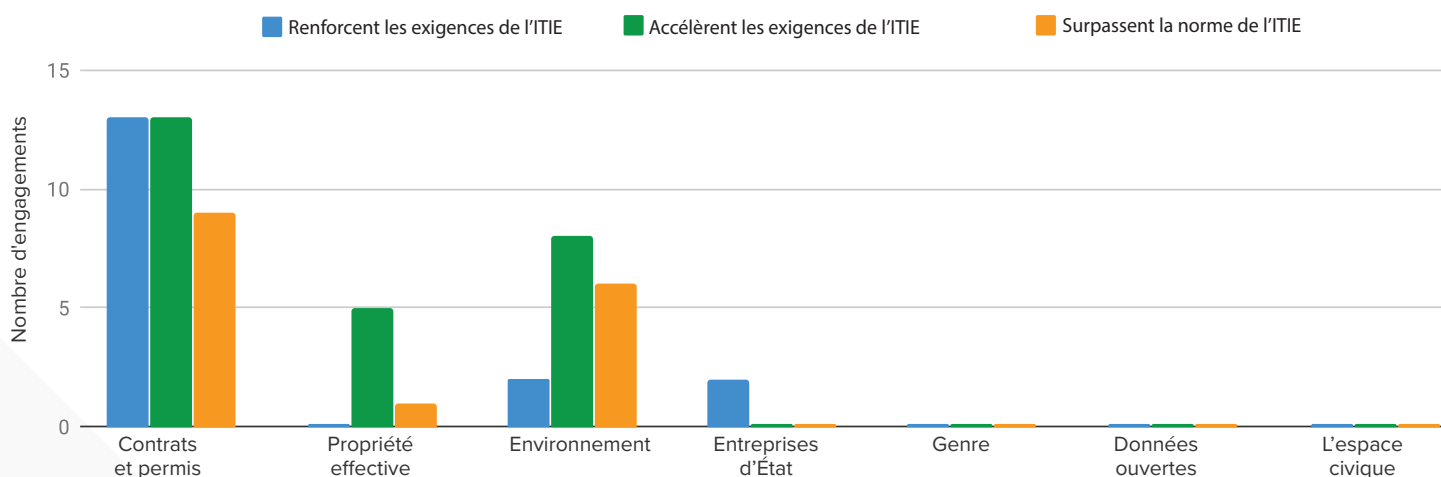
Renforcement :

- **Entreprises d'État.** Cinq pays du PGO/de l'ITIE se sont engagés à publier des données sur les sociétés d'État, mais aucun n'a surpassé la norme de l'ITIE.
- **Transparence du processus d'octroi de permis.** Six pays du PGO/de l'ITIE se sont engagés à divulguer publiquement l'octroi de permis ou l'information sur le processus d'octroi. Toutefois, peu surpassent la norme de l'ITIE.

Aucune activité :

- **Genre.** Il n'y a pas d'engagements axés explicitement sur le genre dans le PGO portant sur les industries extractives. Bien que la norme de l'ITIE comporte de nouvelles exigences liées au genre, et malgré les efforts considérables déployés dans le cadre des deux initiatives, ces efforts ne sont pas liés aux plans d'action du PGO.
- **Données ouvertes** Le PGO ne comporte aucun engagement portant sur les données ouvertes ciblant les industries extractives, bien que les pays de l'ITIE soient tenus d'élaborer des politiques en la matière. Certains engagements du PGO relatifs aux données ouvertes touchent les industries extractives, mais aucun ne les vise expressément. De même, aucun engagement relatif aux industries extractives ne définit explicitement l'utilisation de données ouvertes comme un élément essentiel.
- **Espace civique.** Bien que l'engagement des citoyens soit au cœur des deux initiatives, les plans d'action du PGO ne comptent aucun engagement axé sur l'amélioration de l'espace civique dans les industries extractives. Une liste de mesures à adopter figure dans l'encadré 1 : Espace civique dans les industries extractives.

Figure 2. Caractéristiques des engagements du PGO par domaine d'action



Conséquences

- Dans les domaines où les pays du PGO surpassent la norme de l'ITIE, le PGO peut servir de **tremplin** à l'innovation. Les pays du PGO encouragent ainsi d'autres pays à adopter des mesures semblables ou à partager les acquis de leurs propres innovations, surtout en ce qui concerne la propriété effective, la divulgation des contrats et la divulgation environnementale.
- Pour les domaines d'action comptant peu ou pas de mesures, un effort accru est nécessaire pour activer le PGO afin de faire progresser la divulgation et la participation relatives aux sociétés d'État, aux processus et engagements axés sur le genre et aux opérations sur marchandises. Un dernier domaine de rapport et de recherche partagés, qui dépasse la portée du présent document, pourrait s'intéresser à l'état de l'espace civique dans chaque pays, y compris en dehors du groupe multipartite respectif de chaque pays.



Chercheurs d'or artisanaux en République démocratique du Congo. Photographie de Robert Carruba, Deutsche Gesellschaft für internationale Zusammenarbeit (GIZ) GmbH

Recommandations

Les gouvernements peuvent adopter des mesures pour améliorer les politiques et pratiques des industries extractives dans les cinq domaines mis en évidence dans le présent document. Les mesures suivantes sont des points de départ à adapter aux contextes et aux besoins de chaque pays. Elles peuvent être adoptées soit dans le cadre de plans d'action du PGO, soit en dehors de ceux-ci. Les avantages des plans d'action du PGO sont la visibilité supplémentaire apportée par l'inclusion dans un plan d'action, l'accès à un réseau de réformateurs et une responsabilisation crédible grâce à l'IRM. Les mesures suivantes sont classées selon qu'elles correspondent ou surpassent les éléments existants de la norme de l'ITIE.¹

Propriété effective

Mesures renforçant la norme de l'ITIE :

- **Exiger que les gouvernements recueillent et divulguent** des renseignements sur la propriété effective, y compris les niveaux de propriété et toute personne politiquement exposée.
- **Lier la collecte et le filtrage de données sur la propriété effective** aux systèmes d'octroi de permis et aux portails de divulgation des contrats.

Mesures surpassant la norme de l'ITIE :

Plus d'information utile sur la propriété effective

- **Élargir la portée de l'information sur la propriété effective en recueillant et en divulguant des renseignements (ventilés selon le genre, si possible) sur :**
 - Les entités associées à la vente, au raffinage et au traitement de marchandises;
 - Les propriétaires effectifs d'entreprises demandant ou ayant reçu des permis; et
 - D'autres industries, comme l'industrie forestière.

- **Permettre la vérification publique** en publiant les données avant l'attribution du permis ou du contrat.
- **Abaisser le seuil de divulgation** de la propriété des entreprises dans les industries extractives.
- **Améliorer l'interopérabilité** en adhérant à la norme de données sur la propriété effective.²
- **Utiliser des identifiants uniques** pour s'assurer que l'information reste comparable entre les plateformes et les territoires de données, en recourant par exemple au système mondial d'identifiant d'entité juridique.³

Contrôle

- **Diligence raisonnable** : Contrôler proactivement l'information sur la propriété effective pour détecter les facteurs de risque et les conflits d'intérêts pendant l'évaluation des demandes de permis ou des soumissions.
- **Vérification** : Analyser l'exactitude des informations sur la propriété effective en les recoupant avec les données d'autres sociétés d'État et exiger une preuve d'identité.
- **Pénalités pour non-déclaration** : Établir des sanctions et des processus exécutoires en cas de non-respect des exigences de divulgation par les organisations et leurs propriétaires effectifs.
- **Vérification publique** : Faire participer les citoyens au signalement de problèmes au moyen de
 - Mécanismes non officiels (p. ex., point de presse avec journalistes et activistes), ou de
 - Mécanismes officiels (p. ex., défenseurs des citoyens, vérifications publiques).

Entreprises d'État

Mesures renforçant la norme de l'ITIE :

- **Publier toutes les transactions** (y compris l'aide financière versée aux entreprises par l'État) entre les sociétés d'État et l'État ou toutes autres entités.
- **Rendre les vérifications publiques** : Exiger que les états financiers annuels des sociétés d'État fassent l'objet de vérifications externes indépendantes dont les résultats sont rendus publics.

Mesures surpassant la norme de l'ITIE :

- **Divulguer les renseignements sur l'approvisionnement et la sous-traitance** : Publier l'information sur les règles et les pratiques relatives aux dépenses de fonctionnement et d'immobilisations, à l'approvisionnement et à la sous-traitance des sociétés d'État.
- **Comparer le rendement des entreprises par rapport à des points de référence définis** : Évaluer le rendement de la société d'État par rapport aux buts du gouvernement et aux points de référence internationaux.
- **Protéger les activistes** : Créer et mettre en œuvre des protections tenant compte du genre pour les dénonciateurs, les journalistes, les OSC et le personnel des forces de l'ordre afin de signaler la corruption et d'appliquer les lois anticorruption. Comme les femmes sont historiquement la cible de harcèlement, il faut envisager des protections ou des protocoles propres à chaque genre, le cas échéant.
- **Renforcer la surveillance publique** : Veiller à ce que les ministères, les autorités fiscales, les vérificateurs généraux, le parlement et la société civile disposent des moyens financiers et des connaissances nécessaires pour effectuer un contrôle des sociétés d'État. Par exemple, un pays pourrait créer une coalition d'ONG et de fonctionnaires chargée de la surveillance publique des contrats des sociétés d'État.
- **Transparence relative à la propriété effective** : Divulguer les propriétaires effectifs des sociétés d'État et les négociateurs de marchandises.

Environnement

Mesures renforçant la norme de l'ITIE :

Dépenses sociales et environnementales

- **Publier les dépenses sociales et environnementales** : Divulguer les dépenses matérielles, sociales et environnementales des industries extractives, conformément à la loi, à la réglementation ou à un contrat.

Information sur les politiques environnementales du gouvernement

- **Publier les politiques de surveillance** : Décrire les lois, les règles administratives et les pratiques relatives aux études d'impact sur l'environnement, aux systèmes de certification et aux sanctions.
- **Décrire les politiques relatives à la réhabilitation de l'environnement** : Inclure les politiques de responsabilité environnementale, l'emploi social pour les communautés dans le secteur post-extraction, et les programmes de réhabilitation et d'assainissement de l'environnement.

Mesures surpassant la norme de l'ITIE :

Impact environnemental des industries extractives (au-delà des divulgations requises par le processus d'autorisation)⁴

- **Divulguer les plans de surveillance et les évaluations** : études d'impact environnemental, études et estimations d'extraction, plans de gestion environnementale, études d'impact social et plans d'atténuation des impacts environnementaux et sociaux.
- **Divulguer le processus de consultation et de concertation** : Publier le processus de consultation et de concertation sur les impacts environnementaux et sociaux potentiels des projets d'extraction sur les collectivités touchées. Examiner la possibilité d'établir des contacts en ligne et hors ligne avec les groupes clés, comme les femmes et les groupes autochtones, qui peuvent être touchés de manière disproportionnée par l'extraction.
- **Publier des données sur les impacts** : Divulguer des données sur l'impact de l'industrie extractive sur les communautés et les écosystèmes (p. ex., sur les sources d'approvisionnement en eau), ventilées par entreprise et par projet.

Dépenses sociales et environnementales discrétionnaires

- **Divulguer les paiements volontaires d'entreprises** : Ces paiements et contributions (non requis juridiquement) pour la réglementation environnementale (p. ex., une compensation pour les collectivités) sont habituellement versés à des tiers (comme le recommande l'exigence 6.1 de la norme de l'ITIE).

Contrats et permis

Mesures renforçant la norme de l'ITIE :

- **Registres de permis** : Tenir un registre ou un cadastre accessible au public et comportant des renseignements opportuns, complets et à jour sur tous les permis.
- **Publier le processus d'octroi de permis** : Fournir une description du processus d'octroi de permis, des critères d'attribution, des décideurs et de tout écart important par rapport au cadre juridique et réglementaire d'octroi de permis.
- **Divulguer tous les contrats** : Publier le texte intégral des contrats, des permis, des annexes et des modifications, y compris un aperçu des contrats qui sont accessibles au public et de ceux qui ne le sont pas.

Mesures surpassant la norme de l'ITIE :

- **Mettre les utilisateurs au premier plan** : Collaborer avec les citoyens pour s'assurer que les divulgations répondent aux besoins des utilisateurs et créer des boucles de rétroaction pour une communication régulière. Considérer une approche

ciblée vers les communautés clés : organismes de défense des femmes, groupes vulnérables et autres communautés touchées.

- **Mailler les données sur les contrats et les permis aux registres de propriété effective** : Les données maillées facilitent l'examen par le public en lui permettant d'identifier les entreprises qui détiennent des contrats et des permis et les personnes qui en tirent profit. Ces données devraient être rendues publiques avant l'attribution du permis ou du contrat.
- **Ouvrir tous les maillons de la chaîne contractuelle** : Divulguer des renseignements sur l'ensemble du processus d'approvisionnement, notamment la planification, l'attribution et l'octroi de contrats et de permis, les contrats eux-mêmes et la mise en œuvre.
- **Exiger des divulgations à l'échelle locale** : Publier des données quantitatives et qualitatives sur l'approvisionnement à l'échelle locale pour chaque site, par exemple en utilisant le mécanisme de reporting sur l'approvisionnement local.⁵
- **Adopter une vision élargie de la divulgation des contrats** : Inclure les documents connexes : études d'impact environnemental et social, évaluations liées au genre, accords de développement communautaire et autres documents relatifs aux impacts, droits et obligations économiques, sociaux et environnementaux.
- **Divulgations à l'échelle du projet** : Outre les flux de paiement, publier des données de mise en œuvre ventilées par projet extractif sur les flux de bénéfices, ainsi que les évaluations des répercussions sur l'environnement et le milieu social pertinentes.

Genre

Mesures renforçant la norme de l'ITIE :

- Recueillir et publier des données ventilées par genre sur l'emploi et les dirigeants dans les industries extractives (p. ex., entreprises dirigées et exploitées par des femmes).
- Faire en sorte que les données des industries extractives parviennent aux femmes et reflètent leurs priorités.
- Viser la parité dans les groupes multipartites de l'ITIE. Les Nations Unies considèrent qu'une représentation de 30 % est nécessaire pour obtenir une masse critique d'influence.

Mesures surpassant la norme de l'ITIE :

Mise en œuvre améliorée au niveau national

- **Etablir des liens avec des stratégies élargies sur le genre** : Créer des liens entre les engagements du PGO et les plans de travail de l'ITIE, d'une part, et les politiques nationales existantes en matière de genre et d'extraction, d'autre part, afin de favoriser une mise en œuvre efficace et ouverte.
- **Ventiler les répercussions des engagements ou des politiques selon le genre** :
 - Effectuer une analyse tenant compte du genre dans la phase de planification du projet, éventuellement en partenariat avec une organisation nationale de femmes.
 - Publier de manière proactive des études d'impact des industries extractives sur l'environnement, la santé et la société en tenant compte du genre.

Accès accru à plus d'information

- **Données détaillées ventilées par genre** : Publier des informations détaillées par personne sur les achats locaux, les efforts de formation et les paiements sociaux aux organisations qui travaillent sur les questions relatives aux femmes et au genre.

- **Développer des efforts de sensibilisation** : Appuyer l'engagement communautaire avec les principaux intervenants, comme les groupes de femmes, en fournissant de l'information sur les politiques et les données des industries d'extraction et en recueillant des commentaires.

Faire participer les femmes à la planification stratégique et à la prise de décisions

- **Créer des politiques inclusives** : Tenir compte des engagements qui établissent ou renforcent la capacité des femmes à participer aux industries extractives et à en tirer profit.
 - Travailler avec un large groupe de résidents en dehors du groupe multipartite pour cerner les politiques publiques qui répondent aux besoins, aux contraintes et aux intérêts des femmes, y compris les groupes nationaux et régionaux pour les femmes et les organisations de défense des droits des femmes.
 - Analyser les écarts entre les politiques et leur mise en œuvre.
- **Buts des politiques inclusives** : Adopter des règles qui exigent la participation significative des femmes aux négociations des accords de continuité.

Renforcer les mécanismes de règlement des griefs

Veiller à ce que les femmes aient un accès égal aux mécanismes de règlement des griefs de chaque projet. Pour en faciliter l'accès, les gouvernements peuvent :

- Éliminer les frais associés aux mécanismes de règlement des griefs;
- Fournir des instructions claires et simples pour les utilisateurs;
- Exiger l'anonymat des plaignants; et
- Indiquer et faire connaître de multiples points d'accès, notamment en ligne et hors ligne.

Le genre et les industries extractives

Les hommes et les femmes peuvent vivre différemment les impacts sociaux, économiques et environnementaux des industries extractives. Les femmes peuvent constater des changements dans l'accès à l'emploi, le coût de la vie, la dynamique sociale et les droits fonciers. La norme de l'ITIE de 2019 exige que les membres divulguent les données sur l'emploi par entreprise, genre et niveau professionnel et qu'ils trouvent des considérations liées au genre dans les données. Les membres doivent également se pencher sur la question de la parité dans leurs groupes multipartites

Le PGO a pris un certain nombre d'engagements relatifs aux industries extractives et aux ressources naturelles, mais aucun ne prévoit actuellement d'effort particulier pour y faire participer les femmes. Parmi les interventions nationales, on peut citer la Mongolie, qui a mis en place une stratégie d'égalité dans le secteur minier en commençant par l'examen des lois et des politiques, ou le Malawi, qui, dans son plan de travail de l'ITIE, s'est engagé à présenter des rapports contenant des données ventilées par genre.

L'espace civique et les industries extractives

Dans le cadre du PGO et de l'ITIE, on estime que la gouvernance et la création de politiques publiques se portent mieux lorsque les responsables gouvernementaux collaborent avec les acteurs de la société civile. Pourtant, l'espace civique continue de se rétrécir dans le monde entier, y compris dans les pays du PGO et de l'ITIE, ce qui entrave les progrès dans chacun des domaines d'action examinés ici. Selon une analyse réalisée dans les pays de l'ITIE en 2017 par CIVICUS,⁶ qui recoupe en grande partie les conclusions d'une analyse semblable des pays du PGO en 2018,⁷ voici les tactiques les plus souvent utilisées pour restreindre l'espace civique :

- Détention de manifestants et de défenseurs des droits de la personne;
- Perturbation ou interdiction des manifestations (avec ou sans recours à la force); et
- Attaques contre les journalistes et censure des médias.

Dans l'esprit des conclusions du récent Rapport mondial du PGO,⁸ les pays peuvent prendre les mesures suivantes pour contrer ces atteintes à l'espace civique et préserver les droits d'expression, de réunion et d'association dans les industries extractives :

Prévention

- Instaurer une surveillance gouvernementale et des normes de l'industrie pour maximiser la sécurité et le droit de réunion.
- Adopter des règles pour clarifier et permettre les assemblées sur les terres privées d'accès public.

Protection

- Établir des observateurs de la société civile. Un groupe représentatif d'observateurs de la société civile pourrait suivre de manière proactive les questions relatives à la société civile dans les industries extractives avant qu'elles n'atteignent un point de crise. Envisager un recrutement proactif dans les communautés les plus touchées par l'extraction, notamment les femmes et les communautés autochtones.
- Adopter, mettre en œuvre et rendre compte de la protection des dénonciateurs, conformément aux pratiques exemplaires et aux normes mondiales.
- Faire participer les organisations représentant les femmes et les minorités à l'élaboration de solutions au harcèlement et à la violence.

Mesures de responsabilisation

- Créer des mécanismes de plainte accessibles pour traiter les violations des droits par les entreprises extractives
- Assurer la possibilité de porter les griefs en appel auprès des mécanismes officiels de règlement des différends du gouvernement.



Atelier régional sur la propriété effective de l'ITIE, tenu à Manille, aux Philippines, en mars 2019. Photographie de l'ITIE

Domaines d'action

Processus ouvert d'octroi de contrats et de permis

8 engagements renforcent | 13 engagements accélèrent | 4 engagements surpassent

Constatations clés

- Le PGO **accélère** les efforts d'application de l'ITIE sur le processus ouvert d'octroi de contrats et de permis; 10 membres se sont déjà engagés à divulguer les appels d'offres des industries extractives, obligation qui entrera en vigueur seulement en janvier 2021.
- Les engagements de permis accélèrent ou surpassent moins fréquemment la norme ITIE. La plupart des engagements renforcent la norme.
- En moyenne, les résultats des pays de l'ITIE en matière de contrats et de permis sont presque satisfaisants par rapport aux exigences de 2016. Voici des pistes pour utiliser les plans d'action du PGO afin d'améliorer la conformité dans ce domaine :
 - Divulguer les contrats ou les permis, publier les conditions des activités extractives et autres documents connexes; et
 - Accroître la transparence de l'information sur le processus et les critères d'octroi de permis.
- En général, les engagements du PGO relatifs au processus ouvert d'octroi de contrats dans les industries extractives donnent de meilleurs résultats dans les IRM que ceux d'autres industries.

Sommaire des normes pertinentes de l'ITIE

Processus d'octroi de contrats et de permis

- 2.2 – Octroi de contrats et de permis
 - Chaque pays de l'ITIE **doit divulguer** la description du processus d'octroi de permis, les critères d'obtention, le bénéficiaire des permis dans son rapport ITIE, ainsi que tout écart important par rapport au cadre juridique et réglementaire d'octroi des permis.
 - Chaque pays de l'ITIE **est invité** à divulguer l'information sur les permis délivrés avant l'adhésion à l'ITIE.
 - Chaque pays de l'ITIE doté d'un processus d'appel d'offres pour les permis **doit divulguer** l'information sur les demandeurs.

Transparence du processus d'octroi de contrats et de permis

- 2.3 – Registre de permis
 - Chaque pays de l'ITIE **doit tenir** un registre ou un cadastre accessible au public et comportant des renseignements opportuns et complets sur tous les permis.
- 2.4 – Politique sur la divulgation des contrats
 - Chaque pays de l'ITIE **doit inclure** ses politiques de divulgation dans les rapports ITIE.
 - Chaque pays de l'ITIE **doit fournir** une liste des contrats et permis en vigueur et indiquer ceux qui sont accessibles au public et ceux qui ne le sont pas, en précisant les obstacles juridiques et pratiques à la divulgation.
 - Les groupes multipartites de chaque pays de l'ITIE **doivent publier** un plan de divulgation des contrats assorti d'un calendrier de mise en œuvre.
 - Chaque pays de l'ITIE **doit publier** tous les contrats et permis octroyés, signés ou amendés après le 1er janvier 2021, y compris les annexes, appendices ou amendements.

Octroi de permis

6 renforcent / 2 accélèrent / 1 surpasse

Objectifs des engagements du PGO à ce jour

- Publier des registres de permis pour les industries extractives.
- Publier l'information sur le processus d'attribution des permis dans les industries extractives.
- Créer des systèmes électroniques pour le traitement et l'octroi de permis.

Statut par rapport à la norme de l'ITIE (médiane) : 5,00/Progrès satisfaisants

Octroi de contrats

1 renforce / 10 accélèrent / 2 surpassent

Objectifs des engagements du PGO à ce jour

- Publier l'information sur les contrats et l'approvisionnement dans les industries extractives.
- Créer des registres de propriété effective pour les titulaires de contrats publics dans les industries extractives.

Statut par rapport à la norme de l'ITIE (médiane): 5,00/Progrès satisfaisants

Engagements PGO relatifs au processus ouvert d'octroi de contrats et de permis selon l'IRM

189 engagements du PGO visant le processus ouvert d'octroi de contrats et de permis	→	25 visent les industries extractives
Ces engagements viennent de 70 pays du PGO	→	16 d'entre eux ont des engagements visant les industries extractives
9 engagements étoilés	→	2 visent les industries extractives
19 engagements portent un excellent score « Le gouvernement est-il plus ouvert ? »	→	2 visent les industries extractives
80 engagements sont en grande partie achevés	→	12 visent les industries extractives
20 engagements sont très ambitieux	→	15 visent les industries extractives

Inventaire des engagements relatifs au processus ouvert d'octroi de contrats et de permis visant les industries extractives

Identifiant (années, numéro d'engagement)	Pays	Titre de l'engagement	Sommaire/sujets	Sous-sujet ⁹
AP14-16 (1)	Arménie	Numérisation et publication des données du Republican Geological Fund (société d'État sans but lucratif)	Divulguer publiquement les entités auxquelles sont accordés des droits miniers d'extraction.	Octroi de permis
AP12-14 (9)	Bulgarie*	★ Système d'information publique sur les ressources minérales	Créer un système d'information publique pour divulguer les données sur les ressources extractives, notamment des registres de permis de prospection et de concessions.	Octroi de permis
AP14-16 (6)	Bulgarie*	Loi sur la transparence des ressources souterraines	Modifier la législation relative à la procédure d'octroi de permis de prospection et d'exploration des ressources minérales.	Octroi de permis
AP16-18 (3)	Georgia*	Introduction d'un système électronique d'octroi de permis dans le domaine de la valorisation des ressources naturelles	Créer un système électronique d'octroi de permis pour les ressources naturelles.	Octroi de permis
AP15-17 (1)	Ghana	★ Processus ouvert d'octroi de contrats	Ouvrir les processus contractuels, publier les contrats dans les industries extractives et fournir des informations sur les propriétaires effectifs des contrats.	Octroi de contrats
AP13-15 (2.3)	Indonésie	Transparence et responsabilisation dans les activités de gestion des ressources naturelles	Publier des données et l'information sur les activités pétrolières, gazières et minières, dont une liste des titulaires de permis d'exploitation minière.	Octroi de permis

Identifiant (années, numéro d'engagement)	Pays	Titre de l'engagement	Sommaire/sujets	Sous-sujet
AP14-16 (12)	Indonésie	Accélérer les pratiques de gouvernance ouverte et saine dans la gestion des ressources naturelles	Publier les contrats renégociés et l'information sur l'approvisionnement dans les industries pétrolière, gazière et minière.	Octroi de contrats
AP16-18 (4)	Kenya*	Publier les contrats d'exploitation du pétrole et du gaz.	Divulguer l'information sur les contrats et les revenus dans les industries pétrolière et gazière.	Octroi de contrats
AP18-20 (15)	Kirghizistan	Divulgarion de données connexes dans l'industrie minière au niveau des permis	Publier régulièrement les permis dans l'industrie minière.	Octroi de permis et de contrats
AP13-15 (3)	Liberia	Transparence des industries extractives	- Publier les rapports de l'ITIE qui comprendront l'information sur les dépenses du gouvernement et les communautés bénéficiaires. - Mener des vérifications ou des enquêtes après attribution sur les contrats importants, les concessions et les permis conclus par le gouvernement du Liberia avec des sociétés opérant dans les secteurs minier, pétrolier, forestier et agricole.	Octroi de permis
AP16-18 (5)	Malawi	Initiative pour la Transparence dans les Industries Extractives (ITIE)	Contrats ouverts et transparence des revenus dans le secteur de l'industrie extractive.	Octroi de permis et de contrats
AP11-13 (13)	Mexique	Base de données des projets miniers	Publier une base de données comprenant l'information sur les permis d'exploration et d'exploitation des compagnies minières.	Octroi de permis
AP11-13 (16)	Mexique	Publier les données des contrats de PEMEX	Publier les décisions d'appel d'offres et les contrats conclus par la compagnie pétrolière nationale.	Octroi de permis et de contrats
AP13-15 (22)	Mexique	Le pétrole au service de tous	- Publier les contrats signés avec les entreprises du secteur extractif. - Veiller à ce que les organismes de réglementation et les ministères publient en temps opportun des rapports complets sur leurs activités, entre autres sur les revenus et les projets.	Octroi de contrats

Identifiant (années, numéro d'engagement)	Pays	Titre de l'engagement	Sommaire/sujets	Sous-sujet
AP14-16 (3.3.1.4)	Mongolie	Élaborer une base de données centralisée et publique sur les titulaires de permis d'exploitation minière, pétrolière et foncière	Élaborer une base de données centralisée publique sur le minéral, le pétrole, le régime foncier et les titulaires de permis.	Octroi de permis
AP14-16 (3.3.1.5)	Mongolie	Assurer la transparence de toute entente sur l'investissement, la stabilité et le partage de la production des ressources publiques comme l'eau, les ressources minérales, le pétrole et les terres	Publier les contrats publics portant sur les ressources publiques (eau, minerais, terres).	Octroi de contrats
AP16-18 (11)	Mongolie	Transparence des contrats d'exploitation des ressources publiques.	- Identifier les types de documents (accords sur l'utilisation des dépôts, accords d'investissement et de durabilité, accords d'actionariat et de partage de produits, et autres accords similaires) pour les rendre accessibles en ligne. - Améliorer les accords régionaux de coopération et les ententes sur l'utilisation des terres et des eaux et créer une base de données accessible de ces documents.	Octroi de contrats
AP17-19 (2)	Nigeria	Implémentation intégrale du processus ouvert d'octroi de contrats et adoption de la norme relative aux données sur l'octroi de contrats ouverts dans le secteur public	Mettre en œuvre le processus ouvert d'octroi de contrats dans cinq domaines, dont celui des minéraux solides.	Octroi de contrats
AP14-16 (7)	Sierra Leone	Intensifier les initiatives pour la transparence dans les industries d'extractions	Publier le processus et décrire les contrôles et les bilans effectués pour l'attribution des permis par le Ministère des Mines et des ressources minérales et la Direction du pétrole.	Octroi de permis
AP14-16 (9)	Sierra Leone	70 % de tous les accords et contrats de bail minier et agricole ont été révisés et rendus publics afin d'améliorer la transparence, la responsabilité et la participation du public	Publier 70 % des données minières et agricoles sur un portail de données ouvertes.	Octroi de permis et de contrats

Identifiant (années, numéro d'engagement)	Pays	Titre de l'engagement	Sommaire/sujets	Sous-sujet
AP14-16 (11)	Sierra Leone	Mettre en place un portail de données ouvertes pour améliorer la transparence des opérations fiscales et extractives	Débloquer des fonds pour établir un portail de données pour les documents gouvernementaux pilotes comme le budget, ainsi que 70 % des contrats miniers et agricoles et 20 % des lois de la Sierra Leone qui ont été publiées dans la gazette.	Octroi de contrats
AP14-16 (3.5)	Tanzania	La Tanzanie entend remplir ses engagements de l'ITIE de juin 2016.	Documenter les pratiques actuelles du gouvernement en matière de divulgation des contrats.	Octroi de permis et de contrats
AP14-16 (4.2)	Trinité-et-Tobago	Cadastre des permis et contrats de prospection et de production de pétrole et de gaz accessible au public	Publier le cadastre des permis et les volumes de production de pétrole et de gaz.	Octroi de permis et de contrats
AP14-16 (18)	Tunisie*	Développement d'une plateforme de données ouverte sur l'investissement dans les secteurs pétrolier et minier	Publier des données ouvertes sur tous les contrats dans les secteurs pétrolier et minier.	Octroi de permis et de contrats
AP18-20 (7)	Tunisie*	Appliquer les principes de processus ouvert d'octroi de contrats dans le domaine des hydrocarbures	- Développer une plateforme électronique pour appliquer les principes de processus ouvert d'octroi de contrats en y publiant tous les contrats conclus et leurs annexes et décisions correspondantes, en plus de documents sur les contrats qui expliquent le processus d'octroi aux investisseurs. - Préparer une étude de référence qui s'appuie sur les expériences internationales relatives au processus ouvert d'octroi de contrats. - Élaborer et mettre en place un programme de formation sur la norme relative aux données sur l'octroi de contrats ouverts destiné aux fonctionnaires	Octroi de permis et de contrats

★ = engagement étoilé

* = pays non membre de l'ITIE

Propriété effective

0 engagement renforce / 5 engagements accélèrent / 1 engagement surpasse

Constatations clés

- Cinq pays du PGO **accélèrent** la norme de l'ITIE relative à la propriété effective. L'ITIE n'exige pas, mais recommande, la création de registres de propriété effective, ce que plusieurs membres accomplissent dans le cadre de leurs plans d'action du PGO.
- En moyenne, les engagements du PGO relatifs à la propriété effective dans les industries extractives donnent de meilleurs résultats dans les IRM que ceux d'autres industries.¹⁰
- De nombreux engagements relatifs à la propriété effective mais non axés sur les industries extractives affectent également le secteur des industries extractives.

Sommaire des normes pertinentes de l'ITIE

- 2.5 – Propriété effective
 - Chaque pays de l'ITIE **est invité** à publier des registres nationaux de propriété effective.
 - Chaque pays de l'ITIE **doit publier** sa politique sur la propriété effective.
 - À compter du 1er janvier 2020, on **exige** que les pays de l'ITIE demandent aux entreprises de rendre publiques les informations relatives à la propriété effective au moyen des systèmes réguliers du gouvernement et des entreprises, le rapport de l'ITIE figurant en annexe.
 - Les renseignements doivent comprendre le nom, la nationalité et le pays de résidence du propriétaire effectif et mentionner toute personne politiquement exposée.

Objectifs des engagements du PGO à ce jour

- Créer des registres de propriété effective dans les industries extractives.
- Obliger la divulgation d'informations sur les candidats au conseil d'administration des sociétés d'État.
- Publier des renseignements sur les propriétaires effectifs des contrats publics.

Statut par rapport à la norme de l'ITIE : Pas encore évalué par rapport à la Norme

Engagements du PGO relatifs à la propriété effective selon l'IRM

31 engagements du PGO relatifs à la propriété effective au total	→	6 visent les industries extractives
Ces engagements viennent de 21 pays du PGO	→	4 sont des engagements relatifs à la propriété effective visant les industries extractives
4 engagements étoilés relatifs à la propriété effective	→	1 engagement étoilé relatif à la propriété effective visant les industries extractives
1 engagement porte un excellent score « Le gouvernement est-il plus ouvert ? »	→	0 vise les industries extractives
9 engagements sont en grande partie atteints	→	1 vise les industries extractives
7 engagements sont très ambitieux	→	3 visent les industries extractives

Inventaire des engagements relatifs à la propriété effective visant les industries extractives

Identifiant (années, numéro d'engagement)	Pays	Titre de l'engagement	Sommaire/sujets
AP18-20 (3)	Arménie	Registre de propriété effective ouvert et public	Élaborer un registre de propriété effective en collaboration avec les sociétés minières nationales
AP15-17 (1)	Ghana	✱ Processus ouvert d'octroi de contrats et surveillance des contrats	Publier des informations sur les propriétaires effectifs des contrats d'approvisionnement dans les industries extractives et autres secteurs.
AP17-19 (3)	Ghana	Propriété effective	Fournir des renseignements sur les propriétaires effectifs des entreprises détenant des contrats d'extraction de pétrole, de gaz et de minéraux.
AP18-20 (1)	Indonésie	Amélioration de la gestion des données et de la conformité des industries extractives, forestières et agricoles	- Créer un registre de propriété effective pour les industries extractives, forestières et agricoles. - Mettre l'accent sur la publication et l'utilisation d'une base de données sur la propriété effective. - Publier l'information sur les demandes de permis pour les industries d'extraction et d'huile de palme.
AP16-18 (12)	Mongolie	Transparence de l'information sur les propriétaires des entités ayant des droits d'utilisation des ressources minérales	Publier un registre des propriétaires d'entreprises des industries extractives.
AP16-18 (13)	Mongolie	Rendre les permis, les informations et les activités des entreprises transparents et efficaces pour le gouvernement.	- Exiger des rapports financiers et opérationnels de la part des sociétés d'État. - Créer une base de données de confirmation des candidats au conseil d'administration des entreprises.

✱ = engagement étoilé

Entreprises d'État

6 engagements renforcent | 0 engagement accélère | 0 engagement surpasse

Constatations clés

- Les plans d'action du PGO **renforcent** le niveau de progrès relatif à la norme de l'ITIE.
- Dans l'ensemble, les performances relatives aux sociétés d'État ne sont pas encore satisfaisantes; les pays peuvent utiliser leurs plans d'action pour améliorer la mise en œuvre de l'ITIE et le contrôle public des sociétés d'État.

Sommaire des normes pertinentes de l'ITIE

- 2.6 – Participation de l'État
 - Chaque pays de l'ITIE **doit publier** l'information sur les relations financières entre les entreprises et l'État.
 - Chaque pays de l'ITIE **doit divulguer** le niveau de propriété que le gouvernement et les sociétés d'État détiennent dans les sociétés d'extraction.
 - Chaque pays de l'ITIE **doit divulguer** les états financiers vérifiés des sociétés d'État.
- 4.2 – Vente de la part des revenus en nature de l'État
 - Chaque pays de l'ITIE **doit divulguer** le volume de biens en nature reçu et vendu par l'État.
 - Chaque pays de l'ITIE **est invité** à divulguer le processus de sélection des entreprises acheteuses.
- 4.5 – Transactions des sociétés d'État
 - Chaque pays de l'ITIE **doit publier** les renseignements complets sur les opérations financières liées aux sociétés d'État.
- 6.2 – Dépenses quasi fiscales des sociétés d'État
 - Chaque pays de l'ITIE **doit inclure** les dépenses des sociétés d'État dans son rapport de dépenses quasi fiscales.

Objectifs des engagements du PGO à ce jour

- Rendre obligatoire la production de rapports financiers et opérationnels pour les sociétés d'État.
- Inclure les sociétés d'État dans le processus de rapport de l'ITIE.

Statut par rapport à la norme de l'ITIE (médiane) : 4.5/Progrès significatifs

Engagements du PGO relatifs aux sociétés d'État selon l'IRM

6 engagements du PGO relatifs aux sociétés d'État

Ces engagements viennent de 5 pays du PGO

0 engagement étoilé

2 engagements portent un excellent score « Le gouvernement est-il plus ouvert ? »

3 engagements sont en grande partie achevés

3 engagements sont très ambitieux

Inventaire des engagements relatifs aux sociétés d'État visant les industries extractives

Identifiant (années, numéro d'engagement)	Pays	Titre de l'engagement	Sommaire/sujets
AP11-13 (16)	Mexique	Publier les données des contrats de PEMEX.	Publier les décisions d'appel d'offres et les contrats conclus par la compagnie pétrolière nationale.
AP16-18 (13)	Mongolie	Rendre les permis, les informations et les activités des entreprises transparents et efficaces pour le gouvernement	- Exiger des rapports financiers et opérationnels de la part des sociétés d'État. - Créer une base de données de confirmation des candidats au conseil d'administration des entreprises.
AP16-18 (2)	Royaume-Uni	Transparence de l'exploitation des ressources naturelles	Divulguer les paiements des sociétés de commerce de marchandises physiques aux sociétés d'État.
AP19-21 (5)	Royaume-Uni	Transparence de l'exploitation des ressources naturelles	Améliorer la divulgation des paiements aux gouvernements par les entreprises.
AP14-16 (4.3)	Trinité-et-Tobago	Inclure le secteur des minerais (en commençant par la National Quarries Company Ltd.) dans le mécanisme de rapport du TTEITI.	Inclure la National Quarries Company Ltd. dans le processus de production de rapports du TTEITI.
AP14-16 (18)	Tunisie*	Plateforme de données ouvertes sur les investissements dans les industries pétrolières et minières	Publier des données ouvertes sur les revenus engrangés par les sociétés d'État.

* = pays non membre de l'ITIE

Environnement

2 engagements renforcent / 8 engagements accélèrent / 6 engagements surpassent

Constatations clés

- Les pays du PGO **accélèrent** et **surpassent** les exigences environnementales de la norme de l'ITIE.
- Les pays peuvent continuer d'utiliser leurs plans d'action du PGO pour ouvrir les études d'impact sur l'environnement, publier les dépenses consacrées à l'atténuation des impacts et à la réhabilitation, et rendre publiques les mesures de surveillance, d'application et de conformité.

Sommaire des normes pertinentes de l'ITIE

- 6.1 – Dépenses sociales obligatoires
 - Chaque pays de l'ITIE **doit divulguer** les paiements environnementaux importants versés aux gouvernements.
 - Chaque pays de l'ITIE **est invité** à divulguer les paiements environnementaux volontaires ou discrétionnaires versés aux gouvernements.
- 6.4 – Impact environnemental des activités de l'industrie de l'extraction
 - Chaque pays de l'ITIE **est invité** à divulguer l'information sur la surveillance de l'environnement.

Objectifs des engagements du PGO à ce jour

- Élaborer une législation pour exiger des évaluations d'impact environnemental avant et pendant les projets extractifs.
- Publier des données sur les mesures de surveillance, d'application et de conformité.
- Publier des informations sur la distribution et l'utilisation des ressources naturelles dans les industries extractives.

Dans les secteurs autres que les industries extractives, les membres du PGO :

- Publient des données géospatiales et des cartes des zones de conservation et autres zones riches en ressources naturelles.
- Divulguent des données environnementales, notamment des données sur les niveaux de pollution et les émissions de carbone.
- Intègrent des politiques de prévention du changement climatique en partenariat avec les entreprises privées.
- Créent des politiques climatiques en collaboration avec les citoyens et leur permettent de participer aux efforts de conservation.

Statut par rapport à la norme de l'ITIE (médiane) : 4,00/Progrès significatifs¹¹

Engagements du PGO relatifs à l'environnement selon l'IRM

145 engagements du PGO relatifs à l'environnement au total → 16 visent les industries extractives

Ces engagements viennent de 52 pays du PGO → 14 d'entre eux ont des engagements visant les industries extractives

12 engagements étoilés → 1 vise les industries extractives

17 engagements portent un excellent score « Le gouvernement est-il plus ouvert ? » → 1 vise les industries extractives

54 engagements sont en grande partie achevés → 6 visent les industries extractives

54 engagements sont très ambitieux → 8 visent les industries extractives

Inventory of Extractives-Focused Environmental Commitments¹²

Identifiant (années, numéro d'engagement)	Pays	Titre de l'engagement	Sommaire/sujets
AP16-18 (4)	Afrique du Sud*	Portail d'information sur la gestion de l'environnement	Développer un portail de données d'aménagement de l'environnement pour évaluer les impacts environnementaux des projets de développement.
AP16-18 (4)	Chili	Site Web pour la transparence de CODELCO	Publier des informations sur les opérations et les impacts environnementaux de CODELCO, société d'État d'extraction du cuivre.
AP15-17 (14)	Colombie	Gestion des dépenses publiques en matière d'environnement	Publier l'information sur la répartition des ressources du fonds de conservation de l'environnement.
AP12-14 (11)	Espagne	Rationalisation des procédures d'évaluation environnementale	Raccourcir les délais d'évaluation des impacts environnementaux des projets.
AP16-18 (16)	Georgie*	✱ Adoption du code d'évaluation environnementale	Publier les risques et les impacts environnementaux avant et pendant la phase de planification du projet.
AP16-18 (12)	Honduras	Communautés résilientes	Surveillance citoyenne des risques environnementaux associés aux projets d'extraction.
AP18-20 (19)	Honduras	Transparence des industries extractives	Surveillance citoyenne des risques environnementaux associés aux activités minières.
AP14-16 (12)	Indonésie	Accélérer les pratiques de gouvernance ouverte et saine dans la gestion des ressources naturelles.	Publier l'information sur les volumes de production et l'aménagement de l'espace dans les secteurs gazier et minier.
AP16-18 (8.3)	Macédoine	Assurer la responsabilisation et la participation du secteur privé dans les mesures nationales de lutte contre le changement climatique.	Améliorer les données recueillies auprès du secteur privé sur la pollution de l'air et les changements climatiques.
AP13-15 (23)	Mexique	L'exploitation minière au service des gens	Travailler avec les OSC pour évaluer les efforts socio-environnementaux liés à l'industrie minière et créer des propositions pour une plus grande transparence dans l'industrie minière.
AP16-18 (7)	Mexique	Réduire les risques associés aux changements climatiques en produisant et en diffusant des données abordables, publiques et contraignantes pour la prise de décisions.	Publier de l'information sur l'utilisation efficace des ressources naturelles pour réduire les risques associés aux changements climatiques.
AP16-18 (6)	Paraguay	Améliorer la qualité et la quantité d'information publique sur les ressources naturelles et l'environnement.	Publier des rapports sur les impacts environnementaux des projets d'extraction et les données sur l'utilisation des ressources naturelles.
AP12-14 (1:J)	Peru	Accès à l'information sur l'environnement	Rédiger une loi sur la transparence des questions environnementales relatives aux projets d'extraction.
AP14-16 (19)	Salvador	Adhésion au Pacte mondial des Nations Unies	Adopter des exigences de responsabilité sociale des entreprises pour la protection des ressources naturelles.
AP16-18 (7)	Sri Lanka	Modifications à la Loi nationale sur l'environnement	Rétablir le droit du public de formuler des observations sur les évaluations environnementales initiales.
AP16-18 (12)	Uruguay	Accessibilité et ouverture des données environnementales	Publier l'emplacement, la nature et l'impact environnemental prévu des nouveaux projets d'extraction.

✱ = engagement étoilé

* = pays non membre de l'ITIE

Références

- ¹ Les engagements qui accélèrent la norme reçoivent cette désignation soit parce qu'ils représentent un engagement visant une partie de la norme qui sera éventuellement exigée, soit parce qu'ils portent sur un élément de la norme qui est actuellement encouragé mais non obligatoire. Dans les deux cas, ces mesures sont en quelque sorte déjà prévues dans la norme de l'ITIE et portent donc ici la désignation de « mesures renforçant la norme de l'ITIE »
- 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 Dans les pays où le gouvernement exige déjà des divulgations environnementales dans le cadre du processus d'autorisation, ces mesures sont couvertes par la section 2.4 de la norme de l'ITIE. Par conséquent, les engagements du PGO relatifs aux divulgations environnementales dans l'octroi de permis renforcent la norme de l'ITIE dans les pays où la loi l'exige déjà. Toutefois, les engagements concernant les divulgations environnementales en dehors du processus d'autorisation surpassent la norme.
- ⁵ <http://miningsharedvalue.org/mininglprm>
- ⁶ Inés Pousadela, Civic Space Under Threat in Extractive Industries Transparency Initiative Countries (CIVICUS, août 2017), <https://civicus.org/documents/CIVICUSMonitorFindings.EITI.Countries.pdf>
- ⁷ Tonusree Basu et Denisse Miranda, The Right Tools for the Right Job: How OGP can help win the fight for civic space (Partenariat pour un gouvernement ouvert, mai 2018), https://www.opengovpartnership.org/wp-content/uploads/2018/05/Right-Tools_Civic-Space_20180508.pdf
- ⁸ Sandy Arce, Renzo Falla et Joseph Foti, Rapport mondial du PGO : la démocratie au-delà des urnes (Partenariat pour un gouvernement ouvert, 2019), <https://www.opengovpartnership.org/campaigns/global-report/priority-policy-areas/>
- ⁹ Pour cette analyse, nous classons les engagements selon qu'ils se concentrent davantage sur l'octroi de licences ou de permis.
- ¹⁰ Remarque : Les généralisations sur les résultats des engagements en matière de propriété effective sont plutôt bancales étant donné l'échantillon limité d'engagements pertinents.
- ¹¹ Les pays n'ont pas encore été évalués conformément à la section 6.4 de la norme de l'ITIE.
- ¹² Les engagements ci-dessous ont été choisis parce qu'ils sont axés à la fois sur l'environnement et sur les industries extractives. Il convient de noter qu'elles peuvent également s'aligner étroitement sur d'autres exigences non environnementales de l'ITIE.



Albchrome shpk est le plus grand producteur de minerais de chrome et de ferrochrome en Albanie. Photographie de Albchrome shpk, albchrome.al/

Pages de pays

Chaque page de pays contient des informations sur la dernière validation de ITIE du pays. Notez que même si de nombreux pays sont actuellement en cours d'examen, ce document s'appuie sur des données et des résultats publiés au plus tard le 1er août 2019. Les pages suivantes sont uniquement disponibles en anglais.

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. AEITI 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.	NA			
	SOE transactions (4.5)	There are no state-owned enterprises involved in the exploration, exploitation and commercialization of minerals or hydrocarbons.	NA			
	SOE quasi-fiscal expenditures (6.2)	Honduras does not have any active state-owned enterprises or QFEs.	NA			
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 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 publically 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 publically 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 publically 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 (SEYPEC 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	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 in 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	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).