



The Criteria Guide for the Risk Readiness Assessment

February 2020



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Introduction

The Risk Readiness Assessment (RRA) contains 32 issue areas covering environmental, social and governance aspects of mining and refining operations. The RRA is widely used in the metals value chain having been formally adopted by the Responsible Minerals Initiative (RMI). It condenses over 50 international standards and guidelines into 32 issue areas and provides an online platform for companies to complete self-assessments of their performance and provide evidence to substantiate their assessment. Table 1 lists the 32 issue areas of the RRA.

The Criteria Guide is a joint publication between the RMI and The Copper Mark Company.

The Copper Mark is a credible [assurance](#) framework to demonstrate the copper industry’s responsible production practices and industry contribution to the United Nations SDGs. With the Copper Mark, we can improve the lives of our colleagues and neighbors, strengthen the communities in which we do business, and increase the value we deliver to our customers and their consumers.

The RMI is a membership organization comprising major electronics and automotive brands and includes a network of [stakeholders](#) of the minerals and metals responsible sourcing movement.

The RMI’s RRA platform is used by upstream companies including mining, smelting and refining companies.

The RMI commits to updating the RRA every three years against the existing standards.

Table 1: Risk Readiness Assessment Issue Areas

Issue Area	Industry Norm
1. Legal Compliance	To implement a management system that ensures compliance with all national legal requirements, including national obligations under international law.
2. Business Integrity	To implement a management system that prohibits and effectively prevents bribery (including facilitation payments), corruption and anti-competitive behavior.
3. Stakeholder Engagement	To carry out stakeholder mapping , and to implement an engagement plan, and to establish a grievance mechanism .
4. Business Relationships	To promote responsible business practices with significant business partners , including suppliers.
5. Child Labor	To implement a management system that prevents the employment of children under the age of 15, prevents the worst forms of child labor , and



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	prevents the exposure of employees under the age of 18 to hazardous work in line with ILO Conventions No. 138 and No. 182.
6. Forced labor	To implement a management system that prevents the use of any forms of forced labor and participation in acts of human trafficking in line with ILO Conventions No. 29 and No. 105.
7. Freedom of Association and Collective Bargaining	To respect employees' rights to freedom of association and to collective bargaining in line with ILO Conventions No. 87 and No. 98, participate in collective bargaining processes in good faith and not obstruct alternative means of association where there are legal restrictions.
8. Discrimination	To prevent and address all forms of harassment and discrimination in the workplace in line with ILO Conventions No. 100 and No. 111.
9. Gender Equality	To continually assess and monitor progress to ensure the implementation of a policy on gender equality in the workplace.
10. Working Hours	To keep employees' total regular and overtime working hours to 60 hours per week unless defined otherwise by applicable law or a collective bargaining agreement; and to ensure overtime is voluntary, provide one rest day in seven; and, provide annual leave .
11. Remuneration	To pay wages that equal or exceed the national minimum wage , the appropriate industry wage (if higher), or a living wage .
12. Occupational Health and Safety	To implement an occupational health and safety management system that is in line with internationally accepted best practice frameworks (e.g. OHSAS 18001 or ISO 45001).
13. Grievance mechanism	To establish and implement a grievance mechanism accessible to all employees.
14. Environmental Risk Management	To implement an environmental management system (EMS) functionally equivalent to an internationally recognized EMS standard (e.g. ISO 14001).
15. Greenhouse Gas (GHG) Emissions	To quantify, establish reduction targets for and disclose CO₂ equivalent emissions in line with established international reporting protocols (e.g. Intergovernmental Panel on Climate Change or GHG Protocol).
16. Energy Consumption	To implement and quantify energy efficiency improvements and increased use of renewable energy to reduce total energy consumption and/or energy intensity .
17. Freshwater Management and Conservation	To conduct a comprehensive assessment of water-use impacts and risks in collaboration with relevant stakeholders and to implement measures to ensure that water consumption does not restrict availability/access for other water users or reduce the range and populations of fauna and flora in the catchment area of the site / facility.
18. Waste Management	To implement a risk-based waste management system that includes a commitment to the ' waste hierarchy ' and is applicable to all waste types (hazardous , non-hazardous and inert).



19. Tailings Management	To design, operate, monitor and close tailings impoundments while minimizing adverse impacts to the human health and the environment in line with internationally recognized standards.
20. Pollution	To implement the mitigation hierarchy to avoid, minimize, reduce and compensate for the adverse impacts of pollution on human health and the environment.
21. Biodiversity and Protected Areas	To implement the mitigation hierarchy to avoid, minimize, reduce and compensate for adverse impacts on biodiversity ; to avoid adverse impacts to Critical Habitats or Endangered Species ; and to prevent operational activities in World Heritage sites or in designated protected areas unless specifically and legally permitted.
22. Mine Closure and Reclamation	To have a documented plan with stakeholder inputs that addresses environmental and social aspects and makes financial provisions for closure and reclamation of the site / facility .
23. Community Health and Safety	To implement a management system to monitor, avoid, minimize, reduce and compensate for adverse impacts on community health and safety .
24. Community Development	To identify community needs in consultation with affected communities, develop a plan, and commit resources to support community development .
25. Artisanal and Small-Scale Mining	To engage artisanal and small-scale miners (ASM) and facilitate their formalization and improvement of their environmental and social practices, where there are known to be legitimate ASM in the sphere of influence of the site / facility.
26. Human Rights	To implement the UN Guiding Principles on Business and Human Rights including human rights due diligence .
27. Security and Human Rights	To implement the Voluntary Principles on Security and Human Rights (VP on SHR) when engaging with private or public security forces.
28. Indigenous Peoples' Rights	To implement a management system to respect the rights of Indigenous Peoples , including FPIC; avoid adverse impacts on Indigenous Peoples' lands, livelihoods, resources, and cultural heritage ; and develop and implement an Indigenous Peoples' engagement plan.
29. Land Acquisition and Resettlement	Where land acquisition or resettlement is necessary: to implement a policy to explore all viable alternative project designs to avoid and/or minimize land acquisition and physical or economic displacement and to implement a resettlement action plan to fairly address and compensate for residual adverse impacts.
30. Cultural Heritage	To identify cultural heritage sites and to establish a process based on consultation with stakeholders to avoid, minimize, reduce and compensate for adverse impacts on cultural heritage.
31. Due Diligence in Mineral Supply Chains	To implement the OECD Due Diligence Guidance on Conflict-Affected and High-Risk Areas .



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32. Transparency and Disclosure

Report annually on environmental, social and governance performance in line with internationally recognized standards (e.g. GRI) and to publicly support the implementation of EITI, and report where appropriate.

The Criteria

The following section outlines for each issue area: an explanation of the requirement ('Explanation'), description of the performance determination ('Performance Determination') and the means of verification ('Verification').

The 'Performance Determination' describes the level of conformance with the requirements for each issue area as follows:

- *Does Not Meet:* Currently we have no formal system in place, documentation, or a member of staff with responsibility to understand, monitor and ensure we conform with the industry norm for this issue area.
- *Partially Meets:* We have begun development of a management system or process to ensure we conform with the industry norm for this issue area but implementation has not started or is incomplete.
- *Fully Meets:* We have in place a documented management system or process that effectively ensures we fully conform with the industry norm for this issue area.

Companies are not expected to have a stand-alone management system for each issue area. For example, a comprehensive environmental management system may incorporate issue areas 14-23. In this case, the [Producer](#) can describe the overall environmental management system in issue area 14 Environmental Management System and make reference to it in the other issue areas, where relevant, while including issue-specific detail.

The definitions and examples for how a [company](#) may be considered to not meet, partially meet, or fully meet the expectations for each issue area are included in this guide.

In the RRA Platform, there is an option to indicate where practices or activities go further than the industry norm for that issue area. In those cases, the Producer may select 'exceeds', to indicate where the Producer implements or is involved in practices or activities that go further than the industry norm for this issue area.

Some examples of company best practices that go beyond the norm include:

- Formal participation in national, regional or international initiatives related to the issue areas.
- Provision of resources by a company to support stakeholder involvement in risk assessment, planning and monitoring activities related to the issue areas (beyond what is stipulated in the industry norm).



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- Implementation of a comprehensive business-partner and supplier engagement policy/process that covers more than just significant business partners and suppliers, and entails additional due diligence according to identified risks related to the issue areas.
- Setting and meeting targets for key performance indicators related to the issue areas (beyond what is stipulated in the industry norm).
- Actively supporting initiatives that address the root causes of issue areas such as child labor. The company should prioritize support for credible initiatives that promote collaboration and can demonstrate positive impact as the result of their activities.
- Contributing to positive environmental impacts that go beyond the area impacted by the company's operations.
- Providing a formal mechanism for sharing site or project-related financial benefits to community development programs (e.g. through a foundation that is run by the community).

The 'Types of Evidence' provides a non-exhaustive list of examples of the types of documents and descriptions of practices that the Producer may upload to demonstrate conformance with the requirement. In all cases, documentation of equivalency should include a description of the scope of the certification or assessment and a copy of the most recent audit or assessment report. Where the equivalent scheme does not fully cover all of the Criteria, Producers should provide evidence in the self-assessment to demonstrate conformance in line with the suggestions in this document. The RRA Platform also includes comment boxes for Producers to provide a description of their practices and documents.

The 'Site Assessment' section explains, in cases where a site assessment is deemed necessary, the types of verification activities the assessor(s) will carry out in the field to determine conformance. This is not meant to be prescriptive or exhaustive. There may need to be additional analysis if assessors identify risks

Some issue areas may be *non-applicable* to certain sites or businesses, depending on the nature of the entity along the value chain. For those issue areas, the RRA Platform requires Producers to demonstrate why the risk area is not applicable. The Producer should select 'non-applicable' as the rating and should provide an explanation. Producers are encouraged to upload supporting documents in those cases.

Note: this guide has been written with reference to and, in some parts, significantly replicates text from the supporting documents of several relevant best practice frameworks and voluntary standards, including the Mining Association of Canada Towards Sustainable Mining standard¹, the Initiative for Responsible Mining

¹ <https://mining.ca/towards-sustainable-mining/>



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Assurance², the International Council for Mining and Metals Performance Expectations³ and the Responsible Jewellery Council's Code of Practices⁴ and Guidance⁵.

In addition, the following best practice frameworks, guidelines and initiatives are referenced in the industry norms and guidance:

- [Extractive Industries Transparency Initiative](#)⁶
- [IFC Performance Standards](#)⁷
- [ILO Convention 138](#) Minimum Age Convention⁸
- [ILO Convention 182](#) Worst Forms of Child Labour⁹
- [ILO Convention 29](#) Forced Labour¹⁰
- [ILO Convention 105](#) Abolition of Forced Labour¹¹
- [ILO Convention 111](#) Discrimination (Employment and Occupation)¹²
- [ILO Convention 100](#) Equal Remuneration¹³
- [ILO Convention 87](#) Freedom of Association and Protection of the Right to Organise¹⁴
- [ILO Convention 98](#) Right to Organise and Collectively Bargain¹⁵
- ISO 14001 Environmental Management System¹⁶
- [ISO 45001](#):2018 Occupational Health and Safety¹⁷
- OECD Due Diligence Guidance for Responsible Minerals Supply Chains from Conflict-Affected and High-Risk Areas¹⁸

² <https://responsiblemining.net/what-we-do/standard/>

³ <https://www.icmm.com/en-gb/publications/performance-expectations/pes>

⁴ <https://www.responsiblejewellery.com/files/RJC-COP-April-2019.pdf>

⁵ https://www.responsiblejewellery.com/files/RJC_COP-Guidance-V1.1.1-June-2019.pdf

⁶ <https://eiti.org/>

⁷ https://www.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/Sustainability-At-IFC/Policies-Standards/Performance-Standards

⁸ https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C138

⁹ https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C182

¹⁰

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C029:NO

¹¹

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C105:NO

¹²

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C111:NO

¹³

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C100:NO

¹⁴

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C087:NO

¹⁵

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C098:NO

¹⁶ <https://www.iso.org/iso-14001-environmental-management.html>

¹⁷ <https://www.iso.org/iso-45001-occupational-health-and-safety.html>

¹⁸ <https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>



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- [OHSAS 18001](#):2007 Occupational Health and Safety Management System¹⁹
- Global Reporting Initiative²⁰
- Greenhouse Gas Protocol²¹
- United Nations Guiding Principles on Business and Human Rights²²
- Voluntary Principles on Security and Human Rights²³

¹⁹ <https://www.bsigroup.com/en-US/OHSAS-18001-Occupational-Health-and-Safety/>

²⁰ <https://www.globalreporting.org/standards/>

²¹ <https://ghgprotocol.org/>

²² https://www.ohchr.org/documents/publications/guidingprinciplesbusinessshr_en.pdf

²³ <https://www.voluntaryprinciples.org/>



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1 Legal Compliance

RRA ISSUE AREA: LEGAL COMPLIANCE

To implement a management system that ensures compliance with all national legal requirements, including national obligations under international law.

Explanation:

Managing legal risk effectively through compliance helps a business maintain a good reputation and be sustainable. Legal and regulatory compliance demands that companies abide by applicable law, which may include:

- Legislation, regulations and legally required codes or standards;
- Permits, licenses and other forms of authorization;
- Local laws; and
- Decisions, directions, rulings or interpretations issued by relevant courts and tribunals.

National legal requirements include obligations arising from international conventions and other instruments recognized by the country in question.

In some cases, the state can hold businesses accountable for non-compliances in their operations or supply chain (for example, pollution or forced labor) without having to prove that the business is non-compliant with the law. It is up to the business to show it is compliant.²⁴

Companies that do not comply with applicable law can face a range of consequences, including:

- Financial penalties or fines;
- Companies being civilly or criminally liable for employees' actions;
- Directors and managers being civilly or criminally liable for the company's offences;
- Disqualification of directors; and
- Follow-on damages actions by affected parties.

Performance Determination:

Does Not Meet

Currently we have no formal system in place, documentation, or a member of staff with responsibility to understand, monitor and ensure our compliance with national legal requirements in our country of operation.

Partially Meets

²⁴ Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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We have begun to develop of a management system or process to ensure we are fully compliant with all national legal requirements, but implementation has not started or is incomplete.

Fully Meets

We have in place a documented management system or process that effectively ensures we are fully compliant with all national legal requirements and with international conventions and law where these are required nationally.

Verification:

Types of Evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Procedure for regularly evaluating compliance with applicable law;
- Legal register of applicable law with relevant statutes and regulations and procedure for monitoring changes in the laws;
- Register of required licenses, permits and certifications, and compliance status with each;
- Legal compliance audits;
- Government inspection reports;
- A site-level assurance report of compliance with national legislation and regulations on publicly available website, annual report, or [corporate sustainability report](#);
- Comparative analysis of national and international laws;
- Subscriptions to sources of legal updates;
- Register of assessment of sites' obligations under international law relevant to the country of operation;
- Qualifications and job descriptions of designated legal compliance staff at corporate and operational levels;
- Appointed staff member(s) designated to monitor and ensure compliance with national legal requirements in country of operation.

Site assessment:

During interviews with management, managers can demonstrate understanding of the organization's policy and know where to find a written or formal electronic legal registers or repositories with applicable laws and regulations. Designated managers can describe the procedure for monitoring changes in applicable laws and regulations, and make any revisions to company's management system required as a result of these changes.

They can also demonstrate evidence of compliance with all relevant legal requirements. They are also aware of and understand the intent of applicable laws and regulations. They can describe how employees are trained on the applicable laws.



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During interviews with [workers](#), employees can demonstrate a basic understanding of the applicable laws relevant to their positions. They have received training on the applicable laws and know where to find the applicable laws and regulations relevant to their function.

During the site walk through, the assessor can observe applicable laws and regulations posted prominently in designated locations, where required by law.



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2 Business Integrity

RRA ISSUE AREA: BUSINESS INTEGRITY

To implement a management system that prohibits and effectively prevents bribery (including facilitation payments), corruption and anti-competitive behavior.

Explanation:

Bribery, corruption, and anti-competitive behavior cause serious social harm by contributing to economic under-development and instability, a deteriorating public revenue base and the misallocation of resources. They also facilitate abuse, contribute to environmental harm and undermine democracy and the rule of law.

Bribery, corruption, and anti-competitive behavior represent significant legal, reputational and financial risks for companies. The exposure or suspicion of these activities leads to mistrust among business partners and erodes the confidence of employees and shareholders. Bribery and corruption breed mistrust in local communities, contributing to conflict. Bribery and corruption damage company integrity, degrade the business environment and do not create competitive advantage. Prosecutions against companies for bribery, corruption and anti-competitive behavior have resulted in civil and criminal penalties and large fines.

Facilitation payments are sums of money paid to get preferential treatment for something the receiver is otherwise still required to do—for example, paying an official to speed up, or ‘facilitate’, an authorization process. The line between facilitation payments and bribes is blurry and it is often difficult to distinguish between the two. In most jurisdictions they are treated as the same thing and are banned by most anti-corruption initiatives and laws.

The RMI acknowledges that facilitation payments are common and locally regarded as acceptable in some places; nevertheless, companies should make reasonable efforts to phase out the practice of facilitation payments over time to meet the norm. Companies record facilitation payments if they cannot avoid those payments.

Performance Determination:

Does Not Meet

We have not implemented a management system or process that effectively prevents bribery, corruption and anti-competitive behavior.

Partially Meets

We have begun to develop a management system or process to effectively prevent bribery (including facilitation payments), corruption and anti-competitive behavior, but implementation has not started or is incomplete.



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Fully Meets

We have in place a documented management system or process that effectively prevents bribery (including facilitation payments), corruption and anti-competitive behavior.

Verification:

Types of Evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Corporate or site level policy that commits the company to implementing a management system to prevent bribery, corruption and anti-competitive behavior;
- Documentation of the management system to prevent bribery, corruption and anti-competitive behavior;
- Procedures for reporting instances of bribery, corruption and anti-competitive behavior;
- Site-level assurance report on a public website, annual report, or corporate sustainability report;
- Acceptable third-party certificate or validation document of a management system governing behavior to manage corruption and bribery;
- Site-level audit report of implementation of a relevant management system.
- The nature and scope of the management system are publicly disclosed (annual report, website, regulatory submissions);
- Evidence of training of relevant personnel;
- Job description(s) of management staff with compliance responsibilities;
- Corruption and bribery risk identification and management;
- An annual report that shows a track record free from prosecutions of the site relating to bribery, corruption and anti-competitive behavior and in any public registers administered by governmental institutions and the judiciary;
- Site-level assurance claim of membership in a recognized initiative.
- Site-level assurance claim of compliance with guidelines of an international framework;
- Government inspection reports;
- Publicly disclosed and assured payments made to governments and significant business partners/operations where feasible;
- Gift register.

Site assessment:

During interviews with management, managers can demonstrate an understanding of the organization's policy and know where to find a written or formal electronic copy of the policy forbidding bribery and corruption. They can describe reporting and



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investigation procedures and demonstrate clear lines of accountability and responsibility within the organization for the oversight and implementation of the system. They can describe how employees are trained on the company's anti-corruption and anti-bribery policies and provide instances where an allegation was made, investigated internally and the perpetrator disciplined as a result. Managers can demonstrate an understanding that they should be making reasonable efforts to phase out the practice of facilitation payments in cases such payments are being made.

The company has identified employees in high risk positions (e.g. those with financial authority; those who interact with government officials) and can demonstrate effective oversight mechanisms and checks and balances are in place.

During interviews with workers, employees can demonstrate a basic understanding of the company's policies and know where to find a written or formal electronic copy of the policy forbidding bribery and corruption. They have received training on the policies and know where and how to file a report or allegation.



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3 Stakeholder Engagement

RRA ISSUE AREA: STAKEHOLDER ENGAGEMENT

To carry out stakeholder mapping, and to implement an engagement plan, and to establish a grievance mechanism.

Explanation:

Effective [stakeholder engagement](#) is crucial to securing a ‘social license to operate’ and ensuring sustainable, positive development in project-impacted areas.²⁵ Increasingly, companies are recognizing that building strong, lasting relationships with those affected by mining activities can improve the identification and management of risks, as well as the long-term viability of operations. Meaningful stakeholder engagement that is proactive, inclusive, accountable and transparent increases the potential for optimal outcomes for both communities and mining companies.²⁶ Stakeholder engagement requires an organization involve stakeholders in identifying, understanding and responding to sustainability issues and concerns, while in turn also reporting on, explaining to and involving stakeholders in organizational decisions, actions and performance.

The benefits of stakeholder engagement can include greater awareness and trust, reduced negotiating time, a better corporate risk profile, improved security, secure rights and rule of law, protection of mining investments, and potentially access to capital on more favorable terms. In this way, investment in stakeholder engagement provides a mechanism to align business goals and competencies with the concerns and development priorities of local stakeholders and communities.

An effective, rights-compatible complaints and grievance mechanism is an essential tool in any company’s approach to ongoing stakeholder engagement. A robust grievance mechanism provides a channel for individuals and communities affected by a company’s activities to raise concerns early. Having a good complaint and grievance mechanism can help prevent disputes from escalating and facilitate a quicker resolution to problems and can also help prevent new disputes from emerging. To work effectively, an operational level complaints and grievance mechanism should be designed with the participation of stakeholders and should encourage early resolution of issues at the local level wherever possible. A company complaints and grievance mechanism should not stop stakeholders from being able to access other mechanisms, including judicial systems, public administrative systems, traditional or local dispute processes, and other private non-judicial mechanisms.²⁷

²⁵ Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>

²⁶ Adapted from IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>

²⁷ Adapted from Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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Performance Determination:

Does Not Meet

We have not conducted a public or documented stakeholder mapping exercise, engagement plan or established a grievance mechanism.

Partially Meets

We have begun to conduct stakeholder mapping, to develop an engagement plan, and to establish a grievance mechanism, but implementation has not started or is incomplete.

Fully Meets

We have conducted and documented a stakeholder mapping and it is regularly updated. We have developed an engagement plan and established grievance mechanism, which are being fully implemented and in line with the UN Guiding Principles' Effectiveness Criteria for Non-Judicial Grievance Mechanisms.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- A corporate or site level stakeholder engagement policy, management plan and procedures;
- Results of a stakeholder mapping exercise;
- A stakeholder engagement plan, including implementation schedule and register of completed stakeholder engagement activities;
- Records of engagement and consultation activities spanning period from implementation of stakeholder engagement plan to current date;
- Job description of community engagement staff
- Evidence of training of relevant personnel;
- Audit reports (external or internal) or certifications, for example, AA1000SE;
- Grievance mechanism documentation, including written records of complaints and site / facility responses;
- Description of or procedures for a grievance/complaints mechanisms;
- Records of corporate responses to grievances received over period from implementation of grievance mechanism to current date;
- Register or other documentation of direct and indirect impact of stakeholders on key decisions and site / facility activities;
- Stakeholder committee reports and minutes.

Site assessment:



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During interviews with management, managers can demonstrate understanding of the organization's policy and procedures on stakeholder engagement. They can describe the stakeholder engagement plan and can demonstrate understanding of how the plan will be implemented, including ensuring a two-way process of information sharing and decision-making that aims to simultaneously address stakeholder issues and priorities. They can describe how they identify and engage with vulnerable groups. Management can describe how designated employees are trained on the stakeholder engagement process and they can describe how they communicate the stakeholder engagement process to relevant stakeholders.

During interviews with stakeholders, they can demonstrate understanding of the company's stakeholder engagement plan and its implementation process. They have participated in engagement processes and their knowledge of a grievance/complaints mechanism and its use.

During interviews with workers, employees can demonstrate understanding of the company's procedures and know where to find a written or formal electronic copy of the stakeholder engagement plan and grievance/complaints mechanism. They have received training on the procedures.



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4 Business Relationships

RRA ISSUE AREA: BUSINESS RELATIONSHIPS

To promote responsible business practices with significant business partners, including suppliers.

Explanation:

Promoting responsible business practices involves ensuring adequate due diligence is exercised to avoid complicity in negative impacts and using business relationships as an opportunity to effect positive change. The level of effort made to promote responsible business practices should take into consideration the nature of the business partners' (see Glossary for definition) and suppliers' practices, and the significance of its impact on workers, communities and the environment.²⁸

Companies may take a risk-based approach to monitoring business partners and suppliers to identify opportunities to promote responsible practices. Business partners should be invited to demonstrate that they use responsible business practices, are certified by a credible organization, or are willing to undergo independent assessments. If business partners can be shown to be very low risk or are operating in highly regulated environments, then less follow up on initial due diligence is required. This approach should be documented, however.

This issue area is related to '31 Due Diligence in Mineral Supply Chains' which covers responsible practices with regards to the OECD Due Diligence requirements for operating in and/or sourcing from conflict-affected and high-risk areas. This issue area covers all types of business partners and responsible business practices more broadly across all areas covered by the Criteria. Due diligence or risk-based monitoring is a part of promoting responsible practices with business partners, but it is not limited to businesses operating in and/or sourcing from conflict-affected and high-risk areas, nor is it limited to specific risks such as those outlined in the OECD Due Diligence Guidance, Annex II Model Policy.

Performance Determination:

Does Not Meet

We have no communication or direct engagement with significant business partners or suppliers to promote responsible business practices.

Partially Meets

²⁸ Adapted from Responsible Jewellery Council Code of Practices Guidance:
<https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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We have begun to communicate with and/or directly engage some business partners and suppliers to promote responsible business practices, but implementation has not started or is incomplete.

Fully Meets

We communicate with and/or directly engage all our significant business partners to promote responsible business practices.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy that commits the engagement of significant business partners and suppliers to promote responsible business practices.
- Risk assessment of significant business partners and suppliers and their associated business risks.
- Documented policies, stipulated practices or commitments on responsible business practices formally used to engage significant business partners (e.g. a Code of Conduct for Business Partners or warranties or conditions precedent in business contracts)
- A written policy or contractual condition that covers all major risks associated with the business activity of the business partners and stipulates requirements for businesses practices that meet international norms and are at least equal to its own;
- Samples of contracts with requirements related to sustainability performance;
- Evidence of training of relevant personnel;
- Evidence of communication or engagement of business partners to promote responsible business practices;
- Meeting minutes of meeting with contractors;
- Responsible performance monitoring reports of business partners;
- A supplier/contractor “responsible business practice” scorecard;
- Inclusion of suppliers and contractors in the scope of a CSR/Sustainability reporting;
- Case studies and qualitative / quantitative data and analysis of improved responsible business practices in supply chain and contracts.

Site assessment:

During interviews with management, managers can demonstrate understanding of the organization’s policies on selecting and evaluating contractors, suppliers and other business partners. They can describe how the company is using its ability to influence, to promote responsible business practices among the significant business partners. They can describe how to identify significant business relationships, establish the level and nature of risks attributed to the significant business relationships and engage with the significant business partners.



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The company has communicated to the business partners and suppliers and encourages them to adopt responsible business practices.

Business partners and suppliers confirm that they have received the company's requirements regarding responsible practices, have communicated those and trained their workers, and have demonstrated conformance.



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5 Child Labor

RRA ISSUE AREA: CHILD LABOR

To implement a management system that prevents the employment of children under the age of 15, prevents the worst forms of child labor, and prevents the exposure of employees under the age of 18 to hazardous work in line with ILO Conventions No. 138 and No. 182.²⁹

Explanation:

Child labor is a societal issue that involves all community stakeholders, including parents, employers, governments and non-governmental organizations. Almost all governments have declared their intent to abolish child labor, and the private sector is widely recognized as having a key role to play in this effort.³⁰

While the risk of child labor being used in mining, smelting/refining or fabrication operations may be minimal in most countries, companies can be engaged in numerous activities that depend upon a large contractor workforce providing services onsite, such as cleaning, catering and gardening where there could be a higher risk of child labor.

Child labor usually refers to work that deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development. It refers to work that:

- Is mentally, physically, socially or morally dangerous and harmful to children; and
- Interferes with their schooling by: depriving them of the opportunity to attend school; obliging them to leave school prematurely; or requiring them to attempt to combine school attendance with excessively long and heavy work.

The conditions that define whether a person is involved in child labor vary and depend on various factors, such as the child's age, the type and hours of work performed, the conditions under which it is done and the legal framework of each country and industry. Hazardous child labor is Children should be protected from economic exploitation and from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral or social development as per the Convention on the Rights of the Child³¹.

²⁹ ILO C138:

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C138

ILO C182:

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C182

³⁰ RJ Responsible Jewellery Council Code of Practices Guidance:

<https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>

³¹ <https://www.ohchr.org/en/professionalinterest/pages/crc.aspx>



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The worst forms of child labor are defined by the ILO Convention 182 as, “work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children”.

Hazardous work includes:

- Work which exposes children to physical, psychological or sexual abuse;
- Work underground, under water, at dangerous heights or in confined spaces;
- Work with dangerous machinery, equipment and tools, or which involves the manual handling or transport of heavy loads;
- Work in an unhealthy environment which may, for example, expose children to hazardous substances, agents or processes, or to temperatures, noise levels, or vibrations damaging to their health;
- Work under particularly difficult conditions such as work for long hours or during the night or work where the child is unreasonably confined to the premises of the employer.

Hazardous child labor is listed in the ILO Convention 182 as one of the worst forms of child labor.

Given the type of activities associated with mining and quarrying, almost all work performed by children in those sectors is hazardous and considered to be one of the worst forms of child labor.³²

Performance Determination:

Does Not Meet

We do not have in place policies, procedures or practices (a management system) that ensure against the employment of children under the age of 15 and the exposure of employees under 18 to hazardous work.

Partially Meets

We have begun to develop policies, procedures and practices (a management system) that ensure against the employment of children under the age of 15 and the exposure of employees under 18 to hazardous work, but implementation has not started or is incomplete.

Fully Meets

We have in place policies, procedures and practices (a management system) that ensure against the employment of children under the age of 15 and to the exposure of employees under 18 to hazardous work.

³² <https://www.ilo.org/ipecc/areas/Miningandquarrying/lang--en/index.htm>



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Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy and procedures committing to practices that adhere to ILO Conventions 138 and ILO 182;
- Recruitment policy and age verification procedure for new hires;
- Disclosure of third-party assurance of adherence to ILO Conventions 138 and 182 (e.g. zero returns for numbers of child laborers) on publicly available website, annual report, or corporate sustainability report at least annually;
- Third-party assurance of a formal management system to ensure adherence to ILO Conventions 138 and 182;
- Inclusion of adherence to the ILO Conventions 138 and 182 in the Code of Conduct for Business Partners or Suppliers;
- Contractual clauses in commercial and procurement agreements with for Business Partners or Suppliers;
- Government inspection reports;
- Development and implementation of [remediation procedures](#) in the case of discovery of child laborers that take into consideration the welfare of the child and the financial situation of the child's family;

Site assessment:

During interviews with management, managers can demonstrate understanding of the organization's policy and know where to find a written or formal electronic copy of the policy prohibiting child labor.

The company can demonstrate implementation of preventive controls. The company has a robust age verification process, including stringent checks on the validity of documentation and a requirement of proof of age before employment. The company has identified hazardous tasks and personnel can describe how young workers under 18 are prevented from conducting hazardous work, if applicable. Management can describe the remediation process in the event that children are found working at the company. They can describe reporting and investigation procedures and demonstrate clear lines of accountability and responsibility within the organization for the oversight and implementation of the system. They can describe how employees and contractors are trained on the company's child labor policy.

During interviews with workers, employees can demonstrate a basic understanding of the company's policies and know where to find a written or formal electronic copy of the policy prohibiting the employment of children. They have received training on the policies. They can demonstrate that they are not children and did not start working for the company before the legally stipulated age.



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During the site walk through, the assessor does not observe any children working at the site or employees under the age of 18 engaged in hazardous work.



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6 Forced Labor

RRA ISSUE AREA: FORCED LABOR

To implement a management system that prevents the use of any forms of forced labor and participation in acts of human trafficking in line with ILO Conventions No. 29 and No. 105.³³

Explanation:

Forced labor can manifest itself in many different forms. Paying a salary or the provision of any other type of [compensation](#) to a worker does not necessarily mean that work is not forced. Forced labor also includes situations where workers are threatened with severe deprivations, such as withholding wages or food, threatening or imposing physical or sexual violence, or restricting workers' movements, confiscation of passports, deceptive recruitment or debt bondage.

Trafficking involves the movement of a person, sometimes across international borders but more commonly within a country, for the purpose of exploitation. Companies can be directly linked to trafficking, for example by recruiting trafficking victims as workers or by using company vehicles or premises to transport or harbor trafficking victims. They can also be indirectly linked to trafficking through the actions of their suppliers or business partners, including subcontractors, labor brokers or private employment agencies. This means that companies can be implicated in trafficking if they source goods or use services that are produced or provided by trafficking victims.³⁴

Common processes for preventing the use of forced labor include those that:

- Prevent the unreasonable restrictions of freedom of movement of employees in the workplace or in on-site housing,
- Prohibit retaining of original copies of employee personal documentation, such as identity papers,
- Prohibit requiring any form of deposit, recruitment fee, or equipment advance from employees either directly or through recruitment agencies, or
- Avoid practices that prevent employees from terminating their employment after reasonable notice or as established by Applicable Law.³⁵

Where possible, companies may draw on existing resources such as the Verité and Global Fund to End Slavery 'Responsible Sourcing Tool and Anti-Human Trafficking

³³ ILO C29:

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C029:NO
ILO C105:

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C105:NO

³⁴ Adapted from Responsible Jewellery Council Code of Practices Guidance:

<https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>

³⁵ Toward Sustainable Mining Prevention of Child and Forced Labor Verification Protocol



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Business Authentication Criteria³⁶ and the Verité 'Guidance for the Social Auditing of Forced Labor and Human Trafficking of Migrant Workers'.³⁷

Performance Determination:

Does Not Meet

We do not have in place policies, procedures or practices (a management system) that ensures against the use of any forms of forced labor and against participation in acts of human trafficking.

Partially Meets

We have begun to develop policies, procedures and practices (a management system) that ensure against the use of any forms of forced labor and against participation in acts of human trafficking, but implementation has not started or is incomplete.

Fully Meets

We have in place policies, procedures and practices (a management system) that assures we do not use any forms of forced labor or participate in the acts of human trafficking.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy and procedures committing to practices that adhere to ILO Conventions 29 and 105;
- Risk assessment of potential for forced labor issues in the company's operations;
- Disclosure (website, annual reports, regulatory submissions) of third-party assurance of adherence to ILO 29 and 105;
- Third-party assurance reports of a formal management system to ensure adherence to ILO 29 and 105;
- Government inspection reports;
- Inclusion of adherence to the ILO Conventions 29 and 105 in the Code of Conduct for Business Partners or Suppliers;
- Contractual clauses in commercial and procurement agreements with for Business Partners or Suppliers;
- Communication of policy on adherence to ILO Conventions 29 and 105 to contractors, sub-contractors, recruitment agencies, and business partners;

³⁶ For additional guidance and resources, see <https://www.responsible sourcingtool.org/> and https://www.responsible sourcingtool.org/download/reports/Verite_BusinessAuthenticationCriteria_r1.pdf

³⁷ <https://digitalcommons.ilr.cornell.edu/cgi/viewcontent.cgi?article=2236&context=globaldocs>



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- Public reports for companies that apply laws regarding modern slavery and their system for informing national agencies.

Site assessment:

During interviews with management, managers can demonstrate understanding of the organization's policy and know where to find a written or formal electronic copy of the policy prohibiting forced labor. They can describe the different forms of forced labor including coercion, debt bondage, compulsory overtime, human trafficking, document retention and disciplinary measures and compelling employees to work.

The company can demonstrate implementation of preventive controls. The company has conducted a risk assessment of forced labor in its operations, including services performed by contractors and recruitment agencies. Management takes steps to ensure contractors and recruitment agencies are aware of the forced labor policy and has a monitoring system to mitigate against the risks of forced labor and human trafficking in its supply chain. They can describe reporting and investigation procedures and demonstrate clear lines of accountability and responsibility within the organization for the oversight and implementation of the system. They can describe how employees are trained on the company's forced labor policy.

During interviews with workers, employees and contractors can demonstrate a basic understanding of the company's policies and know where to find a written or formal electronic copy of the policy prohibiting forced labor. They have received training on the policies and know where and how to file a report or allegation. They can provide information on how they receive payments, directly or indirectly, and, when indirectly, without incurring into any costs, fees, or deposits in exchange to securing employment. They can provide information on the recruitment process, or their contractual status, on their ability to move freely and to potentially quit the employment freely. Document review of personnel files confirms that workers' original documents are not withheld.

During the site walk through, the assessor does not observe any workers who appear to be working at the company involuntarily.



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7 Freedom of Association and Collective Bargaining

RRA ISSUE AREA: FREEDOM OF ASSOCIATION AND COLLECTIVE BARGAINING

To respect employees' rights to freedom of association and to collective bargaining in line with ILO Conventions No. 87 and No. 98³⁸, participate in collective bargaining processes in good faith and not obstruct alternative means of association where there are legal restrictions.

Explanation:

The right to freedom of association is proclaimed in the Universal Declaration of Human Rights. At work, this means the right to freely form workers' organizations. Workers who do not wish to join such organizations also have their rights protected and cannot be coerced into joining against their will. Freedom of association does not mean that companies should organize workforces or invite unions into the workplace. It simply means that employers must not interfere in an employee's decision to join an association or discriminate against the employee for their choice. This includes indirect undermining of freedom of association, for example by preventing unions from accessing workers or by interfering or influencing the election outcomes of workers' organizations.

Where legislation restricts the right to freedom of association and collective bargaining, companies should not obstruct alternative means that are allowed under applicable law.

Collective bargaining is a voluntary process that takes place between workers' representatives and employers' representatives. It usually focuses on negotiating the terms and conditions of employment, such as wages, working hours, working conditions, grievance procedures and the rights and responsibilities of both workers and employers. The main principle for the negotiation is that it should be carried out in good faith, with genuine effort to reach agreement in reasonable time. The mutually acceptable result of collective bargaining is called a 'collective bargaining agreement'. If the parties cannot reach agreement, they enter dispute settlement procedures, which range from conciliation to mediation to arbitration.³⁹

Performance Determination:

Does Not Meet

³⁸ ILO C87:

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:::NO:12100:P12100_ILO_CODE:C087:NO
ILO C98:

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:::NO:12100:P12100_ILO_CODE:C098:NO

³⁹ Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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We do not have in place policies, procedures or practices (a management system) to respect employee rights to freedom of association and collective bargaining.

Partially Meets

We have begun to develop policies, procedures and practices (a management system) to respect employee rights to freedom of association and collective bargaining, but implementation has not started or is incomplete.

Fully Meets

We have in place policies, procedures and practices (a management system) that ensure we respect employee rights to freedom of association and to collective bargaining. Where national law restricts workers' organizations, we do not obstruct workers from developing alternative mechanisms that are allowed under applicable law.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy and procedures committing to practices that adhere to ILO Conventions 87 and 98.
- Where legislation restricts the right to freedom of association and collective bargaining, a record of the relevant laws and regulations restricting freedom of association and collective bargaining;
- Evidence of training of relevant personnel;
- Records of meetings with worker representatives and other relevant stakeholders;
- Disclosure of third-party assurance of adherence to ILO Conventions 87 and 98 on publicly available website, annual report, or corporate sustainability report at least annually.
- Third-party assurance of a formal management system to ensure adherence to ILO Conventions 87 and 98.
- Existence of functioning worker organization or an alternative mechanism.
- Valid collective bargaining agreement.
- Functioning grievance mechanism.

Site assessment:

During interviews with management, managers can demonstrate understanding of the organization's policy and know where to find a written or formal electronic copy of the freedom of association policy. They can describe the right of workers to freedom of association and collective bargaining. They can describe how they allow workers to freely elect representatives, how the company negotiates with workers' organizations and how the company prevents against discrimination or sanctions against workers who belong to or represent a workers' organization. They can describe how employees are



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trained on the company's freedom of association policy or show demonstration of relevant laws restricting freedom of association.

During interviews with workers, employees can demonstrate a basic understanding of the freedom of association policy and know where to find a written or formal electronic copy of the policy. They have received training on the policies and know where and how to file a report or allegation relating to obstruction of their right to freedom of association. They can confirm that they are not discriminated against or subjected to unfair labor practices due to their affiliation with a worker's organization. They confirm they are not pressured to join a company-controlled organization in place of an organization created and controlled by workers. Where freedom of association is restricted by law, employees confirm they are able to participate in legal alternative means of association.

During interviews with union representatives or representatives of worker organizations, representatives confirm that the company does not restrict access to or interfere with employees' efforts to organize or bargain collectively.



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8 Discrimination

RRA ISSUE AREA: DISCRIMINATION

To prevent and address all forms of harassment and discrimination in the workplace in line with ILO Conventions No. 100 and No. 111.⁴⁰

Explanation:

Discrimination creates and reinforces inequalities and is a breach of human rights. Employment practices and decisions should not be based on an individual's gender, race, religion, sexual orientation, disability, ethnic identity or other personal characteristics irrelevant to their performance at work.

For employers, direct discriminatory practices arise when, for example, laws, rules or customs explicitly cite a reason such as sex or race to deny equal opportunity. Indirect discrimination is much more common and much more difficult to identify in practice. It happens when rules, practices or attitudes seem to be neutral but in fact lead to exclusions or preferential treatment. Harassment is also considered discrimination when it is based on discriminatory grounds.

Freedom from discrimination is a fundamental human right. But bringing equality to the workplace has economic benefits, too. Employers who eliminate discrimination can access a larger and more diverse workforce. Workers who enjoy equality have greater access to training, often receive higher wages and improve the overall quality of the workforce.⁴¹

Harassment can take place in many different forms, from a single supervisor publicly shouting at a worker to a group of workers consistently harassing someone because of their gender, religion or ethnicity. More severe forms of harassment include intimidation, threats and physical or sexual violence. Companies can address harassment by setting and enforcing responsible workplace standards and policies to drive behavior change. Companies should provide training to workers and supervisors so that they understand what harassment is, how to report it and why it will not be tolerated. Companies should ensure reports of harassment are properly handled and should consider what extra protection is needed for vulnerable workers.⁴²

⁴⁰ ILO C100:

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C100:NO
ILO C111:

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C111:NO

⁴¹ Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>

⁴² Adapted from Responsible Jewellery Council Code of Practices Guidance:

<https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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Performance Determination:

Does Not Meet

We do not have in place policies, procedures or practices (a management system) to identify and prevent discrimination in all aspects of our employment practices including recruitment, hiring, compensation, benefits, work assignments, access to training, advancement, discipline, termination or retirement.

Partially Meets

We have begun to develop policies, procedures and practices (a management system) to identify and prevent discrimination in all aspects of our employment practices including recruitment, hiring, compensation, benefits, work assignments, access to training, advancement, discipline, termination or retirement, but implementation has not started or is incomplete.

Fully Meets

We have in place policies, procedures and practices (a management system) that ensure we identify and prevent discrimination in all aspects of our employment practices including recruitment, hiring, compensation, benefits, work assignments, access to training, advancement, discipline, termination or retirement.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Non-discrimination and anti-harassment policies and procedures that adhere to ILO Conventions 100 and 111;
- Employee handbook or collective bargaining agreement;
- Human resources policies;
- Workforce demographics;
- Evidence of training of relevant personnel;
- Evidence of communication of non-discrimination and anti-harassment policies and procedures to all employees and contractors;
- Recruitment, promotion and dismissal procedures;
- Reporting and investigation procedures;
- Disclosure of third-party assurance of adherence to ILO Conventions 100 and 111 on publicly available website, annual report, or corporate sustainability report at least annually;
- Third-party assurance of a formal management system to ensure adherence to ILO Conventions 100 and 111;



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- Government inspection reports;
- Functioning grievance mechanism.

Site assessment:

During interviews with management, managers can demonstrate understanding of the organization's policy and know where to find a written or formal electronic copy of the non-discrimination policy. They can describe the measures the company has in place to prevent and address discrimination in the workplace in terms of hiring, continued employment, remuneration, overtime, access to training, professional development, promotion, termination or retirement. They can describe procedures to identify and report discriminatory practices including corresponding applicable sanctions. They can describe reporting and investigation procedures and demonstrate clear lines of accountability and responsibility within the organization for the oversight and implementation of the policy. They can demonstrate how identified cases of discrimination are reported and recorded, and procedures are reviewed to ensure preventive actions are effectively set. They can describe how employees are trained on the company's non-discrimination policy.

During interviews with workers, employees can demonstrate a basic understanding of the non-discrimination policy and know where to find a written or formal electronic copy of the policy. They have received training on the policy and know where and how to file a report or allegation relating to discrimination. They can confirm that they are not discriminated against or have been subjected discrimination.

During the site walk through, the assessor does not observe any visible signs of discrimination at the company.

During interviews with external stakeholders, stakeholders confirm that the company does not practice discrimination against any individuals or groups.



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9 Gender Equality

RRA ISSUE AREA: GENDER EQUALITY

To continually assess and monitor progress to ensure the implementation of a policy on gender equality in the workplace.

Explanation:

Gender equality is not only a fundamental human right, but a necessary foundation for a sustainable world. Providing women and girls with equal access to education, health care, decent work, and representation in political and economic decision-making processes will promote sustainable economies and benefit societies at large.

Companies have a responsibility to ensure gender equality, as it relates to women in the workforce. This requires companies to at minimum, to ensure equal pay for work of equal value, non-discrimination, and protection from harassment, including sexual harassment. In addition, companies should actively consider ways in which to promote women's well-being in the workplace and to build inclusive access to jobs and economic opportunities.⁴³

As per ILO Convention 100 Equal Remuneration⁴⁴ the term equal pay for work of equal value refers to rates of remuneration established without discrimination based on gender.

The requirement to eliminate all forms of discrimination against women is outlined in the Convention on the Elimination of All Forms of Discrimination against Women⁴⁵ including the field of employment to ensure that women:

- Enjoy the same employment opportunities, including the application of the same criteria for selection in matters of employment;
- Have free choice of profession and employment, the right to promotion, job security and all benefits and conditions of service and the right to receive vocational training and retraining, including apprenticeships, advanced vocational training and recurrent training;
- Receive equal remuneration, including benefits, and to equal treatment in respect of work of equal value, as well as equality of treatment in the evaluation of the quality of work;
- Receive social security, particularly in cases of retirement, unemployment, sickness, invalidity and old age and other incapacity to work, as well as the right to paid leave;

⁴³ International Council on Mining and Metals (ICMM): <https://www.icmm.com/en-gb/metals-and-minerals/making-a-positive-contribution/gender-equality>

⁴⁴

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C100:NO

⁴⁵ <https://www.ohchr.org/en/professionalinterest/pages/cedaw.aspx>



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- Are provided with the protection of health and to safety in working conditions, including the safeguarding of the function of reproduction.
- Are protected against dismissal on the grounds of pregnancy or of maternity leave and discrimination in dismissals on the basis of marital status;
- Are provided with maternity leave with pay or with comparable social benefits without loss of former employment, seniority or social allowances;
- Are provided with the necessary supporting social services, in particular with a network of child-care facilities;
- Enjoy special protection to women during pregnancy in types of work proved to be harmful to them.

Performance Determination:

Does Not Meet

We do not have a public or documented policy on gender equality.

Partially Meets

We have begun to develop policies, procedures and practices (a management system) on gender equality, but implementation has not started or is incomplete.

Fully Meets

We have in place public policies, procedures and practices (a management system) on gender equality and continually monitor our progress on its implementation to address gender inequality in the workplace.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Documented or written evidence of a specific policy on gender equality or integration of it in other relevant policies (e.g. recruitment and labor policy).
- Third-party assurance of a formal management system into which gender equality measures are incorporated.
- Results of assessments or monitoring reports on gender equality;
- Disclosure of gender equality related issues.
- Disclosure of performance indicators related to gender equality.
- Evidence of training of relevant personnel.
- Documentation of initiatives to promote gender equality in the workplace;
- Documented figures and targets (e.g. female employment; percentage of women in management positions)
- Assured data/ analysis demonstrating meeting of target.



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Site assessment:

During interviews with management, managers can demonstrate understanding of the organization's policy and know where to find a written or formal electronic copy of the gender equality policy. They can describe the steps being taken by the company to advance gender equality including the set targets. They can describe how employees are trained on the company's gender equality policy. They demonstrate how they are providing women with equal access to decent work, and decision-making positions. The company has a process to ensure that both male and female workers performing work of equal value are paid at the same rates. They are aware of the gender pay gaps and steps being taken to close such gaps where they exist.

During interviews with workers, employees can demonstrate a basic understanding of the gender equality policy and know where to find a written or formal electronic copy of the policy. They have received training on the policy and know where and how to file a report or allegation relating to discrimination against women. They can confirm that women are treated equally and have equal opportunities to advance. Female interviewees confirm having equal access to trainings, promotions and other career opportunities, and are able to report issues and concerns related to gender equality.



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10 Working Hours

RRA ISSUE AREA: WORKING HOURS

To keep employees' total regular and overtime working hours to 60 hours per week unless defined otherwise by applicable law or a collective bargaining agreement; and to ensure overtime is voluntary, provide one rest day in seven; and, provide annual leave.

Explanation:

Working hours are a fundamental component of safe and humane working conditions for all types of operations. In particular, for mining operations, a combination of remote sites, a migrant or expatriate workforce, and premium compensation for working long shifts makes long working hours common in the mining industry.

Under international [labor standards \(ILO Convention 1 – Hours of Work, 1919⁴⁶\)](#), the normal working week is limited to 48 hours, consisting of the amount of non-overtime hours an employee works per week. National or local law, or a collective bargaining agreement can define the limit as less than 48 hours per week.

ILO Convention 1 allows for some departure from maximum working-hour limits in certain circumstances. For example, there are exceptions for employees whose work is by nature intermittent or must be done outside the limits laid down for other employees. There are exceptions for work that has to be carried out continuously by a succession of shifts (in which case, a weekly maximum is set at 56 hours with weekly rest days compensated by a process secured under national law). ILO conventions on work hours also recognize the need for temporary exceptions, for example to complete urgent work or repairs, or because alternative arrangements have been agreed between workers' and employers' organizations and by the government.⁴⁷

International standards set working hour limits at 60 hours total per week (regular and overtime). Overtime refers to the number of hours an employee works beyond the normal working week. Different countries, local laws and collective bargaining agreements may accept different standards. In all cases, overtime should be voluntary.

Weekly rest and paid annual leave are expected as a normal part of working agreements, typically required by national and local law, and must be provided to employees as part of their benefits.

Exceptions to the weekly working hour limits and weekly rest standards may be applicable to mines or other similar industrial environments that operate on a roster cycle or rotational shift basis, or in emergency situations. Either way, working hours

⁴⁶ https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C001

⁴⁷ Adapted from Responsible Jewellery Council Code of Practices Guidance:
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must still comply with applicable law and companies must still take appropriate safeguards to protect workers' health and safety.

Special leave, such as maternity, paternity and compassionate leave, should be provided for in compliance with applicable national law. Where national law does not exist, companies should follow international standards. For example, ILO Convention - 183 Maternity Protection 2000⁴⁸ provides for access to maternity leave for women following childbirth.⁴⁹

Performance Determination:

Does Not Meet

We do not have in place policies, procedures or practices (management systems) to keep employees' regular and overtime working hours within legally required limits or, where no legal limits exist, within forty-eight regular hours and twelve hours overtime in the week. We do not have a system that ensures employees receive one day of rest in seven or annual leave.

Partially Meets

We have begun to develop policies, procedures and practices (management systems) to keep employees' regular and overtime working hours within legally required limits or, where no legal limits exist, within forty-eight regular hours and twelve hours overtime in the week; and to ensure employees receive one day of rest in seven and annual leave; but implementation has not started or is incomplete.

Fully Meets

We have in place policies, procedures and practices (a management system) to keep employees' regular and overtime working hours within legally required limits / not more than sixty hours in the week.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy and procedures committing to legally required working hours, or, where no legal limits exist, no more than forty-eight regular hours and twelve hours overtime in the week; and to ensure one day of rest in seven and annual leave.
- Employee handbook or collective bargaining agreement;

⁴⁸ ILO C132:

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C132

⁴⁹ Adapted from Responsible Jewellery Council Code of Practices Guidance:

<https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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- Documented voluntary overtime procedure;
- Disclosure of third-party assurance of adherence to working hours limits and provision of rest on public website, annual report, or corporate sustainability report at least annually;
- Third-party assurance of a formal management system to ensure adherence to working hour limits and provision of rest and leave;
- Government inspection reports;
- Working hour records;
- Inclusion of adherence to working hours and sufficient rest in the Code of Conduct for Business Partners.

Site assessment:

During interviews with management, managers can demonstrate understanding of the organization's policy or applicable working hour limits stipulated in the law or in the collective bargaining agreement. They can describe the daily and weekly hours allowed by law or collective bargaining. The company has a robust system for recording working hours and uses it to monitor and control overtime. They can describe how they control overtime and ensure that workers get rest days as legally required. The company has an overtime approval procedure outlining responsibility for offering and approving overtime. The process ensures overtime is consistent with the policy. There is a procedure to guarantee that overtime is voluntary and accessible to all workers. Management can demonstrate understanding that they are responsible for monitoring overtime in their areas of responsibility in order to reduce working time burden on staff. Management can demonstrate that they take into account relevant legal requirements related to working hours when forecasting production and planning capacity so as to minimize overtime. They can describe how employees are trained on the company's forced labor policy.

During interviews with workers, employees can demonstrate a basic understanding of applicable limits on working hours including overtime and their entitlement to rest days and annual leave. They have received training on the working hours policy. Employees can confirm that overtime working hours including overtime are within legal limits. They can confirm that overtime is voluntary, and they can decline to work overtime, without fear of sanctions.



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11 Remuneration

RRA ISSUE AREA: REMUNERATION

To pay wages that equal or exceed the national minimum wage, the appropriate industry wage (if higher), or a living wage.

Explanation:

The minimum wage is the minimum amount of remuneration that an employer is required to pay wage earners for the work performed during a given period, which cannot be reduced by collective agreement or an individual contract.⁵⁰ It is generally set on an hourly, daily or monthly basis or may be production-based.

More than 90 per cent of countries have legislation setting the minimum wage. Ideally, the minimum wage is calculated as a 'living wage' that can cover the minimum needs of the worker and his or her family.

A living wage is the remuneration received for a normal working week by a worker in a particular place sufficient to afford a decent standard of living for the worker and her or his family. Elements of a decent standard of living include food, water, housing, education, health care, transportation, clothing and other essential needs including provision for unexpected events.⁵¹ A living wage may be higher than the legal minimum wage. Best practice in this area could include conducting a living wage study or identifying existing sources of information on living wage rates applicable to the region and comparing the results with what employees and contractors earn before overtime and bonuses. Organizations and initiatives such as the MIT Living Wage Calculator⁵², and the Global Living Wage Coalition (GLWC) seek to provide high quality and consistent knowledge and data about living wage levels. The GLWC has adopted a common definition for living wage.⁵³

An industry wage is the average rate of pay for workforce members of a specific profession in a particular industrial sector (e.g. mining) within a given geographical area, such as a country or province.

In addition to fair wages for regular and overtime work, employees should receive paid annual leave. Paid annual leave is a normal part of working agreements, typically required by national and local law, and must be provided to employees as part of their benefits.

⁵⁰ https://www.ilo.org/global/topics/wages/minimum-wages/definition/WCMS_439072/lang--en/index.htm

⁵¹ Definition per IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/> and Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>

⁵² <https://livingwage.mit.edu>

⁵³ <https://www.globallivingwage.org/about/what-is-a-living-wage/>



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Wage-related benefits vary by country, but often include items such as holiday, overtime pay, sick pay, health benefits, incentives and bonuses, limited family leave benefits with pay and savings plans.

Performance Determination:

Does Not Meet

We do not have in place policies, procedures or practices (a management system) to pay employees wages that equal or exceed national minimum wage or meet the average local industry wage.

Partially Meets

We have begun to develop policies, procedures and practices (a management system) to pay employees wages that equal or exceed national minimum wage, ideally the living wage, and meet the average local industry wage, but implementation has not started or is incomplete.

Fully Meets

We have in place policies, procedures and practices (a management system) to pay employees wages that equal or exceed national minimum wage, ideally the living wage, and meet the average local industry wage.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy and procedures on payment of employee wages which equal or exceed minimum wage or the appropriate industry wage or living wage.
- Salary scales/wage rates;
- Employee handbook or collective bargaining agreement;
- Payroll and time records with due respect for confidentiality;
- Disclosure of third-party assurance of remuneration practices (on publicly available website, annual report, or corporate sustainability report at least annually) which provide sufficient wages to employee to meet the employee's and their family's basic needs and provide some discretionary income;
- Analyses of industry wages in the area of operation;
- Third-party assurance of a formal management system to ensure payment of sufficient wages;
- Government inspection reports;



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- Inclusion of adherence to responsible remuneration practices in the Code of Conduct for business partners;
- Living wage calculation study;
- Payment of living wage to employees.

Site assessment:

During interviews with management, they can describe how the payment system is used by the company to pay wages. The company pays work outside normal hours at a premium at a minimum in accordance with local law or appropriate industry wage, whichever is higher. They can describe the system to monitor working hours which enables accurate calculation of pay, and which highlights to management when workers exceed contracted hours and how much overtime is worked.

There is a process for monitoring changes in national law and collective agreements where they exist, as it relates to wages and benefits. Management and relevant human resources personnel can describe the payroll procedure and how it ensures that all payments are made on time and directly to the employee and not to another party or intermediary.

Management can describe the process to ensure that workers receive a clear written or formal electronic record of payments made to them. Management can describe how data is updated if there are any changes on wage levels, benefits or employment conditions.

Management can describe the process that ensures workers fully understand how pay is calculated and understand any deductions made. Managers explain and communicate to workers how their monthly wage is compound and their benefits (trainee and communication plan). The company ensures that workers and their representatives have access to a designated manager or senior staff member to raise queries and get information related to wages or benefits. They can describe how employees are trained on the company's wage payment system and process.

During interviews with workers, employees can demonstrate understanding of the company's wage payment system. They confirm that their wages are paid on time and they receive written or formal electronic record of the payment on or before the payment is made.

They confirm that over-time is undertaken on a voluntary basis and is paid at a premium rate as mandated by local law. They have access to a member of management to raise queries regarding their wages and benefits. They have received training on the policies and know where and how to file a report or allegation.



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12 Occupational Health and Safety

RRA ISSUE AREA: OCCUPATIONAL HEALTH AND SAFETY

To implement an occupational health and safety management system that is in line with internationally accepted best practice framework (e.g. OHSAS 18001, ISO 45001).

Explanation:

A comprehensive occupational health and safety (OHS) program should include health safety inspections, accident reporting and investigations, hazard assessment and management, emergency preparedness, participation of workers and contractors in workplace health and safety decisions, training of managers and workers, communication to workers of occupational hazards, and allowing workers to remove themselves from dangerous workplace situations.⁵⁴

OHSAS 18001:2007 Occupational Health and Safety Management Certification is an international standard which provides a framework to identify, control and decrease the risks associated with health and safety within the workplace. In 2018, ISO published a subsequent standard, ISO 45001:2018 which specifies requirements for an occupational health and safety management system, and gives guidance for its use, to enable organizations to provide safe and healthy workplaces by preventing work-related injury and ill health, as well as by proactively improving its OHS performance.⁵⁵

Companies may demonstrate conformance through certification to OHSAS 18001 or ISO 45001 or equivalent, however, companies may also provide evidence of an internal management system that covers the key elements of the international frameworks.

Adequate health and safety procedures can improve a company's profitability and enhance employee motivation. Reductions in injuries, illnesses and subsequent sick days, insurance claims, premiums and regulatory fines contribute to a safer and more productive working environment.

Performance Determination:

Does Not Meet

We do not have in place policies, procedures or practices (a management system) to conform or align with a recognized occupational, health and safety international convention, standard or best practices guidance framework.

Partially Meets

⁵⁴ Adapted from IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>

⁵⁵ <https://www.iso.org/iso-45001-occupational-health-and-safety.html>



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We have begun to align our policies, procedures and practices (a management system) with occupational, health and safety international convention, standard or guidance framework, but implementation has not started or is incomplete.

Fully Meets

We conform with or have developed an internal management system that is aligned with a recognized occupational, health and safety international convention, standard or guidance framework.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Corporate or site / facility level occupational health and safety policy that commits the site to conformance;
- Site-level assurance claim on publicly available website, annual report, or corporate sustainability report;
- Site-level audit of conformance (implementation of convention, standard or framework observed at the site);
- Risk Assessment Records;
- Personal protective equipment issue records;
- Safety inspection checklists, registers and other records of inspections carried out
- Chemical safety procedures;
- Safety Data Sheet (SDS);
- Emergency Procedures;
- Evacuation drill records;
- Occupational Health Programs & records;
- Accident investigation procedures;
- Accident investigation reports / records;
- Health and safety committee meeting minutes;
- Employee training records;
- First aid kit inspection records;
- Government inspection reports;
- Contractor occupational health and safety monitoring reports;
 - Toolbox talk for contractors, site visitors and other stakeholders.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's health and safety management system including the relevant policies and



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procedures. They can demonstrate that all managers are informed about their roles and responsibilities in relation to health and safety.

They can describe the procedures in place to ensure compliance with all national laws and applicable international standards. They can describe the procedures covering occupational health and safety and emergency preparedness processes.

The company carries out regular occupational health and safety risk assessments and develops priority areas for action. The risks are documented along with relevant remedial actions.

There is a designated manager who is responsible for the company's health and safety policy. There is a Health and Safety Committee composed of managers and workers' representatives. They can demonstrate that there is a documented health and safety training plan and training records are kept for all employees.

Workers are issued personal protective equipment, free of charge.

Management can describe reporting and investigation procedures and demonstrate clear lines of accountability and responsibility within the organization for the oversight and implementation of the system. The company maintains records on accidents and incidents. They perform root cause analysis to understand the reasons for accidents and incidents and establishes appropriate corrective actions.

The company uses a system of clear, documented key performance indicators (KPI) on health and safety.

During employee interviews, they confirm that there is formal training and instructions for all workers on general health and safety, accident and emergency procedures, the use of personal protective equipment, and basic hygiene provided to all workers. Such training is provided to employees before the start of their engagement and periodically throughout their employment.

Employees are aware of their health and safety roles, rules and regulations. Employees are aware of the emergency procedures, including first aid. They confirm that they have the right to remove themselves from imminent danger without seeking permission. They are aware of the procedure to report accidents and incidents. They confirm that they are provided with drinking water and hygienic facilities and they are allowed to take water breaks.

During the site walk through, the assessor can observe a safe working environment, workers utilizing their personal protective equipment, safe machines, emergency preparedness measures including first aid, and health and safety information displayed prominently on production sites in ways that are easily comprehensible to all workers.



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13 Employee Grievance Mechanism

RRA ISSUE AREA: EMPLOYEE GRIEVANCE MECHANISM

To establish and implement a grievance mechanism accessible to all employees.

Explanation:

Grievances that are not resolved can lead to poor morale within the workforce and potentially impact business indicators such as retention rates and productivity. On the other hand, organizations with a high level of worker participation in internal continual improvement processes may have a lower turnover rate and a more highly motivated workforce, often yielding higher productivity as well.

The development of an effective grievance mechanism to allow workers to raise issues related to company policy is a common way to detect irregularities and enable the organization to improve its working environment. Complaint and grievance mechanisms allow for direct input at any given time from employees and labor organizations, such as unions or worker committees, in the monitoring process of the organization.

Issue area 3 Stakeholder Engagement also stipulates a grievance mechanism for stakeholder concerns and complaints. In some cases, companies may establish separate mechanisms for internal grievances from employees and contractors and for external grievances from communities, suppliers, or the general public. In other cases, companies may establish one mechanism for both internal and external grievances. Companies may also establish whistle-blowing mechanisms for stakeholders to report instances of fraud and corruption.

Companies should establish a grievance committee to review and address incoming grievances. Worker representatives should form part of this committee. Companies should seek to develop the grievance mechanism in line with international frameworks such as the UN Guiding Principles' Effectiveness Criteria for Non-Judicial Grievance Mechanisms.⁵⁶ The grievance mechanism should not preclude access to other judicial or administrative remedies that might be available under law, nor should it be a substitute for grievance mechanisms provided for through collective agreements. Workers should be able to file grievances anonymously and must not suffer any forms of retaliation for filing a grievance.

Performance Determination:

Does Not Meet

We have not established a grievance mechanism for employees.

Partially Meets

⁵⁶ Principle 31: https://www.ohchr.org/documents/publications/guidingprinciplesbusinesshr_en.pdf



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We have begun to develop a grievance mechanism for employees, but implementation has not started or is incomplete.

Fully Meets

We have implemented and maintain a grievance mechanism developed accessible to employees and in line with the UN Guiding Principles' Effectiveness Criteria for Non-Judicial Grievance Mechanism.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Grievance mechanism/policies and procedure;
- Grievance investigation reports;
- Means for employees to raise anonymous complaints.
- Grievance mechanism documentation, including written records of raised complaints and site / facility responses.
- Communication to all employees on the existence of the grievance mechanism, its scope, and its procedures.
- Evidence of training of relevant personnel;
- Compensation determination and remedial action reports;
- Grievance mechanism effectiveness key performance indicators and monitoring.

It should be noted that these examples of evidence would also be applicable as evidence of a [whistle-blowing](#) mechanism.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's grievance mechanism and can explain the process to respond to grievances. They can demonstrate that where a trade union, a workers' committee or other type of workers' organization exists, it can put forward complaints and grievances and is consulted and involved in handling them. They can describe grievance reporting and investigation procedures and demonstrate clear lines of accountability and responsibility within the organization for the oversight and implementation of the system.

The company maintains grievance records and resolutions. These records are systematically used as an input for improving policies and procedures. The grievances are systematically analyzed to improve mechanisms as necessary. Management can demonstrate that they analyze grievances to identify the root causes of complaints and grievances and any underlying patterns. They can demonstrate that responses to complaints and grievances lead to changes in internal rules or to the adoption of



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measures concerning all workers. They can describe how employees are trained on the grievance procedure and provide instances where a grievance was made, investigated internally and appropriate actions, including disciplinary measures, were taken as a result.

During interviews with workers, employees can demonstrate understanding of the company's grievance mechanism and know where to find a written or formal electronic copy of the grievance procedure. They have received training on the procedure and know where and how to file a grievance. They confirm that where a worker organization exists, they are involved in investigating grievances. They confirm that there are confidential and anonymous ways to lodge grievances and that they are not disciplined for lodging grievances. They can demonstrate that the outcomes of grievance investigations are communicated to those who lodged the complaints and other relevant stakeholders.



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14 Environmental Risk Management

RRA ISSUE AREA: ENVIRONMENTAL RISK MANAGEMENT

To implement an environmental management system (EMS) functionally equivalent to an internationally recognized EMS standard (e.g. ISO 14001).

Explanation:

An environmental management system (EMS) helps organizations identify, manage, monitor and control their environmental issues in an “holistic” manner. It helps organizations improve their environmental performance through more efficient use of resources and reduction of waste. It requires that an organization considers all environmental issues relevant to its operations, such as air pollution, water and sewage issues, waste management, soil contamination, climate change mitigation and adaptation, and resource use and efficiency. It also includes the need for continual improvement of an organization’s systems and approach to environmental concerns. ISO 14001 is an internationally agreed standard that sets out the requirements for an environmental management system. The standard emphasizes that environmental management should be made prominent within the organization’s strategic planning processes, with input from leadership and a strong commitment to proactive initiatives that boost environmental performance.⁵⁷

Companies may demonstrate conformance through certification to ISO 14001, however, companies may also provide evidence of an internal management system that covers the key elements of the international framework.

Exactly how companies approach environmental management varies depending on the nature and scale of the business and the risks and contexts at hand. In general, an environmental management system is a structured framework for managing people, processes and resources so that a company can minimize adverse impacts on its environment, identify environmental benefits that it’s already providing, improve the environmental performance of its products and services, and boost productivity and profit.⁵⁸

Performance Determination:

Does Not Meet

We do not have in place an environmental management system.

Partially Meets

⁵⁷ https://www.iso.org/files/live/sites/isoorg/files/archive/pdf/en/introduction_to_iso_14001.pdf

⁵⁸ Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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We have begun to develop an environmental management system, but implementation has not started or is incomplete.

Fully Meets

We have fully implemented and maintain an environmental management system that meets the requirements of, or is functionally equivalent to, an internationally recognized EMS standard.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Legal register of applicable environmental law with and regulations and procedure for monitoring changes in the laws;
- Corporate or site level environmental policy that commits the site / facility to implementing an EMS.
- Certification by recognized EMS standard body (e.g. ISO 14001) published on publicly available website, annual report, or corporate sustainability report.
- Acceptable third-party certificate or validation document against recognized EMS standard (e.g. ISO 14001 equivalence)
- Site-level audit of implementation (implementation observed at the site / facility).
- Environmental policies and procedures;
- Risk assessment for environmental impacts;
- Environmental impact assessments;
- Procedures or plans for managing environmental risks through appropriate controls;
- Environmental monitoring reports;
- Training records/evidence of communication to employees regarding environmental risks and controls.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's environmental management system including policies and procedures and performance measurement. They can demonstrate understanding and awareness of significant environmental aspects and impacts (negative and positive) and the mitigation measures in place. They can describe how the environmental management system is established, documented, implemented, maintained and continually reviewed/improved. They can demonstrate how environmental management and environmental performance targets are designed to improve or sustain the environment and local ecosystem. They can demonstrate clear lines of accountability and responsibility within



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the organization for the oversight and implementation of the system. They can describe how employees are trained on the company's environmental policies and procedures.

During interviews with workers, employees can demonstrate a basic understanding of the company's environmental policy and procedures and know where to find a written or formal electronic copy of the policy and the procedures. They have received training on the policies and know where to report environmental non-conformances.

During the site walk through, the assessor can observe the different environmental protection measures that have been put in place in accordance with the company's policies and procedures.



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15 Greenhouse Gas (GHG) Emissions

RRA ISSUE AREA: GREENHOUSE GAS (GHG) EMISSIONS

To quantify, establish reduction targets for and disclose CO₂ equivalent emissions in line with established international reporting protocols (e.g. Intergovernmental Panel on Climate Change or GHG Protocol).

Explanation:

Climate change fueled by anthropogenic [greenhouse gas \(GHG\) emissions](#) poses one of the most serious challenges to human and ecosystem survival in the world today. Global concern over greenhouse gas emissions and climate change has led to the development of the United Nations Framework Convention on Climate Change and has spurred the establishment of targets for the reduction of greenhouse gas emissions that are applicable in over 190 countries during the UN FCCC Conference of the Parties (COP) 21 or Paris Agreement. Expectations for good corporate governance include many measures related to climate change, including the development of an inventory, commitment to GHG emission reduction targets or offsets, reporting or the development of sequestration technologies.

Mining, smelting and refining operations consume energy consumer and emit greenhouse gas emissions. According to the International Council on Mining and Metals, the industry's greenhouse gas emissions come from two major categories. The first (referred to as Scope 1) is direct emissions as a result from sources that are owned or controlled by a company, such as fossil fuel use in mining and processing operations, transportation of ore and electricity generation on site, and fugitive emissions. The second (referred to as Scope 2) is indirect emissions that result from the generation of purchased or acquired electricity, heating, cooling, and steam consumed by an organization, primarily in refining and smelting operations. Indirect [GHG emissions](#) that occur outside of the organization, including both upstream and downstream emissions, are referred to as Scope 3.

Companies can reduce their GHG emissions by applying the mitigation hierarchy and:

- Reducing fuel and energy consumption by adopting best practices in energy efficiency;
- Increasing use of renewable energy sources;
- Offsetting remaining emissions.

The GHG Protocol, developed by World Resources Institute (WRI) and World Business Council on Sustainable Development (WBCSD), is a global resource for how to measure, manage, and report greenhouse gas emissions. The GHG Protocol suggests companies define and regularly review their GHG emissions performance targets, compare them with benchmark data, and adjust them to account for changes in major



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influencing factors including for example on energy use to confirm that targets are set at appropriate levels.

Reduction targets may apply to reduction of intensity as well as to overall reductions in GHG emissions.

Emissions intensity ratios determine the emission rate of a given pollutant, in this case, [CO₂](#) or CO₂ equivalent, in the context of an organization-specific metric. These ratios express the emission rate relative to a unit of activity, output, or any other organization-specific metric (e.g. unit of product or production volume). Emissions intensity ratios are calculated by dividing the [absolute](#) emissions (the numerator) by the organization-specific metric (the denominator). In combination with a company's total GHG emissions, emissions intensity helps to contextualize a company's carbon footprint, including in relation to other organizations, and set emission reduction targets while accounting for the business needs to ensure the continuity of business operations and business growth.

The RMI recommends that companies adopt a stepwise approach to manage GHG emissions that includes the following actions:

- Establish a [baseline](#) of GHG emissions at the site level.
- Evaluate which direct and/or indirect emissions have the highest reduction potential.
- Using this analysis, develop a plan aimed at reducing GHG emissions.
- Specify concrete actions and deadlines for implementation, including the responsible staff and/or production areas.
- Targets should allow for growth and/or changing product mix, where relevant.
- Targets should support the COP 21 or Paris Agreement objectives to keep global temperature increase below 2°C above pre-industrial levels and to pursue efforts to limit the temperature increase even further to 1.5°C.
- Include monitoring systems as part of the annual accounting for GHG emissions to evaluate progress on the plan's implementation and towards targets.
- Where possible, use available resources such as the Science Based Targets (SBT) Initiative⁵⁹, a program jointly run by the Carbon Disclosure Project (CDP), World Resources Institute (WRI), WWF and the United Nations Global Compact,⁶⁰ or the Task Force on Climate-Related Financial Disclosures (TCFD), a framework for climate-related financial disclosures.

Performance Determination:

Does Not Meet

⁵⁹ <http://sciencebasedtargets.org/>

⁶⁰ Adapted from Aluminium Stewardship Initiative Performance Standard V2 Guidance: <https://aluminium-stewardship.org/asi-standards/asi-performance-standard/>



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We do not quantify or disclose our CO₂ or CO₂ equivalent emissions.

Partially Meets

We have begun to quantify and disclose (at least Scope 1 and 2) our CO₂ or CO₂ equivalent emissions and to establish reduction targets, but implementation has not started or is incomplete.

Fully Meets

We collect, analyze and publicly report CO₂ or CO₂ equivalent emissions according to an internationally recognized protocol. We have established reduction targets on either an absolute or intensity basis and monitor progress over time.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Environmental policy that notes the significance of GHG emissions;
- Formal and documented climate change strategy;
- Company reports on GHG emissions and targets using an international reporting protocol;
- Third-party assurance that an international reporting protocol (e.g. Intergovernmental Panel on Climate Change or GHG Protocol) has been used;
- Procedures for identifying emissions and setting targets;
- Procedures for monitoring emission trends;
- Emissions risk assessment;
- Evidence of training of relevant personnel;
- Total CO₂ or CO₂ equivalent emissions are disclosed in annual report, website, regulatory submissions, filings, presentations, corporate sustainability report, etc.;
- Publicly disclosed analysis of data demonstrates progress towards compliance with the target by the future year noted;
- Publicly disclosed analysis of data demonstrates no net emissions or better.

Site assessment:

During interviews with management and/or technical figures having responsibility for setting and tracking performance targets on GHGs, the interviewees can demonstrate understanding of the company's policy, performance and targets on GHGs. They can describe the risk assessments that are conducted in respect of GHGs and measures to reduce emissions. They can demonstrate how GHG emission reduction targets are established and measured to drive continuous improvement. The company GHG emissions are made available to appropriate internal and external stakeholders. Management can demonstrate that carbon accounting is integrated into the business



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system. During the documentation review and interviews with key personnel, the assessor can determine how targets were defined and whether the analysis was reasonable.

During interviews with workers, employees can demonstrate a basic understanding of the company's policy on GHG emissions and have received training on the policy and the measures in place to reduce emissions.

During the site walk through, the assessor can observe the different measures that have been put in place to measure and reduce GHG emissions.

The RMI recognizes that in some cases, companies will only be able to make incremental improvements to their current practices because of their circumstances and/or due to earlier efforts to reduce emissions. In such cases, the site or facility's overall efforts to reduce or maintain emissions levels will be taken into account for the determination of conformance with the Criteria.



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16 Energy Consumption

RRA ISSUE AREA: ENERGY CONSUMPTION

To implement and quantify energy efficiency improvements and increased use of renewable energy to reduce total energy consumption and/or energy intensity.

Explanation:

Companies should aim to reduce their emissions by reducing their energy consumption and/or energy intensity, improving their energy efficiency and using more renewable sources of energy wherever they can.

Energy management programs should include the following elements:

- Identification, and regular measurement and reporting of principal energy flows within a site or a facility at unit process level;
- Preparation of mass and energy balance;
- Regular comparison and monitoring of energy flows to identify where action should be taken to reduce energy use;
- Measurement of renewable energy usage and identification of opportunities to increase the use of renewable energy.⁶¹

Energy intensity ratios define energy consumption in the context of an organization-specific metric. These ratios express the energy required per unit of activity, output, or any other organization-specific metric (e.g. unit of product or production volume). Energy intensity ratios are calculated by dividing the absolute energy consumption (the numerator) by the organization-specific metric (the denominator). In combination with a company's total energy consumption, energy intensity helps to contextualize a company's efficiency, including in relation to other organizations.⁶²

Renewable energy is any form of energy from solar, geophysical or biological sources that is replenished by natural processes at a rate that equals or exceeds its rate of use. Renewable energy includes low-carbon technologies such as solar energy, hydropower, wind, tide and waves, and ocean thermal energy, as well as renewable fuels such as biomass.⁶³

The RMI acknowledges that it is not always feasible to increase renewable energy use or reduce energy consumption at a site or facility. In some cases, efforts may already have been made to install and/or to increase renewable energy and/or to reduce energy consumption and the maximum capacity may already have been reached. At other sites

⁶¹ Adapted from World Bank/IFC Environmental Health and Safety Guidelines: https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/ehs-guidelines

⁶² Adapted from GRI Standard 302: Energy (2016): <https://www.globalreporting.org/standards>

⁶³ Definition from Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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and facilities, there may be an absence of appropriate and affordable infrastructure facilitating renewable energy. Companies are encouraged to increase renewable energy use where feasible and should use the relevant sections of the RRA to disclose when and why increasing renewable energy has not been or is not possible.

Performance Determination:

Does Not Meet

We do not quantify our energy efficiency or consumption and we do not have in place programs to improve efficiency or reduce energy consumption or energy intensity or increase use of renewable energy.

Partially Meets

We have begun to quantify our energy efficiency and consumption and to put in place programs to improve efficiency and reduce consumption and/or energy intensity, and to increase renewable energy use, but implementation has not started or is incomplete.

Fully Meets

We have in place programs to reduce energy consumption and/or energy intensity, improve energy efficiency, and increase use of renewable energy, and we publish, at least annually, quantitative performance data on energy efficiency and energy consumption.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Environmental policy includes plans to reduce energy consumption and/or energy intensity, to improve energy efficiency, and to increase use of renewable energy;
- Methodology for undertaking energy efficiency / consumption / intensity assessments / monitoring;
- Procedures for monitoring energy usage;
- Energy efficiency / consumption / intensity assessments;
- Documentation of energy saving, conservation and efficiency measures are not yet implemented;
- Third-party assurance that an international reporting protocol (e.g. Intergovernmental Panel on Climate Change or GHG Protocol) has been used;
- Total energy consumption, energy efficiency, and renewable energy performance indicators are disclosed in annual report, website, regulatory submissions, filings, presentations, corporate sustainability report, etc.);
- Energy efficiency and/or renewable energy targets;
- Records of any efficiency initiatives implemented;



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- Documentation of renewable energy installation/use;
- Government inspection reports;
- Internal environmental/energy efficiency audits.

Site assessment:

During interviews with management, managers can demonstrate understanding of the organization's energy efficiency and renewable energy use and can describe what steps they are taking to increase energy efficiency and renewable energy use. They can describe the risk assessment that is conducted on energy consumption. They can describe the formal systems and processes in place to manage and audit energy use. They can demonstrate how energy use performance indicators are established/reviewed at least on an annual basis to drive continuous improvement.

The company energy consumption plans and performance are made available to appropriate internal and external stakeholders. Management can demonstrate engagement with appropriate stakeholders, such as governments; local, regional and international energy initiatives; energy providers and suppliers; and businesses in the supply chain, on identifying ways to reduce energy use. They can describe how employees are trained on the company's energy policy and the measures in place to reduce energy use.

During interviews with workers, employees can demonstrate a basic understanding of the company's policy on energy use and are aware of practices to reduce energy. They have received training on the policy and the measures in place to reduce the energy use.

During the site walk through, the assessor can observe the different measures that have been put in place to reduce energy use and / or increase the use of renewable energy.



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17 Freshwater Management and Conservation

RRA ISSUE AREA: FRESH WATER MANAGEMENT AND CONSERVATION

To conduct a comprehensive assessment of water-use impacts and risks in collaboration with relevant stakeholders and to implement measures to ensure that water consumption does not restrict availability/access for other water users or reduce the range and populations of fauna and flora in the catchment area of the site / facility.

Explanation:

The impacts of water use are highly location-specific, depending on the local climate as well as on competition for water resources. Companies can protect water resources by using water efficiently, ensuring that total withdrawals maintain environmental flows in streams, springs and other surface waters, minimizing groundwater drawdown, and treating water and discharging it in ways that minimize harm to surrounding water users and environmental resources.⁶⁴

A comprehensive assessment of water-use impacts and risks should include, but not be limited to, the following elements:

- Identification and mapping of water withdrawal and use by source and type;
- Assessment of water-related risks in basins/catchments/watersheds in the entity's [Area of Influence](#), including, for example, the risk of altering the ecological flow of surface waters upstream and downstream of the water catchment point;
- The entity's use of water, and any activities that may affect water quantity;
- The entity's chemicals, wastes, facilities and activities that may pose a risk to water quality;
- Identification of water effluents discharged to subsurface waters, surface waters, sewers that lead to rivers, oceans, lakes, wetlands, treatment facilities, and ground water;
- Identification of water users, water rights holders and other stakeholders that may potentially affect or be affected by water management practices, including downstream communities or communities that may be affected by groundwater withdrawals or contamination;
- Identification of water-related ecosystem services;
- Identification of baseline data and seasonal and temporal variability in water quantity and in the physical, chemical and biological conditions of surface waters, natural seeps/springs and groundwaters that may be affected by the project;⁶⁵
- Consider the possibility to use alternative water sources, such as seawater as opposed to freshwater, to mitigate water-use impacts.

⁶⁴ Adapted from IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>

⁶⁵ Adapted from IRMA (*ibid*) and from Aluminium Stewardship Initiative Performance Standard V2 Guidance: <https://aluminium-stewardship.org/asi-standards/asi-performance-standard/>



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The water risk assessment should be commensurate with the size and nature of the site/facility.

Companies can also clean up previously impacted water to make it usable, and in some cases provide a water supply from an alternative source. As a best practice, companies may participate in collective actions to address shared water challenges and opportunities among diverse stakeholders and adopt approaches that lead to positive water governance outcomes at the local and regional levels.⁶⁶

The company's efforts towards managing water should be proportionate to the significance of the company's operations and impact.

Performance Determination:

Does Not Meet

We have not conducted a water-use impact and risk assessment or implemented a water management system to minimize impacts on other water users and on fauna and flora in the catchment area of our site / facility.

Partially Meets

We have begun to assess water-use impacts but did not involve relevant stakeholders and/or we have begun to develop a water management system to minimize impacts on other water users and on fauna and flora in the catchment area of our site/facility, but implementation has not started or is incomplete.

Fully Meets

We have conducted a water-use impact assessment in collaboration with relevant stakeholders implemented a water management system and / or other measures that minimize consumption on other water users and on fauna and flora in the catchment area of our site/facility.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Corporate or site level environmental policy that commits the site to implementing freshwater management measures.
- Water monitoring reports;
- Baseline data for water [abstraction](#) and water quality;
- Water risk analysis reports;
- Environmental impact assessment;

⁶⁶ Adapted from IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>



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- Water management plans and targets;
- Documentation of stakeholder engagement on water impact assessment;
- Disclosure of a comprehensive assessment of water-use impacts and risks in collaboration with relevant stakeholders;
- Site-level assurance claim on public website, annual report, or corporate sustainability report;
- Site-level audit of conformance (implementation of water management system and / or other measures observed at the site / facility);
- Government inspection reports;
- Disclosure of the measures applied in managing abstraction (in order of priority: elimination, reduction, outsourcing/reuse, and regeneration (treatment for reuse)).

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's policy and performance on water stewardship. They can describe the risk or impact assessments that are conducted on water consumption. Management can demonstrate how stakeholders were engaged in the risk and impact assessments. They can describe the formal systems and processes in place to manage and monitor water use.

Management can describe clear lines of accountability and responsibility within the organization for the oversight and implementation of the system. They can describe how employees are trained on the company's water stewardship policy and the water use efficiency mechanisms. They can demonstrate that water consumption levels are sustainable within local ecosystem limits and the water catchment area. They can describe how measurement of water consumption is undertaken. They can demonstrate that water consumption data are made available to relevant internal and external stakeholders. The company engages with appropriate stakeholders in the supply chain to improve water stewardship. Management can describe how water consumption efficiency targets are reviewed on an annual basis to drive continuous improvement.

During interviews with workers, employees can demonstrate a basic understanding of the company's policy on water stewardship and know where to find a written or formal electronic copy of the policy. They have received training on the policy and the measures in place to reduce water use.

During the site walk through, the assessor can observe the different water efficiency mechanisms that have been put in place (e.g. re-use, recovery and recycling) to reduce water use.



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18 Waste Management

RRA ISSUE AREA: WASTE MANAGEMENT

To implement a risk-based waste management system that includes a commitment to the 'waste hierarchy'⁶⁷ and is applicable to all waste types (hazardous, non-hazardous and inert).

Explanation:

Companies generate different kinds of waste and emissions. Improperly managed, these can lead to soil, water and air pollution, threatening human, animal and environmental health.⁶⁸

Mining, processing, smelting and refining operations use materials that, if mismanaged, create risks to human health, safety and the environment. Fuels used by heavy machinery, chemicals, such as solvents used to clean or maintain equipment, and wastes from onsite sewage treatment facilities can be harmful to living organisms if spilled or otherwise released to the environment. Mining and processing also generates large volumes of waste materials that may be associated with risks to health, safety and the environment, depending on the chemical characteristics of the material and how it is managed.⁶⁹

There are, however, existing and emerging materials, technologies, and waste management practices that aim to prevent or greatly reduce the potential for contamination from hazardous materials. These include implementing risk-based waste management system to ensure the safe handling, storage and transport and disposal of potentially hazardous materials.⁷⁰

Risk-based waste management includes focusing on the largest sources of waste first and applying the waste hierarchy.

The waste hierarchy is a set of priorities for the efficient use of resources that serves as a guide for decision-making. The first goal of waste management should be to reduce the amount of disposable waste and preserve valuable, limited landfill space. If reduction is not possible, the next option should be re-use of waste, then recycling, recovery, and last of all disposal (e.g. landfill).⁷¹

⁶⁷ See Glossary for definition

⁶⁸ Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>

⁶⁹ IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>

⁷⁰ Adapted from IRMA (*ibid*)

⁷¹ See Glossary for full definition of the waste hierarchy.



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Performance Determination:

Does Not Meet

We have not implemented a waste management system.

Partially Meets

We have begun to develop a waste management system that includes a commitment to the 'waste hierarchy' and is applicable to all waste types (hazardous, non-hazardous and inert), but implementation has not started or is incomplete.

Fully Meets

We have implemented a waste management system that includes a commitment to the 'waste hierarchy' and is applicable to all waste types (hazardous, non-hazardous and inert).

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Waste policy with commitment to the 'waste hierarchy'
- Completed risk assessment on waste;
- Procedure on handling waste;
- Data collected for hazardous, non-hazardous and inert wastes
- Data on quantities of waste generated;
- The nature and scope of the waste management system are publicly disclosed, on publicly available website, annual report, or corporate sustainability report;
- The means of addressing hazardous, non-hazardous and inert wastes are clearly defined;
- Third-party assurance of implementation of a waste management system;
- Government inspection reports;
- Procedures for monitoring waste and emission trends to improve environmental performance;
- Documentation of avoidance and/or of mitigation measures;
- Assured data/ analysis that demonstrates the target has been met.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's policy and can describe the formal systems and processes in place to manage waste generation, storage, transportation, and disposal as per the site environmental management system, including practices to reduce waste and a



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commitment to waste hierarchy principles. They can describe risk assessments that are conducted related to waste. They can demonstrate that they monitor and measure waste that is generated and recycled, and that data are provided to relevant internal and external stakeholders. They can describe clear lines of accountability and responsibility within the company for the oversight and implementation of the system. They can describe how employees are trained on the company's waste management policy.

During interviews with workers, employees can demonstrate a basic understanding of the company's policy on waste management and know where to find a written or formal electronic copy of the policy. They have received training on the policy and effective methods of managing waste.

During the site walk through, the assessor observes good waste management practices including segregation, storage, transportation and disposal.



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19 Tailings Management

RRA ISSUE AREA: TAILINGS MANAGEMENT

To design, operate, monitor and close tailings impoundments while minimizing adverse impacts to the human health and the environment in line with internationally recognized standards.⁷²

Explanation:

Tailings is a common by-product of the mineral recovery process. They usually take the form of a liquid slurry made of fine mineral particles – created when mined ore is crushed, ground and processed – and water. In some cases, mining operations generate ‘dry’ tailings, however. If not managed properly, tailings can have a damaging impact on the environment and human health and safety, with pollution from effluent and dust emissions being potentially toxic to humans, animals or plants. This harm is multiplied many times over should a tailings storage facility physically fail. Flooding from tailings materials can greatly damage the surrounding environment and even lead to loss of human life.

The management of tailings, both during and after mining, is the responsibility of mining companies and is subject to advanced regulatory regimes. This means that tailings management needs to be effective throughout the life of an operation, from initial feasibility through to closure and post-closure.

Tailings can be stored in a variety of ways: which way depends on numerous factors, for instance the local topography, how much rainfall an area gets, whether there is regular or irregular seismic activity recorded, the type of mineral being mined and how close the mine is to populated areas. There is no one-size-fits-all solution, each tailings storage facility is unique. Identifying the most appropriate method of tailings construction is important to ensure the safe and sustainable operation of a facility.⁷³

Companies should engage a competent, objective third party to conduct an independent review and evaluation that covers all aspects of the planning, design, construction, operation and maintenance of waste facilities.⁷⁴

The International Council on Mining and Metals (ICMM), the United Nations Environment Programme (UNEP) and the Principles for Responsible Investment (PRI) have co-convened the Global Tailings Review to establish global best practices on tailings storage facilities. The Global Tailings Review is consulting on a new draft Global Tailings Standard that aims to

⁷² For example, TSM Tailings Management Protocol (2019): <https://mining.ca/documents/tsm-tailings-management-protocol-2019-version/>; and Global Tailings Review: <https://globaltailingsreview.org>

⁷³ Adapted from ICMM: <https://www.icmm.com/en-gb/environment/tailings>

⁷⁴ For additional guidelines and standards see: <https://gmgroup.org/tailings/>



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prevent catastrophic failures by creating a step change for the industry in the safety and security of tailings facilities.⁷⁵

The company's efforts towards meeting global best practices on tailings management should be proportionate to the size of the company's operations and the significance of its impacts.

Performance Determination:

Does Not Meet

We do not align with a recognized international standard for the design, operation or closure of our tailings impoundments or dams.

Partially Meets

We have begun to align with a recognized international standard for the design, monitoring or closure of our tailings impoundments or dams, but implementation has not started or is incomplete.

Fully Meets

We align with a recognized international standard for the design, monitoring or closure of our tailings impoundments or dams.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy that commits the site to conformance with international standards and best practices on tailings management;
- Procedures for designing, building, maintaining, monitoring and closing down any tailings and waste rock facilities and supporting infrastructure;
- Monitoring records;
- Records of government inspections;
- Engineering reports and external experts reports conducted, for example, to monitor tailings disposals, to assess their stability, carry out simulations, etc;
- Risk assessments relating to tailings and waste rock facilities;
- Record of potential impacts on local environments and communities, including information on protection measures;
- Site-level assurance claim on publicly available website, annual report, or corporate sustainability report.

⁷⁵ <https://globaltailingsreview.org>



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- Site-level audit of conformance (implementation of international standard observed at the site)
- Disclosure of conformance with international standards such as the Global Tailings Review.
- Third-party assurance of zero tailings disposal into marine or river environments;
- Government inspection reports;
- Documented evidence of mitigation, or remediation of potential impacts.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's policy on tailings management, knowledge of international standards on tailings management, and can describe the risk-based approach used by the company, including regular, rigorous risk assessment and transparent decision-making to choose the most appropriate site-specific approach to disposal. They can demonstrate that there are critical controls to identify, implement and monitor actions for managing high risks. They can demonstrate that they engage an engineer(s) to provide technical direction for waste management. They can demonstrate that an independent review and evaluation is conducted by a competent, objective third party and the review covers all aspects of the planning, design, construction, operation and maintenance of waste facilities. They can describe clear lines of accountability and responsibility within the company for the oversight and implementation of the system. They can describe how designated employees are trained on the company's policy on tailings and waste rock.

During interviews with designated employees, they can demonstrate a basic understanding of the company's policy on tailings and waste rock and know where to find a written or formal electronic copy of the policy. They have received training on the policy and the measures in place to protect human health and the environment.

During the site walk through, the assessor observes good practices in tailings management and does not observe environmental or social impacts caused by the tailings.



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20 Pollution

RRA ISSUE AREA: POLLUTION

To implement the mitigation hierarchy⁷⁶ to avoid, minimize, reduce and compensate for the adverse impacts of pollution on human health and the environment.

Explanation:

Pollution has significant economic costs from the point of view of health, productivity losses, health-care costs and ecosystem damages. These costs, already substantial, are expected to rise over time, not only because of the direct effect of pollution on health, but also the impact of weakened livelihoods, as well as the longer-term impact on ecosystem services, that in turn affect local communities, societies and economies.

Irrespective of source and nature, the fundamental approach to pollution prevention should be firmly grounded in the mitigation hierarchy (see Glossary for definition) concept.

Alongside the concept of the mitigation hierarchy, legal and regulatory requirements should be assessed, as these may take precedence over the company's preferred approach.

Sources of localized air emissions include processing facilities for mineral processing, smelting and refining operations.

The principal sources of pollution caused by smelting are contaminant-laden air emissions (such as arsenic, beryllium, cadmium, chromium, lead, manganese and nickel) and process wastes such as wastewater and slag. The smelting of sulfide ores results in the emission of sulfur dioxide gas, which reacts chemically in the atmosphere to form a sulfuric acid mist. As this acid rain falls to the earth, it increases the acidity of soils, streams, and lakes, harming the health of vegetation and fish and wildlife populations. In older smelters, air emissions contained elevated levels of various metals.

Copper and selenium, for example, which can be released from copper smelters, are essential to organisms as trace elements, but they are toxic if they are overabundant. These metals can contaminate the soil in the vicinity of smelters, destroying much of the vegetation. In addition, particulate matter emitted from smelters may include oxides of such toxic metals as arsenic (cumulative poison), cadmium (heart disease), and mercury (nerve damage).⁷⁷

⁷⁶ See Glossary for definition

⁷⁷ <http://www.pollutionissues.com/Re-Sy/Smelting.html#ixzz67xm2VOts>
<https://www.epa.gov/stationary-sources-air-pollution/primary-copper-smelting-national-emissions-standards-hazardous-air>



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Mine sites can release significant quantities of air contaminants. By volume, the great majority of air contaminants are particulate matter, such as dust from blasting, large truck and equipment traffic, conveyors, and ore crushing. Other air contaminants may represent only a small proportion of a mine's air emissions but are important because like particulate matter they can significantly affect human health and the environment.

Mines may emit contaminants from diffused activities, such as fugitive dust emitted by blasting or truck traffic, or wind-blown from exposed surfaces such as roads, pits, and waste piles, or from dried surfaces of tailings impoundments.⁷⁸

Performance Determination:

Does Not Meet

We have no policy that follows the mitigation hierarchy to avoid, minimize, reduce and compensate for the impact of pollution on human health and the environment.

Partially Meets

We have begun to develop policies and procedures that follow the mitigation hierarchy to avoid, minimize, reduce and compensate for the impact of pollution on human health and the environment, but implementation has not started or is incomplete.

Fully Meets

We have implemented a policy that follows the mitigation hierarchy to avoid, minimize, reduce and compensate for the impact of pollution on human health and the environment.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Pollution policy with commitment to the 'mitigation hierarchy';
- Completed risk assessment on pollution;
- Data is collected for emissions to air, water and land but is ad-hoc rather than systematic.
- Procedures for monitoring pollution;
- Site / facility has commissioned an internal or external service provider to assist with design and implementation of the means of controlling emissions, but process is not yet completed.

⁷⁸ Adapted from IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>



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- The nature and scope of the mitigation hierarchy are publicly disclosed on publicly available website, annual report, or corporate sustainability report;
- The means of addressing emissions to air, water and land are clearly defined in the disclosure.
- Documentation of avoidance and/or of mitigation and compensation measures.
- Third-party assurance of implementation of the mitigation hierarchy.
- Government inspection reports;
- Publicly disclosed analysis of data demonstrates progress towards compliance with the target by the future year noted.
- Assured data/ analysis that demonstrates that no material concentrations of pollutants have been released to air, water or land.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's policies related to preventing pollution and can demonstrate that they have formal systems and processes in place for pollution prevention, including implementation of the mitigation hierarchy, practices to reduce the potential for pollution incidents, and procedures for compensation of adverse impacts.

The company has set targets which are reviewed on an annual basis to reduce the use of hazardous substances, minimize associated risks and substitute with non-hazardous alternatives where possible. They can describe the role of the site emergency response team in place to deal with pollution incidents. They can describe clear lines of accountability and responsibility within the company for the oversight and implementation of the pollution prevention system. They can describe how employees are trained on the company's policy on pollution prevention.

During interviews with workers, employees can demonstrate a basic understanding of the company's policy on pollution and know where to find a written or formal electronic copy of the policy. They have received training on the policy and effective methods of managing pollution.

During the site walk through, the assessor observes measures taken to avoid and minimize pollution.



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21 Biodiversity and Protected Areas

RRA ISSUE AREA: BIODIVERSITY AND PROTECTED AREAS

To implement the mitigation hierarchy to avoid, minimize, reduce and compensate for adverse impacts on biodiversity; to avoid adverse impacts to Critical Habitats or Endangered Species; and to prevent operational activities in World Heritage sites or in designated protected areas unless specifically and legally permitted.

Explanation:

Opportunities for mitigating biodiversity impacts vary significantly from one operation to another and depend not only on the site / facility itself but also on its associated infrastructure, including roads, rail lines, power lines, ports, in-migration and resettlement. The mitigation hierarchy (see Glossary for definition) has been developed as a tool for achieving '[no net loss](#)' or a '[net gain](#)' in biodiversity.

The company's approach to mitigating biodiversity impacts should be informed by, and tailored to, an understanding of the local context. In particular, companies should monitor which activities taking place in both protected areas and areas of high biodiversity value outside protected areas. Some of the criteria to determine whether a site is of local, regional, national or international biodiversity value include the species endemism, rarity, population size and fragility, as well as their importance in the local and social context. The size of habitats and value of ecosystem services are other criteria. Applying these criteria is a matter of professional judgement and requires the involvement of a trained ecologist. Evaluation can be very complex in some countries or in new areas such as deep seas, where there is little information to evaluate biodiversity comparatively. In such circumstances, extensive fieldwork may be needed to better understand the relative value of operational sites.⁷⁹

World heritage sites are Critical Habitats are areas with high biodiversity value, including (i) habitat of significant importance to Critically Endangered and/or Endangered species; (ii) habitat of significant importance to endemic and/or restricted-range species; (iii) habitat supporting globally significant concentrations of migratory species and/or congregatory species; (iv) highly threatened and/or unique ecosystems; and/or (v) areas associated with key evolutionary processes.⁸⁰

A World Heritage Site is a place that is listed by the United Nations Educational, Scientific and Cultural Organization (UNESCO) as having special cultural or physical significance.⁸¹

⁷⁹ Adapted from Responsible Jewellery Council Code of Practices Guidance:

<https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>

⁸⁰ IFC Performance Standard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources: https://www.ifc.org/wps/wcm/connect/5e0f3c0c-0aa4-4290-a0f8-4490b61de245/GN6_English_June-27-2019.pdf?MOD=AJPERES&CVID=mRQjZva

⁸¹ <https://whc.unesco.org/en/list/>



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Performance Determination:

Does Not Meet

We do not have in place a policy, procedures and practices to follow a mitigation hierarchy; nor to avoid adverse impacts on Critical Habitats or Endangered Species; nor to disallow operational activities in designated protected areas unless specifically and legally permitted.

Partially Meets

We have begun to develop policies, procedures and practices (a management system) to follow a mitigation hierarchy for the management of our impact on biodiversity; to avoid adverse impacts on Critical Habitats or Endangered Species; and, to disallow operational activities in designated protected areas, but implementation has not started or is incomplete.

Fully Meets

We fully implement the mitigation hierarchy for the management of our impact on biodiversity; we avoid adverse impacts on Critical Habitats and Endangered Species; and we do not operate in any World Heritage sites.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Corporate or site level environmental policy that commits to implementing a biodiversity management system or biodiversity action plan.
- Registry and/or baseline data for habitats and endangered species completed prior to construction of the project
- Identification of protected areas;
- Biodiversity management system, including the application of the mitigation hierarchy;
- Biodiversity action plan;
- Environmental impact assessment reports;
- Third-party assurance of implementation of a biodiversity management system to minimize biodiversity-related impacts;
- Third-party assurance that the mitigation hierarchy is applied;
- Government inspection reports;
- Disclosure of third-party assurance that (a) area and health of critical habitat and (b) population and health of endangered species within the area of site influence have not declined relative to baseline (pre-project) conditions.



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- Documentation of avoidance and/or of mitigation and compensation measures;
- Public disclosure (annual report, website, regulatory submissions) of written or documented evidence of legal right to operate in protected area (if applicable).
- Public information on the no net loss of biodiversity at the site / facility and accounting methods used.
- Third-party assurance of accounting methods and calculations of no net loss of biodiversity.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's biodiversity policy and can describe the personnel accountable for implementing the mitigation hierarchy and incorporating biodiversity management into impact assessment, planning and operations. They can describe how they implement the mitigation hierarchy at the site level and how they manage to identify and avoid, minimize, restore / rehabilitate or offset biodiversity impacts. They can demonstrate that they monitor changes in biodiversity to evaluate the success of the management plans, rehabilitation trials and research projects, and to track any general changes in the biodiversity that may be influenced by external factors.

Management can describe how relevant employees and contractors, community members, and stakeholders are made aware the company's policy on biodiversity including the grievance mechanism.

During interviews with community members and stakeholders, they can demonstrate a basic understanding of the company's practices on biodiversity. They can demonstrate that they receive biodiversity monitoring reports. They have been made aware of the policy and can describe how to lodge grievances if they have concerns on biodiversity.

During interviews with employees with responsibilities related to biodiversity management, they can demonstrate a basic understanding of the company's practices on biodiversity and the mitigation hierarchy. They have received training on the policy and the measures in place to protect and restore biodiversity.

During the site walk through, the assessor does not observe negative impacts on biodiversity caused by the operation and observes practices designed to protect and restore biodiversity.



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22 Mine Closure and Reclamation

RRA ISSUE AREA: MINE CLOSURE AND RECLAMATION

To have a documented plan with stakeholder inputs that addresses environmental and social aspects and makes financial provisions for closure and reclamation of the site / facility.

Explanation:

The closure of mine sites needs to be planned as carefully as their opening. What happens at a site after it is closed is what ultimately defines its long-term impact on, and contribution to, an area's social, economic and institutional development. An integrated approach to closure takes the environmental, economic and social considerations into account from an early stage and continues throughout the mining lifecycle.

Fundamental to this approach is the need to consider closure as a core part of the business. The social and economic impacts of mine closure are usually significant and underline the importance of early preparation. Workers, affected communities (including Indigenous Peoples and artisanal miners where present) and regulators are key stakeholders in dialogues about mine closure and should be involved early in the planning process.

Community participation is particularly important when developing and implementing a mine [closure plan](#). Closure costs are most often substantially incurred after the mine is no longer generating revenue, so financial provisions for closure must either be set aside by the company before or during active operations, provided by other revenue streams or made available through security of other assets.

Rehabilitation refers to the measures undertaken to return land on which mining has taken place to the agreed post-closure uses. In some jurisdictions, the legal requirement is for restoration of the pre-mining land use, whereas in others the end uses of the land are open to a process of negotiation, either with the regulatory authorities or with a broader set of stakeholders.

Performance Determination:

Does Not Meet

We have no public or documented closure plan or a commitment to develop and implement a closure plan for our site/facility.

Partially Meets

We have begun to develop a closure plan for our site/facility, but the plan is incomplete.

Fully Meets



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We have published and documented a closure plan for our site / facility that includes specific reference to stakeholder interests and their inclusion in the plan, and we have made financial provision for reclamation and compensation associated with closure.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Conceptual closure plan developed as part of [Environmental and Social Impact Assessment](#);
- A corporate or site level environmental policy that commits the site to the development of a closure plan;
- Records of stakeholder inputs to the closure plan;
- Rehabilitation plans;
- Closure plan published on website, annual reports, or regulatory submissions.
- Third-party assurance or certification of the management system into which the closure plan is incorporated
- Site-level audit of management system implementation (implementation observed at the site).
- Financial provisions allocated for closure;
- Third-party assurance that the financial provision is independently guaranteed, accessible in the relevant timeframe, up to date and sufficient to cover closure costs.
- Government inspection reports;
- Assured register of [‘orphaned’ / legacy mine sites](#) closed and reclaimed by the company.
- Sign-off or equivalent from government institutions acknowledging closure of orphaned sites.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company’s mine closure plan and are able to describe the social, economic and environmental parameters that cover the mining lifecycle, and post-closure phases. They are able to demonstrate that the closure plan was developed with stakeholder engagement and takes into account various changing parameters. They can demonstrate that the closure plan includes closure targets and goals, considers maintenance and surveillance programs for temporary closure of operations, and considers residual impacts from infrastructure, subsidence or acid-generating material. The company regularly updates the closure plan.

Management can describe clear lines of accountability and responsibility within the company for the oversight and implementation of the closure plan. They can describe how designated employees are trained on the company’s closure plan.



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During interviews, employees and affected stakeholders confirm knowledge of and participation in the design of the closure plan.



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23 Community Health and Safety

RRA ISSUE AREA: COMMUNITY HEALTH AND SAFETY

To implement a management system to monitor, avoid, minimize, reduce and compensate for adverse impacts on community health and safety.

Explanation:

Responsibly operated mines can play an important part in improving public health, but poor management of impacts can expose local populations to additional health and safety risks.⁸²

Mining and production operations can expose local communities to a variety of health risks and impacts. For example, operational activities and infrastructure may cause environmental impacts on health (such as pollution, exposure to dangerous substances and contamination of the water supply or food chain); the spread of new diseases to indigenous communities; local diseases impacting on workers; accidents and injuries; the spread of pandemics (for example, HIV and STDs); negative effects on psychological well-being; and increased demands on existing health and sanitation infrastructure due to an influx of jobseekers or family members to a region.⁸³

Community health and safety considerations should be addressed through a process of environmental and social risks and impacts identification. These risks and impacts may be linked to the management of other issue areas, such as 12 Occupational Health and Safety; 14 Environmental Risk Management; 17 Freshwater Management and Conservation; 18 Waste Management; and 20 Pollution. When complex health or safety issues are involved, it may be appropriate for companies to engage external experts for a separate health impact assessment.

Where possible, use available resources such as the International Finance Corporation (IFC) Introduction to Health Impact Assessment and the World Bank Group Industry Sector Environmental, Health and Safety Guidelines for Mining.⁸⁴

⁸² IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>

⁸³ See IFC Performance Standard 4: Community Health, Safety, and Security: https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/performance-standards/ps4

⁸⁴ For further guidance, see IFC Introduction to Health Impact Assessment: <https://www.ifc.org/wps/wcm/connect/e7f68206-7227-4882-81ad-904cd6387bb7/HealthImpact.pdf?MOD=AJPERES&CACHEID=ROOTWORKSPACE-e7f68206-7227-4882-81ad-904cd6387bb7-jqeABQN> and WB Industry Sector EHS Guidelines for Mining <https://www.ifc.org/wps/wcm/connect/595149ed-8bef-4241-8d7c-50e91d8e459d/Final%2B-%2BMining.pdf?MOD=AJPERES&CVID=jqezAit&id=1323153264157>



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Both the identification of potential mining, refining and smelting related health and safety impacts, as well as the mitigation of those impacts will be most successfully achieved when undertaken in partnership with local stakeholders such as local community representatives, government officials, health service providers, public health officials, and community development workers, as well as mine workers who live in communities.⁸⁵

Performance Determination:

Does Not Meet

We have not implemented a policy to avoid, minimize, reduce and compensate for adverse project-related impacts on community health and safety.

Partially Meets

We have begun to develop policies, procedures and practices (a management system) to avoid, minimize, reduce and compensate for adverse project-related impacts on community health and safety, but implementation has not started or is incomplete.

Fully Meets

We have developed and implemented a policy, procedures and practices (a management system) to avoid, minimize, reduce and compensate for adverse project-related impacts on community health and safety, in partnership with local stakeholders.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Corporate or site level policy expressing the company's commitment to community health and safety;
- Legal register of applicable local regulations (for example, Control of Industrial Major Accident Hazard (CIMAH) regulations) and procedure for monitoring changes in the laws;
- Environmental and Social impact assessments;
- Health risk / impact assessments;
- Stakeholder mapping records;
- Stakeholder engagement reports;
- Identification of community health indicators;
- Community health monitoring reports;
- Documentation of avoidance and/or of mitigation and compensation measures;
- Grievance procedure;

⁸⁵ IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>



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- Records of lodged grievances relating to community health and safety;
- Records of grievance resolutions;
- Assurance claim on publicly available website, annual report, or corporate sustainability report;
- Third-party assurance or certification of the management system
- Site-level audit of management system implementation (implementation observed at the site / facility);
- Indicators of community health and safety identified and measured on a regular basis;
- Implemented measures to avoid or minimize adverse impacts on community health and safety.

Site assessment:

During interviews with management, managers can demonstrate understanding of the organization's policy and know where to find a written or formal electronic copy of the policy on community health and safety. They can describe how they carry out health risk / impact assessments to identify significant potential risks and impacts to community health and safety, how they are linked to the company's other systems on environmental management, such as pollution and waste. They can demonstrate how they implement mitigation measures if potential impacts are identified. They can describe how they engage relevant community members and stakeholders on community health and safety including reporting on impacts and monitoring results. They can describe clear lines of accountability and responsibility within the organization for the oversight and implementation of the system. They can describe how community members and stakeholders are made aware of the company's policy community health and safety including the grievance mechanism.

During interviews with community members and stakeholders, they can demonstrate a basic understanding of the company's policy on community health and safety and confirm that they receive reports relating community health and safety. They can describe how to lodge grievances if they have concerns on community health and safety (note that grievance mechanisms are covered under issue area 3 Stakeholder Engagement).

During the site walk through and visits to local communities, the assessor can does not observe negative impacts on community health and safety caused by the operation.



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24 Community Development

RRA ISSUE AREA: COMMUNITY DEVELOPMENT

To identify community needs in consultation with affected communities, develop a plan, and commit resources to support community development.

Explanation:

Companies typically contribute national and local economic benefits through payments in taxes and royalties and can contribute even more by procuring goods and services from the host country. In addition, companies should consider community development needs and allocate resources to support community development plans developed in consultation with affected stakeholders.

Investing in local communities can help a company establish and maintain good relationships with stakeholders and can improve the positive impact of a project. Strategic community investment can also encourage partnerships between communities and local governments. By involving and building the capacity of local authorities, social investment programs may help support governments in better responding to their citizens. In addition, government involvement can aid the sustainability of a company's community investment, preparing local authorities to eventually take over programs initiated by the company.

Examples of community development initiatives include:

- Creating local employment opportunities through training, employment and staff retention;
- Supporting local procurement by investing in local financial institutions and enterprise development programs);
- Promoting educational opportunities by liaising with local and regional educational centers; and
- Training local community members in environmental monitoring and natural resource management.

In all cases, meaningful community development takes an inclusive approach, considering the priorities of all parts of a community and paying particular attention to the needs and participation of disadvantaged and vulnerable groups—for example, creating opportunities for women to participate more meaningfully in decision-making, or investing in children's safety, education and health.⁸⁶

Performance Determination:

Does Not Meet

⁸⁶ Adapted from Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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We have not assessed the needs of the community around our operation and no plans have been developed to make contributions to or support development in affected communities.

Partially Meets

We have begun to assess the needs of the community around our operation and have begun to develop a plan to make contributions to or support development in affected communities, but its implementation has not started or is incomplete.

Fully Meets

We have completed a community [needs assessment](#), and we have developed and are implementing a plan to make contributions to or support community development.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Corporate or site level community development policy;
- Community development plan;
- Records of community initiatives undertaken/in progress;
- Stakeholder mapping records;
- Stakeholder engagement plan;
- Documentation of stakeholder consultation;
- Completed community needs assessment;
- Completed community development plan;
- Planned annual budget or register of planned in-kind (non-financial) contributions;
- Records of stakeholder inputs to the development plan;
- Local content policy and evidence of its implementation (i.e. through reporting against performance indicators);
- Share of revenue from site / facility to a community program/foundation;
- Audited accounts or company warrant confirming payment of premium;
- Community initiative monitoring reports;
- Community allocated shareholding in operating entity.

Site assessment:

During interviews with management, managers can demonstrate understanding of community development initiatives being carried out by the company. Management can explain how affected communities were identified and consulted in the development of the initiatives. Management can confirm that a community needs assessment was conducted and can describe the development plan. The company has community development indicators and monitors and evaluates the impacts of the projects.



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During interviews with community representatives, local community organizations and other relevant stakeholders, they can demonstrate a basic understanding of the company's community development initiatives and confirm that they are consulted on community development issues and receive reports relating to community development initiatives. They can describe how to lodge grievances if they have concerns on community development (note that grievance mechanisms are covered under issue area 3 Stakeholder Engagement).



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25 Artisanal and Small-Scale Mining

RRA ISSUE AREA: ARTISANAL AND SMALL-SCALE MINING

To engage artisanal and small-scale miners (ASM) and facilitate their formalization and improvement of their environmental and social practices, where there are known to be legitimate ASM in the sphere of influence of the site / facility.

Explanation:

The topic of ASM is also included under the OECD Due Diligence Guidance referenced in issue area 31 Due Diligence in Mineral Supply Chains.

The OECD defines artisanal and small-scale mining (ASM) as formal or informal operations with predominantly simplified forms of exploration, extraction, processing and transportation. ASM is normally low capital intensive and uses high labor-intensive technology. ASM can include men and women working on an individual basis as well as those working in family groups, in partnership or as members of cooperatives or other types of legal associations and enterprises involving hundreds or thousands of miners.⁸⁷ The ASM sector is complex and diverse. It includes individuals or families mining to earn or supplement their livings, as well as small-scale commercial operations with relatively high levels of institutional capacity.

ASM is a significant employer for families and communities that have few other choices; it is considered the second largest rural livelihood next to agriculture providing a direct income for 40 million globally, and another 150 million indirectly. ASM produces around 20% of the world's gold supply and up to 80% of the world's gemstones, and contributes substantially to the supply of critical metals, essential for an increasingly technologically driven global economy. ASM holds the potential to provide decent livelihoods if conducted in an organized and responsible manner and afforded more secure access to capital and markets.

ASM relies on a mostly unskilled workforce using rudimentary tools and techniques. Where ASM occurs, it can be associated with child labor, forced labor, poor worker health and safety, and environmental impacts. For example, where there is little personal protection equipment available to workers, dust and fine particles from blasting and drilling can cause respiratory illnesses, or falling debris in deep pits can result in physical harm. If uncontrolled, ASM might also encroach on farmland and degrade crops, bringing mine workers into conflict with local communities or small-holders. Not all ASM is linked to pollution and hazardous materials, but where chemicals are used, such as at artisanal gold sites⁸⁸, streams and rivers can become polluted affecting fish stocks and water made unsafe for drinking.

⁸⁷ OECD Due Diligence Guidance for Responsible Mineral Supply Chains:

<https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>

⁸⁸ Adapted from 'Global Trends in Artisanal and Small-Scale Mining (ASM): A review of key numbers and issues' (2018): <https://www.iisd.org/sites/default/files/publications/igf-asm-global-trends.pdf>



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ASM sometimes occurs in areas close to or on large-scale mining (LSM) concessions. ASM miners may have traditionally operated in those areas, full-time or seasonally, or in other cases miners may have arrived during LSM exploration or after the development of the large-scale mine. Given the diversity within the ASM sector, it is understandable that interactions between LSM and ASM entities can also take on a variety of forms, from violent confrontation to harmonious co-existence.

Large-scale mines that operate in the same regions as ASM, or that purchase minerals produced by ASM, have the opportunity to use their influence and contribute to positive transformations in the ASM sector. The RMI does not seek to prohibit engagement with ASM but rather encourages companies to foster positive relationships between large-scale mines and legitimate ASM entities.⁸⁹

Legitimate ASM refers to ASM that is consistent with applicable laws. While in some countries, the activities of ASM are covered by national laws and regulations, in others the legality of ASM can be unclear. When the applicable legal framework is not enforced, or in the absence of such a framework, the assessment of the legitimacy of artisanal and small-scale mining should take into account the good faith efforts of artisanal and small-scale miners and enterprises to operate within the applicable legal framework (where it exists) as well as their engagement in opportunities for formalization as they become available. Formalization is not only progress towards legality, but also the development of ASM that increases professionalism of ASM operations and provide positive livelihood opportunities and is protective of human rights, health, safety and the environment.

ASM formalization can be supported by:

- Providing financing (loans) for technical and other improvements;
- Assisting and training miners on a range of issues (for example, occupational health, reclamation, mining and processing methods, value added processes, organisational and financial management, explosives management);
- Aiding miners in the determination of mineral reserves (combined with support for access to financing);
- Providing emergency response services;
- Providing guidance on marketing and commercialisation, including fair trade arrangements;
- Proactively supporting alternative livelihoods, economic development, and other improvements in ASM communities;
- Eliminating child labor as a condition of engagement in the community; and,⁹⁰

⁸⁹ Adapted from IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>

⁹⁰ Adapted from Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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- Respecting human rights as a condition of engagement between ASM and the company.

While the RMI expects companies to engage and support ASM, it is recognized that this is not always possible. ASM operations, as with any mining enterprise, cannot be considered legitimate when it contributes to conflict, corruption, criminal activities or serious abuses associated with the extraction, transport or trade of minerals as defined in Annex II of the (OECD Due Diligence) Guidance.⁹¹

Performance Determination:

Does Not Meet

Where there are known to be legitimate ASM in the sphere of influence of the site / facility, we have not engaged ASM.

Partially Meets

Where there are known to be legitimate ASM in the sphere of influence of the site/facility, we have begun to develop policies and procedures engage ASM on formalization and improvement of their environmental and social practices, but the implementation of our program has not started.

Fully Meets

Where there are known to be legitimate ASM in the sphere of influence of the site / facility, we engage with ASM on formalization and to improve their environmental and social practices at their operations.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy that commits the site / facility to playing a positive role in formalization of ASM operators;
- Records of engagement with ASM;
- Social and environmental impact assessments;
- Measures to support ASM formalization;
- ASM monitoring reports;
- Evidence of participation in initiatives that enable the professionalization and formalization of ASM;

⁹¹ OECD Due Diligence Guidance for Responsible Mineral Supply Chains:
<https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>



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- Evidence of initiatives supporting the improvement of ASM environmental and social practices;
- Up-to-date ASM engagement plan and register of completed engagement activities;
- Increase in licensed operations amongst ASM with which site / facility has engaged;
- ASM incorporation/registration as legal entities (e.g. co-operatives or equivalent);
- The process of designation and segregation of the concession has been ratified by the relevant government department;
- Access to the segregated area has been formally handed over to the ASM;
- HSE and OHS standards are set and monitored.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's practices on ASM and can describe how they engage directly with the ASM community as appropriate. The company seeks to maintain a continuous dialogue with them as a distinct group within the stakeholder engagement program. Management can demonstrate that they are actively participating in initiatives, including multi-stakeholder initiatives, that enable the professionalization, formalization of ASM and initiatives that improve the social and environmental practices of ASM. They can describe how community members and stakeholders are made aware of trained on the company's policy on ASM.

During interviews with community members and stakeholders, they can demonstrate a basic understanding of the company's policy on ASM and confirm that the company engages with them on issues relating to professionalization, formalization, as well as social and environmental good practices of ASM.



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26 Human Rights

RRA ISSUE AREA: HUMAN RIGHTS

To implement the UN Guiding Principles on Business and Human Rights including human rights due diligence.

Explanation:

The United Nations Guiding Principles on Business and Human Rights (the Guiding Principles) address the growing risk of adverse impacts on human rights linked to business activity. Endorsed by the United Nations Human Rights Council in June 2011, the Guiding Principles establish a minimum global standard on human rights for all business enterprises. They require businesses to avoid, prevent or mitigate negative impacts directly linked to their operations, products and services, or business relationships.⁹²

Human rights due diligence requirements include the following steps:

- establishing a human rights policy commitment;
- assessing human rights risk and impacts (human rights due diligence or human rights impact assessment);
- preventing, mitigating and remediating of human rights impacts;
- monitoring; and
- reporting.

Human rights due diligence should include issue area 31 on Due Diligence in Mineral Supply Chains, which requires companies to implement the OECD Due Diligence Guidance on Conflict-Affected and High-Risk Areas. The OECD Due Diligence Guidance requires that companies sourcing from, or operating in, conflict-affected and high-risk areas, neither tolerate nor by any means profit from, contribute to, assist with or facilitate the commission by any party of:

- i. any forms of torture, cruel, inhuman and degrading treatment;
- ii. any forms of forced or compulsory labor;
- iii. the worst forms of child labor;
- iv. other gross human rights violations and abuses such as widespread
- v. sexual violence;
- vi. war crimes or other serious violations of international humanitarian law, crimes against humanity or genocide.⁹³

Companies should define the scope of their human rights due diligence based on an assessment of their stakeholders, activities, and impacts.

⁹² Adapted from IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>

⁹³ OECD Due Diligence Guidance for Responsible Mineral Supply Chains: <https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>



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Performance Determination:

Does Not Meet

We have not implemented the UN Guiding Principles on Business and Human Rights nor have in place policies, procedures or practices (a management system) to uphold our human rights commitments.

Partially Meets

We have begun to implement the UN Guiding Principles on Business and Human Rights and/or we have begun to develop policies, procedures and practices (a management system) to uphold our human rights commitment, but implementation has not started or is incomplete.

Fully Meets

We fully implement the UN Guiding Principles on Business and Human Rights, we have in place policies, procedures and practices (a management system) to uphold our human rights commitment, and we publish, at least annually, our performance against the commitment.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy commitment to implementing the UN Guiding Principles, or, should it not refer to the UN Guiding Principles directly, that commits the company to protecting, respecting and remedying human rights through a systemic approach;
- Human rights due diligence or human rights impact assessment;
- Evidence of communication of the Human Rights Policy to employees, suppliers and other stakeholders, e.g. web pages, office posters, intranet pages, letters, contracts, sustainability or annual reports;
- Records of any remediation actions taken;
- Evidence of communication of remedial actions;
- Supply chain risk assessment;
- Grievance procedure;
- Records of lodged grievances;
- Identified and implemented measures to avoid or minimize adverse impacts on human rights;
- Functioning grievance mechanism.

Site assessment:



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During interviews with management, managers can demonstrate understanding of the company's policy on human rights and can describe the three concepts underpinning the UN 'Protect, Respect and Remedy Framework' on business and human rights. They can also demonstrate how they define the scope of their human rights due diligence and how they consider all potential and actual impacts in their operations and business relationships. They can describe the human rights due diligence process to identify, prevent, mitigate and account for adverse human rights impacts that are connected to the business. They can demonstrate that they communicate regularly with stakeholders about their human rights due diligence efforts and remedy activities. They can describe clear lines of accountability and responsibility within the company for the oversight and implementation of the UN Guiding Principles. Management can describe how employees and stakeholders are made aware of the company's policy on human rights including the grievance mechanism.

The human rights governance and management system is structured and integrated into the corporate risk system.

During interviews with workers, employees can demonstrate a basic understanding of the company's policy on human rights and know where to find a written or formal electronic copy of the policy. They can demonstrate that they are aware of how to report and seek remedy in cases of human rights violations. They confirm they have received training on the policy.

During interviews with other stakeholders, including for example business partners, suppliers, and local communities, they can demonstrate a basic understanding of the company's policy and can demonstrate that they are aware of how to report and seek remedy in cases of human rights violations. They can demonstrate that the company engages with them on issues relating to human rights.



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27 Security and Human Rights

RRA ISSUE AREA: SECURITY AND HUMAN RIGHTS

To implement the Voluntary Principles on Security and Human Rights (VP on SHR) when engaging with private or public security forces.

Explanation:

Security risks to operations may result from political, economic, civil or social factors. The role of public or private security forces used in relation to mining or smelting and refining operations should be to maintain the rule of law, including safeguarding human rights; provide security to workers, equipment and facilities; and protect the site or transportation routes from interference with legitimate extraction and trade.

Security arrangements that are founded on a substantial understanding of the context, stakeholders and international best practice can help a company reduce the potential for violent conflicts with communities or workers; contribute to peace and stability in the regions where it operates; and demonstrate respect for the human rights of stakeholders affected by their operations.⁹⁴

The management of security arrangements should include:

- Policies and Commitments Related to Security and Human Rights (e.g. the Voluntary Principles on Security and Human Rights);
- Security Risk Assessment and Management;
- Due Diligence Prior to Hiring Security Personnel;
- Training of security personnel;
- Management of Security Incidents;
- Communication and Disclosure.⁹⁵

Security risk assessments and due diligence of security providers are also related to the issue areas on 31 Due Diligence in Mineral Supply Chains in the context of operating in conflict-affected and high-risk areas and on 26 Human Rights in the context of conducting human rights due diligence.

Performance Determination:

Does Not Meet

We do not implement the Voluntary Principles on Security and Human Rights.

Partially Meets

⁹⁴ IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>

⁹⁵ Adapted from IRMA (*ibid*)



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We have begun to implement the Voluntary Principles on Security and Human Rights, but implementation has not started or is incomplete.

Fully Meets

We have fully implemented the Voluntary Principles on Security and Human Rights.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- A signed agreement or commitment from security personnel to respect the human rights and dignity of all people;
- Human rights and security policy that commits the site to implement the Voluntary Principles on Security and Human Rights.
- Risk assessments undertaken as outlined in the Voluntary Principles and findings
- Evidence of monitoring security personnel;
- Records of any investigations and resulting disciplinary action taken, including internal committee meetings minutes, management reports, communications with security personnel;
- Evidence that security personnel are trained in human rights, e.g. training materials, attendance sheets or certificates;
- Sample contracts with security providers;
- Security personnel operation records, such as performance reviews, observational records;
- Rules of engagement;
- Evidence that security service providers are signatories to the International Code of Conduct for Private Security Service Providers, if applicable;
- Agreements for the provision of public security include references to the Voluntary Principles.
- Interactions with private security providers undertaken in accordance with Voluntary Principles.
- Annual report on efforts to implement the Voluntary Principles.
- Report on conformance with Voluntary Principles on Security and Human Rights.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's policy and can demonstrate that they have carried out security risk assessments and implemented mitigation measures where required. They can describe how they ensure that security personnel respect the human rights and dignity of all people and use force only when strictly necessary and the minimum proportionate to the threat. They can describe clear lines of accountability and responsibility within the



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company for the oversight and implementation of the policy on security and human rights. Management can describe how designated employees and contractors are trained on the company's security policy.

During interviews with relevant employees and security personnel, they can demonstrate a basic understanding of the company's security policy and know where to find a written or formal electronic copy of the policy. They have received training on the policy and can describe how to lodge grievances if they have concerns on security measures. Stakeholders confirm that they know how to lodge grievances if they have concerns on security measures.



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28 Indigenous Peoples Rights

RRA ISSUE AREA: INDIGENOUS PEOPLES RIGHTS

To implement a management system to respect the rights of Indigenous Peoples, including [free, prior and informed consent \(FPIC\)](#); avoid adverse impacts on Indigenous Peoples' lands, livelihoods, resources, and cultural heritage; and develop and implement an Indigenous Peoples' engagement plan.

Explanation:

Natural resources, in particular mineral deposits, are often situated under land closely associated with Indigenous Peoples – through claim, custom or ownership. This association creates specific obligations for companies, as well as unique challenges and opportunities that require great sensitivity to understand and address.

Indigenous Peoples are often historically disadvantaged, discriminated against and dispossessed of their lands. They are also likely to be more vulnerable to negative impacts from industrial developments, particularly those that adversely impact culture and natural resources. Addressing these issues requires special attention to the interests and rights of indigenous groups across all stages of the mining project life cycle.

At the international level, Indigenous Peoples' rights are enshrined in the UN Declaration on the Rights of Indigenous Peoples and ILO Indigenous and Tribal Peoples Convention 169.⁹⁶ Legislation in some countries requires mining companies to engage with Indigenous Peoples (or ethnic minority groups or local communities, depending on the local definitions used) and, in accordance with international standards, should seek their consent before starting a mining operation on their land.

Companies should commit to work to obtain the consent of indigenous communities for new projects (and significant changes to existing projects) that are located on lands traditionally owned by or under customary use of indigenous peoples and are likely to have significant adverse impacts. Responsible mining companies should implement Free, Prior and Informed Consent (FPIC) as a principle to be respected to the greatest degree possible.⁹⁷

Performance Determination:

Does Not Meet

⁹⁶UNDRIP: <https://www.un.org/development/desa/indigenouspeoples/declaration-on-the-rights-of-indigenous-peoples.html>; ILO169:

https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C169

⁹⁷ Adapted from ICMM: <https://www.icmm.com/indigenous-peoples>



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Where there are known to be Indigenous Peoples communities or groups in the sphere of influence of our site/facility, we do not consult with Indigenous Peoples, identify potential adverse impacts, or develop a specific Indigenous Peoples engagement/development plan or strategy.

Partially Meets

Where there are known to be Indigenous Peoples communities or groups in the sphere of influence of our site/facility, we have begun to develop an FPIC process with Indigenous Peoples; to avoid adverse impacts on Indigenous Peoples' lands, livelihoods, resources, and cultural heritage; and to develop a specific Indigenous Peoples engagement/development plan or strategy, but implementation has not started or is incomplete.

Fully Meets

Where there are known to be Indigenous Peoples communities or groups in the sphere of influence of our site/facility, we continue to have FPIC of and good working relationships with the Indigenous Peoples communities or groups, we avoid adverse impacts on Indigenous Peoples' lands, livelihoods, resources, and cultural heritage; and we are implementing a specific Indigenous Peoples engagement/development plan.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy on Indigenous Peoples and Free, Prior and Informed Consent (FPIC);
- Assessments of risks and potential adverse impacts on indigenous peoples' lands, livelihoods, resources, and cultural heritage;
- Procedures for engaging affected indigenous peoples;
- Documentation of consultation and engagement activities;
- Documentation of consent/approval/support given by affected indigenous peoples;
- Signed agreements with Indigenous Peoples community leaders, with evidence of appropriate FPIC processes;
- Indigenous Peoples' Plan/Strategy that includes a specific Environmental and Social Impact Assessment (ESIA), [Environmental](#) and Social Management Plan and monitoring protocols and reports;
- Documentation of partnerships or programs to provide benefits and mitigate impacts;
- Documentation of avoidance of impacts and/or of mitigation and compensation measures;
- Active grievance mechanism that is appropriate for Indigenous Peoples communities.



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Site assessment:

Prior to visiting the operation, the assessor will carry out desk research to identify whether indigenous people's rights violations are associated with the operation's setting, as well as identify past incidents.

During interviews with management, managers can demonstrate understanding of the company's policy on Indigenous Peoples and can demonstrate that they respect the rights of Indigenous Peoples. They can describe how they respect the rights, interests, aspirations, culture and natural resource-based livelihoods of Indigenous Peoples. They can demonstrate that the company engages and consults with Indigenous Peoples in a fair, timely and culturally appropriate way throughout the mining lifecycle to seek consent for its activities. The company can demonstrate that it minimizes adverse impacts on Indigenous Peoples.

Management can describe clear lines of accountability and responsibility within the organization for the oversight and implementation of the Indigenous Peoples policy. They can describe how Indigenous Peoples and stakeholders are made aware of company's policy including the grievance mechanism.

During interviews with Indigenous Peoples, they can demonstrate a basic understanding of the company's policy and confirm that they are aware of how to report and seek remedy in cases where their rights are not respected. They can demonstrate that the company engages with them on issues relating to their rights. They confirm that the company minimizes adverse impacts.



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29 Land Acquisition and Resettlement

RRA ISSUE AREA: LAND ACQUISITION AND RESETTLEMENT

Where land acquisition or resettlement is necessary: to implement a policy to explore all viable alternative project designs to avoid and/or minimize land acquisition and physical or economic displacement and to implement a resettlement action plan to fairly address and compensate for residual adverse impacts.

Explanation:

In some cases, by virtue of the location of a mineable ore body, proposed mining projects are located in close proximity to where people live. The situation where those affected do not have the legal right to refuse land acquisition and displacement is referred to as involuntary resettlement. Companies should avoid involuntary resettlement if possible. When avoidance is not possible, companies should strive to minimize impacts on affected people, implement mitigation measures such as fair compensation and improvements to livelihoods and living conditions that are discussed ahead of time with affected stakeholders. Active engagement of affected stakeholders and their advisors is required throughout the process, from the earliest stages of resettlement risk and impact assessment through the monitoring of resettlement outcomes.⁹⁸

Negotiated settlements to acquire land rights or access can help avoid expropriation at mining projects and eliminate the need for a state authority to remove people forcibly. Such settlements can usually be achieved by offering affected people fair and appropriate compensation and/or reparations and other incentives or benefits. In-kind compensation should always be considered in lieu of cash, for example land-for-land compensation for communities whose livelihoods are land-based. In all cases, resettlement should at least restore, and preferably improve, the livelihoods and economic well-being of those affected.

Negotiations will also need to include diverse measures to allow the effective participation of disadvantaged or vulnerable groups, including all those using the land whether they have a legal right to do so or otherwise (for example, artisanal and small-scale miners). The resettlement negotiations should be based on a resettlement plan that includes a full impact assessment, and which should be shared in an open and transparent way.⁹⁹

Performance Determination:

⁹⁸ Adapted from IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>

⁹⁹ Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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Does Not Meet

We have not considered the avoidance of land acquisition or resettlement in our project designs.

Partially Meets

We have begun to develop a policy to avoid and/or minimize land acquisition and resettlement (including the absence of a resettlement action plan), but implementation has not started or it is incomplete.

Fully Meets

We have a fully implemented policy to avoid and/or minimize land acquisition and resettlement, and our projects' design has been optimized to minimize land acquisition and avoid resettlement and a resettlement action plan has been developed to address residual impacts.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy that commits to minimizing land acquisition and resettlement and developing a resettlement action plan;
- Procedure for minimizing and mitigating adverse resettlement impacts;
- Project design that avoid requirement for resettlement;
- Disclosure of trade-off studies completed to optimize project design (e.g. in feasibility study);
- Evolution of land acquisition and resettlement estimates from project scoping study, through pre-feasibility study (PFS) to definitive feasibility study (DFS);
- Resettlement action plan / Livelihood restoration plan with detailed budget and compensation measures;
- Monitoring and evaluation reports;
- Public statement (annual report, website, regulatory submissions, filings, corporate sustainability report) confirming that no communities or indigenous people have been resettled.
- Third-party assurance that no communities or indigenous people have been resettled.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's resettlement policy and can demonstrate that they use all the available mechanisms to avoid involuntary resettlement. They can describe the process that is followed where resettlement is unavoidable. In cases where resettlement is



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unavoidable, they can demonstrate that impacts are minimized and appropriate measures to mitigate adverse impacts are planned and implemented. They can explain how affected stakeholders are involved in the design of resettlement programs. Management can demonstrate how they implement the resettlement action plan and how they address the residual impacts.

Management can describe clear lines of accountability and responsibility within the organization for the oversight and implementation of the system. They can describe how community members and stakeholders are made aware of company's policy on resettlement including the grievance mechanism.

During interviews with community members and stakeholders, they can demonstrate a basic understanding of the company's policy on resettlement and confirm that the company engages with them on issues relating to resettlement. They can demonstrate that they are aware of how to report and to seek remedy in cases where they have concerns about resettlement.



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30 Cultural Heritage

RRA ISSUE AREA: CULTURAL HERITAGE

To identify cultural heritage sites and to establish a process based on consultation with stakeholders to avoid, minimize, reduce and compensate for adverse impacts on cultural heritage.

Explanation:

Cultural heritage is the legacy of physical structures, landscapes and artifacts, as well as intangible attributes of a group or society, such as language, activities or knowledge that has cultural, scientific, spiritual or religious value. Over time, mining and other forms of industrial development can cause profound and irreversible damage to cultural heritage. Mining activities can destroy or damage [tangible cultural heritage](#), such as historical buildings, ancient artifacts, burial grounds or sites of spiritual significance. Damage to [intangible cultural heritage](#) may also occur, for example, as a result of inappropriate visitation of sites or the inappropriate use of traditional knowledge.¹⁰⁰

Companies should identify and protect cultural heritage by ensuring that internationally recognized practices for the protection, field-based study, and documentation of cultural heritage are implemented. This includes but is not limited:

- Conducting cultural impact assessments / cultural heritage risk assessments;
- Establishing chance find procedures;
- Consulting with affected communities;
- Ensuring access for communities to cultural heritage affected by the project;
- Minimizing adverse impacts and implementing restoration measures.¹⁰¹

Performance Determination:

Does Not Meet

We have not identified cultural heritage sites or consulted with stakeholders on the risks to cultural heritage from our site's / facility's activities.

Partially Meets

We have begun to develop a process to manage risks to culture and heritage based on consultation with stakeholders, but implementation has not started or is incomplete.

Fully Meets

¹⁰⁰ Adapted from IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>

¹⁰¹ Adapted from IFC Performance Standard 8: Cultural Heritage:

https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/performance-standards/ps8



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We have a fully implemented a process to manage risks to culture and heritage associated with our activities that is based on consultation with our stakeholders.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Policy that commits to implementing a process to manage risks to culture and heritage based on stakeholder consultation;
- Mapping of intangible or tangible cultural heritage in the area of influence;
- Evidence of identification of potential risks to cultural heritage and implementation of mitigation measures;
- Cultural Heritage risk/impact assessments;
- Cultural Heritage Management Plan;
- Chance find procedures
- Environmental and social impact assessment report;
- Stakeholder maps;
- Stakeholder engagement reports;
- Local governance report or ONG report
- Documentation of avoidance and/or of mitigation and compensation measures;
- Environmental and social management plan;
- EIA license;
- Assurance claim on public website, annual report, or corporate sustainability report.

Companies that do not have adverse impacts on cultural heritage may provide evidence of support to projects that contribute positively to protecting or restoring cultural heritage, for example:

- Planned annual budget or register of planned contributions;
- Cultural Heritage project plan and monitoring reports.

Site assessment:

During interviews with management, managers can demonstrate understanding of the company's cultural heritage policy and can describe the assessment process, development and implementation of mitigation measures related to the management of cultural heritage. They can demonstrate that they fully implement the cultural heritage management plan including the mitigation measures to protect cultural heritage.

Management can describe how community members and stakeholders are made aware of company's policy on cultural heritage including the grievance mechanism.



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During interviews with community members and stakeholders, they can demonstrate a basic understanding of the company's policy on cultural heritage and they confirm that the company engages with them on issues relating to cultural heritage. They can demonstrate that they are aware of how to seek remedy in cases where they have concerns about cultural heritage impacts of the company's operations.



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31 Due Diligence in Mineral Supply Chains

RRA ISSUE AREA: DUE DILIGENCE IN MINERAL SUPPLY CHAINS

To implement the OECD Due Diligence Guidance on Conflict-Affected and High-Risk Areas.

Explanation:

Mining projects can take place in areas where there are existing or potential conflicts or socio-political instability that can adversely affect the project and local stakeholders. In some cases, conflict may be external to the company's operation, and in other cases conflict may be caused, exacerbated or supported by a company's activities or presence in an area. Developing suitable responses when operating in or sourcing minerals from conflict-affected or high-risk areas is challenging, but guidance exists to assist companies in identifying, assessing and mitigating risks and impacts associated with operating in those areas. The most widely accepted framework is the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (OECD Guidance).¹⁰²

Due diligence in this context refers specifically to the proactive and reactive process undertaken by a business to identify and assess risks related to conflict-affected and high-risk areas (CAHRAs). These risks are outlined in Annex II of the OECD Guidance and include gross human rights violations, torture, forced or compulsory labor, war crimes, support to non-state armed groups or public or private security forces, bribery and fraudulent misrepresentation of the origin of minerals, money laundering and non-payment of taxes. For the purposes of this Guidance, "risks" are defined in relation to the potentially adverse impacts of a company's operations, which result from a company's own activities or its relationships with third parties, including suppliers and other entities in the supply chain. Adverse impacts may include harm to people (i.e. external impacts), or reputational damage or legal liability for the company (i.e. internal impacts), or both. Such internal and external impacts are often interdependent, with external harm coupled with reputational damage or exposure to legal liability.

Due diligence provides companies with the information they need to identify risks in order to prevent or mitigate adverse impacts associated with their sourcing practices. The RMI encourages companies to source and operate responsibly from/in CAHRAs. Companies that source or use minerals from CAHRAs can also play an effective role in supporting livelihoods, economic growth and prosperity, and due diligence enables this.¹⁰³

See also related issue area 25 Artisanal and Small-Scale Mining and 26 Human Rights.

¹⁰² Adapted from IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/>

¹⁰³ Adapted from Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>



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Companies must take reasonable steps and make good faith efforts to conduct due diligence. Due diligence management systems vary, depending on the size of the company and the complexity of its supply chains.

Due diligence is an active process, which results in a responsible sourcing program that is:

- Ongoing: seamlessly integrated into a company's management systems and daily processes;
- Proactive: designed and implemented to identify and mitigate risks to prevent negative outcomes;
- Reactive: able to respond promptly to risks (both actual and potential).
- Risk based: with a level of detail and effort that matches the potential risk in a company's supply chains;
- Allowing for continuous improvement: companies may be starting with very little understanding of risks in their supply chains and work to improve their systems and understanding over time.¹⁰⁴

The OECD Guidance offers specific recommendations through a five-step framework which is global in scope and can be applied to all mineral types.

The five steps are:

- Establish strong company management systems;
- Identify and assess risk in the supply chain;
- Design and implement a strategy to respond to identified risks;
- Carry out independent third-party audit of supply chain due diligence at identified points in the supply chain;
- Report on supply chain due diligence.

The OECD Guidance in Annex II further specifies possible risk mitigation strategies for companies to adopt. These include the continuation of business relationships during mitigation, the suspension of business relationships during mitigation or the termination of business relationships.

Performance Determination:

Does Not Meet

We have not implemented a policy or completed due diligence that conforms with the OECD DDG.

Partially Meets

¹⁰⁴ Adapted from Responsible Jewellery Council Code of Practices Guidance:
<https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>.



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We have begun to develop a policy and to complete a due diligence that conforms with the OECD DDG, but implementation has not started or is incomplete.

Fully Meets

We have a fully implemented a policy and completed a due diligence that conforms with the OECD DDG.

For further detail on the performance determination, Producers should refer to specific standards applicable to their metal, for example:

- The Copper Mark Due Diligence Standard
- The RMI-ITA Joint Assessment Criteria
- RMI SNTA Standard
- RMI Tungsten Standard
- RMI Gold Standard
- LBMA Responsible Gold Guidance
- Responsible Jewellery Council Code of Practices

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- Completed Due Diligence Tool or questionnaire that is aligned with the OECD DDG five steps
- Screening analysis reports;
- Policy for supply chains of minerals originating from CAHRAs
- Publicly available Step 5 due diligence reports;
- Reports from country risk assessment of management systems and sourcing practices and their alignment with the OECD DDG;
- Supply chain risk assessment reports and risk mitigation plan;
- Reports from on-the-ground risk assessments;
- Records of communication with public, supply chain partners and other relevant stakeholders.
- Public statement (annual report, website, regulatory submissions, filings, corporate sustainability report) of involvement in joint initiatives or institutionalized mechanisms (please contact the RMI for further information on such initiatives);
- Third-party assurance statement related to the implementation of the OECD DDG .

Site assessment:



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During interviews with management, managers can demonstrate understanding of the company's policy on sourcing from conflict-affected and high-risk areas (CAHRAs). They can demonstrate that they exercise due diligence over their supply chains in accordance with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas. They can describe the OECD Guidance five-step framework and OECD Annex II risks. They can demonstrate that they communicate the supply chain policy consistent with Annex II of the OECD Guidance to business partners with respect to sourcing from CAHRAs. They can demonstrate that are aware of resources used to identify a CAHRA and identify red flags associated with mineral supply chains.

Management can describe clear lines of accountability and responsibility within the company for the oversight, implementation and reporting of the due diligence program. They can describe how suppliers and business partners are made aware of company's policy on conflict-affected and high-risk areas.

During interviews with relevant employees and suppliers, they can demonstrate a basic understanding of the company's policy on sourcing from CAHRAs and confirm that they have received training on the policy and associated due diligence procedures.



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32 Transparency and Disclosure

RRA ISSUE AREA: TRANSPARENCY AND DISCLOSURE

Report annually on environmental, social and governance performance in line with internationally recognized standards (e.g. GRI) and to publicly support the implementation of EITI, and report where appropriate.

Explanation:

Transparency and disclosure of environmental, social and governance (ESG) performance is an increasing and evolving expectation of the private sector from a variety of stakeholders, including governments and regulators, investors and lenders, employees and prospective employees, clients and business partners, civil society, and communities. Transparency promotes accountability and enables third parties to understand and evaluate a company's performance and impacts.

Companies are increasingly incorporating ESG data into their public reporting, whether as part of their financial reports or as a stand-alone 'sustainability' or 'corporate responsibility' report. The Global Reporting Initiative (GRI) Sustainability Reporting Standards (GRI Standards) have been widely adopted for sustainability reporting, with 93% of the world's largest 250 corporations report on their sustainability performance.¹⁰⁵

When considering how to communicate ESG performance to stakeholders, companies should:

- Identify the key issues that are of interest to stakeholders and/or are material to the company;
- Disclose policies or positions with respect to key/material issues;
- Report on actions taken or plans to take actions with respect to key/material issues, for example in the company's own operations or through involvement in community or industry initiatives;
- Where possible, disclose quantitative or qualitative outcomes that the actions have achieved or are expected to achieve;
- Establish targets for improving performance over time.

The Extractive Industries Transparency Initiative (EITI) is a multi-stakeholder initiative comprised of governments, companies, civil society groups, investors and international organizations, which sets a global standard for companies to publish what they pay and disclose beneficial ownership, and for governments to disclose what they receive. In countries that have implemented the EITI, these requirements will be legally mandated.¹⁰⁶

¹⁰⁵ <https://www.globalreporting.org/Information/about-gri/Pages/default.aspx>

¹⁰⁶ Adapted from Aluminium Stewardship Initiative Performance Standard V2 Guidance: <https://aluminium-stewardship.org/asi-standards/asi-performance-standard/>



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EITI reporting is only required in countries that implement EITI.

Support for the EITI can be demonstrated as follows:

- Endorse the EITI Principles and Criteria, in the form of a policy or similar, and make this publicly available.
- Disclose all material payments made to participating governments in the form of taxes, royalties, signature bonuses and other forms of payments or benefits; and disclose beneficial ownership. This should be in the form of applicable reporting templates and country workplans. The EITI Business Guide provides advice as to EITI reporting requirements.
- Disclosure of payments to governments in non-EITI countries is also encouraged, where contract confidentiality provisions allow such disclosure.¹⁰⁷

Performance Determination:

Does Not Meet

We do not report on our environmental, social and governance performance, and do not support the implementation of or report in accordance with the EITI.

Partially Meets

We have begun to report on our environmental, social and governance performance, and to supporting the implementation of and reporting in accordance with the EITI (where applicable in an implementing country), but implementation has not started or is incomplete.

Fully Meets

We report annually on environmental, social and governance performance in line with internationally recognized standards (e.g. GRI). We publicly support the implementation of EITI, and report in line with the EITI, where required.

Verification:

Types of evidence:

The following are examples of documents a Producer can upload to demonstrate conformance:

- A policy that commits to annually reporting on our environmental, social and governance performance.
- A policy supporting the EITI and committing to report in accordance with the EITI (if applicable).

¹⁰⁷ Adapted from Aluminium Stewardship Initiative Performance Standard V2 Guidance:

<https://aluminium-stewardship.org/asi-standards/asi-performance-standard/>



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- Annual report on environmental, social and governance performance in line with an internationally recognized standard (e.g. GRI) that is publicly disclosed on public website.
- Materiality assessment;
- Public statement (annual report, website, regulatory submissions, filings, corporate sustainability report) of support for EITI.
- Publication of EITI report (if applicable).
- Disclosure of payments to governments;
- Documentation of participation in country-level EITI activities.

Site assessment:

During interviews with management, managers can demonstrate understanding of key/material ESG issues and of the EITI. They can describe how ESG data is reported and disseminated to key stakeholders.

During interviews with community members and stakeholders, they can demonstrate a basic understanding of the company's ESG performance. They can confirm that the company supports the EITI and/or has participated in EITI activities where the company operates in an EITI implementing country.



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Glossary

Term	Definition
Absolute	A fixed measurement that is not defined relative to some other measurement or value.
Abstraction [water]	Abstraction is the process of taking water from a ground source, either temporarily or permanently.
Annual leave	Paid annual leave is a normal part of working agreements, typically required by national and local law, and must be provided to employees as part of their benefits. Special leave, such as maternity, paternity and compassionate leave, should be provided for in compliance with applicable national law. Where national law does not exist, companies should follow international standards. ILO Convention -132 Holidays with Pay (Revised) 1970 stipulates at least three weeks of guaranteed holiday each year. ILO Convention -183 Maternity Protection 2000 provides for access to maternity leave for women following childbirth.
Anti-competitive behavior	A situation where businesses agree to prevent, restrict or distort their competition to affect trade, for example by fixing prices on goods and services, limiting or preventing production or supply, dividing markets or customers and rigging bids.
Area of Influence	An entity's Area of Influence encompasses, as appropriate, areas likely to be affected by: (a) an entity's activities and facilities, and/or impacts from unplanned but predictable developments that may occur later or at a different location, and/or indirect project impacts on biodiversity or on ecosystem services upon which affected communities' livelihoods are dependent; (b) associated facilities, which are facilities not controlled by the Entity but that would not have otherwise been constructed or expanded and without which the Entity's activities would not be viable; and (c) cumulative impacts that result from the incremental impact, on areas or resources used or directly impacted by the Entity's activities, from other existing, planned or reasonably defined developments at the time the risks and impacts identification process is conducted. ¹⁰⁸
Artisanal and small-scale mining (ASM)	Formal or informal operations with predominantly simplified forms of exploration, extraction, processing and transportation. ASM is normally low capital intensive and uses high labor-intensive technology. ASM can include men and women working on an individual basis as well as those working in family groups, in partnership or as members of cooperatives or other types of legal associations and enterprises involving hundreds or thousands of miners.
Assurance	A review process that provides accurate and current information to a company and its stakeholders about the efficiency and effectiveness of its policies and operations, and the status of its compliance with the statutory obligations.
Baseline [data]	Initial (pre-project) conditions that exist before an entity begins an operation.
Biodiversity	The variability among living organisms from all sources including, terrestrial, marine and other aquatic ecosystems.

¹⁰⁸ Adapted from Aluminium Stewardship Initiative Performance Standard V2 Guidance: <https://aluminium-stewardship.org/asi-standards/asi-performance-standard/>



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Bonded labor	A person's pledge of labor or services as security for the repayment for a debt or other obligation. The services required to repay the debt may be undefined, and the services' duration may be undefined
Bribery	Giving or receiving a financial or other advantage in connection with the "improper performance" of a position of trust, or a function that is expected to be performed impartially or in good faith.
Business partner	<p>A business partner is an organization, business or other type of entity with which a company has a direct business relationship. This relationship can involve a contractual agreement to buy or sell any product or service that supports or contributes to the activities of the company. Business partners include all contractors, agents, customers, suppliers, local and international intermediaries or traders, and joint venture partners. They also include entities that provide services, such as security providers and recruitment agencies, or any other third parties subject to due diligence within the scope of the RRA issue areas or of applicable law. Business partners do not include end consumers. For the purposes of applying the Criteria and company's obligations, joint ventures should be treated as other business partners.</p> <p>A significant business partner is any business partner whose actions can reasonably be expected to highly affect the company's business, including suppliers with high volume contracts or that are critical for the continuity of the business, and large customers. Companies should use their own judgement to determine whether a business partner is significant or not.</p>
Catchment area	In a catchment area, all rain and run-off water is collected by the natural environment and eventually flows to a creek, river, dam, lake, ocean, or into a groundwater system.
Child labor	The employment of children in an industry or business, especially when illegal or considered exploitative. The ILO Minimum Age Convention 138 defines child labor as work that deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development. It refers to work that is mentally, physically, socially or morally dangerous and harmful to children; and which interferes with their schooling by depriving them of the opportunity to attend school, obliging them to leave school prematurely; or requiring them to attempt to combine school attendance with excessively long and heavy work." (ILO) Worst forms of child labor: The predefined worst forms of child labor include all forms of slavery or practices similar to slavery; commercial sexual exploitation; children used by adults in the commission of crime; and work by its nature that is likely to harm the health, safety or morals of children.
Closure plan	A plan that defines the activities and budget necessary to return a site or facility location to a condition at the end of the project's life acceptable to stakeholders, including workers, affected communities, and regulators.
CO ₂	Carbon dioxide – the principal greenhouse gas.
CO ₂ equivalent	Carbon dioxide equivalent – a standard unit for measuring the global warming potential of different greenhouse gases in terms of the amount of CO ₂ that would create the same amount of warming.
Collective bargaining	Collective bargaining refers to a voluntary process or activity through which employees and workers discuss and negotiate their relations, in particular terms and conditions of work and the regulation of relations between employers, workers and their organizations. Participants in collective bargaining include employers themselves or their organizations, and trade unions or, in their absence, representatives freely designated by the workers.



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Community development	Process whereby people increase the strength and effectiveness of their communities, improve their quality of life, enhance their participation in decision making and achieve greater long-term control over their lives.
Community health and safety	Refers to public health and safety concerns that may affect employees or contractors during work activities, but which may also impact upon non-employees from the local community and outside of work activities.
Company (see also Producer)	In this document, the term Company is used to refer to the Producer, which is an entity with an operating mining site and/or a facility with solvent extraction and electrowinning (SX/EW), smelting, or refining operations.
Compensation	A financial or non-financial payment to address an impact (generally, compensatory payments should be made once reasonable efforts have been made to first avoid and minimize the impact).
Comprehensive assessment of water-use impacts and risks	A comprehensive assessment of water-use impacts and risks should include, but not be limited to, the following elements: <ul style="list-style-type: none"> • Identification and mapping of water withdrawal and use by source and type; • Assessment of water-related risks in basins/catchments/watersheds in the entity's Area of Influence; • The entity's use of water, and any activities that may affect water quantity; • The entity's chemicals, wastes, facilities and activities that may pose a risk to water quality; • Identification of water effluents discharged to subsurface waters, surface waters, sewers that lead to rivers, oceans, lakes, wetlands, treatment facilities, and ground water; • Identification of water users, water rights holders and other stakeholders that may potentially affect or be affected by water management practices, including downstream communities or communities that may be affected by groundwater withdrawals or contamination; • Identification of water-related ecosystem services; • Identification of baseline data and seasonal and temporal variability in water quantity and in the physical, chemical and biological conditions of surface waters, natural seeps/springs and groundwaters that may be affected by the project.¹⁰⁹
Conflict minerals	Any mineral or its derivatives determined to be financing conflict in the Democratic Republic of the Congo or an adjoining country. The most common 'conflict minerals' are columbite-tantalite, also known as coltan (from which tantalum is derived); cassiterite (tin); gold; and wolframite (tungsten.)
Conflict-affected / high-risk areas	Areas identified by the presence of armed conflict, widespread violence, including violence generated by criminal networks, or other risks of serious and widespread harm to people. Armed conflict may take a variety of forms, such as a conflict of international or non-international character, which may involve two or more states, or may consist of wars of liberation, or insurgencies, civil wars. High-risk areas are those where there is a high risk of conflict or of widespread or serious abuses as defined in paragraph 1 of Annex II of the OECD Due Diligence Guidance for Responsible supply Chains of Minerals from Conflict-Affected

¹⁰⁹ Adapted from IRMA Standard for Responsible Mining: <https://responsiblemining.net/resources/> and Aluminium Stewardship Initiative Performance Standard V2 Guidance: <https://aluminium-stewardship.org/asi-standards/asi-performance-standard/>



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	and High-Risk Areas. Such areas are often characterized by political instability or repression, institutional weakness, insecurity, collapse of civil infrastructure, widespread violence and violations of national or international law. ¹¹⁰
Consultation [community] (see also, Stakeholder engagement)	A two-way process of information sharing and decision-making that aims to simultaneously address stakeholder issues and priorities (including the needs of disadvantaged and vulnerable groups) as well as the concerns and needs of the business. It is carried out in a manner that is inclusive and culturally sensitive: beyond listening, the aim of engagement and consultation is to ensure mutual understanding and responsiveness by all parties to enable them to discuss and manage matters with the potential to affect all concerned. ¹¹¹
Corporate sustainability report	An organizational report that gives information about a company's economic, environmental, social and governance performance in relation to its business activities.
Corruption	Corruption is any unlawful or improper behavior that seeks to gain a private advantage through illegitimate means. Any kind of bribery is a form of corruption; but corruption also includes abuse of power, extortion, fraud, deception, collusion, cartels, embezzlement and money laundering. ¹¹²
Critical habitat	Critical habitats are areas with high biodiversity value, including (i) habitat of significant importance to Critically Endangered and/or Endangered species; (ii) habitat of significant importance to endemic and/or restricted-range species; (iii) habitat supporting globally significant concentrations of migratory species and/or congregatory species; (iv) highly threatened and/or unique ecosystems; and/or (v) areas associated with key evolutionary processes (IFC Performance Standard 6).
Cultural heritage	Customs, practices, places, objects, artistic expressions and values. Cultural heritage is often expressed as either intangible or tangible cultural heritage.
Dangerous or hazardous work	Many activities associated with mining are considered by the ILO to be hazardous due to the fact that mineworkers often work without natural light or ventilation, may come into contact with toxic mineral dusts and ores and experience high incidences of disabling occupational diseases such as pneumoconiosis, hearing loss and the effects of vibration ¹¹³

¹¹⁰ <https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>

¹¹¹ Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>

¹¹² *Ibid*

¹¹³ Mining: A Hazardous Work (ILO): https://www.ilo.org/global/topics/safety-and-health-at-work/areasofwork/hazardous-work/WCMS_356567/lang--en/index.htm



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Discrimination	Discrimination occurs when a person is treated less favorably than others because of characteristics that are not related to the person's competencies or the inherent requirements of the job. All workers and job seekers have the right to be treated equally, regardless of any attributes other than their ability to do the job. Prohibited bases of discrimination can include age, caste, disability, ethnic, and/or national origin, gender, membership in free and independent workers' organizations including free and independent unions, political affiliation, race, religion, sexual orientation, marital status, family responsibilities, social background, and other personal characteristics.
Due Diligence	Due diligence is an on-going, proactive and reactive process through which companies can demonstrate reasonable efforts to identify, prevent and mitigate any risk of serious human rights abuses associated with the extraction, transport or trade of minerals; conflict associated with direct or indirect support to non-state armed groups and engagement of public or private security forces; and, adverse effects on governance systems associated with bribery and fraudulent misrepresentation of the origin of minerals, money laundering, and payment of taxes, fees and royalties due to governments. ¹¹⁴
Economic displacement	The forced movement of people from their occupational activities, resulting in loss of livelihoods.
Employee (see also, Worker)	Employees include both directly employed workers that have contracts with the company and indirectly employed workers that regularly work at members' sites and that have employment contracts with a third party, such as a labor agent, labor provider or contractor/subcontractor. ¹¹⁵
Endangered species	A species of animal or plant that is in danger of becoming extinct.
Energy consumption	Total amount of energy consumed in a process or system.
Energy efficiency	Portion of total energy input to a site or facility that is consumed in useful work and not wasted as useless heat. ¹¹⁶
Energy intensity	Energy intensity is an expression of energy consumption in the context of an organization-specific metric. For example, the energy required per unit of activity, output, product or production volume.
Environmental and Social Impact Assessment – ESIA	A process for predicting and assessing the potential environmental and social impacts of a proposed project, evaluating alternatives and designing appropriate preventative, mitigation, management and monitoring measures and plans.
Environmental Management Plan – EMP	An EMP is a site-specific plan to ensure that necessary measures are identified and implemented in order to protect the physical and social environment and comply with relevant legislation.
Environmental Management System – EMS	An EMS is a set of policies, processes and practices to manage the impact a business has on the environment.

¹¹⁴ <https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>

¹¹⁵ Adapted from Responsible Jewellery Council Code of Practices Guidance:

<https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>

¹¹⁶ Adapted from, 'Energy for Sustainable Development: Demand, Supply, Conversion and Management',

edited by Md Hasanuzzaman, Nasrudin Abd Rahim



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Extractive Industries Transparency Initiative - EITI	The EITI is a Standard for encouraging transparency and good governance in the oil, gas, and mining industries by requiring companies to publish what they pay to governments and for governments to disclose what they receive. Overseen by a multi-stakeholder Board, the EITI is designed to be implemented by signatory governments through systems and requirements that they put in place for the extractive sector companies. Compliance with the EITI is compulsory for extractives companies within EITI signatory countries.
Facilitation payments	Facilitation payments are relatively small bribes, also called 'facilitating', 'speed' or 'grease' payments, that are made to a public or government official in order to secure, expedite or receive preferential treatment for the performance of a routine or necessary action to which the payer has a legal or other entitlement—for example, paying an official to speed up, or 'facilitate', an authorization process.
Facility	Operations involved in the mining, solvent extraction and electrowinning (SX/EW), smelting, or refining of copper for sale or further processing. A site may comprise several activities in different locations but in the same geographic area (e.g. mines, wastewater treatment facilities, refineries, ports and associated infrastructure), under the same management control. In this document, the term site is generally used to refer to a mining site and facility is used to refer to any other type of operation associated with copper production.
Forced labor	Forced labor can be understood as work that is performed involuntarily and under the menace of any penalty. It refers to situations in which persons are coerced to work through the use of violence or intimidation, or by more subtle means such as manipulated debt, retention of identity papers or threats of denunciation to immigration authorities.
Formalization (of ASM)	Formalization of the informal (and sometimes illegal) artisanal mining sector provides a platform to better govern and consequently manage the social and environmental impacts of informal mining. This involves property rights resolution and enforcement, land-use planning, fiscal regulation, and, more broadly, the implementation of environmental and social norms.
Free, prior and informed consent – FPIC	FPIC is the principle that a specific community has the right to give or withhold its consent to proposed projects that may affect the lands they customarily own, occupy or otherwise use.
Freedom of association	Freedom of association implies respect for the right of employers and workers to freely and voluntarily establish and join organizations of their own choice, free from outside interference or monitoring.
Gender equality	The state in which access to rights or opportunities is unaffected by gender.
GHG Emissions	Greenhouse gases that are released into the atmosphere.
GHG Protocol	The GHG Protocol, developed by World Resources Institute (WRI) and World Business Council on Sustainable Development (WBCSD), is a global resource for how to measure, manage, and report greenhouse gas emissions.
Greenhouse gases – GHG	Gases that contribute to the greenhouse effect by absorbing infrared radiation (examples include carbon dioxide and methane).
GRI	The GRI or Global Reporting Initiative is an international independent standards organization that helps businesses, governments and other organizations understand and communicate their impacts on issues such as climate change, human rights and corruption.
Grievance mechanism	Formal, legal or non-legal complaint process that can be used confidentially or anonymously by individuals, workers, communities and/or civil society organizations that are being negatively affected by certain business activities



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	and operations. This also includes setting up a separate whistle-blowing mechanism.
Harassment	A range of unacceptable behaviors and practices, or threats thereof, whether a single occurrence or repeated, that aim at, result in, or are likely to result in physical, psychological, sexual or economic harm.
Hazardous waste	Waste with properties that make it potentially dangerous or harmful to human health or the environment.
Human trafficking	The recruitment, transportation, transfer, harboring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. (Article 3, UNODC Protocol to Prevent, Suppress and Punish Trafficking in Persons.)
IFC Performance Standards	A widely adopted, comprehensive set of standards for private sector projects in developing countries. The International Finance Corporation (IFC) is a member of the World Bank Group and the IFC's Performance Standards (PS) on Social and Environmental Sustainability, which were most recently updated in January 2012 after a lengthy consultation process, are generally recognized as the most comprehensive standards available to international finance institutions working with the private sector. There are eight PS: <ul style="list-style-type: none"> ● PS 1 Assessment and Management of Environmental and Social Risks and Impacts ● PS 2 Labor and Working Conditions ● PS 3 Resource Efficiency and Pollution Prevention ● PS 4 Community Health, Safety and Security ● PS 5 Land Acquisition and Involuntary Resettlement ● PS 6 Biodiversity Conservation and Sustainable Management of Living Natural Resources ● PS 7 Indigenous Peoples ● PS 8 Cultural Heritage
ILO Convention 1	Hours of Work (Industry) Convention, 1919
ILO Convention 100	Equal Remuneration Convention, 1951
ILO Convention 105	Abolition of Forced Labor Convention, 1955
ILO Convention 111	Discrimination (Employment and Occupation) Convention, 1958
ILO Convention 131	Minimum Wage Fixing Convention, 1970
ILO Convention 138	Minimum Age Convention, 1973.
ILO Convention 155	Occupational Safety and Health Convention, 1981
ILO Convention 176	Convention 176 on Safety and Health in Mines, 1995.
ILO Convention 182	Convention Concerning the Prohibition and Immediate Action for the Elimination of the Worst Forms of Child Labor (1999)
ILO Convention 26	Fixing Machinery Convention, 1928
ILO Convention 29	Forced Labor Convention, 1930
ILO Convention 87	Freedom of Association and Protection of the Right to Organize Convention, 1948
ILO Convention 98	Right to Organize and Collective Bargaining Convention, 1949



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ILO core labor standards	The core labor standards consist of five standards, laid out in eight conventions: <ul style="list-style-type: none"> • Freedom of association and the effective recognition of the right to collective bargaining (Convention No. 87 & No. 98) • The elimination of all forms of forced and compulsory labor (Convention No. 29 & No. 105) • The effective abolition of child labor (Convention No. 138 & No. 182) • The elimination of discrimination in respect of employment and occupation (Convention No. 100 & No. 111)
Impoundments	A specialized form of reservoir for waste mined material.
Indentured labor	A form of bonded labor whereby the indenturee is bound by a contract of unfree labor (indenture) to work for a particular employer for a fixed period after which they are granted freedom.
Indigenous peoples	Indigenous communities, peoples and nations are those which, having a historical continuity with pre-invasion and pre-colonial societies that developed on their territories, consider themselves distinct from other sectors of the societies now prevailing on those territories, or parts of them.
Industry wage	The prevailing wage across an industry in the country of operation.
Inert waste	Material that is not chemically or biologically reactive and that does not decompose.
Intangible cultural heritage	Includes but not limited to traditional festivals, oral traditions, oral epics, customs, ways of life, traditional crafts, etc. (UNESCO).
Intergovernmental Panel on Climate Change (IPCC)	The Intergovernmental Panel on Climate Change (IPCC) is the international body for assessing the science related to climate change. The IPCC was set up in 1988 by the World Meteorological Organization (WMO) and United Nations Environment Programme (UNEP) to provide policymakers with regular assessments of the scientific basis of climate change, its impacts and future risks, and options for adaptation and mitigation.
ISO 14001	ISO 14001 is the Environmental Management Systems standard used by companies wishing to identify and appropriately manage their environmental risks and opportunities ('environment' is defined as including human interactions such as social aspects). A company with ISO 14001 certification demonstrates legal compliance with respect to national environmental legislation, effective environmental management of all its significant environmental aspects and a commitment to continual improvement.
ISO 45001	ISO 45001:2018 specifies requirements for an occupational health and safety management system, and gives guidance for its use, to improve OHS, eliminate hazards and minimize OHS risks.
Land acquisition	The process by which government or a corporate entity acquires private land for the purpose of conducting their business activity, accompanied by compensation to affected communities for loss of land and livelihood.



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Legitimate ASM	The OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas defines legitimate artisanal and small-scale mining (ASM) as ASM that is consistent with applicable laws. When the applicable legal framework is not enforced, or in the absence of such a framework, the assessment of the legitimacy of ASM will take into account the good faith efforts of artisanal and small-scale miners and enterprises to operate within the applicable legal framework (where it exists) as well as their engagement in opportunities for formalization as they become available (bearing in mind that in most cases, artisanal and small-scale miners have very limited or no capacity, technical ability or sufficient financial resources to do so). In either case, ASM, as with all mining, cannot be considered legitimate when it contributes to conflict and serious abuses associated with the extraction, transport or trade of minerals as defined in Annex II of the Guidance. The RMI does not ban ASM and encourages companies to engage in accordance with the Criteria and internationally recognized standards.
Living wage	A living wage is the remuneration received for a normal working week by a worker in a particular place sufficient to afford a decent standard of living for the worker and her or his family. Elements of a decent standard of living include food, water, housing, education, health care, transportation, clothing and other essential needs including provision for unexpected events. ¹¹⁷
Management system	A management system is a set of operational procedures, practices, plans, and related documents that are established to implement policies and fulfilment of tasks required to achieve an objective, including the avoidance and management of adverse issues related to the areas covered by the Criteria, or “aspects” associated with a business’s activities. For these areas, the steps involved in a management system typically include identification and assessment of issues; setting of objectives, developing action plans and assigning responsibilities; implementing action plans through establishing procedures, communication, and training; monitoring and tracking progress; and taking action to correct and prevent identified issues. The final step is a review of the aspects and objectives, adjusting the action plans as needed and recording ‘lessons learned’ for future training. Management systems can be integrated and address more than one aspect. For example, an environmental management system may address biodiversity, GHG emissions, energy efficiency, waste management, etc.
Minimum wage	The minimum amount of remuneration that an employer is required to pay wage earners for the work performed during a given period, which cannot be reduced by collective agreement or an individual contract. ¹¹⁸
Mitigation hierarchy	A set of prioritized steps that a business can use to alleviate harm to the environment as far as possible through avoidance, minimization (or reduction) and restoration of detrimental impacts. (Flora & Fauna Int'l) The mitigation hierarchy involves prioritizing options in a sequential way, as follows: <ul style="list-style-type: none"> ● <i>Avoid</i>: Anticipate or avoid the potential impact by designing it out of operations e.g. substitute harmful chemicals or raw materials ● <i>Minimize</i>: Minimize or mitigate the impact through controls that reduce its duration, intensity or extent e.g. reduce use of pollutants and treat effluents

¹¹⁷ Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>

¹¹⁸ <https://www.ilo.org/global/topics/wages/minimum-wages/definition/lang--en/index.htm>



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	<ul style="list-style-type: none"> • <i>Restore or rehabilitate</i>: Rehabilitate or restore impacted environments e.g. reforest cleared areas and clean up. polluted waterways • <i>Offset</i>: Compensate or offset residual impacts as a last resort e.g. establish livelihood replacement activities.
Needs assessment	A systematic process for determining and addressing needs, or "gaps" between current conditions and desired conditions or "wants".
Net gain	Net gains are additional conservation outcomes that can be achieved for the biodiversity values for which the critical habitat was designated. Net gains may be achieved through the development of a biodiversity offset and/or through the implementation of programs that could be implemented in situ (on-the-ground) to enhance habitat and protect and conserve biodiversity. ¹¹⁹
No net loss	No net loss is where impacts on biodiversity are balanced by measures taken to avoid and minimize the impacts, implement site restoration and finally to offset significant residual impacts, if any, on an appropriate geographic scale. ¹²⁰
Non-hazardous waste	Waste which is not classified as hazardous waste (non-hazardous waste can also include inert waste).
OECD Due Diligence Guidance	The OECD Due Diligence Guidance for Responsible Minerals Supply Chains from Conflict-Affected and High-Risk Areas is the first example of a collaborative government-backed multi-stakeholder initiative on responsible supply chain management of minerals from conflict-affected areas. Its objective is to help companies identify, prevent and mitigate human rights abuses, avoid contributing to conflict and to not weakening governance systems through their mineral sourcing practices. ¹²¹ Although it includes specific supplements for tantalum, tin, tungsten and gold, the OECD Due Diligence Guidance applies to all minerals and to both large and small-scale mining.
OHSAS 18001	OHSAS 18001 sets out the minimum requirements for occupational health and safety management best practice. A company that is certified to OHSAS 18001 can demonstrate that it manages all risks and continually improves its systems for preventing and accidents and injury to its employees and people over which it has direct responsibility. OHSAS 18001 details the requirements for an effective Occupational Health & Safety Management System. The Standard is used to identify and manage all OHS risks within the scope of the system as decided by the organization (usually all direct employees and on-site contractors).
Orphaned / legacy mine site	Mines for which the owners cannot be found or for which the owner is financially unable or unwilling to carry out the clean-up of the mine site.
Producer (see also Company)	A Producer is an entity with an operating mining site and/or a facility with solvent extraction and electrowinning (SX/EW), smelting, or refining operations.
Physical displacement	The forced movement of people from their locality or environment.

¹¹⁹ Adapted from IFC Performance Standard 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources:

https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/performance-standards/ps6

¹²⁰ Aluminium Stewardship Initiative Performance Standard V2 Guidance: <https://aluminium-stewardship.org/asi-standards/asi-performance-standard/>

¹²¹ <https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>



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Pollution	For the purposes of this Guide, the definition of pollution is the presence in or introduction into the environment of a substance with has harmful or poisonous effects. This may include unauthorized releases to air, water and soil; hazardous and non-hazardous chemical pollutants in the solid, liquid, or gaseous phases; and thermal discharge to water. Greenhouse Gas emissions may also be considered pollution but are covered under issue area 15 Greenhouse Gas (GHG) Emissions.
Protected area	Geographically defined area that is designated or regulated and managed to achieve specific conservation objectives (U.N. Convention on Biological Diversity, Article 2). An area of land or sea especially dedicated to the protection and maintenance of biological diversity and of natural and associated cultural resources and managed through legal or other effective means (1992 World Congress on National Parks and Protected Areas).
Reclamation	The act of returning something to a former, better state.
Remediation procedures	Process aimed at remedying something that is undesirable or deficient e.g. remediation of pollution from mine waste.
Renewable energy	Renewable energy is any form of energy from solar, geophysical or biological sources that is replenished by natural processes at a rate that equals or exceeds its rate of use. Renewable energy includes low-carbon technologies such as solar energy, hydropower, wind, tide and waves, and ocean thermal energy, as well as renewable fuels such as biomass. ¹²²
Resettlement	Resettlement refers both to physical displacement (relocation or loss of shelter) and economic displacement (loss of assets or access to assets that leads to loss of income sources or other means of livelihood) that happens when a company acquires land or places new restrictions on land use. ¹²³
Responsible business practices	The practice of conducting business with consideration for ethical, human rights, labor, environmental and community impacts in line with the issue areas covered by the criteria.
Site	Operations involved in the mining, solvent extraction and electrowinning (SX/EW), smelting, or refining of copper for sale or further processing. A site may comprise several activities in different locations but in the same geographic area (e.g. mines, wastewater treatment facilities, refineries, ports and associated infrastructure), under the same management control. In this document, the term site is generally used to refer to a mining site and facility is used to refer to any other type of operation associated with copper production.
Stakeholder	An individual or organization that has an interest in or is likely to affect or be affected by a company's activities. Stakeholders can be individuals, interest groups, government agencies or corporate entities. They may include politicians, commercial and industrial enterprises, labor unions, academics, religious groups, national social and environmental groups, public sector agencies, the media and communities.
Stakeholder engagement	A two-way process of information sharing and decision-making that aims to simultaneously address stakeholder issues and priorities (including the needs of disadvantaged and vulnerable groups) as well as the concerns and needs of the business. It is carried out in a manner that is inclusive and culturally sensitive: beyond listening, the aim of engagement and consultation is to ensure mutual

¹²² Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>

¹²³ *Ibid*



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	understanding and responsiveness by all parties to enable them to discuss and manage matters with the potential to affect all concerned. ¹²⁴
Stakeholder engagement plan	<p>A stakeholder engagement plan describes a company’s strategy and program for engaging with stakeholders in a culturally appropriate manner (whether it be for a single project or a range of company operations). The goal is to ensure the timely provision of relevant and understandable information. It is also to create a process that provides opportunities for stakeholders to express their views and concerns and allows the company to consider and respond to them.</p> <p>Key principles of effective engagement include:</p> <ul style="list-style-type: none"> • Providing meaningful information in a format and language that is readily understandable and tailored to the needs of the target stakeholder group(s) • Providing information in advance of consultation activities and decision-making • Disseminating information in ways and locations that make it easy for stakeholders to access it • Respect for local traditions, languages, timeframes, and decision-making processes • Two-way dialogue that gives both sides the opportunity to exchange views and information, to listen, and to have their issues heard and addressed • Inclusiveness in representation of views, including women, vulnerable and/or minority groups • Processes free of intimidation or coercion • Clear mechanisms for responding to people’s concerns, suggestions, and grievances • Incorporating feedback into project or program design, and reporting back to stakeholders¹²⁵
Stakeholder mapping	Stakeholder mapping is the process of identifying the individuals or groups that have an interest in or are likely to affect or be affected by a company’s activities. The mapping should also include disadvantaged and vulnerable groups and those that may be underrepresented in the main community groups.
Tailings	Mineral waste left after the processing of ore to separate the valuable fraction from the uneconomic fraction.
Tangible cultural heritage	Includes buildings and historic places, monuments, artifacts, etc., which are considered worthy of preservation for the future. These include objects significant to the archaeology, architecture, science or technology of a specific culture (UNESCO).
UN Guiding Principles on Business and Human Rights	The UN Guiding Principles seek to provide an authoritative global standard for preventing and addressing the risk of adverse human rights impacts linked to business activity.

¹²⁴ Ibid

¹²⁵ Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets (International Finance Corporation): https://www.ifc.org/wps/wcm/connect/affbc005-2569-4e58-9962-280c483baa12/IFC_StakeholderEngagement.pdf?MOD=AJPERES&CVID=jkD13-p



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<p>Voluntary Principles on Security and Human Rights - VPSHR</p>	<p>The VPSHR are both a set of principles and a multi-stakeholder initiative that provides guidance regarding how to promote universal respect for human rights in the provision of security for extractive industry activities. Through the VPSHR, companies are better able to align their corporate policies, procedures, and internal assessments with internationally recognized human rights principles in the provision of security for their operations. In so doing, companies communicate to employees, contractors, shareholders, and consumers their commitment to the VPSHR through sharing of best practices and lessons learned with one another and by collaborating on difficult and complex issues.</p>
<p>Waste hierarchy</p>	<p>The hierarchy ranks various waste management strategies from most to least environmentally preferred:</p> <ul style="list-style-type: none"> ● Source reduction and reuse ● Recycling: ● Energy recovery: conversion of non-recyclable waste materials into useable heat, electricity, or fuel through a variety of processes ● Treatment and disposal.¹²⁶
<p>Whistle-blowing mechanism</p>	<p>The system for disclosing, to the public or to those in authority, mismanagement, corruption, illegality, or some other wrongdoing.</p>
<p>Water consumption</p>	<p>Refers to the freshwater taken from ground or surface water sources, either permanently or temporarily, and conveyed to the place of use.</p>
<p>Worker</p>	<p>Workers include both directly employed workers that have contracts with the company and indirectly employed workers that regularly work at members' sites and that have employment contracts with a third party, such as a labor agent, labor provider or contractor/subcontractor.¹²⁷</p>

¹²⁶ Adapted from: <https://www.epa.gov/smm/sustainable-materials-management-non-hazardous-materials-and-waste-management-hierarchy>

¹²⁷ Adapted from Responsible Jewellery Council Code of Practices Guidance: <https://www.responsiblejewellery.com/rjc-certification/code-of-practices-certification13-2-2/>