



**RISK READINESS ASSESSMENT  
CRITERIA**

**DRAFT FOR PUBLIC CONSULTATION**

April 2022

<b>CRITERIA</b>	
<b>GOVERNANCE</b>	
<b>TOPIC</b>	<b>CRITERIA</b>
<b>1. Management Systems</b>	Enable efficient environmental, social and governance management through the implementation and reporting on the performance of corporate or site-level management systems that are comprehensive, integrated, proportional to Sites' size and complexity, and in line with internationally recognized frameworks.
<b>2. Impact Assessments</b>	Enable informed environmental, social and governance decision making through the implementation and disclosure of the results of impact assessments that are comprehensive, integrated, iterative, proportional to Sites' size and complexity, and in line with internationally recognized frameworks.
<b>3. Business Integrity</b>	Ensure risks of corruption are minimized through the: <ul style="list-style-type: none"> <li>• identification of risks;</li> <li>• implementation of a system to prohibit, effectively prevent and remedy; and</li> <li>• public disclosure of performance on the mitigation of potential and actual adverse impacts of bribery, money laundering, and anti-competitive behavior.</li> </ul>
<b>4. Revenue Transparency</b>	Contribute to greater corporate transparency and accountability through the public disclosure of all material payments to governments of taxes, royalties, signature bonuses, and all other forms of payments or benefits.
<b>5. Legal Compliance</b>	Ensure high standards of business conduct through compliance with all applicable national regulatory requirements and all obligations under international law.
<b>6. Sustainability Reporting</b>	Enable corporate transparency and accountability and promote informed decision-making through

	the publication of annual reports on environmental, social and governance performance.
<b>7. Grievance Mechanism</b>	Respect the rights of adversely affected stakeholders' access to remedy, through the implementation of an effective grievance mechanism.
<b>8. Stakeholder Engagement</b>	Enable affected stakeholders' early and continued participation in decisions through the: <ul style="list-style-type: none"> <li>• identification of the risks of adverse impacts on stakeholders across all operational activities;</li> <li>• implementation of a system to manage stakeholder engagement; and,</li> <li>• public disclosure of adverse impacts from operational activities on stakeholders and the measures taken for their mitigation.</li> </ul>
<b>9. Mine Closure &amp; Reclamation</b>	Ensure the long-term environmental, social, and economic stability of mining communities through the: <ul style="list-style-type: none"> <li>• identification of risks and opportunities;</li> <li>• implementation of an integrated, comprehensive, and progressive plan to manage; and,</li> <li>• public disclosure of performance on the mitigation of adverse impacts and benefits from mine closure and reclamation.</li> </ul>
<b>10. Responsible Supply Chains</b>	Respect regulatory requirements and promote responsible business conduct in supply chains through the implementation of corporate or site-level, comprehensive, integrated, iterative, and risk-based due diligence.
<b>11. Climate Action</b>	Contribute to the goals of the Paris Agreement to curb global temperature rising to 1.5oC above pre-industrial levels through the implementation of a corporate or site-level, comprehensive, integrated climate change mitigation and adaptation strategy.
<b>SOCIAL</b>	

TOPIC	CRITERIA
<b>12. Child Labor</b>	Respect children’s rights through the: <ul style="list-style-type: none"> <li>• identification of risks;</li> <li>• implementation of a system to prohibit, effectively prevent and remedy; and</li> <li>• public disclosure of performance of the mitigation of potential and actual adverse impacts of the employment of children under the age of 15 and the exposure of workers under the age of 18 to hazardous work.</li> </ul>
<b>13. Forced Labor</b>	Respect workers’ rights to voluntary and freely chosen employment through the: <ul style="list-style-type: none"> <li>• identification of risks;</li> <li>• implementation of a system to prohibit, effectively prevent and remedy; and</li> <li>• public disclosure of performance on the mitigation of potential and actual adverse impacts of any form of forced labor.</li> </ul>
<b>14. Freedom of Association and Collective Bargaining</b>	Respect workers’ rights to freedom of association and to collective bargaining in good faith, through: <ul style="list-style-type: none"> <li>• identification of risks,</li> <li>• implementation of a system to prohibit, effectively prevent and remedy; and</li> <li>• public disclosure of performance to mitigate any adverse impacts to freedom of association and collective bargaining.</li> </ul>
<b>15. Non-Discrimination and Harassment</b>	Respect workers’ rights to equality of opportunity and treatment through the: <ul style="list-style-type: none"> <li>• identification of risks,</li> <li>• implementation of a system to prohibit, effectively prevent and remedy; and</li> <li>• public disclosure of performance to mitigate all forms of discrimination and harassment at the workplace.</li> </ul>
<b>16. Diversity and Equality and Inclusion</b>	Promote diversity, equality and inclusion in the workplace through the: <ul style="list-style-type: none"> <li>• identification of gaps and assessment of needs;</li> <li>• implementation of a system to manage, monitor, and create a conducive culture for; and,</li> <li>• disclosure of progress to achieve diversity, equality and inclusion in the workplace.</li> </ul>

<b>17. Employment Terms</b>	<p>Respect workers' rights to fair and decent employment terms through the:</p> <ul style="list-style-type: none"> <li>• identification of risks;</li> <li>• implementation of a system to manage; and,</li> <li>• public disclosure of performance to maintain and monitor fair working hours, remuneration, social benefits, disciplinary actions, accommodation, and worker contracts.</li> </ul>
<b>18. Occupational Health &amp; Safety</b>	<p>Respect workers' rights to the means and conditions for safe and healthy work through the:</p> <ul style="list-style-type: none"> <li>• identification of risks and assessment of needs;</li> <li>• implementation of a system to manage; and,</li> <li>• public disclosure of performance on actions to provide safe and healthy work environments, equipment, materials, and the terms and resources to support workers' wellbeing.</li> </ul>
<b>19. Emergency Preparedness</b>	<p>Enable workers and stakeholders to keep themselves and others safe in the event of an emergency through the:</p> <ul style="list-style-type: none"> <li>• identification of potential emergency scenarios;</li> <li>• implementation of a system to manage; and,</li> <li>• disclosure of the performance of emergency response plans.</li> </ul>
<b>20. Community Health &amp; Safety</b>	<p>Respect communities' rights to healthy and safe living conditions through the:</p> <ul style="list-style-type: none"> <li>• identification of risks;</li> <li>• implementation of a system to prohibit, effectively prevent and remedy; and</li> <li>• public disclosure of performance on the mitigation of potential and actual adverse impacts on community health and safety.</li> </ul>
<b>21. Community Development</b>	<p>Contribute to the economic and social development of affected communities through the:</p> <ul style="list-style-type: none"> <li>• identification of;</li> <li>• contribution to meet community needs; and,</li> <li>• public disclosure of progress to promote community development.</li> </ul>
<b>22. Artisanal &amp; Small-Scale Mining</b>	<p>Respect the human rights and contribute to the professionalization of artisanal and small-scale</p>

	<p>mining operations (ASM) that affect or are affected by operational activities through the:</p> <ul style="list-style-type: none"> <li>• identification of risks;</li> <li>• assessment of opportunities; and,</li> <li>• implementation of a system to avoid and manage adverse impacts on and conflict with ASM, and to contribute to improvement of ASM where it is safe, and legally and legitimately possible.</li> </ul>
<b>23. Security &amp; Human Rights</b>	<p>Ensure the minimization of security-related impacts on affected stakeholders through the:</p> <ul style="list-style-type: none"> <li>• identification of risks;</li> <li>• implementation of a system to prohibit, effectively prevent and remedy; and</li> <li>• public disclosure of performance to mitigate security-related adverse impacts associated with the actions of private and public security forces.</li> </ul>
<b>24. Indigenous Peoples' Rights</b>	<p>Respect Indigenous Peoples' rights, including the right to grant free, prior, and informed consent, through the:</p> <ul style="list-style-type: none"> <li>• identification of risks;</li> <li>• implementation of a system to prohibit, effectively prevent, and remedy; and</li> <li>• public disclosure of performance on mitigation of potential and actual adverse impacts on Indigenous Peoples' livelihoods, territories, resources, and cultural heritage.</li> </ul>
<b>25. Land Acquisition &amp; Resettlement</b>	<p>Respect the rights of stakeholders affected by physical and economic displacement through the:</p> <ul style="list-style-type: none"> <li>• identification of risks,</li> <li>• implementation of a system to avoid, minimize and remedy; and</li> <li>• public disclosure of performance on mitigation of potential and actual adverse impacts associated with land acquisition and resettlement.</li> </ul>
<b>26. Cultural Heritage</b>	<p>Respect the cultural rights of affected stakeholders through the:</p> <ul style="list-style-type: none"> <li>• identification of risks;</li> <li>• implementation of a system to prohibit, effectively prevent, and remedy; and</li> <li>• public disclosure of performance on mitigation of potential and actual adverse impacts on</li> </ul>

	and associated with the access to cultural heritage.
<b>ENVIRONMENT</b>	
<b>TOPIC</b>	<b>CRITERIA</b>
<b>27. Greenhouse Gas Emissions' Reductions</b>	<p>Avoid, minimize, and compensate for scopes 1, 2, and 3 greenhouse gas (GHG) emissions through the:</p> <ul style="list-style-type: none"> <li>• identification and quantification,</li> <li>• implementation of a system to manage, and,</li> <li>• public disclosure of progress to meet science-based targets for GHG energy use and emissions reductions in line with the goals of the Paris Agreement and internationally recognized frameworks.</li> </ul>
<b>28. Water Stewardship</b>	<p>Avoid, minimize, rectify, and compensate for adverse impacts on water balance, flow, quality, and access and needs of other water users and wildlife from operational activities through the:</p> <ul style="list-style-type: none"> <li>• identification of risks,</li> <li>• implementation of a system to manage; and,</li> <li>• public disclosure of performance of improvements to and maintenance of water-use efficiency; water reduction, reuse, and recycling; water quality; and, water consumption reduction targets in all operational activities.</li> </ul>
<b>29. Waste Management</b>	<p>Avoid, minimize and recover waste through the:</p> <ul style="list-style-type: none"> <li>• identification of waste streams,</li> <li>• implementation of a system to manage, and</li> <li>• public disclosure of progress to meet targets on waste management.</li> </ul>
<b>30. Material Stewardship</b>	<p>Promote resource efficiency, collection and recycling of materials at Sites and in the value chain through the:</p> <ul style="list-style-type: none"> <li>• identification of adverse impacts;</li> <li>• implementation of a system to manage; and</li> <li>• public disclosure of progress to meet targets to minimize scrap, and increase the recovery, re-use, and recycling of materials.</li> </ul>
<b>31. Tailings Management</b>	<p>Avoid, minimize, rectify, and compensate for adverse impacts from tailings through the:</p> <ul style="list-style-type: none"> <li>• identification of risks;</li> <li>• implementation of a system to manage; and,</li> </ul>

	<ul style="list-style-type: none"> <li>• public disclosure of performance on the mitigation of the potential and actual adverse impacts from tailings facilities and tailings disposal systems.</li> </ul>
<p><b>32. Biodiversity and Land Management</b></p>	<p>Avoid, minimize, restore or replace, and compensate for adverse impacts on biodiversity and productive land from operational activities, respect the integrity of protected areas, and commit to a no net loss and consider a net gain of biodiversity through the:</p> <ul style="list-style-type: none"> <li>• identification of risks;</li> <li>• implementation of a system to manage; and,</li> <li>• public disclosure of performance on mitigation of adverse impacts on biodiversity and productive land.</li> </ul>
<p><b>33. Pollution</b></p>	<p>Avoid, minimize, rectify, and compensate for adverse impacts on human health and the environment from pollution through the:</p> <ul style="list-style-type: none"> <li>• identification of risks,</li> <li>• implementation of a system to manage; and, public disclosure of performance on the mitigation of adverse impacts from the introduction of poisonous and harmful substances to air, land, and water and from noise, light, and visual pollution.</li> </ul>