



Risk Readiness Assessment Criteria

DRAFT FOR PUBLIC CONSULTATION

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2023 RISK READINESS ASSESSMENT CRITERIA

GOVERNANCE	
TOPIC	CRITERIA
1. Management System	Implement a corporate or site-level management system for the effective prevention, mitigation and remedy of actual and potential environmental, social and governance risks and impacts.
2. Risk Assessment	Enable informed due diligence through the implementation of a risk assessment for the identification and prioritization of potential and actual risks and impacts to human rights and the environment.
3. Business Integrity	Minimize risks of corruption through the implementation of a system to prohibit, effectively prevent bribery, money laundering, and anti-competitive behavior.
4. Revenue Transparency	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 and support the Extractive Industries Transparency Initiative.
5. Legal Compliance	Ensure high standards of business conduct through compliance with applicable national regulatory requirements and applicable cross-jurisdictional obligations under international law
6. Sustainability Reporting	Enable corporate transparency and accountability and promote informed decision-making through the publication of annual reports on material environmental, social and governance issues.
7. Grievance Mechanism	Respect the rights of adversely affected stakeholders' access to remedy, through the implementation of an effective grievance mechanism.
8. Stakeholder Engagement	Enable stakeholders' early and continued participation in decisions that affect their health, well-being, safety, livelihoods, communities, and environment, through the implementation of an inclusive and effective engagement process.
9. Mine Closure & Reclamation	Ensure the long-term environmental, social, and economic stability of mining communities through the implementation of a system to manage mine closure and reclamation. .
10. Responsible Supply Chains	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.

11. Climate Action	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.
SOCIAL	
TOPIC	CRITERIA
12. Child Labor	Respect children’s rights through the implementation of a system to prevent and mitigate the risk of child labour and remedy adverse impact.
13. Forced Labor	Respect workers’ rights to voluntary and freely chosen employment through the implementation of a system to prevent and mitigate the risk of any form of forced labour and to remedy adverse impact.
14. Freedom of Association and Collective Bargaining	Respect workers’ rights to freedom of association and to collective bargaining in good faith, through the implementation of a system to prevent and mitigate risks and remedy adverse impact.
15. Non-Discrimination and Harassment	Respect workers’ rights to equality of opportunity and treatment and mitigate all forms of discrimination and harassment in the workplace through the implementation of a system to prevent and mitigate risks and remedy adverse impact.
16. Diversity, Equity and Inclusion	Promote diversity, equity and inclusion in the workplace
17. Employment Terms	Respect workers’ rights to fair and decent employment terms through the implementation of a system to prevent and mitigate risk and remedy adverse impact.
18. Occupational Health & Safety	Provide all workers with the means and conditions for safe and healthy work through a system to prevent, mitigate OHS risks and remedy adverse impacts.
19. Emergency Preparedness	Enable workers and stakeholders to keep themselves and others safe in the event of an emergency through the implementation of a system to manage emergency responses and remedy adverse impact.
20. Community Health & Safety	Respect communities’ rights to healthy and safe living conditions through the implementation of a system to prevent and mitigate health and safety risks and remedy adverse impact.
21. Community Development	Contribute to economic and social development of affected communities through the implementation of a system to positively contribute to meet community needs.

22. Artisanal & Small-Scale Mining	Respect the human rights, create economic opportunities and contribute to the formalization and professionalization of artisanal and small-scale mining operations (ASM) where it is safe, and legally and legitimately possible.
23. Security & Human Rights	Act diligently to ensure that the conduct of private and public security forces respects human rights through the implementation of a system to prevent and mitigate security-related risks and remedy adverse impact.
24. Indigenous Peoples' Rights	Respect Indigenous Peoples' rights, including the right to grant free, prior, and informed consent through the implementation of a system to prevent and mitigate risks on Indigenous Peoples' livelihoods, territories, resources, and cultural heritage and remedy adverse impact.
25. Land Acquisition & Resettlement	Respect the rights of stakeholders affected by physical and economic displacement through the implementation of a system to prevent and mitigate risks and remedy adverse impacts associated with land acquisition and resettlement
26. Cultural Heritage	Respect the cultural rights of affected stakeholders through the implementation of a system to prevent and mitigate risks to cultural heritage and remedy adverse impact.
ENVIRONMENT	
TOPIC	CRITERIA
27. Greenhouse Gas Emissions' Reductions	Avoid, minimize, and compensate for scope 1, 2 and relevant scope 3 emissions through the definition of science-based goals and targets in line with the Paris Agreement and the implementation of the mitigation strategy.
28. Water Stewardship	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 implementation of the mitigation hierarchy.
29. Waste Management	Avoid, minimize and recover waste through the implementation of a waste mitigation hierarchy.
30. Circular Economy	Promote a circular economy through the collection, reuse and recycling of materials at Sites, the reduction of waste and increased resource efficiency
31. Tailings Management	Avoid, minimize, rectify, and compensate for adverse impacts from tailings through the implementation of a system to manage tailings facilities and tailings disposal systems in line with internationally recognized frameworks and good practice.
32. Biodiversity and Productive Land	Avoid, minimize, restore or replace, and compensate for adverse impacts on biodiversity and productive land, commit to a no net loss and consider a net gain of biodiversity through the implementation of a mitigation hierarchy.

33. Pollution	Avoid, minimize, rectify, and compensate for adverse impacts on human health and the environment from pollution from the introduction of poisonous and harmful substances to air, land, and water and from noise, light, and visual pollution through the implementation of the mitigation hierarchy.
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