

# Responsible Mining Index

*Methodology 2020*



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*October 2019*

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## Responsible Mining Foundation

The Responsible Mining Foundation (RMF) is an independent research organisation that encourages continuous improvement in responsible mining across the industry by developing tools and frameworks, sharing public-interest data and enabling informed and constructive engagement between mining companies and other stakeholders.

The Foundation supports the principle that minerals and metals mining should benefit the economies, improve the lives of peoples and respect the environments of producing countries, while also benefiting mining companies in a fair and viable way.

The Foundation's work and research reflect what society at large can reasonably expect from mining companies on economic, environmental, social and governance matters.

As an independent foundation, RMF does not accept funding or other contributions from the mining industry.

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## *Methodology 2020*

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# Introduction

**It is generally recognised that minerals and metals mining is needed for modern life, providing raw materials for all major sectors, and evidence points to increased demand for numerous mined commodities in the global transition to a low-carbon future.<sup>1</sup> Mining is also a significant contributor to the GDP and exports of many low- and middle-income countries.<sup>2</sup> In many of these countries, mining accounts for as much as 60–90% of total foreign direct investment, and over recent years many of the most mineral-dependent countries have become even more reliant on the economic contribution of mining.<sup>3</sup>**

At the same time, there is increased concern among society at large that the negative impacts associated with mining are too often externalised and borne disproportionately by populations in producing countries. Worldwide, local communities generally bear the brunt of the socio-economic disruption and environmental damage caused or contributed to by mining operations. And the extraction of these non-renewable resources risks exacerbating inter-generational inequalities and missing the one-time opportunity for the mining activity to deliver much-needed economic gains in many resource-rich countries.

The Responsible Mining Foundation defines responsible mining as mining that demonstrably respects and protects the interests of peoples and the environment and contributes discernibly and fairly to broad economic development of the producing country. As the Responsible Mining Index (RMI) Report 2018 showed, despite generally low performances across all areas assessed, some mining companies are making progress towards more responsible practices.

There is also a growing number of legislative and regulatory initiatives and international principles and standards on responsible mining and responsible natural resource governance. Nonetheless, despite such efforts by international organisations, governments, investors, industry bodies, civil society, labour unions, and other mining-related stakeholders, there are still many economic, environmental, social and governance (EESG) issues that society can reasonably expect mining companies to better address.

Given the scale and likely increase in mining activity in the current global trajectory, it is worth noting that mining as an economic activity, if conducted in a responsible manner, can have significant socio-economic benefits and support achievement of all the UN Sustainable Development Goals, catalysing broad-based economic development in many low- and middle-income resource-rich countries.

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- 1 See: (1) UN Environment (UNEP) International Resource Panel, 2019. Global Resources Outlook 2019. Natural Resources for the Future We Want. (2) World Bank Group and EGPS, 2017. The Growing Role of Minerals and Metals for a Low Carbon Future.
  - 2 Ericsson, M. and Löf, O., 2017. Mining's contribution to low- and middle-income economies. United Nations University WIDER Working Paper 2017/148.
  - 3 International Council on Minerals and Metals (ICMM), 2016. The role of mining in national economies.



## **Encouraging continuous improvement in responsible mining**

The aim of the biennial Responsible Mining Index (RMI) Report is to track and encourage continuous improvement in responsible mining by large-scale minerals and metals mining companies by transparently assessing company policies and practices, both at corporate and mine-site level, on a range of EESG issues and making the results freely available, with an emphasis on supporting industry-wide learning.

RMI assesses companies from the perspective of society expectations of large-scale mining companies and examines the extent to which companies are addressing EESG issues in a systematic manner across all their mining activities and throughout the lifecycle of their operations. As an evidence-based assessment, RMI is based on publicly available information on the companies and their mine sites.

## **Supporting the UN Sustainable Development Goals**

The scope of the RMI Methodology 2020, including the integration of broader economic development issues as well as environmental, social and governance issues, means that the coverage of the assessment aligns well with the UN Sustainable Development Goals (SDGs). Appendix 1 lists the RMI 2020 indicators that relate to each of the SDGs. These include, among others, the examples shown overleaf.

*Some illustrative examples of issues covered by RMI Methodology 2020 aligning with SDGs*

|   |   |
|---|---|
| <p><b>1</b> NO POVERTY</p>                         | <ul style="list-style-type: none"> <li>• Alignment with sub-national, national and supranational economic development plans.</li> <li>• Ensuring viability of community livelihoods and just transition for workers following mine closure.</li> <li>• Support for local business development and local procurement.</li> <li>• Avoiding, minimising and mitigating adverse impacts on land use.</li> </ul>                               |
| <p><b>3</b> GOOD HEALTH AND WELL-BEING</p>         | <ul style="list-style-type: none"> <li>• Preventing and remedying human rights abuses related to a mining operation's security management.</li> <li>• Managing the impacts of mining on community health.</li> <li>• Ensuring safe and healthy working conditions.</li> <li>• Addressing potential risks associated with tailings storage facilities.</li> <li>• Plans for emergency response for worker and community safety.</li> </ul> |
| <p><b>4</b> QUALITY EDUCATION</p>                  | <ul style="list-style-type: none"> <li>• Support for STEM education and vocational/technical skills development within the wider population in producing countries.</li> <li>• Support for technical and managerial skills development within local workforces.</li> <li>• Collaboration with producing country research institutions for R&amp;D on mining-related ESG issues.</li> </ul>  |
| <p><b>5</b> GENDER EQUALITY</p>                  | <ul style="list-style-type: none"> <li>• Working towards gender balance in senior management positions and Board membership, as well as in the overall workforce.</li> <li>• Facilitating the participation of women as well as men in community engagement and community investment programmes.</li> <li>• Assessing, and taking measures to improve, company efforts to manage socio-economic impacts on women.</li> </ul>              |
| <p><b>6</b> CLEAN WATER AND SANITATION</p>       | <ul style="list-style-type: none"> <li>• Development and implementation of catchment-level water stewardship strategies that respect the needs of other current and future water users.</li> <li>• Assessing, and taking measures to improve, company efforts to reduce water consumption and reduce adverse impacts on water quality.</li> <li>• Regular disclosure and discussions with communities on water quality issues.</li> </ul> |
| <p><b>8</b> DECENT WORK AND ECONOMIC GROWTH</p>  | <ul style="list-style-type: none"> <li>• Ensuring that workers' wages meet living wage standards or legal minimum wage, whichever is the highest.</li> <li>• Assessing and addressing risks of forced labour and child labour.</li> <li>• Respect for workers' rights to organise, collective bargaining and freedom of association.</li> <li>• Minimising and mitigating collective redundancies.</li> </ul>                             |
| <p><b>13</b> CLIMATE ACTION</p>                  | <ul style="list-style-type: none"> <li>• Development of adaptation and transition strategies to address potential implications of climate change on mining operations' impacts on communities, workers and the environment</li> <li>• Tracking, and taking measures to improve, the management of greenhouse gas emissions generated by mining activities and their energy use.</li> </ul>  |
| <p><b>15</b> LIFE ON LAND</p>                    | <ul style="list-style-type: none"> <li>• Avoiding, minimising and mitigating any adverse environmental impacts.</li> <li>• Refraining from mining in World Heritage Sites and respecting other protected areas.</li> <li>• Assessing, and taking measures to improve, the management of biodiversity and ecosystem services.</li> <li>• Assessing, and taking measures to improve, progressive rehabilitation.</li> </ul>                 |

## Promoting stronger mine-site-level disclosure

The vast majority of a company's non-financial reporting is still focused at the corporate level, with very limited public disclosure of mine-site-disaggregated data. Information on EESG practices and performance at the mine-site level is of particular interest to many stakeholders, including for example:

- mining-affected communities, civil society and local authorities, in order to be able to assess the extent to which the operating company is fulfilling its commitments and generating socio-economic benefits, e.g. on local content, and to be able to engage with the company on issues of public interest, such as water quality or emergency plans;
- workers and labour unions, in order to have a more informed engagement with management on the company's performance, e.g. on addressing worker grievances or ensuring safe working conditions;
- investors, in order to be able to identify asset-level risks within a company's overall portfolio and engage with the company on issues of key concern, such as human rights or tailings management; and
- manufacturers, in order to assess any supply chain reputational risk associated with sourcing from the mine site.

The RMI assessment encourages mine-site-level disclosure by asking for site-disaggregated data via some of the company-wide indicators (e.g. on disclosure of data on payments to governments, data on fatalities and injuries, or information on the implementation of human rights due diligence processes).

More importantly, the assessment includes a separate set of mine-site indicators, which address site-level disclosure on ten topics, including local employment, local procurement, post-closure plans, community grievances, worker grievances, air quality, water quality, water quantity, tailings management and emergency preparedness.

At the request of many stakeholders, the mine-site indicators have been substantially revised for the RMI 2020 assessment, in order to strengthen their ability to generate information of direct interest to mining-affected communities and other stakeholders interested in site-disaggregated data. In addition, the mine-site questionnaire has been simplified and reformulated as a tool for local stakeholders to use in assessing the performance of an operating company.

## Operationalising the Open Data Principles

In addition to assessing company policies and practices and the level of public disclosure on a range of EESG issues, the RMI Report 2020 also looks at the *quality* of this disclosure, in terms of the accessibility and usefulness of the disclosure methods. In this way, the RMI Report 2020 aims to support operationalisation of the Open Data Principles, and in particular:

- Site-disaggregated data (not just data that is aggregated to the corporate level);
- Timely data (up-to-date, regularly updated);
- Data with context (e.g. to show how the data relate to a target set by the company's or a limit set by a regulatory body);
- Time-series data (data over successive years that allows comparisons over time);
- Raw data (that allows comparison across companies);
- Gender-disaggregated data (data that doesn't hide gender-related differences, and data that is relevant for women as well as men); and
- Accessible data (e.g. in local languages so affected communities can access and use it).

The RMI Report 2020 includes a number of metric questions on these types of characteristics of disclosure, and examples of leading practice of 'open data disclosure' will be highlighted in the Report.

The presentation and dissemination of the RMI Report 2020 results have also been designed to follow Open Data Principles. Thus, for example:

- This Methodology Report 2020 articulates the full RMI Framework, including all indicators, metric questions and examples of relevant kinds of evidence across all the EESG topics;
- The RMI Report 2020 results, the raw data behind them, and the scoring framework will be made available as a free public good;
- The web report will be optimised for mobile use as well as computer;
- The RMI Report 2020 will be published in six languages (Bahasa Indonesia, Chinese, English, French, Russian and Spanish) and selected mine-site results will be translated into local languages for use by interested stakeholders;
- Workshops, presentations and public meetings will be held to disseminate the results and discuss the findings with mining-affected communities, labour unions, civil society, investors, governments, mining companies, supply chain customers, and other stakeholders.

# Main adjustments from RMI Methodology 2018

## Methodology review and development

The RMI Methodology 2020 was developed based on a full review of the RMI Methodology 2018. The general parameters set for the review included the following:

- Minimise the changes made to the methodology, to maintain consistency for companies and comparability of results.
- Identify opportunities to sharpen the clarity and incisiveness of indicators and metric questions.
- Ensure all indicators and metric questions are readily assessable and reduce the reporting burden on companies while maintaining a comprehensive scope.
- Strengthen the focus on the usefulness of company disclosures, by basing more metric questions on the operationalisation of the open data principles.

In addition, consideration was given to the following points of learning:

- Findings from the results of RMI 2018 (e.g. relating to current performance levels and company reporting practice);
- Feedback and recommendations received from the companies assessed in RMI 2018, via an online survey;
- A full review of major new trends, initiatives, terminology or research that has emerged since the RMI Methodology 2018 was developed.

The above review was undertaken in consultation with the Responsible Mining Foundation's Expert Review Committee and the Foundation's wide network of experts and a broad range of stakeholders, including mining-affected communities, civil society organisations, people's movements, labour unions, national and international NGOs, government bodies, industry associations, mining companies, multi-stakeholder initiatives, multilateral organisations, investors, academics, consultants and others. In particular, the focus of the RMI assessment on society expectations of mining companies has been informed by two rounds of discussion workshops with mining-affected communities, civil society and labour unions in producing countries, including Côte d'Ivoire, India, Indonesia, Mongolia, Peru and South Africa.

## Main changes to RMI Methodology 2018

### Analytical framework and scoring

The RMI Methodology 2020 is very similar to that used in the assessment for the RMI Report 2018. The core methodology framework remains unchanged with:

- Six thematic areas: Economic Development, Business Conduct, Lifecycle Management, Community Wellbeing, Working Conditions and Environmental Responsibility (see Figure 1);
- Three measurement areas, i.e. three types of indicators: Commitment, Action and Effectiveness, with similar percentages of each measurement area in the overall analytical framework (see Figure 1);
- Scoring based on company-wide indicators and no integration of mine-site scores in the company scoring;
- Separate set of mine-site indicators, the results of which will be published in the RMI Report 2020;

### Response to company feedback

The RMI Methodology 2020 and the assessment process have been adjusted in response to feedback from companies assessed in the RMI Report 2018. For example, the few indicators that involved companies reporting individual results for each of their mine sites have been removed as these proved cumbersome for both companies and the RMI analysts. In addition, the company reporting web platform has been substantially upgraded to make it more user-friendly and the company results on the platform will now remain available for companies after the assessment, to enable them to more easily keep track of their performance and identify areas of improvement.

### Indicators and metric questions

While the mine-site indicators have been substantially revised (as described on [page 22](#)), the set of company-wide indicators is also largely the same as that used in the previous assessment. The main changes that have been made to the company-wide indicators include:

- Overall reduction in the number of metric questions;
- Reformulation of the Effectiveness indicators and metric questions, primarily to clarify the scope of the performance tracking data;
- Expansion of number of metric questions addressing the operationalisation of the Open Data Principles;
- Elimination of the few instances where an indicator had two sets of metric questions, so each indicator now has only one set of three metric questions associated with it;

- Removal of indicators that proved difficult to assess or largely redundant, such as the Commitment indicator on Business Ethics (which overlapped somewhat with a similar indicator on anti-bribery and corruption); and
- Addition of a limited number of new indicators to cover key issues, such as collaborative planning with sub-national governments, disclosure of data on mining-related fatalities and injuries, and a commitment not to use riverine, lake or marine disposal of tailings.

### **Company and mine site scoping**

The scoping criteria for the selection of companies to be assessed remain the same as those used in RMI Methodology 2018 except for one adjustment: the removal of the criterion to select only those companies with significant operations in low-income, lower-middle income economies or countries below a threshold level on the UNDP inequality-adjusted Human Development Index. This revision enables the RMI Report 2020 assessment to cover a greater proportion of the world's largest companies, and to assess companies with operations solely or primarily in high-income economies.

The selection criteria for mine sites to assess against the mine-site indicators were similarly adjusted, so the RMI Methodology 2020 covers operations in high-income economies as well as low-income and lower-middle-income economies. The companies included in the RMI Report 2020 assessment are listed on [page 27](#).

The rationale for this change is based partly on the findings of a [study](#) conducted by RMF in 2018, which examined levels of mine-site-level ESG disclosure and performance by companies operating in a range of countries, from high-income to low-income economies. The study found that companies' transparency and performance on ESG issues are not necessarily determined by the level of economic wealth of the producing countries in which they operate.

Finally, the selection of mine sites to be assessed via the mine-site indicators now enables the inclusion of Joint Venture operations, regardless of the ownership level and of which company actually operates the site. It is evident from developments in the industry that any shortcomings in site-level policies and practices pose potential risks for all JV partners, and disaggregated information is in the interest of each JV partner and all stakeholders.

### **Watchlist issues**

During the development of the RMI Methodology 2020, a number of emerging issues have been identified and placed on a 'watchlist' for potential inclusion in subsequent assessments. These include, for example:

- Deep sea mining and exploration;
- Remuneration ratios, gender pay gap, and profit-sharing;
- Renewable energy use by mining operations; and
- Terms and conditions for contract workers.

# RMI Methodology 2020

## Analytical framework

The RMI Methodology 2020 is based on six broad thematic areas:

- **Economic Development:** the strategic role of mining companies to national economic development within producing countries and the wider supranational regions to which they belong;
- **Business Conduct:** the implementation of governance and management mechanisms to support positive EESG outcomes and safeguard against negative outcomes;
- **Lifecycle Management:** the planning and management of company operations to ensure the integration of EESG considerations across the entire project lifecycle, from the earliest stage of development through to post-closure;
- **Community Wellbeing:** the company's engagement with affected communities and role in local social and economic wellbeing while avoiding and mitigating any negative impacts;
- **Working Conditions:** company efforts to ensure decent, safe and healthy working conditions for all workers; and
- **Environmental Responsibility:** company efforts to address the environmental risks and impacts generated by their operations, and to bring positive benefits and legacy wherever possible.

Figure 1 RMI analytical framework

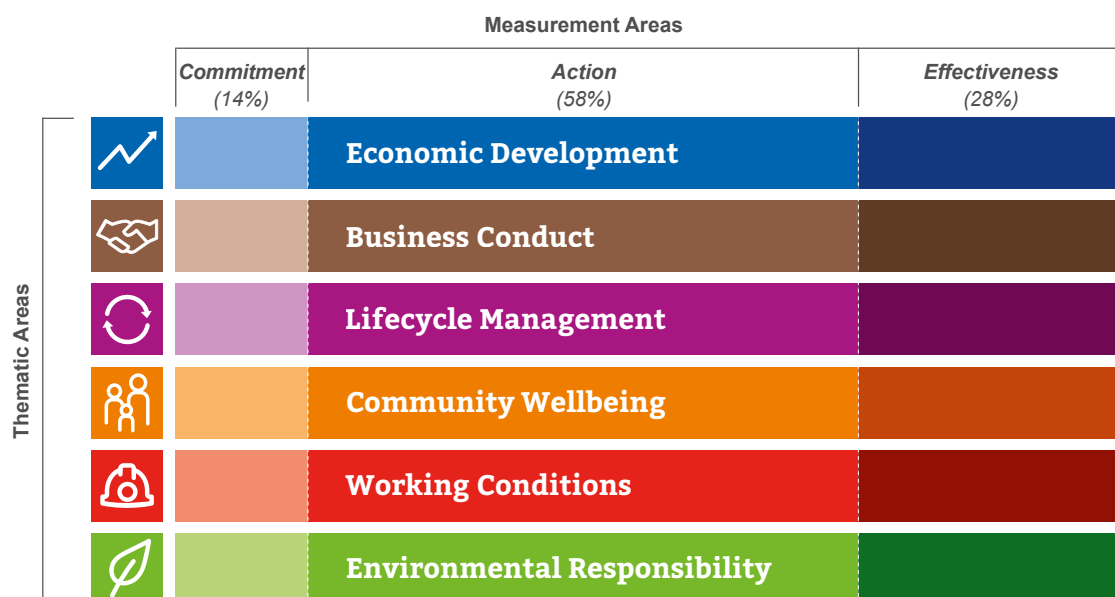




Figure 2 RMI topics

|  |  |
|--|--|
| <p><b>A Economic Development</b> </p> <p><b>A.01</b> National and Supranational Socio-Economic Development Planning</p> <p><b>A.02</b> National and Supranational Procurement</p> <p><b>A.03</b> Collaborative Research and Development</p> <p><b>A.04</b> Enhancing the National Skills Base</p>   | <p><b>E Working Conditions</b> </p> <p><b>E.01</b> Occupational Health and Safety</p> <p><b>E.02</b> Elimination of Forced Labour and Child Labour</p> <p><b>E.03</b> Non-Discrimination and Equal Opportunity</p> <p><b>E.04</b> Rights to Organise, Collective Bargaining and Freedom of Association</p> <p><b>E.05</b> Living Wage</p> <p><b>E.06</b> Collective Redundancy Management</p> <p><b>E.07</b> Worker Recourse</p>  |
| <p><b>B Business Conduct</b> </p> <p><b>B.01</b> Business Ethics and Anti-Bribery and Corruption</p> <p><b>B.02</b> Board and Senior Management Accountability and Diversity</p> <p><b>B.03</b> Contracts Disclosure</p> <p><b>B.04</b> Tax Transparency</p> <p><b>B.05</b> Beneficial Ownership</p> <p><b>B.06</b> Payments to Producing Countries</p> <p><b>B.07</b> Lobbying Practices</p> <p><b>B.08</b> Responsible Contracting and Sourcing</p>   | <p><b>F Environmental Responsibility</b> </p> <p><b>F.01</b> Environmental Stewardship</p> <p><b>F.02</b> Tailings Management</p> <p><b>F.03</b> Water</p> <p><b>F.04</b> Noise and Vibration</p> <p><b>F.05</b> Biodiversity and Ecosystem Services</p> <p><b>F.06</b> Climate Change and Energy Efficiency</p> <p><b>F.07</b> Hazardous Materials Management</p> <p><b>F.08</b> Emergency Preparedness</p>                      |
| <p><b>C Lifecycle Management</b> </p> <p><b>C.01</b> Mine Lifecycle Management</p> <p><b>C.02</b> Project Approval Process</p> <p><b>C.03</b> Mine Closure and Post-Closure Viability</p> <p><b>C.04</b> Mergers, Acquisitions and Disposals Due Diligence</p>  |  |
| <p><b>D Community Wellbeing</b> </p> <p><b>D.01</b> Human Rights</p> <p><b>D.02</b> Security and Conflict-Affected Areas</p> <p><b>D.03</b> Community and Stakeholder Engagement</p> <p><b>D.04</b> Economic and Social Viability</p> <p><b>D.05</b> Land Use</p> <p><b>D.06</b> Community Health</p> <p><b>D.07</b> Gender Equity</p> <p><b>D.08</b> Indigenous Peoples</p> <p><b>D.09</b> Free, Prior and Informed Consent</p> <p><b>D.10</b> Displacement and Resettlement</p> <p><b>D.11</b> Artisanal and Small-Scale Mining</p> <p><b>D.12</b> Grievance and Remedy</p> | <p><b>MS Mine-site indicators</b> </p> <p><b>MS.01</b> Local Employment</p> <p><b>MS.02</b> Local Procurement</p> <p><b>MS.03</b> Post-Closure Plans</p> <p><b>MS.04</b> Community Grievances</p> <p><b>MS.05</b> Worker Grievances</p> <p><b>MS.06</b> Air Quality</p> <p><b>MS.07</b> Water Quality</p> <p><b>MS.08</b> Water Quantity</p> <p><b>MS.09</b> Tailings Management</p> <p><b>MS.10</b> Emergency Preparedness</p> |

## Gender and Human Rights: transversal issues in RMI 2020

Gender and Human Rights are two cross-cutting issues in the RMI Framework 2020, that are integrated across the different thematic areas. These transversal issues have been identified by RMF as areas of central importance to responsible mining and particularly the prevention, avoidance and mitigation of adverse impacts. While there are specific topics in the Framework on Gender Equity and Human Rights, these issues are also embedded within indicators and metric questions across a range of other topics.





## Gender in RMI Methodology 2020

Within mining-affected communities, women are differently and disproportionately impacted by mining activities than men, and often marginalised in engagement and benefit-sharing activities of mining companies. And within mining company workforces women tend to be underrepresented and face increased risk of discrimination and gender-based harassment and violence while the specific needs of women workers, including adequate Personal Protective Equipment and female-focused health services are often overlooked.

The presence of mining companies can heighten gender inequalities within the affected area. Mining companies not only have a responsibility to 'do no harm' in this respect, but also have an interest in enabling women and girls to fulfil their potential and have access to actively participate in socio-cultural life and in the development of the local economy.

In taking a multi-faceted view of gender issues within the RMI Framework, the aim is to:

- Encourage continuous improvement in the mainstreaming of gender issues within company systems and the development of gender-responsive policies and practices;
- Assess the current range of performances on the management of different aspects of gender in mining and highlight leading practices on key gender-related issues; and
- Contribute to and encourage the provision of gender-disaggregated data and women-specific information related to responsible mining.

Gender issues touch on numerous aspects of the RMI Framework, including for example:

- Gender balance in senior management positions and Board membership, as well as in the overall workforce of mining companies (indicators B.02.2, MS.01);
- Measures to enable the participation of women in community engagement and community investment programmes, e.g. enabling women as well as men to benefit from support for business development and local procurement (indicators D.03.1, D.04.1, D.04.2);
- Companies' assessments of the impacts of their activities on women, and efforts by companies to track and improve their performance on managing these impacts (indicators D.04.3, D.07.1); and
- Company systems to protect women workers from gender-based harassment and violence and to address the specific health and safety needs of women workers (E.01.3, E.01.4).



## Human Rights in RMI Methodology 2020

The mining sector has a poor track record on human rights and a high potential for human rights abuses given the elevated risks of fatal accidents and life-threatening pollution incidents, abusive labour practices, and threats and attacks by security services on mining-affected community members and human rights defenders.

Under the UN Guiding Principles on Business and Human Rights, companies have a duty to respect human rights by taking action to identify, assess and address human rights risks associated with their presence or their activities, and provide remedy for any adverse human rights impacts which they cause or to which they contribute.

Human rights issues are integrated across the RMI Framework 2020, with the aim to:

- Track the emerging efforts by mining companies to address human rights in different aspects of their business;
- Assess the current range of performances on the management of human rights issues and highlight leading practices on understanding, preventing and remedying human rights abuses; and
- Encourage continuous improvement in companies' adoption of systematic approaches to manage human rights issues across their activities, operations and supply chains.

Based on the wide-ranging set of rights enshrined in the Universal Declaration of Human Rights, virtually the entire RMI Framework 2020 relates to human rights issues. For example:

- The rights to an adequate standard of living and to education are addressed through the focus on broad economic growth and skills development in the Economic Development thematic area and the economic viability indicators in the Lifecycle Management and Community Wellbeing thematic areas;
- The rights to join labour unions, receive decent remuneration and have freedom from slavery are directly addressed in the Working Conditions thematic area; and
- The rights to life and security of person are addressed in, for example, the prevention, avoidance and mitigation of environmental risks in the Environmental Responsibility thematic area.

In addition, human rights are explicitly included in the indicators and metric questions across several parts of the Framework. This includes:

- Formal commitments by companies to respect human rights, in line with the UN Guiding Principles on Business and Human Rights, and specific commitment on respecting the rights of Human Rights Defenders and Indigenous Peoples (D.01.1, D.01.4, D.09.1);
- Corporate systems to identify, assess and address human rights risks across all operations and across the supply chain, with special measures in the case of mining operations in conflict-affected or high-risk areas or areas where Indigenous Peoples are present (D.01.2, D.02.2, D.08.1);
- Due diligence systems that address human rights risks associated with suppliers and contractors, and with mergers, acquisitions and disposals (B.08.1, C.04.1);

- Systematic tracking by companies of their performance on managing human rights issues, and efforts to review and improve their performance, with additional efforts related to the respect of Indigenous Peoples' rights; and
- The prevention and remedying of human rights abuses related to security management, in line with the Voluntary Principles on Security and Human Rights (D.01.3, D.02.1, D.08.2).

## Company-wide indicators

The RMI assessment focuses largely on company-wide policies and practices, using three types of indicators (or 'Measurement Areas'):

- **Commitment** indicators assess the extent to which companies have produced formalised commitments, endorsed by senior management, and assigned responsibilities and resources to implement these policies.
- **Action** indicators assess the extent to which companies are systematically putting in place measures to improve and maximise the potential economic, environmental, social and governance (EESG) benefits and avoid, minimise or mitigate the negative EESG impacts of their activities.
- **Effectiveness** indicators assess the extent to which companies are tracking, reviewing and acting to improve their performance on managing EESG issues.

Each of the company-wide indicators is assessed via a set of three metric questions, as shown in the example below. The full set of company-wide indicators and metric questions is provided in on [pages 29 to 129](#) of this report.

### Example of a company-wide indicator and its three metric questions

*Indicator:*

**C.03.1** The company has systems in place to ensure its operations manage post-closure transition for affected communities, to seek to ensure continued viability of their livelihoods.

*Metric questions:*

**C.03.1** Can your company demonstrate that it has systems in place to ensure its operations:

- Identify, from the earliest stage and in consultation with local stakeholders, the impacts their closure will have on affected communities?
- Develop post-closure transition management plans from the earliest stage and in consultation with local stakeholders, aimed at ensuring continued livelihood viability for affected communities?
- Consider post-mining land-use opportunities in the development of these management plans?

## Mine-site indicators

In addition to the company-wide indicators, the RMI assessment also includes a smaller set of mine-site indicators to assess mine-site level actions and disclosures on the following topics:

- Local employment;
- Local procurement;
- Post-closure plans;
- Community grievances;
- Worker grievances;
- Air quality;
- Water quality;
- Water quantity;
- Tailings management; and
- Emergency preparedness.

The full set of mine-site indicators and metric questions is listed on [pages 130 to 133](#).

## Leading practices

The research for the RMI Report 2020 includes the identification of leading practices, in order to recognise companies that are developing innovative approaches, and report on these approaches to support their more widespread adoption. While leading practices will not be incorporated into the scoring, they will be highlighted in the RMI Report 2020.

RMI defines leading practice as:

*Any business practice that has been identified as exceptionally responsive to the challenges and/or opportunities in a given area of interest, by virtue of its favourable comparison with other practices. Leading practice is a relative and time-bound term, as business practices continuously evolve.*

Leading practices will be identified on the basis of their fulfilling at least some of the following criteria:

- Is the practice innovative in how it addresses a particular issue?
- Has the practice been proven to achieve a superior outcome/impact or is it reasonably expected to achieve this?
- Is the practice ambitious in the outcomes it aims to generate?
- Is the practice being used by a limited number of companies within the industry?
- Does the practice offer a degree of replicability for transfer to other companies or operations?

## Scoring system

The scoring system for the assessment of company-wide indicators is illustrated in Figure 3. For a given company:

- The three metric questions for each indicator are scored individually, with their summed score providing the score for the indicator.
- The (arithmetic) mean of the indicator scores for all indicators in a given thematic area give the thematic-area-level score.
- The (arithmetic) mean of the indicator scores for all indicators in a given measurement area (whether at a thematic-area level or a company-wide level) give the measurement-area-level score.

There are no pre-set weightings at any point of the scoring system. For a given company, each of the three metric questions of an indicator has the same potential influence on the indicator score; each of the relevant indicators has the same potential influence on a measurement area score; and the potential influence of each the three measurement areas within a thematic area is a function of the number of indicators in each measurement area, with no weighting applied. It is important to note that the Commitment measurement area deliberately contains significantly less indicators than the Action and the Effectiveness measurement areas.

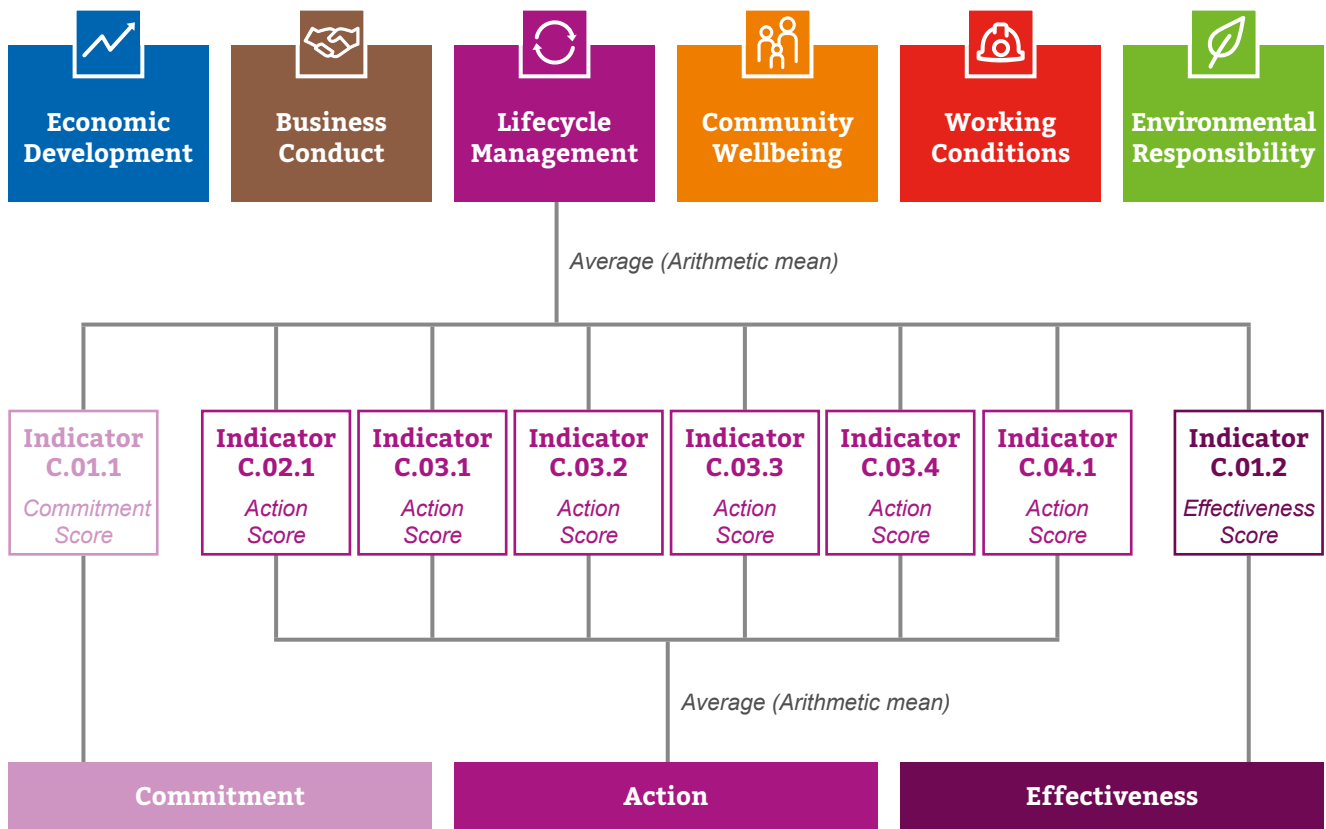
Overall company scores are not part of the RMI Report 2020 results, as these would hide the large variation seen in company performances across the different thematic areas.

### Exceptions

While the vast majority of company-wide indicators (and all mine-site indicators) have been designed to be applicable to all companies, all mine types, all mined commodities and all geographies, there are a small number of indicators that may not be applicable to a given company. Such indicators, covering issues considered critical to the focus of RMI, may not be relevant in all contexts.

These indicators include for example those relating to Indigenous Peoples and Artisanal and Small-scale Mining (ASM), where some companies may have no mining operations which have any relation to these issues. In such cases, companies may provide evidence to support the assessment of applicability. Where an indicator is determined to not apply to a company, the company will not be penalised in the scoring, i.e. it will not be scored on that indicator. The removal of an indicator requires that the aggregated score of the measurement area to which it belongs (Commitment, Action or Effectiveness) is calculated on the basis of the arithmetic mean score of the remaining indicators within this measurement area. For example, if there are three Action indicators within a given thematic area and a company is granted an exception for one of these indicators, the aggregated score for this cluster of indicators is calculated as the arithmetic mean of two, rather than three, indicators. The same applies for aggregation of indicator scores to the thematic area level.

Figure 3 Example of scoring and aggregation within a thematic area





# Data collection and analysis process

The data collection and analysis process is shown in Figure 4. The main steps include:

**Public domain data search:** RMI analysts undertake a search of public domain data sources on the companies and mine sites included in the assessment and pre-populate the online questionnaire with data relating directly to the metric questions. Data collection covers the two-year assessment period, July 2017 to June 2019. Data collection follows a triangulation approach, with analysts consulting a range of different sources, including wherever possible non-company sources of information.

**Publication of indicators and metric questions:** Prior to the company reporting period, the full set of indicators and metric questions is made publicly available. This enables companies to start gathering relevant information and evidence in advance.

**Company reporting:** The pre-populated questionnaire is shared individually with companies via a secure online platform, which includes: all indicators and metric questions, guidelines on the kinds of evidence that would be considered relevant for each indicator, and pre-filled fields showing all public domain data that has been collected on each indicator, the sources used and the preliminary assessment based on evidence available. Companies are invited to complete the questionnaire within a designated six-week time frame.

**Review and finalisation of data:** RMI analysts review the responses of companies and, where necessary, contact companies directly for clarification or additional information.

**Assessment and scoring:** On the basis of all data collected from company reporting and/or public domain search, RMI analysts assess performances and assign scores for each metric question and indicator according to a detailed scoring framework.

**Identification of leading practices:** Once data collection is complete and information on all companies has been reviewed, leading practices are identified and summaries prepared.

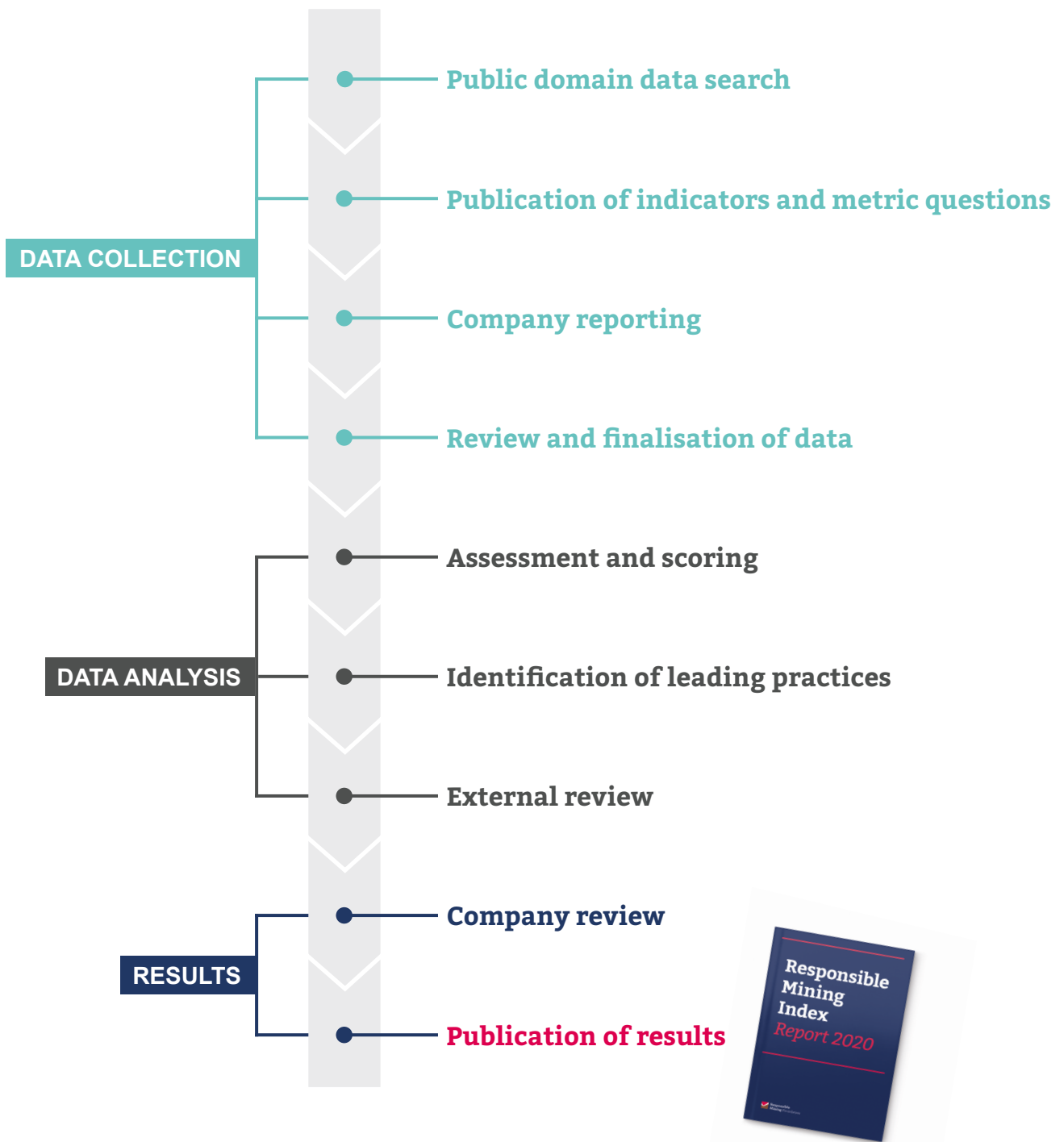
**External review:** Data analysis and preliminary results are reviewed by an external expert panel to ensure the assessment has been accurate and consistent.

**Company review:** Prior to publication, each company will review its own set of contextual data for factual accuracy to enable any amendments to be made.

**Publication of the results:** Publication of the RMI Report 2020 includes the main findings, the full results on each company and mine site, and the raw data behind the results.

For transparency purposes all information collected in the public domain and information provided to RMI by companies is considered as open data. For this reason, RMF does not sign non-disclosure agreements with companies. RMF recognises that in certain cases companies may have information they consider to be confidential which may nonetheless be useful information for the assessment process. In these cases it will be the consideration of the company whether to share the information and hence effectively put it in the public domain. Where necessary, RMI will accept redacted documents as evidence so companies can show only the information relevant to a given metric question.

**Figure 4** Data collection and analysis process



# Scoping criteria for selection of companies and mine sites

## Company scope

The company scoping process in the RMI Methodology 2020 comprises the sequential identification of the following sets of companies to arrive at the final selection:

- Set 1.** Identification of the world's largest mining companies, by value of production;
- Set 2.** Selection from Set 1 to maximise the geographic range of home countries represented; and
- Set 3.** Selection from Set 2 to maximise the geographic range of producing countries represented.

The company scope does not exclude highly diversified companies and conglomerates for which mining makes up only a proportion of their total business. If their mining operations qualify them for inclusion among the world's largest mining companies by value of production, these companies are eligible for inclusion in the RMI Report 2020.

The companies included in the RMI Report 2020 are listed below.

|                        |                    |
|------------------------|--------------------|
| Anglo American         | Gold Fields        |
| AngloGold Ashanti      | Grupo México       |
| Antofagasta            | Industrias Peñoles |
| ArcelorMittal          | MMG                |
| Banpu                  | Navoi MMC          |
| Barrick Gold Corp      | Newcrest Mining    |
| BHP                    | Newmont Mining     |
| Buenaventura           | NMDC               |
| Bumi Resources         | Nordgold           |
| China Shenhua          | Orano              |
| Coal India             | Peabody Energy     |
| CODELCO                | Polymetal          |
| ERG                    | Rio Tinto          |
| Evraz                  | Sibanye-Stillwater |
| Exxaro Resources       | Teck               |
| First Quantum Minerals | UC Rusal           |
| Fortescue              | Vale               |
| Freeport-McMoRan       | Vedanta Resources  |
| Glencore               | Zijn               |

## Mine site scope

The company-wide indicators are applied at corporate level and cover all of a company's mine sites worldwide that are, or have been, operated by the company or by its subsidiary/ies (or by entity/ies in which the company is a majority or a controlling shareholder) during the assessment period. This includes any mine sites under the company's care and maintenance, closure or post-closure management, regardless of the ownership level.

In addition to assessing company-wide behaviour, the RMI Methodology 2020 also assesses mine-site-level practices by the companies included in the assessment. These mine sites selected for assessment via the mine-site indicators include mine sites operated by the companies themselves or mine sites operated as Joint Ventures with other company/ies, regardless of the ownership level and of which company actually operates the site (this is applicable to both equity investments where partners jointly establish a dedicated company and for contractual alliances without the creation of a new company). The scoping process to determine the specific mine sites to be assessed, employs four criteria, applied as a series of filters in the following order:

1. Maximise the range of producing countries collectively covered by all the companies' selected operations;
2. Prioritise those operations that represent a significant proportion of a company's mining portfolio;
3. Include the maximum range of mined commodities; and
4. Include the maximum range of mine types (e.g. open cast and underground).

In the majority of cases, five mine sites are selected for each company. For those companies with less than five sites, all these sites will be selected. Where a Joint Venture operation is included within a company's mine sites selected for assessment, this may bring the total number of its assessed mine sites up to a maximum of six.

It should also be noted that the selection of mine sites, by design, has not taken into consideration a site's track record on the management of EESG issues. The primary concern will be to select a set of mine sites that provides a cross-section of each company's operations, and collectively represents a wide geographic distribution.

## Commodity scope

The potential range of mined commodities covered by the RMI Methodology 2020 encompasses all minerals and metals, excluding oil and gas. For all these commodities, it is the mining activities, not the downstream processing or final use of these commodities, that is the focus of the assessment.

## Scope of company responsibility and activities

RMI will assess only those activities over which companies have a degree of control and issues which can reasonably be considered the responsibility of mining companies. For the company-wide indicators, RMI focuses on:

- corporate-level statements of policy commitment;
- corporate-level systems put in place by a company to ensure its operations:
  - assess actual and potential impacts; or
  - implement particular actions to prevent, minimise and mitigate negative impacts and enhance potential positive impacts;
- corporate-level disclosure of data related to its management of EESG issues;
- company-wide efforts to track, review and act to improve its performance on the management of EESG issues, including processes to provide or enable remedy where the company may cause or contribute to a negative impact.

The RMI Report 2020 will cover relevant information relating to company mining activities within the two-year period from July 2017 to June 2019.



# **RMI Framework 2020: topics, indicators and metric questions**

**This section presents the Framework of RMI 2020, and includes:**

- **Descriptions of each thematic area and each topic – what they cover and why they are important for responsible mining, for mining companies and for other stakeholders.**
- **Details of each indicator and its metric questions – the basis of the RMI assessment.**
- **List of related initiatives and reporting frameworks with elements that broadly align with each RMI indicator. These are provided as illustrative pointers for companies, showing where they may already be collecting and reporting information related to the RMI indicators.**





# How to read this section

**Related references from the following initiatives:**

- UNGC UN Global Compact
- UNGP UN Guiding Principles on Business and Human Rights
- VPs Voluntary Principles on Security and Human Rights
- ILO International Labour Organization Conventions
- EITI Extractive Industries Transparency Initiative Standard
- GRI Global Reporting Initiative
- IFC PS International Finance Corporation Performance Standards
- SASB Sustainability Accounting Standards Board Mining Standard

**Indicator code**

**Indicator text**

|                             |  |               |
|-----------------------------|--|---------------|
| <b>A.01.1</b><br>Commitment | <p><b>The company commits to take account of national and supranational socio-economic development plans in making its mining-related investment and business decisions in producing countries, with the aim of enhancing socio-economic development.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>a. Formalised its commitment, that is endorsed by senior management, to take account of national and supranational socio-economic development plans in making its mining-related investment and business decisions in producing countries, with the aim of enhancing socio-economic development?</li> <li>b. Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>c. Committed financial and staffing resources to implement this commitment?</li> </ol> | • IFC PS 1.11 |
|-----------------------------|--|---------------|

**Indicator type (measurement area)**

- Commitment
- Action
- Effectiveness

**Metric questions**  
a, b and c





The large-scale extraction of minerals and metals represents a vitally important one-time opportunity for producing countries and their communities to gain lasting economic benefits from these non-renewable resources. The potential gains are huge: mineral wealth, if well managed, can transform national economies, reduce poverty and inequality, improve inter-generational equity and boost the health, education and wellbeing of a country's population. Too often, however, these benefits are not realised. Some of the most resource-rich countries are among the poorest in the world and their mineral wealth, rather than bringing prosperity, has been seen to deepen poverty and fuel corruption and conflict. Even in developed economies, short-sighted mining developments can have long-lasting negative inter-generational effects.

Producing country governments are responsible for the stewardship of their countries' mineral resources and the responsible management of the revenues generated by their extraction. Good governance is essential if mining is to fulfil its potential to contribute to sustained economic development. At the same time, mining companies have an important role to play in ensuring that the potential that their investments and activities represent, optimally enhances socio-economic development within producing countries and the wider regions.

Large-scale mining companies, working in partnership with other stakeholders, can leverage their mining-related investments to catalyse development gains and in so doing contribute to the Sustainable Development Goals (SDGs). For example, well-planned mine infrastructure can spur national development and supranational growth within the wider region (See A.01), while responsible procurement strategies can build producing country capacity to provide goods, consumables and services beyond the mine (See A.02). Mining companies can also support capacity building by facilitating the development and transfer of skills and technologies to other sectors (See A.03 and A.04). Supporting transparency and accountability in the use of mineral revenues is also of paramount importance (See B.04, B.05, B.06, B.07).

The global mining industry is becoming increasingly aware of the imperative, and acting on opportunities, to contribute to sustainable development. By building constructive partnerships with producing country governments, parallel industries, civil society, and other stakeholders to translate these opportunities into benefits, mining companies can strengthen their position as good corporate citizens and trusted development partners.

## A.01

# National and Supranational Socio-Economic Development Planning

In all countries, transport, water, energy, information and communications technology infrastructure have become necessary for sustainable development and the maintenance of vibrant and resilient societies. However, in many developing countries infrastructure needs are vast, and out of reach for many citizens. In some regions there also may be little or no appropriate infrastructure (e.g., port, road or rail facilities, energy, water) in place to support a mine, resulting in reduced productivity and competitiveness of the operation.

Infrastructure development related to large mining projects provides a unique opportunity for developing countries to address weaknesses in their infrastructure sector, and for mineral infrastructures to be shared, leveraged and optimised for sustainable economic development. Infrastructure can be an important driver to “dis-enclave” mining communities, and facilitate linkages that can support different types of economic activities, at the local, subnational and national level.

The strategic development of shared infrastructure can provide a win-win situation that enables a new mining project to efficiently and affordably move its product to market while also catalysing broader economic development gains. High costs and capital exposure risks can be managed by partnering with governments and other stakeholders, while also enabling producing countries to maximise the benefits of that infrastructure (e.g., to create new industrial hubs or corridors, better connect markets and improve the movement of goods, services, and people).

If not well planned and managed, however, the potential benefits from the development of a mine and associated infrastructure may not be realised, and may actually have negative impacts such as increasing environmental degradation, conflict and poverty. Coordination with sub-national and national government planning processes, including those related to potential in-migration (influx) that may accompany the development of major mining projects and associated infrastructure, can help to ensure that there are sufficient services (e.g., water and sewage, decent accommodations, hospitals, schools) and social resources available for communities and areas potentially impacted by the presence of mining companies.

When mines are developed in a manner that harmonises with national and wider supranational interests, contributions from the mining industry have the potential to be transformative by attracting and stimulating trade and investment and business development, strengthening poverty alleviation outcomes and maximising the potential of other economic sectors.

|                                     |   |                      |
|-------------------------------------|---|----------------------|
| <p><b>A.01.1</b><br/>Commitment</p> | <p><b>The company commits to take account of national and supranational socio-economic development plans in making its mining-related investment and business decisions in producing countries, with the aim of enhancing socio-economic development.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to take account of national and supranational socio-economic development plans in making its mining-related investment and business decisions in producing countries, with the aim of enhancing socio-economic development?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol> | <p>• IFC PS 1.11</p> |
| <p><b>A.01.2</b><br/>Action</p>     | <p><b>Where applicable, the company has systems in place to ensure its operations work collaboratively with sub-national producing country governments on socio-economic development planning.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations work with sub-national producing country governments to identify socio-economic development priorities where they can play a collaborative role?</li> <li>Has systems in place to ensure its operations develop strategies and plans to address these development priorities in collaboration with the sub-national governments?</li> <li>Systematically tracks the implementation of these strategies and plans, collaboratively with the sub-national governments?</li> </ol>                                |                      |

## A.02

# National and Supranational Procurement

The development and operation of a large-scale mine have the potential to contribute significant revenues and economic diversification opportunities in producing countries and regionally through mining company expenditures on goods and services and procurement contracts. In fact, the level of expenditure by major mining companies on in-country procurement is typically higher than their expenditures on taxes, salaries and community investment combined. Often, however, a large share of the value of goods and services used by mining projects are imported, which can create tensions between a mining company and communities or governments. The requirement for highly technical or specialised inputs, difficulties in accessing finance, lack of relevant skills, and short lead-times are all factors that can potentially constrain national or regional suppliers from meeting a mining project's needs.

Several countries have passed regulations or added stipulations to contracts that require or incentivise extractive industry companies to prioritise the use of products, businesses, services and workers from within the country or broader region. These approaches do not always deliver the anticipated benefits, however, due to corruption, opposition by vested interests within the country, and lack of local capacity to deliver needed goods and services.

In some countries, trade restrictions prevent the use of mandatory local content requirements. Where no regulations exist, some mining companies are voluntarily creating procurement targets and initiatives to support national or regional suppliers, including by placing obligations on their own contractors to source from within the country or wider region.

Building capacity within national or wider regional suppliers to meet a company's standards and specifications may take significant lead time, so it is advisable for companies to assess their procurement needs early in the project planning stage, and identify procurement opportunities for the various stages of the mine lifecycle, including development, production and closure. Responsible procurement strategies can best be optimised when there is extensive collaboration between government, industry associations, civil society and other mining companies to develop approaches that align with national and wider regional supply and demand.

The benefits of enhancing procurement opportunities at the national or supranational level are myriad. Prioritising national and supranational procurement and fostering related research and development (See A.03) can help build stronger economies through the creation of jobs, tax revenues, skills and technological capacities that reach well beyond the mine. (For the benefits of fostering local community procurement opportunities, see D.04) Also, by supporting new and established suppliers to meet high labour, environmental, social and human rights standards mining companies can strengthen the potential for local suppliers to diffuse their products and services beyond the mining sector, into regional or global supply chains.

Mining companies also realise strategic benefits from advancing the development of national and wider supranational procurement such as reducing production costs, logistic costs and delivery times, facilitating secure access to critical goods and services, reducing the environmental footprint of their sourcing practices, and strengthening their social license to operate.

|   |   |  |
|---|---|--|
| <p><b>A.02.1</b><br/><b>Action</b></p>        | <p><b>The company has systems in place to ensure its operations develop procurement opportunities for suppliers at national and supranational levels.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ul style="list-style-type: none"> <li>a. Has systems in place to ensure its operations identify opportunities for, and barriers to access to, procurement from suppliers at national and/or supranational levels?</li> <li>b. Has systems in place to ensure its operations develop strategies and plans to develop procurement opportunities for suppliers at national and/or supranational levels?</li> <li>c. Systematically tracks the implementation of these strategies and plans?</li> </ul>   |  |
| <p><b>A.02.2</b><br/><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on national and supranational procurement.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ul style="list-style-type: none"> <li>a. Tracks and discloses data, against targets and across successive time periods, on its national and supranational procurement, showing proportions and amounts spent?</li> <li>b. Audits and/or reviews the effectiveness of its measures taken to develop procurement opportunities for suppliers at national and/or supranational levels?</li> <li>c. Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to develop procurement opportunities for suppliers at national and/or supranational levels?</li> </ul> |  |

Mining companies are well-placed to support research and development (R&D) programmes to stimulate innovation and socio-economic diversification in producing countries. Mining companies alone, collectively as an industry, or in partnership with others can support R&D that aims to improve the positive and minimise the negative environmental or socio-economic impacts of mining.

Mining companies may contribute to producing-country R&D efforts in a number of ways, including through the provision of financial support to research institutions, partnerships with government agencies, universities or NGOs, funding of research scholarships, or by providing researchers with access to data or equipment. Any support for building R&D capacity, however, should be done in close collaboration with the relevant institutions and government authorities. By taking a collaborative approach in assessing needs and developing capacities, companies can be strategic with their investments, and avoid costly and time-consuming efforts that fail to create long-term value for the company or producing country.

Mining companies have much to offer in, and benefit from, these kinds of capacity building efforts, beyond any R&D the companies undertake themselves as a regular part of their operations (e.g. mining techniques or EIA-related research). Support for producing-country R&D can generate public-good knowledge on a wide range of mining-related issues relevant to the country in question.

For example, research can be targeted at reducing energy, water usage or the environmental footprint of operations, or researching strategies to prepare for and adapt to climate change. Other efforts might include R&D related to occupational health and safety issues, socio-economic studies to facilitate downstream opportunities such as mineral beneficiation, or cooperation with government and academic institutions on influx management.

R&D supported by mining companies, however, need not only be focused on mining-related issues. Companies can invest in initiatives that address the needs of mining-impacted communities, for example by supporting R&D in sectors like agriculture, water treatment or renewable energy technologies to promote food, water and energy security. In addition to creating opportunities for economic growth, such investments may help to contribute to a shared pool of knowledge and innovation and address socio-economic challenges including poverty and health, or environmental issues such as soil erosion and water contamination.

The value of contributing to socio-economic development in producing countries is well understood by mining companies. Through contributions to socio-economic R&D mining companies can help to develop technologies and practices that are tailored to the needs and realities of the producing country but also have potential to be applied elsewhere. Also, building R&D capabilities and economic capacity in a country or region makes it more attractive to investment, and may lead to a more stable operating environment.



|  |  |                           |
|--|--|---------------------------|
| <p><b>A.03.1</b><br/><b>Action</b></p> | <p><b>The company has systems in place to work collaboratively with producing country institutions on Research &amp; Development aimed at addressing priority socio-economic and environmental issues related to mining.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to work collaboratively with producing country institutions to:</i></p> <ul style="list-style-type: none"> <li>a. Identify R&amp;D priorities to address socio-economic and environmental impacts of mining within producing countries?</li> <li>b. Develop R&amp;D programmes to address these priorities?</li> <li>c. Track the implementation of these R&amp;D programmes?</li> </ul> | <p>• UNGC Principle 9</p> |
|--|--|---------------------------|

Mining developments create the potential for economic and social benefits through the creation of procurement and employment opportunities (See A.02 and D.04). How a mining company responds to the short- and long-term-skills needs of a project can have a significant impact on the skills base and employment levels in producing countries, providing multi-generational multiplier potential. When a company is over-reliant on imported labour, expertise and goods, mining and other skills are not transferred to the local population and there is little opportunity to enhance the national skills base or the development of a sustainable economy.

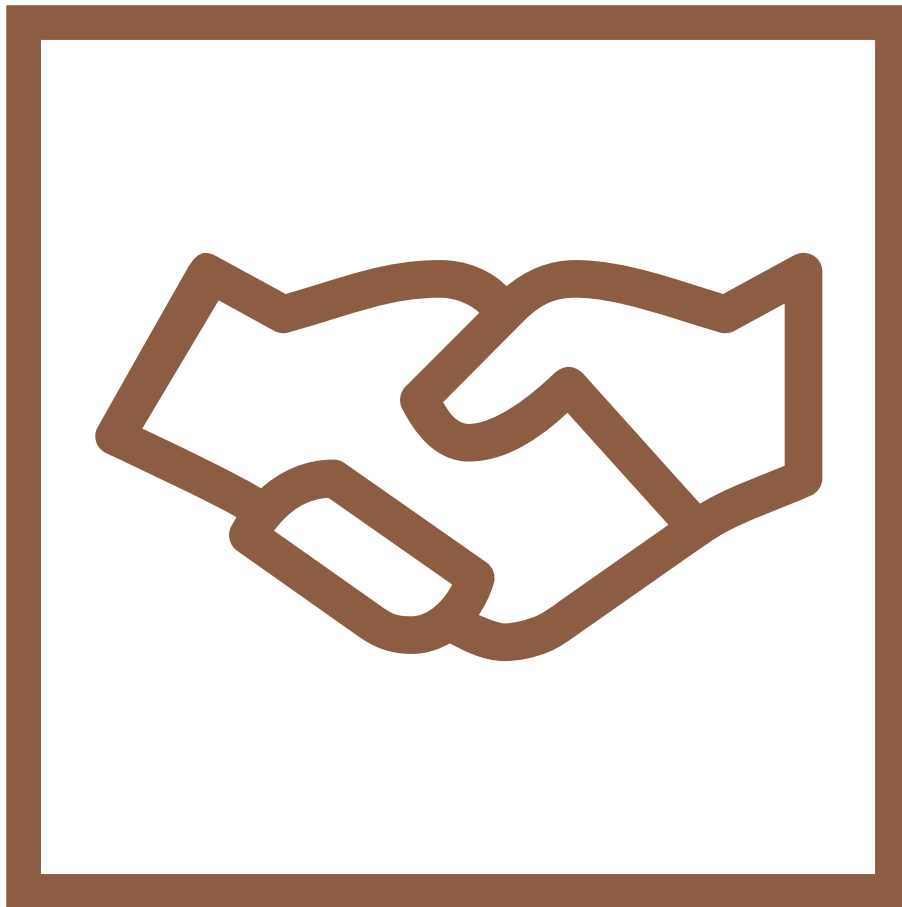
Most mining companies invest in worker training programmes to ensure the efficient running of their organisations and operations. Some companies also provide apprenticeships and mentoring to foster skills transfer, and “upskilling” and leadership programmes to provide their workers with career advancement opportunities. A focus on mining skills development at the local or national level helps companies meet producing country local employment expectations or targets and reduce costs associated with expatriate transfers. Educating and training workers may also lead to greater worker productivity, and reduce the potential for community conflicts that may arise if a mine is overly reliant on foreign labour, especially for higher paying jobs.

Furthermore, the promotion of skills development outside the workforce can be a significant contributor to local development and foster a diverse skills pipeline in the long-run. Such actions could involve, for example, collaborating with national and local governments to strengthen STEM education at school and college level, and providing scholarships, internships, vacation training, graduate training, etc. Strengthening mining-related yet readily transferable technical/vocational skills outside the workforce (including by, for example, supporting training programmes for welders, drivers, mechanics, etc.) can also bring long-term benefits.

Increasingly, governments and companies are looking at how the mining industry can expand its efforts by cultivating skills that are applicable to other sectors of the economy. For example, mining companies can foster the development of local and national businesses that reach far beyond the mine site by mentoring or training mine suppliers and contractors (See A.02 and B.08), or supporting enterprises unrelated to mining, e.g., through access to finance at favourable rates. Mining companies can also help deepen the level of expertise in fields such as process control, construction and materials handling, which can be used in a wide number of economic sectors other than mining; and promote the development of highly transferable skills such as communications or competencies related to management and supervision.

Provision of skills training and support in a broad range of areas, including but not limited to those related to mining, helps companies foster a larger talent pool from which they can draw, while helping to positively integrate themselves at a national and regional level.

|  |  |   |
|--|--|---|
| <p><b>A.04.1</b><br/><b>Action</b></p> | <p><b>The company has systems in place to ensure its operations support STEM education and technical/vocational skills development among the wider population in producing countries, through partnerships with in-country institutions.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ul style="list-style-type: none"> <li>a. Support STEM education among the wider population in collaboration with in-country institutions?</li> <li>b. Support technical/vocational skills development among the wider population in collaboration with in-country institutions?</li> <li>c. Demonstrate alignment of their skills development efforts with the national skills development agenda?</li> </ul> |   |
| <p><b>A.04.2</b><br/><b>Action</b></p> | <p><b>The company has systems in place to ensure its operations support technical and managerial skills development of its local workforces in producing countries.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ul style="list-style-type: none"> <li>a. Has systems in place to ensure its operations support technical skills development of its local workforces in producing countries?</li> <li>b. Has systems in place to ensure its operations support managerial skills development of its local workforces in producing countries?</li> <li>c. Systematically tracks the implementation of their skills development programmes?</li> </ul>  | <ul style="list-style-type: none"> <li>• GRI Disclosure 404-2; 404-3</li> </ul> |



# B Business Conduct



**Mining companies, like other global businesses, are answerable to their owners and shareholders, whether these be private individuals, corporations, governments or taxpayers. They are also increasingly being held to account by stakeholders and the global marketplace, which expect companies to apply ethical business practices and sound systems of corporate governance and transparency to their operations. In response to this demand some mining companies have made commitments to more responsibly manage the economic, environmental, social and governance (EESG) aspects of their operations.**

**Just as a mining company's economic development efforts can contribute to the achievement of the UN's Sustainable Development Goals (SDG) (See Section A), responsible business conduct by mining companies can help producing countries progress toward these goals. For example, transparency of mining business practices, especially in countries with weak governance or corruption, not only helps to showcase a company's good practices, but also can contribute to greater producing-country accountability (SDG 16) and a higher potential for mineral wealth to reduce poverty (SDG 1) and provide benefits to the whole population.**

**Conducting businesses with integrity also enables companies to respect human rights, workers and the environment; protect against corruption; and create value for producing countries and communities affected by mining activities, all of which are important concepts within the SDG.**

## B.01

# Business Ethics and Anti-Bribery and Corruption

Business ethics is the application of ethical values to the conduct of a company or individuals within that company. The set of ethical values adopted by a company is discretionary, but often includes values such as: integrity, fairness, honesty, trustworthiness, freedom, respect and openness. These values can then be applied to relevant economic, environmental, social and governance (EESG) issues such as conflicts of interest; gifts and hospitality; political donations and lobbying; bribery and corruption; data privacy; use of social media; diversity; human rights; and treatment of or interactions with workers, communities and the environment.

Ethical conduct is more likely to be achieved if values are embedded in the company's culture, throughout all of its departments and operations; expected behaviour is clearly communicated to all employees (through education and awareness raising programmes), relevant business partners and stakeholders; there are sanctions for breaches of conduct, but also incentives for achieving high ethical conduct; and monitoring mechanisms are in place to understand the extent to which the company is living up to its stated values. Also important is reporting to employees and stakeholders, which promotes learning and accountability at all levels of the company, and provides a means to demonstrate that commitments made at the corporate level are being carried out at the mine operational level.

Companies committed to ethical conduct will also have effective mechanisms in place that enable individuals from within or external to the company to raise concerns about unethical or unlawful conduct, including whistleblowing hotlines or similar procedures that allow anonymous, confidential reporting without fear of retaliation. In some situations, in order to build trust in the mechanism, it may be helpful to have an independent third-party manage the mechanism and report back to the company on the results. The creation of a culture of trust and openness also entails ensuring that workers (employees and contract workers) and suppliers have the confidence, and are encouraged, to raise issues of concern, and that protection is provided to those who speak out. This, in turn, is more likely to result in the early identification and prevention of unacceptable behaviours, enabling companies to protect their reputation, reduce financial losses, improve employee morale and reduce turnover.

An integral part of a company's approach to ethical conduct is a robust system to prevent direct and indirect forms of bribery and corruption. In 2003, the United Nations General Assembly adopted the United Nations Convention Against Corruption. In the convention document, UN Secretary General Kofi Annan stated that, "Corruption hurts the poor disproportionately by diverting funds intended for development, undermining a Government's ability to provide basic services, feeding inequality and injustice and discouraging foreign aid and investment. Corruption is a key element in economic underperformance and a major obstacle to poverty alleviation and development."

The mining sector is classified as one of the highest-risk sectors for corruption. Mining companies must obtain numerous licences and approvals to explore and develop mineral resources. Some government officials or others with enough political influence to block or delay mining projects may attempt to solicit bribes in exchange for facilitating those processes. This practice is especially prevalent when mining operations are located in countries that have a weak regulatory environment and rule of law.

The problem, however, cannot be placed solely at the feet of unethical government officials and other intermediaries. Some mining companies admit that they would willingly make cash payments or give unethical gifts to help their business during financially difficult times. Also, companies may be indirectly and in some cases unknowingly implicated in bribery or corruption through their relationships with agents, consultants or joint-venture partners.

Bribery and corruption can be prevented or greatly reduced through implementation of robust and transparent anti-corruption due diligence and compliance programmes and other measures such as transparency around contracts, taxes and payments made to producing countries (See B.03, B.04 and B.06). Anti-corruption due diligence helps companies fight corruption within their own businesses, and reduce the potential of being associated with corruption through the actions of third parties such as agents, consultants, or suppliers. Such due diligence is now an expectation in many countries, and companies are also voluntarily taking steps to implement anti-corruption programmes to minimise their risks.

Less corruption in a society will lead to a more predictable and stable investment environment for companies, and help producing countries demonstrably maximise the benefits from the development of their natural resources.

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| <p><b>B.01.1</b></p> <p><b>Commitment</b></p>    | <p><b>The company commits to prevent all direct and indirect forms of bribery and corruption.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to prevent all direct and indirect forms of bribery and corruption?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>   | <ul style="list-style-type: none"> <li>• UNGC Principle 10</li> <li>• GRI 205</li> <li>• SASB NR0302-21</li> </ul> |
| <p><b>B.01.2</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on anti-bribery and corruption.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its prevention of bribery and corruption, including number and nature of incidents and actions taken in response?</li> <li>Audits and/or reviews the effectiveness of its measures taken to prevent all direct and indirect forms of bribery and corruption?</li> <li>Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to prevent all direct and indirect forms of bribery and corruption?</li> </ol> | <ul style="list-style-type: none"> <li>• UNGC Principle 10</li> <li>• GRI 205</li> </ul>                           |
| <p><b>B.01.3</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve the effectiveness of its whistleblowing mechanisms for reporting concerns about unethical behaviour.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on the functioning and uptake of its whistleblowing mechanisms, including number and nature of incidents and actions taken in response?</li> <li>Audits and/or reviews the effectiveness of its whistleblowing mechanisms?</li> <li>Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve the effectiveness of its whistleblowing mechanisms?</li> </ol>   | <ul style="list-style-type: none"> <li>• GRI Disclosure 102-17</li> </ul>  |

## B.02

# Board and Senior Management Accountability and Diversity

Corporate sustainability is a concept that has been embraced by companies around the globe. It is increasingly viewed as essential to long-term corporate success. It involves businesses respecting fundamental responsibilities in areas such as human rights, labour, environment and anti-corruption, and taking actions to support and create value for societies around them.

Increasingly, companies are developing policies that demonstrate a commitment to responsible conduct on economic, environmental, social (including human rights) and governance (EESG) issues. However, policies do not always translate into long-term positive changes in producing countries or a sustained shift in corporate culture and values toward more responsible behaviour. Successful implementation of policies typically requires commitment, leadership and accountability from corporate boards and senior managers (at the corporate and mine-site levels), as well as dedicated personnel at the operational level to ensure that strategic decisions are applied throughout a company's operations.

Achievement of corporate goals to protect environmental values, human rights, the health and socio-economic wellbeing of communities can better be realised when businesses adopt internal accountability and incentive mechanisms for performance, which can be applied to corporate-level decision-makers as well as site-level managers and workers. Such actions can help to improve operational level performance and attitudes about the relevance of the EESG commitments, and help embed them into the company's culture and values.

The composition of corporate boards and senior management may also influence the successful implementation of EESG goals. Board members and managers of different genders, ethnicities and ages, and a diversity of backgrounds and qualifications, including on economic, environmental and social issues, can contribute to a broad spectrum of knowledge on how external factors may impact the company.

Studies have shown that gender diversity on boards of directors and in senior management positions can lead to better overall financial performance, good corporate governance, greater adherence to global EESG standards, better sustainability performance, enhanced innovation, better risk management, and an improved corporate reputation.



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| <p><b>B.02.1</b></p> <p><b>Action</b></p>        | <p><b>The company has systems in place to hold individual board directors and senior managers accountable for responsible business conduct on ESG issues.</b></p> <p><i>Can your company demonstrate at the corporate level that it has taken specific measures to ensure that:</i></p> <ol style="list-style-type: none"> <li>Clear roles and responsibilities are defined for individual board directors and senior managers for responsible business conduct on ESG issues?</li> <li>Competency requirements are in place for key senior management and board-level positions responsible for ESG issues?</li> <li>Individual board directors and senior managers responsible for such performance are held accountable via documented measures?</li> </ol> | <ul style="list-style-type: none"> <li>• UNGP (RF) A.2.1; A.2.2</li> <li>• GRI Disclosure 102-20</li> <li>• IFC PS 1.17</li> </ul> |
| <p><b>B.02.2</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its gender balance at board and senior management levels.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on the percentage of women at board and senior management levels?</li> <li>Audits and/or reviews the effectiveness of its interventions (programmes, initiatives, etc) to improve gender balance at senior management level?</li> <li>Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve its gender balance at senior management level?</li> </ol>                                      | <ul style="list-style-type: none"> <li>• GRI Disclosure 405-1</li> </ul>   |

## B.03

### Contracts Disclosure

Producing countries issue licenses and develop agreements with companies to explore or exploit mineral resources (e.g., through bids, leases, permits, concession agreements, exploration and exploitation agreements, development agreements). Governments also sign contracts or negotiate agreements with companies to establish various terms and conditions related to mineral development, such as the financial benefits that a country will receive from taxes, production-sharing, profit-sharing and royalties; provisions related to critical infrastructure or other investments; and terms that can have implications for citizens such as environmental protection measures or rights related to land use or the displacement of local communities.

Governments bear the responsibility of managing their country's resources in a manner that is in the interest of national development and the wellbeing of the people. Unfortunately, corruption, lack of information or institutional capacity challenges have prevented some countries from negotiating the best deals for their citizens – often resulting in the loss of millions or billions of dollars in potential revenue.

The contracts governing mining or other extractive projects may constitute the most significant rules governing the benefits received by producing countries and affected communities, and yet, these public-interest documents are often hidden from public view. According to a 2015 report by the Extractive Industries Transparency Initiative, while some countries publish contracts, transparency is not universal. In some cases there are legal or contractual prohibitions on disclosure, and in others, even though laws support disclosure it is only partially done, or is not occurring at all.

Contract disclosure, however, is increasingly being recognised as necessary to enable the responsible management and good governance of natural resources, and to promote growth and economic development by ensuring a level playing field for companies. By systematically making contracts publicly available, government officials have more tools and a stronger incentive to negotiate contracts that ensure that their countries receive an equitable share of the benefits from mineral development. Contract transparency enables civil society to play a greater role in the debate over how developing countries manage their non-renewable resources, and can also help companies and governments demonstrate to citizens the value of mining projects and what are realistic income expectations over time. In addition to disclosure of the contracts themselves, disclosure of related documents (including, for example, records of the allocation and award process, as well as information about contract terms and their implementation) can enable stronger accountability and transparency.

A growing number of mining companies and associations publicly support the practice of contract publication, arguing that it ensures a level playing field for companies and helps increase the quality of their relationship with society at large and more effectively match citizen expectations. Some companies are also taking leadership roles in advancing transparency by disclosing contracts in countries where it is not required, and others are proactively including exception clauses in contracts with governments that enable public disclosure.

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| <p><b>B.03.1</b></p> <p><b>Action</b></p> | <p><b>The company publicly discloses all the legal titles that grant it the rights to extract mineral resources on its mine sites.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ul style="list-style-type: none"> <li>a. Publicly discloses all the legal titles (e.g. contracts, permits, licences, leases, conventions, agreements) that grant it the rights to extract mineral resources on its mine sites?</li> <li>b. Makes these documents freely available on its company website?</li> <li>c. Publicly discloses these documents as full-text documents without redactions or omissions?</li> </ul> | <p>• EITI 2.2; 2.3; 2.4</p> |
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## B.04 Tax Transparency

Mining-related taxes are a significant and critically important source of income for mineral-rich countries. Revenues from taxes allow countries to pay for essential public services and infrastructure. In the case of developing countries, a solid tax base can reduce reliance on foreign aid, enabling countries to have a greater say in their own development. If managed carefully, the taxes received over the lifecycle of a mine can fund economic and social development initiatives that will continue to generate benefits long after the mining operations have ceased.

There is ample evidence that many producing countries are failing to collect a significant proportion of taxes from extractive industries, especially from companies with operations in many countries. Companies are able to avoid paying taxes through questionable but nominally legal tactics, such as transfer pricing manipulation (by shifting profits to subsidiaries in low-tax or secrecy jurisdictions), trade mispricing (by under-declaring the value of products being exported) or through the use of complex ownership structures. Tax evasion may also occur through illegal activities, such as smuggling.

Developing countries may also lose out on tax revenues by offering incentives such as tax holidays or reduced tax rates. Often, tax incentives in producing countries are not guided by proper cost-benefit analyses but are driven instead by the pressure to create a more attractive investment climate than the next country, and given the location-specific nature of mining operations there are numerous examples showing that investment would have occurred even without tax incentives. Although not illegal, overly generous or ill-conceived tax incentives may be viewed with suspicion, create legitimacy issues for governments and companies, and do nothing to improve the investment climate in a country.

Much work needs to be done to establish tax policies, structures and enforcement capacity in a manner that both attracts investment and delivers economic benefits to the country. There is no single definition of tax transparency, but it generally includes the disclosure of information on how much profit a company makes in each country where it operates and how much taxes it pays in each country (See B.06), and reporting on tax strategies, such as its approach to taxation, details on management of tax risk and tax planning, and information on tax havens.

Increasingly, global companies are recognising that tax-related policy commitments and proactive disclosure of tax strategies and practices at a country level, are crucial to building and maintaining relationships and credibility with investors and producing countries, and fostering a stable investment climate in the countries where they operate.

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| <p><b>B.04.1</b></p> <p><b>Action</b></p> | <p><b>The company practices tax transparency in all its tax jurisdictions.</b></p> <p><i>Can your company demonstrate at the corporate level that it publicly:</i></p> <ul style="list-style-type: none"> <li>a. Discloses its corporate structure mentioning all tax jurisdictions where it has registered entity(ies) and under what names (e.g. those of subsidiary or branch entities) it is known in that place?</li> <li>b. Reports on its approach to tax transparency, including its strategy relating to its presence in any low-tax jurisdictions?</li> <li>c. Discloses all tax benefits and tax holidays received at local and national levels in all tax jurisdictions where it has registered entity(ies)?</li> </ul> | <p>• GRI 201</p> |
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## **Beneficial Ownership**

The identities of the people who ultimately own, control and reap the profits from a mining company's activities - the beneficial owners - are not always disclosed. In some cases they are hidden behind a chain of corporate or private entities that spans multiple countries.

When ownership of a company is opaque it creates avenues for corruption, tax evasion, money laundering and other types of financial misconduct, which can then lead to negative economic, environmental or social impacts. For example, an individual with an ownership stake in a company may be in a position to unduly influence the granting of government contracts, mining licences or permits to unqualified companies, or approve overly lenient terms and conditions. Knowing the identity of the beneficial owners is important both to deter corruption and to ensure that a company that has obtained a license has the intention and necessary financial and technical expertise to develop, operate and close a mining project in a responsible manner.

Governments, financial institutions, voluntary initiatives and even mining company executives are increasingly advocating for and moving towards increased transparency in the beneficial ownership of companies. For example, the Extractive Industries Transparency Initiative has put in place requirements that by 2020 "all implementing countries have to ensure that all oil, gas and mining companies that bid for, operate or invest in extractive projects in their countries disclose their real owners," and reveal the level of ownership and details about how ownership or control is exerted (e.g., through a percentage ownership of shares in the company, or control through contractual arrangements or powers of attorney).

Proactive disclosure of beneficial ownership is fast becoming standard practice within the extractive industry. Such disclosure demonstrates commitment to transparency and to the integrity of mineral licensing and contracting processes. It will also help to build greater trust from mining stakeholders, help avoid the risks of corruption and tax evasion, and enable governments to better assess the credibility of mining proposals, thereby improving the investment climate for the mining sector globally.

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| <p><b>B.05.1</b></p> <p><b>Action</b></p> | <p><b>The company publicly discloses its ultimate beneficial owners.</b></p> <p><i>Can your company demonstrate at the corporate level that it publicly:</i></p> <ol style="list-style-type: none"> <li>Discloses the names of the individuals that are its ultimate beneficial owner(s) (i.e. not only direct shareholders), specifying any threshold ownership level applied to this disclosure?</li> <li>Discloses how ownership is held and how control is exercised?</li> <li>Identifies any beneficiaries who are politically exposed persons and discloses regular updates of information?</li> </ol> | <ul style="list-style-type: none"> <li>• EITI 2.5</li> <li>• GRI Disclosure 102-7</li> </ul> |
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## B.06

### Payments to Producing Countries

Governments grant mining companies the right to explore and exploit mineral resources, and, in exchange, companies pay taxes, royalties, license fees, bonuses, or make other contributions to compensate a country for the minerals being extracted. The payments made by mining companies can be a significant source of revenue for developing countries, and have the potential to fuel economic growth and social development.

Information on payments to governments is often not publicly available. Greater transparency from mining companies would help governments and citizens know if companies are meeting their contractual obligations (See B.03), and it would enable companies to demonstrate their economic contributions to workers, local communities, and to the national economy at large.

It is generally agreed that transparency of payments made by extractive companies to governments can enhance good governance by removing conditions that enable corruption and misuse of revenues. Better management of mineral revenues, in turn, increases the potential to reduce poverty and foster sustainable economies. Disclosure of payments is also a way for countries to reduce political risk and create a more stable investment environment.

In the past decade efforts to increase payments transparency have gained traction. In particular, the Extractive Industries Transparency Initiative, a global standard that promotes open and accountable management of oil gas and mineral resources, and regulations in the European Union and Canada, have created legal obligations for many companies to report payments made to national and sub-national government bodies, and to disclose these payments for each country where they operate.

Project-level disclosures are also becoming standard practice in many developed nations, and there are calls for similar project-by-project reporting in other regions. Communities located close to mines experience a wide range of social and environmental impacts, yet often they do not receive adequate funds to alleviate impacts and promote economic growth, even when they are legally entitled to a percentage of the revenue generated by mining projects.

Access to both country-level and project-level revenue data allows local governments to better monitor company compliance with contract obligations, and enables local communities to track their entitlements and hold their governments accountable if revenues are not being appropriately allocated.

In countries that do not yet have project-level requirements, companies that demonstrate a willingness to disclose payments, can increase trust and support and enable producing country communities to become better informed about the revenues received from mining and how these are being spent.



**B.06.1**

**Action**

**The company publicly discloses all payments it makes to sub-national and national governments, providing disaggregated data on a project-level basis.**

*Can your company demonstrate at the corporate level that it:*

- a. Publicly discloses project-level disaggregated information on all the payments made to sub-national and national governments?
- b. Makes this information freely available on the company's main website?
- c. Updates this information on a yearly basis?

- EITI 4.1; 4.6; 4.7; 4.8
- GRI Disclosure 201-1

## B.07 Lobbying Practices

In many countries lobbying plays a prominent role in policy-making. Private lobbyists, industry groups and civil society organisations work in a variety of ways to influence politicians and decision-makers. Lobbying, however, is often highly unregulated, creating the potential for powerful interests to exert undue influence through corrupt or otherwise questionable practices. The general lack of transparency and accountability around lobbying creates suspicion that companies, either independently or through industry bodies, are advocating for rules that are not in society's best interest.

Mining companies can take proactive steps to help foster greater integrity and trust in public decision-making processes and elicit greater trust from stakeholders. For example, they can voluntarily disclose information related to lobbying policies, practices and political contributions. They can also disclose lobbying positions, which not only demonstrates a willingness to be transparent, but may also reveal areas of common ground with stakeholders, and present opportunities for working together to develop public policies that can serve affected communities, producing countries, and the mining industry alike.

While lobbying is a legitimate activity and an important part of the democratic process it is not the only avenue for mining companies to influence mining policy and institutional or economic reforms. Many mining companies are engaged in partnerships with governments and other stakeholders to help increase the capacity of producing country governments to manage mineral resources and develop economic opportunities.

Increased transparency in lobbying and engagement in multi-stakeholder dialogues to improve mineral transparency and resource governance are important means to building stakeholder trust, combating bribery and corruption (See B.01), and creating a more stable and attractive climate for investment.

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| <p><b>B.07.1</b></p> <p><b>Action</b></p> | <p><b>Where applicable, the company publicly discloses its lobbying practices and positions in all jurisdictions.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it publicly:</i></p> <ul style="list-style-type: none"> <li>a. Discloses the roles and responsibilities for those involved in its lobbying activities in all jurisdictions?</li> <li>b. Discloses the subject matter of its lobbying activities and the outcomes being sought?</li> <li>c. Discloses the names of public officials or institutions being engaged?</li> </ul> | <p>• GRI 415</p> |
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## Responsible Contracting and Sourcing

Increasingly, there is a global expectation that businesses not only demonstrate a high level of human rights, social and environmental responsibility in their own actions, but also demand the same of their business partners and supply chains.

Mining companies often contract with firms to deliver specialised services such as welding repairs, mechanical work, and facility maintenance. Security services are also often contracted out (See D.02). In the past decade, labour shortages or cost-cutting efforts have increased the use of contracted workers for core mining operations as well.

The use of contracted labour has implications for mining companies. Hiring workers via a contractor may present occupational health and safety challenges that must be managed. Also, poor labour, social or environmental practices by contractors create reputational and financial risks for mining companies. For example, discrepancies in wages and working conditions between workers and contractors are of concern due to issues of inherent inequality, and also because they have led to violent protests and mine shutdowns.

Mining companies also face risks related to the practices of their suppliers, such as interruptions in supply and reputational damage resulting from accidents, labour challenges, corruption, association with armed groups or illegal activity, human rights abuses, community protests or legal actions related to supplier non-compliance with social or environmental regulations.

Companies can minimise risks to workers, communities, the environment and their own reputations by assessing the social, environmental, labour and human rights risks associated with suppliers and contractors, and ensuring that contractors, sub-contractors and suppliers commit to and implement high social, environmental and ethical standards in their activities and throughout their own supply chains.

This approach is increasingly being taken by leading mining companies. For example, numerous mining companies have codes of conduct that apply equally to employees, contractors, sub-contractors and suppliers, although often these codes are non-binding. As a result, some mining companies are now incorporating social and environmental requirements into bilateral contracts to create legally binding obligations. Some companies also carry out audits to assess compliance and evaluate how well contractors, sub-contractors and suppliers are managing their own impacts and those that may be occurring within their supply chains.

In addition to formalising expectations in agreements, mining companies are investing in the training of contractors, sub-contractors and suppliers to help them meet the company's requirements. These programmes are mutually beneficial: mining companies reduce their labour and supply chain risks and create more stable, reliable relationships; meanwhile, suppliers, contractors and sub-contractors can reduce their own risks, build capacity and potentially gain access to more competitive supply chain finance.

Producing countries stand to benefit from these initiatives, as well. Home-grown businesses that can meet high social and environmental standards will be better able to compete and integrate into responsible global supply chains. Moreover, if mine contractors, sub-contractors and suppliers are held to high environmental, social, human rights and labour standards, such as ensuring safe workplaces and paying living wages, workers and their families will be better off, and mining will have greater positive benefits for local economies and communities.

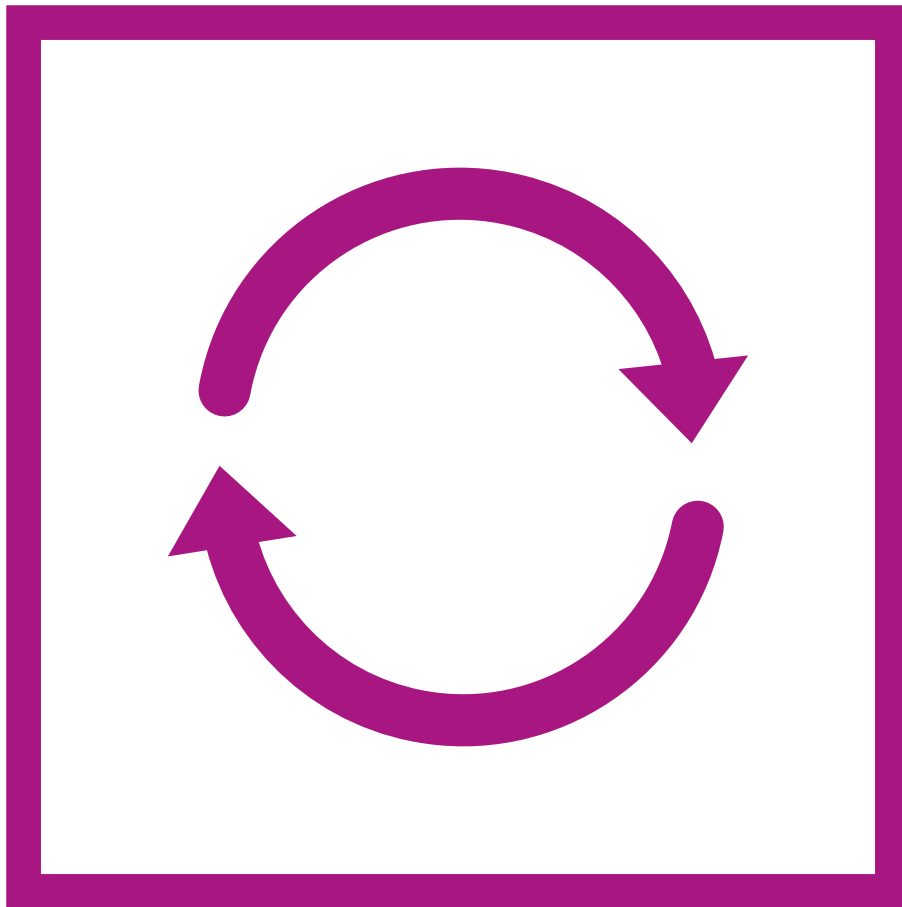
**B.08.1****Action**

**The company has systems in place to identify and assess any human rights, labour and environmental risks associated with its suppliers and contractors.**

*Can your company demonstrate at the corporate level that it has systems in place to identify and assess risks related to its suppliers and contractors on:*

- a. Human rights issues?
- b. Labour issues?
- c. Environmental issues?

- UNGC Principle 2
- VPs B7
- GRI 308; 407; 412; 414





The lifespan of a mine can be decades long, and there are a number of discrete lifecycle phases in the responsible development and closure of a mine. The process begins with mineral exploration. If a potentially viable ore deposit is identified, a company may then design and investigate the technical and financial feasibility of developing a mine. If a corporate decision is made to move forward with a project (See C.02), and the appropriate regulatory approvals are received, the mine enters the development or implementation phase, which involves constructing and operating the mine. Finally, when the ore has been extracted, the mine enters a closure phase, which can last many years or even decades if there are long-term environmental issues remaining at the site.

Due diligence should be carried out throughout all lifecycle phases, to ensure that risks to the company and communities and the environment are minimised, that opportunities for efficient, sustained extraction are maximised, and that safeguards are put in place to guarantee the ongoing and post-mining social and economic health of affected communities and protection of the environment. In particular, it is critical that companies work with communities and workers to plan ahead for the transition from the construction to operations phase, and operations to closure phase, to ensure that communities and workers have viable social and economic futures throughout the mine lifecycle and when the mine closes (See C.03). When a mining company decides to suspend its operations for a given or undetermined period, and place the asset under “care and maintenance”, a similar approach to just transition will ensure workers are prepared and provided with alternatives or mitigation measures (See E.06).

In some cases, a single mining company will not shepherd a mining project through its entire lifecycle. Whenever there is a transfer of mine ownership, a due diligence process is necessary to ensure that risks and liabilities are disclosed and understood, and that adequate financial security is in place to prevent and manage social and environmental impacts (See C.04).

## C.01 Mine Lifecycle Management

The potential economic, environmental and social impacts and opportunities related to mining will vary over time. As is now widely recognised, sound environmental and social management requires that companies consider and address the full spectrum of issues throughout all stages of the mine lifecycle.

A lifecycle approach to mining requires that systems be put in place to identify, assess and manage environmental and socio-economic risks, impacts and opportunities in a structured, ongoing manner, and with stakeholder engagement. EESG-related risks and challenges are often particularly acute towards the end of the mine lifecycle, when multiple pressures align (e.g. potential financial constraints as production rates decline, tensions with local stakeholders if socio-economic development expectations remain unfulfilled, and increased complexity surrounding legacy issues). If mine closure is poorly managed, the adverse impacts of the closure itself on workers and communities can be further exacerbated.

Although mine closure is the end stage of the mine lifecycle, effective planning for closure will begin as early as the exploration phase, as simple changes early on in the design and construction of a mine can have profound implications during the mine lifecycle and post-closure. A closure plan will include concepts such as concurrent remediation of environmental impacts; strategies to prepare workers and affected communities for planned or unplanned fluctuations in jobs and income, such as the move from construction to operations, or temporary mine closures; and programmes that will enable workers and communities to emerge post-closure with viable social and economic opportunities (See also C.03). Closure plans will be regularly updated to reflect changes in mine operations and environmental and social circumstances.

When mining companies take a proactive and collaborative approach to planning, assessing, and managing for risks and opportunities during all stages of the mine lifecycle, they demonstrate to workers, communities, producing country governments, investors and other stakeholders that they are committed to responsible mining and delivering positive outcomes. This can lead to greater trust and support for the project from stakeholders, increased worker morale, reduced long-term liabilities, longer-term commercial viability of operations, lower mine closure costs, and greater access to financial resources.



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| <p><b>C.01.1</b><br/><b>Commitment</b></p> | <p><b>The company commits to adopt a lifecycle approach throughout the project development and operational phases of its operations.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ul style="list-style-type: none"> <li>a. Formalised its commitment, that is endorsed by senior management, to adopt a lifecycle approach throughout the project development and operational phases of its operations?</li> <li>b. Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>c. Committed financial and staffing resources to implement this commitment?</li> </ul> |  |
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## C.02 Project Approval Process

Developing a mine is a capital-intensive endeavour. As a result, mining companies carry out comprehensive evaluations to determine whether or not to invest in a project.

One proven and effective way to manage the complexity of capital projects in the mining industry is to take a stage-gate approach as a project moves through its lifecycle from concept to project approval. At each 'gate' a go/no-go decision is made based on information gathered during that stage. Information analysed may be of a technical nature (e.g., ore body characteristics) or financial (the market for the particular mineral, the cost of regulatory compliance, the availability and cost of labour). However, if done responsibly, a company will include other risk factors.

For any proposed mine a complex mix of social, political, human rights, financial, and environmental issues will influence the viability of a project. For example, a project may require lengthy negotiations to obtain the free, prior and informed consent of Indigenous Peoples (See D.09), with no certainty of a positive outcome for the company; projects may require involuntary resettlement (See D.10), which could have high costs associated with compensation for affected households and mitigation of social and human rights impacts; or environmental factors such as site geology or potential changes in precipitation from climate change may pose potentially unacceptable long-term risks or costs related to tailings management (See F.02).

Companies sometimes make capital investment decisions and operational choices that are based on a narrow definition of financial risk that assumes social, political, environmental and other factors are less critical to the success of the project. As a result, the threshold for those risks to influence a project approval decision may be disproportionately high, for example, only being considered if they are strong enough to shut down a project. A rigorous analysis of environmental, economic, social, governance and human rights risk factors increases the likelihood that responsible, informed decisions will be made at the project investment stage.

The ability to influence project success and enhance value is greatest at the start of project appraisal and rapidly declines as a project advances towards implementation. Early identification and analysis of environmental, economic, social, governance and human rights risks alert company decision-makers to potential problems, and enable the planning of pre-emptive mitigation strategies that can produce significant project-related cost savings. Alternatively, analyses may result in the avoidance of projects that present too great a risk of causing significant impacts to communities or the environment. For example, some mining companies now screen prospective investments to determine if sites are in or adjacent to World Heritage Sites or other protected areas, to ensure that they avoid operating in internationally recognized areas of outstanding natural or cultural values.

Increasingly, financial institutions and private investment firms that finance mining projects are integrating EESG factors into their lending decisions. Aside from the clear inherent benefit of leaving a more positive legacy, mining companies that can demonstrate that they have evaluated the risks and have a clear strategy for mitigating environmental risks and potential impacts on workers and communities are more likely to be attractive opportunities for investors to put their funds.

**C.02.1**

**Action**

**The company has systems in place to integrate ESG criteria into the stage-gating process in investment decision-making.**

*Can your company demonstrate at the corporate level that it has systems in place to:*

- a. Identify ESG criteria to be met during each stage of its investment decision-making processes?
- b. Apply these identified ESG criteria during each stage of its investment decision-making processes?
- c. Ensure appropriately qualified personnel are responsible for applying these identified ESG criteria in investment decision-making process?

• UNGC Principle 2

Just as the construction and operation of a large-scale mine create radical changes to the natural and socio-economic landscapes of a region, the closure of a mine also creates the potential for significant impacts. The economic and social viability of communities that host, neighbour or send labour to mines are often intimately tied to revenues from taxes, wages or mine-related procurement, as well as any infrastructure and services provided by the mining company (See D.04).

Following the permanent or even temporary closure of a mine, the cessation of revenue streams and other mine-related benefits can have devastating and long-lasting effects on communities such as: outmigration; crumbling infrastructure; decline in social services; stagnation of local and regional economies; soaring unemployment; psycho-social problems; and increased levels of poverty and malnutrition.

Planning for mine closure is key, and when companies work collaboratively with local communities and labour-sending areas to plan for mine closure many of the negative impacts, especially those deriving from an unhealthy economic or social dependency on the mine, can be avoided or mitigated. An effective mine closure planning process involves communities in the setting of closure goals, the development of action plans, and estimation of the costs involved in achieving the desired outcomes. Also, the early involvement of workers and communities in planning for closure, ideally at the outset of mining exploration (See C.01), increases the transparency, credibility and chances of successful outcomes.

Some of the potential strategies for minimising impacts related to closure include: putting programmes and systems in place to support a diverse economy (See D.04); building capacity and skills to manage and maintain services and infrastructure initially supported by the mine (e.g., health, education, water or energy facilities); transforming mining-related infrastructure for other uses, such as agricultural production; and creating mechanisms to ensure that benefits established in local or community development agreements or through other initiatives will continue to accrue beyond the life of the mine.

Additionally, the involvement of workers in retrenchment planning (See E.06) and provision of assistance such as training, career and financial counselling, job transfer opportunities and other resources will help them better manage the transition when the mine closes.

In addition to socio-economic considerations, effective mine closure planning aims to ensure that the post-mined landscape is physically safe and stable, functional ecosystems are restored, the risk of long-term pollution is minimised, and surrounding water supplies are protected, so that communities will have access to resources to support and sustain alternative livelihood ventures in a post-mining era. Climate change implications also need to be taken into account when planning for post-closure viability. To the extent possible, restoration and rehabilitation efforts take place in a progressive manner, i.e. concurrent with mining operations. Not only does this reduce a company's long-term liabilities, it also demonstrates to stakeholders that the company is proactive in its approach to mitigating environmental impacts.

Leaving a positive post-mining legacy requires a significant investment. Environmental rehabilitation and restoration costs alone can run into the tens or hundreds of millions of dollars depending on the scale of the mining operation, the range of issues to be addressed prior to closure, and whether or not there are systems that need to be maintained post-closure to ensure long-term protection of the environment. It is therefore in the interests of all stakeholders that companies are able to demonstrate that they have sufficient funds set aside to cover the costs of mine closure and post-closure activities, and that these financial sureties are quarantined from other company assets so that they will be available in the event of bankruptcy or government abuse.

Financial sureties may also provide funds to support the continued longevity and success of social services, facilities and socio-economic programmes post mine closure. Mining companies in collaboration with affected communities and local governments, can develop post-closure socio-economic financial assurance mechanisms, even when they are not required by government regulations.

When mining companies leave behind negative socio-economic or environmental legacies, they discredit their own reputation as well as that of the industry as a whole. A portfolio of safe, stable and prospering post-closure sites and communities is more likely to engender support for a company's 'social licence to operate' in new areas. As a result, leading mining companies are increasingly integrating social and economic considerations in an operation's lifecycle planning to better ensure that mining projects will create long-term value for producing countries and affected communities and workers, both during mining and post-closure.

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| <p><b>C.03.1</b><br/><b>Action</b></p>        | <p><b>The company has systems in place to ensure its operations manage post-closure transition for affected communities, to seek to ensure continued viability of their livelihoods.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Identify, from the earliest stage and in consultation with local stakeholders, the impacts their closure will have on affected communities?</li> <li>Develop post-closure transition management plans from the earliest stage and in consultation with local stakeholders, aimed at ensuring continued livelihood viability for affected communities?</li> <li>Consider post-mining land-use opportunities in the development of these management plans?</li> </ol> |                               |
| <p><b>C.03.2</b><br/><b>Action</b></p>        | <p><b>The company has systems in place to ensure its operations plan for post-closure just transition for workers.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Identify, from the earliest stage, the impacts their closure will have for workers?</li> <li>Develop post-closure transition management plans, from the earliest stage, ensuring continued livelihood viability for workers?</li> <li>Develop partnerships with government, other industries or companies to address workers' livelihood needs?</li> </ol>  | <p>• GRI Disclosure 404-2</p> |
| <p><b>C.03.3</b><br/><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on progressive mine rehabilitation.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its implementation of progressive rehabilitation plans throughout its operations?</li> <li>Audits and/or reviews its performance on progressive mine rehabilitation?</li> <li>Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve its performance on progressive mine rehabilitation?</li> </ol>  |                               |
| <p><b>C.03.4</b><br/><b>Action</b></p>        | <p><b>The company publicly discloses financial surety arrangements for socio-economic liabilities related to mine closure and post-closure.</b></p> <p><i>Can your company demonstrate that it publicly:</i></p> <ol style="list-style-type: none"> <li>Discloses financial surety arrangements for the closure of all its operations, related to workers and communities?</li> <li>Discloses financial arrangements to ensure coverage of longer-term socio-economic aspects of post-closure?</li> <li>Discloses this information on a project-disaggregated basis?</li> </ol>  |                               |

The global mining industry is subject to frequent buying, selling and combining of companies and mining properties. Every mining company and mine project has unique characteristics that may create financial, legal or reputational risks for purchasers and sellers. The merger, acquisition or disposal of a company or project can also create economic, environmental, social and human rights risks for communities and workers. For example, restructuring that often follows mergers may result in layoffs and associated community impacts.

It is difficult to predict how a change in mine ownership might affect environmental protection or social and economic development. Past commitments to communities may be ignored or overhauled completely, perhaps leading to increased conflicts, human rights abuses or environmental contamination; while in other cases, new owners can bring a stronger commitment to economic and social development, environmental protection and community relations.

Typically, prior to carrying out mergers, acquisitions or disposing of mining properties companies undertake due diligence to understand the inherited and future risks, and consider whether or not it is possible to adequately mitigate the risks before moving forward. Many companies now go beyond assessing only financial risks, and carry out more detailed assessments of environmental, social, governance and human rights risks such as those related to corruption or bribery (See B.01), in merger, acquisition or disposal decisions.

Full disclosure of existing and potential liabilities is often mandated by legislation. But companies can go beyond that, and integrate measures into sale and purchase agreements that ensure a high level of protection for the environment and communities. For example, prior to disposing of a mining property companies can ensure that buyers have the technical expertise to responsibly operate the mine, a demonstrated track record related to ESG, and that adequate financial securities will be in place after the sale to carry out environmental remediation.

ESG due diligence makes good business sense. Mergers and acquisitions have the potential to catapult companies into markets where legal regimes are not protective of human health or the environment; where economies are weak and services limited; where access to resources is more competitive; or where there is a history of poor relationships between the mining industry and communities. These situations can translate into high costs for companies in the form of legal actions, operational delays, staff time spent on mitigating unanticipated issues, reputational damage from conflicts with communities, and loss of confidence from investors.

Similarly, disposal of mining properties creates potential long-term liabilities for buyers, but also for sellers, governments and communities if purchasers do not have the technical expertise or financial wherewithal to adequately manage and remediate environmental liabilities.

**C.04.1**

**Action**

**The company has systems in place to identify and assess potential ESG risks, including human rights risks, associated with mergers, acquisitions and disposals.**

*Can your company demonstrate at the corporate level that it has systems in place to ensure its due diligence on mergers, acquisitions and disposals covers:*

- a. Salient environmental issues?
- b. Salient social and human rights issues?
- c. Salient governance issues?







**Mining projects have the potential to transform communities in positive and negative ways. Economic benefits may be created through the provision of jobs and opportunities for local businesses to supply services or products to the mine. On the other hand, mining may also diminish or destroy natural resources that provide food, livelihoods and services to communities. The social character of a community may also shift with the influx of migrant mine labour, and mining-related income and benefits may be distributed in an inequitable manner, which can create conflicts within communities and even families. Together, the environmental and social impacts related to mining may result in the infringement of multiple human rights.**

**As with any long-term relationship, company-community relationships are complex. Mining companies are often faced with the challenge of satisfying the wishes of disparate groups, and without thoughtful planning and interventions it is inevitable that conflicts will arise. Companies that approach communities early in the project lifecycle, and demonstrate a willingness to engage with all stakeholders in an open, respectful manner are more likely to build trust, and those that put in place effective systems to receive and remedy community complaints will be more likely to maintain positive relationships and successfully prevent or remedy human rights risks and impacts.**

**The creation of positive economic, environmental and social benefits requires active engagement with communities throughout the mine lifecycle. Through ongoing collaboration with a wide range of stakeholders including marginalised and vulnerable groups in the planning, design and implementation of mine-sponsored community investments and mining-related opportunities, mining companies can better ensure that they will leave behind healthy, viable communities when a mine closes.**

## D.01 Human Rights

Mining operations have the potential to affect an array of human rights, ranging from those that are specific to workers (See Section E), women (See D.07), children (See D.04) or Indigenous Peoples (See D.08 and D.09) to those applying to all human beings. Depending on the political, social and operational context of the mine (e.g., See D.02, D.05, D.10 and D.11), different human rights may be affected including the rights to health; safe water; an adequate standard of living; life, liberty and security of person; non-discrimination; safe work environment; freedom of movement; access to remedy; or others.

Human rights defenders are accorded particular rights and protections, as outlined in the United Nations' Declaration on Human Rights Defenders. Globally, however, community members, Indigenous Peoples and human rights defenders who express opposition to mining projects continue to suffer human rights abuses, stigmatisation, harassment, attacks, or worse. Global Witness recorded 207 killings of land and environmental defenders in 2017, with the mining sector ranking second, behind agribusiness, in the number of such killings.

It is now widely accepted that all businesses have a responsibility to respect human rights. The UN Guiding Principles on Business and Human Rights (i.e., UNGP) is the authoritative global standard on business and human rights, providing corporations with a framework for carrying out due diligence to manage their human rights risks and impacts.

The UNGP recommend that companies assess the risks to human rights from their own activities, or those that may be directly linked to their operations, products or services through business relationships (See also B.08). The Principles set out how a company's subsequent actions should prioritise those human rights that are most salient to the mining operation, i.e., those that are a risk of creating the most severe negative impacts on people.

When risks to human rights are identified, companies are expected to take steps to prevent, mitigate and remediate impacts, including providing redress for victims (See D.12). Additionally, when a company becomes aware of credible cases of human rights abuses in its area of operation, international norms require that the company should report those incidents to the relevant government authorities and international human rights bodies.

Other aspects of human rights due diligence include stakeholder engagement, which may include a collaborative and participatory approach to the assessment of human rights risks and impacts; having a mechanism for stakeholders to raise human rights related grievances (See D.12); monitoring the effectiveness of the company's actions; and communicating how risks are addressed. The UNGP Reporting Framework provides guidance to companies on how they can efficiently and cohesively report on how they manage risks to human rights.

Companies that undertake comprehensive human rights due diligence can experience financial and reputational benefits, and are more likely to contribute positively to the outcomes sought by the UN Sustainable Development Goals (i.e., ending poverty, protecting the planet and ensuring prosperity for all). Preventing, mitigating and remediating infringements on human rights increases the ability to retain the best workers by creating safe and secure work environments; enhances the health and wellbeing of communities; helps strengthen government institutions and accountability; and contributes to a more attractive investment climate, all of which help to foster sustainable development.

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| <p><b>D.01.1</b><br/>Commitment</p>    | <p><b>The company commits to respect human rights, in accordance with the UN Guiding Principles on Business and Human Rights.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to respect human rights in accordance with the UNGPs?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>  | <ul style="list-style-type: none"> <li>• UNGP A1</li> <li>• UNGC Principle 1</li> </ul>   |
| <p><b>D.01.2</b><br/>Action</p>        | <p><b>The company has systems in place, in accordance with the UN Guiding Principles on Business and Human Rights, to carry out regular human rights due diligence across all its operations, to assess and address human rights risks.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations identify and assess salient impacts of their activities on human rights?</li> <li>Has systems in place to ensure its operations develop strategies and plans to prevent, mitigate and account for how they address these identified impacts?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol> | <ul style="list-style-type: none"> <li>• UNGP C3</li> <li>• UNGC Principle 1; Principle 2</li> <li>• GRI 412</li> <li>• SASB NR0302-17</li> </ul> |
| <p><b>D.01.3</b><br/>Effectiveness</p> | <p><b>The company tracks, reviews and acts to improve its performance on the management of human rights issues.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on managing human rights issues, including mine-site-disaggregated data on the implementation of human rights due diligence processes?</li> <li>Audits and/or reviews its performance on managing human rights issues?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve its performance on managing human rights issues?</li> </ol>  | <ul style="list-style-type: none"> <li>• UNGP C5</li> </ul>   |
| <p><b>D.01.4</b><br/>Commitment</p>    | <p><b>The company commits to respect the rights and protections accorded to human rights defenders in its areas of operations.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to respect the rights and protections accorded to human rights defenders in its areas of operations?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>  |   |

Many mines operating in challenging contexts rely on private or public security forces to protect their employees, products and properties. While security providers can help to maintain stability and safeguard the rule of law at mine sites, there is also a risk that a lack of oversight, inadequate training or other circumstances may lead to the inappropriate use of force and infringements of human rights by security providers.

When security is not carried out in a manner that respects human rights, the impacts may be disproportionately felt by certain groups such as human rights defenders (See D.01), women, or children. There are numerous examples where extractive companies have been accused of complicity in the violent repression of protests, sometimes leading to fatalities or the sexual assault of local women and children. In certain cases, allegations have been made in relation to private security forces hired by extractives companies; in others, police or government military forces were the alleged perpetrators of the human rights violations.

When mines operate in countries with weak governance, or in conflict-affected or high-risk areas, risks to the operation and also to workers and communities are heightened. Such areas are often characterised by armed violence, criminal activity and widespread or serious human rights abuses, including sexual and gender-based violence, and, in some cases, the kidnapping or killing of company employees.

Mines located in conflict-affected areas may be pressured to make payments to armed forces or criminal elements, resulting in a company's complicity in illegal acts or human rights abuses. In some cases, the mere presence of a mine, with its real or perceived impacts and benefits, may create or exacerbate inter- or intra-community conflicts in what are already fragile circumstances. Given the high risks to companies, their workers and local communities, it is now a global expectation that businesses operating in conflict-affected or high-risk areas carry out due diligence and mitigation to avoid contributing to conflict, insecurity and human rights abuses when operating in those areas (See also D.01).

Governments bear the ultimate duty of maintaining law and order, and also of protecting their citizens from human rights abuses by third parties, but in some regions weak enforcement leaves people vulnerable to abuses. Regardless of whether or not producing country governments uphold their duty to protect the human rights of their citizens, there is a recognised global expectation that corporations must respect human rights throughout all of their operations (See D.01). This includes taking action to prevent complicity in human rights abuses perpetrated by those linked in some way to their businesses, such as public or private security forces protecting their assets.

In 2000, the Voluntary Principles on Security and Human Rights (VPs) were developed through a multi-stakeholder initiative to provide guidance specifically for extractive industries on maintaining the safety and security of their operations within an operating framework that encourages respect for human rights. The VPs encourage companies to, among other things: assess risks related to security, potential for violence, human rights records of security providers, rule of law, conflict and equipment transfers; consult with communities and communicate security arrangements; ensure appropriate deployment and conduct of security forces; report or investigate allegations of human rights abuses; and train security forces and strengthen state institutions to ensure respect for human rights.

Some companies enter into contracts with private security forces or sign memoranda of understanding (MOU) with public security forces to delineate respective roles, duties, and obligations regarding security provision. The VPs recommend that companies encourage governments to make information on security arrangements transparent and accessible to the public, except for information that may create security, safety or human rights risks, and in an effort to increase transparency and build trust with affected communities and stakeholders some extractives companies have begun to disclose publicly their MOUs with public security forces.

While not mandatory, extra due diligence in conflict-affected areas and in the management of security arrangements is increasingly being supported by governments and adopted by mining companies who recognise that diligent management of conflict, security and human rights can contribute to: maintenance of company reputation and social license to operate; increased access to financing; a reduction in production delays; and reduced risk of human rights abuses and litigation.

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| <p><b>D.02.1</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on preventing and remedying human rights abuses related to its security management, in line with the Voluntary Principles on Security and Human Rights.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on preventing and remedying human rights abuses related to its security management?</li> <li>Audits and/or reviews the effectiveness of its measures taken to prevent and remedy human rights abuses related to its security management?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to prevent and remedy human rights abuses related to its security management?</li> </ol> | <ul style="list-style-type: none"> <li>• UNGC Principle 1; Principle 2</li> <li>• VPs C.13; D.14</li> <li>• GRI 410</li> <li>• IFC PS4.12</li> <li>• SASB NR0302-17</li> </ul> |
| <p><b>D.02.2</b></p> <p><b>Action</b></p>        | <p><b>Where applicable, the company has systems in place to ensure its operations identify and assess risks for workers and communities associated with the operations' presence in any conflict-affected and high-risk areas, and design and implement strategies to address identified risks.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations identify and assess risks for workers and communities associated with their presence in any conflict-affected and high-risk areas?</li> <li>Has systems in place to ensure its operations develop strategies and plans to address these identified risks?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>  | <ul style="list-style-type: none"> <li>• VPs B5</li> </ul>   |

Mining is a technically challenging industry, though it has been said that managing the complex relationships with communities and stakeholders may be even more difficult than getting the materials out of the ground. This is due in part to the fact that the stakeholders for any mining project are diverse, including women, men, youth, children, vulnerable or marginalised groups, community organisations, governments, non-governmental organisations, special interest groups and others) and they often hold vastly different opinions on, and interests in, the potential benefits and impacts associated with mining.

Many mining companies, governments and international financial institutions recognise that building relationships with those affected by or interested in a mining project can improve the identification and management of environmental and social risks, and long-term project viability. From the perspective of mining companies, the primary purpose of stakeholder engagement is to establish and maintain a constructive relationship with a variety of stakeholders over the lifecycle of a mine. However, developing relationships that are built on trust, mutual respect and understanding takes time and expertise. For this reason, many companies are beginning to engage with stakeholders from the earliest stages of project development, and are employing professional, dedicated staff to carry out engagement processes with appropriate management oversight and resources.

Stakeholder engagement is an active, ongoing process, which, depending on the mining project and the phase of mine development, may involve the following elements: stakeholder analysis and engagement planning; disclosure and dissemination of information; consultations related to project risks, impacts, mitigation strategies and benefits; community participation in project monitoring; a mechanism for raising complaints and ensuring remedy (See D.12); and reporting to stakeholders and affected communities.

The active participation of stakeholders in various impact assessments is key to ensuring that the interests, concerns and knowledge held by different stakeholders, particularly communities directly affected by a mining project, are adequately considered by the mining company. Stakeholder engagement in impact assessments will be most useful when communities are provided with timely and full information, to enable them to provide relevant input to the company.

There is a greater likelihood of meaningful engagement when companies collaborate with stakeholders to design culturally appropriate and accessible engagement processes, build stakeholder capacity, and remove barriers to participation. In particular, attention should be paid to including the participation of groups who may be disproportionately affected by a company's activities, such as women, youth, persons with disabilities, and marginalised or vulnerable groups within the affected communities. Additionally, the engagement of children should not be overlooked, as they can offer unique perspectives on their experiences, vulnerabilities, interests and aspirations. However, attention should be paid to when direct engagement with children is critical versus when engagement with child rights advocates and stakeholder groups may be more appropriate.

Effective stakeholder engagement creates opportunities for two-way dialogue, so that stakeholders feel heard and can explore with the company how their concerns have been addressed. Such feedback can help companies track the effectiveness of their engagement efforts, and provide insights into how their processes might be improved over time.

Meaningful, proactive, inclusive community and stakeholder engagement that includes opportunities for dialogue and feedback can help a company gain and maintain a social licence to operate and reduce conflicts, thereby avoiding reputational risks and costs that may occur if stakeholder concerns are not identified and adequately addressed. It can also reduce time required to obtain approvals and negotiate agreements; improve corporate risk profiles; and increase access to capital on more favourable terms.

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| <p><b>D.03.1</b></p> <p><b>Action</b></p>        | <p><b>The company has systems in place to ensure its operations take specific measures to enable the participation of women, youth and persons with disabilities in discussions and decision-making on matters that may impact them.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations take specific measures to enable the participation of:</i></p> <ol style="list-style-type: none"> <li>Women in discussions and decision-making on matters that may impact them?</li> <li>Youth in discussions and decision-making on matters that may impact them?</li> <li>Persons with disabilities in discussions and decision-making on matters that may impact them?</li> </ol>         | <ul style="list-style-type: none"> <li>• UNGP C.2</li> <li>• GRI 413</li> <li>• IFC PS1.31</li> </ul> |
| <p><b>D.03.2</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve the quality of its relationships with affected communities.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on the quality of its relationships with affected communities?</li> <li>Audits and/or reviews the effectiveness of its measures taken to build and maintain trust-based relationships with affected communities?</li> <li>Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures to build and maintain trust-based relationships with affected communities?</li> </ol> |   |

## D.04 Economic and Social Viability

Mining projects have the potential to transform the economic and social character of affected communities, neighbouring communities and labour-sending areas. The social and economic viability of mining-affected communities can be enhanced through the creation of business opportunities such as procurement contracts, as well as the creation of direct and indirect jobs.

The number of direct mine-related jobs for local workers can be significant, but many of those jobs are temporary, lasting only through the construction phase. During the mineral extraction phase jobs become more specialised, and without adequate training these jobs may go to skilled workers from outside local communities or producing countries. Generally of more significant and lasting benefit is the sourcing of goods and services from local businesses; procurement from local communities, especially when supported by strategic efforts to strengthen local entrepreneurship and business development, can transform local economies, build skills and generate employment opportunities, including for stakeholder groups unlikely to find work in the mine. (See A.02 for the benefits of supporting procurement opportunities for national and wider regional suppliers). Mining companies are increasingly reporting on their local procurement processes and performance and efforts are underway to encourage more mine-site-level reporting in order to support companies' management of local procurement and inform and empower suppliers, communities, governments, and other stakeholders.

If not properly managed the influx of new income and in-migration of workers and others can threaten the social and cultural integrity of communities, create social conflicts, lead to abuses of human rights, and disrupt traditional economic activities and the ecological services upon which communities depend.

Social impact assessment (SIA) is an important tool for reducing potential impacts and enhancing the social and economic prospects associated with mining projects. SIA is an ongoing process to identify how the wellbeing of a community, or particular groups within the community, might change as a result of the mining project, and then develop strategies to avoid, mitigate and manage impacts throughout the lifecycle of the mine. SIA is more likely to produce reliable information and viable long-term strategies when it is started early in the mining project cycle, and undertaken as a collaborative effort between the company and affected community and workers, ensuring the participation of women, youth and children or child rights advocates (See D.03), as well as other vulnerable groups.

In some cases, companies assess potential human rights impacts as part of the SIA (or part of an integrated environmental and social impact assessment). If this is not done, it is critical that an assessment of human rights risks be carried out as a standalone activity (See D.01), otherwise important risks to social viability may be overlooked.

Strategies to reduce impacts and increase long-term economic and social viability come in many forms. Some mining companies develop employment policies or agreements with communities that include local recruitment targets, training and career advancement opportunities focused on cultivating local mining professionals and supporting broader skills development (See A.04), or other initiatives like skills transfer or microfinance programmes to stimulate and diversify local economies. These policies, agreements and initiatives can help to ensure that local communities are able to benefit in the long term from both the direct and indirect job opportunities, and services or infrastructure created as a result of mine development. However, employment policies and programmes often fail to deliver equitable benefits to all segments of a community. To overcome this, some strategies specifically target youth, women, and other potentially marginalised or vulnerable groups, including Indigenous Peoples.

Social impact assessment and economic initiatives are most likely to deliver long-term social and economic benefits when they are developed through inclusive, participatory processes, provide transparency around terms and conditions, and include provisions for monitoring and evaluation (M&E) of the processes, outcomes and impacts. Local stakeholders will often have their own criteria for measuring the success or failure of social and economic policies and initiatives, and as a result M&E programmes that include communities directly are more likely to build trust in the processes and enhance the credibility and effectiveness of social, health and economic outcomes.

When planned and implemented well, mining-related social and economic initiatives can improve the current and long-term economic prospects and social wellbeing of mining-affected communities, which can in turn benefit mining companies by supporting a healthier workforce and improving productivity of mines, strengthening community relations and company reputation, earning and maintaining a social license to operate, and reducing conflicts that could lead to project delays or shutdowns.



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| <p><b>D.04.1</b></p> <p><b>Action</b></p>        | <p><b>The company has systems in place to ensure its operations encourage local entrepreneurship and support local business development, including for women.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations develop strategies and plans to develop local entrepreneurship and businesses?</li> <li>Has systems in place to ensure its operations actively include women in these strategies and plans?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>  | <p>• GRI 413</p>                  |
| <p><b>D.04.2</b></p> <p><b>Action</b></p>        | <p><b>The company has systems in place to ensure its operations develop local procurement opportunities, including for women.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations develop strategies and plans to develop local procurement opportunities?</li> <li>Has systems in place to ensure its operations actively include women in these strategies and plans?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>  | <p>• GRI 204</p>                  |
| <p><b>D.04.3</b></p> <p><b>Action</b></p>        | <p><b>The company has systems in place to ensure its operations conduct and disclose regular assessments of the impacts of their activities on women, youth and children.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Conduct and disclose regular assessment of the impacts of their activities on women?</li> <li>Conduct and disclose regular assessment of the impacts of their activities on youth?</li> <li>Conduct and disclose regular assessment of the impacts of their activities on children?</li> </ol>   | <p>• GRI 413<br/>• IFC PS1.12</p> |
| <p><b>D.04.4</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on managing the socio-economic impacts of its activities in affected communities.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on managing the socio-economic impacts of its activities in affected communities?</li> <li>Audits and/or reviews the effectiveness of its measures taken to manage the socio-economic impacts of its activities in affected communities?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to manage the socio-economic impacts of its activities in affected communities?</li> </ol> |                                   |

Mining operations typically involve the transformation of large areas of land. Often, mines are proposed and developed in areas with long-established land uses such as agriculture, harvesting of traditional plants and animals, cultural activities, recreation, conservation or human settlements. This can create conflict, for example, when companies are granted mineral concessions without the relevant individuals or communities agreeing to and receiving suitable alternative land or shared-land-use opportunities.

In some countries, communities may not have written proof of ownership of lands that they have collectively used for centuries in accordance with customary laws. These community lands and resources are particularly vulnerable to being taken by government, companies or private individuals without adequate safeguards for those who depend on them for food security, livelihoods or cultural survival.

Some conflicts related to land use may be avoided or minimised if inclusive, collaborative processes between mining companies, governments and local communities are undertaken to develop regional land-use or landscape-scale planning strategies. Such processes can explore options such as multiple and sequential land-use development to manage competing land-uses, promote environmental stewardship, and maximise economic and social benefits for present and future generations (See also F.01). Additionally, shared-land-use agreements can be developed that provide access for mining development while supporting the ability of individuals and communities to use and enjoy their land to the greatest extent possible, free from unreasonable interference or disturbance.

Companies can also seek to minimise the physical footprint of their mining operations, and relinquish the parts of their mining areas no longer needed. This helps to avoid situations where companies hold unnecessarily large tracts of land. A number of producing countries have regulations regarding the regular relinquishment of leased areas throughout the life of the mining operations. By holding a minimal physical footprint and avoiding severe adverse impacts on land use and land accessibility, companies can mitigate the risks of land-related conflicts and better support local communities' land-use and land-based livelihoods.

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| <p><b>D.05.1</b></p> <p><b>Action</b></p> | <p><b>The company has systems in place to ensure its operations identify and assess their adverse impacts on land use and access to land by affected communities, and to design and implement strategies and plans to minimise and mitigate these adverse impacts.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ul style="list-style-type: none"> <li>a. Has systems in place to ensure its operations identify and assess their adverse impacts on land use and access to land by affected communities?</li> <li>b. Has systems in place to ensure its operations develop strategies and plans to minimise and mitigate these adverse impacts?</li> <li>c. Systematically tracks the implementation of these strategies and plans?</li> </ul> | <p>• ILO C169</p> |
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Mining activities may impact community health in various ways. Adverse health effects may result from being exposed to mine-related noise, contaminants in air, water or soil, or from the degradation of ecosystem services. Non-environmental factors such as traffic, the influx of migrant workers, or a mine's security arrangements can also influence the physical and mental health and wellbeing of communities, both directly and indirectly.

The particular community health risks associated with a mining operation will vary depending on the mine's location and the minerals being mined. For example, mining projects in conflict-affected areas may place additional stress on scarce local resources and exacerbate existing health problems. Also, there may be vulnerable groups of women, men, children, elderly, Indigenous Peoples, and persons with disabilities who are more susceptible to certain health risks. Children, due to their progressive and incomplete development, hand-to-mouth behaviour, time spent outdoors and other factors, are particularly vulnerable to air pollutants and mining-related contaminants that may be found in soil or water.

Companies can collaborate with affected communities and other stakeholders such as local governments and public health professionals to assess the potential impacts of mining operations on community health, and develop strategies and plans to manage and monitor identified risks and impacts. As community health is often linked with environmental and social issues, community health assessments may be integrated with the environmental and social impact assessments (See F.01 and D.04). Stakeholder engagement in community health assessments is essential to the effectiveness of these projects, as it improves the quality of the health data, and helps to identify acceptable ways of monitoring and mitigating community health impacts.

Community health monitoring looks at the positive and negative impacts of the mining operation on community health, and can provide early warning of health problems at the community level. Monitoring includes both health outcomes, such as incidence of malnutrition, diseases or mental ill health, and health determinants, such as levels of air, water and soil pollution. Mining companies are increasingly partnering with communities and other stakeholders in the monitoring of community health, as well as environmental and social commitments more generally.

Although community health is primarily the responsibility of producing country governments, mining companies may, where appropriate, take a proactive supporting role in developing opportunities that complement governmental capacity, especially in developing countries where local health services may be lacking. Mining company investment in community health initiatives, such as the development of infrastructure to provide potable water and sanitation or health campaigns related to high-burden diseases, can create significant positive health benefits. Care must be taken, however, to ensure that any critical community health initiatives or infrastructure supported by the company align with community needs and priorities, and can be sustained after mine closure (See C.03).

Health risks and impacts, both for mine workers and for those living near a mining project, are amongst the most important issues for local communities, and warrant close attention by mining companies. A proactive approach to minimising health impacts and maximising community health and wellbeing can improve the financial and social performance of the company; lower the risk of community-led liability and litigation; increase access to international funding; reduce absenteeism and health care costs for worker and local communities; and improve general worker morale and community relations.

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| <p><b>D.06.1</b></p> <p><b>Action</b></p> | <p><b>The company has systems in place to ensure its operations conduct and disclose regular assessments of their impacts on community health, and to implement management plans to address these impacts.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ul style="list-style-type: none"> <li>a. Has systems in place to ensure its operations conduct and disclose regular assessments of their impacts on community health?</li> <li>b. Has systems in place to ensure its operations develop strategies and plans to address these impacts?</li> <li>c. Systematically tracks the implementation of these strategies and plans?</li> </ul> | <p>• IFC PS4</p> |
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The mining industry creates employment and economic opportunities and benefits; however, men are more likely than women to be directly employed by mining operations, and are also more likely to benefit from social programmes and projects supported by mining companies.

Women, on the other hand, often bear a disproportionate share of social, economic, and environmental risks related to mining. For example, research indicates that sexual harassment, abuse and sexual exploitation involving girls and women are widespread in some mining areas. Furthermore, in some societies women are responsible for providing food and water for their households so any loss of access to fertile land and clean water due to mining activities can disproportionately impact them. Yet women and girls are often underrepresented in mining stakeholder engagement processes (See D.03), which skews the information received by the company regarding community interests and priorities. Within community decision-making processes, women also may be marginalised, giving them less of a voice in how impacts are addressed or resources from mining are allocated.

An emerging practice is the use of gender impact assessments to identify the impacts of mining projects on women and men (and the relationship between them), to develop strategies to mitigate the impacts, and to promote women's empowerment and participation. For example, gender impact assessments can help identify barriers to the participation of women and girls in project-related assessments, monitoring and decision-making. Through capacity building such as training in negotiating, communications or data collection and monitoring, women can gain skills that are transferable to other life situations. Gender impact assessments can also help to differentiate between age-related differences in impacts, needs and interests, by including girls and boys in the assessment.

Increased attention is also being paid to enhancing the participation of women in decision-making related to mining projects. This movement has resulted from the widespread acknowledgement amongst development agencies and companies that the empowerment of women to participate in decisions and planning of social programmes leads to better mitigation of adverse impacts, as well as poverty reduction and more broad-based and sustainable development outcomes.

In recent years, the financial sector has highlighted the issue of gender inequity in the mining sector, and as a result some companies have begun to create more opportunities for women at the corporate board and senior management levels (See B.02) and in core mining activities. However, numerous challenges persist for women mine workers, such as sexual harassment, lack of acceptance by male co-workers, physical constraints, lack of gender-appropriate facilities or protective equipment, balancing family responsibilities and shift work, and others. These challenges increase if gender intersects with other factors such as discrimination due to socio-economic status, age, race, origin or sexual orientation. More gender-aware approaches to risk management, including the involvement of women workers in occupational health and safety risk assessments, and greater effort to create family-friendly working conditions is needed to protect women workers and increase their participation in mining.

Mining companies that take a gender-equity approach to employment, occupational health and safety, impact assessment, and engagement are likely to experience increased productivity at mining operations, stronger relationships with communities, and a decreased potential for conflicts, while women and their communities will experience greater economic opportunities and development benefits. Combined, these factors can result in financial and reputational benefits to the companies.

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| <p><b>D.07.1</b><br/><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on managing any impacts of its activities on women.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ul style="list-style-type: none"> <li>a. Tracks and discloses data, across successive time periods, on its performance on managing the impacts of its activities on women?</li> <li>b. Audits and/or reviews the effectiveness of its measures taken to manage the impacts of its activities on women?</li> <li>c. Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to manage the impacts of its activities on women?</li> </ul> |  |
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There is no single authoritative definition of Indigenous Peoples, though self-identification is one of the primary criteria for identifying Indigenous Peoples. It is generally understood, as well, that the cultures and livelihoods of many Indigenous Peoples are strongly tied to ancestral territories and surrounding natural resources. As a result, extractives industries like mining, which often dramatically transform and degrade lands and resources, create a high potential for negative, and possibly devastating impacts on the lives, livelihoods and cultures of Indigenous Peoples. Increasingly, Indigenous Peoples have been subject to attacks and acts of violence, criminalization and threats in the context of large-scale projects including those of extractive industries.

It is now a globally recognized norm that corporations should respect the human rights of those affected by their activities (See D.01). Indigenous Peoples have both individual and collective rights that may be affected by the development of a large-scale mining project, including rights to participation, self-determination, and pursuit of their own priorities for developing natural resources, to rights related to property, culture, religion and health.

Many mining companies recognise the need to respect the rights and interests of Indigenous Peoples, including their right to Free, Prior and Informed Consent (See D.09). It is commonly agreed that relationships between companies and Indigenous Peoples should be founded on respect, meaningful engagement and mutual benefit. Leading companies will develop their own guidelines and policies to manage their activities and engagement with Indigenous Peoples, tailored to the specific context and indigenous-led processes of the indigenous groups potentially affected by their operations and activities.

Companies seeking to operate within or near indigenous territories can start building trust with Indigenous Peoples by initiating early and inclusive engagement (See D.03) with all potentially affected groups, such as tribes, nations and communities of Indigenous Peoples. Any group of Indigenous Peoples potentially affected by a mining project or its associated facilities, such as tailings dams, roads or smelters, should participate in the identification and assessment of the potential impacts of mining-related activities on their rights and interests. To ensure the integrity and long-term reliability of engagement, it is advisable for companies to take deliberate steps to correct any significant imbalances of power and address barriers to meaningful participation. Proper engagement with Indigenous Peoples will also be based on full access to information in culturally appropriate languages, about potential environmental and social impacts, technical and financial viability of proposed projects, and potential financial benefits.

If projects proceed, responsible mining requires that companies work with Indigenous Peoples to develop acceptable mitigation strategies, and involve them in long-term project monitoring. Companies can also demonstrate respect for Indigenous Peoples by making an effort to understand and protect the cultural heritage values that are integral to their beliefs, languages, customs, practices and identities, and ensuring that all company personnel understand their responsibility to respect Indigenous Peoples' rights and cultural heritage.

Indigenous Peoples worldwide continue to resist extractive industry projects for understandable social, cultural and environmental reasons. Companies that have a track record of working with Indigenous Peoples in a respectful manner, acknowledging the legitimacy of their concerns, are less likely to encounter conflict, delays and difficulties in negotiating and finalising agreements. This includes acceptance of the wishes of Indigenous Peoples where there is no agreement to be found.



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| <p><b>D.08.1</b></p> <p><b>Action</b></p>        | <p><b>Where applicable, the company has systems in place to ensure its operations design and implement, through inclusive participation, strategies and plans to respect the rights, interests, and needs of Indigenous Peoples potentially affected by its operations.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Identify, through inclusive participation, all Indigenous Peoples potentially affected by current and planned mines and associated facilities?</li> <li>Identify, through inclusive participation, the rights, interests and needs of these Indigenous Peoples?</li> <li>Develop and implement strategies and plans, through inclusive participation, to respect the rights, interests and needs of these Indigenous Peoples?</li> </ol>  | <ul style="list-style-type: none"> <li>• ILO C169</li> <li>• IFC PS1.35; PS7</li> </ul> |
| <p><b>D.08.2</b></p> <p><b>Effectiveness</b></p> | <p><b>Where applicable, the company tracks, reviews and acts to improve its performance on respecting the rights and aspirations of Indigenous Peoples and avoiding adverse impacts of their activities.</b></p> <p><i>Where applicable, can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on respecting the rights and aspirations of, and avoiding adverse impacts of its activities on, any Indigenous Peoples potentially affected by current and planned mines and associated facilities?</li> <li>Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to respect the rights and aspirations of, and avoid adverse impacts of its activities on, all Indigenous Peoples potentially affected by current and planned mines and associated facilities?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve its performance on respecting the rights and aspirations of, and avoiding adverse impacts of its activities on, any Indigenous Peoples potentially affected by current and planned mines and associated facilities?</li> </ol> | <ul style="list-style-type: none"> <li>• IFC PS7.9</li> </ul>                           |

Free, Prior and Informed Consent (FPIC) is the principle of informing and consulting in advance of projects or major developments that may impact peoples' rights and interests, and providing the opportunity for collective approval or rejection of the development in a manner that is free from intimidation or coercion and prior to any activity taking place. FPIC is an internationally recognised right of Indigenous Peoples and a mechanism to ensure that their rights and interests will be respected.

The encroachment of mining into Indigenous Peoples' territories can generate social conflict and create significant and often irreversible impacts on their cultural values, rights, resources and livelihoods. FPIC provides an important means of balancing the power relationship between Indigenous Peoples and external actors (e.g., governments or corporations), and enables Indigenous Peoples to determine their development priorities, and more effectively negotiate community-level benefits and safeguards. It is now understood that when proposed exploration or mining projects may affect Indigenous Peoples or their territories, that companies promoting the project acquire the consent of the Indigenous Peoples concerned, even if not required to do so by producing country law (See C.02).

FPIC from Indigenous Peoples has become a pre-requisite for companies to obtain financing through the International Finance Corporation and other international finance institutions. Demonstration of FPIC is also a requirement for companies participating in various voluntary certification programmes established for extractive industry sectors such as forestry, palm oil and mining.

Although FPIC was originally established as a right applying only to Indigenous Peoples, FPIC principles are starting to be applied more broadly. Since 2009, regional and international bodies have begun to apply the general principles of FPIC to non-indigenous communities and constituencies, and various civil society organisations and industry associations have expressed support for a broader application of FPIC. For example, in 2013 the members of the International Council on Mining and Metals released a position statement that said, "Where both indigenous and non-Indigenous Peoples are likely to be significantly impacted, members may choose to extend the commitments embodied in this position statement [including FPIC] to non-indigenous people." Also, in 2016 the UN Committee on the Elimination of Discrimination against Women recommended that governments obtain FPIC from rural women prior to the approval of projects affecting rural lands and resources.

Taking a proactive stance on FPIC signals to producing country governments, civil society and the investment community that a company respects the rights and interests of Indigenous Peoples and affected communities and is strongly committed to building positive relationships with them. By incorporating FPIC into company policies and implementing FPIC systematically throughout the lifecycle of their operations, mining companies can reduce conflict, legal and reputational risks; establish positive relationships with communities and a social license to operate.

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| <p><b>D.09.1</b><br/><b>Commitment</b></p> | <p><b>The company commits to respect the right of Indigenous Peoples to Free, Prior and Informed Consent (FPIC), and to support the extension of the principle of FPIC to other project-affected groups.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>a. Formalised its commitment, that is endorsed by senior management, to respect the rights of Indigenous Peoples to FPIC and to support the extension the principle of FPIC to other project-affected groups?</li> <li>b. Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>c. Committed financial and staffing resources to implement this commitment?</li> </ol> | <p>• IFC PS1.32; PS7</p> |
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## D.10 Displacement and Resettlement

Both the acquisition of land by mining companies and environmental damage caused by mining may lead to the physical relocation (displacement) of people, or economic displacement as a result of lost access to subsistence or income-generating lands or resources. If done poorly, physical and economic displacement can violate human rights and threaten the social, cultural, economic, physical and psychological health and wellbeing of individuals and communities.

Although any displacement of peoples can have devastating effects, mining-induced displacement and resettlement (MIDR) often present even greater challenges. Mining projects are often located in remote areas where governments are weak or unstable, people lack political power, land tenure is insecure, and alternative land or livelihood opportunities are limited. Studies of MIDR consistently reveal high levels of impoverishment among displaced people. Both the communities receiving displaced people and those being resettled face high risks of conflict, human rights violations, poverty and social instability.

In some countries proposed large-scale mines overlap with areas traditionally used for artisanal or small-scale mining (ASM). MIDR can have particularly severe impacts on ASM communities: it can be difficult to relocate ASM miners because opportunities to practice their traditional livelihoods are not easy to find; and because many ASM miners do not have formally recognised rights to land and minerals they may not be compensated through resettlement processes for loss of livelihood.

Given the high potential for impoverishment and conflict, mining-induced displacement and resettlement should only take place under exceptional circumstances, and with sufficient safeguards to ensure that the living standards and livelihoods of affected peoples are maintained or improved. However, while avoiding resettlement is often viewed as a top priority for companies and lending institutions, it should also be recognised that avoidance may not always provide the most positive outcomes for communities, given for example the considerable health and safety risks often borne by communities located in the immediate vicinity of mining operations.

Some of the critical safeguards related to resettlement include: prioritising provision of land over cash compensation; basing all compensation on full replacement costs; providing a choice of options for adequate housing with security of tenure regardless of whether legal title to land and assets was previously held; restoring or improving livelihoods; and enabling displaced persons to share in a project's benefits.

Importantly, responsible mining requires that those likely to be adversely affected by resettlement be allowed to participate in all processes and decision-making related to resettlement, including: the evaluation of project alternatives; the assessment of impacts; planning of mitigation measures; implementation of resettlement programmes; and resettlement monitoring and evaluation. In order to ensure effective participation, engagement should be inclusive of women, youth, vulnerable groups including artisanal miners if relevant, and communities receiving displaced persons; and affected communities should be provided with free legal and technical assistance. Additionally, respect for human rights requires that grievance mechanisms be in place to enable affected peoples to raise concerns and seek appropriate remedy.

It is advisable for mining companies to devote time and resources to adequately plan resettlement programmes; and to carry out monitoring and external evaluation of resettlement outcomes with the participation of affected communities to ensure that they are making good on their commitments to improve livelihoods and standards of living. Failure to deliver positive outcomes for displaced and resettled communities creates high risks for companies including increased conflicts, reputational damage, higher operating costs, and reduced access to land.

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| <p><b>D.10.1</b></p> <p><b>Action</b></p>        | <p><b>Where applicable, the company has systems in place to ensure its operations identify and assess the potential impacts of the involuntary physical and/or economic displacement of project-affected people, and to design and implement strategies and plans to avoid, minimise and mitigate identified impacts.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Assess the potential impacts of the involuntary physical and/or economic displacement of project-affected people?</li> <li>Develop strategies and plans to avoid, minimise and mitigate negative impacts?</li> <li>Involve project-affected people in the assessment of impacts and in the development of strategies to manage these impacts?</li> </ol>   | <ul style="list-style-type: none"> <li>• ILO C169</li> <li>• IFC PS5.2</li> </ul>         |
| <p><b>D.10.2</b></p> <p><b>Effectiveness</b></p> | <p><b>Where applicable, the company tracks, reviews and acts to improve its performance on ensuring that livelihoods are improved or restored following any involuntary resettlement.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on its performance on ensuring that livelihoods are improved or restored following any involuntary resettlement?</li> <li>Audits and/or reviews the effectiveness of its measures taken to manage involuntary resettlement in a manner that ensures that livelihoods are improved or restored?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to manage involuntary resettlement in a manner that ensures that livelihoods are improved or restored?</li> </ol> | <ul style="list-style-type: none"> <li>• ILO C169</li> <li>• IFC PS5.9; PS5.28</li> </ul> |

## D.11

### Artisanal and Small-Scale Mining

Artisanal and small-scale mining (ASM) has been historically present in many countries, and is a traditional source of permanent or seasonal livelihood for vast numbers of people. ASM is labour intensive; tends to exploit surface deposits that may not be viable for large-scale mining (LSM); is often associated with lower investment and lower levels of mechanisation, and lower standards of health and safety, and can have a significant impact on the environment.

ASM activities are sometimes viewed negatively by governments, civil society and others due to issues such as child labour and forced labour (See E.02), the potential for ASM revenues to finance illegal activities or conflict, environmental pollution, or social disruption. In some situations, conflicts arise between ASM and LSM companies; in other situations tensions may exist between ASM miners and local communities, especially if ASM is new to the area or there are community resources at risk from the ASM operations.

Artisanal and small-scale mining, however, is a poverty-alleviating activity, and can be critically important for communities and local economies when there are few other viable livelihood alternatives.

Worldwide, an estimated 40 million people are directly engaged in ASM, including children and women. Some 150 million people are estimated to be indirectly dependent on ASM. Despite the fact that artisanal mining can be risky, labour-intensive work, both the number of commodities being mined and the number of ASM workers continues to grow.

The risks of conflict and violent interactions between ASM and large-scale mining operations can have several impacts. ASM can create reputational and investment risks and undermine the LSM company's social licence to operate by creating environmental and public health problems, clashing with mine security forces, and disputing rights to land and ownership of the resources. These risks, in turn, may threaten the viability of the LSM company's current and future projects. Consequently, LSM companies and others are seeking to find ways to improve and manage the relationship between ASM and LSM in mutually beneficial terms, and to enhance the potential for the ASM sector to become a catalyst for local economic growth.

The variability of the ASM sector prevents a one-size-fits-all solution, but there are some promising efforts that may be strategically applied by LSM companies, depending on a given mining context. For example, engagement with ASM miners and communities during the earliest stages of mining development and throughout the project lifecycle can help to defuse tensions between the two sectors. In some cases, to promote trust and effective participation by all parties it may be helpful to use a facilitator, or to agree on rules of engagement.

It may also be appropriate under certain circumstances for large-scale mining companies to: engage with governments to help forward policies that will benefit the ASM sector and support ASM-LSM relations; work to promote a strong legal and regulatory ASM framework; help ASM to get formalised; share a portion of the LSM mining leases with ASM; purchase mined ore from ASM miners; provide technical assistance to ASM miners; employ ASM miners as subcontractors; promote livelihood diversification; or support access of ASM miners and communities to basic services. The basis for any engagement or supporting activities would need to involve the inclusive identification and mapping of ASM individuals and communities in and around the mine sites.

ASM has the potential to offer sustainable livelihoods for small-scale producers. By focusing on relationship building, and providing real benefits through targeted initiatives, large-scale mining companies can reduce conflicts with ASM, and improve the livelihoods of ASM workers and local communities. All of these activities will provide reputational benefits for companies, help to reduce their risk, and contribute to the goal of ending poverty (SDG1) by creating stronger local economies and a more stable and attractive investment climate in producing countries.

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| <p><b>D.11.1</b></p> <p><b>Action</b></p> | <p><b>Where applicable, the company has systems in place to ensure its operations facilitate engagement with artisanal and small-scale mining (ASM) communities and activities in and around their operations.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it:</i></p> <ul style="list-style-type: none"> <li>a. Has systems in place to ensure its operations identify and map stakeholders operating in ASM activities around its operations?</li> <li>b. Has systems in place to ensure its operations develop strategies and plans to engage with identified stakeholders, including through the establishment of engagement agreements where appropriate?</li> <li>c. Systematically tracks the implementation of these strategies and plans?</li> </ul> |  |
| <p><b>D.11.2</b></p> <p><b>Action</b></p> | <p><b>Where applicable, the company has systems in place to ensure its operations develop opportunities to support technical assistance programmes and/or alternative livelihood programmes for ASM miners in and around their operations.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate that it has systems in place to ensure its operations:</i></p> <ul style="list-style-type: none"> <li>a. Assess the need for, and feasibility of, providing technical and/or livelihood support to ASM miners?</li> <li>b. Develop strategies and plans according to these assessments?</li> <li>c. Engage with ASM miners in these needs assessments and in the development of any strategies and plans?</li> </ul>  |  |

## D.12 Grievance and Remedy

Large-scale mining has the potential to profoundly affect the lives, properties, environmental resources and rights of nearby community members and other stakeholders. It is inevitable, therefore, that questions, concerns and complaints will be triggered by either real or perceived impacts of a company's mining operations.

Operational-level (or project-level) grievance mechanisms are formal processes that enable individuals or groups to raise concerns and seek remedy for negative effects from a company's activities. Ideally, these mechanisms provide a process for receiving, evaluating and addressing minor concerns as well as more significant issues, including the infringement of human rights. When there are allegations of serious or widespread human rights abuses, however, operational-level grievance mechanisms may not be the most appropriate means of providing remedy as this may require the involvement of state entities. Furthermore, utilising an operational-level grievance mechanism should not preclude complainants from accessing judicial or other non-judicial grievance mechanisms.

Operational-level grievance mechanisms can be an effective means of providing remedy for a grievance if the mechanisms meet the effectiveness criteria outlined in the UN Guiding Principles on Business and Human Rights. These criteria include being legitimate, accessible, predictable, equitable, transparent, rights-compatible, a source of continuous learning, and based on engagement and dialogue with stakeholders. In addition, grievance mechanisms should be designed to ensure that grievances are addressed in a timely manner. In case of traumatizing incidences such as sexual assault, the mechanism and remedy process should be designed to avoid the risk of re-traumatisation of the complainant.

Remedies offered through a grievance mechanism should counteract or provide relief from any harms that have occurred. The appropriate remedy, however, may vary depending on the circumstance. For example, remedy may take the form of apologies, restitution, rehabilitation, financial or non-financial compensation, or measures to prevent recurrence of the harmful act.

Operational-level grievance mechanisms will not serve their purpose if they are not used. By engaging with a diversity of affected stakeholder groups in the design, accessibility and performance of the grievance mechanism, mining companies can help ensure that it meets stakeholders' needs and is culturally appropriate, thereby increasing the likelihood that stakeholders will trust and use the process, and that remedies are effective and appropriate.

Complainants want to be sure that they are taken seriously, and treated fairly. Mining companies can promote confidence in the grievance process by involving stakeholders in the monitoring and verification of compliance with commitments made through the grievance mechanism, and creating ample opportunities for stakeholders to provide feedback on its effectiveness. Public reporting on grievances, such as the types of issues being raised, the number of complaints and the proportion resolved to the complainant's satisfaction, can help demonstrate that the company treats local concerns seriously.

There is an increasing global expectation that companies will implement operational-level grievance mechanisms. When they are effective, such mechanisms enable companies to identify minor concerns before they escalate into unmanageable conflicts; help avoid protests or opposition to mining projects and costly legal battles; and increase access to project finance. Information generated through the operational-level grievance mechanisms can also facilitate learning that can support better management of relations with communities over the long term.



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| <p><b>D.12.1</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve the effectiveness of its grievance mechanisms for communities.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on the functioning and uptake of its grievance mechanisms for communities, including number and nature of complaints and actions taken in response?</li> <li>Audits and/or reviews, based on complainants' perspective, the effectiveness of its grievance mechanisms for communities?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its grievance mechanisms for communities?</li> </ol> | <ul style="list-style-type: none"> <li>• UNGP C.6.3, C.6.5</li> <li>• UNGC Principle 1</li> <li>• VPs B.8</li> <li>• GRI 413</li> <li>• IFC PS1.35</li> </ul> |
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**Large-scale mining operations can provide jobs for hundreds of workers (employees and contract workers). However, “decent work,” as defined by the International Labour Organization, encompasses more than a steady job. It involves work that delivers a fair income (See 05); safety, health and security in the workplace (See E.01); social protection for families; freedom for workers to express their concerns, organise and participate in the decisions that affect their lives (See E.04 and E.07); and equality of treatment and opportunity for advancement for all workers (See E.03).**

**Many of these concepts are entrenched as internationally recognised human rights in eight International Labour Organization core conventions that protect the fundamental rights of workers. Globally, however, hazardous working conditions persist, child labour or forced labour can be found at mines and in mining supply chains (See E.02), and discrimination and gender inequality remain a challenge at many mining operations.**

**Some mining companies recognise that respecting the rights of workers and promoting decent work are good for business and society. Mine productivity improves when workers are physically well, and when they feel respected and supported in the work that they do. Additionally, through the creation of safe and secure jobs and training opportunities mining companies can help to reduce poverty and provide equitable opportunities for economic and social development.**

## E.01 Occupational Health and Safety

Mining is an inherently hazardous occupation. According to the International Labour Organization, worldwide approximately 8% of fatal workplace accidents are related to mining, even though the mining sector comprises just 1% of the global workforce. Workplace injuries, noise-induced hearing loss, impacts on mental health, and occupational illnesses and diseases from exposure to chemicals, heat, radiation, metals and particulates are also significant in the mining sector.

As technologies change, some mining operations are becoming less dependent on physical labour and are moving to the use of high-tech equipment and machinery that can be operated from remote control rooms. While such working conditions may reduce the potential for fatal accidents and offer better air quality, personal protective equipment and technical safeguards, these work environments may come with their own set of issues, such as repetitive injuries and psychological stress.

Mining companies can address potential health and safety risks through an integrated occupational health and safety (OHS) management system that includes ongoing OHS risk assessment; development and updating of OHS risk management plans; health and safety trainings; workplace monitoring and worker health surveillance; regular inspections; reporting; investigation of incidents; provision of appropriate and effective protective equipment at no cost to workers; and worker participation in health and safety management and decision-making.

Responsible mining requires that companies take a gender-equity approach to all aspects of their operations, including health and safety. More holistic approaches to risk management, including the involvement of women workers in occupational health and safety risk assessments and decision-making, can lead to increased protections for women workers. During the assessment of risks and development and implementation of OHS measures, particular attention should be paid to the risks and health and safety needs of women workers, including provision of gender-appropriate sanitation facilities and equipment, and measures to prevent sexual violence, intimidation and harassment in mines.

A strong corporate occupational health and safety culture recognises that workers must be both physically and mentally healthy for a safe and productive environment to flourish. When such a culture exists, mining projects experience higher worker productivity, and companies are better able to attract and retain personnel as well as investors. Additionally, by reducing fatalities, accidents and injuries a company will experience reputational benefits, and reduce costs associated with accident investigations, worker compensation payments, increased insurance premiums and litigation.

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| <p><b>E.01.1</b></p> <p><b>Commitment</b></p> | <p><b>The company commits to ensure safe and healthy working conditions.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to ensure safe and healthy working conditions?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>   | <ul style="list-style-type: none"> <li>• UNGC Principle 1</li> <li>• ILO C169; C178</li> <li>• GRI 403</li> <li>• IFC PS2.23</li> </ul>              |
| <p><b>E.01.2</b></p> <p><b>Action</b></p>     | <p><b>The company has systems in place to ensure its operations engage with worker representatives to collaboratively identify, assess and address health and safety risks to its workforce.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations engage with worker representatives to collaboratively:</i></p> <ol style="list-style-type: none"> <li>Identify and assess health and safety risks to the workforce?</li> <li>Develop strategies and plans to avoid, minimise and mitigate these risks?</li> <li>Track the implementation of these strategies and plans?</li> </ol> | <ul style="list-style-type: none"> <li>• GRI Disclosure 403-4</li> </ul>   |
| <p><b>E.01.3</b></p> <p><b>Action</b></p>     | <p><b>The company has systems in place to ensure its operations protect women workers from harassment and violence.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations take specific measures to prevent:</i></p> <ol style="list-style-type: none"> <li>Intimidation and moral harassment of women workers?</li> <li>Sexual harassment of women workers?</li> <li>Gender-related violence against women workers?</li> </ol>   | <ul style="list-style-type: none"> <li>• ILO C169</li> <li>• IFC PS2.15</li> </ul>   |
| <p><b>E.01.4</b></p> <p><b>Action</b></p>     | <p><b>The company has systems in place to ensure its operations address the health and safety needs of women workers.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations provide gender-appropriate:</i></p> <ol style="list-style-type: none"> <li>Sanitation facilities (e.g.: toilets, showers)?</li> <li>Safety equipment (e.g.: PPE designed for women)?</li> <li>Health services (e.g.: for family planning and sexual health)?</li> </ol>   | <ul style="list-style-type: none"> <li>• IFC PS2.23</li> </ul>   |
| <p><b>E.01.5</b></p> <p><b>Action</b></p>     | <p><b>The company publicly discloses data on mining-related high potential incidents, serious injuries and fatalities among its workforce.</b></p> <p><i>Can your company demonstrate at the corporate level that it publicly:</i></p> <ol style="list-style-type: none"> <li>Discloses the number of mining-related high potential incidents, serious injuries and fatalities among its workforce, across successive time periods?</li> <li>Discloses such information on a site-disaggregated basis?</li> <li>Confirms that its fatalities reporting includes fatalities of contract workers as well as employees?</li> </ol>                         | <ul style="list-style-type: none"> <li>• ILO C176</li> <li>• GRI Disclosure 403-9; 403-10</li> <li>• IFC PS2.23</li> <li>• SASB NR0302-18</li> </ul> |

## E.02

## Elimination of Forced Labour and Child Labour

Forced or compulsory labour is any work or service performed against a person's will under the threat of punishment, and includes debt bondage, human trafficking and other forms of modern slavery. It is estimated that more than 20 million people worldwide are trapped in jobs that they cannot leave, condemning them to lives of poverty or servitude.

Child labour is work that deprives children under the age of 18 of their childhood, their potential and their dignity, and that is harmful to physical and mental development. Many child labourers never receive adequate education, and suffer lifelong physical or psychological damage. Despite recent gains in reducing child labour, there are still an estimated 168 million child labourers in the world today.

Both forced labour and child labour are violations of fundamental human rights. While there are some cases of forced labour alleged or found in large-scale mines, the vast majority of mining-related forced labour and child labour cases are associated with artisanal and small-scale mining (See D.11). However, under certain circumstances large-scale mining companies may be complicit in child labour or forced labour through the actions of others, including contractors, suppliers or businesses associated with its mines.

It is now a global expectation that in order to fulfil their responsibility to respect human rights, all mining companies must carry out due diligence to eliminate human rights abuses, including child labour and forced labour, in their own operations, and seek to prevent these abuses in their supply chains. Due diligence involves taking proactive steps to identify, prevent, mitigate and account for how they address their impacts on human rights; as well as implement processes that enable the remediation of any adverse human rights impacts they cause or to which they contribute (See D.01).

The elimination of child labour and forced labour remains a major challenge worldwide. However, progress in these areas has led to vast improvements in the quality of life of affected individuals and communities, and significant economic and social benefits in many countries. As awareness of the problems of child labour and forced labour in global value chains continues to grow, mining companies, like other businesses, are being pressured by investors, trade unions, non-governmental organisations and consumers to play a key role in the eradication of these practices.

When mining companies carry out the due diligence necessary to uncover and address issues of child or forced labour in their operations or global supply chains they may experience a competitive advantage, as they are likely to be viewed more positively by investors and, importantly, customers, who also face the same reputational risks of being associated with a company linked to human rights abuses. Companies that do not take child labour or forced labour seriously risk reputational damage, legal action, and targeted campaigns by civil society organisations or investors.

**E.02.1**

**Action**

**The company has systems in place to identify and assess potential risks of all forms of forced, compulsory, trafficked and child labour in its areas of operations and entire supply chain, and to design and implement strategies to address identified risks.**

*Can your company demonstrate at the corporate level that it:*

- a. Has systems in place to identify and assess potential risks of all forms of forced, compulsory, trafficked and child labour in its areas of operations and entire supply chain?
- b. Has systems in place to develop strategies and plans to address these identified risks?
- c. Systematically tracks the implementation of these strategies and plans?

- UNGC Principle 1; Principle 4; Principle 5
- ILO C029; C105
- GRI 408; 409
- IFC PS2.21; PS2.22; PS2.27

## E.03

### Non-Discrimination and Equal Opportunity

Both non-discrimination and equal opportunity are rooted in the principle that all employment decisions should be based solely on the ability of the individual to do the job in question, and not personal characteristics that are unrelated to the inherent requirements of the work, that benefit from employment is equitable, and that no workers experience discrimination from either management or fellow workers. The concepts of non-discrimination and equal opportunity are enshrined in numerous international instruments, including conventions of the United Nations and the International Labour Organization.

Discrimination in employment may include the exclusion or preferential treatment of a person based on age, race, ethnicity, gender, religion, political opinion, indigenous or social origin, disability, sexual orientation or other characteristics. Discrimination may affect access to employment, promotion or specific occupations; it may be reflected in the terms and conditions of employment, or may be experienced in the workplace via harassment or victimisation.

In the mining context, there may be vulnerable individuals, groups or communities that face a higher risk of being exposed to discrimination, such as women, Indigenous Peoples, persons belonging to ethnic or other minorities, migrant workers, or workers with HIV/AIDs or other diseases, with discrimination often the result of multiple compounding factors. Discrimination may be direct or indirect. For women workers in particular, numerous challenges persist, such as sexual harassment and lack of acceptance by male co-workers (See also E.01). Indirect problems include balancing family responsibilities and shift work. When workers, and in particular women, are discriminated against on multiple grounds (e.g. a woman from a minority group or an Indigenous woman), such intersectional discrimination contributes to make their position even more precarious.

Many countries have laws that prohibit employment-related discrimination, however, these laws are often weak or limited in scope. In some producing countries, certain cultural behaviours and attitudes may be deeply entrenched, which create challenges for combatting discrimination amongst workers.

Leading companies are increasingly going beyond legal requirements, and are making concerted efforts to eliminate discrimination and foster diversity and equal opportunity in the workplace. They are instituting clear and transparent recruitment practices that are based on qualifications and experience, not personal characteristics; developing and implementing anti-harassment policies; providing confidential grievance mechanisms (See E.07); creating family-friendly policies; providing cultural, religious, gender or other diversity trainings to supervisors and workers; training and recruiting under-represented groups; and implementing other initiatives.

Mining companies that adopt progressive anti-discrimination and equal opportunity approaches may derive a number of business advantages, including improved worker morale, a wider pool of talent from which to recruit, reduced exposure to legal challenges, and reputational benefits.



**E.03.1****Action**

**The company has systems in place to ensure its operations base their recruitment and employment practices on the principle of equal opportunity, in order to prevent all forms of discrimination in the workplace and promote workforce diversity.**

*Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:*

- a. Take specific measures to reflect its non-discrimination policies in their terms and conditions?
- b. Take specific measures to implement trainings to raise awareness of discrimination among management staff and workers or take other actions aiming at preventing and addressing issues of discrimination in the workplace?
- c. Set targets regarding diversity and inclusivity in its recruitment and employment practices?

- UNGC Principle 6
- ILO C111; C169
- GRI 405; 406
- IFC PS2.15

## E.04

### **Rights to Organise, Collective Bargaining and Freedom of Association**

The freedom to associate, and the rights to organise and bargain collectively are fundamental worker and human rights that are now recognised in much of the world, although in some countries, mine workers and union representatives are still denied these rights, or are threatened or killed trying to exercise them; and physical violence and threats against workers are increasing in many countries.

The relevant instruments protecting these rights are the International Labour Organization's (ILO) core conventions of Freedom of Association and Protection of the Right to Organise, 1948 (No. 87) and the Right to Organise and Collective Bargaining, 1949 (No. 98). These conventions set forth the rights for both workers and employers to form or join organisations of their own choosing; protections for workers against acts of anti-union discrimination, such as dismissal for union membership or interference by companies in organising efforts (e.g., barring organisers from accessing sites); and for workers, typically organised as a union, to collectively negotiate their terms of employment with mine management.

The aim of collective bargaining is to form a joint, written agreement that governs the employment relationship, including wages and working time, and even issues such as job security, training, parental leave and equal opportunity. Collective bargaining provides a way to balance power and by so doing promote equity in the distribution of benefits from mining, and facilitate stability in employment relations.

Many mining companies have established policies and commitments to uphold the ILO core labour conventions, and increasingly they are placing the same expectations on their contractors and suppliers. Some companies have signed international or global framework agreements with global union federations, demonstrating a stronger commitment to applying the same high labour standards globally within their subsidiaries and contractors, and along their global supply chain.

In many parts of the globe there is growing concern about the rise in income inequality, insecurity, social instability and slow economic growth. Collective bargaining can be a powerful tool for engagement between employers' and workers' organisations to address economic and social concerns, strengthen weak voices and reduce poverty and social disadvantage. This helps to contribute to an equitable and inclusive growth path.

For mining companies, in addition to fostering better relations with workers, collective bargaining agreements can lead to a more stable and predictable operating environment; and may enhance a company's performance and competitiveness. Companies that fail to respect workers' rights to freedom of association and collective bargaining may find themselves facing strikes, protests and campaigns from labour organisations and shareholders.

**E.04.1****Action**

**The company has systems in place to ensure its operations actively respect the rights of workers to organise, collective bargaining and freedom of association.**

*Can your company demonstrate at the corporate level that it has systems in place to ensure its operations respect the rights of workers to:*

- a. Organise, including by granting access to designated areas for labour organisers to meet with workers?
- b. Collective bargaining, including by developing formal collective bargaining agreements?
- c. Freedom of association, including by allowing union meetings on site?

- UNGC Principle 1; Principle 3
- ILO C087; C098; C169; C176
- GRI 407
- IFC PS2.13; PS2.14
- SASB NR0302-19

## E.05

### Living Wage

A living wage – one that enables workers and their families to afford a basic but decent lifestyle, live above the poverty level, and be able to participate in social and cultural life – is a human right. A number of countries and regional governments have laws requiring that living wages be paid to citizens, and numerous benchmarking or standard systems that promote responsible environmental and social practices have integrated the living wage concept into their requirements.

While the living wage concept is being more broadly recognised, issues such as the measurement and definition of a living wage are often used as an excuse for not paying a living wage. Although there is no single method for calculating living wage there are several methodologies that can be drawn upon. In some situations it is appropriate for mining companies to ensure that the overall benefit package for workers, including for example any housing provided, as well as wages, allow workers to maintain a decent living standard. The most important factor for mining companies is to ensure that relevant stakeholders, such as workers and community representatives, are involved in living wage discussions and assessments, so that companies ensure that wages are enough to provide for the needs of workers and their families in the specific local context.

Some mining companies are beginning to take leadership positions by incorporating living wage into company policies or commitments on wages paid to workers, contractors and suppliers.

Mining companies that proactively work to ensure that mine workers and contractors are paid a living wage are fulfilling their responsibility to respect the human rights of their workers. They can thus strengthen relationships with workers and increase their morale and productivity; and demonstrate to investors and stakeholders that they are fulfilling their responsibility to respect the human rights of their workers. Fair remuneration can also help decrease the potential for worker protests and their associated financial losses and reputational damage.

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| <p><b>E.05.1</b><br/><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on ensuring that its workers' wages meet or exceed verified living wage standards, or legal minimum wage, whichever is the highest.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses the levels of its workers' wages against living wage standards, or legal minimum wage, whichever is the highest?</li> <li>Audits and/or reviews the levels of wages against living wage standards, or legal minimum wage, whichever is the highest?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve its performance on ensuring that its workers' wages meet or exceed living wage standards, or legal minimum wage, whichever is the highest?</li> </ol> | <p>• GRI 202</p> |
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Stable employment relations generally result in stronger worker productivity and company efficiency, while job and income security can help producing countries achieve many of the UN Sustainable Development Goals (SDGs). However, there may be economic, technical, or organizational reasons why companies review and adjust the size of their workforces. A decrease in commodity prices, unfavourable market developments, a move towards automatization or changes in procedures due to technological innovations, or internal reorganization can lead to companies making significant reductions in their workforces.

Mass redundancies can have severe impacts not only on the workers themselves but also their communities, particularly in areas where a mining company is the main employer. Challenges arising from collective dismissals include sudden loss of income and psycho-social problems for large numbers of workers, mistrust and conflicts between affected communities and the company, low morale within the remaining workforce, and severe economic hardship for affected communities.

In cases of potential downsizing, companies can conduct analyses of alternatives to redundancy and negotiate these with workers' representatives, labour unions or other groups. Potential strategies to minimise and mitigate collective redundancies include cutting back on costs, reducing working hours, or reorienting and retraining workers for different positions within the company.

In cases where mass redundancy is unavoidable, companies can show that the criteria they use to select workers for dismissal are objective, fair, and transparent. By communicating redundancy plans sufficiently in advance, companies can allow time for the joint examination of the plan's implications by the relevant government authorities, the workers and their representatives in order to mitigate adverse impacts to the greatest possible extent, and for the development of social plans with unions and other stakeholders, where appropriate. Other strategies to mitigate the impacts on the affected workforce include collaboration with local, regional or national governments, other industries or companies in order to seek opportunities for just transition for workers, including possible retraining and redeployment.

With innovative approaches to respond to unfavourable economic situations, mining companies can maintain a stable workforce. Where redundancies are unavoidable, companies can minimise and mitigate the impacts on workers by ensuring they respect any collective bargaining agreements and by actively consulting with worker representatives in the development of social plans. Managing collective redundancy in a responsible and fair manner will not only ease the harsh impacts on workers and their communities, but will also support better labour relations and reduce legal and reputational risks to companies, while contributing to the UN SDGs.

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| <p><b>E.06.1</b><br/><b>Commitment</b></p> | <p><b>The company commits to minimise and mitigate collective redundancies in the event of downsizing, interruption of operations, or automation/technological change, including through worker engagement.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to minimise and mitigate collective redundancies in the event of downsizing, interruption of operations, or automation/technological change, including through worker engagement?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol> | <p>• IFC PS2.18</p> |
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It is now an expectation that companies provide a means for stakeholders to file complaints and obtain remedy for business-related human rights abuses (See D.01 and D.12), which includes the infringement of labour rights. For example, the United Nations and others recommend that companies establish mechanisms that enable them to hear and address complaints raised by stakeholders, including workers. In the workplace context, grievance mechanisms should enable workers to file complaints related to labour (human) rights, working conditions or terms of employment, and to suggest workplace improvements.

Most mining companies have grievance mechanisms for workers, but they are not equally effective. As mentioned in D.12, operational-level grievance mechanisms will be most effective if they meet certain criteria such as being: legitimate, accessible to all workers, predictable, equitable, transparent, and rights-compatible. For example, in the labour context, an equitable mechanism could enable workers to have a colleague or representative from a workers' organisation present when they raise grievances, or provide workers with access to training or advice to facilitate their effective participation in the grievance process.

Grievance mechanisms should enable workers to file complaints anonymously or confidentiality, if requested, and without fear of punishment or retribution. Also, any operational-level grievance mechanism available to workers should not prevent them from seeking remedy through labour tribunals or other judicial or non-judicial mechanisms.

As with grievance mechanisms designed for other stakeholders, worker grievance mechanisms will be most useful and effective if they are designed to be appropriate to the local cultural setting and designed in a collaborative manner with workers or workers' representatives. Well-designed and implemented grievance processes can help foster a culture of trust and reduce conflicts with workers by providing a fair hearing and remedy process, so that workers are satisfied that their complaints have been heard and taken seriously, even if the outcome is not viewed as entirely optimal.

If a mining company does not provide an effective means of actively engaging with workers in the remediation of impacts it cannot fully meet its responsibility to respect human rights. Failing to identify grievances early and to address them effectively can also have significant negative ramifications for mining operations. These range from low morale, reduced productivity, high turnover, absenteeism, and illness among its workforce, to strikes or violent actions against the company. The subsequent reputational damage can harm a company's ability to win future contracts or realise new investment opportunities.



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| <p><b>E.07.1</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve the effectiveness of its grievance mechanisms for workers.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>a. Tracks and discloses data, across successive time periods, on the functioning and uptake of its grievance mechanisms for workers, including number and nature of complaints and actions taken in response?</li> <li>b. Audits and/or reviews, based on complainants' perspective, the effectiveness of its grievance mechanisms for workers?</li> <li>c. Takes responsive action, based on the findings of these audits and/or reviews to seek to improve the effectiveness of its grievance mechanisms for workers?</li> </ol> | <ul style="list-style-type: none"> <li>• UNGC Principle 1</li> <li>• IFC PS2.20</li> </ul> |
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**Large-scale mining typically involves the removal of vegetation and soil, the diversion of watercourses, and the movement of massive amounts of rock. These activities can permanently transform landscapes and ecosystems, and create temporary impacts such as noise, and water and air emissions, which in turn, may lead to impacts on community health (See D.06).**

**When poorly managed, mining can have devastating impacts on the environment, through the catastrophic failures of waste facilities (see F.02), creation of pollution issues that can last hundreds of years, or permanent destruction of biodiversity and ecosystem services upon which communities depend (See F.05).**

**Responsible mine management requires that companies understand the important environmental values and take steps to avoid impacting threatened ecosystems and resources that are of high significance to the social and economic wellbeing of communities. Where impacts are not preventable, a ‘mitigation hierarchy approach’ can be followed, which requires that unavoidable impacts be avoided and minimised to the greatest extent possible, damaged landscapes and ecosystems are restored, and companies compensate for remaining impacts (See F.01 and F.05).**

**Additionally, a landscape approach to assessing the impacts of a mining project can help a company understand a mine’s incremental impacts when there are other major developments in a region, and plan appropriate mitigation strategies to ensure that the cumulative impacts do not put human health at risk or cause unacceptable damage to the environment (See F.01).**

## F.01 Environmental Stewardship

Environmental stewardship is the comprehensive understanding and effective management of critical environmental risks and opportunities related to climate change, emissions, waste management, resource consumption, water conservation, and biodiversity and ecosystem services protection.

According to the UN Global Compact, traditional corporate environmental management approaches, based largely on compliance and narrow risk assessments, will not be sufficient to successfully address major 21st-century environmental challenges such as water scarcity, mitigating and adapting to the effects of climate change, and preventing further loss of global biodiversity. Tackling such issues requires, instead, a comprehensive, cyclical approach to environmental management.

Companies are increasingly adopting a cyclical “Plan, Do, Check, Act” management approach to environmental protection. Basic elements in this type of environmental management system (EMS) include: setting environmental objectives, assessing potential environmental risks and impacts, preventing and mitigating adverse impacts, carrying out environmental monitoring and evaluation (M&E), and reporting on its actions and effectiveness. Environmental management plans then guide the necessary actions, and are updated when M&E or changes in mining processes necessitate more effective strategies to meet environmental objectives.

While robust EMS processes are important, they are not necessarily enough to guarantee environmental protection that also meets the needs of affected communities. There is increasing recognition of the interconnectedness of the environmental, social and economic challenges confronting the world; and that solutions aimed at eradicating poverty and promoting environmental protection and sustainable economic growth require integrated planning and assessment, and a management approach that takes into consideration the wide-ranging direct, indirect, induced and cumulative impacts that a particular project can have in the broader landscape and regional contexts.

Environmental Impact Assessment (EIA) is a tool, often required by law but also used voluntarily by some companies, to assess the potential direct, indirect and cumulative impacts of a proposed project, and evaluate alternative project designs. Regular updates of these assessments (rather than just a one-off EIA) will be required in order to inform companies’ environmental management strategies. Companies committed to effectively managing their environmental impacts will implement a mitigation hierarchy that prioritises the prevention of negative impacts to the extent possible, minimises unavoidable impacts, and restores damaged landscapes and resources to functioning and productive ecosystems that can support plants, wildlife and human activities. Finally, the hierarchy requires that companies compensate or offset any remaining residual impacts (See also F.05).

Increasingly, the scope of environmental impact assessment has been expanding beyond the physical environment. Integrated assessments that combine health, social, economic, human rights, cultural and psychological well-being as well as the physical, biological and geochemical environments, provide a more holistic understanding of the complex interrelationships between the human and natural environments that affect environmental and human health and wellbeing. This awareness helps to ensure that, where possible, mitigation strategies avoid simply trading off one problem for another.

Additionally, planning at the larger landscape or watershed scale helps governments, companies and communities to identify competing land or resource-use objectives and understand the negative cumulative effects of multiple developments. This information, in turn, supports more optimal design and implementation of projects to maximise current and future environmental, as well as economic and social benefits. Increasingly, governments are developing their own national Strategic Environmental Assessments (SEAs) to ensure that environmental aspects are considered effectively in the development of policies and programmes. This offers additional frameworks for companies to harmonize their own EIAs with national priorities and areas of interests, complementing other economic alignments (See A.01).

Stakeholder engagement is an essential component of credible, effective environmental management. Stakeholders, including members of affected communities and representatives from relevant government agencies, should be included in assessment processes, the development of appropriate mitigation strategies and monitoring programmes (See also D.03 and F.03).

Together, the integration of environmental management with broader societal considerations, meaningful stakeholder engagement, and public disclosure of environmental management activities can enhance a company’s accountability, and increase the likelihood that its efforts will support the health and livelihoods of communities and leave positive environmental legacies. Effective environmental stewardship, in addition to protecting environmental and social values, is likely to create improved stakeholder relations, increased worker engagement, financial benefits, and a competitive advantage for companies.

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| <p><b>F.01.1</b></p> <p><b>Commitment</b></p> | <p><b>The company commits to manage its environmental impacts systematically, through the mitigation hierarchy approach.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to manage its environmental impacts systematically, through the mitigation hierarchy approach?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>   | <ul style="list-style-type: none"> <li>• IFC PS1.13; PS1.14</li> <li>• SASB NR0302-10</li> </ul> |
| <p><b>F.01.2</b></p> <p><b>Action</b></p>     | <p><b>The company has systems in place to ensure its operations conduct and disclose regular assessments of its environmental impacts through an integrated approach that considers the linkages between socio-economic and environmental impacts.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Identify environmental baseline conditions and changes, through an integrated approach that considers the linkages between socio-economic and environmental impacts?</li> <li>Identify and assess the environmental impacts of their activities, through an integrated approach that considers the linkages between socio-economic and environmental impacts?</li> <li>Regularly and systematically present and discuss the results of their assessments of environmental impacts with local communities?</li> </ol> | <ul style="list-style-type: none"> <li>• GRI 300; 400</li> <li>• IFC PS1</li> </ul>              |

## F.02 Tailings Management

The excavation or blasting of the rock mass which contains the minerals and metals mined results in large amounts of waste rock of little or no economic value. The remaining ore, where concentrations of minerals and metals are above the “cut-off grade”, goes through a milling and beneficiation process, to extract the minerals and metals from the ore. These operations often use chemicals and generate enormous volumes of residual waste. The wastes, known as tailings, are composed primarily of pulverised rock, water and processing chemicals. Typically, tailings are piped into large surface impoundments, where they are held in by earthen dams. The fluids are recycled, or they evaporate or drain out over time. When tailings storage facilities are full, the wastes may undergo reclamation, such as the planting of vegetation, to stabilise the area.

There are a variety of risks and impacts associated with tailings storage facilities. Tailings usually contain residual processing chemicals and elevated levels of metals, often resulting from the ore characteristics itself. Facilities are prone to seepage, which can result in the contamination of ground and surface water. Impoundments may cover areas that were previously productive farmland or wildlife habitat. Dry tailings can create serious dust problems for nearby communities. And unstable tailings dams can fail catastrophically, releasing large quantities of waste that can smother rivers, bury homes, destroy livelihoods, and seriously impact the environment and local communities.

The disposal of tailings into water bodies (rivers, lakes, sea) presents particular environmental problems as well as human health risks. For example, elevated levels of metals, such as copper, lead, and arsenic can cause direct acute and chronic toxicity and bioaccumulation in fish tissues that may pose risks to human health. Some companies have developed internal standards that prevent riverine or marine disposal, and several major banks have stated they will not finance companies practising marine and/or riverine tailings disposal.

Recent high-profile tailings dam failures have prompted several mining industry reviews and actions by mining companies and other stakeholders including governments and investors, which are expected to lead to improvements in practices that will help to prevent future disasters.

In addition to ensuring that tailings facilities are planned, designed, constructed and managed to the highest standards by competent professionals, there are other critical management practices that can help prevent and minimise impacts from tailings wastes. These include: assigning accountability and responsibility for tailings management at the highest levels of the company; adopting the best available technology; conducting frequent internal reviews of tailings facility performance and ensuring that corrective actions are implemented on schedule; and enabling independent review of site investigation and selection, design, construction, operation, closure and post-closure of tailings facilities, with public disclosure of the findings.

Furthermore, given that tailings management decisions can have long-term implications for the communities and natural resources, it is in the interest of all stakeholders that companies engage with potentially affected communities and external experts when assessing risks related to various tailing-facility designs, and in the planning, construction and monitoring of tailings waste facilities. Risks associated with tailings can persist for centuries and the systematic disclosure by mining companies of the exact locations and characteristics of all their tailings facilities ensures this public-interest data is accessible for all the stakeholders and documented for the future generations too.

There is a strong incentive for mining companies to reduce the risks associated with tailings facilities. Failures, whether catastrophic dam bursts or the slow seepage of chemicals into water, can lead to significant health and safety risks for local communities, widespread environmental damage and high clean-up and remediation costs that may ultimately fall on producing country governments. Companies implicated in tailings facility mismanagement suffer huge financial losses, face legal action, loss of social licence to operate, and not only bring reputational damage to themselves, but to the mining industry as a whole.

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| <p><b>F.02.1</b></p> <p><b>Commitment</b></p>    | <p><b>The company commits to not use riverine, lake or marine disposal of tailings.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to not use riverine, lake or marine disposal of tailings?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>   | <p>• SASB NR0302-09</p> |
| <p><b>F.02.2</b></p> <p><b>Action</b></p>        | <p><b>Where applicable, the company publicly discloses information about the location and safety of all its tailings storage facilities.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Publicly discloses the number and exact location of all tailings storage facilities (including those currently active and those under rehabilitation or closed)?</li> <li>Publicly discloses the construction methods and hazard categories (based on impact assessments) of each of its tailings storage facilities?</li> <li>Makes these data freely available on its corporate website?</li> </ol>  |                         |
| <p><b>F.02.3</b></p> <p><b>Effectiveness</b></p> | <p><b>Where applicable, the company tracks, reviews and acts to improve its performance on addressing potential risks related to its tailings facilities, including seepage and tailings dam failure.</b></p> <p><i>Where applicable, can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on addressing potential risks related to its tailings facilities, including seepage and tailings dam failure?</li> <li>Carries out third-party audits and/or reviews on the effectiveness of its measures taken to address potential risks related to its tailings facilities, including seepage and tailings dam failure?</li> <li>Takes responsive action, on the basis of the findings of these third-party audits, to seek to improve the effectiveness of its measures taken to address potential risks related to its tailings facilities, including seepage and tailings dam failure?</li> </ol> | <p>• IFC PS4.6</p>      |

Water is a key issue for sustainable development and the growth of economies. It is essential for immediate survival and long-term food security, and is intertwined with the development of energy infrastructure. In addition to being a human right, clean water supports healthier and more productive populations and ecosystems.

Water is also a key issue for the global mining industry. Access to a stable water supply is critical for any mining operation, but securing access can be a challenge. As global concerns about water scarcity increase and mines expand into more water-stressed areas, the competition for water resources can create intractable and sometimes violent conflicts between mining companies and communities. These conflicts are often associated with serious human rights abuses, disproportionately suffered by members of affected communities.

The sound management of water discharges, which is linked to responsible mine-waste and hazardous materials management (See F.02 and F.07), is critical at mines. Mining-related water management involves understanding the current water quality and quantity status and management context in the immediate vicinity of a mine and in the broader catchment or watershed area; assessing the risks to surface water and groundwater from mining activities; and developing and implementing strategies to minimise the risks and impacts on water users and ecosystems. Water quantity and quality should be monitored at the mine site and at downstream locations to determine if mitigation strategies are effective, and whether or not corrective actions might be necessary to improve environmental outcomes.

Increasingly, the mining industry also acknowledges that effective water management relies on positive and transparent engagement with stakeholders. Ongoing dialogue helps communities understand the mine's water needs, and helps the mining company understand the community's water use requirements, as well as stakeholders' needs, expectations and priorities related to water use and water protection.

Transparency around water use and water quality impacts is becoming an expectation for mining stakeholders, and it is now standard practice for companies to report generally on water issues. Some companies, however, are demonstrating leadership around water transparency by making water-monitoring data accessible to affected communities and the general public.

The fear of water contamination can create opposition to mining projects, and actual contamination events can damage livelihoods, destroy positive company-community relations and create short- and long-term costs and financial and legal liabilities for mining companies. Conflicts related to water bring reputational, operational, legal, humanitarian, and financial risks to mining projects. Mining companies that engage with communities in the planning, management and monitoring of water, and are transparent about their water impacts are more likely to establish the trust with communities that is necessary to avoid conflicts and secure the social licence to operate.

Implementing leading social and technical water management practices, such as increasing the efficiency of water use, can also help companies reduce operating costs and potential environmental fines, expedite permitting processes, facilitate mine expansions, secure access to resources (water, ore, land), and preserve or improve a company's reputation.



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| <p><b>F.03.1</b></p> <p><b>Action</b></p>        | <p><b>The company has systems in place to ensure its operations design and implement water stewardship strategies and plans, based on a catchment-level approach, to address water security in the affected area for current and future water users and the environment.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations develop water stewardship strategies and plans, based on a catchment-level approach, to respect the water needs and rights of current and future water users and the environment?</li> <li>Has systems in place to ensure its operations consult with potentially-affected water users in the development of these water stewardship strategies and plans?</li> <li>Systematically tracks the implementation of these water stewardship strategies?</li> </ol> | <ul style="list-style-type: none"> <li>• GRI 303</li> <li>• IFC PS3.6; PS3.9</li> </ul> |
| <p><b>F.03.2</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on reducing its water consumption.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on its performance on reducing its water consumption?</li> <li>Audits and/or reviews the effectiveness of its measures taken to reduce its water consumption?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to reduce its water consumption?</li> </ol>  | <ul style="list-style-type: none"> <li>• GRI 303</li> </ul>                             |
| <p><b>F.03.3</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on reducing its adverse impacts on water quality.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on its performance on reducing its adverse impacts on water quality?</li> <li>Audits and/or reviews the effectiveness of its measures taken to reduce its adverse impacts on water quality?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to reduce its adverse impacts on water quality?</li> </ol>  | <ul style="list-style-type: none"> <li>• GRI 306</li> </ul>                             |

## F.04 Noise and Vibration

Noise is a common source of community concern related to mining. During a mine's operational phase, noise can be generated 24 hours a day, seven days a week, and a mine may operate for many years. Potentially significant sources of mining-related noise and vibrations include helicopters used during exploration, heavy equipment used during mine construction, drilling, blasting, loading and dumping waste rock, screening and crushing, and mineral transport (e.g., corridors for railways, roads and conveyor belts).

Noise may have adverse effects on human health, including stress-related illnesses, sleep disruption, high blood pressure, hearing loss and speech interference. Noise may also lead to social and behavioural effects, including annoyance, which is a widely accepted indicator of human health effects related to environmental noise. Additionally, vibrations from blasting and heavy truck traffic are often felt by nearby residents, and have been linked to, or suspected as the cause of, structural damage to homes located close to mine sites.

Wildlife may also be affected by anthropogenic noise. Mining or other industrial noise sources may cause an increase in stress, disruption of natural behaviours, temporary or permanent hearing damage, changes in breeding success, and avoidance of otherwise suitable habitat. The impacts on wildlife may, in turn, have implications for Indigenous Peoples or local communities whose food sources may be affected.

In order to address issues of noise and vibration, mining companies typically include noise assessments as part of their environmental and social impact assessments, and carry out baseline noise studies to gain an understanding of the pre-mining noise conditions in communities and the project's area of operation. Some national or sub-national governments may regulate noise and vibrations. However, even in the absence of regulations, there are internationally accepted standards that can help mining companies gauge acceptable noise and vibration levels at nearby homes, schools, or other noise "receptors."

There are a variety of mitigation measures that can be employed to minimise the effects of mining-related noise and vibrations on communities and wildlife, including limiting known sources of particularly loud noises or strong vibrations, such as blasting, to daytime hours, as well as muffling or controlling noise and vibrations at their source.

Noise and vibration issues should be discussed during early engagement with stakeholders (See D.03), and throughout the mine lifecycle. Communities are more likely to be tolerant of mining-related noise and vibrations when companies are transparent and work with them to develop acceptable mitigation strategies. If community concerns are not adequately considered or addressed, these issues can provoke community opposition to mining operations, and create significant strain on community-company relationships.

While some noise and vibration mitigation strategies may require an upfront capital investment, they ultimately provide cost savings for the company through increased efficiency and improved occupational health and safety. Effective noise and vibration management also benefits the wider industry by improving community attitudes towards mining activities.

**F.04.1**

**Action**

**The company has systems in place to ensure its operations limit the impacts of noise and vibration on affected communities, structures, properties, and wildlife.**

*Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:*

- a. Regularly assess, against baseline values, the noise and vibration levels generated by their activities?
- b. Develop strategies and plans to limit the impacts of noise and vibration generated by their activities in the surrounding areas?
- c. Systematically engage with affected communities and other stakeholders in the development of these strategies?

Biological diversity – or biodiversity – refers to the variety of plants, animals and microorganisms that exist, the genes they contain, and the ecosystems of which they are a part. Ecosystems that are genetically diverse and species-rich are more resilient and adaptable to external stresses, and have a greater ability to recover from disturbances such as floods, fires and diseases. Biodiversity plays a role in stabilising the earth's climate; it contributes to sustainable livelihoods and economies; and creates conditions that enable cultural diversity to thrive.

The maintenance of global biodiversity is particularly relevant for rural communities in developing countries and for Indigenous Peoples, whose livelihoods and survival may be highly dependent on the ecosystem services supported through biodiversity, such as food, nutrients, medicines, fuel, fibre, flood control, clean drinking water and sacred sites.

Mining companies, like other businesses and society as a whole, rely on ecosystems and the services they provide. However, mining also has the potential to directly affect biodiversity, for example through the clearing of vegetation for roads, removal of primary forests and soils to access ore bodies, the conversion of land, wetlands or water-bodies into waste disposal sites, and planned or unplanned discharges of waste products to the environment. There may also be indirect impacts on biodiversity and ecosystem services from mining, such as increased pressures on wildlife for trade or bushmeat when mining roads are built in previously inaccessible areas, or intensified clearing of land as a result of the in-migration of mine workers or others seeking economic opportunities.

Growing awareness of the potential direct, indirect, induced and cumulative impacts of mining on biodiversity and of the dependencies of companies on biodiversity and ecosystem services is leading many mining companies to carry out biodiversity assessments and develop systems and approaches to avoid critical habitats and key biodiversity areas whenever possible.

Some mining companies are also applying the “mitigation hierarchy” as a means of managing biodiversity risks. The mitigation hierarchy is an internationally recognised framework that prioritises avoidance of impacts on biodiversity and ecosystem services, and, if that is not possible, moves to minimisation, restoration and, as a last resort, the offsetting of residual impacts. While impact mitigation is an interactive process throughout the project lifecycle, opportunities for impact avoidance are greatest at the planning phase of development.

Offsetting is the last option in the hierarchy because it comes with a set of risks, including uncertainty of success, economic and governance challenges to sustaining offsets in perpetuity, and the potential for proposed offset projects to be socially or culturally unacceptable to relevant stakeholders. Where offsetting occurs, it should be carefully designed and guided by principles such as replacement of impacted biodiversity on an ecologically-equivalent, or like-for-like or better basis; no net loss and preferably a net gain of biodiversity; consultation with stakeholders to determine acceptable offsets; and creation of long-term mechanisms to fund offset projects.

As with any responsible environmental management system, the identification of risks, development of effective mitigation strategies and monitoring plans include the involvement of relevant stakeholders. Actions may also be designed or reviewed by experienced biologists and other specialists to ensure that mitigation is optimised in accordance with the hierarchy. Increasingly, companies are commissioning independent external audits or oversight to verify whether their biodiversity management strategies are being effectively implemented. Such external oversight is a useful means of building stakeholder trust and confidence that mining activities are not posing significant threats to biodiversity and important ecosystem services.

The business case for responsible biodiversity management is strong. Companies that take a proactive approach to biodiversity and ecosystem services management may experience a competitive advantage as regulatory regimes in areas with increasing pressures on biodiversity shift to more protective policies. Those companies that demonstrate good management practices, including application of the mitigation hierarchy and external audits of their management practices, may secure easier and less costly access to capital, land and resources. Strong approaches to protecting biodiversity and ecosystem services help to build trust with communities, non-governmental organisations, producing country governments and other stakeholders, thus strengthening the company's social licence to operate.

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| <p><b>F.05.1</b><br/><b>Commitment</b></p>    | <p><b>The company commits to not explore or mine in World Heritage Sites and to respect other terrestrial and marine protected areas that are designated to conserve cultural or natural heritage.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to not explore or mine in World Heritage Sites and to respect other terrestrial and marine protected areas that are designated to conserve cultural or natural heritage?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol> | <ul style="list-style-type: none"> <li>• IFC PS8</li> </ul>                                   |
| <p><b>F.05.2</b><br/><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on biodiversity and ecosystem services management.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on biodiversity and ecosystem services management?</li> <li>Audits and/or reviews the effectiveness of its measures taken to manage biodiversity and ecosystem services?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to manage biodiversity and ecosystem services?</li> </ol>  | <ul style="list-style-type: none"> <li>• GRI Disclosure 304-3</li> <li>• IFC PS6.7</li> </ul> |

## Climate Change and Energy Efficiency

Climate change is a global issue, but the effects are not equally distributed around the globe or even within individual countries. Developing countries are often disproportionately affected, and Indigenous Peoples, and poor and vulnerable groups within society are especially at risk from the impacts of climate change.

As the globe experiences increasing effects related to climate change, such as changes in precipitation, increased frequency of extreme events, increased temperatures and sea level rise, mining companies are being asked by investors and mine stakeholders to identify and disclose climate-related risks and impacts.

In the minerals and metals mining sector, the vast majority of greenhouse gas emissions are directly tied to energy consumption, with emissions primarily produced through the burning of fossil fuels to power buildings and operate mining and processing equipment and vehicles. Mining is an energy-intensive undertaking, and future energy consumption is predicted to increase in the mining sector as viable ore deposits become deeper and lower-grade. Coal mining creates additional greenhouse gas emissions such as the release of fugitive methane or carbon dioxide during mining, and subsequent greenhouse gas emissions generated from the burning of coal. Mines may also create a net addition of carbon to the atmosphere through the removal of “carbon pools” such as forests, which may also have impacts on biodiversity (See F.05).

Many in the mining industry recognise the global challenges related to greenhouse gas emissions and climate change, and companies are increasingly monitoring and publicly reporting on their energy use and greenhouse gas emissions, and are taking steps to reduce energy use and emissions by adopting renewable energy and low-emissions technologies, and improving energy efficiency. Some companies are also beginning to work with communities to assess the risks and develop strategies to plan for, mitigate and adapt to climate change.

There are many potential benefits for companies that proactively reduce energy consumption, greenhouse gas emissions and fossil fuel dependency. Those companies investing early in energy efficiency measures may enjoy a competitive advantage over those who lag behind, as increased efficiency can help protect companies from increased fuel costs, mitigate the impact of regulations that may limit or put a price on carbon emissions, and result in better market performance.

Additionally, mines proposed in regions that are vulnerable to climate change are increasingly likely to be faced with scepticism by insurers and investors. As a result, those companies that are transparent about their greenhouse gas emissions, their reduction targets, and their climate adaptation strategies, and can demonstrate a positive track record of reducing emissions and improving energy efficiency, are more likely to be viewed favourably by insurers, investors, and the communities in vulnerable regions, or wherever they hope to operate. Companies that proactively develop strategies to adapt to climate change can also contribute to sustainable development goals on poverty reduction and climate action (SDG1 and SDG13).

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| <p><b>F.06.1</b><br/><b>Action</b></p>        | <p><b>The company has systems in place to identify and report on the potential implications of climate change on its current and future operations' impacts on communities, workers and the environment, and to design and implement appropriate adaptation and transition strategies.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations identify and report on the potential implications of climate change on their current and future operations' impacts on communities, workers and the environment?</li> <li>Has systems in place to ensure its operations develop strategies and plans to address these implications?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>   | <ul style="list-style-type: none"> <li>• IFC PS1.7; PS4.8</li> </ul>   |
| <p><b>F.06.2</b><br/><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on managing the greenhouse gas (GHG) emissions generated by its activities and its energy use.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on its performance on managing the greenhouse gas (GHG) emissions generated by its activities and its energy use?</li> <li>Audits and/or reviews the effectiveness of its measures taken to manage the GHG emissions generated by its activities and its energy use?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to continuously improve the effectiveness of its measures taken to manage the GHG emissions generated by its activities and its energy use, in order to minimise them?</li> </ol> | <ul style="list-style-type: none"> <li>• GRI Disclosure 305-5</li> <li>• IFC PS3.7; PS3.8</li> <li>• SASB NR0302-02</li> </ul> |
| <p><b>F.06.3</b><br/><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on managing energy consumption throughout its operations.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on its performance on managing energy consumption throughout its operations?</li> <li>Audits and/or reviews the effectiveness of its measures taken to manage energy consumption throughout its operations?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to manage energy consumption throughout its operations?</li> </ol>   | <ul style="list-style-type: none"> <li>• GRI 302</li> <li>• IFC PS3.6</li> </ul>   |

## Hazardous Materials Management

Hazardous materials are those that represent a risk to human health, property or the environment due to their physical or chemical characteristics. There are a variety of potentially hazardous materials that are generated or used by mining operations.

Some hazardous substances, like mercury, arsenic, lead or cadmium, may be made more available as a result of mining. For example, mercury, which is associated with some gold, silver, copper or zinc deposits, may be mobilised during roasting or smelting, or be leached or released into soils, water or air from tailings. Sulphuric acid, a chemical often used in ore processing and a by-product of mining sulphide-bearing ores, may result in acidic drainage and the release of heavy metals into the environment.

Other hazardous chemicals are used to extract metals and minerals from ore. For example, cyanide is commonly used for processing gold and silver, and may be a minor processing reagent at some base metal mines. Cyanide, if released in the workplace or environment, can be lethal to many living organisms. Nitric acid, ammonium nitrate and fuel oil are often used as blasting agents. In addition to being potential environmental pollutants, these explosives may present a security risk for companies, and should be managed accordingly.

All hazardous materials require sound management of occupational health, environmental and social risks throughout their lifecycles - including during sourcing, transport, storage, use, production, and disposal. Typically, responsible management of hazardous materials prioritises avoidance, such as through the substitution of less hazardous chemicals or processes. Where avoidance is not possible, the leading practice will be to minimise the use or production of hazardous materials, and prevent and control releases and accidents.

These objectives can be addressed through the ongoing assessment of hazards and preparation of hazardous materials risk management plans. Further measures include the implementation of actions such as education and training programmes for workers, contractors and communities; equipment and facility inspections and maintenance; monitoring of the concentrations of hazardous materials in wastes; and the development of procedures to address residual risks that cannot be prevented or controlled.

If not properly managed, the release of hazardous substances into the workplace or the environment can have severe and long-lasting negative impacts on water quality, the health of ecosystems, workers and local communities. It may also have reputational and financial ramifications for companies or governments that must bear the costs of remediating contamination and provide compensation to impacted workers or community members.



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| <p><b>F.07.1</b></p> <p><b>Action</b></p> | <p><b>The company has systems in place to ensure its operations identify and assess potential risks related to the transportation, handling, storage, emission and disposal of hazardous materials, and to design and implement strategies and plans to address identified risks.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ul style="list-style-type: none"> <li>a. Has systems in place to ensure its operations identify and assess the risks related to their use of hazardous materials?</li> <li>b. Has systems in place to ensure its operations develop strategies and plans to address these risks?</li> <li>c. Systematically tracks the implementation of these strategies and plans?</li> </ul> | <p>• IFC PS3.13</p> |
|---|---|---------------------|

## F.08 Emergency Preparedness

Large-scale mines carry significant operational risks. The release or spill of hazardous chemicals, tailings dam failures, explosions, fires and a range of other possible accidents pose risks to mine workers and nearby communities. Accidents may be related to human errors, equipment failure, or poor management of mine wastes or hazardous materials (See F.02 and F.07). Natural forces, such as earthquakes, floods, cyclones or forest fires may also cause or compound emergencies at mining operations.

Mining-related accidents or incidents may lead to significant and long-lasting impacts, including environmental damage, property damage, injuries, loss of life and psychological trauma. They may also cause significant financial losses for communities, governments and companies, and damage to the image of the mining industry as a whole.

Despite best efforts, mining-related accidents and emergencies can never entirely be prevented. However, mining companies, in collaboration with local governments, workers and communities, can develop and implement crisis management and emergency preparedness policies, training programmes and procedures to minimise the negative consequences of such emergencies.

Guidance has been developed to help mining companies prepare themselves, their workers and local communities for mining-related emergencies. The United Nations Environment Programme and others have recommended that companies adopt a collaborative approach to emergency response planning that involves local authorities, emergency responders and community members in the identification of potential mining-related accidents; the development of strategies to reduce and manage identified risks; and the creation of emergency response plans. To increase the effectiveness of emergency response plans, mining companies can test them with potentially affected parties and communicate them to the community-at-large so that key actors are prepared to respond effectively to a range of emergency scenarios.

A collaborative approach to emergency response can help to reduce community fears about potential mining-related impacts, reduce the risks to vulnerable populations that are often hit hardest and longest by disasters and emergencies, and build greater confidence and trust between mining operations and communities. In the event of a mining-related accident, well-planned emergency response may reduce human casualties, limit impacts on property and the environment, and minimise financial losses to the company.

Financial preparedness is an additional component of responsible emergency preparedness. The leading practice is for companies to anticipate and insure against the cost of reparation for accidents or natural catastrophes, to ensure that funds are available to implement effective emergency response, pay compensation for damages, injury or loss of life, and for companies to fund recovery and reconstruction in a timely and efficient manner.

|   |  |  |
|---|--|--|
| <p><b>F.08.1</b></p> <p><b>Action</b></p> | <p><b>The company has systems in place to ensure its operations engage local authorities, workers and communities in developing, communicating and testing emergency preparedness and response plans.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Develop and maintain emergency preparedness and response plans?</li> <li>Systematically engage with local stakeholders (e.g. local authorities and communities) in the design of emergency response plans?</li> <li>Systematically engage with local stakeholders in the testing of these response plans?</li> </ol> | <ul style="list-style-type: none"> <li>• ILO C176</li> <li>• IFC PS1.20; PS1.21</li> </ul> |
| <p><b>F.08.2</b></p> <p><b>Action</b></p> | <p><b>The company publicly discloses all relevant information about financial assurance that is provided for disaster management and recovery, throughout its operations.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Publicly discloses all relevant information about financial assurance that is provided for disaster management and recovery?</li> <li>Includes in this disclosure information on specific financial assurance provisions on a mine-site-disaggregated basis?</li> <li>Updates this information on a yearly basis?</li> </ol>   | <ul style="list-style-type: none"> <li>• IFC PS1.21</li> </ul>                             |





This section includes the ten RMI 2020 mine-site indicators, with their profiles and metric questions. These questions assess the extent to which the company operating the mine site is sharing information of particular interest to mining-affected communities, and engaging with communities on these issues. Other stakeholders, such as investors, financiers, manufacturers, civil society, workers and governments are also interested in the kinds of mine-site-disaggregated information addressed in these indicators.

## MS.01 Local Employment

### MS.01

*Public disclosure of disaggregated workforce data allows companies to demonstrate their commitment to investing in the economic development of local communities and ensuring that their recruitment and workplace practices do not disadvantage women. As contract workers are increasingly being used across the mining industry, it is important for companies to distinguish them in their workforce data, to provide a more complete picture of the employment situation.*

- Does the company publicly disclose the number of its employees hired from local communities?
- Does the company publicly disclose the number of its contract workers hired from local communities?
- Does the company publicly disclose the number of women workers hired from local communities?

## MS.02 Local Procurement

### MS.02

*Sourcing goods and services locally supports business development and economic growth in the local region, while potentially reducing procurement costs in the long term. Public disclosure and discussion of local procurement data enable local businesses to identify opportunities to become suppliers to the mine site, and local communities to engage with the company on its efforts to create a level playing field for local suppliers.*

- Does the company publicly disclose the amount of money it spends on goods and services from the local province/state?
- Does the company publicly disclose the types of goods and services it sources from the local province/state?
- Does the company discuss with local communities the targets of its programmes for local procurement?

## MS.03 Post-Closure Plans

### MS.03

*Planning for a positive legacy necessitates measures to ensure that project-affected communities have viable and sustainable livelihoods after mine closure. This includes plans to maintain or re-establish access to healthy natural resources (land, water, etc.) and economic opportunities. An effective mine closure planning process involves open communication with affected communities and involvement of these communities in the setting of closure goals and the development of action plans.*

- Has the company informed affected communities of when the mining operation will stop or close definitively?
- Does the company engage with affected communities in developing its post-closure plans?
- Does the company discuss with local communities the implementation of its post-closure plans?

## MS.04 Community Grievances

### MS.04

*Community grievance mechanisms are formal processes that enable individuals or groups from project-affected communities to raise concerns and seek remedy for any negative impacts from a company's activities. This allows the company to know about and respond to these in a timely manner. Community members are more likely to trust and use such mechanisms if the company discloses how the mechanism is being used, and how the company is addressing issues that have been raised repeatedly.*

- a. Does the company have an operational-level grievance mechanism for local communities and individuals to raise any issues of concern?
- b. Does the company publicly disclose the number and types of grievances raised by local communities and individuals?
- c. Does the company discuss with local communities the measures it is taking to avoid the same grievances being repeatedly raised?

## MS.05 Worker Grievances

### MS.05

*An effective grievance mechanism for workers provides a fair hearing and remedy process, so that workers can be satisfied that their complaints have been heard and taken seriously, leading to more constructive working relationships. A mining company can promote confidence in the grievance process by disclosing how the grievance mechanism is being used and how the company is addressing issues that have been raised repeatedly.*

- a. Does the company have an operational-level grievance mechanism for its workers to raise any issues of concern?
- b. Does the company publicly disclose the number and types of grievances raised by its workers?
- c. Does the company discuss with worker representatives the measures it is taking to avoid the same grievances being repeatedly raised?

## MS.06 Air Quality

### MS.06

*For many project-affected communities, air pollution is a major concern related to the presence of a mining operation, as it affects their health, their food systems, and in some cases their livelihoods. Regular disclosure of site-specific air quality data and discussions with communities about the company's management of air quality can demonstrate good citizenship and help to build trust and reduce fears related to dust and air contaminants.*

- a. Does the company publicly disclose, on a regular basis, air quality data for each monitoring point?
- b. Does the company highlight when and where air quality fell below safety limits?
- c. Does the company discuss with affected communities the actions it is taking to manage air quality?

## MS.07 Water Quality

### MS.07

*While it is now standard practice for mining companies to report generally on water quality, companies can make this information much more useful for affected communities by regularly disclosing water quality data at each point where they collect such data. Companies can also demonstrate good citizenship and help to build trust by specifying when and where water quality dropped below established limits, and by discussing with affected communities the efforts they are taking to manage water quality.*

- a. Does the company publicly disclose, on a regular basis, water quality data for each monitoring point?
- b. Does the company highlight when and where water quality fell below safety limits?
- c. Does the company discuss with affected communities the actions it is taking to manage water quality?

## MS.08 Water Quantity

### MS.08

*The competition for water resources is a common source of conflict between mining companies and affected communities, particularly in water-stressed areas. Companies can demonstrate good citizenship and respect for affected communities by disclosing the amount of water they are withdrawing and by discussing with affected communities how their water consumption levels respect the water needs of these local stakeholders, and how they are seeking to reduce their water consumption.*

- a. Does the company publicly disclose, on a regular basis, the amount of water it is withdrawing from the environment?
- b. Does the company discuss with affected communities how to manage their shared water needs?
- c. Does the company discuss with affected communities the actions it is taking to reduce its water consumption?

## MS.09 Tailings Management

### MS.09

*Tailings storage facilities pose potentially severe risks to workers, affected communities and the environment. Unstable tailings dams can fail catastrophically, releasing large quantities of waste that can cause fatalities, smother rivers, bury homes, destroy livelihoods, and seriously impact the environment and local communities. Companies can demonstrate that they take this issue seriously by disclosing practical information on their tailings facilities and by keeping local communities informed about emergency procedures in the event of a tailings-related incident.*

- a. Does the company publicly disclose the exact location of all its tailings facilities?
- b. Does the company publicly disclose the exact area potentially affected by a failure of its tailings facilities?
- c. Has the company informed local communities of what to do in the case of any tailings-related incident?

## MS.10 Emergency Preparedness

### MS.10

*While mining-related emergencies can never be entirely prevented, companies can minimise the negative consequences of such emergencies by developing crisis management and emergency preparedness plans. The planned procedures will be more effective if project-affected stakeholders (e.g. community members, local authorities and emergency responders) are informed about the actions to take in the event of an emergency and are involved in the testing of the procedures.*

- a. Does the company publicly disclose its emergency preparedness and response plans?
- b. Has the company informed affected communities of what to do in case of emergency?
- c. Does the company involve affected communities in testing its emergency response plans?






# Appendices

Appendix 1


# SDGs: RMI 2020 supports the UN Sustainable Development Goals

This table shows areas of broad alignment between the indicators included in RMI 2020 and the targets set for each of the UN Sustainable Development Goals.

|   |  |  |   |
|---|--|--|---|
|  <p><b>1</b> NO POVERTY</p>                                | <p>A.01.1 D.04.1 D.08.1<br/>                     A.01.2 D.04.2 D.08.2<br/>                     A.2.1 D.04.3 D.11.2<br/>                     C.03.1 D.04.4 E.05.1<br/>                     C.03.2 D.07.1 E.06.1</p>         |  <p><b>10</b> REDUCED INEQUALITIES</p>                     | <p>A.01.1 B.05.1 D.04.2 E.03.1<br/>                     A.02.1 B.06.1 D.04.3<br/>                     A.04.1 B.07.1 D.07.1<br/>                     B.02.2 D.03.1 D.08.1<br/>                     B.04.1 D.04.1 E.01.4</p>                      |
|  <p><b>2</b> ZERO HUNGER</p>                               | <p>C.03.1 F.03.2<br/>                     D.05.1<br/>                     D.08.2<br/>                     D.10.2<br/>                     F.03.1</p>   |  <p><b>11</b> SUSTAINABLE CITIES AND COMMUNITIES</p>       | <p>F.02.3 F.06.3<br/>                     F.03.2 F.07.1<br/>                     F.03.3 F.08.1<br/>                     F.05.1<br/>                     F.06.1</p>  |
|  <p><b>3</b> GOOD HEALTH AND WELL-BEING</p>                | <p>D.02.2 E.01.1 F.03.3<br/>                     D.04.3 E.01.3 F.08.1<br/>                     D.04.4 E.01.4 F.08.2<br/>                     D.06.1 E.01.5<br/>                     D.07.1 F.02.3</p>                      |  <p><b>12</b> RESPONSIBLE CONSUMPTION AND PRODUCTION</p>   | <p>C.01.1 F.02.3 F.05.2 F.08.2<br/>                     C.03.3 F.03.1 F.06.2<br/>                     F.01.1 F.03.2 F.06.3<br/>                     F.1.2 F.03.3 F.07.1<br/>                     F.02.1 F.05.1 F.08.1</p>                       |
|  <p><b>4</b> QUALITY EDUCATION</p>                        | <p>A.4.1<br/>                     A.4.2</p>  |  <p><b>13</b> CLIMATE ACTION</p>                          | <p>F.02.2 F.08.1<br/>                     F.02.3 F.08.2<br/>                     F.06.1<br/>                     F.06.2<br/>                     F.06.3</p>   |
|  <p><b>5</b> GENDER EQUALITY</p>                         | <p>B.02.2 D.07.1<br/>                     D.03.1 E.01.3<br/>                     D.04.1 E.01.4<br/>                     D.04.2 E.03.1<br/>                     D.04.3</p>  |  <p><b>14</b> LIFE BELOW WATER</p>                       | <p>F.02.1<br/>                     F.02.3<br/>                     F.05.1</p>   |
|  <p><b>6</b> CLEAN WATER AND SANITATION</p>              | <p>F.03.1<br/>                     F.03.2<br/>                     F.03.3</p>  |  <p><b>15</b> LIFE ON LAND</p>                           | <p>C.03.3 F.05.2<br/>                     C.03.4<br/>                     F.01.1<br/>                     F.01.2<br/>                     F.05.1</p>  |
|  <p><b>7</b> AFFORDABLE AND CLEAN ENERGY</p>             | <p>F.06.3</p>  |  <p><b>16</b> PEACE, JUSTICE AND STRONG INSTITUTIONS</p> | <p>B.01.1 B.06.1 D.02.2 E.01.5<br/>                     B.01.2 B.07.1 D.03.1 E.02.1<br/>                     B.03.1 D.01.1 D.09.1 E.04.1<br/>                     B.04.1 D.01.4 D.12.1 E.07.1<br/>                     B.05.1 D.02.1 E.01.3</p> |
|  <p><b>8</b> DECENT WORK AND ECONOMIC GROWTH</p>         | <p>A.01.1 E.01.1 E.02.1 E.07.1<br/>                     A.02.1 E.01.2 E.03.1<br/>                     A.04.1 E.01.3 E.04.1<br/>                     C.03.2 E.01.4 E.05.1<br/>                     D.04.1 E.01.5 E.06.1</p> |  <p><b>17</b> PARTNERSHIPS FOR THE GOALS</p>             | <p>A.3.1<br/>                     B.03.1<br/>                     B.04.1<br/>                     B.06.1</p>  |
|  <p><b>9</b> INDUSTRY, INNOVATION AND INFRASTRUCTURE</p> | <p>A.01.1<br/>                     A.03.1<br/>                     F.06.2<br/>                     F.06.3</p>  |  |   |

# Kinds of Evidence: Examples of relevant Kinds of Evidence for indicators

This table includes all RMI 2020 indicators and metric questions and shows, in the last column, some examples of the kinds of evidence relevant for each indicator.

| A Economic Development  |   |  |
|--|---|--|
| A.01 National and Supranational Socio-Economic Development Planning  |   |  |
| <b>A.01.1</b><br>Commitment  | <p><b>The company commits to take account of national and supranational socio-economic development plans in making its mining-related investment and business decisions in producing countries, with the aim of enhancing socio-economic development.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to take account of national and supranational socio-economic development plans in making its mining-related investment and business decisions in producing countries, with the aim of enhancing socio-economic development?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Formalised policy endorsed by senior management</li> <li>• Statement in a formalised company document (e.g. code of practice, code of conduct, set of principles, management systems, standards, specific guidelines or framework, ...) endorsed by senior management, or explicitly referred to in another document endorsed by senior management</li> <li>• Detailed information (e.g. Terms of Reference) on specific senior-management-level individuals / teams / sub-committees, including description of responsibilities and scope</li> <li>• Company operating procedures including senior management responsibilities</li> <li>• Established working group / sub-committee / department / task force responsible for the implementation of the commitment</li> <li>• Relevant staff job descriptions</li> <li>• Detailed information (e.g. Terms of Reference) on mandates for external advice</li> <li>• Detailed information on relevant activities (trainings, workshops, other initiatives...)</li> <li>• Other relevant evidence</li> </ul> |
| <b>A.01.2</b><br>Action  | <p><b>Where applicable, the company has systems in place to ensure its operations work collaboratively with sub-national producing country governments on socio-economic development planning.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations work with sub-national producing country governments to identify socio-economic development priorities where they can play a collaborative role?</li> <li>Has systems in place to ensure its operations develop strategies and plans to address these development priorities in collaboration with the sub-national governments?</li> <li>Systematically tracks the implementation of these strategies and plans, collaboratively with the sub-national governments?</li> </ol>                                | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant operating procedures</li> <li>• Relevant checklist, guidelines, management standards</li> <li>• Relevant detailed description of approach / process</li> <li>• Number of operations where strategies and plans have been developed and statuses of these development processes</li> <li>• Other relevant evidence</li> </ul>   |

| <b>A.02 National and Supranational Procurement</b> |  |   |
|--|--|---|
| <b>A.02.1</b><br><br><b>Action</b>                 | <p><b>The company has systems in place to ensure its operations develop procurement opportunities for suppliers at national and supranational levels.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations identify opportunities for, and barriers to access to, procurement from suppliers at national and/or supranational levels?</li> <li>Has systems in place to ensure its operations develop strategies and plans to develop procurement opportunities for suppliers at national and/or supranational levels?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>   | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant operating procedures</li> <li>• Relevant checklist, guidelines, management standards</li> <li>• Relevant detailed description of approach / process</li> <li>• Number of operations where strategies and plans have been developed and statuses of these development processes</li> <li>• Other relevant evidence</li> </ul>  |
| <b>A.02.2</b><br><br><b>Effectiveness</b>          | <p><b>The company tracks, reviews and acts to improve its performance on national and supranational procurement.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on its national and supranational procurement, showing proportions and amounts spent?</li> <li>Audits and/or reviews the effectiveness of its measures taken to develop procurement opportunities for suppliers at national and/or supranational levels?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to develop procurement opportunities for suppliers at national and/or supranational levels?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Data on amounts spent at national and supranational level compared to total procurement, across successive time periods and against targets, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Worker surveys</li> <li>• Mechanism for monitoring and evaluation of suppliers</li> <li>• Outcomes / minutes of review meeting with relevant working group / committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Evidence of actions or initiatives taken in response</li> <li>• Other relevant evidence</li> </ul> |
| <b>A.03 Collaborative Research and Development</b> |  |   |
| <b>A.03.1</b><br><br><b>Action</b>                 | <p><b>The company has systems in place to work collaboratively with producing country institutions on Research &amp; Development aimed at addressing priority socio-economic and environmental issues related to mining.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to work collaboratively with producing country institutions to:</i></p> <ol style="list-style-type: none"> <li>Identify R&amp;D priorities to address socio-economic and environmental impacts of mining within producing countries?</li> <li>Develop R&amp;D programmes to address these priorities?</li> <li>Track the implementation of these R&amp;D programmes?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant toolbox, toolkits or guidelines</li> <li>• Relevant checklist, guidelines, management standards</li> <li>• Relevant detailed description of approach / process</li> <li>• Relevant operating procedures</li> <li>• Information on skills development efforts within context of national development</li> <li>• Other relevant evidence</li> </ul>  |

| <b>A.04 Enhancing the National Skills Base</b> |  |  |
|--|--|--|
| <b>A.04.1</b><br><b>Action</b>                 | <p><b>The company has systems in place to ensure its operations support STEM education and technical/vocational skills development among the wider population in producing countries, through partnerships with in-country institutions.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>a. Support STEM education among the wider population in collaboration with in-country institutions?</li> <li>b. Support technical/vocational skills development among the wider population in collaboration with in-country institutions?</li> <li>c. Demonstrate alignment of their skills development efforts with the national skills development agenda?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant toolbox, toolkits or guidelines</li> <li>• Relevant checklist, guidelines, management standards</li> <li>• Relevant detailed description of approach / process</li> <li>• Relevant operating procedures</li> <li>• Information on skills development efforts within context of national development</li> <li>• Other relevant evidence</li> </ul> |
| <b>A.04.2</b><br><b>Action</b>                 | <p><b>The company has systems in place to ensure its operations support technical and managerial skills development of its local workforces in producing countries.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>a. Has systems in place to ensure its operations support technical skills development of its local workforces in producing countries?</li> <li>b. Has systems in place to ensure its operations support managerial skills development of its local workforces in producing countries?</li> <li>c. Systematically tracks the implementation of their skills development programmes?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant toolbox, toolkits or guidelines</li> <li>• Relevant checklist, guidelines, management standards</li> <li>• Relevant detailed description of approach / process</li> <li>• Number of operations where skills development programmes have been implemented and statuses of these programmes</li> <li>• Other relevant evidence</li> </ul>           |

## B Business Conduct



### B.01 Business Ethics and Anti-Bribery and Corruption

|  |   |  |
|--|---|--|
| <p><b>B.01.1</b><br/>Commitment</p>    | <p><b>The company commits to prevent all direct and indirect forms of bribery and corruption.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to prevent all direct and indirect forms of bribery and corruption?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>   | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>Formalised policy endorsed by senior management</li> <li>Statement in a formalised company document (e.g. code of practice, code of conduct, set of principles, management systems, standards, specific guidelines or framework, ...) endorsed by senior management, or explicitly referred to in another document endorsed by senior management</li> <li>Detailed information (e.g. Terms of Reference) on specific senior-management-level individuals/teams/sub-committees, including description of responsibilities and scope</li> <li>Company operating procedures including senior management responsibilities</li> <li>Established working group / sub-committee / department / task force responsible for the implementation of the commitment</li> <li>Relevant staff job descriptions</li> <li>Detailed information (e.g. Terms of Reference) on mandates for external advice</li> <li>Detailed information on relevant activities (trainings, workshops, awareness-raising initiatives...)</li> <li>Other relevant evidence</li> </ul> |
| <p><b>B.01.2</b><br/>Effectiveness</p> | <p><b>The company tracks, reviews and acts to improve its performance on anti-bribery and corruption.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its prevention of bribery and corruption, including number and nature of incidents and actions taken in response?</li> <li>Audits and/or reviews the effectiveness of its measures taken to prevent all direct and indirect forms of bribery and corruption?</li> <li>Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to prevent all direct and indirect forms of bribery and corruption?</li> </ol> | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>Number and nature of incidents across successive time periods, and actions taken in response, throughout company's operations</li> <li>External or internal audits / reviews / evaluations / inspections</li> <li>Information on spot / regular checks</li> <li>Worker surveys</li> <li>Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>Revised company-wide strategy / management structure / etc.</li> <li>Time-bound action plans developed in response</li> <li>Detailed information on actions / initiatives taken in response</li> <li>Other relevant evidence</li> </ul>   |

|   |  |  |
|---|--|--|
| <p><b>B.01.3</b><br/>Effectiveness</p>                                      | <p><b>The company tracks, reviews and acts to improve the effectiveness of its whistleblowing mechanisms for reporting concerns about unethical behaviour.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on the functioning and uptake of its whistleblowing mechanisms, including number and nature of incidents and actions taken in response?</li> <li>Audits and/or reviews the effectiveness of its whistleblowing mechanisms?</li> <li>Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve the effectiveness of its whistleblowing mechanisms?</li> </ol>            | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Number and nature of incidents across successive time periods, and actions taken in response, throughout company's operations</li> <li>• External or internal audits / review / evaluation / inspections</li> <li>• Information on spot / regular checks</li> <li>• Worker surveys</li> <li>• Outcomes/minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Evidence of actions or initiatives taken in response</li> <li>• Other relevant evidence</li> </ul>  |
| <p><b>B.02 Board and Senior Management Accountability and Diversity</b></p> |  |  |
| <p><b>B.02.1</b><br/>Action</p>   | <p><b>The company has systems in place to hold individual board directors and senior managers accountable for responsible business conduct on ESG issues.</b></p> <p><i>Can your company demonstrate at the corporate level that it has taken specific measures to ensure that:</i></p> <ol style="list-style-type: none"> <li>Clear roles and responsibilities are defined for individual board directors and senior managers for responsible business conduct on ESG issues?</li> <li>Competency requirements are in place for key senior management and board-level positions responsible for ESG issues?</li> <li>Individual board directors and senior managers responsible for such performance are held accountable via documented measures?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Terms of Reference of relevant board-level committee/sub-committee with details on ESG scope</li> <li>• Details on ESG responsibilities of board members and senior managers</li> <li>• ESG functions in organisation chart</li> <li>• Details on appointment requirements (experience, qualifications, ...)</li> <li>• Training programme for board-level and senior positions responsible for ESG issues</li> <li>• Metrics for Bonus Share Plan that covers ESG issues</li> <li>• Key Performance Indicators/Incentives/ Penalties for board-level and senior positions responsible for ESG issues</li> <li>• Annual incentive programme</li> <li>• Data on actual implementation and outcomes of such programmes/metrics</li> <li>• Other relevant evidence</li> </ul> |
| <p><b>B.02.2</b><br/>Effectiveness</p>                                      | <p><b>The company tracks, reviews and acts to improve its gender balance at board and senior management levels.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on the percentage of women at board and senior management levels?</li> <li>Audits and/or reviews the effectiveness of its interventions (programmes, initiatives, etc) to improve gender balance at senior management level?</li> <li>Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve its gender balance at senior management level?</li> </ol>                                      | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Percentage of women at board and senior management levels, across successive time periods and against targets</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Worker surveys</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul>   |

| <b>B.03 Contracts Disclosure</b>   |  |   |
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| <b>B.03.1</b><br><br><b>Action</b> | <p><b>The company publicly discloses all the legal titles that grant it the rights to extract mineral resources on its mine sites.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Publicly discloses all the legal titles (e.g. contracts, permits, licences, leases, conventions, agreements) that grant it the rights to extract mineral resources on its mine sites?</li> <li>Makes these documents freely available on its corporate website?</li> <li>Publicly discloses these documents as full-text documents without redactions or omissions?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• <i>Contracts, permits, licences, leases, conventions, agreements, other mining titles for all mine sites</i></li> <li>• <i>Centralised open repository / data library on company website</i></li> <li>• <i>Full-text documents</i></li> <li>• <i>Annexes</i></li> <li>• <i>Amendments, updates, associated documents and agreements</i></li> <li>• <i>Other relevant evidence</i></li> </ul>  |
| <b>B.04 Tax Transparency</b>       |  |   |
| <b>B.04.1</b><br><br><b>Action</b> | <p><b>The company practices tax transparency in all its tax jurisdictions.</b></p> <p><i>Can your company demonstrate at the corporate level that it publicly:</i></p> <ol style="list-style-type: none"> <li>Discloses its corporate structure mentioning all tax jurisdictions where it has registered entity(ies) and under what names (e.g. those of subsidiary or branch entities) it is known in that place?</li> <li>Reports on its approach to tax transparency, including its strategy relating to its presence in any low-tax jurisdictions?</li> <li>Discloses all tax benefits and tax holidays received at local and national levels in all tax jurisdictions where it has registered entity(ies)?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• <i>Names and countries of registration of all entities and subsidiaries</i></li> <li>• <i>Information on wholly and partly-owned entities (details on ownership and control)</i></li> <li>• <i>Tax Management policy</i></li> <li>• <i>Tax strategy</i></li> <li>• <i>Report on tax approach and tax transparency in producing and non-producing jurisdictions</i></li> <li>• <i>Data on financial assistance from governments</i></li> <li>• <i>Data on tax benefits and holidays received disaggregated by jurisdictions and government level</i></li> <li>• <i>Information on producing countries and non-producing jurisdictions</i></li> <li>• <i>Other relevant evidence</i></li> </ul> |
| <b>B.05 Beneficial Ownership</b>   |  |   |
| <b>B.05.1</b><br><br><b>Action</b> | <p><b>The company publicly discloses its ultimate beneficial owners.</b></p> <p><i>Can your company demonstrate at the corporate level that it publicly:</i></p> <ol style="list-style-type: none"> <li>Discloses the names of the individuals that are its ultimate beneficial owner(s) (i.e. not only direct shareholders), specifying any threshold ownership level applied to this disclosure?</li> <li>Discloses how ownership is held and how control is exercised?</li> <li>Identifies any beneficiaries who are politically exposed persons and discloses regular updates of information?</li> </ol>   | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• <i>Details on any threshold ownership applied to owners publicly reported</i></li> <li>• <i>Names of all ultimate beneficial owners above the threshold ownership level</i></li> <li>• <i>Names and details on inside block-holders</i></li> <li>• <i>Details on ownership structure, shares and voting powers</i></li> <li>• <i>Details on linkages between individual beneficial owners and legal entities</i></li> <li>• <i>Details on political roles, exposure or relationships of ultimate beneficial owners</i></li> <li>• <i>Regular updates</i></li> <li>• <i>Other relevant evidence</i></li> </ul>   |



| <b>B.06 Payments to Producing Countries</b>      |  |   |
|--|--|---|
| <b>B.06.1</b><br><br><b>Action</b>               | <p><b>The company publicly discloses all payments it makes to sub-national and national governments, providing disaggregated data on a project-level basis.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Publicly discloses project-level disaggregated information on all the payments made to sub-national and national governments?</li> <li>Makes this information freely available on its corporate website?</li> <li>Updates this information on a yearly basis?</li> </ol>                 | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Data on payments to governments disaggregated by project</li> <li>• Data on payments to governments disaggregated by government level and category</li> <li>• Centralised open repository / data library on company website</li> <li>• Yearly updates / comparison with previous years</li> <li>• Open access to previous datasets and reports</li> <li>• Other relevant evidence</li> </ul>    |
| <b>B.07 Lobbying Practices</b>                   |  |   |
| <b>B.07.1</b><br><br><b>Action</b>               | <p><b>Where applicable, the company publicly discloses its lobbying practices and positions in all jurisdictions.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it publicly:</i></p> <ol style="list-style-type: none"> <li>Discloses the roles and responsibilities for those involved in its lobbying activities in all jurisdictions?</li> <li>Discloses the subject matter of its lobbying activities and the outcomes being sought?</li> <li>Discloses the names of public officials or institutions being engaged?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Roles and responsibilities of those involved in lobbying activities</li> <li>• Centralised repository of lobbying activities</li> <li>• Subject matter of lobbying activities and outcomes being sought</li> <li>• Centralised repository of lobbying activities</li> <li>• Names of officials and institutions engaged</li> <li>• Other relevant evidence</li> </ul>                           |
| <b>B.08 Responsible Contracting and Sourcing</b> |  |   |
| <b>B.08.1</b><br><br><b>Action</b>               | <p><b>The company has systems in place to identify and assess any human rights, labour and environmental risks associated with its suppliers and contractors.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to identify and assess risks related to its suppliers and contractors on:</i></p> <ol style="list-style-type: none"> <li>Human rights issues?</li> <li>Labour issues?</li> <li>Environmental issues?</li> </ol>   | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant operating procedures</li> <li>• Relevant due diligence checklist, guidelines, management standards</li> <li>• Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>• Detailed description of approach / process to identify and assess risks</li> <li>• Other relevant evidence</li> </ul> |

## C Lifecycle Management



### C.01 Mine Lifecycle Management

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|-------------------------------------|---|--|
| <p><b>C.01.1</b><br/>Commitment</p> | <p><b>The company commits to adopt a lifecycle approach throughout the project development and operational phases of its operations.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to adopt a lifecycle approach throughout the project development and operational phases of its operations?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Formalised policy endorsed by senior management</li> <li>Statement in a formalised company document (e.g. code of practice, code of conduct, set of principles, management systems, standards, specific guidelines or framework, ...) endorsed by senior management, or explicitly referred to in another document endorsed by senior management</li> <li>Detailed information (e.g. Terms of Reference) on specific senior-management-level individuals/teams/sub-committees, including description of responsibilities and scope</li> <li>Company operating procedures including senior management responsibilities</li> <li>Established working group / sub-committee / department / task force responsible for the implementation of the commitment</li> <li>Relevant staff job descriptions</li> <li>Detailed information (e.g. Terms of Reference) on mandates for external advice</li> <li>Detailed information on relevant activities (trainings, workshops, other initiatives...)</li> <li>Other relevant evidence</li> </ul> |
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### C.02 Project Approval Process

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|---------------------------------|---|--|
| <p><b>C.02.1</b><br/>Action</p> | <p><b>The company has systems in place to integrate ESG criteria into the stage-gating process in investment decision-making.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to:</i></p> <ol style="list-style-type: none"> <li>Identify ESG criteria to be met during each stage of its investment decision-making processes?</li> <li>Apply these identified ESG criteria during each stage of its investment decision-making processes?</li> <li>Ensure appropriately qualified personnel are responsible for applying these identified ESG criteria in investment decision-making process?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Relevant assessment toolbox, toolkits or guidelines</li> <li>Relevant operating procedures</li> <li>Relevant due diligence checklist, guidelines, management standards</li> <li>Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>Detailed description of approach / process</li> <li>Management procedure for investment decision</li> <li>Terms of Reference of committees responsible for investment decision</li> <li>Other relevant evidence</li> </ul> |
|---------------------------------|---|--|

| <b>C.03 Mine Closure and Post-Closure Viability</b> |  |   |
|---|--|---|
| <b>C.03.1</b><br><b>Action</b>                      | <p><b>The company has systems in place to ensure its operations manage post-closure transition for affected communities, to seek to ensure continued viability of their livelihoods.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Identify, from the earliest stage and in consultation with local stakeholders, the impacts their closure will have on affected communities?</li> <li>Develop post-closure transition management plans from the earliest stage and in consultation with local stakeholders, aimed at ensuring continued livelihood viability for affected communities?</li> <li>Consider post-mining land-use opportunities in the development of these management plans?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant operating procedures</li> <li>• Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>• Detailed description of approach / process</li> <li>• Relevant management procedure</li> <li>• Other relevant evidence</li> </ul>   |
| <b>C.03.2</b><br><b>Action</b>                      | <p><b>The company has systems in place to ensure its operations plan for post-closure just transition for workers.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Identify, from the earliest stage, the impacts their closure will have for workers?</li> <li>Develop post-closure transition management plans, from the earliest stage, ensuring continued livelihood viability for workers?</li> <li>Develop partnerships with government, other industries or companies to address workers' livelihood needs?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant operating procedures</li> <li>• Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>• Detailed description of approach / process</li> <li>• Relevant management guidelines, standard</li> <li>• Other relevant evidence</li> </ul>  |
| <b>C.03.3</b><br><b>Effectiveness</b>               | <p><b>The company tracks, reviews and acts to improve its performance on progressive mine rehabilitation.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its implementation of progressive rehabilitation plans throughout its operations?</li> <li>Audits and/or reviews its performance on progressive mine rehabilitation?</li> <li>Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve its performance on progressive mine rehabilitation?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Tracking data on the implementation of progressive rehabilitation plans, across successive time periods, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul> |

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| <p><b>C.03.4</b></p> <p><b>Action</b></p>                            | <p><b>The company publicly discloses financial surety arrangements for socio-economic liabilities related to mine closure and post-closure.</b></p> <p><i>Can your company demonstrate that it publicly:</i></p> <ol style="list-style-type: none"> <li>Discloses financial surety arrangements for the closure of all its operations, related to workers and communities?</li> <li>Discloses financial arrangements to ensure coverage of longer-term socio-economic aspects of post-closure?</li> <li>Discloses this information on a project-disaggregated basis?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Financial surety arrangements for mine closure and post-closure liabilities, related to workers and communities</li> <li>Financial surety arrangements for mine closure and post-closure liabilities, related to workers and communities that cover socio-economic aspects</li> <li>Financial surety arrangements are disaggregated by mine sites</li> <li>Other relevant evidence</li> </ul> |
| <p><b>C.04 Mergers, Acquisitions and Disposals Due Diligence</b></p> |   |   |
| <p><b>C.04.1</b></p> <p><b>Action</b></p>                            | <p><b>The company has systems in place to identify and assess potential ESG risks, including human rights risks, associated with mergers, acquisitions and disposals.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its due diligence on mergers, acquisitions and disposals covers:</i></p> <ol style="list-style-type: none"> <li>Salient environmental issues?</li> <li>Salient social and human rights issues?</li> <li>Salient governance issues?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Relevant assessment toolbox, toolkits or guidelines</li> <li>Relevant operating procedures</li> <li>Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>Relevant due diligence checklist, guidelines, management standards</li> <li>Other evidence</li> </ul>   |

## D Community Wellbeing



### D.01 Human Rights

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|-------------------------------------|--|--|
| <p><b>D.01.1</b><br/>Commitment</p> | <p><b>The company commits to respect human rights, in accordance with the UN Guiding Principles on Business and Human Rights.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to respect human rights in accordance with the UNGPs?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Formalised policy endorsed by senior management</li> <li>Statement in a formalised company document (e.g. code of practice, code of conduct, set of principles, management systems, standards, specific guidelines or framework, ...) endorsed by senior management, or explicitly referred to in another document endorsed by senior management</li> <li>Detailed information (e.g. Terms of Reference) on specific senior-management-level individuals/teams/sub-committees, including description of responsibilities and scope</li> <li>Company operating procedures including senior management responsibilities</li> <li>Established working group / sub-committee / department / task force responsible for the implementation of the commitment</li> <li>Relevant staff job descriptions</li> <li>Detailed information (e.g. Terms of Reference) on mandates for external advice</li> <li>Detailed information on relevant activities (trainings, workshops, awareness-raising initiatives...)</li> <li>Other relevant evidence</li> </ul> |
| <p><b>D.01.2</b><br/>Action</p>     | <p><b>The company has systems in place, in accordance with the UN Guiding Principles on Business and Human Rights, to carry out regular human rights due diligence across all its operations, to assess and address human rights risks.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations identify and assess salient impacts of their activities on human rights?</li> <li>Has systems in place to ensure its operations develop strategies and plans to prevent, mitigate and account for how they address these identified impacts?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Relevant assessment toolbox, toolkits or guidelines</li> <li>Relevant operating procedures</li> <li>Human rights due diligence checklist, guidelines, management standards</li> <li>Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>Detailed description of approach / process to identify and assess impacts</li> <li>Relevant toolbox, toolkits on impact mitigation</li> <li>Relevant strategy documents of impact prevention and mitigation</li> <li>Number of operations where strategies and plans have been implemented and statuses of these implementation processes</li> <li>Other relevant evidence</li> </ul>  |

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| <p><b>D.01.3</b><br/><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on the management of human rights issues.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on managing human rights issues, including mine-site-disaggregated data on the implementation of human rights due diligence processes?</li> <li>Audits and/or reviews its performance on managing human rights issues?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve its performance on managing human rights issues?</li> </ol> | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Number of mine-sites where human rights due diligence processes are implemented and statuses of these processes, across successive time period, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Data on surprise / regular checks</li> <li>• Outcomes / results of community surveys</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul>   |
| <p><b>D.01.4</b><br/><b>Commitment</b></p>    | <p><b>The company commits to respect the rights and protections accorded to human rights defenders in its areas of operations.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to respect the rights and protections accorded to human rights defenders in its areas of operations?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>   | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Formalised policy endorsed by senior management</li> <li>• Statement in a formalised company document (e.g. code of practice, code of conduct, set of principles, management systems, standards, specific guidelines or framework, ...) endorsed by senior management, or explicitly referred to in another document endorsed by senior management</li> <li>• Detailed information (e.g. Terms of Reference) on specific senior-management-level individuals/teams/sub-committees, including description of responsibilities and scope</li> <li>• Company operating procedures including senior management responsibilities</li> <li>• Established working group / sub-committee / department / task force responsible for the implementation of the commitment</li> <li>• Relevant staff job descriptions</li> <li>• Detailed information (e.g. Terms of Reference) on mandates for external advice</li> <li>• Detailed information on relevant activities (trainings, workshops, awareness-raising initiatives...)</li> <li>• Other relevant evidence</li> </ul> |

| <b>D.02 Security and Conflict-Affected Areas</b> |  |   |
|--|--|---|
| <b>D.02.1</b><br><b>Effectiveness</b>            | <p><b>The company tracks, reviews and acts to improve its performance on preventing and remedying human rights abuses related to its security management, in line with the Voluntary Principles on Security and Human Rights.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on preventing and remedying human rights abuses related to its security management?</li> <li>Audits and/or reviews the effectiveness of its measures taken to prevent and remedy human rights abuses related to its security management?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to prevent and remedy human rights abuses related to its security management?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Number and nature of incidents related to security management, and remedies provided, across successive time periods, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Outcomes / results of community surveys</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul> |
| <b>D.02.2</b><br><b>Action</b>                   | <p><b>Where applicable, the company has systems in place to ensure its operations identify and assess risks for workers and communities associated with the operations' presence in any conflict-affected and high-risk areas, and design and implement strategies to address identified risks.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations identify and assess risks for workers and communities associated with their presence in any conflict-affected and high-risk areas?</li> <li>Has systems in place to ensure its operations develop strategies and plans to address these identified risks?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant operating procedures</li> <li>• Relevant due diligence checklist, guidelines, management standards</li> <li>• Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>• Detailed description of approach / process to identify and assess risks</li> <li>• Relevant toolbox, toolkits on impact mitigation</li> <li>• Relevant management guidelines, standard</li> <li>• Number of operations where strategies and plans have been implemented and statuses of these implementation processes</li> <li>• Other relevant evidence</li> </ul>  |

| <b>D.03 Community and Stakeholder Engagement</b> |   |   |
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| <b>D.03.1</b><br><br><b>Action</b>               | <p><b>The company has systems in place to ensure its operations take specific measures to enable the participation of women, youth and persons with disabilities in discussions and decision-making on matters that may impact them.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations take specific measures to enable the participation of:</i></p> <ol style="list-style-type: none"> <li>Women in discussions and decision-making on matters that may impact them?</li> <li>Youth in discussions and decision-making on matters that may impact them?</li> <li>Persons with disabilities in discussions and decision-making on matters that may impact them?</li> </ol>         | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant toolbox, toolkits, guidelines, operating procedures</li> <li>• Detailed description of approach / process</li> <li>• Other relevant evidence</li> </ul>  |
| <b>D.03.2</b><br><br><b>Effectiveness</b>        | <p><b>The company tracks, reviews and acts to improve the quality of its relationships with affected communities.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on the quality of its relationships with affected communities?</li> <li>Audits and/or reviews the effectiveness of its measures taken to build and maintain trust-based relationships with affected communities?</li> <li>Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures to build and maintain trust-based relationships with affected communities?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Results, statistics from opinion and perception surveys, throughout company's operations</li> <li>• Outcomes from community relationship monitoring programmes, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Outcomes / results of community surveys</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul> |
| <b>D.04 Economic and Social Viability</b>        |   |   |
| <b>D.04.1</b><br><br><b>Action</b>               | <p><b>The company has systems in place to ensure its operations encourage local entrepreneurship and support local business development, including for women.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations develop strategies and plans to develop local entrepreneurship and businesses?</li> <li>Has systems in place to ensure its operations actively include women in these strategies and plans?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>   | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant management guidelines, standard</li> <li>• Relevant operating procedures</li> <li>• Number of operations where strategies and plans have been implemented and statuses of these implementation processes</li> <li>• Other relevant evidence</li> </ul>  |



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| <p><b>D.04.2</b></p> <p><b>Action</b></p>        | <p><b>The company has systems in place to ensure its operations develop local procurement opportunities, including for women.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations develop strategies and plans to develop local procurement opportunities?</li> <li>Has systems in place to ensure its operations actively include women in these strategies and plans?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>  | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>Relevant assessment toolbox, toolkits or guidelines</li> <li>Relevant management guidelines, standard</li> <li>Relevant operating procedures</li> <li>Number of operations where strategies and plans have been implemented and statuses of these implementation processes</li> <li>Other relevant evidence</li> </ul>  |
| <p><b>D.04.3</b></p> <p><b>Action</b></p>        | <p><b>The company has systems in place to ensure its operations conduct and disclose regular assessments of the impacts of their activities on women, youth and children.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Conduct and disclose regular assessment of the impacts of their activities on women?</li> <li>Conduct and disclose regular assessment of the impacts of their activities on youth?</li> <li>Conduct and disclose regular assessment of the impacts of their activities on children?</li> </ol>   | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>Relevant assessment toolbox, toolkits guidelines operating procedures</li> <li>Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>Detailed description of approach / process</li> <li>Other relevant evidence</li> </ul>   |
| <p><b>D.04.4</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve its performance on managing the socio-economic impacts of its activities in affected communities.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on managing the socio-economic impacts of its activities in affected communities?</li> <li>Audits and/or reviews the effectiveness of its measures taken to manage the socio-economic impacts of its activities in affected communities?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to manage the socio-economic impacts of its activities in affected communities?</li> </ol> | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>Monitoring data on socio-economic indicators (employment opportunities, procurement opportunities, business development, skills development, influx of population, mine-site rehabilitation, gender empowerment, health and safety impacts, social disruption, etc) across successive time periods, throughout company's operations</li> <li>External or internal audits / reviews / evaluations / inspections</li> <li>Information on spot / regular checks</li> <li>Outcomes / results of community surveys</li> <li>Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>Revised company-wide strategy / management structure / etc.</li> <li>Time-bound action plans developed in response</li> <li>Detailed information on actions / initiatives taken in response</li> <li>Other relevant evidence</li> </ul> |

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| <b>D.05 Land Use</b>                  |   |  |
| <b>D.05.1</b><br><b>Action</b>        | <p>The company has systems in place to ensure its operations identify and assess their adverse impacts on land use and access to land by affected communities, and to design and implement strategies and plans to minimise and mitigate these adverse impacts.</p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations identify and assess their adverse impacts on land use and access to land by affected communities?</li> <li>Has systems in place to ensure its operations develop strategies and plans to minimise and mitigate these adverse impacts?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant operating procedures</li> <li>• Relevant due diligence checklist, guidelines, management standards</li> <li>• Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>• Detailed description of approach / process to identify and assess impacts on land use and access to land by affected communities</li> <li>• Relevant toolbox, toolkits on impact mitigation</li> <li>• Detailed description of approach / process</li> <li>• Relevant strategy documents of impact prevention and mitigation</li> <li>• Number of operations where strategies and plans have been implemented and statuses of these implementation processes</li> <li>• Other relevant evidence</li> </ul> |
| <b>D.06 Community Health</b>          |   |  |
| <b>D.06.1</b><br><b>Action</b>        | <p>The company has systems in place to ensure its operations conduct and disclose regular assessments of their impacts on community health, and to implement management plans to address these impacts.</p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations conduct and disclose regular assessments of their impacts on community health?</li> <li>Has systems in place to ensure its operations develop strategies and plans to address these impacts?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant operating procedures</li> <li>• Relevant due diligence checklist, guidelines, management standards</li> <li>• Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>• Detailed description of approach / process</li> <li>• Relevant toolbox, toolkits on impact mitigation</li> <li>• Relevant strategy documents of impact prevention and mitigation</li> <li>• Number of operations where strategies and plans have been implemented and statuses of these implementation processes</li> <li>• Other relevant evidence</li> </ul>   |
| <b>D.07 Gender Equity</b>             |   |  |
| <b>D.07.1</b><br><b>Effectiveness</b> | <p>The company tracks, reviews and acts to improve its performance on managing any impacts of its activities on women.</p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on managing the impacts of its activities on women?</li> <li>Audits and/or reviews the effectiveness of its measures taken to manage the impacts of its activities on women?</li> <li>Takes responsive action, on the basis of the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to manage the impacts of its activities on women?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Results / outcomes of impact assessments on women, across successive time periods, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Outcomes / results of community surveys</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul>   |

| <b>D.08 Indigenous Peoples</b>            |  |   |
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| <b>D.08.1</b><br><br><b>Action</b>        | <p><b>Where applicable, the company has systems in place to ensure its operations design and implement, through inclusive participation, strategies and plans to respect the rights, interests, and needs of Indigenous Peoples potentially affected by its operations.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>a. Identify, through inclusive participation, all Indigenous Peoples potentially affected by current and planned mines and associated facilities?</li> <li>b. Identify, through inclusive participation, the rights, interests and needs of these Indigenous Peoples?</li> <li>c. Develop and implement strategies and plans, through inclusive participation, to respect the rights, interests and needs of these Indigenous Peoples?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant operating procedures</li> <li>• Relevant checklists, guidelines, management standards</li> <li>• Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>• Detailed description of approach / process</li> <li>• Relevant toolbox, toolkits on impact mitigation</li> <li>• Relevant due diligence checklist, guidelines, management standards</li> <li>• Other relevant evidence</li> </ul>  |
| <b>D.08.2</b><br><br><b>Effectiveness</b> | <p><b>Where applicable, the company tracks, reviews and acts to improve its performance on respecting the rights and aspirations of Indigenous Peoples and avoiding adverse impacts of their activities.</b></p> <p><i>Where applicable, can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>a. Tracks and discloses data, across successive time periods, on its performance on respecting the rights and aspirations of, and avoiding adverse impacts of its activities on, any Indigenous Peoples potentially affected by current and planned mines and associated facilities?</li> <li>b. Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to respect the rights and aspirations of, and avoid adverse impacts of its activities on, all Indigenous Peoples potentially affected by current and planned mines and associated facilities?</li> <li>c. Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve its performance on respecting the rights and aspirations of, and avoiding adverse impacts of its activities on, any Indigenous Peoples potentially affected by current and planned mines and associated facilities?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Tracking data across successive time periods based on agreements signed with Indigenous People, throughout company's operations</li> <li>• Monitoring data on Key Performance Indicators developed with Indigenous People, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Outcomes / results of community surveys</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant</li> </ul> |

| <b>D.09 Free, Prior and Informed Consent</b> |  |
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| <b>D.09.1</b><br><b>Commitment</b>           | <p><b>The company commits to respect the right of Indigenous Peoples to Free, Prior and Informed Consent (FPIC), and to support the extension of the principle of FPIC to other project-affected groups.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to respect the rights of Indigenous Peoples to FPIC and to support the extension of the principle of FPIC to other project-affected groups?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>   |
|  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Formalised policy endorsed by senior management</li> <li>Statement in a formalised company document (e.g. code of practice, code of conduct, set of principles, management systems, standards, specific guidelines or framework, ...) endorsed by senior management, or explicitly referred to in another document endorsed by senior management</li> <li>Detailed information (e.g. Terms of Reference) on specific senior-management-level individuals/teams/sub-committees, including description of responsibilities and scope</li> <li>Company operating procedures including senior management responsibilities</li> <li>Established working group / sub-committee / department / task force responsible for the implementation of the commitment</li> <li>Relevant staff job descriptions</li> <li>Detailed information (e.g. Terms of Reference) on mandates for external advice</li> <li>Detailed information on relevant activities (trainings, workshops, awareness-raising initiatives...)</li> <li>Other relevant evidence</li> </ul> |
| <b>D.10 Displacement and Resettlement</b>    |  |
| <b>D.10.1</b><br><b>Action</b>               | <p><b>Where applicable, the company has systems in place to ensure its operations identify and assess the potential impacts of the involuntary physical and/or economic displacement of project-affected people, and to design and implement strategies and plans to avoid, minimise and mitigate identified impacts.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Assess the potential impacts of the involuntary physical and/or economic displacement of project-affected people?</li> <li>Develop strategies and plans to avoid, minimise and mitigate negative impacts?</li> <li>Involve project-affected people in the assessment of impacts and in the development of strategies to manage these impacts?</li> </ol>   |
|  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Relevant assessment toolbox, toolkits or guidelines</li> <li>Relevant operating procedures</li> <li>Relevant due diligence checklist, guidelines, management standards</li> <li>Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>Detailed description of approach / process</li> <li>Relevant toolbox, toolkits on impact mitigation</li> <li>Relevant strategy documents of impact prevention and mitigation</li> <li>Impact assessments and plans and strategies involve project-affected people</li> <li>Other relevant evidence</li> </ul>  |

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| <p><b>D.10.2</b><br/><b>Effectiveness</b></p>       | <p><b>Where applicable, the company tracks, reviews and acts to improve its performance on ensuring that livelihoods are improved or restored following any involuntary resettlement.</b></p> <p><i>Where applicable, can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on its performance on ensuring that livelihoods are improved or restored following any involuntary resettlement?</li> <li>Audits and/or reviews the effectiveness of its measures taken to manage involuntary resettlement in a manner that ensures that livelihoods are improved or restored?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to manage involuntary resettlement in a manner that ensures that livelihoods are improved or restored?</li> </ol> | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>Monitoring data, against targets and across successive time periods, on restoration / improvement of livelihoods following involuntary resettlement, throughout company's operations</li> <li>Community survey outcomes after resettlement, against targets and across successive time periods, throughout company's operations</li> <li>External or internal audits / reviews / evaluations / inspections</li> <li>Information on spot / regular checks</li> <li>Outcomes / results of community surveys</li> <li>Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>Revised company-wide strategy / management structure / etc.</li> <li>Time-bound action plans developed in response</li> <li>Detailed information on actions / initiatives taken in response</li> <li>Other relevant evidence</li> </ul> |
| <p><b>D.11 Artisanal and Small-Scale Mining</b></p> |  |   |
| <p><b>D.11.1</b><br/><b>Action</b></p>              | <p><b>Where applicable, the company has systems in place to ensure its operations facilitate engagement with artisanal and small-scale mining (ASM) communities and activities in and around their operations.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations identify and map stakeholders operating in ASM activities around its operations?</li> <li>Has systems in place to ensure its operations develop strategies and plans to engage with identified stakeholders, including through the establishment of engagement agreements where appropriate?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>  | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>Relevant assessment toolbox, toolkits or guidelines</li> <li>Relevant operating procedures</li> <li>Relevant due diligence checklist, guidelines, management standards</li> <li>Detailed description of approach / process</li> <li>Relevant toolbox, toolkits, guidelines on the establishment of engagement agreements</li> <li>Number of operations where strategies and plans have been implemented and statuses of these implementation processes</li> <li>Tracking data on the number of engagement agreements established with stakeholders operating in ASM activities around its operations</li> <li>Other relevant evidence</li> </ul>  |

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| <p><b>D.11.2</b></p> <p><b>Action</b></p>        | <p><b>Where applicable, the company has systems in place to ensure its operations develop opportunities to support technical assistance programmes and/or alternative livelihood programmes for ASM miners in and around their operations.</b></p> <p><i>Where applicable, can your company demonstrate at the corporate that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Assess the need for, and feasibility of, providing technical and/or livelihood support to ASM miners?</li> <li>Develop strategies and plans according to these assessments?</li> <li>Engage with ASM miners in these needs assessments and in the development of any strategies and plans?</li> </ol>  | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant operating procedures</li> <li>• Relevant due diligence checklist, guidelines, management standards</li> <li>• Detailed description of approach / process</li> <li>• Relevant toolbox, toolkits, guidelines on the establishment of engagement agreements</li> <li>• Needs assessments and plans and strategies to involve ASM miners</li> <li>• Other relevant evidence</li> </ul>   |
| <p><b>D.12 Grievance and Remedy</b></p>          |   |  |
| <p><b>D.12.1</b></p> <p><b>Effectiveness</b></p> | <p><b>The company tracks, reviews and acts to improve the effectiveness of its grievance mechanisms for communities.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on the functioning and uptake of its grievance mechanisms for communities, including number and nature of complaints and actions taken in response?</li> <li>Audits and/or reviews, based on complainants' perspective, the effectiveness of its grievance mechanisms for communities?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its grievance mechanisms for communities?</li> </ol> | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Number and nature of complaints across successive time periods, and actions taken in response, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Outcomes / results of community surveys</li> <li>• Satisfaction survey results</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised grievance mechanism</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul> |

**E**

**Working Conditions**



**E.01 Occupational Health and Safety**

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| <p><b>E.01.1</b><br/><b>Commitment</b></p> | <p><b>The company commits to ensure safe and healthy working conditions.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to ensure safe and healthy working conditions?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>   | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>Formalised policy endorsed by senior management</li> <li>Statement in a formalised company document (e.g. code of practice, code of conduct, set of principles, management systems, standards, specific guidelines or framework, ...) endorsed by senior management, or explicitly referred to in another document endorsed by senior management</li> <li>Detailed information (e.g. Terms of Reference) on specific senior-management-level individuals/teams/ sub-committees, including description of responsibilities and scope</li> <li>Company operating procedures including senior management responsibilities</li> <li>Established working group / sub-committee / department / task force responsible for the implementation of the commitment</li> <li>Relevant staff job descriptions</li> <li>Detailed information (e.g. Terms of Reference) on mandates for external advice</li> <li>Detailed information on relevant activities (trainings, workshops, awareness-raising initiatives...)</li> <li>Other relevant evidence</li> </ul> |
| <p><b>E.01.2</b><br/><b>Action</b></p>     | <p><b>The company has systems in place to ensure its operations engage with worker representatives to collaboratively identify, assess and address health and safety risks to its workforce.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations engage with worker representatives to collaboratively:</i></p> <ol style="list-style-type: none"> <li>Identify and assess health and safety risks to the workforce?</li> <li>Develop strategies and plans to avoid, minimise and mitigate these risks?</li> <li>Track the implementation of these strategies and plans?</li> </ol> | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>Relevant assessment toolbox, toolkits or guidelines</li> <li>Relevant operating procedures, including joint health and safety committees</li> <li>Relevant due diligence checklist, guidelines, management standards</li> <li>Relevant risk assessments guidelines / frameworks / templates</li> <li>Detailed description of approach / process</li> <li>Relevant toolbox, toolkits on risks mitigation</li> <li>Relevant management guidelines, standard</li> <li>Strategy documents of risks prevention and mitigation</li> <li>Number of operations where strategies and plans have been implemented and statuses of these implementation processes</li> <li>Other relevant evidence</li> </ul>  |

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| <p><b>E.01.3</b></p> <p><b>Action</b></p>                        | <p><b>The company has systems in place to ensure its operations protect women workers from harassment and violence.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations take specific measures to prevent:</i></p> <ol style="list-style-type: none"> <li>Intimidation and moral harassment of women workers?</li> <li>Sexual harassment of women workers?</li> <li>Gender-related violence against women workers?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Relevant operating procedures, due diligence checklist, guidelines, management standards</li> <li>Relevant risk assessments guidelines / frameworks / templates</li> <li>Detailed description of approach / process</li> <li>Sexual harassment policy with implementation guidelines</li> <li>Specific gender-related standard</li> <li>Specific committee that addresses gender-related complaints or issues</li> <li>Other relevant evidence</li> </ul> |
| <p><b>E.01.4</b></p> <p><b>Action</b></p>                        | <p><b>The company has systems in place to ensure its operations address the health and safety needs of women workers.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations provide gender-appropriate:</i></p> <ol style="list-style-type: none"> <li>Sanitation facilities (e.g.: toilets, showers)?</li> <li>Safety equipment (e.g.: PPE designed for women)?</li> <li>Health services (e.g.: for family planning and sexual health)?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Relevant toolbox, toolkits, guidelines, operating procedures, management standards</li> <li>Other relevant evidence</li> </ul>  |
| <p><b>E.01.5</b></p> <p><b>Action</b></p>                        | <p><b>The company publicly discloses data on mining-related high potential incidents, serious injuries and fatalities among its workforce.</b></p> <p><i>Can your company demonstrate at the corporate level that it publicly:</i></p> <ol style="list-style-type: none"> <li>Discloses the number of mining-related high potential incidents, serious injuries and fatalities among its workforce, across successive time periods?</li> <li>Discloses such information on a site-disaggregated basis?</li> <li>Confirms that its fatalities reporting includes fatalities of contract workers as well as employees?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Number of mining related accidents, injuries and fatalities across successive time period</li> <li>Data disaggregated by mine site</li> <li>Data disaggregated by contract type</li> <li>Other relevant evidence</li> </ul>   |
| <p><b>E.02 Elimination of Forced Labour and Child Labour</b></p> |  |   |
| <p><b>E.02.1</b></p> <p><b>Action</b></p>                        | <p><b>The company has systems in place to identify and assess potential risks of all forms of forced, compulsory, trafficked and child labour in its areas of operations and entire supply chain, and to design and implement strategies to address identified risks.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to identify and assess potential risks of all forms of forced, compulsory, trafficked and child labour in its areas of operations and entire supply chain?</li> <li>Has systems in place to develop strategies and plans to address these identified risks?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Relevant assessment toolbox, toolkits or guidelines</li> <li>Relevant operating procedures</li> <li>Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>Detailed description of approach / process to identify and assess risks</li> <li>Number of operations where strategies and plans have been implemented and statuses of these implementation processes</li> <li>Other relevant evidence</li> </ul>                   |



|  |   |  |
|--|---|--|
| <b>E.03 Non-Discrimination and Equal Opportunity</b>                             |   |  |
| <b>E.03.1<br/>Action</b>   | <p>The company has systems in place to ensure its operations base their recruitment and employment practices on the principle of equal opportunity, in order to prevent all forms of discrimination in the workplace and promote workforce diversity.</p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Take specific measures to reflect its non-discrimination policies in their terms and conditions?</li> <li>Take specific measures to implement trainings to raise awareness of discrimination among management staff and workers or take other actions aiming at preventing and addressing issues of discrimination in the workplace?</li> <li>Set targets regarding diversity and inclusivity in its recruitment and employment practices?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Relevant toolbox, toolkits, guidelines, operating procedures</li> <li>Guidelines on implementation of non-discrimination policies</li> <li>Other relevant evidence</li> </ul>  |
| <b>E.04 Rights to Organise, Collective Bargaining and Freedom of Association</b> |   |  |
| <b>E.04.1<br/>Action</b>   | <p>The company has systems in place to ensure its operations actively respect the rights of workers to organise, collective bargaining and freedom of association.</p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations respect the rights of workers to:</i></p> <ol style="list-style-type: none"> <li>Organise, including by granting access to designated areas for labour organisers to meet with workers?</li> <li>Collective bargaining, including by developing formal collective bargaining agreements?</li> <li>Freedom of association, including by allowing union meetings on site?</li> </ol>   | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Relevant toolbox, toolkits, guidelines, operating procedures</li> <li>Guidelines on implementation of non-discrimination policies</li> <li>Other relevant evidence</li> </ul>  |
| <b>E.05 Living Wage</b>  |   |  |
| <b>E.05.1<br/>Effectiveness</b>  | <p>The company tracks, reviews and acts to improve its performance on ensuring that its workers' wages meet or exceed verified living wage standards, or legal minimum wage, whichever is the highest.</p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses the levels of its workers' wages against living wage standards, or legal minimum wage, whichever is the highest?</li> <li>Audits and/or reviews the levels of wages against living wage standards, or legal minimum wage, whichever is the highest?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve its performance on ensuring that its workers' wages meet or exceed living wage standards, or legal minimum wage, whichever is the highest?</li> </ol>                  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Level of worker's wages across successive time periods against living wage standards, throughout company's operations</li> <li>External or internal audits / reviews / evaluations / inspections</li> <li>Information on spot / regular checks</li> <li>Worker surveys</li> <li>Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>Revised company-wide strategy / management structure / etc.</li> <li>Time-bound action plans developed in response</li> <li>Detailed information on actions / initiatives taken in response</li> <li>Other relevant evidence</li> </ul> |

| <b>E.06 Collective Redundancy Management</b> |   |  |
|--|---|--|
| <b>E.06.1</b><br><b>Commitment</b>           | <p><b>The company commits to minimise and mitigate collective redundancies in the event of downsizing, interruption of operations, or automation/technological change, including through worker engagement.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to minimise and mitigate collective redundancies in the event of downsizing, interruption of operations, or automation/technological change, including through worker engagement?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Formalised policy endorsed by senior management</li> <li>Statement in a formalised company document (e.g. code of practice, code of conduct, set of principles, management systems, standards, specific guidelines or framework, ...) endorsed by senior management, or explicitly referred to in another document endorsed by senior management</li> <li>Detailed information (e.g. Terms of Reference) on specific senior-management-level individuals/teams/sub-committees, including description of responsibilities and scope</li> <li>Company operating procedures including senior management responsibilities</li> <li>Established working group / sub-committee / department / task force responsible for the implementation of the commitment</li> <li>Relevant staff job descriptions</li> <li>Detailed information (e.g. Terms of Reference) on mandates for external advice</li> <li>Detailed information on relevant activities (trainings, workshops, other initiatives...)</li> <li>Other relevant evidence</li> </ul> |
| <b>E.07 Worker Recourse</b>                  |   |  |
| <b>E.07.1</b><br><b>Effectiveness</b>        | <p><b>The company tracks, reviews and acts to improve the effectiveness of its grievance mechanisms for workers.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on the functioning and uptake of its grievance mechanisms for workers, including number and nature of complaints and actions taken in response?</li> <li>Audits and/or reviews, based on complainants' perspective, the effectiveness of its grievance mechanisms for workers?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews to seek to improve the effectiveness of its grievance mechanisms for workers?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>Number and nature of complaints raised by workers, and actions taken in response, across successive time periods, throughout company's operation</li> <li>External or internal audits / review / evaluation / inspections</li> <li>Information on spot / regular checks</li> <li>Worker surveys</li> <li>Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>Revised company-wide strategy / management structure / etc.</li> <li>Revised grievance mechanism</li> <li>Time-bound action plans developed in response</li> <li>Detailed information on actions / initiatives taken in response</li> <li>Other relevant evidence</li> </ul>   |

## F Environmental Responsibility



### F.01 Environmental Stewardship

|                                     |   |  |
|-------------------------------------|---|--|
| <p><b>F.01.1</b><br/>Commitment</p> | <p><b>The company commits to manage its environmental impacts systematically, through the mitigation hierarchy approach.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to manage its environmental impacts systematically, through the mitigation hierarchy approach?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>   | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>Formalised policy endorsed by senior management</li> <li>Statement in a formalised company document (e.g. code of practice, code of conduct, set of principles, management systems, standards, specific guidelines or framework, ...) endorsed by senior management, or explicitly referred to in another document endorsed by senior management</li> <li>Detailed information (e.g. Terms of Reference) on specific senior-management-level individuals/teams/sub-committees, including description of responsibilities and scope</li> <li>Company operating procedures including senior management responsibilities</li> <li>Established working group / sub-committee / department / task force responsible for the implementation of the commitment</li> <li>Relevant staff job descriptions</li> <li>Detailed information (e.g. Terms of Reference) on mandates for external advice</li> <li>Detailed information on relevant activities (trainings, workshops, other initiatives...)</li> <li>Other relevant evidence</li> </ul> |
| <p><b>F.01.2</b><br/>Action</p>     | <p><b>The company has systems in place to ensure its operations conduct and disclose regular assessments of its environmental impacts through an integrated approach that considers the linkages between socio-economic and environmental impacts.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Identify environmental baseline conditions and changes, through an integrated approach that considers the linkages between socio-economic and environmental impacts?</li> <li>Identify and assess the environmental impacts of their activities, through an integrated approach that considers the linkages between socio-economic and environmental impacts?</li> <li>Regularly and systematically present and discuss the results of their assessments of environmental impacts with local communities?</li> </ol> | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>Relevant assessment toolbox, toolkits or guidelines</li> <li>Relevant operating procedures</li> <li>Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>Detailed description of approach / process</li> <li>Relevant assessment toolbox, toolkits or guidelines that require presentation and discussion of the results with local communities</li> <li>Other relevant evidence</li> </ul>   |

| <b>F.02 Tailings Management</b> |  |
|---------------------------------|--|
| <b>F.02.1</b><br><br>Commitment | <p><b>The company commits to not use riverine, lake or marine disposal of tailings.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to not use riverine, lake or marine disposal of tailings?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>  |
|                                 | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Formalised policy endorsed by senior management</li> <li>• Statement in a formalised company document (e.g. code of practice, code of conduct, set of principles, management systems, standards, specific guidelines or framework, ...) endorsed by senior management, or explicitly referred to in another document endorsed by senior management</li> <li>• Detailed information (e.g. Terms of Reference) on specific senior-management-level individuals/teams/sub-committees, including description of responsibilities and scope</li> <li>• Company operating procedures including senior management responsibilities</li> <li>• Established working group / sub-committee / department / task force responsible for the implementation of the commitment</li> <li>• Relevant staff job descriptions</li> <li>• Detailed information (e.g. Terms of Reference) on mandates for external advice</li> <li>• Detailed information on relevant activities (trainings, workshops, other initiatives...)</li> <li>• Other relevant evidence</li> </ul> |
| <b>F.02.2</b><br><br>Action     | <p><b>Where applicable, the company publicly discloses information about the location and safety of all its tailings storage facilities.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Publicly discloses the number and exact location of all tailings storage facilities (including those currently active and those under rehabilitation or closed)?</li> <li>Publicly discloses the construction methods and hazard categories (based on impact assessments) of each of its tailings storage facilities?</li> <li>Makes these data freely available on its corporate website?</li> </ol>   |
|                                 | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Number and location of all tailings storage facilities</li> <li>• Risk impact assessment for all tailings storage facilities</li> <li>• Construction methods and hazard categories of each of its tailings storage facilities</li> <li>• Centralised open repository / data library on company website</li> <li>• Other relevant evidence</li> </ul>   |

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| <p><b>F.02.3</b><br/><b>Effectiveness</b></p> | <p><b>Where applicable, the company tracks, reviews and acts to improve its performance on addressing potential risks related to its tailings facilities, including seepage and tailings dam failure.</b></p> <p><i>Where applicable, can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on addressing potential risks related to its tailings facilities, including seepage and tailings dam failure?</li> <li>Carries out third-party audits and/or reviews on the effectiveness of its measures taken to address potential risks related to its tailings facilities, including seepage and tailings dam failure?</li> <li>Takes responsive action, on the basis of the findings of these third-party audits, to seek to improve the effectiveness of its measures taken to address potential risks related to its tailings facilities, including seepage and tailings dam failure?</li> </ol> | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Results / outcomes of assessments of risks associated with tailings facilities, across successive time periods, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Worker surveys</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul> |
| <p><b>F.03 Water</b></p>                      |   |  |
| <p><b>F.03.1</b><br/><b>Action</b></p>        | <p><b>The company has systems in place to ensure its operations design and implement water stewardship strategies and plans, based on a catchment-level approach, to address water security in the affected area for current and future water users and the environment.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations develop water stewardship strategies and plans, based on a catchment-level approach, to respect the water needs and rights of current and future water users and the environment?</li> <li>Has systems in place to ensure its operations consult with potentially-affected water users in the development of these water stewardship strategies and plans?</li> <li>Systematically tracks the implementation of these water stewardship strategies?</li> </ol>   | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Relevant toolbox, toolkits, guidelines, operating procedures</li> <li>• Detailed description of approach / process</li> <li>• Relevant toolbox, toolkits, guidelines, operating procedures that require consultation with potentially-affected water users in the development of water stewardship strategies and plans</li> <li>• Number of operations where water stewardship strategies have been implemented and statuses of these implementation processes</li> <li>• Other relevant evidence</li> </ul>  |

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| <p><b>F.03.2</b><br/>Effectiveness</p> | <p><b>The company tracks, reviews and acts to improve its performance on reducing its water consumption.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on its performance on reducing its water consumption?</li> <li>Audits and/or reviews the effectiveness of its measures taken to reduce its water consumption?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to reduce its water consumption?</li> </ol>  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Data on water consumption, across successive time periods and against targets, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul> |
| <p><b>F.03.3</b><br/>Effectiveness</p> | <p><b>The company tracks, reviews and acts to improve its performance on reducing its adverse impacts on water quality.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on its performance on reducing its adverse impacts on water quality?</li> <li>Audits and/or reviews the effectiveness of its measures taken to reduce its adverse impacts on water quality?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to reduce its adverse impacts on water quality?</li> </ol>    | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Data on water quality, across successive time periods and against targets, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul>     |
| <p><b>F.04 Noise and Vibration</b></p> |   |   |
| <p><b>F.04.1</b><br/>Action</p>        | <p><b>The company has systems in place to ensure its operations limit the impacts of noise and vibration on affected communities, structures, properties, and wildlife.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Regularly assess, against baseline values, the noise and vibration levels generated by their activities?</li> <li>Develop strategies and plans to limit the impacts of noise and vibration generated by their activities in the surrounding areas?</li> <li>Systematically engage with affected communities and other stakeholders in the development of these strategies?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits, guidelines operating procedures</li> <li>• Relevant risk and impact assessments guidelines / frameworks / templates</li> <li>• Detailed description of approach / process</li> <li>• Relevant toolbox, toolkits on impact mitigation</li> <li>• Relevant management guidelines, standard</li> <li>• Strategy documents of impact prevention and mitigation</li> <li>• Relevant toolbox, toolkits, management guidelines, standard, operating procedures</li> <li>• Other relevant evidence</li> </ul>  |

| F.05 Biodiversity and Ecosystem Services |  |
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| <p><b>F.05.1</b><br/>Commitment</p>      | <p><b>The company commits to not explore or mine in World Heritage Sites and to respect other terrestrial and marine protected areas that are designated to conserve cultural or natural heritage.</b></p> <p><i>Can your company demonstrate at the corporate level that it has:</i></p> <ol style="list-style-type: none"> <li>Formalised its commitment, that is endorsed by senior management, to not explore or mine in World Heritage Sites and to respect other terrestrial and marine protected areas that are designated to conserve cultural or natural heritage?</li> <li>Assigned senior management or board-level responsibilities and accountability for carrying out this commitment?</li> <li>Committed financial and staffing resources to implement this commitment?</li> </ol>  |
|  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Formalised policy endorsed by senior management</li> <li>• Statement in a formalised company document (e.g. code of practice, code of conduct, set of principles, management systems, standards, specific guidelines or framework, ...) endorsed by senior management, or explicitly referred to in another document endorsed by senior management</li> <li>• Detailed information (e.g. Terms of Reference) on specific senior-management-level individuals/teams/sub-committees, including description of responsibilities and scope</li> <li>• Company operating procedures including senior management responsibilities</li> <li>• Established working group / sub-committee / department / task force responsible for the implementation of the commitment</li> <li>• Relevant staff job descriptions</li> <li>• Detailed information (e.g. Terms of Reference) on mandates for external advice</li> <li>• Detailed information on relevant activities (trainings, workshops, other initiatives...)</li> <li>• Other relevant evidence</li> </ul> |
| <p><b>F.05.2</b><br/>Effectiveness</p>   | <p><b>The company tracks, reviews and acts to improve its performance on biodiversity and ecosystem services management.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, across successive time periods, on its performance on biodiversity and ecosystem services management?</li> <li>Audits and/or reviews the effectiveness of its measures taken to manage biodiversity and ecosystem services?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to manage biodiversity and ecosystem services?</li> </ol>   |
|  | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Results / outcomes of biodiversity management programmes, that consider ecosystems services, across successive time periods, throughout company's operations</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul>  |

| <b>F.06 Climate Change and Energy Efficiency</b> |  |
|--|--|
| <b>F.06.1</b><br><br><b>Action</b>               | <p><b>The company has systems in place to identify and report on the potential implications of climate change on its current and future operations’ impacts on communities, workers and the environment, and to design and implement appropriate adaptation and transition strategies.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations identify and report on the potential implications of climate change on their current and future operations’ impacts on communities, workers and the environment?</li> <li>Has systems in place to ensure its operations develop strategies and plans to address these implications?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>   |
| <b>F.06.2</b><br><br><b>Effectiveness</b>        | <p><b>The company tracks, reviews and acts to improve its performance on managing the greenhouse gas (GHG) emissions generated by its activities and its energy use.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on its performance on managing the greenhouse gas (GHG) emissions generated by its activities and its energy use?</li> <li>Audits and/or reviews the effectiveness of its measures taken to manage the GHG emissions generated by its activities and its energy use?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to continuously improve the effectiveness of its measures taken to manage the GHG emissions generated by its activities and its energy use, in order to minimise them?</li> </ol> |

- Examples of relevant Kinds of Evidence*
- Relevant assessment toolbox, toolkits or guidelines
  - Relevant operating procedures
  - Relevant risk and impact assessments guidelines / frameworks / templates
  - Detailed description of approach / process
  - Relevant management guidelines, standard
  - Number of operations where strategies and plans have been implemented and statuses of these implementation processes
  - Other relevant evidence

- Examples of relevant Kinds of Evidence*
- Data on GHG emissions generated by all activities, across successive time periods and against targets
  - External or internal audits / reviews / evaluations / inspections
  - Information on spot / regular checks
  - Outcomes / minutes of review meeting with relevant working group/ committee
  - Revised company-wide strategy / management structure / etc.
  - Time-bound action plans developed in response
  - Detailed information on actions / initiatives taken in response
  - Other relevant evidence



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|---|--|---|
| <p><b>F.06.3</b><br/>Effectiveness</p>            | <p><b>The company tracks, reviews and acts to improve its performance on managing energy consumption throughout its operations.</b></p> <p><i>Can your company demonstrate that it systematically:</i></p> <ol style="list-style-type: none"> <li>Tracks and discloses data, against targets and across successive time periods, on its performance on managing energy consumption throughout its operations?</li> <li>Audits and/or reviews the effectiveness of its measures taken to manage energy consumption throughout its operations?</li> <li>Takes responsive action, based on the findings of these audits and/or reviews, to seek to improve the effectiveness of its measures taken to manage energy consumption throughout its operations?</li> </ol> | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Data on energy consumption covering all activities, across successive time periods and against targets</li> <li>• External or internal audits / reviews / evaluations / inspections</li> <li>• Information on spot / regular checks</li> <li>• Outcomes / minutes of review meeting with relevant working group/ committee</li> <li>• Revised company-wide strategy / management structure / etc.</li> <li>• Time-bound action plans developed in response</li> <li>• Detailed information on actions / initiatives taken in response</li> <li>• Other relevant evidence</li> </ul>               |
| <p><b>F.07 Hazardous Materials Management</b></p> |  |   |
| <p><b>F.07.1</b><br/>Action</p>                   | <p><b>The company has systems in place to ensure its operations identify and assess potential risks related to the transportation, handling, storage, emission and disposal of hazardous materials, and to design and implement strategies and plans to address identified risks.</b></p> <p><i>Can your company demonstrate at the corporate level that it:</i></p> <ol style="list-style-type: none"> <li>Has systems in place to ensure its operations identify and assess the risks related to their use of hazardous materials?</li> <li>Has systems in place to ensure its operations develop strategies and plans to address these risks?</li> <li>Systematically tracks the implementation of these strategies and plans?</li> </ol>                       | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant assessment toolbox, toolkits or guidelines</li> <li>• Relevant operating procedures, guidelines, management standards</li> <li>• Detailed description of approach / process to identify and assess risks related to the use of hazardous materials</li> <li>• Relevant toolbox, toolkits on impact mitigation</li> <li>• Relevant management guidelines, standard</li> <li>• Relevant operating procedures</li> <li>• Number of operations where strategies and plans have been implemented and statuses of these implementation processes</li> <li>• Other relevant evidence</li> </ul> |
| <p><b>F.08 Emergency Preparedness</b></p>         |  |   |
| <p><b>F.08.1</b><br/>Action</p>                   | <p><b>The company has systems in place to ensure its operations engage local authorities, workers and communities in developing, communicating and testing emergency preparedness and response plans.</b></p> <p><i>Can your company demonstrate at the corporate level that it has systems in place to ensure its operations:</i></p> <ol style="list-style-type: none"> <li>Develop and maintain emergency preparedness and response plans?</li> <li>Systematically engage with local stakeholders (e.g. local authorities and communities) in the design of emergency response plans?</li> <li>Systematically engage with local stakeholders in the testing of these response plans?</li> </ol>   | <p><i>Examples of relevant Kinds of Evidence</i></p> <ul style="list-style-type: none"> <li>• Relevant guidelines, toolbox, toolkits, operating procedures</li> <li>• Relevant management guidelines, standard</li> <li>• Other relevant evidence</li> </ul>  |

**F.08.2****Action**

**The company publicly discloses all relevant information about financial assurance that is provided for disaster management and recovery, throughout its operations.**

*Can your company demonstrate at the corporate level that it:*

- a. Publicly discloses all relevant information about financial assurance that is provided for disaster management and recovery?
- b. Includes in this disclosure information on specific financial assurance provisions on a mine-site-disaggregated basis?
- c. Updates this information on a yearly basis?

***Examples of relevant Kinds of Evidence***

- *Data on financial insurance that is provided for disaster management and recovery*
- *Information about financial assurance that is provided for disaster management and recovery*
- *Data disaggregated by mine site*
- *Evidence that information about financial insurance is updated every year*
- *Open access to previous reporting periods*
- *Other relevant evidence*

## MS Mine-site Indicators



### MS.01 Local Employment

#### MS.01

- Does the company publicly disclose the number of its employees hired from local communities?
- Does the company publicly disclose the number of its contract workers hired from local communities?
- Does the company publicly disclose the number of women workers hired from local communities?

#### *Examples of relevant Kinds of Evidence*

- Disaggregated quantitative data
- Detailed charts
- Other relevant evidence

### MS.02 Local Procurement

#### MS.02

- Does the company publicly disclose the amount of money it spends on goods and services from the local province/state?
- Does the company publicly disclose the types of goods and services it sources from the local province/state?
- Does the company discuss with local communities the targets of its programmes for local procurement?

#### *Examples of relevant Kinds of Evidence*

- Disaggregated quantitative data
- Detailed charts
- Minutes of meetings with communities (also: agenda, information provided prior to meetings, outcomes and recommendations/decisions)
- Newsletters, radio broadcasts, information posters, other communication material
- Information shared on social networks
- Focus groups/relevant engagement activities on local procurement targets
- Agenda and outcomes of relevant workshops with project-affected stakeholders
- Other relevant evidence

### MS.03 Post-Closure Plans

#### MS.03

- Has the company informed affected communities of when the mining operation will stop or close definitively?
- Does the company engage with affected communities in developing its post-closure plans?
- Does the company discuss with local communities the implementation of its post-closure plans?

#### *Examples of relevant Kinds of Evidence*

- Minutes of meetings with communities about closure/post-closure planning and implementation
- Collaborative identification and design of post-closure opportunities with communities
- Newsletters, radio broadcasts, information posters, other communication material
- Information shared on social networks
- Focus groups/relevant engagement activities on closure and post-closure
- Agenda and outcomes of relevant workshops with project-affected stakeholders
- Other relevant evidence

### MS.04 Community Grievances

#### MS.04

- Does the company have an operational-level grievance mechanism for local communities and individuals to raise any issues of concern?
- Does the company publicly disclose the number and types of grievances raised by local communities and individuals?
- Does the company discuss with local communities the measures it is taking to avoid the same grievances being repeatedly raised?

#### *Examples of relevant Kinds of Evidence*

- Detailed information on community grievance mechanism
- Newsletters, radio broadcasts, information posters, other communication material
- Disaggregated quantitative data
- Detailed charts
- Minutes of meetings with communities about grievances and remedy
- Agenda and outcomes of relevant workshops with project-affected stakeholders
- Reports on measures taken to provide remedy
- Satisfaction survey results
- Other relevant evidence

| <b>MS.05 Worker Grievances</b> |   |
|--------------------------------|---|
| <b>MS.05</b>                   | <p>a. Does the company have an operational-level grievance mechanism for its workers to raise any issues of concern?</p> <p>b. Does the company publicly disclose the number and types of grievances raised by its workers?</p> <p>c. Does the company discuss with worker representatives the measures it is taking to avoid the same grievances being repeatedly raised?</p>  |
|                                | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Detailed information on worker grievance mechanism</li> <li>• Newsletters, radio broadcasts, information posters</li> <li>• Disaggregated quantitative data</li> <li>• Detailed charts</li> <li>• Minutes of meetings with workers about grievances and remedy</li> <li>• Reports on measures taken to provide remedy</li> <li>• Satisfaction survey results</li> <li>• Other relevant evidence</li> </ul>  |
| <b>MS.06 Air Quality</b>       |   |
| <b>MS.06</b>                   | <p>a. Does the company publicly disclose, on a regular basis, air quality data for each monitoring point?</p> <p>b. Does the company highlight when and where air quality fell below safety limits?</p> <p>c. Does the company discuss with affected communities the actions it is taking to manage air quality?</p>  |
|                                | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Disaggregated data on air quality at each measurement point, against applicable limit values</li> <li>• Detailed information on applicable safety limits</li> <li>• Detailed charts showing when and where air quality fell below safety limits</li> <li>• Minutes of meetings with communities</li> <li>• Newsletters, information support used to communicate results</li> <li>• Agenda and outcomes of relevant workshops with project-affected stakeholders</li> <li>• Other relevant evidence</li> </ul>     |
| <b>MS.07 Water Quality</b>     |   |
| <b>MS.07</b>                   | <p>a. Does the company publicly disclose, on a regular basis, water quality data for each monitoring point?</p> <p>b. Does the company highlight when and where water quality fell below safety limits?</p> <p>c. Does the company discuss with affected communities the actions it is taking to manage water quality?</p>  |
|                                | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Disaggregated data on water quality at each measurement point, against applicable limit values</li> <li>• Detailed information on applicable safety limits</li> <li>• Detailed charts showing when and where water quality fell below safety limits</li> <li>• Minutes of meetings with communities</li> <li>• Newsletters, information support used to communicate results</li> <li>• Agenda and outcomes of relevant workshops with project-affected stakeholders</li> <li>• Other relevant evidence</li> </ul> |
| <b>MS.08 Water Quantity</b>    |   |
| <b>MS.08</b>                   | <p>a. Does the company publicly disclose, on a regular basis, the amount of water it is withdrawing from the environment?</p> <p>b. Does the company discuss with affected communities how to manage their shared water needs?</p> <p>c. Does the company discuss with affected communities the actions it is taking to reduce its water consumption?</p>   |
|                                | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Disaggregated data on water quantity withdrawn</li> <li>• Detailed information on water sources and water management processes</li> <li>• Minutes of meetings with communities</li> <li>• Agenda and outcomes of relevant workshops with project-affected stakeholders</li> <li>• Other relevant evidence</li> </ul>  |

| <b>MS.09 Tailings Management</b>    |  |
|-------------------------------------|--|
| <b>MS.09</b>                        | <p>a. Does the company publicly disclose the exact location of all its tailings facilities?</p> <p>b. Does the company publicly disclose the exact area potentially affected by a failure of its tailings facilities?</p> <p>c. Has the company informed local communities of what to do in the case of any tailings-related incident?</p>   |
|                                     | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Detailed information on location of all tailings facilities</li> <li>• Disaggregated data on tailings facilities</li> <li>• Tailings failure impact assessments</li> <li>• Detailed information on affected areas</li> <li>• Specific emergency plans for tailings dams and other waste facilities</li> <li>• Minutes of meetings with communities and other local stakeholders on emergency preparedness and response to tailings-related incidents</li> <li>• Agenda and outcomes of relevant workshops with project-affected stakeholders</li> <li>• Newsletters, radio broadcasts, information posters, other communication material</li> <li>• Reports on training and tests with project-affected stakeholders</li> <li>• Other relevant evidence</li> </ul> |
| <b>MS.10 Emergency Preparedness</b> |  |
| <b>MS.10</b>                        | <p>a. Does the company publicly disclose its emergency preparedness and response plans?</p> <p>b. Has the company informed affected communities of what to do in case of emergency?</p> <p>c. Does the company involve affected communities in testing its emergency response plans?</p>   |
|                                     | <p><b>Examples of relevant Kinds of Evidence</b></p> <ul style="list-style-type: none"> <li>• Emergency Preparedness plans, Emergency response plans</li> <li>• Minutes of meetings with communities and other local stakeholders on emergency preparedness and response</li> <li>• Agenda and outcomes of relevant workshops with project-affected stakeholders</li> <li>• Reports on training and tests with project-affected stakeholders</li> <li>• Newsletters, radio broadcasts, information posters, other communication material</li> <li>• Other relevant evidence</li> </ul>   |

# RMI 2020 topics mapped to related initiatives

This table shows areas of broad alignment between the topics included in the RMI Methodology 2020 and those covered by a selection of other initiatives. See Appendix 6 for details on the initiatives and materials referenced in this table.

| RMI Methodology 2020 topics  |  | Other initiatives    |   |   |   |   |                 |   |                                   |                               |                           |   |                                  |                               |                                      |                    |                    |                      |
|--|--|----------------------|---|---|---|---|-----------------|---|-----------------------------------|-------------------------------|---------------------------|---|----------------------------------|-------------------------------|--------------------------------------|--------------------|--------------------|----------------------|
|  |  | Africa Mining Vision | AfIB Social and Environmental Framework | Aluminium Stewardship Initiative Standard | ASEAN Framework for Extractive Industries; CSR Policy Statement | Asian Development Bank Safeguard Policy | Bettercoal Code | CCCMC Guidelines for Social Responsibility in Outbound Mining Investments | CDP Climate Change, Forest, Water | China Green Credit Guidelines | China Green Mine Standard | China Guide on Environmental Protection | Corporate Human Rights Benchmark | EBRD Performance Requirements | EITI Supporting Company Expectations | Equator Principles | GRI Standards 2018 | IADB Sector Policies |
|  | <b>A Economic Development</b>                                  |                      |   |   |   |   |                 |   |                                   |                               |                           |   |                                  |                               |                                      |                    |                    |                      |
| A.01   | National and Supranational Socio-Economic Development Planning | •                    |   |   | •   |   |                 |   |                                   |                               |                           |   |                                  |                               |                                      |                    |                    |                      |
| A.02   | National and Supranational Procurement                         |                      |   |   |   |   |                 |   |                                   |                               |                           |   |                                  |                               |                                      |                    |                    |                      |
| A.03   | Collaborative Research and Development                         | •                    |   |   |   |   |                 |   | •                                 |                               |                           |   |                                  |                               |                                      |                    |                    |                      |
| A.04   | Enhancing the National Skills Base                             | •                    |   |   |   |   |                 | •   |                                   |                               |                           |   |                                  |                               |                                      |                    | •                  |                      |
|  | <b>B Business Conduct</b>                                      |                      |   |   |   |   |                 |   |                                   |                               |                           |   |                                  |                               |                                      |                    |                    |                      |
| B.01   | Business Ethics and Anti-Bribery and Corruption                | •                    | •                                       | •   |   |   | •               | •   |                                   |                               |                           |   |                                  |                               |                                      |                    | •                  |                      |
| B.02   | Board and Senior Management Accountability and Diversity       |                      | •                                       |   |   |   | •               | •   | •                                 | •                             |                           | •                                       | •                                |                               |                                      |                    | •                  |                      |
| B.03   | Contracts Disclosure   |                      |   | •   |   |   | •               |   |                                   |                               |                           | •                                       | •                                |                               |                                      |                    |                    |                      |
| B.04   | Tax Transparency   | •                    |   | •   |   |   | •               |   |                                   |                               |                           | •                                       | •                                |                               |                                      |                    | •                  |                      |
| B.05   | Beneficial Ownership   |                      |   | •   |   |   | •               |   |                                   |                               |                           |   | •                                |                               |                                      |                    | •                  |                      |
| B.06   | Payments to Producing Countries                                |                      | •                                       | •   |   |   | •               | •   |                                   |                               |                           |   | •                                |                               |                                      |                    | •                  |                      |
| B.07   | Lobbying Practices   |                      |   |   |   |   |                 |   | •                                 |                               |                           |   |                                  |                               |                                      |                    | •                  |                      |
| B.08   | Responsible Contracting and Sourcing                           |                      | •                                       | •   |   |   | •               | •   | •                                 |                               |                           |   | •                                | •                             |                                      | •                  | •                  |                      |
|  | <b>C Lifecycle Management</b>                                  |                      |   |   |   |   |                 |   |                                   |                               |                           |   |                                  |                               |                                      |                    |                    |                      |
| C.01   | Mine Lifecycle Management                                      |                      | •                                       | •   |   |   | •               | •   |                                   |                               |                           |   |                                  |                               |                                      |                    |                    |                      |
| C.02   | Project Approval Process                                       |                      |   |   |   |   | •               | •   |                                   |                               |                           |   | •                                |                               | •                                    |                    | •                  |                      |
| C.03   | Mine Closure and Post-Closure Viability                        |                      |   | •   |   |   | •               | •   | •                                 |                               |                           |   |                                  |                               |                                      |                    | •                  |                      |
| C.04   | Mergers, Acquisitions and Disposals Due Diligence              |                      | •                                       |   |   |   | •               |   |                                   |                               | •                         |   |                                  |                               |                                      |                    |                    |                      |



|                                    |                          |   |   |   |   |                 |   |                                   |                               |                           |   |                                  |                               |                                      |                    |                    |                      |
|------------------------------------|--------------------------|---|---|---|---|-----------------|---|-----------------------------------|-------------------------------|---------------------------|---|----------------------------------|-------------------------------|--------------------------------------|--------------------|--------------------|----------------------|
| <b>RMI Methodology 2020 topics</b> | <b>Other initiatives</b> |   |   |   |   |                 |   |                                   |                               |                           |   |                                  |                               |                                      |                    |                    |                      |
|                                    | Africa Mining Vision     | AfIB Social and Environmental Framework | Aluminium Stewardship Initiative Standard | ASEAN Framework for Extractive Industries; CSR Policy Statement | Asian Development Bank Safeguard Policy | Bettercoal Code | CCCMC Guidelines for Social Responsibility in Outbound Mining Investments | CDP Climate Change, Forest, Water | China Green Credit Guidelines | China Green Mine Standard | China Guide to Environmental Protection | Corporate Human Rights Benchmark | EBRD Performance Requirements | EITI Supporting Company Expectations | Equator Principles | GRI Standards 2018 | IADB Sector Policies |

 **D Community Wellbeing**

|      |                                      |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
|------|--------------------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| D.01 | Human Rights                         | ● | ● | ● | ● | ● | ● |   |   |   |   | ● | ● |   |   | ● |
| D.02 | Security and Conflict-Affected Areas |   | ● | ● | ● |   | ● | ● |   |   |   | ● | ● |   | ● | ● |
| D.03 | Community and Stakeholder Engagement | ● | ● |   | ● | ● | ● | ● | ● | ● | ● | ● | ● |   | ● | ● |
| D.04 | Economic and Social Viability        | ● | ● | ● | ● | ● | ● | ● | ● | ● |   | ● |   | ● | ● | ● |
| D.05 | Land Use                             |   | ● |   |   |   | ● |   |   |   |   | ● |   |   |   |   |
| D.06 | Community Health                     | ● | ● |   |   | ● | ● | ● | ● |   |   | ● |   | ● |   |   |
| D.07 | Gender Equity                        |   | ● | ● | ● | ● | ● |   |   |   |   | ● |   | ● |   | ● |
| D.08 | Indigenous Peoples                   |   | ● | ● | ● | ● | ● | ● |   |   |   | ● | ● | ● |   | ● |
| D.09 | Free, Prior and Informed Consent     |   | ● | ● | ● | ● | ● | ● |   |   |   | ● | ● | ● |   | ● |
| D.10 | Displacement and Resettlement        |   | ● | ● | ● | ● | ● | ● |   | ● |   | ● |   | ● |   | ● |
| D.11 | Artisanal and Small-Scale Mining     | ● |   |   | ● |   | ● | ● | ● |   |   |   |   |   |   |   |
| D.12 | Grievance and Remedy                 |   | ● | ● | ● | ● | ● | ● |   |   |   | ● | ● | ● | ● |   |

 **E Working Conditions**

|      |  |   |   |   |   |   |   |   |  |   |   |   |   |   |   |   |
|------|--|---|---|---|---|---|---|---|--|---|---|---|---|---|---|---|
| E.01 | Occupational Health and Safety                                       | ● | ● | ● | ● | ● | ● | ● |  | ● | ● | ● | ● | ● | ● | ● |
| E.02 | Elimination of Forced Labour and Child Labour                        |   | ● | ● | ● | ● | ● | ● |  |   |   | ● | ● | ● | ● | ● |
| E.03 | Non-Discrimination and Equal Opportunity                             |   | ● | ● | ● |   | ● | ● |  |   |   | ● | ● | ● | ● | ● |
| E.04 | Rights to Organise, Collective Bargaining and Freedom of Association |   | ● | ● | ● |   | ● | ● |  |   |   | ● | ● | ● | ● | ● |
| E.05 | Living Wage  |   | ● | ● | ● |   | ● | ● |  |   |   | ● | ● |   | ● |   |
| E.06 | Collective Redundancy Management                                     |   |   |   |   |   |   |   |  |   |   | ● |   |   |   |   |
| E.07 | Worker Recourse  |   | ● | ● |   |   | ● | ● |  |   |   | ● | ● |   |   |   |

 **F Environmental Responsibility**

|      |                                      |   |   |   |   |   |   |   |   |   |   |   |   |   |   |   |
|------|--------------------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| F.01 | Environmental Stewardship            | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● |
| F.02 | Tailings Management                  |   |   |   | ● | ● | ● | ● | ● | ● |   |   |   | ● |   |   |
| F.03 | Water                                | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● |
| F.04 | Noise and Vibration                  |   | ● |   |   |   | ● | ● |   | ● |   | ● |   |   |   |   |
| F.05 | Biodiversity and Ecosystem Services  |   | ● | ● | ● | ● | ● | ● | ● |   | ● | ● | ● | ● | ● | ● |
| F.06 | Climate Change and Energy Efficiency |   | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● | ● |
| F.07 | Hazardous Materials Management       |   | ● | ● |   | ● | ● | ● |   |   | ● | ● | ● | ● |   | ● |
| F.08 | Emergency Preparedness               | ● | ● | ● | ● | ● | ● | ● |   |   | ● | ● | ● | ● |   | ● |





# RMI 2020 indicators mapped to related initiatives

This table shows areas of broad alignment between the indicators in the RMI Methodology 2020 and the content (e.g. indicators, protocols, guidelines, etc.) of a selection of other initiatives that have a reporting element. These references are provided as illustrative pointers for companies, showing where they may already be collecting and reporting information similar to RMI indicators. See Appendix 6 for details on the initiatives and materials referenced in this table.

| RMI Thematic Areas   | RMI 2020 Methodology indicators  | Other initiatives                             |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |
|--|--|---|-----------------------------|----------------------------------|-------------------------------|--------------------------------------|--------------------|-------------------------------|--------------------------|-----------------|--------------------------------------|---|---------------------------------|----------------------|----------------------------|-------------------|--|---|---|--|--|
|  |  | CCCMC Guidelines for Social Responsibility in | Outbound Mining Investments | Corporate Human Rights Benchmark | EBRD Performance Requirements | EITI Supporting Company Expectations | GRI Standards 2018 | ICMM Performance Expectations | IFC Performance Standard | ILO Conventions | IRMA Standard for Responsible Mining | NRGI Guide to Extractive Sector SOE Disclosures | Responsible Minerals Initiative | SASB Mining Standard | Towards Sustainable Mining | UN Global Compact | UN Guiding Principles on Business and Human Rights | Voluntary Principles on Security and Human Rights | World Bank Environmental and Social Framework |  |  |
| A. Economic Development  | <b>A.01 National and Supranational Socio-Economic Development Planning</b>   |   |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |
|  | A.01.1 The company commits to take account of national and supranational socio-economic development plans in making its mining-related investment and business decisions in producing countries, with the aim of enhancing socio-economic development. |   |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |
|  | A.01.2 Where applicable, the company has systems in place to work collaboratively with sub-national producing country governments on socio-economic development planning.  |   |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |
|  | <b>A.02 National and Supranational Procurement</b>   |   |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |
|  | A.02.1 The company has systems in place to ensure its operations develop procurement opportunities for suppliers at national and supranational levels.   |   |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |
|  | A.02.2 The company tracks, reviews and acts to improve its performance on national and supranational procurement.  |   |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |
|  | <b>A.03 Collaborative Research and Development</b>   |   |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |
|  | A.03.1 The company has systems in place to work collaboratively with producing country institutions on Research & Development aimed at addressing priority socio-economic and environmental issues related to mining.                                  |   |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |
|  | <b>A.04 Enhancing the National Skills Base</b>   |   |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |
|  | A.04.1 The company has systems in place to ensure its operations support STEM education and technical/vocational skills development among the wider population in producing countries, through partnerships with in-country institutions.              |   |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |
| A.04.2 The company has systems in place to ensure its operations support technical and managerial skills development of its local workforces in producing countries. |  |   |                             |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |  |  |

| RMI Thematic Areas  | Other initiatives  |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|---------------------|--|---|----------------------------------|-------------------------------|--------------------------------------|--------------------|-------------------------------|--------------------------|-----------------|--------------------------------------|---|---------------------------------|----------------------|----------------------------|-------------------|--|---|---|
|                     | RMI 2020 Methodology indicators                                      |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                     |  | CCCMC Guidelines for Social Responsibility in Outbound Mining Investments   | Corporate Human Rights Benchmark | EBRD Performance Requirements | EITI Supporting Company Expectations | GRI Standards 2018 | ICMM Performance Expectations | IFC Performance Standard | ILO Conventions | IRMA Standard for Responsible Mining | NRGI Guide to Extractive Sector SOE Disclosures | Responsible Minerals Initiative | SASB Mining Standard | Towards Sustainable Mining | UN Global Compact | UN Guiding Principles on Business and Human Rights | Voluntary Principles on Security and Human Rights | World Bank Environmental and Social Framework |
| B. Business Conduct | <b>B.01 Business Ethics and Anti-Bribery and Corruption</b>          |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                     | <b>B.01.1</b>  | The company commits to prevent all direct and indirect forms of bribery and corruption.   | ●                                |                               |                                      |                    | ●                             | ●                        |                 |                                      | ●   | ●                               | ●                    |                            | ●                 |  |   |   |
|                     | <b>B.01.2</b>  | The company tracks, reviews and acts to improve its performance on anti-bribery and corruption.   | ●                                |                               |                                      |                    | ●                             |                          |                 |                                      | ●   |                                 |                      |                            | ●                 |  |   |   |
|                     | <b>B.01.3</b>  | The company tracks, reviews and acts to improve the effectiveness of its whistleblowing mechanisms for reporting concerns about unethical behaviour.    | ●                                |                               |                                      |                    | ●                             |                          |                 |                                      | ●   | ●                               |                      |                            |                   |  |   |   |
|                     | <b>B.02 Board and Senior Management Accountability and Diversity</b> |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                     | <b>B.02.1</b>  | The company has systems in place to hold individual board directors and senior managers accountable for responsible business conduct on ESG issues.     | ●                                | ●                             | ●                                    |                    | ●                             | ●                        | ●               |                                      | ●   | ●                               |                      |                            |                   | ●  |   | ●   |
|                     | <b>B.02.2</b>  | The company tracks, reviews and acts to improve its gender balance at board and senior management levels.   |                                  |                               |                                      |                    | ●                             |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                     | <b>B.03 Contracts Disclosure</b>                                     |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                     | <b>B.03.1</b>  | The company publicly discloses all the legal titles that grant it the rights to extract mineral resources on its mine sites.                            |                                  | ●                             | ●                                    |                    |                               |                          |                 |                                      | ●   | ●                               |                      |                            |                   |  |   |   |
|                     | <b>B.04 Tax Transparency</b>   |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                     | <b>B.04.1</b>  | The company practices tax transparency in all its tax jurisdictions.  |                                  | ●                             | ●                                    | ●                  |                               |                          |                 |                                      | ●   |                                 |                      |                            |                   |  |   |   |
|                     | <b>B.05 Beneficial Ownership</b>                                     |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                     | <b>B.05.1</b>  | The company publicly discloses its ultimate beneficial owners.  |                                  |                               | ●                                    | ●                  |                               |                          |                 |                                      | ●   | ●                               |                      |                            |                   |  |   |   |
|                     | <b>B.06 Payments to Producing Countries</b>                          |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                     | <b>B.06.1</b>  | The company publicly discloses all payments it makes to sub-national and national governments, providing disaggregated data on a project-level basis.   | ●                                |                               | ●                                    | ●                  | ●                             |                          |                 |                                      | ●   |                                 |                      |                            |                   |  |   |   |
|                     | <b>B.07 Lobbying Practices</b>                                       |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                     | <b>B.07.1</b>  | Where applicable, the company publicly discloses its lobbying practices and positions in all jurisdictions.   |                                  |                               |                                      |                    | ●                             | ●                        |                 |                                      | ●   | ●                               |                      |                            |                   |  |   |   |
|                     | <b>B.08 Responsible Contracting and Sourcing</b>                     |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                     | <b>B.08.1</b>  | The company has systems in place to identify and assess any human rights, labour and environmental risks associated with its suppliers and contractors. | ●                                | ●                             | ●                                    | ●                  | ●                             | ●                        |                 |                                      | ●   | ●                               |                      |                            | ●                 |  | ●   | ●   |

| RMI Thematic Areas      | Other initiatives   |   | RMI 2020 Methodology indicators   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
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| C. Lifecycle Management | <b>C.01</b>   | <b>Mine Lifecycle Management</b>  |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                         | C.01.1  | The company commits to adopt a lifecycle approach throughout the project development and operational phases of its operations.  | ●   |                                  |                               |                                      |                    | ●                             |                          |                 | ●                                    |   |                                 |                      | ●                          |                   |  |   | ●   |
|                         | <b>C.02</b>   | <b>Project Approval Process</b>   |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                         | C.02.1  | The company has systems in place to integrate ESG criteria into the stage-gating process in investment decision-making.   | ●   |                                  | ●                             |                                      |                    |                               |                          |                 | ●                                    |   |                                 |                      |                            | ●                 | ●  |   | ●   |
|                         | <b>C.03</b>   | <b>Mine Closure and Post-Closure Viability</b>  |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                         | C.03.1  | The company has systems in place to ensure its operations manage post-closure transition for affected communities, to seek to ensure continued viability of their livelihoods.  | ●   |                                  |                               |                                      |                    |                               |                          |                 | ●                                    |   |                                 |                      | ●                          |                   |  |   |   |
|                         | C.03.2  | The company has systems in place to ensure its operations plan for post-closure just transition for workers.  |   |                                  |                               |                                      | ●                  |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                         | C.03.3  | The company tracks, reviews and acts to improve its performance on progressive mine rehabilitation.   | ●   |                                  |                               |                                      |                    | ●                             |                          |                 | ●                                    |   |                                 |                      | ●                          |                   |  |   |   |
|                         | C.03.4  | The company discloses financial surety arrangements for socio-economic liabilities related to mine closure and post-closure.  | ●   |                                  |                               |                                      |                    | ●                             |                          |                 | ●                                    |   |                                 |                      | ●                          |                   |  |   |   |
|                         | <b>C.04</b>   | <b>Mergers, Acquisitions and Disposals Due Diligence</b>  |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
| C.04.1                  | The company has systems in place to identify and assess potential ESG risks, including human rights risks, associated with mergers, acquisitions and disposals. |   |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            | ●                 |  |   |   |
| D. Community Wellbeing  | <b>D.01</b>   | <b>Human Rights</b>   |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                         | D.01.1  | The company commits to respect human rights, in accordance with the UN Guiding Principles on Business and Human Rights.   | ●   | ●                                | ●                             |                                      |                    | ●                             |                          |                 | ●                                    |   |                                 |                      |                            | ●                 | ●  |   | ●   |
|                         | D.01.2  | The company has systems in place, in accordance with the UN Guiding Principles on Business and Human Rights, to carry out regular human rights due diligence across all its operations, to assess and address human rights risks.   | ●   | ●                                | ●                             |                                      | ●                  | ●                             |                          |                 | ●                                    |   |                                 | ●                    |                            | ●                 | ●  |   |   |
|                         | D.01.3  | The company tracks, reviews and acts to improve its performance on the management of human rights issues.   | ●   | ●                                |                               |                                      |                    |                               |                          |                 | ●                                    |   |                                 |                      |                            |                   | ●  |   |   |
|                         | D.01.4  | The company commits to respect the rights and protections accorded to human rights defenders in its areas of operations.  |   | ●                                |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                         | <b>D.02</b>   | <b>Security and Conflict-affected Areas</b>   |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                         | D.02.1  | The company tracks, reviews and acts to improve its performance on preventing and remedying human rights abuses related to its security management, in line with the Voluntary Principles on Security and Human Rights.   | ●   | ●                                | ●                             |                                      | ●                  | ●                             | ●                        |                 | ●                                    |   |                                 | ●                    |                            | ●                 |  | ●   | ●   |
|                         | D.02.2  | Where applicable, the company has systems in place to ensure its operations identify and assess risks for workers and communities associated with the operations' presence in any conflict-affected and high-risk areas, and design and implement strategies to address identified risks. | ●   |                                  |                               |                                      |                    | ●                             |                          |                 | ●                                    |   | ●                               |                      |                            |                   |  | ●   | ●   |
|                         | <b>D.03</b>   | <b>Community and Stakeholder Engagement</b>   |   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                         | D.03.1  | The company has systems in place to ensure its operations take specific measures to enable the participation of women, youth and persons with disabilities in discussions and decision-making on matters that may impact them.  |   | ●                                | ●                             |                                      | ●                  | ●                             | ●                        |                 | ●                                    |   |                                 |                      | ●                          |                   | ●  |   | ●   |
| D.03.2                  | The company tracks, reviews and acts to improve the quality of its relationships with affected communities.   | ●   |   |                                  |                               |                                      | ●                  |                               |                          | ●               |                                      |   |                                 | ●                    |                            |                   |  |   |   |

| RMI Thematic Areas     | Other initiatives  |   | RMI 2020 Methodology indicators  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|------------------------|--|---|--|----------------------------------|-------------------------------|--------------------------------------|--------------------|-------------------------------|--------------------------|-----------------|--------------------------------------|---|---------------------------------|----------------------|----------------------------|-------------------|--|---|---|
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| D. Community Wellbeing | <b>D.04</b>  | <b>Economic and Social Viability</b>  |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.04.1</b>  | The company has systems in place to ensure its operations encourage local entrepreneurship and support local business development, including for women.   | ●  |                                  |                               |                                      | ●                  | ●                             |                          |                 | ●                                    | ●   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.04.2</b>  | The company has systems in place to ensure its operations develop local procurement opportunities, including for women.   | ●  |                                  |                               |                                      | ●                  | ●                             |                          |                 | ●                                    |   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.04.3</b>  | The company has systems in place to ensure its operations conduct and disclose regular assessments of the impacts of their activities on women, youth and children.   |  |                                  | ●                             |                                      | ●                  |                               | ●                        |                 | ●                                    |   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.04.4</b>  | The company tracks, reviews and acts to improve its performance on managing the socio-economic impacts of its activities in affected communities.   | ●  |                                  |                               |                                      |                    | ●                             |                          |                 | ●                                    |   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.05</b>  | <b>Land Use</b>   |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.05.1</b>  | The company has systems in place to ensure its operations identify and assess their adverse impacts on land use and access to land by affected communities, and to design and implement strategies and plans to minimise and mitigate these adverse impacts.  |  |                                  | ●                             |                                      |                    |                               |                          |                 | ●                                    | ●   |                                 |                      |                            |                   |  |   | ●   |
|                        | <b>D.06</b>  | <b>Community Health</b>   |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.06.1</b>  | The company has systems in place to ensure its operations conduct and disclose regular assessments of their impacts on community health, and to implement management plans to address these impacts.  | ●  |                                  | ●                             |                                      |                    | ●                             | ●                        |                 | ●                                    |   |                                 |                      |                            |                   |  |   | ●   |
|                        | <b>D.07</b>  | <b>Gender Equity</b>  |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.07.1</b>  | The company tracks, reviews and acts to improve its performance on managing any impacts of its activities on women.   |  |                                  | ●                             |                                      |                    | ●                             |                          |                 | ●                                    |   |                                 |                      |                            |                   | ●  |   | ●   |
|                        | <b>D.08</b>  | <b>Indigenous Peoples</b>   |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.08.1</b>  | Where applicable, the company has systems in place to ensure its operations design and implement, through inclusive participation, strategies and plans to respect the rights, interests, and needs of Indigenous Peoples potentially affected by its operations.   | ●  | ●                                | ●                             |                                      |                    | ●                             | ●                        | ●               | ●                                    |   |                                 | ●                    |                            |                   | ●  |   | ●   |
|                        | <b>D.08.2</b>  | Where applicable, the company tracks, reviews and acts to improve its performance on respecting the rights and aspirations of Indigenous Peoples and avoiding adverse impacts of their activities.  | ●  |                                  |                               |                                      |                    | ●                             | ●                        |                 | ●                                    |   |                                 | ●                    |                            |                   | ●  |   |   |
|                        | <b>D.09</b>  | <b>Free, Prior and Informed Consent</b>   |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.09.1</b>  | The company commits to respect the right of Indigenous Peoples to Free, Prior and Informed Consent (FPIC), and to support the extension of the principle of FPIC to other project-affected groups.  | ●  | ●                                | ●                             |                                      |                    | ●                             | ●                        |                 | ●                                    |   |                                 |                      |                            |                   |  |   | ●   |
|                        | <b>D.10</b>  | <b>Displacement and Resettlement</b>  |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.10.1</b>  | Where applicable, the company has systems in place to ensure its operations identify and assess the potential impacts of the involuntary physical and/or economic displacement of project-affected people, and to design and implement strategies and plans to avoid, minimise and mitigate identified impacts. | ●  |                                  | ●                             |                                      |                    | ●                             | ●                        | ●               | ●                                    |   |                                 |                      |                            |                   |  |   | ●   |
|                        | <b>D.10.2</b>  | The company tracks, reviews and acts to improve its performance on ensuring that livelihoods are improved or restored following any involuntary resettlement.   | ●  |                                  | ●                             |                                      |                    | ●                             | ●                        | ●               | ●                                    |   |                                 |                      |                            |                   |  |   |   |
|                        | <b>D.11</b>  | <b>Artisanal and Small-Scale Mining</b>   |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
| <b>D.11.1</b>          | Where applicable, the company has systems in place to ensure its operations facilitate engagement with artisanal and small-scale mining (ASM) communities and activities in and around their operations.                             | ●   |  |                                  |                               |                                      |                    |                               |                          | ●               |                                      |   |                                 |                      |                            |                   |  |   |   |
| <b>D.11.2</b>          | Where applicable, the company has systems in place to ensure its operations develop opportunities to support technical assistance programmes and/or alternative livelihood programmes for ASM miners in and around their operations. | ●   |  |                                  |                               |                                      | ●                  |                               |                          | ●               |                                      |   |                                 |                      |                            |                   |  |   |   |
| <b>D.12</b>            | <b>Grievance and Remedy</b>  |   |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
| <b>D.12.1</b>          | The company tracks, reviews and acts to improve the effectiveness of its grievance mechanisms for communities.   | ●   | ●  | ●                                |                               |                                      | ●                  | ●                             | ●                        |                 | ●                                    | ●   | ●                               | ●                    | ●                          | ●                 | ●  | ●   |   |

| RMI Thematic Areas    | Other initiatives  |   | RMI 2020 Methodology indicators  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
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| E. Working Conditions | <b>E.01</b>  | <b>Occupational Health and Safety</b>   |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                       | <b>E.01.1</b>  | The company commits to ensure safe and healthy working conditions.  | ●  | ●                                | ●                             |                                      | ●                  | ●                             | ●                        | ●               | ●                                    |   |                                 |                      | ●                          | ●                 |  |   | ●   |
|                       | <b>E.01.2</b>  | The company has systems in place to ensure its operations engage with worker representatives to collaboratively identify, assess and address health and safety risks to its workforce.  | ●  |                                  | ●                             |                                      | ●                  |                               |                          |                 | ●                                    |   |                                 |                      | ●                          |                   |  |   | ●   |
|                       | <b>E.01.3</b>  | The company has systems in place to ensure its operations protect women workers from harassment and violence.   |  |                                  |                               |                                      |                    |                               | ●                        | ●               | ●                                    |   |                                 |                      |                            |                   |  |   |   |
|                       | <b>E.01.4</b>  | The company has systems in place to ensure its operations address the health and safety needs of women workers.   |  |                                  |                               |                                      |                    |                               | ●                        |                 | ●                                    |   |                                 |                      |                            |                   |  |   |   |
|                       | <b>E.01.5</b>  | The company publicly discloses data on mining-related high potential accidents, serious injuries and fatalities among its workforce.  | ●  | ●                                | ●                             |                                      | ●                  | ●                             | ●                        | ●               | ●                                    |   |                                 | ●                    | ●                          |                   |  |   | ●   |
|                       | <b>E.02</b>  | <b>Elimination of Forced Labour and Child Labour</b>  |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                       | <b>E.02.1</b>  | The company has systems in place to identify and assess potential risks of all forms of forced, compulsory, trafficked and child labour in its areas of operations and entire supply chain, and to design and implement strategies to address identified risks. | ●  | ●                                | ●                             |                                      | ●                  | ●                             | ●                        | ●               | ●                                    |   | ●                               |                      | ●                          | ●                 | ●  |   | ●   |
|                       | <b>E.03</b>  | <b>Non-Discrimination and Equal Opportunity</b>   |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                       | <b>E.03.1</b>  | The company has systems in place to ensure its operations base their recruitment and employment practices on the principle of equal opportunity, in order to prevent all forms of discrimination in the workplace and promote workforce diversity.              | ●  | ●                                | ●                             |                                      | ●                  | ●                             | ●                        | ●               | ●                                    |   |                                 |                      |                            | ●                 | ●  |   | ●   |
|                       | <b>E.04</b>  | <b>Rights to Organise, Collective Bargaining and Freedom of Association</b>   |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                       | <b>E.04.1</b>  | The company has systems in place to ensure its operations actively respect the rights of workers to organise, collective bargaining and freedom of association.   | ●  | ●                                | ●                             |                                      | ●                  | ●                             | ●                        | ●               | ●                                    |   | ●                               |                      | ●                          | ●                 | ●  |   | ●   |
|                       | <b>E.05</b>  | <b>Living Wage</b>  |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                       | <b>E.05.1</b>  | The company tracks, reviews and acts to improve its performance on ensuring that its workers' wages meet or exceed verified living wage standards, or legal minimum wage, whichever is the highest.   | ●  | ●                                | ●                             |                                      | ●                  | ●                             |                          |                 | ●                                    |   |                                 |                      |                            |                   |  |   |   |
|                       | <b>E.06</b>  | <b>Collective Redundancy Management</b>   |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                       | <b>E.06.1</b>  | The company commits to minimise and mitigate collective redundancies in the event of downsizing, interruption of operations, or automation/technological change, including through worker engagement.   |  |                                  | ●                             |                                      |                    |                               | ●                        |                 | ●                                    |   |                                 |                      |                            |                   |  |   |   |
| <b>E.07</b>           | <b>Worker Recourse</b>   |   |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
| <b>E.07.1</b>         | The company tracks, reviews and acts to improve the effectiveness of its grievance mechanisms for workers. | ●   | ●  | ●                                |                               | ●                                    | ●                  |                               |                          | ●               |                                      | ●   |                                 | ●                    |                            |                   |  | ●   |   |

| RMI Thematic Areas              | Other initiatives                                |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|---------------------------------|--|--|----------------------------------|-------------------------------|--------------------------------------|--------------------|-------------------------------|--------------------------|-----------------|--------------------------------------|---|---------------------------------|----------------------|----------------------------|-------------------|--|---|---|
|                                 | RMI 2020 Methodology indicators                  |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                                 |  | CCMC Guidelines for Social Responsibility in Outbound Mining Investments   | Corporate Human Rights Benchmark | EBRD Performance Requirements | EITI Supporting Company Expectations | GRI Standards 2018 | ICMM Performance Expectations | IFC Performance Standard | ILO Conventions | IRMA Standard for Responsible Mining | NRGI Guide to Extractive Sector SOE Disclosures | Responsible Minerals Initiative | SASB Mining Standard | Towards Sustainable Mining | UN Global Compact | UN Guiding Principles on Business and Human Rights | Voluntary Principles on Security and Human Rights | World Bank Environmental and Social Framework |
| F. Environmental Responsibility | <b>F.01 Environmental Stewardship</b>            |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                                 | F.01.1   | The company commits to manage its environmental impacts systematically, through the mitigation hierarchy approach.   | ●                                | ●                             |                                      |                    | ●                             | ●                        |                 | ●                                    |   | ●                               |                      |                            |                   |  |   | ●   |
|                                 | F.01.2   | The company has systems in place to ensure its operations conduct and disclose regular assessments of its environmental impacts through an integrated approach that considers the linkages between socio-economic and environmental impacts.                                     | ●                                | ●                             |                                      | ●                  | ●                             | ●                        |                 | ●                                    |   |                                 |                      |                            |                   |  |   | ●   |
|                                 | <b>F.02 Tailings Management</b>                  |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                                 | F.02.1   | The company commits to not use riverine, lake or marine disposal of tailings.  | ●                                |                               |                                      |                    |                               | ●                        |                 | ●                                    |   | ●                               |                      |                            |                   |  |   |   |
|                                 | F.02.2   | Where applicable, the company publicly discloses information about the location and safety of all its tailings storage facilities.   |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                                 | F.02.3   | Where applicable, the company tracks, reviews and acts to improve its performance on addressing potential risks related to its tailings facilities, including seepage and tailings dam failure.  | ●                                |                               |                                      |                    |                               | ●                        | ●               |                                      | ●   |                                 | ●                    |                            |                   |  |   | ●   |
|                                 | <b>F.03 Water</b>                                |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                                 | F.03.1   | The company has systems in place to ensure its operations design and implement water stewardship strategies and plans, based on a catchment-level approach, to address water security in the affected area for current and future water users and the environment.               |                                  | ●                             | ●                                    |                    | ●                             | ●                        | ●               |                                      | ●   |                                 | ●                    |                            |                   |  |   | ●   |
|                                 | F.03.2   | The company tracks, reviews and acts to improve its performance on reducing its water consumption.   |                                  | ●                             |                                      |                    | ●                             |                          |                 |                                      |   |                                 | ●                    |                            |                   |  |   | ●   |
|                                 | F.03.3   | The company tracks, reviews and acts to improve its performance on reducing its adverse impacts on water quality.  | ●                                |                               |                                      |                    | ●                             | ●                        |                 |                                      | ●   |                                 | ●                    |                            |                   |  |   | ●   |
|                                 | <b>F.04 Noise and Vibration</b>                  |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                                 | F.04.1   | The company has systems in place to ensure its operations limit the impacts of noise and vibration on affected communities, structures, properties, and wildlife.  | ●                                | ●                             |                                      |                    |                               |                          |                 |                                      | ●   |                                 |                      |                            |                   |  |   |   |
|                                 | <b>F.05 Biodiversity and Ecosystem Services</b>  |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                                 | F.05.1   | The company commits to not explore or mine in World Heritage Sites and to respect other terrestrial and marine protected areas that are designated to conserve cultural or natural heritage.   | ●                                | ●                             |                                      |                    |                               | ●                        | ●               |                                      | ●   |                                 |                      |                            |                   |  |   | ●   |
|                                 | F.05.2   | The company tracks, reviews and acts to improve its performance on biodiversity and ecosystem services management.   | ●                                |                               |                                      |                    | ●                             | ●                        | ●               |                                      | ●   |                                 | ●                    |                            |                   |  |   | ●   |
|                                 | <b>F.06 Climate Change and Energy Efficiency</b> |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                                 | F.06.1   | The company has systems in place to identify and report on the potential implications of climate change on its current and future operations' impacts on communities, workers and the environment, and to design and implement appropriate adaptation and transition strategies. |                                  | ●                             |                                      |                    |                               |                          |                 | ●                                    |   |                                 |                      |                            |                   |  |   | ●   |
|                                 | F.06.2   | The company tracks, reviews and acts to improve its performance on managing the greenhouse gas (GHG) emissions generated by its activities and its energy use.   | ●                                | ●                             |                                      |                    | ●                             | ●                        | ●               |                                      | ●   |                                 | ●                    | ●                          |                   |  |   | ●   |
|                                 | F.06.3   | The company tracks, reviews and acts to improve its performance on managing energy consumption throughout its operations.  | ●                                | ●                             |                                      |                    | ●                             | ●                        | ●               |                                      |   |                                 |                      | ●                          |                   |  |   |   |
|                                 | <b>F.07 Hazardous Materials Management</b>       |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                                 | F.07.1   | The company has systems in place to ensure its operations identify and assess potential risks related to the transportation, handling, storage, emission and disposal of hazardous materials, and to design and implement strategies and plans to address identified risks.      | ●                                | ●                             |                                      |                    |                               | ●                        | ●               |                                      | ●   |                                 |                      |                            |                   |  |   | ●   |
|                                 | <b>F.08 Emergency Preparedness</b>               |  |                                  |                               |                                      |                    |                               |                          |                 |                                      |   |                                 |                      |                            |                   |  |   |   |
|                                 | F.08.1   | The company has systems in place to ensure its operations engage local authorities, workers and communities in developing, communicating and testing emergency preparedness and response plans.  | ●                                | ●                             |                                      |                    |                               | ●                        | ●               | ●                                    | ●   |                                 | ●                    |                            |                   |  |   | ●   |
|                                 | F.08.2   | The company publicly discloses all relevant information about financial assurance that is provided for disaster management and recovery, throughout its operations.  |                                  |                               |                                      |                    |                               |                          |                 | ●                                    |   | ●                               |                      |                            |                   |  |   |   |

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# Abbreviations, acronyms, materials referenced

## List of Abbreviations and Acronyms

|                 |   |
|-----------------|---|
| <b>ASM</b>      | Artisanal and small-scale mining                                |
| <b>EMS</b>      | Environmental Management System                                 |
| <b>ESG</b>      | Environmental, Social and Governance                            |
| <b>EESG</b>     | Economic, Environmental, Social and Governance                  |
| <b>FPIC</b>     | Free, prior and informed consent                                |
| <b>GHG</b>      | Greenhouse gases  |
| <b>HIV/AIDS</b> | Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome |
| <b>M&amp;E</b>  | Monitoring and Evaluation                                       |
| <b>NGO</b>      | Non-governmental Organisation                                   |
| <b>R&amp;D</b>  | Research and development  |
| <b>RMF</b>      | Responsible Mining Foundation                                   |
| <b>RMI</b>      | Responsible Mining Index  |
| <b>SDGs</b>     | Sustainable Development Goals                                   |
| <b>STEM</b>     | Science, Technology, Engineering, Mathematics                   |

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# Glossary of terms

## Acid mine drainage

The outflow from a mine site of water contaminated through its exposure to sulphide-containing materials or minerals.

## Action [as used in RMI]

Action indicators look at the practical measures taken by companies to address EESG issues. This includes the extent to which a company is implementing particular measures and the extent to which a company has integrated these processes and procedures into a systematic approach.

## Affected community (See also Local community)

A community for whom the presence of a particular mine site is likely to cause significant direct or indirect economic, environmental or social impacts; affected communities can include those not in the immediate proximity to the mine site, such as communities living downstream or in labour-sending areas.

## Artisanal and small-scale mining (ASM)

Mining activities on a scale below that of industrial mining. ASM is generally labour intensive with low levels of mechanisation. Depending on the context, ASM may be formalised and carried out under formal licence conditions, or informal and not under effective regulatory controls.

## Beneficial ownership

“A beneficial owner in respect of a company means the natural person(s) who directly or indirectly ultimately owns or controls the corporate entity. A beneficial owner can own or control a company through, for example shares, voting rights, other decision/veto rights, right to profit, contractual associations, joint ownership arrangements or other means.”<sup>1</sup>

## Biodiversity

“The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes within species, between species and of ecosystems.”<sup>2</sup>

## Bribery

“An offer or receipt of any gift, loan, fee, reward or other advantage to or from any person as an inducement to do something which is dishonest, illegal or a breach of trust, in the conduct of the enterprise’s business.”<sup>3</sup>

## Business activities

Any actions and activities performed by a company, including its management, its employees and its contractors, in the context of its business operations.

## Business relationships

“Those relationships a business enterprise has with business partners, entities in its value chain and any other non-State or State entity directly linked to its business operations, products or services. They include indirect business relationships in its value chain [...] and minority as well as majority shareholding positions in joint ventures.”<sup>4</sup>

## Child labour

“Work that deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development. Child labour 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.”<sup>5</sup>

## Civil society organisations

“All non-market and non-state organisations [...] in which people organise themselves to pursue shared interests in the public domain. [...] Examples include community-based organisations and village associations, environmental groups, women’s rights groups, farmers’ associations, faith-based organisations, labour unions, co-operatives, professional associations, chambers of commerce, independent research institutes, and the not-for-profit media.”<sup>6</sup>

## Closure (See Mine closure planning)

## Collective bargaining

“All negotiations which take place between an employer, a group of employers or one or more employers’ organisations, on the one hand, and one or more workers’ organisations, on the other, for: (a) determining working conditions and terms of employment; and/or (b) regulating relations between employers and workers; and/or (c) regulating relations between employers or their organisations and a workers’ organisation or workers’ organisations.”<sup>7</sup>

## Collective redundancy

Large-scale or mass redundancy (retrenchment) carried out by an employer for one or more reasons not related to the individual workers concerned by reason of plant closing or for cost savings. Collective redundancy does not cover isolated cases of termination of employment or voluntary departure, and is often associated with adverse economic circumstances or as a result of a reorganization or restructuring.

## Commitment [as used in RMI]

Commitment indicators look at whether a particular commitment has been made (e.g. through a policy statement endorsed by senior management), and the extent to which the commitment has been formalised and integrated into the company’s business processes through defined accountabilities and responsibilities, and commitment of adequate financial and staff resourcing.

## Confidential business information

Information that a company considers proprietary and/or commercially sensitive, the release of which is deemed to potentially cause substantial business injury.

## Conflict-affected and high-risk areas

“Conflict-affected and high-risk areas are identified by the presence of armed conflict, widespread violence or other risks of harm to people. [...] High-risk areas may include areas of political instability or repression, institutional weakness, insecurity, collapse of civil infrastructure and widespread violence. Such areas are often characterised by widespread human rights abuses and violations of national or international law.”<sup>8</sup>

**Conflict of interest**

Compromised ability to perform primary duties due to conflicting secondary interests. Conflicts of interest may take place on an individual or on an organisational level.

**Continuous improvement [as used in RMI]**

Continuous improvement refers to demonstrated positive change over time in the behaviour of mining companies on EESG issues. This includes, for example, the development and implementation of strong policies, the roll-out of effective programmes, and advances in the tracking and strengthening of company performance on particular EESG issues. The intent of continuous improvement should be to lead to demonstrable improvements in EESG performance.

**Corruption**

The abuse of entrusted power for private gain. Corruption can include acts committed at a high level of government that distort policies or the central functioning of the state, everyday abuse of entrusted power by low- and mid-level public officials in their interactions with ordinary citizens, or manipulation of policies, institutions and rules of procedure in the allocation of resources and financing by political decision-makers.<sup>9</sup>

**Cultural heritage**

“The legacy of physical artefacts and intangible attributes of a group or society that are inherited from past generations, maintained in the present and bestowed for the benefit of future generations.”<sup>10</sup>

**Disclosure**

“Public disclosure refers to the act of making information or data readily accessible and available to all interested individuals and institutions. Some examples of the different forms that public disclosure may take include: verbal or written statements released to a public forum, to the news media, or to the general public; publication in an official bulletin, gazette, report, or stand-alone document; and information posted on a website.”<sup>11</sup>

**Discrimination**

“Any distinction, exclusion or preference made on the basis of race, colour, sex, religion, political opinion, national extraction or social origin, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation.”<sup>12</sup>

**Displacement**

“Physical displacement (relocation or loss of shelter) [or] economic displacement (loss of assets or access to assets that leads to loss of income sources or other means of livelihood) as a result of project-related land acquisition and/or restrictions on land use.”<sup>13</sup>

**Diversity (See also Inclusivity)**

“A commitment to recognizing and appreciating the variety of characteristics that make individuals unique in an atmosphere that embraces and celebrates individual and collective achievement. Identity is dependent on much more than one dimension of a person’s background.”<sup>14</sup>

**Due diligence [as used in RMI]**

RMI uses the term due diligence, in general, to refer to the management processes undertaken by a company to systematically identify and assess potential economic, environmental, social, governance and human rights-related

risks and/ or negative impacts of its decisions, activities and business relationships, in order to design and implement strategies to address these risks and/or impacts. Specifically in the context of human rights due diligence (i.e. for indicator D.01.2), RMI uses the term in line with the UN Guiding Principles on Business and Human Rights, which defines it as: “An ongoing risk management process ... in order to identify, prevent, mitigate and account for how [a company] addresses its adverse human rights impacts. It includes four key steps: assessing actual and potential human rights impacts; integrating and acting on the findings; tracking responses; and communicating about how impacts are addressed.”<sup>15</sup>

**Ecosystem**

“A dynamic complex of plant, animal, and microorganism communities and the non-living environment, interacting as a functional unit.”<sup>16</sup>

**Ecosystem services**

“The benefits people obtain from ecosystems. These include provisioning services such as food and water; regulating services such as flood and disease control; cultural services such as spiritual, recreational, and cultural benefits; and supporting services, such as nutrient cycling, that maintain the conditions for life on Earth.”<sup>17</sup>

**Effectiveness [as used in RMI]**

Effectiveness indicators assess the extent to which a company is tracking the effectiveness of its measures on particular issues, and taking steps to improve its performance, based on reviews it has conducted or commissioned.

**Employees (see also Worker)**

Workers with formal employment relationships with their employers. The relationship is generally based on an explicit (written or oral) or implicit contract of employment.

**Energy efficiency**

“Energy efficiency is a way of managing and restraining the growth in energy consumption. Something is more energy efficient if it delivers more services for the same energy input, or the same services for less energy input.”<sup>18</sup>

**Engagement**

Stakeholder engagement is an active, ongoing process of interaction that enables stakeholder views to be taken into account in project-related planning and decision-making. The level of engagement may involve one or more of the following elements: disclosure and dissemination of information, consultations on stakeholder views relating to project-related activities and impacts, and stakeholder participation in planning, implementing or monitoring project-related activities. Meaningful stakeholder engagement requires two-way communication, responsiveness on the part of companies, and the good faith of participants on both sides.

**Equal opportunity**

The principle whereby “[t]he outcome of a person’s life, in its many dimensions, should reflect mostly his or her efforts and talents, not his or her background. Predetermined circumstances – gender, race, place of birth, family origins – and the social groups a person is born into should not help determine whether people succeed economically, socially, and politically.”<sup>19</sup>

**Excluded groups (See also Marginalised groups; Vulnerable groups)**

Groups of people who are systematically at risk of being denied full access to rights and opportunities normally granted to others, and of being excluded from participation in decision-making processes, in a manner inconsistent with international human rights norms.

**Financial surety/assurance**

Any financial instrument that companies may implement in advance to ensure that funds are available for a particular purpose when they are needed. In the context of mining, financial surety will generally be required to cover the costs of mine closure and land rehabilitation post-closure. Examples of such instruments include letters of credit, surety bonds, trust funds, certified checks and insurance schemes.<sup>20</sup>

**Forced/compulsory labour (See also Trafficked labour; Trafficking)**

Any work carried out by a person involuntarily, under threat of negative consequences. This covers any kind of involuntary or compulsory labour, such as indentured labour, bonded labour, or similar labour-contracting arrangements.<sup>21</sup>

**Free, prior and informed consent (FPIC)**

Free, prior and informed consent (FPIC) is the principle of informing and consulting in advance of projects or major developments that may impact peoples' rights and interests, and providing the opportunity for collective approval or rejection of the development in a manner that is free from intimidation or coercion and prior to any activity taking place. FPIC is an internationally recognised right of indigenous peoples and a mechanism to ensure that their rights and interests will be respected.<sup>22</sup>

**Freedom of association**

The right for workers and employees to join organisations of their own choosing without previous authorisation. These organisations have the right to draw up their own constitutions and rules, freely elect representatives, organise their administration, formulate their own programmes and join larger confederations, without interference or threat of dissolution or suspension from public authorities.<sup>23</sup>

**Fundamental rights at work**

Four categories of rights considered universal by the ILO, and which it commits all member states to respect, regardless of which conventions they may or may not have ratified. The principles are: freedom of association and the effective recognition of the right to collective bargaining, the elimination of forced or compulsory labour, the abolition of child labour, and the elimination of discrimination in respect of employment and occupation.<sup>24</sup>

**Gender equity**

The fair treatment of women and men, based on the recognition that women and men have different needs, preferences, and interests and that equality of outcomes may necessitate different treatment of men and women.

**Greenhouse gas (GHG) emissions**

"Those gaseous constituents of the atmosphere, both natural and anthropogenic, that absorb and re-emit infrared radiation."<sup>25</sup> Key greenhouse gases responsible for anthropogenic climate change include carbon dioxide, methane, nitrous oxide and ozone.<sup>26</sup>

**Grievance mechanism**

A formal process through which people and groups can raise grievances about a project or its workers (including its contractors or employees) and receive remedy. Remedy can include "apologies, restitution, rehabilitation, financial or non-financial compensation, and punitive sanctions (whether criminal or administrative, such as fines), as well as the prevention of harm through, for example, injunctions or guarantees of non-repetition".<sup>27</sup>

**Home country**

The country in which a company is headquartered and/or registered.

**Host country (See Producing country)****Human rights**

Human rights are universal and inalienable rights inherent to all human beings, to which all people are entitled without discrimination. They may be civil, political, cultural, economic or social, and may apply to individuals or to groups.<sup>28</sup> States serve as the primary duty bearers for international human rights law, being obliged to respect, protect and fulfil human rights, but the obligation to respect human rights also falls on companies.<sup>29</sup>

**Human rights defenders**

"People who, individually or with others, [...] seek the promotion and protection of civil and political rights as well as the promotion, protection and realization of economic, social and cultural rights."<sup>30</sup>

**Human rights risk**

A company's human rights risks are any risks that its operations pose to human rights. "This is separate from any risks that involvement in human rights impact may pose to the enterprise, although the two are increasingly related."<sup>31</sup>

**Impacts [as used in RMI]**

RMI indicators focused on impact assessment and due diligence generally consider both potential and real impacts, and both positive and negative impacts a company may generate or contribute to.

**Impact assessment**

A process by which the potential and likely impacts, both beneficial and adverse, of a project on people and the environment are assessed.

**Inclusivity (See also Diversity)**

Inclusion of stakeholder groups identified as excluded, marginalised or vulnerable in access to resources and decision-making.

**Indigenous Peoples**

People associated with a particular area of land and with distinct cultural and social practices, marked by self-identification and historical continuity with societies that pre-date colonisation or settlement by outsiders. "According to the UN the most fruitful approach is to identify, rather than define Indigenous Peoples. This is based on the fundamental criterion of self-identification as underlined in a number of human rights documents."<sup>32</sup>

**Involuntary resettlement**

Any resettlement that does not give the affected people or communities the right to refuse land acquisition or restrictions on land use.

**Just transition [as used in RMI]**

An approach that puts in place a range of measures to minimise and manage the negative impacts on workers of major changes in a mining operation and to involve workers in decisions about their livelihoods. Just transition measures may include, for example, re-training programmes for workers who will be made redundant, giving such workers priority for jobs on other sites or in other activities (e.g. in closure phase), or collaborating with other industries to plan for future employment opportunities.

**Labour-sending area**

A geographically distant area from which a mine site or other facility draws some of its workforce.

**Large-scale mining (LSM)**

Industrial scale mining, on a scale larger than artisanal and small-scale mining (ASM). LSM is typically capital intensive, heavily mechanised and carried out under formal licence conditions.

**Leading practice [as used in RMI]**

Any business practice that has been identified as exceptionally responsive to the challenges and/or opportunities in a given area of interest, by virtue of its favourable comparison with other practices. Leading practice is a relative and time-bound term, as business practices continuously evolve.

**Lifecycle management [as used in RMI]**

An approach to managing an operation's impacts with a view to the entire mine lifecycle, from exploration, through development to operations and close, and then to post-closure. This includes planning for closure and post-closure from the earliest stages to ensure that safeguards are put in place to guarantee the post-mining social and economic wellbeing of affected communities and protection of the environment.

**Livelihood**

A livelihood is a means of making a living. It encompasses people's capabilities, assets, income and activities required to secure the necessities of life. A livelihood is sustainable when it enables people to cope with and recover from shocks and stresses (such as natural disasters and economic or social upheavals) and enhance their well-being and that of future generations without undermining the natural environment or resource base.<sup>33</sup>

**Living wage**

Remuneration received for a standard workweek 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, transport, clothing, and other essential needs including provision for unexpected events.<sup>34</sup>

**Lobbying**

Efforts to influence public policy, decision-making or related measures through representations to public officeholders.

**Local community (See also Affected community)**

A community located sufficiently close to a particular mine site as to likely experience significant economic, environmental and social impacts.

**Marginalised groups (See also Excluded groups; Vulnerable groups)**

Those groups systematically excluded from meaningful participation in economic, social, political, cultural and other forms of human activity. Frequently marginalised groups include "[p]ersons with disabilities, youth, women, lesbian, gay, bisexual, transgender and intersex people, members of minority groups, indigenous people, internally displaced persons, and non-national, including refugees, asylum seekers and migrant workers".<sup>35</sup>

**Materiality (See also Saliency)**

The importance attached to a particular issue, from the point of view of a particular audience or goal. "The audience may be shareholders alone or other stakeholders as well. A goal may be profit-making alone, decisions of an investor more widely, or societal welfare generally. The choice of audience or goal then dictates the selection of material issues. Materiality stands in contrast to saliency, which focuses on those issues with the most severe potential impacts."<sup>36</sup> Materiality is a threshold for influencing economic decision-making, particularly by shareholders, whereas saliency examines issues using the lens of risk to people and the environment.

**Mine closure planning**

Advance planning, throughout a mine's lifecycle, for the time following cessation of the mine's core operations, including planning for decommissioning and rehabilitation. "The term closure alone is sometimes used to indicate the point at which operations cease, infrastructure is removed and management of the site is largely limited to monitoring."<sup>37</sup>

**Mine site**

All land and infrastructure assets related to a specific mineral deposit under exploration or exploitation, and the area of land occupied by the mining operation. The infrastructure assets of a mine site may include, for example, one or more open pits or underground mining facilities, crusher(s), storage facilities, maintenance bays and processing plants, waste storage, services such as water, power infrastructure, transport and loading facilities, administration offices, and worker housing.

**Mining operations**

Mining-related activities including, for example, those connected with exploration, extraction, processing and transportation of mined commodities.

**Mitigation**

Precautionary actions taken in advance to reduce the extent of certain negative impacts or the likelihood of certain risks occurring.<sup>38</sup>

**Mitigation hierarchy approach**

An approach to addressing negative impacts on the environment, biodiversity, communities and workers and other stakeholders, via a strict hierarchy of prioritised steps that include, in order of priority: prevention, avoidance, minimisation, rehabilitation, and offsetting (or compensation). Each measure is undertaken only in cases where the previous measure is not feasible.<sup>39</sup>

**Occupational health and safety**

A field of practice concerned with protecting the safety, health and welfare of workers by controlling potential hazards in a workplace context.

**Ongoing [as used in RMI]**

Activities that are ongoing are not implemented as one-off or time-limited actions, but occur regularly and frequently throughout a project lifecycle, as an integrated element of management processes.

**Open data**

Digital data that is made available with the necessary technical and legal features (e.g. machine readability and open licence) for it to be freely used, reused, and redistributed by any user.<sup>40</sup>

**Operating company**

The company primarily responsible for the mining activity at a particular mine site. This company may have complete or partial ownership of the mine in question.

**Post-closure**

The phase of a mine's lifecycle that typically follows cessation of mining operations, decommissioning of infrastructure, and rehabilitation of land, during which management of the mine site is largely limited to monitoring residual effects on the environment and local communities.

**Producing country**

The country in which primary extractive activities occur and, in some cases, further processing of the extracted minerals. Mining companies may operate in more than one producing country.

**Progressive rehabilitation**

Land restoration and rehabilitation efforts that take place in a progressive manner, i.e. concurrent with mining operations. Progressive rehabilitation contributes to the reduction of mining operations' impacts on biodiversity values and productive land uses.

**Project-affected people**

Those persons impacted by a project or intervention (such as a resettlement programme), including negative impacts such as loss of land, property, livelihoods or access to natural resources.<sup>41</sup>

**Public interest [as used in RMI]**

Information in the public interest is any information the public disclosure of which is of benefit to society at large. This may include, for example, information relating to the policies, management and activities of governments and companies.

**Recourse**

The ability of stakeholders affected by the activities of a mining company to have their concerns addressed via external assistance. This may include judicial and state-based processes, such as courts of law, as well as non-judicial processes, such as company-based grievance mechanisms.

**Rehabilitation/reclamation**

The return of land disturbed by mining activity to a state suitable for a subsequent use that is agreed between the operator, the authorities and other stakeholders.<sup>42</sup>

**Remedy**

"Remedies provided by the grievance mechanisms [...] may take a range of substantive forms the aim of which, generally speaking, will be to counteract or make good any human rights

harms that have occurred. Remedy may include apologies, restitution, rehabilitation, financial or non-financial compensation and punitive sanctions (whether criminal or administrative, such as fines), as well as the prevention of harm through, for example, injunctions or guarantees of non-repetition."<sup>43</sup>

**Respect (for human rights)**

The responsibility of a company to avoid infringement of human rights and to address adverse impacts with which it is directly or indirectly involved.<sup>44</sup>

**Responsible business conduct**

Company behaviour that makes positive contributions to sustainable development, avoiding negative impacts, and managing and remedying any adverse impacts where they occur. "Responsible business conduct [also] entails [...] compliance with laws, such as those on respecting human rights, environmental protection, labour relations and financial accountability, even where these are poorly enforced. It also involves responding to societal expectations communicated by channels other than the law, e.g. inter-governmental organisations, within the workplace, by local communities and trade unions, or via the press."<sup>45</sup>

**Responsible mining [as used in RMI]**

Mining that demonstrably respects and protects the interests of people and the environment, and contributes discernibly and fairly to broad economic development of the producing country.

**Saliency (See also Materiality)**

The importance of an issue based on the severity of the potential negative impacts involved, whether on people or on the environment. Saliency in the context of issues such as human rights, environmental or community issues, stands in contrast to materiality as it considers importance from the perspective of people and the environment rather than importance from the perspective of a particular goal or audience.<sup>46</sup>

**Salient human rights issues**

"A company's salient human rights issues are those human rights that stand out because they are at risk of the most severe negative impact through the company's activities or business relationships. This concept of saliency uses the lens of risk to people, not the business, as the starting point, while recognizing that where risks to people's human rights are greatest, there is strong convergence with risk to the business."<sup>47</sup>

**Severity (in reference to impacts)**

Extent of scale, scope and irremediable character of negative impacts, relative to other impacts that have been identified.<sup>48</sup>

**Skills development**

Increase in the pool of job-relevant skills within the workforce of a producing country, whether by direct training or via educational capacity building, in order to foster opportunities for individual employment and entrepreneurship, and to enhance the productivity and growth of the country as a whole.

**Stakeholder**

Any individual or group who has an interest in or may be affected by, a company's or project's activities.

**STEM education**

Education covering the fields of science, technology, engineering and mathematics.

**Supply chain**

The supply chain of a mining company encompasses the upstream linkages with its suppliers, whether the company's operations are at the exploration, development, production or closure stage.

**Supranational [as used in RMI]**

At the level of multiple nation-states in geographic proximity to each other, as distinguished from subnational or national levels.

**Systematic [as used in RMI]**

A systematic activity is one performed as an integrated element of company-wide formal management systems, as opposed to being conducted on an ad hoc or site-specific basis.

**Systems [as used in RMI]**

Systems are company-wide policies and processes and/or procedures used to effectively manage a particular issue and achieve continuous improvement in performance. Systems need to be demonstrated to be appropriate, operational and implemented company-wide.

**Tailings**

Non-marketable ground rock and process effluents that are generated in a mine processing plant. The composition of tailings is directly dependent on the composition of the ore and the process of mineral extraction used on the ore.

**Tailings dam (See also Tailings Storage Facility)**

A surface structure in which slurried tailings from the mine processing plant are retained and managed.

**Tailings Storage Facility**

A tailings storage facility (TSF) is a structure designed to store tailings. A TSF can comprise one or more of the following structures: pits, dams, ponds, integrated waste landforms, erosion protection bunds, levee banks, diversion channels, spillways and seepage collection trenches.<sup>49</sup>

**Tax benefit**

Any reduction in liability to pay tax. Tax benefits can include, for example, deductions, credits, offsets or rebates.<sup>50</sup>

**Tax holiday**

A form of fiscal incentive for corporate investment in a particular tax jurisdiction, whereby firms "are not required to pay corporate income tax for a specified time period (e.g., 5 years), with the goal of encouraging investment. A variant is to provide that a firm does not pay tax until it has recovered its upfront capital costs."<sup>51</sup>

**Trafficked labour (See also Forced/compulsory labour; Trafficking)**

Trafficking in persons for the purpose of exploitation for labour.

**Trafficking (in persons) (See also Forced/compulsory labour; Trafficked labour)**

Transportation of persons without their informed consent, for the purpose of exploitation.

**Transparency**

Systematic public disclosure of rules, plans, processes and actions. "Transparency ensures that public officials, civil servants, managers, board members and businessmen act visibly and understandably, and report on their activities. And it means that the general public can hold them to account."<sup>52</sup>

**Vulnerable groups (See also Excluded groups; Marginalised groups)**

Groups of people identified as vulnerable to systematic exclusion or marginalisation, to suffering human rights abuses, and to disproportionately experiencing negative economic, social and health-related impacts within a particular context.

**Whistle-blower mechanism**

A systematic procedure that enables individuals from within or external to a company to raise concerns about unethical or unlawful conduct to higher management.

**Worker [as used in RMI] (See also Employees)**

Any person engaged in work within a mining company or mining operation, regardless of their legal employment status. Workers may or may not have contracts of employment and may work for the company directly or for a contractor or subcontractor.

**Youth**

The stage in life between childhood and adulthood, defined by the UN as the ages between 15 and 24 years.<sup>53</sup>



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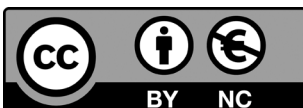
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