
Responsible Mining Index **2018**

Scoring Framework

A Economic Development

A.01 National and Regional Socio-Economic Development Planning

A.01.1 The company commits to take account of national and wider regional 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.01.1.a Can your company demonstrate at the corporate level that it has: (/6.00)

(i) *Formalised its commitment, that is endorsed by senior management, to take account of national and wider regional socio-economic development plans in making its mining-related investment and business decisions in producing countries, with the aim of enhancing socio-economic development?*

2 points The company makes a formal commitment to take account of national and/or wider regional socio-economic development plans in making its mining-related investment and business decisions in a document endorsed by senior management.

1 point The company makes a commitment to take account of national and/or wider regional socio-economic development plans, but this commitment is not formalised AND/OR there is no clear evidence that it is endorsed by senior management AND/OR has a limited geographic scope (i.e. sub-national region) AND/OR only relates to socio-economic investments (rather than mining-related investment and business decisions).

0.5 point The company has made a limited reference to national and/or wider regional development plans being used in decisions relating to the company's socio-economic investments OR The company shows evidence of a single case of collaborative sub-national regional development planning, but has no company-wide commitment.

(ii) *Assigned senior management responsibilities and accountability for carrying out this commitment?*

2 points The company assigns Board-level responsibilities for carrying out this commitment, and assigns one or more senior managers to be responsible and accountable for carrying it out.

1 point The company assigns Board-level responsibilities for carrying out this commitment, but there is no evidence of responsibilities and accountability assigned at senior-management level.

0.5 point The company assigns responsibility and accountability for sustainable development in general at Board level and/or senior management level, but shows no evidence of specific responsibility relevant to taking account of national and/or wider regional level development plans.

(iii) *Committed financial and staffing resources to implement this commitment?*

2 points The company commits financial and staffing resources to implement this commitment company-wide.

1 point The company shows evidence of resource allocation for implementation of the relevant commitment, but not at a company-wide level OR The company shows limited evidence of resource allocation for implementation of the relevant commitment.

A.02 Procurement

A.02.1 The company has systems in place to develop procurement opportunities for suppliers at national and wider regional levels.

A.02.1.a Can your company demonstrate at the corporate level that:

(i) *It has systems in place to identify opportunities for, and barriers to access to, procurement from suppliers at national and/or wider regional levels?*

2 points The company has company-wide systems for identifying opportunities for, and/or barriers to access to, procurement from suppliers at national and/or wider regional levels.

1 point The company provides evidence of systems for identifying opportunities for, and/or barriers to access to, procurement from suppliers at national and/or wider regional levels, but these systems are not company-wide.

(ii) *It has systems in place to develop strategies and plans to develop procurement opportunities for suppliers at national and/or wider regional levels?*

2 points The company has systems in place to develop procurement opportunities for suppliers at national level and/or wider regional levels.

1 point The company provides evidence of limited actions to develop procurement opportunities for suppliers at national level and/or wider regional levels, but shows no evidence of systems being in place OR The company provides evidence of systems in place to develop procurement opportunities for suppliers at national level and/or wider regional levels, but these systems are not company-wide.

0.5 point The company shows evidence of systems and/or actions to develop procurement opportunities for suppliers, but only at sub-national regional level.

(iii) *It systematically tracks the implementation of these strategies and plans?*

2 points The company tracks the implementation of strategies and plans to develop procurement opportunities for suppliers at national and/or wider regional levels and discloses results relating to this tracking.

1 point The company shows evidence of tracking of implementation of strategies and plans to develop procurement opportunities for suppliers at national and/or wider regional levels, but not on a company-wide basis.

0.5 point The company shows evidence of tracking of implementation of strategies and plans to develop procurement opportunities for suppliers, but only at sub-national regional level.

A.02.2 The company tracks its performance on national and wider regional procurement and acts upon the results, demonstrating continuous improvement in developing procurement opportunities at the national and wider regional levels.

A.02.1.a Can your company demonstrate that it systematically:

(i) *Tracks its performance, against a baseline and/or target(s), on developing procurement opportunities for suppliers at national and/or wider regional levels?*

2 points The company systematically tracks and discloses its performance on procurement from suppliers at national and/or wider regional levels against a baseline and/or target(s).

- 1 point The company discloses its performance on procurement from suppliers at a national and/or wider regional level, but shows no evidence of having a baseline and/or target(s) OR The company shows limited evidence of tracking and disclosing its performance on procurement from suppliers at a national and/or wider regional level, against a baseline and/or target(s).
- (ii) *Audits and/or reviews, against a baseline or target(s), the effectiveness of its measures taken to develop procurement opportunities for suppliers at national and/or wider regional levels?*
 - 2 points The company conducts regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to developing procurement opportunities for suppliers at a national and/or wider regional level.
 - 1 point The company shows limited evidence of conducting audits and/or reviews relating to developing procurement opportunities for suppliers at a national and/or wider regional level.
- (iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to develop procurement opportunities for suppliers at national and/or wider regional levels?*
 - 2 points The company systematically acts on the findings of audits and/or reviews relating to developing procurement opportunities at a national and/or wider regional level, to continuously improve the effectiveness of its measures taken.
 - 1 point The company shows limited evidence of specific corrective actions that it has implemented relating to developing procurement opportunities at a national and/or wider regional level.

A.03 Capacity building

A.03.1 The company has systems in place to support in-country capacity building through Research & Development aimed at addressing socio-economic and environmental issues related to mining within producing countries.

A.03.1.a Can your company demonstrate at the corporate level that: (/6.00)

- (i) *It has systems in place to identify priorities and opportunities for supporting R&D aimed at addressing socio-economic and environmental impacts of mining within producing countries?*
 - 2 points The company has company-wide systems identifying opportunities to support relevant R&D aimed at addressing socio-economic and/or environmental impacts of mining within producing countries.
 - 1 point The company has systems relating to identifying opportunities to support relevant R&D, but not at a company-wide level.
 - 0.5 point The company shows evidence of actions relating to identifying relevant R&D priorities and opportunities but not relating to supporting relevant R&D by other stakeholders.
- (ii) *It has systems in place to build capacity for these types of R&D in partnership with other stakeholders?*
 - 2 points The company has company-wide systems relating to building capacity for these types of R&D in partnership with other stakeholders.

1 point The company shows evidence of partnership(s) with other stakeholders on relevant R&D activities, but not of capacity building OR The company has systems relating to building capacity for these types of R&D in partnership with other stakeholders, but not at a company-wide level.

0.5 point The company shows evidence of actions relating to capacity building and/or partnership with other stakeholders on R&D activities, but these are primarily focused on improved business outcomes with only potential relevance to addressing socio-economic and environmental issues.

(iii) *It systematically tracks its support to capacity building for these types of R&D within producing countries?*

2 points The company tracks the implementation of capacity building on relevant areas of R&D and discloses results relating to this tracking.

1 point The company tracks its relevant R&D partnership(s), but not at a company-wide level OR The company tracks its relevant R&D partnerships, but these do not relate to capacity building.

A.04 Enhancing the national skills base

A.04.1 **The company has systems in place to ensure its operations support skills development and skills transfer, especially at technical, and mid and upper management level, in producing countries.**

A.04.1.a *Can your company demonstrate at the corporate level that: (/6.00)*

(i) *It has systems in place to ensure its operations support skills development and skills transfer in producing countries?*

2 points The company has systems in place to ensure its operations support skills development and/or skills transfer which enhance the national skills base AND shows evidence of implementation of this in several countries or sites.

1 point The company has a commitment to ensure its operations support skills development and/or skills transfer which enhance the national skills base AND demonstrates some implementation of this, but information on scope and detail is limited.

0.5 point The company shows evidence of systems in place to ensure its operations support skills development, but these are not clearly related to enhancing the national skills base OR The company shows evidence of implementation of actions to support skills development and skills transfer which enhance the national skills base, but does not show evidence of company-wide systems in place.

(ii) *It has systems in place to ensure its operations include technical and mid and upper management levels in their skills development and skills transfer plans?*

2 points The company has systems relating to enhancing the national skills base of technical and mid and upper management levels.

1 point The company implements some actions relating to enhancing the national skills base of technical and mid and upper management levels, but does not have company-wide systems OR The company has systems relating to enhancing the national skills base of technical levels, but not relating to mid and upper management levels.

0.5 point The company shows limited evidence of implementation relating to enhancing the national skills base of technical and mid and upper management levels.

(iii) *It systematically tracks the implementation of its skills development and skills transfer plans?*

2 points The company systematically tracks the implementation of its skills development and/or skills transfer plans which are relevant to enhancing the national skills base and discloses results relating to this tracking.

1 point The company tracks the implementation of some its skills development and/or skills transfer plans which are relevant to enhancing the national skills base, but this tracking is not systematic or company-wide.

0.5 point The company shows evidence that it tracks the implementation of its skills development plans, but this is not specifically related to enhancing the national skills base.

B Business Conduct

B.01 Business ethics

B.01.1 The company commits to an integrated cross-departmental approach to business ethics.

B.01.1.a Can your company demonstrate at the corporate level that it has: (/6.00)

(i) *Formalised its commitment, that is endorsed by senior management, to adherence to business ethics?*

2 points The company commits to adherence to business ethics in a formal document which covers all of company's activities and is endorsed by senior management.

1 point The company commits to adherence to business ethics in a formal document which covers all of the company's activities, but there is no evidence of its endorsement by senior management OR The company commits to adherence to business ethics in a formal document that is endorsed by senior management, but it does not cover all of the company's activities.

0.5 point The company refers to general business ethics-related principles in formal external communications, but does not commit to adherence to business ethics in a formal company document.

(ii) *Assigned senior management responsibilities and accountability for carrying out this commitment?*

2 points The company assigns Board-level responsibilities for carrying out this commitment, and assigns one or more senior managers to be responsible and accountable for carrying it out.

1 point The company assigns Board-level responsibilities for carrying out this commitment, but there is no evidence of responsibilities and accountabilities assigned at senior-management level.

(iii) *Committed financial and staffing resources to implement this commitment?*

2 points The company has operational-level dedicated staff responsible for coordinating efforts on its commitment to business ethics and these comprehensively cover business ethics.

1 point The company conducts company-wide awareness and/or training programmes related to its commitment to business ethics, but there is limited evidence of the financial and staffing resources committed OR The company has operational-level dedicated staff responsible for coordinating relevant efforts, but these relate to only some aspects of business ethics.

0.5 point The company shows evidence of actions taken on company-wide awareness and/or training programmes, but these relate to only some aspects of business ethics.

B.01.2 The company has effective whistleblowing mechanisms in place, throughout its operations, for reporting concerns about unethical behaviour.

B.01.2.a Can your company demonstrate that it systematically: (/6.00)

- (i) *Tracks, against a baseline and/or target(s), the performance of its whistleblowing mechanisms, including number of incidents, nature of incidents and actions taken in response?*
- 2 points** The company systematically tracks and discloses its performance, against a baseline and/or target(s), of its whistleblowing mechanisms, including number of incidents, nature of incidents and actions taken in response.
- 1 point** The company discloses the performance of its whistleblowing mechanisms, including number of incidents, nature of incidents and actions taken in response, but not against a baseline and/or target(s) OR The company discloses its performance of its whistleblowing mechanisms, against a baseline and/or target(s), but does not include all of the following: number of incidents, nature of incidents and actions taken in response.
- 0.5 point** The company discloses the performance of its whistleblowing mechanisms, but not against a baseline and/or target(s) and does not include all of the following: number of incidents, nature of incidents and actions taken in response.
- (ii) *Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its whistleblowing mechanisms?*
- 2 points** The company systematically conducts regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to its whistleblowing mechanisms and discloses results relating to these.
- 1 point** The company has a stated commitment to conducting audits and/or reviews of the effectiveness of its measures relating to its whistleblowing mechanisms, but does not disclose results relating to these.
- (iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its whistleblowing mechanisms?*
- 2 points** The company systematically acts on the findings of audits and/or reviews relating to its whistleblowing mechanisms to continuously improve the effectiveness of its measures taken.
- 1 point** The company has a stated commitment to acting on the findings of audits and/or reviews relating to continuous improvement of the effectiveness of the effectiveness of its whistleblowing mechanisms and discloses results relating to these audits and/or reviews being implemented, but does not show evidence that it acts on the findings.
- 0.5 point** The company has a stated commitment to acting on the findings of audits and/or reviews relating to continuous improvement of the effectiveness of the effectiveness of its whistleblowing mechanisms, but does not show evidence of these audits and/or reviews being implemented.

B.02 Board and Senior Management Accountability and Diversity

B.02.1 The company has systems in place to hold individual board directors and senior managers accountable for responsible business conduct on economic, environmental, social, governance and human rights issues.

B.02.1.a Can your company demonstrate at the corporate level that it has taken specific measures to ensure that: (/6.00)

- (i) *Clear roles and responsibilities are defined for individual board directors and senior managers for responsible business conduct on environmental, social and human rights issues?*

- 2 points The company assigns clear roles and responsibilities for individual board directors and senior managers for responsible business conduct on environmental, social and human rights issues.
- 1 point The company assigns clear roles and responsibilities for individual board directors and senior managers for responsible business conduct, but does not cover all of the following issues: environmental, social and human rights.
- 0.5 point The company assigns clear roles and responsibilities for individual board directors and senior managers for responsible business conduct, but the scope of these roles and responsibilities is not clearly defined.

(ii) *Competency requirements are in place for key senior management and board-level positions responsible for environmental, social and human rights issues?*

- 2 points The company discloses competency requirements in place for key senior management and board-level positions responsible for environmental, social and human rights issues.
- 1 point The company discloses competency requirements in place for key senior management and board-level positions relating to responsible business conduct, but does not cover all of the following issues: environmental, social and human rights.
- 0.5 point The company refers to qualifications and/or experience and/or continuous training programmes relevant to key senior management and board-level positions responsible for environmental, social and human rights issues, but competency requirements have not been defined.

(iii) *Individual board directors and senior managers responsible for such performance are held accountable via documented measures?*

- 2 points The company discloses evidence of performance measures on environmental, social and human rights issues for individual board directors and senior managers responsible for such performance.
- 1 point The company discloses evidence of performance measures on environmental, social and human rights issues for either individual board directors or senior managers responsible for such performance OR The company refers to performance measures on environmental, social and human rights issues for individual board directors and senior managers responsible for such performance, but there is no detailed evidence of the specific performance measures in place.
- 0.5 point The company refers to performance measures on environmental, social and human rights issues, but there is no detailed evidence of the specific performance measures in place and/or there is limited information on specifically who is accountable for these performance measures.

B.02.2 **The company actively supports diversity and inclusivity of persons and perspectives on its board and in its senior management.**

B.02.2.a *Can your company demonstrate that: (/6.00)*

(i) *It systematically tracks, against a baseline and/or target(s), its performance for board and senior management diversity and inclusivity?*

- 2 points The company systematically tracks and discloses its performance on more than one aspect of diversity and inclusivity, at both board and senior management levels, and against a baseline and/or target(s).

- 1 point The company discloses its performance on diversity and inclusivity, at both board and senior management levels, but on only one aspect and/or not against a baseline and/or target(s).
- 0.5 point The company discloses data on its performance on diversity and inclusivity, but only at board or senior-management level, on only one aspect, and/or the data is not compared with previous year/s' data and/or targets.
- (ii) *It systematically implements interventions (programmes, initiatives, etc) to address identified barriers and enablers to diversity and inclusivity within its board and senior management?*
 - 2 points The company systematically implements interventions to address identified barriers and enablers to diversity and inclusivity within its board and senior management.
 - 1 point The company systematically implements interventions to address identified barriers and enablers to diversity and inclusivity, but within only its board or its senior management OR The company implements an intervention to address one aspect of barriers and enablers to diversity and inclusivity within its board and senior management.
 - 0.5 point The company describes interventions to address identified barriers and enablers to diversity and inclusivity, but there is limited evidence of their implementation.
- (iii) *Its interventions have proven effective in addressing the identified barriers to diversity and inclusivity within its board and senior management?*
 - 2 points The company demonstrates that interventions have proven effective in addressing the identified barriers to diversity and inclusivity within its board and senior management.
 - 1 point The company discloses information which demonstrates that an intervention has proven effective in addressing one aspect of barriers to diversity and inclusivity within its board and senior management.
 - 0.5 point The company discloses information which demonstrates that an intervention has proven effective in addressing one aspect of barriers to diversity and inclusivity, but within only its board or its senior management.

B.03 Contracts Disclosure

B.03.1 The company publicly discloses all contracts, licenses and agreements that grant it access to the extraction of mineral resources and associated projects, and, where necessary, uses its leverage to urge governments to support contract transparency on a level-playing-field basis.

B.03.1.a *Which of your mine sites can demonstrate that they disclose all their contracts, licenses and agreements that grant them access to the extraction of mineral resources and associated projects or, where necessary, uses its leverage to urge governments to support contract transparency on a level-playing-field basis? (/6.00)*

- 6 points The company systematically discloses all relevant contracts, licenses and agreements, which are systematically available through a centralised source.
- 5 points The company discloses all relevant contracts, licenses and agreements, but these are not systematically available through a centralised source.
- 4 points The company discloses relevant contracts, licenses and agreements covering more than 75% of the company's mining operations.

- 3 points** The company discloses relevant contracts, licenses and agreements covering more than 25% but less than 75% of the company's mining operations.
- 2 points** The company discloses relevant contracts, licenses and agreements covering more than one mine site but less than 25% of the company's mining operations.
- 1 point** The company discloses relevant contracts, licenses and agreements for a single mining operation.

B.04 Tax Transparency

B.04.1 The company practices tax transparency in all its tax jurisdictions.

B.04.1.a *Can your company demonstrate at the corporate level that it systematically and publicly: (/6.00)*

(i) *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?*

- 2 points** The company discloses its corporate structure disclosing all tax jurisdictions where it has registered entity(ies) and under what names it is known in that place.
- 1 point** The company discloses its corporate structure for some of the tax jurisdictions where it has registered entity(ies) and under what names it is known in that place, but does not disclose information for all the tax jurisdictions and/or names of its registered entities.

(ii) *Reports on its approach to tax transparency, including formalised commitments to disclose taxes paid in each jurisdiction?*

- 2 points** The company reports on its approach to tax transparency, including formalised commitments to disclose taxes paid in each jurisdiction.
- 1 point** The company reports on its approach to tax transparency, but has not formally committed to disclose taxes paid in each jurisdiction OR The company reports on its approach to tax transparency, including formalised commitments to disclose taxes paid in jurisdictions where it is a legal requirement to do so, but not in all jurisdictions.
- 0.5 point** The company refers to tax transparency and payments to host countries, but does not report on its approach to tax transparency and has not formally committed to disclose taxes paid in each jurisdiction.

(iii) *Discloses all full tax benefits and tax holidays received at local and national levels in all tax jurisdictions where it has registered entity(ies)?*

- 2 points** The company discloses all tax benefits, tax holidays, tax relief and/or tax credits received at both local and national levels in all tax jurisdictions where it has registered entity(ies).
- 1 point** The company discloses tax benefits, tax holidays, tax relief and/or tax credits received, but in an aggregated form without disaggregated information on local and national levels.
- 0.5 point** The company discloses limited information on some of the tax benefits, tax holidays, tax relief and/or tax credits received.

B.05 Beneficial Ownership

B.05.1 The company publicly discloses the beneficial ownership of each of its wholly or partly-owned entities that bids for, operates or invests in extracting mineral resources.

B.05.1.a *Can your company demonstrate at the corporate level that it systematically and publicly: (/6.00)*

(i) *Discloses the names of the ultimate beneficial owner(s) (i.e. not just direct shareholders) of its wholly or partly-owned entities that bids for, operates or invests in extracting mineral resources (according to B.4.1.1 evidence)?*

2 points The company discloses the names of the ultimate individual beneficial owner(s) of its wholly or partly-owned entities that bids for, operates or invests in extracting mineral resources.

1 point The company discloses the names of the ultimate individual beneficial owner(s) of its wholly or partly-owned entities that bids for, operates or invests in extracting mineral resources, but does not disclose all of the beneficial owners and/or for all relevant entities.

0.5 point The company discloses the name of one ultimate individual beneficial owner of one of its wholly or partly-owned entities that bids for, operates or invests in extracting mineral resources.

(ii) *Discloses how ownership is held and how control over these entities is exercised?*

2 points The company discloses how ownership is held and how control is exercised over all of its wholly or partly-owned entities.

1 point The company discloses how ownership is held for all of its wholly or partly-owned entities, but does not disclose information on how control is exercised over these.

0.5 point The company discloses how ownership is held for some of its wholly or partly-owned entities, but does not disclose information on how control is exercised over these.

(iii) *Identifies any beneficiaries of these entities who are politically exposed persons and discloses regular updates of information?*

2 points The company identifies any beneficiaries of its entities who are politically exposed persons and discloses regular information updates.

1 point The company identifies beneficiaries of its entities who are politically exposed persons, but does not disclose regular information updates.

0.5 point The company is fully or partly state-owned and discloses the state body(ies) that hold ownership and exercise control over its entities.

B.06 Payments to Producing Countries

B.06.1 The company publicly discloses all payments it makes to sub-national and national governments, providing disaggregated data on a project-level basis.

B.06.1.a *Which of your mine sites can demonstrate that they disclose project-level disaggregated information on all the payments that they make to sub-national and national government? (/6.00)*

6 points The company discloses project-level disaggregated information on all the payments that they make to sub-national regional and national governments for all mine sites, available through a centralised source.

- 5 points The company discloses information on all the payments that they make to sub-national regional and national governments, but only discloses project-level disaggregated for some mine sites.
- 4 points The company discloses information on all the payments that they make to sub-national regional and national governments, but does not disclose project-level disaggregated information OR The company discloses project-level disaggregated information on all the payments that they make to national governments for all mine sites, but does not disclose information on sub-national regional level payments.
- 3 points The company discloses information on all the payments that they make to national governments, but does not disclose project-level disaggregated information and does not disclose information on sub-national regional level payments.
- 2 points The company discloses some information on payments that they make to governments.
- 1 point The company discloses limited information which is related to payment that they make to governments.

B.07 Lobbying Practices and Policy Engagement

B.07.1 The company publicly discloses its lobbying practices and positions.

B.07.1.a *Can your company demonstrate at the corporate level that it systematically and publicly: (/6.00)*

(i) *Discloses the roles and responsibilities for those involved in its lobbying activities?*

2 points The company discloses the names and responsibilities of all its lobbyists, covering all of the company's activities.

1 point The company discloses the names and responsibilities of its lobbyists, but this does not cover all of the company's activities.

0.5 point The company discloses the names of its lobbyists, but the evidence does not cover all of the company's activities and does not disclose information on their responsibilities OR The company provides information to government(s) on individuals involved in lobbying activities, but does not disclose this information publicly and/or systematically at the corporate-level.

(ii) *Discloses the subject matter of its lobbying activities and the outcomes being sought?*

2 points The company discloses all the subject matters of all its lobbying activities and all the outcomes being sought.

1 point The company discloses some of the subject matter of its lobbying activities and the outcomes being sought, but the information does not cover all of company's activities.

0.5 point The company discloses some of the subject matter of its lobbying activities, but does not clearly disclose the outcomes being sought, and the information does not cover all of company's activities.

(iii) *Discloses the names of public officials or institutions being engaged?*

2 points The company discloses the names of all the public officials and/or institutions being engaged.

1 point The company discloses some of the names of all the public officials and/or institutions being engaged, but the information does not cover all of company's activities.

0.5 point The company provides information to government(s) on the public officials and/or institutions being engaged, but does not disclose this information publicly and/or systematically at the corporate-level.

B.07.2 **The company commits to engage constructively in multi-stakeholder forums to improve the transparency of mineral revenues, including their management, distribution and spending.**

B.07.2.a *Can your company demonstrate at the corporate level that it has: (/6.00)*

(i) *Formalised its commitment, that is endorsed by senior management, to engage constructively in multi-stakeholder forums to improve the transparency of mineral revenues, including their management, distribution and spending?*

2 points The company commits to engage constructively in multi-stakeholder forums to improve the transparency of mineral revenues in a formal document which covers all of company's activities, and this commitment is endorsed by senior management OR The company is an official member of a multi-stakeholder forum/fora to improve the transparency of mineral revenues which covers all of company's activities (e.g.: EITI, specific national multi-stakeholder initiatives).

1 point The company commits to engage constructively in multi-stakeholder forums to improve the transparency of mineral revenues in a formal document which covers all of the company's activities, but there is no evidence that this commitment is endorsed by senior management OR The company is an official member of an initiative which has a multi-stakeholder approach to improving some aspects of the transparency of mineral revenues (e.g.: WEF PACI, national multi-stakeholder transparency initiatives).

(ii) *Assigned senior management responsibilities and accountability for carrying out this commitment?*

2 points The company describes of senior management responsibilities and accountability for carrying out its commitment to engage constructively in multi-stakeholder forums to improve the transparency of mineral revenues.

1 point The company describes senior management responsibilities and accountability for carrying out its commitment to engage constructively in multi-stakeholder forums to improve the transparency of mineral revenues, but has not disclosed the names, positions and roles of these individuals.

(iii) *Committed financial and staffing resources to implement this commitment?*

2 points The company has made direct or indirect financial contributions to one or more initiatives and has staff actively participating in relevant multi-stakeholder forums.

1 point The company has made direct or indirect financial contributions to one or more initiatives, but does not disclose information relating to staff actively participating in relevant multi-stakeholder forums.

B.08 **Bribery and Corruption**

B.08.1 **The company commits to prevent all direct and indirect forms of bribery and corruption.**

B.08.1.a *Can your company demonstrate at the corporate level that it has: (/6.00)*

(i) *Formalised its commitment, that is endorsed by senior management, to prevent all direct and indirect forms of bribery and corruption?*

2 points The company commits to prevent all direct and indirect forms of bribery and corruption in a formal document which covers all of the company's activities and is endorsed by senior management.

1 point The company commits to prevent all direct and indirect forms of bribery and corruption in a formal document which covers all of the company's activities, but there is no evidence that this commitment is endorsed by senior management OR The company commits to prevent all direct and indirect forms of bribery and corruption in a formal document which is endorsed by senior management, but does not cover all of the company's activities OR The company commits to prevent some aspects of direct and indirect forms of bribery and corruption in a formal document which covers all of the company's activities and is endorsed by senior management, but the commitment does not cover all aspects of bribery and corruption.

0.5 point The company refers to prevention of direct and indirect forms of bribery and corruption, but does not make a clear commitment in a formal document which is endorsed by senior management.

(ii) *Assigned senior management responsibilities and accountability for carrying out this commitment?*

2 points The company assigns Board-level responsibilities for carrying out this commitment, and assigns one or more senior managers to be responsible and accountable for carrying it out.

1 point The company assigns Board-level responsibilities for carrying out this commitment, but there is no evidence of responsibilities and accountability assigned at senior-management level.

0.5 point The company discloses information about a dedicated function for carrying it out this commitment, but there is limited evidence of the assigned responsibilities and accountability.

(iii) *Committed financial and staffing resources to implement this commitment?*

2 points The company conducts company-wide awareness and/or training programmes and/or workshops related to its commitment to prevent all direct and indirect forms of bribery and corruption and there is detailed evidence of the specific financial and staffing resources committed AND/OR The company has operational-level dedicated staff responsible for coordinating efforts on its commitment to prevent all direct and indirect forms of bribery and corruption and there is detailed evidence of the nature of these efforts.

1 point The company conducts company-wide awareness and/or training programmes and/or workshops related to its commitment to prevent all direct and indirect forms of bribery and corruption, but there is limited or no evidence of the specific financial and staffing resources committed.

B.08.2 **The company tracks its performance on anti-bribery and corruption and acts upon the results, demonstrating continuous improvement in preventing all direct and indirect forms of bribery and corruption.**

B.08.2.a *Can your company demonstrate that it systematically: (/6.00)*

(i) *Tracks its performance, against a baseline and/or target(s), on preventing bribery and corruption, including number of incidents, nature of incidents and actions taken in response?*

2 points The company systematically tracks and discloses its performance, against a baseline and/or target(s), on preventing bribery and corruption, including number of incidents, nature of incidents and actions taken in response.

- 1 point** The company discloses its performance on preventing bribery and corruption, including number of incidents, nature of incidents and actions taken in response, but does not have a baseline and/or target(s) OR The company shows evidence of tracking and disclosing its performance on preventing bribery and corruption, against a baseline and/or target(s), but does not disclose information on the following: number of incidents, nature of incidents and actions taken in response.
- 0.5 point** The company discloses its performance on preventing bribery and corruption, but shows no evidence of having a baseline and/or target(s) and does not disclose information on all of the following: number of incidents, nature of incidents and actions taken in response.
- (ii) Audits and/or reviews, against a baseline or target(s), the effectiveness of its measures taken to prevent all direct and indirect forms of bribery and corruption?**
- 2 points** The company systematically conducts regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to preventing all direct and indirect forms of bribery and corruption.
- 1 point** The company describes regular audits and/or reviews, of the effectiveness of its measures relating to preventing all direct and indirect forms of bribery and corruption, but does not conduct these against a baseline and/or target(s).
- 0.5 point** The company describes regular audits and/or reviews relating to preventing all direct and indirect forms of bribery and corruption, but does not disclose information relating to the implementation of these audits and/or reviews.
- (iii) Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to prevent all direct and indirect forms of bribery and corruption?**
- 2 points** The company systematically acts on the findings of audits and/or reviews relating to preventing all direct and indirect forms of bribery and corruption to continuously improve the effectiveness of its measures taken.
- 1 point** The company conducts regular audits and/or reviews relating to preventing all direct and indirect forms of bribery and corruption, and describes its acting on the findings of these to continuously improve the effectiveness of its measures taken, but does not disclose information relating to the implementation of these actions.
- 0.5 point** The company describes regular audits and/or reviews relating to preventing all direct and indirect forms of bribery and corruption, and describes its acting on the findings of these to continuously improve the effectiveness of its measures taken, but does not disclose information relating to the implementation of these audits and/or reviews nor of these actions.

B.09 Responsible Contracting and Sourcing

B.09.1 The company has systems in place to carry out regular due diligence on the practices of contractors, sub-contractors and suppliers to identify and assess any environmental, social, governance and human rights risks.

B.09.1.a Can your company demonstrate at the corporate level that it has systems in place to carry out due diligence to identify and assess salient environmental, social, governance and human rights risks related to its: (/6.00)

(i) Suppliers?

2 points The company has systems in place to carry out due diligence on its suppliers to identify salient risks on all the following issues: environmental, social, governance and human rights.

1 point The company describes systems in place to carry out due diligence on its suppliers to identify salient risks on all the following issues: environmental, social, governance and human rights, but only discloses limited evidence of these systems OR The company discloses information to demonstrate the systems it has in place to carry out due diligence on its suppliers to identify salient risks, but only on some of the following issues: environmental, social, governance and human rights.

0.5 point The company describes systems in place to carry out due diligence on its suppliers, but only on some of the following salient risks: environmental, social, governance and human rights, and only discloses limited evidence of these systems.

(ii) Contractors?

2 points The company has systems in place to carry out due diligence on its contractors to identify salient risks on all the following issues: environmental, social, governance and human rights.

1 point The company describes systems in place to carry out due diligence on its contractors, to identify salient risks on all the following issues: environmental, social, governance and human rights, but only discloses limited evidence of these systems OR The company discloses information to demonstrate the systems that are in place to carry out due diligence on its contractors, to identify salient risks, but only on some of the following issues: environmental, social, governance and human rights.

0.5 point The company describes systems in place to carry out due diligence on its contractors, but only on some of the following salient risks: environmental, social, governance and human rights, and only discloses limited evidence of these systems.

(iii) Sub-contractors?

2 points The company has systems in place to carry out due diligence on its sub-contractors to identify salient risks on all the following issues: environmental, social, governance and human rights.

1 point The company describes systems in place to carry out due diligence on its sub-contractors to identify salient risks on all the following issues: environmental, social, governance and human rights, but only discloses limited evidence of these systems OR The company discloses information to demonstrate the systems it has in place to carry out due diligence on its sub-contractors to identify salient risks, but only on some of the following issues: environmental, social, governance and human rights.

0.5 point The company describes systems in place to carry out due diligence on its sub-contractors, but only on some of the following salient risks: environmental, social, governance and human rights, and only discloses limited evidence of these systems.

C Lifecycle Management

C.01 Mine Lifecycle Management

C.01.1 The company commits to adopt a lifecycle approach throughout the project development and operational phases of its operations.

C.01.1.a Can your company demonstrate at the corporate level that it has: (/6.00)

(i) *Formalised its commitment, that is endorsed by senior management, to adopt a lifecycle approach throughout the project development and operational phases of its operations?*

2 points The company commits to adherence to adopting a lifecycle approach to impacts management and/or mine closure planning throughout the project development and operational phases of its operations in a formal document which covers all of company's activities and is endorsed by senior management.

1 point The company commits to adherence to some aspects of adopting a lifecycle approach to impacts management and/or mine closure planning throughout the project development and operational phases of its operations in a formal document which covers all of company's activities and is endorsed by senior management, but the formalised commitment does not cover all relevant aspects OR The company demonstrates adherence to a lifecycle approach to impacts management and/or mine closure planning throughout the project development and operational phases of its operations, but this commitment is not in a formal document which covers all of company's activities and is endorsed by senior management.

0.5 point The company refers to general lifecycle approach and/or mine closure related principles in formal external communications, but does not commit to adherence to adopting a lifecycle approach to impacts management and/or mine closure planning in a formal company document.

(ii) *Assigned senior management responsibilities and accountability for carrying out this commitment?*

2 points The company assigns one or more senior managers to be responsible and accountable for carrying out this commitment.

1 point The company assigns one or more senior managers to be responsible and accountable for its commitment to adopt a lifecycle approach, but for carrying out only some of the relevant aspects of this commitment OR The company assigns one or more senior managers to be responsible and accountable its commitment to adopt a lifecycle approach, but only discloses limited evidence of the responsibilities relevant to this commitment.

0.5 point The company assigns responsibility and accountability for sustainable development in general at Board level and/or senior management level but shows no evidence of specific responsibility relevant to taking account of national and/or wider regional level development plans.

(iii) *Committed financial and staffing resources to implement this commitment?*

2 points The company discloses evidence of the specific financial and staffing resources committed related to this commitment.

- 1 point** The company discloses limited evidence of the financial and staffing resources committed related to this commitment OR The company discloses evidence of the specific financial and staffing resources committed, but only related to some aspects of this commitment.

C.01.2 The company tracks its performance on managing socio-economic impacts on workers of all major changes in its operations (e.g. moving from construction to operations phase or downsizing) and acts upon the results, demonstrating continuous improvement in ensuring just transition for workers.

C.01.2.a Can your company demonstrate that it systematically: (/6.00)

(i) Tracks, against a baseline and/or target(s), its performance on managing socio-economic impacts on workers of all major changes in its operations?

- 2 points** The company systematically tracks, against a baseline and/or target(s), and discloses its performance on managing socio-economic impacts on workers of all major changes in its operations.

- 1 point** The company tracks and discloses its performance on managing socio-economic impacts on workers of all major changes in its operations, but not against a baseline and/or target(s).

- 0.5 point** The company tracks and discloses limited evidence of its performance on managing socio-economic impacts on workers of closure of its operations.

(ii) Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to manage socio-economic impacts on workers of all major changes in its operations?

- 2 points** The company systematically conducts regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to managing socio-economic impacts on workers of all major changes in its operations.

- 1 point** The company provides evidence that it conducts audits and/or reviews relating to managing socio-economic impacts on workers of all major changes in its operations, but not on a company-wide basis.

- 0.5 point** The company provides a limited narrative description of conducting audits and/or reviews relating to managing some aspects of socio-economic impacts on workers of major changes in its operations, but not on a company-wide basis.

(iii) Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to manage socio-economic impacts on workers of all major changes in its operations, in order to ensure just transition for workers?

- 2 points** The company systematically acts on the findings of audits and/or reviews relating to managing socio-economic impacts on workers of all major changes in its operations to continuously improve the effectiveness of its measures taken.

- 1 point** The company describes specific corrective actions that it has implemented relating to managing socio-economic impacts on workers of all major changes in its operations, but these are not clearly linked to a systematic response to audits and/or reviews and continuous improvement of management measures.

- 0.5 point** The company provides limited evidence of measures taken to improve effectiveness on the basis of findings.

C.02 Project Approval Process

C.02.1 The company has systems in place to integrate environmental, social, governance and human rights factors into the stage-gating process at investment committee level.

C.02.1.a Can your company demonstrate at the corporate level that it has systems in place to:/(6.00)

(i) *Identify environmental, social, governance and human rights criteria to be met during each stage of its investment decision-making processes?*

2 points The company has systems in place which include environmental, social, governance and human rights criteria to be met during each stage of its investment decision-making processes.

1 point The company provides limited evidence of systems it has in place to identify socio-economic OR environmental OR governance OR human rights criteria to be met during its investment decision-making processes.

0.5 point The company provides a limited narrative description of systems it has in place to identify sustainability criteria to be met during its investment decision-making processes.

(ii) *Apply these identified environmental, social, governance and human rights criteria during each stage of its investment decision-making processes?*

2 points The company has systems in place to apply environmental, social, governance and human rights criteria during each stage of its investment decision-making processes.

1 point The company provides limited evidence on how it applies environmental OR social OR governance OR human rights criteria during each stage of its investment decision-making processes

0.5 point The company provides a limited narrative description of how it applies some environmental OR social OR governance OR human rights criteria during its investment decision-making processes.

(iii) *Ensure appropriately qualified personnel are responsible for applying these identified environmental, social, governance and human rights criteria at investment committee level?*

2 points The company ensures that appropriately qualified personnel are responsible for applying environmental, social, governance and human rights criteria in its investment decision-making processes.

1 point The company provides limited evidence that appropriately qualified personnel are responsible for applying these identified environmental OR social OR governance OR human rights criteria in its investment decision-making processes.

C.03 Post-Closure Viability for Communities and Workers

C.03.1 The company has systems in place to plan for appropriate land rehabilitation and post-mining land-use opportunities.

C.03.1.a Can your company demonstrate at the corporate level that it has systems in place to ensure:/(6.00)

(i) *Its operations plan for land rehabilitation and post-mining land-use addressing environmental and social impacts identified through impact assessment and closure planning processes?*

2 points The company has systems in place to ensure its operations plan for land rehabilitation and post-mining land-use addressing environmental and social impacts.

1 point The company provides evidence of systems it has in place to ensure its operations plan for land rehabilitation but does not show that these systems address environmental and social impacts OR The company shows limited evidence of systems in place to ensure its operations plan for land rehabilitation and post-mining land-use addressing environmental and social impacts.

0.5 point The company provides a limited narrative description of systems it has in place to ensure its operations plan for land rehabilitation, but does not show that these systems address environmental and social impacts OR The company provides a limited narrative description of systems in place to ensure its operations plan for land rehabilitation and post-mining land-use addressing environmental and social impacts.

(ii) *Its operations' plans for land rehabilitation and post-mining land-use are costed?*

2 points The company has systems in place to ensure its operations' plans for land rehabilitation and post-mining land-use are costed.

1 point The company provides limited evidence of systems in place to ensure that its operations' plans for land rehabilitation and post-mining land-use are costed OR The company shows evidence of costed closure plans for land rehabilitation and post-mining land-use but does not demonstrate that these are in place on a company-wide level.

0.5 point The company provides a limited narrative description of costed closure plans for land rehabilitation and post-mining land-use but does not demonstrate that these are in place on a company-wide level.

(iii) *Its operations' plans for land rehabilitation and post-mining land-use consider stakeholder expectations, as identified during stakeholder engagement??*

2 points The company has systems in place to ensure its operations' plans for land rehabilitation and post-mining land-use consider stakeholder expectations, as identified during stakeholder engagement.

1 point The company provides limited evidence of systems in place to ensure its operations' plans for land rehabilitation and post-mining land-use consider stakeholder expectations, as identified during stakeholder engagement.

C.03.2 **The company designs and plans operations to manage post-closure transition for affected communities, to ensure continued viability of their livelihoods.**

C.03.2.a *Can your company demonstrate at the corporate level that it has systems in place to: (/6.00)*

(i) *Identify the impacts their closure will have for affected communities?*

2 points The company has systems in place to ensure it identifies the impacts its operations' closures will have for affected communities.

1 point The company provides limited evidence of systems it has in place to ensure it identifies the impacts its operations' closures will have for affected communities.

0.5 point The company provides a limited narrative description of systems it has in place to ensure it identifies the impacts its operations' closures will have for affected communities.

(ii) *Develop post-closure transition management plans ensuring continued livelihood viability for affected communities?*

2 points The company has systems in place to ensure it develops post-closure transition management plans ensuring continued livelihood viability for affected communities.

1 point The company provides limited evidence of systems it has in place to ensure it develops post-closure transition management plans ensuring continued livelihood viability for affected communities.

0.5 point The company provides a limited narrative description of systems it has in place to ensure it develops post-closure transition management plans ensuring continued livelihood viability for affected communities.

(iii) *Systematically tracks the implementation of these management plans?*

2 points The company systematically tracks the implementation of its post-closure transition management plans.

1 point The company provides limited evidence that it tracks the implementation of its post-closure transition management plans.

C.03.3 **The company designs and plans operations to manage post-closure transition for workers, to ensure continued viability of their livelihoods, both around the mine and in any labour sending areas.**

C.03.3.a *Can your company demonstrate at the corporate level that it has systems in place to: (6.00)*

(i) *Identify the impacts their closure will have for workers, both around the mine-sites and in labour-sending areas?*

2 points The company has systems in place to ensure it identifies impacts the closure of its operations will have for workers, both around the mine-sites and in labour-sending areas.

1 point The company provides limited evidence of systems in place to ensure it identifies impacts the closure of its operations will have for workers, both around the mine-sites and in labour-sending areas.

(ii) *Develop post-closure transition management plans ensuring continued livelihood viability for workers?*

2 points The company has systems in place to ensure it develops post-closure transition management plans ensuring continued livelihood viability for workers.

1 point The company provides limited evidence of systems in place to ensure it develops post-closure transition management plans ensuring continued livelihood viability for workers.

0.5 point The company provides a limited narrative description of systems in place to ensure it develops post-closure transition management plans ensuring continued livelihood viability for workers OR The company shows evidence of post-closure transition management plans or provisions for workers but does not demonstrate that these are made on a company-wide level.

(iii) *Develop partnerships with other industries or companies to address workers' livelihood needs post-closure?*

2 points The company has systems in place to develop partnerships with other industries or companies to address workers' livelihood needs post-closure.

1 point The company provides limited evidence that it has systems in place to develop partnerships with other industries or companies to address workers' livelihood needs post-closure.

C.03.4 The company provides financial surety for mine closure and post-closure liabilities and publicly discloses financial surety arrangements, throughout its operations.

C.03.4.a *Can your company demonstrate at the corporate level that it has systems in place to ensure its operations: (/6.00)*

(i) *Set aside sufficient funds to cover mine-closure and post-closure costs?*

2 points The company has systems in place to ensure it sets aside sufficient funds to cover mine-closure and post-closure costs throughout its operations.

1 point The company provides limited evidence that it has systems to ensure it sets aside sufficient funds to cover mine-closure and post-closure costs OR The company provides evidence of systems it has in place to set aside sufficient funds to cover mine-closure and post-closure costs, but does not demonstrate that these are implemented on a company-wide level.

0.5 point The company provides limited evidence that it has systems in place to ensure it sets aside sufficient funds to cover mine-closure and post-closure costs OR The company provides evidence of systems it has in place to set aside sufficient funds to cover mine-closure and post-closure costs, but does not demonstrate that these systems are company-wide OR The company provides evidence of financial surety arrangements, but does not show evidence of company-wide systems in place to ensure these arrangements are put in place throughout its operations.

(ii) *Publicly disclose their financial surety arrangements?*

2 points The company has systems in place to ensure that its operations publicly disclose its financial surety arrangements.

1 point The company provides limited evidence that it has systems in place to ensure that its operations publicly disclose its financial surety arrangements.

0.5 point The company provides limited evidence that it has systems in place to publicly disclose its financial surety arrangements OR The company shows evidence of systems it has in place to disclose site-level evidence of financial surety arrangements, but does not demonstrate that these systems are in place on a company-wide level.

(iii) *Involve local stakeholders (communities, local governments) in the design of socio-economic financial assurance mechanisms?*

2 points The company has systems in place to involve local stakeholders in the design of socio-economic financial assurance mechanisms.

1 point The company provides limited evidence that it has systems in place to involve local stakeholders in the design of socio-economic financial assurance mechanisms OR The company provides evidence of systems it has in place to involve local stakeholders in the design of socio-economic financial assurance mechanisms but does not demonstrate that these are company-wide.

0.5 point The company provides evidence of systems it has in place to involve local stakeholders in the design of socio-economic financial assurance mechanisms, but does not demonstrate that these are company-wide.

C.04 Mergers, Acquisition, and Disposal Due Diligence

C.04.1 The company has systems in place to carry out due diligence on mergers, acquisitions and disposals, to identify and assess potential economic, environmental, social, governance and human rights risks related to previous, current and future development.

C.04.1.a Can your company demonstrate at the corporate level that it has systems in place to: (/6.00)

(i) Ensure its due diligence on mergers and acquisitions cover salient EESGHR issues?

2 points The company has systems in place to ensure its due diligence on mergers and acquisitions and/or disposals covers salient Economic, Environmental, Social, Governance, and Human Rights-related issues.

1 point The company provides limited evidence that it has systems in place to ensure its due diligence on mergers and acquisitions and/or disposal, covers salient Economic, Environmental, Social, Governance, and Human Rights-related issues.

0.5 point The company provides evidence that it has systems in place to perform due diligence on mergers and acquisitions and/or disposals, covering salient Economic, Environmental, Social, Governance, and Human Rights-related issues, but does not demonstrate that these are company-wide.

(ii) If so, what EESGHR issues do these mergers and acquisitions due diligence systems cover?

2 points The company has systems in place to ensure its due diligence on mergers and acquisitions and/or disposals covers at least two salient Economic, Environmental, Social, Governance, and Human Rights-related issues.

1 point The company provides evidence that it has systems in place to ensure its due diligence on mergers and acquisitions and/or disposals covers one salient Economic, Environmental, Social, Governance, and Human Rights-related issue.

0.5 point The company provides limited evidence that it has systems in place to perform due diligence on mergers and acquisitions and/or disposals, covering one salient Economic, Environmental, Social, Governance, and Human Rights-related issue.

(iii) Ensure its due diligence on disposals covers salient economic, environmental, social, governance and human rights risks?

2 points The company has systems in place to ensure its due diligence on disposals covers salient economic, environmental, social, governance and human rights risks.

1 point The company provides limited evidence that it has systems in place to ensure its due diligence on disposals covers salient economic, environmental, social, governance and human rights risks.

0.5 point The company provides limited evidence that it has systems in place to perform due diligence on disposals, covering salient economic, environmental, social, governance and human rights risks.

D Community Wellbeing

D.01 Human Rights

D.01.1 The company commits to respect human rights, in line with the UN Guiding Principles on Business and Human Rights, with the aim of contributing to worker and community wellbeing.

D.01.1.a Can your company demonstrate at the corporate level that it has: (/6.00)

(i) Formalised its commitment, that is endorsed by senior management, to respect human rights in line with the UNGPs?

2 points The company commits to respect human rights in line with the UNGPs in a formal document which covers all of the company's activities and is endorsed by senior management.

1 point The company has a formal policy statement to commit to respect human rights, in line with the UNGPs, but which is not clearly endorsed by senior management.

0.5 point The company makes a reference to committing to respecting human rights, but without clear reference to the UNGPs.

(ii) Assigned senior management responsibilities and accountability for carrying out this commitment?

2 points The company assigns one or more senior managers to be responsible and accountable for carrying out its commitment to respect human rights.

1 point The company assigns one or more senior managers to be responsible and accountable for its commitment to respect human rights, but only discloses limited evidence of the responsibilities relevant to this commitment OR The company assigns Board-level responsibilities for carrying out this commitment, but there is no evidence of responsibilities and accountability assigned at senior-management level.

0.5 point The company assigns one or more senior managers to be responsible and accountable for a wider scope of EESG, but only discloses limited evidence of the responsibilities relevant to its commitment to respect Human Rights, and does not specifically refer to human rights in these responsibilities and accountabilities.

(iii) Committed financial and staffing resources to implement this commitment?

2 points The company has corporate and/or operational-level dedicated staff responsible for coordinating efforts on its commitment to respect human rights and there is detailed evidence of the nature of these efforts OR The company systematically conducts activities to deliver its commitment to respect human rights in a way which requires commitment of financial and staffing resources.

1 point The company provides evidence that it has systems in place to deliver its commitment to respecting human rights, including by committing financial and staffing resources, but there is no evidence that these systems are in place on a company-wide level.

0.5 point The company provides evidence that it has systems in place to deliver its commitment to respecting human rights, including by committing financial and staffing resources, but these systems are not in place on a company-wide level OR The company provides evidence that it has systems in place which relate to its commitment to respect human rights, including by committing financial and staffing resources, but the evidence does not specifically refer to human rights.

D.01.2 The company has systems in place, in line with the UN Guiding Principles on Business and Human Rights, to carry out regular due diligence to identify and assess any salient impacts of its activities on human rights, and to design and implement strategies and plans to prevent, mitigate, and account for how it addresses identified impacts, contributing to worker and community wellbeing.

D.01.2.a Can your company demonstrate at the corporate level that it: (/6.00)

(i) Has systems in place to carry out due diligence to identify and assess salient impacts of its activities on human rights?

2 points The company has systems relating to carrying out due diligence to identify and assess salient impacts of its activities on human rights.

1 point The company commits to carry out due diligence to identify and assess salient impacts of its activities on human rights, but there is limited evidence of appropriate systems in place OR The company demonstrates that it carries due diligence to identify and assess salient impacts of its activities on human rights, but there is no evidence that this is done on a company-wide basis OR The company has systems in place to carry out due diligence to identify and assess salient impacts of its activities on human rights, but does not provide evidence regarding the scope and content of these systems.

(ii) Has systems in place to develop strategies and plans to prevent, mitigate and account for how it addresses these identified impacts, contributing to worker and community wellbeing?

2 points The company has systems relating to its operations developing strategies and plans to prevent, mitigate and account for how it addresses these identified impacts, contributing to worker and community wellbeing.

1 point The company shows evidence of systems in place to develop relevant strategies and plans to prevent, mitigate and account for how it addresses these identified impacts, contributing to worker and community wellbeing, but there is limited evidence of the scope and content of these strategies and/or plans.

(iii) Systematically tracks the implementation of these strategies and plans?

2 points The company tracks the implementation of strategies and plans to prevent, mitigate and account for how it addresses these identified impacts, contributing to worker and community wellbeing, and discloses results relating to this tracking.

1 point The company has systems in place to track the implementation of strategies and plans to prevent, mitigate and account for how it addresses these identified impacts, contributing to worker and community wellbeing, but does not disclose results relating to this tracking.

0.5 point The company shows evidence that it takes some action to track the implementation of strategies and plans to prevent, mitigate and account for how it addresses these identified impacts, contributing to worker and community wellbeing, but does not demonstrate that it has systems in place and does not disclose results relating to this tracking.

D.01.3 The company publicly reports on its human rights management and performance, in line with the UN Guiding Principles on Business and Human Rights.

D.01.3.a Can your company demonstrate at the corporate level that, in line with the UNGPs, it: (/6.00)

(i) Reports on its identification and assessment of salient impacts of its activities on human rights?

- 2 points The company reports on its identification and assessment of salient impacts of its activities on human rights, including a description of how the salient human rights issues were determined.
- 1 point The company reports on its identification and assessment of salient impacts of its activities on human rights, but does not describe how the salient human rights issues were determined OR The company describes how salient human rights issues are determined, but provides only limited evidence of its identification and assessment of salient impacts of its activities on human rights OR The company reports on its identification and assessment of some salient impacts of its activities on human rights, including a description of how the salient human rights issues were determined, but the reporting is not company-wide.

(ii) *Reports on its strategies and plans to prevent, mitigate and account for how it addresses these identified impacts?*

- 2 points The company reports on its strategies and plans to prevent, mitigate and account for how it addresses identified salient impacts on human rights.
- 1 point The company reports limited evidence of its strategies and plans to prevent, mitigate and account for how it addresses identified salient impacts on human rights OR The company reports on some of its strategies and plans to prevent, mitigate and account for how it addresses identified salient impacts on human rights, but the reporting is not company-wide.
- 0.5 point The company provides a limited narrative description of strategies to prevent, mitigate and account for how it addresses identified salient impacts on human rights

(iii) *Reports on its performance on managing human rights issues, based on systematic tracking?*

- 2 points The company reports on its performance on managing identified salient human rights issues, based on systematic tracking.
- 1 point The company reports some evidence of its performance on managing identified salient human rights issues, but does not show evidence that this is based on systematic tracking.

D.01.4 The company commits to respect the rights and protections accorded to human rights defenders in its areas of operations.

D.01.4.a *Can your company demonstrate at the corporate level that it has: (/6.00)*

(i) *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?*

- 2 points The company commits to respect the rights and protections accorded to human rights defenders in its areas of operations in a formal document which covers all of company's activities and is endorsed by senior management.
- 1 point The company makes statements or actions which indicate it commits to respecting the rights and protections accorded to human rights defenders in its areas of operations, but this is not in a formal document which covers all of company's activities and is endorsed by senior management.
- 0.5 point The company makes a reference to human rights defenders, but does not demonstrate that this is a formalised commitment that is endorsed by senior management, to respect the rights and protections accorded to human rights defenders in its areas of operations.

(ii) *Assigned senior management responsibilities and accountability for carrying out this commitment?*

2 points The company assigns one or more senior managers to be responsible and accountable for carrying out its commitment to respect the rights and protections accorded to human rights defenders, and provides evidence of the responsibilities relevant to this commitment

1 point The company assigns one or more senior managers to be responsible and accountable, but only discloses limited evidence of the responsibilities relevant to this commitment OR The company assigns Board-level responsibilities for carrying out this commitment, but there is no evidence of responsibilities and accountability assigned at senior-management level.

(iii) *Committed financial and staffing resources to implement this commitment?*

2 points The company has corporate and/or operational-level dedicated staff responsible for coordinating efforts on its commitment and there is detailed evidence of the nature of these efforts OR The company systematically conducts activities to deliver its commitment in a way which requires committed financial and staffing resources.

1 point The company demonstrates that it conducts activities to deliver its commitment to respecting human rights in a way which requires committed financial and staffing resources, but there is no evidence that these are done on a company-wide basis.

D.02 Community and Stakeholder Engagement

D.02.1 The company has systems in place to ensure its operations support and facilitate ongoing and inclusive engagement of affected communities, including women and youth, with mechanisms for community members to participate in discussions and decision-making on matters that may impact them.

D.02.1.a Can your company demonstrate at the corporate level that it: (/6.00)

(i) Has systems in place to ensure its operations identify and map affected communities?

2 points The company has systems in place to ensure its operations identify and map affected communities.

1 point The company describes systems in place to ensure its operations identify and map affected communities, but only discloses limited evidence of these systems.

0.5 point The company shows evidence that some activities are conducted to identify, and map affected communities, but there is no evidence of company-wide systems.

(ii) *Has systems in place to ensure its operations develop mechanisms for community members to participate in discussions and decision-making on matters that may impact them?*

2 points The company has systems in place to ensure its operations develop mechanisms for community members to participate in discussions and/or decision-making on matters that may impact them.

1 point The company provides limited evidence of systems in place to ensure its operations develop mechanisms for community members to participate in discussions and/or decision-making on matters that may impact them.

0.5 point The company shows evidence that some activities are conducted to develop mechanisms for community members to participate in discussions and/or

decision-making on matters that may impact them, but there is no evidence of company-wide systems OR there are systems in place to ensure its operations develop mechanisms for community members to participate in discussions and decision-making on matters that may impact them, but not at a company-wide level.

(iii) *Systematically tracks the implementation of these mechanisms?*

- 2 points** The company tracks the implementation of strategies and plans to address ongoing and inclusive engagement of affected communities and discloses results relating to this tracking.
- 1 point** The company systematically tracks the implementation of strategies and plans to address ongoing and inclusive engagement of affected communities, but does not disclose results relating to this tracking.
- 0.5 point** The company shows evidence that some activities are conducted to address ongoing and inclusive engagement of affected communities, but there is no evidence of systematic tracking OR The company tracks the implementation of a single aspect of implementation relating to ongoing and inclusive engagement of affected communities, but does not show that it systematically tracks implementation of other mechanisms.

D.02.1.b *Can your company demonstrate at the corporate level that it has systems in place to ensure its operations: (6.00)*

(i) *Pay particular attention to vulnerable and under-represented groups when identifying and mapping affected communities?*

- 2 points** The company has systems in place to ensure its operations support and facilitate ongoing and inclusive engagement of affected communities, which specifically refer to paying attention to vulnerable or under-represented groups when identifying and mapping affected communities.
- 1 point** The company provides limited evidence of systems in place to ensure its operations support and facilitate ongoing and inclusive engagement of affected communities, which specifically refer to paying attention to vulnerable and under-represented groups when identifying and mapping affected communities OR The company has systems in place to ensure its operations support and facilitate ongoing and inclusive engagement of affected communities, which specifically refer to paying attention to vulnerable and under-represented groups when identifying and mapping affected communities, but these systems are not company-wide or only cover a specific aspect of engagement (e.g. focusing only on resettlement) OR The company demonstrates that it conducts some activities which pay particular attention to vulnerable and under-represented groups when identifying and mapping affected communities, but there is no evidence of company-wide systems in place.
- 0.5 point** The company shows evidence that it has systems in place to pay particular attention to vulnerable and under-represented groups, but these do not specifically cover identifying and mapping affected communities.

(ii) *Involve special efforts to enable and facilitate the participation of women in their community engagement activities?*

- 2 points** The company has systems in place to ensure its operations involve special efforts to enable and facilitate the participation of women in their community engagement activities.

1 point The company provides limited evidence of systems in place to ensure its operations involve special efforts to enable and facilitate the participation of women in their community engagement activities OR The company provides evidence of systems it has in place to ensure its operations involve special efforts to enable and facilitate the participation of women in their community engagement activities, but these systems are not company-wide or only cover a specific aspect of engagement OR The company provides evidence of efforts to enable and facilitate the participation of women in its community engagement activities, but there is no evidence of company-wide systems.

0.5 point The company has systems in place to ensure its operations involve special efforts to enable and facilitate the participation of women in their community engagement activities, but there is very limited information to demonstrate the scope, coverage and detail of any systems OR the company has systems in place referring to marginalised groups, but not specifically to women.

(iii) *Involve special efforts to enable and facilitate the participation of youth in their community engagement activities?*

2 points The company has systems in place to ensure its operations involve special efforts to enable and facilitate the participation of youth in their community engagement activities.

1 point The company provides limited evidence of systems in place to ensure its operations involve special efforts to enable and facilitate the participation of youth in their community engagement activities OR The company has systems in place to ensure its operations involve special efforts to enable and facilitate the participation of youth in their community engagement activities, but these systems are not company-wide or only cover a specific aspect of engagement OR The company demonstrates that it conducts some activities which involve special efforts to enable and facilitate the participation of youth in its community engagement activities, but there is no evidence of company-wide systems.

0.5 point The company has systems in place to ensure its operations involve special efforts to enable and facilitate the participation of youth in their community engagement activities, but there is very limited information to demonstrate the scope, coverage and detail of any systems OR the company has systems in place to facilitate participation, but without explicit reference to youth.

D.02.2 **The company tracks the quality of its relationships with affected communities and acts upon the results, demonstrating continuous improvement in establishing and maintaining relationships based on trust, mutual respect and understanding.**

D.02.2.a *Can your company demonstrate that it systematically: (6.00)*

(i) *Tracks, against a baseline and/or target(s) based on discussions with communities, the quality of its relationships with communities in its areas of operation?*

2 points The company systematically tracks and discloses its performance on the quality of its relationships with communities in its areas of operation, against a baseline and/or target(s) OR the company has relevant systems in place, which are evidenced by an example or general overview.

1 point The company discloses its performance on the quality of its relationships with communities in its areas of operation, but shows no evidence of having a baseline and/or target(s) OR The company shows evidence of tracking and disclosing its performance on the quality of its relationships with communities in its areas of operation, against a baseline and/or target(s), but not on a company-wide basis.

0.5 point The company has systems in place relating to tracking and disclosing its performance on the quality of its relationships with communities in its areas of operation, but does not disclose information relating to the results of this tracking.

(ii) *Audits and/or reviews, against a baseline and/or target(s) based on discussions with communities, the effectiveness of its measures taken to maintain relationships based on trust, mutual respect and understanding with these communities?*

2 points The company has systems in place to conduct regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures to maintain relationships based on trust, mutual respect and understanding with these communities.

1 point The company conducts audits and/or reviews of the effectiveness of its measures to maintain relationships based on trust, mutual respect and understanding with these communities, but does not show evidence of company-wide systems OR
The company conducts audits and/or reviews of the effectiveness of its measures to maintain relationships based on trust, mutual respect and understanding with these communities, but discloses only limited evidence of these.

(iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to maintain relationships based on trust, mutual respect and understanding with these communities?*

2 points The company systematically acts on the findings of audits and/or reviews relating to measures taken to maintain relationships based on trust, mutual respect and understanding with these communities, to continuously improve the effectiveness of its measures taken.

1 point The company describes specific corrective actions that it has implemented relating to measures taken to maintain relationships based on trust, mutual respect and understanding with these communities, but these are not clearly linked to a systematic response to audits and/or reviews and continuous improvement of management measures.

0.5 point The company shows limited evidence of measures taken to improve effectiveness on the basis of findings.

D.03 Economic and Social Viability

D.03.1 **The company has systems in place to ensure its operations conduct and disclose regular assessments of their socio-economic impacts, through inclusive participation of affected communities, including women and youth.**

D.03.1.a *Can your company demonstrate at the corporate level that it: (/6.00)*

(i) *Has systems in place to ensure its operations identify affected communities' socio-economic baseline conditions and changes, through inclusive participation?*

2 points The company has systems in place to ensure its operations identify affected communities' socio-economic baseline conditions and changes, through inclusive participation.

1 point The company provides evidence of systems in place to ensure its operations identify affected communities' socio-economic baseline conditions and changes, but these do not clearly ensure inclusive participation.

0.5 point The company shows limited evidence of measures to ensure its operations identify affected communities' socio-economic baseline conditions and changes OR
The company has systems in place to ensure its operations identify affected communities' socio-economic baseline conditions and changes, but these only relate to a specific company activity (e.g. social investment).

(ii) *Has systems in place to ensure its operations identify and assess the socio-economic impacts of its activities on affected communities?*

2 points The company has systems in place to ensure its operations identify and assess the socio-economic impacts of its activities on affected communities.

1 point The company provides limited evidence of systems in place to ensure its operations identify and assess the socio-economic impacts of its activities on affected communities.

0.5 point The company has systems in place to identify and assess the socio-economic impacts of its activities on affected communities, but there is limited evidence of the scope and detail of these measures and there is no evidence of formal company-wide systems.

(iii) *Regularly and systematically discloses and ensures accessibility of its assessments of socio-economic impacts to local communities?*

2 points The company has systems in place to regularly and systematically disclose and ensure accessibility of its assessments of socio-economic impacts to local communities.

1 point The company has systems in place to disclose assessments of socio-economic impacts, but does not demonstrate how accessibility to local communities is ensured.

0.5 point The company has systems in place to provide relevant information to local communities, but does not clearly refer to disclosing assessments of socio-economic impacts to local communities.

D.03.1.b *Can your company demonstrate at the corporate level that it has systems in place to ensure its operations: (6.00)*

(i) *Systematically pay particular attention to vulnerable and under-represented groups when identifying and assessing the socio-economic impacts of their activities on affected communities?*

2 points The company has systems in place to ensure its operations pay particular attention to vulnerable or under-represented groups when identifying and assessing the socio-economic impacts of their activities on affected communities.

1 point The company has systems in place to ensure its operations pay particular attention to vulnerable or under-represented groups, but does not provide information on how these specifically apply when identifying and assessing the socio-economic impacts of their activities on affected communities.

0.5 point The company shows evidence of measures to ensure its operations pay particular attention to vulnerable or under-represented groups when identifying and assessing the socio-economic impacts of their activities on affected communities, but there is no evidence of company-wide systems or of the scope and detail of these measures OR the company provides evidence of systems in place to ensure inclusive participation of vulnerable or under-represented groups, but without explicit reference to impact

(ii) *Actively involve women in the assessment of socio-economic baseline conditions and impacts?*

2 points The company has systems in place to ensure its operations actively involve women in the assessment of socio-economic baseline conditions and impacts.

1 point The company has systems in place to ensure its operations consider women in the assessment of socio-economic baseline conditions and impacts, but there is no information relating to active involvement or inclusive participation of women OR The company has systems in place to ensure its operations actively inclusively involve vulnerable and under-represented groups in the assessment of socio-economic baseline conditions and impacts, but discloses only specific examples of active involvement of women.

0.5 point The company shows that some activities are conducted to actively involve youth in the assessment of socio-economic baseline conditions and impacts, but there is no evidence of company-wide systems.

(iii) *Actively involve youth in the assessment of socio-economic baseline conditions and impacts?*

2 points The company has systems in place to ensure its operations actively involve youth in the assessment of socio-economic baseline conditions and impacts.

1 point The company has systems in place to ensure its operations consider youth in the assessment of socio-economic baseline conditions and impacts, but there is no information relating to active involvement or inclusive participation of youth OR The company has systems in place to ensure its operations actively inclusively involve vulnerable and under-represented groups in the assessment of socio-economic baseline conditions and impacts, but discloses only specific examples of active involvement of youth.

D.03.2 **The company has systems in place to ensure its operations encourage local entrepreneurship, support local business development and develop local procurement opportunities, including for women and youth.**

D.03.2.a *Can your company demonstrate at the corporate level that it: (/6.00)*

(i) *Has systems in place to ensure its operations develop strategies and plans to develop local entrepreneurship and businesses and local procurement opportunities?*

2 points The company has systems in place to ensure its operations develop strategies and plans to develop local entrepreneurship and businesses and local procurement opportunities.

1 point The company has systems in place to ensure its operations develop strategies and plans to develop local entrepreneurship and businesses and local procurement opportunities, but there is limited evidence of the scope and detail of these systems.

0.5 point The company shows that it conducts activities relating to local economic development, but does not demonstrate a company-wide system to develop local entrepreneurship and businesses and local procurement opportunities OR The company shows evidence that it has systems in place to ensure its operations develop strategies and plans to develop local entrepreneurship and businesses and local procurement opportunities, but with limited evidence of scope and content.

(ii) *Has systems in place to ensure its operations actively include women and youth in these strategies and plans?*

2 points The company has systems in place to ensure its operations actively include women and youth in its strategies and plans to ensure its operations encourage local entrepreneurship, support local business development and develop local procurement opportunities.

1 point The company has systems in place to ensure its operations actively include either women or youth in its strategies and plans to ensure its operations encourage local entrepreneurship, support local business development and develop local procurement opportunities.

0.5 point The company shows that some activities are conducted to ensure its operations actively include women and/or youth in its strategies and plans to ensure its operations encourage local entrepreneurship, support local business development and develop local procurement opportunities, but there is no evidence of company-wide systems.

(iii) *Systematically tracks the implementation of these strategies and plans?*

2 points The company systematically tracks the implementation of its strategies and plans to ensure its operations encourage local entrepreneurship, support local business development and develop local procurement opportunities, and reveals the results of this tracking.

1 point The company has systems in place to track the implementation of strategies and plans to encourage local entrepreneurship, support local business development and develop local procurement opportunities, but does not disclose results relating to this tracking OR The company discloses some results of tracking implementation, but does not demonstrate that it systematically tracks the implementation of its strategies and plans to ensure its operations encourage local entrepreneurship, support local business development and develop local procurement opportunities.

D.03.3 **The company has systems in place to ensure its operations conduct and disclose regular assessments of their impacts of its activities on children, including those that are unlikely to be well represented through formal structures.**

D.03.3.a *Which of your mine sites can demonstrate that they conduct and disclose regular assessments of any impacts of their activities on children, including those that are unlikely to be well represented through formal structures? (6.00)*

6 points The company systematically discloses all relevant information about regular assessments of impacts of its activities on children covering all of the company's mining operations, available through a centralised source.

5 points The company discloses all relevant information about regular assessments of impacts of its activities on children covering more than 75% of the company's mining operations, but these are not systematically available through a centralised source.

4 points The company discloses all relevant information about regular assessments of impacts of its activities on children covering more than 50% of the company's mining operations, but for less than 75% of the company's mining operations.

3 points The company discloses all relevant information about regular assessments of impacts of its activities on children for at least one mine site, but for less than 50% of the company's mining operations.

2 points The company discloses evidence of regular assessments of impacts of its activities on children covering more than 50% of the company's mining operations but does not disclose all relevant information.

1 point The company discloses evidence of regular assessments of impacts of its activities on children for at least one mine site, but for less than 50% of the company's mining operations but does not disclose all relevant information.

D.03.4 The company tracks its performance on managing socio-economic impacts and acts upon the results, demonstrating continuous improvement in contributing to social and economic viability in communities where it operates.

D.03.4.a *Can your company demonstrate that it systematically: (/6.00)*

(i) *Tracks, against a baseline and/or target(s) based on discussions with communities, its performance on managing socio-economic impacts?*

2 points The company systematically tracks, against a baseline and/or target(s) based on discussions with communities, its performance on managing socio-economic impacts, and discloses its performance on managing socio-economic impacts.

1 point The company has systems in place for tracking, against a baseline and/or target(s) based on discussions with communities, its performance on managing socio-economic impacts, and provides limited evidence of the results of this performance tracking.

0.5 point The company has systems in place for tracking, against a baseline and/or target(s) based on discussions with communities, its performance on managing socio-economic impacts, but does not disclose evidence of the results of this performance tracking.

(ii) *Audits and/or reviews, against a baseline and/or target(s) based on discussions with communities, the effectiveness of its measures taken to manage socio-economic impacts?*

2 points The company has systems in place for conducting audits and/or reviews, against a baseline and/or target(s), of its measures taken to manage socio-economic impacts, AND the evidence specifically refers to the effectiveness of measures to manage impacts AND the baseline and/or target(s) are explicitly based on discussion with communities.

1 point The company has systems in place for conducting audits and/or reviews, against a baseline and/or target(s), of its measures taken to manage socio-economic impacts, AND the evidence specifically refers to the effectiveness of measures to manage impacts, but the baseline and/or target(s) are not explicitly based on discussion with communities.

0.5 point The company has systems in place for conducting audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to manage socio-economic impacts, but there is no reference to the effectiveness of measures to manage impacts.

(iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to manage socio-economic impacts, in order to contribute to social and economic viability in communities where it operates?*

2 points The company provides evidence that it systematically conducts regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to improve its performance on managing socio-economic impacts.

1 point The company shows evidence of developing plans to improve its performance on managing socio-economic impacts, but these are not clearly linked to audits and/or reviews.

0.5 point The company has systems in place for developing plans to improve its performance on managing socio-economic impacts OR there is evidence of measures taken, but the evidence is not detailed enough to demonstrate that this is done on a company-wide basis.

D.04 Community Health and Safety

D.04.1 The company has systems in place to ensure its operations conduct and disclose regular assessments of their impacts on community health and safety, and to implement management plans to address these impacts.

D.04.1.a Can your company demonstrate at the corporate level that it: *(/6.00)*

(i) Has systems in place to ensure its operations conduct and disclose regular assessments of their impacts on community health and safety?

2 points The company has systems in place relating to conducting assessments of community health and safety impacts and systematically disclosing these assessments.

1 point The company has systems in place relating to conducting assessments of community health and safety impacts, but not to their disclosure OR The company has systems in place relating to community health and safety but not specifically to the assessment of impacts.

0.5 point The company has conducted one or more assessments which are relevant to community health and safety, but does not show evidence of having a system in place relating to such assessments OR The company provides evidence of action taken to understand community health and safety impacts, but does not show evidence of having systems relating to this assessment.

(ii) Has systems in place to ensure its operations develop strategies and plans to address these impacts?

2 points The company has systems in place relating to its operations developing strategies and plans to address community health AND safety impacts.

1 point The company has systems in place relating to its operations developing strategies and plans to address community health OR safety impacts but not both.

0.5 point The company describes activities to address community health and safety impacts, but does not disclose information regarding the scope and content of these and does not show evidence of having formal systems relating to the development of strategies and/or plans for these activities.

(iii) Systematically tracks the implementation of these strategies and plans?

2 points The company tracks the implementation of strategies and plans to address community health and safety impacts and discloses results relating to this tracking.

1 point The company tracks the implementation of strategies and plans to address community health and safety impacts, but does not disclose results relating to this tracking.

D.05 Gender Equity

D.05.1 The company tracks its performance on managing any impacts of its activities on women, and acts upon the results, demonstrating continuous improvement in avoiding, minimising and mitigating these impacts, while contributing to women's empowerment.

D.05.1.a Can your company demonstrate that it systematically: *(/6.00)*

(i) Tracks, against a baseline and/or target(s), its performance on managing the impacts of its activities on women?

- 2 points The company systematically tracks, against a baseline and/or target(s), its performance on managing the impacts of its activities on women, and discloses its performance on managing these impacts.
- 1 point The company provides limited evidence of tracking, against a baseline and/or target(s), its performance on managing the impacts of its activities on women, and limited evidence of the results of this performance tracking.
- (ii) *Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to manage the impacts of its activities on women?*
 - 2 points The company has systems in place for conducting audits and/or reviews, against a baseline and/or target(s), of its measures taken to manage the impacts of its activities on women, AND the evidence specifically refers to the effectiveness of measures to manage these impacts.
 - 1 point The company has systems in place for developing plans to improve its performance on managing the impacts of its activities on women, but these are not clearly linked to audits and/or reviews.
- (iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to manage the impacts of its activities on women, in order to avoid, minimise and mitigate these impacts, while contributing to women's empowerment?*
 - 2 points The company provides evidence that it systematically conducts regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to improve its performance on managing the impacts of its activities on women.
 - 1 point The company has systems in place for developing plans to improve its performance on managing the impacts of its activities on women, but these are not clearly linked to audits and/or reviews and continuous improvement of management systems.

D.06 Indigenous Peoples

D.06.1 Where applicable, the company has systems in place to ensure its operations identify, through inclusive participation, the rights, interests, needs and perspectives of all Indigenous Peoples groups potentially affected by current and planned mines and associated facilities, and to design and implement strategies and plans to respect identified rights, interests, needs and perspectives.

D.06.1.a *Where applicable, can your company demonstrate at the corporate level that it has systems in place to ensure its operations: (6.00)*

(i) *Identify, through inclusive participation, all Indigenous Peoples groups potentially affected by current and planned mines and associated facilities?*

2 points The company has systems in place to ensure its operations identify, through inclusive participation, all Indigenous Peoples groups potentially affected by current and planned mines and associated facilities.

1 point The company has systems in place to ensure its operations identify all Indigenous Peoples groups potentially affected by current and planned mines and associated facilities, but these do not clearly ensure inclusive participation.

0.5 point The company shows evidence of activities or outcomes relating to identifying Indigenous Peoples groups potentially affected by current and planned mines and associated facilities, but does not show evidence of having systems in place OR The company shows evidence of systems in place to ensure its operations have a planned approach to engagement with Indigenous Peoples groups, but these do not clearly relate to identification of all affected groups.

(ii) *Identify the rights, interests and needs of these Indigenous Peoples groups?*

2 points The company has systems in place to ensure its operations identify the rights, interests and needs of these Indigenous Peoples groups OR the company has systems in place to conduct social and environmental impact assessments in the context of identified Indigenous Peoples groups.

1 point The company shows evidence that it has systems in place to ensure its operations identify the rights, interests and needs of these Indigenous Peoples groups, but there is limited evidence of the scope and detail of these systems.

0.5 point The company makes a statement of commitment relating to respecting the rights, interests and needs of these Indigenous Peoples groups, but does not show evidence of having systems in place

(iii) *Develop and implement strategies and plans to respect the rights, interests and needs of these Indigenous Peoples groups?*

2 points The company has systems relating to its operations developing and implementing strategies and plans to address to respect the rights, interests and needs of these Indigenous Peoples groups.

1 point The company shows evidence of its operations developing and implementing strategies and plans to address to respect the rights, interests and needs of these Indigenous Peoples groups, but does not show evidence of having appropriate systems in place OR The company has systems relating to its operations developing agreements with Indigenous Peoples groups, but not clearly including systems in place to develop and implement strategies and plans to respect the rights, interests and needs of these Indigenous Peoples groups.

0.5 point The company shows evidence of limited activities relating to its operations developing and implementing strategies and plans to address to respect the rights, interests and needs of these Indigenous Peoples groups, but does not show evidence of having appropriate systems in place OR The company shows evidence of systems relating to its operations developing and implementing relevant strategies and plans.

D.06.2 **Where applicable, the company tracks its performance on respecting the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups potentially affected by current and planned mines and associated facilities, demonstrating continuous improvement in avoiding adverse impacts and ensuring sustainable benefits and opportunities for these groups.**

D.06.2.a *Where applicable, can your company demonstrate that it systematically: (6.00)*

(i) *Tracks, against a baseline and/or target(s), its performance on respecting the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups potentially affected by current and planned mines and associated facilities?*

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- 2 points** The company systematically tracks, against a baseline and/or target(s), and discloses its performance on respecting the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups.
- 1 point** The company has systems in place to systematically track and disclose its performance on respecting the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups, but shows no evidence of having a baseline and/or target(s) OR The company shows evidence of tracking and disclosing its performance on respecting the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups, but not on a company-wide basis OR The company shows evidence of tracking and disclosing its performance on its formal agreements with Indigenous Peoples groups, but does not disclose evidence of tracking performance on wider issues relating to respecting the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups.
- 0.5 point** The company shows evidence of tracking and disclosing its performance on grievances, incidents and/or complaints specifically relating to Indigenous Peoples groups, but does not disclose evidence of tracking performance on wider issues relating to respecting the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups.
- (ii)** *Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to respect the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups potentially affected by current and planned mines and associated facilities?*
- 2 points** The company has systems in place to conduct regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to respecting the rights, interests, aspirations, culture and/or natural resource-based livelihoods of all Indigenous Peoples groups, with specific reference to effectiveness of measures.
- 1 point** The company has systems in place to conduct audits and/or reviews relating to respecting the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups, with specific reference to effectiveness of measures, but not on a company-wide basis, and with no evidence of auditing performance against a baseline and/or target(s).
- 0.5 point** The company shows evidence of systems in place to conduct reviews relating to respecting the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups, but without specific reference to the effectiveness of measures.
- (iii)** *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to respect the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups potentially affected by current and planned mines and associated facilities, in order to avoid adverse impacts and ensure sustainable benefits and opportunities for these groups?*
- 2 points** The company systematically acts on the findings of audits and/or reviews relating to respecting the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups to continuously improve the effectiveness of its measures taken.

- 1 point** The company describes specific corrective actions that it has implemented relating to respect the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups, but these are not clearly linked to a systematic response to audits and/or reviews and continuous improvement of management measures OR The company has systems in place to act on the findings of audits and/or reviews relating respecting the rights, interests, aspirations, culture and natural resource-based livelihoods of all Indigenous Peoples groups, but there is limited evidence of the scope and detail of these systems.

D.07 Free, Prior and Informed Consent

D.07.1 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.

D.07.1.a Can you company demonstrate at the corporate level that it has: (/6.00)

- (i)** *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?*

2 points The company commits to respect the right of Indigenous Peoples to FPIC and to support the extension the principle of FPIC to other project-affected groups in a formal document which covers all of company's activities and is endorsed by senior management.

1 point The company commits to respect the rights of Indigenous Peoples to FPIC in a formal document which covers all of company's activities and is endorsed by senior management, but does not clearly commit to support the extension the principle of FPIC to other project-affected groups OR The company refers to general FPIC-related principles in formal external communications, but does not commit to adherence to respect the right of Indigenous Peoples to FPIC and to support the extension the principle of FPIC to other project-affected group in a formal company document.

0.5 point The company makes a statement that refers to external policies and standards relating to Indigenous Peoples and FPIC (e.g. IFC PS 7 and/or the ICMM Position Statement), but does not commit to adherence to respect the right of Indigenous Peoples to FPIC and to support the extension the principle of FPIC to other project-affected group in a formal company document.

- (ii)** *Assigned senior management responsibilities and accountability for carrying out this commitment?*

2 points The company assigns one or more senior managers to be responsible and accountable for carrying out this commitment relating to Indigenous Peoples.

1 point The company assigns one or more senior managers to be responsible and accountable, but only discloses limited evidence of the responsibilities relevant to this commitment OR The company assigns Board-level responsibilities for carrying out this commitment, but there is no evidence of responsibilities and accountability assigned at senior-management level.

0.5 point The company assigns one or more senior managers to be responsible and accountable for human rights in general, but does not disclose evidence of the responsibilities specifically relevant to this commitment.

(iii) *Committed financial and staffing resources to implement this commitment?*

2 points The company has committed financial resources and corporate and/or operational-level dedicated staff responsible for coordinating efforts on its commitment to respect the right of Indigenous Peoples to FPIC, and to support the extension of the FPIC principle to other project-affected groups, and there is detailed information on the nature of these efforts.

1 point The company demonstrates its commitment to respect the right of Indigenous Peoples to FPIC, and to support the extension of the FPIC principle to other project-affected groups, by committing financial and staffing resources, but there is no evidence that this is done on a company-wide basis.

0.5 point The company describes resources it has committed to implement the commitment to respect the right of Indigenous Peoples to FPIC, and to support the extension of the FPIC principle to other project-affected groups, but there is limited information on the nature of these resource commitments.

D.08 Land Use and Resettlement

D.08.1 The company has systems in place to ensure its operations identify and assess potential opportunities for shared land use, and to design and implement strategies and plans to optimise these opportunities, while avoiding, minimising and mitigating any adverse impacts.

D.08.1.a *Can your company demonstrate at the corporate level that it: (/6.00)*

(i) *Has systems in place to ensure its operations assess their potential impacts on land use?*

2 points The company has systems in place to assess potential impacts on land use, specifically addressing impacts on land use outside of resettlement and rehabilitation, but not necessarily addressing potential opportunities for shared land use.

1 point The company provides limited evidence of having systems in place to assess potential impacts of its operations on land use, specifically addressing impacts on land use outside of resettlement and rehabilitation.

0.5 point The company provides limited evidence that Environmental and Social Impact Assessments include assessment of potential impacts of its operations on land use OR the company provides limited evidence of the results of its assessment of potential impacts on land use

(ii) *Has systems in place to ensure its operations develop strategies and plans to avoid, minimise and mitigate and identified adverse impacts?*

2 points The company has systems in place to develop strategies and plans to avoid adverse impacts on land use. The evidence specifically addresses impacts on land use outside resettlement and outside rehabilitation. The evidence does not need to specifically address potential opportunities for shared land use.

1 point The company provides limited evidence of having systems in place to ensure its operations develop strategies and plans to avoid adverse impacts on land use, and the evidence specifically addresses impacts on land use beyond resettlement and rehabilitation OR The company provides evidence of specific actions implemented to avoid adverse impacts on land use, and the evidence specifically addresses impacts on land use beyond resettlement and rehabilitation.

0.5 point The company provides limited evidence of having systems in place addressing land management OR evidence that impacts on land are considered in negotiations with communities.

(iii) *Systematically tracks the implementation of these strategies and plans?*

2 points The company has systems in place to track implementation of strategies and plans to optimise shared land use opportunities, and provides evidence of the results of systematic tracking

1 point The company has systems in place to track implementation of strategies and plans to optimise shared land use opportunities, but does not provide evidence of the results of systematic tracking OR the company provides evidence of the results of tracking, but no evidence of a company-wide system.

D.08.2 **The company has systems in place to ensure its operations identify and assess the potential impacts of the physical and/or economic displacement of project-affected people, and to design and implement strategies and plans to avoid, minimise and mitigate identified impacts, through inclusive participation, including by women and youth.**

D.08.2.a *Can your company demonstrate at the corporate level that it has systems in place to ensure its operations: (/6.00)*

(i) *Assess the potential impacts of physical and/or economic displacement of project-affected people?*

2 points The company has systems in place to assess the potential impacts of physical and/or economic displacement of project-affected people.

1 point The company provides evidence that it has systems in place relevant to assessing the potential impacts of physical and/or economic displacement of project-affected people, but there is limited evidence of the scope and detail of these systems.

0.5 point The company provides evidence of having systems in place relevant to assessing the potential impacts of physical and/or economic displacement of project-affected people, but there is very limited or no evidence of the scope and detail of these systems OR The company shows evidence of limited activities relating to assessing the potential impacts of physical and/or economic displacement of project-affected people, but does not show evidence of having company-wide systems.

(ii) *Develop strategies and plans to avoid, minimise and mitigate negative impacts?*

2 points The company has systems in place to develop strategies and plans to avoid, minimise and mitigate negative impacts.

1 point The company provides evidence that it has systems relevant to developing strategies and plans to avoid, minimise and mitigate negative impacts, but there is limited evidence of the scope and detail of these systems.

0.5 point The company provides evidence of having systems in place relevant to developing strategies and plans to avoid, minimise and mitigate negative impacts, but there is very limited or no evidence of the scope and detail of these systems OR The company shows evidence of limited activities relating to developing strategies and plans to avoid, minimise and mitigate negative impacts, but does not show evidence of having company-wide systems.

(iii) *Involve project-affected people, including women and youth, in the assessment of impacts and in the development of strategies to manage these impacts?*

- 2 points The company has systems in place to involve project-affected people in the assessment of impacts and in the development of strategies to manage these.
- 1 point The company shows evidence that it has systems for involving project-affected people in resettlement activities, but does not specifically refer to involving project-affected people in the assessment of impacts and in the development of strategies to manage these.
- 0.5 point The company describes systems relevant to involve project-affected people in the assessment of impacts and in the development of strategies to manage these, but there is very limited or no evidence of the scope and detail of these systems OR The company shows evidence of limited activities relating to involving project-affected people in resettlement activities, but does not show evidence of having company-wide systems.

D.08.3 The company tracks its performance on resettlement and acts upon the results, demonstrating continuous improvement in ensuring that livelihoods, livelihood security and living standards have been improved or restored.

D.08.3.a Can your company demonstrate that it systematically: (/6.00)

(i) Tracks, against a baseline and/or target(s), its performance on resettlement?

- 2 points The company systematically tracks, against a baseline and/or target(s), and discloses its performance on resettlement outcomes.
- 1 point The company discloses a narrative report relating to performance on resettlement, but does not demonstrate that it tracks, against a baseline and/or target(s), and discloses its performance on resettlement outcomes.
- 0.5 point The company shows evidence of limited activities relating to tracking and disclosing its performance, but does not show evidence of having company-wide systems.

(ii) Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to manage resettlement?

- 2 points The company systematically conducts regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to resettlement outcomes.
- 1 point The company shows evidence of conducting audits and/or reviews relating to resettlement outcomes, but not on a company-wide basis.
- 0.5 point The company shows evidence of conducting audits and/or reviews relating to resettlement outcomes, but not on a company-wide basis.

(iii) Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to manage resettlement, in order to ensure that livelihoods, livelihood security and living standards have been improved or restored?

- 2 points The company systematically acts on the findings of audits and/or reviews relating to improve the effectiveness of its measures taken to manage resettlement, in order to continuously improve the effectiveness of its measures taken.
- 1 point The company describes specific corrective actions that it has implemented relating to improving the effectiveness of its measures taken to manage resettlement, but these are not clearly linked to a systematic response to audits and/or reviews and continuous improvement of management measures.

D.09 Artisanal and Small-Scale Mining

D.09.1 Where applicable, the company has systems in place to ensure its operations facilitate ongoing and proactive engagement with artisanal and small-scale mining (ASM) communities and activities in and around their operations.

D.09.1.a *Where applicable, can your company demonstrate at the corporate level that it:* (/6.00)

(i) *Has systems in place to ensure its operations identify and map stakeholders operating in ASM activities around its operations?*

2 points The company has systems in place to ensure its operations identify and map stakeholders operating in ASM activities around its operations.

1 point The company shows evidence of activities relating to identifying and mapping stakeholders operating in ASM activities, but does not show evidence of having appropriate systems in place OR The company shows evidence that it has systems relevant to identifying and mapping stakeholders operating in ASM activities, but there is limited evidence of the scope and detail of these systems.

0.5 point The company shows evidence of activities relating to identifying and mapping stakeholders operating in ASM activities, but does not show evidence of having appropriate systems in place.

(ii) *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?*

2 points The company has systems in place to ensure its operations develop strategies and plans to engage with identified ASM stakeholders.

1 point The company shows evidence of activities relating to developing strategies and plans to engage with identified ASM stakeholders, but does not show evidence of having appropriate systems in place.

0.5 point The company shows evidence of activities relating to developing strategies and plans to engage with identified ASM stakeholders, but does not show evidence of having appropriate systems in place.

(iii) *Systematically tracks the implementation of these strategies and plans?*

2 points The company tracks the implementation of strategies and plans to address engagement with ASM stakeholders and discloses results relating to this tracking.

1 point The company has systems in place to track the implementation of strategies and plans to address engagement with ASM stakeholders, but does not disclose results relating to this tracking.

0.5 point The company shows evidence of activities relating to tracking the implementation of strategies and plans to address engagement with ASM stakeholders, but does not show evidence of having appropriate systems in place.

D.09.2 Where applicable, the company has systems in place to ensure its operations support technical assistance programmes and/or alternative livelihood programmes for ASM miners.

D.09.2.a *Where applicable, can your company demonstrate at the corporate that it has systems in place to ensure its operations:* (/6.00)

(i) *Assess the need for, and feasibility of, providing technical and livelihoods support to ASM communities around their operations?*

2 points The company has systems in place to assess the need for, and feasibility of, providing technical and/or livelihoods support to ASM communities around its operations.

1 point The company shows evidence of activities relating to assessing the need for, and feasibility of, providing technical and/or livelihoods support to ASM communities around its operations, but does not show evidence of having appropriate systems in place OR The company shows evidence that it has systems relevant to assessing the need for, and feasibility of, providing technical and/or livelihoods support to ASM communities around its operations, but there is limited evidence of the scope and detail of these systems.

(ii) *Develop strategies and plans according to these assessments?*

2 points The company has systems in place to develop strategies and plans to support technical assistance programmes and/or alternative livelihood programmes for ASM miners according to its assessments.

1 point The company shows evidence of activities relating to developing strategies and plans according to its assessments of the need for, and feasibility of, providing technical and livelihoods support to ASM communities around its operations, but does not show evidence of having appropriate systems in place.

0.5 point The company describes systems relevant to developing strategies and plans to support technical assistance programmes and/or alternative livelihood programmes for ASM miners, but there is very limited or no evidence of the scope and detail of these systems OR The company shows evidence of limited activities relating to developing strategies and plans to support technical assistance programmes and/or alternative livelihood programmes for ASM miners, but does not show evidence of having appropriate company-wide systems.

(iii) *Engage with ASM communities in these needs assessments and in the development of any technical assistance and/or alternative livelihood opportunities?*

2 points The company has systems in place to engage with ASM communities in its assessments of the need for, and feasibility of, providing technical and livelihoods support to ASM communities around its operations and/or in the development of any technical assistance and/or alternative livelihood opportunities.

1 point The company shows evidence of activities relating to engaging with ASM communities in its assessments of the need for, and feasibility of, providing technical and livelihoods support to ASM communities around its operations and/or in the development of any technical assistance and/or alternative livelihood opportunities, but does not show evidence of having appropriate systems in place.

0.5 point The company shows evidence of limited engagement with ASM communities in its assessments of the need for, and feasibility of, providing technical and livelihoods support to ASM communities around its operations and/or in the development of any technical assistance and/or alternative livelihood opportunities, but does not show evidence of having appropriate systems in place OR it does not show evidence of systems in place at a company-wide level.

D.10 Security and Conflict-affected Areas

D.10.1 The company tracks its performance on addressing potential human rights abuses related to its security management and acts upon the results, demonstrating continuous improvement in preventing and minimising these risks, in line with the Voluntary Principles on Security and Human Rights.

D.10.1.a Can your company demonstrate that it systematically: *(/6.00)*

(i) *Tracks, against a baseline and/or target(s) in line with the Voluntary Principles on Security and Human Rights, its performance on addressing potential human rights abuses related to its security management?*

2 points The company systematically tracks, against a baseline and/or target(s), and discloses its performance on addressing potential human rights abuses related to its security management.

1 point The company discloses information on its performance on addressing potential human rights abuses related to its security management, but shows no evidence of having a baseline and/or target(s) OR The company shows evidence of tracking and disclosing its performance on addressing potential human rights abuses related to its security management, against a baseline and/or target(s), but not on a company-wide basis.

0.5 point The company shows evidence of tracking the number of security-related incidents, but does not clearly disclose its performance on addressing potential human rights abuses related to its security management.

(ii) *Audits and/or reviews, against a baseline and/or target(s) in line with the Voluntary Principles on Security and Human Rights, the effectiveness of its measures taken to address potential human rights abuses related to its security management?*

2 points The company has systems in place to systematically conduct regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to addressing potential human rights abuses related to its security management.

1 point The company shows evidence that it has systems relevant to conducting audits and/or reviews relating to addressing potential human rights abuses related to its security management, but there is limited evidence of the scope and detail of these systems.

0.5 point The company shows evidence of audits and/or reviews related to addressing potential human rights abuses related to its security management, but not on a company-wide basis.

(iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to address potential human rights abuses related to its security management, in order to prevent and minimise these risks, in line with the Voluntary Principles on Security and Human Rights?*

2 points The company has systems in place at a company level to continuously improve the effectiveness of its measures taken to address potential human rights abuses related to its security management.

1 point The company describes specific corrective actions that it has implemented relating to addressing potential human rights abuses related to its security management, but these are not clearly linked to a systematic response to continuous improvement of management measures and not on a company-wide basis.

0.5 point The company shows limited evidence of measures taken to improve effectiveness on the basis of findings.

D.10.2 **The company has systems in place to ensure its operations carry out regular due diligence to identify and assess risks for workers and communities associated with their presence in any conflict-affected and high-risk areas, and to design and implement strategies to address identified risks.**

D.10.2.a *Can your company demonstrate at the corporate level that it: (6.00)*

(i) *Has systems in place to ensure its operations carry out due diligence to identify and assess risks for workers and communities associated with their presence in any conflict-affected and high-risk areas?*

2 points The company has systems in place relating to carry out due diligence to identify and assess risks for workers and communities associated with its operations' presence in any conflict-affected and high-risk areas and systematically disclosing these assessments OR (where appropriate) the company provides a Conflict-Free Gold report relating to its operations at a corporate level.

1 point The company shows evidence that it has systems in place relevant to carrying out due diligence to identify and assess risks for workers or communities associated with its operations' presence in any conflict-affected or high-risk areas, but there is limited evidence of the scope and detail of these systems.

0.5 point The company provides evidence of having systems relevant to assessing human rights risks in conflict-affected areas, but there is no evidence relating to identifying and assessing risks for workers and communities.

(ii) *Has systems in place to ensure its operations develop strategies and plans to address these identified impacts?*

2 points The company has systems in place relating to its operations developing strategies and plans to address risks and impacts for workers and communities associated with its operations' presence in any conflict-affected and high-risk areas.

1 point The company shows evidence that it has systems relevant to developing strategies and plans to address risks and impacts for workers and communities associated with its operations' presence in any conflict-affected and high-risk areas, but there is limited evidence of the scope and detail of these systems.

(iii) *Systematically tracks the implementation of these strategies and plans?*

2 points The company tracks the implementation of strategies and plans to address risks for workers and communities associated with its operations' presence in any conflict-affected and high-risk areas and discloses results relating to this tracking.

1 point The company shows evidence of tracking the implementation of strategies and plans to address risks for workers and communities associated with its operations' presence in any conflict-affected and high-risk areas, but not on a company-wide basis.

0.5 point The company describes systems relevant to tracking the implementation of strategies and plans to address risks for workers and communities associated with its operations' presence in any conflict-affected and high-risk areas, but there is very limited or no evidence of the scope and detail of these systems.

D.11 Grievance and Remedy

D.11.1 The company tracks the performance of its grievance mechanisms for communities and acts upon the results, demonstrating continuous improvement in effectively addressing claimants' concerns through appropriate remedy.

D.11.1.a Can your company demonstrate that it systematically: (6.00)

(i) *Tracks, against a baseline and/or target(s) based on claimants' perspective, the performance of its grievance mechanisms for communities?*

2 points The company systematically tracks, against a baseline and/or target(s), and discloses its performance of its grievance mechanisms for communities in effectively addressing claimants' concerns through appropriate remedy.

1 point The company discloses its performance on its performance of its grievance mechanisms for communities, but shows no evidence of having a baseline and/or target(s) OR The company shows evidence of tracking and disclosing its performance on its grievance mechanisms for communities, against a baseline and/or target(s), but not on a company-wide basis.

0.5 point The company discloses its performance on the number of grievances handled by its grievance mechanisms for communities, but does not disclose its performance in effectively addressing claimants' concerns through appropriate remedy.

(ii) *Audits and/or reviews, against a baseline and/or target(s) based on claimants' perspective, the effectiveness of its grievance mechanisms for communities, including access to remedy for claimants?*

2 points The company has systems in place to conduct regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its grievance mechanisms for communities, including access to remedy for claimants.

1 point The company shows evidence of systems in place to conduct regular audits and/or reviews of grievance mechanisms for communities, but the evidence does not clearly demonstrate that these cover the effectiveness of these mechanisms in addressing claimants' concerns through appropriate remedy.

0.5 point The company describes a process of audits and/or reviews of grievance mechanisms for communities which are planned, but have not yet been undertaken.

(iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its grievance mechanisms for communities, in order to effectively address claimants' concerns through appropriate remedy?*

2 points The company systematically acts on the findings of audits and/or reviews to continuously improve the effectiveness of its grievance mechanisms for communities.

1 point The company describes specific corrective actions that it has implemented to continuously improve the effectiveness of its grievance mechanisms for communities, but these are not clearly linked to a systematic response to audits and/or reviews.

0.5 point The company describes a process of audits and/or reviews and subsequent improvements of grievance mechanisms for communities which are planned, but have not yet been undertaken.

E Working conditions

E.01 Living Wage

E.01.1 The company tracks its performance on wages and acts upon the results, demonstrating continuous improvement in meeting or exceeding verified living wage standards, or legal minimum wage, whichever is the highest.

E.01.1.a Can your company demonstrate that it systematically: (/6.00)

(i) Tracks the levels of workers' wages against living wage standards, or legal minimum wage, whichever is the highest?

2 points The company tracks the levels of workers' wages against living wage standards, or legal minimum wage, whichever is the highest.

1 point The company shows evidence of some activities of tracking the levels of workers' wages against living wage standards, or legal minimum wage, but not on a company-wide basis.

0.5 point The company shows evidence of comparing workers' wages against living wage standards, or legal minimum wage, but not ongoing tracking and not on a company-wide basis.

(ii) Audits and/or reviews the levels of wages against living wage standards, or legal minimum wage, whichever is the highest?

2 points The company has systems in place for conducting audits and/or reviews, against a baseline and/or target(s), of its measures taken to improve its performance on ensuring its wages meet or exceed verified living wage standards or legal minimum wage, whichever is highest.

1 point The company has systems in place for developing plans to improve its performance on ensuring its wages meet or exceed verified living wage standards or legal minimum wage, whichever is highest, but these are not clearly linked to audits and/or reviews.

(iii) Acts on the findings of these audits and/or reviews to continuously improve its performance on how it pays all workers at living wage standards, or legal minimum wage, whichever is the highest?

2 points The company has systems in place to conduct regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to improve its performance on ensuring its wages meet or exceed verified living wage standards or legal minimum wage, whichever is highest.

1 point The company has systems in place for developing plans to improve its performance on ensuring its wages meet or exceed verified living wage standards or legal minimum wage, whichever is highest, but these are not clearly linked to audits and/or reviews and continuous improvement of management systems and not on a company-wide basis.

E.02 Occupational Health and Safety

E.02.1 The company commits to ensure safe and healthy working conditions.

E.02.1.a Can your company demonstrate at the corporate level that it has:

(i) Formalised its commitment, that is endorsed by senior management, to ensure safe and healthy working conditions?

2 points The company commits to ensure safe and healthy working conditions in a formal document which covers all of company's activities and is endorsed by senior management.

1 point The company commits to ensure safe and healthy working conditions in a formal document which covers all of the company's activities but there is no evidence that this commitment is endorsed by senior management OR The company commits to ensure safe and healthy working conditions in a formal document that is endorsed by senior management but does not cover all of the company's activities.

(ii) *Assigned senior management responsibilities and accountability for carrying out this commitment?*

2 points The company assigns one or more senior managers to be responsible and accountable for carrying out this commitment.

1 point The company assigns one or more senior managers to be responsible and accountable, but only discloses limited evidence of the responsibilities relevant to this commitment OR The company assigns Board-level responsibilities for carrying out this commitment, but there is no evidence of responsibilities and accountability assigned at senior-management level.

(iii) *Committed financial and staffing resources to implement this commitment?*

2 points The company has operational-level dedicated staff responsible for coordinating efforts on its commitment to ensure safe and healthy working conditions and there is detailed evidence of the nature of these efforts.

1 point The company has operational-level staff responsible for coordinating efforts on some aspects of its commitment to ensure safe and healthy working conditions, but there is only limited evidence of the nature of these efforts OR The company demonstrates that it conducts activities to deliver its commitment to ensure safe and healthy working conditions in a way which requires committed financial and staffing resources, but there is no evidence that these are done on a company-wide basis.

E.02.2 **The company has systems in place to ensure its operations address the specific health and safety needs of women workers.**

E.02.2.a *Can your company demonstrate at the corporate level that it has systems in place to ensure its operations take specific measures to prevent:*

(i) *Intimidation and moral harassment of women workers?*

2 points The company has systems in place to prevent intimidation and moral harassment of women workers.

1 point The company shows that it has systems in place to prevent intimidation and moral harassment of women workers, but there is limited evidence of the scope and detail of these systems OR The company shows evidence of activities relating to preventing intimidation and moral harassment of women workers, but does not show evidence of having company-wide systems in place.

(ii) *Sexual harassment of women workers?*

2 points The company has systems in place to prevent sexual harassment of women workers.

1 point The company shows that it has systems relevant to preventing sexual harassment of women workers, but there is limited evidence of the scope and detail of these systems OR The company shows evidence of activities relating to preventing sexual harassment of women workers, but does not show evidence of having company-wide systems in place.

- (iii)** *Gender-related violence against women workers?*
- 2 points** The company has systems in place to prevent gender-related violence against women workers.
- 1 point** The company shows that it has systems relevant to preventing gender-related violence against women workers, but there is limited evidence of the scope and detail of these systems OR The company shows evidence of activities relating to preventing gender-related violence against women workers, but does not show evidence of having company-wide systems in place.
- E.02.2.b** *Can your company demonstrate at the corporate level that it has systems in place to ensure its operations provide gender-appropriate:*
- (i)** *Sanitation facilities (e.g.: toilets, showers)?*
- 2 points** The company has systems in place to provide gender-appropriate sanitation facilities.
- 1 point** The company shows that it has systems relevant to providing gender-appropriate sanitation facilities, but there is limited evidence of the scope and detail of these systems OR The company shows evidence of activities relating to providing gender-appropriate sanitation facilities, but does not show evidence of having company-wide systems in place.
- (ii)** *Safety equipment (e.g.: PPE designed for women)?*
- 2 points** The company has systems in place to provide gender-appropriate safety equipment.
- 1 point** The company shows that it has systems relevant to providing gender-appropriate safety equipment, but there is limited evidence of the scope and detail of these systems OR The company shows evidence of activities relating to providing gender-appropriate safety equipment, but does not show evidence of having company-wide systems in place.
- (iii)** *Health services (e.g.: for family planning and sexual health)?*
- 2 points** The company has systems in place to provide gender-appropriate health services.
- 1 point** The company shows that it has systems relevant to providing gender-appropriate health services, but there is limited evidence of the scope and detail of these systems OR The company shows evidence of activities relating to providing gender-appropriate health services, but does not show evidence of having company-wide systems in place.
- E.02.3** **The company tracks its performance on occupational health and safety and acts upon the results, demonstrating continuous improvement in ensuring a safe and healthy working environment for all workers.**
- E.02.3.a** *Can your company demonstrate that it systematically:*
- (i)** *Tracks, against a baseline and/or target(s), its performance on occupational health and safety?*
- 2 points** The company systematically tracks and discloses, against a baseline and/or target(s), its performance on occupational health AND safety.
- 1 point** The company discloses, against a baseline and/or target(s), its performance on either occupational health OR safety.
- 0.5 point** The company shows limited evidence of setting targets on either occupational health OR safety.
- (ii)** *Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to ensure a safe and healthy working environment for all workers?*

2 points The company systematically conducts regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures taken to ensure a safe and healthy working environment for all workers.

1 point The company conducts audits and/or reviews relating to ensuring a safe and healthy working environment, but not systematically OR does not clearly relate these to the effectiveness of management measures.

0.5 point The company describes inspections implemented to ensure a safe and healthy working environment, but there is very limited or no evidence of the scope and detail of these systems.

(iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to ensure a safe and healthy working environment for all workers?*

2 points The company systematically acts on the findings of audits and/or reviews relating to ensuring a safe and healthy working environment to continuously improve the effectiveness of its measures taken.

1 point The company describes its implementation of specific corrective actions relating to ensuring a safe and healthy working environment, but these are not clearly linked to a systematic response to audits and/or reviews and continuous improvement of management measures.

0.5 point The company shows limited evidence of measures taken to improve effectiveness on the basis of findings related to performance in Occupational Health and Safety.

E.03 Rights to Organize, Collective Bargaining and Freedom of Association

E.03.1 The company has systems in place to ensure its operations actively respect the rights of workers to organise, collective bargaining and freedom of association.

E.03.1.a *Can your company demonstrate at the corporate level that it has systems in place to ensure its operations respect the rights of workers to: (/6.00)*

(i) *Organise, including by granting access to designated areas for labour organisers to meet with workers?*

2 points The company has systems in place to ensure its operations respect the rights of workers to organise, including by granting access to designated areas for labour organisers to meet with workers.

1 point The company provides evidence that it has systems relevant to ensuring its operations respect the rights of workers to organise, but there is limited evidence of the scope and detail of these systems OR The company provides evidence of activities relating to ensuring its operations respect the rights of workers to organise, but does not show evidence of having company-wide systems in place.

(ii) *Collective bargaining, including by developing formal collective bargaining agreements?*

2 points The company has systems in place to ensure its operations respect the rights of workers to collective bargaining, and systematically develops formal collective bargaining agreements.

1 point The company has systems in place to ensure its operations respect the rights of workers to collective bargaining, but limited evidence of developing formal collective bargaining agreements.

0.5 point The company provides evidence of activities relating to developing formal collective bargaining agreements, but does not provide evidence of having formal company-wide systems in place to ensure its operations respect the rights of workers to collective bargaining.

(iii) *Freedom of association, including by allowing union meetings on site?*

2 points The company has systems in place to ensure its operations respect the rights of workers to freedom of association, and systematically allows union meetings on site.

1 point The company has systems in place to ensure its operations respect the rights of workers to freedom of association, and limited evidence of allowing union meetings on site.

E.04 Worker Recourse

E.04.1 The company tracks the performance of its grievance mechanisms for workers and acts upon the results, demonstrating continuous improvement in effectively addressing claimants' concerns, through appropriate remedy.

E.04.1.a *Can your company demonstrate that it systematically: (/6.00)*

(i) *Tracks, against a baseline and/or target(s) based on claimants' perspective, the performance of its grievance mechanisms for workers?*

2 points The company systematically tracks, against a baseline and/or target(s), and discloses the performance of its grievance mechanisms for workers in effectively addressing claimants' concerns through appropriate remedy.

1 point The company discloses its performance on its grievance mechanisms for workers, but shows no evidence of having a baseline and/or target(s) OR The company provides evidence of tracking and disclosing its performance on its performance of its grievance mechanisms for workers, against a baseline and/or target(s), specifically referring to grievances related to or brought by workers, but not on a company-wide basis.

0.5 point The company discloses its performance on the number of grievances handled by its grievance mechanisms for workers, but does not disclose its performance in effectively addressing claimants' concerns through appropriate remedy.

(ii) *Audits and/or reviews, against a baseline and/or target(s) based on claimants' perspective, the effectiveness of its grievance mechanisms for workers, including access to remedy for claimants?*

2 points The company provides evidence of systems in place to conduct regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its grievance mechanisms for workers, including access to remedy for claimants.

1 point The company provides evidence of systems in place to conduct regular audits and/or reviews of grievance mechanisms for workers, but the evidence does not clearly demonstrate that these cover the company's effectiveness in addressing claimants' concerns through appropriate remedy.

(iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its grievance mechanisms for workers in order to effectively address claimants' concerns through appropriate remedy?*

2 points The company systematically acts on the findings of audits and/or reviews to continuously improve the effectiveness of its grievance mechanisms for workers.

- 1 point The company describes specific corrective actions that it has implemented to continuously improve the effectiveness of its grievance mechanisms for workers, but these are not clearly linked to a systematic response to audits and/or reviews.
- 0.5 point The company describes a process of audits and/or reviews and subsequent improvements of grievance mechanisms for workers which are planned, but have not yet been undertaken.

E.05 Non-Discrimination and Equal Opportunity

E.05.1 The company has systems in place to ensure its operations base their employment relationships on the principle of equal opportunity, actively preventing all forms of discrimination in the workplace and promoting workforce diversity.

E.05.1.a *Can your company demonstrate at the corporate level that it has systems in place to ensure its operations: (/6.00)*

(i) *Take specific measures to reflect its non-discrimination policies in their terms and conditions of employment?*

2 points The company has systems in place to ensure its operations take specific measures to reflect its non-discrimination policies in its terms and conditions of employment.

1 point The company has specific measures in place to reflect its non-discrimination policies in its terms and conditions of employment, but not on a company-wide basis OR these policies are implemented on a company-wide basis, but only refer to a particular group.

0.5 point The company has specific measures in place to reflect its non-discrimination policies in its terms and conditions of employment, but there is limited evidence of the scope and detail of these systems and measures are not implemented on a company-wide basis.

(ii) *Take specific measures to implement trainings to raise awareness on discrimination among management staff and workers or take other actions aiming at preventing and addressing issues of discrimination in the workplace?*

2 points The company has systems in place to ensure its operations raise awareness of discrimination among management staff and workers or takes other actions aimed at preventing and addressing issues of discrimination in the workplace.

1 point The company implements specific measures to raise awareness of discrimination among management staff and workers or takes other actions aimed at preventing and addressing issues of discrimination in the workplace, but not on a company-wide basis OR only with reference to a particular group.

0.5 point The company has specific measures in place to implement trainings to raise awareness on discrimination among management staff and workers or take other actions aiming at preventing and addressing issues of discrimination in the workplace, but there is limited evidence of the scope and detail of these systems and measures are not implemented on a company-wide basis.

(iii) *Set targets regarding diversity and inclusivity in its recruitment and employment practices?*

2 points The company has systems in place to ensure its operations set targets regarding diversity and inclusivity in its recruitment and employment practices.

1 point The company has systems in place to ensure its operations set targets regarding diversity and inclusivity in its recruitment and employment practices, but not on a company-wide basis OR only with reference to a particular group.

0.5 point The company has systems in place to ensure its operations set targets regarding diversity and inclusivity in its recruitment and employment practices, but there is limited evidence of the scope and detail of these systems and measures are not implemented on a company-wide basis.

E.05.1.b *Can your company demonstrate at the corporate level that it has systems in place to ensure its operations provide: (/6.00)*

(i) *Family-friendly working environments?*

2 points The company has systems in place to ensure its operations provide family-friendly working environments.

1 point The company has systems in place to ensure its operations provide family-friendly working environments, but these are limited in scope and/or coverage.

0.5 point The company provides evidence that it has systems in place to ensure its operations provide family-friendly working environments, but there is limited evidence of the scope and detail of these systems.

(ii) *Adapted working environments for people with disabilities?*

2 points The company has systems in place to ensure its operations provide adapted working environments for people with disabilities.

1 point The company has systems in place to ensure its operations provide adapted working environments for people with disabilities, but there is no indication of the extent to which these systems are implemented on a company-wide basis.

0.5 point The company provides evidence that it has systems in place to ensure its operations provide adapted working environments for people with disabilities, but there is limited evidence of the scope and detail of these systems.

(iii) *Recruitment support for underrepresented groups?*

2 points The company has systems in place to ensure its operations provide recruitment support for underrepresented groups.

1 point The company has systems in place to ensure its operations provide recruitment support for underrepresented groups, but there is no indication of the extent to which these systems are implemented on a company-wide basis.

0.5 point The company provides evidence that it has systems in place to ensure its operations provide recruitment support for underrepresented groups, but there is limited evidence of the scope and detail of these systems.

E.06 Elimination of Forced Labour and Child Labour

E.06.1 **The company has systems in place to carry out regular due diligence 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.**

E.06.1.a *Can your company demonstrate at the corporate level that it: (/6.00)*

(i) *Has systems in place to carry out due diligence 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?*

2 points The company has systems in place to carry out due diligence to identify and assess potential risks of all forms of forced and child labour in its areas of operations and entire supply chain.

1 point The company has systems in place to carry out due diligence to identify and assess potential risks of forced or child labour in its operations and/or supply chain, but not both OR The company has systems in place to carry out due diligence to identify and assess potential risks of forced and child labour, but there is limited evidence of the scope and detail of these systems.

0.5 point The company provides evidence that it has systems in place which are relevant to carrying out due diligence to identify and assess potential risks of forced and/or child labour in its operations and/or supply chain, but there is limited evidence of the scope and detail of these systems.

(ii) *Has systems in place to develop strategies and plans to address these identified impacts?*

2 points The company has systems in place to develop strategies and plans to address identified potential risks of forced and child labour.

1 point The company has systems in place to develop strategies and plans to address identified potential risks of forced OR child labour, but not both OR The company has systems in place to develop strategies and plans to address identified potential risks of forced and child labour, but there is limited evidence of the scope and detail of these systems.

0.5 point The company provides evidence that it has systems in place which are relevant to developing strategies and plans to address identified potential risks of forced and child labour, but there is very limited evidence of the scope and detail of these systems.

(iii) *Systematically tracks the implementation of these strategies and plans?*

2 points The company systematically tracks the implementation of its strategies and plans regarding forced, compulsory, trafficked and child labour in its areas of operations and entire supply chain.

1 point The company provides limited evidence that it systematically tracks the implementation of its strategies and plans regarding forced, compulsory, trafficked and child labour in its areas of operations and entire supply chain.

0.5 point The company provides limited evidence that it systematically tracks the implementation of its strategies and plans regarding forced, compulsory, trafficked and child labour in its areas of operations and entire supply chain, but there is limited evidence of the scope and detail of these systems.

F Environmental Responsibility

F.01 Environmental Stewardship

F.01.1 The company commits to manage its environmental impacts systematically, through the mitigation hierarchy approach.

F.01.1.a Can your company demonstrate at the corporate level that it has: (/6.00)

(i) Formalised its commitment, that is endorsed by senior management, to manage its environmental impacts systematically, through the mitigation hierarchy approach?

2 points The company commits to manage its environmental impacts systematically, through the mitigation hierarchy approach, in a formal document which covers all of company's activities and is endorsed by senior management.

1 point The company commits to manage its environmental impacts systematically in a formal document which covers all of company's activities and is endorsed by senior management, but does not clearly refer to application of a mitigation hierarchy approach OR The company describes systematically managing its environmental impacts in formal external communications, but there is no evidence that this is a commitment that is endorsed by senior management.

(ii) Assigned senior management responsibilities and accountability for carrying out this commitment?

2 points The company assigns one or more senior managers to be responsible and accountable for carrying out its commitment to manage environmental impacts systematically, through the mitigation hierarchy approach.

1 point The company assigns one or more senior managers to be responsible and accountable for its commitment to manage environmental impacts systematically, but only discloses limited evidence of the responsibilities relevant to this commitment OR The company assigns Board-level responsibilities for carrying out this commitment, but there is no evidence of responsibilities and accountability assigned at senior-management level.

(iii) Committed financial and staffing resources to implement this commitment?

2 points The company has corporate and/or operational-level dedicated staff responsible for coordinating efforts on its commitment to manage its environmental impacts systematically, through the mitigation hierarchy approach and there is detailed evidence of the nature of these efforts OR The company systematically conducts activities to deliver its commitment to manage its environmental impacts, through the mitigation hierarchy approach in a way which requires committed financial and staffing resources.

1 point The company conducts activities to deliver its commitment to manage environmental impacts systematically, in a way which requires committed financial and staffing resources, but there is no evidence that this is done on a company-wide basis OR The company describes financial and staffing resources it has committed to implement this commitment, but there is limited or no evidence of the specific resources committed.

0.5 point The company demonstrates that it conducts activities to deliver its commitment to manage environmental impacts systematically, in a way which requires committed financial and staffing resources, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the activities conducted.

F.01.2 The company has systems in place to ensure its operations conduct regular assessments of its environmental impacts through an integrated approach, and to disclose them.

F.01.2.a *Can your company demonstrate at the corporate level that it:*

(i) *Has systems in place to ensure its operations identify environmental baseline conditions and changes, through an integrated approach?*

2 points The company has systems in place to ensure its operations identify environmental baseline conditions and changes, through an integrated approach.

1 point The company provides evidence of systems in place to ensure its operations identify environmental baseline conditions and changes, but there is limited evidence of the scope and detail of these systems.

0.5 point The company describes its identifying environmental baseline conditions, but there is limited evidence of the scope and detail of these activities or systems.

(ii) *Has systems in place to ensure its operations identify and assess the environmental impacts of its activities, through an integrated approach?*

2 points The company has systems in place to ensure its operations identify and assess the environmental impacts of its activities, through an integrated approach.

1 point The company provides evidence of systems in place to ensure its operations identify and assess the environmental impacts of its activities, but there is limited evidence of the scope and detail of these systems.

0.5 point The company describes how it identifies and assesses the environmental impacts of its activities, but there is limited evidence of the scope and detail of these activities or systems.

(iii) *Regularly and systematically discloses its assessments of environmental impacts?*

2 points The company regularly and systematically discloses its assessments of environmental impacts.

1 point The company discloses at least two of its assessments of environmental impacts, but not on a company-wide basis.

0.5 point The company discloses one of its assessments of environmental impacts, but does not do so on a company-wide basis.

F.01.2.b *Can your company demonstrate at the corporate level that its operations' disclosure of their assessments of environmental impacts involve:*

(i) *Permanent and cost-free availability of these assessment reports for local stakeholders (e.g. communities, local governments)?*

2 points The company ensures that its operations' disclosures of their assessments of environmental impacts involve permanent and cost-free availability for local stakeholders.

1 point The company ensures that its operations' disclosures of their assessments of environmental impacts involve permanent OR cost-free availability for local stakeholders.

0.5 point The company discloses some of its operations' assessments of environmental impacts, but does not clearly make them available in a way which is permanent or cost-free.

(ii) *Availability of these assessment reports and/or detailed summaries in local languages to enable local stakeholders to understand them?*

2 points The company ensures that its operations' disclosures of their assessments of environmental impacts involve availability in all appropriate local languages.

1 point The company has systems in place to ensure that its operations' disclosures of their assessments of environmental impacts involve availability in local languages, but this policy does not involve translation into all appropriate languages.

0.5 point The company discloses some of its operations' assessments of environmental impacts in local languages, but this policy is not enacted on a company-wide basis.

(iii) *Presentations of and discussions about these assessment reports with local stakeholders?*

2 points The company ensures that its operations' disclosures of their assessments of environmental impacts involve presentations of and discussions about these assessment reports with local stakeholders.

1 point The company ensures that its operations' disclosures of their assessments of environmental impacts involve engagement with local stakeholders on some aspects of these impacts.

0.5 point The company engages with local stakeholders on their assessments of environmental impacts at some operations, but not on a company-wide basis.

F.01.3 **The company tracks its performance on managing its environmental impacts and acts upon the results, demonstrating continuous improvement in avoiding, minimising, mitigating and offsetting these impacts.**

F.01.3.a *Can your company demonstrate that it systematically:*

(i) *Tracks, against a baseline and/or target(s), its performance on managing its environmental impacts?*

2 points The company systematically tracks, against a baseline and/or target(s), its performance on managing its environmental impacts and acting upon the results.

1 point The company provides evidence of systems it has in place for tracking its performance on managing its environmental impacts and acting upon the results, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the results of this tracking.

0.5 point The company provides evidence of systems it has in place for tracking its performance on managing its environmental impacts and acting upon the results, but there is no evidence that this is done on a company-wide basis and there is no evidence of the results of this tracking.

(ii) *Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to manage its environmental impacts?*

2 points The company has systems in place for auditing and/or reviewing the effectiveness of the measures it has taken to manage its environmental impacts, with specific reference to baselines and/or targets.

1 point The company provides evidence of systems it has in place for auditing and/or reviewing the measures it has taken to manage its environmental impacts, with specific reference to the effectiveness of these measures.

0.5 point The company provides evidence of systems it has in place for auditing and/or reviewing the measures it has taken to manage its environmental impacts, but there is no specific reference to the effectiveness of these measures.

(iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to manage its environmental impacts, in order to avoid, minimise, mitigate and offset these impacts?*

2 points The company systematically acts on the findings of any audits and/or reviews it has conducted to continuously improve the effectiveness of its measures taken to manage its environmental impacts, in order to avoid, minimise, mitigate and offset these impacts

1 point The company provides evidence of systems it has in place to develop plans to continuously improve the effectiveness of its measures taken to manage its environmental impacts, with evidence of the contents of these plans and the measures taken, but there is no explicit reference to audits and/or reviews.

0.5 point The company provides evidence of systems it has in place to develop plans to continuously improve the effectiveness of its measures taken to manage its environmental impacts, but there is no evidence of the contents of these plans and the measures taken, and/or it is not clear that these systems are enacted on a company-wide basis.

F.02 Tailings Management

F.02.1 **Where applicable, the company tracks its performance on addressing potential risks related to its tailings facilities, including seepage and tailings dam failure, and acts upon the results, demonstrating continuous improvement in avoiding, minimising and mitigating these risks.**

F.02.1.a *Can your company demonstrate that it systematically: (/6.00)*

(i) *Tracks, against a baseline and/or target(s), its performance on addressing potential risks related to its tailings facilities, including seepage and tailings dam failure?*

2 points The company systematically tracks, against a baseline and/or target(s), its performance on addressing potential risks related to its tailings facilities.

1 point The company tracks, against a baseline and/or target(s), its performance on addressing potential risks related to its tailings facilities, but not on a company-wide basis.

0.5 point The company describes its tracking of performance on addressing potential risks related to its tailings facilities, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the activities conducted.

(ii) *Carries out third-party audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to address potential risks related to its tailings facilities, including seepage and tailings dam failure?*

2 points The company systematically carries out third-party audits and/or reviews of the effectiveness of its measures taken to address potential risks related to its tailings facilities.

1 point The company carries out third-party audits and/or reviews of the effectiveness of its measures taken to address potential risks related to its tailings facilities, but not on a company-wide basis OR The company carries out some audits and/or reviews of the effectiveness of its measures taken to address potential risks related to its tailings facilities, but not carried out by third parties.

0.5 point The company describes audits and/or reviews of the effectiveness of its measures taken to address potential risks related to its tailings facilities, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the activities conducted.

(iii) *Acts on the findings of these third-party audits to continuously improve the effectiveness of its measures taken to address potential risks related to its tailings facilities, including seepage and tailings dam failure, in order to avoid, minimise and mitigate these risks?*

2 points The company systematically acts on the findings of its audits or reviews to continuously improve the effectiveness of its measures taken to address potential risks related to its tailings facilities.

1 point The company provides evidence of actions it has taken to continuously improve the effectiveness of its measures taken to address potential risks related to its tailings facilities, but not on a company-wide basis and/or without explicit reference to audits and/or reviews.

0.5 point The company describes actions implemented to continuously improve the effectiveness of its measures taken to address potential risks related to its tailings facilities, but there is no evidence that these are done on a company-wide basis and there is limited information on their scope and content.

F.03 Air

F.03.1 The company publicly discloses mine-site-level air quality monitoring data, throughout its operations.

F.03.1.a *Which of your mine sites can demonstrate that they systematically publicly disclose their mine-site-level air quality monitoring data? (/6.00)*

6 points The company systematically discloses all relevant information about mine-site-level air quality monitoring data covering all of the company's mining operations, systematically available through a centralised source.

5 points The company discloses all mine-site-level air quality monitoring data covering more than 75% of the company's mining operations, but these are not systematically available through a centralised source.

4 points The company discloses all mine-site-level air quality monitoring data covering more than 50% of the company's mining operations, but for less than 75% of the company's mining operations.

3 points The company discloses all mine-site-level air quality monitoring data for at least one mine site, but for less than 50% of the company's mining operations.

2 points The company discloses limited mine-site-level air quality monitoring data covering more than 50% of the company's mining operations, but does not disclose all relevant information.

1 point The company discloses limited mine-site-level air quality monitoring data for at least one mine site, but for less than 50% of the company's mining operations, but does not disclose all relevant information.

0 point The company does not disclose any evidence that that it systematically publicly discloses its mine-site-level air quality monitoring data.

- F.03.1.b** *Can your company demonstrate that its mine-site-level air quality monitoring data are systematically disclosed: (/6.00)*
- (i)** *In a manner that allows local communities to access and understand them?*
- 2 points** The company systematically discloses mine-site-level air quality monitoring data, throughout its operations, in a manner that allows local communities to access and understand them.
- 1 point** The company discloses limited mine-site-level air quality monitoring data in a manner that allows local communities to access and understand them, but not on a company-wide basis.
- (ii)** *In a machine-readable format?*
- 2 points** The company systematically discloses mine-site-level air quality monitoring data, throughout its operations, in a machine-readable format.
- 1 point** The company discloses limited mine-site-level air quality monitoring data in a machine-readable format, but not on a company-wide basis.
- (iii)** *In a way that ensures the information remains permanently available?*
- 2 points** The company systematically discloses mine-site-level air quality monitoring data, throughout its operations, in a way that ensures the information remains permanently available.
- 1 point** The company discloses limited mine-site-level air quality monitoring data in a way that ensures the information remains permanently available, but not on a company-wide basis.

F.04 **Water**

F.04.1 **The company has systems in place to ensure its operations identify and assess their impacts on water quality and quantity in the catchments or regional basins they operate in, and to design and implement water stewardship strategies and plans to respect the water needs and rights of the affected area, including the environment, communities, farmers, and other water-dependent industries.**

- F.04.1.a** *Can your company demonstrate at the corporate level that it: (/6.00)*
- (i)** *Has systems in place to ensure its operations identify and assess their impacts on water quality and quantity in the catchments or regional basins they operate in?*
- 2 points** The company has systems in place to ensure its operations identify and assess their impacts on water quality and quantity in the catchments or regional basins they operate in.
- 1 point** The company provides evidence of systems it has in place to ensure its operations identify and assess their impacts on water quality and quantity in the catchments or regional basins in which it operates.
- 0.5 point** The company describes how it identifies and assesses impacts on water quality and quantity in catchments or regional basins, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the activities conducted OR The company has relevant systems in place.
- (ii)** *Has systems in place to ensure its operations develop water stewardship strategies and plans to respect the water needs and rights of the affected area, including the environment, communities, farmers, and other water-dependent industries?*

- 2 points** The company has systems in place to ensure its operations develop water stewardship strategies and plans to respect the water needs and rights of the affected area.
- 1 point** The company provides limited evidence of systems in place to ensure its operations develop water stewardship strategies and plans to respect the water needs and rights of the affected area.
- 0.5 point** The company makes a statement OR takes action relevant to developing water stewardship strategies and plans to respect the water needs and rights of the affected area, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the activities conducted.

(iii) *Systematically tracks the implementation of these water stewardship strategies?*

- 2 points** The company systematically tracks the implementation of its water stewardship strategies.
- 1 point** The company tracks the implementation of its water stewardship strategies, but not on a company-wide basis.
- 0.5 point** The company has systems it has in place for tracking the implementation of some water stewardship strategies, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the activities conducted.

F.04.1.b *Can your company demonstrate that it has systems in place to ensure its operations' strategies for managing their impacts on water quality and quantity: (6.00)*

(i) *Are designed in collaboration with affected stakeholders (e.g. communities, farmers, industries)?*

- 2 points** The company has systems in place to ensure its operations' strategies for managing their impacts on water quality and quantity are designed in collaboration with affected stakeholders.
- 1 point** The company provides limited evidence of systems it has in place to ensure its operations' strategies for managing their impacts on water quality and quantity are designed in collaboration with affected stakeholders.
- 0.5 point** The company provides evidence of systems it has in place relevant to ensuring its operations' strategies for managing their impacts on water quality and quantity are designed in collaboration with affected stakeholders, but there is no evidence that this is done on a company-wide basis and/or there is limited evidence of the activities conducted.

(ii) *Are tracked (to ensure implementation) in collaboration with affected stakeholders?*

- 2 points** The company has systems in place to ensure its operations' strategies for managing their impacts on water quality and quantity are tracked in collaboration with affected stakeholders.
- 1 point** The company provides evidence of systems it has in place to ensure its operations' strategies for managing their impacts on water quality and quantity are tracked in collaboration with affected stakeholders, but only discloses limited evidence of these systems.
- 0.5 point** The company provides evidence of systems it has in place relevant to ensuring that its operations' strategies for managing their impacts on water quality and quantity are tracked in collaboration with affected stakeholders, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the activities conducted.

(iii) *Take into consideration ecological needs (biodiversity, ecosystem services, etc)?*

2 points The company has systems in place to ensure its operations' strategies for managing their impacts on water quality and quantity take into consideration ecological needs.

1 point The company provides limited evidence of systems it has in place to ensure its operations' strategies for managing their impacts on water quality and quantity take into consideration ecological needs.

0.5 point The company describes how it ensures its strategies for managing its operations' impacts on water quality and quantity take into consideration ecological needs, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the activities conducted.

F.04.2 **The company tracks its performance on water management, both for quality and quantity, and acts upon the results, demonstrating continuous improvement in reducing its water consumption and its adverse impacts on water quality, to improve water security for other stakeholders in the catchments or regional basins it operates in.**

F.04.2.a *Can your company demonstrate that it systematically: (/6.00)*

(i) *Tracks, against a baseline and/or target(s), its performance on reducing its water consumption and its adverse impacts on water quality?*

2 points The company systematically tracks, against a baseline and/or target(s), its performance on reducing its water consumption and its adverse impacts on water quality.

1 point The company tracks, against a baseline and/or target(s), its performance on reducing its water consumption OR its adverse impacts on water quality, but not both.

0.5 point The company tracks its performance on reducing its water consumption OR its adverse impacts on water quality, but not both and not against a baseline and/or target(s).

(ii) *Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to reduce its water consumption and its adverse impacts on water quality?*

2 points The company systematically audits and/or reviews the effectiveness of its measures taken to reduce its water consumption and its adverse impacts on water quality.

1 point The company has systems in place to conduct audits and/or reviews the effectiveness of its measures taken to reduce its water consumption and its adverse impacts on water quality, but not on a company-wide basis.

0.5 point The company provides a single example of an audit and/or review of the effectiveness of its measures taken to reduce its water consumption and its adverse impacts on water quality, but not on a company-wide basis.

(iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to reduce its water consumption and its adverse impacts on water quality, in order to improve water security for other stakeholders in the catchments or regional basins it operates in?*

2 points The company systematically acts on the findings of its audits and/or reviews to continuously improve the effectiveness of its measures taken to reduce its water consumption and its adverse impacts on water quality.

1 point The company has systems in place to continuously improve the effectiveness of its measures taken to reduce its water consumption and its adverse impacts on water quality, but not on a company-wide basis.

0.5 point The company provides evidence of systems in place or actions taken to continuously improve the effectiveness of its measures taken to reduce its water consumption and its adverse impacts on water quality, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the activities conducted.

F.05 Noise and Vibration

F.05.1 The company has systems in place to ensure its operations limit the impacts of noise and vibration on affected communities, structures, properties, and wildlife.

F.05.1.a *Can your company demonstrate at the corporate level that it has systems in place to ensure its operations: (/6.00)*

(i) *Regularly assess the noise and vibration levels generated by their activities?*

2 points The company has systems in place to ensure its operations regularly assess the noise and vibration levels generated by their activities.

1 point The company provides limited evidence of systems in place to ensure its operations assess the noise and vibration levels generated by their activities.

0.5 point The company provides evidence of actions it has taken to assess the noise and vibration levels generated by its activities, but not on a company-wide basis OR The company describes how it assesses the noise and vibration levels generated by its activities, but there is no evidence that it has systems in place on a company-wide basis and there is limited evidence of the activities conducted.

(ii) *Develop strategies and plans to limit the impacts of noise and vibration generated by their activities in the surrounding areas?*

2 points The company has systems in place to ensure its operations develop strategies and plans to limit the impacts of noise and vibration generated by their activities.

1 point The company provides limited evidence of systems it has in place to ensure its operations develop strategies and plans to limit the impacts of noise and vibration generated by its activities.

0.5 point The company provides evidence of actions it has taken to develop strategies and plans to limit the impacts of noise and vibration generated by its activities, but not on a company-wide basis OR The company describes how it develops strategies and plans to limit the impacts of noise and vibration generated by its activities, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the activities conducted.

(iii) *Systematically engage with affected communities and other stakeholders in the development of these strategies?*

2 points The company has systems in place to ensure its operations systematically engage with affected communities and other stakeholders in the development of its strategies and plans to limit the impacts of noise and vibration generated by their activities.

1 point The company conducts activities to engage with affected communities and other stakeholders in the development of its strategies and plans to limit the impacts of noise and vibration generated by its activities, but there is no evidence that this occurs on a company-wide basis.

0.5 point The company provides evidence of actions it has taken to engage with affected communities and other stakeholders in the development of its strategies and plans to limit the impacts of noise and vibration generated by its activities, but not on a company-wide basis OR The company describes how it engages with affected communities and other stakeholders in the development of these strategies, but there is no evidence that this is done on a company-wide basis and there is limited evidence of the activities conducted.

F.06 Biodiversity and Ecosystem Services

F.06.1 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.06.1.a *Can your company demonstrate at the corporate level that it has: (/6.00)*

(i) *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?*

2 points 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 in a formal document which covers all of company's activities and is endorsed by senior management.

1 point 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 in a formal document which covers all of the company's activities, but there is no evidence that this commitment is endorsed by senior management.

0.5 point The company commits to respect protected areas that are designated to conserve cultural or natural heritage, but there is no clear commitment to not explore or mine in these areas and/or not a clear reference to World Heritage Sites.

(ii) *Assigned senior management responsibilities and accountability for carrying out this commitment?*

2 points The company assigns one or more senior managers to be responsible and accountable for carrying out its commitment to respect protected areas that are designated to conserve cultural or natural heritage.

1 point The company assigns one or more senior managers to be responsible and accountable, but only discloses limited evidence of the responsibilities relevant to its commitment to respect protected areas that are designated to conserve cultural or natural heritage OR The company assigns Board-level responsibilities for carrying out this commitment, but there is no evidence of responsibilities and accountability assigned at senior-management level.

0.5 point The company assigns Board-level responsibilities for carrying out its commitment to respect protected areas that are designated to conserve cultural or natural heritage, but only discloses limited evidence of the Board-level responsibilities relevant to this commitment and there is no evidence of responsibilities and accountability assigned at senior-management level.

(iii) *Committed financial and staffing resources to implement this commitment?*

- 2 points** The company has corporate and/or operational-level dedicated staff responsible for coordinating efforts on its commitment 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, and there is detailed evidence of the nature of these efforts OR The company systematically conducts activities to deliver its commitment in a way which requires committed financial and staffing resources.
- 1 point** The company conducts activities to deliver its commitment 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, in a way which requires committed financial and staffing resources, but there is no evidence that these are done on a company-wide basis OR The company describes financial and staffing resources it has committed to implement this commitment, but there is limited or no evidence of the specific resources committed.
- 0.5 point** The company describes activities to deliver its commitment 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, in a way which requires committed financial and staffing resources, but there is no evidence that these are done on a company-wide basis and there is limited evidence of the activities conducted.

F.06.2 **The company tracks its performance on biodiversity and ecosystem services management and acts upon the results, demonstrating continuous improvement in avoiding, minimising, mitigating and offsetting its impacts.**

F.06.2.a *Can your company demonstrate that it systematically: (/6.00)*

(i) *Tracks, against a baseline and/or target(s), its performance on biodiversity and ecosystem services management?*

- 2 points** The company systematically tracks, against a baseline and/or target(s), its performance on biodiversity and/or ecosystem services management.
- 1 point** The company discloses its performance on biodiversity and/or ecosystem services management, but does not track against baseline and/or target(s) OR The company shows evidence of tracking and disclosing its performance on biodiversity and/or ecosystem services management, against a baseline and/or target(s), but not on a company-wide basis.
- 0.5 point** The company has systems in place to track performance on biodiversity and/or ecosystem services management, but there is there is limited evidence of the activities conducted.

(ii) *Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to manage biodiversity and ecosystem services?*

- 2 points** The company systematically conducts regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to biodiversity and/or ecosystem services management OR the company has a programme in place to review the effectiveness of its measures relating to biodiversity and/or ecosystem services management.
- 1 point** The company shows evidence of or has systems in place for conducting audits and/or reviews relating to biodiversity and/or ecosystem services management, but not on a company-wide basis.

0.5 point The company takes a limited number of actions relating to auditing and/or reviewing biodiversity and/or ecosystem services management, but not on a company-wide basis.

(iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to manage biodiversity and ecosystem services, in order to avoid, minimise, mitigate and offset its impacts?*

2 points The company systematically acts on the findings of audits and/or reviews relating to biodiversity and/or ecosystem services management to continuously improve the effectiveness of its measures taken.

1 point The company describes specific corrective actions that it has implemented relating to biodiversity and/or ecosystem services management, but these are not clearly linked to a systematic response to audits and/or reviews and continuous improvement of management measures.

F.07 **Climate Change and Energy Efficiency**

F.07.1 **The company has systems in place to identify and assess the potential implications of climate change on its operations and its impacts on communities, workers and the environment, and to design and implement appropriate adaptation strategies.**

F.07.1.a *Can your company demonstrate at the corporate level that it: (/6.00)*

(i) *Has systems in place to ensure its operations identify and assess the potential implications of climate change on their operations and their impacts on communities, workers and the environment?*

2 points The company has systems in place to ensure its operations identify and assess the potential implications of climate change on their mining activities and on communities, workers and the surrounding environment.

1 point The company provides evidence of systems in place to ensure its operations identify and assess the potential implications of climate change on their mining activities and on communities, workers and the surrounding environment, but there is limited evidence of the scope and detail of these systems.

0.5 point The company provides evidence of systems in place to ensure its operations identify and assess the potential implications of climate change, but there is limited evidence of the scope and detail of these systems.

(ii) *Has systems in place to ensure its operations develop strategies and plans to address these implications?*

2 points The company has systems in place to ensure its operations develop strategies and plans to address these potential implications.

1 point The company provides evidence of systems in place to ensure its operations develop strategies and plans to address the potential implications on their mining activities and on communities, workers and the surrounding environment, but there is limited evidence of the scope and detail of these systems.

0.5 point The company provides evidence of systems in place to ensure its operations develop strategies and plans to address the potential implications of climate change, but there is limited evidence of the scope and detail of these systems.

(iii) *Systematically tracks the implementation of these strategies and plans?*

2 points The company tracks the implementation of strategies and plans to address the potential implications of climate change and discloses results relating to this tracking.

1 point The company tracks the implementation of strategies and plans to address the potential implications of climate change and discloses some results relating to this tracking, but not on a company-wide basis.

0.5 point The company provides evidence of systems in place to track the implementation of strategies and plans to address the potential implications of climate change, but does not disclose results relating to this tracking.

F.07.2 **The company tracks its performance on managing the greenhouse gas (GHG) emissions generated by its activities and acts upon the results, demonstrating continuous improvement in minimising them.**

F.07.2.a *Can your company demonstrate that it systematically: (/6.00)*

(i) *Tracks, against a baseline and/or target(s), its performance on managing the greenhouse gas (GHG) emissions generated by its activities?*

2 points The company systematically tracks, against a baseline and/or target(s), and discloses its performance on managing the greenhouse gas (GHG) emissions generated by its activities.

1 point The company discloses its performance on managing the greenhouse gas (GHG) emissions generated by its activities, but shows no evidence of having a baseline and/or target(s) OR The company shows evidence of tracking and disclosing its performance on managing the greenhouse gas (GHG) emissions generated by its activities, against a baseline and/or target(s), but not on a company-wide basis.

(ii) *Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to manage the GHG emissions generated by its activities?*

2 points The company systematically conducts regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to managing the greenhouse gas (GHG) emissions generated by its activities OR the company has a programme in place to review the effectiveness of GHG emissions management.

1 point The company shows evidence of conducting audits and/or reviews relating to managing the greenhouse gas (GHG) emissions generated by its activities, but not on a company-wide basis OR the company has requirements in place to conduct audits and/or reviews relating to managing the greenhouse gas (GHG) emissions generated by its activities, but there is limited evidence of their actual implementation.

(iii) *Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to manage the GHG emissions generated by its activities, in order to minimise them?*

2 points The company systematically acts on the findings of audits and/or reviews relating to managing the greenhouse gas (GHG) emissions generated by its activities, in order to continuously improve the effectiveness of its measures taken.

1 point The company describes specific corrective actions that it has implemented relating to managing the greenhouse gas (GHG) emissions generated by its activities, but these are not clearly linked to a systematic response to audits and/or reviews and continuous improvement of management measures.

F.07.3 The company tracks its performance on managing energy consumption throughout its operations and acts upon the results, demonstrating continuous improvement in energy efficiency.

F.07.3.a Can your company demonstrate that it systematically: (/6.00)

(i) Tracks, against a baseline and/or target(s), its performance on managing energy consumption throughout its operations?

2 points The company systematically tracks, against a baseline and/or target(s), and discloses its performance on managing energy consumption throughout its operations.

1 point The company discloses its performance on managing energy consumption throughout its operations, but shows no evidence of having a baseline and/or target(s) OR The company shows evidence of tracking and disclosing its performance on managing energy consumption throughout its operations, against a baseline and/or target(s), but not on a company-wide basis.

(ii) Audits and/or reviews, against a baseline and/or target(s), the effectiveness of its measures taken to manage energy consumption throughout its operations?

2 points The company systematically conducts regular audits and/or reviews, against a baseline and/or target(s), of the effectiveness of its measures relating to managing energy consumption throughout its operations OR the company has a programme in place to review the effectiveness of its measures relating to managing energy consumption throughout its operations.

1 point The company conducts audits and/or reviews relating to managing energy consumption throughout its operations, but not on a company-wide basis OR the company provides evidence of systems in place to conduct audits and/or reviews relating to managing energy consumption throughout its operations.

0.5 point The company provides evidence of a single audit and/or review relating to managing energy consumption throughout its operations, but not on a company-wide basis.

(iii) Acts on the findings of these audits and/or reviews to continuously improve the effectiveness of its measures taken to manage energy consumption throughout its operations, in order to improve energy efficiency?

2 points The company systematically acts on the findings of audits and/or reviews relating to managing energy consumption throughout its operations to continuously improve the effectiveness of its measures taken.

1 point The company describes specific corrective actions that it has implemented relating to managing energy consumption throughout its operations, but these are not clearly linked to a systematic response to audits and/or reviews and continuous improvement of management measures OR the corrective actions are not described in detail.

0.5 point The company shows evidence of measures taken to improve effectiveness in managing energy consumption throughout its operations on the basis of findings, but not on a company-wide basis.

F.08 Hazardous Materials Management

F.08.1 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.

F.08.1.a Can your company demonstrate at the corporate level that it: (/6.00)

(i) Has systems in place to ensure its operations identify and assess the risks related to their use of hazardous materials?

2 points The company has systems in place to ensure its operations identify and assess the risks related to their transportation, handling, storage, emission and disposal of hazardous materials, including environmental risks, as well as occupational health and safety and community health risks.

1 point The company provides limited evidence of systems it has in place to ensure its operations identify and assess the risks related to their transportation, handling, storage, emission and disposal of hazardous materials, including environmental, occupational health and safety, and community health risks OR the company has systems in place to ensure its operations identify and assess the risks related to their use of hazardous materials, but these relate only to occupational health and safety.

0.5 point The company describes systems in place to ensure its operations identify and assess the risks related to their transportation, handling, storage, emission and disposal of hazardous materials, but these systems have a limited scope.

(ii) Has systems in place to ensure its operations develop strategies and plans to address these risks?

2 points The company has systems in place to ensure its operations develop strategies and plans to address any risks related to the transportation, handling, storage, emission and disposal of hazardous materials, including environmental risks, as well as occupational health and safety and community health risks.

1 point The company provides limited evidence of systems it has in place to ensure its operations develop strategies and plans to address risks related to the transportation, handling, storage, emission and disposal of hazardous materials, including environmental, occupational health and safety, and community health risks OR the company has systems in place to ensure its operations develop strategies and plans to address risks related to the transportation, handling, storage, emission and disposal of hazardous materials, but these relate only to occupational health and safety.

0.5 point The company describes systems it has in place to ensure its operations develop strategies and plans to address risks related to the transportation, handling, storage, emission and disposal of hazardous materials, but these systems have a limited scope.

(iii) Systematically tracks the implementation of these strategies and plans?

2 points The company systematically tracks the implementation of its strategies and plans for its operations to 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.

- 1 point The company has systems in place for tracking the implementation of its strategies and plans for its operations to 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, but not on a company-wide basis.
- 0.5 point The company describes systems it has in place for tracking the implementation of its strategies and plans for its operations to 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, but there is very limited evidence of the scope and detail of these systems.

F.09 Emergency Preparedness

F.09.1 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.09.1.a *Can your company demonstrate at the corporate level that it has systems in place to ensure its operations: (/6.00)*

(i) *Develop and maintain emergency preparedness and response plans?*

- 2 points The company has systems in place to ensure its operations develop and maintain emergency preparedness and response plans.
- 1 point The company provides evidence of systems in place to ensure its operations develop and maintain emergency preparedness and response plans, but there is limited evidence of the scope and detail of these systems.
- 0.5 point The company describes how it ensures its operations develop and maintain emergency preparedness and response plans, but there is limited evidence of the scope and detail of these systems OR The company can provide an example of one of its operations developing and maintaining emergency preparedness and response plans, but these systems are not done on a company-wide basis and there is limited evidence of the activities conducted.

(ii) *Systematically engage with local stakeholders (e.g. local authorities and communities) in the design of emergency response plans?*

- 2 points The company has systems in place to ensure its operations systematically engage with local stakeholders, including local communities AND local authorities, in the design of emergency response plans.
- 1 point The company provides evidence of systems in place to ensure its operations engage with local authorities OR local communities in the design of emergency response plans, but there is limited evidence of the scope and detail of these systems.
- 0.5 point The company describes how it ensures its operations engage with local stakeholders in the design of emergency response plans, but there is very limited evidence of the scope and detail of these systems OR The company has an example of one of its operations engaging with local stakeholders in the design of emergency response plans, but this is not done on a company-wide basis and there is limited evidence of the activities conducted.

(iii) *Systematically engage with local stakeholders in the testing of these response plans?*

- 2 points** The company has systems in place to ensure its operations systematically engage with local stakeholders, including local communities, in the design of emergency response plans.
- 1 point** The company describes how it ensures its operations engage with local stakeholders including local emergency services AND local communities in the testing of emergency response plans.
- 0.5 point** The company describes how it ensures its operations engage with local emergency services in the testing of emergency response plans, but there is limited evidence of the scope and detail of these systems and on engagement with other local stakeholders OR The company can provide an example of one of its operations engaging with local stakeholders in the testing of emergency response plans, but this is not based on systems implemented on a company-wide basis and there is limited evidence of the activities conducted.

F.09.2 **The company publicly discloses all relevant information about financial assurance that is provided for disaster management and recovery, throughout its operations.**

F.09.2.a *Which of your mine sites can demonstrate that they publicly disclose all relevant information about financial assurance provided for disaster management and recovery? (6.00)*

- 6 points** The company systematically discloses all relevant information about financial assurance provided for disaster management and recovery covering all of the company's mining operations, available through a centralised source.
- 5 points** The company discloses all relevant information about financial assurance provided for disaster management and recovery covering more than 75% of the company's mining operations, but this is not systematically available through a centralised source.
- 4 points** The company discloses all relevant information about financial assurance provided for disaster management and recovery covering more than 50% of the company's mining operations, but for less than 75% of the company's mining operations.
- 3 points** The company discloses all relevant information about financial assurance provided for disaster management and recovery for at least one mine site, but for less than 50% of the company's mining operations.
- 2 points** The company discloses some relevant information about financial assurance provided for disaster management and recovery covering more than 50% of the company's mining operations, but does not disclose all relevant information.
- 1 point** The company discloses some relevant information about financial assurance provided for disaster management and recovery for at least one mine site, but for less than 50% of the company's mining operations, but does not disclose all relevant information.

MS Mine-site-level Indicators

MS.01.1 The operating company tracks and regularly reports on its performance developing procurement opportunities for businesses in its area of operation.

MS.01.1.a Can your operating company demonstrate that it: (/6.00)

(i) Tracks and publicly reports on its performance on local procurement?

2 points The operating company tracks and publicly reports, at a sub-national regional level, on its performance on local procurement, as a proportion of total procurement.

1 point The operating company tracks and publicly reports on its performance on local procurement at a national level, but not at a sub-national regional level OR The operating company tracks and publicly reports on its performance on local procurement at a sub-national regional level, but not as a proportion of total procurement OR The operating company tracks and publicly reports on its performance on local procurement at a sub-national regional level, but not disaggregated by mine sites within the same sub-national region.

(ii) Tracks and publicly reports on its performance on local procurement, against targets and/or baselines?

2 points The operating company tracks, at a sub-national regional level, against a baseline and/or target(s), and publicly reports on its performance on local procurement, as a proportion of total procurement.

1 point The operating company tracks, against a baseline and/or target(s), and publicly reports on its performance on local procurement at a national level, but not at a sub-national regional level OR The operating company tracks, against a baseline and/or target(s), and publicly reports on its performance on local procurement at a sub-national regional level, but not as a proportion of total procurement OR The operating company tracks, against a baseline and/or target(s), and publicly reports on its performance on local procurement at a sub-national regional level, but not disaggregated by mine sites within the same sub-national region.

(iii) Demonstrates continuous improvement in developing procurement opportunities for businesses in its area of operation, against targets and/or baselines and as a result of its management approach?

2 points The operating company demonstrates continuous improvement in developing procurement opportunities for businesses in its area of operation, against targets and/or baselines and as a result of its management approach.

1 point The operating company demonstrates continuous improvement in developing procurement opportunities for businesses in its area of operation, against targets and/or baselines, but does not clearly demonstrate how this performance improvement is as a result of its management approach OR operating company demonstrates continuous improvement in developing procurement opportunities for businesses at sub-national regional level, against targets and/or baselines and as a result of its management approach, but not disaggregated by mine sites within the same sub-national region OR The operating company demonstrates some continuous improvement in developing procurement opportunities for businesses in its area of operation as a result of its management approach, but the information is limited in its scope and/or detail.

MS.02.1 The operating company tracks and regularly reports on its performance on providing direct employment opportunities for people in its area of operation.

MS.02.1.a *Can your operating company demonstrate that it: (/6.00)*

(i) *Tracks and publicly reports on its performance on local employment?*

2 points The operating company tracks and publicly reports, at a sub-national regional level, on its performance on local employment as a proportion of total employment.

1 point The operating company tracks and publicly reports on its performance on local employment at national level, but not at sub-national regional level OR The operating company tracks and publicly reports on its performance on local employment, but only for a subset of its workforce (e.g.: senior management) OR The operating company tracks and publicly reports on its performance on local employment at sub-national regional level, but not disaggregated by mine sites within the same sub-national region.

(ii) *Tracks and publicly reports on its performance on local employment, against targets and/or baselines?*

2 points The operating company tracks, at a sub-national regional level, against a baseline and/or target(s), and publicly reports on its performance on local employment, as a proportion of total employment.

1 point The operating company tracks, against a baseline and/or target(s), and publicly reports on its performance on local employment at national level, but not at sub-national regional level OR The operating company tracks, against a baseline and/or target(s), and publicly reports on its performance on local employment, but only for a subset of its workforce (e.g.: senior management) OR The operating company tracks, against a baseline and/or target(s), and publicly reports on its performance on local employment at sub-national regional level, but not disaggregated by mine sites within the same sub-national region.

(iii) *Demonstrates continuous improvement in providing direct employment opportunities for people in its area of operation, against targets and/or baselines and as a result of its management approach?*

2 points The operating company demonstrates continuous improvement in developing employment opportunities in its area of operation, against targets and/or baselines and as a result of its management approach.

1 point The operating company demonstrates continuous improvement in developing employment opportunities in its area of operation, against targets and/or baselines, but does not clearly demonstrate how this performance improvement is as a result of its management approach OR The operating company demonstrates continuous improvement in developing employment opportunities at sub-national regional level, against targets and/or baselines and as a result of its management approach, but not disaggregated by mine sites within the same sub-national region OR The operating company demonstrates some continuous improvement in developing employment opportunities in its area of operation as a result of its management approach, but the information is limited in its scope and/or detail.

MS.03.1 The operating company tracks and regularly reports on the performance of its community grievance mechanism in providing appropriate remedy, taking into account the views of local communities.

MS.03.1.a *Can your operating company demonstrate that it: (/6.00)*

(i) *Tracks and publicly reports on the performance of its community grievance mechanism?*

2 points The operating company tracks and publicly reports on the performance of its community grievance mechanism.

1 point The operating company tracks and publicly reports on the performance of its grievance mechanism(s), but not specifically disaggregated on communities OR The operating company tracks and publicly reports only on some aspects of the performance of its community grievance mechanism, but reporting is limited in its scope and/or detail.

(ii) *Tracks and publicly reports on the performance of its community grievance mechanism, against targets and/or baselines?*

2 points The operating company tracks, against a baseline and/or target(s), and publicly reports on the performance of its community grievance mechanism.

1 point The operating company tracks, against a baseline and/or target(s), and publicly reports on the performance of its grievance mechanism(s), but not specifically on the performance of its community grievance mechanism OR The operating company tracks, against a baseline and/or target(s), and publicly reports on the performance of its community grievance mechanism for a single year, but not systematically over consecutive time periods OR The operating company tracks, against a baseline and/or target(s), and publicly reports on certain aspects of the performance of its community grievance mechanism, but reporting is limited in its scope and/or detail.

0.5 point The operating company tracks and publicly reports on the number of community grievances against a baseline and/or target(s), but only through visual representation without any figures for the baseline and/or target(s).

(iii) *Demonstrates continuous improvement in providing appropriate remedy, taking into account the views of local communities, against targets and/or baselines and as a result of its management approach?*

2 points The operating company demonstrates continuous improvement in providing appropriate remedy, taking into account the views of local communities, against targets and/or baselines and as a result of its management approach.

1 point The operating company demonstrates continuous improvement in providing appropriate remedy to local communities, against targets and/or baselines, but does not clearly demonstrate how this performance improvement is as a result of its management approach OR The operating company demonstrates some continuous improvement in providing appropriate remedy to local communities, as a result of its management approach, but the information is limited in its scope and/or detail.

MS.04.1 **The operating company tracks and regularly reports on the performance of its workers' grievance mechanism in providing appropriate remedy, taking into account the views of its workers.**

MS.04.1.a *Can your operating company demonstrate that it: (/6.00)*

(i) *Tracks and publicly reports on the performance of its workers' grievance mechanism?*

2 points The operating company tracks and publicly reports on the performance of its workers' grievance mechanism.

- 1 point The operating company tracks and publicly reports on the performance of its grievance mechanism(s), but not specifically on the performance of its workers' grievance mechanism OR The operating company tracks and publicly reports on the performance of its workers' grievance mechanism for a single year, but not systematically over consecutive time periods OR The operating company tracks and publicly reports on some aspects of the performance of its workers' grievance mechanism, but reporting is limited in its scope and/or detail.
- (ii) *Tracks and publicly reports on the performance of its workers' grievance mechanism, against targets and/or baselines?*
 - 2 points The operating company tracks, against a baseline and/or target(s), and publicly reports on the performance of its workers' grievance mechanism.
 - 1 point The operating company tracks, against a baseline and/or target(s), and publicly reports on the performance of its grievance mechanism(s), but not specifically on the performance of its workers' grievance mechanism OR The operating company tracks, against a baseline and/or target(s), and publicly reports on the performance of its workers' grievance mechanism for a single year, but not systematically over consecutive time periods OR The operating company tracks, against a baseline and/or target(s), and publicly reports only on certain aspects of the performance of its workers' grievance mechanism, but reporting is limited in its scope and/or detail.
- (iii) *Demonstrates continuous improvement in providing appropriate remedy, taking into account the views of its workers, against targets and/or baselines and as a result of its management approach?*
 - 2 points The operating company demonstrates continuous improvement in providing appropriate remedy, taking into account the views of its workers, against targets and/or baselines and as a result of its management approach.
 - 1 point The operating company demonstrates continuous improvement in providing appropriate remedy to its workers, against targets and/or baselines, but does not clearly demonstrate how this performance improvement is as a result of its management approach OR The operating company demonstrates some continuous improvement in providing appropriate remedy to its workers, as a result of its management approach, but the information is limited in its scope and/or detail.

MS.05.1 The operating company tracks and regularly reports on its performance on managing water quality and quantity in the catchment or regional basin it operates in.

MS.05.1.a Can your operating company demonstrate that it: (/6.00)

- (i) *Tracks and publicly reports on its performance on managing water quality and quantity in the catchment or regional basin it operates in?*
 - 2 points The operating company tracks and publicly reports on its performance on managing water quality and quantity in the catchment or regional basin it operates in.
 - 1 point The operating company tracks and publicly reports on its performance on managing water quality OR quantity in the catchment or regional basin it operates in, but not both.
 - 0.5 point The operating company tracks and publicly reports on its performance on managing water quality and/or quantity at business-unit level, but not disaggregated by mine site OR The mine site tracks and publicly reports on some aspects of its performance on managing water quality and/or quantity in the catchment or regional basin it operates in, but the information is limited in its scope and/or detail.

(ii) *Tracks and publicly reports on its performance on managing water quality and quantity in the catchment or regional basin it operates in, against targets and/or baselines?*

2 points The operating company tracks, against a baseline and/or target(s), and publicly reports on its performance on managing water quality and quantity in the catchment or regional basin it operates in.

1 point The operating company tracks, against a baseline and/or target(s), and publicly reports on its performance on managing water quality OR quantity in the catchment or regional basin it operates in, but not both.

0.5 point The operating company tracks, against a baseline and/or target(s), and publicly reports on its performance on managing water quality and/or quantity at business-unit level, but not disaggregated by mine site OR The operating company tracks, against a baseline and/or target(s), and publicly reports only on some aspects of its performance on managing water quality and/or quantity in the catchment or regional basin it operates in, but the information is limited in its scope and/or detail.

(iii) *Demonstrates continuous improvement in reducing its water consumption and its adverse impacts on water quality to improve water security for other stakeholders in the catchment or regional basin it operates in, against targets and/or baselines and as a result of its management approach?*

2 points The operating company demonstrates continuous improvement in reducing its water consumption and its adverse impacts on water quality to improve water security for other stakeholders in the catchment or regional basin it operates in, against targets and/or baselines and as a result of its management approach.

1 point The operating company demonstrates continuous improvement in reducing its water consumption and its adverse impacts on water quality to improve water security for other stakeholders in the catchment or regional basin it operates in, against targets and/or baselines, but does not clearly demonstrate how this performance improvement is as a result of its management approach OR The operating company demonstrates continuous improvement in reducing its water consumption and its adverse impacts on water quality to improve water security for other stakeholders at business-unit level, but not disaggregated by mine site OR The operating company demonstrates continuous improvement in reducing its water consumption and its adverse impacts on water quality to improve water security for other stakeholders in the catchment or regional basin it operates in, as a result of its management approach, but the information is limited in its scope and/or detail.

MS.06.1 The operating company tracks and regularly reports on its performance on applying a mitigation hierarchy approach to the management of its biodiversity impacts.

MS.06.1.a *Can your operating company demonstrate that it: (/6.00)*

(i) *Tracks and publicly reports on its performance on managing its adverse impacts on biodiversity, based on the mitigation hierarchy approach?*

2 points The operating company tracks and publicly reports on its performance on managing its adverse impacts on biodiversity, based on the mitigation hierarchy approach.

1 point The operating company tracks and publicly reports its performance on avoiding, minimising, mitigating and offsetting its adverse impacts on biodiversity, but reporting is limited in its scope and/or detail OR The operating company tracks and publicly reports on managing biodiversity, but reporting is limited in demonstrating clear links

to avoiding, minimising, mitigating and offsetting the mine site's impacts OR The operating company tracks and publicly reports on its performance on avoiding, minimising, mitigating and offsetting its adverse impacts on biodiversity at business-unit level, but not disaggregated by mine site.

(ii) *Tracks and publicly reports on its performance on managing its adverse impacts on biodiversity, based on the mitigation hierarchy approach, against targets and/or baselines?*

2 points The operating company tracks, against a baseline and/or target(s), and publicly reports on its performance on managing its adverse impacts on biodiversity, based on the mitigation hierarchy approach.

1 point The mine site tracks, against a baseline and/or target(s), and publicly reports on some aspects of its performance on avoiding, minimising, mitigating and offsetting its adverse impacts on biodiversity, but reporting is limited in its scope and/or detail OR The operating company tracks, against a baseline and/or target(s), and publicly reports on some aspects of managing biodiversity, but reporting is limited in demonstrating clear links to avoiding, minimising, mitigating and offsetting the mine site's impacts OR The operating company tracks, against a baseline and/or target(s), and publicly reports on its performance on avoiding, minimising, mitigating and offsetting its adverse impacts on biodiversity at business-unit level, but not disaggregated by mine site.

(iii) *Demonstrates continuous improvement in avoiding, minimising, mitigating and offsetting its adverse impacts on biodiversity, against targets and/or baselines and as a result of its management approach?*

2 points The operating company demonstrates continuous improvement in avoiding, minimising, mitigating and offsetting its adverse impacts on biodiversity, against targets and/or baselines and as a result of its management approach.

1 point The operating company demonstrates continuous improvement in avoiding, minimising, mitigating and offsetting its adverse impacts on biodiversity, against targets and/or baselines, but does not clearly demonstrate how this performance improvement is as a result of its management approach OR The operating company demonstrates continuous improvement in avoiding, minimising, mitigating and offsetting its adverse impacts on biodiversity at business-unit level, but not disaggregated by mine site OR The operating company demonstrates continuous improvement in avoiding, minimising, mitigating and offsetting its adverse impacts on biodiversity, as a result of its management approach, but the information is limited in its scope and/or detail.

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