

LPPM Responsible Platinum and Palladium Programme

Auditing Body Application Form

If you are interested in becoming listed as an Approved Service Provider for the LPPM Responsible Platinum and Palladium Programme, please complete the Auditing Body Application Form.

Once complete, sign and return to Anne Dennison, LPPM Consultant (contact details below).

The LPPM publishes a list of Approved Service Providers on the LPPM website (www.lppm.com) and shall ensure the list is regularly reviewed and maintained up to date, with a review taking place annually.

Auditing bodies shall submit an application supported by sufficient evidence, using the form below to demonstrate fulfilment of all of the LPPM's requirements detailed in the *Third-Party Audit Guidance*. The LPPM Responsible Sourcing Review Committee shall review the information and auditors/auditing bodies may provide any additional clarification as required by the Committee to support its decision.

The Committee shall regularly review the information submitted by auditing bodies in order to determine if any of the changes disclosed affect the auditing body's ability to remain on the LPPM list of approved auditing bodies. If necessary, the list of approved auditing bodies shall be updated with any changes.

Contact E-mail

annedennison@lppm.com

Website

www.lppm.com

Section A: General

LPPM Requirement		Auditor Response
Name of Auditing Body		
Legal Status (e.g. Company) Please provide documentation to substantiate legal status.		
Registered business address and contact details of Head Office	Address	
	City	
	State/Province	
	Country	
	Telephone Number	
	Fax Number	
	E-mail Address (if applicable)	
Mailing Address (if different to above)		
Primary Contact Person	Name	
	Position	
	Telephone Number	
	Fax Number	
	E-mail Address (if applicable)	
General description of the Auditing Body		

Section B: Applicant Auditing Bodies Demonstration of Qualification

Please summarise in the table below how the auditing body intends to conform to each LPPM requirement. Supporting documentation for each requirement must be attached to the application.

LPPM Requirement	Auditor Response	LPPM Executive Comments
<p>Independence</p> <p>The service provider must have complete financial and other independence from the Refiner.</p> <p>In particular, the auditing body shall not provide services for the Refiner related to the design, establishment or implementation of the Refiner's Platinum and Palladium supply chain practice for a period of at least 24 months prior to the engagement.</p> <p>Service providers must ensure that any individual or group of auditors carrying out a third-party audit of a Refiner is independent from the auditee.</p>		
<p>Quality Management</p> <p>The service provider must have a robust system of quality control, including minimum requirements for independence, conflicts of interest, ethics and audit quality control reviews to be followed.</p>		
<p>Complaints Mechanism</p> <p>The service provider must have the capacity to process appeals and/or handle complaints.</p>		
<p>Integrity / ethics</p>		

LPPM Requirement	Auditor Response	LPPM Executive Comments
<p>The service provider must have a robust system in place to ensure integrity of all auditors / audits.</p>		
<p>Auditor Training The service provider must ensure that all auditors receive adequate and ongoing training to maintain levels of competency.</p>		
<p>Auditor Competency The individual or group of auditors must collectively possess the skills, knowledge and experience required to competently perform the assurance engagement. This includes both the skills necessary for auditing and the subject matter expertise in accordance with Table 6 “Auditor Skills and Competencies” of the <i>LPPM Third-Party Audit Guidance</i>.</p>		

Section C: Other Information

In addition to the information provided in Section A through to B, please forward the following:

- 1) A copy of all publicly available documents that promote or describe the organisation, including, where applicable, website addresses.
- 2) A copy of all relevant and current accreditations, certifications or memberships held by the auditing body.
- 3) A copy of the internal system and competencies the auditing body requires internally for its auditors.

Section D: Declaration

The Auditing Body named in this application applies to be listed as an LPPM Approved Service Provider declares that:

- the information on this form and accompanying attachment is correct;
- the organisation has the necessary resources to undertake the LPPM Responsible Platinum and Palladium Audit;
- it will, from the date of signing this application:
 - i. comply with the criteria and process defined in the *LPPM Third-Party Audit Guidance*;
 - ii. not act in such a manner as to bring the LPPM Responsible Platinum and Palladium Programme into disrepute;
 - iii. not overstate its position regarding being an LPPM Approved Service Provider; and
 - iv. take immediate steps to rectify any problems that the LPPM identifies as being contrary to those items (i) to (iii) listed above;
- it has a functional internal audit and management review process;
- it will inform the LPPM of any changes to its organisation that may affect its capacity and competence to carry out a Responsible Platinum and Palladium Audit.

Authorised Person:

Position:

Signature:

Date:

Appendix A - Auditor Skills and Competencies

Table 6 “Auditor Skills and Competencies” of the LPPM Third-Party Audit Guidance		
Core Principles	Auditor Response	Further Resources to Support Your Response
Ethical Conduct		
Fair presentation		
Due professional care		
Independence		
Integrity		
Personal Competencies		
Ability to apply knowledge and skills		
Improvement of competencies		
Specialist knowledge and competence in auditing skills and techniques		
Ability to apply reporting and auditing practices and standards		
For ISAE 3000: experience in non-financial assurance		
Subject Matter Expertise		
Knowledge of and experience in the Platinum and Palladium Refining industry		
Knowledge of and experience in supply chain due diligence principles, procedures and techniques		

<p>Understanding of Platinum and Palladium procurement practices and Platinum and Palladium supply chains</p>		
<p>Knowledge of and experience in the implementation of the LPPM Responsible Platinum and Palladium Guidance and other initiatives to increase transparency and due diligence in the Platinum and Palladium supply chain and, in particular, knowledge of the OECD Due Diligence Guidance for Responsible Supply Chain of Minerals from Conflict-Affected and High-Risk Areas</p>		
<p>Knowledge of and experience in regulations and best practices regarding Anti-Money Laundering and Financing of Terrorism</p>		
<p>Knowledge of local context, including social, economic, political and cultural considerations, of conflict-affected and/or high-risk areas</p>		