

## LPPM Responsible Platinum, Palladium and Rhodium (or PGM) Programme

### Third-Party Assurance Provider Application Form

If you are interested in becoming listed as LPPM Third-Party Assurance Provider for the LPPM Responsible Platinum, Palladium and Rhodium (or PGM) Programme, please complete the Third-Party Assurance Provider Application Form.

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

The LPPM publishes a list of Approved Third-Party Assurance Providers on the LPPM website ([www.lppm.com](http://www.lppm.com)) and shall ensure the list is regularly reviewed and maintained up to date, with a review taking place annually.

Assurance Providers 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 Assurance Providers/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 Third-Party Assurance Providers. If necessary, the list of shall be updated with any changes.

#### **Contact E-mail**

[annedennison@lppm.com](mailto:annedennison@lppm.com)

#### **Website**

[www.lppm.com](http://www.lppm.com)

## Section A: General

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

## 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	Assurance Provider Response	LPPM RSRC Comments
<p><b>Independence</b></p> <p>The Third-Party Assurance Provider must have complete financial and other independence from the Refiner. In particular, the Third-Party Assurance Provider shall not provide services for the Refiner related to the design, establishment or implementation of the Refiner’s PGM supply chain practice for a period of at least 24 months prior to the engagement. Service providers must ensure that any individual or group of Assurance Providers carrying out a Third-Party Assurance Engagement is independent from the Refiner.</p>		
<p><b>Quality Management</b></p> <p>The service provider must have a robust system of quality control, including minimum requirements for independence, conflicts of interest, ethics and Assurance Engagement quality control reviews to be followed.</p>		
<p><b>Complaints Mechanism</b></p> <p>The service provider must have the capacity to process appeals and/or handle complaints.</p>		

LPPM Requirement	Assurance Provider Response	LPPM RSRC Comments
<p><b>Integrity / ethics</b> The service provider must have a robust system in place to ensure integrity of all auditors / audits.</p>		
<p><b>Assurance Provider Training</b> The service provider must ensure that all operatives receive adequate and ongoing training to maintain levels of competency.</p>		
<p><b>Assurance Provider Competency</b> The individual or group of Assurance Providers must collectively possess the skills, knowledge and experience required to competently perform the Assurance Engagement. This includes both the skills necessary for the task and the subject matter expertise in accordance with the LPPM Third-Party Audit Guidance.</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 Assurance Provider.

## Section D: Declaration

The Auditing Body named in this application applies to be listed as an LPPM Third-Party Assurance Provider declares that:

- the information on this form and accompanying attachment is correct;
- the organisation has the necessary resources to undertake the LPPM Responsible PGM Assurance Engagement;
- 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 PGM Programme into disrepute;
  - iii. not overstate its position regarding being an LPPM Third-Party Assurance 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 LPPM PGM Assurance Engagement.

**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	Assurance Provider 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 PGM Refining industry		
Knowledge of and experience in supply chain due diligence principles, procedures and techniques		

<p>Understanding of PGM procurement practices and PGM supply chains</p>		
<p>Knowledge and experience in the implementation of the LPPM Responsible PGM Guidance and other initiatives to increase transparency and Due Diligence in the PGM Supply chain and, in particular, knowledge of the the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas 2016/ Third Edition, Annex II.</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>		