

LSM SUPPLY CHAIN SELF-ASSESSMENT QUESTIONNAIRE

V1, 01.06.2018

COMPANY INFORMATION	
Company Name	Please attach a link to company website
Registered address	
Name of the mine	
Location of the mine	Town Region Country
Name of the mine site operator if not a wholly owned subsidiary	

GOVERNANCE	
<p>Company Policies Does the company have the following policies, please attach a copy or a link to the relevant page on the corporate website</p>	<p>Mission statement <input type="checkbox"/> Code of conduct <input type="checkbox"/> Anti-bribery and corruption <input type="checkbox"/> Business integrity and ethical <input type="checkbox"/> Conflict minerals <input type="checkbox"/> Environment Health and Safety <input type="checkbox"/> Environmental Impact Assessment <input type="checkbox"/> HR policies <input type="checkbox"/> Modern slavery and human trafficking <input type="checkbox"/> Procurement policy <input type="checkbox"/> Whistleblowing policy <input type="checkbox"/></p>
<p>Industry Memberships please list relevant industry association memberships (e.g. WGC, ICMM, EITI) Extractive Sector Transparency Measures Act (ESTMA).</p>	
<p>Has the Company signed up to relevant industry codes of conduct? If yes how are these commitments verified?</p>	
<p>Permit(s) type(s):</p>	
<p>Have the Local authorities performed an on-site visit in the past 12 months?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes please provide a copy or a link to the report</p>
<p>Is a visit by local authorities planned in the next 12 months?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Approximate total number of workers directly employed at the mine</p>	
<p>Do you have a policy prohibiting child labour?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes please attach a copy or link to the policy</p>
<p>Are any workers employed by subcontractors?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes how many on average.....</p>
<p>Is employment freely chosen ?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Do you prohibit any use of forced labor (e.g.: not permitting employees to change jobs) including bonded or involuntary prison labour</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes please attach a copy or link to the policy</p>
<p>Do miners live on the premises of the mine (e.g.: in a dormitory)?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>If yes please describe the facilities (e.g. washrooms, canteens, recreational facilities)</p>	

Are working hours, excluding overtime limited to a maximum of 48 hours per week?	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
Have you received any reports or complaints of pressure, threats, bad or degrading treatment, etc. from employees or third parties, including sexual violence?	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
Are the employees represented by a syndicate or equivalent body?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Have the employees been on strike during the past 12 months?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please explain why:
Do you have a policy that prohibits discrimination on the grounds of race, caste, national origin, religion and sexual orientation?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes please attach a copy or link to the policy
Other comments:	

HEALTH AND SAFETY	
Did you have a visible health & safety policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes please attach a copy or a link to the policy
Did you provide adequate first aid equipment and training?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes please provide brief details of the measures taken
Is the workplace environment secure?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes please provide brief details of the measures taken
Is personal protective equipment (PPE) freely available for employees and site contractors? (e.g. head protection, safety footwear, protective clothing, face mask, etc.)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you enforce compliance to PPE requirements by all personnel? How is compliance recorded?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the mine provide safety training to visitors?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes please provide brief details of the training
Does the mine use the accident rate as key performance indicator?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes please provide brief details of the measures and targets
What is the mine safety track record for the past 24 months?	

Are there appropriate procedures to train security personnel	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
Is site security managed in-house or outsourced to a third party?	Comments:
Other comments:	
Are there appropriate procedures to train security personnel	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
Is site security managed in-house or outsourced to a third party?	Comments:
Other comments:	

Platinum and Palladium Extraction and Processing Method

Please describe the mining site (open pit, underground, etc.)	
Please describe the extraction techniques.	
What is the annual production in tonnes?	
Please describe the processing techniques, including chemical products used.	
What type of material will be sent to refiners for processing?	
Is the infrastructure and/or the equipment set up proportionate to the production figures?	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
Is there any routine maintenance programme for mining equipment, and are maintenance records kept?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes please attach a copy or a link to the policy
Please describe the method/process to avoid negative impact on the environment (e.g.: adequate tailing treatment, system to avoid pollution emission, etc).	
Do you have procedures for storing, using and disposing of hazardous chemicals?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes please provide brief details of the measures
Other comments:	

Artisanal Mining Next to the Mine Site	
Have you identified any artisanal miners next to the mine site?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, estimate the number of ASM miners on the concessions.	
Can these ASM miners be considered Legitimate ASM?	<input type="checkbox"/> Yes <input type="checkbox"/> No
How does the mine handle artisanal miners next to the mine site?	
Have there been any instances of conflict or tension? If yes please describe.	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
Does the mine source from artisanal miners on its concession?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Does the mine source ore or doré from mines outside its concession?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Other comments:	

CONFLICT AREA AND SECURITY	
Is the mine located in a conflict area?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Are there any armed groups stationed on/near the mine site?	<input type="checkbox"/> Yes <input type="checkbox"/> No
	If yes: Is it state armed groups? <input type="checkbox"/> Yes <input type="checkbox"/> No
	Is it non-state armed groups? <input type="checkbox"/> Yes <input type="checkbox"/> No
	Is it public or private security forces? <input type="checkbox"/> Yes <input type="checkbox"/> No

Please describe the general site security infrastructure (CCTV, perimeter fence, controlled access etc.)	
Please describe the precious metal storage security infrastructure and processes.	
Please describe storage facility and security of hazardous chemicals.	
How do you assess the security infrastructure?	<input type="checkbox"/> Adequate <input type="checkbox"/> Inadequate Comments:
Have you identified any indication of illegal taxation or extortion of money across the whole supply chain?	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
Please describe the environment relating to tax/fees/royalties paid to government (taxes on the extraction, trade, transport and export of gold).	
Other comments:	

TRANSPORTATION	
Please describe transportation method from mine site to export location.	
Other comments:	

Self-Assessment form completed by:

Position:

Signature:

Date:

REFINER REVIEW			
General comments:			
Risk rating	Low	Medium	High
Site visit required	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments:		
Reviewed by Name:			
Position:			
Signature:			
Date of current review:			
Date of next review			