

Validation Guidance

Performance Expectations

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The purpose of this Performance Expectations (PEs) Validation Guidance document is to supplement the ICMM Assurance and Validation Procedure and to provide explanatory information to company members and validation service providers (VSPs) on the implementation and evaluation of the Performance Expectations.

It must be read in conjunction with the Assurance and Validation Procedure where many of the key concepts or related terms are explained in more detail.

This guidance document informs company members and VSPs on the evaluation of the company's conformance with the intent of the PEs. It is not intended to be a complete list of all elements of a management system nor is it designed to provide 'compliance criteria' for each of the ICMM Principles and related PEs¹.

This guidance document is organised by the 10 Principles and associated PEs and provides information regarding the intent and applicability of the PEs and examples of evidence that would be indicative of successful PE implementation at the asset² level.

The intention is that this be a 'living document' that will be subject to periodic revision in light of experience.

How the Document Is Structured

The major part of this guidance is included as Annex A (Tabular summary of Performance Expectations, clarification of intent or applicability, and evidence of implementation). This is structured as follows:

Performance Expectation

The wording of each of the PEs is provided in full.

Intent of the PE

Where deemed useful, remarks to clarify the intent of each PE are provided. The remarks answer, in plain language, the questions:

- What is the expectation of the PE?
- Why is it important to the sustainable development of the company member and its stakeholders?

Applicability of the PE

This indicates whether the PE is applicable at a Corporate level, Asset level, or both a Corporate and Asset level.

Examples of Evidence of PE Implementation

For each PE, examples of evidence of PE implementation are presented in response to the questions:

1. As a point of principle, the guidance document has not been written in a prescriptive manner.

2. A member's portfolio of assets is likely to change over time due to acquisitions or disposals. Newly acquired assets that meet the criteria for PE implementation should implement the PEs within a 3-year timeframe. If a member acquires an asset from another member, due consideration should be given to previous work to implement the PEs at the asset level.

- What are you doing to achieve the intent of the PE?
- What evidence do you have to demonstrate this?

It is important to acknowledge that the evidence of implementation will often differ markedly at the Corporate level as opposed to Asset level.

In addition, basic information is provided below on the PE validation process and outcomes, as well as the relationship between PEs and ICMM's position statements. Guidance is also provided on completing the self-assessment template (see [here](#)). For further information, please refer to the [Assurance and Validation Procedure](#).

PE Validation Process and Outcomes

PE Validation includes two types of activities related to a member's implementation of the PEs at the asset level. These are:

- **Self-assessment** – First-party confirmation (ie self-assessment) of the existence and integrity of systems and/or practices relating to implementation of the PEs, to the extent that they are applicable in a given context.
- **3rd party validation** – Independent confirmation of the reasonableness and authenticity of assertions made in self-assessments. This review may take place in conjunction with a separate system, eg an ISO 14001 environmental management system audit.

For the purposes of this procedure, these two types of activities are referred to as 'PE validation activities'.

PE Validation Process

As outlined in detail in section 3.2 of the [Assurance and Validation Procedure](#), PE Validation comprises the following elements:

- Self-assessments of all assets subject to PE validation.
- Prioritisation of assets for third-party validation.
- 3rd party validation.
- Disclosure.

Outcomes of Validation Activities

The PE validation activities evaluate the implementation of the PEs individually. There is no overall outcome for a given asset. The possible outcomes for the validation of an individual PE are 'Meets', 'Partially Meets', and 'Does not Meet' as defined below:

- **Meets** – Systems and/or practices related to the PE have been implemented and there is sufficient evidence to demonstrate that the intent of the PE is being met, however opportunities for improvement may still remain.
- **Partially Meets** – Systems and/or practices related to meeting the intent of the PE have been only partially implemented. Gaps or weaknesses persist that may contribute to an inability to meet the intended outcome of the PE, or insufficient verifiable evidence can be provided to demonstrate that the activity is aligned to the intent of the PE.
- **Does not Meet** – Systems and/or practices required to **support implementation of the substantive intent of the PE** are not in place, or are not being implemented, or cannot be evidenced.





Position Statements and Their Relationship to the PEs

All ICMM position statements include a number of commitments that company members are required to implement. These may either apply to individual company members or can be delivered collectively through membership of ICMM. Where position statement commitments apply to individual company members, they are also referred to in Annex B of the ICMM *Assurance and Validation Procedure* as ‘mandatory requirements’.

The introduction of the PEs has caused a degree of uncertainty regarding the status of position statement commitments as many, but not all, of the mandatory requirements have been incorporated within the PEs. To avoid ambiguity, where a PE has related position statement commitments, these are explicitly linked to the relevant PE within this guidance document. A tabular summary of position statement commitments is included as Annex B. This indicates whether the commitments apply individually to member companies

(and are relevant to validation), either ‘individually or collectively’ (which may or may not be relevant to validation), or ‘collectively’ (which are not applicable for the purposes of validation). It identifies which of the PEs the position statement commitments connect to. It also indicates whether individual commitments are applicable at a Corporate level, Asset level, or both a Corporate and Asset level.

For self-assessment and 3rd party validations, members are required to provide evidence of implementation of the mandatory requirements of related position statements. For those PEs that have related mandatory requirements, the determination of ‘meets’, ‘partially meets’ or ‘does not meet’ needs to be made on the basis of the wording of the PE and any related mandatory requirements. Where position statement commitments apply either ‘individually or collectively’, member companies have sole discretion to choose whether or not to include them within the scope of validation.

Applying the Self-Assessment Template

A self-assessment template is provided (see [here](#)) that may be used to document validation activities. The following considerations apply to the completion of the self-assessment template.

1. The first step in the self-assessment process is to consider **Applicability** of the PEs – as in some cases, a PE may not be applicable to an asset or company. If a member determines that a PE is not applicable at a given asset, select ‘Not Applicable’ from the drop-down menu and provide comments explaining this determination in the ‘Evidence’ column. The two options from a drop-down menu in this column are ‘Applicable’ and ‘Not applicable’.
2. The next step in the self-assessment process is to consider Equivalency (see section 3.3.1 of the Assurance and Validation Procedure) for each individual PE. Please note that ‘equivalent programmes’ are defined as having standards/requirements and validation requirements that are similar in scope and intent as the ICMM PEs validation process. Equivalency applies at the individual PE level, rather than at the overall programme level. ICMM will maintain details on its intranet³ on an ongoing basis regarding what other equivalent programmes can be recognised as such – and the extent to which their requirements are equivalent to each individual PE. Where the requirements of PEs are incorporated into a members’ ISO 14000 environmental management system or other management systems that are subject to certification, these can also be considered as equivalent.
3. If a PE has been validated by an equivalent programme in the past 3-years, this should be indicated by either selecting ‘Covered by equivalent programme’ or ‘Partially covered by equivalent programme’ from the drop-down menu and providing comments explaining this determination in the ‘Evidence of implementation’ column. For example, this might include ‘See link to our ASI certification or TSM verification for this site’. The options from the drop-down menu in this column are ‘Covered by equivalent programme’, ‘Partially covered by equivalent programme’ and ‘Not covered’.
4. Where a requirement of a programme for which ICMM has undertaken an equivalency comparison is ‘Partially meets’ (as opposed to ‘Meets’), the basis for that distinction is clearly outlined in the comments section of the equivalency comparison table on ICMM’s intranet. Where an equivalent programme has a requirement that only partially meets (or does not meet) the corresponding ICMM PE, an asset should provide evidence that it is meeting the supplementary elements of the PE in order to ‘Meet’ the PE requirements (which should be included in the Evidence of implementation column).
5. The next step is to Evaluate PE implementation. In evaluating the implementation of individual PEs, aspects such as frequency, quality and extent should be considered (see section 3.3.1 of the Assurance and Validation Procedure for definitions). The options available from the drop-down menu are ‘meets’, ‘partially meets’ and ‘does not meet’ (or not applicable, if so determined).
6. The choice from the first three of these options is based upon two related questions: what are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? In the Evidence of implementation column, for each applicable PE members should include details of what they are doing to achieve the intent of the PE and the evidence to demonstrate this. This might include links to relevant internal or publicly available documents. The evidence that supports the self-assessment determinations will be used for subsequent third-party validations. For this reason, the better the quality of evidence collected during self-assessment the better-placed an asset will be for third-party validations.
7. Lastly, the Implementation gaps column will help assets establish action plans to close any identified gaps and will facilitate future disclosures, as outlined in section 3.3.5 of the Assurance and Validation Procedure.

Some additional sources of guidance (mostly ICMM documents) are provided in Annex D.

If you require further information relating to PE Validation or this guidance, please contact ICMM at info@icmm.com (and include the words ‘Validation query’ in the subject line).

3. Where ICMM and the owners of equivalent programmes have made a mutually agreed determination of equivalency and where both parties agree, ICMM supports public disclosure of the comparison table.

Annex A: Tabular Summary of Performance Expectations, Clarification of Intent or Applicability, and Evidence of Implementation

02



Principle 1

Apply ethical business practices and sound systems of corporate governance and transparency to support sustainable development.

Performance Expectation 1.1 Establish systems to maintain compliance with applicable law.⁴	
Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>ICMM's company members are required to comply with all applicable laws in the countries where they operate. Many stakeholders want mining companies to show that they have strong systems in place aimed at ensuring legal compliance.</p> <p>It is unreasonably onerous to provide evidence of compliance with 'all applicable law'. An informed conversation between the company and validation service provider and the demonstration of compliance with a representative sample of laws relevant to sustainable development should be sufficient to agree that 'all applicable law' has been complied with.</p> <p>The 'systems' referred to in the PE are expected to ensure that the company tracks and complies with all applicable law, they cannot be expected to demonstrate compliance with all law.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Mechanisms to identify relevant legal requirements exist. — Legal requirements, permits and other relevant documentation are accessible to those who need them. — Mechanisms to track, assess, implement and communicate changes to relevant legal and other requirements. — Mechanisms to evaluate compliance (eg monitoring and measurement) are in place and working effectively.
Performance Expectation 1.2 Implement policies and practices to prevent bribery and corruption, and to publicly disclose facilitation payments.	
Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Discourage corruption and bribery and encourage disclosure of facilitation payments in order to comply with laws and to build trust with stakeholders.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — A policy or equivalent exists that covers the company's expectations in relation to preventing bribery and corruption, and under what circumstances facilitation payments are considered acceptable. — Training is delivered to employees and contractors on policies and prohibited practices. — Mechanisms to identify and prevent potential bribery and corruption are in place. — Anonymous mechanisms for reporting potential non-compliances exist. — Public disclosure of facilitation payments, if applicable, is provided for.

4. ICMM's member companies already comply with all applicable law in the countries that they operate in. However, many stakeholders say they want mining companies to show that they have strong systems that ensure legal compliance.

Performance Expectation 1.3

Implement policies and standards consistent with the ICMM policy framework.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>The ICMM policy framework consists of ICMM Principles, PEs and position statements. Company members are required to embed the requirements contained within these documents.</p> <p>Applicability: Corporate level</p>	<ul style="list-style-type: none">— Internal assessment of alignment of company policies and/or standards with the ICMM policy framework requirements.— Management systems, processes and/or approaches are in place to incorporate content within the ICMM policy framework throughout the company as applicable.— Mechanisms to demonstrate implementation of the above-noted management systems, processes and/or approaches.

Performance Expectation 1.4

Assign accountability for sustainability performance at the Board and/or Executive Committee level.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Senior leaders assume responsibilities that support the sustainability performance of the company.</p> <p>Applicability: Corporate level</p>	<ul style="list-style-type: none">— Board and/or Executive Committee level roles and responsibilities for ongoing oversight of sustainability performance are in place and documented.— Records to demonstrate Board and Executive Committee's participation in sustainability matters.

Performance Expectation 1.5

Disclose the value and beneficiaries of financial and in-kind political contributions whether directly or through an intermediary.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Be transparent about political contributions and in order to be clear to stakeholders about any political affiliations the company may have.</p> <p>Applicability: Corporate level</p>	<ul style="list-style-type: none">— Mechanisms in place that provide for the approval, tracking and disclosure of the value and recipients of financial and in-kind political contributions.

Principle 2

Integrate sustainable development in company strategy and decision-making processes.

Performance Expectation 2.1 Integrate sustainable development principles into corporate strategy and decision-making processes relating to investments in the design, operation and closure of facilities.	
Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Ensure sustainable development plays an important role in decision-making, and to provide the resources necessary to manage risks throughout the life of an asset.</p> <p>Applicability: Corporate level</p>	<ul style="list-style-type: none"> — Sustainable development principles reflected in company strategy. — Mechanisms in place to review material sustainable development risks and opportunities in business strategy, planning and budgeting activities and provide appropriate resources for their management throughout the mining life cycle.

Performance Expectation 2.2 Support the adoption of responsible physical and psychological health and safety ⁵ , environmental, human rights and labour policies and practices by joint venture partners, suppliers and contractors, based on risk.	
Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Encourage those with whom the company does business to act responsibly and sustainably to minimise physical and psychological health and safety, social, environmental and human rights impacts in the value chain.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Policies and practices, or equivalent, are in place to define company expectations in the value chain with respect to physical and psychological health and safety, environmental, human rights and labour practices. — Mechanisms in place, based on risk, to support the physical and psychological health and safety, environmental, human rights, labour performance of suppliers and contractors. — Mechanisms to demonstrate and evaluate implementation of above-noted policies and practices.

5. Psychological health in the workplace is defined in international literature as the ability to think, feel and behave in a manner that enables workers to perform effectively. Psychological safety in the workplace is defined as the risk of injury to the psychological wellbeing of a worker.

Principle 3

Respect human rights and the interests, cultures, customs and values of workers⁶, communities, and other vulnerable groups⁷, such as human rights defenders, who may be affected by our activities.

Performance Expectation 3.1

Support the UN Guiding Principles on Business and Human Rights by developing a policy commitment to respect human rights, undertaking human rights due diligence (including undertaking processes that assess perceived, potential and actual human rights impacts on rightsholders, including human rights defenders and other vulnerable groups), and providing for or cooperating in processes to enable the remediation of adverse human rights impacts that members have caused or contributed to.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Policy commitment to avoid causing or contributing to adverse human rights impacts from operational activities or from activities directly linked to the operations, products or services by business relationships. — Mechanisms to identify, assess, and control potential/actual human rights risks and impacts in consultation with subject matter experts and with potentially affected rightsholders (including human rights defenders and other vulnerable groups) suppliers, and stakeholders, as appropriate to the size of the company and the nature and context of the asset. — Grievance mechanism for employees, contractors, communities, and other rightsholders, including human rights defenders and other vulnerable groups, who may be adversely impacted by company activities. (See examples of grievance mechanism per 9.3.) — Mechanisms to communicate Human Rights Impacts in an appropriate manner to potentially impacted individuals or groups, where applicable. — Mechanisms in place to remediate any human rights impacts in a prioritised manner.

6. 'Workers' is defined in the Health and Safety Performance Indicators Guidance, 2021, as 'people who are engaged in work-related activities on behalf of an employer. Workers may be employees, contractors or third parties'.

7. A group that has specific characteristics that make it more at risk of health, safety and economic challenges (eg, may include Indigenous Peoples, human rights defenders, households headed by women or children, people with disabilities, the extremely poor, the elderly, religious and ethnic minorities, migrant workers, minorities, LGBTQ+ and gender-diverse people, and in some societies, women)

Performance Expectation 3.2

Avoid the involuntary physical or economic displacement of families and communities. Where this is not possible apply the mitigation hierarchy and implement actions or remedies that address residual adverse effects to restore or improve livelihoods and standards of living of displaced people.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Avoid compelling people to move from their homes or businesses due to the impact of operations. If relocation is necessary, work to restore or improve peoples' overall physical and economic conditions. This is important because resettlement can be disruptive to communities, their livelihoods and the social fabric of the area.</p> <p>Applicability: Asset level</p>	<ul style="list-style-type: none">— Policy statement covering the avoidance of involuntary resettlement to the extent possible.— Risk assessment includes consideration of the mitigation hierarchy.— Resettlement plans and examples of compensation provided where involuntary resettlement has taken place.— Mechanisms to monitor and review agreed actions of the above-noted action plans.

Performance Expectation 3.3

Implement, based on risk, a human rights and security approach consistent with the Voluntary Principles on Security and Human Rights. This includes identifying potential and actual human rights impacts on vulnerable groups⁷.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>In providing security for people and assets, it is important to avoid adversely impacting the rights of others. Activities must be carried out consistent with the Voluntary Principles on Security and Human Rights. These are the only security and human rights guidelines designed specifically for extractive sector companies.</p> <p>Applicability: Asset level</p>	<ul style="list-style-type: none">— Human rights risk assessment conducted based on local or site context, in consultation with affected rightsholders and stakeholders, including vulnerable groups, and mitigation measures implemented as appropriate.— Human rights training for public and private security personnel and contractors.— Investigation of incidents related to interactions between security personnel and the public and appropriate actions taken.— Consultation with potentially affected rightsholders and stakeholders, including vulnerable groups, and supervision of private security.

Performance Expectation 3.4

Respect the rights of workers by: not employing child or forced labour; avoiding human trafficking; not assigning hazardous/ dangerous work to those under 18; eliminating all forms of harassment and discrimination; respecting freedom of association and collective bargaining; and providing an appropriate mechanism to address workers grievances.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Respect the rights of workers directly engaged by the assets by observing international labour standards.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Mechanisms to identify, assess, and eliminate potential employment and human rights risks related to child labour, forced labour and human trafficking, the assignment of hazardous/dangerous work to those under 18, and all forms of harassment and discrimination. — Mechanisms to enable workers' grievances to be brought forward and addressed in a manner appropriate to the nature of the grievance. Mechanisms should be confidential, appropriately sensitive and staffed by trained individuals.

Performance Expectation 3.5

Equitably remunerate employees with wages that equal or exceed legal requirements or represent a competitive wage within that job market (whichever is higher) and assign regular and overtime working hours within legally required limits.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Provide employees with fair working hours, pay and benefits. Fairness takes into consideration both the local and company context.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Standards, procedures, programmes or agreements (eg collective agreements) governing employee remuneration. — When government regulations are absent or insufficient, internal remuneration criteria have been developed to meet the intent of PE 3.5. — Monitoring of working hours (inc. overtime) and checks against legally required/maximum agreed limits (whichever is lower). — Mechanisms to demonstrate and evaluate implementation of fair remuneration.

Performance Expectation 3.6

Respect the rights, interests, aspirations, culture, Indigenous knowledge and natural resource-based livelihoods of Indigenous Peoples in project design, development and operation; carry out *due diligence* to address potential *adverse impacts*; and *share benefits* in a manner that is aligned with Indigenous Peoples' aspirations for *social and economic development*.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Refer to the Explanatory Notes and Glossary in the Indigenous Peoples and Mining Position Statement for further guidance and clarity on the intent and definitions of key terms. Key terms are highlighted in bold.</p> <p>Note: In some countries, the term 'Indigenous' may be controversial and local terms may be used that are broadly equivalent (i.e., Tribal Peoples, First Peoples, Native Peoples, Aboriginal, First Nations, Traditional Owners, Customary Landowners, etc.). In other situations, there may be no, or ambiguous, recognition of Indigenous Peoples by States, or the term may have negative associations that discourage people from acknowledging Indigenous identity. Irrespective of the local context, ICMM members reject any discrimination or disadvantage that may be related to culture, identity or vulnerability and will apply the principles embodied in the ICMM Indigenous Peoples and Mining Position Statement to groups that exhibit the commonly accepted characteristics of Indigenous Peoples.</p> <p>While there is not one official definition for 'Indigenous Peoples', ICMM recognises the definition of 'Indigenous Peoples' and their commonly accepted characteristics as defined in article 1 of ILO 169. We also respect and utilise regional terms and, where possible, recognise and use the specific names as identified by a group, supporting self-identification. Indigenous Peoples have the right to determine their own identity or membership in accordance with their customs and traditions. Indigenous Peoples can share some or all of the following characteristics:</p> <ul style="list-style-type: none"> — Self-identification as Indigenous. — Historical continuity with pre-colonial and/or pre-settler societies. — A common experience of occupation, colonialism and oppression. — Occupation of or a strong link to specific lands and territories. — Distinct social, economic, and political systems. — Distinct language, culture and beliefs that vary from dominant sectors of society. — Resolve to maintain and reproduce their ancestral environments and distinctive identities. <p>These general criteria of 'Indigenous Peoples' are purposely inclusive and are thus meant to encompass the diversity of worldwide Indigenous Peoples' experiences, while still separating 'Indigenous Peoples' from other national minorities and local communities as unique and distinct groups and providing a basis for the kinds of rights that they claim.</p> <p>Applicability: Asset level</p>	<p>Note: The examples below have been drawn from the Indigenous Peoples and Mining Position Statement Explanatory Notes. See the Explanatory Notes for further guidance on each PS requirement.</p> <ul style="list-style-type: none"> — Early and comprehensive identification and documentation of Indigenous Peoples and groups, their rights and interests, and who may be potentially affected by/benefit from company activities. — Reviews or comprehensive and appropriate mapping of lands, territories and resources, potential title or land claims, and their physical or cultural usage by Indigenous Peoples, including those that may be displaced or Peoples in vulnerable situations in the area of a proposed project or activity. Evidence to show that Indigenous Peoples, and/or relevant State authorities and other responsible agencies have been engaged in the reviews and mapping. — Appropriate consultation and engagement processes agreed upon and being implemented with potentially affected Indigenous Peoples or groups. These processes should be consistent with Indigenous Peoples' procedures, protocols, governance structures and decision-making processes, and such processes can be documented in an engagement plan. — Evidence that due diligence processes, such as social, human rights and environmental baseline analyses and impact assessments have been conducted, and conducted early and in advance of any project activities to identify those Indigenous Peoples who may be impacted by a project as well as the nature and extent of potential adverse impacts on Indigenous Peoples' rights. — Opportunities for Indigenous Peoples' aspirations for social and economic development identified and progress towards suitable realisation/delivery for benefit sharing is evident. The agreement-making process can also identify opportunities for benefits that are aligned with Indigenous Peoples' aspirations for social and economic development. These may include equitable economic benefits as well as those that are not solely financial and that catalyse long-term sustainable development and strengthen self-determination.

Performance Expectation 3.6 continued	
Mandatory requirements of related position statement: <i>Indigenous Peoples and Mining Position Statement</i>	What are you doing to achieve the intent of the position statement and what evidence do you have to demonstrate this? For example:
<p>Requirement 1: Respect Indigenous Peoples' rights by embedding measures across governance and management processes to avoid infringing Indigenous Peoples' rights, and to adequately address potential adverse impacts to rights from mining and mining-related projects. This includes developing and implementing policy commitments and promoting cross-cultural understanding and awareness through relevant educational programmes to meet the responsibility to respect Indigenous Peoples' rights. It also includes supporting efforts for reconciliation with Indigenous Peoples and the advancement of the exercise of their rights, where appropriate. See Explanatory Note: Commitment 1. (Individual, Asset and Corporate level)</p> <p>Requirement 2: Carry out due diligence to identify, prevent, mitigate and account for possible adverse impacts on Indigenous Peoples' rights. Due diligence processes should include the early and comprehensive identification of and meaningful engagement with Indigenous Peoples who may be affected by a project. The process should respect Indigenous Peoples' right to participate in decision-making on matters that affect them and be guided by the principles of FPIC. Due diligence should also seek to prevent or mitigate potential adverse impacts on Indigenous Peoples' rights that may be caused or contributed to by companies or directly linked to their operations, products or services by their business relationships. Due diligence should be ongoing, recognising that the risks to Indigenous Peoples' rights may change over time as a company's operations and/or operating context evolves. See Explanatory Note: Commitment 2 (Individual, Asset level)</p> <p>Requirement 3: Agree on appropriate engagement processes with potentially affected Indigenous Peoples and relevant State authorities as early as possible in project planning. This is to enable their inclusive, equitable and meaningful participation in due diligence processes and for the good faith negotiation of agreements that can demonstrate their consent. Engagement processes should be co-designed, culturally appropriate, inclusive and carried out through the procedures, protocols and governance structures of potentially affected Indigenous Peoples. Where Indigenous Peoples do not have access to the legal or other technical support necessary to participate equitably in negotiation, companies will offer them reasonable financial or other agreed-upon assistance as required. See Explanatory Note: Commitment 3 (Individual, Asset level)</p> <p>Requirement 6: Enable benefit sharing that reflects and is aligned with Indigenous Peoples' aspirations for social and economic development. Benefit sharing should be equitably distributed and facilitate positive outcomes that extend beyond the life of operations. See Explanatory Note: Commitment 6. (Individual, Asset level)</p>	<p>Note: The examples below have been drawn from the Indigenous Peoples and Mining Position Statement Explanatory Notes. See the Explanatory Notes for further guidance on each PS requirement.</p> <ul style="list-style-type: none"> — Stand-alone or integrated policy commitments in line with Position Statement requirement 1. — Cultural awareness education and training for relevant employees and contractors, scaled to their roles, and may include materials on the history, social and cultural traditions and patterns, the rights of Indigenous Peoples and the company's responsibility to respect these rights. — Inter-cultural dialogue training to personnel engaging with Indigenous Peoples. — Actions that contribute to, or support for, Indigenous-led and/or government led reconciliation initiatives. — Co-developed capacity-building activities supporting Indigenous Peoples' and other communities participation in project engagement in-place for project. — Documentation of participatory involvement of potentially impacted Indigenous People in the identification of project impacts. — Evidence that due diligence processes, such as social, human rights and environmental baseline analyses and impact assessments have been conducted and conducted early and in advance of any project activities to identify those Indigenous Peoples who may be impacted by a project as well as the nature and extent of potential adverse impacts on Indigenous Peoples' rights. — Ongoing, agreed-upon engagement plan and consultation processes in place with potentially impacted Indigenous communities to allow their meaningful participation in culturally-appropriate decision-making. — Project plans or equivalent define what constitutes consent from Indigenous communities that may be adversely impacted by the project. — Evidence of support for Indigenous People's capacity to engage in decision-making and agreement-making, for example by providing access to independent expert advice where appropriate, capacity building, facilitation and mediation, or involving external observers. — Opportunities for benefit sharing are evident through commercial participation in projects; and/or financial benefits or various other types of benefit such as social and economic development outcomes, including in-kind participations such

Performance Expectation 3.6 continued

Requirement 7: Respect and incorporate Indigenous knowledge in collaboration with Indigenous Peoples through the design and implementation of **due diligence** and methods of engagement; in agreements for **benefit sharing**, sustainable environmental and social investment programmes; and in closure planning and execution. Respect that Indigenous Peoples have the right to maintain, control and protect their Indigenous knowledge and knowledge systems. Respect and support Indigenous cultural and intellectual property and obtain permission if collecting, storing, accessing, using and/or reusing cultural and intellectual information and knowledge. See Explanatory Note: Commitment 7. (Individual, Asset level)

Requirement 8: Respect and celebrate **cultural heritage**, both tangible and intangible, and the historical and ongoing spiritual connections of Indigenous Peoples to such heritage, particularly prioritising the avoidance of impacts on cultural heritage that is critical to Indigenous Peoples' cultures or spiritual life. This includes collaborating with Indigenous Peoples to identify risks to and potential adverse impacts on cultural heritage from proposed activities and developing mitigation measures and management plans through due diligence and agreement-making. Companies will also promote, celebrate and support the revival of cultural heritage where appropriate and agreed upon by Indigenous Peoples. See Explanatory Note: Commitment 8. (Individual, Asset level)

as education and training, cooperation in environmental and cultural heritage conservation projects and health initiatives. In some instances, companies may face scenarios where Indigenous Peoples do not wish to participate in engagement over a proposed project. Without prejudice to the rights of Indigenous Peoples to withhold their agreement, the company should document the steps taken to engage with Indigenous Peoples and the rationale taken in each step. Companies will continue to respect the rights of Indigenous Peoples even when Indigenous Peoples do not wish to engage.

- Evidence that Indigenous knowledge has been considered in impact assessments, due diligence, environmental and social investment programmes and closure planning and execution. Companies should show evidence that they have obtained permission if collecting, storing, accessing, using and/or reusing the cultural and intellectual information and knowledge of Indigenous Peoples.
- Evidence that **cultural heritage** management plans are informed through ongoing engagement that remains adaptive and incorporates new information as it becomes known.
- Initiatives to support the promotion, revival and celebration of cultural heritage, where agreed upon by Indigenous Peoples, by implementing awareness and education initiatives, participating in festivals and events, supporting language preservation endeavors, and other efforts.



Performance Expectation 3.7

Obtain *agreement* with affected Indigenous Peoples demonstrating their consent to *anticipated impacts* to their land or other rights, and setting out the terms by which impacts may occur and be managed. Where *potential impacts* include the relocation of Indigenous Peoples from their lands or territories, or significant impacts to their *critical cultural heritage*, companies will explore feasible alternatives to project design in order to avoid such impacts. If relocation and/or significant impacts on critical cultural heritage are unavoidable, companies will obtain agreement demonstrating the consent of affected Indigenous Peoples in accordance with ICMM's Indigenous Peoples and Mining Position Statement. In any instance where agreement is not obtained, ICMM members will develop a policy or approach outlining the steps they have taken to fulfil the commitments set out in the position statement.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Refer to the Explanatory Notes and Glossary in the Indigenous Peoples and Mining Position Statement, for further detail and clarity on the intent and definitions of key terms. Key terms are highlighted in bold.</p> <p>Applicability: Asset level</p>	<p>Note: The examples below have been drawn from the Indigenous Peoples and Mining Position Statement Explanatory Notes. See the Explanatory Notes for further guidance on PS each requirement.</p> <ul style="list-style-type: none"> — Early and comprehensive identification and documentation of Indigenous Peoples and groups, their rights and interests, and who may be potentially affected by/benefit from company activities. — Appropriate engagement plan and processes agreed upon and being implemented. — Documentation to show that agreements with Indigenous Peoples have been made in accordance with their own decision-making processes and representative institutions. Agreements can reflect consent and/or be a means to demonstrate consent. — Adverse impacts identified through a due diligence process and differentiated mitigation measures are developed/implemented to address these. — Where Indigenous Peoples do not provide their agreement to anticipated impacts, there is documentation of a policy or approach that outlines appropriate steps taken and management of impacts to their land or other rights. This can entail seeking mediation or advice from mutually acceptable parties, and/or pursuing processes that have been designed by States for such situations, and/or escalating issues to the highest relevant corporate-level decision-makers (i.e., senior management, executive and Board-level) for a decision on how the activity should progress. — If relocation and/or significant impacts on critical cultural heritage are unavoidable, companies will obtain an agreement demonstrating the consent of affected Indigenous Peoples. — Evidence that cultural heritage management plans are informed through ongoing engagement that remains adaptive and incorporates new information as it becomes known.

Performance Expectation 3.7 continued

Mandatory requirements of related position statement: <i>Indigenous Peoples and Mining Position Statement</i>	What are you doing to achieve the intent of the position statement and what evidence do you have to demonstrate this? For example:
<p>Requirement 4: Obtain agreement with affected Indigenous Peoples demonstrating their consent to anticipated impacts to their land or other rights, and setting out the terms by which impacts may occur and be managed. In accordance with the principles of FPIC, agreement should be achieved through informed and meaningful engagement and good faith negotiation, through means that advance intercultural understanding and that facilitate freely giving or withholding agreement. The agreement should include, at a minimum, demonstration of consent to anticipated impacts, mitigation measures developed through the due diligence process, and a redress mechanism for potential infringements of the agreement or of Indigenous Peoples' rights. It is expected that the agreement be faithfully implemented, with ongoing monitoring supporting the effective realisation of the terms of the agreement (and conditions therein). When a project is to be developed within Indigenous Peoples' lands or territories, or otherwise with substantial anticipated impacts on their rights, the agreement should also include benefit sharing. Where potential impacts include the relocation of Indigenous Peoples from their lands or territories, or significant impacts to their critical cultural heritage, companies will explore feasible alternatives to project design in order to avoid such impacts. If relocation and/or significant impacts on critical cultural heritage are unavoidable, companies will obtain an agreement demonstrating the consent of affected Indigenous Peoples in accordance with this Commitment. See Explanatory Note: Commitment 4 (Individual, Asset level)</p> <p>Requirement 5: Address differences of opinion that arise and work to resolve disagreements. ICMM members recognise that achieving agreement and demonstrating such consent, can enable long-term relationships based on mutual respect, trust and benefit. Hence, ICMM members will start from the position that a proposed project or activity should proceed with agreement as outlined in Commitment 4. Recognising that there may be circumstances in which agreement is not obtained, this Position Statement sets out the process that ICMM members will take in this instance. ICMM members will develop a policy or approach outlining the steps they have taken to fulfil these commitments where agreement is not obtained. See Explanatory Note: Commitment 5 (Individual, Asset and Corporate level)</p> <p>Requirement 9: Provide, or cooperate in, remediation where a company's activities are found to have caused or contributed to infringement of the rights of Indigenous Peoples. Companies will establish or participate in, and make available, effective grievance mechanisms (including, where appropriate, independent mechanisms) to resolve disagreements and facilitate remediation. See Explanatory Note: Commitment 9. (Individual, Asset level)</p>	<p>Note: The examples below have been drawn from the Indigenous Peoples and Mining Position Statement Explanatory Notes. See the Explanatory Notes for further guidance on each PS requirement.</p> <ul style="list-style-type: none"> — Documentation of engagement and agreement outcomes and processes. — Documentation to show that agreements with Indigenous Peoples have been made in accordance with their own decision-making processes and representative institutions. Agreements can reflect consent and/or be a means to demonstrate consent. — Where decision by a company has been made to proceed with a project without agreement demonstrating consent, there is evidence to demonstrate that efforts to reach agreement in good faith have been extensive and exhaustive and that it has been preceded by a due diligence process and consultation with internal and external experts and relevant State authorities. This due diligence should include a review of the States process to obtain free, prior and informed consent (FPIC) of affected Indigenous Peoples, and an assessment of the company's capacity to conform with its responsibility to respect Indigenous Peoples' rights. — Where Indigenous Peoples do not provide their agreement to anticipated impacts, there is documentation of a policy or approach that outlines appropriate steps taken and management of impacts to their land or other rights. This can entail seeking mediation or advice from mutually acceptable parties, and/or pursuing processes that have been designed by States for such situations, and/or escalating issues to the highest relevant corporate-level decision-makers (i.e., senior management, executive and Board-level) for a decision on how the activity should progress. — Documented processes which have been mutually designed for dealing with disagreements or setbacks and include avenues for recourse and access to mediation. — Where mediation is required, documentation that demonstrates that the selected mediator is mutually acceptable to the parties. — Evidence to demonstrate that an adequate grievance procedure is available and has been designed with the involvement of concerned Indigenous Peoples.

Performance Expectation 3.8

Implement policies and practices to respect the rights and interests of women that reflect gender-informed approaches to work practices and job design, and that protect against all forms of discrimination and harassment, and behaviours that adversely impact on women's successful participation in the workplace⁸.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Have the systems in place to enable and enhance women's successful participation at work.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Gender equality strategy. — Mechanisms for achieving and measuring gender efforts such as targets/quotas and external citation accreditation. — Standards, procedures and programmes or agreements governing employment and compensation are based on objective criteria and are not discriminatory based on gender. — Mechanisms to redress gender pay inequalities and gaps. — Mechanisms to ensure safe and secure facilities and appropriate uniforms and PPE. — Mechanisms that take the caring responsibilities of all workers into account. — Mechanisms to monitor and address sex-based harassment and bullying in a confidential, independent, and appropriately sensitive manner. — Mechanisms to evaluate and address gendered and hypermasculine behaviours, including appropriate gender-based awareness training and education.

Performance Expectation 3.9

Implement policies and practices to respect the rights and interests of all workers⁹ and improve workforce representation in the workplace so it is more inclusive.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Recognise and value the benefits of an inclusive workforce and have the systems in place to enable and enhance all workers' successful participation at work, free from all forms of discrimination and harassment.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — DEI strategy. — Standards, procedures and programmes or agreements governing employment and compensation are based on objective criteria and are not discriminatory. Similar agreements are agreed with contractors.
<p>Mandatory requirements of related position statement: <u>Diversity, Equity, and Inclusion Position Statement</u></p>	<ul style="list-style-type: none"> — Mechanisms to ensure safe and secure facilities, and appropriate uniforms and PPE.
<ul style="list-style-type: none"> — Accelerate Action: In addition to our existing individual and collective actions, we will develop a roadmap for diversity, equity and inclusion that accelerates efforts to eliminate harmful behaviours from our workplaces and communities. 	<ul style="list-style-type: none"> — Mechanisms to create flexible and appropriate job design and work practices and recognition of the differing needs of diverse employees and contractors. — Monitor and address diversity-based harassment and bullying

8. 'Workplace' is defined in the Health and Safety Performance Indicators Guidance, 2021, under work environment as 'the establishment and other locations where one or more workers are engaged in work-related activities as a condition of employment. The work environment includes not only geographic or physical locations but also the equipment or materials used by the worker during the course of his or her work'.

9. All workers regardless of sex, gender, national origin, Indigeneity, age, caring responsibilities, cultural background, ethnicity, linguistic background, physical or mental ability status, religious affiliation, sexual orientation, gender identity, intersex status, socio-economic background and/or other categories of underrepresentation.

Performance Expectation 3.9 continued

The roadmap will outline the proximity and direction of our ambition, setting out key milestones to achieving our goals (see below). It will support the development and execution of actions that will contribute to positive social change. The roadmap will include the development of tools and resources and expand the scope of our already strong physical health and safety practices to address psychological wellbeing. (Collectively)

- **Set Goals:** We will set company goals, relevant to our operating contexts, to eliminate all forms of harassment and discriminatory behaviours, and improve diversity, equity and inclusion. Further, we will agree on a collective goal or goals aimed at creating workplaces and communities that better reflect the aspirations of society for diversity and inclusion. Recognising the many contextual and operating differences of reflect the aspirations of society for diversity and inclusion. Recognising the many contextual and operating differences of our membership, these goals will focus on the systematic barriers to diversity, equity and inclusion that exist across the mining and metals industry. They will help drive and demonstrate progress. Further, we commit to revising the goals as they are met in order to not only to sustain, but to drive ongoing progress. (Collectively)
- **Increase Transparency:** We will disclose our aggregated performance against our goals, such that it contributes to an appropriate depiction of mining's impact, in accordance with the ICMM Social and Economic Reporting Framework, disaggregating data by gender and ethnicity¹⁰ where possible.¹¹ In doing so, we will identify and report on areas in which we are not sufficiently progressing and ensure there is continued focus on them until we fulfil our commitment. This includes embedding objectives for diversity, equity, and inclusion into employee engagement, stakeholder consultation, reporting frameworks, and monitoring and evaluating our progress. (Collectively)
- **Collaborate for Greater Effect:** We will seek the participation of people from underrepresented groups in the design of the actions set out above, as well as engaging majority groups as advocates. By working together as members and with industry associations, governments, communities, investors and others we will help find solutions to these pervasive challenges and contribute to broader industry and social cultural change. (Collectively)

in a confidential, independent and appropriately sensitive manner.

- Mechanisms to evaluate and address inappropriate behaviours, including awareness training and diversity education within the workforce.

10. There may be constraints on reporting some diversity information (eg ethnicity, gender, and disabilities) because of regulatory and data privacy limitations. ICMM members are expected to operate within the legal and regulatory requirements of the jurisdictions in which they operate.

11. In some operating contexts it may not be appropriate to ask workers or communities to identify their ethnicity or other identity characteristics as it might not support the desired outcome of addressing inequalities but have unintended consequences, eg fuelling conflict. ICMM members should consider carefully what is appropriate in each operating context. More information can be found under "Reporting on Diversity" in the ICMM Social and Economic Reporting Framework.

Principle 4

Implement effective risk-management strategies and systems based on sound science and which account for stakeholder perceptions of risks.

Performance Expectation 4.1

Assess environmental and social risks and opportunities of new projects and of significant changes to existing operations in consultation with interested and affected stakeholders, and publicly disclose assessment results.¹²

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Assess and understand potential environmental and social impacts of activities in consultation with stakeholders and be transparent about the results.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Mechanisms for requiring and conducting environmental and social impact studies and assessments (ESIAs) for new projects or significant changes to existing operations consistent with local regulatory requirements and international standards, including those related to consultation with interested and affected stakeholders and public disclosure. — Process for engaging with stakeholders on the results of environmental and social impact studies and ESIs, as applicable.

Performance Expectation 4.2

Undertake risk-based due diligence on conflict and human rights that aligns with the OECD Due Diligence Guidance on Conflict Affected and High Risk Areas, when operating in, or sourcing from, a conflict-affected or high-risk area.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Check that operations or suppliers in countries where there is conflict or high-risk of human rights problems, do not contribute to human rights abuses, conflict or corruption (in line with OECD Due Diligence Guidance on Conflict-Affected and High-Risk Areas) to minimise human rights impacts in the value chain.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Mechanism for identification, assessment, management and reporting of risks related to conflict and human rights. — Implementation across operations and applicable elements of the supply chain. — Mechanisms to demonstrate implementation of risk-based due diligence practices. — As OECD Due Diligence is an ongoing process (continuous improvement), not required to show that all identified risks have been fully addressed.

¹² These should cover issues such as air, water, biodiversity, noise and vibration, health, safety, human rights, gender, cultural heritage and economic issues. The consultation process should be gender sensitive and inclusive of marginalised and vulnerable groups.

Performance Expectation 4.3

Implement risk-based controls to avoid/prevent, minimise, mitigate and/or remedy physical and psychological health, safety and environmental impacts to workers, local communities, cultural heritage and the natural environment, based upon a recognised international standard or management system.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Follow an international standard to manage risks to workers, local communities, cultural sites, physical and psychological health and safety and the environment by avoiding them, minimising them or compensating for any adverse impacts.</p> <p>Applicability: Asset level</p>	<ul style="list-style-type: none">— Implementation of a risk management standard or management system that includes identification, assessment, mitigation and control of physical and psychological health and safety and environmental impacts to workers, local communities, cultural heritage and the natural environment.— Mechanisms to manage risk of physical/psychological harm caused by bullying, harassment, assault, racism, sexism and all other forms of discrimination.

Performance Expectation 4.4

Develop, maintain and test emergency response plans. Where risks to external stakeholders are significant, this should be in collaboration with potentially affected stakeholders and consistent with established industry good practice.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Put effective plans in place to address foreseeable or likely emergencies to protect human health and the environment.</p> <p>Applicability: Asset level</p>	<ul style="list-style-type: none">— Identification of foreseeable hazards and risks that could lead to emergency situations.— Emergency response plan(s) prepared that meet the requirements set forth in any applicable legislation, regulations and established industry good practice.— Plans are developed, maintained and tested in collaboration with emergency agencies and other stakeholders who may be affected.

Principle 5

Pursue continual improvement in physical and psychological health and safety performance with the ultimate goal of zero harm.

Performance Expectation 5.1

Implement practices aimed at continually improving workplace physical and psychological health and safety, and monitor performance for the elimination of workplace fatalities, serious injuries, psychosocial hazards and prevention of occupational diseases, based upon a recognised international standard or management system.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Enable and maintain a physically and psychologically safe workplace.</p> <p>Applicability: Corporate and Asset level</p> <p>[Note: Psychosocial hazards are aspects of work which have the potential to cause psychological or physical harm including bullying, mental stress, workplace violence.]</p>	<ul style="list-style-type: none"> — Practices are in place to identify, assess, eliminate, or control health and safety hazards (including all forms of bullying, harassment and assault) and occupational diseases at the asset. — Practices utilise established guidelines, processes and methodologies, based on recognised international standards or management systems. — Prevention processes to address threat of physical and psychological health and safety hazards and occupational disease. — Mechanisms to monitor performance and demonstrate implementation of above-noted practices.

Performance Expectation 5.2

Provide workers with training in accordance with their responsibilities for physical and psychological health and safety and implement health surveillance and risk-based monitoring programmes based on occupational exposures.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Mechanisms in place for identifying and implementing health and safety training for employees that is aligned with their job responsibilities. — Mechanisms in place to determine which activities are required to have baseline and routine health surveillance, with frequencies specified based on risk. — Mechanisms in place to provide training, health surveillance and risk-based monitoring for all forms of bullying, harassment and discrimination. — Occupational exposure limits identified and documented in line with the activities, materials and processes to which an employee is exposed, and procedures to follow when exposure levels are exceeded. — Mechanisms to demonstrate implementation of above-noted practices.

Performance Expectation 5.3

Safeguard the health of workers against exposure to diesel particulate matter (DPM) emissions in all underground mining operations by implementing a comprehensive DPM management programme.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>In all underground mining operations, implement a management programme to monitor and mitigate exposure of workers to diesel particulate matter.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none">— Practices are in place for conducting baseline DPM assessments, maintaining equipment inventories, and monitoring worker exposure levels.— DPM Management Plan(s) are prepared and implemented with regular internal progress reporting on DPM monitoring, management and reduction initiatives.— Implementation of health surveillance protocols and risk-based monitoring programmes based on occupational exposures to DPM.— Mechanisms to provide training on DPM risks and control measures, ensuring workers are informed and competent at implementing control measures in line with established industry good practice.— Maintenance of organized documentation systems, including equipment registers, performance audits and emission data management, to support data-driven decision-making.— Mechanisms to ensure compliance with regulatory requirements, monitor advances in emission control practices and identify gaps to continuously improve DPM management practices.

Principle 6

Pursue continual improvement in environmental performance issues, such as water stewardship, energy use and climate change.

Performance Expectation 6.1

Plan and design for closure in consultation with relevant authorities and stakeholders, implement measures to address closure-related environmental and social aspects, and make financial provision to enable agreed closure and post-closure commitments to be realised.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>The term 'financial provision' in the context of closure is defined in ICMM's <i>Financial Concepts for Mine Closure</i> document. This definition should be referred to when implementing this PE.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Closure plans and closure cost estimates (liabilities) are established that comply/align with international good practice and/or applicable government regulations related to physical and socio-economic mine closure provisioning and are updated and verified. — Financial provision for mine closure and post-closure aspects that considers applicable physical, chemical and socio-economic rehabilitation requirements.

Performance Expectation 6.2

Implement water stewardship practices that provide for strong and transparent water governance, effective and efficient management of water at operations, and collaboration with stakeholders at a catchment level to achieve responsible and sustainable water use.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Implement an effective approach to water management that encompasses areas potentially impacted by the company's activities. Water is a precious shared resource with high social, cultural, environmental and economic value. Access to water is recognised as a human right.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Stakeholder engagement on water management at the catchment level. — Identification and management of water risks and opportunities relating to the asset's activities. — Monitoring of water-related activities.
<p>Mandatory requirements of related position statement: <u>Water Stewardship Position Statement</u></p>	<p>What are you doing to achieve the intent of the position statement and what evidence do you have to demonstrate this? For example:</p>
<p>Requirement 1. Apply strong and transparent corporate water governance</p> <ol style="list-style-type: none"> Publicly disclose the company's approach to water stewardship. Allocate clear responsibilities and accountabilities for water – from board and corporate to site levels. Integrate water considerations in business planning – including company strategy, life of asset and investment planning. Publicly report company water performance, material risks, opportunities and management response using consistent industry metrics and recognised approaches. <p>(Individual, Corporate level)</p>	<ul style="list-style-type: none"> — Key accountabilities for water identified and documented, including clear responsibilities and accountabilities for water governance, management and operational activities. — Short and long-term water considerations incorporated into business planning, including budgeting. — Formal assessment of the contribution of operational water use to cumulative impacts in the context of other water users. — A program for establishing context-based water targets across sites in water stressed areas and other areas where material water related risks exist. — Targets in place on key water-related metrics, such as reducing freshwater reliance, and monitored.

Performance Expectation 6.2 continued

Requirement 2. Manage water at operations effectively

- a. Maintain a water balance and understand how it relates to the cumulative impact of other users.
- b. Set context-relevant water targets or objectives for sites with material water-related risks.
- c. Proactively manage water quantity and quality to reduce potential socio-environmental impacts and realise opportunities.
- d. Ensure all employees have access to clean drinking water, gender-appropriate sanitation facilities and hygiene at their workplace.

(Individual, Asset level)

Requirement 3. Collaborate to achieve responsible and sustainable water use

- a. Identify, evaluate, and respond to catchment-level water-related risks and opportunities.
- b. Identify and engage proactively and inclusively with stakeholders that may influence or be affected by a site's water use and discharge.
- c. Actively engage on external water governance issues, with governments, local authorities and other stakeholders, to support predictable, consistent and effective regulation that underpins integrated water resource management.
- d. Support water stewardship initiatives that promote better water use, effective catchment management and contribute to improved water security and sanitation.

(Individual, Corporate and Asset level)

- Documented assessment of catchment-level, water-related risks and opportunities in line with risk management processes.
- Documented plans for or records of work with governments, local authorities and other stakeholders at the catchment and broader level to advance or improve water stewardship outcomes.

Performance Expectation 6.3

Design, construct, operate, monitor and decommission tailings disposal/storage facilities using comprehensive, risk-based management and governance practices in line with internationally recognised good practice, to minimise the risk of catastrophic failure.^{13, 14}

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Tailings storage facilities are to be managed in a way that prevents failures. Catastrophic failures are unacceptable and can cause significant damage to human health and the environment.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Identification and management of risks and opportunities relating to the asset's tailings facilities. — Accountability, responsibility and competency for individuals involved in the management of risks and opportunities relating to the asset's tailings facilities. — Planning and resourcing of tailings-related activities. — Change management processes for tailings facilities and related activities. — Emergency preparedness & response planning undertaken for tailings-related incidents. — Review & Assurance of tailings-related activities as appropriate. — Monitoring of tailings-related activities. — Stakeholder engagement on tailings management.
Mandatory requirements of related position statement: <u><i>Tailings Governance Position Statement</i></u>	What are you doing to achieve the intent of the position statement and what evidence do you have to demonstrate this? For example:
<p>Requirement 1. Accountability, responsibility and competency: Accountabilities, responsibilities and associated competencies are defined to support appropriate identification and management of TSF risks.</p> <ul style="list-style-type: none"> — Accountability for the overall governance of tailings facilities resides with the owners and operators. — Organisational structures and roles are established to support management of TSF risks and governance accountability. — Communication processes are maintained to ensure that personnel understand their responsibilities. Training is conducted to maintain currency of knowledge and skills. — Role competency and experience requirements are defined for critical roles within the established organisational structures. (Individual, Corporate and Asset level) 	<p>For additional examples of evidence for the <u><i>Tailings Governance Position Statement</i></u>, refer to the relevant section of the <u><i>Conformance Protocols for the Global Industry Standard on Tailings Management</i></u>.</p>

13. As of 5 August 2020, all ICMM members committed to implement the Global Industry Standard on Tailings Management (GISTM). All tailings facilities operated by members with "Extreme" or "Very high" potential consequences will be in conformance with the Standard by 5 August 2023. All other tailings facilities operated by members not in a state of safe closure will be in conformance with the Standard by 5 August 2025.

14. Riverine tailings, freshwater lake and/or shallow marine tailings disposal may be considered only if deemed to be the most environmentally and socially sound alternative, based on an objective and rigorous environmental and social impact assessment of tailings management alternatives. The scope of the assessment should be agreed between the company member and the host government.

Performance Expectation 6.3 continued

Requirement 2. Planning and resourcing: The financial and human resources needed to support continued TSF management and governance are maintained throughout a facility's life cycle.

- TSF operating and capital costs, and human resource needs, are included in relevant business planning processes.
- Resources necessary to implement and maintain activities within this governance framework are provided.

(Individual, Corporate and Asset level)

Requirement 3. Risk management: Risk management associated with TSFs includes risk identification, an appropriate control regime and the verification of control performance.

- Risk controls and their associated verification activities are identified based on failure modes and their associated consequences, and evaluated on a TSF-specific basis considering all phases of the TSF life cycle.
- Suitably qualified and experienced experts are involved in TSF risk identification and analysis, as well as in the development and review of effectiveness of the associated controls.
- Performance criteria are established for risk controls and their associated monitoring, internal reporting and verification activities.

(Individual, Corporate and Asset level)

Requirement 4. Change management: Risks associated with potential changes are assessed, controlled and communicated to avoid inadvertently compromising TSF integrity.

- Processes are applied that involve the identification, assessment, control and communication of risks to TSF integrity arising from both internally driven and externally driven change, to avoid introducing uncertain, unacceptable, and/or unmanaged risks.
- Documents and records that support TSF planning, design, construction, operation, surveillance, management and governance are maintained and kept suitably current and accessible.

(Individual, Corporate and Asset level)

Requirement 5. Emergency preparedness & response: Processes are in place to recognise and respond to impending failure of TSFs and mitigate the potential impacts arising from a potentially catastrophic failure.

- Action thresholds and their corresponding response to early warning signs of potential catastrophic failure are established.
- Emergency preparedness and response plans are established commensurate with potential failure consequences. Such plans specify roles, responsibilities and communication procedures.
- Emergency preparedness and response plans are periodically tested.

(Individual, Corporate and Asset level)

Performance Expectation 6.3 continued

Requirement 6. Review & assurance: Internal and external review and assurance processes are in place so that controls for TSF risks can be comprehensively assessed and continually improved.

- Internal performance monitoring and inspections and internal and external reviews and assurance are conducted commensurate with consequences of TSF failure to evaluate and to continually improve the effectiveness of risk controls.
- Outcomes and actions arising from TSF review and assurance processes are recorded, reviewed, closed-out and communicated.
- Performance of risk management programs for TSFs is reported to executive management on a regular basis.

(Individual, Corporate and Asset level)

Performance Expectation 6.4

Apply the mitigation hierarchy to prevent pollution, manage releases and waste, and address potential impacts on human health and the environment.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
Applicability: Asset level	<ul style="list-style-type: none"> — Practices are in place to identify, assess, and control sources of potential pollution and their impacts on human health and the environment. — Sources of potential pollution are controlled in accordance with the mitigation hierarchy: avoid, reduce, reuse, recycle and dispose.
Mandatory requirements of related position statement: <u>Mercury Position Statement</u>	What are you doing to achieve the intent of the position statement and what evidence do you have to demonstrate this? For example:
<p>Requirement 1. Not open any mines designed to produce mercury as the primary product. (Individual, Corporate level)</p> <p>Requirement 2. Apply materials stewardship to promote the responsible management of the mercury produced from ICMM members' operations including that which naturally occurs in our products. (Individual, Corporate level)</p> <p>Requirement 3. Identify and quantify point source mercury air emissions from our operations and minimise them through the application of cost effective best available technology, using a risk based approach. (Individual, Asset level)</p> <p>Requirement 4. Report significant point source mercury emissions from our operations consistent with our commitment to report in accordance with the GRI framework. Members who report against the European Sustainability Reporting Standards (ESRS) can report 'with reference to' GRI. (Individual, Corporate level)</p>	<ul style="list-style-type: none"> — Disclosure of significant point source mercury emissions from operations.

Performance Expectation 6.5

Implement measures to improve energy efficiency and contribute to a low-carbon future, and report the outcomes based on internationally recognised protocols for measuring CO2 equivalent (GHG) emissions.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Practices in place to identify, assess and implement energy and carbon efficiency measures. — Monitor progress on energy, climate adaptation and low-carbon actions. Review and revise as necessary. — Report outcomes of energy and carbon risk and opportunity assessments and action planning based on internationally recognised protocols for measuring GHG emissions.
Mandatory requirements of related position statement: <u>Climate Change Position Statement</u>	What are you doing to achieve the intent of the position statement and what evidence do you have to demonstrate this? For example:
<p>Requirement 1. Setting Scope 1 and 2 targets: We will build clear pathways to achieving net zero Scope 1 and 2 GHG emissions by 2050 or sooner, through meaningful short and/or medium-term targets. (Individual, Corporate level)</p> <p>Requirement 2. Accelerating action on Scope 3 GHG emissions: We recognise that Scope 3 is critical to minimising our overall impact and we will set Scope 3 targets, if not by the end of 2023, as soon as possible. Although all Scope 3 action depends on the combined efforts of producers, suppliers and customers, some commodities face greater technological and collaborative barriers than others. We will play a leading role in overcoming these barriers and advancing partnerships that enable credible target setting and emission reductions across value chains. (Individual, Corporate level)</p> <p>Requirement 3. Covering all material sources: Our targets will cover all material sources of emissions, aligning to the GHG Protocol definition of organisational boundaries and materiality. (Individual, Corporate level)</p> <p>Requirement 4. Focussing on absolute reductions: For some operations, intensity rather than absolute targets may be more appropriate in the short and medium term. Where intensity targets are used, we will disclose the corresponding absolute increase or decrease in GHG emissions. (Individual, Corporate level)</p> <p>Requirement 5. Applying robust methodologies: We will use target setting methodologies that are aligned with the ambitions of the Paris Agreement and disclose in detail the assumptions we use. (Individual, Corporate level)</p> <p>Requirement 6. Integrating climate change in decision-making: Implement governance, engagement, and disclosure processes to ensure climate change risks and opportunities are considered in business decision making. (Individual, Corporate level)</p>	<ul style="list-style-type: none"> — Public disclosure of net zero commitment by 2050 or sooner. — Public short and/or medium-term targets in place, covering Scope 1 and Scope 2 emissions. Public commitment on a Scope 3 emissions reduction target. — Defined board and executive roles and responsibilities in implementing climate change strategy, and assessing and managing climate-related risks and opportunities. — Publicly available climate resilience strategy that includes host community approaches, taking into consideration different climate-related scenarios. — Records of engagement with host communities on climate resilience. — Public reporting of progress on Scopes 1, 2 and 3 aligns with TCFD and has been externally verified.

Performance Expectation 6.5 continued

Requirement 7. Adaptation and Mitigation: Advance operational level adaptation and mitigation solutions that can support the net zero goal, taking in consideration local opportunities and challenges. (Individual, Asset level)

Requirement 8. Supporting community resilience: Engage with host communities on our shared climate change risks and opportunities and help host communities understand how they can adapt to the physical impact of climate change. (Individual, Asset level)

Requirement 9. Disclosing openly and transparently: We will report our progress on Scopes 1, 2 and 3 annually, obtain external verification over our performance, and report in alignment with the recommendations of the Task Force on Climate related Financial Disclosures. (Individual, Corporate level)

Requirement 10. Engage with governments, peers, and others to support the development of effective climate change policies. (Individual or collective, validation at discretion of member)

Requirement 11. Support efforts to mitigate greenhouse gas emissions, in collaboration with our peers by promoting innovation, developing and deploying low emissions technology, and implementing projects that improve energy efficiency and incorporate renewable energy supply in our energy mix. (Individual or collective, validation at discretion of member)

Requirement 12. Support carbon pricing and other market mechanisms, that drive the reduction of greenhouse gas emissions, deliver the least cost pathway to emissions reductions and support predictable long-term pricing that incentivise innovation. (Individual or collective, validation at discretion of member)

NB. on Commitment 12: The position statement is not intended to substitute for or pre-empt any requirement of applicable national law, and where conflicts or duplication arise, applicable law shall prevail.

Principle 7

Contribute to the conservation of biodiversity and integrated approaches to land-use planning.

Performance Expectation 7.1 Neither explore nor develop new mines in UNESCO World Heritage sites, respect legally designated protected areas, and design and operate any new operations or changes to existing operations to be compatible with the value for which such areas were designated.	
Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and position statement and what evidence do you have to demonstrate this? For example:
<p>Do not explore or develop new mines in UNESCO World Heritage Sites and avoid impacting the key cultural and biodiversity values of other legally designated protected areas.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Policy or equivalent in place to prohibit the exploration or development of new mines in UNESCO World Heritage Sites. — Practices in place to identify, assess and mitigate (per 7.2) potential adverse impacts related to legally designated protected areas. — Conduct ecosystem services analysis, or similar evaluation, to understand value for which potential risk areas were designated and to provide that design and implementation provide comparable direct and indirect contributions to human well-being and biodiversity.
<p>Mandatory requirements of related position statement: <u>Nature Position Statement</u></p> <p>Requirement 1.1: Respect legally designated protected areas and ensure that any new operations or changes to existing operations are not incompatible with the objectives for which the protected areas were established. (Individual, Corporate and Asset level)</p> <p>Requirement 1.2: Not explore or mine in UNESCO World Heritage sites. All reasonable steps will be taken to ensure that existing operations in World Heritage sites as well as existing and future operations adjacent to World Heritage sites are not incompatible with the outstanding universal value for which these sites are listed and do not put the integrity of these sites at risk. (Individual, Corporate and Asset level)</p>	



Performance Expectation 7.2

Assess and address material risks and impacts to biodiversity and ecosystem services by implementing the mitigation hierarchy, to achieve a minimum of no net loss (NNL) or net gain of biodiversity by completion of closure.¹⁵

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and position statement and what evidence do you have to demonstrate this? For example:
<p>Assess the material risks and impacts to biodiversity and the benefits humans derive from nature and its functioning ecosystem (ecosystem services). The mitigation hierarchy should then be applied where significant risks and impacts to biodiversity and ecosystem services have been identified: Avoid impacts where possible and otherwise minimise impacts, restore key biodiversity features that have been degraded or damaged, or compensate for residual adverse impacts that could not otherwise be mitigated. For all new projects or significant expansions to existing projects the mitigation hierarchy should be applied to balance any losses of key biodiversity features with gains, to achieve a minimum of no net loss or net gain.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Policies, programmes, systems or practices in place to assess and address potential risks and adverse impacts to biodiversity and ecosystem services. — Where significant risks and impacts to biodiversity and ecosystem services have been identified, evidence that the approach included within policies, programmes, systems, action plans or practices embeds the mitigation hierarchy, with an avoidance-first focus, then minimisation followed by progressive restoration, rehabilitation and/or reclamation and finally offsetting commenced as early as possible for residual adverse impact. — Application of the mitigation hierarchy should also include a statement of the intended outcome, that is the achievement of a minimum of no net loss (NNL) or net gain of biodiversity, within policy, program or systems, action plans and practices for any new or significant expansions to existing projects. — Evidence to demonstrate implementation of above-noted policies etc. For any new projects and significant expansions to existing projects, this should include evidence of progress towards the achievement of a minimum no net loss or net gain.
<p>Mandatory requirements of related position statement: <u>Nature Position Statement</u></p>	
<p>Requirement 1.3: Assess and address material risks and impacts to biodiversity and ecosystem services by implementing the mitigation hierarchy actions to achieve a minimum of no net loss (NNL) or net gain of biodiversity by completion of closure.¹⁵</p> <p>This includes through:</p> <ul style="list-style-type: none"> — Applying the mitigation hierarchy with an avoidance-first focus from the earliest feasible stage of exploration and continuing throughout project lifecycles, — Pursuing progressive restoration, rehabilitation and/or reclamation where feasible, and commencing with offsets for residual adverse impacts as early as possible, and — Transparently disclosing the relevant methodology used to calculate no net loss or net gain, objectives and site-level performance in 2030, 2040 and 2050, or more frequently. <p>For all new operations and significant expansions, no net loss or net gain should be measured against a pre-operation or pre-expansion baseline respectively. For existing operations, this should be measured against a 2020 or earlier baseline. For future acquisitions, the baseline should be the date of takeover or earlier. Where no net loss is not feasible at existing operations, disclose how the mitigation hierarchy and additional conservation actions are applied to appropriately address negative impacts on biodiversity (Individual, Asset level)</p>	<p>Please see the Cross-Sector Biodiversity Initiative good practice tools for definitions and guidance. Members are also referred to IFC Performance Standard 6 and its associated Guidance Note for further information.</p>

¹⁵ Achieving a minimum of no net loss or net gain by closure applies to new projects, existing projects and major expansions to existing projects that impact biodiversity and ecosystem services

Principle 8

Facilitate and support the knowledge-base and systems for responsible design, use, re-use, recycling and disposal of products containing metals and minerals.

Performance Expectation 8.1

In project design, operation and de-commissioning, implement cost-effective measures for the recovery, re-use or recycling of energy, natural resources, and materials.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Sustainable development principles have been integrated into the project design. For example, the asset has taken steps to increase energy and water efficiency. — Practices are in place to identify, analyse (eg cost-benefit, lifecycle) and implement measures to economically recover, recycle and re-use energy, natural resources and materials throughout the life of the asset. — Mechanisms in place to demonstrate the above-noted practices.

Performance Expectation 8.2

Assess the hazards of the products of mining according to UN Globally Harmonized System of Hazard Classification and Labelling or equivalent relevant regulatory systems and communicate through safety data sheets and labelling as appropriate.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>It is important to emphasise that this PE relates to the products of mining as opposed to any potential inputs.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Practices are in place to identify, assess and classify the hazards of the products of the asset according to UN <u>Globally Harmonized System of Hazard Classification and Labelling</u> or equivalent relevant regulatory mechanism. — Communicate the hazards of products to internal and external stakeholders, as appropriate, through safety data sheets for hazardous substances and clearly labelled containers and packaging with information regarding hazardous substances.

Principle 9

Pursue continual improvement in social performance and contribute to the social, economic and institutional development of host countries and communities.

Performance Expectation 9.1

Implement inclusive approaches with local communities to identify their development priorities and support activities that contribute to their lasting social and economic wellbeing, in partnership with government, civil society and development agencies, as appropriate.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Support community development through participatory engagement and partnerships to build trust and to achieve lasting social and economic wellbeing.</p> <p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none"> — Participatory engagement practices are implemented to identify, assess and implement community development activities that address priorities with the intent that communities can thrive, including post-closure. — Community development activities designed and implemented in partnership with government, civil society and development agencies where appropriate. — Community development activities are designed and implemented with principles of DEI in mind to address risks associated with all forms of discrimination. — Mechanisms in place to demonstrate the above practices.
Mandatory requirements of related position statement: <u>Mining Partnerships for Development Position Statement</u>	What are you doing to achieve the intent of the position statement and what evidence do you have to demonstrate this? For example:
<p>Requirement 1. Either individually or collectively through ICMM publicly express their willingness to work in partnership with development agencies, host governments, civil society organisations, and local communities to enhance mining and metals' contribution to social and economic development. (Individual or collective, validation at discretion of member)</p> <p>Requirement 2. For major investments in regions where socio-economic outcomes are highly uncertain or where there are significant opportunities to enhance such outcomes: (i) develop an understanding of the social and economic contribution of the project, including an analysis of the barriers that might weaken this contribution; and (ii) actively support or help develop partnerships or collaborations with other stakeholder groups with the aim of ensuring the project's potential socio-economic contribution is realised. (Individual, Asset level)</p> <p>Requirement 3. Review the relative success of their development partnerships and collaborations at suitable intervals and adapt these over time to ensure they continue to contribute to the overall goal of enhancing the social and economic contribution of mining. (Individual, Asset level)</p>	<ul style="list-style-type: none"> — Mechanisms in place to understand social and economic contributions of projects, and evidence of engagement with other stakeholder groups with the aim of ensuring the project's potential socio-economic contribution is realised. — Process for evaluation of success of partnerships and collaborations. — For additional examples of evidence for the <u>Mining Partnerships for Development Position Statement</u>, refer to the relevant section of the <u>Social and Economic Reporting Framework</u>.

Performance Expectation 9.2

Enable access by local enterprises to procurement and contracting opportunities across the project life cycle, both directly and by encouraging larger contractors and suppliers, and also by supporting initiatives to enhance economic opportunities for local communities.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Applicability: Corporate and Asset level</p>	<ul style="list-style-type: none">— Consultation with local communities, to define, identify, communicate and promote procurement opportunities for local enterprises or contractors, directly and with larger contractors and suppliers.— Process in place to enable access to opportunities, if they exist.— Consultation with local communities to identify, assess and support initiatives to enhance their economic opportunities.— Procurement activities are designed and implemented with principles of DEI in mind to address risks associated with all forms of discrimination. This may include expectations of minimum DEI standards for contractors.— Mechanisms in place to demonstrate the above-noted practices.

Performance Expectation 9.3

Conduct stakeholder engagement based upon an analysis of the local context, including with human rights defenders and other vulnerable groups⁷, and provide local stakeholders with access to appropriate and effective mechanisms for seeking resolution of grievances related to the company and its activities.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>An important part of community relations is to identify and resolve stakeholders' concerns. Companies need to understand who may be impacted by or influence their activities, in order to support lasting social and economic progress.</p> <p>Applicability: Asset level</p>	<ul style="list-style-type: none">— Stakeholder mapping based on, for example, type of stakeholder, level of influence, and capacity to engage.— Stakeholder engagement informed by social, economic and environmental assessments/baseline studies which have included consultation with human rights defenders and other vulnerable groups.— Stakeholder engagement activities are designed and implemented with principles of DEI in mind to address risks associated with all forms of discrimination.— Grievance mechanism fit for purpose and aligned with the UN Guiding Principles on Business & Human Rights.— Monitoring for effectiveness of stakeholder engagement and grievance resolution activities.

Performance Expectation 9.4

Collaborate with government, where appropriate, to support improvements in environmental and social practices of local Artisanal and Small-scale Mining (ASM).

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and position statement and what evidence do you have to demonstrate this? For example:
<p>Support the efforts of local Artisanal and Small-Scale Miners (ASM) to operate in a manner that minimises impacts to human health and the environment.</p> <p>Note: If ASM exists but the artisanal miners do not wish to engage with either the member or the government, the PE should be deemed 'Not applicable' and the reason for doing so should be clearly stated.</p> <p>Applicability: Asset level</p>	<ul style="list-style-type: none"> — Practices in place to collaborate with government and other stakeholders to identify and assess the risks and opportunities associated with ASM, and to establish a support mechanism or control strategy, as appropriate. — Mechanisms in place to demonstrate the above practices as well as provide environmental, health, safety or social support or improvements related to ASM activities.
<p>Mandatory requirements of related position statement: <u>Mercury Position Statement</u></p>	
<p>Requirement 5. To participate in government-led partnerships to transfer low- to no-mercury technologies into the ASM sector in locations where ICMM member companies have operations in close proximity to ASM activity such that livelihoods are enhanced through increased productivity and reduced impacts to human health. (Individual, Asset level)</p>	



Principle 10

Proactively engage key stakeholders on sustainable development challenges and opportunities in an open and transparent manner. Effectively report and independently verify progress and performance.

Performance Expectation 10.1 Identify and engage with key corporate-level external stakeholders on sustainable development issues in an open and transparent manner.	
Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
Applicability: Corporate level	<ul style="list-style-type: none"> — Practices are in place to identify and engage with key corporate-level external stakeholders on issues relevant to the stakeholder. — Engagement includes the provision of relevant sustainable development information to the stakeholders, provided in a comprehensive, accurate, timely, accessible and balanced way, using suitable reporting principles, frameworks and guidelines that support comparability of information.

Performance Expectation 10.2 Publicly support the implementation of the Extractive Industries Transparency Initiative (EITI) and compile information on all material payments, at the appropriate levels of government, by country and by project.	
Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
Support efforts to promote transparency and good governance of natural resources in collaboration with EITI. Applicability: Corporate and Asset level	<ul style="list-style-type: none"> — Public policy or commitment supporting the implementation of the EITI. — Mechanisms to determine all material payments through the country-specific EITI process and through engagement with national multi-stakeholder groups, including government, companies and civil society. — EITI principles integrated into asset guidelines or policies, where appropriate. — Monitoring, evaluation and reporting to demonstrate outcomes and impacts of the EITI process from a government and industry, company or project level.
Mandatory requirements of related position statement: <u><i>Transparency of Mineral Revenues Position Statement</i></u>	What are you doing to achieve the intent of the position statement and what evidence do you have to demonstrate this? For example:
Requirement 1. Include a clear endorsement of efforts at the international level to enhance the transparency of mineral revenues, including EITI, on their website and/or in their sustainable development reports. To submit a completed international level self-assessment form to the EITI Secretariat for posting on the EITI website. (Individual, Corporate level)	<ul style="list-style-type: none"> — Disclosure of material payments at a country and project-level. — Mineral development contracts (post 1 January 2021) are publicly disclosed.

Performance Expectation 10.2 continued

Requirement 2. Engage constructively in countries that are committed to implementing EITI, consistent with the multi-stakeholder process adopted in each country. (Individual, Corporate level)

Requirement 3. Compile information on all material payments by country and by project at the appropriate levels of government. In the case of EITI implementing countries, this should be provided to the body assigned responsibility for reconciling details of payments by companies and revenue data provided by government according to the agreed national template. Material payments by companies are expected to have been independently audited, applying international standard accounting practices. (Individual, Corporate level)

Requirement 4. Support the public disclosure (i.e. publication) of material payments by country and by project. For EITI, this should be in line with the implementation approach adopted in country. (Individual, Corporate and Asset level)

Requirement 5. Engage constructively in appropriate forums to improve the transparency of mineral revenues – including their management, distribution or spending –either individually or collectively through ICMM. (Individual or collective, validation at discretion of member)

Requirement 6. Disclose all mineral development contracts granted or entered into from 1 January 2021 that they have signed with host governments, where such disclosure is not prohibited by law or regulation. (Individual, Corporate level)

Performance Expectation 10.3

Report annually on economic, social and environmental performance at the corporate level using the GRI Sustainability Reporting Standards or the European Sustainability Reporting Standards (ESRS).

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Members who are required to report against the European Sustainability Reporting Standards (ESRS) can report 'with reference to' GRI and do not need to undertake additional reporting to also report 'in accordance' with GRI Sustainability Reporting Standards.</p> <p>All other members continue to report 'in accordance' with GRI.</p> <p>Applicability: Corporate level</p>	<p>Mechanisms in place to measure, monitor and publicly report sustainability performance using the GRI Sustainability Reporting Standards or the European Sustainability Reporting Standards (ESRS).</p>
<p>Mandatory requirements of related position statement: <u><i>Mining Partnerships for Development Position Statement</i></u></p>	<p>What are you doing to achieve the intent of the position statement and what evidence do you have to demonstrate this? For example:</p>
<p>Requirement 4. Provide an overview of their work on such partnerships, as appropriate, in their annual external reporting and communications. (Individual, Corporate level)</p>	<ul style="list-style-type: none">— Content in external reporting and communications relating to work on partnerships.— For additional examples of evidence for the <u><i>Mining Partnerships for Development Position Statement</i></u>, refer to the relevant section of the <u><i>Social and Economic Reporting Framework</i></u>.

Performance Expectation 10.4

Each year, conduct independent assurance of sustainability performance following the ICMM guidance on assuring and verifying membership requirements.

Remarks to clarify the intent and/or applicability of the PE	What are you doing to achieve the intent of the PE and what evidence do you have to demonstrate this? For example:
<p>Applicability: Corporate level</p>	<ul style="list-style-type: none">— Mechanisms to conduct independent assurance.— Independent assurance statement issued by the assurance provider and included as part of the annual sustainability report.

Annex B: Position Statement Commitments and Applicability

03



Position Statement Commitments and Applicability

The table below outlines the commitments from ICMM's position statements.

The first column gives the position statement title and date of issue. The second outlines the commitments in full – but does not include footnotes. The full text of the position statements including footnotes are available [here](#). The 'Application' column identifies which commitments apply to individual member companies (mandatory requirements) and should be considered during validation. It identifies those that may be delivered 'Individually or collectively' (ie collectively through membership of ICMM) and may or may not be relevant to validation. It also identifies those that apply

'Collectively' to members and are therefore not applicable to validation (n/a). The 'Related PE' column identifies which of the PEs the position statement commitments connect to. The last three columns indicate whether a position statement commitment is applicable at a Corporate level, Asset level, or both a Corporate and Asset level, for the purposes of validation. Where position statement commitments apply either 'individually or collectively', member companies have sole discretion to choose whether or not to include them within the scope of validation.

Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
1. Mining and Indigenous Peoples (July 2024)	1. Respect Indigenous Peoples' rights by embedding measures across governance and management processes to avoid infringing Indigenous Peoples' rights, and to adequately address potential adverse impacts to rights from mining and mining-related projects. This includes developing and implementing policy commitments and promoting cross-cultural understanding and awareness through relevant educational programmes to meet the responsibility to respect Indigenous Peoples' rights. It also includes supporting efforts for reconciliation with Indigenous Peoples and the advancement of the exercise of their rights, where appropriate. See Explanatory Note: Commitment 1.	Individual members	3.6			●
	2. Carry out due diligence to identify, prevent, mitigate and account for possible adverse impacts on Indigenous Peoples' rights. Due diligence processes should include the early and comprehensive identification of and meaningful engagement with Indigenous Peoples who may be affected by a project. The process should respect Indigenous Peoples' right to participate in decision-making on matters that affect them and be guided by the principles of FPIC. Due diligence should also seek to prevent or mitigate potential adverse impacts on Indigenous Peoples' rights that may be caused or contributed to by companies or directly linked to their operations, products or services by their business relationships. Due diligence should be ongoing, recognising that the risks to Indigenous Peoples' rights may change over time as a company's operations and/or operating context evolves. See Explanatory Note: Commitment 2.	Individual members	3.6		●	

Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
	<p>3. Agree on appropriate engagement processes with potentially affected Indigenous Peoples and relevant State authorities as early as possible in project planning. This is to enable their inclusive, equitable and meaningful participation in due diligence processes and for the good faith negotiation of agreements that can demonstrate their consent. Engagement processes should be co-designed, culturally appropriate, inclusive and carried out through the procedures, protocols and governance structures of potentially affected Indigenous Peoples. Where Indigenous Peoples do not have access to the legal or other technical support necessary to participate equitably in negotiation, companies will offer them reasonable financial or other agreed-upon assistance as required. See Explanatory Note: Commitment 3.</p>	Individual members	3.6		●	
	<p>4. Obtain agreement with affected Indigenous Peoples demonstrating their consent to anticipated impacts to their land or other rights, and setting out the terms by which impacts may occur and be managed. In accordance with the principles of FPIC, agreement should be achieved through informed and meaningful engagement and good faith negotiation, through means that advance intercultural understanding and that facilitate freely giving or withholding agreement. The agreement should include, at a minimum, demonstration of consent to anticipated impacts, mitigation measures developed through the due diligence process, and a redress mechanism for potential infringements of the agreement or of Indigenous Peoples' rights. It is expected that the agreement be faithfully implemented, with ongoing monitoring supporting the effective realisation of the terms of the agreement (and conditions therein). When a project is to be developed within Indigenous Peoples' lands or territories, or otherwise with substantial anticipated impacts on their rights, the agreement should also include benefit sharing.</p> <p>Where potential impacts include the relocation of Indigenous Peoples from their lands or territories, or significant impacts to their critical cultural heritage, companies will explore feasible alternatives to project design in order to avoid such impacts. If relocation and/or significant impacts on critical cultural heritage are unavoidable, companies will obtain an agreement demonstrating the consent of affected Indigenous Peoples in accordance with this Commitment. See Explanatory Note: Commitment 4</p>	Individual members	3.7		●	

Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
	5. Address differences of opinion that arise and work to resolve disagreements. ICMM members recognise that achieving agreement and demonstrating such consent, can enable long-term relationships based on mutual respect, trust and benefit. Hence, ICMM members will start from the position that a proposed project or activity should proceed with agreement as outlined in Commitment 4. Recognising that there may be circumstances in which agreement is not obtained, this Position Statement sets out the process that ICMM members will take in this instance. ICMM members will develop a policy or approach outlining the steps they have taken to fulfil these commitments where agreement is not obtained. See Explanatory Note: Commitment 5.	Individual members	3.7			●
	6. Enable benefit sharing that reflects and is aligned with Indigenous Peoples' aspirations for social and economic development. Benefit sharing should be equitably distributed and facilitate positive outcomes that extend beyond the life of operations. See Explanatory Note: Commitment 6.	Individual members	3.6		●	
	7. Respect and incorporate Indigenous knowledge in collaboration with Indigenous Peoples through the design and implementation of due diligence and methods of engagement; in agreements for benefit sharing, sustainable environmental and social investment programmes; and in closure planning and execution. Respect that Indigenous Peoples have the right to maintain, control and protect their Indigenous knowledge and knowledge systems. Respect and support Indigenous cultural and intellectual property and obtain permission if collecting, storing, accessing, using and/or reusing cultural and intellectual information and knowledge. See Explanatory Note: Commitment 7.	Individual members	3.6		●	
	8. Respect and celebrate cultural heritage, both tangible and intangible, and the historical and ongoing spiritual connections of Indigenous Peoples to such heritage, particularly prioritising the avoidance of impacts on cultural heritage that is critical to Indigenous Peoples' cultures or spiritual life. This includes collaborating with Indigenous Peoples to identify risks to and potential adverse impacts on cultural heritage from proposed activities and developing mitigation measures and management plans through due diligence and agreement-making. Companies will also promote, celebrate and support the revival of cultural heritage where appropriate and agreed upon by Indigenous Peoples. See Explanatory Note: Commitment 8.	Individual members	3.6		●	
	9. Provide, or cooperate in, remediation where a company's activities are found to have caused or contributed to infringement of the rights of Indigenous Peoples. Companies will establish or participate in, and make available, effective grievance mechanisms (including, where appropriate, independent mechanisms) to resolve disagreements and facilitate remediation. See Explanatory Note: Commitment 9.	Individual members	3.7		●	

Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
2. Nature (Jan 2024) Note: For sections which include optionality of commitments, members should include the commitment/s of their choice in their annual reporting, but do not need to mention, nor mark as N/A, the remaining commitments which they have not chosen to report on.	1. Direct operations					
	1.1. Respect legally designated protected areas and ensure that any new operations or changes to existing operations are not incompatible with the objectives for which the protected areas were established.	Individual members	7.1			●
	1.2. Not explore or mine in UNESCO World Heritage sites. All reasonable steps will be taken to ensure that existing operations in World Heritage sites as well as existing and future operations adjacent to World Heritage sites are not incompatible with the outstanding universal value for which these sites are listed and do not put the integrity of these sites at risk.	Individual members	7.1			●
	1.3. Assess and address material† risks and impacts to biodiversity and ecosystem services by implementing the mitigation hierarchy† actions to achieve a minimum of no net loss (NNL) or net gain of biodiversity by completion of closure. This includes through: — Applying the mitigation hierarchy with an avoidance-first focus from the earliest feasible stage of exploration and continuing throughout project lifecycles, — Pursuing progressive restoration, rehabilitation and/or reclamation† where feasible, and commencing with offsets for residual adverse impacts as early as possible, and	Individual members	7.2		●	
	— Transparently disclosing the relevant methodology used to calculate no net loss or net gain, objectives and site-level performance in 2030, 2040 and 2050, or more frequently. For all new operations and significant expansions, no net loss or net gain should be measured against a pre-operation or pre-expansion baseline respectively. For existing operations, this should be measured against a 2020 or earlier baseline. For future acquisitions, the baseline should be the date of takeover or earlier. Where no net loss is not feasible at existing operations, disclose how the mitigation hierarchy and additional conservation actions are applied to appropriately address negative impacts on biodiversity.					
	2. Value chain Partnering with suppliers, customers and key stakeholders to support value chain action for nature by 2030 through commitments to:					
	2.1. Either individually or collectively, identify: (a) key supplier sourcing locations and product distribution routes with significant† nature-related risk and (b) opportunities for collaborative action.	Individually or collectively	n/a		Validation at discretion of member.	

Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
	2.2. Based on the opportunities identified, engage in or support initiatives or partnerships to help halt and reverse nature loss in the company's upstream, and/or downstream value chain.	Individually or collectively	n/a	Validation at discretion of member.		
	2.3. Roll-out requirements for all highest risk tier 1 (direct) suppliers to conduct and disclose the outcomes of nature-related impact, dependency, risk and opportunity assessments for activities in priority locations .	Individual members	n/a	●		
	3. Landscapes Collaborating and building capacity with local and regional partners, including Indigenous Peoples, land-connected peoples and local communities, to support and enhance healthy, resilient ecosystems and the livelihoods and wellbeing of people that depend on them. By 2030, ICMM company members commit to working with key stakeholders to identify shared landscape scale material risks and opportunities and to address these through enhancing or implementing one or more of the following options in priority landscapes.					
	3.1. Restore, Conserve and Regenerate: Contribute towards the GBF targets of (a) placing 30 per cent of terrestrial, inland water area, and marine and coastal areas under conservation globally or (b) placing 30 per cent of degraded areas under restoration globally; for example through funding, building capacity or executing conservation or restoration initiatives.	Individual members	n/a	●		
	3.2. Collaborative Landscape-scale Action: Support and proactively engage in halting and reversing nature loss in partnership with key stakeholders, through capacity building and co-developing initiatives that address cumulative impacts and/or enhance the conservation, restoration and climate resilience of nature.	Individual members	n/a		●	
	3.3. Repurpose and Regenerate: Participate in collaborative initiatives repurposing and harnessing value from abandoned or legacy mine sites and mining waste streams to halt and reverse the loss of nature.	Individual members	n/a		●	
	4. Systems transformation Creating the enabling conditions to catalyse broader nature positive change and transformation within and beyond our industry by 2030. ICMM company members commit to implementing one or more of the following options, either individually or as coalitions of members:					
	4.1. Collaborative Research and Development: Contribute to research initiatives to develop and share solutions to industry-wide nature challenges, specifically relating to footprint reduction, minimising legacy impacts and transforming consumption and production patterns towards a circular economy.	Individually or collectively	n/a	Validation at discretion of member.		
	4.2. Advancing Data Sharing: Collaborate with local, national and/or global data sharing platforms and initiatives to progressively increase and responsibly share relevant biodiversity and ecosystem monitoring data to support enhanced decision-making, capacity building and action for nature.	Individually or collectively	n/a	Validation at discretion of member.		

Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
	4.3. Sustainable Finance: Engage and partner with investors, financial institutions and other key stakeholders to support the development of sustainable financing mechanisms to increase and mobilise private sector funding for action on nature.	Individually or collectively	n/a	Validation at discretion of member.		
5. Governance and transparency Enabling business transformation and embedding nature positive approaches through commitments to:						
	5.1. Integrate nature considerations into business decision-making tools and processes, including those relating to governance, strategy, risk and impact management by 2026.	Individual members	n/a			●
	5.2. Disclose material nature-related impacts, dependencies, risks and opportunities for operations in priority locations by 2026 and the most material value chain categories or issues by 2030, following globally recognised reporting practices. Develop and disclose performance targets and/or objectives and subsequent progress against these for identified material aspects.	Individual members	n/a	●		
	5.3. Collectively and in consultation with stakeholders, develop consistent and robust metrics for reporting progress towards nature positive outcomes from 2026.	Collectively	n/a	n/a	n/a	n/a

3. Diversity, Equity and Inclusion (Jun 2023)	Accelerate Action: In addition to our existing individual and collective actions, we will develop a roadmap for diversity, equity and inclusion that accelerates efforts to eliminate harmful behaviours from our workplaces and communities. The roadmap will outline the proximity and direction of our ambition, setting out key milestones to achieving our goals (see below). It will support the development and execution of actions that will contribute to positive social change. The roadmap will include the development of tools and resources and expand the scope of our already strong physical health and safety practices to address psychological wellbeing.	Collectively	3.9	Validation at discretion of member.
	Set Goals: We will set company goals, relevant to our operating contexts, to eliminate all forms of harassment and discriminatory behaviours, and improve diversity, equity and inclusion. Further, we will agree on a collective goal or goals aimed at creating workplaces and communities that better reflect the aspirations of society for diversity and inclusion. Recognising the many contextual and operating differences of our membership, these goals will focus on the systematic barriers to diversity, equity and inclusion that exist across the mining and metals industry. They will help drive and demonstrate progress. Further, we commit to revising the goals as they are met in order to not only to sustain, but to drive ongoing progress	Collectively or individually	3.9	Validation at discretion of member.

Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
	Increase Transparency: We will disclose our aggregated performance against our goals, such that it contributes to an appropriate depiction of mining's impact, in accordance with the ICMM Social and Economic Reporting Framework, disaggregating data by gender and ethnicity where possible. In doing so, we will identify and report on areas in which we are not sufficiently progressing and ensure there is continued focus on them until we fulfil our commitment. This includes embedding objectives for diversity, equity, and inclusion into employee engagement, stakeholder consultation, reporting frameworks, and monitoring and evaluating our progress.	Collectively	3.9	Validation at discretion of member.		
	Collaborate for Greater Effect: We will seek the participation of people from underrepresented groups in the design of the actions set out above, as well as engaging majority groups as advocates. By working together as members and with industry associations, governments, communities, investors and others we will help find solutions to these pervasive challenges and contribute to broader industry and social cultural change.(Collectively)	Collectively	3.9	Validation at discretion of member.		

4. Transparency of Mineral Revenues (Dec 2021)	1. Include a clear endorsement of efforts at the international level to enhance the transparency of mineral revenues, including EITI, on their website and/or in their sustainable development reports. To submit a completed international-level self-assessment form to the EITI Secretariat for posting on the EITI website.	Individual members	10.2	●		
	2. Engage constructively in countries that are committed to implementing EITI, consistent with the multi-stakeholder process adopted in each country.	Individual members	10.2	●		
	3. Compile information on all material payments by country and by project at the appropriate levels of government. In the case of EITI implementing countries, this should be provided to the body assigned responsibility for reconciling details of payments by companies and revenue data provided by government according to the agreed national template. Material payments by companies are expected to have been independently audited, applying international standard accounting practices.	Individual members	10.2	●		
	4. Support the public disclosure (ie publication) of material payments by country and by project. For EITI, this should be in line with the implementation approach adopted in-country.	Individual members	10.2			●
	5. Engage constructively in appropriate forums to improve the transparency of mineral revenues – including their management, distribution or spending either individually or collectively through ICMM.	Individually or collectively	10.2	Validation at discretion of member.		

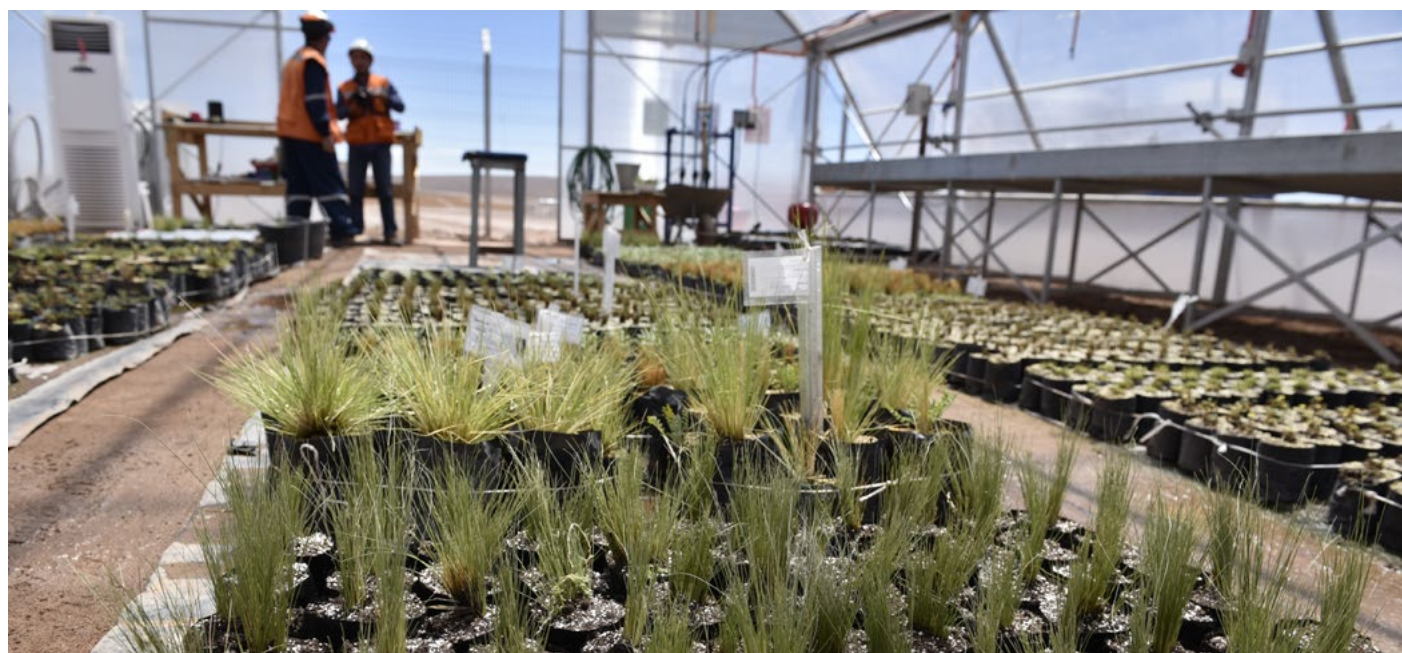
Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
	6. Disclose all mineral development contracts granted or entered into from 1 January 2021 that they have signed with host governments, where such disclosure is not prohibited by law or regulation.	Individual members	10.2	●		

5. Climate Change (Oct 2021)	1. Setting Scope 1 and 2 targets: We will build clear pathways to achieving net zero ¹ Scope 1 and 2 GHG emissions by 2050 or sooner, through meaningful short and/or medium-term targets.	Individual members	6.5	●		
	2. Accelerating action on Scope 3 GHG emissions: We recognise that Scope 3 is critical to minimising our overall impact and we will set Scope 3 targets, if not by the end of 2023, as soon as possible. Although all Scope 3 action depends on the combined efforts of producers, suppliers and customers, some commodities face greater technological and collaborative barriers than others. We will play a leading role in overcoming these barriers and advancing partnerships that enable credible target setting and emission reductions across value chains.	Individual members	6.5	●		
	3. Covering all material sources: Our targets will cover all material sources of emissions, aligning to the GHG Protocol definition of organisational boundaries and materiality.	Individual members	6.5	●		
	4. Focussing on absolute reductions: For some operations, intensity rather than absolute targets may be more appropriate in the short and medium term. Where intensity targets are used, we will disclose the corresponding absolute increase or decrease in GHG emissions.	Individual members	6.5	●		
	5. Applying robust methodologies: We will use target-setting methodologies that are aligned with the ambitions of the Paris Agreement and disclose in detail the assumptions we use.	Individual members	6.5	●		
	6. Integrating climate change in decision-making: Implement governance, engagement and disclosure processes to ensure climate change risks and opportunities are considered in business decision-making.	Individual members	6.5	●		
	7. Adaptation and mitigation: Advance operational level adaptation and mitigation solutions that can support the net zero goal, taking in consideration local opportunities and challenges.	Individual members	6.5		●	
	8. Supporting community resilience: Engage with host communities on our shared climate change risks and opportunities and help host communities understand how they can adapt to the physical impact of climate change.	Individual members	6.5		●	

Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
	9. Disclosing openly and transparently: We will report our progress on Scopes 1, 2 and 3 annually, obtain external verification over our performance, and report in alignment with the recommendations of the Task Force on Climate-related Financial Disclosures.	Individual members	6.5	●		
	10. Engage with governments, peers, and others to support the development of effective climate change policies.	Individually or collectively	6.5	Validation at discretion of member.		
	11. Support efforts to mitigate greenhouse gas emissions, in collaboration with our peers by promoting innovation, developing and deploying low emissions technology, and implementing projects that improve energy efficiency and incorporate renewable energy supply in our energy mix.	Individually or collectively	6.5	Validation at discretion of member.		
	12. Support carbon pricing and other market mechanisms, that drive the reduction of greenhouse gas emissions, deliver the least cost pathway to emissions reductions and support predictable long-term pricing that incentivise innovation.	Individually or collectively	6.5	Validation at discretion of member.		

6. Water Stewardship (Jan 2017)	1. Apply strong and transparent corporate water governance: <ul style="list-style-type: none"> – Publicly disclose the company’s approach to water stewardship. – Allocate clear responsibilities and accountabilities for water – from board and corporate to site levels. – Integrate water considerations in business planning – including company strategy, life of asset and investment planning. – Publicly report company water performance, material risks, opportunities and management response using consistent industry metrics and recognised approaches 	Individual members	6.2	●		
	2. Manage water at operations effectively: <ul style="list-style-type: none"> – Maintain a water balance and understand how it relates to the cumulative impact of other users. – Set context-relevant water targets or objectives for sites with material water-related risks. – Proactively manage water quantity and quality to reduce potential socio-environmental impacts and realise opportunities. – Ensure all employees have access to clean drinking water, gender-appropriate sanitation facilities and hygiene at their workplace. 	Individual members	6.2		●	

Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
	<p>3. Collaborate to achieve responsible and sustainable water use:</p> <ul style="list-style-type: none"> – Identify, evaluate, and respond to catchment-level water-related risks and opportunities. – Identify and engage proactively and inclusively with stakeholders that may influence or be affected by a site's water use and discharge. – Actively engage on external water governance issues, with governments, local authorities and other stakeholders, to support predictable, consistent and effective regulation that underpins integrated water resource management. – Support water stewardship initiatives that promote better water use, effective catchment management and contribute to improved water security and sanitation. 	Individual members	6.2			●
	<ul style="list-style-type: none"> – Actively engage on external water governance issues, with governments, local authorities and other stakeholders, to support predictable, consistent and effective regulation that underpins integrated water resource management. – Support water stewardship initiatives that promote better water use, effective catchment management and contribute to improved water security and sanitation. 	Individually or collectively	6.2	Validation at discretion of member.		



Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
7. Tailings Governance (Dec 2016)	<p>1. Accountability, responsibility and competency: Accountabilities, responsibilities and associated competencies are defined to support appropriate identification and management of TSF risks.</p> <ul style="list-style-type: none"> – Accountability for the overall governance of tailings facilities resides with the owners and operators. – Organisational structures and roles are established to support management of TSF risks and governance accountability. – Communication processes are maintained to ensure that personnel understand their responsibilities. Training is conducted to maintain currency of knowledge and skills. – Role competency and experience requirements are defined for critical roles within the established organisational structures. 	Individual members	6.3			●
	<p>2. Planning and resourcing: The financial and human resources needed to support continued TSF management and governance are maintained throughout a facility's life cycle.</p> <ul style="list-style-type: none"> – TSF operating and capital costs, and human resource needs, are included in relevant business planning processes. – Resources necessary to implement and maintain activities within this governance framework are provided. 	Individual members	6.3			●
	<p>3. Risk management: Risk management associated with TSFs includes risk identification, an appropriate control regime and the verification of control performance.</p> <ul style="list-style-type: none"> – Risk controls and their associated verification activities are identified based on failure modes and their associated consequences, and evaluated on a TSF-specific basis considering all phases of the TSF life cycle. – Suitably qualified and experienced experts are involved in TSF risk identification and analysis, as well as in the development and review of effectiveness of the associated controls. – Performance criteria are established for risk controls and their associated monitoring, internal reporting and verification activities. 	Individual members	6.3			●
	<p>4. Change management: Risks associated with potential changes are assessed, controlled and communicated to avoid inadvertently compromising TSF integrity.</p> <ul style="list-style-type: none"> – Processes are applied that involve the identification, assessment, control and communication of risks to TSF integrity arising from both internally driven and externally driven change, to avoid introducing uncertain, unacceptable, and/ or unmanaged risks. – Documents and records that support TSF planning, design, construction, operation, surveillance, management and governance are maintained and kept suitably current and accessible 		6.3			●

Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
	<p>5. Emergency preparedness & response: Processes are in place to recognise and respond to impending failure of TSFs and mitigate the potential impacts arising from a potentially catastrophic failure.</p> <ul style="list-style-type: none"> – Action thresholds and their corresponding response to early warning signs of potential catastrophic failure are established. – Emergency preparedness and response plans are established commensurate with potential failure consequences. Such plans specify roles, responsibilities and communication procedures. – Emergency preparedness and response plans are periodically tested. 	Individual members	6.3			●
	<p>6. Review & assurance: Internal and external review and assurance processes are in place so that controls for TSF risks can be comprehensively assessed and continually improved.</p> <ul style="list-style-type: none"> – Internal performance monitoring and inspections and internal and external reviews and assurance are conducted commensurate with consequences of TSF failure to evaluate and to continually improve the effectiveness of risk controls. – Outcomes and actions arising from TSF review and assurance processes are recorded, reviewed, closed-out and communicated. – Performance of risk management programs for TSFs is reported to executive management on a regular basis. 	Individual members	6.3			●

8. Mining: Partnerships for Development (Jan 2010)	<p>1. Either individually or collectively through ICMM publicly express their willingness to work in partnership with development agencies, host governments, civil society organisations, and local communities to enhance mining and metals' contribution to social and economic development.</p>	Individually or collectively	9.1	Validation at discretion of member.		
	<p>2. For major investments in regions where socio-economic outcomes are highly uncertain or where there are significant opportunities to enhance such outcomes: (i) develop an understanding of the social and economic contribution of the project, including an analysis of the barriers that might weaken this contribution; and (ii) actively support or help develop partnerships or collaborations with other stakeholder groups with the aim of ensuring the project's potential socio-economic contribution is realised.</p>	Individual members	9.1		●	

Position statements	Commitments	Application	Related PE	Applicability for PE Validation		
				Corporate	Asset	Both
	3. Review the relative success of their development partnerships and collaborations at suitable intervals and adapt these over time to ensure they continue to contribute to the overall goal of enhancing the social and economic contribution of mining.	Individual members	9.1		●	
	4. Provide an overview of their work on such partnerships, as appropriate, in their annual external reporting and communications.	Individual members	10.3	●		

9. Mercury Risk Management (Feb 2009)	1. Not open any mines designed to produce mercury as the primary product.	Individual members	6.4	●		
	2. Apply materials stewardship to promote the responsible management of the mercury produced from ICMM members' operations including that which naturally occurs in our products.	Individual members	6.4	●		
	3. Identify and quantify point source mercury air emissions from our operations and minimise them through the application of cost effective best available technology, using a risk based approach.	Individual members	6.4		●	
	4. Report significant point source mercury emissions from our operations consistent with our commitment to report in accordance with the GRI framework. Members who report against the European Sustainability Reporting Standards (ESRS) can report 'with reference to' GRI.	Individual members	6.4	●		
	5. To participate in government-led partnerships to transfer low- to no-mercury technologies into the ASM sector in locations where ICMM member companies have operations in close proximity to ASM activity such that livelihoods are enhanced through increased productivity and reduced impacts to human health.	Individual members	9.4		●	
	6. Through ICMM, to encourage the development of sound science on the fate and transport of mercury as well as natural sources of mercury in the environment.	Collectively	n/a	n/a	n/a	n/a
	7. To work on an integrated multi-stakeholder strategy through ICMM to reduce and eventually cease supplying mercury into the global market once policy and economically viable long-term technological solutions for the retirement of mercury are developed.	Collectively	n/a	n/a	n/a	n/a



Annex C: Glossary of Terms and List of Abbreviations

04



Glossary of Terms

First party

An activity related to a given party that is carried out by that party itself.

Third party

An activity carried out by someone independent or at arm's-length from the party that is the subject of the activity.

AA1000APS

Accountability Principles Standard (2018): Standard with a set of principles and criteria for the implementation of sustainability within organisations published by AccountAbility.

AA1000AS

Assurance Standard (2008 or 2008 with 2018 Addendum) covering compliance of organisations with AA1000APS and the reliability of reported performance in public reporting.

Note that it is not possible to limit an AA1000AS engagement to assurance on the ICMM subject matters. Adoption and embedding of the AccountAbility Principles (AA1000APS) in the company is mandatory for AA1000AS assurance. Use of AA1000AS would be practicable if the assurance provider for the sustainability report was also undertaking the PE validation activities.

AccountAbility

The organisation that publishes AA1000APS and AA1000AS.

Applicability

The applicability of individual PEs at an asset is determined by the pertinence of the PE requirement to the asset and the local context. If a member determines that a PE is not applicable at a given asset, the member will document the determination as 'Not Applicable' and will provide comments explaining this determination in the self-assessment.

For example, only a minority of assets will be located in indigenous lands or territories. Similarly, many assets will not have artisanal and small-scale mining activity in the vicinity. In such cases, it can be cumbersome to provide evidence of non-applicability. An informed conversation between the company and validation service provider should be sufficient to agree on the non-applicability of a PE.

Asset

Operations involved in the production or refining of minerals and metals for sale or further processing. An asset may comprise several sites in different locations (eg port, pipeline desal facility), under the same management control which 'support the production and sale'.

Assets included in scope of assurance framework

Operations involved in the production or refining of minerals and metals over which the member exercises control with regard to financial and operating policies and practices.

This excludes activities in a company's portfolio that are not producing saleable products, such as exploration sites, non-managed operations and projects.

This excludes non-managed joint ventures. However, JV companies that are majority owned by ICMM members (either singly or jointly) are encouraged to implement ICMM's membership requirements.

Assurance

The act of obtaining and considering evidence in order to enhance the degree of confidence regarding a particular topic.

Assurance engagement

'An engagement in which a practitioner aims to obtain sufficient appropriate evidence in order to express a conclusion designed to enhance the degree of confidence of the intended users other than the responsible party about the subject matter information (that is, the outcome of the measurement or evaluation of an underlying subject matter against criteria)' (ISAE3000).

Assurance provider

An independent service provider (3rd party) that is contracted by a company to conduct the sustainability report assurance engagement (see also 'Validation Service Provider VSP').

Assurance Standard

Internationally accepted standard used by independent assurance providers to assure the information and disclosures of another party.

Assurance Statement/Report

The Assurance Statement/Report is the written report of the assurance provider which must include a clear expression of the assurance provider's conclusions. It is normally published together with the assured information. The requirements for the content of the Assurance Statement/Report are set out in the Assurance Standards.

AT Section 101

'Attest engagements' standard used in the United States by certified public accountant for an examination (reasonable assurance), a review (limited assurance) on a subject matter or assertion about the subject matter.

Attestation

In an attestation (also known as assertion-based) engagement the responsible party carries out the measurement or evaluation of the subject matter and reports the information, with an inherent assertion that the information is fairly stated. The assurance provider's work results in an assurance conclusion on this assertion.

Best Available Technology / Techniques

'The most effective and advanced stage in the development of activities and their methods of operation, indicating the practical suitability of particular techniques for providing the basis for emission limit values and other permit conditions designed to prevent and, where this is not practicable, to reduce emissions and the impact on the environment as a whole'. Techniques are both (i) the technologies used by industrial installations; and (ii) the way in which installations are designed, built, maintained, operated and decommissioned. (EU Industrial Emissions Directive 2010). Similar concepts include Best Techno-Economically Available Techniques, Best Available Control Technology and Best Practical Options.

Criteria

The benchmarks that are used to measure or evaluate the information (subject matter) or management systems in an assurance or audit process.

Does not Meet

Systems and/or practices required to support implementation of the substantive intent of the PE are not in place, or are not being implemented, or cannot be evidenced.

Equivalence

Equivalent programmes are defined as having standards and validation requirements that are similar in scope and intent as the ICMM PE validation programme.

ESRS

European Sustainability Reporting Standards (ESRS) issued by the European Commission and for use by all companies subject to the Corporate Sustainability Reporting Directive (CSRD).

GRI (Global Reporting Initiative)

Not for profit organisation that publishes Standards for Sustainability Reporting.

GRI Standards

(Global) Standards for Sustainability Reporting issued by the GRI.

ISAE3000

International Standard for Assurance Engagements (ISAE) 3000 Revised, Assurance Engagements Other than Audits or Reviews of Historical Financial Information. Published by the International Audit and Assurance Standards Board (IAASB) of the International Federation of Accountants (IFAC).

ISAE3410

International Standard for assurance on Greenhouse Gas Statements. (Volume 2: Pages 276-369)

ISO 14063:3

Part 3 of ISO standard 14064: Specification with guidance for the validation and verification of greenhouse gas assertions.

Management system

A management system is the way in which an organisation manages the inter-related parts of its business in order to achieve its objectives. These objectives can relate to a number of different topics. The level of complexity of the system will depend on each organisation's specific context. For some organisations, especially smaller ones, it may simply mean having strong leadership from the business owner, providing a clear definition of what is expected from each individual employee and how they contribute to the organisation's overall objectives, without the need for extensive documentation. More complex businesses operating, for example, in highly regulated sectors, may

need extensive documentation and controls in order to fulfil their legal obligations and meet their organisational objectives.

Materiality determination

Determination of material sustainability risks and opportunities for the company using multiple inputs from internal and external stakeholders.

Material risk

Material risk in sustainability reports is the risk of a material misstatement, whether caused by omission or error, which would influence the user of the information. It may be qualitative, for example in relation to the Sustainability Report as a whole, or quantitative, in relation to individual disclosures.

Meets

Systems and/or practices related to the PE have been implemented and there is sufficient evidence to demonstrate that the intent of the PE is being met, however opportunities for improvement may still remain.

Non-applicability

See applicability.

Partially Meets

Systems and/or practices related to meeting the intent of the PE have been only partially implemented. Gaps or weaknesses persist that may contribute to an inability to meet the intended outcome of the PE, or insufficient verifiable evidence can be provided to demonstrate that the activity is aligned to the intent of the PE.

Performance Expectations

ICMM developed a comprehensive set of requirements that outline the expectations for how members manage a broad range of sustainability issues, especially at the operational levels. The objective is to set a benchmark for responsible practices that members and other committed mining and metals companies can publicly commit to.

Qualified validation/ assurance statement

Outcome/conclusion of third-party validation or assurance where available evidence is insufficient to confirm that one or more PEs within the scope of the validation exercise are satisfied.

Stakeholders

GRI (GRI 101) Stakeholders are defined as entities or individuals that can reasonably be expected to be significantly affected by the reporting organisation's activities, products, or services; or whose actions can reasonably be expected to affect the ability of the organisation to implement its strategies or achieve its objectives. This includes, but is not limited to, entities or individuals whose rights under law or international conventions provide them with legitimate claims vis-à-vis the organisation. Stakeholders can include employees and other workers, shareholders, suppliers, vulnerable groups, local communities, and NGOs or other civil society organisations, among others.

Subject matter

Subject matter is the topic or subject which is evaluated or measured by the company against suitable criteria to produce the 'subject matter information'. For example, GHG emissions (subject matter) are measured using the GHG Protocol (suitable criteria) to produce 'Total GHG emissions in CO₂e' (Subject matter information).

Subject matter information

Subject matter information means the outcome of the evaluation or measurement of a subject matter. It is the subject matter information about which the assurance provider gathers sufficient appropriate evidence to provide a reasonable basis for expressing a conclusion in an assurance statement.

Suitable Criteria

Reporting criteria that enable reasonably consistent evaluation or measurement of the subject matter. See Annex C for more details.

Sustainability Report

All forms (printed, pdf and web-based) of organisational reporting on sustainability (non-financial) risks, opportunities, strategy, management and performance including Sustainability Reports, ESG Reports, Integrated Reports (IR), Corporate Responsibility (CR) Reports, Corporate Social Responsibility (CSR) Reports.

Unqualified validation' assurance statement

Outcome/conclusion of third-party validation or assurance where available evidence suggests that PEs within the scope of the validation exercise are satisfied.

Validation (ie by a third party)

The act of confirming the reasonableness and authenticity of assertions made in self-assessments.

Validation Service Provider

An independent service provider who is contracted by a company to conduct those parts of the validation process designated as '3rd party' (see also 'Assurance provider').



Abbreviations

ASM	Artisanal and Small-Scale Mining	NGO	Non-governmental organisation
BAT	Best available technology	OSHA	Occupational Safety and Health Administration
CDP	Carbon Disclosure Project	PEs	Performance Expectations
CR	Corporate Responsibility	QA/QC	Quality Assurance/Quality Control
CSR	Corporate Social Responsibility	RFPs	Request for proposals
EITI	Extractive Industries Transparency Initiative	SASB	Sustainability Accounting Standards Board
ESG	Environmental Social Governance	SD	Sustainable Development
ESIAs	Environmental and social impact assessments	SM	Subject Matter
GHG	Greenhouse Gas	TSF	Tailings Storage Facility
ICMM	International Council on Mining and Metals	UNGP	United Nations Guiding Principles on Business and Human Rights
IR	Integrated Reports	VSPs	Validation Service Providers
IUCN	International Union for Conservation of Nature		
JV	Joint Venture		
KPI	Key performance indicator		



ICMM



Annex C

Annex D: Key Resources

05



Key Resources

This table summarises key resources produced by ICMM that are relevant to the individual PEs, where such resources exist. By exception, a limited number of other resources are also included (eg IFC Performance Standards, OECD Due Diligence Guidance, etc.)

PE 3.1	<p>ICMM: <u>Human Rights in the Mining and Metals Industry: Integrating Human Rights Due Diligence Into Corporate Risk Management Processes (2012)</u></p> <p>ICMM: <u>Handling and Resolving Local-Level Concerns and Grievances: Human Rights in the Mining and Metals Sector (2019)</u></p> <p>UN: <u>Guiding Principles on Business and Human Rights (2011)</u></p>
PE 3.2	<p>ICMM: <u>Land Acquisition and Resettlement: Lessons Learned (2015)</u></p> <p>IFC: <u>Performance Standard 5 and Guidance Note: Land Acquisition and Involuntary Resettlement (2012)</u></p>
PE 3.3	<p>ICMM/IFC/IPIECA/ICRC: <u>Voluntary Principles on Security and Human Rights: Implementation and Guidance Tools (2012)</u></p> <p>VPSHR: <u>The Voluntary Principles (2000)</u></p>
PE 3.6	<p>ICMM: <u>Indigenous Peoples and Mining: Good Practice Guide (2015)</u></p> <p>IFC: <u>Performance Standard 7 and guidance note: Indigenous Peoples (2012)</u></p> <p>ICMM: <u>Human Rights Due Diligence Guidance (2023)</u></p>
PE 3.7	<p>ICMM: <u>Indigenous Peoples and Mining: Good Practice Guide (2015)</u></p> <p>IFC: <u>Performance Standard 7 and guidance note: Indigenous Peoples (2012)</u></p> <p>UN Global Compact: <u>The Business Reference Guide to the UN Declaration on the Rights of Indigenous Peoples (2013)</u></p>
PE 3.8	<p>IFC: <u>Unlocking Opportunities for Women and Business : A Toolkit of Actions and Strategies for Oil, Gas, and Mining Companies (2021)</u></p>
PE 4.1	<p>IFC: <u>Performance Standard 1 and guidance note: Assessment and management of environmental and social risks and impacts (2012)</u></p>
PE 4.2	<p>OECD: <u>Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (2016)</u></p>
PE 4.4	<p>ICMM/UNEP: <u>Good Practice in Emergency Preparedness and Response (2005)</u></p> <p>UNEP: <u>APELL for mining: Guidance for the mining industry in raising awareness and preparedness for emergencies at local level (2001)</u></p>
PE 5.1	<p>ICMM: <u>Good Practice Guidance on Occupational Health Risk Assessment (2016)</u></p> <p>ICMM: <u>Health and Safety Critical Control Management: Good Practice Guide (2015)</u></p> <p>ICMM: <u>Critical Control Management: Implementation Guide (2015)</u></p>
PE 5.2	<p>ICMM: <u>Good Practice Guidance on Occupational Health Risk Assessment (2016)</u></p> <p>ICMM: <u>Health and Safety Critical Control Management: Good Practice Guide (2015)</u></p> <p>ICMM: <u>Critical Control Management: Implementation Guide (2015)</u></p>
PE 6.1	<p>ICMM: <u>Integrated Mine Closure: Good Practice Guide (2019)</u></p> <p>ICMM: <u>Financial Concepts for Mine Closure (2019)</u></p>
PE 6.2	<p>ICMM: <u>A Practical Guide to Catchment-Based Water Management for the Mining and Metals Industry (2015)</u></p> <p>ICMM: <u>Water Reporting: Good Practice Guide (2021)</u></p>

PE 6.3	<p>ICMM: Guidance currently under production (to be updated)</p> <p>MAC: <u><i>Developing an Operation, Maintenance, and Surveillance Manual for Tailings and Water Management Facilities (2021)</i></u></p> <p>MAC: <u><i>A Guide to the Management of Tailings Facilities (2021)</i></u></p>
PE 6.5	<p>ICMM: <u><i>Adapting to a Changing Climate: Building Resilience in the Mining and Metals Industry (2019)</i></u></p> <p>TCFD: <u><i>Final Report: Recommendations of the Task Force on Climate-related Financial Disclosures (2017)</i></u></p> <p>GRI: <u><i>GRI 305: Emissions (2016)</i></u></p>
PE 7.1	<p>IFC: <u><i>Performance Standard 6 and guidance note: Biodiversity conservation and sustainable management of living natural resources (2012 and 2019)</i></u></p>
PE 7.2	<p>ICMM/IPIECA/Equator Principles Association (CSBI): <u><i>A Cross-sector Guide for Implementing the Mitigation Hierarchy (2015)</i></u></p> <p>ICMM: <u><i>Good Practice Guidance for Mining and Biodiversity (2006)</i></u></p>
PE 8.1	<p>ICMM: <u><i>Mining and Metals and the Circular Economy (2016)</i></u></p>
PE 8.2	<p>UNECE: <u><i>Globally Harmonized System of Classification and Labelling of Chemicals (2021)</i></u></p> <p>ICMM/Eurometaux/Arche: <u><i>Metals Environmental Risk Assessment Guidance (2016)</i></u></p> <p>ICMM: <u><i>Hazard Assessment of Ores and Concentrates for Marine Transport (2021)</i></u></p> <p>ICMM/Eurometaux/Eurofer/EBRC: <u><i>Health Risk Assessment Guidance for Metals (2007)</i></u></p>
PE 9.1	<p>ICMM: <u><i>Understanding Company-Community Relations Toolkit (2015)</i></u></p> <p>ICMM: <u><i>Community Development Toolkit (2012)</i></u></p>
PE 9.2	<p>ICMM: <u><i>Mining Partnerships for Development: Toolkit (2011)</i></u></p>
PE 9.3	<p>ICMM: <u><i>Handling and Resolving Local-Level Concerns and Grievances: Human Rights in the Mining and Metals Sector (2019)</i></u></p> <p>ICMM: <u><i>Understanding Company-Community Relations Toolkit (2015)</i></u></p> <p>ICMM: <u><i>Community Development Toolkit (2012)</i></u></p> <p>IFC: <u><i>Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets (2007)</i></u></p>
PE 9.4	<p>IIED: <u><i>Governments, large- and small-scale mining: Beginning a dialogue (2014)</i></u></p> <p>IGF: <u><i>Global Trends in Artisanal and Small-Scale Mining (ASM): A Review of Key Numbers and Issues (2017)</i></u></p>
PE 10.1	<p>ICMM/IFC/Brunswick: <u><i>Changing the Game: Communications & Sustainability in the Mining Industry (2013)</i></u></p>
PE 10.2	<p>EITI: <u><i>EITI Business Guide (2013)</i></u></p>
PE 10.3	<p>GRI: <u><i>GRI Standards (various)</i></u></p>
PE 10.4	<p>ICMM: <u><i>Assurance and Validation Procedure (2019)</i></u></p>

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