**Please note:** The ResponsibleSteel **'Implementation Instructions'** are an Excel document consisting of a number of templates used to plan, prepare and conduct ResponsibleSteel audits. It is a tool for gathering audit-relevant information in one place and for streamlining how audit information and audit results are recorded and tracked. The document also serves as the basis for the audit report. The 'Implementation Instructions' have to be used by all sites and auditors when engaging in ResponsibleSteel audits.

However, the first audits have shown that the Excel document is difficult to handle since it is very comprehensive and that Excel is not a good tool for writing longer pieces of text. The Word document at hand is an extract from the Implementation Instructions. It contains the requirements and guidance from the ResponsibleSteel Standard and provides templates for auditors to capture site conformity with the Standard, rationales and reviewed evidence. There is a similar document for sites showing their self-assessment. This Word document been developed as an **interim solution. The other tabs of the Implementation Instructions in Excel still have to be completed.**

You should note that the Standard's Guidance is divided into Mandatory Guidance, which must be followed, and other Guidance. Auditors can raise non-conformities where sites do not adhere to the Mandatory Guidance.

ResponsibleSteel has also developed a binding Glossary, which defines key terms used in the Standard. It can be found on <https://www.responsiblesteel.org/certification>.

**Additional guidance, interpretations and an urgent revision** that have been developed after the ResponsibleSteel Standard was approved in November 2019 have been highlighted below in blue.

Table of Contents

[Principle 1. Corporate Leadership 4](#_Toc61458892)

[Criterion 1.1: Corporate Values and Commitments 4](#_Toc61458893)

[Criterion 1.2: Leadership and Accountability 7](#_Toc61458894)

[Principle 2. Social, Environmental and Governance Management Systems 10](#_Toc61458895)

[Criterion 2.1: Management System 10](#_Toc61458896)

[Criterion 2.2: Responsible Sourcing 12](#_Toc61458897)

[Criterion 2.3: Legal compliance and signatory obligations 15](#_Toc61458898)

[Criterion 2.4: Ant-Corruption and Transparency 17](#_Toc61458899)

[Criterion 2.5: Competence and awareness 20](#_Toc61458900)

[Principle 3: Occupational Health and Safety 23](#_Toc61458901)

[Criterion 3.1: Heath and Safety (OH&S) Policy 23](#_Toc61458902)

[Criterion 3.2: OH&S Management System 25](#_Toc61458903)

[Criterion 3.3: Leadership and worker engagement on OH&S 31](#_Toc61458904)

[Criterion 3.4: Support and compensation for work-related injuries or illness 34](#_Toc61458905)

[Criterion 3.5: Safe and healthy workplace 38](#_Toc61458906)

[The site’s facilities, plants, infrastructure, workplaces, equipment and tools are safe and maintained in good order 38](#_Toc61458907)

[Criterion 3.6: OH&S Performance 41](#_Toc61458908)

[Criterion 3.7: Emergency preparedness and response 43](#_Toc61458909)

[Principle 4: Labour Rights 46](#_Toc61458910)

[Criterion 4.1: The site does not use or tolerate child labour, effectively addresses any detected incidents of child labour, and cares for juvenile workers 46](#_Toc61458911)

[Criterion 4.2: Forced or compulsory labour 50](#_Toc61458912)

[Criterion 4.3: Non-discrimination 54](#_Toc61458913)

[Criterion 4.4: Association and collective bargaining 58](#_Toc61458914)

[Criterion 4.5: Disciplinary Practices 63](#_Toc61458915)

[Criterion 4.6: Hearing and addressing workers concerns 65](#_Toc61458916)

[Criterion 4.7: Communication of terms of employment 67](#_Toc61458917)

[Criterion 4.8: Remuneration 70](#_Toc61458918)

[Criterion 4.9: Working time 74](#_Toc61458919)

[Criterion 4.10: Worker well-being 78](#_Toc61458920)

[Principle 5: Human Rights 80](#_Toc61458921)

[Criterion 5.1: Human rights due diligence 80](#_Toc61458922)

[Criterion 5.2: Security practices 82](#_Toc61458923)

[Criterion 5.3: Conflict-affected and high-risk areas 87](#_Toc61458924)

[Principle 6: Stakeholder Engagement and Communication 90](#_Toc61458925)

[Criterion 6.1: Stakeholder engagement 90](#_Toc61458926)

[Criterion 6.2: Grievances and remediation of adverse impacts 95](#_Toc61458927)

[Criterion 6.3: Communication to the public 100](#_Toc61458928)

[Principle 7: Local Communities 106](#_Toc61458929)

[Criterion 7.1: Commitment to local communities 106](#_Toc61458930)

[Criterion 7.2: Free, Prior and Informed Consent (FPIC) 110](#_Toc61458931)

[Criterion 7.3: Cultural heritage 113](#_Toc61458932)

[Criterion 7.4: Displacement and Resettlement 116](#_Toc61458933)

[Principle 8. Climate Change and Greenhouse Gas Emissions 120](#_Toc61458934)

[Criterion 8.1: Corporate commitment to achieve the goals of the Paris Agreement 120](#_Toc61458935)

[Criterion 8.2: Corporate Climate Related Financial Disclosure 124](#_Toc61458936)

[Criterion 8.3: Site level GHG emissions measurement and intensity calculation 126](#_Toc61458937)

[Criterion 8.4: Site-level GHG reduction targets and planning 128](#_Toc61458938)

[Criterion 8.5: Site-level GHG or CO2 emissions reporting and disclosure 134](#_Toc61458939)

[Principle 9: Noise, Emissions, Effluents and Waste 138](#_Toc61458940)

[Criterion 9.1: Noise and vibration 138](#_Toc61458941)

[Criterion 9.2: Emissions to air 141](#_Toc61458942)

[Criterion 9.3: Spills and leakage 145](#_Toc61458943)

[Criterion 9.4: Waste, by-product and production residue management 149](#_Toc61458944)

[Principle 10: Water Stewardship 155](#_Toc61458945)

[Criterion 10.1: Water-related context 155](#_Toc61458946)

[Criterion 10.2: Water balance and emissions 158](#_Toc61458947)

[Criterion 10.3: Water related adverse impact 161](#_Toc61458948)

[Criterion 10.4: Managing water issues 163](#_Toc61458949)

[Principle 11: Biodiversity 167](#_Toc61458950)

[Criterion 11.1: Biodiversity commitment and management 167](#_Toc61458951)

[Principle 12: Decommissioning and Closure 178](#_Toc61458952)

[Criterion 12.1: Decommissioning and closure 178](#_Toc61458953)

# Principle 1. Corporate Leadership

## Criterion 1.1: Corporate Values and Commitments

The site’s corporate owners have defined and documented the values and policies for responsible business conduct to which they are committed.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 1.1.1. | The site’s corporate owners have defined and documented the values, policies and commitments that they require sites under their control to implement, including at least the following: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not Applicable |  |
| a) | A commitment to support the achievement of the ResponsibleSteel Vision and Mission (2018); |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not Applicable |  |
| b) | A code of ethical conduct or similar instrument; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
|  | Not applicable |  |
| c) | A commitment to comply with all applicable laws, regulations and formal agreements in the countries in which they operate; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | An anti-corruption policy that:   * Addresses the management of conflicts of interest and political and charitable contributions; * Prohibits extortion, embezzlement, bribery, facilitation payments and money laundering; * Grants protection to employees from demotion, penalty or other adverse consequences for refusing to participate in corruption, even if such refusal may result in the site losing business. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
|  | Not applicable |  |
| e) | A responsible sourcing policy that includes a commitment to source raw materials from suppliers whose policies and practices support the implementation of the ResponsibleSteel Principles and Criteria as applicable to the sourcing of raw materials. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
|  | Not applicable |  |
| 1.1.2. | The values, policies and commitments to which the corporate owners are committed to are effectively communicated to the site's workers, and are readily accessible to the public. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
|  | Not applicable |  |
| **Guidance:** Overarching policies, procedures, codes of conduct, etc. may be set at the corporate owner or ‘group’ level, rather than separately by the individual sites seeking certification. In such cases, auditors will evaluate whether the policy, procedure, code of conduct, etc. is accessible, known, understood and effectively implemented at the site level. Sites must be able to demonstrate to their auditors that this is the case, but are not required to develop their own policies at the site level.  A Policy is a “Formal statement of intentions and direction of an organisation as formally expressed by its top management. A policy may be an integrated policy or consist of various stand-alone policies.” (see the ResponsibleSteel Glossary on <https://www.responsiblesteel.org/certification/certification-resources/>). Alternatively, a policy statement may be part of another formally approved document, such as a code of conduct or internal standard, if that formally approved document meets the ResponsibleSteel requirements.   Publication of commitments in a company’s annual report or in a ‘corporate social responsibility’ report would be evidence of implementation of 1.1.1.  The ETI (Ethical Trading Initiative) Base Code, ISO 26000 - Social responsibility, or the Caux Moral Capitalism Principles are examples of frameworks that might help sites define or review their code of conduct.  ISO 20400: (2017) Sustainable procurement – Guidance might help with the implementation of sustainable procurement practices. | | | | | |

## Criterion 1.2: Leadership and Accountability

Responsibility for ensuring that the values, policies and commitments defined by the corporate owner are implemented at site level is assigned to the site's directors and senior management.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | | |
|  |  | **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** | |
| 1.2.1. | Responsibility for oversight of the implementation of the values, policies and commitments defined by the corporate owner has been assigned to individual members of the site’s board of directors or an equivalent oversight body. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 1.2.2. | Responsibility for implementing the values, policies and commitments defined by the corporate owner has been assigned to specific members of senior management. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 1.2.3. | There is an effective process in place to monitor how well the values, policies and commitments defined by the corporate owner are implemented in practice. Where gaps become evident between the values, policies and commitments and actual business practice and behaviour, the site identifies the root causes and defines and implements actions to address those causes. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 1.2.4. | Effective procedures are in place for the site’s senior management to report to the site’s board of directors or equivalent oversight body on a regular basis on the implementation of the company’s values, policies and commitments. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 1.2.5. | There is evidence that the members of the site’s board of directors or equivalent oversight body exercise effective oversight of the implementation of the values, policies and commitments defined by the corporate owner. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:** Note that members of senior managementthat are responsible for implementing the values, policies and commitments might be based at the corporate owner or at other parts of the company, they do not have to be based at the site seeking certification. Linking senior management compensation to effective implementation of the values, policies and commitments is one way of strengthening accountability and considered good practice.  Board of directors or an equivalent oversight body: Where senior management is the site’s highest level of authority, the reporting and oversight requirements of 1.2 are satisfied at senior management level. | | | | | |

[Return to Table of Content](#_top)

# Principle 2. Social, Environmental and Governance Management Systems

## Criterion 2.1: Management System

The site is operated in accordance with a documented management system that incorporates all applicable social, environmental and governance Requirements of the ResponsibleSteel Standard.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 2.1.1 | The site has reviewed the ResponsibleSteel Standard to determine whether any of its Requirements are not applicable to the site seeking certification. There is a record of any Requirements that are deemed not to be applicable, and of the basis for such determination. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.1.2 | The site has a documented and effective management system or systems in place that: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Identify the site's main social, environmental and governance risks and adverse impacts and includes management provisions to prevent and mitigate these impacts; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Include provisions to monitor and achieve compliance with all applicable Requirements of the ResponsibleSteel Standard; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Incorporate key performance indicators for the site's main social, environmental and governance risk and impact areas. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.1.3 | The site's system for the management of environmental aspects is certified by a competent third party as complying with the requirements of ISO 14001: Environmental management systems – Requirements with guidance for use. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |
| **Mandatory guidance:**  Sites must take account of the concerns of stakeholders when identifying social, environmental and governance risks and impacts, and in defining prevention and mitigation measures.  **Guidance:**  Requirements not applicable to the site seeking certification do not have to be considered further. This might apply, for example, in the case of Principle 12 if no site decommissioning or closure has been announced. The basis for the site's determination that certain Requirements are not applicable to its site will be reviewed and verified by the auditors during the assessment of the site against the ResponsibleSteel Standard.  The site’s management systems may be integrated to form a single overarching management system or may consist of various stand-alone management systems. Examples for recognised international management system standards that the site may use to manage its social and governance aspects and risks include ISO 9001, ISO 37001, ISO 45001 (replacing OHSAS 18001), ISO 50001, and SA8000.  Management system provisions: Note that these provisions do not necessarily have to be developed specifically for the purpose of compliance with the ResponsibleSteel Standard. Existing systems, processes and other relevant certifications may contribute to achieving ResponsibleSteel compliance.  Examples of key performance indicators for social, environmental and governance risk and impact areas are:   * Risk of corruption: Number of employees with anti-corruption training * Risk of community grievances due to air emissions: Number and outcomes of community meetings, progress against air emissions reduction plan.   Since each site is different from other sites regarding its risks and impacts, the key performance indicators should be tailored to the respective site. | | | | | | |

## Criterion 2.2: Responsible Sourcing

There are effective procedures in place to ensure that the responsible sourcing commitments of the site’s corporate owner are implemented for the site’s own procurement

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** | |
| 2.2.1 | There are effective procedures in place to implement the corporate owner’s policy commitment to responsible sourcing (see Requirement 1.1.1.e) at the site. Procedures include at least the following elements: |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | The corporate owner’s commitment to responsible sourcing is communicated to the site’s tier 1 suppliers of key raw materials; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | There are documented procurement specifications that implement the corporate owner’s commitment to responsible sourcing as applicable to the site; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Tier 1 suppliers of key raw materials to the site are required to document their own responsible sourcing commitments (if any) and to make these available to the personnel responsible for the site’s procurement. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.2.2 | The site has access to a listing of its tier 1 suppliers and to copies of their commitments to responsible conduct or responsible sourcing. If the supplier does not have such a commitment this is recorded. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.2.3 | Key performance indicators for the personnel responsible for the site’s procurement of raw materials have been specified and are aligned with the corporate owner’s commitment to responsible sourcing. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory guidance:**  The site’s corporate sourcing policy must, as a minimum, cover the sourcing of the key raw materials listed in Annex 2 where these materials are used by the site. The site’s corporate sourcing policy may apply beyond the tier 1 suppliers of key raw materials. Where this is the case, the site’s procedures should reflect this.  **Guidance:**  The Requirements recognise that the responsible sourcing policy and procedures may be implemented at corporate or group level or by another department that may operate from an off-site location. The fundamental Requirement is that the procedures must apply to the site’s procurement, must be effective, and can be audited as such.  Where tier 1 suppliers do not have their own policy on responsible conduct or responsible sourcing, this would be recorded. This would not of itself be a non-compliance for the site. However, the absence of a responsible sourcing policy by a tier 1 supplier does not support the implementation of the corporate commitment required under 1.1.1.e, so the auditor would expect to see action being taken over time to discontinue sourcing from such suppliers.  Note that additional Requirements in relation to the site’s responsible sourcing are being developed by ResponsibleSteel, in consultation with its members and other stakeholders, and will be finalised in 2020. Achieving these additional Requirements will allow sites to make stronger claims about their performance and, in particular, about the steel produced at the site. ResponsibleSteel anticipates that downstream customers, civil society, financial institutions and other stakeholders will increasingly demand that steel companies achieve this higher level of performance. | | | | | |

## Criterion 2.3: Legal compliance and signatory obligations

The site has effective procedures in place to ensure that it complies with applicable law and operates in consistence with formal agreements it is committed to meet.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** | |
| 2.3.1 | The site implements documented procedures for: | n/a |  | |  | |
| a) | Identifying and understanding its legal obligations and, where applicable, its obligations as a signatory to formal agreements; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Integrating legal and signatory obligations into the site's processes and activities; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Monitoring site compliance with legal and signatory obligations; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Monitoring legal developments and identifying evolving areas of legal risk. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.3.2 | The site carries out regular legal compliance evaluations. In case of potentially non-complying situations, the site identifies the root causes and defines and implements actions to bring them into compliance. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.3.3 | The site maintains records to demonstrate regulatory compliance and consistence with agreements it has committed to meet. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory guidance:**  Legal obligations include:   * Legislation, regulations and legally required codes or standards; * Permits, licences and other forms of authorisation; * Local government legislation; * Decisions, directions, rulings or interpretations issued by relevant courts and tribunals.   Failure to adequately address the cause(s) of identified legal non-compliances would be considered a non-compliance with the ResponsibleSteel Standard, and continued failure, evidenced by repeating or long-standing non-compliance with legal obligations would ultimately result in the withdrawal of the certificate. | | | | | |

## Criterion 2.4: Ant-Corruption and Transparency

The site has effective procedures in place to combat corruption

|  |  |  |  |  |  |  |
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| **ID** | **Requirement** | **Auditor assessment** | | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** | |
| 2.4.1 | The site: | n/a |  | |  | |
| a) | Has identified and listed those parts of its operations and activities that pose high risks of participation in corruption; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Has documented procedures to implement and monitor the application of its anti-corruption policy (see Requirement 1.1.1.d), including specific procedures that are applicable to the operations and activities that have been identified as high risk; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Investigates incidences of corruption and suspected corruption and imposes sanctions on employees and contractors for corruption and attempted corruption |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.4.2 | The site implements processes to verify the legitimacy of cash transactions, and limits cash transactions to a maximum of US$10,000 (or the approximate equivalent in local currency) or lower where required by law. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.4.3 | As part of its anti-corruption procedures, the site sets criteria and approval processes for the offer and acceptance of third-party financial and in-kind gifts, including hospitality and entertainment, and keeps records of given and accepted gifts that require approval. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Opportunity for Improvement |  |
| Not applicable |  |
| 2.4.4 | In countries with a high corruption risk and in cases of public controversy the effectiveness of the site's anti-corruption procedures is reviewed by an independent and competent party. Root causes of corruption incidents are identified and actions to avoid recurrence are defined and implemented. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.4.5 | The site reports to the public the names of political parties, politicians, public officers and other politically exposed persons (PEP) that have received financial or in-kind contributions directly or indirectly from the site, and the total monetary value they have received. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.4.6 | The site regularly reports to the public the names of business associations, charities and think tanks that have received financial or in-kind contributions directly or indirectly from the site, citing the total monetary value they have received. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory guidance:**  High corruption risk: A country with a score below 50 on the most recent Transparency International Corruption Perceptions Index is considered to have a high corruption risk.  **Guidance:**  In-kind gifts: These should include major charitable donations, sponsorships, community payments, and significant hospitality expenses offered in commercial circumstances.  Indirect contributions: For example, contributions made by a trade association that the site is a member of.  Sites may find ISO 37001 – Anti-bribery management systems useful for this Criterion.  Total monetary value received: It is acceptable to report the total amount received within reasonable ranges, e.g. USD 1,000 to 10,000; USD 10,000 to 100,000; etc. | | | | | |

## Criterion 2.5: Competence and awareness

Workers are competent and aware of their roles and responsibilities as specified within the site’s management system

|  |  |  |  |  |  |  |
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| **ID** | **Requirement** | **Auditor assessment** | | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** | |
| 2.5.1 | The site has determined the competencies necessary for workers to implement their roles and responsibilities as specified in its management system. Where a role is designated in the management system, competency Requirements have been established for that role and there is an ongoing education and training programme in place to ensure competency. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.5.2 | The site reviews the education, experience, received training and performance of workers regularly to identify competence gaps. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.5.3 | Where gaps are identified, the site takes actions with workers to acquire and maintain the necessary competence. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.5.4 | The site retains documented information as evidence of worker competence. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 2.5.5 | The site has effective processes in place to ensure that workers are aware of their roles and responsibilities and are competent in their implementation. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Actions to acquire and maintain the necessary competence: These can include, for example, provision of training, mentoring of workers, re-assignment of workers, hiring or contracting of competent persons. The actions must enable workers to understand and implement their roles and responsibilities as defined in the site's management system, which will include the following specific elements as referenced in this Standard:   * Responsible sourcing policy and its requirements and procedures for implementation; * Code of conduct and expected behaviour related to the code (see 1.1.1.b); * Legal obligations and obligations resulting from social and environmental agreements that the site is a signatory to; * Policies and procedures related to anti-corruption, forced, compulsory and child labour, diversity, anti-discrimination and disciplinary practices; * OH&S-related procedures and the hazards and risks of workers' specific roles, how to identify hazards and risks, and how to perform work safely, focusing on prevention and proactive controls; * Processes to engage stakeholders and culturally appropriate ways of interacting with stakeholders such as indigenous peoples and women; * The concept of free, prior and informed consent (FPIC) and related processes; * Security arrangements and procedures; * Policies and procedures related to freedom of association and right to collective bargaining; * Strategies, plans and procedures in relation to the corporate owner's and the site's GHG-related commitments; * Procedures for preventing and reducing noise and vibration and emissions to air, for preventing, detecting and mitigating spills and leakage, for managing waste and production residues; * Procedures related to the site's water stewardship plan and to the management of biodiversity; * • Awareness and understanding of human rights and related procedures. | | | | | |

[Return to Table of Content](#_top)

# Principle 3: Occupational Health and Safety

## Criterion 3.1: Health and Safety (OH&S) Policy

The site has a OH&S policy that recognises the rights of workers and acknowledges the obligations of employers to protect the health and safety of workers.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale *(give clear reasons for your conformity classification)*** | |
| 3.1.1 | The site has a public formal OH&S policy that: | n/a |  | |  | |
| a) | Provides a framework for the setting of objectives for OH&S; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Is applicable to all workers; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Has been formally endorsed by the site's senior management and workers are consulted when changes are made to the policy; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Is communicated to workers using languages, methods and channels that are understood and are easily accessible to them. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.1.2 | The OH&S policy includes the following commitments: | n/a |  | |  | |
| a) | To aim for elimination of OH&S risks through the identification, elimination or control of hazards and for reduction of risks; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | To provide a healthy and safe working environment. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  OH&S policy: At a minimum, the OH&S policy should reflect all the obligations at the level of the undertaking specified in ILO Convention 155. | | | | | |

## Criterion 3.2: OH&S Management System

The site establishes, implements, maintains and continually improves a OH&S management system

|  |  |  |  |  |  |  |
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| **ID** | **Requirement** | **Auditor assessment** | | | | |
|  |  | **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale *(give clear reasons for your conformity classification)*** | |
| 3.2.1 | The site implements a documented OH&S management system that: |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Assigns accountability for OH&S to senior management and documents OH&S responsibilities; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Covers the full scope of the site's processes, activities, products and services; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Shows that the site has taken account of the needs and expectations of workers, local communities and other parties that are affected by its activities; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Aligns with a recognised national or international OH&S management system standard or recognised guidelines. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.2.2 | The OH&S management system includes effective documented procedures to: | n/a |  | |  | |
| a) | Identify all applicable OH&S laws and regulations in relation to OH&S and ensure that relevant requirements are effectively implemented; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Identify and assess potential hazards and associated OH&S risks, including health and wellbeing risks, using competent persons and considering emerging and critical OH&S risks; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Determine and implement preventive and protective control measures aimed at eliminating hazards and reducing risks to levels that are as low as reasonably practicable, giving due consideration to industry best practice in determining and implementing control measures. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Consult with workers to ensure they have information on and comprehensive participation in OH&S matters and decisions that affect them; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | Determine and implement education and training programmes for workers on OH&S matters; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| f) | Report incidents including near-misses and occurrences of occupational diseases on an ongoing basis, undertake investigations, including reviewing absent or failed control measures, and implement effective actions to prevent similar incidents re-occurring in the future. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory guidance:**  Matters and decisions that affect workers: For example:   * Identification and assessment of hazards and risks; * Design of education and training programmes; * Reporting of incidents, occurrences of occupational diseases and their investigation   Health and Wellbeing Risks include all occupational health-related diseases, such as organic and systemic diseases, musculoskeletal diseases, mental health risks, burn out and all other work-related adverse health impacts. Note that these may be classified as:   * Acute (show their impact shortly after exposure to a hazard, such as exposure to carbon monoxide); * Cumulative (show symptoms after a longer period of lower-level or repeated exposure, such as hearing loss, pneumonoconiosis, or repetitive strain injuries); * Latent (having a period of delay between first exposure and emergence of symptoms, such as most cancers); * Or may evolve into a chronic condition (symptoms are long-term or permanent, such as asthma, emphysema).   Effectiveness: An ongoing examination of leading indicators can give an idea of the effectiveness of OH&S policies, programmes and procedures.  Critical OH&S Risks: Sites are advised to pay specific attention to adverse health and safety risks, including but not limited to, risks associated with health and wellbeing (see definition above), process safety, electrical safety, working at heights, product handling, storage & transportation and the operation of equipment and any other risks sites may deem critical.  Preventive and protective control measures: These include modification, substitution and elimination of processes, conditions or substances that pose a hazard or health risk, as well as engineering and administrative controls (which can include documented OH&S standards) and personal protective equipment. In choosing where best to control a hazard, the principles of control in industrial or occupational hygiene dictate that the hierarchy should be applied:  1. At the source;  2. Along the exposure path;  3. At the worker only if (1) or (2) are not reasonable or possible.   * At the source: A strategy of eliminating the hazard completely, for example by engineering it out of existence, or substituting a less hazardous chemical. Complete isolation of the hazard that prevents any and all possible exposure can also be described as control at the source. This is the best possible control strategy because no further monitoring, maintenance, control programme, or training is required - the hazard is simply gone. * Along the exposure path: A strategy of controlling a hazard somewhere between its origin and the point of interaction with a worker. Examples would be machine guards and barriers, noise absorbing machine enclosures, local and area ventilation. * At the worker: A strategy of controlling a hazard at the worker. Examples would include work procedures, personal protective equipment (PPE) and administrative controls such as job rotation. This is the least effective point at which to control a hazard because it requires the development of a control programme and constant monitoring for compliance, PPE suitability, PPE fit, PPE maintenance, PPE availability, training, enforcement, etc.   Workers have a right to refuse to perform unsafe or unhealthy work. Sites should consider providing a procedure for handling such refusals, ensuring that no negative consequences arise for a worker exercising this right, so long as it is done in good faith.  **Guidance:**  Examples of recognised national or international OH&S management system standards or guidelines:   * ISO 45001:2018 Occupational health and safety management systems - Requirements with guidance for use; * BS OHSAS 18001 (Occupational Health and Safety Assessment Series) until replaced by ISO 45001; * Guidelines on occupational safety and health management systems ILO-OSH 2001; * • Any other national equivalent until replaced by ISO45001:2018 (e.g. AS/NZS 4801 in Australia & New Zealand). | | | | | |

## Criterion 3.3: Leadership and worker engagement on OH&S

The site demonstrates leadership and commitment with respect to OH&S, trains and educates workers on OH&S-related matters on an ongoing basis and has an effective mechanism for worker engagement and participation in key OH&S decisions.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 3.3.1 | The site's senior management has processes in place to demonstrate personal leadership and commitment with respect to OH&S, including: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not Applicable |  |
| a) | Setting of OH&S objectives and targets; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Engaging workers in key OH&S-related decisions; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not Applicable |  |
| c) | Regular and effective management review of OH&S risks, opportunities and performance (see Criterion 3.6 below). |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not Applicable |  |
| 3.3.2 | The site has an effective mechanism that brings together site management and workers to discuss OH&S-related issues and to engage workers in decisions on key OH&S matters: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | The purpose, structure, scope and formal rules of procedure of the mechanism, as well as the roles and responsibilities of those participating in the mechanism are documented; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |
| b) | Individual workers participating in the mechanism have been freely chosen by workers; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | The mechanism has a balanced composition where neither site management nor worker interests dominate; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | There are processes to build and ensure the competence of individuals participating in the mechanism; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | There are processes to ensure the timely provision of comprehensive and accurate information to enable effective discussion and decision-making by participants. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.3.3 | Beyond the worker-management mechanism, the site implements processes to encourage worker participation to improve OH&S outcomes and provides a mechanism for workers to raise, discuss and participate in the resolution of OH&S concerns with senior management. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Effective mechanism that brings together site management and workers: This may be a Joint Health and Safety Committee or another mechanism for the structured engagement of workers in OH&S matters and decisions. Where worker representatives exist, they may be part of the mechanism.  Note that voicing worker concerns in relation to OH&S issues is covered under Principle 4.  Formal rules of procedure: These include, for example, mutually agreed-upon rules on attendance, quorum and under which circumstances voting may be appropriately used as an alternative to consensus decision-making. | | | | | |

## Criterion 3.4: Support and compensation for work-related injuries or illness

The site provides workers with support and compensation for work-related injuries or illness and cares for their dependents in case of work-related death.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale *(give clear reasons for your conformity classification)*** |
| 3.4.1 | The site has processes in place to provide care and support to injured or ill workers and support rehabilitation, including health and wellbeing. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.4.2 | In countries in which compensation for work-related injury, illness or death is not provided through a government scheme, collective bargaining agreement or mandatory benefits by law, the site has a commitment to cover the costs and losses associated with work-related injury, illness or death. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.4.3 | To implement 3.4.2., the site has documented procedures for: | n/a |  | |  |
| a) | Determining and providing compensation to workers for work-related injury or illness, considering medical expenses, wages during the recovery and rehabilitation period, suitable duties during recovery and rehabilitation and, where recovery is not possible, lost future earnings; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Determining and providing compensation to workers if an occupational illness connected to the worker’s duties manifests after a worker has retired; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Determining and providing compensation to worker’s dependents in the event of work-related death. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.4.4 | The site keeps records on: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Incidents of work-related injury, illness or death; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
|  |  |
| b) | Received claims to compensate for work-related injury, illness or death and how they have been dealt with; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Paid compensation and how the compensation amount was determined. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Compensation: Compensation for injured or diseased workers should be provided on a “no-fault” basis, that is, eligibility for and amounts of compensation are not to be adjusted based on apportioned “blame”.  Commitment to cover the costs and losses: It is good practice to fully insure these commitments outside the books of the company. | | | | | |

## Criterion 3.5: Safe and healthy workplace

## The site’s facilities, plants, infrastructure, workplaces, equipment and tools are safe and maintained in good order

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale *(give clear reasons for your conformity classification)*** |
| 3.5.1 | The site provides facilities, plants, infrastructure, equipment, materials and tools that do not pose risk to health and risk of incidents and ensures they are maintained in safe working order. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.5.2 | The site ensures that workers are provided with a safe and healthy working environment, which includes but is not limited to: | n/a |  | |  |
| a) | Clean and hygienic workplaces, including factory, offices, sanitation areas, food storage and meals break areas with seating; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Safe and accessible drinking water, free of charge; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Sanitation facilities commensurate with the number of workers and adequate for the gender of workers. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.5.3 | If workers are provided with on-site housing, the site ensures that such housing is maintained to a reasonable standard of safety, security, repair and hygiene, and is provided with sufficient and proper sanitation facilities, drinking water, and access to an adequate power supply. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Plants, equipment and tools: This covers all forms of mobile plants, fixed plants and powered and non-powered tools in use at the site's facilities. For example, forklifts, cranes, trucks, hand tools and personal protective equipment (PPE).  Facilities and infrastructure: This includes the facilities of the site and, as applicable, roads, railways, dams, captive power plants or transmission lines, pipelines, utilities, warehouses, and logistics terminals. | | | | | |

## Criterion 3.6: OH&S Performance

The site monitors and discloses key aspects of its OH&S performance and works to improve it over time

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale *(give clear reasons for your conformity classification)*** |
| 3.6.1 | The site monitors OH&S performance through a combination of leading and lagging indicators and keeps performance records. Performance is reviewed by senior management and by the worker-management mechanism on a regular basis and necessary actions are taken to improve OH&S outcomes. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.6.2 | The site has a process to verify its performance data and regularly discloses key aspects of its OH&S performance to the public. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Leading Indicators: These are indicators of an effective OH&S management system to proactively predict performance. The six main categories of leading indicators are those that provide qualitative or quantitative information on the existence or functioning of the following:   1. Effective worker-management mechanism; 2. Visibly committed management; 3. Human resources system: ensuring that the right people are assigned to the right jobs, including training and motivation; 4. Engineering, job design and work rules and procedures system: ensuring that jobs and tasks are properly designed and that procedures exist for doing them safely; 5. Purchasing and maintenance system: ensuring that materials, tools and equipment are as safe as possible; 6. Safety and occupational hygiene system: ensuring, on an ongoing basis, the safest and healthiest working environment possible.   Examples for leading indicators include:   * Near-misses; * Potential serious incident frequency rates; * Risk assessments; * Health assessments; * Progress on objectives; * Participation rates on OH&S initiatives; * Conduct of audits and inspections; * Results of effectiveness of controls monitoring; * Execution and effectiveness of preventative maintenance programmes; * Conduct and effectiveness of OH&S training and meetings; * Level of commitment of all OH&S systems, particularly the worker-management mechanism.   Some of this information can only be obtained by asking, either directly or via surveys of workers, for example.  Lagging Indicators: These can only be measured after some unwanted outcome. Examples include:   * Fatalities; * Lost time injuries; * Medical treatment cases; * Instances of occupational disease; * Other incidents and injuries; * Compensation payments.   Sites should determine which leading and lagging indicators best suit their operations. | | | | | |

## Criterion 3.7: Emergency preparedness and response

The site has identified and assessed emergency situation and has tested emergency preparedness and response processes in place to avoid and minimize impact of accidental and emergency situation.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale *(give clear reasons for your conformity classification)*** |
| 3.7.1 | The site has processes in place to identify and assess emergency situations on a regular basis. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.7.2 | The site has documented emergency preparedness and response procedures in place to avoid and minimise loss of life, injuries and damage to property, health and social well-being of its workers, local communities and the environment in the event of accidental and emergency situations. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.7.3 | The documented emergency preparedness and response procedures are developed and regularly tested with workers. Where potential emergency situations might affect local communities or neighbouring organisations, local authorities and emergency responders are engaged in the development and testing of the processes. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.7.4 | The emergency preparedness and response procedures are included in worker and emergency responder training programmes and communication plans. Where relevant, the emergency preparedness and response processes are communicated to local authorities, local communities and neighbouring organisations. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.7.5 | The site tests the effectiveness of its emergency preparedness and response procedures. Where necessary, the site defines and implements actions to ensure the processes are effective. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 3.7.6 | The site anticipates and insures against the cost of reparation for accidents and emergency situations to ensure that funds are available for implementing effective emergency response, pay compensation for damages, injury or loss of life, and for the site to fund recovery and reconstruction in a timely and efficient manner. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Emergency preparedness and response processes should:   * Be specific to the different kinds of accidents and emergencies that may occur; * Specify training requirements, roles and responsibilities, provision of equipment and resources, and communication plans with potentially impacted workers, communities and individuals.   Emergency Communication Plans should:   * Be developed in consultation with potentially affected stakeholders such as workers, local communities and authorities; * Identify all affected stakeholders that will be informed of emergencies; * Confirm that communication on emergencies will be issued to affected stakeholders immediately after the incident has been detected; * Specify that the communication will contain the type and potential impact of the emergency, what the site will do to minimise impact, what affected stakeholders can do to minimise impact, and who to contact for any emergency-related inquiries; * Prescribe that the site will issue regular updates on impacts and remediation action to affected stakeholders; * Outline how to coordinate with emergency services; * • Describe how the site will respond to inquiries in a timely manner. | | | | | |

[Return to Table of Content](#_top)

# Principle 4: Labour Rights

## Criterion 4.1: Child and juvenile labour

## The site does not use or tolerate child labour, effectively addresses any detected incidents of child labour, and cares for juvenile workers

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale *(give clear reasons for your conformity classification)*** |
| 4.1.1 | The site has a public policy declaring that it does not use or tolerate child labour. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.1.2 | The site has effective procedures in place to: | n/a |  | |  |
| a) | Assess the risk of it engaging or tolerating the use of child labour; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Analyse if there are children working at its site. The results of these analyses are documented. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.1.3 | Where there is a risk of child labour being engaged or tolerated at the site, there are effective procedures in place to: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Address these risks; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Record, investigate and address any identified concerns related to child labour; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Record, investigate and address any identified concerns related to child labour; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.1.4 | The site's contracts with employment and recruitment agencies and with other external providers of workers explicitly prohibit the use of child labour. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.1.5 | In relation to juveniles, the site has an effective procedure in place to: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Identify and document the types of work that juveniles should not perform, such as work that requires significant experience or specialist training, to ensure they are not exposed to activities that might be hazardous or harmful to their health or safety; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Ensure that juveniles do not perform the work outlined in 4.1.5.a. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory guidance:**  Child labour: The site shall only employ or accept persons who are at least 15 years old, have reached the applicable minimum legal age for employment, or who have passed the applicable age for compulsory education, whichever is highest.  Child labour at the site: The risk analysis of the site shall not only cover workers employed directly by the site but also workers employed by contractors, agencies, etc. that perform activities at the site. | | | | | |

## Criterion 4.2: Forced or compulsory labour

The site does not use or tolerate forced or compulsory labour and effectively addresses any detected incidents of forced or compulsory labour

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale *(give clear reasons for your conformity classification)*** |
| 4.2.1 | The site has a public policy declaring that it does not use or tolerate the use of forced or compulsory labour. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.2.2 | The site has effective procedures in place to: | n/a |  | |  |
| a) | Analyse if there is forced or compulsory labour at its site. The results of these analyses are documented; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Identify and document the risk of forced or compulsory labour at the site. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.2.3 | Where there is a risk of forced or compulsory labour at the site, there are effective procedures for: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Addressing these risks; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Recording, investigating and addressing any allegations related to forced or compulsory labour; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Taking action to remove forced and compulsory labour where it is detected, with provisions to ensure the continued welfare of the workers in question. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.2.4 | The site's contracts with employment and recruitment agencies and with other external providers of workers explicitly prohibit the use of forced and compulsory labour. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory guidance:**  Analyse if there is forced or compulsory labour: The risk analysis of the site shall not only cover workers employed directly by the site but also workers employed by contractors, agencies, etc. that perform activities at the site. Indications of forced and compulsory labour are:   * The freedom of movement of workers in the workplace, in on-site housing, or upon entering or exiting facilities associated with the site is unreasonably restricted; * Workers’ original government-issued identification and travel documents, such as identity papers, are retained; * Workers have to bear costs related to recruitment, have to lodge deposits, security payments or pay fees for work equipment; * Workers are prevented from terminating their employment after reasonable notice or as established by applicable law.   Costs related to recruitment: Any fees or costs incurred in the recruitment process in order for workers to secure employment or placement, regardless of the manner, timing or location of their imposition or collection (Adopted from: General principles and operational guidelines for fair recruitment & Definition of recruitment fees and related costs. International Labour Office - Fundamental Principles and Rights at Work Branch, Labour Migration Branch – Geneva: ILO, 2019).  Examples for recruitment-related costs are: Agency service fees, recruitment or placement service fees, airfare or fare for other mode of international transportation, terminal fees, and travel taxes, costs or fees for passport, visa, work and/or residence permits (including renewals), pre-deployment skills tests, certifications, medical exams or other requirements for employment, training or orientation, transportation to and from airport to facility or provided accommodations, security deposits or bonds, etc. | | | | | |

## Criterion 4.3: Non-discrimination

The site’s hiring decisions and employment relationship are based on the principle of equal opportunity, actively prevent all forms of discrimination and inclusion and promote workforce diversity

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale *(give clear reasons for your conformity classification)*** |
| 4.3.1 | The site has a public policy stating that it: | n/a |  | |  |
| a) | Prohibits discrimination in its hiring and other employment practices; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Provides equal pay for work of equal value; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Where relevant, ensures that migrant workers are engaged on equivalent terms and conditions as non-migrant workers carrying out similar work. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.3.2 | The site has effective procedures in place to analyse the risk of workers being affected by discrimination. The results of the analyses are documented. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.3.3 | Where there is a risk that workers are affected by discrimination, the site has effective procedures to: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Address these risks; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Document, investigate and address any incidents or allegations of discrimination. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.3.4 | The site's contracts with employment and recruitment agencies and with other external providers of workers explicitly prohibit discrimination. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.3.5 | The site implements a programme to promote inclusion, workforce diversity, gender equality and to create a non-discrimination culture among workers. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |
| 4.3.6 | The site collects data demonstrating that it provides equal pay for work of equal value. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory guidance:**  Discrimination at the site: The risk analysis of the site shall not only cover workers employed directly by the site but also workers employed by contractors, agencies, etc. that perform activities at the site.  Note that where local legislation or law requires positive discrimination in favour of local residents, indigenous peoples, or individuals who have been historically disadvantaged, this may not be regarded as discrimination.  Equal pay for work of equal value: In order to determine the value of a job for the purpose of applying the principle of equal pay for work of equal value, an objective assessment in accordance with relevant and appropriate criteria must be undertaken. The basic criteria used to valuate jobs are:   * The responsibility demanded of the work, including responsibility for people, finances and material; * The skills, qualifications, including prior learning and experience required to perform the work, whether formal or informal; * Physical, mental and emotional effort required to perform the work; * The assessment of working conditions may include an assessment of the physical environment, psychological conditions, time when and geographic location where the work is performed. (adapted from Equality and Human Rights Commission)   **Guidance:**  Data demonstrating equal pay for work of equal value. This may include data that compares the pay for work of equal value, such as:   * The difference between average pay and total pay of women and men for each equal work group; * • Comparison of access to and amounts received of each element of pay. (adapted from Equality and Human Rights Commission) | | | | | |

## Criterion 4.4: Association and collective bargaining

The site respects and supports workers’ rights to freedom of association and collective bargaining

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale *(give clear reasons for your conformity classification)*** |
| 4.4.1 | The site has a public policy stating that it allows workers to associate freely with others, form or join organisations of their choice and bargain collectively, without interference, opposition, discrimination, retaliation or harassment. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.4.2 | Where national law restricts workers' organisations, the site has evidence showing that it respects and does not obstruct legal alternative means for workers to associate freely. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.4.3 | There is a documented process for engaging in collective bargaining processes that shows that the site: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Participates in good faith; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Provides workers’ representatives and workers’ organisations with the information needed for meaningful negotiation and does so in a timely manner; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Does not hire replacement workers or use agency personnel as a strategy to prevent or break up a legal strike, support a lockout, or avoid negotiating in good faith. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.4.4 | Where collective bargaining agreements exist, the site has evidence showing that it adheres to their provisions. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.4.5 | The site: | n/a |  | |  |
| a) | Respects the right for employment and recruitment agency workers to collectively bargain, and their freedom of association; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Provides to employment and recruitment agencies information regarding the provisions of any collective bargaining agreements that are applicable to site workers carrying out similar work, for them to review and consider; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Requires employment and recruitment agencies to comply with 4.4.1 of this Standard; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Requires employment and recruitment agencies to adhere to Collective Bargaining Agreements that apply to them. In the absence of an applicable Collective Bargaining Agreement, the legal minimum wage or prevailing industry standard conditions, whichever is the greater, will apply; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | Ensures that where employment and recruitment agencies are used on the site, the site has demonstrable processes in place to ensure the Health and Safety of workers is protected. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.4.6 | Workers’ representatives have access to facilities suitable for carrying out their functions, such as designated non-work areas for communicating with workers. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory guidance:**  Policy on association and collective bargaining: This shall be in line with ILO Conventions C87 and C98.  Replacement workers: Note that the site may hire replacement workers to ensure that critical maintenance (including that required to prevent serious damage to plant), health and safety, and environmental control measures are maintained during a legal strike. | | | | | |

## Criterion 4.5: Disciplinary Practices

The site does not use, threaten to use or tolerate disciplinary practices that undermine workers’ dignity and effectively addresses any detected incidents of such disciplinary practice

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 4.5.1 | The site has a public policy that prohibits threats or use of disciplinary practices that undermine workers' dignity (called 'undignified disciplinary practices' hereafter). |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.5.2 | The site has effective procedures in place that have been developed together with workers and their legitimate representatives to analyse the risk of undignified disciplinary practices being used or threatened to use. The results of the analyses are documented. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.5.3 | Where there is a risk that the site causes or tolerates undignified disciplinary practices, the site has effective procedures to: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Address these risks; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Document, investigate and address any incidents and allegations of undignified disciplinary practices being used or threatened to use. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.5.4 | The site's contracts with employment and recruitment agencies and with other external providers of workers explicitly prohibit the use or threat of using undignified disciplinary practices. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |
| **Mandatory guidance:**  Undignified disciplinary practices at the site: The risk analysis of the site shall not only cover workers employed directly by the site but also workers employed by contractors, agencies, etc. that perform activities at the site. | | | | | |

## Criterion 4.6: Hearing and addressing workers concerns

The site ensures that issues of concern to workers are resolved. Workers and their representatives can communicate openly and safely with management regarding working. conditions

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 4.6.1 | The site has documented and effective procedures in place that can be used by workers and workers' representatives to voice concerns and for the investigation of concerns. The procedures: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Allow workers and their representatives to report concerns without fear of reprisal, intimidation or harassment. Workers and their representatives can choose to report concerns in an anonymous manner, where this is legally accepted, and via a third-party mechanism; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Ensure that concerns are investigated and resolved in an impartial and timely manner, and that complainants are informed of the outcomes of the investigation; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Require that records of raised concerns, investigation processes and outcomes are maintained, ensuring that confidentiality in relation to the party or parties that raised the concern is maintained. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.6.2 | Workers and their representatives are made aware of the site's procedures and how to access reporting mechanisms using languages, methods and channels that are understood and are easily accessible to them. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.6.3 | The site provides mechanisms to workers and their representatives for suggesting improvements or changes to the workplace and to working conditions. The site keep records of received suggestions and how they are considered. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory guidance:**  Concerns: These include worker grievances, allegations of misconduct, allegations of policy breaches in the areas of disciplinary practices, health and safety, etc.  **Guidance:**  Third-party mechanism: A third-party mechanism does not necessarily have to be set up specifically for the site. Academic bodies, state agencies such as a local ombudsman, non-profit organisations are all examples of third-parties that have played a role in grievance mechanisms. There are also service providers specialised in running grievance mechanisms. Third parties can serve as facilitators, access points for the mechanism, technical experts, co-investigators, mediators, appeals assessors or oversight panel members. Some companies have also engaged third-parties to provide independent monitoring of the grievance mechanism on a regular basis. Sites may consult the IPIECA Good Practice Survey on operational level grievance mechanisms to seek advice on how to set up and manage grievance mechanisms. While it was developed for oil and gas companies, its advice is relevant for companies of other sectors. | | | | | |

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## Criterion 4.7: Communication of terms of employment

The site ensures that workers understand their current employment terms with regard to wages, working hours and other employment condition

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 4.7.1 | The terms of employment are laid out in written contracts for all workers and are communicated to them at the beginning of the working relationship and when there are changes to the terms using languages, methods and channels that are understood and are easily accessible to workers. The terms of employment include: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Workers' rights under national labour and employment law; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Days and hours of work, payment, overtime, compensation, and benefits; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Applicable collective agreements; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Pay structure and pay periods. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.7.2 | The site's contracts with employment and recruitment agencies and with other external providers of workers explicitly ask for the terms of employment to be communicated to workers at the beginning of the working relationship and when there are changes to the terms using languages, methods and channels that are understood and are easily accessible to workers. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |

## Criterion 4.8: Remuneration

The site pays workers fairly, regularly and on time, there are no inappropriate and deductions from wages and overtime is rewarded

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 4.8.1 | The site has a public remuneration policy that commits the site to: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Pay at least the applicable legal minimum wage to all workers or the wage set through a collective agreement, whichever is higher. Where there is no legal minimum wage and no collective agreement, the site pays the prevailing industry standard. The site also pays any benefits required by law or contract; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Reward workers for overtime hours at a premium; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Pay workers in monetary means only and in full. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.8.2 | The site has an effective procedure in place to ensure that workers are paid accurately and on time and that there are no wage deductions other than deductions required by law. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.8.3 | For each pay period, workers are provided with a timely and understandable pay statement that includes sufficient information to verify accurate payment for performed work. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.8.4 | The site's contracts with employment and recruitment agencies and with other external providers of workers require them to pay all workers performing activities at the site: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | The applicable legal minimum wage or, where there is no legal minimum wage, the prevailing industry standard, plus any benefits required by law; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | In monetary means only, in full and on time. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.8.5 | Where there are on-site shops, the site ensures that goods and services are not offered above the regional market price and that workers are not coerced into buying goods and services from these shops. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.8.6 | Where accommodation is provided by the site or on behalf of the site, it is offered at no more than the appropriate market rate. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.8.7 | If requested by the workers’ representatives, the site commits to introduce a living wage for its workers. The commitment requires the site to: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Work with the regional government, other companies and, where they exist, with trade unions to define the regional living wage, unless it has already been defined; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Develop a time-bound plan to implement the living wage over time. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory guidance:**  Deductions required by law: These might apply for social insurance and tax provisions. There can be no deductions as a disciplinary measure and sites cannot force workers into saving schemes or runaway insurance.  **Guidance:**  Prevailing industry standard: These might be available from the Department of Labour, the statistical bureau or other government entities of the respective country. Where this is not the case, job sites or statistics service providers might be a useful resource.  Overtime hours: ILO Convention C001 - Hours of Work (Industry) specifies that "the rate of pay for overtime shall not be less than one and one-quarter times the regular rate". This may serve as guidance for sites on how to reward overtime. However, overtime might be compensated with time rather than money.  Payment in monetary means only: This does not apply to benefits such as insurances, medical plans or stock options that might be part of the overall payment package.  Living wage: Existing living wage estimates and guidance on how to estimate the living wage can be found on the website of the Global Living Wage Coalition (https://www.globallivingwage.org/). | | | | | |

## Criterion 4.9: Working time

The site complies with applicable law and industry standards on working time, overtime, public holidays and paid leave

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 4.9.1 | The site has a public policy stating that: | n/a |  | |  |
| a) | Effective fatigue management is key in determining working time, shift patterns and time off for workers; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Activities requiring overtime work are accepted voluntarily by workers; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | All workers are provided with appropriate time off for meals and breaks, demonstrating effective processes for fatigue management; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | The site provides all workers with paid annual leave of at least three working weeks after the worker reaches one year of service. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.9.2 | The site's contracts with employment and recruitment agencies and with other external providers of workers explicitly bind them to the provisions of the site's public policy on working time. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.9.3 | The site grants paid maternity leave of at least 12 weeks. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.9.4 | Where its activities allow this, the site offers flexi-time working and reduction of working time to care for children or other dependents. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Effective fatigue management: In line with ILO Convention C001 - Hours of Work (Industry), regular workweeks should not exceed 48 hours and workers should have at least one day off every seven days. However, agreements with worker organisations might stipulate something different and in the case of shift work or in exceptional circumstances (such as emergency situations or in case of fly-in, fly-out sites the weekly limitation of working hours might be exceeded as long as the site has effective processes in place to manage worker fatigue.  Maternity leave: Sites may go beyond this Requirement and offer some parental leave also to fathers. Maternity/parental leave may not necessarily be paid at 100% of the full salary, although this is considered best practice.  **Interpretation on 4.9.1.b):**  In some jurisdictions and under specific circumstances, the law might permit to require overtime from workers, for example in crisis situations.  Where sites can credibly demonstrate that this kind of required overtime has been agreed with unions and that it is imposed in exceptional circumstances only and in a way that takes account of the needs of vulnerable workers such as pregnant women, auditors might accept this as meeting requirement 4.9.1.b.  However, auditors should verify that the respective unions genuinely represent workers' interests and that they are not so-called 'paper unions'. Secondly, they should verify that the provision is only applied to 'specific circumstances' as defined by law and has not become something that is regularly applied to force workers to accept conditions that they would otherwise consider unacceptable. This might be verified through interviews with worker and union representatives.  **Interpretation on 4.9.1.d):**  Requirement 4.9.1.d has been framed around ILO Convention C132 - Holidays with Pay. The Convention says in Article 3: 'The holiday shall in no case be less than three working weeks for one year of service'. It also says in Article 6: 'Public and customary holidays, whether or not they fall during the annual holiday, shall not be counted as part of the minimum annual holiday with pay'.  To remain in line with this ILO Convention, the required 3 weeks of paid annual leave do not include paid federal holidays.    For workers that have been with the site for less than 1 year, it is acceptable that paid federal holidays count towards the 3 weeks.  **Interpretation on 4.9.3:**  It is acceptable if payment for granted maternity leave comes from the government rather than the site. | | | | | |

## Criterion 4.10: Worker well-being

The site promotes workers well-being through offers to reconcile work and private life, support the health of workers and advance their qualifications.

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| Reviewed evidence | Classification of conformity  *(mark one)* | | Auditor rationale  *(give clear reasons for your conformity classification)* |
| 4.10.1 | The site promotes worker well-being through the provision of measures that are aimed at reconciling work and private life, supporting the health of workers and advancing their qualifications. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 4.10.2 | The measures to promote worker well-being are available to all workers employed directly by the site. Workers are made aware of the measures to promote worker well-being and how to access them using languages, methods and channels that are understood and are easily accessible to them. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |

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| --- |
| **Guidance:**  Measures to promote worker well-being: Worker use of these measures must be optional rather than mandatory. The below measures might serve as examples. Note that sites are not expected to implement all of the listed measures. What the site offers to workers should be scaled to its size and context:   * Kindergartens at the workplace or agreements with nurseries to care for their children at regionally common or reduced fees; * Site canteen, restaurant cheques or other catering programmes, provided that the use of these offers do not lower worker remuneration; * Free or reduced cost transport to workplace; * Site-organised and paid-for cultural, sports or recreational activities for workers and their families; * Grants, loans or subsidies for education and training offered to workers and their families at regionally common or reduced terms; * Insurance or health programmes for workers and their families at regionally common or reduced rates; * Care programmes in case of severe family illness or accident, including life insurance policies at regionally common or reduced rates; * Worker pension plans at regionally common or reduced rates. |

[Return to Table of Content](#_top)

# Principle 5: Human Rights

## Criterion 5.1: Human rights due diligence

The sites act diligently to avoid infringing on the rights of others and to address adverse human rights impacts

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 5.1.1 | There is a public policy on the site's commitment to respect human rights. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 5.1.2 | In line with a specified procedure, the site has identified and assessed the human rights-related risks and adverse impacts that it causes or contributes to. The identification and assessment of human rights-related risks and impacts is updated on a regular basis and is informed by input from internal and external stakeholders. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 5.1.3 | Where it causes or contributes to human rights-related risks or adverse impacts, the site implements effective procedures to identify the root causes and to define actions to prevent and mitigate these risks and adverse impacts. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 5.1.4 | The actions to prevent and mitigate human rights-related risks and adverse impacts are communicated to workers and local communities using languages, methods and channels that are understood and are easily accessible to them. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 5.1.5 | The effectiveness of the site's procedures for preventing and mitigating human rights-related risks and adverse impacts is regularly verified by a competent independent party. Where the site has been the subject of controversy in relation to human rights impacts, verification is conducted by a competent third party. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |

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| **Mandatory guidance:**  Human rights cover a wide range of impacts on people. There are civil and political human rights, such as the right to life, equality before the law and freedom of expression. Economic, social and cultural rights, such as the rights to work, social security and education, are also part of human rights, just like collective rights, such as the rights to development and self-determination. (Adapted from the United Nations Office of the High Commissioner for Human Rights and from United for Human Rights)  An authoritative list of the core internationally recognised human rights is contained in the International Bill of Human Rights (which consists of the Universal Declaration of Human Rights, the International Covenant on Economic, Social and Cultural Rights, and the International Covenant on Civil and Political Rights and its two Optional Protocols), coupled with the principles concerning fundamental rights in the eight ILO core conventions as set out in the Declaration on Fundamental Principles and Rights at Work. These are the benchmarks against which social actors assess the human rights impacts of companies. The responsibility of companies to respect human rights is distinct from issues of legal liability and enforcement, which remain defined largely by national law provisions in relevant jurisdictions. (Adapted from the UN Guiding Principles on Business and Human Rights).  It should be noted that "the environment is never specifically mentioned in the Universal Declaration of Human Rights, yet if you deliberately dump toxic waste in someone's community or disproportionately exploit their natural resources without adequate consultation and compensation, clearly you are abusing their rights. Over the past 60 years, as our recognition of environmental degradation has grown so has our understanding that changes in the environment can have a significant impact on our ability to enjoy our human rights. In no other area is it so clear that the actions of nations, communities, businesses and individuals can so dramatically affect the rights of others - because damaging the environment can damage the rights of people, near and far, to a secure and healthy life." (Adapted from the United Nations Office of the High Commissioner for Human Rights, https://www.ohchr.org/EN/UDHR/Pages/CrossCuttingThemes.aspx) |

## Criterion 5.2: Security practices

The site does not support public or private security providers engaged in illegal practices and works to ensure that security providers respect human rights

|  |  |  |  |  |  |
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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 5.2.1 | The site has a public policy on security arrangements that commits to respect human rights and public freedoms. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 5.2.2 | In areas where there is a need for extensive measures to ensure security of people, property and assets, the site: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Analyses the options for managing risk and avoiding threat to life of workers and visitors to the site and uses armed security only when there is no reasonable alternative; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Consults with the government and with local communities on security arrangements; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Communicates key aspects of the security arrangements to local communities using languages, methods and channels that are understood and are easily accessible to them. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 5.2.3 | The site has documented procedures that cover: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Screening of security personnel and public and private security providers regarding their involvement in human rights abuses and illegal practices; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Regular training of security personnel and providers on their roles and appropriate behaviour; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Deployment of security personnel and providers and the individuals working for them; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Monitoring of security personnel and provider conduct; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | Investigation of allegations of human rights abuses by security providers. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Security arrangements and procedures: Sites may consult the Voluntary Principles on Security and Human Rights for guidance on security practices. While these have been developed for the extractives sector, they are relevant for other sectors as well. Practical guidance on how to implement the Voluntary Principles has been developed by ICMM, ICRC, IFC and IPIECA.  Extensive measures to ensure security: This refers to, for example, the use of armed security, apprehension of persons or the use of drones. | | | | | |

## Criterion 5.3: Conflict-affected and high-risk areas

The site does not contribute directly or indirectly to armed conflict, human rights, abuses or risk for workers and communities in conflict-affected or high-risk areas

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| **ID** | **Requirement** | **Auditor assessment** | | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale *(give clear reasons for your conformity classification)*** | |
| 5.3.1 | When operating in conflict-affected or high-risk areas, the site has a public policy confirming that it does not tolerate any direct or indirect support to non-state armed groups or their affiliates who: |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Illegally control mine sites, transportation routes and/or upstream actors in the supply chain; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Illegally tax or extort money or minerals at point of access to mine sites, along transportation routes or at points where minerals are traded; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Illegally tax or extort intermediaries, processing companies, export companies or international traders. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 5.3.2 | For conflict-affected or high-risk areas, the site has effective procedures in place to: |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Monitor its transactions, flows of funds and resources to ensure it is not directly or indirectly providing funding or support to non-state armed groups; |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Immediately suspend or discontinue engagement with business partners where the site has identified a reasonable risk that it is linked to any party providing direct or indirect support to non-state armed groups. |  | Opportunity for Improvement |  |  | |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Conflict-affected and high-risk areas: These are identified by the presence of armed conflict, widespread violence or other risks of harm to people. Armed conflict may take a variety of forms, such as a conflict of international or non-international character, which may involve two or more states, or may consist of wars of liberation, or insurgencies, civil wars, etc. High-risk areas may include areas of political instability or repression, institutional weakness, insecurity, collapse of civil infrastructure and widespread violence. Such areas are often characterised by widespread human rights abuses and violations of national or international law. (Adopted from the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas).  Sites are advised to use the OECD Due Diligence Guidance to identify if they are active in conflict-affected and high-risk areas. | | | | | |

[Return to Table of Content](#_top)

# Principle 6: Stakeholder Engagement and Communication

## Criterion 6.1: Stakeholder engagement

The site provides stakeholders with the means and opportunities to engage effectively on issues that matter to them

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 6.1.1 | The site has identified and maintains a list of stakeholders and their representatives who may be affected by or take an interest in the site's activities. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.1.2 | The site understands the interests and concerns of stakeholders and their representatives and, in particular, the legal and customary rights, interests and concerns of local communities. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.1.3 | The site consults with stakeholders and their representatives on accessible, culturally appropriate and inclusive methods of engaging them. The site undertakes efforts to understand and remove potential barriers to engagement, paying particular attention to marginalised groups. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.1.4 | The site has a plan in place for the effective engagement of stakeholders, scaled to its size and to the environmental and social risks and adverse impacts associated with its activities, including provisions to: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Engage with stakeholders on a regular basis and on issues that are relevant to them; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Engage in a manner that is free from manipulation, interference, coercion or intimidation; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Take account of stakeholders’ concerns in site management, in day-to-day business, in designing operational processes and in taking decisions that may affect them; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Provide information to stakeholders in a manner that is timely, easy to understand and comprehensive enough for them to assess the matter at hand; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | Provide feedback to stakeholders on how significant concerns have been taken into account by the site. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.1.5 | The site keeps records of the key activities it undertakes to implement its stakeholder engagement plan, of material inputs it receives and actions taken in response. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.1.6 | The site’s plan for engagement with stakeholders and the outcomes of engagement are regularly reviewed by senior management. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  The International Finance Corporation's (IFC) Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets can help companies plan and design their stakeholder engagement work.  Guidance Note 1 on the IFC Performance Standards on Environmental and Social Sustainability provides guidance on stakeholder engagement as well.  Another useful resource is the AA1000 AccountAbility Stakeholder Engagement Standard. It is a global standard that supports organisations in assessing, designing, implementing and communicating an integrated approach to stakeholder engagement.  Sites should pay particular attention to marginalised groups when planning and implementing their stakeholder engagement work. Depending on the site's context, marginalised groups may be indigenous peoples, minorities, women, etc. IFC Guidance Note 7 provides useful advice on how to engage with indigenous peoples.  Stakeholder engagement plan: The purpose of a stakeholder engagement plan is to describe a site's strategy and programme for engaging with stakeholders (adapted from IFC). Stakeholder engagement may be conducted by different departments of the site who can be the owners of their topic-specific engagement processes. As such, the stakeholder engagement plan does not have to be an integrated stand-alone document. What is important though is that stakeholder engagement happens in a coordinated fashion across departments to ensure that it is not counterproductive. The plan should contain indicators to measure the quality of stakeholder engagement and the impact of engagement. Examples for indicators include the number of meetings or engagement points with stakeholders, or the number of grievances raised and resolved. Further examples can be found in IFC Guidance Note 1, Annex C. | | | | | |

## Criterion 6.2: Grievances and remediation of adverse impacts

The site offers a grievance mechanism to address concerns and engages in remediation where it has caused or contributed to adverse impact

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 6.2.1 | The site has a documented and effective grievance mechanism that: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Is readily accessible to all stakeholders at no cost; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Includes an explanation of how the site will consider concerns or grievances that are raised, describing the process, responsibilities, contact details, approximate timeframe and how the party raising the issue will be informed of outcomes; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Gives due consideration to local customs, traditions, rules and legal systems; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Ensures confidentiality and can be used without fear of retaliation. Where this is legally acceptable, the mechanism can be used to register issues in an anonymous manner. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.2.2 | The site takes measures to ensure that stakeholders are aware of the grievance mechanism. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.2.3 | The site has documented procedures to: | n/a |  | |  |
| a) | Register any issues raised; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Determine a process to evaluate the issue and develop its response, in consultation with the party raising the concern, if that party is known; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Document its response in line with its defined process and provide its response to the party raising the concern, if that party is known. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.2.4 | Where concerns have been raised that the site has caused or contributed to adverse human rights impacts: | n/a |  | |  |
| a) | The concerns are reviewed to determine if they are indeed related to human rights; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Where this is the case, the process for evaluation and response includes the participation of a competent third party. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.2.5 | The site cooperates in legitimate processes for consideration of remediation, and if it is determined that the site has caused or contributed to adverse human rights, community health or safety impacts, the site provides for remediation and ceases or changes the activity that was responsible for the impact. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.2.6 | The site involves local communities in monitoring and verifying that commitments made in response to grievances are implemented appropriately. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  As the Requirement says, the grievance mechanism has to be accessible to all stakeholders. Where a stakeholder goes to the trouble of accessing and utilising one of the site's official grievance mechanism channels, their concern is worth consideration by the site. This means that the grievance mechanism has to cover all grievances submitted via the site's official channels. However, sites are not expected to respond to each and every negative post they receive via social media. Where a well-functioning community-based grievance mechanism exists, the site may build on that for its own purposes.  **Guidance:**  Sites have many environmental and social impacts and so concerns and potential grievances by stakeholders are to be expected. How a site responds to them or is perceived to be responding can have significant implications for business performance and for stakeholders. The site's grievance mechanism should be scaled to fit its level of risks and adverse impacts. It should flow from the site's broader stakeholder engagement process and business integrity principles and integrate the various elements of engagement. Having a good stakeholder engagement process in place can help prevent grievances from arising or from escalating to a level that can harm the site's performance.  Sites should consult the United Nations Guiding Principles on Business and Human Rights for the design of a grievance mechanism. Legitimate processes for remediation should be in line with the UN Guiding Principles.  The following guidelines might also be useful for sites: ISO 10002:2018 Quality management - Customer satisfaction -- Guidelines for complaints handling in organizations. | | | | | |

## Criterion 6.3: Communication to the public

The site communicates on material social and environmental issues in a consistent and balanced manner, using method that are appropriate to its stakeholder

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 6.3.1 | In consultation with stakeholders, the site has identified which social and environmental topics are material to them. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.3.2 | The site collects information on material topics and verifies the accuracy of that information in line with a documented process. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 6.3.3 | The site: | n/a |  | |  |
| a) | Regularly makes information on material topics available to the public at no cost and at intervals that are frequent and timely enough for stakeholders to act on the provided information; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Uses communication methods that are easily accessible to the public and that reflect prevailing cultural habits; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Includes positive and negative aspects of site performance, where relevant, in its communication; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Includes actions the site has taken or plans to take with respect to the identified material topics; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | Ensures comparability of information between reporting cycles. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  Reporting should be sufficiently detailed for stakeholders to understand the site's performance and should be done in a manner that is easy to understand, even for individuals with no technical knowledge of the subject at hand.  Easily accessible: For example, in areas with widely available internet access, online reporting is appropriate. In areas where this is not the case, more suitable forms of communication should be chosen. Sites should consider whether their forms of communication might disadvantage certain groups and ensure that these groups can access their information as well.  **Guidance:**  Note that some Principles of the ResponsibleSteel Standard contain specific reporting Requirements that are in addition to the generic Requirements outlines above.  Sites should consult recognised reporting frameworks provided by the Global Reporting Initiative (GRI), the International Integrated Reporting Council (IIRC) and others to understand what and how to communicate.  Recommended topics for reporting: The following is a list of topics that sites should consider covering in their public reporting.  In relation to Principle 1 and 2:   * Code of ethical conduct or similar * Corruption incidents and how they were addressed * The site's political engagement activities; * The total monetary value of political contributions made directly and indirectly, as well as recipients and beneficiaries of contributions; * The site's main social, environmental and governance risks and adverse impacts, associated key performance indicators and the site's performance in relation to these; * Status of implementing the site's responsible sourcing commitment; * Non-compliance incidents and how they were addressed; * Competence management activities.   In relation to Principle 3:   * Incidents of work-related injury, illness or death; * OH&S objectives and targets; * Performance in relation to OH&S leading and lagging indicators.   In relation to Principle 4:   * Incidents related to child labour, forced or compulsory labour or human trafficking and how they were addressed; * Incidents of discrimination and how they were addressed.   In relation to Principle 5:   * Adverse human rights impacts and how they were addressed; * Incidents in relation to non-state armed groups.   In relation to Principle 6:   * Activities related to the implementation of the stakeholder engagement plan; * Number and types of received grievances, the proportion of grievances that have been resolved to the complainant’s satisfaction; * Remedy processes the site is engaged in, including the nature of the complaints, the channels used to address them and the forms of remedy provided.   In relation to Principle 7:   * Measures to support community well-being; * Outcomes of any FPIC processes; * Where relevant, displacement and resettlement activities and provided compensation, as well as the results of completion audits of any Resettlement Action Plan and/or Livelihood Restoration Plan; * Where relevant, impacts on cultural heritage and how they were addressed.   In relation to Principle 8:   * Principle 8 contains specific reporting Requirements that sites have to meet.   In relation to Principle 9:   * NOx, SOx, ducted dust and any other emissions with adverse impacts; * Spills and leakage incidents and actions taken to mitigate and remedy them; * Actions taken to reduce emissions; * Progress or lack thereof in achieving emission reduction targets.   In relation to Principle 10:   * Impacts of the site's water use; * Quality of water discharge volumes by discharge point; * Progress or lack thereof in achieving water-related targets.   In relation to Principle 11:  Where they occur in the site's area of influence:   * Protected and community-conserved areas; * Ramsar sites; * Species on the IUCN Red List of Threatened Species (categorised as vulnerable, endangered or critically endangered); * Key Biodiversity Areas; * Natural and critical habitat, modified habitat with significant biodiversity value; * Outcomes of activities to manage the site's biodiversity and ecosystem services impacts; * Results of biodiversity monitoring.   In relation to Principle 12:   * Where relevant, planned or ongoing closure and decommissioning activities; * • Progress or lack thereof in implementing any closure and decommissioning plans. | | | | | |

[Return to Table of Content](#_top)

# **Principle 7: Local Communities**

## Criterion 7.1: Commitment to local communities

The site is committed to respecting the health and safety, and the legal and customary rights and interests of local communities and supports their social and economic well-being

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 7.1.1 | The site has a public commitment to: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Safeguard the legal and customary rights and interests, cultures, customs and values of local communities regarding lands, their use of natural resources and their livelihoods; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Maintain or improve the social and economic well-being of local communities affected by the site's operations. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.1.2 | In consultation with local community and local government representatives, the site has developed a plan to implement its commitment to maintaining or improving the social and economic well-being of local communities. The plan: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Outlines individual measures that the site's management will take or support; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Contains implementation timelines and the resources that will be made available for implementation; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Explains how the support will contribute to the self-sustainment of the institutions, initiatives or projects receiving the support; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Shows that consideration has been given to marginalised community members; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | Is made public in a clear and understandable manner, using channels that are easily accessible for local communities. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.1.3 | Together with local community and local government representatives, implementation of the plan is monitored and the plan is adjusted where needed to ensure it supports the social and economic well-being of the local communities affected by the site's operations. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  Local communities: Indigenous peoples are part of local communities. Consequently, this Principle includes consideration of indigenous peoples where they are affected by the site's activities, even if they are not singled out in the wording of the Requirements. The term “indigenous peoples” is understood as described in Article 1 of ILO Convention 169.  **Guidance:**  Note that Requirements 6.1.2. and 6.1.3 of Principle 6 (understanding the interests and concerns of stakeholders and identifying engagement methods) should inform how sites address Criterion 7.1.  Marginalised community members: People can be marginalised in many ways, with marginalisation embracing factors such as material deprivation, inadequate housing, low educational levels, high unemployment, poor health as well as discrimination and prejudice (Adapted from European Commission Briefing 'Cohesion policy and marginalised communities').  Plan for maintaining or improving community well-being: The plan is expected to be proportionate to the specific context. In communities that are highly developed and affluent, the plan might be less comprehensive or might be bound to specific events such as changes in production or permit processes.    Examples of measures (7.1.2.a.) are:   * Local procurement, local business and local employment creation and support, as well as local capacity building and skills development; * Financial or in-kind contributions, time or human resources support to local social service institutions (e.g. hospitals, schools, vocational centres) or to social, cultural, sports or environmental projects and activities; * Help in building community capacity to oversee and sustain projects or initiatives with the aim of making them self-sustaining.   Measures to maintain or improve the social and economic well-being of local communities should focus on enabling communities in the long-term rather than creating dependency on financial contributions by the site.  Resources for implementation: Note that these might be come from the site and from other parties such as the (local) government. The resources might be financial and other kinds of resources such as human resources, material, etc. | | | | | |

## Criterion 7.2: Free, Prior and Informed Consent (FPIC)

Where the sites considers activities that might affect the rights of indigenous people, the site obtains the peoples’ free and informed consent prior to undertaking such activities

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 7.2.1 | Where new activities or changes to existing activities are planned, the site and affected indigenous peoples agree and document a process for obtaining FPIC that is consistent with the indigenous peoples’ traditional decision-making processes while respecting internationally recognised human rights. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.2.2 | The site achieves FPIC prior to the approval of new activities or changes to existing activities that might affect the lands, natural resources or cultural heritage that are subject to traditional ownership or under customary use by indigenous peoples. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.2.3 | The outcomes of the negotiations and any agreements reached between the site and the affected indigenous peoples are documented and approved by the parties as outlined in the FPIC process and are made accessible to the members of the affected indigenous peoples. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  The Criterion on Free, Prior and Informed Consent applies to indigenous peoples, whether they are formally recognised as such or self-declared.  Free, prior, informed:   * Free implies that there is no coercion, intimidation or manipulation. * Prior implies that consent is to be sought sufficiently in advance of any authorisation or commencement of activities and respect is shown to time requirements of indigenous consultation/consensus processes. * Informed implies that information is provided that covers a range of aspects, including the nature, size, pace, reversibility and scope of any proposed project or activity; the purpose of the project as well as its duration; locality and areas affected; a preliminary assessment of the likely economic, social, cultural and environmental adverse impact, including potential risks; personnel likely to be involved in the execution of the project; and procedures the project may entail. This process may include the option of withholding consent. Consultation and participation are crucial components of a consent process.   (Adopted from Office of the United Nations High Commissioner for Human Rights)  Where FPIC was not obtained in the past, sites must demonstrate that they are operating in a manner that seeks to achieve the objectives of this Criterion. For example, sites may demonstrate that they have the free and informed consent of indigenous peoples for current operations by providing evidence of signed or otherwise verified agreements, or, in the absence of agreements, demonstrate that they have a process in place to respond to past and present concerns by indigenous peoples and to remedy and/or compensate for past impacts on indigenous peoples’ rights and interests. In alignment with this Criterion, such processes should have been agreed to by indigenous peoples and evidence should be provided that agreements are being fully implemented by the site.  This Criterion is not intended to reduce the primary responsibility of a State to consult with indigenous peoples in order to obtain their FPIC and protect their rights. However, in the absence of national laws, or in the exercise of their right to self-determination, some indigenous peoples may wish to engage with a site without State involvement.  Where national FPIC laws exist, the site shall abide by those laws. Where a State has established a legislative framework that requires or enables agreements between companies and indigenous communities, it may not be necessary for a site to run a parallel FPIC process based on this Criterion. It would, however, be necessary for a site to demonstrate to ResponsibleSteel auditors that the process whereby the agreement was reached conformed with the ResponsibleSteel FPIC requirements and met the general intent of the FPIC Criterion.  **Guidance:**  The site achieves FPIC prior to the approval of new activities or changes to existing activities: Given the diversity of situations and contexts there is no simple or universal way of carrying out an FPIC process. A lot of guidance has been developed on FPIC that may help sites apply the FPIC concept. For example, the FAO Manual 'Free Prior and Informed Consent. An indigenous peoples’ right and a good practice for local communities'. Not all indigenous communities might want to attach an FPIC 'label' to the process and to the agreement they reach with a site. Where this is the case, it is still crucial that the process and agreements were undertaken and reached in a free, prior and informed manner as described above. Note that FPIC does not necessarily require unanimity and may be achieved even when individuals or groups within the community explicitly disagree. | | | | | |

## Criterion 7.3: Cultural heritage

The site respects and safeguard cultural heritage within its area of influence

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 7.3.1 | The site has a documented procedure for identifying and dealing with cultural heritage sites and values in its area of influence that: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Has been developed in consultation with affected communities; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Follows the mitigation hierarchy of avoiding, minimising, restoring and offsetting adverse impacts from the site's activities; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Ensures continued access rights for affected communities to cultural sites or values. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.3.2 | The procedure is implemented in a collaborative effort by the site and affected communities. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.3.3 | Where critical cultural heritage exists in the site's area of influence, the site does not remove, significantly alter or damage it or instruct another party to do so, unless the affected communities request its removal for the purpose of protection and preservation. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.3.4 | Where cultural heritage sites or values of indigenous peoples may be impacted, the site applies the FPIC process (see Criterion 7.2). |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.3.5 | Where impact on cultural heritage occurs, the effectiveness of mitigation measures is monitored and actions to address any issues are defined and implemented by the site in cooperation with affected communities. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  'Cultural heritage' should be understood as defined by the Environmental and Social Performance Standards of the International Finance Corporation (IFC).  **Mandatory Guidance:**  Cultural heritage refers to (i) tangible forms of cultural heritage, such as tangible moveable or immovable objects, property, sites, structures, or groups of structures, having archaeological (prehistoric), paleontological, historical, cultural, artistic, and religious values; (ii) unique natural features or tangible objects that embody cultural values, such as sacred groves, rocks, lakes, and waterfalls; and (iii) certain instances of intangible forms of culture that are proposed to be used for commercial purposes, such as cultural knowledge, innovations, and practices of communities embodying traditional lifestyles.  Critical cultural heritage consists of one or both of the following types of cultural heritage: (i) the internationally recognised heritage of communities who use, or have used within living memory the cultural heritage for long-standing cultural purposes; or (ii) legally protected cultural heritage areas, including those proposed by host governments for such designation.  The Requirements of this Criterion apply to cultural heritage regardless of whether or not it has been legally protected or previously disturbed. (Adopted from IFC Performance Standard 8, IFC Performance Standards on Environmental and Social Sustainability) | | | | | |

## Criterion 7.4: Displacement and Resettlement

The site strives to avoid the need for displacement or resettlement but, where unavoidable, minimises its scope and the resulting adverse impacts.

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 7.4.1 | Where physical and economic displacement of communities is being considered, the site develops a procedure to: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Identify and assess the risks and potential adverse impacts of that displacement on affected community members; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Consider alternative operational set-ups to avoid or minimise physical and economic displacement; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Include affected communities in the process, paying particular attention to marginalised community members. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.4.2 | When physical displacement is unavoidable, the site develops a Resettlement and Compensation Action Plan in consultation with the affected communities. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.4.3 | When economic displacement is unavoidable, the site develops a Livelihood Restoration Plan in consultation with the affected communities. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.4.4 | The site applies the compensation standards outlined in the Resettlement and Compensation Action Plan and in the Livelihood Restoration Plan consistently to all affected community members and ensures that compensation is completed by the time of the displacement. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.4.5 | When indigenous peoples are involved, the site applies the FPIC process (see Criterion 7.2). |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.4.6 | The site monitors implementation of the Resettlement and Compensation Action Plan and the Livelihood Restoration Plan together with affected communities. Where necessary, the site modifies Plan implementation to ensure that livelihoods, livelihood security and living standards are improved or restored. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 7.4.7 | The site commissions a competent third party to conduct a completion audit of the Resettlement Action Plan and Livelihood Restoration Plan to verify that mitigation measures have been adequately implemented and communicates the audit results to the public. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  Resettlement and Compensation Action Plan and Livelihood Restoration Plan: These are to be developed in line with the IFC Performance Standard 5.  Note that the Requirements of Criterion 7.4 apply to Displacement and Resettlement being considered or taking place in the ten years prior to applying for ResponsibleSteel certification. Where displacement and/or resettlement occurred earlier than that, the site is not expected to meet all the Requirements of this Criterion. However, where this is the case, the site must have undertaken an evaluation of the outcomes of displacement and resettlement activities and, if necessary, take steps to restore or improve the living conditions and livelihoods of those affected.  **Guidance:**  Existing sites will usually not lead to physical displacement, so this Criterion may only be partially relevant or may not be relevant at all. Note that Principle 12 covers site Closure and Decommissioning, which may be related to economic displacement covered here under Principle 7. | | | | | |

[Return to Table of Content](#_top)

# Principle 8. Climate Change and Greenhouse Gas Emissions

## Criterion 8.1: Corporate commitment to achieve the goals of the Paris Agreement

The site’s corporate owner has defined and is implementing a long- and medium-term strategy to reduce its greenhouse gas (GHG) emissions to levels that are compatible with the achievement of the goals of the Paris Agreement, with an aspiration to achieve net-zero GHG emissions through work with policy makers and others.

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 8.1.1 | The site’s corporate owner ascribes publicly to a credible, long-term emissions reduction pathway for the steel industry as a whole that is compatible with the achievement of the goals of the Paris Agreement, and which includes: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Explicit projections of long-term steel consumption; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Explicit projections for the production and use of primary as well as recycled steel, and the associated GHG emissions; and |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Explicit assumptions in relation to the public policy and other key conditions on which it is based. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.1.2 | The site’s corporate owner has defined and made public both a long-term emissions reduction pathway and a medium-term, quantitative, science-based GHG emissions target or set of targets for the corporation as a whole. The corporation's emissions reduction pathway and medium-term target(s) are compatible with the long-term emissions reduction pathway it ascribes to for the steel industry, and the projections for the production of primary as well as recycled steel as applicable to its own portfolio of sites. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.1.3 | The site’s corporate owner has a credible, documented strategy for the achievement of its corporate level GHG emissions target(s), outlining the timeline for change across its portfolio of sites and identifying the conditions that would need to be in place for the successful implementation of the strategy, and the specific actions, including policy engagement, it is committed to take to help bring these conditions about. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.1.4 | The corporate owner reviews the implementation of its strategy on a regular basis, documents the findings of the review, and updates the strategy to take account of the review’s findings. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.1.5 | The review shows that the corporate owner is implementing its strategy effectively over time. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  8.1.1: An emissions reduction pathway for the steel industry that is compatible with the goals of the Paris Agreement is one which limits the global average temperature to well below 2°C above pre-industrial levels and supports efforts to limit the temperature increase to 1.5°C above pre-industrial levels.  8.1.1: Long-term in this context means a time horizon of 15 to 35 years.  8.1.2: Medium-term in this context means a time horizon between 5 and 15 years from the present time.  8.1.1, 8.1.2: Medium- or long-term refers to the time measured from the start of the relevant implementation period. For example, a ten-year (medium-term) target set seven years ago is still valid even if it has only three years still to run. However, if a medium-term target expires during the period of validity of a certificate, this would create a non-conformity with the Requirement of the Standard unless it is replaced by an updated medium-term target.  8.1.1: ‘Credible' here means that the pathway has the support of recognised organisations such as SBTi, and contains milestones, projections, reflections on implications, etc.  8.1.2: A science-based target (SBT) validated by the SBTi (Science Based Targets initiative) would be sufficient to meet the Requirements of 8.1.2. Other quantitative, scientifically justified targets (or sets of targets, for example for separate processes) may also be recognised, as long as the ambition, quality and coverage of the target is comparable.  **Guidance:**  8.1.3: Specific actions may also include investments at the corporate or site levels, building of pilot facilities to develop, test and scale up new technologies, proposition to seek funding through ‘green bonds’, general commitments to upgrade sites over a period of time, etc.  8.1.3: Policy engagement: For example, if a corporate owner is lobbying for a carbon tax, what are the actions the corporate owner is taking with politics to achieve this? Supporting evidence for this requirement may be meeting minutes with politicians, or evidence of engagement in consultations on policy discussions. | | | | | |

## Criterion 8.2: Corporate Climate Related Financial Disclosure

The site’s corporate owner is implementing the recommendations of the Task Force on Climate Related Financial Disclosures (FCFD)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 8.2.1 | The site’s corporate owner has allocated responsibility for oversight of climate-related risk and opportunity to at least one board committee, with an understanding that material climate-related risks and opportunities that impact business strategy will need to be discussed at the full board level. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.2.2 | The site’s corporate owner has a documented commitment in place to implement the core recommendations of the Task Force on Climate-Related Financial Disclosures (TCFD) according to its four pillars - Governance, Strategy, Risk Management, and Metrics and Targets - in accordance with applicable TCFD guidance, within three years of the date of application for the site’s certification. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  Implementation in accordance with applicable TCFD guidance requires that the corporate owner makes the recommended disclosures associated with the four core recommendations.  The ResponsibleSteel period of certification is three years. Sites owned by corporations which have not implemented the TCFD recommendations within three years of the date on which their first site applied for certification would not be issued with any further certificates. The failure would also jeopardise the maintenance of any other current site certifications of the corporate owner.  **Guidance:**  Task Force on Climate-Related Financial Disclosures (TCFD): Final Report: Recommendations of the Task Force on Climate-Related Financial Disclosures, June 2017.  TCFD guidance: Implementing the Recommendations of the Task Force on Climate-Related Financial Disclosures, June 2017. | | | | | |

## Criterion 8.3: Site level GHG emissions measurement and intensity calculation

The site measures and records key aspects of its GHG emissions in accordance with a recognised international or regional standard.

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| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 8.3.1 | There is a system in place to estimate the total GHG emissions (CO2 e) associated with materials imported to the site from outside the site boundary. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.3.2 | The total direct GHG (CO2 e) or CO2 emissions for the site are measured, recorded and verified in accordance with the requirements of an applicable, recognised international and/or regional standard. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.3.3 | For sites that produce crude steel, the GHG emissions intensity for the crude steel produced (metric tonnes of CO2 e/ metric tonne crude steel) is calculated in accordance with the requirements of an applicable, recognised international and/or regional standard. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  8.3.1: The system to assess upstream emissions should include a screening of imported materials to identify those that may be associated with significant GHG emissions such as mined materials or hydrogen where relevant.  As a minimum, the site must consider the GHG emissions associated with the materials listed in ISO 14404-1:2013 Table 2 and other materials that may be associated with significant GHG emissions. A material’s GHG emissions are not considered to be significant if there is evidence that they are likely to constitute less than 5% of the total GHG emissions associated with all of the materials imported to the site from outside the site boundary.  The estimate may make use of emission factors such as those referenced in ISO14404 or from other secondary sources where no other reliable data are available. Where such secondary data or emission factors are used, these data must be referenced in the public report specified in 8.5.1 below. More resources should be committed to estimating the more significant sources of emissions, for example through the collection of emissions data from suppliers.  In cases where pig iron or steel (other than scrap metal) itself is imported to the site from upstream sites, the associated GHG emissions must be accounted for using primary data specific to the site of production and must not be based on generic or secondary sources of data. The site must ensure that GHG emissions associated with imported pig iron or steel are clearly and explicitly included in the calculations of GHG emissions and are included in the calculation of GHG emissions intensity in 8.3.3.  8.3.2: In cases where pig iron or steel (other than scrap metal) itself is imported to the site from upstream sites, the associated GHG emissions must be accounted for using primary data specific to the site of production and must not be based on generic or secondary sources of data. The site must ensure that GHG emissions associated with imported pig iron or steel are clearly and explicitly included in the calculations of GHG emissions and are included in the calculation of GHG emissions intensity in 8.3.3.  ResponsibleSteel currently recognises the following international or regional standards:   * The GHG Protocol and EN 19694 (parts as applicable) for measurement of GHG emissions by steelmaking and other sites. * • ISO 14404 (parts as applicable) for the measurement of CO2 emissions by steelmaking sites, as applicable. | | | | | |

## Criterion 8.4: Site-level GHG reduction targets and planning

The is a medium-term GHG emissions target and plan for the site that is aligned with the achievement of the corporate owner’s corporate level GHG emissions target(s)

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 8.4.1 | There is a time-specific, medium-term target for the GHG emissions for the site or defined portfolio of sites that is at or below the trajectory required for the corporate owner to achieve its medium-term GHG emissions target for all of its sites, as specified under Requirement 8.1.2.  For steelmaking sites, the target is defined in terms of the GHG emissions intensity of crude steel production (metric tonnes of CO2 equivalent/ metric tonne crude steel) calculated in accordance with the international or regional standard as specified in 8.3.3. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.4.2 | There is a time-specific, medium-term target to reduce the net GHG emissions associated with the site’s use of imported electricity, where the GHG emissions associated with the use of imported electricity are significant. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.4.3 | There are plans in place, approved by senior management, to achieve the site’s GHG emissions target(s) within the specified timelines as defined in 8.4.1 and 8.4.2. The plans include: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Time-specific milestones for each target from present through to the achievement of the medium-term target levels; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Explicit quantification of the site’s reduction of direct GHG (CO2 e) or CO2 emissions required to achieve the target(s) specified under 8.4.1.; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Specification of the international or regional standard that will be used to measure progress towards the target, and a description of the elements that are included or excluded from consideration (e.g. whether upstream scope 3 emissions are considered, and how any emissions associated with the site’s products, co-products, by-products or waste are to be taken into account); |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Consideration of the technology, equipment, management system changes or other options to achieve the targets over time; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | Consideration of the technology, equipment, management system changes or other options to achieve the targets over time; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| f) | Consideration of the proposed mechanism for financing the proposed technology or equipment; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| g) | Consideration of external conditions that will need to be in place for the plan to be successfully implemented, or conditions that might prevent successful implementation. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.4.4 | Progress on the implementation of the plans is monitored and reported to the site’s board or equivalent oversight body on a regular basis, including an explanation of relevant issues such as changes to production in response to market conditions, closures for repairs or other significant factors, and the plans are updated if appropriate. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.4.5 | The medium-term targets for the site or defined portfolio of sites, as specified under Requirements 8.4.1 and 8.4.2 and progress towards achieving these targets are reported publicly and on a regular basis. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  8.4.1: The site-level target must itself be below the average trajectory required to achieve the corporate owner’s overall corporate level target, OR, if this is not the case, the corporate owner must show that its defined portfolio of sites meets the Requirements of 8.4.1 to 8.4.5, and so demonstrate that in combination its sites are on track to achieve its corporate level target.  The medium-term plan should cover activities planned for the following 5 to 15 years, in accordance with the site’s financial and operational planning cycle. Longer term planning is also compatible with this guidance, so long as the time-specific milestones provide for effective monitoring in the medium term.  8.4.2: This Requirement could be met, for example, through targets for: the purchase of electricity from low or zero carbon sources, carbon offsets, power purchase agreements, virtual power purchase agreements, or green tariffs paid in relation to the site's sourcing of electricity. GHG reductions achieved through the use of biofuels that do not meet recognised sustainability standards shall not be recognised as contributing to the achievement of the net GHG reduction targets associated with the use of imported electricity. Recognised sustainability standards for biofuels include the voluntary schemes recognised as meeting the sustainability criteria of the European Union’s Renewable Energy Directive (EU) 2018/2001 (see list of approved Voluntary Schemes).  Where a site introduces a new technology that has a major impact on reducing its direct emissions but results in an increase in the amount of imported electricity, the baseline for reducing net emissions for the imported electricity is set when the new technology is introduced.  “Imported electricity” means imported from outside the site to the site. GHG emissions associated with imported electricity are considered significant if they represent more than 10% of the site’s total (direct and indirect) GHG emissions.  Where imported electricity is generated from the use of the site’s own co- or by-products (e.g. process gases) whose GHG emissions have already been accounted for under 8.4.1, the GHG emissions for this imported electricity are considered to be zero for the purpose of calculating net GHG emissions under 8.4.2.  Where offsets are used the offsets must be consistent with a specified, recognised international or national standard or regulation and must be publicly reported (see 8.5.1). The implication is that sites would have broad freedom to select their own approach to reducing net GHG emissions, and deciding what level of verification might be required to support their approach, so long as the approach is consistent with a recognised standard. Examples of recognised standards include:   * ART-TREES Standard, operational from 2020 under the emergent Forest Finance Facility; * The National Carbon Offset Standard in Australia   Low-carbon energy procurement must be consistent with a specified, recognised international or national standard or regulation and must be publicly reported (see 8.5.1). Examples of recognised standards include:   * The quality criteria set in the GHG Protocol Scope 2 guidance; * The RE100 credible claims guidance.   The medium-term plan should cover activities planned for the following 5 to 15 years, in accordance with the site’s financial and operational planning cycle. Longer term planning is also compatible with this guidance, so long as the time-specific milestones provide for effective monitoring in the medium term.  8.4.3: The content of the site’s plans are considered to be commercially confidential and shall not be disclosed by ResponsibleSteel or any auditors acting to verify compliance with the Requirements of the ResponsibleSteel Standard. The specified medium- to long-term targets and progress towards their achievement would, however, be reported. | | | | | |

## Criterion 8.5: Site-level GHG or CO2 emissions reporting and disclosure

Key aspects of the site’s GHG or CO2 emissions measurement are publicly reported on an annual basis.

|  |  |  |  |  |  |
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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 8.5.1 | The following information is publicly reported on an annual basis for the site or defined portfolio of sites, as specified under Requirements 8.4.1 and 8.4.2: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Estimate of the aggregated GHG emissions (CO2 e) for materials imported to the site from outside the site boundary, and an explanation of the basis for the estimate; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | The GHG emissions (CO2 e) for heat and steam imported to the site(s) from outside the site boundary; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | The site’s total GHG emissions associated with the use of electricity imported to the site(s); |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Any arrangements to offset the GHG emissions of the site(s), including a description of the amount and nature of such offsets; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | Any CO2 or GHG (CO2 e) emissions that are considered to be ‘credit emissions’ for the site(s); |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| f) | The total GHG (CO2 e) or CO2 emissions of the site(s) calculated in accordance with the Requirements of Criterion 8.3. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| g) | The total GHG emissions intensity of the crude steel produced at the site(s) (metric tonnes of CO2 e/ metric tonne crude steel), as determined in Criterion 8.3. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| h) | The basis for the GHG emissions intensity measurement of the site(s), including:  • The international or regional standard(s) used;  • An explanation of variations in figures reported using different measurement standards if more than one standard has been used by the site and different figures have been reported for different purposes;  • An explanation of whether the reported figure for emissions intensity includes or excludes GHG emissions associated with raw materials imported to the site(s) from outside the site boundary;  • An explanation for the combination of GHG emissions measurements and CO2 emissions measurements, where applicable. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 8.5.1  Recommended best practice is that GHG emissions should be publicly disclosed for each certified site.  **Mandatory Guidance for all of 8.5.1.:**  Reporting should include, for example, a description of the purchase of carbon offsets (including the source and quantity), power purchase agreements, virtual power purchase agreements, or green tariffs the site pays in relation to its sourcing of electricity.  8.5.1 a)  **Mandatory Guidance:**  The reporting of GHG emissions associated with the materials imported to the site(s) from outside the site boundary must include an explanation of the basis for the calculation, including the use of emission factors or other secondary data where used. The Requirement specifies that reporting is for the aggregated GHG emissions for raw materials, but the determination of this figure will necessarily require that data for the emissions associated with specific types (and, potentially, separate supplies) of raw material has been used to carry out the calculation.  The figure for aggregated GHG emissions of raw material should specify what materials have been included and excluded from the calculation.  8.5.1 c)  **Mandatory Guidance:**  The total GHG emissions associated with use of imported electricity by the site(s) will be the product of the amount of imported electricity multiplied by its carbon intensity. The basis for the calculation will be reviewed by the auditing body, but for reasons of commercial confidentiality only the total GHG emissions need to be reported publicly.  8.5.1 d)  **Guidance:**  This Standard does not specify Requirements in relation to the quality or verification of claimed offsets but is intended to create a public record of such claims, as well as to provide an opportunity for certified sites to communicate their initiatives in this regard. | | | | | |

[Return to Table of Content](#_top)

# Principle 9: Noise, Emissions, Effluents and Waste

## Criterion 9.1: Noise and vibration

The site implements plans to prevent and reduce adverse impacts from noise and vibration on communities or the environment

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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 9.1.1 | The site is committed to prevent and continually reduce noise and vibration. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.1.2 | The site has an ongoing monitoring programme that covers facilities and plants owned or fully or partly controlled by the site and that establishes baseline values that allow the identification of changes to noise and vibration levels. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.1.3 | The site: | n/a |  | |  |
| a) | Reviews its methods of operation and maintenance and identifies potential opportunities to prevent or reduce noise and vibration; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Analyses the feasibility of the identified opportunities and provides a clear rationale for why prevention and reduction opportunities are taken or not; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.1.4 | Based on its analyses in 9.1.3.b, the site defines target levels and time-bound action plans to prevent and reduce noise and vibration. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.1.5 | The site tracks its performance against the noise and vibration action plans. Where progress in achieving the targeted noise and vibration levels is lacking, the site revises and amends its reduction plans. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.1.6 | The effectiveness of the site's noise and vibration reduction plans is regularly verified by a competent party. Where the site has been the subject of controversy in relation to noise and vibration, it implements a mitigation plan. The effectiveness of the plan is verified by a competent third party. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  The Criteria in the Noise, Emissions, Effluents and Waste Principle are not applicable to office and other administrative buildings of a site since their impacts related to the Criteria in this Principle can be considered non-material.  Potential opportunities to prevent or reduce noise and vibration: Sites are expected to identify opportunities and define targets beyond regulatory requirements.  **Guidance:**  Baseline (9.1.2): This refers to a baseline under business as usual circumstances.  Opportunities may include technological adjustments or investments, changes of practice, or other approaches. Sites should identify and consider relevant guidance such as the European Union Best Available Techniques (BAT) conclusions for iron and steel production or the IFC Environmental, Health, and Safety (EHS) Guidelines, General EHS Guidelines, Environmental, Noise Management. Note that the IFC guidelines address noise beyond the property boundary of facilities.  **Interpretation on 9.1:**  ResponsibleSteel understands that vibration related to steel sites and their operations might not pose an issue to communities.  Sites are expected to document how they have considered potential adverse impacts of machinery-related and groundborne vibration on communities. Assuming no adverse impacts have been identified or have been raised as issues by stakeholders or regulators, sites might be able to justify why they provide a minimal response to requirements 9.1.1. to 9.1.6 in relation to vibration.  Sites are expected to address the potential health and safety impacts of machine vibration on workers though.  Ultimately, auditors must be satisfied that the intent of Criterion 9.1 in relation to vibration is met. | | | | | |

## Criterion 9.2: Emissions to air

The site implements plans to prevent and reduce emissions to air that have adverse impacts on communities or the environment

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| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 9.2.1 | The site is committed to prevent and continually reduce adverse emissions to air. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.2.2 | For emissions to air with adverse impacts on communities or the environment, the site has an ongoing programme or is taking part in a regional programme that monitors its point source emissions from facilities and plants owned or fully or partly controlled by the site and that establishes baseline values that allow the identification of changes to air emission levels. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.2.3 | The site: | n/a |  | |  |
| a) | Reviews its methods of operation and maintenance and identifies potential opportunities to prevent or reduce point-source, diffuse and fugitive adverse emissions to air; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Analyses the feasibility of the identified opportunities and provides a clear rationale for why prevention and reduction opportunities are taken or not; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.2.4 | Based on its analyses in 9.2.3.b, the site: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Defines target levels and time-bound plans to prevent and reduce point-source adverse emissions to air; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Implements measures to prevent and reduce diffuse and fugitive adverse emissions to air. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.2.5 | The site tracks its performance against the air emissions reduction plans. Where progress in achieving the targeted air emissions levels is lacking, the site revises and amends its reduction plans. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.2.6 | The effectiveness of the site's air emissions reduction plans is regularly verified by a competent party. Where the site has been the subject of controversy in relation to air emissions, it implements a mitigation plan. The effectiveness of the plan is verified by a competent third party. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  Adverse emissions to air: This refers to the emissions identified in the European Union's (EU) Air Quality Standards as being known to have adverse impacts. Sites are required to measure and monitor these emissions where they occur as a result of the site's activities. Note that only the listed pollutants must be monitored. The concentrations given in the table are not applicable since they apply to ambient air.  Note that monitoring adverse emissions to air from fugitive and diffuse sources is acknowledged to be challenging. The effort that would have to be put into an effective monitoring system is considered to outweigh the benefits of monitoring. For this reason, ResponsibleSteel does not require sites to monitor fugitive and diffuse adverse emissions.  However, sites must demonstrate real effort in preventing and reducing these emissions as they affect local communities and are often not covered well by permits.  **Guidance:**  Diffuse and fugitive emissions: These occur, for example, in the handling of materials, storage, conveying, charging, coking, pushing, quenching and grinding. They also include drifts from piles, slag heaps and other surfaces, turbulence caused by traffic, emissions from roofs and openings in building. Diffuse and fugitive emissions can be solid, liquid or gaseous and are caused, in particular, by leaks of open processes, displacement losses and diffusion and evaporation processes.  Reduction of diffuse and fugitive emissions can be achieved through structural and operational measures such as the enclosing of selected plant components, covering stockpiles, installing windbreaks or the regular cleaning of driveways.  Emissions of dust (including PM10 and PM 2.5) can be prevented by, for example:   * Minimising charging emissions (e.g. smokeless charging or sequential charging) * Sealing of openings * Minimising leakage * De-dusting * Fabric filters * Electrostatic precipitator * General good maintenance | | | | | |

## Criterion 9.3: Spills and leakage

The site works to effectively prevent, detect, mitigate and remedy spills and leakage that cause harm to communities or the environment.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 9.3.1 | The site implements a preventive maintenance programme aimed at preventing spills and leakage. The programme includes: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Identification of structures, equipment and systems to which the programme applies; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Regular inspections of identified structures, equipment and systems; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Defines targets and time-bound plans to reduce the amount of waste that is landfilled on-site or off-site; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Applies a policy that prohibits the discharge of production residues to riverine, submarine and lake environments. Only where riverine, submarine and lake discharge is socially and environmentally the best option, does the policy grant an exception. These exceptional circumstances are documented and reasoned. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | Keeping of preventive maintenance records. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.3.2 | The site has documented procedures for managing the impacts from spills and leakage. The procedures define: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | How the impact from spills and leakage is to be analysed and assessed; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | How mitigation and remediation of impacts from spills and leakage will be managed; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | How mitigation and remediation progress is quantified where spill or leakage occurred. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.3.3 | The effectiveness of the site's prevention programme and management procedures for spills and leakage is regularly verified by a competent party. Where the site has been the subject of controversy in relation to spills and leakage, it implements a mitigation plan. The effectiveness of the plan is verified by a competent third party. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |

## Criterion 9.4: Waste, by-product and production residue management

The site applies the waste management hierarchy to reduce its impacts from waste and residues and takes account of full life cycle impacts to find the waste management option with the least environmental impact.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 9.4.1 | The site implements a waste and production residues management plan that applies the waste management hierarchy informed by Life Cycle Thinking (LCT) to reduce adverse impacts from waste, by-products and production residues on humans and the environment. As part of its waste management strategy, the site: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Characterises accruing waste and production residues to identify their potential for waste avoidance and recovery, as well the disposal routes that pose the least risk and impact to humans and the environment for each type of accruing waste and production residue; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Outlines measures for avoiding and mitigating risks and impacts from generation, storage, handling, treatment, transportation and disposal of the different types of accruing waste and production residues; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Defines targets and time-bound plans to reduce the amount of waste that is landfilled on-site or off-site; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Applies a policy that prohibits the discharge of production residues to riverine, submarine and lake environments. Only where riverine, submarine and lake discharge is socially and environmentally the best option, does the policy grant an exception. These exceptional circumstances are documented and reasoned. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.4.2 | The site addresses risks and impacts on humans and the environment associated with the off-site movement and transportation of its accrued waste and production residues. Where the site contracts third parties to conduct these activities on the site's behalf, the site takes action to ensure that risks and impacts on humans and the environment are addressed. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.4.3 | When third parties conduct hazardous waste and production residues storage, transportation and disposal on behalf of the site, the site requires chain of custody and ownership documentation to the final destination. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.4.4 | Any on-site or off-site storage areas that the site uses: | n/a |  | |  |
| a) | Effectively prevent the release of production residues and leachates to the environment, considering potentially catastrophic events such as floods and earthquakes; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Are routinely checked and controlled by competent parties to ensure their integrity. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.4.5 | Where the site practices waste and production residues storage, it has established a timeline and a roadmap to phase this out in the mid-term. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.4.6 | The site tracks its performance on managing waste and production residues and has evidence of effective strategy implementation. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 9.4.7 | Effective implementation of the site's waste and residues management plan is regularly verified by a competent party. Where the site has been the subject of controversy in relation to waste and production residues, it implements a mitigation plan. The effectiveness of the plan is verified by a competent third party. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  Hazardous and non-hazardous waste: These may be differentiated using national legislation, the European Union's 'List of Waste' or the US EPA Resource Conservation and Recovery Act (RCRA) Regulations. For hazardous waste transported by or on behalf of the site, the 'Basel Convention' shall be used.  Characterise accruing waste and production residue: Characterisation should include the source, quantity, hazardous/non-hazardous, production rate, composition, separation, treatment, storage, transport mode and route, destination and method of disposal.  Cyanide: In blast furnaces, small amounts of cyanides are produced. The oxides, carbonates and silicates of the alkali metals contained in the coke and the acid additives are reduced and evaporated in the blast furnace. Sodium and potassium vapour react with nitrogen from the injected air and carbon from the coke to form sodium cyanide and potassium cyanide. Where relevant, the site should take account of the International Cyanide Management Code or other relevant best practice to manage cyanide. The International Cyanide Management Code focuses on the safe management of cyanide that is produced, transported and used for the recovery of gold and silver, and on mill tailings and leach solutions. However, the standards of practice described in the Code are applicable to other sectors as well.  **Guidance:**  Measures for improved waste and production residue management: This includes technical measures, operational, production and management controls.  Risks associated with off-site movement and transportation of waste and production residues: These may stem from routes taken, proximity to populated areas, use of sealed containers, regulation regarding transportation of hazardous materials. | | | | | |

[Return to Table of Content](#_top)

# Principle 10: Water Stewardship

## Criterion 10.1: Water-related context

The site understands the current and future water-related needs and dynamics in its area of influence

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 10.1.1 | The site’s water-related area of influence is defined, taking account of the site’s operational boundaries, the sources it draws water from, the locations it returns discharges to, and the catchment(s) it affects and relies on. The site’s area of influence is reviewed on a regular basis. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 10.1.2 | The site contributes to integrated water resource management and policies by engaging in water governance fora. Where these do not exist and where water issues are relevant in the site's area of influence, the site initiates such a forum or engages in other similar platforms. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 10.1.3 | The site works with relevant stakeholders in its area of influence to identify and understand current and potential future uses of water and shared water challenges of the catchment area. The analysis is updated on a regular basis and considers: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Seasonal and temporal variability in quantity and quality of surface and subsurface waters; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Climate change projections; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Anticipated population growth; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Natural and built water-related infrastructure; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | The presence and location of scarce or stressed water sources. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Understanding shared water challenges and risk: The following tools might be useful for sites:  • 'Aqueduct' of the World Resources Institute  • WWF's 'Water Risk Filter'  • 'India Water Tool' developed and maintained by a coalition of companies and organisations  An introductory webinar organised by the World Business Council for Sustainable Development (WBCSD) explains what these tools offer and how they differ. A report on these tools is scheduled for publication in late 2019 and will be available at https://waterriskfilter.panda.org/en/Explore/WaterRiskReports.  The Alliance for Water Stewardship's standard and guidance are recommended resources for sites to become familiar with and apply the concept of water stewardship. | | | | | |

## Criterion 10.2: Water balance and emissions

The site measures the flow of water in and out of its site and the quality of its water withdrawals and discharges

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 10.2.1 | The locations of the water sources and ultimate water sources that the site draws water from and the locations of the water bodies and ultimate water bodies to which the site returns its discharges are recorded and updated as needed. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 10.2.2 | The site maintains a water balance for its site and calculates its efficiency of water use. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 10.2.3 | The site monitors and keeps records of water emissions. Sampling of water: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Is sufficiently frequent to detect and allow management to respond effectively to significant changes; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Is timed so that it takes account of seasonal fluctuations, storm and extreme events that may cause changes in water characteristics; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Always occurs at the same specified points upstream of its water sources and downstream of a wastewater discharge point; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Considers relevant physical, chemical and biological aspects of water quality; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | Establishes thresholds aimed at providing early warning of negative changes in water characteristics. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 10.2.4 | In the absence of applicable regulatory standards, the site adopts and makes publicly available specific water quality objectives for the site, that have been established using credible methodologies and that are in line with prevailing water quality standards. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Credible methodologies or prevailing water quality standards: Examples are the AWS International Water Stewardship Standard, Version 2.0, or the United States Environmental Protection Agency (US EPA) National Recommended Water Quality Criteria. | | | | | |

## Criterion 10.3: Water related adverse impact

The site evaluates its water related adverse impacts on the local environment and communities

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** | |
| 10.3.1 | The site has identified and assessed its current and potential future water-related environmental and social adverse impacts. The assessment: |  | Opportunity for Improvement |  | |  |
| Conformity |  | |
| Minor non-conformity |  | |
| Major non-conformity |  | |
| Not applicable |  | |
| a) | Considers the quantity of water use and quality of water discharges; |  | Opportunity for Improvement |  | |  |
| Conformity |  | |
| Minor non-conformity |  | |
| Major non-conformity |  | |
| Not applicable |  | |
| b) | Considers extreme events such as flooding or drought; |  | Opportunity for Improvement |  | |  |
| Conformity |  | |
| Minor non-conformity |  | |
| Major non-conformity |  | |
| Not applicable |  | |
| c) | Takes account of the views of stakeholders; |  | Opportunity for Improvement |  | |  |
| Conformity |  | |
| Minor non-conformity |  | |
| Major non-conformity |  | |
| Not applicable |  | |
| d) | Is updated regularly and in the case of significant changes to the site's operations. |  | Opportunity for Improvement |  | |  |
| Conformity |  | |
| Minor non-conformity |  | |
| Major non-conformity |  | |
| Not applicable |  | |
| 10.3.2 | The site encourages other commercial water users in its area of influence to conduct their own environmental and social adverse impact assessments. |  | Opportunity for Improvement |  | |  |
| Conformity |  | |
| Minor non-conformity |  | |
| Major non-conformity |  | |
| Not applicable |  | |
| 10.3.3 | The site uses its best efforts to combine the findings of its own and other commercial water users’ environmental and social adverse impact assessment to understand cumulative impacts in its area of influence. |  | Opportunity for Improvement |  | |  |
| Conformity |  | |
| Minor non-conformity |  | |
| Major non-conformity |  | |
| Not applicable |  | |
| **Guidance:**  Water-related impacts: The standard of the Water Stewardship Alliance (AWS) and its guidance is a recommended source to consult on water-related impacts. | | | | | | |

## Criterion 10.4: Managing water issues

The site addresses water-related challenges and adverse impacts in its area of influence

|  |  |  |  |  |  |
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| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 10.4.1 | The site integrates water considerations in its business planning. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 10.4.2 | The site engages stakeholders in its area of influence in the development and maintenance of a water stewardship plan. The plan: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Sets time-bound targets in relation to water use efficiency and quality that reflect best practice values for the site’s region and type of operation or, where these do not exist, reflect prevailing standards or guidelines; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Sets time-bound targets that minimise any adverse impacts on communities or the environment resulting from the discharges of water from the site; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Outlines how the site will contribute to addressing shared water challenges of the catchment area; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Outlines site measures to relieve any scarce and stressed water sources; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| e) | Is updated on a regular basis and made available to the public. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 10.4.3 | There are documented procedures or action plans for the implementation of the water stewardship plan. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 10.4.4 | The site tracks and documents its performance against the water stewardship plan. Where progress is lacking, the site reviews and adjusts the plan. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |

[Return to Table of Content](#_top)

# Principle 11: Biodiversity

## Criterion 11.1: Biodiversity commitment and management

The site is committed to protecting biodiversity and applies the mitigation hierarchy to manage its biodiversity risks and adverse impact

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 11.1.1 | The site has a public commitment to respect protected and conserved areas and to manage |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 11.1.2 | The site does not initiate activities or plan associated facilities in or immediately adjacent to the following areas: | n/a |  | |  |
| a) | World Heritage sites; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Protected areas of the IUCN protected area management categories I-VI and conservation areas protected under national or local law; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Indigenous and community-conserved areas (ICCAs) unless such activities are endorsed with the Free, Prior and Informed consent of the affected peoples and communities; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Ramsar sites; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
|  |  |
| e) | Key Biodiversity Areas (KBAs). |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 11.1.3 | In the case of natural habitat, the site does not significantly convert or degrade them, unless all of the following are demonstrated: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | No other viable alternatives for development on modified habitat exist within the region; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Consultation has established the views of stakeholders, including affected communities and indigenous peoples, with respect to the extent of conversion and degradation; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Any conversion or degradation is mitigated according to the mitigation hierarchy and designed to achieve no net loss. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 11.1.4 | In the case of critical habitat, the site does not implement any activities or plan infrastructure, unless all of the following are demonstrated: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | No other viable alternatives for development on modified or natural habitat that are not critical exist within the region; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | The activities and infrastructure do not lead to adverse impacts on those biodiversity values that constitute the critical habitat, and on the ecological processes supporting those biodiversity values; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | The activities do not lead to a net reduction in the global, national or regional population of any critically endangered or endangered species. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 11.1.5 | In the event of downgrading, downsizing or degazettement of World Heritage Sites, Ramsar sites or protected areas of the IUCN categories I-VI, the site continues its no-go policy. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 11.1.6 | Where a World Heritage site, Ramsar site or officially protected area is established in, around or adjacent to the area of activity of an existing site, the site ensures that its activities do not lead to adverse impacts on those values for which the World Heritage site, Ramsar site or protected area was designated. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 11.1.7 | The site has identified and assessed the biodiversity risks and adverse impacts in its area of influence that result from its activities. The assessment has taken account of risks to and adverse impacts on the following: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Protected and community-conserved areas and Ramsar sites; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Species on the IUCN Red List of Threatened Species, categorised as vulnerable, endangered or critically endangered; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Key Biodiversity Areas; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Natural and critical habitat, as well as modified habitat with significant biodiversity value. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 11.1.8 | The site implements a management plan to address biodiversity risks and impacts in its area of influence that result from its activities. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 11.1.9 | The management plan: | n/a |  | |  |
| a) | Follows the mitigation hierarchy; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | If residual impacts are expected, the plan aims to achieve no net loss for natural habitat and a net gain for critical habitat; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | If residual impacts are expected, offsets are developed in line with current best practice; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Is responsive to changing conditions and the results of monitoring to take account of the long-term complexities in predicting biodiversity impacts. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| 11.1.10 | The site's biodiversity risks and impacts assessment and the management plan have been verified as being adequate and comprehensive by a competent party. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 11.1.11 | Where the site has been the subject of controversy, its activities have been verified by a competent independent party as having no adverse impact on World Heritage sites, protected and conserved areas, indigenous and community-conserved areas, Ramsar sites or Key Biodiversity Areas. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Mandatory Guidance:**  Note that the ResponsibleSteel Standard applies to existing sites. This means that sites that were in existence at the time the ResponsibleSteel Standard was approved (05 November 2019) cannot initiate activities or plan associated facilities in or immediately adjacent to areas listed under 11.1.2.  IUCN categories I-VI: Where countries do not assign management categories to their protected areas, the site does not initiate activities or plan infrastructure that is incompatible with the value for which the respective protected area was designated.  The biodiversity risks and impacts assessment should consider:   * Input received from consultation with stakeholders such as authorities, conservation organisations, research institutions, and local communities; * Threats to biodiversity, including habitat loss, degradation and fragmentation, invasive alien species, overexploitation, hydrological changes, nutrient loading, and pollution; * Direct and indirect impacts on the landscape or seascape where the site operates; * The importance of ecosystem services to the well-being of communities living in the site's area of influence.   **Guidance:**  A comprehensive collection of terms and definitions related to biodiversity can be found on https://biodiversitya-z.org/.  The following websites and databases may be helpful for sites:   * The IUCN Red List of Threatened Species * World Database of Key Biodiversity Areas * World Heritage List * Protected Planet (for protected areas) * The IBAT Alliance hosts databases on the IUCN Red List of Threatened Species, Key Biodiversity Areas and Protected Areas, which may assist sites with their biodiversity risk and adverse impact assessment.   'Guidance for Assessing and Managing Biodiversity Impacts and Risks' has been developed by the Inter-American Development Bank. While is was drafted for countries in Latin America and the Caribbean, the principles and actions outlined in the guidance are applicable elsewhere.  Biodiversity management plan: There is no standard template for a biodiversity management plan because the issues it needs to address are determined by the location, the biodiversity values at the site, and the nature of the  site's operations. However, a possible structure might be:   * Biodiversity context * Prioritisation of biodiversity features and components * Objectives and targets * Actions * Implementation * Monitoring and surveillance * Budgets and timelines * Reporting   Guidance on how to develop such a plan is offered by the World Business Council for Sustainable Development's (WBCSD) Biodiversity Management Plan (BMP). The guidance was developed for the cement sector but is relevant for others sectors as well.  Offset best practice: One example is the IUCN Policy on Biodiversity Offsets. | | | | | |

[Return to Table of Content](#_top)

# Principle 12: Decommissioning and Closure

## Criterion 12.1: Decommissioning and closure

The site takes provisions to minimise short and long-term social, economic and environmental implications of decommissioning and closure.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **ID** | **Requirement** | **Auditor assessment** | | | |
| **Reviewed evidence** | **Classification of conformity**  ***(mark one)*** | | **Auditor rationale**  ***(give clear reasons for your conformity classification)*** |
| 12.1.1 | When the decommissioning or closure of a site or of parts of a site has been announced, the site consults with workers, affected communities and local authorities on decommissioning, closure and post-closure plans, as applicable. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 12.1.2 | The decommissioning or closure and post-closure plans are approved by the site's senior management and: |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| a) | Include implementation cost and timeline estimates; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Include provisions to mitigate adverse social and economic impacts on workers and local communities affected by site decommissioning or closure; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Ensures that ecosystems and habitats are not degraded due to decommissioning and closure; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| d) | Contain mechanisms for contingency and response planning and implementation. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 12.1.3 | In the case of closure, the plans: | n/a |  | |  |
| a) | Take account of community preferences; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Describe the future use of facilities and infrastructure, where these are known; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Include provisions for post-closure monitoring and maintenance of plan implementation. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 12.1.4 | In the case of decommissioning, the plan describes measures to maintain idle facilities and infrastructure and protect them from risk (see the guidance). |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 12.1.5 | There are financial arrangements in place that: | n/a |  | |  |
| a) | Cover the full cost of implementation of the decommissioning, closure and post-closure plans; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| b) | Guarantee that the full cost will be covered irrespective of the site's finances at the time of decommissioning or closure; |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| c) | Are approved by the site's senior management and are reviewed by them to ensure their continued adequacy in case of major changes to operations. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 12.1.6 | A competent third party confirms that the site's decommissioning, closure, post-closure plans, financial assurance arrangements and any revisions thereof are adequate and feasible. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| 12.1.7 | The site makes a summary of its decommissioning, closure and post-closure plans, financial assurance arrangements and any revisions thereof available to the public at no cost, and provides contact details for stakeholders to get more information. |  | Opportunity for Improvement |  |  |
| Conformity |  |
| Minor non-conformity |  |
| Major non-conformity |  |
| Not applicable |  |
| **Guidance:**  Future-use-plans: Where local authorities determine how the land will be used, the future-use-plans might not be known to sites or they might not be able to influence them.  Facilities and infrastructure: This includes the facilities of the steelworks and, as applicable, roads, railways, dams, captive power plants or transmission lines, pipelines, utilities, warehouses, and logistics terminals.  Mitigation provisions: These may include access to education and training, early retirement possibilities for older workers, relocation and job search assistance.  Protect from risks: Risks include, for example, water damage, freezing, snow load, structure wear and tear, fire, flooding, intrusion. | | | | | |

[Return to Table of Content](#_top)