



LBMA RESPONSIBLE SOURCING PROGRAMME MSM/LSM SITE VISIT REPORT

V3, 27.09.2021



Visited By (Name of Representative):.....

Date of the visit:.....

This site-visit report supports the LBMA KYC Questionnaire.

COMPANY INFORMATION	
Company Name	
Name of the mine	
Location of the mine	Town Region Country
How did you get to the mine site?	
Name of the mine site operator if not a wholly owned subsidiary	



GOVERNANCE

Has your Company been fined or prosecuted for a breach of the local regulations during the last two years?	
Does the company ensure provision of fair remuneration to all employees? How much is the minimum salary in comparison with the benchmark?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.
Has the company signed up to relevant industry codes of conduct (e.g., WGC, ICMM, EITI)? If yes how are these commitments verified?	
Have the local authorities performed an on-site visit in the past 12 months?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide a copy or a link to the report.
Is a visit by local authorities planned in the next 12 months?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.
Approximate total number of workers directly employed at the mine	Employees / Contractor: Gender: Local / Expat:
Are any workers employed by subcontractors?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.
Does the company prohibit any use of forced labour (e.g.: not permitting employees to change jobs) including bonded or involuntary prison labour?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.
Do miners live on the premises of the mine (e.g.: in a dormitory)?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.
How would you assess these facilities?	<input type="checkbox"/> Comfortable <input type="checkbox"/> Basic



	<input type="checkbox"/> Unacceptable
Are working hours, excluding overtime, limited to a maximum of 48 hours per week?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.
Has the company received any reports or complaints of pressure, threats, bad or degrading treatment, etc. from employees or third parties, including sexual violence?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.
Are the employees represented by a syndicate or equivalent body?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.
Have the employees been on strike during the past 12 months?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.
Has your Company carried out or plans to carry out a proportionate KYC on each of your business partners (e.g., intermediaries, transporters, exporters) forming part of the supply chain and under which we receive shipments for refining from you?	
Other comments:	

HEALTH AND SAFETY

Did you see a visible health and safety policy and emergency plan?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please attach a copy or a link to the policy.
Does the company regularly report leading and lagging safety statistics (KPI on safety incidents)?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.



<p>Has the company implemented an ISO 45001 Occupational Health and Safety Management System, or nationally recognised equivalent?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Does the company offer regular health monitoring and screening to prevent workplace illnesses?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Does the company provide adequate first aid equipment and training?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Is the workplace environment secure?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Does the company enforce compliance to PPE requirements by all people on site?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No Please provide brief details.</p>
<p>Does the mine provide safety training to visitors?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No Please provide brief details.</p>
<p>Does the mine use the accident rate as key performance indicator?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No Please provide brief details.</p>
<p>What is the mine safety track record for the past 24 months?</p>	
<p>Do you have medical facilities on site?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>If no, where are the closest medical facilities? How is the transportation to such organised?</p>	
<p>Other comments:</p>	

GOLD AND/OR SILVER EXTRACTION AND PROCESSING METHOD

Describe the mining site (open pit, underground, etc.).	
Describe the extraction techniques (incl. blasting)	
What is the annual production in tonnes (ore)? What is the average gold and/or silver grade per tonne?	
Does the mine source ore or doré from mines outside its concession?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Describe the processing techniques, including chemical products used.	
What type of material will be sent to our refinery for processing?	
Is the infrastructure and/or the equipment set up proportionate to the production figures?	<input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
Is there any routine maintenance programme for mining equipment, and are maintenance records kept?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.



<p>Describe the method/process to avoid negative impact / gas emission reduction on the environment:</p> <ul style="list-style-type: none"> • Air • Water • Noise • Vibration • Land rehabilitation • Biodiversity • Leakage of chemicals 	
<p>Does the company perform environmental impact assessments for new projects?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Does the company have an environmental incident plan (incl. tailings dam failure)?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No Please provide brief details.</p>
<p>Other comments:</p>	

USE OF MERCURY (IF APPLICABLE)

<p>How is mercury sourced?</p>	
<p>How is the mercury stored, handled, used, and recovered?</p>	
<p>What are the procedures in place to limit the negative impacts on environment due to the use of mercury?</p>	
<p>What are the procedures in place to limit the negative impact on health & safety issues due to the use of mercury?</p>	



What is the action plan to find alternative solution to mercury?	
What is the time frame to renounce to the use of mercury?	



ARTISANAL MINING NEXT TO THE MINE SITE

<p>Did you identify any artisanal miners</p> <ul style="list-style-type: none"> • On the mine site? • next to the mine site? 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>If yes, estimate the number of ASM miners on the concession.</p>	
<p>Have you seen children working on site?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide details.</p>
<p>Can these ASM miners be considered legitimate ASM?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No Please provide brief details.</p>
<p>How does the mine handle artisanal miners on or next to the mine site?</p>	
<p>Have there been any instances of conflict or tension? If yes, please describe.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Does the mine source from artisanal miners on or next to its concession?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Are the ASM part of the community?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Other comments:</p>	



COMMUNITY

<p>Have you resettled communities?</p> <p>If possible, visit the resettled community</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, provide details on consultation and compensation.</p>
<p>Does the company engage with indigenous communities to obtain meaningful consent prior to commencing activities that adversely affect the community (e.g., cultural heritage)?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Does the company have regular meetings with local representatives?</p> <p>If yes is there a fair, accessible, effective, and timely grievance mechanism?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No Please provide brief details.</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Please provide brief details.</p>
<p>Is the mine positively affecting the surrounding communities, for example?</p> <ul style="list-style-type: none"> • Number of direct employees at the site • Number of indirect jobs supporting the mine site • Infrastructure (e.g., school, community centre, etc.) 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Is the community facing issues that would impact our refinery's reputation (e.g., organized crime, prostitution, alcoholism, abuse of fragile community members, children schooling)?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Does the company have a policy to "act as a good neighbour" minimizing dust, noise, road access, vibration, water access and light pollution from its operations?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Have there been demonstrations or social unrest in relation with the mine? If so, how was it handled by the mine and the authorities?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>



CONFLICT AREA AND SECURITY

<p>Is the mine located in a conflict area?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Are there any armed groups stationed on/near the mine site?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
	<p>If yes: Is it state armed groups? <input type="checkbox"/> Yes <input type="checkbox"/> No Is it non-state armed groups? <input type="checkbox"/> Yes <input type="checkbox"/> No Is it public or private security forces? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>Describe the general site security infrastructure (CCTV, perimeter fence, controlled access etc.)</p>	
<p>Describe the precious metal storage security infrastructure and processes.</p>	
<p>Does the company have procedures for storing, handling, using, and disposing of hazardous chemicals?</p>	
<p>Does the mine comply or plan to comply with the International Cyanide Management Code?</p>	
<p>How do you assess the security infrastructure?</p>	<p><input type="checkbox"/> Adequate <input type="checkbox"/> Inadequate Comments:</p>
<p>Have you identified any indication of illegal</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>



<p>taxation or extortion of money across the whole supply chain?</p>	<p>If yes, please provide brief details.</p>
<p>Are there appropriate procedures to screen security personnel during the hiring process?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No Comments:</p>
<p>Is the screening of security personnel in line with the UN Voluntary Principles on Security and Human Rights?</p>	
<p>Are there appropriate procedures to train security personnel</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide brief details.</p>
<p>Is site security managed in-house or outsourced to a third party?</p>	<p>Comments:</p>
<p>Have you determined any risks of incident of human right violations (as defined in the declaration of human rights)?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide details.</p>



TRANSPORTATION

Summaries transportation methods from mine site to export location (routed through CAHRA).

Is the material stored by a third party prior to export

Yes No

If yes, please provide brief details.

Other comments:



CORRECTIVE ACTIONS RAISED DURING VISIT

Corrective Action	Mine Comment	Completion Date



REFINER MANAGEMENT REVIEW

General comments:

What is the mine biggest risk?

Risk rating

Low

Medium

High

Next Visit Due