



Mineral smelter/refiner

Mineral Supply Chain Due Diligence Assessment Tool

Assessed party					
Assessing time					
Assessment type	<input type="checkbox"/> Main assessment		<input type="checkbox"/> Tracking assessment		
Assessment result	<input type="checkbox"/> Level AAA	<input type="checkbox"/> Level AA	<input type="checkbox"/> Level A	<input type="checkbox"/> Level B	<input type="checkbox"/> Level C
Assessing agency					
Assessor	Name:	Title:	Email:	Tel.:	
	Name:	Title:	Email:	Tel.:	
Reviewed/approved by	Name:	Title:	Email:	Tel.:	

The main entity applicable to this assessment checklist is the smelter/refiner in the mineral supply chain within the scope of the Chinese Due Diligence Guidelines for Responsible Mineral Supply Chain (Second Edition). During or after the assessment activity, it is filled out by the assessor, and the output is the assessment report. Signing the report by the assessed company means that the China Chamber of Commerce of Metals, Minerals & Chemical Importers & Exporters (CCCMC) has the right to use information on the assessment content and results, and the CCCMC will publish the assessment results or summary on its website.

The assessment report will be prepared in Chinese, and the summary report will be prepared in Chinese and English. The companies can translate it into other languages as needed, but the Chinese version shall prevail.

Instruction

Objective:

The exploitation and utilization of mineral resources should contribute to the realization of social development and economic prosperity. This assessment questionnaire is based on the due diligence recommendations provided by the Chinese Due Diligence Guidelines for Responsible Mineral Supply Chain (Second Edition), and aims to evaluate the performance of the company's due diligence management system and process, identify fields that need further improvements and formulate corresponding improvement measures.

Scope:

The Chinese Due Diligence Guidelines for Responsible Mineral Supply Chain (Second Edition) is applicable to all Chinese companies that mine, supply, purchase or process minerals in the mineral supply chain, including but not limited to tungsten, tin, tantalum, gold, cobalt, copper, aluminum, lead, zinc, nickel, molybdenum, rare earth, lithium, mica, barite, etc. These companies include upstream companies involved in the mineral supply chain (such as exploration, mining, smelting, processing, trading, and the stages between storage and transportation to processing), except for service providers (such as transportation, warehouses, packaging suppliers, etc.).

"Minerals" in the Chinese Due Diligence Guidelines for Responsible Mineral Supply Chain (Second Edition) refers to all applicable mineral resources and their products (such as ore, concentrate, metals, derivatives and by-products).

This assessment checklist is suitable for mineral smelters and refiners.

Basis of the assessment:

Chinese Due Diligence Guidelines for Responsible Mineral Supply Chain (Second Edition)

The Guidelines provide two situations. "Companies should" refers to specific recommendations on key points of due diligence, mainly from

the OECD Guidance (Third edition), and the specific details of its content; "Other suggestions" cover the requirements of industry initiatives, trading platforms, etc. for companies to carry out due diligence management as far as possible. The companies shall meet the content in "Companies should" parts. The conformity degree of the company with the content of "companies should" will affect the assessment results of the company. At the same time, it is suggested that the companies meet the "other suggestions" as far as possible.

In this assessment checklist, the content of "companies should" is indicated by gray shading, and the content of "other suggestions" is indicated by blue shading.

Explanation of conformity degree:

Yes (conformity): Indicates that the company's management system, policies, procedures or processes meet the requirements of corresponding provisions of the Guidelines.

Need improvement: Indicates that the company's management system, policies, procedures or processes partially meet the requirements of corresponding provisions of the Guidelines, but lack some necessary elements or content, or can not prove or lack evidence to prove that they are substantively functional, and further measures are needed to improve its performance.

No (non-conformity): Indicates that the company's management system, policies, procedures, or processes cannot meet the requirements of corresponding provisions of the Guidelines, resulting in systematic and repetitive non-conformities.

Not applicable: Indicates that corresponding provisions of the Guidelines do not apply to the Company.

Zero tolerance: If any of the following situations occurs, it is a "zero tolerance" situation.

1. Misrepresentation, deliberately forging false evidence or vouchers;
2. Any form of support for illegal control, or illegal taxation and extortion by non-state armed groups;
3. Any form of torture, cruel, inhuman and degrading treatment;
4. Directly cause or contribute to forced or compulsory labor;
5. Cause or contribute to widespread sexual violence;

6. The worst forms of child labor;
7. War crimes or other serious violations of international humanitarian law, crimes against humanity or genocide;
8. Other situations generally considered unacceptable.

Explanation of assessment results:

The overall assessment result is based on the percentages of "non-conformity" items and "need improvement" items. The China Chamber of Commerce of Metals, Minerals & Chemical Importers & Exporters (CCCMC) will provide the following suggestions on the assessment results:

Level AAA: There is no "non-conformity" items, indicating that the company has excellent supply chain due diligence management performance.

Level AA: the percentage of "Need improvement" does not exceed 15% of all applicable items, and the percentage of "non-conformity" items does not exceed 5% of all applicable items.

Level A: the percentage of "Need improvement" items does not exceed 25% of all applicable items, and the percentage of "non-conformity" items do not exceed 10% of all applicable items.

Level B: the percentage of "Need improvement" items does not exceed 35% of all applicable items, and the percentage of "non-conformity" items do not exceed 20% of all applicable items.

Level C: The above level cannot be reached or there is any "zero tolerance" situation.

CCCMC advocates continuous improvement, and companies need to formulate corrective action plan (CAP) with different time bound for "non-conformity", "need improvement" and "zero tolerance" items. Before the end of the improvement period, the assessment agency should be invited to conduct performance improvement tracking assessment.

The company needs to formulate a Corrective Action Plan (CAP) for the "need improvement" item, and significant progress shall be made during the improvement period (12 months);

The company needs to formulate a Corrective Action Plan (CAP) for "non-conformity" items, and significant progress shall be made during

the improvement period (6 months);

When "zero tolerance" situation is identified, the company should immediately improve, or temporarily suspend or terminate the cooperative relationship with relevant business partners, the assessment agency should be invited to carry out additional/tracking assessment before resuming the cooperative relationship to ensure that there should be significant improvements during the improvement period.

At the same time, this assessment result description is only suggestive. Business partners, investors, trading platforms, etc. can refer to the assessment results and make their own decisions based on their own standards.

Description of assessment type:

The assessment is divided into main assessment and tracking assessment. The main assessment needs to be carried out once a year; the tracking assessment is based on the type of non-conformity, and the performance tracking assessment is carried out every three months, six months or during the re-assessment (main assessment).

Grievance cope and channels

In the process of assessment, if the assessor acts in threats, soliciting bribes, fabricating information, etc., the assessed company can contact the CCCMC to submit a complaint.

Contact information: rbc@cccmc.org.cn

1. Assessed party

Company name			
Location	Province/ municipality		City
Contact person			Tel.
Profile number			

2. Assessment results

Type	<input type="checkbox"/> Main assessment		<input type="checkbox"/> Tracking assessment			
Scope	Raw material:		Products:			
Conclusion	Results:	<input type="checkbox"/> Level AAA	<input type="checkbox"/> Level AA	<input type="checkbox"/> Level A	<input type="checkbox"/> Level B	<input type="checkbox"/> Level C
	<input type="checkbox"/> Need tracking assessment, tracking assessment time is no later than: Y M D					
	<input type="checkbox"/> Re-assessment / main assessment is time no later than: Y M D					

3. Assessment scope

Minerals	<input type="checkbox"/> Tungsten <input type="checkbox"/> Tin <input type="checkbox"/> Tantalum <input type="checkbox"/> Gold <input type="checkbox"/> Cobalt <input type="checkbox"/> Copper <input type="checkbox"/> Aluminum <input type="checkbox"/> Lead <input type="checkbox"/> Zinc <input type="checkbox"/> Nickel <input type="checkbox"/> Molybdenum <input type="checkbox"/> Rare Earth <input type="checkbox"/> Lithium <input type="checkbox"/> Mica <input type="checkbox"/> Barite <input type="checkbox"/> Others, please specify:
Mineral scope	<input type="checkbox"/> Mined material <input type="checkbox"/> Recycled material <input type="checkbox"/> Both
Assessing period	<input type="checkbox"/> 12 months <input type="checkbox"/> less than 12 months (Specify__months)
Origin of the material	<i>【Please specify Country-Region】</i>
Transportation	<i>【Transportation routes and transportation methods from the place of origin to the factory】</i>

routes	
Applicable routes¹	<input type="checkbox"/> Route 1 <input type="checkbox"/> Route 2 <input type="checkbox"/> Route 3

4. Summary of assessment results

Summary of assessment results	Breakdown					Last assessment results	Breakdown				
	Conformity	Need improvement	Non-conformity	Zero tolerance	Not applicable		Conformity	Need improvement	Non-conformity	Zero tolerance	Not applicable
S1 Establishing corporate due diligence system	25	6	0	0	5	S1	20	10	1	0	5
S2 Risk identification and assessment	25	5	1	0	5	S2	20	10	1	0	5
S3 Risk prevention and mitigation	25	5	1	0	5	S3	20	10	1	0	5
S4 Internal and external assessment	25	6	0	0	5	S4	20	10	1	0	5
S5 Reporting and communication	25	5	1	0	5	S5	20	10	1	0	5
S6 Provide for or cooperate in	25	5	1	0	5	S6	20	10	1	0	5

¹ Applicable routes can refer to the Annex V of the Chinese Guidelines.

remediation											
Sub-total	150	32	4	0	30		120	60	6	0	30
	80.65%	17.20%	2.15%	0.00%	-		64.52%	32.26%	3.23%	0.00%	
Assessment results	A					B					

Note: The above data is only used for example, please fill in according to specific situations of the assessed company.

Step 1: Establishing a corporate due diligence system
<i>【The assessor fills in the summary of the assessment results here, it should include the due diligence management measures that the company has implemented and areas need further improvement】</i>
Step 2: Risk identification and assessment
Step 3: Risk prevention and mitigation
Step 4: Internal and external assessment
Step 5: Reporting and dissemination

Step 6: Provide for or cooperate in remediation when appropriate

5. Findings

Step 1: Establishing a corporate due diligence system

Summary of the assessment results		Breakdown			
	Yes	Need improvement	No	Zero tolerance	Not applicable
S1 Establishing a corporate due diligence system					

Note: The assessor can summarize the assessment results in this table after completing the assessment of "Step 1: Establishing a corporate due diligence system".

5.1.1 Develop and adopt due diligence policy

Indicator	Yes	Need improvement	No	N/A	Assessor's Summary Description of the Indicator	
5.1.1.1 Develop and adopt due diligence policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:	
Element	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
a. Develop a supply chain policy in written	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Written policy</i> 	Developed a supply chain due diligence policy, and provide the written version.
b. The policy should include requirements for both the Company itself and its suppliers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Written policy</i> ● <i>Terms review</i> 	The policy commitment contains requirements for the company itself and its suppliers.
c. Ensure that the content of the policy is consistent with the Model Supply Chain Policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Written policy</i> ● <i>Terms review</i> 	The policy is consistent with the Model Supply Chain Policy in Appendix I of the Chinese Guidelines and the Model Policy in Appendix II of the OECD Guidance, containing the description of various types of risk management.
d. The response strategy in the policy should include a description of the	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Written policy</i> ● <i>Terms review</i> 	The policy is consistent with the Model Supply Chain Policy

management process for identified risks						Template in Appendix I of the Chinese Guidelines and the Model Policy in Appendix II of the OECD Guidance; the policy includes description of risks management.
e. The policy may include a commitment to take stepwise actions to conduct due diligence and an implementation plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Written policy</i> ● <i>Terms review</i> 	The policy includes a commitment to implement the five-step due diligence management of the supply chain and a commitment to implement the policy.
f. The company should formally approve the due diligence policy and make it effective	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Written policy</i> ● <i>Signature/seal</i> 	The policy needs to be officially signed to make it effective.

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.1.1.2 In the process of policy formulation or revision, risk assessment results should be referenced, the most important risks should be given priority and measures should be formulated to prevent and mitigate these risks;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Written policy</i> ● <i>Terms review</i> 	The policy is relevant, can respond to the identified supply chain risks and has a priority, and the policy can be adjusted according to the main risks to maintain its relevance.
5.1.1.3 The policy should be made publicly available in local languages;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Written policy</i> ● <i>Public links, screenshots, etc.</i> 	The policy should be made public, for example, on the corporate website; should be translated into local language so that the local can better read and understand it.
5.1.1.4 The Supplier Code of Conduct can be	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Supplier Code of Conduct</i> 	The supplier code of conduct can be

formulated in accordance with the commitments and requirements of the due diligence policy;						formulated according to the policy, and if it is formulated, it should be passed on to the supplier.
5.1.1.5 The due diligence policy should be regularly reviewed and updated as changes in business operations, supply chains, and other business relationships occur.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Policy version</i> ● <i>Provisions review</i> 	Regularly review and update the policy.

5.1.1 Develop and adopt due diligence policy
<i>【The assessor fills in the assessment description for this requirement here】</i>

5.1.2 Structure appropriate internal management systems						
Indicator	Yes	Need improvement	No	N/A	Assessor's summary description of the indicator	
5.1.2.1 Establish an internal management structure through which responsibilities should be assigned to senior manager and staff.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:	
Element	Yes	Need	No	N/A	Description of supporting	Explanation

		improve ment			document/evidence	
<p>The internal management structure should meet the following elements:</p> <p>a. Assign responsibility of due diligence to senior manager and staff;</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Letter of appointment and/or notice of the establishment of a working group</i> ● <i>Interdepartmental Committee/Working Group Management Measures</i> ● <i>Member list</i> 	The company has appointed management staff to be responsible for supply chain due diligence management, and designated dedicated staff to be responsible for implementation.
<p>b. Assign authority to senior manager to oversee due diligence performance;</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Letter of appointment</i> ● <i>Interdepartmental Committee/Working Group Management Measures</i> ● <i>Job description</i> ● <i>Meeting minutes</i> 	The company designates senior management to be responsible for overseeing the implementation of due diligence management.
<p>c. The authorized senior manager and responsible staff should have the ability to perform these tasks as well as corresponding authority and resources;</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Training record</i> ● <i>Notice</i> 	Through training and learning, the management and employees are qualified, the company defines their power and provides resources, such as issuing notices to require relevant departments to cooperate.
<p>d. Conduct internal and external communication, to disseminate policies to relevant employees, such as during employee induction or training; and regular communication should be conducted as needed to let employees understand the policy;</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Communication record</i> ● <i>Training record</i> 	Make sure employees understand the policy through training, notification, and posting of promotional materials.
<p>e. Implement an accountability system</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Performance appraisal record</i> 	Performance appraisal and job

for authorized and responsible management and employees.					<ul style="list-style-type: none"> ● <i>Job debriefing record</i> 	debriefing is required for the appointed management and designated employees.
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Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.1.2.2 Establish cross-functional committees or other measures to make due diligence related decisions;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Cross-functional committee structure</i> ● <i>Management measures</i> 	Established a management committee/working group involving multiple departments and formulated management measures
5.1.2.3 Provide internal training to help employees understand the requirements and responsibilities of due diligence;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Training records (including sign-in list)</i> ● <i>Assessment record</i> 	Training is carried out periodically to help employees understand the requirements of due diligence management.
5.1.2.4 Formulate performance goals and incentive measures for relevant departments to complete due diligence tasks;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Performance requirements record</i> ● <i>Incentive measures record</i> 	Formulate performance requirements and incentive measures related to due diligence management for relevant departments.
5.1.2.5 Develop or adjust existing information and record keeping systems to collect information on due diligence process, relevant decisions and response measures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Documentation procedure</i> ● <i>Documentation files</i> 	Documented information management measures to keep tracking the work.

5.1.2 Structure appropriate internal management systems

【The assessor fills in the assessment description for this requirement here 】

5.1.3 Establish a system of controls and transparency over the supply chain

Indicator	Yes	Need improvement	No	N/A	Assessor's summary description of the indicator	
5.1.3.1 Establish a supply chain control and transparency system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:	
Element	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
a. The sourcing country and region;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Certificate of Origin</i> ● <i>Mining license</i> 	Prove the origin of the products the company sells to customers.
b. The names and addresses of the supplier;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Business Registration License</i> <i>A copy of the signed contract (including liability clauses)</i>	The company needs to collect suppliers' due diligence information.
c. Transportation routes and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>List of transport routes or</i> 	Describe the transportation route

transportation approaches;					<i>description</i>	and method of raw materials.
d. Commercial name and type of mineral or metal.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>List of raw materials</i>	Describe the commercial name and type of raw materials.
e. Collecting ownership (including beneficial ownership) information of all direct suppliers and other known upstream companies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Ownership information of upstream suppliers, including beneficial ownership, if involved</i>	Collect ownership and beneficial ownership information of upstream suppliers to determine whether to trigger the red flags in their supply chains

Indicator	Yes	Need improvement	No	N/A	Assessor's summary description of the indicator	
5.1.3.2 Companies should provide quality requirements for the declaration of origin and transportation routes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:	
Element	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
a. The certificate of origin provided is true and supported with evidence;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Certificate of origin</i>	The certificate of origin of the raw materials is issued by the local authority or certified by the authority.
b. Provide training for responsible employees to ensure that employees understand the meaning and requirements of the certificate of	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Training record</i> ● <i>Communication record</i>	Relevant employees understand the meaning and management requirements of the certificate of origin.

origin;						
c. Provide replies and evidences to customers and other related parties regarding origin inquiries ;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Response record</i>	If the customer has inquiries about the certificate of origin, a reply can be provided.
d. Provide channels for relevant parties to express doubts about the origin through the grievance mechanism;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Grievance terms</i>	Relevant parties can express their doubts about the origin information through the grievance mechanism.
e. Collect information such as transportation trajectory and route map, carrier, shipping note, and receipt;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Transportation receipt</i>	The description of the transportation route is supplemented by documents such as transportation receipt.
f. Shipment, seal and code of ore or processed products. During domestic and international transportation, the seal must be kept intact, and the code on the surface of the seal must be consistent with the number on the shipping document;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Seal management</i>	Apply seal management during transportation. Except for special circumstances such as changing containers, seals must be intact and consistent.
g. If there is any abnormal event during transportation, it should be reported and investigated.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Transportation accident procedure</i>	Procedures for reporting and investigating abnormal events during transportation.

Indicator	Yes	Need improvement	No	N/A	Assessor's summary description of the indicator
5.1.3.3 When warning signs are identified in the process of "warning signs screening" carried out in step 5.2.1, the supply chain control and transparency system should be improved to further supplement the chain of custody or	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:

mineral supply chain traceability information.						
Element	Yes	Need improve ment	No	N/A	Description of supporting document/evidence	Explanation
<p>On the basis of 5.1.3.1 (a-d), the information to be collected also includes (e-k):</p> <p>e. All taxes, fees or royalties paid to government for the purposes of extraction, trade, transport and export of minerals;</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Tax payment certificate (mining tax, etc.)</i> ● <i>Tax Registration Number</i> ● <i>Royalties payment receipt</i> ● <i>Transportation fees, etc.</i> 	Companies need to pay to the government in the areas of origin of minerals, including mining, trading, transportation, and exporting stage. The types of fees include taxes and royalties.
<p>f. Any other payments made to governmental officials for the purpose of extraction, trade, transport and export of minerals;</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Payment description</i> ● <i>Invoice or receipt</i> 	<p>Customers need to pay to the government officials in the areas of origin of minerals, including mining, trading, transportation, and exporting stage.</p> <p>Note: If there is no media or NGO disclosure, generally it does not require supporting documents.</p>
<p>g. All taxes and any other payments made to public or private security forces or other armed groups at all points in the supply chain from extraction onwards</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Outsourcing contract with the security company</i> ● <i>Bank remittance receipt</i> ● <i>Payroll for hiring security personnel</i> 	<p>Fees paid to mining police, armed group, security personnel, etc., in areas where minerals originate, including mining, trading, transportation, and exporting stage.</p> <p>Note: Payments to private security companies or personnel are generally less risky. The company needs to carefully handle the fees paid to public security (mining</p>

						police, armed group), and if necessary, it can be paid through a third-party security company.
h. The ownership (including beneficial ownership) and corporate structure of the exporter, including the names of corporate officers and directors; the business, government or military affiliations of the company and officers;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Company management structure ● Summary of Ownership ● List of directors and senior management ● List of directors and senior management ● Description of the affiliation with the government and military 	The exporter's company structure and ownership, the list of directors and senior management, and a description of the affiliation with local government and military.
i. Mine, quantity, dates and method of extraction (artisanal and small-scale or large-scale mining);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Mine/mining area's name and/or geographic location ● Mining volume and mining date ● Mining method 	A description of the mine/mining area, mining volume, mining date, and mining method. Note: The mining volume needs to be reasonably consistent with the material balance sheet (input materials and raw material inventory).
j. Locations where minerals are traded, smelted and exported;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Description of geographic location</i> 	A description of the geographic location where the product is smelted and exported.
k. Export and import documents for smelters and traders.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Customs documents of import and export</i> 	Customs declaration documents for import and export products to indicate the origin, weight, etc.

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.1.3.4 When applicable, avoid cash transactions as much as possible and, if unavoidable, provide verifiable transaction documentation or go through official banking channels;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Bank statement</i> ● <i>Transaction Documents/ledger</i> 	Provide formal transaction documents or bank statement; if unavoidable, provide cash management measures and rationale statement of cash transactions.
5.1.3.5 Maintain relevant supporting documents and/or documentation for five years;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Supporting documents</i> ● <i>Management measures of documentation record</i> 	Maintain documentation for five years.
5.1.3.6 Incorporate provisions for disclosure of the above information into commercial contracts with direct customers/suppliers;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Commercial contracts</i> ● <i>Provisions for information disclosure</i> 	Incorporate disclosure requirements into commercial contracts to be binding.
5.1.3.7 Disclose the above information to recognized regional or global institutional mechanisms established to collect and process information on minerals from “conflict-affected and high-risk areas”.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Records of information disclosure</i> ● <i>Emails, etc.</i> 	If applicable, provide documentation that the company sends information to a regional or global institutionalized mechanism, such as email, information sheets, etc.
Assessor's assessment conclusions for indicators 5.1.3.4 to 5.1.3.7:						

Indicator	Yes	Need improve ment	No	N/A	Description of supporting document/evidence	Explanation
5.1.3.8 Conduct due diligence assessments for the supplier and maintain relevant records before starting business with a new supplier;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Supplier selection criteria</i> ● <i>Selection record</i> 	The criteria for supplier selection include due diligence requirements, and the selection process is documented.
5.1.3.9 Carry out material balance accounting, taking into account the total amount of raw materials processed by the enterprise, inventory, loss and sales volume, any differences observed in the material balance accounting process are reasonable;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Material balance accounting table</i> 	Carry out material balance accounting on a 12-month cycle.
5.1.3.10 In some countries, other suggestions may be provided on extractive industry transparency or information disclosure.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Identification records of the country's relevant transparency requirements</i> 	Consider the country's requirements for transparency.
Assessor's assessment conclusions for indicators 5.1.3.8 to 5.1.3.10 if applicable:						

5.1.3 Establish a system of controls and transparency over the supply chain

【The assessor fills in the assessment description for this requirement here 】

5.1.4 Strengthen engagement with suppliers

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.1.4.1 Incorporate corporate due diligence policy into commercial contracts or agreements with suppliers, or formulate supplier codes of conduct to ensure due diligence policies abide by the company and its suppliers are consistent;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Contract terms</i> ● <i>Copy of contract</i> ● <i>Signed Supplier Code of Conduct</i> ● <i>KYS questionnaire</i> 	Pass the company's requirements for due diligence to suppliers (or subcontractors), and link them to business cooperation through contracts and other methods.
5.1.4.2 Assist suppliers in capacity building and improve their due diligence performance;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Training record</i> ● <i>Communication record</i> 	Carry out capacity building with suppliers, such as trainings.
5.1.4.3 If risk mitigation measures as mentioned in Step 3 need to be carried out, a risk management plan should be developed with suppliers;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Participation records (such as supplier's signed confirmation letter of risk prevention and mitigation measures)</i> ● <i>Field visit records</i> 	Suppliers are encouraged to participate in the formulation of risk prevention and mitigation measures.
5.1.4.4 Can be committed to establishing positive and long-term partnership with direct suppliers to increase its leverage over these suppliers.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>List of subcontracted processors/suppliers (including cooperation period)</i> 	Establish a stable cooperative relationship with suppliers to increase its leverage over suppliers.

Assessor's assessment conclusions for indicators 5.1.4.1 to 5.1.4.4:

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Indicator	Yes	Need improve ment	No	N/A	Description of supporting document/evidence	Explanation
5.1.4.5 Develop and implement a prequalification process for suppliers. Before cooperating with the supplier, conduct a due diligence assessment of the supplier to identify whether there exist adverse impacts;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Supplier selection criteria</i> ● <i>Selection record</i> 	The criteria for supplier selection include due diligence requirements, and the selection process is documented.
5.1.4.6 Understand the obstacles that suppliers fail to meet due diligence requirements, and work together to eliminate these obstacles.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Engagement record</i> 	Strive to identify obstacles that the supplier has failed to meet the requirement in the supplier selection process and to work collaboratively to eliminate these factors.

Assessor's assessment conclusions for indicators 5.1.4.5 to 5.1.4.6:

5.1.4 Strengthen engagement with suppliers

【The assessor fills in the assessment description for this requirement here】

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5.1.5 Establish a company level grievance mechanism and/or participate an industrial level grievance mechanism						
Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.1.5.1 Establish a company level grievance mechanism, to provide channels for stakeholders to express their concerns;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Grievance mechanism</i> ● <i>Management measures</i> ● <i>Grievance record and response</i> 	Establish a company level grievance mechanism and management measures.
5.1.5.2 Participate in an industry level grievance mechanism, or other internationally recognized grievance mechanism;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Identification of industry or other authoritative grievance mechanisms</i> ● <i>Participation record</i> 	Participate in industry-level or internationally recognized grievance mechanisms.
Assessor's assessment conclusions for indicators 5.1.5.1 to 5.1.5.2:						

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.1.5.3 The company-level grievance mechanism has core characteristics such as legitimacy, accessibility, predictability and equality, transparency and dialogue-based	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Grievance mechanism</i> ● <i>Management measures</i> ● <i>Grievance record and response</i> 	The company's grievance mechanism should have quality assurance, and at a minimum meet the characteristics of legitimacy, accessibility, predictability and

participation;						equality, transparency and dialogue-based participation.
5.1.5.4 The company-level grievance mechanism include the scope of the grievance mechanism, the process and timeline of resolving grievances, responding to handling processes of unsolved complaints, consulting stakeholders on grievance resolution methods, staff and resources allocated for the grievance mechanism, and effect tracking and monitoring the performance of the grievance mechanism.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Grievance mechanism</i> ● <i>Management measures</i> ● <i>Grievance record and response</i> 	The company's grievance mechanism should have quality assurance.
5.1.5.5 Participate in an industry-level grievance mechanism to ensure that the industry-level grievance mechanism is consistent with the company's own situation. At the same time, the company can investigate and understand its own unique situation, and formulate and implement grievance handling measures.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Identification of industry or other authoritative grievance mechanisms</i> ● <i>Participation record</i> ● <i>Corporate grievance handling measures</i> 	Participate in industry-level or internationally recognized grievance mechanisms, but companies still need to formulate special grievance handling measures.
Assessor's assessment conclusions for indicators 5.1.5.3 to 5.1.5.5:						

5.1.5 Establish a company level grievance mechanism and/or participate an industrial level grievance mechanism

【The assessor fills in the assessment description for this requirement here 】



Step 2: Risk identification and assessment

Summary of assessment results		Breakdown			
	Yes	Need improvement	NO	Zero tolerance	Not applicable
S2 Risk identification and assessment					

Note: After the assessor completed the assessment of "Step 2: Risk Identification and Assessment", the assessment results can be summarized in this table.

5.2.1 Conduct warning signs review, and identify the scope of the risk assessment of the mineral supply chain based on the results of warning signs review

Indicator		Yes	Need improvement	No	N/A	Assessor's summary description of the indicator	
5.2.1.1 Conduct warning signs review of the supply chain		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:	
Element		Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
Red flag locations of mineral origin and transit	The screening process of red flag includes: 1.The mineral originates from Conflict-Affected and High-Risk Areas;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Procedure for identifying Conflict-Affected and High-Risk Areas(including references)</i> ● <i>Identification checklist of Conflict-Affected and High-Risk Areas</i> ● <i>Certificates of origin/customs declaration documents/transportation documents of all minerals</i> 	The definition of <i>Conflict-Affected and High-Risk Areas</i> (CAHRAs) can be seen in the footnote ² . Minerals are produced or passing through in such areas. Minerals are originating from or passing through such areas.

² At present, there is no universal definition of Conflict-Affected and High-Risk Areas (CAHRAs). The OECD provides the following characteristics of such areas: Areas identified by the presence of armed conflict, widespread violence, including violence generated by criminal networks, or other risks of serious and widespread 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. High-risk areas are those where there is a high risk of conflict or of widespread or serious abuses. Such areas are often characterized by political instability or repression, institutional weakness, insecurity, collapse of civil infrastructure, widespread violence and violations of national or international law.

Red flag locations of mineral origin and transit	2. The transportation route of the mineral passes Conflict-Affected and High-Risk Areas;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Identification list of all minerals</i> ● <i>List or description of transportation routes for all minerals</i> 	The transportation of raw materials passes through <i>Conflict-Affected and High-Risk Areas</i> .
	3. The minerals are claimed to originate from a country that has limited known reserves, likely resources or expected production levels;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>The reserves and mining volume of relevant minerals in the country of origin</i> ● <i>Reports from research organization, industry organization, related NGO, media</i> 	The declared volumes of mineral from that country are out of keeping with its known reserves or expected production levels.
	4. The minerals are claimed to originate from a country in which minerals from conflict-affected and high-risk areas are to transit;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Certificate of Origin of Minerals</i> ● <i>Transportation route list or description</i> 	<i>The declared country of origin is actually only the transit country of the route.</i>
	5. The minerals are claimed to originate from mixed recyclable sources and have been processed in <i>Conflict-Affected and High-Risk Areas</i> ;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Certificate of Origin of Minerals</i> ● <i>List of mining areas (including mining area name, geographic location, etc.)</i> 	The recycled mineral materials are processed in <i>Conflict-Affected and High-Risk Areas</i> .

Supplier red flags	1. Suppliers or other known upstream companies operate in above-mentioned warning signs locations, or have shareholder or other interests in suppliers from above mentioned warning signs locations;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Supplier list or directory (including name, geographic location, investment relationship, etc.)</i> ● <i>Supplier's purchasing records</i> 	Suppliers operate in areas where warning signs are identified, or do not operate in these areas but are shareholders of suppliers in these areas, or purchase more than 50% of their raw materials.
	2. Suppliers or other upstream companies are known to have sourced mineral from a warning signs location of origin and transit in the last 12 months.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Supplier list</i> ● <i>Supplier's origin information of all raw materials in the past 12 months</i> 	In the past twelve months, the supplier has purchased raw materials from areas where red flags identified. Note: Even if these raw materials have not entered the supply chain of your own company.
Red flags in specific circumstance	1. Mineral-related activities have the potential to contribute to conflict or abuses of rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>UN report</i> ● <i>NGO report</i> ● <i>Media reports etc.</i> 	In addition to contributing conflicts, mining, trading, processing, and exporting activities have contributed to abuses of human rights and labor rights.
	2. Not be able to identify the mineral's location of origin and transit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Unable to show the origin and transportation route information</i> 	Unable to show the origin and transportation route information

Indicator	Yes	Need improvement	No	N/A	Assessor's summary description of the indicator	
5.2.1.2 Develop and implement information verification procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:	
Element	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
a. Confirm that the name, type, weight, composition and quality of the mineral raw materials received are consistent with the transaction documents;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Transaction documents</i> ● <i>Warehousing / warehousing documents / ledger</i> ● <i>Customs documents</i> ● <i>Or other forms of record documents</i> 	It is necessary to ensure that the raw material information is comprehensive and consistent at all times.
b. Investigate, handle and resolve any discrepancies or inconsistencies found in the aforementioned warning signs review;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Warning signs review results</i> ● <i>Information supporting documents</i> 	It is necessary to ensure that the review results of three warning signs are consistent with the information provided.
c. The reserves, output and export data of the country and/or region of origin of mineral raw materials are reasonable;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Transaction file</i> ● <i>Customs documents</i> ● <i>Research organization reports, industry organization reports, related NGO reports, media reports</i> 	The stated quantitative data is basically consistent with the existing public data, or there is reasonable explanation.
d. Develop methods or procedures that can identify and determine Conflict-Affected and High-Risk Areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>CAHRAs identification program</i> ● <i>List of identification results</i> 	Develop CAHRAs identification procedures, which need to include reference, reviewing and updating

(CAHRAs), determine the source of information to be referred to, and determine the frequency of reviewing and updating the CAHRAs list.						frequency, etc.
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Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.2.1.3 The warning signs screening process can refer to the information released by highly recognized international institutions. The sources of information can include reports from governments agencies, international organizations, civil society organizations, worker representatives and trade unions, national human rights institutions, think tank, the media, or other experts. If the information is incomplete, the opinions of relevant stakeholders and experts can be consulted;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Publicly reports, indexes, etc. 	<i>The information referenced by the CAHRAs identification procedure is credible and highly authoritative.</i>
5.2.1.4 Consider the information collected by the grievance mechanism;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Grievance Card/ Grievance Record 	The source can be the information collected by the grievance mechanism.
5.2.1.5 Once major adjustments are made, such as operating or purchasing in a new country, developing new product lines that are significantly different from existing product lines, changing product materials, reorganizing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Social and environmental impact assessment report Product line change description 	Information collection is continuously updated and dynamically changing.

or participating in new forms of business relationships (such as mergers, acquisitions, new customers and new markets), etc., the company need to update the scope of information collected;						
5.2.1.6 In some countries, certain information collection requirements may also be imposed on extractive industry transparency or information disclosure.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Identification list</i> 	Identify the country's requirements for transparency and information disclosure.
Assessor's assessment conclusions for indicators 5.2.1.3 to 5.2.1.6:						

5.2.1 Conduct warning signs review, and identify the scope of the risk assessment of the mineral supply chain based on the results of warning signs review

【The assessor fills in the assessment description for this requirement here】

5.2.2 When warning signs are identified in the 5.2.1 warning signs review, companies shall conduct an on-the-ground assessment of the corresponding supply chain.

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.2.2.1 Understand the factual background of Conflict-Affected and High-Risk Areas (CAHRAs) including countries of origin, neighboring countries, transit countries (including possible shipping routes and locations of extraction, trade, processing, export, etc.);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>On-the-ground assessment plan</i> ● <i>Question list of on-the-ground assessment /questionnaire</i> 	Carry out on-the-ground assessments if CAHRAs are involved. The on-the-ground assessments need to assess the background of the origin, as well as the following supply chain situation.
Assessor's assessment conclusions for this indicator:						

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence
5.2.2.2 Based on the control and transparency system (including the chain of custody or traceability information of the supply chain) established in 5.1.3, companies should understand the specific conditions of the entire supply chain (extraction, trade, transport, export, etc.) through on-the-ground assessment. Including:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:

Element	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
a. Country and region of origin of raw materials;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Certificate of Origin</i> ● <i>Business registration and tax registration information</i> ● <i>Mining license</i> ● <i>Mine location</i> 	Description of origin information
b. Names and addresses of upstream players, including mining areas, local traders, warehouses, trading markets, smelters, exporters, international traders, etc.;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Supplier profile</i> ● <i>Supplier directory</i> 	Information description of upstream supplier
c. Shipment routes and modes of transport;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Shipment documents/contracts</i> ● <i>Description of shipment information</i> 	Shipment information description
d. Name and type of mineral or metal;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Raw material purchase list/ledger</i> 	Information description of raw material
e. Taxes, fees or royalties paid to the government for mineral extraction, trade, transportation, export;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Proof of payment</i> ● <i>Tax certificate</i> 	Information on taxes and fees paid to the government for extraction, trade, transportation, export, etc.
f. Any other payments to government officials for mineral extraction, trade, transportation, and export;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Payment instructions</i> ● <i>payment receipt</i> 	Information on payments to government officials for extraction, trade, transportation, export, etc.
g. All taxes and any other payments to public or private security forces or other groups at all points in the supply chain	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Payment instructions</i> ● <i>payment receipt</i> 	Information on payments to public, private security forces or other groups for extraction, trade,

since the start of mineral extraction;						transportation, export, etc.
h. Ownership (including beneficial ownership) and company structure including the names of company officers and directors, and its affiliation with the government or military;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Company structure</i> ● <i>Ownership information description</i> 	Governance structure of local exporters in raw material producing countries, and relations with government and military.
i. Mine, volume of extraction, date and method of extraction (artisanal mining, small and medium-scale mining or large-scale mining) ;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Description of the mine, and especially how it is mined</i> 	Introduction to the mining areas.
j. Locations of mineral trade, smelting, and export;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Location information for each point other than extraction in the country of origin of the raw material</i> 	Raw material transactions (eg: trading markets), and locations of primary processing and export.
k. Export and import documents for smelters and traders;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Customs declaration documents</i> 	Import and export information of raw material

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	
5.2.2.3 Set up an on-the-ground assessment team to carry out on-the-ground assessments. The personnel conducting on-the-ground assessments should have the following qualifications:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:	
Element	Yes	Need improve	No	N/A	Description of supporting document/evidence	Explanation

		ment				
a. Have expertise in the relevant risks being assessed (e.g. human and labour rights, security, health and safety, anti-corruption) and methods to identify actual and potential adverse impacts and maintain the independence of the assessment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Staff resume</i> ● <i>Assessment method</i> 	Competency requirements for on-the-ground assessors.
b. Knowledge of international and national standards related to risks and adverse impacts;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Standard or requirement identification documents</i> 	Standard documents used as the basis for on-the-ground assessment.
c. Ability to conduct assessments locally (e.g.: language skills, understanding of local history and culture, etc.).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Staff resume</i> 	Competency requirements for on-the-ground assessors.

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.2.2.4 The assessment should be carried out in accordance with all Type 1 risks in Chapter VI;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Risk list</i> 	The risk scope of on-the-ground assessment.
5.2.2.5 Companies can also conduct on-the-ground assessments by participating in industrial actions, but the responsibility of individual company for carrying out assessment and decision-making should be retained;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Description of assessment method</i> 	Whether the assessment is implemented in collective or individual way.

5.2.2.6 Maintain and update information regularly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Assessment cycle</i>	Description of the cycle of on-the-ground assessment.
Assessor's assessment conclusions for indicators 5.2.2.4 to 5.2.2.6:						

Indicator	Yes	Need improve ment	No	N/A	Description of supporting document/evidence	Explanation
5.2.2.7 If the on-the-ground assessment is conducted by participating in industrial actions, the company should follow the team's assessment recommendations and take actions based on the recommendations. If the scope of industrial assessment cannot meet all assessment demands of the company, the actions need to be implemented by the company individually.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Assessment report</i>	Participating in a collective assessment requires respect and compliance with the conclusions of the collective assessment; if the collective assessment cannot meet all the information requirements of the company, individual assessments need to be conducted for supplementing or replacing it.
Assessor's assessment conclusions for this indicator:						

5.2.2 When red flags are identified in the 5.2.1 warning signs review, companies should conduct an on-the-ground assessment of the corresponding supply chain.

【The assessor fills in the assessment description for this requirement here】

5.2.3 Assess risks in the supply chain. Companies should identify and assess supply chain risks against the due diligence policy.

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	
5.2.3.1 Review applicable standards, the review scope includes:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:	
Element	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
<p>a. Review applicable standards, including the principles and standards of the company's supply chain policy;</p> <p>Note: Assessors can conduct the assessment refer to the following “Instruction for the assessor to evaluate the quality of on-the-ground assessment”</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Assessment plan</i> ● <i>Assessment report</i> 	Description of assessment scope including four major types of risks listed in the model policies in Appendix 1 of the Chinese Guidelines in principle.

conducted by the company”;						
b. National laws of the countries where the company is domiciled or publicly-traded (if applicable), and national laws of the countries from which the minerals originate, and national laws of transit or re-export countries;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Identification documents required by the laws of the host country</i> 	The assessment scope includes whether it meets the legal requirements of the host country.
c. Legal instruments governing company operations and business relations, such as financing agreements, contractor agreements, and supplier agreements;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Identification documents for binding requirements</i> 	Identification of other binding requirements except the laws.
d. Other relevant international instruments, such as the OECD Guidelines for Multinational Enterprises, international human rights and humanitarian law, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Identification document/compilation of binding requirements</i> 	Identification of binding requirements such as international instruments to be followed.

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.2.3.2 Determine whether the circumstances in the supply chain meet the relevant standards. Any reasonable inconsistency between a factual circumstance and a standard should be considered a risk with potential adverse impacts.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Assessment report</i> 	Carry out benchmarking analysis to analyze whether there is any inconsistency (risk).

Assessor's assessment conclusions for this indicator:

5.2.3 Assess risks in the supply chain. Companies should identify and assess supply chain risks against the due diligence policy.

【The assessor fills in the assessment description for this requirement here】

Instruction for the assessor to evaluate the quality of on-the-ground assessment conducted by the company

Note: The following first four types of risks are proposed in Annex II of the OECD Guidance (Third Edition) Model Policy, and Annex I (or Type I risks) of CCCMC’s Chinese Guidelines (Second Edition).

All companies need formulate a supply chain due diligence policy, which is reflected in the assessment content of step 1. For companies that trigger the "red flag", they need carry out on-the-ground assessment. This "Instruction" is a **reference** for the assessor to evaluate the quality of the company's on-site evaluation. It should be noted that the assessor does not need to fill in this part. This part is only to provide the assessor with an evaluation example to illustrate the similar method of the assessed company's on-the-ground evaluation, practice or **level** is satisfactory.


When the epidemic situation is severe, the rationality of remote assessment can be considered.

The following content provides: 1. A sample of risk assessment methods based on likelihood and severity; 2. Examples of good practices for developing on-the-ground assessment checklists or tools. This does not mean that companies are required to take completely consistent measures, but rather to assist the assessor in evaluating the quality of the on-the-ground assessment carried out by the companies.

The risk matrix below provides an overall assessment of the applicable risk types, such as “5E”. In general, the risk marked in red refers to a very serious negative impact and is very likely to occur or has occurred; the risk marked in orange refers to a greater probability of occurrence and a greater risk; the risk marked in yellow refers to the possibility of causing negative impact, but the negative impact is controllable; the risk marked in green refers to low possibility of occurrence, and the negative impact is not obvious.

			Impact/Severity				
			Not obvious (A)	Mild (B)	Moderate (C)	Obvious (D)	Severe (E)
			The negative impact of this type of risk is not obvious, and there is almost no change in decision-making on external impact and its own operations.	Such risks have mild negative impacts, which are perceived by external parties to be dissatisfied, and have mild adverse impacts on the company's own operations and business relationships.	Such risks have a moderately negative impact, create obstacles to the realization of legal or legitimate rights and interests of external parties, and have certain adverse impacts on the company's own operations and business relationships, but they can be effectively mitigated.	Such risks have obvious negative impacts, and have obvious substitution effects on the legal or legitimate rights and interests of external parties, leading to external (downstream, media, NGO, government, etc.) inquiries or grievance, and adversely affecting the company's own operations and business relationships. Remedy is quite complicated.	Such risks have serious negative impacts, severely violate the laws and regulations of the host country or home country or international standards, infringe on the legal or legitimate rights of external parties and cause personal injuries and deaths and other irreparable accidents, which have a significant adverse impact on the company's own operations and business relations .
			Not obvious (A)	Mild (B)	Moderate (C)	Obvious (D)	Severe (E)
P o s s i b i l i t y	Such risks are most likely to occur. Inquiries have already appeared from the external parties, and the company has not yet established a response mechanism.	Most likely (5)	5A	5B	5C	5D	5E

	Such risks are very likely to occur, and basically occur when certain conditions are met.	Very likely (4)	4A	4B	4C	4D	4E
	Such risks are likely to occur, have a history of occurrence, and may occur under certain conditions and events.	Likely (3)	3A	3B	3C	3D	3E
	This type of risk has a probability of occurring under the inducement of rapid environmental changes, political incidents, and human-made major operational errors, but the probability of occurrence is very small under normal circumstances.	Slightly possible (2)	2A	2B	2C	2D	2E
	Such risks are almost impossible to occur.	Almost impossible (1)	1A	1B	1C	1D	1E

Type 1 risks—risks associated with serious abuses						
						
Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
1.1 The company has a list of employees ³	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> List of employees 	Including all employees (Chinese and international employees, contract workers, dispatch workers, etc.).

³ Employee list includes the name, gender, ID card/passport and other information of hired employees, dispatched, and outsourced employees.

1.2 The company has established procedures for identifying the age of employees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Introduction of employee identification procedures or methods during recruitment</i> 	Recognize that the age of employees meets the minimum working age requirements of the country in which they are located, and avoid child labor.
1.3 The company has established child labor prevention and remedial procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Child labor prevention and remedial procedures</i> ● <i>Personnel recruitment and hiring procedures</i> 	Procedures to prevent child labor and procedures to implement remedial measures once hired.
1.4 The company install fences and carry out access control management, which can effectively block children from entering	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Fence installation description</i> ● <i>Access control management system</i> 	The management measures taken for fence installation and accessing the mining area to prevent improper entry of non-company personnel, including children.
1.5 The company has arranged effective security patrols, which can effectively prevent children from entering	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Security Management Measures</i> 	Security patrol measures in mining areas have been taken to prevent improper entry of non-company personnel, including children.
1.6 The human resource management procedures established by the company include special protection measures for female employees ⁴	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Special protection measures for female employees</i> ● <i>Recruitment and hiring procedures</i> 	The selection of work types for female employees, special protections during childbirth and breastfeeding, and anti-discrimination measures are in order to comply with the legal requirements of the country where they are located.
1.7 The company has established a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Scope of the grievance mechanism</i> 	Measures for the management of female employees' incidents, such

⁴ For more information on gender equality in the workplace, companies can refer to the International Labor Organization and UN Women: Empowering Women-Corporate Gender Equality Policies and Practices: https://www.ilo.org/wcmsp5/groups/public/---ed_emp/---emp_ent/---multi/documents/publication/wcms_756721.pdf

grievance/communication mechanism including sexual harassment and sexual violence incidents					<ul style="list-style-type: none"> ● <i>Incidents processing record</i> 	as sexual harassment and sexual violence.
1.8 The company has established a working hour system that meets the legal requirements of the country where it is located	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Identification checklist for working hours required by the host country</i> ● <i>Company working hour system</i> 	The working hour system complies with the legal requirements of the country where it is located, avoiding forcing employees to work overtime involuntarily.
1.9 The employees can voluntarily decide to work overtime or not to work overtime	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Working hours system</i> ● <i>Attendance Record</i> ● <i>Employee Interview Record</i> 	The working hour system complies with the legal requirements of the country where it is located, avoiding forcing employees to work overtime involuntarily.
1.10 The employees can voluntarily decide to keep their ID/passport	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>On-site observation</i> ● <i>Employee Interview Record</i> 	Avoid the risk of forced labor caused by restricting the movement of employees. ⁵
1.11 The employees can freely decide to leave the factory	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>On-site observation</i> ● <i>Employee Interview Record</i> 	Avoid the risk of forced labor caused by restricting the movement of employees.
1.12 The employees can freely decide to use the restroom or drink water	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>On-site observation</i> ● <i>Employee Interview Record</i> 	Avoid the risk of forced labor caused by restricting the movement of employees.

Type 2 risks – risks associated with non-state armed groups:



Indicator	Yes	Need improve	No	N/A	Description of supporting document/evidence	Explanation
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⁵ Regarding the risk of forced labor, companies can refer to the International Labor Organization's "Forced Labor Indicators" https://www.ilo.org/wcmsp5/groups/public/---asia/---ro-bangkok/---ilo-beijing/documents/publication/wcms_241879.pdf

		ment				
2.1 Non-state armed groups or their affiliates ⁶ have not controlled ⁷ the mining area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>CCTV record</i> ● <i>On-site observation</i> ● <i>Interview record</i> 	Identify the relationship between non-state armed groups or their affiliates and the mining areas
2.2 Non-state armed groups or their affiliates have not illegally collected taxes or blackmail at the mining area or entry/exit ⁸	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>CCTV record</i> ● <i>On-site observation</i> ● <i>Interview record</i> 	Identify whether non-state armed groups or their affiliates have performed improper conduct.
2.3 There are no non-state armed groups or their affiliates on the transportation route to the company's mining site and production area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>CCTV record</i> ● <i>On-site observation</i> ● <i>Interview record</i> 	Identify whether non-state armed groups or their affiliates are located along the transportation routes of raw materials or product.
2.4 Non-state armed groups or their affiliates have not controlled transportation routes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>CCTV record</i> ● <i>On-site observation</i> ● <i>Interview record</i> 	Identify whether non-state armed groups or their affiliates control transportation routes.
2.5 Non-state armed groups or their affiliates have not illegally collected taxes or extorted during transportation process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>CCTV record</i> ● <i>On-site observation</i> ● <i>Interview record</i> 	Identify whether non-state armed groups or their affiliates illegally collect taxes or extort during transportation process.
2.6 No non-state armed groups have been stationed in the trading place of the company (and the supplier, outsourced processor, customer)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>CCTV record</i> ● <i>On-site observation</i> ● <i>Interview record</i> 	Identify whether there are non-state armed groups or their affiliates at the transaction point.


⁶ Refer to the UN Security Council's resolutions on non-state armed groups. "Affiliates" include traders, wholesalers, intermediaries and other parties in the supply chain that directly cooperate with armed groups to facilitate mining, trading, and processing of minerals.

⁷ "Control" of mines, transportation routes, points where minerals are traded and upstream actors in the supply chain means i) overseeing extraction, including by granting access to mine sites and/or coordinating downstream sales to intermediaries, export companies or international traders; ii) making recourse to any forms of forced or compulsory labour to mine, transport, trade or sell minerals; or iii) acting as a director or officer of, or holding beneficial or other ownership interests in, upstream companies or mines.

⁸ "Extort" from mines, transportation routes, points where minerals are traded or upstream companies means the demanding, under the threat of violence or any other penalty, and for which the person has not voluntarily offered, sums of money or minerals, often in return for granting access to exploit the mine site, access transportation routes, or to transport, purchase, or sell minerals.

2.7 Non-state armed groups or their affiliates have not controlled transactions or illegally levied taxes or extorted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● CCTV record ● On-site observation ● Interview record 	Identify whether non-state armed groups or their affiliates control transactions or illegally collect taxes or extort.
2.8 The company has not purchased minerals from non-state armed groups or their affiliates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● CCTV record ● On-site observation ● Interview record 	Identify the company's relationship with non-state armed groups or their affiliates.
2.9 The company has not made any payments to non-state armed groups or their affiliates.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● CCTV record ● On-site observation ● Interview record 	Identify the company's relationship with non-state armed groups or their affiliates.
2.10 The company has not provided logistical support or equipment to non-state armed groups or their affiliates	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● CCTV record ● On-site observation ● Interview record 	Identify the company's relationship with non-state armed groups or their affiliates.

Type 3 risks – risks associated with public or private security forces:

						
Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
3.1 The selection criteria for security personnel/teams includes provisions on respect for human rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Security personnel selection criteria ● Interview Record ● Screening procedures 	Screening security personnel or service providing companies must be based on provision of respecting human rights.
3.2 The company has screened whether it has a record of human rights violation <u>before</u> hiring security personnel/teams	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Interview Record ● Screening procedures 	Do not employ security companies and personnel that has violated human rights.
3.3 The company has provided training to	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Training Record ● Interview Record 	Security personnel or service providing companies need to be

security personnel/teams; training content includes respect for human rights						knowledgeable about respecting human rights and avoiding conflicts.
3.4 If the company's mining sites and factories have public security forces (mining police, armed groups, etc.), the selection criteria for public security forces include provisions on respect for human rights.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>List of security staff</i> ● <i>Security personnel selection criteria</i> ● <i>Contract provisions</i> 	Screening security personnel or service providing companies must be based on provision of respecting human rights.
3.5 The company has screened whether it has a record of human rights violations before hiring or indirectly hiring public security forces.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Interview Record</i> ● <i>Screening procedures</i> 	Public security forces and personnel that violate human rights must not be employed.
3.6 The company has provided training to the public security armed forces; training content includes respect for human rights.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Training Record</i> ● <i>Interview Record</i> 	Security personnel need to be knowledgeable about respecting human rights and avoiding conflicts.
3.7 The company can provide payment for the public security armed forces.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>List of fees or receipts</i> ● <i>Contract</i> ● <i>Bank transfer records</i> 	Cost transparency or solutions to increase transparency.
3.8 Company's security personnel have never had any physical or armed conflicts with employees (including employees at the mining area, contract employees, dispatched employees, etc.).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Interview Record</i> ● <i>Documents review</i> ● <i>On-site observation</i> 	Security personnel need to respect human rights and avoid conflicts.
3.9 The company's security personnel have never had physical or armed conflicts with residents of surrounding communities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Interview Record</i> ● <i>Documents review</i> ● <i>On-site observation</i> ● <i>Grievance mechanism</i> 	Security personnel need to respect human rights and avoid conflicts.

Type 4 risks – tax payment and information disclosure, bribery, money laundering and misrepresentation of the origin of minerals:



Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
4.1 The company pays taxes, fees and royalties to the government on time	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Tax payment proof ● Receipt ● Cost vouchers 	Taxes and fees required to be paid to the government.
4.2 The company has never been fined due to overdue payment of taxes, fees and royalties to the government.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Fine file ● Government notice ● Interview Record 	Taxes and fees required to be paid to the government.
4.3 The company can provide certificates of origin or instructions for all minerals or products.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Certificates of origin 	It is necessary to prove that the raw materials are all self-produced minerals and there is no outsourced ore.
4.4 The company can provide inventory records, sales records and/or customs documents (export) for all products.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Inventory Record/Ledger ● Material balance sheet ● Sales Contract ● Customs declaration 	It is necessary to prove that there is no risk of smuggling or money laundering in product sales.
4.5 The company has formulated the procedure of anti-bribery and corruption	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Anti-corruption procedure 	Formulate anti-corruption procedures to prevent corruption.
4.6 Anti-bribery or bribery has not occurred to employees of the company.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Interview Record ● Grievance mechanism ● Court decision 	It is necessary to prevent employees from participating in anti-bribery and bribery .
4.7 No bribery occurred during the transportation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Toll receipt ● Transport route description 	Respond systematically to the occurrence of petty corruption

by the company.						incidents.
4.8 The company has formulated an anti-money laundering policy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Anti-money laundering policy</i> 	The risk of money laundering needs to be prevented.

5.2.8 Assess the linkage between the company and the actual or potential adverse impacts						
Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.2.8.1 Solicit opinions from business relationships, other related companies and other relevant stakeholders;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● List of identified related party ● Consultation record 	Solicit opinions from relevant parties during the evaluation process
5.2.8.2 Consult the opinions of affected stakeholders or their legal representatives;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● List of identified stakeholders ● Consultation record 	Especially comments from affected stakeholders.
5.2.8.3 Seek necessary professional comments through internal or external consultation;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Consultation record 	Seek comments from experts.
5.2.8.4 If the affected stakeholders disagree with the company's assessment of its actual or potential adverse impacts, it will sincerely cooperate with proper mechanisms designed to help resolve differences and provide remedies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● List of identified stakeholders ● Consultation record ● Resolving results 	Seek comments from affected parties, and responding measures
5.2.8 Assess the linkage between the company and the actual or potential adverse impacts						
<i>【The assessor fills in the assessment description for this requirement here】</i>						

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5.2.9 Carry out risk rating						
Indicator	Yes	Need improve ment	No	N/A	Description of supporting document/evidence	Explanation
5.2.9.1 Identify which potential or actual impacts can be eliminated immediately or mitigated, at least mitigated to a certain extent (such as updating contract terms with suppliers, revising assessment agreements, etc.);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Risk Assessment Report 	Carry out risk assessment to determine priority or emergency management and risks.
5.2.9.2 Based on the company’s assessment results of its own adverse impacts, prioritize actions to address the most important impacts;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Risk Assessment Report 	Determine priority or emergency management and risk types.
5.2.9.3 Regarding impacts relevant to business relationships, assess to what extent the business relationship has appropriate policies and processes to identify, prevent and mitigate related risks;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Description of business relationship 	Understand their own leverage through the analysis of business relationships.
5.2.9.4 If it is impossible to eliminate actual and potential impacts directly related to business operations, products or services due to business relationships (or these impacts cannot be eliminated as much as possible), assess the likelihood and severity of the identified impacts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● Risk Assessment Report 	Determine the order of risk treatment according to likelihood and severity.

<p>or risks to clearly understand what prioritized actions to address the issues. Once the most important impact is identified and addressed, the company should continue to address the relatively minor impact;</p>						
<p>5.2.9.5 Solicit the opinions of business relationships, other related companies, and affected or potentially affected stakeholders and right holders on the decision of priority ranking.</p>	□	□	□	□	<ul style="list-style-type: none"> ● Risk Assessment Report ● Comment consultation record 	<p>Solicit opinions from relevant parties on the priority order of risk management.</p>

5.2.9 Carry out risk rating
<i>【The assessor fills in the assessment description for this requirement here 】</i>

Step 3: Risk prevention and mitigation

Summary of assessment results		Breakdown			
	Yes	Need improvement	No	Zero tolerance	Not applicable
S3 Risk prevention and mitigation					

Note: After completing the assessment under Step 3: Risk prevention and mitigation, the assessor can summarize the results in this table.

5.3.1 Report risk assessment results internally

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.3.1.1 Report the risk assessment results identified in Step 2 to designated senior management in charge of due diligence. The risk assessment results should include the actual and potential risks identified in the supply chain risk assessment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> • Reporting record • Approval record (if there is) 	Report the risk assessment and its results internally.

5.3.1 Report risk assessment results internally

【The assessor fills in the assessment description for this requirement here】

5.3.2 Develop and adopt risk management plan

Indicator	Yes	Need improvement	No	N/A	Assessor's summary description of the indicator
5.3.2.1 Develop and adopt a risk management plan, which should cover all the risks identified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:

and assessed in Step 2. The risk management plan should have the following elements:						
Element	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
a. Consult suppliers and affected stakeholders and agree on the strategy for risk mitigation in the risk management plan (see 5.3.2.2);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Risk management plan</i> ● <i>Informed consent signed by related parties</i> 	Develop a risk management plan, and the risk management plan has been consulted and agreed upon by relevant stakeholders.
b. The risk management plan should include measurable risk mitigation strategies that aims to incrementally improve performance within a reasonable time frame;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Risk management plan</i> 	The content of the risk management plan should include risk mitigation strategies, timeline, and monitoring indicators.
c. Clearly state performance objectives within a reasonable timeframe, including qualitative and/or quantitative indicators to measure improvement;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Risk management plan</i> 	The content of the risk management plan should include performance objectives and monitoring indicators.
d. The risk mitigation strategy should be adjusted according to the company's specific suppliers and the contexts of its operations;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Risk management plan</i> 	The risk management plan can be adjusted as circumstances change
e. The company should approve the risk management plan to make it effective;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>A signed risk management plan</i> 	The risk management plan is signed by the interdepartmental committee or relevant principal

<p>f. With due regard to business confidentiality and other competitive concerns, the risk management plan developed by upstream companies should be disclosed, and sufficient time should be provided for affected stakeholders to comment and feedback on the risk management plan.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Public links or other means</i> ● <i>Documents reviewed and fed back by relevant stakeholders</i> 	<p>Records of stakeholder participation in the risk management plan</p>
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Indicator	Yes	Need improve ment	No	N/A	Assessor's summary description of the indicator
<p>5.3.2.2 In the risk management plan, companies should manage risk by using the following mitigation strategies:</p> <p>a. continuing trade throughout the course of major risk mitigation efforts;</p> <p>b. temporarily suspending trade while pursuing ongoing major risk mitigation;</p> <p>c. disengaging with a supplier in cases where mitigation measures fail or mitigation appears not feasible or unacceptable.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The assessor's assessment conclusion on the performance of the enterprise in this indicator:</p>

<p>5.3.2 Develop and adopt risk management plan</p>
<p><i>【The assessor fills in the assessment description for this requirement here】</i></p>



5.3.3 Implement risk management plan, monitor and track performance of risk mitigation strategies						
Indicator	Yes	Need improve ment	No	N/A	Description of supporting document/evidence	Explanation
5.3.3.1 Jointly implement the risk management plan, monitor and track performance of risk mitigation measures in cooperation with stakeholders;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Implementation record of the risk management plan</i> 	Monitor the implementation of the risk management plan.
5.3.3.2 In the process of implementing the risk management plan, if major changes in risks are identified, the risk management plan should be adjusted accordingly;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Implementation record of the risk management plan</i> 	The implementation of the risk management plan can be adjusted according to changes in the environment.
5.3.3.3 Cooperate and/or consult with affected stakeholders, local and central governments, upstream companies, international or civil society organizations on the implementation, monitoring, performance tracking and other measures of the risk management plan;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Implementation record of the risk management plan</i> ● <i>Consultation/communication record</i> 	Maintain communication with relevant parties on the implementation process of the risk management plan.
5.3.3.4 This can be done by establishing or supporting local community-monitoring networks;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Implementation record of the risk management plan</i> ● <i>Community engagement plan</i> 	The risk management plan may include community engagement and supervision.

5.3.3.5 Report to designated senior managers and confirm whether the risk management plan needs to be adjusted.	□	□	□	□	<ul style="list-style-type: none"> ● <i>Implementation record of the risk management plan</i> ● <i>Adjustment record of the risk management plan</i> 	The implementation of the risk management plan can be adjusted according to changes in the environment.
Assessor's assessment conclusions for this indicator 5.3.3.1 to 5.3.3.5:						

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.3.3.6 The risk management plan includes the identification and management of risks that violate specific national laws and regulations, sanctions, etc., and communicate with specific customers if necessary;	□	□	□	□	<ul style="list-style-type: none"> ● Identification of legal and regulatory information 	Identify the sanctions and other information of a specific country based on the actual situation to avoid commercial risks.
Assessor's assessment conclusions for this indicator:						

Indicator	Yes	Need improvement	No	N/A	Assessor's summary description of the indicator
5.3.3.7 The company demonstrates the	□	□	□	□	The assessor's assessment conclusion on the performance of the

effectiveness and transparency of the risk management plan according to the following suggestions:					enterprise in this indicator:	
Element	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
a. Approval of the management of the company;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Signed risk management plan 	The risk management plan is internally approved.
b. The affected stakeholders are involved;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Record of affected parties' involvement 	External parties are involved with the risk management plan, especially the participation of affected parties.
c. On-the-ground investigation and monitoring process;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Implementation record of the risk management plan 	The risk management plan is monitored in real time.
d. Disclose the risk management plan with due regard to business confidentiality;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> <i>Evidence of being public accessible (e.g. URL)</i> 	Risk management plan is public accessible.
e. Take additional risk management actions such as temporary suspension, disengaging or strengthening leverage.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Additional management measures 	The implementation of the risk management plan can be adjusted according to changes in the environment.

5.3.3 Implement the risk management plan, monitor and track performance of risk mitigation strategies

【The assessor fills in the assessment description for this requirement here 】

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5.3.4 Supplementary assessment of risks that need to be mitigated. Supplementary assessments can also be conducted after actual circumstances have changed

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.3.4.1 After implementing a risk mitigation strategy, conduct monitoring and additional assessment for risks requiring mitigation, after a change of circumstances or supply chain.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Necessity statement of additional assessment, etc. 	The implementation of the risk management plan can be adjusted according to changes in the environment.

5.3.4 Supplementary assessment of risks that need to be mitigated. Supplementary assessments can also be conducted after actual circumstances have changed

【The assessor fills in the assessment description for this requirement here 】

Step 4: Internal and external assessment

Summary of assessment results		Breakdown				
		Yes	Need improvement	No	Zero tolerance	Not applicable
S4	Internal and external assessment					

Note: after completing the self-assessment of “Step 4: Internal and external assessment”, the assessor can summarize the results in this table.

5.4.1 Companies should establish internal assessment system, to continuously monitor and manage due diligence performance

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.4.1.1 Develop internal assessment plan, establish internal assessment team and assign a team leader;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> • <i>Internal assessment plan</i> 	Establish an internal assessment system
5.4.1.2 Regularly conduct internal assessment, identify issues and risks, to establish improvement plan and monitor its implementation;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> • <i>Assessment results and improvement plan</i> 	Implement and conduct internal assessment.
5.4.1.3 Members of internal assessment team should be competence and qualified for supply chain due diligence management.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> • <i>Assessor's resume</i> 	Internal assessors meet certain qualifications and competence requirements.

5.4.1 Companies should establish internal assessment system, to continuously monitor and manage due diligence performance

【The assessor fills in the assessment description for this requirement here】

5.4.2 Companies should designate the second- or third-party to conduct assessment when applicable.

Term	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.4.2.1 Assign independent assessment institute and assessor with high reputation to conduct assessment;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> External Assessment Power of Attorney/Contract 	Conduct external assessment.
5.4.2.2 Conduct annual assessment, the scope of assessment includes a reporting period of 12 months;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Assessment plan/report 	The period of external assessment shall not exceed 12 months at most and not less than 3 months at least.
5.4.2.3 Documents should be fully prepared for assessor's review, including system documents, on-the-ground assessment reports, records of stakeholders consultation, supplier assessment reports, etc.;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Assessment report 	Facilitate external assessment.
5.4.2.4 Allow assessor to access to facilities or sites within the scope of assessment for in-site investigation, document review and interview;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Assessment report 	Facilitate external assessment.
5.4.2.5 Under specific circumstance, if the company sources materials from conflict-affected and high-risk areas, the company should facilitate contact with suppliers selected by the assessment team;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Communication record 	Facilitate external assessment, especially providing supplier samples and helping assessor communicate/interview with suppliers.
5.4.2.6 Explore fair and feasible cost-sharing plans with upstream and downstream companies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Communication record 	Communicate with upstream and downstream companies on

for assessment. These plans include, when possible, providing capacity building for companies to be assessed, to achieve expected requirements, and commit purchase, to ensure fair payment.						assessment plans and costs.
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5.4.2 Companies should designate the second- or third-party to conduct assessment when applicable.

【The assessor fills in the assessment description for this requirement here】

5.4.3 When necessary, the company at the key points(smelters/refiners) makes necessary disclosures on the assessment results.						
Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.4.3.1 Publish assessment report or summary with due regard to business confidentiality and competitive concerns;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Public accessible web links 	The refinery/smelter publishes the assessment report or summary when appropriate.
5.4.3.2 Release the name of assessment institute and assessors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Public accessible web links 	The public assessment report or summary includes information on the assessment agency and assessors.

5.4.3 When necessary, the company at the key points(smelters/refiners) makes necessary disclosures on the assessment results.

【The assessor fills in the assessment description for this requirement here】

5.4.4 Companies should develop corrective action plan in accordance with the assessment results.

Indicator	Yes	Need improvement	No	N/A	Assessor's summary description of the indicator	
5.4.4.1 Determine whether an improvement plan is needed based on the assessment results. If necessary, the improvement plan should include:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:	
Element	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
a. A description of the issues identified in the assessment;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> • <i>Corrective plan</i> 	The corrective plan includes a description of the problem.
b. In accordance with suggestions that can be referred to in the annex of this Guideline;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> • <i>Corrective plan</i> 	The corrective plan includes risk mitigation strategy and suggestions in accordance with the the model policies in Appendix I of the Chinese Guidelines.

c. The type and level of risk identified;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Corrective plan</i>	The corrective plan includes risk rating results.
d. Root Cause Analysis;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Corrective plan</i>	The corrective plan includes an analysis of the root cause
e. Specific measures for improvement actions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Corrective plan</i>	The corrective plan includes specific measures.
f. The timeframe for implementing the improvement plan;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Corrective plan</i>	The corrective plan includes the timeframe.
g. The department or person in charge of implementing the improvement plan.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Corrective plan</i>	The corrective plan includes the department or person in charge.

5.4.4 Companies should develop action corrective plan in accordance with the assessment results

【The assessor fills in the assessment description for this requirement here】

Step 5: Reporting and communication

Summary of assessment results	Breakdown				
	Yes	Need improvement	No	Zero tolerance	Not applicable
S5 Reporting and communication					

Note: After completing the assessment of “Step 5: Reporting and communication”, the assessor can summarize the assessment results in this table.

5.5.1 Develop due diligence progress report

Indicator	Yes	Need improvement	No	N/A	Assessor's summary description of the indicator	
5. 5. 1. 1 Determine the scope of due diligence progress report, the content should cover the following elements:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:	
Element	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
a. Due diligence policy;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> ● <i>Policy</i> 	The due diligence progress report needs to reflect the due diligence policies or commitments formulated by the company.
b. Management structure for the company's due diligence;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> ● <i>Committee structure</i> 	The report needs to reflect the corporate management structure and the management of related due diligence efforts, such as committee structures.
c. Description of control and transparency system;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> ● <i>Control and transparency system</i> 	The report needs to reflect the description of the company's control and transparency system to

						disclose and demonstrate the management of the company's supply chain traceability.
d. Supplier cooperation methods and content	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> ● <i>Records of cooperation</i> 	The report needs to reflect the cooperation and communication content between the company and the supplier.
e. Grievance mechanism, procedures and dealing status of received complaints;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> ● <i>Grievance mechanism</i> 	The report needs to reflect the company's grievance mechanism.
f. Procedure or method to identify Conflict-Affected and High-Risk areas (CAHRAs);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> ● <i>Procedures for identification of CAHRAs</i> 	The report needs to reflect the procedures and results of the company's identification of CAHRAs.
g. The company's assessment report or summary;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> ● <i>Assessment report / summary</i> 	The company's assessments/audit reports or summary (especially the crude and fine refiners) conducted by the third-party
h. Ways or methods of report disclosure.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> 	Public link or other means

Indicator	Yes	Need improvement	No	N/A	Assessor's summary description of the indicator	
5. 5. 1. 2 For companies who triggered the red flags, the report should also include the following elements:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The assessor's assessment conclusion on the performance of the enterprise in this indicator:	
Element	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
i. Information of chain of custody or traceability of the supply chain;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> 	The report needs to reflect the traceability information of the company's supply chain.
j. Information on the origin of raw materials;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> 	The report needs to reflect the origin information of the company's raw materials.
k. Methods and results of risk identification and assessment;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> ● <i>Result of risk identification</i> 	The report needs to reflect the methods and results of risk identification.
l. Method, process and results of on-the-ground assessment;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> ● <i>Report of on-the-ground assessment</i> 	The report needs to reflect the company's on-the-ground assessment methods and results.
m. The measures and strategies adopted in	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> ● <i>Risk management plan</i> 	The report needs to reflect the company's risk management plan.

the risk management plan, the participation of affected stakeholders, etc.;						
n. Risk monitoring and performance tracking results;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> ● <i>Risk management plan</i> 	The report needs to reflect the process and results of risk monitoring and performance tracking.
o. Suggestions of reporting may be provided on extractive industry transparency or information disclosure in some countries.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Progress report</i> 	The report needs to reflect the company's response to transparency requirements.

5.5.1 Develop due diligence progress report

【The assessor fills in the assessment description for this requirement here】

5.5.2 With due regard to business confidentiality and other competitive concerns, companies should publish due diligence progress reports or summary.

Indicator	Yes	Need improve ment	No	N/A	Description of supporting document/evidence	Explanation
5.5.2.1 Publish on its own or through industry platforms;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> • <i>Public link</i> 	Companies need to publish the due diligence progress report or summary to increase transparency.
5.5.2.2 The due diligence information can also be incorporated in its sustainability report, corporate social responsibility report, supply chain management progress report or annual report for disclosure.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> • <i>Corporate social responsibility (CSR) report, etc.</i> 	Companies can voluntarily choose to include the progress of due diligence in other reports such as corporate social responsibility reports.
5.5.2.3 Compile and disclose the report on an annual basis					<ul style="list-style-type: none"> • <i>The report containing the formulation cycle</i> 	Formulate the report on a regular basis.

5.5.2 With due regard to business confidentiality and other competitive concerns, companies should publish due diligence progress reports or summary.

【The assessor fills in the assessment description for this requirement here】

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Requirement	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.5.3 During the preparation and release of the report, the company can consider publishing the report in local languages, to communicate with actual or potential affected stakeholders in a timely and accessible way, and with local cultural perspective.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Reports in local language</i> 	Companies can translate the report into the local language and regard the report as a medium of effective communication.
5.5.4 In addition to reporting due diligence progress, companies can also consider other communication methods, such as: a. Face-to-face meeting; b. Online dialogue; c. Seek comments from actual and potential affected parties; d. Share assessment process or assessment results with workers' union.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Meeting minutes</i> ● <i>Communication record</i> ● <i>Consultation record</i> 	<p>Holding meetings is an effective way of communication.</p> <p>Online meetings can complement the communication effectiveness.</p> <p>Consult as many affected stakeholders as possible.</p> <p>Consult the company's labor unions and local labor unions as much as possible.</p> <p>Identify local medias for communication, such as local</p>

e. Other appropriate media.						media, internet platforms, etc.
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5.5.3-5.5.4
<i>【The assessor fills in the assessment description for the requirements 5.5.3 to 5.5.5】</i>

Step 6: Provide for or cooperate in remediation when appropriate

Summary of assessment results	Breakdown				
	Yes	Need improvement	No	Zero tolerance	Not applicable
S6 Provide for or cooperate in remediation when appropriate					

Note: After completing the assessment of “Step 6: provide for or cooperate in remediation when appropriate”, the assessor can summarize the results.

5.6.1 When the company recognize that it has caused or contributed to actual adverse impacts, they should mitigate these impacts by providing for or cooperating in remediation when appropriate.

Indicator	Yes	Need improvement	No	N/A	Assessor's summary description of the indicator	
<p>5. 6. 1. 1 The company has a process or procedure to identify the relationship between the company and the adverse impact.</p> <p>Comply with laws and regulations, and seek out national or international guidance on remediation (if available); where such guidance is not available, consider to take remediation measures that are consistent with that provided in similar cases.</p> <p>The type of remediation or combination of remediation measures depend on the nature and extent of the adverse impacts, and may include:</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The assessor's assessment conclusion on the performance of the enterprise in this indicator:</p>	
<p>Element</p> <p>【When the company contributes or promotes adverse impacts, the following elements should be assessed, otherwise select "not applicable (N/A)"】</p>	<p>Yes</p>	<p>Need improvement</p>	<p>No</p>	<p>N/A</p>	<p>Description of supporting document/evidence</p>	<p>Explanation</p>
<p>a. Apologies;</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Apology letter</i> 	<p>Remedial measures may include formal apology.</p>
<p>b. Restitution or rehabilitation (such as</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Restitution or rehabilitation</i> 	<p>Remediation measures may include</p>

reinstatement of a dismissed worker, recognition of the trade union for the purpose of collective bargaining);					<i>measures</i>	restitution or rehabilitation.
c. Financial or non-financial compensation (for example, establishing compensation funds for victims, or for future outreach and education programmes);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Compensation measures</i>	Remediation measures may include compensation.
d. Punitive sanctions (for example, dismissal of staff responsible for wrongdoing);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Punitive measures</i>	Remediation measures may include appropriate punitive measures.
e. Take measures to prevent adverse impacts in the future.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Preventive measures</i>	Remediation measures may include preventive measures.

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.6.1.2 Seek to restore the affected people to the original situation they were in as far as possible, and implement corresponding remedies according to the significance and degree of the adverse impacts;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Restitution or rehabilitation and compensation measures</i>	Remediation measures may include restitution or rehabilitation, and develop compensation measures.
5.6.1.3 The affected stakeholders or their representatives can be consulted and cooperated	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	● <i>Consultation record</i>	In the remedial process, the opinions of affected stakeholders or their representatives need to be

to provide remedies;						consulted.
5.6.1.4 Establish a grievance mechanism (refer to 5.1.5 for details), and seek to the satisfaction of impacted personnel about the remedy process and results.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> ● <i>Grievance record</i> 	The grievance mechanism is also an effective information source to provide remediation measures.
Assessor's assessment conclusions for indicators 5.6.1.2 to 5.6.1.4:						

5.6.1 When the company recognize that it has caused or contributed to actual adverse impacts, they should mitigate these impacts by providing for or cooperating in remediation when appropriate.

【The assessor fills in the assessment description for this requirement here】

5.6.2 Companies provide conditions or cooperate with existing remedial mechanisms in a timely manner

Indicator	Yes	Need improvement	No	N/A	Description of supporting document/evidence	Explanation
5.6.2.1 Cooperate with judicial or non-judicial mechanisms. For example, the country's judicial mechanism, the National Contact Point of OECD, or other industry initiatives on grievance mechanisms.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<ul style="list-style-type: none"> Application or remediation records 	Existing mechanisms can be used to determine remediation measures, such as litigation and other judicial mechanisms, arbitration, or grievance mechanisms provided by some international agencies and industry organizations.

5.6.2 Companies provide conditions or cooperate with existing remedial mechanisms in a timely manner

【The assessor fills in the assessment description for this requirement here】

6. List of evidences for assessment

Note: After obtaining the company's permission or consent, the assessor can attach the following evidence to the back of this report, or form an individual file.

No.	Title	No.	Title
1	The company's responsible sourcing policy	13	Training plan
2	Administration Committee/Working Group Management Measures	14	Training record
3	Supplier Code of Conduct (if applicable)	15	Procedures and checklist for identifying conflict-affected and high-risk areas
4	Supply Chain Traceability Form	16	Warning signal review checklist
5	Material balance sheet	17	Risk Identification Form
6	Suppliers list	18	Risk prevention and mitigation plan
7	Terms of Responsible Sourcing Contract	19	Corrective Action Plan (CAP)
8	Certificate of Origin/Customs Declaration (Customs Clearance) Form	20	Internal Assessment Report/Summary
9	List of outsourced processes and outsourced factories (if applicable)	21	Internal Assessment Workplan
10	List of stakeholders	22	Third party assessment/audit report or summary (if applicable)
11	Stakeholder consultation record (if applicable)	23	Progress report or summary
12	Grievance mechanism	24	Remediation plan (if applicable)

7. On-site photoes

Note: After obtaining the company's permission or consent, the assessor can take photos of the company's gate, on-site raw material storage, production process/procedure, product storage site, etc., and attach it to this report (if the company refuses, the assessor can make a note).
