# Checklist for your annual report on supply chain due diligence

This checklist is in line with Step 5 of the OECD DDG. You can use this checklist to make sure your annual report covers all that is required. Make sure you pay due regard to confidentiality and other competitive or security concerns.

This document only covers reporting for downstream and mid-upstream companies. Upstream companies are not covered by this document, as few companies in the EU are involved in, for example, the extraction of 3TG.

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| **If you are a downstream company** | |
| **On your company management system** | |
| **How** | **Tick when completed and add notes when necessary** |
| 1. Describe the steps taken to implement a strong company management system |  |
| 1. Include details about your policies |  |
| 1. Include details about the management structure when possible – indicate who in the company is directly responsible |  |
| 1. Explain the control system you put in place over the supply chain |  |
| 1. Describe how Step D above helped your company institute stronger due diligence efforts |  |
| 1. Indicate what database and record-keeping system you use |  |
| **On risk assessment** | |
| **What** | **Tick when completed and add notes when necessary** |
| 1. Describe the steps you have taken to identify and assess the risks in your supply chain |  |
| 1. Describe the steps you have taken to identify refiners in your supply chain |  |
| 1. Describe how you assess their due diligence practices |  |
| 1. Explain the methodology you use for supply chain risk assessment |  |
| 1. Disclose actual or potential risks identified by the company |  |
| **On risk management** | |
| **What** | **Tick when completed and add notes when necessary** |
| 1. Describe the steps taken to design and implement a strategy to respond to identified risks |  |
| 1. Describe the steps you take to manage risks |  |
| 1. Include a summary of risk mitigation activities undertaken both generally and in relation to specific incidents arising |  |
| 1. Include any training delivered or received |  |
| 1. Include details about your engagement with stakeholders |  |
| 1. Describe how the company monitors and tracks the performance of its risk mitigation |  |
| 1. Describe if and how you evaluated your improvements after six months |  |
| **If you are a smelter or refiner** | |
| **On audits** | |
| **How** | **Tick when completed and add notes when necessary** |
| 1. Publicise the summary of your audits |  |
| 1. The audit activities:  * See OECD DDG, Supplement on 3T, Step 4 (A) * See OECD DDG, Supplement on Gold Step 4(A)(4) or Step 4(B)(2) |  |
| 1. The audit conclusions |  |
| On grievances and remediation | |
| 1. The grievances received and how you handled them |  |
| 1. How you ensured remediation of materialised risks was achieved |  |