

# Risk Assessment tools

Name of tool / initiative	Company	Description
<u>Assent University Classroom</u>	Assent Compliance	The Assent University Classroom is a subscription based online compliance learning management system. Courses delivered through the Classroom cover a variety of corporate social responsibility, product compliance and vendor management requirements, both from the company and supplier perspectives.
<u>Country Risk Assessment Tool</u>	Responsible Business Alliance	The RBA Country Risk Assessment Tool allows users to identify and compare governance, human rights, and conflict risk indices across geographic regions globally. Utilizing the resources identified in the <u>European Commission's non-binding guidelines for the identification of conflict affected and high risk areas and other supply chain risks</u> , the tool classifies countries as low-, medium-, high-, and extreme-risk in an interactive and up-to-date world map.
<u>Country Risk Monitoring</u>	Verisk Maplecroft	Verisk Maplecroft's Country Risk Monitoring subscription service combines analysis from a global team of country and issue specialists with a range of risk datasets. Together, these offer analysis of political, human rights, economics and environmental challenges in strategic countries across the globe. The service, which is accessed via Verisk Maplecroft's online portal, allows companies to: <ul style="list-style-type: none"> <li>• Access third-party country risk assessments</li> <li>• Receive tailored content, using a mix of data, commentary and in-depth analysis</li> <li>• Seek specific guidance from country and issue experts</li> <li>• Understand the structural factors driving future risks to help them plan future investment and sourcing decisions</li> </ul>

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<u>Commodity Risk Services</u>	Verisk Maplecroft	Verisk Maplecroft's Commodity Risk Service helps companies move their responsible supply chain monitoring beyond their Tier One suppliers. It provides companies with data and insight to help them understand, identify and prioritise risk hotspots across major commodity producing countries.
<u>DELVE</u>	World Bank	DELVE is a global online data platform on ASM. It aggregates data from different stakeholders to help governments, NGOs, businesses and others working to improve the lives of artisanal miners. It aims to make their work safer and more sustainable, and to formalise the sector so it can play a bigger role in global development.
<u>Due Diligence Guidance: towards conflict-free minerals supply chain</u>	OECD	The OECD Due Diligence Guidance is a simplified guide to the basics of due diligence in the supply chain of tin, tantalum, tungsten and gold from conflict-affected and high-risk areas in Africa's Great Lakes region, in line with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas. The guidance is intended for use by artisanal and small-scale mining entities or large producers, mineral traders, processors or other treatment/conversion entities, exporters, international concentrate traders, minerals re-processors, and smelters/refiners. Following the steps set out in this guide will help a company or individual become certified under the ICGRL Certification Scheme.
<u>LBMA Refiners Toolkit</u>	LMBA	This LBMA toolkit contains checklists, forms and questionnaires to help refiners achieve compliance with the LMBA Responsible Sourcing programme.
Monitoring and reporting tool	Responsible Trade, IMPACT, COSOC, Great Lakes and	This monitoring and reporting tool was initially designed to help local NGOs in the Democratic Republic of the Congo structure and assess their reports on mine sites to have greater impact and reach downstream actors. The tool includes a checklist developed from several representative industry standards, and a reporting tool to better

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	Canadian Government	describe what was investigated, what the findings were and how their results can be measured against both regional and internationally acceptable standards. The tool is accessible upon request from <a href="#">COSOC-GL</a> (Coalition of Civil Society Organizations in the African Great Lakes Region against the Illegal Exploitation of Natural Resources). NGO reports using the Monitoring and Reporting Tool will be publicly available on the COSOC-GL website.
<a href="#">OECD Portal for Supply Chain Risk Information</a>	OECD	<p>This OECD portal will help companies understand risks in their supply chains and prioritise those risks to enable a more efficient and effective due diligence process. The portal will support implementation of steps one and two of the 5-Step due diligence process. These steps are structured around the actions companies should take to identify the factual circumstances involved in the extraction, transport, handling, trading, processing, smelting, refining and alloying, manufacturing or selling of products that contain minerals originating from conflict-affected and high risk areas. The information included in the portal will cover the following areas:</p> <ul style="list-style-type: none"> <li>• Supply chain information: uses of minerals; supply chain structures; data on trade, production, consumption and prices; artisanal and small-scale mining data; existing supply chain initiatives.</li> <li>• Country-level information: country specific information on the risks identified in Annex II of the OECD Due Diligence Guidance.</li> <li>• Third party reports of risk: publicly available third party reports of Annex II risks of the OECD Due Diligence Guidance related to particular mineral supply chain.</li> </ul>
<a href="#">Risk Assessment Tool</a>	Sedex	The Sedex risk assessment tool uses risk data from Verisk Maplecroft. It assesses according to inherent risk, based on country, product area, sector profile and site function, and management proficiency risk, based on data about the company taken from

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		<p>a Sedex self-assessment questionnaire. Sedex also provides a pre-screening function to help companies assess the risk level of a potential supplier and determine how much support a potential supplier might need.</p>
<p><u>Risk Indices</u></p>	<p>Verisk Maplecroft</p>	<p>Verisk Maplecroft's portfolio of 150 risk indices offers organisations a view of their risk exposure at a global scale across political, economic, human rights and environmental risk categories. These offer global coverage and comparable risk scores for up to 198 countries and are based on in-house methodologies that clients can access alongside underlying data. The indices encompass a range of issues, including conflict minerals, modern day slavery and human trafficking.</p>
<p><u>Risk Readiness Assessment (RRA)</u></p>	<p>Responsible Business Alliance</p>	<p>The RBA Risk Readiness Assessment is a self-assessment tool for minerals and metals producers and processors to assess and communicate their risk management practices and performance, using benchmarked norms established in the RBA Standards Comparison. The assessment tool includes 15 minerals/metals: Aluminium, Alumina, Tantalum, Steel, Mica, Nickel, Lithium, Iron Ore, Gold, Tungsten, Tin, Graphite, Bauxite, Cobalt and Copper.</p>
<p><u>RJC Risk Assessment Toolkit</u></p>	<p>Responsible Jewellery Council</p>	<p>The RJC Risk Assessment toolkit is designed to implement the Responsible Jewellery Council's Code of Practices. It is aimed at small and medium-sized enterprises and those who are practicing due diligence for the first time, to make it as streamlined as possible. It is freely available online. It helps to identify risks within a company's business practices, locations and facilities and divides them according to low, moderate, high and extreme levels of risk. The toolkit provides a list of controls and systems that should be developed to address key risks and mitigation methods for responding to any risks discovered during the assessment.</p>

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<u>World-Check Enhanced Due Diligence tool</u>	Refinitiv	The Refinitiv Enhanced Due Diligence service provides deeper levels of background and integrity checks compiled by specialist researchers. It can be used for compliance with legislation including the UK Bribery Act, Anti-Money Laundering and Countering of the Financing of Terrorism. This service can help ascertain the security of a company's supply chain and assess the geopolitical risks of a transaction or individual that is linked to high risk country. It may also be used to conduct enhanced due diligence when automated risk screening reveals a risk.
<u>Responsible Sourcing Book</u>	CIBJO	The CIBJO Responsible Sourcing Policy provides guidance for CIBJO members and the broader jewellery supply chain. It is intended to provide a duty of care in jewellery industry supply chains, recommending guidelines and procedures which a participant in the jewellery supply chain may apply to provide assurance of responsible sourcing as far as possible. The Responsible Sourcing Policy provides guidance for responsible business practices and supply chain due diligence: it is not a system to address traceability of precious metals or gem materials to a mine source nor does it provide a chain of custody.
<u>Responsible Minerals Assurance Process (RMAP)</u>	Responsible Minerals Initiative	The RMAP uses a third-party audit of smelter/refiner management systems and sourcing practices to validate conformance with RMAP protocols and current global standards. The audit employs a risk-based approach to validate smelters' company level management processes for responsible mineral procurement. Companies can then use this information to inform their sourcing choices.
<u>RMI Blockchain Guidelines</u>	Responsible Minerals Initiative	The RMI Blockchain Guidelines provide guidance relating to the testing and use of blockchain technology as a tool to enhance transparency in mineral supply chains. The Guidelines apply to any mineral or metal supply chain, any geography and any type of mineral / metal production where blockchain technology is used. As such, the

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		Guidelines include definitions for commonly used actors and processes in mineral supply chains.
<u>RMI Grievance Mechanism</u>	Responsible Minerals Initiative	The RMI welcomes submission of grievances as part of its continuous improvement and risk management. The mechanism is intended for members, stakeholders and the public to raise concerns about the initiative, the audit program, protocols, smelter and refiner operations that fall in scope of the RMAP, audit and auditor competencies, mineral supply chains and upstream/downstream initiatives.
<u>Standards Comparison</u>	Responsible Business Alliance	The RBA Standards Comparison condenses more than 50 commonly used standards in the materials value chain down into 31 core issue areas. It is periodically refreshed to reflect changes in standards requirements. The tool includes key social, environmental and governance issues such as Child Labour, Occupational and Community Health and Safety, Pollution and Legal Compliance. The standards are compared with one another, establishing a norm and whether in each issue area an individual standard "misses", "meets", "exceeds" or "leads" the norm.
<u>The ITSCI Programme</u>	ITSCI	The ITSCI programme establishes traceability in the upstream supply chain from mine to smelter and helps companies to establish due diligence through independent audits and risk assessments. The programme operates in over 1000 mine sites in Burundi, Rwanda and the DRC. ITSCI works through managing information to avoid duplication and facilitate cost savings, working with large companies, SMEs and cooperatives.
<u>World-Check tool</u>	Refinitiv	World-Check One helps to simplify and accelerate the due diligence process for companies on the issues of money laundering, sanctions and threat finance. It enables in depth monitoring of Politically Exposed Person (PEP) relationships and networks and can be customised for specific types of risk.

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<a href="#">Responsible Mineral Reporting Toolkit</a>	RMI and GRI	<p>The Responsible Minerals Initiative (RMI), an Initiative of the Responsible Business Alliance, and the Global Reporting Initiative (GRI), have developed a toolkit to advance reporting on sourcing minerals from conflict-affected and high-risk areas.</p> <p>The resource helps companies report on their commitments, due diligence processes and actions related to social impacts in the supply chain. The tool reflects how companies face growing expectations to demonstrate how they are respecting human rights, the environment, labor rights and business ethics in their operations. This includes within mineral value chains; in particular the adverse impacts from sourcing 'conflict minerals' (tin, tantalum, tungsten and gold) as well as cobalt and other minerals.</p>
<a href="#">Code of Risk-mitigation for ASM engaging in Formal Trade – CRAFT</a>	Alliance for Responsible Mining  RESOLVE	<p>CRAFT is an instrument for ASM and the upstream and downstream industry to validate its eligibility to sell and source minerals and metals originating from ASM in conformance with the OECD Due Diligence Guidance and legislations derived from it.</p> <p>CRAFT is a practical tool that makes it easier for buyers to apply due diligence in the sector, with a focus on a continuous development and improvement. It covers all Annexes II risks listed in the OECD Due Diligence Guidance (Module 1 to 4) and it goes further covering other high risks perceived in the sector (Module 5).</p> <p>CRAFT is a gateway into the formal market for artisanal and small-scale miners, focused on the mitigation of the main artisanal and small-scale mining (ASM) risks.</p> <p>The tool was released under open-source code under <a href="#">the Creative Commons CC BY-SA 4.0</a> license. Just like any other open-source standard, CRAFT may be used by any stakeholder in the ASM supply chain, as well as by development organizations, among others.</p>

## Glossary of acronyms

ASM	Artisanal and Small-Scale Mining
CIBJO	The World Jewellery Confederation
CMRT	Conflict Minerals Reporting Template
COSOC-GL	Coalition of Civil Society Organizations in the African Great Lakes Region against the Illegal Exploitation of Natural Resources
EU	European Union
FCPA	Foreign Corrupt Practices Act
ICGRL	International Conference of the Great Lakes Region
MDS	International Material Data System
IPSA	Independent Private Sector Audit
KYC	Know Your Customer
NGO	Non-Governmental Organisation
OECD	Organisation for Economic Co-operation and Development
OFAC	Office of Foreign Assets Control
PEP	Politically Exposed Person
RBA	Responsible Business Alliance
RCOI	Reasonable Country of Origin Inquiry
REACH	Registration, Evaluation, Authorisation and Restriction of Chemicals
RJC	Responsible Jewellery Council
RMI	Responsible Minerals Initiative
RoHS	Restriction of Hazardous Substances
SaaS	Software as a Service
SEC	Securities and Exchange Commission
SME	Small or Medium-Sized Enterprise
WEEE	Waste Electrical and Electronic Equipment