



Annex: RMI Terms of Recognition Tables

The applicability and terms of program recognition can be found in Tables 5 and 6 below. These tables are to support RMAP auditees utilizing upstream mechanisms – companies are always responsible for their own due diligence and should take a risk-based approach in line with the OECD Due Diligence Guidance and RMAP Requirements for sourcing from CAHRAs.

Table 5. Applicability and Terms of Program Recognition

Applicability and Terms of Program Recognition (Standard and Implementation)	
Individual company responsibility	Due diligence is an individual company responsibility. Notwithstanding recognition status, RMAP auditees who choose to use a recognized system are responsible for active engagement with that system; reviewing system information in context of known or emerging risks; proactively responding to
Scope of standard recognition	RMI recognizes the Standard.
Scope and terms of implementation recognition	Table 2: Scope of Implementation Recognition describes due diligence information produced by the program which the RMI recognizes as supporting evidence for conformance to the RMI's Standards.
	The RMI and recognized program agree to ongoing fulfillment of all terms of the Recognition process and any supplemental bilateral agreements. This agreement includes ongoing information-sharing by recognized program with the RMI; annual, public reporting on gaps identified in the alignment assessment and improvement measures taken and planned by the program; and collaboration between the RMI and the program on training for assessors and companies assessed engaged in the program and RMAP to support better understanding of the program and appropriate use of its information for due diligence.
	For all systems, the RMI gives notice of forthcoming governance criteria , which will have a 12-month timeline to report on progress toward and to complete implementation.
Geographic Scope	RMI recognition as described above is applicable in specific geographies .
Effective date and period of recognition	<i>Start date to be determined, upon agreement to terms by the program</i> for either 36 or up to 60 months, contingent on ongoing implementation of recognition terms.



Table 6 RMI UPSTREAM MECHANISM RECOGNITION HIGH RISK SOURCING TABLE

Abbreviations: SCE (Supply Chain Evaluation), CAP (Corrective Action Plan)

RMAP STANDARD REQUIREMENTS ¹ PRIMARY MATERIALS HIGH-RISK SOURCING REQUIREMENTS FOR RMAP STANDARDS				Recognized Upstream Mechanism				
EXPECTATION	LEVEL	DATA POINTS	EXAMPLE DOCUMENT TYPES	Recognized Program Tool / Resource	What data is collected	What data is available to SORs	Frequency	How can SORs access the data/ limitations
Context	Country / Area	Political, economic, social and security context of the CAHRA.	<ul style="list-style-type: none"> · UN Reports, · NGO Reports, · Governance Assessments, · Media reports 	<ul style="list-style-type: none"> - Supply Chain Evaluation (SCE) - Continuous site monitoring 	<ul style="list-style-type: none"> - Conflict History (Country/District/Region) - Sociodemographic profile of community - Historic and current risk profile (OECD Annex II + ESG) 	<ul style="list-style-type: none"> - Country and Regional context information is reviewed regularly, and the information is packaged in various information pieces, primarily the monthly Corrective Action Plan (CAP) which highlights identified risks and assigned corrective actions. 	<ul style="list-style-type: none"> - Data collection: <ul style="list-style-type: none"> · SCE: At project start & following significant changes in operation. · Site monitoring: continuous on-site presence - Data provision: <ul style="list-style-type: none"> · CAP: monthly · Better Mining (BM) Impact Report: annual · Major changes: reported ad hoc to supply chain 	<ul style="list-style-type: none"> - Mineral purchasers receive CAP as part of shipment documentation. - SORs have direct access to shipment documentation of materials shipped to them. - Yearly Better Mining impact reports can be accessed on Better Mining website. - Better Mining webinars - Better Mining major updates

¹ RMI RMAP STANDARD TABLE 8: PRIMARY MATERIAL HIGH-RISK



							partners and to RMI	are reported to RMI. Better Mining may request RMI to share such updates with its members - Limitations · Context information is recorded and used extensively within Better Mining. However Better Mining does not provide a standalone Media analysis of external publications.
Know You Counter party (KYC)	Supplier	Identity, type of business relationship and legality of business operations, the ownership (including beneficial ownership) and corporate structure of the supplier and / or in-country exporter, including the names of corporate officers and directors; the business, government, political or military affiliations of the company and officers.	<ul style="list-style-type: none"> · Business license, · Business structure and registration, · Individual identification piece(s), · KYC questionnaires, World-Check or Dow Jones Watchlist and primary sources of sanctions/blacklists such as UN sanctions, OFAC lists (US Government), EU sanctions, Interpol, other relevant Government lists, 	- Better Mining KYC process	<ul style="list-style-type: none"> - Company legality - Beneficial ownership structure - Background check of company owners/officials 	<ul style="list-style-type: none"> - KYC - <i>Better Mining Conformance Statement</i> (document confirming conformance with Better Mining standard expectations) 	<ul style="list-style-type: none"> - Data collection: <ul style="list-style-type: none"> · KYC checks are part of all SCE processes. · KYC Data collection repeats annually and is repeated changes in the supply chain make it necessary. - Data provision: <ul style="list-style-type: none"> · As part of shipment 	<ul style="list-style-type: none"> - Mineral purchasers receive <i>Better Mining Conformance Statement</i> as part of shipment documentation. - When SORs undergo annual CMR, data can be requested from Better Mining - Data available on Better Mining platform and



			<ul style="list-style-type: none"> Upstream actor visit / audit reports, Identity of beneficial owners 				documentation	<p>access is given to SORs participating in the Better Mining assured supply chain.</p> <p>- Limitations</p> <p>Some confidential information (e.g. bank details and/or private information such as ID numbers or names of cooperative owners) may be redacted in shared documentation.</p>
Country of Origin	Transaction	Type of material; mine and country of mineral origin.	<ul style="list-style-type: none"> Customs export record Official (e.g., government-issued) country of origin certificate Official (e.g., government-issued) mine license³³ Purchase order or contract showing mine name - For ASM sources: Mine visit report from smelter, supplier or other representative³⁴ 	<ul style="list-style-type: none"> - Better Mining supports the collection, revision and sharing of all relevant shipment documents based on national regional and international legislation (e.g. ICGLR certificate, national certificate of origin, Traceability report) 	<ul style="list-style-type: none"> - Shipment Documentation <ul style="list-style-type: none"> · All relevant certification documents relating to the legality and origin of an export lot · 3rd part assessment of chemical composition of export lot · Traceability 	<ul style="list-style-type: none"> - All shipment documents are shared with SORs purchasing material from a Better Mining monitored mine site. 	<ul style="list-style-type: none"> - Data collection: <ul style="list-style-type: none"> · Continuous data collection before and after an export - Data provision: <ul style="list-style-type: none"> · As part of shipment documentation 	<p>Better Mining provides access to all shipment documents for all participating supply chain actors (including SORs)</p> <p>- Limitations</p> <p>Timely sharing of documents depends on the cooperation of all participating supply chain actors.</p>



Country of Origin	Country / Area	<p>Validate origin as known production areas and substantiate the output declared by the source / mine.</p> <p>Quantity, dates and method of extraction (ASM or LSM).</p>	<p>Production records from supplier or company</p> <ul style="list-style-type: none"> · Geological surveys, · Mine records, <p>Production records of traceability / chain of custody program</p>		<p>report based on Better Mining digital traceability data</p> <ul style="list-style-type: none"> · Transportation and Customs documents for transportation from Exporter to SOR 			
Chain of Custody / Traceability	Transaction / Area	<p>Identification of all location(s) in the supply chain including mine site, trading house, exporter and processors. For each independent section of the domestic and international transportation route, physical location of origin of the shipment; physical location of final destination of the shipment, description of the material (type and weight) and date of physical transportation /arrival date of the material.</p>	<p>Traceability:</p> <ul style="list-style-type: none"> •Traceability reports, •Reference / shipment numbers •Domestic Transportation: •Trucking documentation or transportation logs •Warehouse receipts •Contract showing transporter name •Invoices from appointed transport agent •License from appointed transport agent •Inland forwarding note <p>International Transportation:</p> <p>Airway Bill Bill of lading (by sea) Through bill of lading Customs import record (smelter's country)</p>	<p>- Better Mining implements a digital traceability solution (RCS Trace) that monitors the material flow, automatically detects inconsistencies and assures against contamination risks. The tool is tailored to the supply chain based on the initial SCE and is closely linked to the Better Mining Risk Monitoring and Management regarding the Chain of Custody Risk</p>	<p>- The exact traceability data points depend on the SC needs and usually include (among others):</p> <ul style="list-style-type: none"> · Identifier of traceable unit (e.g. tag ID) · Weight · Mineral type/purity · Chain of Custody data · Location/Time and date of mining, processing and/or transportation steps 	<p>- A combined Traceability report is shared with participating SORs. In case any Incidents were raised by the Traceability system this is reflected in the CAP file shared with participating SORs</p>	<p>- Data collection:</p> <ul style="list-style-type: none"> · Continuous data collection before and after an export <p>- Data provision:</p> <ul style="list-style-type: none"> · As part of shipment documentation 	<p>- Better Mining provides access to all shipment documents for all participating supply chain actors, including SORs)</p> <p>- Limitations</p> <p>Some confidential information (e.g. pricing information) may be redacted in shared documentation</p>



Legality	Supplier / Transaction	All taxes, fees or royalties paid to government for the purposes of extraction, trade, transport and export of minerals; Any other payments made to governmental officials for those same purposes; 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>Customs export record;</p> <p>Supplier or in-country exporter financial reports;</p> <p>Contracts with public or private security forces</p>	<ul style="list-style-type: none"> - Better Mining supports the collection, revision and sharing of all relevant documents in connection with legal tax paying - During the SCE (repeated if changes in the supply chain occur) Better Mining collects and reviews all contractual agreements with public or private security forces. 	<ul style="list-style-type: none"> - As part of the collection of shipment documents all legal fees, custom or contractual payments are recorded and reviewed - Contractual agreements are reviewed as part of the SCE process 	<ul style="list-style-type: none"> - Non-confidential documents are shared with participating SORs as part of the shipment documentation - Confidential documents are reviewed by Better Mining and an assessment of the review is shared in the <i>Better Mining Conformance Statement</i> 	<ul style="list-style-type: none"> - Data collection: <ul style="list-style-type: none"> · Baseline data collection during initial SCE · Continuous on-site monitoring presence · Collection and revision of relevant documents during export process - Data provision: <ul style="list-style-type: none"> · As part of shipment documentation 	<p>Better Mining provides access to all shipment documents for all participating supply chain actors (including SORs)</p> <ul style="list-style-type: none"> - Limitations <ul style="list-style-type: none"> · Some confidential information (e.g. pricing details) may be redacted in shared documentation
Supply Chain Mapping	Supplier	Locations where minerals are consolidated, traded, processed or upgraded; the identification of all upstream intermediaries, consolidators or other actors in the upstream supply chain; transportation routes.	<ul style="list-style-type: none"> • Supply chain map, • Traceability reports, • Contracts / agreements, • Mine site declarations or visit reports identifying actors in the supply chain. 	<ul style="list-style-type: none"> - SCE process - Continuous on-site monitoring presence - RCS Trace (Traceability Tool) 	<ul style="list-style-type: none"> - Material Flow data - Geographic mapping of all relevant production locations and transportation routes 	<ul style="list-style-type: none"> - Traceability reports are shared with participating SORs as part of the shipment documentation 	<ul style="list-style-type: none"> - Data collection: <ul style="list-style-type: none"> · Baseline data collection during initial SCE - Data provision: <ul style="list-style-type: none"> · As part of shipment documentation 	<p>Better Mining provides access to all shipment documents for all participating supply chain actors, including SORs)</p> <ul style="list-style-type: none"> - Limitations <ul style="list-style-type: none"> · Some confidential information (e.g. production levels or business relevant contracts) may be



								redacted in shared documentation
Risk Assessment	Country / Area	<p>Qualitative information on conditions in the supply chain. Issues included:</p> <ul style="list-style-type: none"> Presence and / or involvement of non-state armed groups³⁵ Occurrence of serious human rights abuse Occurrence of worst forms of child labor³⁶ <ul style="list-style-type: none"> Occurrence of forced labor Presence and role of public or private security forces Occurrence of bribery, money laundering or non-payment of taxes, fees and royalties 	<p>KYC documentation, Upstream actor visit or audit reports</p> <p>Incident monitoring reports, NGO or other stakeholder reports.</p>	<ul style="list-style-type: none"> Better Mining Risk Management <ul style="list-style-type: none"> Better Mining Risk Management includes continuous Risk Data collection, Risk Assessment and Risk Mitigation efforts. RCS Trace <ul style="list-style-type: none"> Contains detailed chain of custody information KYC checks on all identified stakeholders 	<ul style="list-style-type: none"> SCE's are conducted by Better Mining experts at project start and at regular intervals Continuous presence of Better Mining field agents on covered mine sites creates comprehensive risk profile by collecting incident data with special focus on OECD Annex II risks Discrepancies in Traceability data trigger the recording of Incidents. Risk profiles are calculated monthly based on all collected risk data KYC data (see above) 	<ul style="list-style-type: none"> The CAP file provides an overview of identified risks including an assessment of their severity 	<ul style="list-style-type: none"> Data collection: <ul style="list-style-type: none"> Initial SCE and repeated site assessment in case of significant changes conducted by international due diligence experts Continuous site monitoring CAPs are created on a monthly basis Data provision: <ul style="list-style-type: none"> As part of shipment documentation 	<ul style="list-style-type: none"> The CAP is included in shipment documents shared with participating supply chain actors (including SORs) Limitations <ul style="list-style-type: none"> Some confidential information (e.g. names of children or security staff) may be redacted in shared documentation
Risk Assessment	Supplier / Transaction	<p>Name of actors involved, name and location of mine site(s) involved, type of risk, description of incident, description of immediate mitigation measures (where applicable).</p>	<p>On-the-ground assessment team, Upstream actor visit or audit reports, Upstream risk assessment reports, Incident monitoring reports</p> <p>National law and regulations, OECD Guidelines, core Human Rights conventions, humanitarian law</p>					



Risk Mitigation	Supplier	Records demonstrating implementation of risk mitigation measures	Risk management plan Meeting records, email correspondence with supply chain actors for risk mitigation Incident monitoring reports, Performance reports Grievance Mechanisms and tracking/responding to supply chain incidents	- Better Mining Risk Management · Better Mining Risk Management includes continuous Risk Data collection, Risk Assessment and Risk Mitigation efforts.	- In cooperation with Upstream actors Better Mining assigns corrective actions aimed to mitigate identified Risks - Better Mining records data on the implementation of corrective actions	- The CAP file provides an overview of assigned corrective actions and progress made towards their implementation	- Data collection: · Continuous site monitoring - Data provision: · Monthly generation of CAP · As part of shipment documentation	- The CAP is included in shipment documents shared with participating supply chain actors (including SORs) - Limitations Some confidential information (e.g. names of victims of a crime) may be redacted in shared documentation
Risk Management	Auditee	Evidence of ongoing monitoring of risks	Risk management plan and strategy Reports to senior management, Meeting notes, Internal memos / correspondence, Notice of suspension / discontinuation of contracts / agreements	- Better Mining Risk Management Better Mining Risk Management includes continuous Risk Data collection, Risk Assessment and Risk Mitigation efforts.	- Continuous monitoring of mine sites generates data on impact of implemented mitigation actions	- The CAP file provides updates on risk status' and past implemented corrective actions - In cases of critical breaches (e.g. most severe incidents, unwillingness to address identified risks) Better Mining issues a statement of non-conformance	- Data collection: · Continuous site monitoring - Data provision: · Monthly generation of CAP · As part of shipment documentation	- The CAP is included in shipment documents shared with participating supply chain actors (including SORs) Critical Breaches / Statements of non-conformance are communicated pro-actively with all participating supply chain actors (including SORs). - Limitations Some confidential information (e.g.



								names of victims of a crime) may be redacted in shared documentation
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2 Replaces export record for domestic source
Ensure that assessors are independent from the activity being assessed and free from conflicts of interest. Company assessors must commit to reporting truthfully and accurately and upholding the highest professional ethical standards and exercise due professional care