Risk Readiness Assessment
Methodology

Publication of 14 March 2019

Approach

The Risk Readiness Assessment (RRA) is a voluntary self-assessment and self-reporting tool for minerals and metals producers and processors to communicate their environmental, social and governance practices and performance.

For an overview of the RRA and its objectives please visit http://www.eiccoalition.org/standards/rra/

The RRA is based on a set of benchmarked industry norms derived from voluntary sustainability standards (VSS or standards) that are commonly used in the minerals supply chain and representative of good management practice for environmental, social and governance (ESG) issue areas.

The RRA reflects the most frequently used requirement for each core ESG issue area of relevance across all mineral supply chains and as codified in the VSS that are in scope. At the core of the RRA is the concept of simplicity, defined as the need to maintain a limited number of industry norms covering the core ESG issue areas.

What are the issue areas?

The issue areas (listed in Annex 1) represent, in general, the principal aspects that companies are seeking information about, either for their own operations, or those of upstream suppliers.

An issue area is added to the RRA if it is addressed, in part or entirely, by a minimum of 30 per cent of the standards that are in scope.

What is the industry norm?

The “industry norm” is the most frequently used requirement stipulated by the standards in scope to address each of the issue areas. The industry norm, therefore, is not the ‘best’ or the ‘highest’ or the ‘leading’ practice, but rather an expression of the most common expectation that standards have of operations and businesses that use their systems.

To identify the industry norm, each standard text as well as any supporting text that is designed to clarify or interpret the standard text (e.g., codes, provisions, protocols, guidance, and workbooks) are reviewed for text relating to each of the issue areas. Not all standards are designed to cover all of the issue areas; thus only those
standard systems that are intended to cover a particular issue area are included in the analysis.

The requirements that appear most often to address an issue area across all of the standards are distilled into a clear statement: the industry norm.

**Example:** For the issue area ‘Conflict Minerals’ the most common requirements of the standards systems are distilled to form the following “industry norm”: “*When operating in, or sourcing from, a conflict-affected or high issue area: to implement a policy and complete due diligence that aligns with the OECD Due Diligence Guidance on Conflict Affected and High Risk Areas (DDG)*.”

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**Which standards are used in the RRA?**

The standards used to determine the industry norm are selected based on the following criteria:

1. The standard is relevant to the mineral supply chain;
2. The standard has been formally launched for implementation. Where a standard is undergoing revisions, the current version of the standard is applied until a revised version has been formally launched for implementation;
3. The standard shall address at least some of the ESG issue areas included in the RRA;
4. The standard shall address performance management for the operations and businesses that use its system;
5. The standard shall be independently audited.
6. Individual company requirements (e.g. company code of conduct, company programs) are not included in the scope of standards used to determine the industry norm.

The standards currently included in the RRA are listed in [Annex II](#).

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**How is the RRA maintained?**

The number and framing of the RRA’s issue areas is anticipated to evolve over time as new and different risks emerge. Furthermore, as new standard systems are developed and implemented in the raw materials supply chain, and their requirements periodically updated, the standards in scope as well as the industry norm require regular updating. The [Responsible Minerals Initiative](#) (RMI) has committed to the [RRA Review Process](#) to ensure the standards, issues areas and industry norms continue to reflect current practices.

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**How do I learn more?**

To find out more about the RRA Online Platform, and how to gain access or use the RRA, please contact [support@riskreadiness.org](mailto:support@riskreadiness.org).
## Annex I: Issue Areas

The following issue areas are currently included in the RRA:

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Annex II: Voluntary Standard Systems

The following standards have been identified for inclusion in the standards comparison to define the industry norm. The selection of standards is based on the six criteria defined in this methodology:

1. Aluminium Stewardship Initiative Performance Standard (v.2)
2. Better Sourcing Standard
3. Bettercoal Code
4. CDC Group
5. Cobalt Risk Assessment Framework (CIRAF), ONLY AREAS SUBJECT TO INDEPENDENT AUDITING
6. DMCC Rules for Risk-Based Due Diligence in the Gold and Precious Metals Supply Chain
7. European Investment Bank (EIB)
8. Extractives Industry Transparency Initiative (EITI) Principles
9. Equitable Origin EO100™ Standard (EO100)
10. Fairmined
11. Fairtrade Gold
12. Finance For Development (FMO)
13. Inter-American Development Bank (IADB)
15. International Finance Corporation (IFC) Performance Standard
16. International Cyanide Management Code (ICMC)
17. Initiative for Responsible Mining Assurance (IRMA) Standard for Responsible Mining
18. ISO / DIS 45001 Occupational Health and Safety Management Systems
19. ISO14001 Environmental Management Systems
20. ISO14064 Greenhouse Gases
21. International Tin Association (ITA) Tin Supply Chain Initiative (ITSCi)
22. LBMA Responsible Gold Guidance
23. OECD Due Diligence Guidance for Responsible Minerals Supply Chains from Conflict-Affected and High-Risk Areas
24. OHSA18001 Occupational Health and Safety Management
25. Overseas Private Investment Corporation (OPIC)
26. Partnering Against Corruption Initiative (PACI)
27. Prospects & Developers Association of Canada (PDAC) e3+
28. Responsible Jewellery Council (RJC) Code of Practices
29. Responsible Minerals Assurance Process (RMAP) Smelter / Refiner Standards
30. Social Accountability International (SA8000)
31. Scientific Certification Systems Responsible Source for Precious Metals Standard (SCS)
32. Tungsten Industry - Conflict Minerals Council (Ti-CMC)
33. Towards Sustainable Mining (TSM) Guiding Principles
34. Voluntary Principles for Security and Human Rights
35. World Gold Council (WGC) Conflict-Free Gold Standard
36. International Tin Association (ITA) Code of Conduct
37. Pilot Cobalt Refiner Supply Chain Due Diligence Standard
38. CRAFT (Code of Risk-mitigation for ASM engaging in Formal Trade) Standard
39. International Labor Organization (ILO), conventions relevant to the issue areas