A close up of a logo

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**IRMA SURVEILLANCE ASSESSMENT  
PUBLIC SUMMARY REPORT**

mine site

\*\*\*

operating company

\*\*\*

country of operation

\*\*\*

\*\*DAY MONTH YEAR

IRMA Standard for Responsible Mining, v.1.0

# Acknowledgements

IRMA believes that third-party, independent audits are most credible when there is robust participation not only from participating mines, but also from workers and stakeholders, particularly those from affected communities.

Outside stakeholders are not remunerated for their participation, and willingly give their time to provide perspectives and information on mine site performance. IRMA would like to recognize \*\*\* mine name and plant workers, governmental representatives, and members of affected communities for their participation in this audit.

**DELETE THIS NOTE BEFORE FINALIZING REPORT:** **NOTE TO AUDITORS** – this template requires installation of the Montserrat font. It can be downloaded for free at: https://fonts.google.com/specimen/Montserrat

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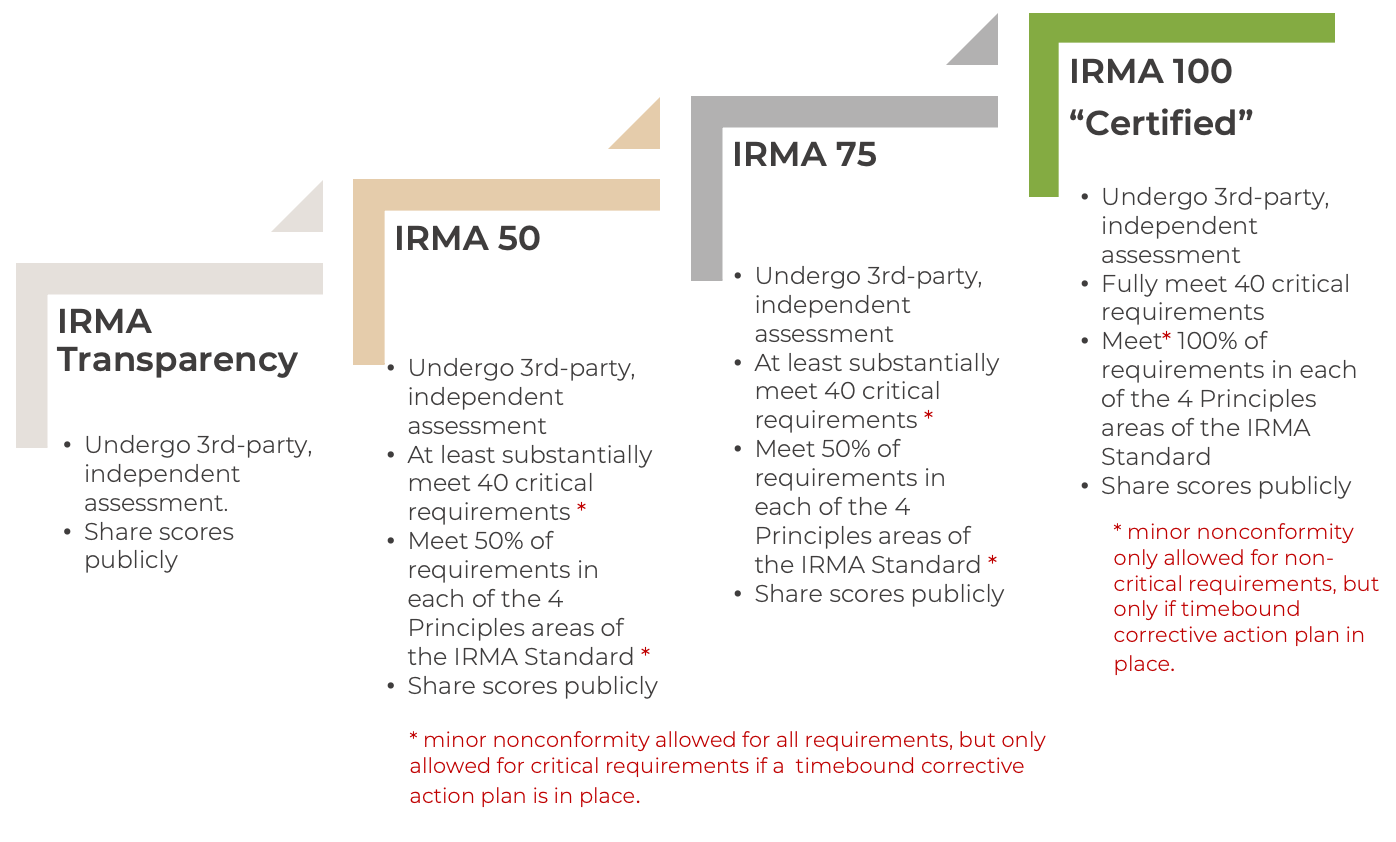
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# Audit Details

|  |  |
| --- | --- |
| Name of Mine: | \*\*Name of mine site |
| Operating Company: | \*\*Name of operating company (if relevant, include subsidiary or business unit within a larger company) |
| Mine Owner: | \*\*Name of mine site owner |
| Country of Operation: | \*\*Country |
| Mined Material(s): | \*\*List all mined materials |
| # Employees / contractors: | \*\*# of employees and contractors at the time of audit |
| Mine site profile on IRMA’s  Responsible Mining Map: | [https://map.responsiblemining.net/](https://map.responsiblemining.net/ ) |
| Audit Type: | Surveillance Audit |
| Audit Dates: | Stage 1 audit: \*\*dates  Stage 2 audit: \*\*dates |
| Audit Team: | List names and roles (e.g., lead auditor, environmental, social, health and safety, etc.) |
| Lead Auditor Declaration: | P The findings in this report are based on an objective evaluation of evidence (through review of documents; first-hand observations at the mine site; and interviews with mine staff, workers, and stakeholders) considered within the scope of the Surveillance audit activities.  P The audit team members were deemed to have no conflicts of interest with the mine.  P The audit team members were professional, ethical, objective, and truthful in their conduct of audit activities.  P The information in this report is accurate according to the best knowledge of the auditors who contributed to the report. |
| Scope of Certification | \*\*Note: this should include a description of operations included in the certification (and should replicate the original description covered by the current certification decision unless operations have changed |
| IRMA Standard Version: | IRMA Standard for Responsible Mining, v.1.0 (June 2018) |
| Certification Body (CB): | \*\*Identify CB |
| CB Technical Reviewer: | \*\*Identify individual by name who conducted independent review of report |
| Certification Decision Date: | \*\*Insert Day Month Year \*\*Note, this should be the decision date of the most current certification audit |
| Certificate Expiration Date | \*\*Insert Day Month Year \*\*Note, this should be 36 months from the decision date of the most current certification audit |
| IRMA Reference Number: | \*\*Ask IRMA, or copy from prior report |

# 1. Mine Site Overview

## 1.1. Overview of location

\*\*Note, this section should provide salient details regarding the site location including:

Figure : Global Location of Site

* nearby common points of reference (e.g. cities, landmarks, or other physical reference points)
* sigificant environmental elements such as description of waterways, watersheds, ground water
* elevation and climate data
* general soil and geological data
* salient historical information on site use, mining, or other land uses (including human migration, wildlife use, hunting/fishing)
* proximity to key communities and their land uses (e.g. urban, agricultural, hunting, ceremonial)
* economic summary
* other data key to readers understanding the mine within the context of its surroundings

Figure 1 provides a general map indicating the global location of the mine site. Figure 2 provides a regional map of the mine site location.

Figure : Regional Location of Site

## 1.2. Overview of operation

\*\*Note this section should describe the site operations that are included in the assessment, including specific physical attributes, assets, and operations of the site. Where useful, consider including distances between locations that are not adjacent, and description of access to these operations.

Figure 3 presents the physical configuration of site operations.

Figure : Layout of Site Operations

**NEW NOTE 2022:** These are new subsections.

will

### 1.2.1. Scope of activities and facilities included in audit

\*\*Note this should specify the activities and facilities that are included in the scope.

### 1.2.2. Activities or facilities excluded from scope of audit

\*\*Note, if there are facilities or activities that are commonly associated with the mining operation that are out of scope, these should be identified with an explanation for why they were excluded. If there are no activities or operations excluded, state that.

### 1.2.3. Limitations of audit

\*\*Note, this is not intended to be a statement limiting liability. This is intended to provided documentation of areas that were not accessible to auditors, inability to deliver on required elements of the audit, limitations due to safety risks, etc. They should include a rationale and an opinion of whether these limitations materially affect the outcome of the audit.

# 2. Mine Site Assessment Process

## 2.1. Overview of IRMA Process

There are three primary types of assessment in the IRMA process: a certification audit (including the initial audit and subsequent recertification audits), where the mine site is assessed against all relevant IRMA requirements; a surveillance audit, typically conducted 12-18 months after the initial audit, and special audits which are conducted in addition to the normal cycle of audits to assess progress on corrective actions, review significant changes to operations, or follow up on grievances or incidents.

This audit report reflects the outcomes of the surveillance audit. Surveillance audits are intended to be abbreviated audits conducted midway through the certification cycle to verify continued conformity of critical requirements, progress on completing corrective actions, and any focus areas identified by the certification body. In addition, the audit considers feedback from stakeholders since the previous audit and material changes to operations, personnel, management systems, or the surrounding environment to determine if changes have affected the site’s ability to continue to deliver achieved performance scores.

IRMA recognizes four levels of achievement. For a complete description of the assessment process and achievement levels, see IRMA’s Certification Body Requirements, available on IRMA’s web site.[[1]](#endnote-1)

### 

### 2.1.1. Scope and Limitation of Audits

Within the IRMA system, independent, third-party assessment is a process by which mines are assessed against the IRMA Standard for Responsible Mining by external auditors. Audits are conducted by approved certification bodies using auditors who have undergone IRMA training, meet IRMA competency requirements, and have been deemed to have no conflicts of interest with the mine site under assessment.[[2]](#endnote-2)

Audits are carried out in general conformance with established industry practice for independent audits (i.e., ISO 19011).[[3]](#endnote-3) In addition to document review, audits include on-site observation of operations and the surrounding environment, review of documents and records, and interviews with site personnel and relevant stakeholders.

Auditor evaluations are based upon the application of scientific principles and professional judgment to certain facts with resultant subjective interpretations.  Professional judgments expressed in auditor comments are based on the facts available at the time of the audit within the limits of the existing data, scope of work, budget, and schedule.

Audit evidence is based on samples of available information. Therefore, there is an element of uncertainty in auditing, and those acting upon the audit conclusions should be aware of this uncertainty.

### 2.1.2. IRMA Complaints Process

IRMA stakeholders who wish to file a complaint related to the mine site assessment process may submit feedback on the IRMA website.[[4]](#endnote-4) Details on the complaints process can be found in IRMA’s Issues Resolution Procedure.[[5]](#endnote-5)

## 2.2. Surveillance Audit Process

The surveillance audit process includes a self-assessment by the mine, a Stage 1 desktop audit by the certification body, and a Stage 2 on-site audit by the certification body. The on-site audit can include a series of interviews with mine staff (workers and management team), relevant community representatives, local non-governmental organizations (NGOs) if any, governmental agencies, documentation review, and visits to operational areas, surrounding area, and other locations including surrounding communities.

## 2.3. Stakeholder Engagement

IRMA requires that stakeholders be engaged as part of the mine site assessment process. Audits are announced by IRMA and certification bodies, and prior to the on-site audit there is additional outreach carried out by certification bodies.

### 2.3.1. Written comments/inquiries

XXX\*\* Note: Identify the nature of comments received in writing, from NGO/Community/Other stakeholder sector. Include any received since the previous assessment. Organizations that formally submit information feedback can usually be identified by name unless requested to remain confidential; individual persons should not be identified by name unless they have specifically requested to be identified. If no comments were received from stakeholders, state this.

IF YOU DID DIRECT OUTREACH TO KEY STAKEHOLDERS: Give a sense of who you reached out to (NGOs, trade unions, community organizations, etc., without naming names) and the response rate – did you receive any comments from your outreach?

If you got feedback that certain stakeholders didn’t want to participate, and they gave you a reason, it would be good to report that here, too (without identifying the stakeholders).

### 2.3.2. Mine Staff

The following individuals were interviewed as subject matter experts in one or more topics relevant to the IRMA standard. The positions listed were those held at the time of the audit.

|  |  |
| --- | --- |
| Name (Optional) | Position/Role |
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### 2.3.3. Workers/Contractors

\*\*Note: Provide general summary here. In your development of the scope of work you will have determined if worker interviews are relevant to the topics being addressed in the surveillance audit. Describe in your narrative a summary of any worker interviews conducted and the range of types of jobs/tasks represented, without specifically naming any particular job (so as not to enable identification of particular participants).

If this was a formal component of the audit, then present your scope in the table, list number of individual interviews, number of group interviews, and any breakdown by gender, if possible. If worker interviews were not included or were informal, then the summary identified in the paragraph above should be sufficient.

Also, include any notable interviews – e.g., were there pregnant women, transgender, older/younger workers, did the samples include works covering a wide range of jobs/tasks, etc.

|  |  |
| --- | --- |
| Mine | EXAMPLE: 3 individuals (one female, one male, one male supervisor)  2 focus groups with 25 participants per group (Group 1 had 7 females, 18 males; Group 2 had 9 females, 16 males)  3 focus groups with 4 participants per group (Group 1 had x females, x males; or other demographics…) |
| Other facility (E.g., beneficiation plant, smelter) |  |
| Other facility (E.g., beneficiation plant, smelter) |  |

### 2.3.4. Government Agencies

\*\*Note: Provide general summary here. In table list position/title of government representative(s), if agreed by interviewee. For surveillance audits these might not have been required to fulfill the scope. If not, then indicate here that no agencies were interviewed and delete the table.

|  |
| --- |
| Government Institution |
|  |
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Note, provide general summary here of any nearby communities, any non-governmental organizations, community groups, etc., that were interviewed. For surveillance audits these might not have been required to fulfill the scope. If not, then indicate here that no agencies were interviewed and delete the table. In table, list number of participants, and any breakdown by gender and ages, if possible.

|  |  |  |
| --- | --- | --- |
| Community, NGO Name | Location of Meeting | Total Number of Attendees |
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## 2.4. Summary of Mine Facilities Visited

The following areas were visited or observed during the on-site visit:

|  |  |
| --- | --- |
| Operational areas | \*\*list operational areas visited |
| Non-operational areas visited | \*\*list other areas visited, e.g., downstream watercourses, off-site facilities |
| Surrounding Communities | \*\*list other areas visited, e.g., downstream watercourses, off-site facilities |

# 3. Summary of General Scope Items

Individual audit findings for the requirements that were in scope for the surveillance audit are presented in Appendix A.

## 3.1. Audit Outcome Overview

The surveillance assessment concluded \*\*\*include an overall summary related to whether the site has continued to maintain the basic systems identified in the prior assessment. Also note here any outcomes that suggest material noncompliance concerns, events with negative impacts (e.g., major spills or accidents), or other conditions that affect the mine’s ability to demonstrate continued achievement of their previously assigned achievement level.

## 3.1. Regulatory compliance status

### 3.1.1. General outcome of compliance monitoring/audits

xxxx

### 3.1.2. Regulatory inspections, violations, enforcement actions

xxxx

### 3.1.3. Lawsuits and other external legal, non-regulatory actions

xxxx

#### 3.1.4. Summary of major events, health and safety incidents, and performance records

xxxx

## 3.2. Stakeholder considerations

### 3.2.1. Stakeholder feedback/complaints received by site since prior audit

xxxx

### 3.2.2. Stakeholder feedback/complaints received by auditors or IRMA since prior audit

xxxx

## 3.3. Summary of Material Operational or Administrative Changes at Site Since the Previous Audit

xxxx

## 3.4. Site-Specific Issues Identified for Follow-Up Review in Previous Audit

xxxx

## 3.5. Progress on Previous Corrective Actions

\*\*Note progress of corrective actions made since last audit. For IRMA 50 or 75 sites, this is only required for critical requirements.

## 3.6. Notable Performance Improvements

\*\*Note other improvements made since last audit. These will also be identified by chapter in the next section.

## 3.7. Concerns Related to Continued Maintenance of Achievement Level

\*\*Note changes to operations or evidence of performance deterioration. This could include an IRMA 50 or 75 site at risk of not maintaining their previously awarded level of achievement. Although a site at IRMA Transparency achievement level will not lose this achievement level, if performance for chapters or principles have dropped significantly, this is the place to document deterioration of performance. If the outcome of the surveillance audit is a recommendation to suspend the certificate until corrective actions are made, the rationale should be clearly presented here. This is also the place to present conflicting views of performance (e.g., where the site and stakeholders have unreconciled differences of opinion on performance).

# 4. General Performance by IRMA Standard Principle and Chapter

Because the surveillance audit is limited in scope, this audit did not include assessment of every requirement in every chapter. An overview of current performance from the surveillance audit for each chapter that was audited (partially or wholly) is provided in the following subsections.

## 4.1. Principle 1: Business Integrity

During the previous audit, this principal received an overall score of XXX %. The summaries below indicate in general the overall status of these chapters, relative to the previous audit.

### 4.1.1. Chapter 1.1—Legal Compliance

Indicate if this chapter was audited during the surveillance audit, and whether it was audited in part or wholly. If any changes to the IRMA standard relative to this chapter have occurred since the prior audit, note that here. If audited, provide a summary of the site’s continued performance against this chapter, including notable changes (improvements or declines) since the prior audit. This is where you highlight major initiatives, drop in performance, notable improvements, the impact of changes at the site on the previously assessed performance and the site’s response to the changes, and activities/events/complaints related to this chapter.

### 4.1.2. Chapter 1.2—Community and Stakeholder Engagement

See above for content guidance.

### 4.1.3. Chapter 1.3—Human Rights Due Diligence

See above for content guidance.

### 4.1.4. Chapter 1.4—Complaints Mechanism/Access to Remedy

See above for content guidance.

### 4.1.5. Chapter 1.5—Revenue and Payments Transparency

## 4.2 Principle 2: Planning for Positive Legacies

### Chapter 2.1—Env/Soc Impact Assessment and Management

See above for content guidance.

### Chapter 2.2—Free, Prior and Informed Consent

See above for content guidance.

### Chapter 2.3—Community Support and Benefits

See above for content guidance.

### Chapter 2.4—Resettlement

See above for content guidance.

### Chapter 2.5—Emergency Preparedness and Response

See above for content guidance.

### Chapter 2.6—Planning/Financing Reclamation & Closure

See above for content guidance.

## 4.3 Principle 3: Social Responsibility

### Chapter 3.1—Fair Labor and Terms of Work

### Chapter 3.2—Occupational Health and Safety

### Chapter 3.3—Community Health and Safety

### Chapter 3.4—Conflict-Affected and High-Risk Areas

### Chapter 3.5—Security Arrangements

### Chapter 3.6—Artisanal and Small-Scale Mining

### Chapter 3.7—Cultural Heritage

## 4.4 Principle 4: Environmental Responsibility

### Chapter 4.1—Waste and Materials Management

### Chapter 4.2—Water Management

### Chapter 4.3—Air Quality

### Chapter 4.4—Noise and Vibration

### Chapter 4.5—Greenhouse Gas Emissions

### Chapter 4.6—Biodiversity, Eco. Serv. and Protected Areas

### Chapter 4.7—Cyanide Management

### Chapter 4.8—Mercury Management

~~\* Chapters are marked as not relevant if auditors have verified that the issues addressed in the chapter are not applicable at the mine site. For example, if the mine can demonstrate that there is no artisanal and small-scale mining (ASM) occurring near the mine, and the mine does not source materials from ASM operations then Chapter 3.6 would be marked as not relevant.~~

~~Chapters deemed Not Relevant do not factor into the Principle Scores.~~

# 5. Performance on Critical Requirements

Critical requirements consist of a set of 40 requirements that have been identified by the IRMA Board of Directors as being core requirements that any mine site claiming to be following good practices in mining should be meeting. Mines seeking to achieve full certification (IRMA 100) must fully meet all critical requirements, and mines achieving IRMA 50 or IRMA 75 must substantially meet all critical requirements, demonstrate progress over time, and fully meet all critical requirements within specified time frames.

A snapshot of achievement against the critical requirements, as determined by the certification body during this surveillance audit, is provided below. Details on the requirement and rationale by the auditors is provided in Appendix A.

## 5.1. Summary of Site Performance Changes in Critical Requirements

5.2. Review of Ratings for Each Critical Requirement

### 5.1. Snapshot of performance on 40 critical requirements

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| KEY— Description of performance |  |  |  |  |  | Fully meets |
|  |  |  |  |  | Substantially meets |
|  |  |  |  |  | Partially meets |
|  |  |  |  |  | Does not meet |
|  |  |  |  |  | Not relevant |

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Business Integrity | 1.1.1.1 |  |  |  |  | Social Responsibility | 3.1.2.1 |  |  |  |  |
| 1.2.2.2. |  |  |  |  | 3.1.3.3 |  |  |  |  |
| 1.3.1.1. |  |  |  |  | 3.1.5.1 |  |  |  |  |
| 1.3.2.1. |  |  |  |  | 3.1.7.2 |  |  |  |  |
| 1.3.3.3. |  |  |  |  | 3.1.7.3 |  |  |  |  |
| 1.4.1.1. |  |  |  |  | 3.1.8.1 |  |  |  |  |
| 1.5.5.1. |  |  |  |  | 3.2.4.1.a, b |  |  |  |  |
| Planning for Positive Legacies | 2.1.3.1 |  |  |  |  | 3.3.1.1 |  |  |  |  |
| 2.2.2.2 |  |  |  |  | 3.4.2.1 |  |  |  |  |
| 2.4.7.1 |  |  |  |  | 3.5.1.2 |  |  |  |  |
| 2.5.1.1 |  |  |  |  | Environmental Responsibility | 4.1.4.1 |  |  |  |  |
| 2.5.2.1 |  |  |  |  | 4.1.5.1 |  |  |  |  |
| 2.6.2.1 |  |  |  |  | 4.1.5.6 |  |  |  |  |
| 2.6.2.6 |  |  |  |  | 4.1.8.1 |  |  |  |  |
| 2.6.4.1 |  |  |  |  | 4.2.4.1.a-e |  |  |  |  |
|  |  |  |  |  |  | 4.2.4.4 |  |  |  |  |
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|  |  |  |  |  |  | 4.6.5.3 |  |  |  |  |
|  |  |  |  |  |  | 4.6.5.4 |  |  |  |  |
|  |  |  |  |  |  | 4.7.7.1 |  |  |  |  |
|  |  |  |  |  |  | 4.8.2.3 |  |  |  |  |
|  |  |  |  |  |  | 4.8.2.2 |  |  |  |  |

# 6. Next Steps

## 6.1 Corrective Action Plans

\*\*Note: Summarize whether any findings require corrective action and the status of the plan. At a minimum, for sites that have achieved an IRMA 50 or 75, a corrective action plan is required for all critical requirements that are not “fully meets.” For sites that have achieved IRMA 100, corrective action plans are required for major nonconformities against any requirements (e.g., not just critical requirements). A copy of the corrective action plan addressing the above required elements should be attached as an Appendix.

\*\*Note, you can also provide additional commentary if the site wishes to discuss other planned actions or improvements.

## 6.2 Timing of Future Audits

In the IRMA system, a surveillance audit is a mid-point between certification audits. The next required activity will be a certification audit, which must be completed within 36 months of the certification date for the previous certification audit.

\*\*Note: if this audit identified any issues that require verification before the certification audit (e.g., critical outstanding issues, suspended certificate that must be re-assessed within 6 months), describe this next planned assessment here.

## 6.3. Focus Areas for Next Audit

Identify focus areas for future audits including interviews, documents, observations, pending changes, follow up on initiatives, or areas of potential risk.

# Endnotes

1. All versions will be posted on the IRMA website: <https://responsiblemining.net/>. The most recent version (IRMA Certification Body Requirements, v.1.0) is available at: <https://responsiblemining.net/wp-content/uploads/2020/01/Certification-Body-Requirements_v1.0.pdf> [↑](#endnote-ref-1)
2. See IRMA Certification Body Requirements, v.1.0, pp. 18-19, and Annex A. <https://responsiblemining.net/wp-content/uploads/2020/01/Certification-Body-Requirements_v1.0.pdf> [↑](#endnote-ref-2)
3. See IRMA Certification Body Requirements, v.1.0, p 32. <https://responsiblemining.net/wp-content/uploads/2020/01/Certification-Body-Requirements_v1.0.pdf> [↑](#endnote-ref-3)
4. IRMA website: “Complaints and Feedback.” <https://responsiblemining.net/what-you-can-do/complaints-and-feedback/> [↑](#endnote-ref-4)
5. IRMA Issues Resolution System Procedure. Verson 1.0. January 2020. <https://responsiblemining.net/wp-content/uploads/2020/03/IRMA-Issues-Resolution-System_2020.pdf> [↑](#endnote-ref-5)