



RESPONSIBLE MINERALS ASSURANCE PROCESS ASSESSMENT REPORT

The flagship program of the RMI, the Responsible Minerals Assurance Process (RMAP), formerly the Conflict-Free Smelter Program (CFSP), takes a unique approach to helping companies make informed choices about responsibly sourced minerals in their supply chains. Focusing on a “pinch point” (a point with relatively few actors) in the global metals supply chain, the RMAP uses an independent 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. For more information, please visit:

www.responsiblemineralsinitiative.org.

Auditee Name	AL ETIHAD GOLD REFINERY DMCC
CID Number	CID002560
Facility Address	DMCC, Plot No. DMCC-EZ-03-04, Jumeirah Lakes Towers Dubai - United Arab Emirates
Assessment Date(s)	12/15/2019 – 12/16/2019
Assessment Type	Re-assessment
Assessed Material	Gold
Sourcing from High-Risk Supply Chains	Yes
Conformance Validity	<i>This audit is valid for 1 year</i>



I. ASSESSMENT SCOPE

Assessment Period	09/16/2018 - 11/15/2019
Assessment Company	SCS global Services

II. ASSESSMENT OBJECTIVES

The objective of the assessment is to assess the auditee's level of conformance with the Responsible Minerals Assurance Process GOLD Refiner Standard, effective date June 1st, 2018 with minor revisions 8 June 2019.

III. ASSESSMENT METHODOLOGY

The assessment consisted of collecting and reviewing objective evidence including documentation, management and employee interviews, facility walk-through, and other observations demonstrating that the smelter/refiner's due diligence management system conforms, in all material aspects, to the requirements of the applicable Standard.



V. CONCLUSION

Assessment Results:



The assessment was conducted in accordance with ISO19001:2011 Standard, taking into account the guidance provided by the Responsible Minerals Assurance Process. The auditor verified the scope, selected samples, and gathered objective evidence through documentation review, interviews, and visual observations.



The auditor found that the auditee's due diligence system are in conformance, in all material aspects, with the requirements of the Responsible Minerals Assurance Process Gold Refiner Standard, effective date June 1st, 2018 with minor revisions 8 June 2019 and the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas.



The auditor identified material non-conformance(s) between the auditee's systems, processes and practices and the requirements of the Responsible Minerals Assurance Process Gold Refiner Standard, effective date June 1st, 2018 with minor revisions 8 June 2019 and the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas.

Material non-conformance(s) relate to:



Step 1: Establish strong company management systems



Step 2: Identify and assess risks in the supply chain



Step 3: Design and implement a strategy to respond to identified risks



Step 5: Report annually on supply chain due diligence



Zero tolerance findings:

Please specify

Auditor Statements:



The information provided by the auditee is true and accurate to the best knowledge of the Auditor(s) preparing the report.



The findings are based on verified objective evidence relevant to the time period for the assessment.



The Auditor(s) have acted in a manner deemed ethical, truthful, accurate, professional, independent and objective.



The Auditor(s) are properly qualified to carry out the assessment.



There were no limitations to this audit.
Please specify in case of any limitations:



When the auditors received the transaction list two weeks prior the audit, they found that there were a large number of mined gold transactions from high-risk countries. Due to the high amount of transactions the sampling plan was reduced (approved by RMI) to 450 samples before the audit. However, the proposed 450 samples could not be reviewed due to time constraints, therefore the auditors decided to do another reduced sampling, covering the vast majority of countries and suppliers, both for mined material and recycled material. In total, the auditors reviewed 109 transactions.