



Mining & Minerals Sustainability Survey 2001



Thank you for participating in this important survey. We are delighted that you have chosen to join the top global companies in the mining and minerals sector in responding to this questionnaire on Sustainable Development.

What is the purpose of this survey?

This survey is a critical part of the Mining Minerals and Sustainable Development (MMSD) project's effort to produce an authoritative analysis of the key issues for the mining and minerals industry in addressing Sustainable Development.

It is being undertaken jointly by the MMSD project and PricewaterhouseCoopers. Expert input is provided through an independent Review Panel.

The results of the survey will provide a baseline assessment of the industry's corporate engagement in Sustainable Development concepts and practices in the mining and minerals industry against which future engagement can be measured.

What will you receive from participating?

The survey is intended to help you by stimulating internal debate on the issues and by providing feedback. Participating companies will receive an individual indication of how they perform compared to the average performance in the sector, as well as complementary copies of the final survey report.

How should the questionnaire be answered?

Please answer the questions by considering your company's views, in relation to all group operations, joint ventures and consortia under your company's management control.

Who should complete the questionnaire?

We anticipate that the questionnaire will be completed by a person or people in the company who have formal responsibility for issues relating to Sustainable Development. This might be the manager in charge of environment, health and safety, in association with those responsible for social and socio-economic issues, for example corporate strategy or human resources.

Participating companies are asked to have the completed questionnaire signed off by the Chief Executive or Chairman.

Contacting PricewaterhouseCoopers

PricewaterhouseCoopers is committed to working closely with your company through the survey process. We have a dedicated team available to respond to any queries – call Cathy Sage or Nadia Nawaz on +44 (0) 20 7583 5000 or contact them via e-mail on catherine.sage@uk.pwcglobal.com or nadia.nawaz@uk.pwcglobal.com.

Timing

Please return your completed questionnaire by e-mail or hard copy to Nadia Nawaz by **March 12 2001**.

How is this questionnaire structured?

The questionnaire is divided into four sections:

- Section 1 Strategic response to Sustainable Development
- Section 2 Corporate practices – economic, environmental and social
- Section 3 The future
- Section 4 About your company

Confidentiality

The published results of the questionnaire and interview will be non-attributable and all information provided directly to PricewaterhouseCoopers will remain strictly confidential. However, one of the stated aims of the MMSD Project is to address the perceived lack of transparency in the mining and minerals industry. MMSD believes that to be consistent with that objective, individual companies should ideally make public their individual questionnaire responses from this exercise. Following publication of the overall survey results, MMSD will therefore be writing to the participating companies requesting a copy of their completed questionnaire, which will be stored in the MMSD database and be available to the public upon request.

The final report will include a list of those companies invited to participate, indicating whether or not they responded to the survey.

Chief Executive or Chairman sign-off:

I hereby confirm that the answers provided in this questionnaire are an accurate representation of the facts for our company at the time of completion.

For and on behalf of <insert company name>:

Full Name

Title

Signature

Date



Section 1 – Strategic response to Sustainable Development

This section explores your company's definition of Sustainable Development, the issues which are driving Sustainable Development, and how your company has chosen to respond to the concepts of Sustainable Development.

Do not worry if your company has no formal definition of Sustainable Development, or policies relating to Sustainable Development. It is likely that you will have addressed some of the issues through other means, and we hope to capture that information through subsequent questions.

Defining Sustainable Development

1. Does your company have a definition of Sustainable Development for external or internal use?

Tick

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No

If yes, please state it below or attach a copy.

2. Which of the following are included in your company's current understanding of Sustainable Development?

Please note that there are no "right" or "wrong" answers.
Please tick as many as apply to your company.

For our company, Sustainable Development relates to:

Tick

<input type="checkbox"/>	the economic impact we have on the local communities where we operate
<input type="checkbox"/>	the economic impact we have in the countries where we operate
<input type="checkbox"/>	the environmental impact we have in the areas where we operate
<input type="checkbox"/>	our contribution to global environmental impacts (e.g. climate change)
<input type="checkbox"/>	the impact we have on the lives of our employees
<input type="checkbox"/>	the impact we have on the lives of the people in the communities where we operate
<input type="checkbox"/>	the interaction we have with local communities (e.g. consultation processes)
<input type="checkbox"/>	the way we interact with the governments and regulators in the countries in which we operate
<input type="checkbox"/>	the economic, environmental and social impact of our products throughout their life-cycles
<input type="checkbox"/>	the environmental, economic and social impact of our suppliers and contractors
<input type="checkbox"/>	considering the long term effects of our decisions on the environment, society and economy affected by our operations
<input type="checkbox"/>	educating our employees and local communities on the value to society that mining provides
<input type="checkbox"/>	This question has not been considered by our organisation.
<input type="checkbox"/>	Other (please explain):

Drivers for Sustainable Development

3. a) Which of the following factors have influenced your company in adopting business strategies to address Sustainable Development?

Please rank the top 5 (1 = highest priority, 5 = lower priority).

Rank top 5			
	Enhanced shareholder value		Survival of the business in the long term
	Opportunity to enhance reputation/brand		Following industry trends
	Exploitation of potential competitive advantage		Pressure from ethical investors
	Compliance with legislation		Specific condition for attaining project finance
	Improved management of risk		Cost saving/operational efficiency
	Improved relationships with local communities		Improved standing with governments and regulators
	Improvement in employee relations		Other (please specify):
	Not applicable; the company's business strategy is not currently related to Sustainable Development		

3. b) Several of the drivers above refer to relationships with stakeholders. This is an increasingly important factor influencing corporate reputation.

What is your company's understanding of how stakeholders perceive your company's current performance in addressing Sustainable Development in comparison to standard performance in your industry?

Please tick as appropriate.

Stakeholder group	How our company's stakeholders perceive our performance in addressing Sustainable Development					
	Excellent	Good	Average	Low	Don't know	Which of these have you formally consulted with Group-wide?
Employees						
Customers						
Local community						
Indigenous minorities						
Partners/suppliers						
Investors						
NGOs ¹						
Government						
International organisations (e.g. UN)						

¹ Nongovernmental organisations

Your company's policies relating to Sustainable Development

4. Does your company have specific Group corporate policy statements, codes of conduct, charter or vision/values statements that refer specifically to Sustainable Development?

Tick

Yes (please provide copies of each as applicable)

No

Roles and responsibilities relating to Sustainable Development

5. Given your company's definition of Sustainable Development, who is formally responsible for advising the Board on the issues listed below?

Please tick all that apply:

Issue	None	Board member	Non-executive Director	Executive Committee	Non-Executive Advisory Committee	Audit Committee	Risk Management Committee	Dedicated internal resource	External consultant
Sustainable Development									
Ethics									
Environment									
Health and safety									
Labour standards and working conditions									
Socio-economic (community relations, external stakeholders)									
Human rights									
Other (please specify)									

How your company has embedded Sustainable Development into its operations

6. a) Has your company taken steps to “embed” or implement principles relating to the concepts of Sustainable Development throughout the business?

Tick

Yes

No, please go to Section 6.c

- b) If yes, what tools does your company use to effect cultural change and embed Sustainable Development practices throughout the business?

Please tick all that apply, and highlight the three tools that have worked best in achieving change in your company.

Tick all that apply

Highlight top three

<input type="checkbox"/>	Electing a Board sponsor, and Implementation of Board policy on the issue(s)	<input type="checkbox"/>
<input type="checkbox"/>	Making Sustainable Development central to corporate brand image	<input type="checkbox"/>
<input type="checkbox"/>	Changing management programme to relate to Sustainable Development (e.g. incorporating Sustainable Development into vision and values, objectives and targets, employee awareness and communication programmes)	<input type="checkbox"/>
<input type="checkbox"/>	Consideration of Sustainable Development in corporate strategy	<input type="checkbox"/>
<input type="checkbox"/>	Consideration of Sustainable Development issues in formal risk management procedures	<input type="checkbox"/>
<input type="checkbox"/>	Consideration of Sustainable Development in project appraisals	<input type="checkbox"/>
<input type="checkbox"/>	Incorporating Sustainable Development considerations into central procurement policies, e.g. making it a condition for interaction with chosen contractors and suppliers	<input type="checkbox"/>
<input type="checkbox"/>	Implementing internal objectives and targets related to Sustainable Development, coupled with a programme of internal auditing against those objectives and targets	<input type="checkbox"/>

continued overleaf...

<input type="checkbox"/>	Implementing a balanced business scorecard that includes measures for Sustainable Development	<input type="checkbox"/>
<input type="checkbox"/>	Including Sustainable Development performance criteria in staff appraisals where appropriate	<input type="checkbox"/>
<input type="checkbox"/>	Offering staff training programmes on aspects of Sustainable Development	<input type="checkbox"/>
<input type="checkbox"/>	Inclusion of Sustainable Development themes as part of core staff training programmes	<input type="checkbox"/>
<input type="checkbox"/>	Other (please explain):	<input type="checkbox"/>

c) What have been the greatest challenges or key obstacles in embedding the principles of Sustainable Development within the company? Please tick all that apply.

Tick

<input type="checkbox"/>	Ability to link Sustainable Development to financial success
<input type="checkbox"/>	Not recognised as a corporate strategic priority
<input type="checkbox"/>	Lack of commitment at Senior management level
<input type="checkbox"/>	Lack of commitment at Middle management level
<input type="checkbox"/>	Lack of commitment at Operational level
<input type="checkbox"/>	Lack of resources
<input type="checkbox"/>	Lack of understanding or agreement about the issues
<input type="checkbox"/>	Other (please explain):



Section 2 – Corporate Practices

In Section 1 we sought to explore your definition of Sustainable Development. For the purposes of this section, however, we have subdivided Sustainable Development into the broad categories of economic, social and environmental issues. We have based these categories on those used by the Global Reporting Initiative (GRI) Sustainability Reporting Guidelines. Please refer to the glossary (see page 34) for a full explanation of the issues that the GRI includes in the economic, social and environmental categories.

This section is not intended to be a comprehensive review of all the environmental, economic and social activities in which your company is engaged, or all the issues affecting it, but a study of some key topics in each area.

Section 2A – Corporate Economic Practices

Key economic issues relating to Sustainable Development

In these questions we refer to “economic” performance as relating to the broader economy (e.g. local, national or regional). In this sense economic considerations, are distinguished from company financial performance.

1. Which key economic issues relating to Sustainable Development are of most concern to your company Group-wide?

Please rank the 5 most important areas (1 = most important, 5 = less important).

Rank
top 5

Key economic issues relating to Sustainable Development

	Consideration of financial and economic impacts of an operation in the long term, i.e. more than 15 years from now
	Making financial provisions to cover environmental and social expenditure during operation and post closure
	Investment in replacement or substitute technologies driven by sustainable development
	Process for accounting internally for direct environmental and social impacts caused by operations

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<input type="checkbox"/>	Process for accounting internally for indirect environmental and social impacts caused by operations (“externalities”)
<input type="checkbox"/>	Resource rent distribution – the equitable distribution of the economic benefits of mining to the local people affected by the mine, in this and future generations
<input type="checkbox"/>	Extent of investment required/expected in local or regional infrastructure
<input type="checkbox"/>	Extent of investment required/expected in employing and training people from the local community
<input type="checkbox"/>	Extent of investment required/expected in local community initiatives, e.g. providing health care or education facilities
<input type="checkbox"/>	Using local suppliers to the extent possible in an attempt to provide economic benefit to the local community
<input type="checkbox"/>	Other (please explain):

Consideration of Sustainable Development in investment decisions

2. Please indicate whether in the last five years your company has *refrained* from investing or *withdrawn* from an investment in a location/project/company substantially due to one of the factors listed below.

Please tick all that apply.

Tick	
<input type="checkbox"/>	Political instability, e.g. armed conflict
<input type="checkbox"/>	Economic instability
<input type="checkbox"/>	Corruption, e.g. being asked for non-official payments
<input type="checkbox"/>	Human rights issues in the area/country
<input type="checkbox"/>	Pressure from or presence of strong worker unions
<input type="checkbox"/>	Site of unique biodiversity
<input type="checkbox"/>	Site of historical interest or cultural significance
<input type="checkbox"/>	Requirement to comply with onerous local, national or international environmental regulations
<input type="checkbox"/>	Climate change concerns
<input type="checkbox"/>	Community opposition to the project (local, global, or national)

Continued overleaf...

<input type="checkbox"/>	Non governmental organisation or activist opposition to the project
<input type="checkbox"/>	Shareholder opposition to the project
<input type="checkbox"/>	Other related (please explain):

Please provide specific examples:

Policies and procedures for economic management relating to Sustainable Development

3. Does your company have a group-wide policy which attempts to manage the positive and negative economic impacts of the company's overall operations or of individual projects?

Tick

<input type="checkbox"/>	Yes, we have group policy relating to the company's overall operations
<input type="checkbox"/>	Yes, we have group policy relating to the impacts of individual projects
<input type="checkbox"/>	No

If yes, please state it below or attach a copy.

4. Does your company conduct economic appraisals of all projects, which include cost benefit analyses relating to environmental and social impacts of projects' development?

Tick

- | | |
|--------------------------|--|
| <input type="checkbox"/> | Yes, this is standard practice for all operations |
| <input type="checkbox"/> | Yes, in the majority of cases |
| <input type="checkbox"/> | The company is developing its approach to this issue |
| <input type="checkbox"/> | No |

5. Does your company plan at the start of a project how the site can add value to the local community after its closure?

Tick

- | | |
|--------------------------|---|
| <input type="checkbox"/> | Yes, this is standard practice for all company operations |
| <input type="checkbox"/> | Yes, in the majority of cases |
| <input type="checkbox"/> | The company is developing its approach to this issue |
| <input type="checkbox"/> | No |

6. Does your company make dedicated financial provisions (such as escrow accounts) in case of environmental, social or economic problems associated with site activities?

Tick

- | | |
|--------------------------|---|
| <input type="checkbox"/> | Yes, this is standard practice across all operations |
| <input type="checkbox"/> | Yes, in the majority of operations, whether or not financial provisions are required by law or regulators |
| <input type="checkbox"/> | Yes, but only where financial provisions are required by the law or regulators |
| <input type="checkbox"/> | The company is developing its approach to this issue |
| <input type="checkbox"/> | No |

7. Which of the following accounting practices are used within your company to measure the environmental, economic and social costs and benefits of your operations? Please tick all that apply.

Tick

Accounting for environmental costs and benefits	
<input type="checkbox"/>	Our accounting procedures measure direct environmental costs and benefits (e.g. waste management, eco-efficiency, energy, water use, noise, remediation and compliance costs, permit fees, training, monitoring and reporting)
<input type="checkbox"/>	Our accounting procedures measure indirect environmental costs and benefits (e.g. value attributed to risks from future legislation, public image, community support, impact on local quality of life)
<input type="checkbox"/>	Our accounting procedures do not capture environmental costs and benefits
Accounting for economic costs and benefits	
<input type="checkbox"/>	Our accounting procedures measure direct economic costs and benefits (e.g. job creation at our facility, local infrastructure development to support operations)
<input type="checkbox"/>	Our accounting procedures measure indirect economic costs and benefits (e.g. stimulation of local economic growth through employment of local suppliers, intergenerational equity, economic disruption of other local businesses)
<input type="checkbox"/>	Our accounting procedures do not capture economic costs and benefits
Accounting for social costs and benefits	
<input type="checkbox"/>	Our accounting procedures measure direct social costs and benefits (e.g. use of child labour on site, bullying and harassment of employees and local community, displacement and migration of local community, equal employment opportunities)
<input type="checkbox"/>	Our accounting procedures measure indirect social costs and benefits (e.g. increased crime and prostitution, health, well-being and quality of life of local community)
<input type="checkbox"/>	Our accounting procedures do not capture social costs and benefits

Impact of Sustainable Development issues in market valuation

8. As far as you aware, are any market analysts factoring your company's environmental and/or social performance into their valuation of your company? Please tick one answer under each column.

Tick	Environmental performance	Tick	Social performance
<input type="checkbox"/>	Yes, at least 1 market analyst is factoring our environmental performance into their valuation of our company	<input type="checkbox"/>	Yes, at least 1 market analyst is factoring our social performance into their valuation of our company
<input type="checkbox"/>	Yes, 2 - 5 market analysts are factoring our environmental performance into their valuation of our company	<input type="checkbox"/>	Yes, 2 - 5 market analysts are factoring our social performance into their valuation of our company
<input type="checkbox"/>	Yes, more than 5 market analysts are factoring our environmental performance into their valuation of our company	<input type="checkbox"/>	Yes, more than 5 market analysts are factoring our social performance into their valuation of our company
<input type="checkbox"/>	No, we are not aware of any market analysts using our environmental performance in their valuation of our company	<input type="checkbox"/>	No, we are not aware of any market analysts using our social performance in their valuation of our company

Section 2B – Corporate Environmental Practices

Key environmental issues relating to Sustainable Development

1. What are the key environmental issues of most concern to your company Group-wide? Please rank the 5 most important areas (1 = most important, 5 = less important):

Rank	Key environmental issues
<input type="text"/>	Climate change
<input type="text"/>	Habitat destruction/reduction of biodiversity
<input type="text"/>	Disposal of large volume wastes
<input type="text"/>	Impact of spills/other disasters
<input type="text"/>	Acid mine drainage
<input type="text"/>	Minimising noise and vibration caused by our operations
<input type="text"/>	Minimising visual impacts of the operations
<input type="text"/>	Reinstating sites post closure
<input type="text"/>	Long term viability of using primary resources as opposed to recycling
<input type="text"/>	Environmental impact of products during and after use
<input type="text"/>	Other (please explain):

Managing biodiversity

2. How does your company actively monitor and manage the health of the habitats disrupted by mining operations? Please tick all that apply Group-wide.

Tick	
<input type="checkbox"/>	Environmental impact assessments are conducted for all operations, and recommendations taken into account in management and restoration of the habitat
<input type="checkbox"/>	Local interest groups are invited to engage in dialogue over the proposed management and restoration of the habitat
<input type="checkbox"/>	Dedicated personnel are in place, and they regularly conduct environmental monitoring
<input type="checkbox"/>	Our company sets specific objectives and targets relating to habitat management during the construction and operational phases of the site
<input type="checkbox"/>	Our company actively plans and conducts site restoration, particularly

	upon closure
	Our company engages in local initiatives to restore habitat or encourage conservation outside of the boundaries of operation
	Other (please explain):

Environmental management practices

3. Which of the following environmental policies/practices has your company adopted? Please tick all that apply Group-wide.² Please note that Health & Safety is addressed in the section on Corporate Social Practices, in accordance with the GRI guidelines.

		Tick
	Business principles	
A	Our company's written values include reference to protecting or enhancing the environment in which the company operates.	
	Codes/policies	
B	Our company has an internal written environmental policy that is signed off by the Board.	
C	Our company publishes the environmental policy externally.	
D	Specific environmental standards are required of critical ³ suppliers.	
E	Specific environmental standards are required of critical contractors.	
F	Specific environmental standards are required of critical joint venture partners.	
G	There is a formal environmental management system in place.	
H	The management system is certified under ISO, EMAS or another internationally recognised standard. Please specify which of the following applies: 1 Certification has been obtained at the corporate level 2 Certification obtained for ___ % of sites	
	<i>continued overleaf...</i> d as part of an overall risk	

² Evidence supporting some of the above answers may be requested prior to the face-to-face interview.

³ "Critical" refers to those suppliers who may have some significant environmental impact as a result of their activities. The same definition of critical applies to contractors and joint venture partners.

Tick

J	Employees receive specific environmental training as required.	
K	The company's environmental policy is supported by specific targets, e.g. to reduce waste by 10% by year 2002. Please provide three examples 1 2 3	
L	Targets and performance against targets are published externally.	
	Business principles	
M	Employees are given specific environmental management roles and responsibilities (e.g. environment officer, environment champion, member of environmental committee) against which their performance is assessed.	
N	Our company sponsors environmental initiatives (e.g. local community forestry programmes).	
O	There is a programme of research and development in innovative environmental technologies in the key environmental impact areas in order to improve operational performance, e.g. recycling, reusing, remanufacturing etc. Please provide some recent examples of research undertaken by your company: 1 2 3	
P	Environmental impact assessments are required for all significant new developments/installations.	
Q	All mines have post-closure environmental mitigation plans that are regularly reviewed and for which provisions are made.	
R	All sites have emergency response procedures to mitigate environmental disasters, and these are regularly reviewed.	

	Reporting and Verification	
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Tick

S	There is a programme of regular (e.g. annual) independent audits of environmental management systems, processes and performance. ⁴	<input type="checkbox"/>
T	Our company produces an environmental report (either as part of a financial report, a sustainability report or as a stand-alone document).	<input type="checkbox"/>
U	Our company publishes the environmental report externally.	<input type="checkbox"/>
V	The environmental report is verified by an independent external organisation	<input type="checkbox"/>

4. Does your company have formal group-wide policies and procedures in place for any of the following?

Tick

<input type="checkbox"/>	Construction, design and operation of tailings dams
<input type="checkbox"/>	Mitigation of visual disamenities
<input type="checkbox"/>	Soil contamination
<input type="checkbox"/>	Preserving biodiversity and ecosystem health
<input type="checkbox"/>	Large volume waste management (acid mine drainage, leaching)
<input type="checkbox"/>	Land restitution
<input type="checkbox"/>	Noise and vibration
<input type="checkbox"/>	Emissions to air
<input type="checkbox"/>	Greenhouse gas emissions
<input type="checkbox"/>	Emissions to water

⁴ An independent audit is defined as an audit that is not under the direct responsibility of the company. [local management]

Application of standards

5. To what extent is your company expected to implement the highest level of standards throughout all operations, regardless of location and local standards? Please tick one of the answers below.

Tick

<input type="checkbox"/>	Our company always applies the highest international standards regardless of location
<input type="checkbox"/>	Our company applies some core elements of corporate standards to all operations, and complies with national legislation in each country of operation
<input type="checkbox"/>	Each country has standards relevant to its own national legislation and environmental/social context; our company implements local standards according to applicable national legislation
<input type="checkbox"/>	Our company does not centrally oversee the application or attainment of standards in its operations

Section 2C - Corporate Social Practices

This section addresses social issues that affect company stakeholders, including company employees, customers, shareholders, partners and wider society. It is divided into questions relating to labour standards and working conditions within the operation, and socio-economic issues related to impacts on society.

Key issues related to labour standards and workplace conditions

1. With respect to labour standards and workplace conditions, what are the issues of most concern to your company Group-wide? Please rank the top 5 issues according to their importance (1 = most important, 5 = less important).

Rank top 5	Key issues relating to labour standards and workplace conditions	
	Health and safety	
	Compensation and benefits	
	Working hours	
	Diversity and equal employment opportunities	
	Training and development	
		Freedom of association and right to collective bargaining
		Forced Labour
		Child Labour
		Employee satisfaction
		Other (please explain):

2. In respect to labour standards and workplace conditions, what concerns your company most about your partners (joint venture partners, suppliers, contractors and subcontractors)?

Please rank the top 5 issues according to their importance (1 = most important, 5 = less important).

Rank top 5		
	Health and safety	
	Compensation and benefits	
	Working hours	
		Freedom of association and right to collective bargaining
		Forced Labour
		Child Labour

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	Diversity and equal employment opportunities
	Training and development

	Employee satisfaction
	Other (please explain):

Key issues in relation to socio-economic management practices

3. What are the key socio-economic issues of most concern to your company Group-wide? Please rank the top 5 issues according to their importance (1 = most important, 5 = less important).

Rank top 5	Key socio-economic issues
	Engaging with stakeholders effectively
	Providing employment in the local community around the site
	Minimising detrimental effects on community health and culture
	Maximising beneficial effects on community health and culture
	Enhancing community education
	Safeguarding rights of indigenous people to their land/territory
	Reducing impacts of local employee dislocation (job losses)
	Relocation and migration, e.g. displacement of local communities
	Minimising negative impacts on cultural heritage, e.g. sacred places, archaeological sites
	Contributing to the preservation of cultural heritage, e.g. making donations to preserve sacred places or archaeological sites
	Preserving a sense of place or the intrinsic value of a place
	Impact on traditional cultural practices, e.g., through changes in land use
	Minimising security/crime around sites
	Safeguarding human rights in the country of operation
	Addressing corruption both within the organisation and externally
	Improving local or regional infrastructure
	Maintaining relationships with governments and regulators

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	Operating in areas of conflict
	Other (please explain):

Policy on human rights

4. Please describe your company's policy on human rights. Please tick all that apply.

Tick

	Our company demonstrably screens investments and does not invest in countries known for human rights violations
	Our company systematically monitors internal organisational practices to ensure that human rights are not violated
	Our company systematically monitors critical supply chain partners practices to ensure that human rights are not violated
	Our company centrally monitors the number and type of alleged company violations of human rights, and the organisational position and response
	Our company uses its legitimate influence to discuss human rights allegations with government agencies

Socio-economic management practices

5. Which of the following social policies or practices has your company adopted? Please tick all that apply Group-wide.⁵

		Tick
	Business principles	
A	Our company's written values include reference to protecting or enhancing the life of employees, the communities in which it operates, and/or society as a whole.	
	Codes/policies	
B	Our company has an internal written health and safety policy or code of conduct.	

⁵ Evidence supporting some of the above answers may be requested prior to the face-to-face interview.

Tick

C	Our company publishes the health and safety policy or code of conduct externally.	
D	Our company has an internal ethics policy or code of conduct.	
E	Our company publishes the ethics policy or code of conduct externally.	
F	Our company has a policy that covers labour standards and workplace conditions.	
G	Our company policies are based on externally agreed standards such as the International Labour Organisation conventions, and the UN Declaration on Human Rights.	
H	Specific social or ethical standards are required of critical suppliers. ⁶	
I	Specific social or ethical standards are required of critical contractors.	
J	Specific social or ethical standards are required of critical joint venture partners.	
	Business Practices	
K	Our company has a management system and procedures relating to social issues.	
L	Social and reputational risk are considered as part of an overall risk management process.	
M	Employees receive specific training relating to social issues (e.g. local community liaison, workers rights, ethics, human rights) as required.	
N	The policy or code of conduct is supported by specific objectives and/or targets, e.g. to employ at least 70% local labour by year 2005. Please specify three objectives or targets 1 2 3	
O	Targets, and performance against these targets, are published externally.	

⁶ "Critical" refers to those suppliers who may have some significant environmental impact as a result of their activities. The same definition of critical applies to contractors and joint venture partners.

Tick

P	Employees are given specific management roles and responsibilities for management of the company's social responsibilities (e.g. ethics officer, human resources officer, health and safety manager, community liaison officer) against which performance is assessed.	
Q	Our company has social investment programmes (relating to community affairs) in communities where sites are located.	
R	Our company always encourages the representation of stakeholders (including indigenous people) during decision making, when they will be affected by operations.	
S	There is a programme of investment in social research in order to improve performance in this area.	
T	Our company sponsors programmes to mitigate negative social impacts and/or improve local social conditions (e.g. local community sanitation or health care).	
U	All mines have a post-closure plan in place to mitigate the socio-economic effects of the mine's closure. Accurate cost estimates are made for these plans and both are reviewed regularly.	
V	Socio-economic and health impact assessments are required for all new developments.	
W	There is a programme of regular (e.g. annual) independent audits of social management systems, procedures and performance. ⁷	
X	There is an independent monitoring programme to ensure compliance with our policy/code of conduct on labour standards and workplace conditions.	
	Reporting and Verification	
Y	Our company produces a social report (either as part of a financial or environmental report, or as a stand-alone document).	
Z	Our company publishes the report externally.	
AA	The report is verified by an independent external organisation. ⁷	

⁷ An independent audit is defined as an audit that is not under the direct responsibility of the company.[of local management.]



Section 3 – The Future

This section explores the future challenges that your company and the mining and minerals industry may face, your response to those challenges, and your opinions on the shape that the industry may take in the future.

Future drivers of Sustainable Development

1. Which of the following driving incentives for Sustainable Development will be most important for your company in 10-15 years time?

Please rank the top 5 (1= highest priority to 5= lower priority).

Rank top 5			
<input type="text"/>	Enhanced shareholder value	<input type="text"/>	Survival of the business in the long term
<input type="text"/>	Opportunity to enhance reputation/brand	<input type="text"/>	Following industry trends
<input type="text"/>	Exploitation of potential competitive advantage	<input type="text"/>	Pressure from ethical investors
<input type="text"/>	Compliance with legislation	<input type="text"/>	Specific condition for attaining project finance
<input type="text"/>	Improved management of risk	<input type="text"/>	Cost saving/operational efficiency
<input type="text"/>	Improved relationships with local communities	<input type="text"/>	Improved standing with governments and regulators
<input type="text"/>	Improvement in employee relations	<input type="text"/>	Other (please specify):
<input type="text"/>	Not applicable, the company's business strategy is not currently related to Sustainable Development		

Future challenges of Sustainable Development

2. Given your company's understanding of Sustainable Development, what are the key challenges that your company may face in the next 10 – 15 years?

Please rank in order of importance (1 = most important, 5 = less important).

Rank	Challenges in achieving sustainable development
<input type="text"/>	Ensuring that your company's achievements relating to Sustainable Development are recognised by investors
<input type="text"/>	Ensuring that your company's achievements towards Sustainable Development are positively perceived by all stakeholders
<input type="text"/>	Achieving brand and reputational value from your company's investment in Sustainable Development
<input type="text"/>	Redefining your company strategy to account for environmental, economic and social impacts
<input type="text"/>	Justifying investment in Sustainable Development in financial terms
<input type="text"/>	Achieving the right balance between environmental, economic and social concerns
<input type="text"/>	Incorporating Sustainable Development into decision-making at all levels
<input type="text"/>	Making the required operational changes to address Sustainable Development, e.g. investing in cleaner technologies
<input type="text"/>	Achieving the desired change in corporate culture (hearts and minds) to reflect Sustainable Development
<input type="text"/>	Fundamental restructuring of industry/realignment of markets
<input type="text"/>	Making stakeholders aware of the value to society that mining provides
<input type="text"/>	Other (please explain):

Future research and development related to Sustainable Development

3. What will be your company's focus for research and development in the next 10-15 years? Please tick all that apply.

Tick

<input type="checkbox"/>	Diversifying our business and entering new markets
<input type="checkbox"/>	Developing new products or substitute technologies
<input type="checkbox"/>	Achieving cultural change to embed the concept of Sustainable Development throughout the organisation
<input type="checkbox"/>	Other (please explain):

Future reporting strategy for Sustainable Development

4. Which of the following will most closely match your Group-wide reporting strategy three to five years from now? Tick all that apply.

Tick

<input type="checkbox"/>	Sustainability Report (economic, environmental and social)
<input type="checkbox"/>	Separate Environment Report
<input type="checkbox"/>	Separate Health and Safety Report
<input type="checkbox"/>	Combined Health, Safety and Environment Report
<input type="checkbox"/>	Social Report
<input type="checkbox"/>	Social and Economic Report
<input type="checkbox"/>	Data on Environment in Annual Financial Report
<input type="checkbox"/>	Data on Health and Safety in Annual Financial Report
<input type="checkbox"/>	Data on Social Issues in Annual Financial Report
<input type="checkbox"/>	Data on Economic Issues in Annual Financial Report
<input type="checkbox"/>	Data on Sustainability in Annual Financial Report
<input type="checkbox"/>	Other:

The mining industry of the future

5. How does your company perceive that the industry should change or be restructured in order to become more sustainable? Please explain below. If you are completing this in hard copy, feel free to continue on the back of the page.



Section 4 – About your Company

In order for us to classify the results by different sectors, we would appreciate your help in completing the following section.

We understand that the following information for your company is correct. Please correct this if there are any errors.

1. Please describe your company's mining operations by indicating the relative importance of each area according to its contribution to total company sales (1 = highest contribution to company sales).

Category	Relative contribution to total company sales
Base Metals	
Gold	
Silver	
Coal	
Energy Minerals	
Platinum group Metals	
Ferrous Metals	
Mineral Sands	
Precious and Gem Stones	
Industrial Minerals	
Aggregates	

2. Please indicate your company's sales in your last financial year. Amounts are in millions of US Dollars.

	< 500 m		500 m – 1,000 m		1,000 m – 1,500 m
	1,500 m – 3,000 m		3,000 m – 8,000 m		> 8,000 m

3. Please identify the stock exchange(s) on which your company is listed:

<input type="checkbox"/>	FTSE	<input type="checkbox"/>	NYSE	<input type="checkbox"/>	CAC 40	<input type="checkbox"/>	Hang Seng
<input type="checkbox"/>	Dow Jones Industrial Average	<input type="checkbox"/>	Standards & Poor's	<input type="checkbox"/>	DAX	<input type="checkbox"/>	Nikkei
<input type="checkbox"/>	ASX	<input type="checkbox"/>	Other:				

4. Mining sites under your company's operational control:

a) Please indicate the number of mining sites managed by your company in each of the following regions:

<input type="checkbox"/>	North America	<input type="checkbox"/>	Eastern Europe	<input type="checkbox"/>	Middle East
<input type="checkbox"/>	Central America	<input type="checkbox"/>	Central Asian Republics	<input type="checkbox"/>	North Africa
<input type="checkbox"/>	Caribbean	<input type="checkbox"/>	Australia and New Zealand	<input type="checkbox"/>	Central Africa
<input type="checkbox"/>	South America	<input type="checkbox"/>	South Asia	<input type="checkbox"/>	East Africa
<input type="checkbox"/>	Pacific Islands	<input type="checkbox"/>	East Asia	<input type="checkbox"/>	West Africa
<input type="checkbox"/>	Western Europe	<input type="checkbox"/>	Southeast Asia	<input type="checkbox"/>	Southern Africa

b) Please indicate the relative importance of the sites you selected above according to their contribution to company sales (1 = highest contribution to company sales).

<input type="checkbox"/>	North America	<input type="checkbox"/>	Eastern Europe	<input type="checkbox"/>	Middle East
<input type="checkbox"/>	Central America	<input type="checkbox"/>	Central Asian Republics	<input type="checkbox"/>	North Africa
<input type="checkbox"/>	Caribbean	<input type="checkbox"/>	Australia and New Zealand	<input type="checkbox"/>	Central Africa
<input type="checkbox"/>	South America	<input type="checkbox"/>	South Asia	<input type="checkbox"/>	East Africa
<input type="checkbox"/>	Pacific Islands	<input type="checkbox"/>	East Asia	<input type="checkbox"/>	West Africa
<input type="checkbox"/>	Western Europe	<input type="checkbox"/>	Southeast Asia	<input type="checkbox"/>	Southern Africa

5. Please indicate the average number of permanent employees and individual contractors your company employed in your last financial year.

a) Average number of permanent employees:

<input type="checkbox"/>	< 4,000	<input type="checkbox"/>	4,000 – 12,000	<input type="checkbox"/>	12,001 – 20,000
<input type="checkbox"/>	20,001 – 28,000	<input type="checkbox"/>	28,001 – 36,000	<input type="checkbox"/>	> 36,000

b) Average number of individual contractors in operational activities (e.g. mining, reprocessing):

	< 4,000		4,000 – 12,000		12,001 – 20,000
	20,001 – 28,000		28,001 – 36,000		> 36,000

Thankyou etc.

Glossary

Term	Definition
Biodiversity	Add a definition in
Climate Change	The most accurate term for the global environmental change also known as the greenhouse effect and global warming. A worldwide scientific consensus has emerged that emissions of certain pollutants (particularly CO ₂) are causing the sun's heat to be trapped rather than remitted into space, causing an increase in average global temperature, resulting in potentially significant regional changes in climate, such as increased storm frequency, drought and a rise in sea level.
Compliance	Acting within the requirements of laws or regulations.
Cost Benefit Analysis	A method of assessing investment projects which takes into account social costs and benefits.
Economic Issues	According to the GRI principles, economic issues include, for example, wages and benefits, labour productivity, job creation, expenditures on outsourcing, expenditures on research and development, and investment in training and other forms of human capital. Economic issues include, but are not limited to, financial information.
EMAS	The EU Eco-Management and Audit Scheme. This is a non-mandatory EU regulation governing environmental management and reporting, against which companies are verified and certified.
Environment	The living and non-living surroundings, natural or man-made, which make life on earth possible. The GRI principles state that environmental issues include, for example, impacts of processes, products and services on air, water, land, biodiversity and human health.
Environmental audit	An investigation of processes and procedures of a company or site with respect to its compliance with applicable laws and regulations and impacts on environmental conditions.
Environmental impact assessment	An assessment of the impacts on the natural or human environment of a proposed project or development, usually performed by an environmental consultant.
Environmental management system	The combination of arrangements for assessing, monitoring and recording a company's environmental impact.
Environmental Reporting	Internal or external reporting of environmental performance. Can take the form of an addition to a company's annual report, or form part of a separate document.
Escrow accounts	
Externalities	Costs and benefits that are borne by, or accrue to society in general and which are not accounted for in the business decisions or in the price of a product.
Health & Safety	The set of issues which are concerned with the welfare of employees, both with regard to occupational health and accidents at work. Management of Health and Safety and Environmental issues are often combined.
ISO	International Standards Organisation.
ISO 14000	Series of standards for environmental management produced by the International Standards Organisation.
Mitigation	The act of making more moderate, decreasing the negative impacts through certain action.
Regulation	A rule, ordinance, or law by which conduct is regulated.

Term	Definition
Social Issues	According to the GRI principles, social issues include for example, workplace health and safety, employee retention, labour rights, human rights, and wages and working conditions at outsourced operations.
Social impact assessment	An assessment of the social impacts on the local communities of a proposed project or development.
Supply chain	The progression of businesses involved in the supply and purchase of materials and goods from raw materials to final product.
Sustainable Development	The concept of meeting the needs of the present while not compromising the ability of future generations to meet their own needs.