



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	<i>Planta Recuperadora de Metales - PRM</i>
CID Number	<i>CID002919</i>
Facility Address	<i>Sexta Industrial 8147, Mejillones, Antofagasta, Chile</i>
Assessment Date(s)	<i>01/23/2019 – 01/24/2019</i>
Assessment Type	<i>Re-assessment</i>
Assessed Material	<i>Gold</i>
Sourcing from High-Risk Supply Chains	<i>No</i>
Conformance Validity	<i>This audit is valid for 1 year</i>



I. ASSESSMENT SCOPE

Assessment Period	01/01/2018 – 12/31/2018
Assessment Company	Arche Advisors

II. ASSESSMENT OBJECTIVES

The objective of the assessment is to assess the auditee’s level of conformance with the Responsible Minerals Assurance Process *GOLD* Standard of 2017.

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 conform to the requirements of the relevant Gold Standard.

IV. 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 Tin and Tantalum / Tungsten / Gold Standard of 2017 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 Tin and Tantalum / Tungsten / Gold Standard of 2017 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: The management team at the site was not prepared for the assessment due to the fact that they never received the RMI Gold Standard from their sales office in Santiago, Chile prior to the assessment. Moreover, the lack of communication/documentation provided by the auditee before the audit based on the timeline outlined in the RMAP Procedure was a limitation. The Line Item Summary (LIS) was provided by PRM on January 22, 2018 (2 days prior to the assessment). The rest of the documentation evidence requested (mass balance, workbook) was filled out by the auditee during the audit or not provided at all (procedures). The only document that was provided during the audit was the supply chain policy and it was missing required elements from the OECD Annex II.