



Australian Minerals Industry
Code for Environmental Management
2000

Code Implementation Survey

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Australian Minerals Industry Code for Environmental Management

Code Implementation Survey

Introduction

In 1999 the Australian Minerals Industry, Code for Environmental Management (the Code) was reviewed and subsequently reissued in February 2000. A key requirement of the revised Code is that all signatories complete an annual self-assessment of their implementation of the Code. The Code Implementation Survey (the Survey) is the primary means of conducting this self-assessment.

The Survey assesses the implementation of the Code to assist the industry to evaluate the progress in adopting the Code Principles. Implementation criteria have been developed for each Code Principle and element.

The results of the Survey are due at the Minerals Council of Australia by the end of February each year. Only those pages summarising the results need to be submitted.

The results of the Survey will be collated by the Code Secretariat and reviewed by the External Environmental Advisory Group that provides comment on the implementation of the Code. Summary results will be reported each year in the Code Progress Report.

Further details on the Code and copies of the Code and related guidance material can be obtained from the Code Secretariat (Minerals Council of Australia, PO Box 363, Dickson ACT 2602) or from www.minerals.org.au

The Scoring System

Each Code Principle is subdivided into Elements. A score is assigned to the implementation of each Element.

Each criterion has been developed to represent six possible levels of implementation. The respondent is required to select the score that most clearly represents the status of the operation. Only "one" criteria level can be selected for each element. The criteria level must be selected on the basis that all lesser criteria are also met. The score is a whole number.

Where no effort to manage the environmental and community aspects has been made, a **Score of Zero (0)** should be given. Where there is no relevance, a **Score of N/A** should be given, and the Summary Table calculations will be automatically adjusted to exclude this Element. Implementation is finally presented in the form of a percentage for each Code Principle, allowing comparison across the industry.

Scoring is on a linear scale from 0 to 5 with each score attributable to a discrete level of implementation. The scores represent the following general definition for each element:

0. No action has occurred
1. Action planned and documented
2. Systems/processes being developed
3. Systems/processes are implemented
4. Integration into management decisions and business functions
5. Excellence and leadership

Each successive level builds on the requirements of the previous level. It is important to remember that each criterion of the lower scoring levels represents a subset of the requirements for the level chosen. It is not appropriate to score against a level unless all of the criteria for that level and for all of the preceding levels have been met.

It is important that these general definitions are considered when scoring each element. In addition, the accompanying Reference Document contains the additional information to enable the respondent to clarify each level.

Finally, the intent of the Survey and the scoring system is to provide a common basis for monitoring year on year implementation progress for each of the Code Principles.

"Score & Evidence to Justify the Score Given" Tables

These tables are presented as "input boxes" and require the respondent to document objective evidence and supporting comments for the score selected, for each Element. (It should be noted that the more attention taken to describing the implementation status, and short-comings, the more transparent the process is and the more valuable the information becomes for the preparation of action plans in the next Code Implementation Planning and Resourcing process).

Once a score is chosen, the score for each Element is to be transferred to the grey box in the left column of the table. No half or decimal scores are permitted to be assigned or transferred to this table. Where a number of operational scores are consolidated into a single organisational score then it is recommended that the range and the average score should be submitted.

Frequently Asked Questions

The following section addresses the most common queries asked during the last Survey. Additional information is available through the Code Secretariat.

All criteria for assessing the Code Implementation Survey and the scoring section are included in this document. Where uncertainty exists the Reference Document contains additional information to assist respondents to clarify and confirm the scoring.

Do I submit one return for the company or one return per site?

The Code requires that each signatory submit one completed Survey. Whilst it is not a requirement that individual site surveys be returned, it does greatly assist the Code Secretariat in understanding trends and issues in implementing the Code. The Secretariat and the EEAG strongly encourage signatories to provide site level detail either directly to the Secretariat or via the signatory's public environment reports.

How do I aggregate site surveys to arrive at a company score?

No recommendation has been made as to how individual site surveys should be aggregated. The question has been raised as to how to include 'corporate' activities at the site level. Two approaches that have been used are:

1. Complete the Survey for each site as if full corporate efforts apply to that site and simply average the individual returns to give the signatory's score.
2. For each site mark as N/A each activity managed corporately and then include a 'corporate' survey as if it were a separate site. You can then average the individual surveys. Please ensure that you advise the Secretariat of which method you have used.

Can I score fractions?

Once a score is chosen, the score for each Element is to be transferred to the grey box in the left column of the table. NO half or decimal scores are permitted to be assigned or transferred to this table. Where a number of operational scores are consolidated into a single organisational score then it is recommended that the range and the average score should be submitted.

Who should complete the Survey?

It is recommended that the Survey be completed using a process of interview and discussion including representative site management, operations and environmental personnel.

An alternative is to have someone who has a good awareness of site activities complete the survey and then have the site confirm the scoring. If those completing the Survey are familiar with the organisation, it is expected that the Survey can be completed in less than one day.

How do I address split responsibilities?

The signatory is completing the survey for their activities only. Where an operation is shared between two parties, eg mine owner and mining contractor, the two parties should complete a Survey that reflects their own activities. For example, a contractor may be excluded from public consultation processes at a site so they would score an N/A, whereas the operator would score their activities in this area.

What does 'formal' mean?

The term 'formal' is used frequently in the Survey, and usually in conjunction with 'system' or 'process'. This means that the signatory can demonstrate that the process or system is in place. It would also typically require documented processes or an 'audit trail'.

What does 'effective' mean?

Where the term 'effective' is used, it requires the element to be fully operational in order that desired outcomes can be achieved.

What does the term 'community' mean?

The term 'community' is often used to describe groups of people who share a common interest based on their values, beliefs or geographic location. The definition will vary on a case by case basis, however attention should be given to local communities, regional communities, national communities and international communities depending on the extent of a company's activities and profile.

What does the term 'stakeholder' mean?

The term 'stakeholder' is used to define those individuals or groups of individuals who are either affected by, or can affect the activities and behaviors of your organisation. Stakeholders generally include employees, shareholders, government, non-government organisations (such as environmental or human rights groups), customers and suppliers.

Summary Scores for Code Principle Implementation

Name of Organisation/Operation:

Address:

Date Survey Completed:

Name of Respondent:

Title & Affiliation:

Verified by:

Title and Affiliation:

Survey methodology:

(ie was the survey completed at site, business unit, corporate level or other)?

Description of Organisation/Operation:

Code Principle 1: Accepting Environmental Responsibility For All Our Actions

Driving environmentally responsible behaviour throughout the organisation by:

Element No.	Actual Element	Actual Score	Possible Score
1	Demonstrating management commitment		5
2	Allocating clear roles, responsibilities, accountabilities and resources		5
3	Providing necessary information, performance targets, training, resources and management support		5
Actual Score Achieved/Possible Score		/ 15	
Percentage for Code Principle 1			

NOTE: This page needs to be returned to the Code Secretariat when completed

Code Principle 2: Strengthening Our Relationships With the Community

Engaging the community about the environmental performance of our operations by:

Element No.	Actual Element	Actual Score	Possible Score
1, 3 & 7:1	Fostering openness and dialogue with employees and the community Consulting with the community on the environmental consequences of our activities Identifying interested parties and their information needs		5
2	Respecting cultural and heritage values and facilitating cross-cultural awareness and understanding		5
4	Anticipating and responding to community concerns, aspirations and values regarding our activities		5
Actual Score Achieved/Possible Score		/ 15	
Percentage for Code Principle 2			

Code Principle 3: Integrating Environmental Management Into the Way We Work

Ensuring environmental management and related social issues are high priorities by:

Element No.	Actual Element	Actual Score	Possible Score
1	Establishing Environmental Management Systems consistent with current standards.		5
2 & 4	Incorporating environmental and related social considerations into the business planning process along with conventional economic factors. Developing contingency plans to address any residual risk.		5
3 & 4:3	Applying risk management techniques on a site-specific basis to achieve sound environmental outcomes over the life of the project. Adopting a proactive and cautious approach to environmental risks throughout the life of each operation		5
Actual Score Achieved/Possible Score		/ 15	
Percentage for Code Principle 3			

NOTE: This page needs to be returned to the Code Secretariat when completed

Code Principle 4: Minimising The Environmental Impacts of our Activities

Responsibly managing immediate and longer-term impacts by:

Element No.	Actual Element	Actual Score	Possible Score
1	Assessing environmental and related community effects before and during exploration and project development		5
2	Evaluating risks and alternative exploration and mining project concepts, taking into account community views and subsequent land use options		5
4	Applying ecological principles that recognise the importance of biodiversity conservation		5
5 & 3:5	Planning for closure in the feasibility and design phases of a project and regularly reviewing plans to consider changes in site conditions, technology and community expectations Ensuring that resources are adequate to implement the environmental plans during operations and closure.		5
Actual Score Achieved/Possible Score		/ 20	
Percentage for Code Principle 4			

Code Principle 5: Encouraging Responsible Production And Use Of Our Products

Pursuing cost-effective cleaner production and product stewardship by:

Element No.	Actual Element	Actual Score	Possible Score
1	Employing production processes that are efficient in their consumption of energy, materials and natural resources		5
2	Minimising wastes through recycling, and by reusing process residues		5
3	Safely disposing of any residual wastes and process residues		5
4	Promoting the safe use, handling, recycling and disposal of our products through an understanding of their life cycle		5
Actual Score Achieved/Possible Score		/ 20	
Percentage for Code Principle 5			

NOTE: This page needs to be returned to the Code Secretariat when completed

Code Principle 6: Continually Improving Our Environmental Performance*Continually seeking ways to improve our environmental performance by:*

Element No.	Actual Element	Actual Score	Possible Score
1	Setting and regularly reviewing environmental performance objectives and targets that build upon regulatory requirements and reinforce policy commitments		5
2	Monitoring and verifying environmental performance against established criteria so that progress can be measured		5
3	Benchmarking against industry performance and addressing changing external expectations		5
4	Researching the environmental aspects of our processes and products and developing better practices and innovative technologies		5
Actual Score Achieved/Possible Score		/ 20	
Percentage for Code Principle 6			

Code Principle 7: Communicating Our Environmental Performance*Being open and transparent in the effective disclosure of our environmental performance by:*

Element No.	Actual Element	Actual Score	Possible Score
2	Providing timely and relevant information including publication of annual public environment reports on our activities and environmental performance		5
3	Encouraging external involvement in monitoring, reviewing and verifying our environmental performance		5
4	Continually reviewing and evaluating the effectiveness of our communications		5
Actual Score Achieved/Possible Score		/ 15	
Percentage for Code Principle 7			
Total Score for Organisation		/ 120	
Percentage Implementation of all Code Principles		%	

NOTE: This page needs to be returned to the Code Secretariat when completed

Code Principle 1: Accepting Environmental Responsibility for All our Actions

Driving environmentally responsible behaviour throughout the organisation by:

Principle 1 Element 1

Demonstrating Management Commitment.

Score	Criteria
0	Senior and line management commitment for environmental and social issues cannot be demonstrated and there is no environmental policy in place.
1	The organisation has a formal environmental policy but inadequate resources and management commitment exist to effectively implement the policy.
2	Action plans for the implementation of the policy and Code are being developed and the policy is communicated to all employees and contractors.
3	Environmental policy and objectives are clearly articulated and supported by management and there is strong evidence of improved performance.
4	Management can clearly demonstrate their commitment to the policy. Policy requirements are clearly communicated internally and to key suppliers, contractors and customers.
5	Management is involved in communicating and responding to significant environmental and social issues affecting the community and external stakeholders.

Score	Evidence to Justify the Score Given

Code Principle 1: Accepting Environmental Responsibility for All our Actions

Driving environmentally responsible behaviour throughout the organisation by:

Principle 1 Element 2

Allocating clear roles, responsibilities, accountabilities and resources

Score	Criteria
0	Clear environmental roles, responsibilities and resources have not been identified, documented and assigned throughout the organisation.
1	Environmental issues are limited to being additional responsibilities of an individual's core functions at the organisation and planned and budgeted environmental resources are inadequate.
2	Environmental issues remain the responsibility of full-time environmental staff (not line management) and staff and financial resources are inadequate to address key issues.
3	The organisation has adequately resourced the environmental function at corporate and operational levels. Personnel have clearly defined roles, are fully aware of their environmental responsibilities and are held accountable by performance assessment.
4	Auditing processes identify that personnel within the organisation know their environmental responsibilities and resources are available to meet key internal and external commitments.
5	All personnel within the organisation can demonstrate a high level of environmental responsibility and resources are available to achieve environmental excellence and leadership.

Score	Evidence to Justify the Score Given

Code Principle 1: Accepting Environmental Responsibility for All our Actions

Driving environmentally responsible behaviour throughout the organisation by:

Principle 1 Element 3

Providing necessary information, performance targets, training, resources and management support.

Score	Criteria
0	The organisation does not provide environmental awareness training and information to its staff and relevant contractors and resources and management support do not exist.
1	Induction and training programs are being developed for all key environmental issues and environmental considerations are being included in operating procedures to meet performance targets.
2	Induction and training programs are conducted for all key environmental issues. Environmental considerations are included in operating procedures to achieve environmental compliance.
3	Performance targets are being formally and effectively monitored. Environmental induction and training is provided to staff and contractors based on a training needs analysis.
4	Performance targets are being achieved and integrated and aim to go beyond compliance. Environmental and competency based training is provided and assessed for all staff and contractors.
5	Targets are based on environmental excellence and competency assessments demonstrate that training programs are highly effective and programs are recognised by industry peers.

Score	Evidence to Justify the Score Given

Code Principle 2: Strengthening our Relationships with the Community

Engaging the community about environmental performance of our operations by:

Principle 2 Element 1

Fostering openness and dialogue with employees and the community.

AND

Principle 2 Element 3

Consulting with the community on the environmental consequences of our activities.

AND

Principle 7 Element 1

Identifying interested parties and their information needs

Score	Criteria
0	The organisation has not determined employee and community environmental and social issues or the available communication channels.
1	Informal communication processes currently exist, but formal processes are being planned and documented to communicate with employees and the community.
2	Formal communication processes have been identified, dialogue with the community has commenced and a formal complaints management system is being developed.
3	The organisation proactively engages with employees and the community to openly discuss the management of key environmental issues and community concerns.
4	The organisation can demonstrate that employee and community environmental concerns are considered in business decisions and effectively demonstrated.
5	The local community perceives the organisation to be a valued member and contributor to the community on environmental and social grounds.

Score	Evidence to Justify the Score Given

Code Principle 2: Strengthening our Relationships with the Community

Engaging the community about environmental performance of our operations by:

Principle 2 Element 2

Respecting cultural and heritage values and facilitating cross-cultural awareness and understanding.

Score	Criteria
0	The organisation is unable to demonstrate that cultural and heritage values are known, considered and respected.
1	The organisation has identified its cultural and heritage responsibilities and values and awareness training and management plans are being planned.
2	Cultural and heritage management plans are being developed in consultation with the community and awareness training schedules and programs are being developed.
3	Cultural and heritage management plans and training programs are being effectively implemented, periodically audited and a high level of cross-cultural awareness exists for employees and contractors.
4	Proactive consultation with community members exists and cross-cultural and heritage aspects are known and considered in management plans and in operational decisions that may impact upon cultural and heritage values.
5	All cultural and heritage values affected by the organisation are known, communicated and preserved in accordance with traditional beliefs.

Score	Evidence to Justify the Score Given

Code Principle 2: Strengthening our Relationships with the Community

Engaging the community about environmental performance of our operations by:

Principle 2 Element 4

Anticipating and responding to community concerns, aspirations and values regarding our activities

Score	Criteria
0	No processes or actions exist to anticipate and respond to community concerns, aspirations and values.
1	The organisation identifies and responds to community concerns and values in an informal and ad hoc manner.
2	The organisation is developing formal and structured systems for the effective determination, anticipation and response of community concerns, aspirations and values.
3	Formal and structured systems exist to anticipate and respond to community concerns, aspirations and values and key stakeholders within the community are regularly consulted and responses effectively evaluated.
4	Key community members have been identified and consulted and all reasonable concerns and aspirations are effectively considered and formal action plans exist.
5	A proactive community consultation process exists for each relevant stage of the operation, allowing effective and cooperative management of all issues of concern.

Score	Evidence to Justify the Score Given

Code Principle 3: Integrating Environmental Management into the Way We Work

Ensuring environmental management and related social issues are high priorities by:

Principle 3 Element 1

Establishing Environmental Management Systems consistent with current standards

Score	Criteria
0	No formal or effective Environmental Management System exists and management commitment is absent.
1	A formal Environmental Management System has been planned, scoped, endorsed by senior management and resources approved.
2	Significant elements of a formal Environmental Management System are being actively developed and documented with the involvement of line management.
3	Significant elements of an Environmental Management System formally exist and its effective implementation can be verified by the results of internal audits.
4	The Environmental Management System is being effectively integrated with other management systems of the organisation and internal and external audit recommendations are implemented.
5	A fully implemented and effective integrated Environmental Management System exists, which effectively incorporates and addresses all relevant social and community issues.

Score	Evidence to Justify the Score Given

Code Principle 3: Integrating Environmental Management into the Way We Work

Ensuring environmental management and related social issues are high priorities by:

Principle 3 Element 2

Incorporating environmental and related social considerations into the business planning process along with conventional economic factors.

AND

Principle 3 Element 4

Develop contingency plans to address any residual risk.

Note: 'proposed activities' includes activities such as new developments, new deposits, significant changes in production levels, mine expansions and changes to mining methods.

Score	Criteria
0	Environmental and social considerations are not incorporated into the organisation's business planning processes or costed into annual budgets.
1	Key environmental and social impacts of the organisation are generally known but are not always incorporated into business planning processes.
2	Environmental and related social impacts of proposed activities are reviewed and documented together with key economic factors.
3	Alternative proposals and mitigation strategies fully consider environmental, social and economic factors and key stakeholders are consulted when evaluating the consequences of proposed activities.
4	Viability and selection of alternative options is based on environmental, social and economic considerations, capital approvals evaluate social and environmental risk and mitigation strategies are monitored and reviewed.
5	Business decisions are based on economic, social and environmental costs and benefits that are determined through open dialogue with the community and relevant specialists.

Score	Evidence to Justify the Score Given

Code Principle 3: Integrating Environmental Management into the Way We Work

Ensuring environmental management and related social issues are high priorities by:

Principle 3 Element 3

Applying risk management techniques on a site specific basis to achieve sound environmental outcomes over the life of the project.

AND

Code Principle 4: Minimising the Environmental Impacts of our Activities
Responsibly managing immediate and longer-term impacts by:

Principle 4 Element 3

Adopting a proactive and cautious approach to environmental risks throughout the life of each operation.

Score	Criteria
0	Formal risk assessments are not used to identify and prioritise environmental and social impacts and develop management strategies.
1	Environmental and social risks are informally assessed and emergency response and incident reporting processes are being scoped.
2	The organisation has developed a formal risk assessment process for environmental and related social impacts and emergency response plans are being developed.
3	Risk assessment is completed and programs developed. Priority environmental and related social improvement programs are developed with consideration to key risks, effectively implemented and monitored and emergency response and incident reporting systems are developed and communicated.
4	Risk management programs are regularly reviewed. Emergency response plans are periodically tested and updated and incident trends are reviewed and considered in risk assessment.
5	Stakeholders are involved in risk assessments and developing improvement programs. Risk assessment (and alternative) processes and results are regularly reviewed in consultation with stakeholders and emergency response plans involve expert reviews and community involvement.

Score	Evidence to Justify the Score Given

Code Principle 4: Minimising the Environmental Impacts of our Activities

Responsibly managing immediate and longer-term impacts by:

Principle 4 Element 1

Assessing environmental and related community effects before and during exploration and project development.

Score	Criteria
0	The organisation cannot demonstrate that it has considered the environmental and related community effects of its exploration and project development activities.
1	Baseline studies are currently informal and ad hoc, but a formal commitment has been made to consider all environmental and related community effects in committed baseline studies for all exploration and development projects.
2	Formal processes and systems for initiating and conducting baseline studies are being actively developed and documented by the organisation.
3	Baseline studies are a normal component of any new exploration or development project and formally and effectively consider environmental and related community effects.
4	Practices to reduce environmental and related community effects have been effectively integrated and responsibly managed and monitoring programs are periodically reviewed against baseline studies to implement additional improvements.
5	Key stakeholders are involved in the review and revision of baseline and on-going monitoring programs and actively support the organisation's approach to managing environmental and community related impacts.

Score	Evidence to Justify the Score Given

Code Principle 4: Minimising the Environmental Impacts of our Activities

Responsibly managing immediate and longer-term impacts by:

Principle 4 Element 2

Evaluating risks and alternative exploration and mining project concepts, taking into account community views and subsequent land-use options

Score	Criteria
0	The organisation does not effectively assess social, environmental and future land use risks at exploration and project development stages.
1	Environmental risks are formally identified and some alternative concepts have been considered but not evaluated.
2	Significant environmental risks and alternative options have been identified, but not fully evaluated.
3	A formal process for evaluating alternative options has been implemented and baseline studies are being used to identify and prioritise risks.
4	Risk management has been considered and incorporated in exploration and project development and processes to periodically review risks and risk reduction strategies are implemented.
5	The organisation is investigating innovative technologies to reduce the risk of exploration and mining options and also involves stakeholders to assess and prioritise key environmental, cultural and social risks.

Score	Evidence to Justify the Score Given

Code Principle 4: Minimising the Environmental Impacts of our Activities

Responsibly managing immediate and longer-term impacts by:

Principle 4 Element 4

Applying ecological principles that recognise the importance of biodiversity conservation:

Score	Criteria
0	Biodiversity conservation is not considered at any stage of exploration, project development operation or closure.
1	Baseline surveys are conducted, but information analysis/review and understanding of operational impacts on biodiversity is limited.
2	Ecological values are identified through baseline studies and formal strategies for their protection are being developed in consultation with stakeholders.
3	Formal strategies and monitoring programs are established and implemented to protect ecological values and changes to protection strategies are undertaken as required.
4	Monitoring results indicate that management practices are effective in protecting ecological values and stakeholders are involved in reviewing these practices.
5	The organisation proactively supports and initiates regional biodiversity research and regional conservation programs and ongoing communication is maintained to enhance understanding of operational impacts on biodiversity.

Score	Evidence to Justify the Score Given

Code Principle 4: Minimising the Environmental Impacts of our Activities

Responsibly managing immediate and longer-term impacts by:

Principle 4 Element 5

Planning for closure in the feasibility and design phases of a project and regularly reviewing plans to consider changes in site conditions, technology and community expectation.

And:

Code Principle 3: Ensuring environmental management and related social issues are high priorities by:

Principle 3 Element 5

Ensuring that resources are adequate to implement the environmental plans during operations and closure.

Score	Criteria
0	No processes, systems or resources are in place to initiate closure studies at any stage of feasibility, design or operation.
1	The organisation has and allocated resources to develop conceptual closure plans but have not yet been tested for feasibility. Closure provisions are being determined.
2	Conceptual closure plan and action plans to investigate uncertainty are developed, final land-use is determined and closure objectives and standards are being developed. Costs have been determined and accrued on an annual basis.
3	Closure objectives and standards are discussed with regulators and key stakeholders. The organisation's closure plan is reviewed regularly, incorporated into the life-of-operation plan and costs are reviewed and updated for each operational period, based on progressive rehabilitation and actual costs incurred to date.
4	The organisation's closure provisions are verified by a third party to be appropriate and any changes to the closure plan are reviewed by key stakeholders and relevant issues addressed. Post closure monitoring programs have been developed
5	A detailed risk assessment of the closure plan has been completed and a post-closure fund exists to cover on-going maintenance and liabilities. External stakeholders are involved in monitoring progress against the closure plan.

Score	Evidence to Justify the Score Given

Code Principle 5: Encouraging Responsible Production and Use of our Products

Pursuing cost-effective cleaner production and product stewardship by:

Principle 5 Element 1

Employing production processes that are efficient in their consumption of energy, materials and natural resources.

Score	Criteria
0	The environmental impact of the consumption of energy, water and other natural resources is not considered.
1	Improvements in resource use efficiency are limited to process changes or infrastructure upgrades and there is no commitment to implement cleaner production and product stewardship principles.
2	Effective monitoring and measurement of natural resource and energy use exists and key areas for improvement have been identified.
3	Programs to improve efficiency in specific areas are agreed and implemented. Effective strategies are implemented to improve efficiencies in key areas, adequate resources are approved and key efficiency targets have been set.
4	Organisation-wide strategies and behavioral initiatives for improved efficiencies are implemented and efficiencies are considered in management decisions, by relevant staff and by contractors as part of organisational contracts.
5	The organisation is regularly improving efficiency against set targets, through technical innovation, workforce commitment and being included as a normal component of management decisions and organisational contract agreements.

Score	Evidence to Justify the Score Given

Code Principle 5: Encouraging Responsible Production and Use of our Products

Pursuing cost-effective cleaner production and product stewardship by:

Principle 5 Element 2

Minimising wastes through recycling, and by reusing process residues.

Score	Criteria
0	The organisation has no waste minimisation programs in place.
1	The organisation has completed a formal review of key waste types and volumes and the potential to minimise, recycle or re-use waste streams.
2	A formal and structured waste minimisation program has been developed and communicated for key wastes and residues and waste management strategies are effectively documented.
3	Waste minimisation programs have been fully implemented; reduction or recycling targets established, periodic audits and inspections are demonstrating success and additional opportunities.
4	Waste minimisation, segregation and recycling programs are being frequently reviewed and upgraded and include smaller volume and higher cost waste streams.
5	Additional recycling and re-use opportunities are developed or sponsored for difficult waste streams, contract agreements with suppliers and contractors are used and operational process changes are being implemented to reduce the environmental impact of waste.

Score	Evidence to Justify the Score Given

Code Principle 5: Encouraging Responsible Production and Use of our Products

Pursuing cost-effective cleaner production and product stewardship by

Principle 5 Element 3

Safely disposing of any residual wastes and process residues.

Score	Criteria
0	The organisation does not formally or effectively manage residual waste or process residues, resulting in high risk of environmental impact.
1	Wastes and residues requiring management have been identified, quantified and assessed for risk to enable alternate waste management options to be investigated.
2	Based on risk assessments, a formal strategy for the safe disposal of residual wastes and process residues has been developed.
3	Strategies for safe disposal or reuse have been prioritised and implemented, based on risk and relevant and formal monitoring programs exist and are periodically reviewed.
4	Risk assessments and monitoring programs are demonstrating effective management of waste streams, alternative lower risk methods continue to be identified and previously disposed high risk waste is being remediated.
5	The organisation is recognised as being an industry leader in this area, is supporting research in improved waste disposal technology and can formally demonstrate continuous improvement.

Score	Evidence to Justify the Score Given

Code Principle 5: Encouraging Responsible Production and Use of our Products

Pursuing cost-effective cleaner production and product stewardship by:

Principle 5 Element 4

Promoting the safe use, handling, recycling and disposal of our products through an understanding of their life cycle.

Score	Criteria
0	'Whole-of-life' analysis or alternative concepts for promoting the safe management of products are not recognised or understood by the organisation.
1	Opportunities for improving the management of products have been identified, scheduled and resources committed.
2	Opportunities for improved product management are being effectively implemented, and customers are being advised on reducing environmental impacts of product handling and use.
3	The organisation has committed to a 'whole-of-life' analysis of all its key products.
4	A formal 'whole-of -life' analysis is documented for all key products relating to the organisation.
5	The organisation has formed agreements with customers and suppliers to improve product management, new opportunities are continually investigated and the organisation is recognised as an industry leader in product stewardship.

Score	Evidence to Justify the Score Given

Code Principle 6: Continually Improving our Environmental Performance

Continually seeking ways to improve our environmental performance by:

Principle 6 Element 1

Setting and regularly reviewing environmental performance objectives and targets that build upon regulatory requirements and reinforce policy commitments

Score	Criteria
0	Environmental objectives and targets have not been established for the organisation.
1	Environmental objectives and targets have been established and documented for significant issues at the organisation
2	Appropriate environmental objectives and targets have been formally endorsed by management and communicated to the workforce.
3	The organisation can demonstrate that environmental objectives and targets are included in department processes and allocated sufficient resources.
4	Environmental objectives and targets are effectively monitored, progress is documented, reviews are completed as required and appropriate KPI's have been set for measurable targets.
5	Environmental objectives and targets are being achieved and additional objectives and targets are being set, based on industry benchmarking and stakeholder expectations.

Score	Evidence to Justify the Score Given

Code Principle 6: Continually Improving our Environmental Performance

Continually seeking ways to improve our environmental performance by:

Principle 6 Element 2

Monitoring and verifying environmental performance against established criteria so that progress can be measured.

Score	Criteria
0	Environmental monitoring programs have not been established for the organisation's key environmental impacts.
1	Monitoring programs do not include key impacts and performance criteria have not been established.
2	Monitoring programs focus on key impacts and established performance criteria exist, but the reliability of data cannot be verified due to an absence of effective quality control and quality assurance programs.
3	Verifiable monitoring programs exist and focus on key impacts and data is compared with and measured against established performance criteria.
4	The organisation can clearly demonstrate that monitoring data is effectively used by management for decision making.
5	Stakeholders are actively involved in reviewing monitoring results and organisational decision making and ongoing feedback is provided by the organisation.

Score	Evidence to Justify the Score Given

Code Principle 6: Continually Improving our Environmental Performance

Continually seeking ways to improve our environmental performance by:

Principle 6 Element 3

Benchmarking against industry performance and addressing changing external expectations:

Score	Criteria
0	Benchmarking against industry performance and monitoring of external expectations does not occur.
1	Processes for benchmarking and identifying external expectations have been defined and documented.
2	Benchmarking against industry performance and consultation with stakeholders is occurring and findings are being systematically collated and evaluated.
3	Benchmark findings and external expectations have been defined and the organisation is actively changing work and management practices accordingly.
4	Benchmarking and external expectations are evaluated periodically according to a documented schedule and a formal and effective process is used to incorporate the findings of reviews.
5	The organisation can demonstrate that the implementation of revised management practices, identified through benchmarking studies, is measurably improving environmental performance.

Score	Evidence to Justify the Score Given

Code Principle 6: Continually Improving our Environmental Performance

Continually seeking ways to improve our environmental performance by:

Principle 6 Element 4

Researching the environmental aspects of our processes and products and developing better practices and innovative technologies.

Score	Criteria
0	The organisation does not undertake, participate in or sponsor research programs for developing better environmental practices and innovative technologies.
1	Research needs relevant to the environmental aspects of the organisation have been identified, prioritised and documented.
2	The organisation has documented a research strategy and appropriate funds have been committed.
3	The organisation is actively involved in research programs and research needs are scheduled, programmed and reviewed.
4	Research findings are effectively assessed, evaluated and applied to improve operational practices and environmental performance.
5	Research undertaken by the organisation benefits the industry as a whole and results are freely available.

Score	Evidence to Justify the Score Given

Code Principle 7: Communicating our Environmental Performance

Being open and transparent in the effective disclosure of our environmental performance by:

Principle 7 Element 2

Providing timely and relevant information including publication of annual public environment reports on our activities and environmental performance.

Score	Criteria
0	Information relating to the organisation's activities and environmental performance is not communicated to management, community or stakeholders.
1	Public environment report information is provided to management and the scope, content and distribution of public reporting is determined within the organisation and through limited community consultation.
2	Public environment reports are prepared and distributed and regular reporting of applicable information to management can be demonstrated. Feedback from reports is accepted but not systematically addressed.
3	The organisation proactively seeks, utilises and addresses feedback on the content of reports.
4	The organisation can demonstrate that representative stakeholder and interested party feedback occurs from the report and these comments are effectively incorporated into the report.
5	The public environment report has been externally verified.

Score	Evidence to Justify the Score Given

Code Principle 7: Communicating our Environmental Performance

Being open and transparent in the effective disclosure of our environmental performance by:

Principle 7 Element 3

Encouraging external involvement in monitoring, reviewing and verifying our environmental performance.

Score	Criteria
0	The relevant communities have not been identified and no external involvement occurs in monitoring, reviewing and verifying the environmental performance of the organisation.
1	The organisation has identified and documented the communities prepared to be involved in monitoring, reviewing and verifying environmental performance.
2	Processes are being developed to identify, select and effectively involve key members of the community in these activities.
3	Processes have been implemented enabling all identified communities to understand the framework and be effectively involved in these activities.
4	The organisation can demonstrate that community input and feedback is reviewed and leads to improved environmental performance.
5	The organisation can demonstrate that community involvement has contributed to the organisation achieving environmental excellence and leadership.

Score	Evidence to Justify the Score Given

Code Principle 7: Communicating our Environmental Performance

Being open and transparent in the effective disclosure of our environmental performance by:

Principle 7 Element 4

Continually reviewing and evaluating the effectiveness of our communications.

Score	Criteria
0	The organisation does not consider of have any processes for reviewing and evaluating the effectiveness of communication with stakeholders and interested parties.
1	Informal communication processes exist, but cannot be demonstrated to be effective or shown to have improved communication.
2	Through management commitment, formal processes are being developed to evaluate the effectiveness of external communication.
3	Formal processes exist to evaluate and document the effectiveness of external communication.
4	The organisation reviews and responds to external feedback to improve the effectiveness of external communication strategies.
5	The organisation can demonstrate that stakeholders endorse its communication strategy.

Score	Evidence to Justify the Score Given

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Appendix 1

Generic Criteria for Scoring Verification

Generic Criteria for Scoring Verification

Score	Criteria
0	<p>No action has occurred (Verification – System/process needs are not clearly identified. No formal processes exist for environmental management or the identification of social responsibilities. Stakeholders needs and/or communication needs are not identified).</p>
1	<p>Action planned and documented (Verification – Existing processes and systems are ad hoc and informal. The development of new systems are planned and documented. Stakeholders are identified. Resources may have been allocated for the management of issues, but not in a systematic way).</p>
2	<p>Systems/processes being developed (Verification – Technical and other information is being prepared with a view to implementing new system/process. Consultation requirements with stakeholders have been identified. Auditing processes are being developed. Funding for actions has been committed).</p>
3	<p>Systems/processes are implemented (Verification - Key elements of related systems or processes for managing issues exist and are fully documented. Implementation of response is across the operation/organisation, and personnel are informed of systems role/functions. Internal audits are conducted to determine system's effectiveness).</p>
4	<p>Integration into management decisions and business functions (Verification – All activities are fully implemented and incorporated into operational/organisational processes. Stakeholder involvement occurs, and improved processes for reviewing and auditing systems performance are fully integrated.)</p>
5	<p>Excellence and leadership (Verification – Systems and processes exceed regulatory requirements and effectively address environmental and related social issues. Current systems and processes are continuously improved. Methods used by organisation are recognised as a benchmark across the industry).</p>

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Appendix 2

***Relationship between ISO14001 Elements and AMI Code
Elements***

The Code and the ISO14001 Environmental Management System Standard

The Code has a number of synergies with the ISO14001 Standard, in its requirement to demonstrate effective management of environmental impacts and continuous improvement.

It is important that organisations understand that an environmental management system will assist in achieving partial (not total) compliance with the Code. The degree of consideration and incorporation of relevant social, community and cultural issues within the EMS will enable additional compliance with the Code to be demonstrated.

Since 1995, a significant number of mining operations and organisations in Australia and overseas have been developing and implementing Environmental Management Systems (EMS) to the international ISO14001 Standard. These systems are being developed as either stand alone systems or integrated with existing operational systems such as OHS or quality systems.

The primary reasons for implementing environmental management systems include:

- to formally manage and reduce environmental risk;
- to facilitate proactive environmental management ;
- to improve environmental performance;
- to increase staff and contractor awareness of environmental issues;
- to meet customer requirements and expectations;
- to demonstrate responsible environmental management to stakeholders; and
- to demonstrate due diligence

A table can be found on the following page, which identifies the primary links between the Code and the ISO14001 Standard. Links exist primarily in impact identification, risk assessment, implementing environmental management programs, internal and external communication, management commitment and responsibilities, operational control and monitoring and measurement. Overall, this table demonstrates that, by implementing the Code, a number of ISO14001 elements can be met and vice versa.

Relationship between ISO14001 Elements and AMI Code Elements

	ISO14001 Element		AMI Code Element
POLICY			
4.2	Environmental Policy		
PLANNING			
4.3.1	Environmental aspects	P3:E2	Incorporating environmental and related social considerations into the business planning process along with conventional economic factors.
		P3:E3	Applying risk management techniques on a site-specific basis to achieve sound environmental outcomes over the life of the project.
		P4:E2	Evaluating risks and alternative exploration and mining project concepts, taking into account community views and subsequent land-use options
		P4:E3	Adopting a proactive and cautious approach to environmental risks throughout the life of each operation.
		P6:E4	Researching the environmental aspects of our processes and products and developing better practices and innovative technologies.
4.3.2	Legal and other requirements		
4.3.3	Objectives and targets	P6:E1	Setting and regularly reviewing environmental performance objectives and targets that build upon regulatory requirements and reinforce policy commitments
4.3.4	Environmental Management Program(s)	P3:E5	Ensuring that resources are adequate to implement the environmental plans during operations and closure
		P4:E5	Planning for closure in the feasibility and design phases of a project and regularly reviewing plans to consider changes in site conditions, technology and community expectation
IMPLEMENTATION AND OPERATIONS			
4.4.1	Structure and responsibility	P1:E1	Demonstrating Management Commitment
		P1:E2	Allocating clear roles, responsibilities, accountabilities and resources
		P1:E3	Providing necessary information, performance targets, training, resources and management support
4.4.2	Training, awareness and competence	P2:E2	Respecting cultural and heritage values and facilitating cross-cultural awareness and understanding
4.4.3	Communication	P2:E1	Fostering openness and dialogue with employees and the community.
		P2:E3	Consulting with the community on the environmental consequences of our activities.
		P2:E4	Anticipating and responding to community concerns, aspirations and values regarding our activities
		P7:E1	Identifying interested parties and their information needs.
		P7:E2	Providing timely and relevant information including publication of annual public environment reports on our activities and environmental performance
4.4.4	EMS Documentation	P3:E1	Establishing Environmental Management Systems consistent with current standards
4.4.5	Document control		
4.4.6	Operational control	P5:E1	Employing production processes that are efficient in their consumption of energy, materials and natural resources
		P5:E2	Minimising wastes through recycling, and by reusing process residues.
		P5:E3	Safely disposing of any residual wastes and process residues.

	ISO14001 Element		AMI Code Element
			an understanding of their life cycle.
4.4.7	Emergency preparedness and response	P3:E4	Developing contingency plans to address any residual risk.
CHECKING AND CORRECTIVE ACTION			
4.5.1	Monitoring and measurement	P4:E1	Assessing environmental and related community effects before and during exploration and project development
		P4:E4	Applying ecological principles that recognise the importance of biodiversity conservation.
		P6:E2	Monitoring and verifying environmental performance against established criteria so that progress can be measured
		P6:E3	Benchmarking against industry performance and addressing changing external expectations.
		P7:E3	Encouraging external involvement in monitoring, reviewing and verifying our environmental performance
4.5.2	Non conformance, corrective and preventative action		
4.5.3	Records		
4.5.4	EMS Audit	P7:E4	Continually reviewing and evaluating the effectiveness of our communications.
4.6 MANAGEMENT REVIEW			