



Australian Minerals Industry
Code for Environmental Management
2000

Code Implementation Survey
Reference Document

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Introduction

This Reference Document should be used during the self assessment to further clarify, assist, and provide more detail about the individual criteria for each element covered in the Code Implementation Survey (the Survey).

The criteria in the Survey are essentially a summary of the more detailed information provided in this document. If a criteria in the Survey is considered to be unclear or its relevance unknown, then this document should be used for clarification purposes.

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 and Information in support of Criteria
0	<p>No action has occurred</p> <ul style="list-style-type: none"> the organisation cannot demonstrate clear management commitment to environmental and social issues line management at operations have no commitment to environmental and social issues as part of their work roles
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> the organisation's management is aware of significant environmental issues on-site the organisation has identified and documented the resources required to effectively implement its environmental policy management commitment cannot be demonstrated to enable the organisation to implement the policy existing resources (staff and financial) are inadequate to effectively implement the environmental policy
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> action plans for the implementation of the policy are being developed policy is communicated to all employees and contractors an action plan for the implementation of the Code is being developed
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> the policy is being effectively implemented the organisation's environmental management system and environmental performance is regularly audited and reviewed the organisation has effective processes for demonstrating policy and Code implementation to its stakeholders
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> management are involved in communicating the policy internally and externally policy requirements have been communicated to key suppliers and contractors management are actively demonstrating their commitment to the environmental policy
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> senior management have identified and utilised a number of forums and methods for communicating the policy externally processes exist for management to effectively receive communications from external stakeholders processes and commitment exist for the organisation to action and respond to external stakeholder concerns environmental management practices consistent with the organisation's policy are actively encouraged and demonstrated by suppliers, contractors and customers

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> the organisation has not identified and defined the environmental responsibilities of all relevant staff throughout the organisation roles for personnel with specific environmental responsibilities have not been clearly defined and documented resources required for environmental management have not been clearly identified and allocated
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> the organisation's environmental issues are limited to being the additional responsibility of an individual whose core or main role is not environmental management. the organisation does not have a full-time equivalent environmental professional the organisation has planned and budgeted environmental resources relevant to the issues of the organisation, but they are inadequate
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> the organisation has full-time environmental professional(s) at the site(s) environmental issues remain the responsibility of environmental staff and not line management. staff and financial resources that are allocated to environmental issues are inadequate to address the key issues systems are being developed to formally assign environmental roles and responsibilities to all personnel
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> environmental responsibilities have been assigned and communicated to all relevant personnel (ie. through job descriptions) staff are aware of the environmental impact of their roles and work activities resources are allocated from management to achieve and maintain legal compliance for environmental issues.
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> environmental responsibilities are known by all relevant personnel the organisation's auditing processes ensure that responsible practices are implemented resources, processes, systems and commitment exist to enable Code Principles, EMS and business principles to be met
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> senior management are committed to achieving environmental excellence within the organisation significant funding of "beyond compliance" environmental initiatives exists the organisation can demonstrate a high level of environmental awareness by all staff who act responsibly at all times

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 and Information in support of Criteria
0	<p>No action has occurred</p> <ul style="list-style-type: none"> the organisation does not provide environmental training and information to its staff and contractors No resources or management support exists for the provision of this information and training
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> Induction and training programs are being developed for all key environmental issues environment is included in performance appraisals of line managers and individuals existing training and information packages are inadequate or outdated
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> performance targets for key environmental impacts are being developed environmental induction and environmental awareness training modules are being developed for all employees and contractors issue-specific environmental training programs are being developed environmental considerations are being included within work instructions, standard operating procedures or other related documentation.
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> performance is being regularly monitored via a formal monitoring program and assessed against performance targets effective and formal environmental inductions are mandatory for all employees and contractors environmental training and information packages are given to all employees and contractors processes for competency assessment exist regular auditing of employee and contractor compliance with environmental requirements is in place
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> the organisation can demonstrate that performance is effectively trending towards targets, that targets are being achieved and new targets are being established. the effectiveness of environmental training and awareness is regularly assessed and programs up-dated specialist/issue-specific environmental training is provided for environmental staff formal competency based training program is in place for employees employee and contractor training is integrated
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> performance targets are based on achieving environmental excellence at the organisation competency assessments indicate training programs are effective environmental performance aspects are encompassed in competency training (ie. dozer driver aware of erosion issues prior to receiving ticket) the organisation's training program is recognised as outstanding by industry peers and is openly available

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

Code Principle 7 : Communicating our Environmental Performance

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

Principle 7 Element 1 : Identifying interested parties and their information needs.

Score	Criteria and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> • employee and community concerns regarding the environment and social issues have not been determined. • available communication channels have not been determined or assessed • stakeholders and other interested parties are not identified in any formal or systematic way during any stage of the operation (exploration, development, mining or closure) • information needs of interested parties outside the organisation are not addressed in any formal or systematic way
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> • informal and ad hoc communication systems currently exist • employee and community concerns have been anticipated and documented • the organisation is planning effective communication channels and opportunities for stakeholder interaction • a complaints management system is planned that allows concerns to be received, processed and actioned • community consultation meetings have been considered • stakeholders and other interested parties are being systematically identified and documented at each stage of the operation • the information needs of stakeholders and interested parties are not being systematically or formally identified • information is being distributed but not systematically and does not target specific interests
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> • dialogue with both employees and the community has commenced and responses to concerns and suggestions have been documented • a formal complaints management system is being developed • all available processes for communication and opportunities for stakeholder interaction have been identified and favoured channels are being developed • the information needs of stakeholders and other interested parties are identified and documented • processes are being developed to ensure stakeholders and interested parties are informed about environmental aspects of the organisation

3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> • proactive processes to identify and consider employee and community issues are implemented • processes to handle and effectively manage complaints are implemented • corrective and preventative management systems and processes exist to effectively action concerns and complaints • reporting processes have been established to provide employees and the community with the results of actions taken • periodic internal audits are conducted to monitor the effectiveness of communication systems • stakeholders and interested parties are systematically and formally informed about environmental aspects in which they have nominated an interest
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> • the organisation's EMS includes defined objectives and targets for community issues and concerns. • the organisation's business plan considers all key environmental and social impacts • employee and community concerns are factored into all business decisions • the operation actively participates in community groups and activities • stakeholders and interested parties are systematically informed about environmental aspects, following documented processes which are part of the operational business functions and systems. • documented process for identifying new stakeholders and interested parties exists • the organisation proactively enters into dialogue with interested parties
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> • the organisation is acknowledged by a wide cross section of the community as a valued contributor to the local community • this perception is based on environmental and social grounds, not economic • the organisation initiates activities with significant social and environmental benefits for the region • the organisation provides support and resources to local environmental projects • the organisation makes information relating to environmental performance freely available to all interested parties • the organisation is recognised as providing honest and reliable environmental information and initiates dialogue with interested parties

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> the organisation's cultural and heritage responsibilities and obligations are not known cultural and heritage values are not considered and respected during any stage of exploration, project development and operation
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> the organisation has identified all its relevant cultural and heritage responsibilities and values cross-cultural and heritage awareness training is planned for all staff and relevant contractors cultural and heritage management plans are being planned
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> cultural and heritage management plans are being developed in consultation with relevant stakeholders a cross-cultural and heritage induction or training schedule has been developed cross-cultural and heritage induction/training programs are being developed which consider the needs of relevant external stakeholders systems for heritage protection are being developed (ie. land disturbance clearance certificates)
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> the organisation can demonstrate that cultural and heritage management plans are being effectively implemented all staff and relevant contractors have received cross-cultural and heritage training a high level of cross-cultural awareness exists for employees and contractors compliance with cross-cultural and heritage obligations and commitments is periodically audited
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> proactive consultation occurs with relevant external stakeholders cross-cultural and heritage information is clearly known and widely communicated to all employees and contractors cross-cultural and heritage aspects are considered at all stages of the operation including reconnaissance exploration, exploration, operation and closure cultural and heritage management plans are periodically reviewed and updated and information is current
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> all cultural and heritage values are known and communicated across the operation the operation can demonstrate that traditional beliefs are preserved at all stages of exploration, project development and operation cross-cultural partnerships are fostered at both site and corporate level

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> the operation has no processes or systems to anticipate or respond to community concerns the operation does not proactively or reactively respond to community concerns, aspirations and values.
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> existing processes and systems for identifying and communicating concerns are informal and ad hoc key stakeholders have been identified and likely concerns anticipated processes available to the organisation for anticipating and responding to community concerns are being identified and documented
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> the organisation is developing formal and structured systems to determine community concerns, aspirations and values a process is being developed to anticipate and monitor changes in community concerns, aspirations and values and to effectively respond to these changes auditing processes to assess the success of communication systems are being developed
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> the organisation has formal and structured systems to anticipate and respond to community concerns, aspirations and values. key stakeholders are proactively and regularly consulted responses are effectively collated and evaluated
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> all stakeholders have been identified and are consulted stakeholder concerns are formally considered prior to commencement of exploration, project development and operational activities action plans are developed in collaboration with relevant stakeholders all reasonable concerns and aspirations are effectively addressed
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> the organisation can demonstrate that the community consultation process is effective stakeholders value the proactive approach and the opportunity to discuss issues of concern with the organisation social, cultural, economic and environmental issues are integrated into each relevant stage of the operation and decision making process.

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> the organisation does not have any formal processes or systems for managing the environment. no management commitment exists for the development of an environmental management system
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> the development of a formal EMS has been endorsed by senior management and a conceptual EMS has been scoped following a review of options and a cost/benefit analysis a schedule of planned EMS reviews and internal audits has been prepared for completion during system development
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> a formal organisation-specific EMS is being developed in consultation with line management necessary resources have been committed, protocols are being completed and system responsibilities assigned
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> a formal EMS has been implemented and incorporates: <ol style="list-style-type: none"> Environmental policy Planning Implementation and operation Checking and corrective action Management review internal audits are regularly performed against all elements of the EMS to evaluate the effectiveness of the system
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> the EMS is being integrated with other management systems of the business across the entire organisation, eg risk management, performance targets, continual improvement, external reporting ownership of the internal auditing process is shared across all relevant business functions and recommendations are implemented by management the review process is supported by the results of external audits performed by independent and impartial personnel
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> integrated management system also addresses socio-economic issues. The review process is supported by social audits that address community values and expectations

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: Developing contingency plans to address any residual risk.

Score	Criteria and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> • business planning processes do not consider environmental and social issues • environmental considerations are not acknowledged or costed into annual budgets • the operation has no formal contingency plans • the operation has no baseline data to assess and understand where risk areas exist and contingency plans are required
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> • all social and environmental impacts of the operation are identified • alternatives that have the potential to minimise environmental and social impacts are identified and documented • plans for the control/mitigation of anticipated environmental and social impacts are documented • the collection of baseline data for contingency plan development is formally planned • baseline studies have been scoped and scheduled
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> • environmental, social and financial costs of alternative proposals are assessed and documented as required for all proposed activities • mitigation strategies for anticipated social and environmental impacts are partially assessed and costed for each proposed activity • base line surveys on environmental and social values are occurring • collected base line data is being used to assess operational risks • risk mitigation options are being considered and costed • contingency plans are being developed based on known information
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> • environmental, social and financial costs of alternative proposals are fully assessed and documented for all proposed activities • impact mitigation strategies for anticipated social and environmental impacts are fully assessed and costed for each proposed activity • key stakeholders are actively consulted in evaluating the consequences of proposed activities • environmental and social evaluations require senior management review • mitigating strategies are regularly audited • contingency plans to respond to/mitigate priority environmental and social risks have been implemented • a comprehensive environmental monitoring program is in place • collected monitoring data is being used to develop additional contingency plans to mitigate environmental impact and to improve performance

	<ul style="list-style-type: none"> operational practices are being modified based on information collected and the contingency plans developed to date
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> selection of alternative options is made on the basis of economic, environmental and social considerations an evaluation of social and environmental risk is required for all capital approvals the effectiveness of mitigating strategies is routinely monitored, assessed and reviewed collected environmental data is actively used for ongoing risk assessments and the modification of operational practices to reduce impacts ongoing dialogue is maintained with the community to identify issues publicly perceived as operational risks operational activities are adjusted in response to the development of new technologies and changing economic climate to reduce impacts
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> the viability of new projects is decided on the balance between economic, social and environmental costs and benefits social and environmental costs and benefits are determined through open dialogue with the community and specialist professionals a process of ongoing research and consultation is pursued to ensure that the most environmentally suitable and cost-effective developments are integrated across all relevant business functions independently conducted baseline and monitoring programs are undertaken with stakeholder involvement external stakeholders are involved in reviewing and improving contingency plans socio-economic aspects are encompassed in baseline studies

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> • risk assessments are not used by the organisation to identify and prioritise environmental and social impacts • environmental management at the operation is not prioritised based on environmental and social risk • minimal consideration is given to assessing environmental risk at any stage in the organisation's operation(s)
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> • a formal environmental risk assessment process has been developed • the development of emergency response plans is planned, scoped and documented • risk assessment may be undertaken for some issues but not in a systematic way that captures all actual and potential risks
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> • all environmental risks have been formally assessed and prioritised • environmental risk assessments consider all environmental impacts under normal, abnormal and emergency conditions • improvement plans are being planned • environmental legacies and liabilities have been identified and plans are being prepared for their mitigation • emergency response plans for potential and actual environmental incidents are being developed • an environmental incident reporting process is being developed
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> • improvement programs for priority risks are completed and are being effectively implemented • strategies to mitigate environmental legacies are being implemented • monitoring of improvement programs exists in response to the level of risk • comprehensive emergency response plans have been developed to ensure environmental incidents and abnormal/emergency operating conditions are prepared for • all staff are trained in the use of the environmental incident report • all relevant staff are trained in actioning the emergency response plan • risk assessments are undertaken periodically according to a documented schedule and priority risk items are addressed • a review of previous risk assessments is conducted periodically and formal risk assessments are undertaken prior to operational changes

4	Integration into management decisions and business functions <ul style="list-style-type: none">• stakeholder involvement occurs in risk assessments/improvement programs• a consistent risk management approach is used for all organisational issues (not just environmental) affecting the business• emergency response plans are periodically updated when process changes occur• trend analysis against incidents is undertaken and results are integrated across relevant business functions• operational practices are modified in response to monitoring results and review of risk assessment• long-term business strategies are re-assessed to address and minimise significant environmental and social impacts
5	Excellence and leadership <ul style="list-style-type: none">• stakeholders are invited to review risk assessment processes and results• alternatives to high risk activities are regularly reviewed (including economic, environmental and social considerations)• contingency plans are reviewed by experts and are considered to be best practice by industry peers• the local community is involved in developing and reviewing emergency response plans• the organisation adopts the "precautionary principle" in situations of unpredictable risk and impact• the organisation investigates and adopts alternative technologies and work practices to minimise environmental risk• periodic forums are held with relevant stakeholders to improve operational plans

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 and Information in support of Criteria
0	<p>No action has occurred</p> <ul style="list-style-type: none"> • there is no evidence that environmental and related community effects have been considered during exploration, project development and operation • the current level of environmental performance of the organisation demonstrates this lack of consideration
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> • baseline studies are not formally undertaken for all exploration or development projects • baseline studies are ad hoc and only include environmental issues and do not consider community effects • the organisation has formally committed to undertake baseline studies of environmental and community effects for all new exploration and project developments
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> • the organisation is developing processes to undertake baseline studies for environmental and community aspects prior to exploration, project development and operation • processes are effectively documented to ensure that organisational standards for these studies are achieved
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> • baseline studies are a normal component of any new exploration or development project • formal systems and processes have been implemented where environmental and related community effects are considered • actions to eliminate or minimise environmental and community effects are effectively identified and evaluated • programs to assess and monitor effects have been established
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> • practices to reduce effects have been evaluated and integrated with exploration, project development and operational procedures • responsible management of key effects has been incorporated into project development and operation • analysis of data from monitoring programs is conducted and comparisons undertaken against baseline studies and improvements are undertaken as required • business strategies do not change without a review of potential environmental and community impacts
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> • stakeholders are involved in reviewing monitoring programs • stakeholders actively support the organisation's approach towards minimising environmental and community impacts

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 and Information in support of Criteria
0	<p>No action has occurred</p> <ul style="list-style-type: none"> assessment of risk, with the objective of minimising social and environmental impacts, is not undertaken consideration of future land uses does not form part of the organisation's exploration and project development process
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> a formal process of identifying environmental risks is undertaken for exploration, project development and operations some alternative exploration and mining project concepts may be considered, but are not fully evaluated in terms of environmental risk, community views and final land-use options
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> a full review of all identified and alternative options has occurred but these have not been fully evaluated a formal process to consider alternative options to minimise risk is being developed
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> a formal process for evaluating alternative options, which includes environmental impacts, community views and end land-use options as well as technological and economic considerations, has been implemented baseline studies are being used to identify potential risks associated with exploration or project development and these risks have been prioritised
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> practices to reduce risk have been considered and integrated with exploration procedures management of key risks has been incorporated into project development with the objective of eliminating or reducing all risks a process of reviewing risks is undertaken periodically or when changes to the operation occur. Risk reduction strategies are implemented
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> the organisation actively investigates innovative technologies that reduce the environmental risks of exploration and mining options stakeholders are involved in assessing and prioritising environmental, cultural and social key risks stakeholders support the organisation's approach towards minimising environmental, cultural and social impacts

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 and Information in support of Criteria
0	<p>No action has occurred</p> <ul style="list-style-type: none"> the organisation cannot demonstrate that biodiversity protection is considered during exploration, project development or operation
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> baseline surveys are conducted but the review and analysis of information is limited the understanding of biodiversity issues within the organisation is minimal
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> baseline studies have identified key ecological values which require protection and ongoing management consultation with stakeholders is undertaken and strategies for the protection of ecological values are developed
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> strategies for the protection of ecological values are implemented monitoring systems and programs are established based on the strategies developed to protect ecological values monitoring data is assessed and changes to protection strategies undertaken where required.
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> monitoring results indicate that protection strategies are effective in protecting key ecological values stakeholders are involved in reviewing management practices which have been implemented to protect key ecological values
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> site actively supports and initiates regional biodiversity research and regional conservation programs site maintains ongoing communications with specialist researchers to enhance understanding of operational impacts on biodiversity

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: Integrating Environmental Management into the Way We Work

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 and Information in support of Criteria
0	<p>No action has occurred</p> <ul style="list-style-type: none"> planning for closure is not included at the feasibility, design or operation phase processes or systems to initiate studies do not exist no resources have been allocated to develop and implement these plans
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> the organisation has formally considered the development of environmental plans for operation and closure no analysis of conceptual plans has occurred to determine if concepts are feasible there are no plans for any unexpected closure resources have been allocated for the development of effective operational and closure plans closure provisions are being determined or revised for accrual purposes
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> final land-use has been determined action plans exist to investigate areas of uncertainty regarding conceptual plans closure objectives and standards are being developed funds for closure and decommissioning have been determined (based on closure and decommissioning plans) and are being progressively accrued a closure and decommissioning plan has been developed and costed
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> the organisation's closure plan has been developed and is reviewed regularly as new information is received closure objectives and standards have been developed and have senior management commitment the closure plan is incorporated into life-of-mine planning operational plans for improved environmental performance and lower closure costs are being effectively implemented closure and decommissioning costs are based on progressive rehabilitation and actual costs incurred to date accrual values are adjusted annually in line with reassessed decommissioning costs the closure and decommissioning plan is updated for each operational period
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> the closure plan has been verified by an external and qualified third party

	<ul style="list-style-type: none">• the closure plan has been reviewed by key stakeholders. Issues raised have been addressed• a fully costed closure and decommissioning plan exists and is updated periodically in response to major process, infrastructure, industry and/or legislative changes• the closure and decommissioning plan and costs are regularly reviewed and externally reviewed in the last five years of mine life
5	<p>Excellence and leadership</p> <ul style="list-style-type: none">• external stakeholders have participated in the development of the closure plan• a detailed risk assessment has been completed prior to or during closure to identify ongoing liabilities• post-closure monitoring programs have been developed, costed and approved• an appropriate maintenance fund has been costed and established for potential ongoing liability to the community and stakeholders• all social and external factors have been considered for the site maintenance fund

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> the organisation does not consider the environmental impact of energy, materials or natural resources used in the process
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> improvements in the consumption of resources are only considered during process changes or infrastructure upgrades and are only secondary to other production considerations a basic knowledge of cleaner production and product stewardship principles exist, but there is no commitment to pursue them
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> accurate measurement of resource and energy use occurs resource consumption (quantities) for key parts of the process are effectively measured the organisation has identified areas where resource efficiencies or reduced consumption could be improved.
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> a strategy for improving consumption efficiencies in key areas has been developed and implemented adequate resources have been approved and allocated to the programs. the organisation can demonstrate that improved efficiencies will result from the programs efficiency targets are set for all key areas of the organisation
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> the strategy for improved consumption efficiencies has been broadened to include all parts of the organisation employees and contractors receive appropriate training to ensure programs are fully implemented and maintained resource consumption efficiencies are considered in all relevant organisational management decisions resource use efficiency of suppliers and contractors is considered as part of organisational contracts
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> resource and energy efficiency is improving in accordance with targets targets are broadened to cover all functions and activities of the organisation technical innovation and workforce commitment can be demonstrated to be key components of efficient management of resources resource use efficiencies are a normal component of organisational management decisions resource use efficiency of suppliers and contractors is a normal component of organisational contract agreements

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> no waste segregation or recycling programs exist within the organisation
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> a formal and documented review of the organisation has identified all the wastes, residues and the volumes generated recycling and reuse opportunities are identified and documented for all key wastes and residues
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> a formal and structured recycling program has been developed and communicated for all key or high volume wastes and residues volumes of material used, reused and recycled on and off the site are effectively documented
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> targets have been established for recycling and reuse programs recycling and reuse programs are fully implemented and periodically audited audit results are demonstrating that recycling programs are successful additional opportunities for recycling and reuse continue to be investigated and documented
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> recycling and reuse programs have been developed and implemented for small volume and high cost waste streams where practicable existing programs are reviewed according to the organisation's documented schedule and are upgraded as appropriate where possible and appropriate, the organisation actively considers using recycled products as raw materials in the process
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> recycling and reuse opportunities are developed or sponsored by the organisation when no other suitable avenue exists recycling and reuse commitments by suppliers and contractors are a key component of contract agreements the organisation is implementing changes to processes in order to generate wastes that are more easily disposed of or recycled with less environmental impact

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> residual wastes and process residues are not effectively or formally managed, resulting in significant environmental impacts
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> all residual wastes and process residues have been identified and quantified including the rate of production current disposal methods are documented and risk assessments undertaken to identify alternative disposal options alternative disposal options and/or management options for all residue wastes and process residues are investigated
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> a favoured strategy for the safe disposal and/or reuse of residual wastes and process residues has been developed. High risk wastes and residues receive priority and improved disposal management
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> strategies for safe disposal or reuse are being implemented disposal of high-risk wastes are being addressed as a priority new and revised disposal methods are formally and effectively monitored information from monitoring programs is implemented and reviewed according to a formal schedule if relevant, clean-up and remediation strategies are developed for waste disposed by previous methods and/or owners
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> monitoring programs demonstrate improved management of waste and reduced environmental impact risk assessments demonstrate that existing management practices and disposal strategies have an acceptable level of risk clean-up and remediation strategies, developed for the management and disposal of previous waste, are implemented where appropriate the organisation is identifying alternative, lower risk methods of residual waste and process residue disposal
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> the organisation is recognised as an industry leader in residual waste and process residue management clean-up and remediation strategies developed for management of waste disposed of by previous methods and owners have been effectively implemented programs to support research exist and may include improved waste management technologies, environmental restitution and minimising environmental impacts resulting from waste disposal continuous improvement in residual wastes and process residues is pursued and documented

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> • 'Whole-of-life' analysis and related concepts are not recognised or understood by the organisation
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> • the organisation has committed and secured management approval to prepare a 'Whole-of-life' analysis for all of its key consumables and products
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> • customers have been formally made aware of environmental issues relating to product use • Improved product management programs are implemented on an ad hoc basis.
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> • all key opportunities for improving the management of consumables and products have been identified • a schedule has been prepared for the implementation of high priority opportunities • adequate resources are committed to implement the required changes to consumable and product management
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> • a formal 'Whole-of-life' analysis is documented for all key consumables and products relating to the organisation • improved management opportunities are being implemented according to the schedule • customers are being advised of methods to minimise environmental impacts resulting from product handling and use (ie. recycling, reuse, disposal options) • the organisation actively sources consumables which result in a lower net environmental impact (eg. recycled paper for use in offices)
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> • the organisation has made formal agreements with suppliers and customers to improve product management • new opportunities for improved product stewardship are continually investigated • the organisation is recognised as being an industry leader in product stewardship

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> no objectives and targets (formal or informal) have been established for the management of environmental impacts no commitment exists by either senior management or environmental managers to develop objectives and targets
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> the organisation has completed a suitable process to identify appropriate objectives and targets for all significant issues at the operation these objectives and targets have been clearly defined and documented
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> senior management has reviewed and formally endorsed the organisation's objectives and targets the organisation can demonstrate that the objectives and targets have been effectively communicated to the workforce
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> each department head within the organisation has included environmental objectives and targets in the department processes each department has allocated sufficient resources (staff and financial) toward achieving the objectives and targets
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> where appropriate Key Performance Indicators have been set for measurable targets the organisation can demonstrate a system for regularly assessing progress toward objectives and targets progress in achieving targets and redefining them is effectively documented objectives and targets are reviewed when organisational changes, business objectives or policy changes occur
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> new objectives and targets are established on achievement of existing ones the organisation can demonstrate that industry benchmarks and stakeholder expectations are effectively monitored and where appropriate, the organisation's objectives and targets are adjusted to reflect these changes and expectations.

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> • there are no formal or reliable monitoring programs in place to measure the environmental impacts of the organisation • there is no recognition or commitment from management to implement monitoring programs for key environmental impacts
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> • monitoring programs may exist but do not include all key environmental impacts • monitoring programs for key environmental impacts may exist but performance criteria have not been established
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> • monitoring programs exist for all key environmental impacts and criteria for each program have been defined • quality control and quality assurance programs for reliable data collection are being developed • processing of data is occurring but the absence of QA/QC results in data or study conclusions being unreliable
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> • data from all monitoring programs can be verified, due to the presence of a documented QA/QC program • data generated from monitoring programs is processed and performance against criteria measured at appropriate frequencies as per a documented review program
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> • data from monitoring programs is used by management as tools in both short and long term management of the process undertaken by the organisation • monitoring data is used in the assessment of new projects, expansions and new equipment • the communication and use of data as a management tool can be demonstrated
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> • stakeholders are consulted regarding the appropriateness of relevant monitoring programs and associated criteria. This process is documented • the organisation can demonstrate that issues raised by stakeholders are addressed in program reviews • Stakeholders are kept informed of the status of their comments and the relevant data generated from the monitoring programs

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> no benchmarking against industry performance occurs external expectations are not monitored or reviewed by the organisation
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> the organisation recognises that current industry performance and external expectations should be reviewed to assess the organisation's performance the process by which the industry performance review and benchmarking will occur has been defined and documented the processes by which external expectations will be determined has been defined and documented and may include consultation with industry organisations and stakeholders
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> industry performance is being reviewed and benchmarks are being developed processes to identify and determine external expectations have been implemented findings are being systematically collated and evaluated
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> suitable industry benchmarks have been defined and documented. External expectations are understood and have been documented/summarised findings are incorporated into work and management practices resulting in modified work programs to improve environmental performance
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> review of benchmarks and external expectations is undertaken periodically according to a documented schedule a documented and effective process for incorporating the findings of the reviews into existing systems and processes exists
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> environmental performance is measurably improved as a result of benchmarking where environmental performance cannot be readily measured because improvements are expected over long time periods, improved management processes are documented and justified against an appropriate benchmark

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> the organisation is not involved in, nor contributes any resources to, research projects with an environmental directive or focus the organisation is not planning to become involved in environmental research
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> the organisation has identified areas where research into environmental aspects of the process, product and/or resulting impacts would be beneficial to the organisation organisational research needs have been documented and prioritised
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> a research strategy has been documented, outlining which research needs are to be addressed, the form of the research, and whether it is to be undertaken internally, externally or in conjunction with other organisations and the level of resources required senior management has approved the research and an appropriate level of resources has been committed
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> the organisation has a formal program for research and systematically commits resources to the project/s research needs of the organisation and program outcomes are reviewed according to a schedule and programs are updated as required.
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> research project findings are systematically assessed, evaluated and incorporated into organisational operating practices.
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> research programs undertaken by the organisation have a broad application and benefit the wider industry Information from research programs is made freely available to other organisations through conferences, journal papers, workshops, industry organisations and media outlets as appropriate

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> the organisation does not prepare any environmental performance information for dissemination to management, the community or stakeholders in any systematic or managed way
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> information is prepared for a public environmental report which is provided to management and is available to the community but is not systematically distributed the content of the report is determined within the organisation without consultation with the broader community processes for the systematic distribution of the public environmental report are documented
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> public environmental reports are prepared and systematically distributed to management, stakeholders and interested parties management is informed of all relevant information and this can be demonstrated feedback from reports is accepted but not systematically addressed
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> the organisation proactively seeks feedback on the annual environmental report and systematically addresses issues raised in the feedback content and format of future reports are modified to reflect feedback and this can be demonstrated the organisation can demonstrate that management practices have incorporated appropriate feedback to improve environmental performance
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> feedback from representative stakeholders and interested parties on the environmental performance of the organisation is sought prior to the publication of the public environmental report and comments are incorporated into the report
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> the content of public environmental reports has been externally verified

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> the organisation does not seek the participation of any external parties in monitoring, reviewing or verifying the environmental performance the organisation has not identified any parties interested in monitoring, reviewing or verifying the environmental performance
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> the organisation has systematically identified external parties wishing to be involved in the monitoring, reviewing and verifying of environmental performance interested external parties have been documented
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> where applicable a documented system for selecting appropriate interested parties has been developed the process in which interested parties can be most effectively included has been identified and documented tasks and/or activities to be undertaken by interested parties have been documented
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> interested parties have been informed of the activities and tasks in which they are to be involved and the outcomes expected from them the framework within the organisation through which the process will operate and information collected has been established interested parties provide information as expected the process of involving interested parties is reviewed and adjusted according to a documented schedule
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> information gathered from the external involvement process is reviewed according to a documented schedule and influences management decisions the organisation can demonstrate improved performance attributable to the involvement of external parties
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> the involvement of external parties has contributed to achieving environmental excellence and leadership and this can be demonstrated

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 and Information in support of Criteria
0	<p>No Action has occurred</p> <ul style="list-style-type: none"> the organisation does not consider the effectiveness of communications in managing the organisation
1	<p>Action planned and documented</p> <ul style="list-style-type: none"> some consideration is given to communication with stakeholders and interested parties but it has not been formalised and can not be shown to have improved communication
2	<p>Systems/processes being developed</p> <ul style="list-style-type: none"> the organisation is aware that communication with stakeholders and the community should be effective there is a commitment by management to review the way in which the organisation communicates and processes to evaluate communication effectiveness are being established
3	<p>Systems/processes are implemented</p> <ul style="list-style-type: none"> the organisation has established a formal process where by the organisation can assess the effectiveness of their communications information on the effectiveness of communication is evaluated and documented
4	<p>Integration into management decisions and business functions</p> <ul style="list-style-type: none"> information on the effectiveness of communication is systematically reviewed and influences the way in which the organisation communicates with stakeholders and interested parties
5	<p>Excellence and leadership</p> <ul style="list-style-type: none"> stakeholders endorse the way in which the organisation communicates. This includes the value and completeness of the information, the ease in understanding the information and the frequency of the information