**SUPPLIER DUE-DILIGENCE QUESTIONNAIRE FOR MINING COOPERATIVES**

**Instructions:**

1. Trafigura’s suppliers are strongly encouraged to use this questionnaire to collect information about *the mining cooperatives that they purchase from*.
2. Send this questionnaire to your potential suppliers prior to entering a business relationship. If you are already in a business relationship with a supplier, send this questionnaire as soon as possible.
3. This questionnaire should be updated annually, or earlier if there are changes to their business operations.
4. Ask potential and existing suppliers to complete the following fields as fully and accurately as possible.

|  |
| --- |
| **0. About this questionnaire** |
| Name of person nominated to complete this questionnaire |  |
| Job of person |  |
| Completion date of this questionnaire |  |
| 1. **Cooperative information**
 |
| * 1. Cooperative name (or individual)
 |  |
| * 1. Date of foundation
 |  |
| * 1. Cooperative Registration Number
 |  |
| * 1. Registered address
 |  |
| * 1. Business address, if different from registered address. Please list all business addresses
 |  |
| * 1. Number of cooperative members
 |  |
| * 1. Do all individuals at operational sites hold the relevant permits and / or registrations as required by law?
 | [ ]  Yes | [ ]  No |
| * 1. How many sites do you operate?
 | Mine sites:  | Other sites:  |
| * 1. Identify all activities done by the cooperative
 | [ ]  Mining | [ ]  Trading | [ ]  Processing |
| Other (Please specify):  |
| * 1. What are the products that you sell? Please list all products, including those not sold to us
 |  |
| * 1. Do you have the following policies?
 | [ ]  Anti-bribery and corruption[ ]  Anti-money laundering☐ Responsible Minerals | [ ]  Human Rights[ ]  Occupational health and safety | [ ]  Communities [ ]  Environment |
| 1. **Taxes, royalties, fees and other payments made to governments**
 |
| * 1. Please provide details on the amount of royalties paid in the last fiscal year

(Please provide evidence of payment) | Royalties: Modality of payment: |
| [Country-specific requirements]: |
| 1. **Mine site information**

**If you operate more than one mine site, please use the questionnaire in Annex A to complete information for other sites.** |
| * 1. Mine site name
 |  |
| * 1. Mine site address. Please include GPS coordinates in decimal degree system (i.e. DDD° MM' SS.S"), if known
 |  |
| * 1. Name of mine site owner
 |  |
| * 1. Your tenure status
 | [ ]  Owner | [ ]  Lease holder | [ ]  Operator |
| Other (Please specify):  |
| * 1. Is the site operated by more than one cooperative?
 | [ ]  Yes, please list the name of cooperative(s):  | [ ]  No |
| * 1. Minerals produced
 | [ ]  Zinc | [ ]  Lead | [ ]  Silver |
| Other (Please specify):  |
| * 1. Activities undertaken on-site
 | [ ]  Mining | [ ]  Blending | [ ]  Processing |
| Other (Please specify):  |
| * 1. Do you purchase minerals from other sites?
 | [ ]  Yes | [ ]  No | [ ]  Unknown |
| * 1. Are there security guards on your site?
 | [ ]  Private guards | [ ]  Public guards | [ ]  None |
| * 1. If there are security guards, are they armed?
 | Private security company | Public forces (e.g. police) |
| [ ]  Yes[ ]  No[ ]  Not applicable | [ ]  Yes[ ]  No[ ]  Not applicable |
| 1. **Transportation of materials**
 |
| * 1. Is your material stored by a third party before delivering it to us?
 | [ ]  Yes | [ ]  No |
| * 1. Is your material blended by third party before delivering it to us?
 | [ ]  Yes | [ ]  No |
| * 1. Do you transport material directly to us using your own trucks?
 | [ ]  Yes | [ ]  No |
| * 1. Do you transport material directly to us using a third party provider?
 | [ ]  Yes | [ ]  No |
| 1. **Labour practices**
 |
| * 1. Number of workers
 |  |
| * 1. Do all workers have the required mandatory employer registration?
 | [ ]  Yes | [ ] No |
| * 1. What is the age of the youngest person present on site?
 | [ ]  Under 13 | [ ]  13-15 | [ ]  16-18 | [ ]  Over 18 |
| 1. **Health, safety, environment and communities**
 |
| * 1. Do you have a process to manage risks to people and risks to the environment associated with your operations?
 | [ ]  Yes | [ ]  No |
| * 1. What, if any, personal protective equipment (PPE) is required on site?
 | [ ]  Helmets[ ]  Dust masks[ ]  Glasses | [ ]  Steel toe boots[ ]  High visibility vest[ ]  Hearing protection[ ]  None |
| Other (Please specify):  |
| * 1. Do you provide all required PPE, as per applicable laws, to all workers?
 | [ ]  Yes | [ ]  No |
| * 1. If PPE is provided, do you deduct part of the cost of the PPE from workers’ pay or charge workers for the PPE?
 | [ ]  Yes | [ ]  No |
| * 1. Do you record all incidents occurring on site (even those that did not cause injury but did have, or could have had, a significant impact on people or the environment)?
 | [ ]  Yes | [ ]  No |
| * 1. In the last 12 months, did any of these events occur on site?
 | [ ]  Fatality [ ]  Loss of limb | [ ]  Broken bones[ ]  Breathing difficulties amongst workers  |
| Other serious incident requiring hospital treatment (please specify):  |
| * 1. What is the depth of the deepest pit?
 |  |
| * 1. Do you monitor any of the following related to the actual or potential impacts of your activities?
 | [ ]  Water quality | [ ]  Dust level | [ ]  Noise level |
| * 1. Have nearby communities made complaints about your activities?
 | [ ]  Resettlement[ ]  Dust[ ]  Noise | [ ]  Conflict with mine workers [ ]  Conflict with mine security [ ]  Water contamination |
| Other (Please specify):  |
| * 1. Do you have operations in proximity of environmental protected areas or heritage sites?
 | [ ]  Yes | [ ]  No | [ ]  Unknown |

**Please provide the following documents:**

|  |
| --- |
| [ ]  Constitution document |
| [ ]  Environmental licence |
| [ ]  Operation licence |
| [Country-specific requirements] |

**ANNEX A**

Use one table for each mine site operated by you.

|  |
| --- |
| 1. **Mine site information**
 |
| * 1. Mine site name
 |  |
| * 1. Mine site address. Please include GPS coordinates in decimal degree system (i.e. DDD° MM' SS.S"), if known
 |  |
| * 1. Name of mine site owner
 |  |
| * 1. Your tenure status
 | [ ]  Owner | [ ]  Lease holder | [ ]  Operator |
| Other (Please specify):  |
| * 1. Is the site operated by more than one cooperative?
 | [ ]  Yes, please list the name of cooperative(s):  | [ ]  No |
| * 1. Minerals produced
 | [ ]  Zinc | [ ]  Lead | [ ]  Silver |
| Other (Please specify):  |
| * 1. Activities undertaken on-site
 | [ ]  Mining | [ ]  Blending | [ ]  Processing |
| Other (Please specify):  |
| * 1. Do you purchase minerals from other sites?
 | [ ]  Yes | [ ]  No | [ ]  Unknown |
| * 1. Are there security guards on your site?
 | [ ]  Private guards | [ ]  Public guards | [ ]  None |
| * 1. If there are security guards, are they armed?
 | Private security company | Public forces (e.g. police) | [ ]  Not applicable |
| [ ]  Yes[ ]  No[ ]  Not applicable | [ ]  Yes[ ]  No[ ]  Not applicable |
| 1. **Transportation of materials**
 |
| * 1. Is your material stored by a third party before delivering it to us?
 | [ ]  Yes | [ ]  No |
| * 1. Is your material blended by third party before delivering it to us?
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| * 1. In the last 12 months, did any of these events occur on site?
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| Other serious incident requiring hospital treatment (please specify):  |
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| * 1. Have nearby communities made complaints about your activities?
 | [ ]  Resettlement[ ]  Dust[ ]  Noise | [ ]  Conflict with mine workers [ ]  Conflict with mine security [ ]  Water contamination |
| Other (Please specify):  |
| * 1. Do you have operations in proximity of environmental protected areas or heritage sites?
 | [ ]  Yes | [ ]  No | [ ]  Unknown |