## LME responsible sourcing compliance – Lead alignment assessor application form

## Introduction

To become approved as a lead alignment assessor of due diligence standards against the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (“OECD Guidance”) in respect of the LME responsible sourcing programme, please complete the lead alignment assessor application form below.

Please note that the terms assessor or assessment company can be taken to mean Recognised Alignment Assessor pursuant to Section 16 in LME Policy on Responsible Sourcing of LME-Listed Brands (the “LME Responsible Sourcing Policy”).

The lead alignment assessor, for the purposes of this application and the LME alignment assessment approval, is the assessor responsible for leading the alignment assessment team in an organisation. The lead alignment assessor is expected to prepare the assessment plan, deliver meetings and submit the alignment assessment report to the LME.

Once complete, please sign and return this form to responsiblesourcing@lme.com.

For the avoidance of doubt, both an alignment assessment company and the lead alignment assessor need to be approved by the LME for the LME to accept the results of an alignment assessment commissioned by a potential LME Track A standard (please note it is expected that Track A Standards contract for and pay for an alignment assessment, using an alignment assessor approved by LME). Please also refer to the alignment assessment company application form.

The lead alignment assessor is responsible for ensuring the efficient and effective conduct of the alignment assessment and will be the individual responsible for signing off and sending the alignment assessment report to the LME. Other responsibilities also include:

* Consulting with the standard being assessed when determining the alignment assessment plan
* Forming and leading the alignment assessment team
* Recognising when the alignment assessment is unattainable and reporting the reasons for this to the LME
* Ensuring alignment assessment is conducted in accordance with best industry practice and the standards expected by the OECD

The LME reserves the right to review the information submitted by lead alignment assessors (even after approval) in order to determine if there are any changes that will impact on the lead alignment assessor’s ability to remain recognised to lead alignment assessments. Lead alignment assessors are obliged to inform the LME if there are any material changes to this application once approved or if they breach any part of Section B (“Mitigation of conflicts of interest”).

## Alignment assessor application form – contents

The LME’s alignment assessment application form consists of the following sections:

|  |  |
| --- | --- |
| **Section A – General information** | Essential individual information  |
| **Section B – Mitigation of conflict of interest** | Assesses any potential conflicts of interest and how the lead alignment assessor proposes to address such conflicts. All parts of section B must be completed |
| **Section C – Familiarity and practical experience with the OECD Alignment Assessment Methodology** | Assesses familiarity and practical experience with the Methodology for the Alignment Assessment of Industry Programmes with the OECD Minerals Guidance (“OECD Alignment Assessment Methodology”) and its tool |
| **Section D – Experience of alignment assessment based on the OECD Guidance** | Assesses whether the lead alignment assessor has the requisite experience to effectively complete an alignment assessment of a standard against the OECD Guidance  |
| **Section E – Further documentation** | Gives the lead alignment assessor the opportunity to attach any additional documentation that they believe may be pertinent to the application  |
| **Section F – Declaration** | Formal declaration that the information and auxiliary documents are correct and accurately reflect the lead alignment assessor’s capabilities  |

Section A: General

|  |  |
| --- | --- |
| LME requirement  |  Lead alignment assessor details |
| Name of lead alignment assessor |  |
| Alignment assessment individual company |  |
| Registered business address and contact details of lead alignment assessor |  | Address |  |
| City |  |
| State/Province/County |  |
| Country |  |
| Telephone number |  |
| Email address |  |
| Lead alignment assessor details |  | Name |  |
| Position |  |
| Telephone number |  |
| Email address  |  |

## Instructions

All requirements in Section B must be adhered to by the lead alignment assessor to be an LME approved lead alignment assessor.

Sections C and D are not “pass/fail” sections. Instead, the answers to these sections are intended to provide the LME a holistic view of the lead alignment assessor’s credentials/capabilities. If a lead alignment assessor does not fulfil the criteria identified below, they should indicate in their response their plan to ascertain such a credential or why they do not believe such a credential is required.

If the lead alignment assessor applicant has any questions on any of the below requirements, they should contact responsiblesourcing@lme.com.

Section B: Mitigation of conflict of interest

Please summarise in the table below how the alignment assessor intends to fulfil each of the LME’s requirements. Supporting documentation for each requirement must be attached to the application.

| LME requirement | Lead alignment assessor response | LME comments |
| --- | --- | --- |
| **Ability to manage and mitigate potential risk of conflict of interest** |
| 1. Alignment assessor must not have any of the following:
* Any material financial interest in the standard or any immediate family member working for the standard being alignment assessed
* Any immediate family member serving in any capacity at the standard, including director, officer, employee, agent, partner, associate, trustee, consultant, or similar role
 | *[put down confirmation that lead alignment assessor complies with the financial interest and employee conflict of interest requirements and any other details pertinent to this question – please also attach any relevant documents]* |  |
| 1. Assessor may not accept any gifts, gratuities, or entertainment from standard intended to alignment assess
 | *[put down confirmation that the lead alignment assessor does not accept gifts, gratuities, or entertainment and any other details pertinent to this question – please also attach any relevant documents]* |  |
| 1. Assessor may not alignment assess a standard to which they were retained as the primary advisor or consultant to create or improve (either in their current or previous employment) the standard
 | *[put down confirmation (e.g. example of a policy) that the lead alignment assessor will not alignment assess a standard that they were a primary advisor to create. A primary advisor in this case could be a person who provided expert advice for a fee. If advice was provided as part of a multi-stakeholder engagement process e.g. a Standards Committee, this would be acceptable as long as this was made known, as part of this application, to the LME]* |  |
| 1. Assessor shall report to LME the names of producers of LME Brands or standard bodies to which the assessor has provided any consulting service in the previous 24 months
 | *[put down list names of producers of LME Brands to which the lead alignment assessor has provided any consulting service in the previous 24 months]* |  |

Section C: Process and methodology based on the OECD Guidance

This section assesses familiarity and practical experience with the [OECD Alignment Assessment Methodology](https://mneguidelines.oecd.org/industry-initiatives-alignment-assessment.htm) and its tool.

Please summarise in the table below the lead alignment assessor’s experience with the criteria set out below. Supporting documentation should be attached to the application where appropriate.

| Encouraged | Lead alignment assessor response | LME comments |
| --- | --- | --- |
| **Familiarity with the alignment assessment of industry programmes with the OECD Guidance** |
| 1. Assessor (on an individual level) fully understands the OECD Alignment Assessment Methodology and uses its tool as the basis of its alignment assessment work
 | *[put down confirmation that lead alignment assessor fully understands and has read the Methodology – please also attach any relevant company process documents that show how the OECD’s published tools and methodology underpins your company’s processes]* |  |
| 1. Assessor has implemented the OECD Alignment Assessment Methodology previously
 | *[put down any history of implementation the lead alignment assessor has had with the OECD Alignment Assessment Methodology]* |  |
| 1. Assessor has implemented something similar or related to the OECD Alignment Assessment Methodology previously
 | *[put down any history of implementation the lead alignment assessor has had with anything related to or similar to the OECD Alignment Assessment Methodology]* |  |

Section D: Experience of alignment assessment based on the OECD Guidance

Please summarise in the table below the alignment assessors experience with the below criteria. Supporting documentation should be attached to the application.

| Encouraged | Lead alignment assessor response | LME comments |
| --- | --- | --- |
| **Ability to understand supply chains and / or due diligence assessments**  |
| 1. Assessor can demonstrate experience in assessing companies and / or standards against the OECD Guidance and has demonstrated knowledge of all issues covered by the OECD Guidance
 | *[put down examples of experience related to having assessed for the OECD Guidance (e.g. Annex II risks, CAHRAs, management systems, etc)]* |  |
| 1. Assessor can give examples of having worked with a standard body before within the commodities sector (e.g. in a consulting role or auditing role)
 | *[put down examples of history with a standard body]* |  |
| 1. Assessor can give examples of evaluating risk methodologies, such as evaluating a mining company’s risk assessment methodology (at a global and local scale), and/or evaluating or benchmarking a metals standard
 | *[put down examples of having evaluated risk methodologies]* |  |
| 1. Assessor has experience (e.g. have helped or advised on publication of audits) of the requirements of Step 5 reporting or public reporting and disclosure (e.g. familiarity with the EITI)
 | *[put down examples of having published or helped publish audits or other information that allows for greater transparency of standards or companies]* |  |
| **Metal supply chain alignment assessments** |
| 1. Assessor can show examples of planning or having planned for an alignment assessment (e.g. show plan for ensuring that sufficient resources are made available to support the operation)
 | *[put down examples of assessment plans]* |  |
| 1. Assessor can show examples of having worked with artisanal or small-scale mining (“ASM”) operators (if relevant)
 | *[put down examples of previous work with any ASM related company, either directly or indirectly]* |  |
| **Assessment methodologies** |
| 1. Assessor can give details of risk assessment methodologies they have contributed to developing in the past (do not need to be OECD Guidance based)
 | *[put down examples of previous risk assessment methodologies that have been developed by the alignment assessor]*  |  |
| **Further alignment assessor individual experience**  |
| 1. List assessors qualifications, including education, experience, competencies and languages
 | *[attach CVs of lead alignment assessor and other relevant experience]* |  |
| 1. Include specific examples of work experience (particularly leadership roles) that are pertinent to the application
 | *[include specific examples of having been a lead assessor or auditor that could be pertinent to the application]* |  |
| 1. List and provide evidence of all relevant and current accreditations, certifications or memberships held by the lead alignment assessor
 | [*scanned copies of current valid certifications are acceptable*] |  |

Section E: Further documentation

In addition to the information provided above, please attach (or note below) any documentation that the applicant believes is pertinent to the application and will assist the LME in its assessment. For example, applicants could attach letters of recommendation from a client or industry body, add a personal statement, list relevant training undertaken or similar.

Section F: Declaration

The lead alignment assessor named in this application applies to be listed as an approved lead alignment assessor of metals standards against the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (“OECD Guidance”) for the LME responsible sourcing programme and declares that:

* the information in this form and accompanying attachments is correct;
* the lead alignment assessor will, from the date of signing this application:
1. not act in such a manner as to bring the LME into disrepute;
2. not overstate its position in respect of being an LME-registered alignment assessor; and
3. take immediate steps to rectify any problems that the LME identifies as being contrary to (i) to (ii) listed above;
* the lead alignment assessor will inform the LME of any changes to its capacity and competence to lead and undetake an alignment asessment

Lead alignment assessor name:

Position:

Company name:

Signature: Date: