## LME responsible sourcing compliance – Alignment assessment company application form

## Introduction

To become approved as an alignment assessment company 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 alignment assessment company application form below.

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

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

The LME publishes a list of approved alignment assessors on the [LME website](https://www.lme.com/en-GB/About/Responsibility/Responsible-sourcing) and shall ensure the list is regularly reviewed and updated.

Alignment assessment companies shall submit this application form together with any appropriate supporting evidence. The LME shall review the information and alignment assessment companies may be required to provide any additional information and/or clarification as required by the LME to help make its determination.

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 assessment company approved by LME). Please also refer to the alignment assessor application form.

The LME reserves the right to review the information submitted by alignment assessment companies (even after submission) in order to determine if there are any changes that will affect an alignment assessment company’s ability to remain on the LME list of approved alignment assessors.

**Contact**

responsiblesourcing@lme.com

## Alignment assessment company application form – contents

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

|  |  |
| --- | --- |
| **Section A – General information** | Essential company and primary contact information  |
| **Section B – Mitigation of conflict of interest** | Assesses any potential conflicts of interest, including staff members, company owners (and associated company activities) and how the alignment assessor company 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 alignment assessment company has the requisite experience to effectively complete an alignment assessment of a standard to the OECD Guidance  |
| **Section E – Further documentation** | Gives the alignment assessment company the opportunity to attach any additional documentation (e.g. accreditations, references etc) that it believes may be pertinent to the application  |
| **Section F – Declaration** | Formal declaration that the information and auxiliary documents are correct and accurately reflect the alignment assessment company’s capabilities  |

Section A: General

|  |  |
| --- | --- |
| LME requirement  |  Alignment assessment company details |
| Name of alignment assessment company |  |
| Registered business address and contact details of head office |  | Address |  |
| City |  |
| State/Province/County |  |
| Country |  |
| Telephone number |  |
| Email address |  |
| Primary contact person |  | Name |  |
| Position |  |
| Telephone number |  |
| Email address  |  |

## Instructions

All requirements in Section B must be completed by the alignment assessment company for the company to be an LME registered 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 alignment assessment company’s capabilities. If an alignment assessment company does not have the credentials identified, it should indicate in its response if it plans to ascertain such credentials or set out why it does not believe such a credential is needed.

If the alignment assessor company has any questions on any of the requirements below, it should contact responsiblesoucing@lme.com.

Section B: Mitigation of conflict of interest

Please summarise in the table below how the alignment assessment company intends to adhere to each LME requirement. Supporting documentation for each requirement must be attached to the application.

| LME requirement | Alignment assessment company response | LME comments |
| --- | --- | --- |
| **Ability to manage and mitigate potential risk of conflict of interest** |
| 1. Alignment assessment company 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 employee or immediate family member currently serving in any  capacity at the standard, including  director, officer, employee, agent,  partner, associate, trustee,  consultant, or similar role | *[put down confirmation that your company complies with the financial interest and employee conflict of interest requirements and any other details you deem pertinent to this question – please also attach any relevant documents e.g. conditions of employment policy]* |  |
| 1. Assessment company must not accept any gifts, gratuities, or entertainment from standard intended to alignment assess
 | *[put down confirmation that your company does not accept gifts, gratuities, or entertainment and any other details you deem pertinent to this question – please also attach any relevant documents e.g. gift register, gift & entertainment policy etc.]* |  |
| 1. Assessment company must not alignment assess a standard to which it was retained as the primary advisor or consultant in the creation of the standard
 | *[put down confirmation (e.g. example of a policy) that your company does not and will not alignment assess a standard that it was a primary advisor to create. A primary advisor in this case could be a company which 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. Assessment company 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 your company 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 Methodology for the Alignment Assessment of Industry Programmes with the OECD Minerals Guidance (“[OECD Alignment Assessment Methodology](https://mneguidelines.oecd.org/industry-initiatives-alignment-assessment.htm)”) and its tool.

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

| Encouraged | Alignment assessment company response | LME comments |
| --- | --- | --- |
| **Familiarity with the alignment assessment of industry programmes with the OECD Guidance** |
| 1. Assessment company fully understands the OECD Alignment Assessment Methodology and uses its tool as the basis of its alignment assessment work
 | *[put down confirmation that your company fully understands and has read the OECD Alignment Assessment 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. Assessment company has implemented the OECD Alignment Assessment Methodology previously
 | *[put down any history of implementation the assessor has had with the OECD Alignment Assessment Methodology]* |  |
| 1. Assessment company has implemented something similar or related to the OECD Alignment Assessment Methodology previously
 | *[put down any history of implementation the assessor has had with anything related to or similar to the OECD Alignment Assessment Methodology. Applicants should describe in detail the activity and how it relates to alignment assessment methodology]* |  |

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

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

| Encouraged | Alignment assessment company response | LME comments |
| --- | --- | --- |
| **Ability to understand supply chains/and or due diligence assessments**  |
| 1. Assessment company can demonstrate experience in assessing companies and / or standards against the OECD Guidance and demonstrate knowledge of all issues covered by the OECD Guidance
 | *[put down examples of experience with having assessed the OECD Guidance (e.g. Annex II risks, CAHRAs, management systems, etc)]* |  |
| 1. Assessment company 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 standards body]* |  |
| 1. Assessment company 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. Assessment company can give examples demonstrating familiarity with Extractive Industries Transparency Initiative (“EITI”)
 | *[put down examples of familiarity with EITI]* |  |
| 1. Assessment company has experience (e.g. have helped or advised on publication of audits) of the requirements of Step 5 reporting
 | *[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. Assessment company 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. Assessment company can show examples of having worked with artisanal or small-scale mining (“ASM”) companies (if relevant)
 | *[put down examples of previous work with any ASM related company, either directly or indirectly]* |  |
| **Assessment methodologies** |
| 1. Assessment company can give details of risk assessment methodologies they have developed 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 assessment company]* |  |

Section E: Further documentation

In addition to the information provided above, please attach the following:

1. A copy of the company’s latest audited financial statements
2. Evidence showing previous relevant audits or shadow audits e.g. audit logs, testimonials, promotional material
3. A copy of all publicly available documents that promote or describe the alignment assessment company, including, where applicable, website addresses
4. A copy of all relevant and current accreditations, certifications or memberships held by the alignment assessor company
5. A copy of the internal training programme and competencies the alignment assessment company requires for its assessors
6. A letter or email of recommendation from a previous client

Section F: Declaration

The alignment assessment company named in this application applies to be listed as an approved 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 accurate and correct;
* the alignment assessment company has the necessary resources to undertake an alignment assessment;
* the alignment assessment company 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 regarding 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 alignment assessment company will inform the LME of any changes to its organisation that may affect its capacity and competence to carry out an alignment asessment

Authorised Person:

Position:

Company name:

Signature: Date: