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RMI STANDARDS AND ASSESSMENT CRITERIA DEVELOPMENT PROCEDURE

I. PURPOSE/PROCESS OVERVIEW:

This document sets forth the operational procedure for development, review and issuance of new or revised Standard(s) by the Responsible Minerals Initiative (RMI).

For purposes of this Procedure, the term Standard includes the RMI Standard Requirements and Assessment/Audit Criteria but does not include supporting documents intended to supplement a user's (auditee, auditor) understanding of a Standard. The following are examples of supporting documents intended to supplement a user's understanding of a Standard:

- Guidance documents related to RMI Standards
- Notifications or general summaries about RMI Standards
- Assessment/Audit Criteria Workbooks
- Training and other presentation materials on RMI Standards
- Reports issued by RMI, RBA or others
- Articles published on RMI/RBA websites
- RMI operating procedures and policies

II. STANDARDS DEVELOPMENT TIMELINE

RMI's timeline for development and issuance of a new Standard begins upon RMI staff completion of an initial draft document. Nominally, the timeline for issuing a new Standard is 180 days. Where an established timeline day falls on a Saturday or Sunday, the deadline is extended to the next Monday. RMI will also adjust deadlines to reflect national holidays in key countries.

III. DEVELOPMENT CONSULTATION AND APPROVAL PROCESS

- Identifying new topic or errata. Suggestions for new Standards or corrections to existing Standards may come from a variety of sources such as RMI members, stakeholders or RMI staff. Initial suggestions may be in verbal or written form. New Standards development may also be articulated as part of the RMI's Strategic Plan.
- Internal RMI staff review and dispositioning. All suggestions (not included in the RMI Strategic Plan) for new Standards or corrections to existing Standards will be reviewed and discussed by internal RMI staff to determine the appropriateness and priority of the suggestion. When appropriate, RMI will notify the person or company offering the suggestion of the internal RMI staff determination. RMI will review suggestions periodically but there is no specific timeline.



- The RMI staff will bring their recommendations for new standards development for initial feedback to the relevant RMI working groups, and for final approval to the RMI Steering Committee. Corrections to existing standards, where substantial will also be brought for approval to the Steering Committee; however, smaller changes and/or clarifications may be adopted by the RMI staff directly (see below).
- Internal RMI draft development. Where RMI decides to develop a new Standard or correction to existing Standards, an internal staff draft will be developed for internal staff consultation, comment and revision. Multiple iterations may be required for a new Standard.
- RMI Standards Advisory Group. After finalizing the internal RMI staff draft, the document will be presented to the multi-stakeholder RMI Standards Advisory Group for an initial review and comment period of 15 days. At RMI discretion, other relevant RMI workgroup(s), key stakeholders and partner/industry associations may also be asked to provide comments on the draft (i.e. OECD). RMI shall produce a consolidated comment log that includes a description of RMI staff response/disposition to each comment submitted. RMI will produce the consolidated comment log and the revised draft Standard within 15 days of the close of the comment period.
- RMI Membership Consultation. After dispositioning comments from the RMI Standard Committee review, RMI will present the document to general RMI membership for a review and comment period of 30 days. Notification of the document availability shall include:
 - RMI Plenary Call announcement
 - RMI Member newsletter

RMI will produce the consolidated comment log and the revised draft Standard within 30 days of the close of the comment period and publish on the RMI member portal - sharefile.

- Public Consultation. After dispositioning comments from RMI Membership review, the RMI will present the document for public review and comment period of 60 days. Notification of the document availability shall include:
 - RMI Website posting
 - RMI Public Newsletter and Smelter Newsletter
 - RMI Audit firm call communication
 - RMI Multi-Stakeholder call announcement

The RMI will produce the consolidated comment log and the revised draft Standard within 60 days of the close of the comment period. The RMI will present the log and revised standard for review to the Standards Advisory Committee. The RMI will also revert back as appropriate to the stakeholders that submitted comments.

- Steering Committee Approval. The RMI shall present the final version of the Standard to the RMI Steering Committee for approval prior to issuance. The Steering Committee may take up consideration of the Standard either during regularly scheduled meetings or in a specially-called session.



IV. STANDARDS LAUNCH AND IMPLEMENTATION

- Within 15 days of Steering Committee Approval, the final Standard shall be published on the RMI website and public notification issued via RMI Work Calls, RMI Public Newsletter and Smelter Newsletter and other venues to communicate its availability (including to auditors, auditees, and partner organizations).
- The RMI may create new guidance, amend existing guidance and procedures as needed.
- The RMI will conduct training for auditors and auditees on the new RMI Standards within 12 months of publication as final.
- The RMI will organize pilot assessments of the new RMI Standards within 12 months of publication as final.
- The RMI may apply for the new Standard to be included in an OECD or EU Alignment Assessment and/or recognition of the new Standard by other programs, schemes or entities as needed.

V. STANDARDS REVISION CADENCE

- The RMI may add new Standards or make corrections to existing Standards at any time.
- The RMI may make minor non-substantive corrections (such as correcting grammar, punctuation and spelling), clarifications and administrative updates (such as updating logos and copyright dates) to existing Standards at anytime without review and approval outside of RMI staff/management.
- Significant substantive content and/or requirement changes to existing Standards must go through the formal consultation and approval process.
- The RMI shall review Standards on 3-5 year cycle or as needed based on regulatory developments, market place conditions or member priorities.