



PRINCIPLES AND STANDARDS

v3 (May 2022)





Version

This is version 3 of the Tin Code Principles and Standards dated 03 May 2022. This version incorporates the updated versions of standards 1.4, 1.5, 2.6, 2.8, 4.2a), 4.2b), 4.3, 4.7, 6.9, 7.1, 7.3 (footnote) and 10.2 and uses new formatting for Tin Code documentation.

The Revision History is on the final page of this document.

The International Tin Association Ltd reserves the right to revise this document occasionally.

Disclaimer

This document is prepared and wholly owned by the International Tin Association Ltd. It is intended to provide general information about the standards and expectations for companies reporting against the Tin Code.



ITA Tin Code v3

Principles and Standards

THE PRINCIPLES

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|--------------|--|
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General note: (P) Priority Standard

PRINCIPLE 1 Maintain legal compliance and develop sound policies to improve practices

1. STANDARDS

1.1. *Policies*

Companies will develop and publish policies to support legal compliance and improve practices with respect to the expectations of the Tin Code.

1.2. *Management system*

Companies will work towards implementing appropriate management systems to control and monitor relevant aspects of this Principle 1.

1.3. *Legal compliance (P)*

Companies will have and keep up to date all business registrations, licences and other documents necessary to legally carry out business activity and otherwise comply with relevant local laws, including with health and safety and environmental requirements.

1.4. *Business integrity*

Companies will seek to prevent anti-competitive behaviour, corruption and bribery, including facilitation payments which should be publicly disclosed if unavoidable.

1.5. *Transparency*

Companies will support the implementation of the principles of the Extractive Industries Transparency Initiative (EITI) individually or through joint efforts, including through appropriate reporting.¹

1.6. *Whistleblowing*

Companies will develop and implement whistleblowing procedures to enable employees and stakeholders to report concerns related to company activities, including relevant expectations of the Tin Code.

1.7. *Training*

Companies will work towards implementing appropriate and periodic training for employees regarding relevant aspects of this Principle 1 and require onsite contractors to train their workers on aspects relevant to their specific tasks and work areas.

¹ Reporting is required in an implementing country of EITI.

PRINCIPLE 2 Seek continual improvement of environmental performance

2. STANDARDS

2.1. Management system

Companies will work towards implementing an environmental management system that utilises the mitigation hierarchy (avoid, minimise, mitigate, compensate) to control and monitor relevant aspects of this Principle 2.

2.2. Water quality

Companies will seek to understand and manage discharges to surface waters and groundwater in order to minimise negative impacts on water quality.²

2.3. Water consumption and availability

Companies will seek to reduce water consumption in their operations in order to minimise negative impacts on water availability.

2.4. Land and soil quality

Companies will seek to understand and manage discharges to land in order to minimise negative impacts on land and soil quality.

2.5. Air quality

Companies will seek to understand and manage discharges to air in order to minimise negative impacts on air quality.

2.6. Greenhouse gases

Companies will seek to measure, monitor and publicly disclose direct and indirect CO₂ equivalent (GHG) emissions, and work towards economic reduction targets appropriate to the nature and scale of operations and relevant protocols.

2.7. Energy consumption

Companies will seek to identify technically and financially feasible measures for reducing the direct and indirect consumption of energy per unit of production or increasing the share from renewable sources.

2.8. Tailings management (P)

Companies will dispose of or store tailings³ in a manner that minimises the risk of impacts to the environment and human health in accordance with recognised standards when available.⁴

2.9. Hazardous waste management

Wherever possible companies will avoid the generation of hazardous wastes; where this is not possible companies will manage and dispose of wastes in a manner that minimises negative impacts on human health and the environment.⁵

² For offshore operations, companies will seek to understand and manage discharges to marine waters in order to minimise negative impacts on seawater quality; further requirements with respect to the marine discharge of tailings, hazardous wastes and non-hazardous and inert wastes are addressed in SOPs 2.8, 2.9 and 2.10 respectively

³ Including to design, build, operate, monitor and decommission for all life cycle stages

⁴ For offshore operations, companies will return non-hazardous and inert tailings as near as possible to the point of extraction; companies will transfer tailings that are defined as hazardous wastes to a terrestrial location and there store or dispose of them in a manner that minimises the risk of impacts to the environment and human health

⁵ For offshore operations, companies will not dispose of hazardous wastes into the marine environment, including tailings where these are not categorised as inert or non-hazardous; companies will transfer hazardous wastes to a terrestrial location and there manage and dispose of them in a manner that minimises negative impacts on human health and the environment

2.10. *Non-hazardous and inert waste management*

Wherever possible companies will minimise the production of non-hazardous and inert wastes and consider reuse and recycling options before disposing of them in an appropriate manner.⁶

2.11. *Banned substances (P)*

Companies will not use substances that are banned under international convention or local laws.

2.12. *Biodiversity protection*

Companies will seek to understand potential impacts on biodiversity and avoid activities that significantly modify or degrade critical natural habitats through an appropriate action plan.⁷

2.13. *Protected areas (P)*

Companies will respect legally protected areas in accordance with local laws and will seek to understand and manage potential impacts of operations on adjacent zones.⁸

2.14. *Closure and reclamation (P)*

Companies will allocate adequate financial resources to enable implementation of closure and rehabilitation of operations in accordance with local requirements and expectations of key stakeholders.⁹

2.15. *Training*

Companies will work towards implementing appropriate and periodic training for employees regarding relevant aspects of this Principle 2 and require onsite contractors to train their workers on aspects relevant to their specific tasks and work areas.

⁶ For offshore operations, companies will return non-hazardous and inert mineral wastes (tailings) as near as possible to the point of extraction; companies will return other non-hazardous and inert wastes to a terrestrial location and consider reuse and recycling options before disposing of them in an appropriate manner

⁷ For offshore operations, companies will not extract from critical natural habitats and will dispose of tailings so that these cannot be dispersed by currents, tidal movements or other naturally occurring transport mechanisms into critical natural habitats

⁸ For offshore operations, companies will not extract from protected areas and will dispose of tailings so that these are unlikely to be dispersed by currents, tidal movements or other naturally occurring transport mechanisms into protected areas

⁹ For offshore operations, closure can be achieved through appropriate actions under 2.8, 2.9 and 2.10

PRINCIPLE 3 Seek continual improvement of health and safety performance

3. STANDARDS

3.1. *Health and safety management systems*

Companies will work towards implementing a management system to monitor and control relevant aspects of this Principle 3.

3.2. *Safe working practices (P)*

Companies will maintain safe and healthy working conditions by implementing measures that minimise and seek to eliminate workplace fatalities, injuries and occupational diseases amongst employees, contractors and visitors.

3.3. *Incident investigations*

Companies will document reportable health and safety incidents using a transparent and inclusive procedure that allows affected workers and local communities to provide input.

3.4. *Incident follow up*

Following a reportable health and safety incident, companies will define and implement corrective actions in a timely fashion and monitor the effectiveness of such actions.

3.5. *Training*

Companies will provide appropriate and periodic training for employees regarding relevant aspects of this Principle 3, require onsite contractors to train their workers on aspects relevant to their specific tasks and work areas, and provide appropriate briefings to visitors to company facilities.

PRINCIPLE 4 **Seek continual improvement in labour practices**

4. *STANDARDS*

4.1. *Labour management systems*

Companies will work towards implementing a labour management system to control and monitor relevant aspects of this Principle 4.

4.2. *a) Discrimination*

Companies will implement an equality policy (including on gender) and not make employment related decisions based on gender, race, nationality, ethnic, social and indigenous origin, religion or belief, disability, age or sexual orientation unless clearly necessary due to inherent characteristics of the job.

b) Violence and harassment

Companies will avoid practices that may result in physical, psychological, sexual or economic harm to persons in the workplace, including gender-based violence and harassment.

4.3. *Remuneration*

Companies will ensure workers receive fair remuneration for standard and overtime hours worked that meets or exceeds the local legal minimum wage plus any applicable statutory benefits and provides equal pay for work of equal value.¹⁰

4.4. *Forced labour (P)*

Companies will not use or support slavery, servitude, forced or compulsory labour.

4.5. *Child labour – worst forms (P)*

Companies will not engage in the worst forms of child labour as defined by Article 3 of ILO Convention No. 182 including that which is likely to harm the health, safety or morals of children.

4.6. *Child labour – other forms*

Companies may employ children of minimum age 14 years, or older as defined by local laws, to undertake non-hazardous, light work that does constrain their ability to gain an education.

4.7. *Working hours*

Companies will comply with local laws on working hours and provide paid annual and statutory leave, ensure that workers undertake overtime on a voluntary basis and have at least one day of rest for every 7-day period or as prescribed by local laws (whichever is higher).¹¹

4.8. *Freedom of association and collective bargaining*

Companies will engage with workers on freedom of association and collective bargaining as permitted by local laws.

4.9. *Training*

Companies will provide appropriate and periodic training for employees regarding relevant aspects of this Principle 4 and require onsite contractors to train their workers on aspects relevant to their specific tasks and work areas.

¹⁰ In the absence of a minimum wage the prevailing competitive industry wage or the living wage if known.

¹¹ In circumstances such as shift work the averaging of working hours over a different period is permitted as recognised by the International Labour Organization (ILO) and/or local laws.



PRINCIPLE 5 Engage with stakeholders using a participatory approach

5. STANDARDS

5.1. *Stakeholder management*

Companies will work towards implementing a systematic approach to stakeholder management to control and monitor relevant aspects of this Principle 5.

5.2. *Stakeholder mapping and engagement*

Companies will seek to identify and record the characteristics and interests of stakeholders affected by, or with the potential to affect, company activities, and plan a participatory approach to engagement including disadvantaged and vulnerable groups.

5.3. *Grievance mechanism*

Companies will establish an appropriate grievance mechanism to receive, and facilitate resolution of, concerns raised by individuals, workers, communities or civil society organisations regarding company activities.

5.4. *Training*

Companies will provide appropriate and periodic training for employees regarding relevant aspects of this Principle 5 and require onsite contractors to train their workers on aspects relevant to their specific tasks and work areas.

PRINCIPLE 6 Manage negative impacts on, and contribute to development of, local communities and indigenous peoples

6. STANDARDS

6.1. Community and indigenous people management

Companies will consider implementing a systematic approach to the management of community and indigenous peoples' issues to control and monitor relevant aspects of this Principle 6.

6.2. Community health and safety

Companies will seek to implement practical and reasonable measures with the goal of eliminating potential negative health and safety impacts on local communities.¹²

6.3. Consultation

Companies will plan a process of consultation that enables local communities and indigenous peoples to express their views on risks, impacts and mitigation measures, and allows the company to consider and respond to them.

6.4. Free, prior and informed consent (FPIC)

Companies will seek the FPIC of indigenous peoples where their lands, access to natural resources or cultural heritage may be impacted by company activities.

6.5. Land rights, use and access

Companies will seek to anticipate and avoid or minimise adverse impacts on land rights, land use and access to land and compensate for any significant residual impacts.

6.6. Physical displacement (resettlement)

Companies will seek to avoid or minimise involuntary resettlement and take appropriate measures to mitigate adverse impacts on displaced persons.

6.7. Economic displacement (livelihoods)

Companies will financially compensate economically displaced people as required by local laws and plan a livelihoods restoration programme to ensure that there is no net negative impact on their livelihoods.

6.8. Local economic development

Companies will seek to contribute to the economic development of local communities and indigenous peoples.

6.9. Natural resource use and availability

Companies will seek to understand and minimise negative impacts on access to and availability of natural resources¹³ by local communities and indigenous people.

6.10. Cultural heritage protection

Companies will anticipate and wherever possible avoid adverse impacts on cultural heritage; when avoidance is not possible, companies will minimise, mitigate and/or compensate for such impacts.

¹² For offshore operations, companies will inform local communities, including fishermen and informal or illegal offshore miners of the need to maintain a safe distance from operational vessels and equipment

¹³ Including air, sunlight, soil, and water.



6.11. *Training*

Companies will provide appropriate and periodic training for employees regarding aspects of this Principle 6 relevant to interactions with local communities and indigenous people that may occur during the course of their work. Companies will require onsite contractors to undertake the same training when relevant to their specific role.

PRINCIPLE 7 Avoid contributing to serious human rights abuses and conflict

7. STANDARDS

7.1. *Human rights management*

Companies will work towards implementing a systematic approach to human rights management to control and monitor relevant aspects of this Principle 7 in accordance with internationally recognised human rights frameworks and relevant domestic laws.

7.2. *Use of private or state security personnel (P)*

Companies using direct or contracted workers to provide security will be guided by the Voluntary Principles on Security and Human Rights and by applicable local law.

7.3. *Responsible sourcing (P)*

Companies^{14 15} will evaluate potential risks, seek to avoid support to conflict, human rights and other significant abuses and publicly report on their efforts according to international expectations and laws, in particular the OECD Due Diligence Guidance 3T Supplement.¹⁶

7.4. *Training*

Companies will provide appropriate and periodic training for employees regarding relevant aspects of this Principle 7 and require onsite contractors to train their workers on aspects relevant to their specific tasks and work areas.

¹⁴ Companies with smelters will seek to be third-party assessed against recommended criteria

¹⁵ Companies without smelters will seek to apply aspects of the recommended criteria relevant to their own circumstances.

¹⁶ The criteria recommended for **standard 7.3** is the ITA-RMI Assessment Criteria for Tin Smelting Companies v2 (Mar 2021) **criteria 7.3**. Other criteria may be utilised if deemed equivalent after equivalence checks against **criteria 7.3** and **7.3 guidance** by ITA experts.

PRINCIPLE 8 Seek to positively influence practices of suppliers of materials, goods and services

8. STANDARDS

8.1. Suppliers of ASM produced minerals, general

Companies will request suppliers declare that they will work towards understanding their supply chain and communicating through suppliers the objectives of the Tin Code, information and guidance to encourage improvements.

8.2. Principle 1 ASM minerals (compliance and policies)

Suppliers will be requested to communicate the importance of formalisation and potential opportunities to engage in practical projects encouraging formalisation of ASM as appropriate (based on feedback) to the production area.

8.3. Principle 2 ASM minerals (environment)

Suppliers will be requested to communicate guidance on managing environmental impacts as well as potential opportunities to engage in practical projects encouraging implementation by ASM as appropriate to the production area.

8.4. Principle 3 ASM minerals (health and safety)

Suppliers will be requested to communicate guidance on managing health and safety impacts as well as potential opportunities to engage in practical projects encouraging implementation by ASM as appropriate to the production area.

8.5. Principle 4 ASM minerals (labour)

Suppliers will be requested to communicate guidance to raise awareness regarding concerns over forced or compulsory labour, and the worst forms of child labour as well as potential opportunities to engage in practical projects encouraging implementation by ASM as appropriate to the production area.

8.6. Principle 6 ASM minerals (communities)

Suppliers will be requested to communicate guidance on negotiating with local communities and indigenous peoples regarding access to land.

8.7. Principle 7 ASM minerals (human rights and conflict)

Suppliers will be requested to communicate guidance to raise awareness regarding concerns over serious human rights abuses and conflict, as well as potential opportunities to engage in practical projects encouraging implementation by ASM as appropriate to the production area.

8.8. Suppliers of LSM produced minerals

Companies will request major suppliers to meet or work towards principles of this Tin Code.

8.9. Suppliers of secondary materials

Companies will implement a system to check suppliers are legally operating and request suppliers meet or work towards principles of this Tin Code.

8.10. Suppliers of goods and services

Companies will request major suppliers meet or work towards principles of this Tin Code.



PRINCIPLE 9 Encourage the understanding, and safe and appropriate use of tin products

9. STANDARDS

9.1. *Understanding potential impacts of tin*

Companies will seek to advance the understanding of the properties of tin and any potential effects on human health and the environment through sound science and data.

9.2. *Encouraging safe and appropriate use*

Companies will support research, innovation and collaboration that promotes safe and efficient production, use and recycling of tin, including to ensure regulatory compliance and efficient use of energy and natural resources.

9.3. *Communicating appropriate information*

Companies will communicate accurate information on impacts and use of its products, to workers, users in the value chain and wider stakeholders, accounting for the need for appropriate confidentiality.



PRINCIPLE 10 **Work towards reporting against the Tin Code**

10. STANDARDS

10.1 Policy review

Companies will review published policies at least annually to reflect any changes to company expectations in relation to standard 1.1.

10.2 Communicating reporting information

Companies will support and agree to the annual publication of a report of activities against the Principles and Standards of the Tin Code.

10.3 Management review

Companies will ensure the above public information related to the Tin Code is approved by senior responsible management.



Revision History

Version	Date	Description of changes	Approved by
1	2018 – 2021	We have consolidated the various internal versions of the ITA Tin Code Principles and Standards that were published prior to 2021, which included v1.0 to v5.0, into version 1. These versions included minor formatting adjustments, such as changes in the logo and replacement of 'Code of Conduct' with 'Tin Code'.	Supply Chain Standards Manager
2	07/05/2021	Previously published as v6.0 due to internal referencing and now retitled v2. This version included the updated version of Standard 7.3 to include explicit reference to the OECD guidance together with the need for public reporting and footnotes allowing for differences in approach to audits at smelters vs other companies.	Supply Chain Standards Manager
3	03/05/2022	This current version v3 incorporates the updated versions of standards 1.4, 1.5, 2.6, 2.8, 4.2a), 4.2b), 4.3, 4.7, 6.9, 7.1 and 10.2 and uses new formatting for Tin Code documentation. The footnote for Standard 7.3 was updated, which now refer to the ITA-RMI Joint Criteria version 2 updated in March 2021. Standards of Practice (SOP) was replaced with 'Standards'. The priority standards were indicated with a (P).	Sustainability Standards Manager