
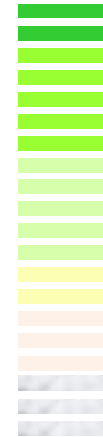


# INTERNATIONAL TIN CODE OF CONDUCT REPORT: Thailand Smelting & Refining



GENERAL INFORMATION	
Company details	Thailand Smelting and Refining Co Ltd.  80 Moo 8 Sakdidej Road, Tambon Vichit, Amphur Muang, Phuket 83000 Thailand.
Date of this report	June 2019
Date of previous report	Not Relevant
Report author(s)	Independent External Assessor Supply Chain Standards Manager, International Tin Association Ltd
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About our company	<p>Thailand Smelting and Refining Co Ltd, more commonly known as THAISARCO, was established in 1963 for the smelting and refining of domestically mined tin ores from Thailand. More recently the company obtains minerals, metal and minimal amounts of secondary materials from a variety of sources for smelting and/or refining into pure tin, tin solder and alloys and other tin-related products. Mineral concentrates are obtained from domestic, Australian, central African and other sources, while non-secondary metal is obtained from producers in Asia, including China and Indonesia. The company is managed and operated by its majority shareholder Amalgamated Metal Corporation PLC of the UK with a minority shareholding being held by Escoy Holdings of Malaysia. It is registered on the London Metal Exchange (LME) under the THAISARCO and PHUKET brands.</p> <p>THAISARCO holds ISO 9001 and ISO 14001 standards for the smelter and ISO/IEC 17025 for the laboratory.</p>
Significant changes from previous report	Not Relevant
Further information and references	1. ISO 9001 and ISO 14001 audit records



Visual Progress Guide

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

### Overview of Principle Performance

The company conforms to the standard for keep up to date business registrations, licences and other documents and also establishing procedures to enable whistleblowing for reporting of concerns. It is also making progress in developing a management system to control and monitor compliance and governance, as well as the development of policies relevant for all principles of the Code. It is not required to report tax and royalty payments under the Extractive Industries Transparency Initiative (EITI) as Thailand is not an implementing country of the EITI. It is progressing by carrying out some training of staff and contractors and could extend this system to all aspects of these standards. The company could establish procedures to prevent bribery and corruption.

STANDARD		RANKING	ADDITIONAL INFORMATION
1.1	<b>Policies</b> Companies will develop and publish policies to support legal compliance and improve practices with respect to the expectations of the International Tin Code of Conduct.	Progressing	The company is making progress in developing and publishing policies to support legal compliance and improve practices with respect to the expectations of the Tin Code of Conduct, but some policies have not yet been developed.
1.2	<b>Management system</b> Companies will work towards implementing appropriate management systems to control and monitor relevant aspects of this Principle 1.	Progressing	The company has developed and implemented elements of a formal system to manage legal compliance and governance issues; to improve its rating the company could develop and implement a comprehensive formal system.
1.3	<b>Legal compliance</b> 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.	Conforming	
1.4	<b>Business integrity</b> Companies will seek to prevent bribery and corruption.	Informal	To improve its rating, the company could demonstrate it has developed and implemented formal procedures to record and avoid bribery and corruption.
1.5	<b>Transparency</b> Companies will implement the Extractive Industries Transparency Initiative (EITI) if required by national government	Not Relevant	Conformance with the requirement is considered not relevant as Thailand is not an implementing country of the EITI at present.
1.6	<b>Whistleblowing</b> Companies will develop and implement whistleblowing procedures to enable employees and stakeholders to report concerns related to company activities, including relevant expectations of the Code of Conduct.	Conforming	
1.7	<b>Training</b> 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.	Progressing	The company provides employees and contractors with induction training covering some aspects of legal compliance and governance, in particular related to occupational health and safety and environmental protection; to improve its rating the company could demonstrate that induction and refresher training of employees extends to all aspects of legal compliance and

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			good practice aspects (as defined in the Tin Code of Conduct, Principle 1) and that such training is also required for contractors.
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## PRINCIPLE 2: Seek continual improvement of environmental performance

### Overview of Principle Performance

The company has developed and implemented a third-party verified ISO 14001 environmental management system and has a verified approach to training staff and contractors on environmental issues, managing discharges to water, land, soil and air. It also conforms with expectations for management of hazardous and non-hazardous waste and has established procedures to avoid the use of any banned substances. The company evaluates water consumption and identifies protected area and biodiversity protection needs as part of ISO 14001 and is progressing to reduce potential impacts of each. It is also making progress in monitoring energy consumption. Conformance with expectations on greenhouse gases, tailings management, closure and reclamation do not apply to the company's operations.

STANDARD		RANKING	ADDITIONAL INFORMATION
2.1	<b>Management system</b> 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.	Third-Party Verified	
2.2	<b>Water quality</b> Companies will seek to understand and manage discharges to surface waters and groundwater in order to minimise negative impacts on water quality.	Third-Party Verified	
2.3	<b>Water consumption and availability</b> Companies will seek to reduce water consumption in their operations in order to minimise negative impacts on water availability.	Progressing	The company has identified water consumption and availability issues and ranked related impacts as part of its ISO 14001 certification, to improve its rating the company it could demonstrate it has in place measures or plans to reduce water consumption and minimise negative impacts on water availability.
2.4	<b>Land and soil quality</b> Companies will seek to understand and manage discharges to land in order to minimise negative impacts on land and soil quality.	Third-Party Verified	
2.5	<b>Air quality</b> Companies will seek to understand and manage discharges to air in order to minimise negative impacts on air quality.	Third-Party Verified	
2.6	<b>Greenhouse gases</b> Companies emitting more than 25,000 tonnes of CO <sub>2</sub> -equivalent will seek to understand direct and indirect greenhouse emissions and consider economic reduction initiatives appropriate to the nature and scale of operations.	Not Relevant	Conformance with the requirement is considered not relevant as the company's emissions are below the threshold for reporting of 25,000 tonnes per annum.
2.7	<b>Energy consumption</b> 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.	Progressing	The company monitors energy consumption, but to improve its rating it could calculate direct and indirect consumption of energy per unit of production relative to an appropriate baseline year in order to show trends over time.

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2.8	<b>Tailings management</b> Companies will store or dispose of tailings in a manner that minimises the risk of impacts to the environment and human health.	Not Relevant	Tailings from mineral processing activities are not relevant to smelting and refining facilities and therefore this requirement does not apply.
2.9	<b>Hazardous waste management</b> 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.	Conforming	
2.10	<b>Non-hazardous and inert waste management</b> 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.	Conforming	
2.11	<b>Banned substances</b> Companies will not use substances that are banned under international convention or local laws.	Conforming	
2.12	<b>Biodiversity protection</b> 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.	Progressing	The company has identified and ranked environmental impacts as part of its ISO 14001 certification; to improve its rating the company could demonstrate it has taking steps to specifically understand its potential impacts on biodiversity.
2.13	<b>Protected areas</b> 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.	Progressing	The company has identified protected area issues and ranked related impacts as part of its ISO 14001 certification, to improve its rating it could demonstrate it has in place measures or plans to manage negative impacts on areas adjacent to legally protected areas.
2.14	<b>Closure and reclamation</b> 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.	Not Relevant	Conformance with the requirement is considered not relevant as closure and rehabilitation plans do not apply to non-mining operations and facilities.
2.15	<b>Training</b> 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.	Third-Party Verified	

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## PRINCIPLE 3: Seek continual improvement of health and safety performance

### Overview of Principle Performance

The company conforms with the expectation for implementing a health and safety management system and has measures in place to maintain and continually improve health and safety conditions for staff and visitors to its sites, including appropriate formal investigation of incidents affecting workers. Incident follow-up and monitoring through corrective action is currently performed informally. It is progressing with incident follow-up and monitoring through corrective action and providing employees with induction and refresher training and requires contractors to do the same. It could provide evidence that this is extended to visitors.

STANDARD		RANKING	ADDITIONAL INFORMATION
3.1	<b>Health and safety management systems</b> Companies will work towards implementing a management system to monitor and control relevant aspects of this Principle 3.	Conforming	
3.2	<b>Safe working practices</b> 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.	Conforming	
3.3	<b>Incident investigations</b> Companies will document reportable health and safety incidents using a transparent and inclusive procedure that allows affected workers and local communities to provide input.	Conforming	
3.4	<b>Incident follow up</b> 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.	Progressing	The company is progressing with incident follow-up documents; to improve its rating it could demonstrate corrective actions are monitored to assess their effectiveness.
3.5	<b>Training</b> 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.	Progressing	The company provides employees with induction and refresher training and requires contractors to do the same with their workers as relevant to Principle 3 and their specific tasks and work areas; to improve its rating the company could demonstrate it also provides appropriate health and safety briefings to facility visitors.

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## PRINCIPLE 4: Seek continual improvement in labour practices

### Overview of Principle Performance

The company conforms with the expectation to implement procedures to manage the risk of discrimination in employment decisions and engage formally with workers on freedom of association and collective bargaining and ensuring workers receive fair remuneration. It is progressing with the development of a formal system to manage labour issues and provide training on labour-related issues is also required for contractors. The company abides by Thai Labour Protection Act B.E 2541 (1998) which allows for employment of young workers (categorised as 15 years but younger than 18), however the company cannot yet demonstrate that it formally manages the risk of this age group being used for anything other than non-hazardous and light work. Similarly, evidence to demonstrate the avoidance of forced labour, and provision of appropriate remuneration would be beneficial.

The company could also further demonstrate that it extends training on labour-related practices to both its employees and contractors.

STANDARD		RANKING	ADDITIONAL INFORMATION
4.1	<b>Labour management systems</b> Companies will work towards implementing a labour management system to control and monitor relevant aspects of this Principle 4.	Progressing	The company manages most aspects related to labour issues, but to improve its rating the company could implement a formal labour management system to further enhance its control and monitoring activities.
4.2	<b>Discrimination</b> Companies will not make employment 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.	Conforming	
4.3	<b>Remuneration</b> Companies will ensure workers receive fair remuneration for standard and overtime hours worked that meets or exceeds the local legal minimum plus any applicable statutory benefits and provide equal pay for work of equal value.	Conforming	
4.4	<b>Forced labour</b> Companies will not use or support slavery, servitude, forced or compulsory labour.	Informal	To improve its rating the company could demonstrate it has implemented formal procedures to eliminate the risk of forced labour at its operations.
4.5	<b>Child labour – worst forms</b> 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.	Conforming	
4.6	<b>Child labour – other forms</b> 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.	Conforming	
4.7	<b>Working hours</b> Companies will comply with local laws and 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).	Progressing	The company Staff Handbook notes workers receive one day off per week; to improve its rating the company could confirm that overtime is voluntary as required under the Labour Protection Act B.E 2541 (1998).
4.8	<b>Freedom of association and collective bargaining</b> Companies will engage with workers on freedom of association and collective bargaining as permitted by local laws.	Conforming	



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4.9	<p><b>Training</b> 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.</p>	Progressing	<p>To improve its rating the company could demonstrate that induction and refresher training of employees includes coverage of discrimination, child labour and forced labour issues (as defined in the Tin Code of Conduct, Principle 4) and that training on labour-related issues is also required for contractors.</p>
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## PRINCIPLE 5: Engage with stakeholders using a participatory approach

### Overview of Principle Performance

The company is progressing with formalising its approach to stakeholder management and is aware of the need to manage grievances, and does so with respect to its employees. More formal stakeholder mapping and management of external grievances could be beneficial, and formalisation of processes on how stakeholders are identified, engaged with and managed, and training offered to employees to support the process, would also lead to progress.

STANDARD		RANKING	ADDITIONAL INFORMATION
5.1	<b>Stakeholder management</b> Companies will work towards implementing a systematic approach to stakeholder management to control and monitor relevant aspects of this Principle 5.	Progressing	The company manages some aspects related to stakeholder issues, but to improve its rating the company could implement a formal stakeholder management system to further enhance its control and monitoring activities.
5.2	<b>Stakeholder mapping and engagement</b> 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.	Progressing	To improve its rating the company could demonstrate it has completed stakeholder mapping and engaged effectively with all its stakeholders.
5.3	<b>Grievance mechanism</b> 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.	Progressing	The company is aware of the need to manage grievances and does so with respect to its employees; to improve its rating the company could implement a formal mechanism to address concerns raised by external stakeholders including individuals, communities or civil society organisations.
5.4	<b>Training</b> 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.	Inadequate	To improve its rating the company could demonstrate that induction and refresher training of employees extends to covering stakeholder engagement and management issues (as defined in the Tin Code of Conduct, Principle 5) and that such training is also required for contractors.

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

### Overview of Principle Performance

The company conforms with the requirement of the standard to consult with local communities and indigenous peoples in a way that allows them to express their views and it has in place some measures that contribute to progress in the management of its impact on community health and safety. The company has an informal approach to management of community and contributing to economic development of local communities and indigenous peoples. It could formalise various aspects of the principle including training under this principle. A number of standards are not relevant for the non-mining context.

STANDARD		RANKING	ADDITIONAL INFORMATION
6.1	<b>Community and indigenous people management</b> 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.	Informal	To improve its rating the company could develop and implement a systematic approach to community management.
6.2	<b>Community health and safety</b> Companies will seek to implement practical and reasonable measures with the goal of eliminating potential negative health and safety impacts on local communities.	Progressing	The company has implemented some measures that contribute to management of impacts on community health and safety (these measures generally relate to management of environmental and OHS issues rather than specifically targeting community health and safety); to improve its rating the company could implement additional management measures to address residual health and safety issues not addressed by existing measures.
6.3	<b>Consultation</b> 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.	Conforming	
6.4	<b>Free, prior and informed consent (FPIC)</b> Companies will seek the FPIC of indigenous peoples where their lands, access to natural resources or cultural heritage may be impacted by company activities.	Not Relevant	The requirement for FPIC is not relevant to the context in which the company operates.
6.5	<b>Land rights, use and access</b> 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.	Not Relevant	This requirement is not relevant to the context in which the company operates.
6.6	<b>Physical displacement (resettlement)</b> Companies will seek to avoid or minimise involuntary resettlement and take appropriate measures to mitigate adverse impacts on displaced persons.	Not Relevant	This requirement is not relevant to the context in which the company operates.
6.7	<b>Economic displacement (livelihoods)</b> 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.	Not Relevant	This requirement is not relevant to the context in which the company operates.
6.8	<b>Local economic development</b> Companies will seek to contribute to the economic development of local communities and indigenous peoples.	Informal	The company is informally contributing to the economic development of communities and indigenous peoples; to

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			improve its rating the company could demonstrate it is developing procedures and plans to identify the development needs of communities and indigenous peoples.
6.9	<b>Natural resource use and availability</b> Companies will seek to minimise negative impacts on access to and availability of natural resources by local communities and indigenous people.	Not Relevant	This requirement is not relevant to the context in which the company operates.
6.10	<b>Cultural heritage protection</b> Companies will anticipate and wherever possible avoid adverse impacts on cultural heritage; when avoidance is not possible, companies will minimize, mitigate and/or compensate for such impacts.	Not Relevant	This requirement is not relevant to the context in which the company operates.
6.11	<b>Training</b> 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.	Inadequate	To improve its rating the company could demonstrate that induction and refresher training of employees extends to local community and indigenous peoples issues (as defined in the Tin Code of Conduct, Principle 6) and that such training is also required for contractors.

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## PRINCIPLE 7: Avoid contributing to serious human rights abuses and conflict

### Overview of Principle Performance

The company sources minerals from a number of countries and has some procedures in place to assess the risks associated with those supplies. Minerals from Dodd-Frank countries are partly sourced via the ITSCI programme which conforms with OECD due diligence standards, but evaluation of OECD conformance of other processes for Dodd Frank sources, and assessment of all supplies for conflict or high risk red-flags is not available. The company is RMAP compliant with the source of mineral inputs and throughput mass balance third-party verified, however that audit did not evaluate the company's assessment of supply risks that trigger the need for OECD due diligence on mineral sources. The company does not currently have a systematic approach to human rights management, good practice in use of security personnel, or training for employees and onsite contractors on these issues.

STANDARD		RANKING	ADDITIONAL INFORMATION
7.1	<b>Human rights management</b> Companies will work towards implementing a systematic approach to human rights management to control and monitor relevant aspects of this Principle 7.	Informal	To improve its rating the company could develop a systematic approach to human rights management to enhance formal control and monitoring.
7.2	<b>Use of private or state security personnel</b> 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.	Informal	To improve its rating, the company could demonstrate the company's direct or contracted security workers are guided by the Voluntary Principles on Security and Human Rights.
7.3	<b>Responsible sourcing</b> Companies will evaluate potential risks when sourcing minerals and seek to avoid purchases that may support conflict or human rights abuses according to international expectations and laws.	Progressing	The company sources minerals from a number of countries and has some procedures in place to assess the risks associated with those supplies. Minerals from Dodd-Frank countries are partly sourced via the ITSCI programme which conforms with OECD due diligence standards, but evaluation of OECD conformance of other processes for Dodd Frank sources, and assessment of all supplies for conflict or high risk red-flags is not available. The company is RMAP compliant with the source of mineral inputs and throughput mass balance third-party verified, however that audit did not evaluate the company's assessment of supply risks that trigger the need for OECD due diligence on mineral sources.
7.4	<b>Training</b> 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.	Informal	To improve its rating the company could demonstrate that induction and refresher training of employees extends to human rights and conflict-related issues (as defined in the Tin Code of Conduct, Principle 7) and that such training is also required for contractors.

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

### Overview of Principle Performance

The company is progressing with communicating guidance to raise awareness on human rights abuses and conflict related issues through supply chain policies although it could have a more systematic approach to providing guidance. The company has not yet provided evidence that it encourages or requests suppliers of all artisanal, small-scale or large scale mined minerals to understand and support the objectives and standards of the Code. General guidance for ASM had not been developed by ITA for first year reporting and the company does not have its own materials. The standard relating to suppliers of secondary materials is not relevant since it currently has no major suppliers of secondary material, with around 1% of input from that source.

STANDARD		RANKING	ADDITIONAL INFORMATION
8.1	<b>Suppliers of ASM produced minerals, general</b> Companies will request suppliers declare that they will work towards understanding their supply chain and communicating through suppliers the objectives of International Tin's Code, information and guidance to encourage improvements.	Inadequate	To improve its rating, the company could demonstrate it has formally requested its ASM suppliers to declare they will work towards understanding their supply chain or communicating the objectives of the Tin Code.
8.2	<b>Principle 1 ASM minerals (compliance and policies)</b> 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.	Inadequate	To improve its rating, the company could demonstrate it has made formal attempts to engage with ASM suppliers and distribute information on formalisation and has collected feedback on suitability to the ASM mineral source area(s).
8.3	<b>Principle 2 ASM minerals (environment)</b> 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.	Inadequate	To improve its rating, the company could demonstrate it has made formal attempts to engage with ASM suppliers and distribute relevant guidance on managing environmental impacts and has collected feedback on suitability to the ASM mineral source area(s).
8.4	<b>Principle 3 ASM minerals (health and safety)</b> 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.	Inadequate	To improve its rating, the company could demonstrate it has made formal attempts to engage with ASM suppliers and distribute relevant guidance on managing health and safety and has collected feedback on suitability to the ASM mineral source area(s).
8.5	<b>Principle 4 ASM minerals (labour)</b> 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.	Inadequate	To improve its rating, the company could demonstrate it has made formal attempts to engage with ASM suppliers and distribute relevant guidance on managing labour issues and has collected feedback on suitability to the ASM mineral source area(s).
8.6	<b>Principle 6 ASM minerals (communities)</b> Suppliers will be requested to communicate guidance on negotiating with local communities and indigenous peoples regarding access to land.	Inadequate	To improve its rating, the company could demonstrate it has made formal attempts to engage with ASM suppliers and distribute relevant guidance on managing access to land and has collected feedback on suitability to the ASM mineral source area(s).
8.7	<b>Principle 7 ASM minerals (human rights and conflict)</b>	Progressing	The company includes a supply chain policy and certain requirements in contracts with concentrate suppliers but

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	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.		could demonstrate it has a systematic approach to engage with ASM suppliers and distribute relevant guidance on managing serious human rights abuses and has collected feedback on suitability to the ASM mineral source area(s).
8.8	<b>Suppliers of LSM produced minerals</b> Companies will request major suppliers meet or work towards principles of this Code of Conduct.	Inadequate	The company has not yet provided evidence to confirm it has formally requested major suppliers of LSM produced minerals meet or work towards principles of this Code of Conduct.
8.9	<b>Suppliers of secondary materials</b> Companies will implement a system to check major suppliers are legally operating and request suppliers meet or work towards principles of this Code of Conduct.	Not Relevant	This requirement is not relevant to the context in which the company operates as it currently has no major suppliers of secondary material, with around 1% of input from that source.
8.10	<b>Suppliers of goods and services</b> Companies will request major suppliers meet or work towards principles of this Code of Conduct.	Inadequate	The company has not yet provided evidence to confirm it has requested major suppliers of goods and services to meet or work towards principles of this Code of Conduct.

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

### Overview of Principle Performance

Through its membership of International Tin Association, and the REACH consortium, the company conforms with the expectation to support the development of improved understanding of the properties and potential effects of tin on humans and the environment. It also supports research and innovation to promote the safe, appropriate and efficient use of tin. The company was able to provide evidence of occasionally communicating accurate public information on tin to the tin industry and its users with no noted breaches under data protection laws.

STANDARD		RANKING	ADDITIONAL INFORMATION
9.1	<b>Understanding potential impacts of tin</b> 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.	Conforming	
9.2	<b>Encouraging safe and appropriate use</b> 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	Conforming	
9.3	<b>Communicating appropriate information</b> 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.	Conforming	



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## PRINCIPLE 10: Work towards reporting against the International Tin Code of Conduct

### Overview of Principle Performance

The management and staff of THAISARCO have taken ownership of reporting on the Code and there is a clear commitment to providing evidence on conformance and making continued progress with the standards of the Code. They proactively worked with the Independent External Assessor and the International Tin Association to develop this first company report on the Code.

STANDARD		RANKING	ADDITIONAL INFORMATION
10.1	<b>Policy Review</b> Companies will review published policies at least annually to reflect any changes to company expectations in relation to standard 1.1	Conforming	
10.2	<b>Communicating reporting information</b> Companies will agree to the publication of a report of activities against the Principles and Standards of the Code.	Conforming	
10.3	<b>Management Review</b> Companies will ensure the above public information related to the Code is approved by senior responsible management	Conforming	

# INTERNATIONAL TIN CODE OF CONDUCT REPORT: Thailand Smelting & Refining



## Appendix A – Description of Code reporting

**Evidence review process:** The assessment of conformance with the Principles and Standards relies on detailed evaluation of documentary evidence and discussion with the company to ensure a full understanding of progress. ITA encourages members to provide maximum available information, and collates this into an evidence dossier for submission to the Independent Assessor. During a period of feedback and consultation the company may submit further evidence to clarify or add to the information originally provided in order to improve accuracy. The Independent Assessor then determines the final ranking and agrees the text included in this report.

**The Independent Assessor:** ITA engages an expert to make the assessment of evidence separately and independently from the views of the ITA or its members. The independent assessor for this pilot reporting is a consulting firm with more than 25 years’ experience working on environmental and social issues and impacts in the natural resource sector. It specialises in analysis, prevention and management of environmental and social issues in the oil and gas, mining and aggregates industries worldwide and is familiar with large scale and artisanal mining, and acts as auditor and/or advisor to other commodity standards initiatives such as Bettercoal.

**Reporting guide:** The ‘visual progress guide’ on the title page is a general representation of the proportion of rankings overall.

Not Relevant	The Standard is not appropriate or does not apply to the company.
Third-party verified	Company activity has been verified by a third party recognised qualified body, for example during audit or inspection.
Conforming	Company activity is formally documented and implemented with evidence of conformance with the Standard.
Progressing	Company activity is documented but may benefit from formalisation in a procedure or expansion to the Standard.
Informal	Company activity is underway but may benefit from being documented more formally to the Standard.
Inadequate	There is insufficient evidence available to achieve other rankings.

**Additional Information:** In the reporting format, details of ‘Additional Information’ is not included for ‘Conforming’ and ‘Third-party Verified’ standards, but is provided in the case of other rankings as a useful guide to show progress.