



# **INTERNATIONAL CYANIDE MANAGEMENT INSTITUTE**

## **MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE FOR THE INTERNATIONAL CYANIDE MANAGEMENT CODE**

**JUNE 2021**

**INTERNATIONAL CYANIDE MANAGEMENT INSTITUTE**  
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# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

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The International Cyanide Management Code (hereinafter “the Code”, “Code” or “the Cyanide Code”), this document, and other documents or information sources referenced at [www.cyanidecode.org](http://www.cyanidecode.org) are believed to be reliable and were prepared in good faith from information reasonably available to the drafters. However, no guarantee is made as to the accuracy or completeness of any of these other documents or information sources. No guarantee is made in connection with the application of the Code, the additional documents available or the referenced materials to prevent hazards, accidents, incidents, or injury to employees and/or members of the public at any specific site where gold or silver is extracted from ore by the cyanidation process. Compliance with this Code is not intended to and does not replace, contravene or otherwise alter the requirements of any specific national, state or local governmental statutes, laws, regulations, ordinances, or other requirements regarding the matters included herein. Compliance with this Code is entirely voluntary and is neither intended nor does it create, establish, or recognize any legally enforceable obligations or rights on the part of its signatories, supporters or any other parties.



# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

## Introduction

This document provides the framework for the information that an auditor must include in the Summary Audit Report prepared for a Cyanide Code Certification Audit conducted for a mining operation and serves as a general template for presenting the required information.

The International Cyanide Management Institute (“ICMI” or “the Institute”) reviews the Summary Audit Report to ensure that it accurately represents the results of the Detailed Audit Findings Report and includes sufficient information to demonstrate the basis for each finding. Once ICMI determines that all documentation required for the Cyanide Code Certification Audit is complete, it posts the Summary Audit Report on the Cyanide Code website.

## Instructions

- 1) The basis for the finding and/or statement of deficiencies for each Standard of Practice should be summarized in the Summary Audit Report. The Summary Audit Report is intended to provide a summary of the information included in the Detailed Audit Findings Report prepared for the certification audit; and therefore, should include only information that is presented in the Detailed Audit Findings Report.
- 2) The name of the mining operation, the Lead Auditor’s signature, and the submittal date of the final report must be included at the bottom of each page of the Summary Audit Report.
- 3) An operation that is found in substantial compliance must submit a Corrective Action Plan with the Summary Audit Report.
- 4) The Summary Audit Report, the Detailed Audit Findings Report, and any necessary Corrective Action Plan with all required signatures must be submitted in electronic format to ICMI within 90 days of completion of the site inspection portion of the audit. An electronic copy of a letter from the owner or authorized representative of the audited operation granting ICMI permission to post the Summary Audit Report and Corrective Action Plan (if one is necessary) on the Cyanide Code website must also be submitted, along with both an electronic copy and a hard copy of a completed Auditor Credentials Form. The Lead Auditor’s signature on the Auditor Credentials Form must be certified by notarization or equivalent. Electronic documents should be submitted to the Institute via email at:

[audits@cyanidecode.org](mailto:audits@cyanidecode.org)

The hard copy of the notarized Auditor Credentials Form should be sent to:

**International Cyanide Management Institute**  
**1400 I Street, NW, Suite 550**  
**Washington, DC 20005, USA**



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- 5) The Summary Audit Report should include a description of the operation, identifying the facilities included within the scope of the audit and any new facilities or facilities that have undergone substantial changes since the previous audit (in the case of a recertification audit), and indicating key operational components such as the mine type (e.g., open pit, underground) cyanide forms used such as briquettes or liquid, cyanide packaging and method of delivery and storage, processing methods (e.g., heap leach, milling, carbon-in-leach, Merrill-Crowe), nature and purpose of ponds and impoundments, cyanide destruction circuits, and other site-specific operational features that provide context to the reader ahead of the audit findings. The description of the operation should include sufficient information to describe the scope and complexity of the operation being audited.



# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

## Operation General Information

Name of Mine: \_\_\_\_\_

Name of Mine Owner: \_\_\_\_\_

Name of Mine Operator: \_\_\_\_\_

Name of Responsible Manager: \_\_\_\_\_

Address: \_\_\_\_\_

State / Province: \_\_\_\_\_

Country: \_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

Email: \_\_\_\_\_

## Operation Location Detail and Description

*Provide a description of the mining operation (see Item 5 in the Instructions, above).*

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Name of Mine

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Signature of Lead Auditor

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Date

# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

## Auditor's Finding

This operation is

- in full compliance
- in substantial compliance \*(see below)
- not in compliance

with the International Cyanide Management Code.

- \* The Corrective Action Plan to bring an operation found in substantial compliance into full compliance must be enclosed with this Summary Audit Report. The operation must bring the operation into compliance within one year from the date on which ICMI posts the operation's Summary Audit Report on the Cyanide Code website.

## Compliance Statement

The Summary Audit Report for a recertification audit must include one additional statement that is not required in the Summary Audit Report for an initial certification audit. For an operation found in full compliance with the Code, the report must indicate whether the operation had any compliance issues or significant cyanide incidents since its previous certification and identify where in the report such information can be found. For a mine found in substantial compliance or non-compliance, the report must identify the Standard(s) of Practice on which the finding was based.

One of the following two statements must be included directly following the overall compliance finding for an operation found in full compliance during a recertification audit:

"This operation has not experienced any compliance issues or significant cyanide incidents during the previous three-year audit cycle."

or

"This operation has experienced compliance issues or significant cyanide incidents or during the previous three-year audit cycle which are discussed in this report under the following Standard(s) of Practice:"

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Name of Mine

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Signature of Lead Auditor

---

Date



# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

The following statement should be included directly following the overall compliance finding for an operation found in substantial compliance during a recertification audit:

“This operation was found in substantial compliance with the Cyanide Code based on the audit findings discussed in this report under the following Standard(s) of Practice:”

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The following statement should be included directly following the overall compliance finding for an operation found in non-compliance during a recertification audit:

“This operation was found in non-compliance with the Cyanide Code based on the audit findings discussed in this report under the following Standard(s) of Practice:”

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## Auditor Information

Audit Company: \_\_\_\_\_

Lead Auditor: \_\_\_\_\_

Lead Auditor Email: \_\_\_\_\_

Names and Signatures of Other Auditors:

Auditor 1: \_\_\_\_\_  
Name (Print/Type) Signature

Auditor 2: \_\_\_\_\_  
Name (Print/Type) Signature

Auditor 3: \_\_\_\_\_  
Name (Print/Type) Signature

Dates of Audit: \_\_\_\_\_

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Name of Mine Signature of Lead Auditor Date

# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

## Auditor Attestation

I attest that I meet the criteria for knowledge, experience and conflict of interest for a Cyanide Code Certification Audit Lead Auditor, as established by the International Cyanide Management Institute and that all members of the audit team meet the applicable criteria established by the International Cyanide Management Institute for Code Auditors.

I attest that this Summary Audit Report accurately describes the findings of the certification audit. I further attest that the certification audit was conducted in a professional manner in accordance with the International Cyanide Management Code Mining Operations Verification Protocol and using standard and accepted practices for health, safety and environmental audits.

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Name of Facility	Signature of Lead Auditor	Date
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Name of Mine	Signature of Lead Auditor	Date
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# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

## Principles and Standards of Practice

### Principle 1 | PRODUCTION AND PURCHASE

Encourage responsible cyanide manufacturing by purchasing from manufacturers that operate in a safe and environmentally protective manner.

#### Standard of Practice 1.1

*Purchase cyanide from certified manufacturers employing appropriate practices and procedures to limit exposure of their workforce to cyanide, and to prevent releases of cyanide to the environment.*

The operation is  in full compliance with  in substantial compliance with  not in compliance with Standard of Practice 1.1

*Summarize the basis for this Finding/Deficiencies Identified:*

### Principle 2 | TRANSPORTATION

Protect communities and the environment during cyanide transport.

#### Standard of Practice 2.1

*Require that cyanide is safely managed through the entire transportation and delivery process from the production facility to the mine by use of certified transport with clear lines of responsibility for safety, security, release prevention, training and emergency response.*

The operation is  in full compliance with  in substantial compliance with  not in compliance with Standard of Practice 2.1

*Summarize the basis for this Finding/Deficiencies Identified:*

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Name of Mine

---

Signature of Lead Auditor

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Date

# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

## Principle 3 | HANDLING AND STORAGE

Protect workers and the environment during cyanide handling and storage.

### Standard of Practice 3.1

*Design and construct unloading, storage and mixing facilities consistent with sound, accepted engineering practices, quality control/quality assurance procedures, spill prevention and spill containment measures.*

The operation is  in full compliance with  in substantial compliance with  not in compliance with Standard of Practice 3.1

*Summarize the basis for this Finding/Deficiencies Identified:*

### Standard of Practice 3.2

*Operate unloading, storage and mixing facilities using inspections, preventive maintenance and contingency plans to prevent or contain releases and control and respond to worker exposures.*

The operation is  in full compliance with  in substantial compliance with  not in compliance with Standard of Practice 3.2

*Summarize the basis for this Finding/Deficiencies Identified:*

## Principle 4 | OPERATIONS

Manage cyanide process solutions and waste streams to protect human health and the environment.

### Standard of Practice 4.1

*Implement management and operating systems designed to protect human health and the environment including contingency planning and inspection and preventive maintenance procedures.*

The operation is  in full compliance with Standard of Practice 4.1

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Name of Mine

---

Signature of Lead Auditor

---

Date

# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

in substantial compliance with

not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Standard of Practice 4.2

*Introduce management and operating systems to minimize cyanide use, thereby limiting concentrations of cyanide in mill tailings.*

in full compliance with

The operation is

in substantial compliance with

Standard of Practice 4.2

not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Standard of Practice 4.3

*Implement a comprehensive water management program to protect against unintentional releases.*

in full compliance with

The operation is

in substantial compliance with

Standard of Practice 4.3

not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Standard of Practice 4.4

*Implement measures to protect birds, other wildlife and livestock from adverse effects of cyanide process solutions.*

in full compliance with

The operation is

in substantial compliance with

Standard of Practice 4.4

not in compliance with

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Name of Mine

---

Signature of Lead Auditor

---

Date

# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

*Summarize the basis for this Finding/Deficiencies Identified:*

## Standard of Practice 4.5

*Implement measures to protect fish and wildlife from direct and indirect discharges of cyanide process solutions to surface water.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 4.5  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Standard of Practice 4.6

*Implement measures designed to manage seepage from cyanide facilities to protect the beneficial uses of groundwater.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 4.6  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Standard of Practice 4.7

*Provide spill prevention or containment measures for process tanks and pipelines.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 4.7  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

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Name of Mine

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Signature of Lead Auditor

---

Date

# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

## Standard of Practice 4.8

*Implement quality control/quality assurance procedures to confirm that cyanide facilities are constructed according to accepted engineering standards and specifications.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 4.8  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Standard of Practice 4.9

*Implement monitoring programs to evaluate the effects of cyanide use on wildlife, and surface and groundwater quality.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 4.9  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Principle 5 | DECOMMISSIONING

Protect communities and the environment from cyanide through development and implementation of decommissioning plans for cyanide facilities.

## Standard of Practice 5.1

*Plan and implement procedures for effective decommissioning of cyanide facilities to protect human health, wildlife, livestock, and the environment.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 5.1  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

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Name of Mine

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Signature of Lead Auditor

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Date

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## Standard of Practice 5.2

*Establish a financial assurance mechanism capable of fully funding cyanide-related decommissioning activities.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 5.2  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Principle 6 | WORKER SAFETY

Protect workers' health and safety from exposure to cyanide.

### Standard of Practice 6.1

*Identify potential cyanide exposure scenarios and take measures as necessary to eliminate, reduce and control them.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 6.1  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

### Standard of Practice 6.2

*Operate and monitor cyanide facilities to protect worker health and safety and periodically evaluate the effectiveness of health and safety measures.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 6.2  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

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Name of Mine

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Signature of Lead Auditor

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Date



# MINING OPERATIONS SUMMARY AUDIT REPORT TEMPLATE

## Standard of Practice 6.3

*Develop and implement emergency response plans and procedures to respond to worker exposure to cyanide.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 6.3  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Principle 7 | EMERGENCY RESPONSE

Protect communities and the environment through the development of emergency response strategies and capabilities.

### Standard of Practice 7.1

*Prepare detailed emergency response plans for potential cyanide releases.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 7.1  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

### Standard of Practice 7.2

*Involve site personnel and stakeholders in the planning process.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 7.2  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

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Name of Mine

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Signature of Lead Auditor

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## Standard of Practice 7.3

*Designate appropriate personnel and commit necessary equipment and resources for emergency response.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 7.3  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Standard of Practice 7.4

*Develop procedures for internal and external emergency notification and reporting.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 7.4  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Standard of Practice 7.5

*Incorporate remediation measures and monitoring elements into response plans and account for the additional hazards of using cyanide treatment chemicals.*

The operation is  in full compliance with  
 in substantial compliance with Standard of Practice 7.5  
 not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Standard of Practice 7.6

*Periodically evaluate response procedures and capabilities and revise them as needed.*

The operation is  in full compliance with Standard of Practice 7.6

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Name of Mine

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in substantial compliance with

not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Principle 8 | TRAINING

Train workers and emergency response personnel to manage cyanide in a safe and environmentally protective manner.

### Standard of Practice 8.1

*Train workers to understand the hazards associated with cyanide use.*

in full compliance with

The operation is

in substantial compliance with

Standard of Practice 8.1

not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

### Standard of Practice 8.2

*Train appropriate personnel to operate the facility according to systems and procedures that protect human health, the community and the environment.*

in full compliance with

The operation is

in substantial compliance with

Standard of Practice 8.2

not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

### Standard of Practice 8.3

*Train appropriate workers and personnel to respond to worker exposures and environmental releases of cyanide.*

The operation is

in full compliance with

Standard of Practice 8.3

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Name of Mine

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Signature of Lead Auditor

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Date

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in substantial compliance with

not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

## Principle 9 | DIALOGUE AND DISCLOSURE

Engage in public consultation and disclosure.

### Standard of Practice 9.1

*Promote dialogue with stakeholders regarding cyanide management and responsibly address identified concerns.*

in full compliance with

The operation is

in substantial compliance with

Standard of Practice 9.1

not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

### Standard of Practice 9.2

*Make appropriate operational and environmental information regarding cyanide available to stakeholders.*

in full compliance with

The operation is

in substantial compliance with

Standard of Practice 9.2

not in compliance with

*Summarize the basis for this Finding/Deficiencies Identified:*

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Name of Mine

---

Signature of Lead Auditor

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Date