



INTERNATIONAL CYANIDE MANAGEMENT INSTITUTE

CYANIDE TRANSPORTATION SUMMARY AUDIT REPORT TEMPLATE FOR THE INTERNATIONAL CYANIDE MANAGEMENT CODE

JUNE 2021

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TRANSPORTATION 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 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.



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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 cyanide transportation 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 this 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 cyanide transportation 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 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



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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

- 5) The Summary Audit Report should include a description of the transport operation indicating key operational components that provide context to the reader ahead of the audit findings. For Transport Supply Chains, the report should include an overall description of the supply chain, and listing of entities participating in the supply chain and included within the scope of the audit, such as the consigner, trucking companies, ports, shipping lines, rail operations, and warehouses (any changes to a certified supply chain made since its previous audit should also be noted, such as additions or removals of ports, marine carriers, or trucking companies, along with the date the change was made). The description of the operation should include sufficient information to describe the scope and complexity of the transportation operation.



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Operation General Information

Name of Transport Operation: _____
Name of Facility Owner: _____
Name of Facility Operator: _____
Name of Responsible Manager: _____
Address: _____
State / Province: _____
Country: _____
Telephone: _____
Fax: _____
Email: _____

Operation Location Detail and Description

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

Name of Operation

Signature of Lead Auditor

Date

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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 fully implement the plan within one year of the date of this audit.

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 a transportation 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 transportation operation 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 during the previous three-year audit cycle which are discussed in this report under the following Standard(s) of Practice:”

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

Name of Operation

Signature of Lead Auditor

Date

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“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:”

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:”

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:

Name of Operation

Signature of Lead Auditor

Date

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Auditor Attestation

I attest that I meet the criteria for knowledge, experience and conflict of interest for a Cyanide Code Certification Audit Lead Auditor, 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 Certification 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 Cyanide Transportation Verification Protocol and using standard and accepted practices for health, safety and environmental audits.

| | | |
|-------------------|---------------------------|------|
| Name of Operation | Signature of Lead Auditor | Date |
|-------------------|---------------------------|------|

| | | |
|-------------------|---------------------------|------|
| Name of Operation | Signature of Lead Auditor | Date |
|-------------------|---------------------------|------|

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Principles and Standards of Practice

Principle 1 | TRANSPORT

Transport cyanide in a manner that minimizes the potential for accidents and releases.

Standard of Practice 1.1

Select cyanide transport routes to minimize the potential for accidents and releases.

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:

Standard of Practice 1.2

Ensure that personnel operating cyanide handling and transport equipment can perform their jobs with minimum risk to communities and the environment.

The operation is in full compliance with in substantial compliance with not in compliance with Standard of Practice 1.2

Summarize the basis for this Finding/Deficiencies Identified:

Standard of Practice 1.3

Ensure that transport equipment is suitable for the cyanide shipment.

The operation is in full compliance with in substantial compliance with not in compliance with Standard of Practice 1.3

Summarize the basis for this Finding/Deficiencies Identified:

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Standard of Practice 1.4

Develop and implement a safety program for transport of cyanide.

The operation is in full compliance with
 in substantial compliance with Standard of Practice 1.4
 not in compliance with

Summarize the basis for this Finding/Deficiencies Identified:

Standard of Practice 1.5

Follow international standards for transportation of cyanide by sea.

The operation is in full compliance with
 in substantial compliance with Standard of Practice 1.5
 not in compliance with

Summarize the basis for this Finding/Deficiencies Identified:

Standard of Practice 1.6

Track cyanide shipments to prevent losses during transport.

The operation is in full compliance with
 in substantial compliance with Standard of Practice 1.6
 not in compliance with

Summarize the basis for this Finding/Deficiencies Identified:

Name of Operation

Signature of Lead Auditor

Date

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Principle 2 | INTERIM STORAGE

Design, construct and operate cyanide interim storage sites to prevent releases and exposures.

Standard of Practice 2.1

Store cyanide in a manner that minimizes the potential for accidental releases.

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:

Principle 3 | EMERGENCY RESPONSE

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

Standard of Practice 3.1

Prepare detailed emergency response plans for potential cyanide releases.

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

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

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

Name of Operation

Signature of Lead Auditor

Date

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Summarize the basis for this Finding/Deficiencies Identified:

Standard of Practice 3.3

Develop procedures for internal and external emergency notification and reporting.

The operation is in full compliance with
 in substantial compliance with Standard of Practice 3.3
 not in compliance with

Summarize the basis for this Finding/Deficiencies Identified:

Standard of Practice 3.4

Develop procedures for remediation of releases that recognize the additional hazards of cyanide treatment chemicals.

The operation is in full compliance with
 in substantial compliance with Standard of Practice 3.4
 not in compliance with

Summarize the basis for this Finding/Deficiencies Identified:

Standard of Practice 3.5

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

The operation is in full compliance with
 in substantial compliance with Standard of Practice 3.5
 not in compliance with

Summarize the basis for this Finding/Deficiencies Identified:

Name of Operation

Signature of Lead Auditor

Date