

26 April 2012

RJC CoC Certification Information – Metalor Refining USA Corporation



Date of the Audit:	17-19 April 2012
Accredited Auditor:	UL Responsible Sourcing <u>Lead Auditor:</u> Michèle Brülhart <u>Audit Team:</u> <ul style="list-style-type: none">• Soledad Milius
RJC Member which controls Entity	Metalor Technologies SA
Entity Certification Scope:	Metalor Refining USA Corporation <ul style="list-style-type: none">o Facility/ies: North Attleboro, MA, USAo Type/s of CoC Material: Goldo Eligible Material Declarations: Recycled, Grandfathered
Auditor Recommendation:	RJC Chain-of-Custody Certification to be granted for 3 years
Surveillance Audit Due:	26 April 2013 – 26 October 2013
Certification Period:	26 April 2012 – 26 April 2015
RJC CoC Certification Number:	C0000 0001

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CoC Certification Scope

CoC Certification is open to RJC Members and/or Entities under their Control. The CoC Certification Scope is defined by the Member/Entity seeking CoC Certification and must include:

- All Facilities under the Control of the Member that the Member/Entity intends to use for the extraction, processing, manufacturing, storage, handling, shipping and receiving, and marketing of CoC Material; and
- All Outsourcing Contractors that the Member/Entity intends to use for the processing and manufacturing of CoC Material; and
- The types of CoC Material (Gold, and/or Platinum Group Metals) to be included in the Certification Scope; and
- The types of Eligible Material (Material in the form of Mined, Recycled and/or Grandfathered), if any, for which the Member/Entity intends to issue Eligible Material Declarations.

Audit methodology

Third party auditors carrying out RJC Certification audits must be accredited by the RJC, a process which involves assessment of competence, independence and internal quality systems of the auditing firm. Auditor accreditation information can be found at:

<http://www.responsiblejewellery.com/auditors/>

The RJC standards documentation is comprehensive and includes an auditable standard (the Chain-of-Custody standard), guidance, handbook for certification and assessment tools for businesses and auditors. These can be downloaded at:

<http://www.responsiblejewellery.com/chain-of-custody-certification/>

The audit process is a management systems audit aligned with ISO19011. Auditors use the triangulation method of management and employee interviews, documentation review and facility observations to verify an Entity's performance against the applicable standards.

Following Certification, a Surveillance Audit is conducted by the RJC Accredited Auditor to monitoring a sample of CoC Provisions to provide assurance that the Entity continues to conform with the RJC CoC Standard. The sample of Provisions is selected by the Auditor and usually covers areas of greatest risk of non-conformance as determined during the previous Audit.

For the first Self Assessment or Certification Audit, evidence includes records from the previous 12 months. Sampling during a Surveillance Audit or a Re-Certification Audit should include records since the last audit.

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Certification Recommendation Statement

Based on the scope and findings of the Verification Assessment, the sites visited and the available information provided by the Member:

- ✓ The Auditors recommend that the RJC Management Team grant RJC Chain of Custody Certification to the Entity valid for 3 years, subject to a surveillance audit after 12-18 months.
- The Entity is not ready for RJC Chain of Custody Certification due to the identification of Major Non-Conformance(s) which are being addressed by the Entity.
- Critical breaches have been identified and the RJC Management Team should initiate disciplinary procedures.

The Auditors confirm that:

- ✓ The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.
- ✓ The findings are based on verified Objective Evidence relevant to the time period for the assessment, traceable and unambiguous.
- ✓ The scope of the assessment and the method used are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
- ✓ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

Lead Auditor: Michèle Brülhart

Signature: On file

Date: 25 April 2012

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