



ITA Tin Code Assurance System

Auditor Registration Application

To become registered as a lead **auditor** for any **standard** of the **Tin Code** for the **ITA assurance system** we request that you complete the application form below. Completed and signed application forms should be then be returned to ITA together with supporting information and evidence.

ITA will acknowledge your application, review the information submitted and may ask you for additional input. Part of the registration process will relate to showing evidence of training for any specialist standards such as responsible sourcing (7.3). ITA publishes a list of registered **auditors** and/or **assurance** and **audit firms** on the **Tin Code** website and will ensure that the list is regularly maintained up-to-date.

Registration is not a single event, but an ongoing process promoting continual improvement. Submission of an application form will be required each year to renew registration and to confirm that **auditor** competencies and qualifications are maintained. **ITA** will also consider the quality of **assurance reports** submitted by companies for the Tin Code as well as feedback on the **assurance engagement** process from companies undertaking the **assurance process**.

ITA retains the right to update the registered auditor list at any time as considered necessary.

Contact:

For questions and/or to submit your application please contact;

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Version

This is Version 2 of the **Auditor Registration Application** for lead auditors offering **assurance engagements** for any **standard** of the **Tin Code**. Further information can be found in the **ITA Assurance Manual**.



Section 1: Applicant General Information

Full name of lead auditor		
Company name		
Date of application		First application <input type="checkbox"/> or Renewal application <input type="checkbox"/>
Address and contact details Full name of organisation (or of organisation acting as lead contact)	Address:	
	Country:	
	Phone:	
	Mobile:	
	Email:	
Registered address and contact details of head office (if different)	Address:	
	Country:	
	Phone:	
	Mobile:	
	Email:	

Section 2: Competence and professional background - general

Auditing experience: ISAE 3000 (Revised) Assurance Engagement experience	<i>[ITA Assurance system requires verification by assurance auditor with experience of performing assurance engagement to the ISAE 3000 (Revised). Provide confirmation with examples of how you meet this requirement]</i>
Auditing code of ethics: Auditors must provide independent evidence of complying with the International Ethics Standards Board of Accountants (IESBA) Code of Ethics Part A and B	<i>Please provide independent evidence how the ethics standards are met. Your company will need to evaluate if ISO 17021 or ISO 17065 accreditation meets the standard (please note ISO 9001 certification does not meet the standard as this is certification of a quality management system).</i>
Independence: Auditors must be able to form an independent assurance opinion and have complete financial and other independence from the company	<i>[Please provide confirmation that the lead auditor will not conduct any independent assurance engagement on companies if audit firm has provided consultancy in the same subject matter to the company within 24 months prior to engagement]</i>
	<i>[Provide a list of all known ITA (tin producer) member companies, suppliers and related partners to which the lead auditor has provided services in the last 24 months]</i>
	<i>[Provide details and examples of how independence and objectivity will be preserved and that auditor will avoid auditing any situation in which they have a vested interest]</i>
Mineral, mining, trading and similar experience: Auditors should be able to develop an understanding	<i>[Can you demonstrate your general professional experience relevant to the mineral, metals, supply chain and applicable laws – covered in detail relating to tin in Section 3]</i>

of the tin minerals business, activities and supply chain.	<i>[Brief description of audit including evidence as to your technical capability in this market. If you cannot provide at least one example, please briefly explain why]</i>		
Professionalism: Auditors should show ethical judgment and protect confidential information ensuring assurance conclusions are free of material misstatement and material deficiencies	<i>[Provide details and examples of how ethical judgment and confidentiality are protected]</i>		
	<i>[Provide details and examples of how confidence in the quality of assurance conclusions is ensured]</i>		
Contextual understanding: Auditors should show awareness of relevant local context, including legal, social, economic, political and cultural considerations	<i>[Provide details and examples of knowledge and understanding of legal requirements, political and social of audit jurisdictions]</i>		
Personal qualities: Auditors should show planning, organisational, and time management skills as well as good client relations and communications	<i>[Provide details and examples of how audits are planned so they are completed in a timely manner with minimal disruption]</i>		
Insurance: Provide details of current insurance cover	<i>[Provide general information and comments]</i>		
	Public liability:	<input type="checkbox"/>	Limit UK£
	Professional indemnity:	<input type="checkbox"/>	Limit UK£
	Others (specify):	<input type="checkbox"/>	Limit UK£

Languages: English is mandatory for all auditors	<i>[Specifying your level of proficiency in English and other beneficial languages when considering the geographical scope of ITA.]</i> <ul style="list-style-type: none"> • Native • Highly proficient / fluent • Intermediate (technical, written and spoken) • Basic (conversational, basic written) 				
	Language	Native	Highly proficient	Workable	Basic
	English	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other language:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other language:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other language:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section 3: Competence and professional background - technical

For each competency provide details of experience conducting assessments in the tin, mineral or other relevant sectors Please refer to the ITA website for further information on the Tin Code and its standards covering environmental, social and governance aspects of tin production and trade https://www.internationaltin.org/code-of-conduct/	
CODE PRINCIPLE 1: BUSINESS PRINCIPLES Company registration, management systems, policies, legal compliance, whistleblowing, transparency, etc.	Not applying <input type="checkbox"/> Applying <input type="checkbox"/> <i>[If applying specify auditing experience and competency in this area]</i>
CODE PRINCIPLE 2: ENVIRONMENTAL Management systems, water, air and land quality and use, energy and greenhouse gas emissions, tailings, waste and substance management, biodiversity, protected areas, reclamation, etc.	Not applying <input type="checkbox"/> Applying <input type="checkbox"/> <i>[If applying specify auditing experience and competency in this area]</i>
CODE PRINCIPLE 3: HEALTH AND SAFETY Management systems, safe working practices, incident investigation and follow-up, etc	Not applying <input type="checkbox"/> Applying <input type="checkbox"/> <i>[If applying specify auditing experience and competency in this area]</i>
CODE PRINCIPLE 4: LABOUR PRACTICES Management systems, remuneration, discrimination, forced and child labour policies, working hours, freedom of association, etc.	Not applying <input type="checkbox"/> Applying <input type="checkbox"/> <i>[If applying specify auditing experience and competency in this area]</i>
CODE PRINCIPLE 5: STAKEHOLDER ENGAGEMENT Stakeholder management, mapping and engagement, grievance mechanisms, etc.	Not applying <input type="checkbox"/> Applying <input type="checkbox"/> <i>[If applying specify auditing experience and competency in this area]</i>

CODE PRINCIPLE 6: LOCAL COMMUNITIES AND INDIGENOUS PEOPLE Community and indigenous people management and engagement, community health & safety, consultation, FPIC, land rights and use, displacement, local economic development, cultural heritage, etc.	Not applying <input type="checkbox"/> Applying <input type="checkbox"/> <i>[If applying specify auditing experience and competency in this area]</i>
CODE PRINCIPLE 7: HUMAN RIGHTS & CONFLICT Human rights management, use of private or state security (VPSHR), responsible sourcing (OECD due diligence, CAHRA, supply chains, artisanal mining....) etc.	Not applying <input type="checkbox"/> Applying <input type="checkbox"/> <i>[If applying specify auditing experience and competency in this area]</i>
CODE PRINCIPLE 8: INFLUENCING SUPPLIERS Supply chain management and capacity building for standards, secondary materials, goods and services engagement, mineral suppliers (including artisanal and small-scale mining and large scale mining, etc)	Not applying <input type="checkbox"/> Applying <input type="checkbox"/> <i>[If applying specify auditing experience and competency in this area]</i>
CODE PRINCIPLE 9: APPROPRIATE TIN USE Human health and environmental effects of products, safe production, use and recycling of substances, communicating relevant information on products, etc.	Not applying <input type="checkbox"/> Applying <input type="checkbox"/> <i>[If applying specify auditing experience and competency in this area]</i>
CODE PRINCIPLE 10: REPORTING ON THE CODE Management and policy review in relation to public reporting, etc.	Not applying <input type="checkbox"/> Applying <input type="checkbox"/> <i>[If applying specify auditing experience and competency in this area]</i>



Section 4: Other information

In addition to the information provided above, please add any further details relevant to your application and append a current CV.



Section 5: Declaration

The lead **auditor** named and described in the application above applies to become an ITA registered auditor for the ITA assurance system and specified **Tin Code standards** based on the information included in this form and agrees that;

1. All information and supporting documentation provided is true and correct
2. They are bound by the requirements and conditions relating to being an ITA registered auditor
3. They are not engaged in any activity which is a conflict of interest or would be bring ITA into disrepute
4. That all reasonable assistance will be provided to ITA to ensure effective functioning and continuous improvement of the assurance system
5. They will inform ITA of any changes that may affect capacity and competency;
 - I. to comply with any undertakings given by it
 - II. lead to actions or omissions in any way
 - III. result in the outcome of an ITA grievance or whistleblowing report

ITA registration may be suspended or revoked at any time if action or inaction by the registered **auditor** has, in the opinion of **ITA**, a material effect on the integrity of the **ITA assurance system**.

Lead auditor name: _____

Position: _____

Company name: _____

Signature: _____

Date: _____