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| **JIG Document No.** | **CP 7.01D** |
| **Document Application:** | **JIG Common Process** |



Business Principles Manual – Review Form

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| CP 7.01D |

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| Issue Date: | 25th November 2021 |
| Issue Number: | 1.1 |

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| In the event of a conflict between this document and a relevant law or regulation, the relevant law or regulation shall be followed. If the document creates a higher obligation, it shall be followed as long as this also achieves full compliance with the law or regulation. |

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| Use of Language |
| Throughout this document, the words 'may', 'should' and 'shall', when used in the context of actions by JIG or others, have specific meanings as follows: |
| (a) | 'May' is used where alternatives are equally acceptable. |
| (b) | 'Should' is used where a provision is preferred. |
| (c) | 'Shall' is used where a provision is mandatory. |
| Note that alternative or preferred requirements may be qualified by JIG in another referenced document. |

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| **Issue Date:** | **Issue Number:** | **Reason for issue:** |
| 25th Nov 2021 | 1.1 | Trade Controls and Human Rights added |
| 22nd Feb 2021 | 1 | Section 7 Information Security / Data Protection added |
| 25th March 2015 | 0.1 | Drugs & Alcohol Policy Clause 5 amended to align with CP 7.01A. |
| 16th July 2014 | 0 | Approved for issue |

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**Introduction**

This document **CP 7.01D Business Principles – Review Form.doc** is in Word format for JVs to complete a gap analysis of existing JV agreements and policies against the **CP 7.01 JIG Business Principles Manual** and **CP 7.01A JIG Standard JV Agreement Business Principles Clauses**. Identified gaps should be closed unless variations are necessary to comply with local legislative requirements or meet the JV’s own unique circumstances.

The complete set of Business Principles documents are available on the JIG web site [www.jig.org](http://www.jig.org)

They can be easily found by going to <https://www.jig.org/standards-publications/?slug=policy-governance#view_results> and filtering for the “CP Business Principles” Category

* CP 7.01 Business Principles Manual
* CP 7.01A JIG Standard JV Agreement Business Principles Clauses
* CP 7.01B Business Principles Manual Management Guidance on Intent and Application
* CP 7.01C Business Principles Annual Compliance Audit
* CP 7.01D Business Principles Manual – Review Form

**CP 7.01A Attachment 1 Business Principles Manual – Review Form**

Review Form Completion Notes

1. Differences to best practice should be identified (Yes = Gap (see also Note 2), Gap Accepted = Gap recognised but accepted by the JV (see also Note 2), No = No Gap / Compliant or Not Applicable (N/A)),
2. Response to gap analysis:
	1. Yes - detail the action necessary to close the gap. Actions may require update to the JV Governing Documents such as the JV Agreement to bring them in line with Business Principles recommended practice,
	2. Gap Accepted - provide summary of reason why the JV (or Operator) has accepted this difference is appropriate and recommended to continue (e.g., to comply with local legislation),
	3. No - no gap, compliant with Business Principles recommended practice.
3. Where actions are identified, the JV Manager should enter proposed target completion dates.
4. This Review Form is available in Word format from the JIG web site ([www.jig.org](http://www.jig.org) – in the Standards & Publications Area (Policy & Governance tab)) ref document CP 7.01D Business Principles Manual – REVIEW FORM
5. Operators that operate multiple sites using the same policies, standards and procedures under similar Operating Agreement / JV Agreement terms may choose to complete a single ‘generic’ gap analysis to cover all their operating sites. Any actions identified to close a generic gap would then be applied to each of the Operator’s operational sites.

Airport(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Operation Name(s) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Operator (Note 5) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Gap Analysis by \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Gap Analysis Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Review of Business Principles Manual**

| CP 7.01 Section Ref | Section Description | Gap ? Yes, Gap Accepted, No or N/A (Note 1) | Reason why alternative processes are used and/or action plan to close the gap (Note 2) | Target Gap Closure Date (Note 3) |
| --- | --- | --- | --- | --- |
| 1 | INTRODUCTION |   |   |   |
| 1.1 | Purpose of Our Business Principles and Who They Apply To |   |   |   |
| 1.2 | Definition Counterparty |  |  |  |
| 1.3 | Business Principles Manual and Training |   |   |   |
| 1.4 | Assurance on Compliance with Our Business Principles |   |   |   |
| 2 | HEALTH, SAFETY, SECURITY AND THE ENVIRONMENT |   |   |   |
| APPENDIX 1 | HSSE POLICY |   |   |   |
| APPENDIX 2 | DRUGS & ALCOHOL POLICY |   |   |   |
| 3 | JV EMPLOYEES |   |   |   |
| 3.1 | Treating people fairly and giving everyone equal opportunity |   |   |   |
| 3.1 | Recruiting without discrimination. Respecting the freedom of association of workers. |  |  |  |
| 3.2 | Creating a respectful, harassment-free workplace |   |   |   |
| 3.3 | Protecting privacy and confidentiality |   |   |   |
| 4 | BUSINESS RELATIONSHIPS |   |   |   |
| 4.1 | Appropriately exchanging gifts and entertainment |   |   |   |
| 4.2 | Preventing conflicts of interest |   |   |   |
| 4.3 | Complying with competition and antitrust laws |   |   |   |
| 4.4 | Complying with trade restrictions, export controls and anti-boycott laws. (Trade Control Laws) |   |   |   |
| 4.5 | Preventing money laundering (AML) |   |   |   |
| 4.6 | Working with Third Parties |   |   |   |
| 5 | BUSINESS INTEGRITY |   |   |   |
| 5.1 | Preventing bribery and corruption (ABC) |   |   |   |
| 5.2 | Dealing with governments |   |   |   |
| 5.3 | Engaging with communities |   |   |   |
| 6 | PROPERTY AND FINANCIAL INTEGRITY |   |   |   |
| 6.1 | Accurate and complete information, records, reporting and accounting |   |   |   |
| 6.2 | Protecting the JV’s assets |   |   |   |
| 6.3 | Respecting intellectual property and protected information |   |   |   |
| 7 | INFORMATION SECURITY / DATA PROTECTION |  |  |  |
| 7.1 | Protecting JV, participant, user & customer information |  |  |  |
| 7.2 | Responding in the event of a data breach or cyber attack |  |  |  |
| 7.3 | Using digital systems responsibly and securely |  |  |  |
| 7.4 | Protecting digital systems |  |  |  |

**Review of JV Agreement Clauses**

| CP 7.01A Clause Ref | Brief Clause Description (ref to CP 7.01A for full clause wording) | Gap ? Yes, Gap Accepted, No or N/A (Note 1) | Reason why alternative processes are used and/or action plan to close the gap (Note 2) | Target Gap Closure Date (Note 3) |
| --- | --- | --- | --- | --- |
|  | Definitions and Interpretation |  |  |  |
|  | Definition of “Related Parties” |  |  |  |
|  | Definition of “Restricted Party” |  |  |  |
|  | Definition of “Restricted Jurisdiction” |  |  |  |
|  | Definition of “Trade Control Laws” |  |  |  |
|  | Definition of “User or Users” |  |  |  |
| 8.7 | Audit |   |   |   |
| (a) | Permit independent auditors … access to the facilities and contractors offices and work locations |  |  |  |
| (b) | Reply to any points raised in connection with an audit with [3] months. |  |  |  |
| (c ) | Use reasonable endeavours to obtain audit rights over all contractors … |  |  |  |
| (d) | Any errors or omissions found within the accounts … shall be rectified promptly … |  |  |  |
| (e) | Shareholders seeking to have an audit … shall endeavour to give not less than two (2) weeks’ notice |  |  |  |
| (f) | Provisions of this clause (8.7 Audit) to be applicable for the term of this Agreement and three (3) years thereafter. |  |  |  |
| (g) | Representatives of the Shareholders allowed free access to the facilities … for audit of operation and maintenance of the Facilities and compliance with the Business Principles |  |  |  |
| 14 | Admission of new shareholders/ throughputters |  |  |  |
| 14.3 | Applicants to be complaint with Laws and not a Restricted Party |  |  |  |
| 36 | Business Principles and HSSE Policy |  |  |  |
| 36.1 | Establish and maintain … Schedule 4A Business Principles Policy |  |  |  |
| 36.1 (b) | Be knowledgeable of and comply with Trade Control Laws |  |  |  |
| 36.1 (c) | Include contractual provisions in its contracts to apply TCLs and to exclude dealings with Restricted Parties. |  |  |  |
| 36.2 | Establish and maintain … Schedule 4B HSSE Policy and Schedule 4C Drugs and Alcohol Policy.Adopt an HSSE management system and related standards … |  |  |  |
| Sched. 4A | Business Principles Policy |  |  |  |
| 1. | Accurate and complete Shareholder financial reports |  |  |  |
| 2. | Conflicts of interest … and gifts and entertainment |  |  |  |
| 3. | Compliance with the law, including trade Control Laws |  |  |  |
| 4. | Prevention of bribery and corruption and avoidance of relations with restricted Parties. |  |  |  |
| 5. | Board shall notify the Shareholder of any failure to comply with paragraph 4 or if it becomes a Restricted Party |  |  |  |
| 6. | Maintain accurate documentation … as well as any gift or entertainment expenses received or given |  |  |  |
| 7. | Inform shareholders promptly of any discovered violations |  |  |  |
| 8. | Comply with generally accepted accounting practices and cause its contractors to do so. |  |  |  |
| 9 | Ensure bribery and corruption risk assessments are carried out … at least annually. |  |  |  |
| 10 | Comply with Anti Money Laundering laws. Identify and |  |  |  |
| 9. | Assess integrity of the Company’s counterparties and their Related Parties prior to entering into a contractual relationship. Conduct periodic review of previously accepted Counterparties according to Appendix 3. |  |  |  |
| Sched. 4B | HSSE Policy |  |  |  |
| 1. | Complying with HSSE legislation …commitment to HSSE policy |  |  |  |
| 2. | HSSE Policy objectives |  |  |  |
| 3. | Additional HSSE management measures. |  |  |  |
| Sched. 4C | Drug and Alcohol Policy |  |  |  |
| 1. | Drugs and alcohol policy for employees and contractors with respect drugs and alcohol |  |  |  |
| 2. | Drugs and alcohol rules to ensure compliance. Where permitted by law, the Operator right to conduct searches … |  |  |  |
| 3. | The Operator has adopted its own written work rules, policies and procedures … |  |  |  |
| 4. | Causes for drugs or alcohol testing of employees: …Serious Incident … safety incident suspected to have been caused by drugs or alcohol … suspicion of drugs or alcohol abuse |  |  |  |
| 5. | [In so far as it does not conflict with any provision of the law, does the JV exercise its right to conduct searches of possessions, vehicles and any other property of employees or contractors … ]. |  |  |  |
| 6. | The Operator shall ensure employees made fully aware of the work rules, policies and procedures relating to drugs and alcohol. |  |  |  |
| 7. | Shareholder right but not obligation to audit Operator’s drugs and alcohol program. |  |  |  |
| 8. | The Operator shall enforce its rules, policies and procedures with appropriate drug and alcohol testing programs. |  |  |  |
| 9. | Employees in any … Safety Sensitive or Designated Position have passed a pre-access alcohol and drugs test within the 12-month period prior to commencing such work and/or services. |  |  |  |
| 10. | Employees in Designated Position to be subject to program of random alcohol and drug testing … |  |  |  |
| 11. | Defined termsControlled SubstancesDesignated PositionsSafety Sensitive Positions |  |  |  |
| Sched 4D | Business and Human rights Policy |  |  |  |
| 1 | Company will respect internationally recognised human rights set out in the United Nations declaration of Human rights. |  |  |  |
| 2 | In particular will not engage in forced or child labour; will provide equal opportunities without discrimination and respect the freedom of association of workers within the relevant national framework |  |  |  |