

# GRI & UN Global Compact Indices, Appendices and Reported Data

## Lucara Diamond 2020 Sustainability Report



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This document complements Lucara's 2020 Sustainability Report and includes the following:

- Appendix 1: Lucara's Material Topics Matrix
- Appendix 2: Summary ESG Data
- Appendix 3: Summary ESG Rating
- Appendix 4: GRI Index
- Appendix 5: UN Global Compact Index
- Appendix 6: SASB Index

For questions regarding Lucara Diamond's Sustainability Report or this supplement, please contact: [csr@lucaradiamond.com](mailto:csr@lucaradiamond.com).

REPORT REFERENCED



# Appendix 1: Lucara's Material Topics Matrix

OUR 2020 MATERIAL TOPICS	WHY IMPORTANT?	Lucara Diamond Corp.	Lucara Botswana	Clara
Innovation & Economic Performance	Enables sustainable growth and adaptation to Climate Change risk.	●●●	●●●	●●●
Product Stewardship	Aligned with our Responsible Mining Policy, host country requirements, and RJC certification.	●●●	●●●	●●●
Local Content: People & Supply Chain	Creates positive local economic impacts and shared value.	●	●●●	
Community Development	Supporting local communities is essential to maintain our social license, generate SDG benefits, and leave a positive legacy.	●●	●●●	
Health, Safety & Wellness	Core value, enabled continued operations during COVID-19 pandemic, aligned with regulatory requirements; Clara improved safety by offering digital sales channels without need for travel during the COVID-19 pandemic.	●●	●●●	●●
Partnerships	Generates and magnifies SDG impacts. Business partnerships improves our cashflows and profitability. Water partnership enables supply of surplus water to Orapa mine.	●●	●●●	●●
Environmental Stewardship	Core value, aligned with host country requirements and RJC certification.	●●	●●●	●
COVID-19 Pandemic	Material adverse impact on local communities. Temporary disruption of the diamond market, delaying sales and revenue. Travel restriction helped Clara grow its customers base by 178%.	●●	●●●	●●●
Climate Change	Mining is a significant energy consumer and emitter of GHGs, Botswana is vulnerable to Climatic risks and has virtually no renewable power plants, financial sector advocates GHG reduction. Clara can help buyers reduce travel-related GHG footprint.	●●	●●●	●●

●●● = strong link; ●● = important link; ● = some link; Blank = no or limited link

## Appendix 2: Summary ESG Data



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<b>Economic</b>	<b>Units</b>	<b>2020</b>	<b>2019</b>	<b>2018</b>
Diamonds Produced	Carats	381,706	433,060	364,581
Stones 100+ carats	Carats	34	31	33
Revenues	USD million	125.3	192.5	176.2
Total Botswana Benefits <sup>1</sup>	USD million	125.78	140.06	173.6
Clara Customer Base	Number	75	25	7
<b>Women Leadership</b>				
Lucara Corp Board	%	43	43	43
Lucara Corp Executives	%	75	75	75
Lucara Botswana Board	%	67	67	67
Lucara Botswana Executive	%	67	67	50
Lucara Botswana Senior Managers	%	36		
Workforce in Botswana	%	31	18	16
<b>Workforce</b>	<b>Number</b>	<b>1108</b>	<b>878</b>	<b>792</b>
Botswana	%	98	99	98
Contractors	Number	563	549	515
Employees	Number	545	329	277
Employee Union Members	%	49	65	49
Training	Hours	3,424		
<b>Occupation Health &amp; Safety</b>				
Fatalities	Number	0	0	0
Lost Time Injury Frequency Rate	Ratio	0.09	0.16	0
Labour Grievances	Number	1	2	0
<b>Environment</b>				
Freshwater in Mining & Processing <sup>2</sup>	m <sup>3</sup>	0	0	0
Effluent Discharge	m <sup>3</sup>	0	0	0
Total Energy Use	GJ	440,135	498,643	743,837
Total GHG emissions (Scope 1 & 2)	tCO2e	74,135	78,850	95,615
<b>Community</b>				
Community Investments	USD	1.24	0.59	0.11
COVID-19 Response	USD	540,000		
Food Hampers	Number	2,528		
Community Grievances	Number	1	0	1

**Notes:**

<sup>1</sup> - Botswana total Benefit: Royalty, Corporate Tax, Employee compensation, Local Procurement, Donations and Community Investments

<sup>2</sup> - Groundwater from pit dewatering at Karowe exhibits TDS >> 1,000 mg/l used to define freshwater

# Appendix 3: Summary ESG Rating



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Category	Metric	Unit	2020	2019	2018	Comments
Environment						
GHG Emissions	Total GHG emissions to revenue	tCO2/USDm	592	410	543	
	Total GHG emission to production	tCO2/kcts	194	182	262	
	Total GHG emission to tonnes processed	tCO2/kt	27.7	28.1	36.4	
	Policy to reduce emissions?		No	No	No	TCFD review, Climate Action Plan for 2021, see p. 44
	Targets to reduce emissions?		No	No	No	TCFD review, Climate Action Plan for 2021, see p. 44
Air Quality	Policy to improve Nox and SOx emissions?		No	No	No	
	Policy to improve VOC or particulate emissions?		No	No	No	
Energy Management	Total energy use to revenue	GJ/USDm	3,513	2,590	4,222	
	Total energy use to production	Gj/kct	1,153	1,151	2,040	
	Renewable energy use ratio	%	0	0	0	
Water & Wastewater management	Total water use to revenue	m3/USDm	0	0	0	Groundwater used in processing TDS>1,000, p. 40-41
	Total water use to production	m3/kct	0	0	0	Groundwater used in processing TDS>1,000, p. 40-41
	Freshwater recycled	%	N/A	N/A	N/A	Groundwater used in processing TDS>1,000, p. 40-41
Waste & Hazardous Materials Management	Total waste (incl. tailings) to revenue	t/USDm	21,226	14,470	14,821	
	Total waste (incl. tailings) to production	t/kct	6,968	6,432	7,163	
	Tailings waste recycled	%	0	0	0	
Ecological impacts	Environmental management team in place		Yes	Yes	Yes	
	Environmental Management System externally certified		No	No	No	
	Policy to reduce impact on biodiversity?		Yes	Yes	Yes	Responsible Mining Policy
	Major environmental incidents reported?		No	No	No	No major environmental incidents
	Policy on environmental impact in supply chain?		Yes	Yes	Yes	Top tier contractors on site, integrated (Responsible Mining Policy)

**Note:** N/A - Not applicable

# Appendix 3: Summary ESG Rating



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Category	Metric	Unit	2020	2019	2018	Comments
<b>Social</b>						
Human Rights & Community Relations	Policy on human rights?		No	No	No	Developed in Q1/2021
	Targets on diversity and opportunity?		No	No	No	Industry average beating gender diversity, p. 4
	Whistleblower protection?		Yes	Yes	Yes	
	Total donations to revenue	%	0.010	0.003	0.001	
	Agreements in place with artisanal miners, if any?		N/A	N/A	N/A	No ASM present at Karowe
Labour Practices	National employees	%	98	99	98	
	Supplier ESG training provided?		Yes	Yes	Yes	
	Strikes reported?		No	No	No	
Employee Health & Safety	Lost time injury frequency rate (LTIFR)	per 200k hrs	0.09	0.16	0	
	No. of employee fatalities		0	0	0	
	No. of contractor fatalities		0	0	0	
	Total no. of fatalities		0	0	0	
	Health and safety training provided for workforce?		Yes	Yes	Yes	
	Health and safety training provided for supply chain?		Yes	Yes	Yes	
<b>Governance</b>						
Business Ethics	Independent board members	%				
	Female workforce	%	31	18	16	
	Female managers	%	36			
	Female executive members	%	75	75	75	
	Female board members	%	43	43	43	
	Policy on executive compensation for ESG performance?		Yes	Yes	Yes	
	Policy on bribery and corruption?		Yes	Yes	Yes	
UN Global Compact signatory?		Yes	Yes	Yes		

**Note:** N/A - Not applicable

# Appendix 4: GRI Index to Lucara Diamond's 2020 Sustainability Report



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GRI Disclosure	Title	Location, Response, Page Number of Report, or Comment
<b>101- REPORTING PRINCIPLES, USING GRI STANDARDS, MAKING CLAIM</b>		
<b>GENERAL DISCLOSURES</b>		
102-1	Name of the organization	Lucara Diamond Corp.
102-2	Activities, brands, products and services	Lucara's Profile, Inside Front Cover, p. 3
102-3	Location of headquarters	Lucara's Profile, Inside Front Cover, p.3
102-4	Location of operations	Lucara's Profile, Inside Front Cover, p. 3
102-5	Ownership and legal form	Lucara's Profile, Inside Front Cover, p. 3
102-6	Markets served	Lucara's Profile, Inside Front Cover, p. 3
102-7	Scale of the organization	Performance Highlight, p. 1, Lucara's Profile, p. 3
102-8	Information on employees and other workers	Our People, p. 26
102-9	Supply chain	Product Stewardship, p. 13, Procurement, p. 23
102-10	Significant changes to the organization and its supply chain	Lucara's Profile, p. 3
102-11	Precautionary Principle or approach	Environmental Performance, 39, incl. Water use & recycling, p. 41, and Climate Change Risk, p. 44
102-12	External initiatives	Governance & Commitments, and Product Stewardship, p. 13
102-13	Membership of associations	Governance & Commitments, and Product Stewardship, p. 13
<b>STRATEGY</b>		
102-14	Statement from senior decision maker	Message from the President and CEO, p. 7
102-15	Key impacts, risks, and opportunities	Annual Information Forum: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a> , and Material Review, p. 50

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GRI Disclosure	Title	Location, Response, Page Number of Report, or Comment
<b>101- REPORTING PRINCIPLES, USING GRI STANDARDS, MAKING CLAIM</b>		
<b>ETHICS AND INTEGRITY</b>		
102-16	Values, principles, standards and norms of behaviour	Our Mission, p. 5, Governance & Commitments, p. 13
102-17	Mechanisms for advice and concerns about ethics	Governance & Commitments, p. 13, including Board-approved guidelines and policies: <a href="https://www.lucaradiamond.com/about-us/corporate-governance/">https://www.lucaradiamond.com/about-us/corporate-governance/</a> , Compliance & Grievances, p. 46, Labour Grievances, p. 29
<b>GOVERNANCE</b>		
102-18	Governance structure	Governance & Commitments, p. 13, including web-posted terms of reference, charters or mandates for CEO, Board, and Committees
102-19	Delegating authority	Governance & Commitments, p. 13, including web-posted terms of reference, charters or mandates for CEO, Board, and Committees
102-20	Executive-level responsibility for economic, environmental, and social topics	Governance & Commitments, p. 13, including web-posted terms of reference for the President and CEO
102-21	Consulting stakeholders on economic, environmental, and social topics	Board members at Responsible Jewellery Council (2021) and Natural Diamond Council; Engaged with UNGC and attending related events; Receiving and responding to numerous and evolving ESG questionnaires; Engaged with Mandated Lenders and their IE/ESG experts; Sustainability Reporting widely distributed, enabling accountability and feedback; Whistleblower process reports to Board-level Audit Committee; Sustainability report also reviewed by SHECR Committee, attendance at industry and finance conferences,
102-22	Composition of the highest governance body and its committees	See Section 3: Corporate Governance in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a>
102-23	Chair of the highest governance body	Mr. Lukas Lundin is Lucara's Chair of the Board, Ms. Eira Thomas is Lucara's President & CEO

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GRI Disclosure	Title	Location, Response, Page Number of Report, or Comment
<b>101- REPORTING PRINCIPLES, USING GRI STANDARDS, MAKING CLAIM</b>		
102-24	Nominating and selecting the highest governance body	See Section 3: Corporate Governance in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a> , see also Section 3.11 - Diversity & Inclusion
102-25	Conflicts of interest	See Section 3: Corporate Governance in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a>
102-26	Role of highest governance body in setting purpose, values, and strategy	See Section 3: Corporate Governance in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a>
102-27	Collective knowledge of highest governance body	See Section 3 and 3.9 (Orientation and Continued Educations) on Corporate Governance in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a>
102-28	Evaluating the highest governance body's performance	See Section 3.8 Assessment of Board Performance in Corporate Governance in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a> ; Voluntary "Say on Pay" vote at annual meetings
102-29	Identifying and managing economic, environmental, and social impacts	See Section 3.14 on role of Safety, Health, Environmental and Community Relations Committee, and 3.15 on its role in sustainability reporting which helps shape company strategy and policy and improves performance, in Assessment of Board Performance in Corporate Governance in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a>



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GRI Disclosure	Title	Location, Response, Page Number of Report, or Comment
<b>101- REPORTING PRINCIPLES, USING GRI STANDARDS, MAKING CLAIM</b>		
102-30	Effectiveness of risk management processes	See Section 3.2 Mandate of the Board of Directors (Strategic Planning, Risk Oversight), and Section 3.8 Assessment of Board Performance, and Section 3.14 on role of Safety, Health, Environmental and Community Relations Committee, in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a> ; Review of recommendations of Task Force on Climate-related Financial Disclosure (TCFD), p. 44
102-31	Review of economic, environmental, and social topics	See Section 3.14 Committees of the Board, and Section 3.14 Safety, Health, Environmental and Community Relations Committee in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a>
102-32	Highest governance body's role in sustainability reporting	See Section 3.14 Safety, Health, Environmental and Community Relations Committee, and Section 3.15 Ethical Business Conduct and use of sustainability reporting as a tool, in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a>
102-33	Communicating critical concerns	The company operates two formalized grievance mechanism for its workforce and the local communities, with results reported to senior management, and maintains an additional Whistleblower process involving a third-party reaching the Chair of the Board-level Audit Committee. Shareholder can also submit resolutions for annual general meetings.
102-34	Nature and total number of critical concerns	No shareholder resolutions submitted for 2020 period

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GRI Disclosure	Title	Location, Response, Page Number of Report, or Comment
<b>101- REPORTING PRINCIPLES, USING GRI STANDARDS, MAKING CLAIM</b>		
102-35	Remuneration policies	See Section 4. Executive Compensation in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a>
102-36	Process for determining remuneration	See Section 4. Executive Compensation in Notice of Meeting and Management Proxy Circular: <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a>
102-37	Stakeholders' involvement in remuneration	See Section 2.4 Advisory Resolution on Executive Compensation in Notice of Meeting and Management Proxy Circular <a href="https://www.lucaradiamond.com/investors/agm-materials/">https://www.lucaradiamond.com/investors/agm-materials/</a> ; Voluntary "Say on Pay" vote at annual meeting
<b>STAKEHOLDER ENGAGEMENT</b>		
102-40	List of stakeholder groups	Includes employees, workers, contractors, unions, communities, lenders, shareholders, suppliers, and diverse governmental stakeholders. Structured Stakeholder Engagement Plan, thematic engagements with diverse stakeholders on GBV, community development, water stewardship, and other topics.
102-41	Collective bargaining agreements	Labour Engagement, p. 29, Systems & Standards, p. 31
102-42	Identifying and selecting stakeholders	Structured Stakeholder Engagement Plan, updated as part of Karowe underground expansion project, see also GRI 102-40, see Partnership & Engagement, p. 33
102-43	Approach to stakeholder engagement	Based on structured Stakeholder Engagement Plan, dedicated staff resources; last materiality workshops in Q1/2019
102-44	Key topics and concerns raised	Materiality Review, p. 50, Partnership & Engagement, p.32, Our People, p. 26, Labour Grievances, p. 28, Compliance & Grievances, p. 46

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GRI Disclosure	Title	Location, Response, Page Number of Report, or Comment
<b>101- REPORTING PRINCIPLES, USING GRI STANDARDS, MAKING CLAIM</b>		
<b>REPORTING PRACTICE</b>		
102-45	Entities included in the consolidated financial statements	African Diamonds Ltd., UK, Clara Diamond Solutions Limited Partnership, Canada, Clara Diamond Solutions GP Inc., Canada, Lucara Management Services Ltd., UK, Lucara Diamond Holdings Inc., Mauritius, Mothae Diamond Holdings Inc., Mauritius, Boteti Diamond Holdings Inc., Mauritius, Wati Ventures (Pty) Ltd., Botswana, Debwat Exploration (Pty) Ltd., Botswana, Lucara Botswana (Pty) Ltd.
102-46	Defining report content and topic Boundaries	Materiality Review, p. 50
102-47	List of material topics	Materiality Review, p. 50
102-48	Restatements of information	Water use restated as per updated GRI/SASB indicators, p. 40; Waste incinerated recategorized as hazardous waste incinerated, p. 46
102-49	Changes in reporting	Materiality Review, p. 50; Water Management Approach, p. 40, Waste incinerated recategorized as hazardous waste incinerated, p. 46
102-50	Reporting period	About This Report, p. 3
102-51	Date of most recent report	May 2020, covering 2019 reporting period
102-52	Reporting cycle	About This Report
102-53	Contact point for questions regarding report	<a href="mailto:esg@lucaradiamond.com">ESG Lucara &lt;esg@lucaradiamond.com&gt;</a>
102-54	Claims of reporting in accordance with the GRI standards	In accordance with GRI Standards: Core option
102-55	GRI content index	This document, selected ESG data p. 53
102-56	External assurance	About This Report, p. 3, Assurance Report, p. 56

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200 ECONOMIC STANDARDS 2020 2019 2018 Location, Response, Page Number of Report, or Comment

MANAGEMENT APPROACH					
201	ECONOMIC PERFORMANCE				
201-1	<b>Direct economic value generated and distributed</b>				Economic Performance, p. 14, this document
	<b>Direct Economic Value Generated: Revenues</b>				
	<b>Revenues</b>	125.3	192.5	176.2	
	<b>Economic Value Distributed (\$ million)</b>				
	Operating costs for ore processed	74.40	89.4	104.9 <sup>2</sup>	This table
	Capital procurement	34.81	25.2	37.7	This table
	Exploration expenditures	2	4.6	3.4	This table
	Sales, marketing, admin. & finance costs <sup>1</sup>	18.88	18.15	19.7	This table
	Community investments (Karowe) <sup>3</sup>	1.24	0.59	0.11	This table
	<b>Royalties and taxes to government (\$ million)</b>				
	Payments to Government (Royalty)	13.5	19.2	17.6	This table
	Payments to Government (Corporate Tax) <sup>4</sup>	0.60	14.5	5.9	This table
	<b>Economic Value Retained</b>	(\$20.1)	21.0	(\$13.1)	This table
	<b>Supplemental Econ. Information (\$ million)</b>				
	Employee Compensation	19.64	14.67	10.5	This table
	Regional Procurement <sup>5</sup>	12.93	6.78	11.9	This table
	National Procurement (Botswana) <sup>6</sup>	91.42	91.1	137.1	This table
	<b>Sum</b>	<b>123.98</b>	<b>112.5</b>	<b>159.5</b>	
	Total Procurement	104.35	97.88	149	
201-2	<b>Financial implications and other risks and opportunities due to climate change</b>	N/A	N/A	N/A	Climate Change Risk and TCFD Review, p. 44
201-3	<b>Defined benefit plan obligations and other retirement plans</b>	N/A	N/A	N/A	Lucara does not have a defined benefit or actuarial plan for Lucara employees. Lucara Botswana senior management are entitled to receive a gratuity equivalent to 15% of their base salary for the first 3 years of employment, and 20% thereafter in lieu of a pension. These amounts are accrued on an annual basis and paid every third year.

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200	ECONOMIC STANDARDS	2020	2019	2018	Location, Response, Page Number of Report, or Comment
<b>MANAGEMENT APPROACH</b>					
<b>203</b>	<b>INDIRECT ECONOMIC IMPACTS</b>				
203-1	Infrastructure investments and services supported	N/A	N/A	N/A	Partnership & Engagement, p. 33-38
<b>204</b>	<b>PROCUREMENT PRACTICES</b>				
204-1	Proportion of spending on local suppliers (%)	88	93	92	Producing assets based in Botswana, "local" defined as national or Botswana, Procurement, p. 23
<b>205</b>	<b>ANTI-CORRUPTION</b>				
205-1	Operations assessed for risks related to corruption (only one producing asset - Karowe Mine - located in Botswana)	100%	100%	100%	Botswana is considered to be one of the least corrupt countries in Africa. Transparency International's 2020 Corruption Perception Index ranks Botswana as 35/180 (180 is most corrupt), scoring 60/100 (0 is most corrupt). Governance & Commitment, p. 13

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300	ENVIRONMENTAL DISCLOSURES	2020	2019	2018	Location, Response, Page Number of Report, or Comment
<b>302 - ENERGY (2016)</b>					
302-1	Energy consumption within the organization				Energy Use & GHG, p. 42
	Fuel Consumption				Not collected : Natural Gas Consumption (m <sup>3</sup> ), Light Fuel & Gasoline Consumption (l), Aviation Fuel (l), Propane Gas Consumption (l), Liquid Petroleum Gas (LPG) (l), Fugitive emissions/refrigerants (not deemed to be material in terms of Lucara's total energy and/or GHGs)
	Diesel (l)	6,830,126	8,366,557	15,389,685	This table
	Explosives (tonnes)	1,726	N/A	N/A	
	Renewable Electricity Purchased from Grid	0	0	0	
	Non-Renewable Electricity Purchased from Grid	54,027,000	54,930,000	52,879,000	This table
	Non-Renewable Electricity Generated On-site	0	0	0	
	Total Electricity Consumption (kWh)	54,027,000	54,930,000	52,879,000	This table
	Total Energy Consumption (GJ)	440,135	498,642	743,837	Energy Use & GHG Emissions, p. 42
302-3	Energy Intensity				
	Electricity Intensity (GWh per 1,000 carat produced)	142	136	145	This table
	Energy Intensity (GJ per carat produced)	1.15	1.24	2.98	Energy Use & GHG Emissions, p. 42

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300	ENVIRONMENTAL DISCLOSURES	2020	2019	2018	Location, Response, Page Number of Report, or Comment
<b>303 – WATER (2018)</b>					
303-1	Interactions with water as a shared resource				Water Context & Management Approach, p. 40
303-2	Management of water discharge-related impacts				Zero discharge, Water Use & Recycling, 39-40
303-3	Total Freshwater (TDS<1,000 mg/l) Withdrawal	0	0	0	2019 and 2018 data restated (TDS>1,000 mg/l)
SASB EM-MM-140a.1	Groundwater (TDS <1,000 mg/l)	0	0	0	2019 and 2018 data restated (TDS>1,000 mg/l)
	Surface water (TDS <1,000 mg/l)	0	0	0	No permanent surface water bodies at the Karowe Mine
	Rain water (TDS <1,000 mg/l)	N/A	N/A	N/A	Semi-arid to arid region, rain contribution not estimated for reporting
	Third Party (TDS <1,000 mg/l)	0	0	0	Office & accommodation use not deemed material (<10,000m3)
	Freshwater Withdrawn Intensity	0%	0%	0%	Office & accommodation use not deemed to be material
	Total Water (TDS > 1,000 mg/l) Withdrawal				
	Groundwater (TDS >1,000 mg/l)	2,450,774	2,166,017	2,048,290	GRI/SASB water quality criteria adopted and applied
	Surface water (TDS >1,000 mg/l)	0	0	0	No permanent surface water bodies at/near Karowe
	Third Party (TDS >1,000 mg/l)	0	0	0	Karowe does not receive water from third-parties
	Water Supplied (m <sup>3</sup> ) from Karowe Mine				
	Groundwater (TDS>1,000) supplied to Orapa Mine	780,840	238,050	0	Water Context & Management, p. 39-40
Percentage Water Withdrawn from Areas with High or Extremely High Baseline Water Stress	100%	100%	100%	Karowe in region categorized by World Resources Institute's Aqueduct as "High Baseline Water Stress"	
303-4	Water discharge to Freshwater Bodies	0	0	0	No permanent surface water bodies, no discharge, Water section 39-40
	Total volume of significant spills	0	0	0	Botswana Chamber of Mines classification
	Oil contaminated water	34	39.5	44	Collected and sent to municipal waste water treatment plant
303-5	Water consumption				
SASB EM-MM-140a.1	Total Freshwater (TDS < 1,000 mg/l) Used (m <sup>3</sup> )	0	0	0	Office & accommodation use not considered material
	Freshwater recycled (m <sup>3</sup> )	0	0	0	Office & accommodation use not considered material
	Fresh water recycled %	N/A	N/A	N/A	
	Wastewater Treatment (m <sup>3</sup> )	10,706	9,196	8,519	Treated & reused (lawn), not discharged

# Appendix 4: GRI Index to Lucara Diamond's 2020 Sustainability Report



**LUCARA**  
DIAMOND

300	ENVIRONMENTAL DISCLOSURES	2020	2019	2018	Location, Response, Page Number of Report, or Comment
<b>305 - EMISSIONS (2016)</b>					
305-1	Direct (Scope 1) GHG emissions				Energy Use & GHG, p. 41; Not included: Natural Gas Consumption (m <sup>3</sup> ), Light Fuel & Gasoline Consumption (l), Aviation Fuel (l), Propane Gas Consumption (l), Liquid Petroleum Gas (LPG) (l), Fugitive emissions/refrigerants; not deemed materials in view of Lucara's total Scope 1 and Scope 2 GHG emissions.
	Diesel (l)	6,830,126	8,366,557	15,389,685	This table
	Explosives (tonnes)	1,726.34	N/A	N/A	
	Process emissions: Wastewater treatment (m <sup>3</sup> )	10,706	9,196	8,519	Treated & reused (lawn), not discharged
	Total Direct GHG Produced (tCO <sub>2</sub> e)	18,692	22,481	41,352	GHG Emissions, p. 42
305-2	Indirect / Scope 2	55,443	56,369	54,264	GHG Emissions, p. 42
	Total GHG (Scope 1 and Scope 2, tCO <sub>2</sub> )	74,135	78,850	95,616	GHG Emissions, p. 42
305-4	GHG Intensity (tCO <sub>2</sub> e/1,000 carats produced)	194	196	262	GHG Emissions, p. 42
<b>306 – WASTE (2020)</b>					
306-1	Waste generation and significant waste-related impacts				Diamond mining involves removal, transfer, crushing and processing of overburden, waste rock and ore to extract rough diamonds, and disposal of the remaining materials (coarse and fine tailings) to engineered surface, structures or impoundments.
306-3	Waste generated				
	Mined Materials				
	Overburden Stripped (tonnes)	2,662,328	6,542,782	15,002,588	This table
	Ore Mined (tonnes)	2,987,775	3,303,376	3,311,359	Operations, p. 21
	Ore Milled (tonnes)	2,676,066	2,804,517	2,629,049	Operations, p. 21
	Diamonds Produced (carats)	381,706	403,023	364,581	Operations, p. 21
	Recovered Grade (carats per hundred tonnes)	14.26	14.4	13.9	This table
	Mineral Waste (tonnes)				
	Slimes (fine tailings)	1,007,983	1,121,795	920,783	This table
Tailings (coarse tailings)	1,651,523	1,663,542	1,690,416	This table	



# Appendix 4: GRI Index to Lucara Diamond's 2020 Sustainability Report



**LUCARA**  
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300	ENVIRONMENTAL DISCLOSURES	2020	2019	2018	Location, Response, Page Number of Report, or Comment	
<b>306 – WASTE (2020)</b>						
SASB EM-MM-150a.1.	Total weight of tailings and mineral processing waste	2,659,506	2,785,337	2,611,199	This table	
	Percentage recycled	0	0	0		
SASB EM-MM-150a.2.	Recovered Tailings	16,560	8,716	10,466	This table	
	% Mineral Wastes recycled	0	0	0		
	Waste Rock (Overburden)	0	6,542,782	15,002,588	Operational Performance, p. 22	
	Total Mined Materials	5,650,102	9,846,158	18,313,947	This table	
	Total Hazardous Mined Materials	0	0	0		
	Total Non-Hazardous Mine Materials	5,650,102	9,846,158	18,313,947	This table	
	Waste Management - Non-Mineral (tonnes)					
	Domestic waste sent to on-site landfill	72.81	78.85	94.3	This table	
	Domestic waste sent to an on-site incinerator	0	0	0		
	Domestic waste sent to an off-site landfill	0	0	0		
	Paper & cardboard sent to recycling	N/A	N/A	N/A	Not measured or reported	
	Plastics sent to recycling	N/A	N/A	N/A	Not measured or reported	
	Scrap metals sent to recycling (excl. copper)	0	584	569	2020: Covid-19 restrictions resulted in accumulation at Karow	
	Scrap copper sent to recycling	0	20.38	1.48	2020: Covid-19 restrictions resulted in accumulation at Karow	
	Wood sent to recycling	N/A	N/A	N/A	Not measured or reported	
	Tires sent to recycling	0	0	0	Accumulated at Karowe	
	Other sent to recycling	0	0	0		
	Total Domestic Waste Recycled	0	0	0		
	Percentage Domestic Waste Recycled	0%	0%	0%		
	Total Non-Hazardous Waste Generated	72.81	78.85	94.30	This table	
Hazardous Waste Generated (tonnes)						
Used oil sent off site for treatment (tonnes)	49	97	201	1 liter waste oil approximately 0.850 kg		
Waste grease sent to offsite treatment (tonnes)	0	12	19	1 liter of grease approximately 0.87 kg		
Contaminated soil	N/A	N/A	N/A	Not measured or reported		
Oil and air filters, clinic wastes	5.95	8.41	21.08	Incinerated on site		
Total Hazardous Waste Generated (tonnes)	54.8	116.7	240.4	This table		
Total Non-Mineral Waste Generated (tonnes)	127.64	195.50	334.69	This table		

# Appendix 4: GRI Index to Lucara Diamond's 2020 Sustainability Report



**LUCARA**  
DIAMOND

300	ENVIRONMENTAL DISCLOSURES	2020	2019	2018	Location, Response, Page Number of Report, or Comment
<b>307 – ENVIRONMENTAL COMPLIANCE</b>					
307-1	Non-compliance with environmental laws and regulations				Compliance & Grievances, p. 46
	Total value of significant fines (USD)	0	0	0	
	Total number of non-monetary sanctions	0	0	0	
	Cases brought through dispute resolution	0	0	0	
<b>OTHER - LAND MANAGEMENT</b>					
	<b>Land Management (hectares)</b>				
	Total Amount of Land Owned (License Area, ha)	1,523	1,523	1,523	Land Management, p. 45
	Land Disturbed and Yet not Rehabilitated (ha)	744	583	498	Land Management, p. 45
	Land Newly Disturbed this Year (ha)	161	85	13	Land Management, p. 45
	Land Rehabilitated this Year (ha)	0	0	0	
	Land Rehabilitated and Handed Over (ha)	0	0	0	
<b>TAILINGS IMPOUNDMENT</b>					
EM-MM-150a.3.	Hazard potential	See tab Tailings Facility		Tailings Facility, p. 24, this document (Tab: Tailings Facility)	

# Appendix 4: GRI Index to Lucara Diamond's 2020 Sustainability Report



**LUCARA**  
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Indicator	Disclosure	2020	2019	2018	Disclosure or Comments
<b>GRI 400</b>	<b>Social Disclosures</b>				
<b>GRI 401</b>	<b>Employment</b>				
401-1, 405-1	Total Contractors	563	549	515	See Our People, p. 26
401-1, 405-1	Total Employees - Lucara Botswana	545	329	277	See Our People, p. 26
	Male	416	232	198	This table
	Under 30	53			This table
	30 to 50	340			This table
	Over 50	23			This table
	Female	129	92	79	This table
	Under 30	23			This table
	30 to 50	99			This table
	Over 50	7			This table
	Total Permanent Employees	545	324	277	This table
	Permanent Males	416	232	198	This table
	Permanent Females	129	92	79	This table
	Total Temporary Employees	12	22		This table
	Temporary Male	8	17		This table
	Temporary Female	4	5		This table
SASB EM-MM-000.B	% Contractors	50.8	62.5	65.0	This table
401-2	Benefits to full-time employees that are not provided to temporary or part-time employees				See Our People, p. 28

# Appendix 4: GRI Index to Lucara Diamond's 2020 Sustainability Report



**LUCARA**  
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Indicator	Disclosure	2020	2019	2018	Disclosure or Comments
<b>GRI 403</b>	<b>Occupational Health and Safety</b>				
403-1	Occupational health and safety management system				Transitioning from OHSAS 18001 to ISO45001, see Health, Safety & Wellness, p. 31
403-1	Hazard identification, risk assessment, and incident investigation				See Health, Safety & Wellness, p. 32
403-3	Occupational health services				See Health, Safety & Wellness, p. 32
403-4	Worker participation, consultation, and occupational health and safety communication on				See Health, Safety & Wellness, p. 30, Labour Engagement, p. 32
403-5	Worker training on occupational health and safety				See Health, Safety & Wellness, p. 30, Training & Communication, p. 32
403-6	Promotion of worker health				See Health, Safety & Wellness, p. 30, Health & Wellbeing, p. 32
403-8	Workers covered by an occupational health and safety management system				See Health, Safety & Wellness, p. 30, Systems & Standards, p. 31

# Appendix 4: GRI Index to Lucara Diamond's 2020 Sustainability Report



**LUCARA**  
DIAMOND

Indicator	Disclosure	2020	2019	2018	Disclosure or Comments
<b>GRI 403</b>	<b>Occupational Health and Safety</b>				
403-9	Work-related Injuries (per 200,000 hrs worked)				
	Person-hours worked	2328662	2557045	3409217	This table
	Fatalities	0	0	0	This table
	Men	0	0	0	This table
	Women	0	0	0	This table
	Lost Time Injuries (LTI)	1	2	0	This table
	Men	1	2	0	This table
	Women	0	0	0	This table
	LTI Frequency Rate (LTIFR)	0.09	0.16	0	This table
	Men	0.09	N/A	0	This table
	Women	0	N/A	0	This table
	Restricted Work Injuries (RWI)	0	0	0	This table
	Men	0	0	0	This table
	Women	0	0	0	This table
	Medical Treatment Injury	3	1	0	This table
	Men	3	1	0	This table
	Women	0	0	0	This table
	First Aid Injury	3	5	14	This table
	Men	3	3	13	This table
	Women	0	2	1	This table
	Absenteeism Rate	0.66	0.76	0.55	This table
	Men	N/A	N/A	N/A	This table
	Women	N/A	N/A	N/A	This table
	Days Lost to LTI	14	20	0	This table
	Men	14	N/A	0	This table
	Women	0	N/A	0	This table
	Days Lost to RWI	0	0	0	This table
	Men	0	0	0	This table
	Women	14	0	0	This table
	Near Misses (Stop & Fix)	27,648	34,097	39,428	This table
	Men	N/A	N/A	N/A	This table
	Women	N/A	N/A	N/A	This table
Severity Rate	1.20	1.56	0.00	This table	
Men	1.20	N/A	N/A	This table	
Women	0	N/A	N/A	This table	
Property Damage	8	20	51	This table	

# Appendix 4: GRI Index to Lucara Diamond's 2020 Sustainability Report



**LUCARA**  
DIAMOND

Indicator	Disclosure	2020	2019	2018	Disclosure or Comments
<b>GRI 403</b>	<b>Occupational Health and Safety</b>				
403-10	Work-related ill health				See Health, Safety & Wellness, p. 30
	Respiratory Illnesses	0	0	0	This table
	Occupational Dermatitis	0	0	0	This table
	Noise Induced Hearing Loss (NIHL)	0	0	0	This table
	Musculoskeletal disorders (MSDs)	0	0	0	This table
<b>GRI 405</b>	<b>Diversity and Equal Opportunity</b>				
405-1	Diversity of governance bodies and employees				
	% Female Board Directors	43%	43%	43%	See Lucara recognized by The Globe & Mail, p. 4
	% Female Corporate Executives	75%	75%	75%	
	% Female Workforce	31%		16%	See Our People, p.26 & 27
	% Female Employees	23.7	28.0	28.5	This table
	% Workforce Botswana Nationality	98	99	99	See Our People, p.26 & 27
<b>GRI 410</b>	<b>Security Practices</b>				
410-1	Security personnel trained in human rights policies or procedures	58%	100%	77%	Security & Loss Control, p. 24
<b>GRI 413</b>	<b>Local Communities</b>				
413-1	Operations with local community engagement, impact assessments and development programs				Partnerships and Engagement, p.33-38

# Appendix 4: GRI Index to Lucara Diamond's 2020 Sustainability Report



**LUCARA**  
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Indicator	Disclosure	2020	2019	2018	Disclosure or Comments
<b>GRI 417</b>	<b>Marketing and Labelling</b>				
417-1	Requirements for product and service information and labeling	100%	100%	100%	Product Stewardship (100% of Karowe's products (rough diamonds) covered by Kimberley Process and Responsible Jewellery Council certification (GRI 417-1 i-iv not applicable); Clara (digital sales channel) seeking RJC certification in 2021.
417-2	Incidents of non-compliance concerning product and service information and labeling	0	0	0	Product Stewardship
417-3	Incidents of non-compliance concerning marketing communications	0	0	0	Product Stewardship
418-1	Substantiated complaints concerning breaches of customer privacy and losses of customer data	0	0	0	Product Stewardship
<b>GRI 419</b>	<b>Socioeconomic Compliance</b>				
419-1	Non-compliance with laws and regulations in the social and economic area	0	0	0	No non-compliance identified

**Nr Note**

- 1 Operating margin per carat sold is a non-IFRS measure
- 2 2018 value adjusted for depletion on the change of diamond inventory value (removing non cash)
- 3 Direct community investments from Lucara from 2017-2019, without the Lundin Foundation partnership contribution included for 2017 and 2018. Beginning in 2019, all activities related to community investment became the responsibility of Lucara Botswana directly through the newly created Sustainability Team
- 4 Lucara discloses payments to foreign governments in compliance with Canada's Extractive Sector Transparency Measures Act. In addition to corporate tax payments, we also withhold and remit payroll, non-resident and value-added taxes in the jurisdictions in which we operate. Only corporate tax payments, on a consolidated basis, are included in the Data Summary table
- 5 Southern Africa exclusive of Botswana
- 6 Botswana only
- 7 Conversion factors for 2017-2019 GHG reporting: 2.68697 kg CO<sub>2</sub>e per liter of diesel (DEFRA, 2019), and 1.0262 tCO<sub>2</sub>/MWh for grid electricity, (Southern African Power Pool, 2018)
- 8 Hazard Classification based on South African National Standards (SANS) 10286:1998 "Code of practice, Mine residue"
- 9 Botswana total Benefit: Royalty, Corporate Tax, Employee compensation, Local Procurement, Donations and Community Investments

N/A - Not available and/or reported

# Appendix 5: United Nations Global Compact Index



**LUCARA**  
DIAMOND

UNGC Principles	Reference or Comment
<b>HUMAN RIGHTS</b>	
<b>Principle 1:</b> Businesses should support and respect the protection of internationally proclaimed human rights	Human Rights Policy, Responsible Mining Policy, <a href="https://www.lucaradiamond.com/about-us/corporate-governance/">https://www.lucaradiamond.com/about-us/corporate-governance/</a>
<b>Principle 2:</b> Businesses should ensure that they are not complicit in human rights abuses	Human Rights Policy, Responsible Mining Policy, <a href="https://www.lucaradiamond.com/about-us/corporate-governance/">https://www.lucaradiamond.com/about-us/corporate-governance/</a>
<b>LABOUR</b>	
<b>Principle 3:</b> Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining	Section on Our People/Labour, p. 28, Human Rights Policy, <a href="https://www.lucaradiamond.com/about-us/corporate-governance/">https://www.lucaradiamond.com/about-us/corporate-governance/</a> , Responsible Jewellery Council certification in Product Stewardship, p. 13
<b>Principle 4:</b> Businesses should uphold the elimination of forced or compulsory labour	Human Rights Policy, <a href="https://www.lucaradiamond.com/about-us/corporate-governance/">https://www.lucaradiamond.com/about-us/corporate-governance/</a> , Our People/Labour, p. 28, Responsible Jewellery Council certification in Product Stewardship, p. 13
<b>Principle 5:</b> Businesses should uphold the effective abolition of child labour	Human Rights Policy, <a href="https://www.lucaradiamond.com/about-us/corporate-governance/">https://www.lucaradiamond.com/about-us/corporate-governance/</a> , Our People/Labour, p. 28, Responsible Jewellery Council certification in Product Stewardship, p. 13
<b>Principle 6:</b> Businesses should uphold the elimination of discrimination in respect of employment and occupation	Human Rights Policy, <a href="https://www.lucaradiamond.com/about-us/corporate-governance/">https://www.lucaradiamond.com/about-us/corporate-governance/</a> , Our People/Labour, p. 28, Responsible Jewellery Council certification in Product Stewardship, p. 13
<b>ENVIRONMENT</b>	
<b>Principle 7:</b> Businesses should support a precautionary approach to environmental challenges	Responsible Mining Policy, <a href="https://www.lucaradiamond.com/about-us/corporate-governance/">https://www.lucaradiamond.com/about-us/corporate-governance/</a> , see Environmental Performance, p. 38, including Climate Change Risk, p. 44
<b>Principle 8:</b> Businesses should undertake initiatives to promote greater environmental responsibility	Responsible Mining Policy, <a href="https://www.lucaradiamond.com/about-us/corporate-governance/">https://www.lucaradiamond.com/about-us/corporate-governance/</a> , see Environmental Performance, p. 39, including Water Use and Recycling, p. 41, and Climate Change Risk, p. 44
<b>Principle 9:</b> Businesses should encourage the development and diffusion of environmentally friendly technologies	Responsible Mining Policy, <a href="https://www.lucaradiamond.com/about-us/corporate-governance/">https://www.lucaradiamond.com/about-us/corporate-governance/</a> , see Environmental Performance, p. 39, and Clara/COVID-19 and Decarbonization, p. 48
<b>Principle 10:</b> Businesses should work against all forms of corruption, including extortion and bribery	See Governance & Commitments, p. 13



# Appendix 6: SASB Index



Topic	Code	Disclosure
<b>Production of ores and products</b>	EM-MM-000.A	Operational performance, p. 21
<b>Total number of employees, percentage contractors</b>	EM-MM-000.B	Our People, p. 26, 51 % contractors
<b>Greenhouse Gas Emissions</b>		
Scope 1	EM-MM-110a.1	GHG Emissions, p. 442
Strategy & Plan	EM-MM-110a.2	Energy & GHG Management, p. 42, Climate Change Risk & TCFD Review, p. 43
<b>Air Quality</b>	EM-MM-120a.1	N/A
<b>Energy Management</b>	EM-MM-130a.1	Energy & GHG Management, p. 42
<b>Water Management</b>		
Freshwater withdrawn, use	EM-MM-140a.1	Water Use, p. 39-40
Non-compliance	EM-MM-140a.2	Compliance & Grievances, p. 45
<b>Waste &amp; Hazardous Materials Management</b>		
Tailings	EM-MM-150a.1	Tailings Facilities, p. 24, a
Mineral processing	EM-MM-150a.2	Operational Performance, p. 21, Tailings Facilities, p. 24, also this document (Tab: Tailings Facilities)
Tailings impoundment hazard potential	EM-MM-150a.3	See Tailings Facilities, p. 24, also this document (Tab: Tailings Facilities)
<b>Biodiversity Impacts</b>		
Environmental management policies, practices	EM-MM-160a.1	See Responsible Mining Policy 9WEB), and Environmental Performance, p. 38
Sites with ARD	EM-MM-160a.2	Not applicable to diamond mining
Sites near protected areas, endangered species	EM-MM-160a.3	See Biodiversity, p. 44

## Appendix 6: SASB Index

Topic	Code	Disclosure
<b>Security, Human Rights, Indigenous People</b>		
% near conflict areas	EM-MM-210a.1	None, 0%
% near indigenous land	EM-MM-210a.2	None, 0%
Engagement process, due diligence, conflict	EM-MM-210a.3	See Responsible Mining Policy (web), Security & Loss Control, Human Rights Review planned for 2021
<b>Community Relations</b>		
Process managing risks/opportunities/rights	EM-MM-210b.1	Human Rights Policy (Web), See Engagement and Partnerships, P. 32, Compliance & Grievances, p.45
Number and duration of non-technical delays	EM-MM-210b.2	0, no delays
<b>Labor Relations</b>		
% covered under collective agreements	EM-MM-310a.1	Labour Engagement, p. 28
Number and duration of strikes and lockouts	EM-MM-310a.2	0, no delays
<b>Work for Health &amp; Safety</b>	EM-MM-320a.1	See Health, Safety and Wellness, p. 29-21, this document (Tab: Social)
<b>Business Ethic &amp; Transparency</b>		
Preventing corruption & bribery in value chain	EM-MM-510a.1	See Governance & Commitments, p. 12
Production in lowest 20% Transparency International's Corruption Perception Index	EM-MM-510a.2	None