Towards Sustainable Mining

Indigenous People (IP) and Community Outreach Protocol

TSM ASSESSMENT PROTOCOL

A Tool for Assessing Indigenous Cultural Communities/Indigenous People (ICC/IP) and Community Outreach and Social Development Management Performance

Purpose

The purpose of the assessment protocol is to provide guidance to mine sites in completing their evaluation of ICC/IP and community outreach and social development management performance against TSM indicators. The assessment protocol sets out the general expectations for ICC/IP and community outreach and social development as part of the TSM initiative. This protocol supports implementation of the TSM Mining and ICC/IP framework. As with any assessment of a management system, professional judgement is required in assessing the degree of implementation of a system indicator and the quality of management processes and intervention. Application of this protocol will, therefore, require a level of expertise in auditing and systems assessment and knowledge of and experience in the practice of ICC/IP and community outreach. This assessment protocol provides an indicator of the level of implementation of proactive outreach and engagement practices as part of the TSM initiative. It is not, of itself, a guarantee of the effectiveness of ICC/IP and community outreach and social development management activities.

Performance Indicators

The ICC/IP and community outreach and social development management protocol contains five indicators:

1. Stakeholders Identification
2. Effective Stakeholders Engagement and Dialogue
3. Stakeholders Response Mechanism
4. Social Development Management
5. Reporting

1.   STAKEHOLDERS IDENTIFICATION

Purpose
To confirm that efforts have been made to identify Stakeholders, including ICC/IP communities and organizations, affected or perceived to be affected by their operations or who have a genuine interest in the performance and activities of a company and/or program.

Stakeholders Identification: *Assessment Criteria*

LEVEL	CRITERIA
C	Stakeholders have not been identified.
B	Some local or direct Stakeholders have been identified. Plans are in place to develop a system for identifying Stakeholders.
A	A documented system is in place for Stakeholders identification at the mine site level that includes those with challenging interests.
AA	The documented system in place for identification of Stakeholders at the mine site includes Stakeholders whose interest in the operation may be indirect and issues-based (e.g., provincial and national NGOs)
AAA	The Stakeholders themselves are invited to provide regular input into the identification of Stakeholders to ensure that consideration is given to a broad range of interests.

Stakeholders Identification: *Frequently Ask Questions*

#	FAQ	PAGE
1	What are Stakeholders?	9
2	What is an Indigenous Person?	9
3	How does a mine site identify ICC/IP communities and organizations that are affected or perceived to be affected by the operations or those that have a genuine interest in the performance and activities of a company and/or operation?	10
4	Can corporate documentation be used to demonstrate mine site-level commitment?	10
5	What are Host and Neighboring Communities?	10

2.   EFFECTIVE STAKEHOLDERS ENGAGEMENT AND DIALOGUE

Purpose
To confirm that processes have been established to communicate with Stakeholders, including ICC/IP communities and organizations, to understand their viewpoints, to transparently inform them of company activities and performance, to actively engage them in dialogue and participation on issues of concern to them, and to identify how issues might be addressed through measures such as mitigation, compensation, or other actions.

Effective Stakeholders Engagement and Dialogue: *Assessment Criteria*

LEVEL	CRITERIA
C	Communications with Stakeholders are reactive. - The mine site has no engagement and dialogue processes. - Stakeholders are neither consulted nor engaged. - Communications are typically one way only.

B	• Informal engagement processes are in place, and occasional dialogue occurs with Stakeholders. • There are plans to develop Stakeholders engagement systems, but they have not been implemented
A	Documented Stakeholders engagement and dialogue systems are in place. • The mine site provides assistance to ensure Stakeholders are able to participate in engagement and dialogue processes, where appropriate. • Communications are written in the local language for Stakeholders (as required) and are written in language that is clear and understandable to Stakeholders. • Community Relations Officers (CROs) and/or Designated employees have been informed of and trained in meeting ICC/IP consultation requirements, including those procedural aspects that have been transferred to the proponent by any applicable government. • Time is built into processes to allow for meaningful review of proposals by Stakeholders. • Relevant materials are provided to Stakeholders for review in a timely manner. • Processes are in place to engage with Stakeholders on credible risks to the public that are associated with company activities, including tailings management, if applicable.
AA	• Stakeholders are invited to provide input to determine the scope of engagement on issues of concern to them, including those associated with identified credible risks to the public such as tailings management, if applicable. • Processes exist to identify the needs of Stakeholders for capacity building to allow them to engage in effective participation on issues of interest or concern to them. • Accountability for Stakeholders engagement and dialogue rests with senior management. • Senior management reviews engagement and dialogue systems, and the results from stakeholder engagement, at least annually. • Engagement and dialogue training is provided to designated personnel, including appropriate culturally-specific training. • Designated employees are informed of and trained in meeting ICC/IP consultation requirements transferred to the proponent by governments. • Traditional knowledge is sought, as appropriate, from local ICC/IP communities and organizations and is applied to support decisions and inform practices including environmental monitoring. • Consultation protocols established by ICC/IP communities and organizations are followed or integrated into consultation procedures to the extent possible.
AAA	Formal mechanisms or agreements with Stakeholders are in place to ensure they can effectively participate in issues and influence decisions that may interest or affect them. • The mine site has a consistent history of meaningful engagement with Stakeholders.

	• Processes to build the capacity of Stakeholders to allow them to effectively participate in dialogue exist. • Stakeholders contribute to periodic reviews of engagement processes to allow continual improvement. • Negotiated agreements with ICC/IP are in place for the operations or projects where appropriate.

Effective Stakeholder Engagement and Dialogue: *Frequently Ask Questions*

#	FAQ	PAGE
1	What are Stakeholders?	9
2	What is an Indigenous Person?	9
3	What are negotiated agreements?	10
4	Can appropriate documentation be used to demonstrate mine site-level commitment?	10
5	What does "clear and understandable" mean?	10
6	What is meant by "capacity building"?	10
7	What are "engagement" and "dialogue"?	11
8	How is "senior management" defined?	11

3.   STAKEHOLDERS RESPONSE MECHANISM

Purpose
To confirm that there are processes to receive complaints and concerns from Stakeholders, including ICC/IP communities and organizations, to ensure that they are understood and effectively responded to.

Stakeholders Response Mechanism: *Assessment Criteria*

LEVEL	CRITERIA
C	Minimal effort has been made to understand or incorporate Stakeholders concerns or consultation requirements. • There are no systems to track or respond to Stakeholders concerns.
B	The mine site has an incomplete knowledge of Stakeholders concerns or consultation requirements. • The mine site gives occasional consideration to Stakeholders concerns, based mostly on assumptions and sporadic consultations. • An informal complaint system exists. • A complaint and response system is either planned or in development.
A	The mine site has a good understanding of Stakeholders concerns and consultation requirements and documents them. • A complaint and response system is in place with processes for follow-up and tracking. • Stakeholders input is considered in decision making.
AA	The mine site has thorough, documented knowledge of Stakeholders issues, concerns and consultation requirements. • The mine site analyzes and acts upon the input received from Stakeholders.

	• Senior management considers results of the engagement and dialogue processes at least annually to determine if and how to act upon them. • Sufficient time is built into mine site processes to consider and respond to Stakeholders concerns before specific plans are carried out.
AAA	Collaboration with Stakeholders occurs to establish and achieve common objectives. • Collaboration extends to address common community goals.

Stakeholder Response Mechanism: *Frequently Asked Questions*

#	FAQ	PAGE
1	What are Stakeholders?	9
2	What is an indigenous person?	9
3	Can corporate documentation be used to demonstrate mine site-level commitment?	10
4	What are "engagement" and "dialogue"?	10
5	How is "senior management" defined?	10

4.   SOCIAL DEVELOPMENT MANAGEMENT

Purpose
To confirm that the social development of the ICC/IP and host and neighboring communities is properly managed resulting into effective and sustainable community projects, programs and activities.

Social Development Management: *Assessment Criteria*

LEVEL	CRITERIA
C	• No approved Social Development Management Plan (SDMP). • The mine site has been issued a Notice of Violation by Mines and Geosciences Bureau (MGB) and other regulatory agencies pertaining to implementation of social development programs.
B	• Implementation of SDMP is inconsistent with approved SDMP. • Terms and conditions of Memorandum of Agreement (MOA) with ICC/IP are not substantially implemented.
A	• Implementation of SDMP is in accordance with approved SDMP. • Terms and conditions of MOA with ICC/IP are substantially implemented, including the full payment of Royalties during the period prescribed by the MOA. • The mine site achieves 80% score in the MGB Scorecard on Social Development.
AA	• The mine site achieves 81% to 90% score in the MGB Scorecard on Social Development. • The mine site provides assistance to ICC/IP in formulating and implementing the Community Royalty Development Plan (CRDP). • The ICC/IP agrees to allocate part of the CRDP to an Indigenous Learning System (ILS) or similar program with the assistance of the mine site or the Dept. of Education/NCIP.

	• The social management of the mine site results in the creation of sustainable livelihood projects or programs for the directly impacted IP and non-IP communities.
AAA	• The mine site achieves above 90% score in the MGB Scorecard on Social Development. • As part of its Corporate Social Responsibility (CSR), the mine site spends more than what is in the approved SDMP. • As part of its CSR, the mine site has established an ILS or similar program under its direct supervision or through the Dept. of Education/NCIP. • The social management of mine site results in the creation of sustainable livelihood projects or programs not only for the directly impacted IP and non-IP communities but also for the indirectly impacted IP and non-IP communities as attested by a Social Impact Assessment conducted by an independent Social/Community Development Expert.

Social Development Management: *Frequently Asked Questions*

#	FAQ	PAGE
1	What are Stakeholders?	9
2	What is an Indigenous person?	9
3	How does a mine site identify ICCS/IPs and organizations that are affected or perceived to be affected by the operations or those that have a genuine interest in performance and activities of a company and/or operations?	10
4	What is an FPIC MOA	10
5	What is an SDMP?	10
6	What is a CRDP?	11
7	What is MGB Scorecard?	11
8	Can corporate documentation be used to demonstrate mine site-level commitment?	11
9	What are "engagement" and "dialogue"?	10
10	What is and ILS?	13
11	How is "sustainable" defined?	13

5.   REPORTING

Purpose
To confirm that reporting on Stakeholders engagement and dialogue activities (including activities with ICC/IP communities and organizations) is open and transparent.

Reporting: *Assessment Criteria*

LEVEL	CRITERIA
C	• No reporting on Stakeholders engagement occurs beyond regulated requirements.
B	• Reporting on Stakeholders engagement and dialogue activities is inconsistent. • Reporting is internal only.

A	• Reporting on Stakeholders engagement and dialogue activities occurs and includes responses to Stakeholders on concerns raised by them.
AA	• Response to Stakeholders concerns is reported publicly on a regular basis. • Opportunities exist for Stakeholders to provide feedback on public reporting.
AAA	• Stakeholders provide input into the scope of public reporting. • Stakeholders feedback on engagement, dialogue and consultation processes and outcomes is actively sought and reported publicly.

Reporting: *Frequently Asked Questions*

#	FAQ	PAGE
1	What are Stakeholders?	9
2	What is an Indigenous person?	9
3	How does a mine site identify ICC/IP communities and organizations that are affected or perceived to be affected by the operations or those that have a genuine interest in performance and activities of a company and/or operations?	10
4	Can corporate documentation be used to demonstrate mine site-level commitment?	10
5	What are "engagement" and "dialogue"?	10

APPENDIX 1: FREQUENTLY ASKED QUESTIONS
Protocol-Specific Guidance

1. ***What are Stakeholders?***

   Per Department of Environment and Natural Resources Administrative Order (DENR DAO) 2010-21, Providing for a Consolidated Department of Environment and Natural Resources Administrative Order for Implementing Rules and Regulations of Republic Act (RA) No. 7942, otherwise known as the "Philippine Mining Act of 1995," Section 5. Definition of Terms (cq), Stakeholders refer to person(s)/entity (ies) who may be significantly affected by the project or undertaking such as but not limited to, Contractor/Permit Holder/Permittee/Lessee, Members of the local community industry, LGUs, non-government organizations (NGOs) and Peoples' Organization (PO).

   Further, Stakeholders include all individuals and groups who have an interest in, or may be affected by, decisions respecting the management of operations.
   They include, but are not restricted to:
   - Employees
   - Labor sector
   - Indigenous Cultural Communities/Indigenous peoples
   - Mining community members
   - Suppliers
   - Neighbors
   - Customers
   - Contractors
   - Environmental organizations and other non-governmental organizations
   - Religious groups
   - Governments
   - The financial community, and Shareholders

2. ***What is an ICC/IP?***

   RA 8371, the ICC's/IP's Rights Act of 1997, Chapter II Section 3 – Definitions of Terms provides the definition of Indigenous Cultural Communities/Indigenous Peoples (ICCs/IPs) as, "refer to a group of people or homogenous societies identified by self-ascription and ascription by others, who have continuously lived as organized community on communally bounded and defined territory, and who have, under claims of ownership since time immemorial, occupied, possessed and utilized such territories, sharing common bonds of language, customs, traditions and other distinctive cultural traits, or who have, through resistance to political, social and cultural inroads of colonization, non-indigenous religions and cultures, became historically differentiated from the majority of Filipinos. ICCs/IPs shall likewise include peoples who are regarded as indigenous on account of their descent from the populations which inhabited the country, at the time of conquest or colonization, or at the time of inroads of non-indigenous religions and cultures, or the establishment of present state boundaries, who retain some or all of their own social, economic, cultural and political institutions, but who may have been displaced from their traditional domains or who may have resettled outside their ancestral domains.

3.   ***How does a mine site identify ICC/IP communities and organizations that are affected or perceived to be affected by the operations or those that have a genuine interest in performance and activities of a company and/or operation?***

The Indigenous Peoples Rights Act (IPRA) of 1997 (RA 8371) gives the National Commission on Indigenous Peoples (NCIP) through its regional offices the authority to authenticate the ICCs/IPs that are affected or perceived to be affected by the operations of a company. The NCIP on the other hand is assisted by the Mines and Geosciences Bureau (MGB) in identifying the areas that are affected or perceived to be affected by the operations of a company.

Once the impact areas are identified by MGB, the NCIP determines the authenticity of the ICCs/IPs that are affected or claim to be affected by the operations of a company.

Once identified, the mining company must secure a Free and Prior Informed Consent (FPIC) from the ICCs/IPs through a process set forth in the IPRA.

4.   ***What is Free and Prior Informed Consent (FPIC)***

As used in IPRA, shall mean the consensus of all members of the ICCs/IPs to be determined in accordance with their respective customary laws and practices, free from any external manipulation, interference and coercion, and obtained after fully disclosing the intent and scope of the activity, in a language and process understandable to the community.

Rule IV Part III Section 8 of the Implementing Rules and Regulations of the IPRA states that when the consent of the concerned ICC/IP is obtained, the terms and conditions agreed upon shall be embodied in a Memorandum of Agreement (FPIC MOA) to be executed between and among the ICCs/IPs, mining company, the NCIP and any other party that may be necessarily involved.

5.   ***What are Host and Neighboring Communities?***

Per Section 5 of DENR DAO 2010-21, Providing for a Consolidated Department of Environment and Natural Resources Administrative Order for Implementing Rules and Regulations of Republic Act No. 7942, Otherwise knowns as the "Philippine Mining Act of 1995", Host community refers to the people living at the barangay(s) outside the mine camp, where the mining project is located, and neighboring communities refer to the people living at the barangay(s), which are adjacent to the host community; areas covered by the mining tenement of the project; areas where mining facilities are located; and, immediate areas which will be affected by the mining operations.

6.   ***What is Social Development and Management Program (SDMP)***

Social Development and Management Program (SDMP) as defined by DENR DAO 2010-21 refers to the comprehensive five-year plan of the Contractor/Permit Holder/Lessee authorized to conduct actual mining and milling operations towards the sustained improvement in the living standards of the host and neighboring communities by creating

responsible, self-reliant and resource-based communities capable of developing, implementing and managing community development programs, projects, and activities in a manner consistent with the principle of people empowerment.

It is a tool for the development and implementation of community programs/projects/activities (P/P/As) in consultation and in partnership with the host and neighboring communities.

Funds for the SDMP are clearly set forth in DENR DAO 2010-21.

7. ***What is Community Royalty Development Plan (CRDP)***

    The Community Royalty Development Plan (CRDP) is a development plan for the management and use of royalties received by the ICCs/IPs from mining operations.

8. ***What is MGB Compliance Scorecard or MGB Scorecard?***

    The Mines and Geosciences Bureau (MGB) implemented Memorandum Circular No. 2018-02, "Guidelines for Compliance Monitoring and Rating/Scorecard of Mining Permits/Contract." This provides an efficient and effective Standard Monitoring System, by using checklists, that shall ascertain the compliance of mine sites with the terms and conditions and laws, rules and regulations; and provides a performance rating system by using scorecards to determine the compliance of mine sites.

    The Compliance Scorecard measures the level of compliance of mine sites with the mandatory Tenements and Safety and Health, Environmental Management, and Social Development of the Philippine Mining Law and its Implementing Rules and Regulations, implementation of work programs, other pertinent laws, rules and regulations, and terms and conditions of the Mining Permits/Contracts.

    The Mines & Geosciences Bureau Memorandum Circular No. 2018-02: Guidelines for Compliance Monitoring and Rating/Scorecard of Mining Permits/Contracts together with Guidelines in Accomplishing the Scorecard for Monitoring of Social Development and Management Compliance is attached as Appendix 2.

9. ***What are negotiated agreements?***
    This term refers to agreements negotiated with third parties and may include Memorandums of Agreement (MOAs) (Royalty, SDMP, others), among others. Many of these agreements contain confidentiality provisions which preclude public reporting of the terms, conditions, and progress made in implementing the agreements.

10. ***Can corporate documentation be used to demonstrate mine site-level commitment?***
    Written senior management commitment at the corporate level (e.g., a corporate policy) can only be accepted as evidence during a mine site-level self-assessment or TSM verification if it is accompanied by evidence that the corporate commitment is being applied and adhered to at the mine site level. There must be evidence of a link between the corporate documentation and mine site-level practices. If this linkage is established, then the corporate documentation can be accepted as evidence of mine site-level commitment.

11. ***How should regional engagement approaches be reflected within the assessment?***

Where multiple mine sites are located within a particular region, the company may choose to adopt a regional approach to Stakeholders identification and engagement. In these cases, the division of roles and responsibilities between mine site-level and regional-level personnel should be clearly understood and documented, and supporting systems should be developed and implemented at the appropriate level. The TSM assessment should consider both mine site-level and regional systems when assessing performance for each mine site included within the region.

12. ***How can a mine site demonstrate that it has processes in place to engage with Stakeholders on credible risks to the public that are associated with company activities?***

In order to engage effectively with relevant Stakeholders on credible risks, a mine site must have a good understanding of the credible risks to the public associated with its activities. Identification of credible risks to the public can be done in conjunction with other risk assessment exercises. For example, the mine site may choose to identify credible risks to the public while fulfilling the TSM Crisis Management and Communications Protocol's requirement to identify credible threats and risks.

A mine site must also identify Stakeholders who have specific relevance to or interest in each identified credible risk. This process should be incorporated into the mine site's document system for Stakeholders Engagement as described in Indicator 1. In this case of tailings management, identified stakeholder should include:

- Those who may be directly impacted in the event of a failure of a tailings facility, and
- Those who may be impacted by the presence and operation of a tailings facility.

Issues of interest and importance will vary from one mine site to the next and from one community to the next. Topics for engagement should be determined through dialogue with Stakeholders. For example, in the case of tailings management, topics of interest and importance to Stakeholders could include:

- Emergency preparedness and response planning
- Nature of tailings (e.g., acid generating vs non-acid generating)
- Environmental impacts
- Closure and reclamation
- Community safety and health
- Regulatory requirements and permitting processes
- Design plans for new mine sites and expansions
- Water usage and quality
- Dust suppression
- Visual impact
- Liability and accountability
- Monitoring practices and results
- Traditional land use
- Adaptation to climate change and preparations for extreme weather events

13. ***What does "clear and understandable" mean?***

Clear and understandable means that language in communications is at a reading level that is appropriate for the typical educational level of attainment of Stakeholders and is free from technical jargon.

14. ***What is meant by "capacity building"?***

Capacity building refers to the development, fostering and support of resources and relationships at individual, organizational, inter-organizational and systems levels, so that the Stakeholders can effectively engage with mine sites and transfer information within the stakeholders.

15. ***What is Indigenous Learning System (ILS)?***

Is non-formal learning system for IPs patterned after the Alternative Learning System (ALS) being espoused by the Department of Education. Like the ALS, it is a parallel learning system in the Philippines that provides a practical option to the existing formal instruction. When an IP does not have or cannot access formal education in schools, ILS is an alternate or substitute. Buasen (2006) characterized the indigenous education as having these key features: (a) Development of the IPs' rootedness and security in their identity; (b) Nurture and cultivation of their indigenous ways and traditions; (c) Impartation of the need to protect and care for their ancestral domains; (d) Support in their right to self-determination; and (e) Promotion of the well-being of both the whole community and each member of the community.

16. ***What are "engagement" and "dialogue"?***

Engagement is a process of two-way communication that addresses the specific needs for information of Stakeholders and the mine site in a way that is understandable to the participants in the discussion. Dialogue is a form of communication that leads to shared understanding between participants.

17. ***How is "senior management" defined?***
For the purposes of ICC/IP and community outreach performance measurement, senior management refers to the corporate and/or mine site-level personnel with overall accountability for engagement and dialogue processes. For large organizations with many sites, outreach takes place at several levels – community, regional and national. In these circumstances, senior management describes personnel with overall responsibility for outreach at each of the various levels.

18. ***How is "sustainable" defined?***
"A livelihood comprises the capabilities, assets (stores, resources, claims and access) and activities required for a means of living: a livelihood is sustainable which can cope with and recover from stress and shocks, maintain or enhance its capabilities and assets, and provide sustainable livelihood opportunities for the next generation; and which contributes net benefits to other livelihoods at the local and global levels and in the short and long term." (Chambers and Conway, 1992).

A sustainable livelihood program is a capability-building program for poor, vulnerable and marginalized households and communities to improve their socio-economic conditions

through accessing and acquiring necessary assets to engage in and maintain thriving livelihoods. (DSWD MC No. 2018-14).

	Question	Y	N	NA	Description & Evidence
INDICATOR 1: STAKEHOLDERS IDENTIFICATION					
Indicator 1 Level B	Have some local Stakeholders been identified?				
	Are there plans in place to develop a system for identifying Stakeholders?				
	If you have answered "Yes" to all of the Level B questions, continue to the Level A questions. If you have not answered "Yes" to all of the Level B questions, assess the mining company as a Level C.				
Indicator 1 Level A	Is there a documented system for identifying Stakeholders?				
	Does the system allow for identification of Stakeholders at the local or mine site level that includes those with challenging interests?				
	Has the mine site coordinated with appropriate NCIP Office to identify ICC/IP traditional lands and Ancestral Domains affected / potentially affected by the mining operation?				
	Has research/consultation been completed in relation to on-going traditional use of the land for hunting, fishing, trapping and related harvest activities in the area of development?				
	Has the mine site coordinated with appropriate MGB Office to identify the host and neighboring community/ies?				
	If you have answered "Yes" to all of the Level A questions, continue to Level AA questions. If you have not answered "Yes" to all of the Level A questions, assess the mine site as Level B.				
Indicator 1 Level AA	Does the system allow for identification of Stakeholders whose interest in the operation may be indirect and issues-based? If yes, please provide some example.				
	If you have answered "Yes" to all of the Level AA questions, continue to the Level AAA questions. If you have not answered "Yes" to all of the Level AA questions, assess the mine site as Level B.				
Indicator 1 Level AAA	Is there an interactive process that involves Stakeholders in identifying other groups or communities that should be considered Stakeholders?				
	If you have answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AAA. If you have not answered "Yes" to all of the Level AAA questions, assess the mine site as Level AA.				
	ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 1				**Level:** _____

INDICATOR 2: EFFECTIVE STAKEHOLDERS ENGAGEMENT AND DIALOGUE						
Indicator 2 Level B	Are informal engagement processes in place that result in occasional dialogue with Stakeholders?					
	Are there plans in place to develop a Stakeholders engagement system?					
	If you have answered "Yes" to all of the Level B questions, continue to Level A questions. If you have not answered "Yes" to all of the Level B questions, assess the mine site as Level C.					
Indicator 2 Level A	Is there a documented Stakeholders engagement and dialogue system in place?					
	Does the mine site provide assistance to ensure Stakeholders are able to participate in engagement and dialogue processes, where appropriate?					
	Are communications clear and understandable to Stakeholders, and written in the local language (as required)?					
	Have Community Relations Officers (CROs) and/or designated employees been informed of and trained in meeting ICC/IP and community consultation requirements including those procedural aspects that have been transferred to the proponent by any applicable government?					
	Has clear accountability been established for Stakeholders engagement and dialogue?					
	Is sufficient time built into engagement and dialogue processes to allow for meaningful Stakeholders engagement? If yes, please provide some examples.					
	Are relevant materials provided to Stakeholders in a timely manner?					
	Are processes in place to engage with Stakeholders on credible risks to the public that are associated with company activities, including tailings management, if applicable?					
	Has the Company secured the endorsement of the concerned Local Government Unit/s (LGUs)?					
	Has the Company secured the Certificate Precondition (CP) from NCIP?					
	If you have answered "Yes" to all of the Level A questions, continue to Level AA questions. If you have not answered "Yes" to all of the Level A questions, assess the mine site as Level B.					
Indicator 2 Level AA	Are Stakeholders invited to provide input to determine the scope of engagement on issues of concern to them, including those associated with identified credible risks to					

	the public such as tailings management, if applicable?				
	Is Stakeholders input into decisions that affect them actively encouraged?				
	Are processes in place to identify the needs of Stakeholders for capacity building so that they can effectively participate?				
	Does accountability for Stakeholders engagement and dialogue rest with mine site senior management?				
	Is engagement and dialogue training provided to designated personnel, including appropriate culturally-specific training?				
	Does senior management review engagement and dialogue systems, and the results from Stakeholders engagement, at least annually?				
	Is traditional knowledge sought, as appropriate, from local ICC/IP communities and applied to support decisions and inform practices including environmental monitoring?				
	Are consultations protocols established by ICC/IP communities and organizations followed or integrated into consultation procedures to the extent possible?				
	If you have answered "Yes" to all of the Level A questions, continue to Level AA questions. If you have not answered "Yes" to all of the Level A questions, assess the mine site as Level A.				
Indicator 2 Level AAA	Are there formal mechanisms or agreements with Stakeholders in place to ensure they can effectively participate in issues and influence decisions that may interest or affect them?				
	Does the mine site have a consistent history of meaningful engagement with Stakeholders?				
	Do Stakeholders contribute to periodic reviews of engagement processes to allow for continual improvement?				
	Are negotiated agreements with ICC/IPs in place for the operations or projects where appropriate?				
	If you have answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AAA If you have not answered "Yes" to all of the Level A questions, assess the mine site as Level AA.				
	ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 2			**Level: _____**	

INDICATOR 3: STAKEHOLDERS RESPONSE MECHANISM

Indicator	Does the mine site give occasional consideration to Stakeholders concerns?				

	Is there an informal complaint system in place?				
	Are there plans in place to develop a complaint and response system?				
	If you have answered "Yes" to all of the Level B questions, continue to Level A questions. If you have not answered "Yes" to all of the Level B questions, assess the mine site as Level C.				
Indicator 3 Level A	Does the mine site have a good understanding of Stakeholders concerns?				
	Are these concerns documented?				
	Is there a complaint and response system in place with processes for follow-up and tracking?				
	Is Stakeholders input considered in decision-making? If yes, how?				
	If you have answered "Yes" to all of the Level A questions, continue to Level AA questions. If you have not answered "Yes" to all of the Level A questions, assess the mine site as Level B. NOTE: If a mine site has not fully identified its Stakeholders, it cannot have thorough, documented knowledge of Stakeholders issues and concerns. This means that if a mine site scored Level B for Indicator 1, it cannot score higher than a Level A for Indicator 3.				
Indicator 3 Level AA	Does the mine site have a thorough, documented knowledge of Stakeholders issues and concerns?				
	Does the mine site analyze and act on input received from Stakeholders? If yes, please provide some examples.				
	Does mine site senior management consider the results of the engagement and dialogue processes at least annually to determine if and how to act on them?				
	Is sufficient time built into mine site processes to consider and respond to Stakeholders concerns before specific plans are carried out? If yes, please provide some examples.				
	If you have answered "Yes" to all of the Level AA questions, continue to Level AAA questions. If you have not answered "Yes" to all of the Level AA questions, assess the mine site as Level A.				
Indicator 3 Level AAA	Does collaboration with Stakeholders occur to establish and achieve common objectives? If yes, please provide some examples.				
	Does this collaboration extend to address common community goals?				
	If you have answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AAA questions. If you have not answered "Yes" to all of the Level AAA questions, assess the mine site as Level AA.				
	ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 3			**Level:**	

INDICATOR 4: SOCIAL DEVELOPMENT MANAGEMENT						
Indicator 4 Level B	Does the mine site have an approved Social Development and Management Program (SDMP)?					
	The mine site has not been issued a Notice of Violation by MGB pertaining to the implementation of social development programs.					
	If you have answered "Yes" to all of the Level B questions, continue to Level A questions. If you have not answered "Yes" to first question, assess the mine site as Level C.					
Indicator 4 Level A	Does the mine site pass the minimum threshold for Social Development Monitoring Checklist set by the Mines and Geosciences Bureau (MGB) Scorecard per MGB Memorandum Circular No. 2018-02 (Guidelines for Compliance Monitoring and Ratings/Scorecard of Mining Permits/Contracts)?					
	Does the mine site religiously pay the minimum Royalty fees due to ICC/IP as prescribed by IPRA?					
	Does the mine site implement the terms and conditions of the Memorandum of Agreement (MOA) with the ICC/IP including the full payment of Royalties during the period prescribed by the MOA?					
	If you have answered "Yes" to all of the Level A questions, continue to Level AA questions. If you have not answered "Yes" to all of the Level A questions, assess the mine site as Level B.					
Indicator 4 Level AA	Does the mine site achieve 81% to 90% score in the MGB Scorecard?					
	Does the mine site demonstrate efforts to assist the ICC/IP to have a well-planned Community Royalty Development Plan (CRDP) which promotes best use of its Royalties?					
	Does the ICC/IP agree to allocate part of its CRDP to an Indigenous Learning System (ILS) or similar program with the assistance of the mine site or the Department of Education (DepEd)/NCIP?					
	Has a Social Impact Assessment been conducted by an independent Social/Community Development Expert to attest that sustainable livelihood projects or programs exist for the directly impacted IP and non-IP communities?					

	If you have answered "Yes" to all of the Level AA questions, continue to Level AAA questions. If you have not answered "Yes" to all of the Level AA questions, assess the mine site as Level A.				
Indicator 4 Level AAA	Does the mine site achieve above 90% score in the MGB Scorecard?				
	As part of its CSR, has the mine site establish an ILS or similar program under its direct supervision or through the DepEd/NCIP?				
	Does the social management of the mine site result in the creation of sustainable livelihood projects or programs for the ICCs/IPs and host and neighboring communities?				
	Has a Social Impact Assessment been conducted by an independent Social/Community Development Expert to attest that sustainable livelihood projects or programs exist not only for the directly impacted IP and non-IP communities but also to the secondary impacted IP and non-IP communities?				
	If you have answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AAA. If you have not answer "Yes" to all of the Level AAA questions, assess the mine site as Level AA.				
	ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 4	**Level:** _____			

INDICATOR 5: REPORTING					
Indicator 4 Level B	Is there some internal reporting on community engagement and dialogue?				
	If you have answered "Yes" to all of the Level B questions, continue to Level A questions. If you have not answered "Yes" to all of the Level B questions, assess the mine site as Level C.				
Indicator 4 Level A	Does reporting on community engagement and dialogue activities occur?				
	Does reporting include responses to Stakeholders on concerns raised by them?				
	If you have answered "Yes" to all of the Level A questions, continue to Level AA questions. If you have not answered "Yes" to all of the Level A questions, assess the mine site as Level B.				
Indicator 4 Level A	Are responses to Stakeholders concerns publicly reported on a regular basis?				
	Do opportunities exist for Stakeholders to provide feedback on public reporting?				

	If you have answered "Yes" to all of the Level AA questions, continue to Level AAA questions. If you have not answered "Yes" to all of the Level AA questions, assess the mine site as Level A.				
Indicator 4 Level AAA	Do Stakeholders provide input into the scope of public reporting?				
	Is Stakeholders feedback on engagement and dialogue processes and outcomes actively sought and reported publicly?				
	If you have answered "Yes" to all of the Level AAA questions, assess the mine site as a Level AAA. If you have not answered "Yes" to all of the Level AAA questions, assess the mine site as Level AA.				
	ASSESSED LEVEL OF PERFORMANCE FOR INDICATOR 4			**Level: _____**	

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The association consists of members coming from exploration, mining, mineral processing and services industries including professional associations. The members are united by a shared commitment to the principles of economic growth, sustainable development and as government's partners in development.

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