



Guidelines for the ASEAN Mineral Awards

Adopted by the 15th ASOMM and endorsed by the 5th AMMin in September 2015
1st Revision adopted by the 16th ASOMM in November 2016
[2nd Revision adopted by the 18th ASOMM in November 2018]
**1st Revision to supplement requirement for implementation during COVID-19
pandemic**

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Introduction

The *Guidelines for the ASEAN Mineral Awards* serves as the official reference document for AMS applicants when submitting entries to the ASEAN Mineral Awards. It aims to provide applicants with a better understanding of the rules and procedures as well as the requirements for submission. The Guidelines sets out the major considerations in the awarding system such as the objectives, basic qualifications of the applicant, evaluation criteria and distribution of scores, and documentation requirements.

One of the major strategies under the ASEAN Mineral Cooperation Action Plan (AMCAP) is the promotion of environmentally and socially sustainable minerals development. To achieve this, a Special Task Force (STF) was formed under the ASEAN Senior Officials Meeting on Minerals (ASOMM) and was tasked to organise the ASEAN Mineral Awards for the purpose of recognising Best Practices in Environmentally and Socially Sustainable Minerals Development, including to produce the guidelines for the awards. The STF, consisting of representatives from all ASEAN Member States, met in Phnom Penh on 22 October 2014, in Jakarta on 25-26 February 2015, and in Vientiane on 5 August 2015. The Guidelines for the AMA was adopted by the 15th ASOMM and endorsed by the 5th ASEAN Ministerial Meeting on Minerals (AMMin) held in Vientiane, Lao PDR on 8 and 10 September 2015, respectively.

The 1st revision to the Guideline was made and adopted by the 16th ASOMM held in Kuala Lumpur, Malaysia on 8-9 November 2016, based on the recommendations from the 1st Meeting of the Board of Judges (BOJ) of the 1st AMA.

To improve the Guidelines and learning from the 1st AMA which was successfully organised on 30 November 2017 in Nay Pyi Taw, Myanmar in conjunction with the 6th AMMin, the 1st Meeting of the BOJ of the 2nd AMA undertook the 2nd revision to the Guideline for submission and consideration by the 18th ASOMM to be held in November 2018. It was successfully implemented during the 7th AMMin and Associated Meetings that was held between 11 – 13th December 2019.

The mineral products to be contested in this Award are metallic and non-metallic but shall not include coal, natural oil and gas.

This revised guideline provides supplementary provisions for implementing the ASEAN Mineral Awards during the period of Pandemic COVID-19, particularly the 3rd ASEAN Mineral Awards that is scheduled to be commenced in Cambodia in the year 2023.

Part 1: Objectives of the Awards

The ASEAN Mineral Award aims to:

1. promote environmentally and socially sustainable mineral development;
2. improve the general perception/image of the mineral industry;
3. disseminate best practices in the mineral sector (mining, transportation, processing, etc.);
4. increase public awareness on Best Practices in Environmentally and Socially Sustainable Mineral Development;
5. improve and enhance the Best Practices in mineral industries;
6. strengthen regional cooperation and encourage sharing of expertise; and,
7. encourage private sector participation for community development.

Part 2: Qualification of Applicants/Entries

The submitted entry or project shall have been in operation for at least three (3) years for in mineral activities, minerals processing and minerals distribution activities prior to nomination to the ASEAN Mineral Awards, both for metallic and non-metallic categories.

Entries or projects operational for less than the minimum period specified above will be automatically disqualified by the Board of Judges (BOJ).

Part 3: Competition Categories

The Award consists of three categories, as follows:

Metallic Minerals:

1. Best Practices in Mining
2. Best Practices in Processing¹
3. Best Practices in Distribution²

Non-metallic Minerals:

1. Best Practices in Mining
2. Best Practices in Processing
3. Best Practices in Distribution³

¹including smelter

²including Transportation, Handling, Storage

³including Transportation, Handling, Storage

Part 4: Number of Applications per Country and Number of Winners per Category

Name of Category	Minimum Number of Application per Country	Number of Winners per Category
1. Best Practices in Minerals Mining	1	1 Winner and 2 runners-up
2. Best Practices in Minerals Processing	1	1 Winner and 2 runners-up
3. Best Practices in Minerals Distribution	1	1 Winner and 2 runners-up

Trophies shall be given to each of the winners and runners-up (a total of 18 trophies will be given)

Part 5: Evaluation Criteria and Allocation of Scores

The BOJ will evaluate the entries based on the established criteria.

A maximum total score of 100% will be obtained for the following major criteria:

- 1) Impact;
- 2) Sustainability;
- 3) Replicability and Originality; and,
- 4) Overall Presentation and Impression.

For each of the three award categories (metallic and non-metallic), the tables below indicate the marking structure for each major criteria and sub-criteria as well as the corresponding maximum percentage point allocation:

Category 1 : Best Practices in Metallic/Non-Metallic Minerals Mining		
No.	Criteria Group	Maximum Point Allocation
1	Impacts	30
	<ul style="list-style-type: none"> • Community Development • Contribution to ASEAN Minerals Supply • Human Resource Development • Productivity & Resource Efficiency 	
2	Sustainability	30
	<ul style="list-style-type: none"> • Health and Safety Performance 	

	<ul style="list-style-type: none"> • Environmental Performance • Policy intervention combatting unforeseen circumstances⁴ 	
3	Replicability and Originality	30
	<ul style="list-style-type: none"> • Applicability and adaptability in other circumstances⁵ • Evidence of sharing and application of best practices and policies • Innovation on current practices⁶ • Innovation in equipment and system processes that resulted in higher efficiency 	
4	Overall Presentation and Impression (Incl. Online Presentation)	10
	Completeness, compliance to the criteria, comprehensibility	
5	Total	100

Category 2: Best Practices in Metallic/Non-Metallic Minerals Processing		
No.	Criteria Group	Maximum Point Allocation
1	Impacts	30
	<ul style="list-style-type: none"> • Community Development • Contribution to the ASEAN Minerals Supply • Human Resource Development • Productivity & Resources Efficiency • Value-Added Benefits 	
2	Sustainability	30
	<ul style="list-style-type: none"> • Health and Safety Performance • Environmental Performance • Improvement of Operations and Maintenance Program • Policy intervention combatting unforeseen circumstances 	
3	Replicability and Originality	30
	<ul style="list-style-type: none"> • Applicability and adaptability in other circumstances⁷ • Evidence of sharing and application of best practices and policies • Innovation on current practices • Innovation in equipment, system processes that resulted in higher efficiency 	

⁴ Such policy shall includes consideration of Human resources well-being and safety.

⁵ The technologies used by the mining companies can be applied and adapted by other companies.

⁶ Innovation in the mining technologies which leads to the optimization of mineral products. This innovation can be observed through the ownership of intellectual property rights (IPR).

^{7,4} The technologies used by the mining companies can be applied and adapted by other companies.

4	Overall Presentation and Impression (Incl. Online Presentation)	10
	<ul style="list-style-type: none"> Completeness, compliance to the criteria, comprehensibility 	
5	Total	100

Category 3: Best Practices in Metallic/Non-Metallic Minerals Distribution		
No.	Criteria Group	Maximum Point Allocation
1	Impacts	30
	<ul style="list-style-type: none"> Community Development Contribution to ASEAN Minerals Supply Human Resource Development Productivity & Resource Efficiency 	
2	Sustainability	30
	<ul style="list-style-type: none"> Health and Safety Performance Environmental Performance Improvement of Operations and Maintenance Program Policy intervention combatting unforeseen circumstances 	
3	Replicability and Originality	30
	<ul style="list-style-type: none"> Applicability and adaptability in other circumstances⁸ Evidence of sharing and application of best practices and policies Innovation on current practices⁹ Innovation in equipment and system processes that resulted in higher efficiency 	
4	Overall Presentation and Impression (Incl. Online Presentation)	10
	Completeness, compliance to the criteria, comprehensibility	
5	Total	100

Part 6: Guide for Documentation of Submissions

The procedural guidelines and the format in preparing the national entry documents are as specified and discussed in Sections 6.1 to 6.4 below is applicable to both metallic and non-metallic.

⁹ Innovation in the mining technologies which leads to the optimization of mineral products. This innovation can be observed through the ownership of intellectual property rights (IPR).

6.1 Application Form

Applicants shall follow the document sequence format below:

Item No.	Submission Heading/Discussion Items	Maximum Number of Page Allocation*
1	Application Cover page (company name & logo, title of project, ASEAN logo, country, include a statement “This is to certify that all information and attached documents in the submissions are true and correct”)	
2	Certification and endorsement by Focal Person	
3	Executive Summary	1
4	Project Overview / Introduction a) Description b) Rationale c) Target / Outcomes	14
5	Impact (expound/justify using parameters identified)	
6	Sustainability (expound/justify using parameters identified)	
7	Replicability (expound/justify using parameters identified)	
8	Originality (expound/justify using parameters identified)	
	Total No. of Pages (excluding application cover page, certification and endorsement, and supporting documents/attachments)	15

Remarks:

- All submissions must be in English and any supporting documents/attachments which are not in English must be translated to English.
- All submissions must be typewritten in single spacing, Times New Roman 12 point font, 1 inch (2.54 cm) margin from all sides; and in A4 size paper.
- Submissions exceeding 15 pages will be automatically disqualified (excluding application cover page, certification and endorsement, and supporting documents/attachments)
- (Considering Online Presentation) Submissions is to be presented in softcopy (pdf. format) and sent via email through respective national Focal Point.

6.2 Certification and Endorsement

All submissions must be certified and endorsed by the national Focal Point, who shall be the designated Head of Department of a government agency responsible for the mineral sector or his/her representative in the respective AMS.

The Focal Point can assign a team comprising of senior officers and experts from his/her agency, other authorities, universities and research institutions to assist in ensuring the submissions are in full compliance with the Guidelines for ASEAN Mineral Awards.

The Focal Point shall not be the same person as the member of the Board of Judges.

6.3 Executive Summary

The Executive Summary shall present the overall highlights of the submission, emphasise the key points that make the project (1) the best practice and (2) an exemplary model of environmentally and socially sustainable mining.

6.4 Project Overview / Introduction

The Project Overview/Introduction shall summarise the metallic or non-metallic minerals project by describing the status, management policy/commitment, goals and objectives, and outlining the project specifications such as organisation, technology, management, measures, and future plan. The period covered for the appraisal shall be the current 3-year period. In the case of the 3rd AMA, since its implementation has been forwarded to the year 2023, the appraisal period is still based on its original year of implementation (2019 – 2021).

6.4.1 Impact

This subsection shall discuss and demonstrate in detail the actual impacts of the metallic or non-metallic mineral projects in terms of:

Minerals Mining	Minerals Processing	Minerals Distribution
<ul style="list-style-type: none"> • Community Development <ul style="list-style-type: none"> - Community Acceptance; - Public Relations /Educational Program; - Contribution to local community; - Social and Community Development; - Employment Generation - number/ratio of foreign and local workers; - Employee Facilities/ Amenities; - Measurable Local Economic Activity; and, 	<ul style="list-style-type: none"> • Community Development <ul style="list-style-type: none"> - Community Acceptance; - Public Relations / Educational Program; - Contribution to local community; - Social and Community Development; - Employment Generation - number/ratio of foreign and local workers; - Employee Facilities / Amenities - Measurable Local Economic Activity; and, - Fiscal Obligations (e.g. 	<ul style="list-style-type: none"> • Community Development <ul style="list-style-type: none"> - Community Acceptance; - Public Relations / Educational Program; - Contribution to local community; - Social and Community Development; - Employment Generation - number/ratio of foreign and local workers; - Employee Facilities / Amenities; - Measurable Local Economic Activity; and, - Fiscal Obligations (e.g.

<ul style="list-style-type: none"> - Fiscal Obligations (e.g. royalties, tax, charges, etc.). • Contribution to ASEAN Minerals Supply • Human Resource Development: <ul style="list-style-type: none"> - Welfare and Career Development and Training; and, - Employee Recognition Program. • Productivity & Resource Efficiency: <ul style="list-style-type: none"> - Productivity - Resources Efficiency; and, - Waste Minimisation/Recycling Waste 	<ul style="list-style-type: none"> tax, charges, etc.) • Contribution to ASEAN Minerals Supply • Human Resource Development <ul style="list-style-type: none"> - Welfare and Career Development and Training; and, - Employee Recognition Program. • Productivity & Resources Efficiency: <ul style="list-style-type: none"> - Productivity; - Resources Efficiency; and, - Waste Minimisation. • Value-Added Benefits 	<ul style="list-style-type: none"> tax, charges, etc.). • Contribution to ASEAN Minerals Supply • Human Resource Development; <ul style="list-style-type: none"> - Welfare and Career Development and Training; and, - Employee Recognition Program. • Productivity & Resources Efficiency: <ul style="list-style-type: none"> - Productivity; - Resources Efficiency; and, - Waste Minimisation.
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6.4.2 Sustainability

This subsection shall present in detail the actual measures that have been done and the results/challenges of the metallic or non-metallic mineral projects in the following areas:

Minerals Mining	Minerals Processing	Minerals Distribution
<ul style="list-style-type: none"> • Health and Safety Performance <ul style="list-style-type: none"> - No fatalities and serious incidents; - Health and Safety precautionary measures and Standard Operating Procedures (SOPs); and, - Safety Committee and achievements (e.g. ISO certification). • Environmental Performance: <ul style="list-style-type: none"> - Environmental Management (Response to environmental issues); - Rehabilitation Plan Management; - Visual cleanliness of 	<ul style="list-style-type: none"> • Health and Safety Performance <ul style="list-style-type: none"> - No fatalities and serious incidents; and, - Health and Safety precautionary measures and Standard Operating Procedures (SOPs). • Environmental Performance <ul style="list-style-type: none"> - Environmental Management (Response to environmental issues); - Emission compliance, past or pending cases with the 	<ul style="list-style-type: none"> • Health and Safety Performance <ul style="list-style-type: none"> - No fatalities and serious incidents; and, - Health and Safety precautionary measures and Standard Operating Procedures (SOPs). • Environmental Performance <ul style="list-style-type: none"> - Environmental Management (Response to environmental issues); and, - Improvement of Operations and Maintenance Program.

<p>mines / Landscaping works;</p> <ul style="list-style-type: none"> - Biodiversity - creation and maintenance of animal sanctuary, etc.; and, - Others: <ul style="list-style-type: none"> • Water (run-off, recycling etc.) • Ground subsidence • Noise, dust, and emissions • Energy use and greenhouse effect • Policy intervention combatting unforeseen circumstances: <ul style="list-style-type: none"> - Working hour policies - Work methodology. - SOP and Business Continuity Plan (BCP) 	<p>environmental agency and local government; and,</p> <ul style="list-style-type: none"> - Improvement of Operations and Maintenance Program. • Policy intervention combatting unforeseen circumstances: <ul style="list-style-type: none"> - Working hour policies - Work methodology. - SOP and Business Continuity Plan (BCP) 	<ul style="list-style-type: none"> • Policy intervention combatting unforeseen circumstances: <ul style="list-style-type: none"> - Working hour policies - Work methodology. - SOP and Business Continuity Plan (BCP)
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6.4.3 Replicability and Originality

This subsection shall discuss in detail the actual contribution and challenges of the metallic or non-metallic mineral projects in the following areas:

Minerals Mining	Minerals Processing	Minerals Distribution
<ul style="list-style-type: none"> • Applicability and adaptability in other circumstances; • Evidence of sharing and application of best practices and policies; and, • Innovation resulting in higher efficiency. <ul style="list-style-type: none"> ➤ Current practices ➤ Equipment ➤ System processes 	<ul style="list-style-type: none"> • Applicability and adaptability in other circumstances; • Evidence of sharing of best practices and policies; • Innovation on current practices; and, • Innovation in equipment and system processes that resulted in higher efficiency. 	<ul style="list-style-type: none"> • Applicability and adaptability in other circumstances; • Evidence of sharing of best practices and policies; • Innovation on current practices; and, • Innovation in equipment and system processes that resulted in higher efficiency.

6.4.4 Overall Presentation and Impression

The submitted application shall:

- a) observe strict compliance to the prescribed format;
- b) be complete and clear;
- c) use appropriate and relevant documents, such as but not limited to graphs, diagrams, pictures, and maps; and
- d) adhere to information integrity, including proper referencing of information and figures.
- e) Online submissions (if required) must be conveyed in pdf. or any compatible media (for audio visual presentation) format.

Part 7: Rules and Requirements for Submission

7.1 Submission Procedures and Requirements

- a) The completed application forms for metallic and non-metallic minerals project should be channelled through the designated Focal Points of the respective AMS, who shall ensure that the submissions are in full compliance with the Guidelines for the ASEAN Mineral Awards. The Focal Points shall certify and endorse the submissions, then forward the submissions, in both hard and soft copy, to the Chairperson of the BOJ before the stipulated deadline. The soft copy of each submission must be saved in one (1) CD in Microsoft Word and/or Microsoft Excel format.
- b) In the event of online competition, application is to submitted in soft copy only, whereby endorsement still has to be made by respective national Focal Points and submitted to the Chairperson of the BOJ via electronic means (emails, google drive etc.) before the stipulated deadline.
- c) The Chairperson of the BOJ shall be responsible for acknowledging the date of receipt of all submissions.
- d) All submissions received beyond the deadline will be disqualified.

7.2 Protocol for Evaluation of Submissions

- a) The Chairperson of the BOJ shall distribute the soft copy of the submissions to each AMS for evaluation, except submissions from their country/state;
- b) BOJ members are prohibited from evaluating submissions from their country/state;
- c) All score sheets completed for each category must be submitted to the Chairperson of the BOJ; and
- d) The BOJ members should observe objectivity in their evaluation.

7.3 Tabulation of Scores and Selection of Winners

- a) The Chairperson of the BOJ will tabulate, validate and certify the scores in the Overall Tally Sheet (OTS) with his/her signature affixed;
- b) Details of the competition are confidential in nature and all documents shall remain in the custody of the ASEAN Secretariat. The BOJ members shall not keep, copy or publish the score sheets;

- c) The submissions must garner a minimum average score of 70% to be shortlisted for the final presentation;
- d) The top three (3) shortlisted submissions for each category are required to make a presentation to the BOJ, after which the winner will be selected by the BOJ; and
- e) The BOJ will submit a summary of the proceedings of its Evaluation Meeting and winners for the different categories via the Chairperson of the BOJ to the ASEAN Secretariat.

7.4 Guidelines for the judging of shortlisted submissions for each category

- a) The shortlisted companies shall prepare audio-visual presentation together with narrative entry of submission covering the original criteria for each category such as the impact, originality and sustainability;
- b) The audio-visual presentation shall be limited to 10 minutes for each nominee for every category;
- c) Allocated time for the question and answer is 5 minutes after the audio-visual presentation;
- d) In the event of online competition, online presentation applies where all short-listed participants will be required to present via online platform as designated by host country of the AMA. Electronic copy of the presentation (ppt., pdf. or any compatible media format) must be submitted to organizer via designated platform three (3) days before the competition commences. Only respective presenter together with BOJ members is allowed in the presentation chat room on at a time.
- e) The lowest score to be given is 1 while the highest score is 10;
- f) If the nominee/s failed to attend the final presentation, they are automatically disqualified; and
- g) In the event of a tie, the BOJ Chairperson will have the deciding vote if he is not from a country of three (3) shortlisted projects. If the BOJ Chairperson is from the country of the three (3) shortlisted projects, the Vice-chairperson will have the deciding vote. However, if the Vice-chairperson is from a country of the shortlisted projects then the BOJ will select a member of the BOJ not from the country of the three (3) shortlisted projects to cast the deciding vote.

Part 8: Prizes

The winners and the two (2) runners-up for each category will be awarded with a trophy and a certificate. In the event of Online Competition, the trophies and certificates will be conveyed to respective winners through respective national Focal Points.

Part 9: Announcement of Winners and Awarding Ceremony

The announcement of winners will be made during the Awarding Ceremony to be held in conjunction with the Gala Dinner of the ASEAN Ministerial Meeting on Minerals (AMMin). In the event of online convening of the AMMin, announcement will be made using similar platform during the meeting.

Part 10: Publication and Promotion

The ASEAN Secretariat will promote the ASEAN Mineral Awards winners by publishing the recipients in its website.

Part 11: Amendment to the guideline for the ASEAN Minerals Awards

The Guidelines may be reviewed and, if necessary, amended with the consents of all ASEAN Member States.

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