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# **Guidelines for the ASEAN Mineral Awards**

**Adopted by the 15<sup>th</sup> ASOMM and endorsed by the 5<sup>th</sup> AMMin in September 2015  
1<sup>st</sup> Revision adopted by the 16<sup>th</sup> ASOMM in November 2016  
[2<sup>nd</sup> Revision adopted by the 18<sup>th</sup> ASOMM in December 2018]**

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## Introduction

### 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 15<sup>th</sup> ASOMM and endorsed by the 5<sup>th</sup> ASEAN Ministerial Meeting on Minerals (AMMin) held in Vientiane, Lao PDR on 8 and 10 September 2015, respectively.

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

To improve the Guidelines and learning from the 1<sup>st</sup> AMA which was successfully organised on 30 November 2017 in Nay Pyi Taw, Myanmar in conjunction with the 6<sup>th</sup> AMMin, the 1<sup>st</sup> Meeting of the BOJ of the 2<sup>nd</sup> AMA undertook the 2<sup>nd</sup> revision to the Guideline for submission and consideration by the 18<sup>th</sup> ASOMM to be held in December 2018.

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

## 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.

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:

1. Best Practices in Metallic and Non-metallic Mining
2. Best Practices in Metallic and Non-metallic Processing<sup>1</sup>
3. Best Practices in Metallic and Non-metallic Distribution<sup>2</sup>

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

Name of Category	Maximum Number of Application per Country		Number of Winners per Category	
	Metallic	Non-metallic	Metallic	Non-metallic
1. Best Practices in Metallic and Non-metallic Minerals Mining	1	1	1 Winner and 2 runners-up	1 Winner and 2 runners-up
2. Best Practices in Metallic and Non-metallic Minerals Processing	1	1	1 Winner and 2 runners-up	1 Winner and 2 runners-up
3. Best Practices in Metallic and Non-metallic Minerals Distribution	1	1	1 Winner and 2 runners-up	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)**

<sup>1</sup>including smelter

<sup>2</sup>including Transportation, Handling, Storage

## 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:

<b>Category 1 : Best Practices in Metallic/Non-Metallic Minerals Mining</b>		
<b>No.</b>	<b>Criteria Group</b>	<b>Maximum Point Allocation</b>
<b>1</b>	<b>Impacts</b>	<b>40</b>
	<ul style="list-style-type: none"> <li>• Community Development</li> <li>• Contribution to ASEAN Minerals Supply</li> <li>• Human Resource Development</li> <li>• Productivity &amp; Resource Efficiency</li> </ul>	
<b>2</b>	<b>Sustainability</b>	<b>40</b>
	<ul style="list-style-type: none"> <li>• Health and Safety Performance</li> <li>• Environmental Performance</li> </ul>	
<b>3</b>	<b>Replicability and Originality</b>	<b>10</b>
	<ul style="list-style-type: none"> <li>• Applicability and adaptability in other circumstances<sup>3</sup></li> <li>• Evidence of sharing and application of best practices and policies</li> <li>• Innovation on current practices<sup>4</sup></li> <li>• Innovation in equipment and system processes that resulted in higher efficiency</li> </ul>	
<b>4</b>	<b>Overall Presentation and Impression</b>	<b>10</b>
	Completeness, compliance to the criteria, comprehensibility	
<b>5</b>	<b>Total</b>	<b>100</b>

<sup>3</sup> The technologies used by the mining companies can be applied and adapted by other companies.

<sup>4</sup> 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).

<b>Category 2: Best Practices in Metallic/Non-Metallic Minerals Processing</b>		
<b>No.</b>	<b>Criteria Group</b>	<b>Maximum Point Allocation</b>
<b>1</b>	<b>Impacts</b>	<b>40</b>
	<ul style="list-style-type: none"> <li>• Community Development</li> <li>• Contribution to the ASEAN Minerals Supply</li> <li>• Human Resource Development</li> <li>• Productivity &amp; Resources Efficiency</li> <li>• Value-Added Benefits</li> </ul>	
<b>2</b>	<b>Sustainability</b>	<b>40</b>
	<ul style="list-style-type: none"> <li>• Health and Safety Performance</li> <li>• Environmental Performance</li> <li>• Improvement of Operations and Maintenance Program</li> </ul>	
<b>3</b>	<b>Replicability and Originality</b>	<b>10</b>
	<ul style="list-style-type: none"> <li>• Applicability and adaptability in other circumstances<sup>5</sup></li> <li>• Evidence of sharing and application of best practices and policies</li> <li>• Innovation on current practices</li> <li>• Innovation in equipment, system processes that resulted in higher efficiency</li> </ul>	
<b>4</b>	<b>Overall Presentation and Impression</b>	<b>10</b>
	<ul style="list-style-type: none"> <li>• Completeness, compliance to the criteria, comprehensibility</li> </ul>	
<b>5</b>	<b>Total</b>	<b>100</b>

<sup>5, 4</sup> The technologies used by the mining companies can be applied and adapted by other companies.

<b>Category 3: Best Practices in Metallic/Non-Metallic Minerals Distribution</b>		
<b>No.</b>	<b>Criteria Group</b>	<b>Maximum Point Allocation</b>
<b>1</b>	<b>Impacts</b>	<b>40</b>
	<ul style="list-style-type: none"> <li>• Community Development</li> <li>• Contribution to ASEAN Minerals Supply</li> <li>• Human Resource Development</li> <li>• Productivity &amp; Resource Efficiency</li> </ul>	
<b>2</b>	<b>Sustainability</b>	<b>40</b>
	<ul style="list-style-type: none"> <li>• Health and Safety Performance</li> <li>• Environmental Performance</li> <li>• Improvement of Operations and Maintenance Program</li> </ul>	
<b>3</b>	<b>Replicability and Originality</b>	<b>10</b>
	<ul style="list-style-type: none"> <li>• Applicability and adaptability in other circumstances<sup>6</sup></li> <li>• Evidence of sharing and application of best practices and policies</li> <li>• Innovation on current practices<sup>7</sup></li> <li>• Innovation in equipment and system processes that resulted in higher efficiency</li> </ul>	
<b>4</b>	<b>Overall Presentation and Impression</b>	<b>10</b>
	Completeness, compliance to the criteria, comprehensibility	
<b>5</b>	<b>Total</b>	<b>100</b>

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<sup>7</sup> 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).

## Part 6: Guide for Documentation of Submissions

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

### 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 Point	
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)	
	<b>Total No. of Pages (excluding application cover page, certification and endorsement, and supporting documents/attachments)</b>	<b>15</b>

#### 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)



## 6.2 Certification and Endorsement

All submissions must be certified and endorsed by the national Focal Point, who shall be the designated Head of Ministry/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 and due diligence has been conducted on the public image of the awardees.

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 succeeding the previous AMA.

### 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"> <li>Community Development               <ul style="list-style-type: none"> <li>Community Acceptance;</li> <li>Public Relations / Educational Program;</li> <li>Contribution to local community;</li> <li>Social and Community Development;</li> <li>Employment Generation - number/ratio of foreign and local workers;</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Community Development               <ul style="list-style-type: none"> <li>Community Acceptance;</li> <li>Public Relations / Educational Program;</li> <li>Contribution to local community;</li> <li>Social and Community Development;</li> <li>Employment Generation - number/ratio of foreign and local workers;</li> <li>Employee Facilities /</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Community Development               <ul style="list-style-type: none"> <li>Community Acceptance;</li> <li>Public Relations / Educational Program;</li> <li>Contribution to local community;</li> <li>Social and Community Development;</li> <li>Employment Generation - number/ratio of foreign and local workers;</li> <li>Employee Facilities /</li> </ul> </li> </ul>

<ul style="list-style-type: none"> <li>- Employee Facilities/Amenities;</li> <li>- Measurable Local Economic Activity; and,</li> <li>- Fiscal Obligations (e.g. royalties, tax, charges, etc.).</li> <li>• Contribution to ASEAN Minerals Supply</li> <li>• Human Resource Development: <ul style="list-style-type: none"> <li>- Welfare and Career Development and Training; and,</li> <li>- Employee Recognition Program.</li> </ul> </li> <li>• Productivity &amp; Resource Efficiency; <ul style="list-style-type: none"> <li>- Productivity</li> <li>- Resources Efficiency; and,</li> <li>- Waste Minimisation/ Recycling Waste</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Amenities</li> <li>- Measurable Local Economic Activity; and,</li> <li>- Fiscal Obligations (e.g. tax, charges, etc.)</li> <li>• Contribution to ASEAN Minerals Supply</li> <li>• Human Resource Development <ul style="list-style-type: none"> <li>- Welfare and Career Development and Training; and,</li> <li>- Employee Recognition Program.</li> </ul> </li> <li>• Productivity &amp; Resources Efficiency: <ul style="list-style-type: none"> <li>- Productivity;</li> <li>- Resources Efficiency; and,</li> <li>- Waste Minimisation.</li> </ul> </li> <li>• Value-Added Benefits</li> </ul>	<ul style="list-style-type: none"> <li>Amenities;</li> <li>- Measurable Local Economic Activity; and,</li> <li>- Fiscal Obligations (e.g. tax, charges, etc.).</li> <li>• Contribution to ASEAN Minerals Supply</li> <li>• Human Resource Development; <ul style="list-style-type: none"> <li>- Welfare and Career Development and Training; and,</li> <li>- Employee Recognition Program.</li> </ul> </li> <li>• Productivity &amp; Resources Efficiency: <ul style="list-style-type: none"> <li>- Productivity;</li> <li>- Resources Efficiency; and,</li> <li>- Waste Minimisation.</li> </ul> </li> </ul>
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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"> <li>• Health and Safety Performance <ul style="list-style-type: none"> <li>- No fatalities and serious incidents;</li> <li>- Health and Safety precautionary measures and Standard Operating Procedures (SOPs); and,</li> <li>- Safety Committee and achievements (e.g. ISO certification).</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Health and Safety Performance <ul style="list-style-type: none"> <li>- No fatalities and serious incidents; and,</li> <li>- Health and Safety precautionary measures and Standard Operating Procedures (SOPs).</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Health and Safety Performance <ul style="list-style-type: none"> <li>- No fatalities and serious incidents; and,</li> <li>- Health and Safety precautionary measures and Standard Operating Procedures (SOPs).</li> </ul> </li> </ul>

<ul style="list-style-type: none"> <li>• Environmental Performance:             <ul style="list-style-type: none"> <li>- Environmental Management (Response to environmental issues);</li> <li>- Rehabilitation Plan Management;</li> <li>- Visual cleanliness of mines / Landscaping works;</li> <li>- Biodiversity - creation and maintenance of animal sanctuary, etc.; and,</li> <li>- Others:                 <ul style="list-style-type: none"> <li>• Water (run-off, recycling etc.)</li> <li>• Ground subsidence</li> <li>• Noise, dust, and emissions</li> <li>• Energy use and greenhouse effect</li> </ul> </li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Environmental Performance             <ul style="list-style-type: none"> <li>- Environmental Management (Response to environmental issues);</li> <li>- Emission compliance, past or pending cases with the environmental agency and local government; and,</li> <li>- Improvement of Operations and Maintenance Program.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Environmental Performance             <ul style="list-style-type: none"> <li>- Environmental Management (Response to environmental issues); and,</li> <li>- Improvement of Operations and Maintenance Program.</li> </ul> </li> </ul>
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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"> <li>• Applicability and adaptability in other circumstances;</li> <li>• Evidence of sharing and application of best practices and policies; and,</li> <li>• Innovation resulting in higher efficiency.             <ul style="list-style-type: none"> <li>➤ Current practices</li> <li>➤ Equipment</li> <li>➤ System processes</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Applicability and adaptability in other circumstances;</li> <li>• Evidence of sharing of best practices and policies;</li> <li>• Innovation on current practices; and,</li> <li>• Innovation in equipment and system processes that resulted in higher efficiency.</li> </ul>	<ul style="list-style-type: none"> <li>• Applicability and adaptability in other circumstances;</li> <li>• Evidence of sharing of best practices and policies;</li> <li>• Innovation on current practices; and,</li> <li>• Innovation in equipment and system processes that resulted in higher efficiency.</li> </ul>

#### **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.

### **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) The Chairperson of the BOJ shall be responsible for acknowledging the date of receipt of all submissions.
- c) 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 followed by a 5-minute question and answer session;
- c) The lowest score being 1 while the highest score is 10;
- d) If the nominee/s failed to attend the final presentation, they are automatically disqualified; and
- e) 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 in each category. If the BOJ Chairperson is from the country of the three (3) shortlisted projects in each category, 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 in each category to cast the deciding vote.

#### **Part 8: Prizes**

The winner and the two (2) runners-up for each category will be awarded with a trophy and a certificate.

#### **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).

#### **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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