



PHILIPPINE MINING DEVELOPMENT CORPORATION

Control No:	PMDC-QP-01-03
Revision No.:	5
Effectivity:	May 29, 2018
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Quality Procedure

Control of Documents

1.0 PURPOSE:

- 1.1 This document aims to define the policies and procedures for controlling and maintaining PMDC documented information, to ensure that appropriate versions are identified and made available at point of use.
- 1.2 This procedure aims to ensure that documents of external origin are identified and their distribution, controlled.

2.0 POLICY

It is the policy of PMDC to ensure that pertinent documented information are properly identified, updated, approved, controlled, and made available at points of use. F, it is the policy of PMDC to ensure that documents of external origin are identified and controlled during distribution.

3.0 DEFINITION OF TERMS:

- 3.1 Controlled Copy – Reproduced copy of the original document, latest issued document; indicated by blue “Controlled Copy” stamp.
- 3.2 Documented Information – as referred to in this procedure, are QMS quality procedures, standard operational instructions, the Quality Manual, and other procedures/ standard/form indicated in the Document Masterlist.
- 3.3 Document Controller/Custodian (DCC) – Individual/s assigned to oversee the implementation of the Document Control procedure and maintain controlled copies of documents.
- 3.4 Document Masterlist – A list of the documents being controlled by the Document Controller/Custodian in terms of creation, approval, revision, distribution, access, and use.
- 3.5 Document Feedback Form (DFF) – A form used to suggest any revision to an existing document or manual.
- 3.6 External Documents – Documents generated from external sources.
- 3.7 Internal Documents – Documents generated from QMS implementation and relevant PMDC operations
- 3.8 Obsolete Copy – Superseded document, indicated by red “Obsolete Copy” stamp
- 3.9 Original Copy – Original document bearing approvals in blue ink, maintained by the DCC and indicated by green “Master Copy” stamp
- 3.10 Initiator – Person who initiated document creation/revision.



Approved by: Jaime T. De Veyra
Vice President, Corporate Services

Date: MAY 29 2018



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3.11 Uncontrolled Copy – Reproduced copy of a controlled copy document strictly for reference use. It is a copy issued to non-copy holders or non-Process Owners.

4.0 SCOPE:

- 4.1 This procedure applies to all documents required by the PMDC’s Quality Management System as indicated in the Document Masterlist.
- 4.2 This procedure also covers the monitoring and/or distribution of externally generated documents.

5.0 RESPONSIBILITIES:

- 5.1 Management Representative/s – Reviews the established procedures in line with the requirements of the ISO 9001 Standards and recommends approval for implementation i.e. Vice President for Corporate Services and Vice-President for Operations
- 5.2 Document Controller/Custodian – Ensures that all documents are properly identified, updated, approved and made available at relevant areas for use. The DCC is also responsible for the maintenance and implementation of this procedure on Control of Documents. Ensures that obsolete documents are identified and prevented from unintended use.
- 5.3 Process Owners – Responsible for ensuring that all QMS documents are relevant and up-to-date. Process owners are also responsible for ensuring that feedbacks to their respective documents are promptly evaluated and addressed.

6.0 PROCEDURE DETAILS:

Ref. No.	Key Activities	Responsibilities
6.1	Creation/identification of documents	Initiator
6.2	Review and approval of documents	Supervisor of Initiator, VP for Corporate Services and VP for Operations
6.3	Registration and stamping of documents	Document Controller/Custodian
6.4	Distribution and maintenance of controlled copies	Document Controller/Custodian
6.5	Document modification/revision/update	Concerned Process Owner, Document Controller/Custodian
6.6	Coding system	Document Controller/Custodian
6.7	Uncontrolled copies	Document Controller/Custodian
6.8	Control of externally-generated documents	Document Controller/Custodian
6.9	Electronic copies of documents	Document Controller/Custodian
6.10	Format, timeline, and document review	Concerned process owner, Document Controller/Custodian

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6.11	Maintenance and disposal of obsolete documents	Document Controller/Custodian
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6.1 Creation/Identification of Documents (see also Figure 1 in Annex A)

- 6.1.1 If a need to create a document arises, the Document Feedback Form (DFF) is used.
- 6.1.2 The Initiator prepares the DFF together with the draft of the proposed new document. The draft shall be labeled (watermarked, if possible) with the word "DRAFT" and should not be used in operations unless it is officially approved.
- 6.1.3 The prepared DFF and draft shall then be submitted to the DCC for monitoring and tracking.
- 6.1.4 The DCC shall also reserve a control number to the proposed document based on the established coding system. See 6.6.
- 6.1.5 The DCC shall submit the DFF and proposed document to PMDC's VP for Corporate Services or VP for Operation depending on the procedure being proposed to change for approval.

6.2 Review and Approval of Documents

- 6.2.1 All DFFs shall be initially approved by the initiator's superior
- 6.2.2 The VP for Corporate Services and/or the VP for Operations shall be the approving authorities in the creation and revision of documents. However, the creation and revision of documents may be elevated to the Management Committee if the Vice Presidents decide that the document creation/revision warrants an approval of the Committee. Approved documents bear the signature of approving authorities in blue ink.

6.3 Registration and Stamping of Documents (see also Figure 2 in Annex A)

- 6.3.1 If the DFF was approved by the VPs, the DCC shall:
 - a. For newly created documents,
 - Include the reserved control number on the document (see section 6.6.1)
 - Print a clean copy of the document
 - b. For revised documents,
 - Update revision no. of revised pages OR update version number of documents classified as "Complete Rewrite" (see 6.5.8 and 6.6.2)
 - Print a clean copy of the document

If the DFF was not approved, it shall be returned to the initiator.

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- 6.3.2 The DCC shall submit the newly printed document/pages to the VP for Corporate Services or VP for Operations for signature.
- 6.3.3 The DCC shall revise the Document Masterlist to register the SIGNED newly created/revised document.
- 6.3.4 The DCC shall reproduce the document according to the number of custodians specified on the Distribution List.
- 6.3.5 The DCC shall stamp the “Master Copy” stamp (green ink) on every page (lower left) of the original document. The DCC shall stamp the “Controlled Copy” (blue ink) on every page (lower right) of the controlled copies.
- 6.3.6 The DCC shall also affix his/her initials and date of distribution together with the stamps on the page/s.

6.4 Distribution and Maintenance of Controlled Copies

- 6.4.1 The DCC shall distribute the controlled copies to the specified custodians in the Document Distribution List.
- 6.4.2 Once the controlled copy has been given, the custodian needs to surrender his/her obsolete copy to ensure that only updated copies are under his/her custody. He/she shall also affix his/her signature on the Document Distribution List to signify receipt.
- 6.4.3 Only controlled copies are considered to be the official copies of the original copy. Moreover, only entities indicated in the Distribution List are considered as official bearers of the controlled copies. As documents are frequently revised for continual improvement, their unauthorized reproduction is highly discouraged to avoid the use of outdated references.
- 6.4.4 Employees who wish to be included in the Document Distribution List must write his/her intent through a memorandum signed by his/her supervisor. The memorandum must be addressed to the VPs.

6.5 Document Modification/Revision/Update

- 6.5.1 If there is a need to update, modify, or revise a QMS document, the DFF is used.
- 6.5.2 The initiator shall submit the DFF to the DCC for monitoring and tracking.
- 6.5.3 The DCC shall forward the DFF to the concerned process owner for evaluation of the feedback.
- 6.5.4 If the concerned process owner agrees with the feedback indicated in the DFF, he/she shall take the appropriate action/s to address the feedback and forward the resulting draft together with the DFF to the DCC. If the concerned process owner

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does not agree with the feedback, he/she may indicate his/her opinion on the DFF and return it to the DCC for concurrence of the VP holding the department responsible for the procedure

- 6.5.5 Drafts of proposed changes to documents must be included in DFFs. (see also section 6.9.1.4).
- 6.5.6 The review and approval, registration and stamping, and distribution of controlled copies shall follow the guidelines set under Section 6.2, 6.3, and 6.4.
- 6.5.7 Revision number/s of the revised page/s of a document shall be updated (See Section 6.6).
- 6.5.8 If about 50% or more of the pages is affected by the revision, the revision shall be classified as "Complete Rewrite". In such case, revision number of all pages of the document shall follow the highest revision number of that document.
- 6.5.9 Obsolete pages/documents, upon retrieval (see Section 6.4.2), shall be stamped with the "Obsolete Copy" stamp (red ink).
- 6.5.10 Revisions done on the pages/document shall be recorded on the Revision History form of the document.

6.6 Coding System

6.6.1 The control number issued to documents shall follow the scheme below:

Document Type	Control Number
Quality Manual	PMDC-QM
Quality Procedure	PMDC-QP-xx
Form	PMDC-QP-xx Fnn

Note: xx and nn are series numbers starting with 01

6.6.2 The version and revision numbers shall follow the scheme below:

a. Revision number

Quality Procedures	Forms
<ul style="list-style-type: none"> • applicable to pages of quality procedures; • default revision number is 0; • if a page is revised, ONLY the revision number of that page shall be updated (i.e. The current revision number of all the pages of a quality 	<ul style="list-style-type: none"> • applicable to pages of ACCOMPLISHED/FILLED-UP forms; • changes to information (including typographical errors) contained in the form; • See PMDC-QP-01-03, Control of Records for procedures on

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procedure is 0. However, page 3 was revised. ONLY page 3 shall have a revision number of 1);	revising accomplished/filled-up forms.
<ul style="list-style-type: none"> shall conform to 6.5.6. 	

b. Version no.

Quality Procedures	Forms
<ul style="list-style-type: none"> applicable only to the whole document; indicated in the last two digits of the QP's control number: i.e. PMDC-QP-01-00 – version 1 PMDC-QP-01-01 – version 2 PMDC-QP-01-02 – version 3 Note: though the default number in the control number is 00, the actual version is 1; version number ONLY changes if the document was classified as "Complete Rewrite" in its recent modification. (See Section 6.5.8) 	<ul style="list-style-type: none"> applicable to blank forms; indicates the current/updated format of the form; starts with version number 1; (e.g. PMDC-QP-01 F01 v.2 – this means that the format of form number 1 of QP 01 has undergone a revision, hence, the update from version 1 to version 2).

6.7 Uncontrolled Copies

6.7.1 If an employee requests for a copy other than the controlled copy of a document, he/she needs to write his/her request in the Uncontrolled Copies log of the DCC.

6.7.2 The DCC shall then issue an uncontrolled copy of the document to the requestor and stamp the "Uncontrolled Copy" stamp on every page of the copy.


6.8 Control of Externally-Generated Documents

6.8.1 The External Document Distribution List is used to monitor the receipt and distribution of externally generated documents.

6.8.2 Recording is done immediately upon receipt and turnover of documents to concerned unit and/or individual. The responsibility for the maintenance and updating of the External Document Distribution List is entrusted to the DCC.

6.8.3 Externally generated documents received through email are likewise recorded in the External Document Distribution List.

6.9 Electronic Copies of Documents (see Annex D)

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6.9.1 Electronic copies of documents are not used as reference for implementation since there is no assurance of being the latest version of the document. Electronic files of Original Copies are edited, copied, and printed only by the DCC to protect from unauthorized copy and use.

6.9.2 The documents shall be scanned and uploaded in the shared folder in the intranet, and may be accessed by all employees. However, for security purposes and to protect the integrity of the documents, all documents shall be locked from editing and printing; exempted from this are the forms which may be filled up and printed.

6.10 Format, Timeline, and Document Review

6.10.1 Format

6.10.1.1 All documents shall be written in Times New Roman font, with the font size of 12.

6.10.1.2 All documents shall be printed on A4-sized paper.

6.10.1.3 Initiators may get the format of the document/s (Quality Procedure or Form) they will create/revise from the DCC.

6.10.1.4 Proposed changes of an initiator/process owner on a document should be highlighted in yellow for easy identification.

6.10.2 Timeline

6.10.2.1 Timelines considered in this procedure are based on PMDC's Policy on Turnaround Time Standards.

6.10.2.2 Initial processing of a DFF by the DCC shall not exceed two (2) working days from the receipt of the DFF. However, the accumulated working days for the overall processing of the DFF by the DCC shall not exceed five (5) working days. This includes processes stated in section 6.1.3, 6.1.4, 6.1.5, 6.3.1, 6.3.3, 6.3.4, 6.3.5, 6.3.6, 6.4.1, 6.4.2, 6.5.2, and 6.5.3.

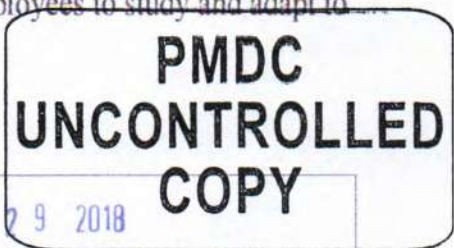
6.10.2.3 The concerned process owner's evaluation of feedback indicated in the DFF and submission of draft as a result of action required by the DFF shall not exceed five (5) working days upon his/her receipt.

6.10.2.4 The effectivity date of a newly created/revise document shall be one (1) week from its approval to allow all employees to study and adapt to the new provisions.

6.10.3 Document Review

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- 6.10.3.1 To ensure that all documents used in PDMC's QMS is updated and relevant, process owners are required to review their respective Quality Procedures annually.
- 6.10.3.2 The process owners shall document their reviews and submit and discuss them in Management Reviews scheduled near the beginning or the end of the year, whichever is closer to year-end.
- 6.10.3.3 Reference period of process owners for their document reviews shall be the past 12 months from the date of the Management Review.
- 6.10.3.4 Process owners may review their respective documents ahead of the schedule indicated in section 6.10.3.2 and as frequent as they deem necessary. However, they will still be required to conform to the provisions stated in sections 6.10.3.2 and 6.10.3.3.
- 6.10.3.5 Process owners are encouraged to review their respective documents as frequently as possible to ensure the documents' relevance.

6.11 Maintenance and disposal of obsolete documents

- 6.11.1 Obsolete documents that were once stamped as a Master Copy shall be stored and maintained by the DCC indefinitely.
- 6.11.2 Obsolete documents that were once stamped as a Controlled Copy shall be disposed of in a secure manner by the DCC.

7.0 REFERENCES:

- 7.1 PMDC-QP-02 - Control of Records
- 7.2 PMDC-QP-01 F01 - Document Feedback Form
- 7.3 PMDC-QP-01 F02 - External Document Distribution List
- 7.4 PMDC-QP-01 F03 - Document Distribution List
- 7.5 PMDC-QP-01 F04 - Document Master List
- 7.6 PMDC-QP-01 F05 - Revision History Page

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ANNEX A – Flowcharts of Procedures

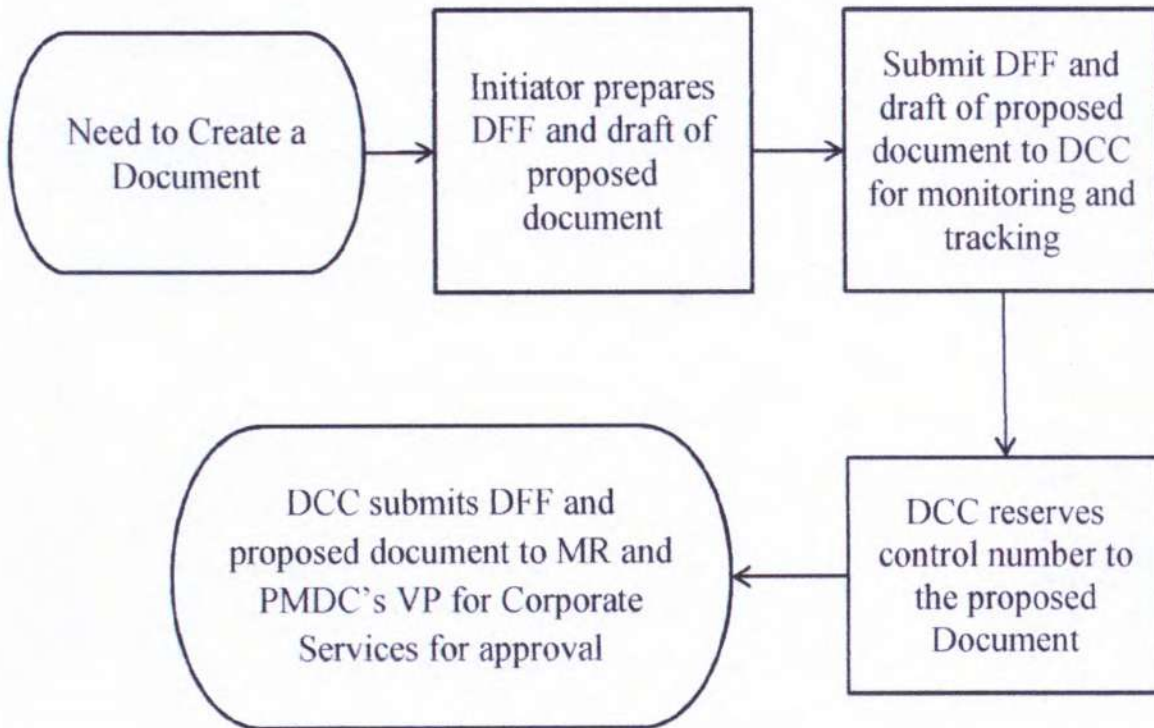
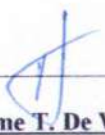


Figure 1. Creation/Identification of Documents (see also section 6.1)

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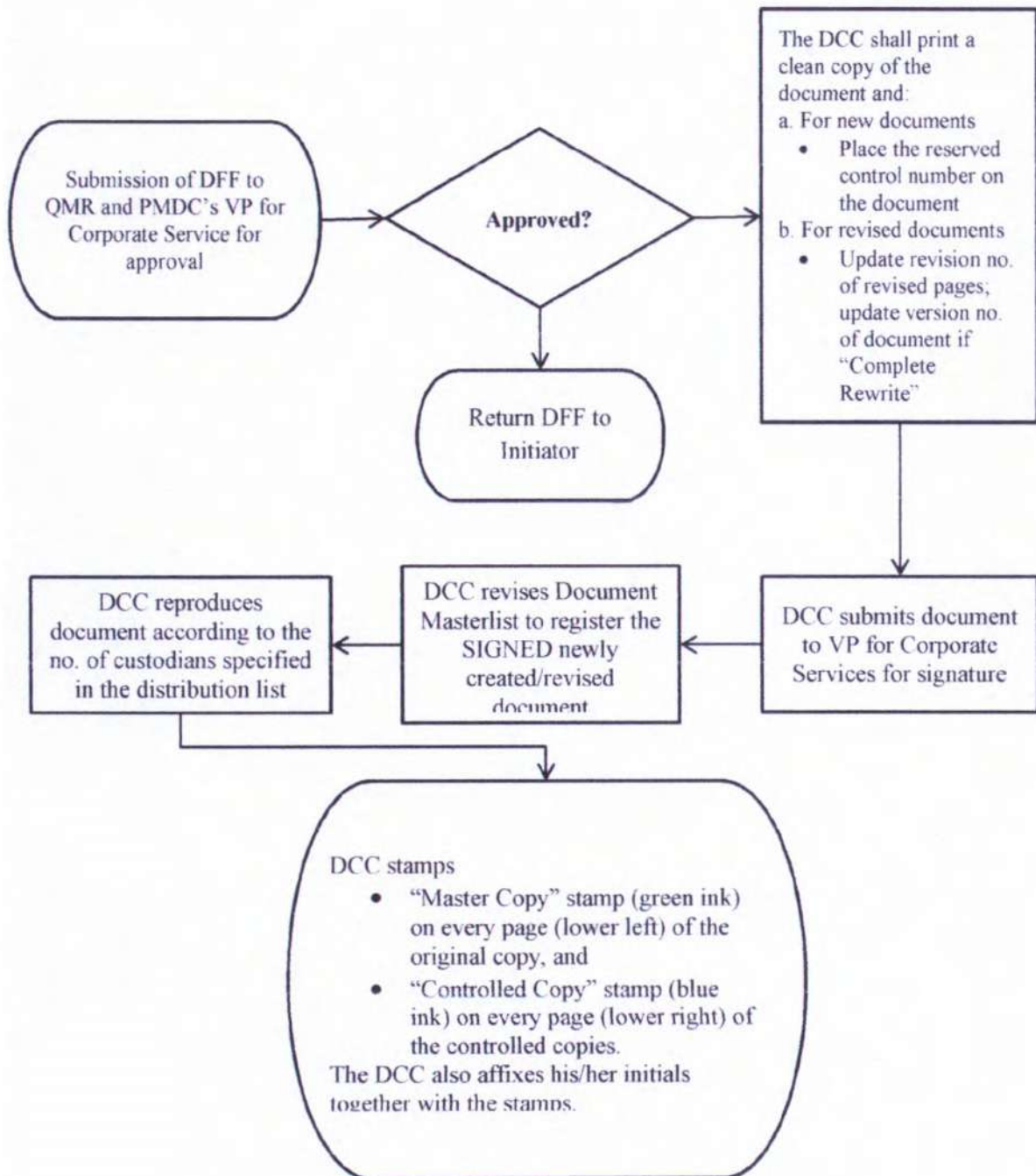


Figure 2. Creation/Identification of Documents (see also section 6.1)

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ANNEX B – Elements of QP Header and Footer

1. QP Header

Default control number is PMDC-QP-01-00. Hence, the current control number means that the current version of the document is **2**. This also indicates that the document has undergone two complete rewrites. (see section 6.6)

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Effectivity date must be set at least five (5) working days from the approval of the document (see section 6.10.2.4)

Default revision number of documents is **0**. Hence, the current revision number means that the page may have been revised once or the document may have undergone a complete rewrite. (see sections 6.5.8 and 6.6.2)

2. QP Footer

Approved by:	<u>Jaime T. De Veyra</u> Vice President, Corporate Services	Date:	FEB. 4, 2015
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PMDC's VP for Corporate Services is the approving authority of Corporate Services-related QMS documents

Date the document was approved.

Approved by:	 Jaime T. De Veyra Vice President, Corporate Services
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Date:	MAY 29 2018
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Approved by: <u>Lucas R. Vidad</u> Vice President, Operations	Date: FEB 4 2018
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PMDC's VP for Operations is the approving authority of Operations and project management-related QMS documents

Date the document was approved.

Approved by: 
Jaime T. De Veyra
Vice President, Corporate Services

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ANNEX C – Stamps used to control documents

Stamps

1. Master Copy
2. Controlled Copy
3. Obsolete Copy
4. Uncontrolled Copy

Approved by:


Jaime T. De Veyra

Vice President, Corporate Services

Date:

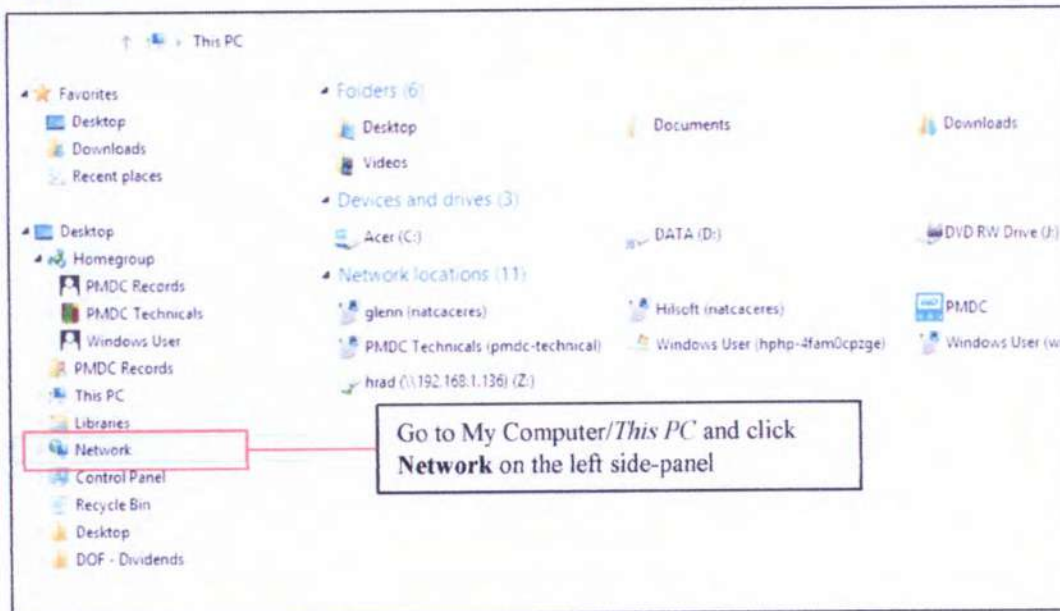
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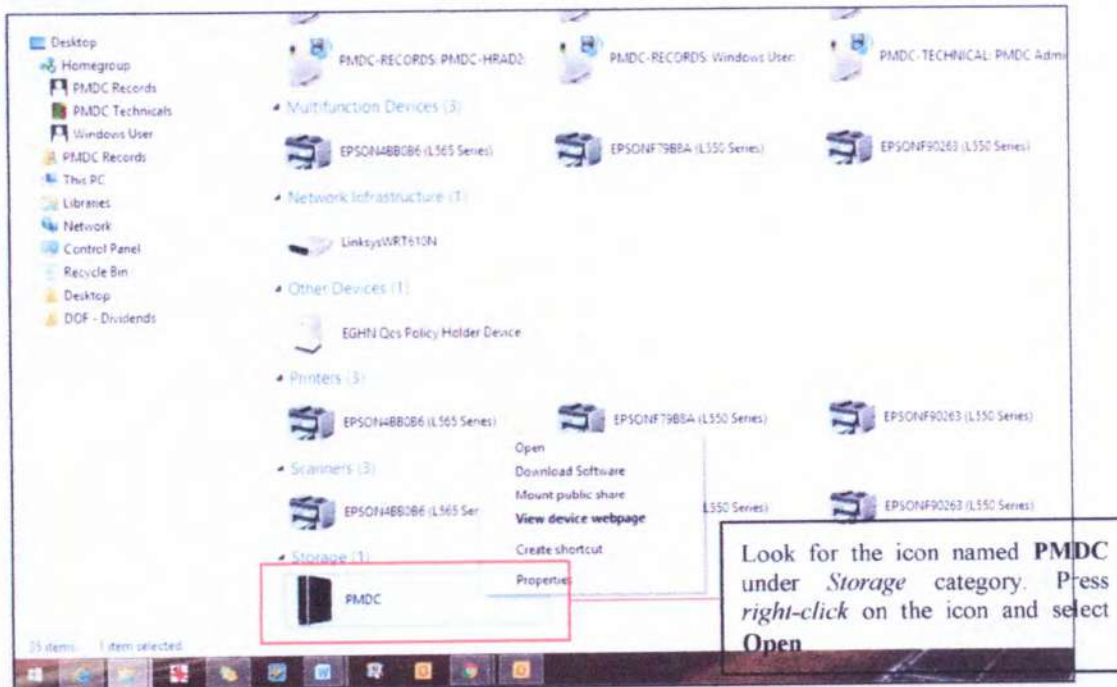


ANNEX D – Accessing electronic copies of documents

STEP 1



STEP 2



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STEP 3

Select all
Select none
Invert selection

hrad hrad_private
Procurement Public
TimeMachine TimeMachineBackup

QualityManagementSystems

Double-click on the QualityManagementSystems folder

STEP 4

Copy to, Delete, Rename, New folder, Easy access, Properties, Open, Select all, Select none, Invert selection

8.1.136 > QualityManagementSystems >


Name	Date modified	Type	Size
Forms	10/16/2015 10:52 AM	File folder	
ISO Standards	11/6/2014 6:11 PM	File folder	
PMDC Quality Manual	8/25/2015 3:34 PM	File folder	
PMDC Quality Procedures	11/2/2015 10:25 AM	File folder	
Templates	9/15/2015 10:46 AM	File folder	
__IOM_DEVLIB___.ATTRIBUTES_	4/15/2015 7:12 PM	__ATTRIBUTES___.F...	1 KB
Document Masterlist_10November2015.p...	11/9/2015 11:04 AM	PDFPlus Document	3,263 KB
Document Revision History.xlsx	3/25/2015 9:11 AM	Microsoft Excel W...	16 KB
QMS_06Nov2015.rar	11/5/2015 10:33 AM	WinRAR archive	115,399 KB

Select the folder of the document you wish to access

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1.0 PURPOSE:

This document aims to define and provide the controls needed in the use, maintenance, and disposal of records in order to: 1) maintain their integrity as evidences of transaction; 2) ensure their appropriate filing and storage to facilitate timely retrieval whenever needed, and; 3) ensure business continuity in ease of a disaster or calamity.

2.0 POLICY:

To ensure conformity to the requirements and effective operation of the PMDC's quality management system, it is the policy of the PMDC that pertinent records are established, organized, maintained, and properly disposed in accordance with the guidelines provided in the control of records. Further, this policy governs the management of PMDC's records, both physical and electronic. It describes how incoming and outgoing records are processed and details how records should be organized and stored, accessed, and captured into the Central Records System.

This procedure shall also refer to and implemented in accordance with PMDC's Records Management Policy and other regulatory bodies such as National Archives of the Philippines which may prescribe records filing, storage, and disposition, among others.

3.0 DEFINITION OF TERMS:

- 3.1 Active Record - records within the active retention period
- 3.2 Area Record Keepers (ARKs) - designated individuals responsible for capturing and managing the records received and produced by their respective departments
- 3.3 Central Records System - a system in which the files of several organization units are consolidated in one location
- 3.4 Confidential Records - unauthorized disclosure would be prejudicial to the interest or prestige of the PMDC/government and may cause administrative embarrassment or unwanted injury to honor & dignity of an individual
- 3.5 Disaster Preparedness - is a researched-based set of actions that are taken as precautionary measures in the face of potential disasters in order to avoid and mitigate negative outcomes
- 3.6 Inactive Records - records within the inactive retention period
- 3.7 Incoming Records - records which originated from entities external

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President, Corporate Services

Date: AUG 23 2023

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- 3.8 Outgoing Records - records created by the different departments and captured in the Central Records System before transmission to external entities
- 3.9 Record - evidence of performing a process or activity or an output of a process; information that is created, received, and maintained as evidence by PMDC in the transaction of its day-to-day business or pursuit of legal obligations.
- 3.10. Records Management Improvement Committee (RMIC) - advisory body on the development/improvement of PMDC's records management and corresponding activities
- 3.11 Records Custodian - identified individuals from each unit held responsible for the maintenance, filing and safekeeping of records, as indicated in the Records Matrix
- 3.12 Records Matrix - list of records with their corresponding title, custodian, originator/author, and retention period
- 3.13 Retention Period - the period for which records are kept by an organization prior to disposition

4.0 SCOPE:

- 4.1 This procedure applies to all records which are indicated in the Records Matrix.
- 4.2 This procedure also covers the handling of externally generated data in line with the execution of operating instructions as well as those data provided by client/customers.
- 4.3 This procedure shall also cover all PMDC employees and all existing and future PMDC records.

5.0 RESPONSIBILITIES:

- 5.1 Records Management Improvement Committee – a) provide oversight on the management of PMDC's records in all phases of its life cycle; b) establish a sound Records Management Program; c) review and implement existing policies and guidelines on records disposition; d) formulate policies for records disaster recovery plan
- 5.2 Designated Officers – ensure that the data and information provided are sufficient, as required in the relevant document or form.

5.3 Records Officer – a) oversee the general records management of the company by ensuring that the procedure is communicated throughout the company and strictly followed by all employees; b) ensures that the procedure is continually reviewed and kept updated in

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accordance with new and applicable practices to records management. He/she shall also be c) custodian of Critical Records such as blueprints, contracts, Terms of Reference of Projects, Joint Operating Agreements, Memorandum of Agreements, and the like. d) serves as PMDC's Document Controller/Custodian.

5.4 Records Custodian – refers to identified individuals from each unit held responsible for the maintenance, filing and safekeeping of records, as indicated in the Records Matrix. Each Project Manager shall also serve as Records Custodian for the particular project/s he/she handles.

5.5 Area Record Keepers (ARK) – All departments shall have a corresponding Area Record Keeper (ARK) designated by his/her Department Manager. For the Office of the Vice President and Office of the President, shall be their respective secretaries. ARKs shall be responsible for capturing or recording the records entering and produced by their respective departments.

6.0 PROCEDURE DETAILS:

Ref. No.	Key Activities	Responsibilities
6.1	General Procedure	RMIC/Records Officer
6.2	Collection and Identification	Records Custodian
6.3	Review and/or approval of records, as appropriate	Concerned designated officer
6.4	Records Management Flow	Records Officer and/or records custodian
6.5	Organization, Storage and Protection	Records Custodian / ARK
6.6	Retrieval and Maintenance	Records Custodian / ARK
6.7	Retention and disposition of records	Records Custodian / ARK

6.1 General Procedure

6.1.1 Records are legible, identifiable and easily retrievable.

6.1.2 Records can be in the form of any type of media such as physical, scanned, direct electronic entry, and indexing/directory.

6.1.3 Information on records can be labelled as classified and unclassified. Classified information can be categorized as top secret, secret, confidential, and restricted.

6.1.4 If necessary, records are reviewed and for approval prior to use.

6.2 Collection and Identification

6.2.1 Records are identifiable through any combination of the following information, as appropriate:


- a. Title of Record
- b. Date(s)

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- c. Name of Signatory (ies)
- d. Name of Recipient/Sender
- e. Document Code
- f. Revision Status
- g. Reference Document
- h. Control Number
- i. Subject Matter

6.2.2 Records are collected upon availability from their source, for appropriate filing by the Records Custodian or concerned process owner. Only marking pens are used on records. Pencil markings are avoided and may be considered unofficial.

6.2.3 In case of erasure or correction, the corrected data bears the initial of the person who corrected it.

For example: 6312 7564 ADK

6.3 Review and Approval of Records

6.3.1 Some records require the signature of authorized individuals. The reviewer ensures that said records are legible and contain sufficient information as basis for its endorsement or approval. Hence, some records without the signature of approving authorities may be treated "unofficial".

6.4 Records Management Flow

All incoming and outgoing records of PMDC shall be processed by the Records Unit prior to submission to the concerned department for incoming records, and before dispatch to external entities for outgoing records.

6.4.1 Incoming Records

Incoming records are records which originated from an entity outside of PMDC. These records include correspondences, memoranda, billings, report, and other printed or non-print materials such as Incoming Emails.

Concurrently, records from the Company's satellite offices (e.g. Davao Office, Depot Office) shall not be considered as incoming records unless they are incoming communications, memos, reports and the like, which are addressed to or should be handled by the Main Office. Instead, records shall be logged in the **PMDC Main and Davao Office Correspondence in Google Sheets**.


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Emails received by email addresses other than info@pmdc.com.ph especially those "official" in nature such as, but not limited to, emails with attached letters or memos, proposal letters, and directives from regulatory bodies, shall be printed and submitted to the Records Unit for processing. For other emails, it is the recipient's discretion how he/she should handle the email. However, he/she shall be responsible for unlogged official records that he/she received.

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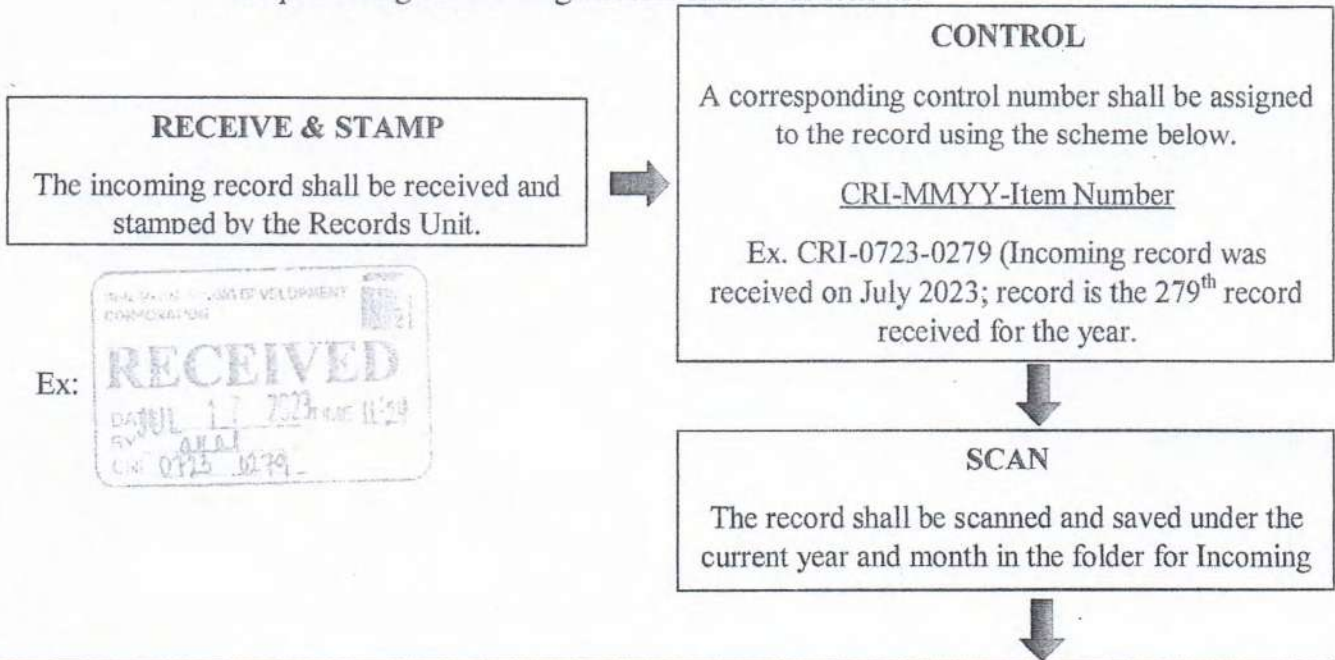
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The processing of Incoming Records shall be as follows:



RECORD

The following details of the incoming record shall be logged in the Central Record Logbook – Incoming.

Essential Information in the Logbook


Control Number	Date Received	Mode of Received	Sender	To	Date	Subject Matter	Remarks
CRI-0723-0279	07/17/2023	PD	DENR - MGB	PMD	7/4/2023	Request for copies	PMD _____

Correspondingly, these details shall also be logged in the **PMDC Central Records** file in *Google Sheets*.

ROUTE

The record shall be given to the ARK of the concerned department/office and have him/her indicate that he/she has received the document by signing on the Remarks portion of the record on the logbook.

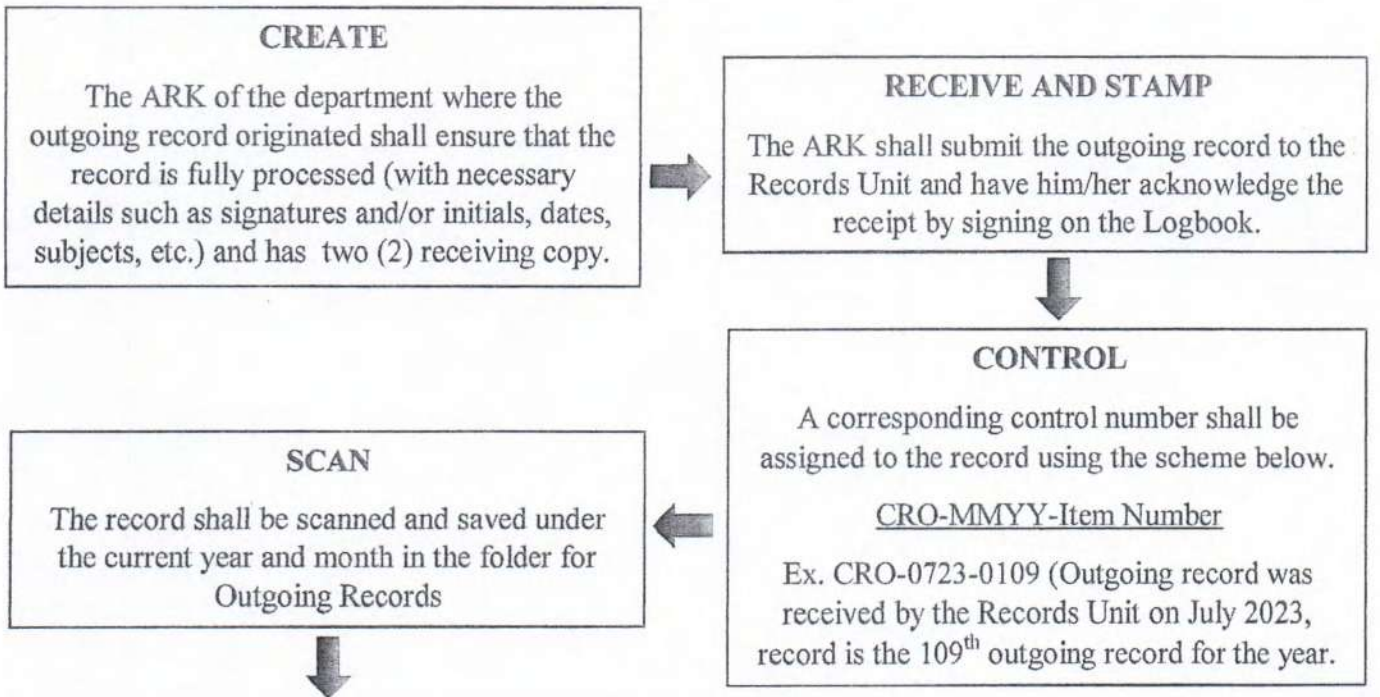
Original copy of record should be provided to the respective department unless stated that the copy will be kept by the Records Unit.

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6.4.2 Outgoing Records

Outgoing Records are records created by PMDC to be distributed to external entities. These records include correspondences, memoranda, and reports, among others.

The processing of Outgoing Records shall be as follows:



RECORD

The following details of the outgoing record shall be logged in the Central Record Logbook – Outgoing.

Essential Information in the Logbook

Control Number	Date Received	Source	Addressee /Recipient	Date as Indicated	Subject Matter	Remarks
CRO-0723-0109	07/14/2023	PMD	Atty. Danilo U. Uykieng Director MGB	7/12/2023	Accomplishment Report	PD PMD(RC)

Correspondingly, these details shall also be logged in the **PMDC Central Records** file in *Google Sheets*.

DISPATCH

The outgoing record shall then be given to the Administrative Assistant for dispatch.


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6.4.3 Inter-department Distribution of Records

For records that need to be transferred to different department/offices, the Area Record Keeper of the originating department, or Records Unit in the case of Incoming Records, needs to ensure that the records to be transferred are captured/logged in their Department's Records Logbook. Also, upon transfer, he/she must ensure that the Area Record Keeper or any employee of the receiving department who is available to receive the record signs on the logbook, indicating the date of receipt, to signify that the record has been received by the department.

Furthermore, aside from the records transferred to other department/offices, Area Record Keepers must also log the details of ALL the records they receive to ensure that their records are accounted for and can be easily tracked and retrieved. They must ensure that the place or the person in possession of the record is included in the log.

6.4.4 Confidential Records

Confidential Records are records which may only be accessed by its intended recipients. These records need not be scanned but shall be processed as an Incoming/Outgoing Record and shall have a subject matter of *CONFIDENTIAL*. The intended recipient or originating department shall be responsible for the safekeeping of their respective confidential records.

Emails which are confidential in nature shall not be logged in the PMDC Central Records file. However, they may not be deleted from the email address of the recipient for audit and safekeeping purposes.

6.5 Organization, Storage, and Protection

6.5.1 All employees are responsible for the filing, organization and safekeeping of the records under their custodianship. All records shall be organized and filed according to PMDC's filing system in order to facilitate the easy retrieval and preservation of records.

Records shall be filed according to the Functional Subject-Alphabetic Classification System (FSACS), wherein the function of the agency is the main classification, followed by the list of all subject topics pertaining to each function as sub classification and sub-sub classification if applicable. Records shall also be filed chronologically as it is created and monitored on a daily basis. The filing of electronic records should also follow the filing scheme of physical records.

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Example:	
Records	Main classification
Central Record Scans	Sub classification
Incoming	Sub-sub classification
2023	Sub-sub-sub classification
January/Jan	Chronological
February/Feb	
March/Mar	
Outgoing	Sub-sub classification
2023	Sub-sub-sub classification
January/Jan	Chronological
February/Feb	
March/Mar	

Example:	
Records	Main classification
Office Order and Memorandum	Sub classification
Office Order	Sub-sub classification
2023	Sub-sub-sub classification
January/Jan	Chronological
February/Feb	
March/Mar	
Memorandum	Sub-sub classification
2023	Sub-sub-sub classification
HRAD	Chronological
OP	
Davao	


Example:	
PMD	Main classification
PMDC Projects	Sub classification
DMRA	Sub-sub classification
Dinagat Parcel 1	Sub-sub-sub classification
Accomplishment Report	Sub-sub-sub-sub classification
2023	Chronological
2022	
Correspondences/Communication	Sub-sub-sub-sub classification
2023	Chronological
Joint Operating Agreement/s	Sub-sub-sub-sub classification
Dinagat Parcel 2A	Sub-sub-sub classification

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6.5.2 All records must be stored in labelled storage areas such as, but not limited to, folders, arch files, data folders, and cabinet/drawers. Permanent physical records which, according to the File Plan, have reached its retention period shall be transferred to PMDC's warehouse.

6.5.3 Records in digital format, whether born digital or scanned, shall be considered permanent. It shall be regularly backed-up by the Records Unit through diverse media (i.e. Compact Discs, External hard drive) and transferred to the PMDC's Safety Deposit Box for safekeeping.

All employees shall also submit all their electronic vital records bi-annually to the Records Unit for backing up and transfer to the Safety Deposit Box.

6.6 Retrieval and Maintenance

6.6.1 Records, borrowed by other departments or work units are traced using logbooks or log sheets.

6.6.2 A Record Matrix is maintained indicating information, such as: Record Title, Custodian, Originator/Author, Period Covered, Location, Record Format, and Retention Period for easier tracking and retrieving of records.

6.6.3 To safeguard the release of electronic and hard copy of documents, a representative from each department shall be assigned to request for documents from the Records Unit and will be using the File Request Form (See Annex A).

6.6.4 In order to lessen and reduce paper clutter, records shall be allowed to have one (1) extra copy for quick reference.

6.7 Retention and Disposition of Records

6.7.1 Maintenance and disposal of records are done in accordance with the Record Matrix (See Annex B).

6.7.2 The Record Matrix prescribes the retention period of the records which is derived from the submitted File Plan of each department.

6.7.3 Records which have exceeded their retention periods shall be subject to disposition and shall be processed by their Records Custodian/s.

6.7.4 Each department shall annually submit their updated File Plans to the Records Unit for collation and submission to the National Archives of the Philippines. The File Plan shall describe the retention period of records and shall dictate which of them should be disposed or archived.

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Vice President, Corporate Services

Date: _____

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6.7.5 Records which have exceeded their activity and inactivity periods and are subject for disposal shall be logged and written in memorandum format by the Records Custodian of the originating department to be submitted to the Records Unit.

6.7.6 Permanent records which have exceeded their activity and inactivity periods may be stored in the PMDC's warehouse upon prescription of the Records Custodian and approval of his/her department's manager and Records Management Improvement Committee.

6.7.7 For easier safekeeping, permanent records may be converted to electronic files, except for records that require original copy bearing authentic signatures. Upon advised by the Records Custodian, conversion to electronic files shall be processed by the Records Unit.

7.0 DISASTER PREPAREDNESS:

7.1 Preparation

7.1.1 Ensure that PMDC's records systems are effective, efficient, accountable and transparent by establishing the Quality Procedure on Records.

7.1.2 Protect paper records by always storing them in boxes or cabinets in cool, dry, and secure locations.

7.1.3 Protect electronic records by establishing and following appropriate quarterly backup and storage procedures through Safety Deposit Box.

7.1.4 Inspect records storage areas regularly to ensure they are secure, safe and free from any sign of deterioration, infestation, or damage.

7.1.5 Establish clear procedures for protecting vital records, so that all records are well protected and accessible as needed in the event of an emergency.

7.1.6 All personnel should be aware of and trained in emergency response procedures.

7.1.7 Develop and implement a formal disaster recovery plan, including measures for prevention, recovery, and post-incident reviews. Review the plan regularly and update it to reflect any major office changes.

7.2 Recovery

7.2.1 Actions to save or salvage records should begin as soon as possible after a building official, fire marshal, building security, or safety officer determines the building is stable and they have given their approval to enter the building.


7.2.2 Bring the disaster response team and confirm and prioritize recovery operations according to the disaster recovery plan.

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7.2.3 As appropriate, arrange to salvage any non-vital records or clean up records systems or storage areas.

7.2.4 Once the disaster is over and the office is back to normal, review the plan and make changes for improvement.

8.0 Records Matrix

	Record Type	Custodian	Origin/Author	Record Format	Retention Period
1	Certificate of Analysis	Project Manager	MGB CO, Private Laboratory	Printed & Electronic	5 years
2	Declaration of Mining Project Feasibility Study	Project Manager	Partner/Operator	Printed	5 years
3	Environmental Compliance Certificate (ECC)	Project Manager	MGB	Printed & Electronic	Permanent
4	Environmental Impact Statement (EIS)	Project Manager	Partner/Operator	Printed & Electronic	5 years
5	Exploration Work Program (ExWP)	Project Manager	Partner/Operator	Printed & Electronic	5 years
6	Final Exploration Report	Project Manager	Partner/Operator	Printed & Electronic	5 years
7	Mineral Ore Export Permit (MOEP)	Project Manager	MGB	Printed & Electronic	5 years
8	Ore Transport Permit (OTP)	Project Manager	MGB	Printed & Electronic	5 years
9	Order of Payment	Project Manager	MGB	Printed & Electronic	Permanent
10	Correspondences	Project Manager	Partner/Operator	Printed & Electronic	5 years
11	Correspondences (PMDC)	Project Manager	PMDC	Printed & Electronic	5 years
12	Official Receipt	FAD	LGU, Partner/Operator	Printed	Permanent

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	Record Type	Custodian	Origin/Author	Record Format	Retention Period
13	Official Receipt (PMDC)	FAD	PMDC - FAD	Printed	Permanent
14	Environmental Work Program (EWP)	Project Manager	Partner/Operator	Printed & Electronic	5 years
15	Community Development Program (CDP)	Project Manager	Partner/Operator	Printed & Electronic	5 years
16	Certification on Conduct of IEC	Project Manager	LGU	Printed & Electronic	Permanent
17	Attendance on IEC Activity	Project Manager	IEC Participants	Printed	Permanent
18	Memoranda	Project Manager	PMDC	Printed & Electronic	Permanent
19	Post-Visit Reports	Project Manager	PMDC	Printed & Electronic	5 years
20	Project Monitoring Report	Project Manager	Field Coordinator	Printed & Electronic	Permanent
21	Minutes of Meetings	Project Manager	PMDC, Partner/Operator	Printed & Electronic	5 years
22	Requirements for filing of DMPF	Project Manager	Partner/Operator	Printed & Electronic	5 years
23	Annual Reports	Project Manager	Partner/Operator	Printed & Electronic	5 years
24	Quarterly Reports	Project Manager	Partner/Operator	Printed & Electronic	5 years
25	Annual Presentation	Project Manager	Partner/Operator	Printed	5 years
26	Action Item/s	Project Manager	Partner/Operator	Printed	5 years
27	Reports on Shipment Operations	Project Manager	Partner/Operator	Printed	5 years
28	Reference Price Index	Project Manager	PMDC - PMPC	Printed	5 years
29	Special Documents	Project Manager	Partner/Operator	Printed & Electronic	5 years

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	Record Type	Custodian	Origin/Author	Record Format	Retention Period
30	Production Report	Project Manager	Partner/Operator	Printed	5 years
31	Sales Invoice/Sales Agreement	Project Manager	Partner/Operator	Printed	5 years
32	Draft Survey Report	Project Manager	Partner/Operator	Printed & Electronic	5 years
33	Chiefmate's Report	Project Manager	Partner/Operator	Printed	5 years
34	BSP Assay Report	Project Manager	Partner/Operator	Printed	5 years
35	Verification of Shipment	Project Manager	MGB	Printed	5 years
36	Billing Statement	FAD	PMDC - FAD	Printed	10 years
37	Post-Collection Report	FAD	PMDC - FAD	Printed & Electronic	10 years
38	Document Feedback Form	DCC	PMDC-DCC	Printed & Electronic	Permanent
39	External Document Distribution Master List	DCC	PMDC-DCC	Printed & Electronic	Permanent
40	Document Distribution List	DCC	PMDC-DCC	Printed & Electronic	Permanent
41	Document Master List	DCC	PMDC-DCC	Printed & Electronic	Permanent
42	Revision History Page	DCC	PMDC-DCC	Printed & Electronic	Permanent
43	Request for Action Form	IQA Team Leader	PMDC	Printed	Permanent
44	Audit Checklist	IQA Team Leader	PMDC IQA	Printed	Permanent
45	Audit Programme	IQA Team Leader	PMDC IQA	Printed	Permanent
46	Audit Plan	IQA Team Leader	PMDC IQA	Printed	Permanent


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	Record Type	Custodian	Origin/Author	Record Format	Retention Period
47	Customer Feedback Form	DCC	Partner/Operator	Printed & Electronic	5 years
48	Template for Informing Customer of the QMS and Gathering Customer Feedback	DCC	PMDC – PMD	Printed & Electronic	5 years
49	Interview Sheet (Internal Hiring)	HR Manager	PMDC – HRAD	Printed	Permanent
50	Interview Sheet (for VP and President)	HR Manager	PMDC – HRAD	Printed	Permanent
51	Notice of Personnel Action	HR Manager	PMDC – HRAD	Printed	Permanent
52	Interview Letter	HR Manager	PMDC – HRAD	Printed	Permanent
53	Interview Sheet for External Hiring (for HR and Hiring Manager)	HR Manager	PMDC – HRAD	Printed	Permanent
54	Background Reference Form	HR Manager	PMDC – HRAD	Printed	Permanent
55	Pre-Employment Checklist	HR Manager	PMDC – HRAD	Printed	Permanent
56	Job Offer Sheet (Form 8)	HR Manager	PMDC – HRAD	Printed	Permanent
57	Annex 1: Regrets Letter (Non Qualified after the Interview)	HR Manager	PMDC – HRAD	Printed	1 year
58	Interview Letter (for External Hiring)	HR Manager	PMDC – HRAD	Printed	Permanent
59	Job Offer Sheet (Form 8-A)	HR Manager	PMDC – HRAD	Printed	Permanent
60	Introduction of PMDC/Project to LGU	Project Manager	PMDC – PMD	Printed & Electronic	5 years
61	JOA Registration with MGB	Project Manager	PMDC – PMD	Printed & Electronic	5 years
62	Endorsement to MGB for the Issuance of Order of Payment (Occupation Fee)	Project Manager	PMDC – PMD	Printed & Electronic	5 years

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	Record Type	Custodian	Origin/Author	Record Format	Retention Period
63	Reminder to submit proof of payment of occupation fee	Project Manager	PMDC – PMD	Printed & Electronic	5 years
64	Reminder to submit mandatory reports (ExWP, EnWP, CDP)	Project Manager	PMDC – PMD	Printed & Electronic	5 years
65	Evaluation Report	Project Manager	PMDC – PMD	Printed & Electronic	Permanent
66	Findings/Recommendation on Partner/Operators' submitted reports	Project Manager	PMDC – PMD	Printed & Electronic	5 years
67	Advisory on submission of reports to MGB	Project Manager	PMDC – PMD	Printed & Electronic	5 years
68	Reminder to submit revised mandatory reports (ExWP, EnWP, CDP)	Project Manager	PMDC – PMD	Printed & Electronic	5 years
69	Endorsement to MGB RO	Project Manager	PMDC – PMD	Printed & Electronic	5 years
70	Coordination with Partner/Operator re: Conduct of IEC/PMDC Introduction to the Community	Project Manager	PMDC – PMD	Printed & Electronic	5 years
71	Reminder to the Partner/Operator to submit 1st, 2nd, and 3rd quarter reports	Project Manager	PMDC – PMD	Printed & Electronic	5 years
72	Reminder to the Partner/Operator to submit 4th quarter and annual reports	Project Manager	PMDC – PMD	Printed & Electronic	5 years
73	Communicate to the Partner/Operator the action item/s based on the Minutes of the Meeting	Project Manager	PMDC – PMD	Printed & Electronic	5 years

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	Record Type	Custodian	Origin/Author	Record Format	Retention Period
87	Abstract of Canvass Form	Procurement Officer/Specialist	PMDC – HRAD	Printed	Permanent
88	Purchase Order Form (+50K)	Procurement Officer/Specialist	PMDC – HRAD	Printed	Permanent
89	Purchase Order Form (-50K)	Procurement Officer/Specialist	PMDC – HRAD	Printed	Permanent
90	Purchase Order Form (-5000)	Procurement Officer/Specialist	PMDC – HRAD	Printed	Permanent
91	Receiving Report Form	Procurement Officer/Specialist	PMDC – HRAD	Printed	Permanent
92	Request for Quotation Form	Procurement Officer/Specialist	PMDC – HRAD	Printed	Permanent
93	Evaluation and Acceptance Summary Form	Procurement Officer/Specialist	PMDC – HRAD	Printed	Permanent
94	Specifications	BAC Secretariat	PMDC	Printed	Permanent
95	BAC Resolution	BAC Secretariat	PMDC-BAC	Printed	Permanent
96	Terms of Reference (Bidding)	BAC Secretariat	PMDC-BAC	Printed	Permanent
97	BAC Meeting Minutes	BAC Secretariat	PMDC-BAC	Printed	Permanent
98	Suppliers' Contracts	BAC Secretariat	PMDC-BAC, Suppliers	Printed & Electronic	Permanent
99	Notice to Proceed	BAC Secretariat	PMDC-BAC	Printed & Electronic	Permanent
100	Performance Bond	BAC Secretariat	Suppliers	Printed	Permanent
101	Bid Documents	BAC Secretariat	PMDC-BAC		Permanent
102	Minutes of Pre-bid conference	BAC Secretariat	PMDC-BAC	Printed	Permanent
103	Bid Bulletin	BAC Secretariat	PMDC-BAC	Printed	Permanent
104	Minutes of Bid Submission and Bid Opening	BAC Secretariat	PMDC-BAC	Printed	Permanent
105	Abstract of Bids	BAC Secretariat	PMDC-BAC	Printed	Permanent

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106	Memo issued by BAC TWG	BAC Secretariat	PMDC-BAC	Printed	Permanent
107	Notice of Award	BAC Secretariat	PMDC-BAC	Printed & Electronic	Permanent

9.0 REFERENCES

9.1 PMDC Records Management Policy

9.2 NAP General Circular No. 1 & 2 of January 20, 2009

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Quality Procedure

Control of Nonconformity and Corrective and Preventive Action

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1.0 PURPOSE

This document defines the policies and guidelines to identify and control nonconforming services within the QMS Scope, and to initiate and record corrective actions taken by the PMDC to eliminate causes of nonconformities and support the intention of continual improvement.

2.0 POLICY

The PMDC shall provide services to its stakeholders in accordance with their specified requirements. As such, it is the policy of the company to ensure that all services that do not conform to requirements are identified, evaluated, and resolved in accordance with the guidelines as provided in this document. It is likewise the policy of the PMDC to implement corrective actions to continually improve the effectiveness of the established quality management system.

3.0 DEFINITION OF TERMS:

- 3.1 NC - Nonconformity. Deviation from a specified requirement that needs immediate action.
- 3.2 OFI - Opportunity for Improvement; an aspect in the Quality Management System that may cause minor errors or possible problems in the PMDC operations and therefore may be further improved to enhance or maintain the effectiveness of the system. This is usually discovered from audit observations.
- 3.3 Disposition - Refers to actions to be taken to nonconformities, such as correction, concession, mitigation of effects.
- 3.4 Correction - Immediate short-term measure to be taken to address an identified NC or OFI.
- 3.5 Corrective Action - Long-term measures to be taken to address an identified NC or OFI.
- 3.6 Preventive Action - Action to eliminate the cause of potential nonconformity or undesirable situation. Preventive action is taken to prevent occurrence. There can be more than one root cause for an NC/OFI.
- 3.7 IQA - Internal Quality Audit. A procedure to evaluate the effectiveness of the QMS.
- 3.8 RFA - Request for Action Form. This is used to initiate and record NC/OFI and monitor the status and


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actions taken relative to the NC/OFI. The form shall be used by the IQA Team during the conduct of their Audit and/or the PMDC Employee/s who will initiate any identified nonconformity or opportunities for improvement.

3.9 Initiator

- PMDC Employee who initiated the RFA.

4.0 SCOPE

This document applies to all services provided by the PMDC for its stakeholders, where nonconformities may arise within the QMS scope. This procedure also covers all corrective actions identified when nonconformity is encountered/anticipated through internal audits, customer complaints, problems encountered/anticipated within the QMS Scope and any event that could affect the QMS.

5.0 RESPONSIBILITIES

5.1 The Management Representative – responsible for ensuring the proper implementation of this procedure. The MR validates nonconformities, establishes the control methods, defines responsibilities and authorities, and reviews and approves the necessary action to address the identified nonconformity. They are also responsible for ensuring the effectiveness of actions taken.

5.2 PMDC Employee/Initiator – aside from a member of the IQA, an employee may also identify nonconformity and initiate the control and disposition measures, in coordination with assigned Supervisor or authorized officer.

5.3 Process Owner – Verifies nonconformity and determines root cause of NC/OFI.

5.4 IQA Auditors – authorized to initiate RFA through their Audit Team Leader.

5.5 IQA Team Leader – maintains a registry of issued RFA.

6.0 PROCEDURE DETAILS

Ref. No.	Key Activities	Responsibilities
6.1	Identification of nonconformity	PMDC Employee
6.2	Verification/Validation	Process Owner
6.3	Resolution of Nonconformity	Mancom/MR/Process Owner
6.4	Follow up on Action Taken	IQA Team
6.5	Evaluation of Effectiveness of Action Taken	IQA Team with concerned

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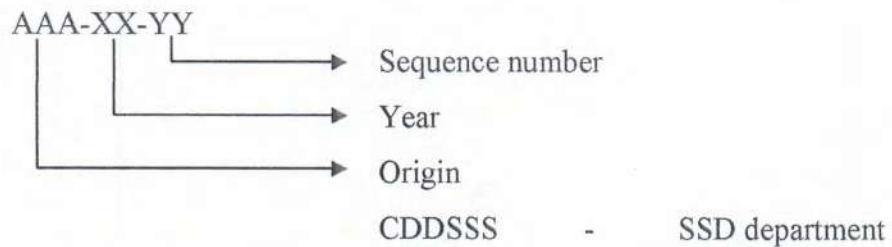
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Quality Procedure Control of Nonconformity and Corrective Action

- Benchmarking;
- Analysis of similar processes;
- Evaluation of previous outputs/activities relative to the operations;
- QMS audits; and
- Customer Feedback

6.1.1 Documenting and Reporting of Nonconformities/OFIs

Identified nonconformities should be recorded on the RFA Form. The RFA Form is assigned with serial number as follows:



6.1.2 RFA form contains information that includes, but not limited to:

- Description of potential or actual nonconformity/nonconformance/OFI
- Root-cause analysis, if applicable
- Proposed action
- Individuals responsible for initiating and implementing action
- Target completion date
- Follow-up action date
- Evaluation and assessment of action taken

6.2 Verification of Nonconformity

All documented nonconformities are referred to the Process Owner, for verification and analysis of the nonconformity using appropriate tools/techniques. The Process Owner, depending on the nature of nonconformity, may initiate a meeting with concerned individuals to facilitate the verification and identification of root cause.

6.3 Resolution of nonconformity

After problem analysis, the necessary corrective action/s is/are formulated and recorded. Whenever possible, the target date for completion of "Action to be Taken" are indicated as basis for the subsequent follow-up and verification of action taken and result.

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6.4 Follow-up on Action Taken

The IQA Team, may conduct follow-up “action to be taken” and perform some verification to ensure that appropriate action have been taken to address the identified nonconformity.

6.5 Evaluation of Effectiveness of Action Taken

The IQA Team shall initiate the review of the effectiveness of the Action Taken together with the concerned Department Head or process owner.

Dispositions and effectiveness of actions taken are reviewed and discussed with the process owner during meetings with the IQA Team Leader/assigned IQA Auditor /Initiator wherein information relevant to RFAs is considered.

Status of actions taken is included in the agenda and is discussed during management reviews and/or management committee meetings.

7 REFERENCES

- 7.1 Quality Procedures
- 7.2 Request for Action Form

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Quality Procedure

Internal Quality Audit

1.0 PURPOSE:

- 1.1 To establish, document, and maintain a procedure for PMDC's Internal Quality Audit (IQA).
- 1.2 To define the system for the planning, preparation, execution, follow-up, and reporting of IQA activities in determining whether:
 - 1.2.1 The QMS conforms to the planned arrangements. To the requirements of ISO 9001:2015 and to the established quality management system, and
 - 1.2.2 The QMS is effectively implemented and maintained.

2.0 SCOPE

This procedure applies to the PMDC's quality management system whose processes directly affect the quality services delivered to the customer.

3.0 DEFINITION OF TERMS:

3.1 Audit	- Systematic, independent, and documented process for obtaining evidence and evaluating it objectively, to determine the extent to which criteria are fulfilled
3.2 Audit Criteria	- Set of policies, procedures, or requirements, used as reference against which audit evidence is compared
3.3 Audit Evidence	- Records, statements of facts or other information, which are verifiable and relevant to the audit criteria. It can be qualitative or quantitative
3.4 Audit Findings	- Results of the evaluation of the collected audit evidence against audit criteria
3.5 NC	- Nonconformity, non-fulfillment of requirement
3.6 Disposition	- Actions to be taken to address nonconformities
3.7 Correction	- Immediate short-term measure to be taken to address an identified NC or OFI
3.8 Corrective Action	- Long-term measures to be taken to prevent recurrence of an identified NC or OFI
3.9 OFI	- Opportunity for Improvement, an aspect in the Quality Management System that may cause minor errors or possible problems in the PMDC operations and therefore may be further improved to enhance or maintain the effectiveness of the system. This is usually discovered from audit observations
3.10 MR	- Management Representative (Vice President for Operations and/or Vice President for Corporate Services)
3.11 RFA	- Request for Action Form


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4.0 PROCEDURE DETAILS

4.1 Responsibilities

- 4.1.1 The MR is responsible for ensuring that a complete audit on the quality management system takes place at least once a year.
- 4.1.2 The IQA Team Leader is responsible for ensuring the proper implementation of this procedure
- 4.1.3 The MR/Process Owners are responsible for ensuring that appropriate actions, with regard to audit findings are taken without undue delay to eliminate their causes.
- 4.1.4 The auditor(s) who carried out the audit, which resulted in raising audit findings, is responsible for conducting follow-up activities to verify the completeness and the effectiveness of the actions taken.
- 4.1.5 Auditor(s) are responsible for preparing the necessary tools and Audit Checklist to be used for the Audit.
- 4.1.6 The IQA Team should meet regularly, preferably quarterly, to discuss relevant matters pertaining to internal audit.

4.2 Planning the Audit

- 4.2.1 An Audit Programme/Plan is prepared by the IQA Team Leader. The audit should be conducted at least once a year.
- 4.2.2 The Audit Programme/Plan contains
 - Purpose of the activity
 - Audit scope which shall include but not limited to applicable clauses in the ISO 9001:2015 Standards, quality objectives, risk and opportunities, control of documented information, etc.
 - Departments to be audited including units and the IQA Team with their designated representatives
 - Assigned auditors, and
 - Date and time of the audit


The whole quality management system will be audited at least once a year.

- 4.2.3 In addition to the planned audits, unplanned internal audits may be initiated by the MR, if deemed necessary. Decisions for initiating unplanned internal audits should be based on:

- Unusual; increase of quality related problems
- Introduction of new services
- Changes on the quality system, personnel and processes, and
- Customer's request


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- 4.2.4 The Audit Programme/Plan is reviewed and approved by the MR/Vice President for Corporate Services or Vice President for Operations prior to its implementation.
- 4.2.5 Prior to conducting an audit, proper arrangements should be made with the corresponding issuance of notification to be forwarded to concerned auditee/s or process owners at least two weeks before the conduct of internal audit.
- 4.2.6 Notification of an audit shall be in the form of the copy of the Audit Programme/Plan prepared by the IQA Team Leader.
- 4.2.7 Auditors who are tasked to conduct the audit shall be selected from the pool of qualified personnel listed on the Special Order duly signed by the President. Auditors registered on the list are trained and qualified in accordance with appropriate education, training, skill, and experience, as suggested in ISO 9001:2015.

4.3 Preparation for the Audit

- 4.3.1 Upon notifying auditors and auditees, necessary documentation (e.g. Quality Manual, PAWIM, QMS and project management records) are reviewed by the auditors.
- 4.3.2 Taking into account the audit scope, objectives, and the information gained from the review of various documents and records, Audit Checklists are developed.
- 4.3.3 The checklist is used flexibly. It is not used as a questionnaire which, when completed, signals the end of the interview. During the audit, the auditor may add to the checklist, depart from it, and return later, or may decide not to cover some items.

4.4 Conducting the Audit


- 4.4.1 An opening meeting is conducted prior to actual audit to reconfirm audit plan, basis for the audit, and audit participants. The meeting is usually an informal one with no record being kept except those necessary for the smooth conduct of the audit.
- 4.4.2 An Audit proper must have the following activities:
- Establishment of facts by interviewing personnel, reviewing documents, observing processes and verifying records.
 - Recording of facts to determine the objective evidence of nonconformity
 - Classifying audit findings as to NC or OFI

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4.4.3 Closing meeting is conducted to present audit findings to the auditees of the audited area.

4.5 Reporting of Audit Findings

- 4.5.1 Audit findings are documented. In case of NCs and OFIs, the assigned auditor shall accomplish the RFA form.
- 4.5.2 Audit follow-up is conducted on or a maximum of one week after the target completion date, to verify whether the appropriate action is effectively implemented
- 4.5.3 In case of a rescheduled follow-up, the auditor ensures that the new follow-up date is properly recorded.
- 4.5.4 An Audit Summary Report is prepared by the IQA Team Leader and submitted to the VP for Corporate Services or VP for Operations for approval.
- 4.5.5 To provide evidence of a systematic audit and for useful references, the IQA Team Leader maintains all relevant records of concluded internal audits.
- 4.5.6 Results of internal audits are discussed and presented during management review meetings.

4.6 Verification of Actions Taken

- 4.6.1 The IQA Team Leader shall maintain a registry for all actions submitted.
- 4.6.2 Corrective actions are implemented without undue delay. Guidelines are given on Control of Nonconformity and Corrective Action Procedure.
- 4.6.3 Actions to address OFIs are recommended but not required.

4.7 Audit Analysis


- 4.7.1 Audit Analyses shall be prepared annually by the IQA Team to give the Management an overview of the status and performance of PMDC's Quality Management System.
- 4.7.2 An Audit Analysis shall be prepared and shall cover the audit results of the preceding year. This may be done during Management Review.
- 4.7.3 The Audit Analyses shall:
 - Enumerate the Nonconformities and Opportunities for Improvement of the QMS
 - Illustrate the strengths and weaknesses of the Quality Management System, and
Report the IQA Team's initial analysis of the status and condition of the PMDC's QMS based on the audit results.

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4.7.4 The MR/Vice Presidents shall be furnished a copy of the Audit Analysis. Meanwhile, the original copy shall be kept by the IQA Team Leader.

5.0 REFERENCES

- 5.1 PMDC-QP- - Control of Nonconformity and Corrective Action Procedure
- 5.2 PMDC-QP-05 F01 - Audit Checklist
- 5.3 PMDC-QP-04 F01 - Request for Action Form

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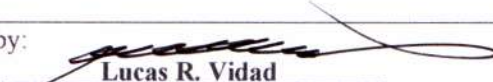
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1.0 PURPOSE

This document institutionalizes the policies and procedures for evaluation of unbidded properties, monitoring of the contracts with Partners/Operators, and management of mining projects.

2.0 POLICY

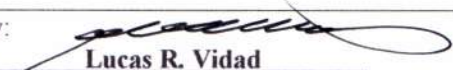
It is the policy of PMDC to ensure that Partners/Operators strictly comply with contractual obligations and adhere to laws, rules and regulations pertinent to project implementation. Likewise, to ensure the effective operation of PMDC's quality management system, the company establishes and maintains the necessary procedures/work instructions for reference and adoption by concerned employees.

3.0 SCOPE

The set of procedures applies to the specific steps or activities that the Technical Personnel and other concerned employees need to adopt in order to adhere to PMDC's Quality Policy and Objectives. This document covers the procedures from the evaluation of the unbidded mining assets to the generation of revenues.


4.0 DEFINITIONS

1. Certificate of Analysis – refers to the document issued by a qualified laboratory and duly signed by its representative which certifies the assay of mineral samples, including the method of analysis and preparation used.
2. Community – refers to the area where the mining project is located. It also refers to the group of people directly affected by the mining project, or stakeholders, which includes the local officials, the residents, indigenous people and all other key players.
3. Contract – refers to the written agreement that governs PMDC's operating relationship with its contractors called: Partners/Operators. Said contract is referred to as the Joint Operating Agreement.
4. Declaration of Mining Project Feasibility Study – refers to a document proclaiming the presence of minerals in a specific site which are recoverable by socially acceptable, environmentally safe, and economically sound methods specified in the Mine Development Plan.
5. Development – refers to the work undertaken to prepare an ore body or a mineral deposit for mining, including the construction of necessary infrastructure and related facilities.
6. Environmental Compliance Certificate (ECC) – refers to the document issued by the Department of Environment and Natural Resources (DENR) certifying that the project under consideration will not bring about an unacceptable environmental impact and that the proponent has complied with the requirements of the environmental impact statement system. (R. A. 7942)

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7. Environmental Impact Statement (EIS) – refers to the document(s) of studies on the environmental impacts of a project including the discussions on direct and indirect consequences upon human welfare and ecological and environmental integrity. The EIS may vary from project to project but shall contain, in every case, all relevant information and details about the proposed project or undertaking, including the environmental impacts of the project and the appropriate mitigating and enhancement measures. (DENR Administrative Order No. 37)
8. Exploration – refers to the searching or prospecting for mineral resources by geological, geochemical and/or geophysical surveys, remote sensing, test pitting, trenching, drilling, shaft sinking, tunneling or any other means for the purpose of determining their existence, extent, quality and quantity and the feasibility of mining them for profit. (R. A. 7942)
9. Exploration Work Program (ExWP) – refers to the comprehensive and strategic plan to delineate the ore body of a deposit through the various stages of exploration methods.
10. Final Exploration Report – refers to the report submitted by the Partner/Operator containing the summary of all the exploration activities they have conducted in the project area within the span of the exploration stage.
11. Force Majeure – refers to acts or circumstances beyond the reasonable control of the Partner/Operator or the PMDC including, but not limited to, war, rebellion, insurrection, riots, civil disturbance, blockade, sabotage, embargo, strike, lockout, any dispute with surface owners and other labor disputes, epidemic, earthquake, storm, flood or other adverse weather conditions, explosion, fire, adverse action by government or any instrumentality or subdivision thereof, act of God or any public enemy and any cause that herein describe over which the affected party has no reasonable control. (R. A. 7942)
12. Mineral Ore Export Permit (MOEP) – refers to the permit issued by the Department of Environment and Natural Resources (DENR) Secretary or his authorized representative or by the provincial governors for the transport/shipment outside the Philippines of all mineral ore(s), including tailings by permit holders and other mining rights holders, including small scale mining permits. (DENR Administrative Order No. 2008-20)
13. Ore Transport Permit (OTP) – refers to the permit issued by the Mines and Geosciences Bureau (MGB) or the Office of the Provincial Governor to a Contractor, accredited dealer, retailer, processor and other Permit Holders to transport minerals/mineral products.
14. Order of Payment – refers to a document issued by the concerned MGB Regional Office (RO) for the purpose of payment of occupation fee based on the area covered per municipality where the project is located.
15. Partner/Operator – refers to the mining company to whom PMDC awarded the Contract or Joint Operating Agreement for a particular project, after the conduct of a competitive and/or transparent bid.
16. Production – means the extraction or disposition of minerals.

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17. Project Management – refers to the activity in which the Project Management Department (PMD) conducts monitoring of the mining projects and activities within the Diwalwal Mineral Reservation Area (DMRA) and other mine sites, verification of compliances with all regulatory requirements at every stage of mining operations, and project generation which covers evaluation of unbidded properties.

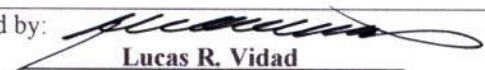

Project Management is carried out through site visits, review of reports and work programs, and communication with the Partner/Operator and the stakeholders, as needed, to ensure that problems are addressed, relevant programs/projects and services are provided to the mining communities, and revenues are generated on time. It also includes the close monitoring of PMDC's contract with the Operator in such a way that all provisions of the contract, including Operator's obligations, are complied with.

18. Project Monitoring Database – refers to the database maintained by the PMD for each of the projects. The database contains the details of the major activities, events, and issues that arose or transpired on the project the journal pertains to and the specific PMD Personnel that undertake such actions. The database is meant to aid any PMD Personnel in monitoring and determining the status of the projects.

19. Reference Price Index – refers to the basis of pricing the minerals/metals under consideration. This in turn relates to Bangko Sentral/London Metal Exchange, Asian Metal and Info Mine website data, as well as information provided by the Mines and Geosciences Bureau.

5.0 RESPONSIBILITY


1. Field Coordinator – monitors the Partner/Operator's activities and operations at the site, and submits timely feedback report to the PMD Manager.
2. Finance and Account Department (FAD) – undertakes the timely billing and collection of fees, payments and royalties from the PMDC's Partners/Operators.
3. Legal Department (LD) – provides legal support and assistance to the Project Management Department in terms of any legal issues that the Technical Personnel encounter in their assigned projects.
4. Mineral Pricing Committee (MPC) – a PMDC AdHoc Committee which is tasked to review and submit recommendations to the President and CEO regarding the determination and settlement of pricing decisions on the value of ore or mineral shipments.
5. President and CEO – provides strategic direction to the company and oversees the complete operation of the organization, including that of Project Management.
6. Vice President for Operations – provides strategic direction to the operations of Project Management, Business Development and Corporate Social Responsibility (CSR).
7. Technical Personnel – records/documents the progress of all mining projects in accordance with agreed timelines and ensures that all Partners/Operators strictly comply with

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contractual obligations and adhere to laws, rules and regulations pertinent to project implementation.

8. Project Management Department (PMD) Assistant – creates the reminders for the Partner/Operator to submit required reports, work programs, and acknowledges the same upon receipt.
9. Project Management Department (PMD) – refers to the unit that undertakes all phases of project development including evaluation of unbidded properties, and project monitoring and reporting which include site visits, provision of technical assistance and coordination with Partners/Operator and ensures compliance with all rules and regulations pertinent to project implementation.
10. PMD Manager – manages the Project Management Department and ensures that the Technical Personnel and PMD Assistant adhere to the provisions stated in this Procedure on Project Management.

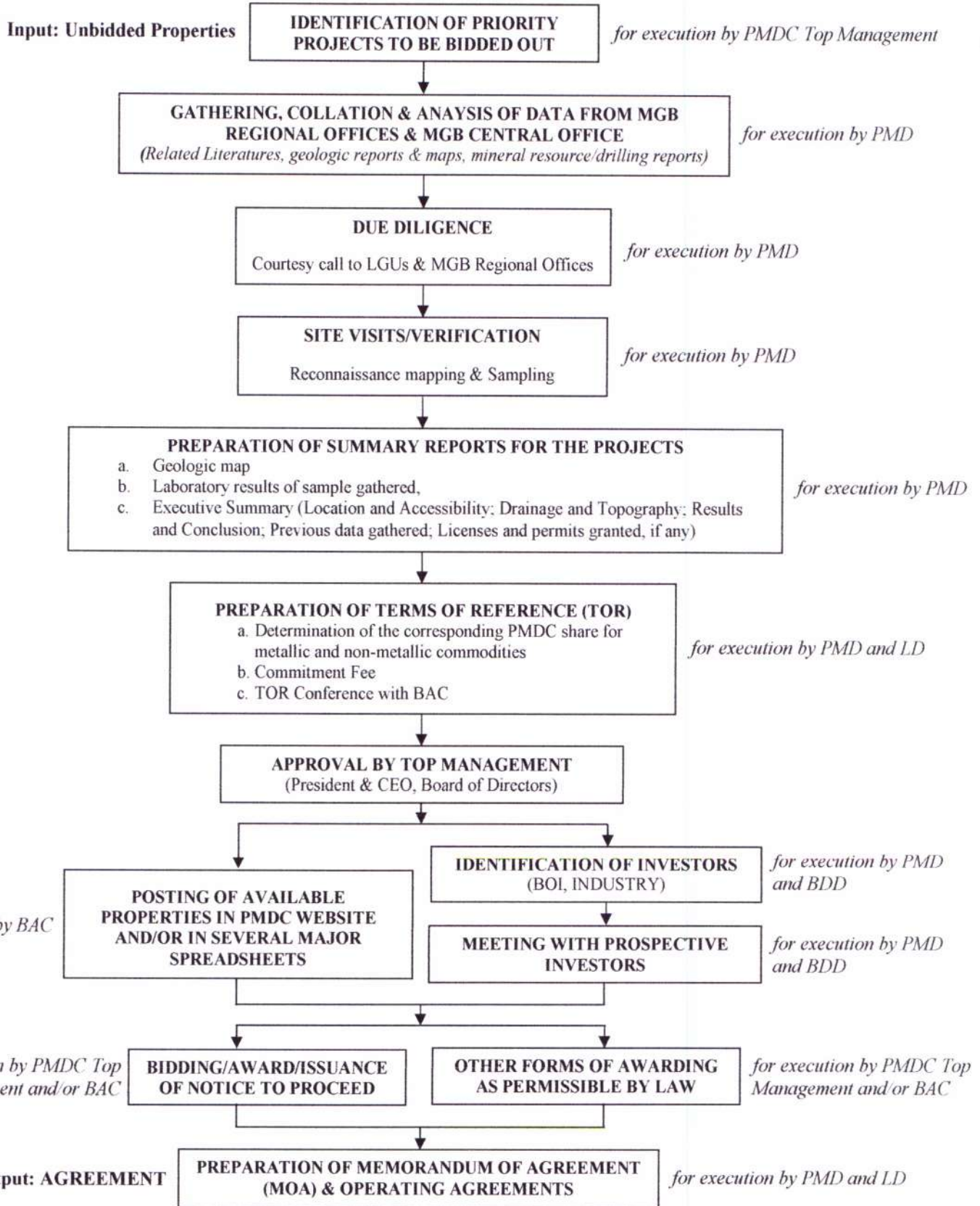
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6.0 PROCESS FLOW ON PROJECT IDENTIFICATION/AWARD



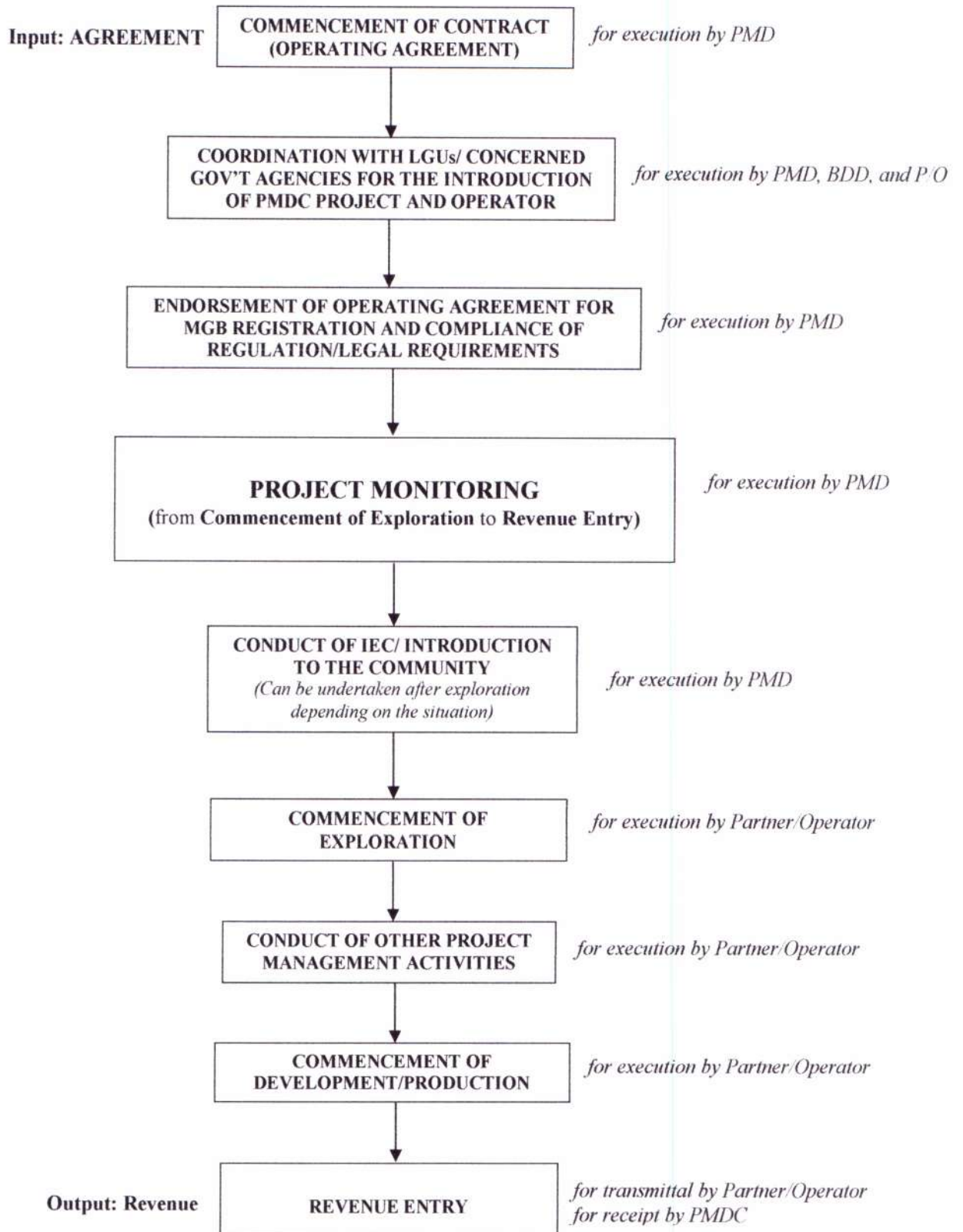
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7.0 PROCESS FLOW UPON COMMENCEMENT OF CONTRACT



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8.0 PROCEDURE AND ACTION PLANS

The following provisions present the procedures and the corresponding timeline within which the Technical Personnel and other concerned parties are expected to undertake the specific activity.

However, in the event that a Technical Personnel is not available (due to field work, sickness, or any valid reason) to handle or execute a required action or output that he/she is assigned to, the time indicated to perform the required action or output shall start on the first day the Technical Personnel reports to the office.

Moreover, the PMD Manager may assign another Technical Personnel to handle or execute an action that requires immediate attention. The time indicated to perform the required action shall therefore start on its delegation to the Technical Personnel.

8.1. Project Generation/Evaluation


8.1.1. Upon the identification of priority projects by the Top Management, the Project Management Department shall gather, collate, and analyze all the available pertinent data from the Mines and Geoscience Bureau Central Office (CO) and Regional Office (RO), and from other concerned agencies.

8.1.2. The data shall be verified by the Technical Personnel through due diligence and site visits, where reconnaissance mapping and sampling will be conducted. A project summary report shall be prepared to be submitted to the President and CEO, and a list of projects for bidding shall be submitted to the PMDC Board of Directors for their approval.

8.1.3. The PMD and Legal Department shall prepare the Terms of Reference (TOR) with the following details:

a. Time Table: The following time table is established as the most typical and accepted mining cycle from Exploration to Mine Development:

- The terms for Exploration Period is six (6) years for mining properties with metallic minerals such as copper, gold, nickel, chromite, etc, and four (4) years for mining properties with non-metallic minerals such as limestone, silica, sand and gravel, and the likes;
- Feasibility study including the filing of the Declaration of Mine Project Feasibility (DMPF) and its applicable processes shall be part of the Exploration, any extension on the applicable period shall require approval of PMDC Board;
- Mine Development and Production activities shall commence immediately upon approval of the DMPF,
- The provided timeline may be shorten depending on the availability of technical data of the mining projects and research study of the PMD. The said timeline shall also be determined by the PMD.

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 Vice President for Operations

Date:

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b. Commitment Fee:

- First payment upon signing;
- Second payment after twelve (12) months occurring from Operating Agreement execution date. The payment of the Commitment Fee will not proceed if the project become operational (Production Period) the twelfth (12th) month from signing of the Operating Agreement; and
- Third to sixth payments (if exploration period is extended) annual Commitment Fees. The payment of the Commitment Fee shall cease if the project become operational (Production Period).

c. Operating Agreement should stipulate that Partner/Operator should get ISO-14001 certification (Environmental Management System) should they decide to proceed to DMPF. The ISO-14001 is a mandatory requirement for mining projects with metallic minerals within one (1) year from the receipt of the order approving the DMPF. For mining projects of non-metallic minerals, ISO-14001 is not mandatory but recommended.

8.1.4. The projects shall be subjected to bidding rounds with interested/prospective bidders.

8.1.5. Once the bidding/negotiation is done, the project shall be awarded to the winning bidder, and a Notice of Award shall be issued.

8.1.6. The PMDC and the winning bidder shall sign the Operating Agreement.

8.2. Commencement of Contract

The provisions in the contract shall take effect immediately after the Operating Agreement signing of the Partner/Operator; and PMDC.


8.2.1. Coordination with LGUs and Concerned Government Agencies

8.2.1.1. Introduction of PMDC Project and its Partner/Operator

The assigned Technical Personnel shall send a letter using PM-Template-001 to the LGUs introducing the PMDC mining project, and the credentials of the Partner/Operator with the agreed schedule as coordinated with the Partner/Operator. The said letter shall be signed by the President and CEO.

8.2.1.2. Endorsement of Operating Agreement with the MGB Regional Office for Registration

a. The assigned Technical Personnel shall prepare and send a letter using PM-Template-002, within fifteen (15) calendar days after Operating Agreement signing, endorsing the registration of the project to the concerned MGB Regional Office (RO); said endorsement letter shall be

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signed by the President and CEO or the Vice President for Operations. The Partner/Operator shall be furnished a copy of this letter.

- b. The assigned Technical Personnel shall remind the Partner/Operator using PM-Template-003 to register the Operating Agreement to the concerned MGB RO within thirty (30) calendar days after Operating Agreement signing, and remind the P/O to submit to PMDC a copy of the registered Operating Agreement within thirty (30) calendar days after its registration. The letter of reminder shall be signed by the President and CEO or the Vice President for Operations.
- c. In cases where the Partner/Operator does not respond to the letter of reminder to submit a copy of the registered Operating Agreement, see **Section 8.8.2.**

8.2.1.3. Payment of Occupation Fees

- a. Upon receipt of the copy of the registered Operating Agreement, the PMD Assistant shall send a letter using PM-Template-004 to the concerned MGB Regional Office within five (5) working days requesting for the issuance of an Order of Payment to the Partner/Operator for the occupation fee. The said letter shall be signed by the President and CEO and/or Vice President for Operations.
- b. Upon receipt of the Order of Payment from the concerned MGB RO, the PMD Assistant shall forward a copy to the Partner/Operator within three (3) working days using PM-Template-005a.
- c. If the Partner/Operator did not provide a copy of proof of payment of the occupation fees within thirty (30) calendar days from the receipt of the Order of Payment, the PMD Assistant shall send a letter using PM-Template-005 to the Partner/Operator requiring them to submit a copy of the Official Receipt/s from the LGU/s as proof of their payment of occupation fee/s. The said letter shall be signed by the President and CEO and/or Vice President for Operations.
- d. Upon receipt of the proof of payment, the PMD Assistant shall record the details of the same in the Project Monitoring Database.
- e. The payment of occupation fees shall be done annually throughout the duration of the contract. The PMD Assistant shall send a letter using PM-Template-004 to the concerned MGB RO thirty (30) calendar days before the annual anniversary date of the JOA registration.
- f. In cases where the Partner/Operator does not respond to the letter of reminder to submit proof of their payment of occupation fee, see **Section 8.8.2.**

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8.2.1.4. Introduction of the Project to the Community (to be conducted in coordination with the Partner/Operator on the agreed schedule)

- a. The assigned Technical Personnel shall coordinate with the Partner/Operator through a letter using PM-Template-010 on the possible schedule/s for the conduct of community meeting/Information, Education and Communication (IEC) Campaign.
- b. The assigned Technical Personnel shall conduct the meeting/IEC as scheduled together with the Partner/Operator.
- c. The assigned Technical Personnel shall prepare a summary/report using PM-Template-011 for submission to the President and CEO, thru the Vice President for Operations, and the PMD Manager, within five (5) working days after conduct of the said activity.
- d. The assigned Technical Personnel shall file a copy of the report in its designated project folder.
- e. In cases where the Partner/Operator does not respond to the letter to conduct IEC/Introduction to the Community, see **Section 8.8.2.**

8.3. Monitoring of the Partner/Operator’s Submission of the Mandatory Requirements to MGB for the conduct of Exploration

8.3.1. The PMD Assistant shall require Partner/Operator to submit digital copy of the following work programs:


- a. Exploration Work Program
- b. Environmental Work Program
- c. Community Development Program
- d. Health and Safety Program, and accreditation at respective MGB office of the Partner/Operator’s Safety Officer

8.3.2. The PMD Assistant shall document in the Project Monitoring Database the relevant details of the submissions of the work programs.

8.4. Commencement of Exploration

8.4.1. The Partner/Operator shall start the conduct of exploration activities in the area within a period of ninety (90) calendar days from the date of registration of the Operating Agreement with the concerned MGB RO. The assigned Technical Personnel shall monitor the progress of the exploration activities of the Partner/Operator thru site inspection and validation, conduct of meeting whenever necessary, etc. The assigned Technical Personnel may also provide technical assistance to the Partner/Operator as needed.

8.4.2. In cases where the **Partner/Operator** could not proceed with the exploration activities, see **Section 8.8.1.**

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8.4.3. Submission of Reports (Quarterly/Semestral/Annual Technical Report, CDP and Environmental Reports, Safety Reports, Audited Financial Statements)

- a. The PMD Assistant shall remind the Partner/Operator to submit to PMDC a copy of MGB-received pertinent reports/documents using PM-Template-012 / PM-Template-013 / PM-Template-013a, whichever is applicable:
 - Quarterly Reports on Exploration Accomplishment Reports
 - Semestral and Annual Exploration Accomplishment Reports
 - Annual Community Development Program and Environment Accomplishment Reports
 - Monthly Safety Performance and Annual Safety Statistics
 - Audited Financial Statement, if necessary
- b. Upon receipt of the pertinent reports/documents, the PMD Assistant shall provide the reports to the PMD Manager. The PMD Manager shall designate a Technical Personnel to review and take note of major accomplishments of the Partner/Operator. The assigned Technical Personnel shall input major accomplishments, if any, of the Partner/Operator in the Project Monitoring Database.
- c. Upon receipt of the submitted Audited Financial Statements, if any, the assigned Technical Personnel shall forward the said Financial Statements to the Finance and Accounting Department.
- d. The Finance and Accounting Department shall review the document, and submit the evaluation report to the PMD Manager within five (5) working days.
- e. In cases where the Partner/Operator does not respond to the letter of reminder to submit the mandatory report/s, see **Section 8.8.2.**

8.4.4. Project Site Inspection/Field Verification/Regulatory Agencies' Scheduled Inspections, and Evaluation Meetings

- a. For monitoring and validation of reports submitted by the Partner/Operator, the assigned Technical Personnel shall conduct project site inspection/field verification in coordination with the regulatory scheduled inspections, as needed, to be approved by the PMD Manager and Vice President for Operations.
- b. The assigned Technical Personnel shall fill up a Travel Order to be approved by the President and CEO once the schedule of the site inspection with MGB CO and/or MGB RO is arranged.
- c. The assigned Technical Personnel may collect rock/sand/ore/water samples from the field, as needed. The said samples shall be sent to MGB Central Office (CO) for laboratory analyses. MGB CO shall send a Certificate of Analysis to PMDC once the analyses are done. If in case MGB CO is not capable of certain analyses needed by the assigned Technical Personnel, the assigned Technical


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Personnel shall send the said samples to a private laboratory. The private laboratory shall send a Certificate of Analysis to PMDC once the analyses are done.

- d. For the evaluation meetings, the assigned Technical Personnel shall coordinate with MGB CO and/or MGB RO informing them that PMDC will be joining the evaluation meeting, and communicate thru phone call for the details.
- e. The assigned Technical Personnel shall submit a Post Travel Report using PM-Template-011 to Vice President for Operations after the project site inspection/field verification. The findings and recommendations cited during the exit conference on the following aspects must be included in the Post Travel Report:
 - Exploration activity and results relevant to the project
 - Community development project accepted by the community and giving improvements to the local residents
 - Environmental initiatives giving positive impact to the community as well as observable negative effects-violations for corrective action, if any.
 - IEC initiatives appreciated by the community, if any.
- f. Once the Vice President for Operations has noted/signed the Post Travel Report, the assigned Technical Personnel shall file it in its designated project folder.
- g. The assigned Technical Personnel shall monitor the actions of the Partner/Operator on the findings and recommendations cited by the members of the inspection team. The major actions shall be noted down in the Project Monitoring Database.
- h. Whenever necessary, the assigned Technical Personnel may request a PMDC staff from the field to monitor or validate the Partner/Operator's activities in the project area. The PMDC staff shall submit a project monitoring report to the assigned Technical Personnel within five (5) working days after the end of the site visit. The monitoring report should contain any or all of the following:
 - Exploration activity/ies,
 - Community development project/s,
 - Community coordination/s,
 - Sample shipment/s or movement or transportation, and
 - Other activities/accomplishments that may be related to the exploration activity.
- i. After his/her review, the assigned Technical Personnel shall file the project monitoring report, submitted by the assigned PMDC staff, in its designated project folder.

8.4.5. Participation in the Presidential Mineral Industry Environmental Award (PMIEA) for Exploration

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If PMDC receives an invitation to the PMIEA involving PMDC projects, PMDC shall encourage its Partners/Operators using PM-Template-024 to actively participate in Presidential Mineral Industry Environmental Award (PMIEA) for Exploration. The PMD Assistant shall coordinate with Partner/Operator and consolidate documentary evidences for submission to the PMIEA Secretariat for evaluation as entry and participant to the yearly award:

Environmental Management	45%
Safety and Health	15%
Community Development	15%
Information, Education, Communication	25%
TOTAL	100%


8.4.6. Meeting with the Partner/Operator

- a. The assigned Technical Personnel shall inform the PMD Manager and/or Vice President for Operations if the Partner/Operator requested for a meeting to discuss project issues, as needed. Subject to their availability, the PMD Manager and/or Vice President for Operations shall attend the meeting together with the Technical Personnel.
- b. The assigned Technical Personnel shall submit the Minutes of the Meeting using PM-Template-014 to the President and CEO, thru the PMD Manager and Vice President for Operations, within two (2) working days after the meeting.
- c. The assigned Technical Personnel shall monitor the progress of the agreements/action items as contained in the Minutes of Meeting, and act upon the comments and instructions of the President and CEO, if any. The major matters to be monitored with the corresponding actions undertaken shall be recorded to the Project Monitoring Database.

8.5. Monitoring of the Partner/Operator's Submission of the Requirements for Application of Environmental Compliance Certificate and Declaration of Mining Project Feasibility (Prior to the Commencement of Development/Production)


8.5.1. Application of Environmental Compliance Certificate (ECC)

- a. The assigned Technical Personnel shall remind the Partner/Operator using PM-Template-015 to submit the Environmental Baseline Study for the preparation of required Initial Environmental Examination (IEE), and the Environmental Impact Statement (EIS) and other documents required in the application of ECC to the Environmental Management Bureau Central Office (EMB CO). The said reminder shall be sent to the Partner/Operator within five (5) working days upon receipt of the Partner/Operator's notification that the exploration activities in the project area

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has been completed and of its intention to proceed with the development/production stage of the mining project.

- b. In cases where the Partner/Operator does not respond to the letter of reminder to submit EIS and other required documents in the application of ECC to EMB, see **Section 8.8.2.**
- c. The assigned Technical Personnel shall coordinate with the EMB CO and Partner/Operator regarding the status of the ECC application through email, phone calls and/or letters. The assigned Technical Personnel shall document in the Project Monitoring Database the relevant details regarding the status of the ECC application.
- d. The application for ECC is evaluated by a Review Committee of different concerned regulatory agencies (EMB, MGB, BMB, FMB, etc.) The assigned Technical Personnel shall participate in the evaluation and/or field inspection of the Review Committee, as needed and approved by the PMD Manager.
- e. The assigned Technical Personnel shall provide the Vice President for Operations thru the PMD Manager a report regarding the matters discussed in the evaluation of the Review Committee within three (3) working days after the said evaluation.
- f. The assigned Technical Personnel shall monitor the actions of the Partner/Operator based on the findings and recommendations of the technical working group of concerned regulatory agencies. The relevant actions and updates shall be written in the Project Monitoring Database.
- g. Upon receipt of the notification that the ECC was already issued/approved, the assigned Technical Personnel shall request for a copy of the issued/approved ECC with the Partner/Operator within three (3) working days.

8.5.2. Filing of the Declaration of Mining Project Feasibility (DMPF)

- a. After the completion of exploration activities and submission of Final Exploration Report, the Partner/Operator shall exercise option to proceed to filing of the Declaration of Mining Project Feasibility. The Partner/Operator shall notify PMDC that the exploration is successful and defined a mineral resource for feasibility studies and thus, they intend to continue the project for development/production stage.
- b. If the Partner/Operator proceed to Mine Development and Production, the Partner/Operator shall:
 - Get certification for ISO 14001 for metallic mining projects. The said certification shall be optional for non-metallic mining projects.
 - Request MGB RO to organize Multi-stakeholders Team as backup, support, and advocate for the advancement of the project

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c. The assigned Technical Personnel shall send a letter using PM-Template-016 within three (3) working days after the signing of Partner/Operator for another four (4) years with the option to proceed with the development/production of the mining project area, reminding the Partner/Operator to submit to MGB CO/RO and to PMDC a printed copy of each of the following documents/report necessary for the filing of DMPF:

- Sworn Declaration of Mining Project Feasibility (DMPF)
- Secretary's Certificate attesting to a Board Resolution as to the authority of the person who is filing the Declaration
- Mining Feasibility Study Report/Project Description: i.e.: 1) MGB Form No. 05-3/05-3A; 2) Evaluation Fee shall be paid by the Operator/Partner to the concerned MGB RO
- Application for **Order of Survey** or Approval of Survey Plan
- Complete and submit Final Exploration Report
- Submission of IEE and EIS as required for the application of Environmental Compliance Certificate (ECC)
- Compliance to the provision and conditions in the ECC
- Environmental Protection and Enhancement Program (EPEP)
- Application for Mineral Processing Permit
- Social Development and Management Program (SDMP)
- Mine Safety and Health Program (MSHP)
- Certificate of Environmental Management and Community Relations Record (CEMCRR), if applicable
- Additional Requirement for approval of MPSA or FTAA:
 - Project approval/endorsement by the Sanggunian concerned
 - Proof of Compliance with the terms and conditions of the MPSA
 - Proof of technical competence to undertake the implementation of the activities under the Work Program:
 - Bio-data and track record in mining operations and environmental management
 - Sworn statement/employment contract/proof of availed services of the technical person/s who will undertake the implementation of the Work Program
 - Proof of financial capability to undertake the implementation of the activities under the Work Program
 - Latest Audited Financial Statement
 - Latest Annual Report

d. The assigned Technical Personnel shall monitor and record in the Project Monitoring Database the compliance of Partner/Operator with respect to the abovementioned list of submissions.

e. Upon checking if the requirements are complete, the assigned Technical Personnel shall send an endorsement letter using PM-Template-017, addressed to the concerned MGB RO, to the Partner/Operator for the filing of DMPE, within three (3) working days.

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- f. In cases where the Partner/Operator does not respond to the letter of reminder to submit copies of the above listed documents to the concerned MGB RO and provide PMDC a copy of the same, see **Section 8.8.2**.
- g. The process in the filing of the DMPF involves evaluation of the assigned Technical Working Group of the concerned MGB, EMB and other regulatory agencies. The Technical Personnel shall participate in the said evaluation of regulatory agencies pertaining to the DMPF application.
- h. The assigned Technical Personnel shall provide a report detailing the matters (findings, recommendations, etc.) discussed in the evaluation of the DMPF documents within three (3) workings days to the Vice President for Operations through the PMD Manager.
- i. The assigned Technical Personnel shall monitor the actions of the Partner/Operator based on the findings and recommendations of the Technical Working Group of concerned regulatory agencies. The relevant actions and updates shall be written in the Project Monitoring Database.

8.6. Commencement of Development/Production

In the development/production stage of mining, the assigned Technical Personnel shall ensure that the Partner/Operator performs its responsibilities and obligations as stipulated in the Operating Agreement through observing/monitoring production/shipment operations, site inspection and validation, evaluation of reports, conduct of meetings whenever necessary, etc. In addition, the assigned Technical Personnel may provide technical assistance to the Partner/Operator as needed.

8.6.1. Amendment/s to the Operating Agreement

- a. PMDC and Partner/Operator shall agree and sign the amendment/s, as needed, to the Operating Agreement for development, production, and mine rehabilitation and decommissioning.
- b. If the Partner/Operator agreed and signed the amendment, the Partner/Operator shall:
 - Actively participate in the following events:
 - Presidential Mineral Industry Environmental Award (PMIEA) for Mining Operation
 - Annual Mine Safety and Environment Conference
 - Active membership of Partner/Operator's professional and management staffs to professional organizations

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- Cooperate and participate, together with PMDC, in the Mine Rehabilitation Fund (MRF) and Contingency Liability and Rehabilitation Fund (CLRF) creation, and Multi-partite Monitoring Team inspection

8.6.2. Submission of Reports to PMDC (Monthly/Quarterly/Annual Mandatory Reports, Audited Financial Statements, and Environment Audit Report)

- The PMD Assistant shall remind the Partner/Operator to furnish PMDC a copy of the Quarterly Reports using PM-Template-012 within fifteen (15) calendar days before the end of each quarter, and Annual Report, Audited Financial Statements (as necessary), and Environment Audit Report related to Partner/Operator's ISO 14001: Environmental Management System using PM-Template-013, within fifteen (15) calendar days before the end of each year. The letter shall be signed by the PMD Manager. The reports must include, if applicable, but not limited to:
 - Monthly General Accident Report and Annual Safety Statistics
 - Monthly Explosives and Accessories Consumption Report
 - Semi-annual report on mine waste and mill tailings produced, contained, and/or utilized for the period
 - Accomplishment Reports covering all work programs (environmental, production or exploration, if any, safety and health and social development)
- The PMD Assistant shall ensure that the submitted mandatory reports, Quarterly and Annual Reports, were duly received by the concerned MGB RO.
- Upon receipt of the submitted Quarterly Reports and/or Annual Report and Environment Audit Report, the PMD Assistant shall provide the said reports to the PMD Manager. The PMD Manager shall assigned a Technical Personnel to review the reports. The assigned Technical Personnel shall review the said Quarterly Reports and/or Annual Report, and take note of the major accomplishments of the Partner/Operator. The major accomplishments and issues shall be written in the Project Monitoring Journal, if there is any. The assigned Technical Personnel shall also monitor the implementation of the audit finding enumerated in the Environment Audit Report.
- Upon receipt of the submitted Audited Financial Statements, if any, the PMD Assistant shall forward the said Financial Statements to the Finance and Accounting Department thru the PMD Manager.
- The Finance and Accounting Department shall review the document and submit the evaluation report to the PMD Manager within five (5) working days.
- After the PMD Manager's review of the evaluation report of the Audit Financial Statements, the PMD Assistant shall file the evaluation reports, the Quarterly and/or Annual Reports, the Audited Financial Statements, and the Environment Audit Report in their designated folders.

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- g. In cases where the Partner/Operator does not respond to the letter of reminder to submit the mandatory report/s, see **Section 8.8.2**.

8.6.3. Project Site Inspection/Field Verification, Regulatory Agencies Scheduled Inspections and Evaluation Meetings

- a. For the monitoring of the on-site activities, validation of reports submitted by the Partner/Operator, and regulatory agencies scheduled inspections, the assigned Technical Personnel shall conduct a project site inspection/field verification, and shall participate in the regulatory agencies and Multi-partite Monitoring Team (MMT) scheduled inspections and evaluation meetings to be approved by the PMD Manager and Vice President for Operations.
- b. Upon approval of the PMD Manager and Vice President for Operations, the assigned Technical Personnel shall secure a Travel Order to be approved and signed by the President and CEO.
- c. The assigned Technical Personnel shall collect rock/sand/ore/water samples from the field, as needed. The said samples shall be sent to MGB Central Office (CO) for laboratory analyses. MGB CO shall send a Certificate of Analysis to PMDC once the analyses are done. If in case MGB CO is not capable of certain analyses needed by the assigned Technical Personnel, the assigned Technical Personnel shall send the said samples to a private laboratory. The private laboratory shall send a Certificate of Analysis to PMDC once the analyses are done.
- d. The assigned Technical Personnel shall coordinate with the concerned regulatory agencies such as MGB the monitoring of the mandated expenditure of the Partner/Operator with respect to the allocation of the budget (1% direct mining and milling cost) for Social Development and Management Program (SDMP) to the host and neighboring communities, e.g water facilities, hospitals, schools, etc. The allocation is as follows:
- 75% for Social Development Management Program
 - 15% for Information Education Communication Program
 - 10% for Development of Mining Technology and Geosciences
- e. The assigned Technical Personnel shall submit a Post-Travel Report using PM-Template-011 to the President and CEO thru the PMD Manager and Vice President for Operations within five (5) working days after the project site inspection/field verification.
- f. For regulatory scheduled inspections and evaluation meetings, the assigned Technical Personnel shall monitor the actions of the Partner/Operator on the findings and recommendations cited by the members of the inspection team. The major actions shall be noted down in the Project Monitoring Database.

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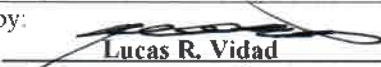
- g. Once the President and CEO has noted the Post-Travel Report, the assigned
- h. Technical Personnel shall file it in its designated project folder.

8.6.4. Meeting with the Operator/Partner

- a. The assigned Technical Personnel shall require the Partner/Operator using PM-Template-018 to provide an annual presentation, when necessary, summarizing the results of the mining production operations and other relevant accomplishments not later than the end of January of the year immediately following the end of the pertinent year.
- b. The assigned Technical Personnel shall conduct a meeting with the Partner/Operator for the discussion of project updates, as needed. Subject to their availability, the PMD Manager and/or Vice President for Operations shall attend the meeting together with the Technical Personnel.
- c. The Minutes of the Meeting using PM-Template-014 shall be submitted to the President and CEO, thru the PMD Manager and the Vice President for Operations, within two (2) working days after the meeting.
- d. The assigned Technical Personnel shall also file the Minutes of the Meeting in its designated project folder after the President and CEO's review of the minutes.
- e. The assigned Technical Personnel shall monitor the progress of the agreements/action items as contained in the Minutes of Meeting, and act upon the comments and instructions of the President and CEO, if any.

8.6.5. Shipment/Production Monitoring

- a. The Partner/Operator shall submit to PMDC the Monthly Production Report, Quarterly Reconciliation Report, and Integrated Annual Production Report. The aforementioned reports shall include the following details as applicable:
 - Mine tonnage and grade (ROM)
 - Processing tonnage, grade, metal recovery, concentrate grade
 - Product (Cu-Au) tonnage and grade for Gold Production
 - Monthly report on production, sales, inventory of metallic minerals
 - Employment Data
 - Energy consumption report
- b. The assigned Field Coordinator at the Project Area shall submit a monthly project monitoring report using PM-Template-019 to the Technical Personnel copy furnished the PMD Manager within five (5) working days after the end of each month. The monitoring report shall contain any or all of the following:
 - Location where ore materials were extracted;

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- Schedule of shipment/s;
- Name of vessel/s;
- Arrival and departure of the vessel/s;
- Number of hours/days required to haul materials from stockpile to vessel until completion;
- Information on the draught/draft survey before and after loading;
- Conduct of sampling, and;
- Other event/data relevant to the shipment.

If in case the Field Coordinator may not be able to submit its monthly project monitoring report on time due to unforeseen events, the Field Coordinator shall communicate with the PMD Assistant through text, call or email to provide the necessary information, for the latter to accomplish the PM-Template-019 on behalf of the Field Coordinator. The PMD Assistant shall submit the aforementioned report to the Technical Personnel within five (5) working days after the end of each month.

- c. The assigned Technical Personnel shall monitor/observe shipment operations of the Partner/Operator in a year. The actual monitoring/observation shall be determined if necessary. When actual shipment is monitored and observed, the assigned Technical Personnel shall check on the sampling of the ore to be shipped. Furthermore, the assigned Technical Personnel shall prepare the detailed report on the shipment operations and submit the said report to the PMD Manager, and the Vice President for Operations within five (5) working days after the said activity.

The assigned Technical Personnel shall coordinate with the Partner/Operator through calls, text or email to submit all the MGB-approved MOEPs, OTPs and other shipment documents of all the shipments made at the soonest possible time.

If the Partner/Operator failed to submit the same, the PMD Assistant shall send within ten (10) working days after the end of the month a reminder using PM-Template-020 to the Partner/Operator, to submit all the above-mentioned documents related to shipments made in the preceding month, if any. The letter of reminder shall be signed by the PMD Manager or the Vice President for Operations.

If there is no actual monitoring of shipment operations undertaken, the assigned Technical Personnel shall coordinate with the Field Coordinator for updates on the on-going shipment. The assigned Technical Personnel shall also coordinate with the MGB personnel regarding the status of the shipment. The coordination shall be reflected in the PMD Monitoring Database.

- d. The assigned Technical Personnel shall request within fifteen (15) working days after the end of the year for MGB Certification on the shipment made for the year.

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Vice President for Operations

Date: NOV 27 2024

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- d. The assigned Technical Personnel shall request within fifteen (15) working days after the end of the year for MGB Certification on the shipment made for the year.
- e. In cases where the Partner/Operator does not respond to the letter of reminder to submit all the MGB-approved MOEPs, OTPs, and other shipment related documents, see **Section 8.8.2**.

8.7. Revenue Entry

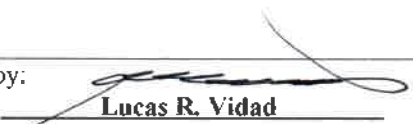
8.7.1. Determination of the Reference Price of the Mineral/Ore by the PMDC Mineral Pricing Committee (PMPC)

- a. After receipt of letter from Partner/Operator requesting approval of the price of the mineral to be shipped, the PMPC shall evaluate and recommend to the PMDC President and CEO within five (5) working days upon receipt of the request.
- b. The PMPC shall send a letter to the Partner/Operator signed by the President and CEO, informing them of the price approved by PMDC within five (5) working days after the approval.

8.7.2. Issuance of Billing Statement (On PMDC Share)

8.7.2.1 The assigned Technical Personnel shall:

- a. Coordinate with the Partner/Operator through calls, texts or email to submit all necessary shipment/production related documents. If the Partner/Operator failed to provide the requested documents, the assigned Technical Personnel should inform the PMD Assistant to remind the Partner/Operator to submit the necessary documents as contained in PM-Template-020 for the shipment of nickel-chromite/production and/or metallic and non-metallic minerals. The letter of reminder shall be signed by the PMD Manager or the Vice President for Operations;
- b. For gold, advise Partner/Operator to submit Sales Agreement, Production Report, BSP Assay Report; for non-metallic, submit Sales Invoice or Production Report;
- c. Coordinate with concerned MGB Regional Office for verification of Partner/Operator's shipment within three (3) calendar days upon receipt of the shipping documents;
- d. Review submitted documents and check on the completeness of documents to be submitted before computation of share due to PMDC;

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 Vice President for Operations

Date:

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8.7.2.2 The Finance and Accounting Department (FAD), within five (5) working days upon receipt of the PM-reviewed shipping and sales documents, shall compute the share due to PMDC taking into consideration the following:

- a. Tonnage
- b. Quality
- c. Reference Prices as sourced from applicable reference such as, but not limited to the sales agreement between the partner and its customer/end-user, websites of the Bangko Sentral ng Pilipinas (BSP) for gold and silver, London Metal Exchange (LME), Asian Metal and Ferroalloy.net. The latter two websites are for raw mineral ores exported as is to end-users. Also for reference and guidance are collective reports and recommendations to the President and CEO by the PMDC Mineral Pricing Committee (PMPC).
- d. PMDC share rate in (%) per applicable Operating Agreement in either US dollar and/or Philippine Peso.


The FAD shall issue the billing statement signed by the President/CEO or his authorized representative to the Partner/Operator. The Partner/Operator shall be given sixty (60) days to settle the amount as stated in the billing statement.

8.7.3. Payment of 2nd-6th Commitment Fees

- 8.7.3.1.** The PMD Assistant shall remind the Partner/Operator using PM-Template-021 with Billing Statement prepared by FAD within thirty (30) calendar days before the due date of the payment of the 2nd-6th Commitment Fee. The letter of reminder shall be signed by the PMD Manager or the Vice President for Operations.
- 8.7.3.2.** In cases where the Partner/Operator does not respond to the letter of reminder to pay the 2nd/3rd commitment fee, see **Section 8.8.2.**

8.7.4. Performance Bond

- 8.7.4.1.** The PMD Assistant shall annually monitor and remind the Partner/Operator using PM-Template-022 to submit the renewal of its Performance Bond within thirty (30) calendar days prior to its yearly expiration date. The letter of reminder shall be signed by the PMD Manager or the Vice President for Operations.
- 8.7.4.2.** The PMD Assistant shall forward the submitted Performance Bond to FAD for safekeeping, and file a photocopy of it to the Performance Bond folder.
- 8.7.4.3.** In cases where the Partner/Operator does not respond to the letter of reminder to submit the renewal of performance bond, see **Section 8.8.2.**

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8.7.4.3. In cases where the Partner/Operator does not respond to the letter of reminder to submit the renewal of performance bond, see **Section 8.8.2.**

8.7.5. Provision of Special Technical Assistance to the Partner/Operator

- a. The Technical Personnel may provide technical assistance upon request of the Partner/Operator.
- b. The Technical Personnel shall acknowledge the request of the Partner/Operator within three (3) working days upon receipt of the request.
- c. Upon approval of the PMD Manager, the Technical Personnel shall proceed with the provision of technical assistance to the Partner/Operator on the agreed scope and details of work.
- d. The Technical Personnel shall provide a detailed technical report to the PMD Manager within ten (10) working days upon completion of the technical assistance provided.
- e. After the review of the PMD Manager, the Technical Personnel shall file the technical report in its corresponding project folder.

8.8. Addressing Non-Action and Non-Compliance of Concerned Entities, and Requests of Partner/Operator

8.8.1. In cases where the **Partner/Operator** could not proceed with the


8.8.2. exploration activities for any of the reasons below:

a. Due to Force Majeure

- i. The Technical Personnel shall determine the necessary action or assistance to be rendered to the Partner/Operator **within five (5) working days** upon receipt of a letter/advice from the Partner/Operator regarding the matter.

The Technical Personnel shall recommend appropriate action to the Vice President for Operations thru the PMD Manager (memo format).

- ii. Upon the review and decision of the Top Management (the Vice Presidents, and the President and CEO), the Technical Personnel shall coordinate with the Partner/Operator regarding the action/assistance to be provided and to determine when the Partner/Operator may resume its exploration activities in the project area.
- iii. The Technical Personnel shall document in the Project Monitoring Database the details of all the transactions and actions about the Force Majeure that transpired including, but not limited to, correspondences, as well as the assistance/actions provided by the Technical Personnel.

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b. No Feedback from the Partner/Operator


- i. The Technical Personnel shall send a letter reminding the Partner/Operator to start the exploration activities in the area **at least thirty (30) calendar days** before the end of the ninety (90) day period.
- ii. If the Partner/Operator still does not communicate nor start the exploration activities after the 90-day period, the Technical Personnel shall send a second letter **within five (5) working days** after the said period requiring the Partner/Operator to submit a written explanation stating the reasons for not commencing/proceeding with the exploration activities.
- iii. If the Partner/Operator still does not communicate nor comply within thirty (30) calendar days after the 90-day period, the Technical Personnel shall send a **third/final** letter to the Partner/Operator requiring the latter to state its reasons for not undertaking exploration activities. The said letter shall be sent **within five (5) working days** after the mentioned 30-calendar day period.
- iv. During the course of the above mentioned items (i-iii), the Technical Personnel shall also attempt to set a meeting with the Partner/Operator to discuss the reasons for its non-compliance.
- v. If the Partner/Operator communicates and/or submits its written explanation and/or requests for moratorium/extension, said explanation/request shall be evaluated by the Technical Personnel, and reviewed by the PMD Manager.

If explanation and/or request for moratorium/extension is meritorious as evaluated by the Technical Personnel, reviewed by PMD Manager, and approved by President and CEO, said request shall be submitted to the PMDC Board of Directors for approval. Upon approval of the PMDC Board of Directors, a written response signed by the President and CEO informing the Partner/Operator that their request was approved shall be sent to the Partner/Operator **within five (5) working days** after the PMDC Board of Directors' approval of the said request.

If explanation and/or request is found not reasonable, the Technical Personnel shall require the Partner/Operator to commence with conduct of exploration activities as soon as possible without delay and extension to the Exploration Period.

- vi. If the Partner/Operator still does not communicate nor comply with the period stated in the **third/final** letter, the Technical Personnel shall escalate the issue to the Legal Department, copy furnished the President and CEO, thru a Memorandum including the PMD's findings and recommendations.

8.8.3. Non-Response of Partner/Operator to PMDC's Letters of Reminders

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8.8.3.1. The Technical Personnel shall monitor the response of the **Partner/Operator** to the following letters of reminders **within the deadline set on each particular letter of reminder**:

- Submission of Environmental Work Program
- Submission of Community Development Program
- Submission of Revised Exploration Work Program
- Submission of Revised Environmental Work Program
- Submission of Revised Community Development Program
- Conduct of IEC Campaign
- Submission of the Payment of 2nd-6th Commitment Fee

In the event that the Partner/Operator does not respond to the letter of reminder, the Technical Personnel shall send a follow-up letter after the deadline set on the letter of reminder.

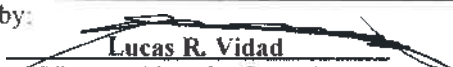
8.8.3.2. The Technical Personnel shall monitor the response of the Partner/Operator to the letter of reminder of submission of all MGB-Approved MOEPs and OTPs of all the shipments made in the preceding month, if any, **within the deadline set on the letter of reminder** after the sending of letter of reminder.

In the event that the Partner/Operator does not respond to the letter of reminder, the Technical Personnel shall communicate/follow-up with the Partner/Operator either thru email, SMS, or phone call, and shall record these in the Project Monitoring Journal.

8.8.3.3. The PMD Assistant shall monitor the response of the **Partner/Operator** to the following requirements **within thirty (30) calendar days** after sending the letter of reminder:

- Submission of Quarterly Reports
- Submission of Annual Report
- Submission of Copy of registered Operating Agreement
- Submission of Copy of the Official Receipt from LGU as proof of their payment of the occupation fee
- Submission of Copy of proof of the renewal of performance bond
- Submission of ExWP, EnWP, and CDP to MGB
- Submission of EIS and other required documents in the application of ECC to EMB
- Submission of a copy each of the documents necessary for the filing of DMPF to PMDC
- Submission of Audited Financial Statements
- Submission of Environment Audit Report

In the event that the Partner/Operator does not respond to the letter of reminder:

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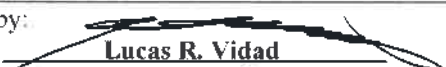
	PHILIPPINE MINING DEVELOPMENT CORPORATION		Control No:	PMDC-QP-06-05
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- a. The PMD Assistant shall refer to a Technical Personnel the said non-response and/or non-submission, and the Technical Personnel shall communicate/follow-up with the Partner/Operator either thru email.
- b. Significant issues/updates acquired through SMS, or phone call, and email shall be recorded in the Project Monitoring Database.
- c. In the case of non-response and/or non-submission of the Partner/Operator's quarterly reports within one (1) calendar year, the Technical Personnel shall escalate the issue to the Legal Department for their review and appropriate action.

8.8.3.4. If the Partner/Operator fails to respond to the following letters of reminders due to force majeure or other justifiable reasons:

- Submission of Quarter reports
- Submission of Annual report
- Submission of Copy of registered Operating Agreement
- Submission of Copy of the Official Receipt from LGU as proof of their payment of the occupation fee
- Submission of Environmental Work Program
- Submission of Community Development Program
- Submission of Revised Exploration Work Program
- Submission of Revised Environmental Work Program
- Submission of Revised Community Development Program
- Conduct of IEC Campaign
- Submission of a copy each of the documents necessary for the filing of DMPF
- Submission of the Payment of 2nd Commitment Fee
- Submission of Copy of proof of the renewal of performance bond
- Submission of MGB-Approved MOEPs and OTPs of all the shipments made in the preceding month
- Submission of ExWP, EnWP, and CDP to MGB
- Submission of EIS and other required documents in the application of ECC to EMB
- Submission of Audited Financial Statements
- Submission of Environment Audit Report

- a. The Technical Personnel shall determine the necessary action to be taken for the non-response of the Partner/Operator.
- b. If the Partner/Operator asks for assistance, the Technical Personnel shall determine the necessary step/s to be rendered to the

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 Vice President for Operations

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Partner/Operator's request within five (5) working days upon receipt of a letter/advice from the Partner/Operator regarding the matter.

- c. The Technical Personnel shall recommend approval of the proposed assistance/action to the President and CEO thru the PMD Manager (memo format).
- d. Upon the recommendation of the PMD Manager, and the approval of the President and CEO, the Technical Personnel shall coordinate with the Partner/Operator regarding the action/assistance to be provided and to determine when the Partner/Operator may resume its mining related activities in the project area.
- e. The assigned Technical Personnel shall document in the Project Monitoring Database the details of all the transactions and actions about the Force Majeure that transpired including, but not limited to, correspondences, as well as the assistance/actions provided by the Technical Personnel.

8.8.3.5. In cases where the **LGUs and concerned government agencies** do not respond to the request for the Issuance of Order of Payment sent by PMDC, the Technical Personnel shall communicate/follow-up with the LGUs and concerned government agencies either thru letter, email, SMS, or phone call, and shall record these in the Project Monitoring Journal.


9.0 RECORDS AND DOCUMENTATION

9.1. Project Monitoring Database

In addition to the records produced by the transactions, correspondences, etc. in the course of the processes and provisions stated in this procedure, PMD Assistant shall keep a database of the Projects which shall be accessible to the Technical Personnel. The Database shall serve as a ready reference for any action/activity done by the Technical Personnel on a particular date, as well as their remarks and other information that the Technical Personnel's deem to be important/critical to their projects. Intended to be referred to on a regular basis (e.g. daily, weekly), the Project Monitoring Database shall enable the Technical Personnel to review the last actions taken on the projects, and what further steps need to be done.

9.2. Records

The following is the list of the types of records which shall be produced in the course of this procedure.

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	Record Type	Reference	Origin/Author	Recipient/s	Retention Period
1	Certificate of Analysis	Section 4.0	MGB CO, Private Laboratory	PMDC	5 years
2	Declaration of Mining Project Feasibility Study	Section 7.7	Partner/Operator	MGB, PMDC	Permanent
3	Environmental Compliance Certificate (ECC)	Section 7.7	MGB	Partner/Operator, PMDC	Permanent
4	Environmental Impact Statement (EIS)	Section 7.7.1	Partner/Operator	MGB, PMDC	Permanent
5	Exploration Work Program (ExWP)	Section 7.4	Partner/Operator	MGB, PMDC	3 years
6	Final Exploration Report	Section 7.7	Partner/Operator	MGB, PMDC	Permanent
7	Mineral Ore Export Permit (MOEP)	Section 7.7	MGB	Partner/Operator, PMDC	5 years
8	Ore Transport Permit (OTP)	Section 7.7	MGB	Partner/Operator, PMDC	5 years
9	Order of Payment	Section 7.3.3	MGB	Partner/Operator	Permanent
10	Correspondences	Section 7.0	Partner/Operator	PMDC	5 years
11	Correspondences (PMDC)	Section 7.0	PMDC	Partner/Operator	5 years
12	Official Receipt	Section 7.3.4	LGU, Partner/Operator	PMDC	Permanent
13	Official Receipt (PMDC)	Section 7.9.2	PMDC - FAD	Partner/Operator	Permanent
14	Environmental Work Program (EWP)	Section 7.4.7	Partner/Operator	MGB, PMDC	3 years
15	Community Development Program (CDP)	Section 7.4.7	Partner/Operator	MGB, PMDC	3 years
16	Certification on Conduct of IEC	Section 7.5	LGU	PMDC	Permanent
17	Attendance on IEC Activity	Section 7.5	IEC Participants	PMDC	Permanent
18	Memoranda	Section 7.6	PMDC	Partner/Operator, PMDC	Permanent
19	Post-Visit Reports	Section 7.6.3 Section 7.8.2	PMDC	PMDC	5 years
20	Project Monitoring Report	Section 7.6.3	Field Coordinator	PMDC	Permanent
21	Minutes of Meetings	Section 7.6.4 Section 7.8.3	PMDC, Partner/Operator	PMDC	5 years
22	Requirements for filing of DMPF	Section 7.7.2	Partner/Operator	MGB, PMDC	5 years
23	Annual Reports	Section 7.6.2 Section 7.7.2 Section 7.8.1	Partner/Operator	MGB, PMDC	3 years
24	Quarterly Reports	Section 7.6.2 Section 7.8.1	Partner/Operator	MGB, PMDC	3 years
25	Annual Presentation	Section 7.8.3	Partner/Operator	PMDC	3 years
26	Action Item/s	Section 7.8.3	Partner/Operator	PMDC	5 years
27	Reports on Shipment Operations	Section 7.8.4	Partner/Operator	PMDC	5 years
28	Reference Price Index	Section 7.9	PMDC - PMPC	Partner/Operator	5 years
29	Shipment Documents	Section 7.9	Partner/Operator	PMDC	5 years
30	Production Report	Section 7.9	Partner/Operator	PMDC	5 years


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Lucas R. Vidad
Vice President for Operations

Date:

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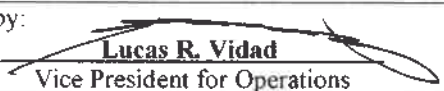
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	Record Type	Reference	Origin/Author	Recipient/s	Retention Period
31	Sales Invoice/Sales Agreement	Section 7.9	Partner/Operator	PMDC	5 years
32	Draft Survey Report	Section 7.9	Partner/Operator	PMDC	5 years
33	Chiefmate's Report	Section 7.9	Partner/Operator	PMDC	5 years
34	BSP Assay Report	Section 7.9	Partner/Operator	PMDC	5 years
35	Verification of Shipment	Section 7.9	MGB	PMDC	5 years
36	Billing Statement	Section 7.9	PMDC - FAD	Partner/Operator	10 years
37	Post-Collection Report	Section 7.9	PMDC - FAD	PMDC	10 years

10.0 REFERENCES

1. Joint Operating Agreement
2. Mineral Production Sharing Agreement
3. R. A. 7942 – “Philippine Mining Act of 1995”
4. DENR Administrative Order No. 37, Series of 1996 – “Revising DENR Administrative Order No. 21, Series of 1992, to Further Strengthen the Implementation of the Environmental Impact Statement (EIS) System”
5. DENR Administrative Order No. 2005-07, April 14, 2006 – “Amendments to Chapter XVIII of DENR Order No.96-40, as Amended, Providing for the Establishment of a Final Mine Rehabilitation and Decommissioning Fund”.
6. DENR Administrative Order No. 2010-13: Amendments to Sct.16 on Ancestral Lands and Chapter XIV on Development of Mining Communities, Science and Mining Technology of DENR AO-96-40
7. DENR Administrative Order No. 2010-21: Implementing Rules and Regulations of RA 7942 – Philippine Mining Act of 1995

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PHILIPPINE MINING DEVELOPMENT CORPORATION

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Hiring

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Internal Hiring/Promotion for Rank-and-File Positions

Note: Priority is given to internal candidates prior to hiring of external applicants.

Step	Hiring Procedures	Responsibility	Forms to Use/References/Remarks
1	Determine the need for hiring/ filling up of vacant position in accordance with approved organization structure, and outline job description, technical requirements/ qualification standards (if new position)*	Requesting Manager/ Officer/HRAD Manager for the qualification standards	Memorandum to the President and CEO to be submitted by Requesting Manager and coursed through the concerned Vice-President. To be discussed in the MANCOM
2	Approval of Request for Hiring	President and CEO	
3	Issue memo or notice regarding the publication of the vacant position.	HRAD Manager	Memorandum or Notice of Vacant Position with required qualifications
4	Accept applications from employees: (1) letter of interest in the vacant position addressed to the President & CEO, attention to the HRAD Manager, and (2) updated resume must be submitted by the aspiring employee	HR Specialist to ensure completeness of submitted requirements	
5	Preliminary evaluation of candidates - Prepare a comparative list of candidates taking into consideration the minimum qualification requirements of the position/criteria (4.1.1, 4.1.2, 4.1.3 and 4.1.4) prescribed in the Promotion and Selection Policy; - Forward the comparative list of candidates to the concerned department/unit where the vacancy exists together with the application documents	HR Specialist to be reviewed by the HR Officer/HRAD Manager	Promotion and Selection Policy Comparative List of Candidates (Form 9)
6	Evaluation of applicants, which includes: 1. Written examination; 2. Other forms of testing (optional)	Requesting Manager with assistance from HRAD, if required.	Shortlist of Candidates & Written Justification (if necessary)
7	Submission to the Promotion and Selection Officer (PSO) of the following: a. Post-test shortlist/ranking of	Requesting Manager	Promotion and Selection Policy

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Vice President/ Corporate Services

Date: **OCT 30**

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PHILIPPINE MINING DEVELOPMENT CORPORATION

Quality Procedure

Hiring

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	<p>candidates and written justification; and,</p> <p>b. Selection line-up/comparative list of candidates prepared by HRAD</p>		<p>Requesting Manager's Shortlist of Candidates & Written Justification (if necessary)</p>
8	<p>Evaluation of the candidates</p> <ul style="list-style-type: none"> - Conduct of online interviews thru video-conferencing by PSB 	Promotion and Selection Board (PSB)	<p>Promotion and Selection Policy</p> <p>Comparative List of Candidates (Form 9)</p> <p>Requesting Manager's Shortlist of Candidates & Written Justification (if available)</p> <p>Candidate Evaluation Form (Form 1) <i>duly signed by the PSB Member</i></p> <p>PSB Evaluation Summary (Form 10)</p>
9	Submission of the PSB Evaluation Summary to the Vice President	PSB, PSB Secretariat	PSB Evaluation Summary (Form 10)
10	Online interview thru video conferencing by the Vice President of the requesting department	Concerned Vice President	<p>PSB Evaluation Summary (Form 10)</p> <p>Interview Sheet for President and Vice President (Form 2)</p>
11	<p>Submission to the President and CEO the evaluation report of the screened candidates:</p> <ul style="list-style-type: none"> a. PSB Evaluation Summary b. Interview Sheet of the requesting department's Vice President 	HRAD	<p>PSB Evaluation Summary (Form 10)</p> <p>Interview Sheet for President and Vice President (Form 2)</p>
12	Online interview thru video conferencing of the President and CEO	President and CEO	Interview Sheet for President and Vice President

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Approved: Jaime T. De Veyra
Vice President, Corporate Services

Date:

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PHILIPPINE MINING DEVELOPMENT CORPORATION

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Hiring

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			President (Form 2)
13	Final selection of employee for promotion	President and CEO	Promotion and Selection Policy
14	Issuance of the Notice of Personnel Action/Approval of Promotion (copy furnished Payroll Officer for the new compensation)	HR Officer, HRAD Manager	Notice of Personnel Action (Form 3)
15	Issue New Employment Contract	HRAD	
16	Send out "Regrets Letter" to shortlisted candidate who did not pass the evaluation process	HR Specialist, HR Officer	Regrets Letter – for interviewed applicants who did not make it (Form 5)

Any exception to the above-stated procedure shall be subject to the approval of the President and CEO.

Internal Hiring / Promotion for Managerial Positions and Above

Note: Priority is given to internal candidates prior to hiring of external applicants.

Step	Hiring Procedures	Responsibility	Forms to Use/References/Remarks
1	Determine the need for hiring/ filling up of vacant position in accordance with approved organization structure, and outline job description, technical requirements/ qualification standards (if new position)*	President and CEO for Vice President Positions; President and CEO and concerned Vice President for managerial positions/ HRAD Manager for the qualification standards and job descriptions	Memorandum to the President and CEO to be submitted by the Requesting Officer
2	Approval of Request for Hiring	President and CEO	
3	Issue memo or notice regarding the publication of the vacant position upon approval of President/CEO	HRAD Manager	Memorandum or Notice of Vacant Position with required qualifications
4	Accept applications from employees: (1) letter of interest in the vacant position addressed to the President & CEO, attention to the HRAD Manager, and (2) updated resume must be submitted by the existing employee	HR Specialist to ensure completeness of submitted requirements	
5	Preliminary evaluation of candidates and preparation of comparative list of candidates taking into consideration	HR Specialist to be reviewed by the HR Officer/HRAD	Promotion and Selection Policy

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Vice President/Corporate Services

Date:

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	<p>the minimum qualification requirements of the position/criteria (4.1.1, 4.1.2, 4.1.3 and 4.1.4) prescribed in the Promotion and Selection Policy;</p> <ul style="list-style-type: none"> - Forward the comparative list of candidates to the concerned VP for managerial positions (Note: For above managerial positions, forward directly to the President & CEO) 	Manager	Comparative List of Candidates (Form 9)
6	Interview of qualified candidates	Vice-President	<p>Comparative List of Candidates (Form 9)</p> <p>Interview Sheet – for VP and President (Form 2)</p>
7	Endorsement of qualified candidates to the President and CEO	Vice-President	
8	Interview and assessment of shortlisted candidates	President and CEO	<p>Comparative List of Candidates (Form 9)</p> <p>Interview Sheet – for VP and President (Form 2)</p>
9	Endorsement to the Board Committee on Nominations and Remuneration	President and CEO	Memo to the Board Committee
10	Interview and evaluation of candidates	Board Committee on Nomination and Remuneration	
11	Endorsement of the most qualified applicant to the PMDC Board	-do-	Memorandum to the Board
12	Approval (or disapproval) of hiring/promotion	PMDC Board	Board Resolution
13	Prepare & serve Notice of Personnel Action; (copy furnished Payroll Officer for the new compensation)	HRAD Manager/Payroll Officer	Notice of Personnel Action Form (Form 3)
14	Issue New Employment Contract	HRAD	
15	Send out “Regrets Letter” to shortlisted candidate who did not pass the evaluation process	HR Specialist, HR Officer	Regrets Letter – for interviewed applicants who did not make it (Form 5)

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Vice President/Corporate Services

Date: OCT 30 2017

This procedure shall be subject to the approval of the President and CEO.



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External Hiring for Rank-and-File Positions

Step	Hiring Procedures	Responsibility	Forms to Use/References/Remarks
1	Draft Job Advertisement after approval to fill-up vacant position	HR Specialist, HR Officer and reviewed by HRAD Manager & Requesting Manager	
2	Posting of Job Advertisement in the PMDC website and through any or all of the following: <ul style="list-style-type: none"> • Online (Jobstreet) • Newspaper • Others 	HR Specialist	
3	Receipt of applications <ul style="list-style-type: none"> • Application Letter • Curriculum Vitae (CV) with photo 	HR Specialist	
4	Initial Screening <ul style="list-style-type: none"> - paper evaluation of applications based on submitted CV, job description and technical requirements for the position 	HR Officer	
5	Communicate with applicants regarding the schedule of the written examination and interview of shortlisted applicants	HR Specialist	Letter informing shortlisted applicants of interview schedule (Form 4 or 4-A, whichever is applicable)
6	Preliminary evaluation of candidates <ul style="list-style-type: none"> - Prepare a comparative list of candidates taking into consideration the minimum qualification requirements of the position/criteria (4.1.1, 4.1.2, 4.1.3 and 4.1.4) prescribed in the Promotion and Selection Policy; - Forward the comparative list of candidates to the concerned department/unit where the vacancy exists together with the application documents 	HR Specialist to be reviewed by the HR Officer/HRAD Manager	Promotion and Selection Policy Comparative List of Candidates (Form 9)
7	Notification of applicants, which includes: <ol style="list-style-type: none"> 1. Written examination; 2. Oral/Practical tests of testing (optional) 	Requesting Manager with the assistance if HRAD, if required	Shortlist of Candidates & Written

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			Justification (if necessary)
8	Evaluation of the candidates - PSB Interview	Promotion and Selection Board (PSB)	Promotion and Selection Policy Comparative List of Candidates (Form 9) Requesting Manager's shortlist of Candidates & Written Justification (if available) Candidate Evaluation Form (Form 1) <i>duly signed by the PSB Member</i> PSB Evaluation Summary (Form 10)
9	Submission of the PSB Evaluation Summary to the Vice President	PSB, PSB Secretariat	PSB Evaluation Summary (Form 10)
10	Interview by the Vice President of the requesting department	Concerned Vice President	PSB Evaluation Summary (Form 10) Interview Sheet for President and Vice President (Form 2)
11	Submission to the President and CEO an evaluation report of the screened candidates: c. PSB Evaluation Summary d. Interview Sheet of the requesting department's Vice President	HRAD	PSB Evaluation Summary (Form 10) Interview Sheet for President and Vice President (Form 2)
12	Approval of the President and CEO	President and CEO	Interview Sheet for President and Vice President (Form 2)

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13	Final selection of employee for promotion	President and CEO	Promotion and Selection Policy
14	Serve Job Offer (copy furnished Payroll Officer)	HRAD Manager	
15	Issue Probationary Employment Contract	HRAD	
16	Send out "Regrets Letter" to shortlisted candidate who did not pass the evaluation process	HR Specialist, HR Officer	Regrets Letter – for interviewed applicants who did not make it (Form 5)
17	Provide list of pre-employment requirements to the new employee	HR Specialist	Pre-employment Checklist (Form 7)
18	Provide information to Payroll Officer for payroll purposes	HRAD Manager	Job Offer (Form 8 or 8-A, whichever is applicable)
19	Orientation on the organization's policies, objectives, administrative matters, etc.	HRAD Manager, HR Officer/HR Specialist	

Any exception to the above-stated procedure shall be subject to the approval of the President and CEO.

External Hiring for Managerial Positions and Above

Step	Hiring Procedures	Responsibility	Forms to Use/References/Remarks
1	Issue memo or notice regarding the publication of the vacant position	HRAD Manager	Memorandum or Notice of Vacant Position with required qualifications
2	Accept applications from applicants: (1) letter of interest in the vacant position addressed to the President & CEO, attention to the HRAD Manager, and (2) updated resume must be submitted by the aspiring employee	HR Specialist to ensure completeness of submitted requirements	
3	Preliminary evaluation of candidates - Prepare a comparative list of candidates taking into consideration the minimum qualification requirements of the position/criteria (4.1.1, 4.1.2, 4.1.3 and 4.1.4) prescribed in the Promotion and Selection Policy; - Forward the comparative list of candidates to the concerned VP for managerial positions (Note: For	HR Specialist to be reviewed by the HR Officer/HRAD Manager	Promotion and Selection Policy Comparative List of Candidates (Form 9)

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	above managerial positions, forward directly to the President & CEO)		
4	Interview of qualified candidates	Vice-President	Comparative List of Candidates (Form 9) Interview Sheet – for VP and President (Form 2)
5	Endorsement of qualified candidates to the President and CEO	Vice-President	
6	Interview and assessment of shortlisted candidates	President and CEO	Comparative List of Candidates (Form 9) Interview Sheet – for VP and President (Form 2)
7	Endorsement to the Board Committee on Nominations and Remuneration	President and CEO	Memo to the Board Committee
8	Interview and evaluation of candidates	Board Committee on Nomination and Remuneration	
9	Endorsement of most qualified applicant to the PMDC Board	-do-	Memorandum to the Board
10	Approval (or disapproval) of hiring/promotion	PMDC Board	Board Resolution
11	Background reference check of candidate before endorsing to the Board Committee on Nomination and Remuneration (if necessary)	HRAD	Background Reference Check Form (Form 6)
12	Prepare Job Offer for approval by the Vice President for Corporate Services and President and CEO	HRAD Manager	
13	Call candidate for the Job Offer	HR Specialist, HR Officer	
14	Serve Job Offer	HRAD Manager	
15	Issue Probationary Employment Contract	HRAD Manager/HR Officer	
16	Send out “Regrets Letter” to shortlisted candidate who did not pass the interviews	HR Specialist, HR Officer	Regrets Letter – for interviewed applicants who did not make it (Form 5)
	Procedure for Pre-employment	HR Specialist	Pre-employment

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	requirements to the new employee		Checklist (Form 7)
18	Provide information to Payroll Officer for payroll purposes	HRAD Manager	Job Offer (Form 8 or 8-A, whichever is applicable)
19	Orientation on the organization's policies, objectives, administrative matters, etc.	HRAD Manager, HR Officer/HR Specialist	

Any exception to the above-stated procedure shall be subject to the approval of the President and CEO.

*Filling-up of new positions will require approval from the PMDC Board and GCG

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Procedure Details

I. DEFINITION OF TERMS

Definitions and terms used in the Procedure were lifted from RA9184 and its IRR, and other references that were provided and approved by the GPPB.

1. Regular Items - items for purchase that are commonly used and frequently requested being necessary in the transactions of the Company's business and consumed in day to day operations.
2. Non-regular Items - items for purchase that are seldom requested due to the specific feature that vary according to the end user's needs.
3. Shopping - method of procurement where the procuring entity simply requests for the submission of price quotations for readily available off-the-shelf goods or ordinary/regular equipment to be procured.

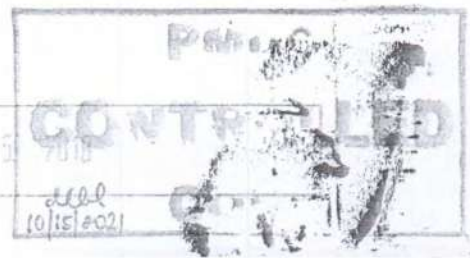
TWO TYPES:

- a) Shopping (Unforeseen Contingency) - cases when there is an unforeseen contingency requiring immediate purchase amounting to Two Hundred Thousand Pesos (Php 200,000) and below.
- b) Shopping (Ordinary) - Procurement of ordinary or regular office supplies and equipment not available in the *Procurement Service* amounting to One Million Pesos (Php 1,000,000) and below.
4. Ordinary or Regular Office Supplies - The phrase shall be understood to include those supplies, commodities, or materials which, depending on the procuring entity's mandate and nature of operations, are necessary in the transaction of its official businesses, and consumed in the day-to-day operations of said procuring entity.
5. Negotiated Procurement - Small Value Procurement - method of procurement where the procurement does not fall under Shopping and the amount does not exceed One Million Pesos (Php 1,000,000). The procuring entity shall draw up a list of at least three (3) suppliers, contractors, or consultants of known qualifications which will be invited to submit proposals, or curriculum vitae in the case of consulting services.
6. Direct Contracting - method of procurement where the item/s to be procured satisfies any of the three (3) following conditions:
 - a) Procurement of goods of proprietary nature which can be obtained only from the proprietary source, i.e. when patents, trade secrets, and copyrights prohibit others from manufacturing the same item;

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- b) When the procurement of critical components from a specific supplier is a condition precedent to hold a contractor to guarantee its project performance, in accordance with the provisions of its contract; or
 - c) Those sold by an exclusive dealer or manufacturer which does not have sub-dealers selling at lower prices and for which no suitable substitute can be obtained at more advantageous terms to the GOP.
7. Competitive Bidding / Public Bidding – Rule IV Section 10 of the IRR of RA9184 states that all procurement shall be done through competitive bidding (except where in rules on Alternative Methods of Procurement would be applicable).
 8. General Support Services - Section 5(r) of the IRR of RA 9184 expressly defines goods to include General Support Services, which involves "non-personal or contractual services, such as, the repair and maintenance of equipment and furniture, as well as trucking, hauling, janitorial, security, and related or analogous services." The term "related" or "analogous services" includes, but is not limited to, lease or purchase of office space, media advertisements, health maintenance services, and other services essential to the operation of the procuring entity.
 9. Lowest Calculated Bidder (LCB) – refers to the bidder whose bid was found to be the lowest upon submission and evaluation of bids
 10. Lowest Calculated Responsive Bidder (LCRB) – refers to the bidder whose bid was declared as the lowest after a post qualification of its legal, financial, and technical compliances, was conducted.

II. RESPONSIBILITIES

1. *End User* – primary origin of the request to be procured; responsible for the preparation of the requisition form.
2. *Procurement personnel* – responsible for the preparation of Request for Quotation, Abstract of Quotations, Purchase Order, and Receiving Report; ensures that requested item/s is/are procured within the timeline provided that there are no external factors beyond their control.
3. *Bids and Awards Committee* – shall have the following functions:
 - a) advertise and/or post the invitation to bid/request for expressions of interest;
 - b) conduct pre-procurement and pre-bid conferences;
 - c) determine the eligibility of prospective bidders;
 - d) receive bids; (e) conduct the evaluation of bids;
 - f) undertake post-qualification proceedings;
 - g) recommend the award of contracts for reconsideration;

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- g) recommend award of contracts to the Head of the Procuring Entity or his duly authorized representative;
- h) recommend the imposition of sanctions in accordance with Rule XXIII;
- i) recommend to the Head of the Procuring Entity the use of Alternative Methods of Procurement as provided for in Rule XVI hereof; and
- j) perform such other related functions as may be necessary, including the creation of a Technical Working Group (TWG) from a pool of technical, financial, and/or legal experts to assist in the procurement process, particularly in the eligibility screening, evaluation of bids, and post-qualification.

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III. PROCUREMENT PROCESS FLOW

1) Competitive Bidding / Public Bidding

<u>PROCESS</u>	<u>PERSON RESPONSIBLE / NOTES</u>
Preparation of Purchase Requisition / Work Order Requisition	<ul style="list-style-type: none"> - Prepared by the <i>End User</i>; endorsed by <i>immediate Supervisor</i> - PR should be properly signed and all details filled up by <i>End User</i> - <i>A draft of Terms of Reference</i> should be attached together with the PR
Conduct Pre-Procurement Conference	<ul style="list-style-type: none"> - conducted by <i>BAC</i> - attended by the <i>End-User, BAC-TWG and President CEO</i>
Completion of Terms of Reference	<ul style="list-style-type: none"> - prepared by <i>End User</i>, together with the <i>BAC-TWG</i> - reviewed by the <i>BAC</i> - Approved by the <i>President CEO</i>
Approval of PR/WOR	<ul style="list-style-type: none"> - Reviewed by the <i>authorized Admin Officer</i> - Budget availability is certified by the <i>Finance & Budget Officer</i> - Recommended by the <i>Vice President and approved by the President CEO</i>
Presentation of Proposed Bidding to the BOARD for Approval	<ul style="list-style-type: none"> - preparation of a <u>Board Memo</u> includes all the approved details from the Pre-Procurement conference, attached with the Terms of Reference - <u>Board Memo</u> is to be signed by the <i>President CEO</i> - Approval by the board through a <u>Board Resolution</u> - <u>Board Memo</u> and/or <u>Board Resolution</u> be done by the <i>Legal Department</i>
Advertisement/ Posting of Invitation to bid/Request for Expression of Interest	<ul style="list-style-type: none"> - prepared by the <i>BAC</i> - approved by the <i>BAC Chairperson</i>
Preparation and Issuance of Public Bidding Documents	<ul style="list-style-type: none"> - prepared and issued by the <i>BAC Secretariat</i> - available from the day of Advertisement until the date of submission of bids/closing date
Conduct Pre-Bid Conference	<ul style="list-style-type: none"> - conducted by the <i>BAC</i> - the conference is optional if the Approved Budget for the Contract is less than Php1 Million (Sec22.1) - the conference is to be presided by <i>BAC and its Secretariat</i> - to be attended by <i>BAC, BAC Secretariat, TWG and consultants (if any), end-users, prospective bidders, and observers</i>

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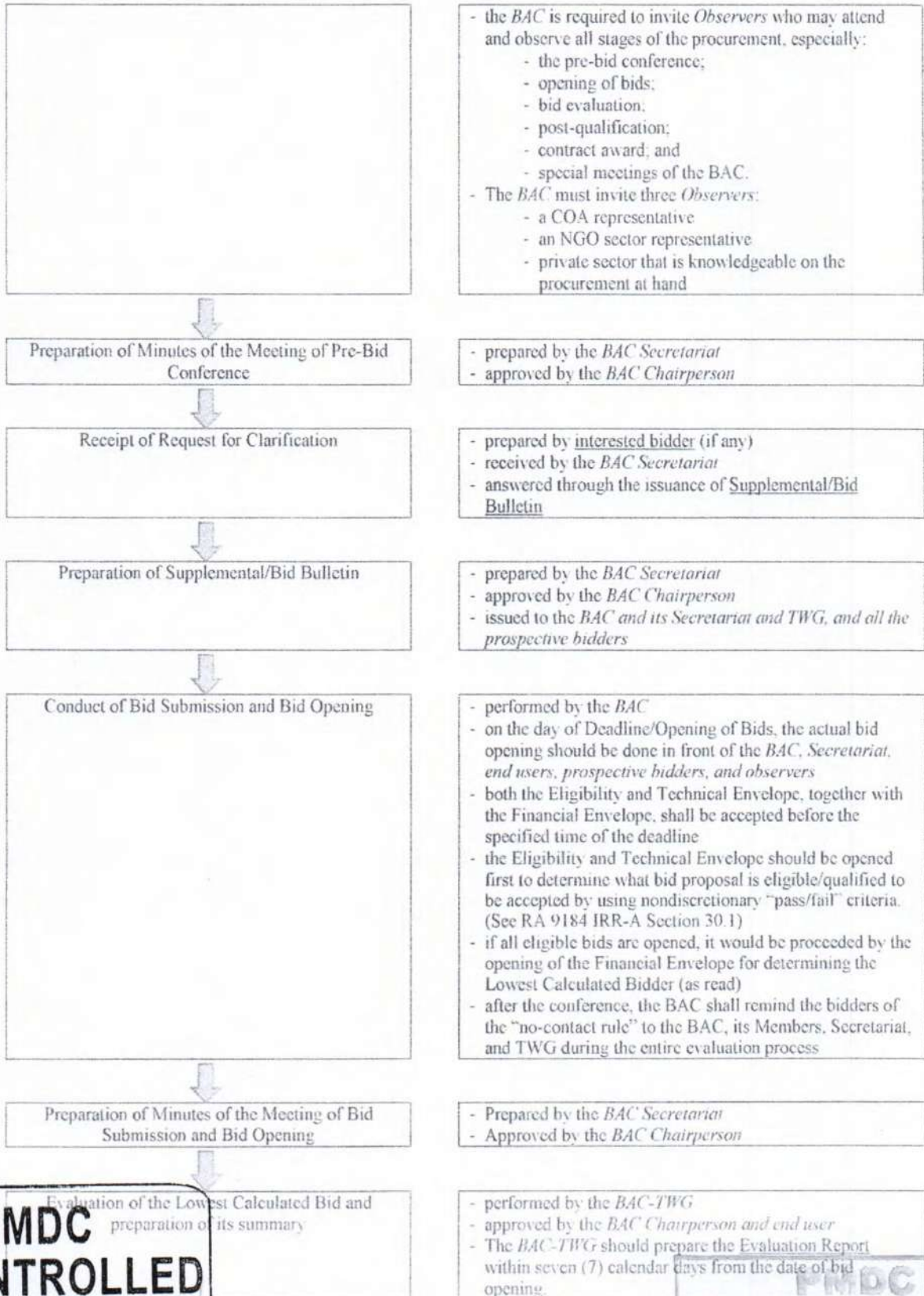
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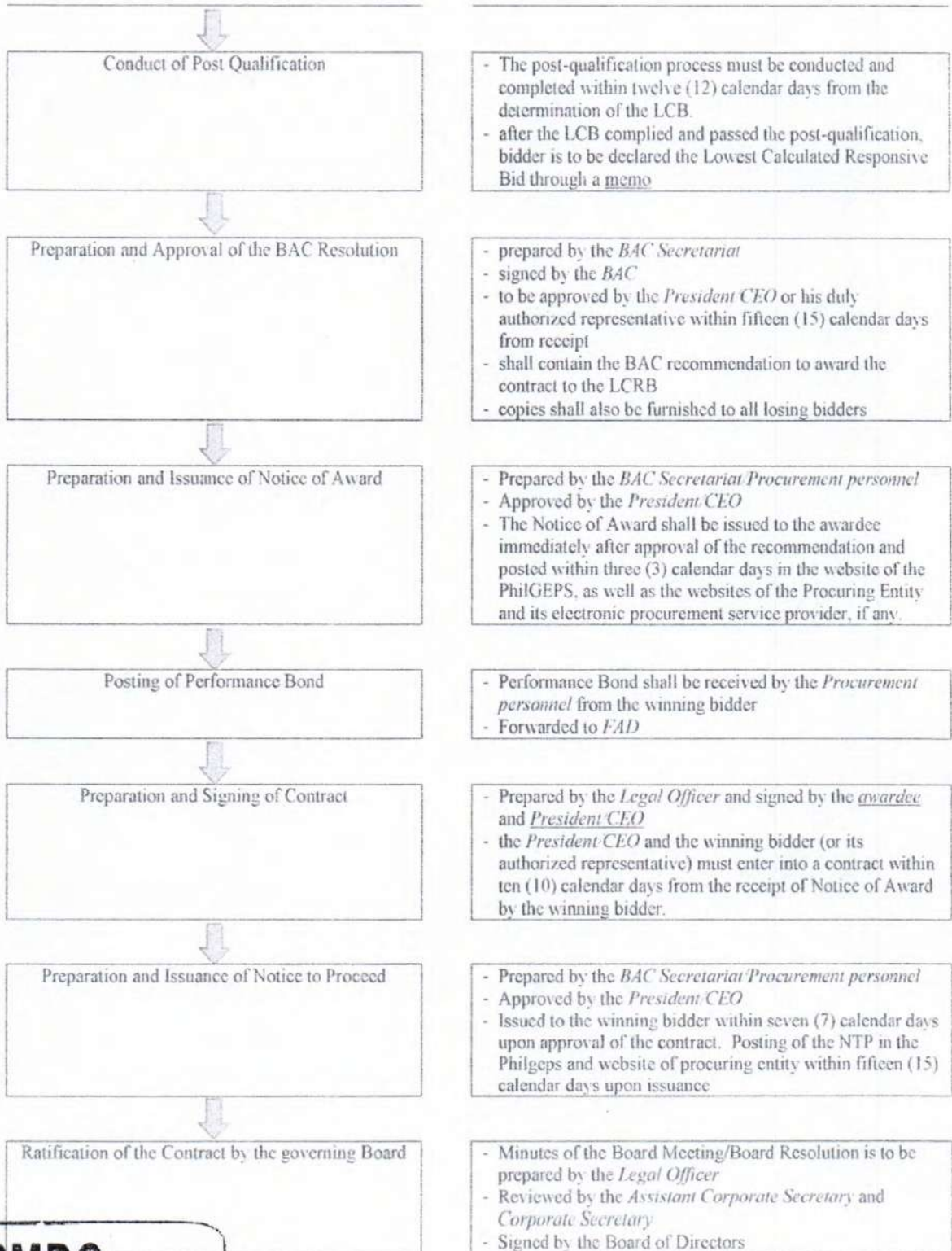
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- all related documents are to be forwarded to the *BAC Secretariat* for safekeeping in a properly labeled folder

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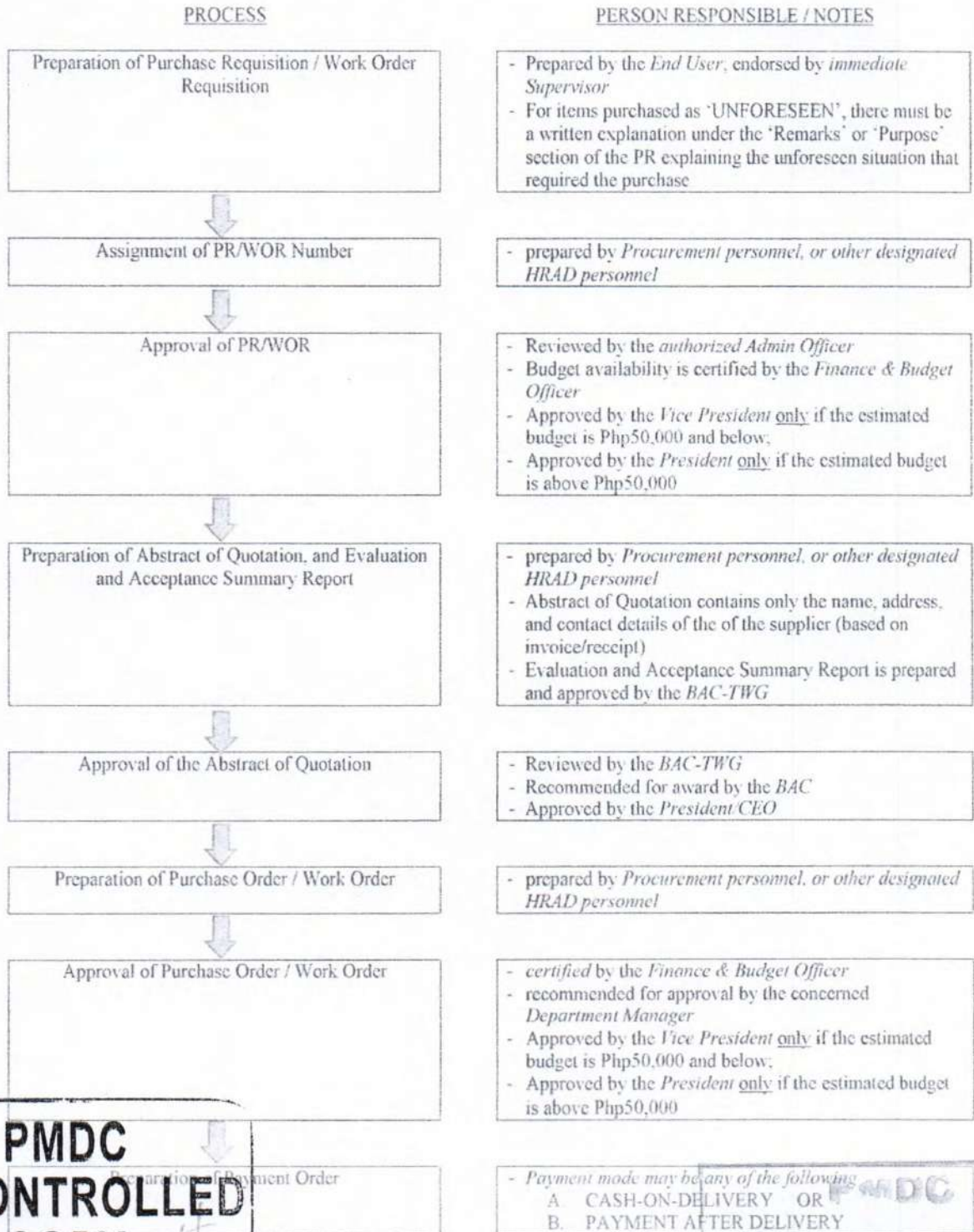
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2) Alternative Modes of Procurement (a.1) Shopping - Unforeseen Contingency



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A) CASH-ON-DELIVERY

Preparation of Payment Order

- prepared by *Procurement personnel, or other designated HRAD personnel*
- preparation of Payment Order through "Cash Advance"
- Request for Payment shall be accompanied by duplicate copies of PR, AOQ, and EVACS, PO/WO
- *Procurement personnel shall advise the awardee for date of delivery (to coincide with the release of check payment)*

Processing of Payment Order

- prepared by *concerned FAD personnel*

Receipt of Delivery and Preparation of Receiving Report

- received and prepared by *Procurement personnel*
- signed by the *Warehouse Property Officer*
- verified by a *FAD Representative*
- inspected and accepted by the *End User*
- for the procured equipment or item/s with assigned Property Code, a copy of Receiving Report together with a copy of its invoice shall be forwarded to the *Warehouse Property Officer*.

Safekeeping of Documents

- related documents shall be filed by *Procurement personnel* in a properly labeled folder

B) PAYMENT AFTER DELIVERY

Receipt of Delivery and Preparation of Receiving Report

- received and prepared by *Procurement personnel*
- signed by the *Warehouse Property Officer*
- verified by a *FAD Representative*
- inspected and accepted by the *End User*
- for the procured equipment or item/s with assigned Property Code, a copy of Receiving Report together with a copy of its invoice shall be forwarded to the *Warehouse Property Officer*.

Preparation of Payment Order

- prepared by *Procurement personnel, or other designated HRAD personnel*
- Request for Payment should be accompanied by duplicate copies of PR, AOQ, and EVACS, PO/WO, RR, and original copy of INVOICE/RECEIPT
- *Procurement personnel shall keep a duplicate copy of INVOICE/RECEIPT*

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Vice President, Corporate Services

Date: APR 25 2018

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Processing of Payment Order - prepared by concerned FAD personnel



Safekeeping of Documents - related documents shall be filed by Procurement personnel in a properly labeled folder

IF
PAYMENT IS FOR REIMBURSEMENT
The same process will apply to be followed the procedure below from Preparation of Purchase Requisition / Work Order Requisition until Approval of Purchase Order / Work Order.
NOTES:
• Payment made for the purchased item may be reimbursed after preparation of supporting documents
• PR should be properly signed and all details filled up by *End User* together with the original copy of Sales Invoice/OR; then to be forwarded to *HRAD* for processing



Receipt of Delivery and Preparation of Receiving Report - prepared by Procurement personnel
- signed by the Warehouse/Property Officer
- verified by a FAD Representative
- received, inspected and accepted by the End User
- for the procured equipment or item/s with assigned Property Code, a copy of Receiving Report together with a copy of its invoice shall be forwarded to the Warehouse/Property Officer.



Preparation of documents needed by End User for reimbursement - prepared by Procurement personnel, or other designated HRAD personnel
- copies of signed PR, AOQ, EVACS, PO, RR, attached with original copy of INVOICE/RECEIPT to be forwarded to End User
- Procurement personnel shall keep a duplicate copy of INVOICE/RECEIPT in a properly labeled folder



Forwarding of documents to End User - Performed by HRAD (ARK)



Safekeeping of Documents - related documents shall be filed by Procurement personnel in a properly labeled folder

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Vice President, Corporate Services

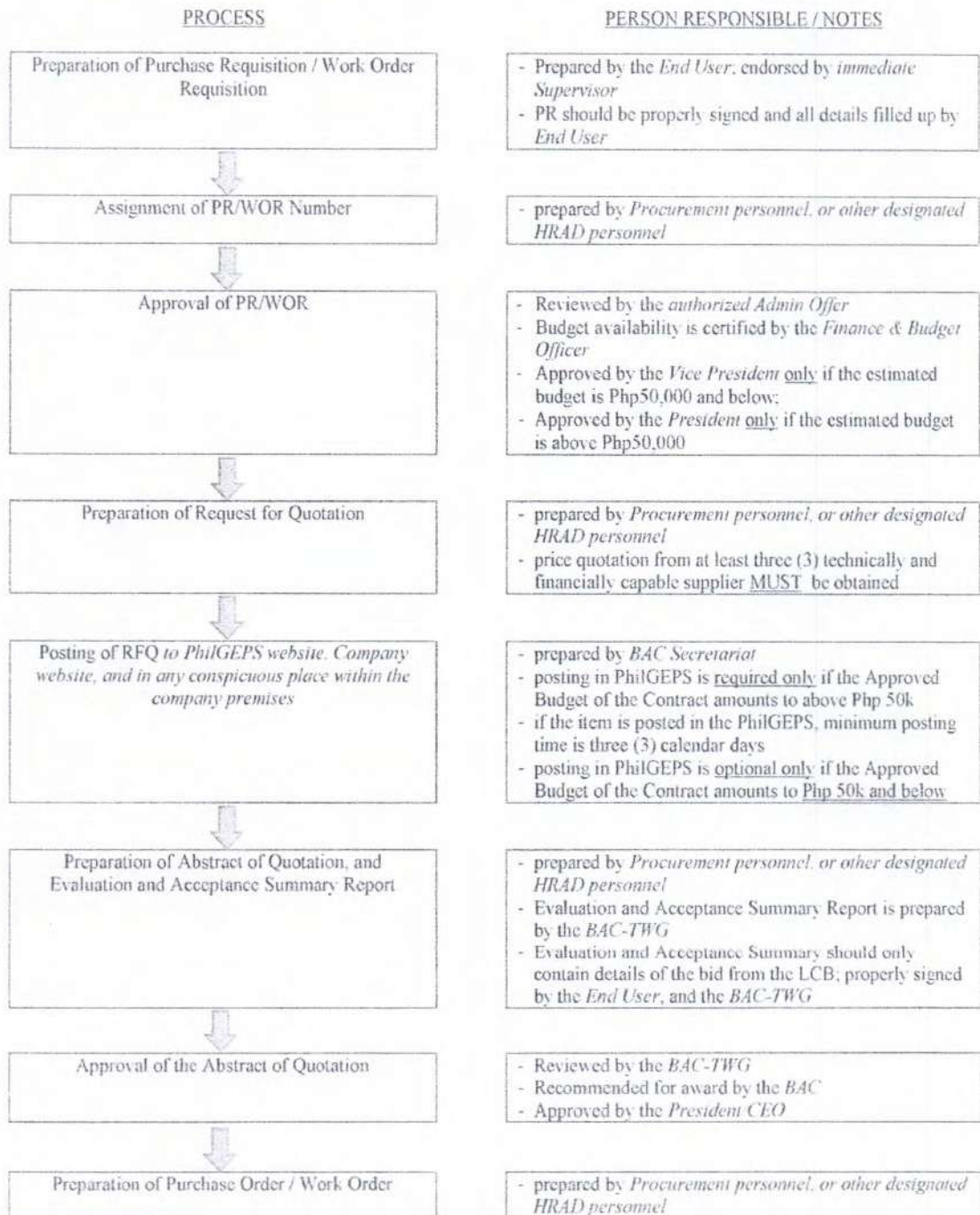
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2) Alternative Modes of Procurement
(a.2) Shopping – Ordinary or Regular Office Supplies



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Jaimie T. D. Veyra
Vice President, Corporate Services

Jaimie T. D. Veyra
Vice President, Corporate Services

Date:

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Approval of Purchase Order / Work Order

- certified by the Finance & Budget Officer
- recommended for approval by the concerned Department Manager
- Approved by the Vice President only if the estimated budget is Php50,000 and below;
- Approved by the President only if the estimated budget is above Php50,000



Preparation of Payment Order

- Payment mode may be any of the following:
 - CASH-ON-DELIVERY OR
 - PAYMENT AFTER DELIVERY

A) CASH-ON-DELIVERY



Preparation of Payment Order

- prepared by Procurement personnel, or other designated HRAD personnel
- preparation of Payment Order through "Cash Advance"
- Request for Payment shall be accompanied by duplicate copies of PR, AOQ, and EVACS, PO/WO
- Procurement personnel shall advise the awardee for date of delivery (to coincide with the release of check payment)



Processing of Payment Order

- prepared by concerned FAD personnel



Receipt of Delivery and Preparation of Receiving Report

- received and prepared by Procurement personnel
- signed by the Warehouse/Property Officer
- verified by a FAD Representative
- inspected and accepted by the End User
- for the procured equipment or item/s with assigned Property Code, a copy of Receiving Report together with a copy of its invoice shall be forwarded to the Warehouse/Property Officer.



Safekeeping of Documents

- related documents will be filed by Procurement personnel in a properly labeled folder

B) PAYMENT AFTER DELIVERY



Receipt of Delivery and Preparation of Receiving Report

- received and prepared by Procurement personnel
- signed by the Warehouse/Property Officer
- verified by a FAD Representative
- inspected and accepted by the End User
- for the procured equipment or item/s with assigned Property Code, a copy of Receiving Report together with a copy of its invoice shall be forwarded to the Warehouse/Property Officer.

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Vice President, Corporate Services

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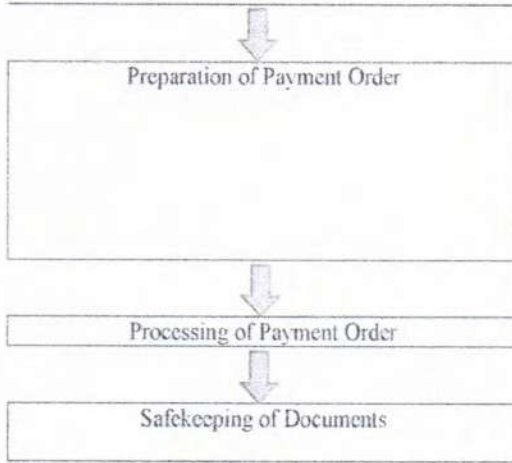
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- prepared by *Procurement personnel, or other designated HRAD personnel*
- Request for Payment would be accompanied by duplicate copies of PR, AOQ, and EVACS, PO/WO, RR, and original copy of INVOICE/RECEIPT
- *Procurement personnel* will keep a duplicate copy of INVOICE/RECEIPT in a properly labeled folder

- prepared by *concerned FAD personnel*

- related documents *shall* be filed by *Procurement personnel* in a properly labeled folder

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Vice President, Corporate Services

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2) Alternative Modes of Procurement
b) Direct Contracting

PROCESS	PERSON RESPONSIBLE / NOTES
Preparation of Purchase Requisition / Work Order Requisition	<ul style="list-style-type: none"> - Prepared by the <i>End User</i>, endorsed by <i>immediate Supervisor</i> - PR should be properly signed and all details filled up by <i>End User</i>
Assignment of PR/WOR Number	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel</i>, or other designated <i>HRAD personnel</i>
Approval of PR/WOR	<ul style="list-style-type: none"> - Reviewed by the <i>authorized Admin Officer</i> - Budget availability is certified by the <i>Finance & Budget Officer</i> - Approved by the <i>Vice President only</i> if the estimated budget is Php50,000 and below; - Approved by the <i>President only</i> if the estimated budget is above Php50,000
Preparation of Abstract of Quotation, and Evaluation and Acceptance Summary Report	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel</i>, or other designated <i>HRAD personnel</i> - attached with the <u>Abstract of Quotation</u> is the official quote from the bidder, and/or Certificate of Exclusive Distributorship - Evaluation and Acceptance Summary Report is prepared and approved by the <i>BAC-TWG</i> Evaluation and Acceptance Summary should only contain details of the bid; properly signed by the <i>End User</i>, and the <i>BAC-TWG</i>
Approval of the Abstract of Quotation	<ul style="list-style-type: none"> - Reviewed by the <i>BAC-TWG</i> - Recommended for award by the <i>BAC</i> - Approved by the <i>President CEO</i>
Preparation of Purchase Order / Work Order	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel</i>, or other designated <i>HRAD personnel</i>
Approval of Purchase Order / Work Order	<ul style="list-style-type: none"> - certified by the <i>Finance & Budget Officer</i> - recommended for approval by the concerned <i>Department Manager</i> - Approved and signed by the <i>President CEO</i>
Preparation of Payment Order	<ul style="list-style-type: none"> - <i>Payment mode may be any of the following:</i> A. CASH-ON-DELIVERY OR B. PAYMENT AFTER DELIVERY

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Date:

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A) CASH-ON-DELIVERY

Preparation of Payment Order

- prepared by *Procurement personnel, or other designated HRAD personnel*
- preparation of Payment Order through "Cash Advance"
- Request for Payment shall be accompanied by duplicate copies of PR, AOQ, and EVACS, PO/WO
- *Procurement personnel shall advise the awardee for date of delivery (to coincide with the release of check payment)*

Processing of Payment Order

- prepared by *concerned FAD personnel*

Receipt of Delivery and Preparation of Receiving Report

- received and prepared by *Procurement personnel*
- signed by the *Warehouse Property Officer*
- verified by a *FAD Representative*
- inspected and accepted by the *End User*
- for the procured equipment or item/s with assigned Property Code, a copy of Receiving Report together with a copy of its invoice shall be forwarded to the *Warehouse Property Officer*.

Safekeeping of Documents

- related documents shall be filed by *Procurement personnel* in a properly labeled folder

B) PAYMENT AFTER DELIVERY

Receipt of Delivery and Preparation of Receiving Report

- received and prepared by *Procurement personnel*
- signed by the *Warehouse Property Officer*
- verified by a *FAD Representative*
- inspected and accepted by the *End User*
- for the procured equipment or item/s with assigned Property Code, a copy of Receiving Report together with a copy of its invoice shall be forwarded to the *Warehouse Property Officer*.

Preparation of Payment Order

- prepared by *Procurement personnel, or other designated HRAD personnel*
- Request for Payment shall be accompanied by duplicate copies of PR, AOQ, and EVACS, PO/WO, RR, and original copy of INVOICE/RECEIPT
- *Procurement personnel shall keep a duplicate copy of INVOICE/RECEIPT in a properly labeled folder*

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Safekeeping of Documents

- related documents *shall* be filed by *Procurement personnel* in a properly labeled folder

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2) Alternative Modes of Procurement

c) Negotiated Procurement - Small Value Procurement

PROCESS	PERSON RESPONSIBLE / NOTES
Preparation of Purchase Requisition / Work Order Requisition	<ul style="list-style-type: none"> - Prepared by the <i>End User</i>; endorsed by <i>immediate Supervisor</i> - PR should be properly signed and all details filled up by <i>End User</i>
Assignment of PR/WOR Number	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel, or other designated HRAD personnel</i>
Approval of PR/WOR	<ul style="list-style-type: none"> - Reviewed by the <i>authorized Admin Officer</i> - Budget availability is certified by the <i>Finance & Budget Officer</i> - Approved by the <i>Vice President only</i> if the estimated budget is Php50,000 and below; - Approved by the <i>President only</i> if the estimated budget is above Php50,000
Preparation of Request for Quotation	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel, or other designated HRAD personnel</i> - at least three (3) technically and financially capable supplier should be invited to submit quotation and join the bid
Posting of RFQ to <i>PhilGEPS website, Company website, and in any conspicuous place within the company premises</i>	<ul style="list-style-type: none"> - prepared by <i>BAC Secretariat</i> - posting in <i>PhilGEPS</i> is <u>required only</u> if the Approved Budget of the Contract amounts to above Php 50k - if the item is posted in the <i>PhilGEPS</i>, minimum posting time is three (3) calendar days - posting in <i>PhilGEPS</i> is <u>optional only</u> if the Approved Budget of the Contract amounts to <u>Php 50k and below</u>
Preparation of Abstract of Quotation, and Evaluation and Acceptance Summary Report	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel, or other designated HRAD personnel</i> - bid can be awarded to a lone bidder, provided a proof of canvass <i>is made</i> - proof of canvass (or at least a completely signed RFQ) should be <i>presented</i> by the <i>Procurement personnel, or other designated HRAD personnel</i> even if the invited supplier will not join the bid; or <i>did not submit a bid</i> Or proof of <i>PhilGEPS</i> posting (if applicable). - Evaluation and Acceptance Summary Report is prepared and approved by the <i>BAC-TWG</i> Evaluation and Acceptance Summary should only contain details of the bid from the <i>Lowest Calculated Bidder</i>; properly signed by the <i>End User</i>, and the <i>BAC-TWG</i>

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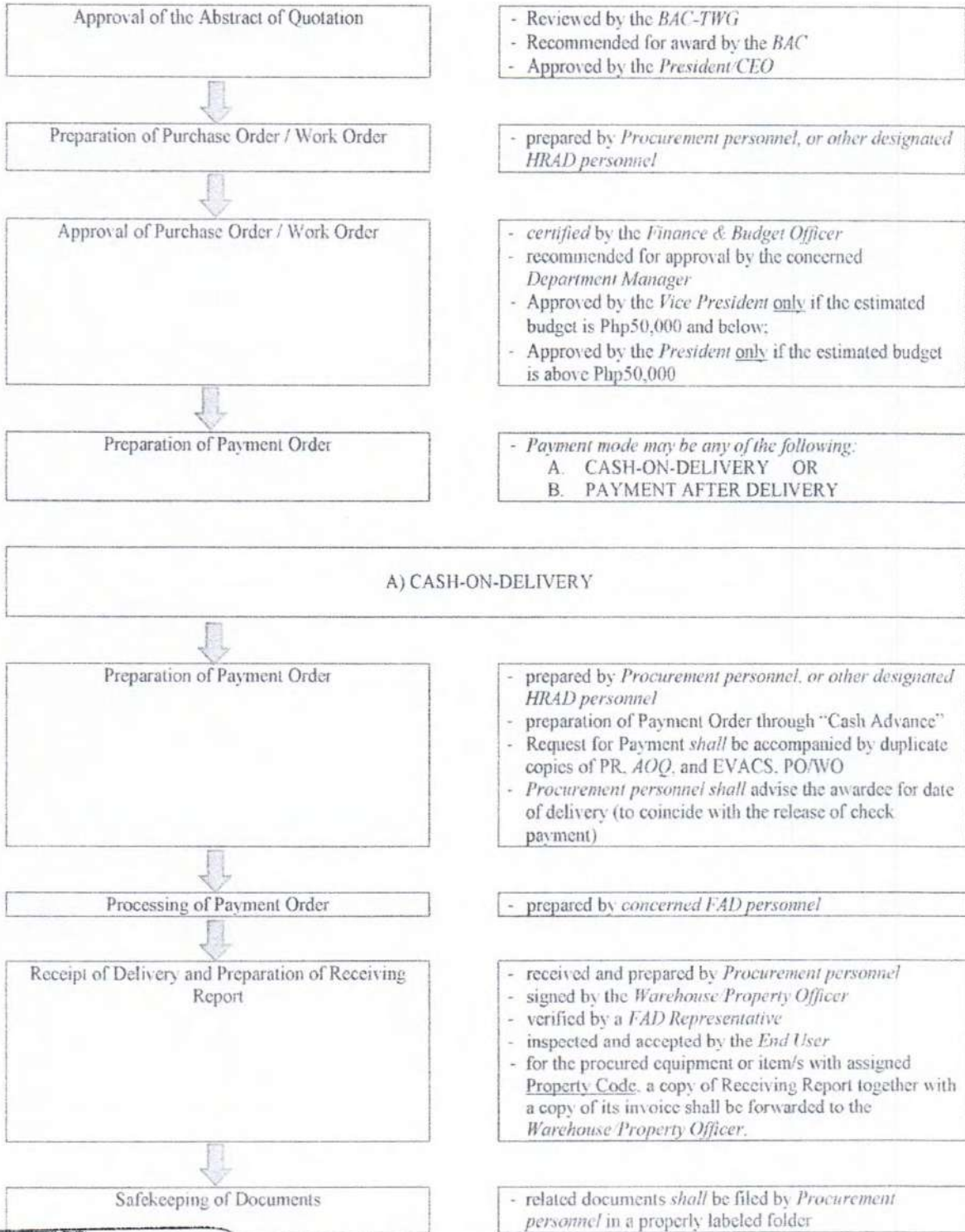
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B) PAYMENT AFTER DELIVERY

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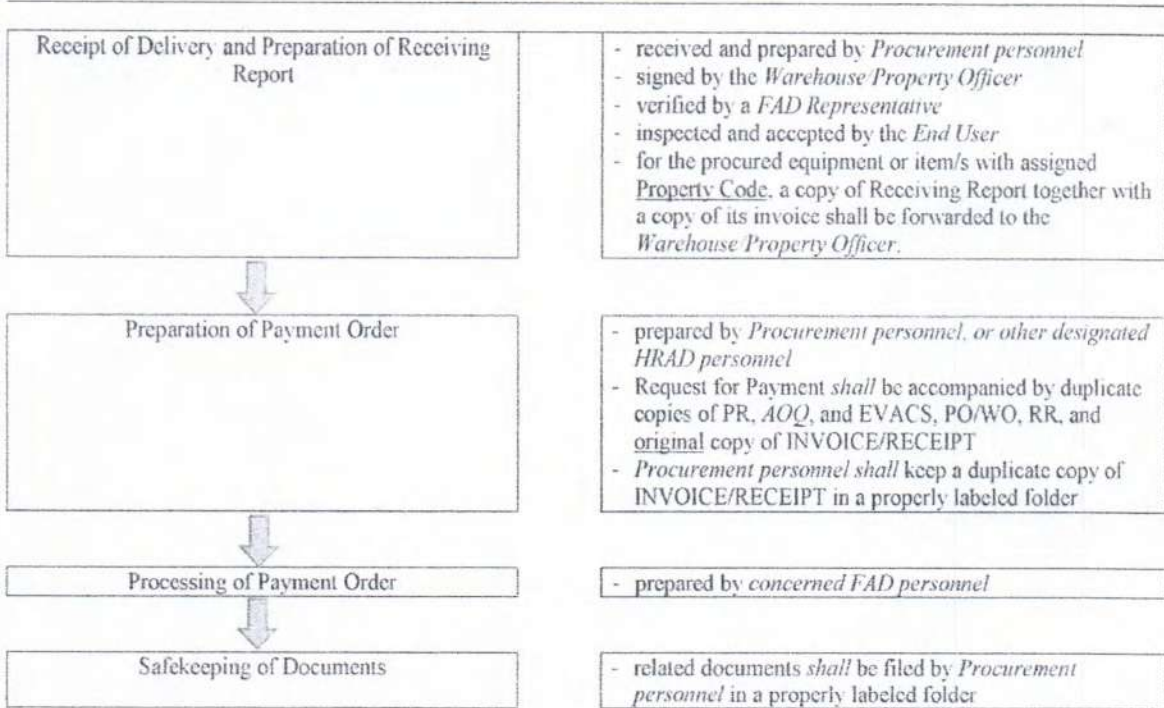
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3) Ordering of COMMON OFFICE SUPPLIES to Procurement Service

Administrative Order No. 17, July 28, 2011: Directing the Use of the Procurement Service and the Philippine Government Electronic Procurement System in the Procurement Activities in Accordance with Republic Act No. 9184, and Improving the Operation of the Procurement Service

PROCESS	PERSON RESPONSIBLE / NOTES
Preparation of Purchase Requisition / Work Order Requisition	<ul style="list-style-type: none"> - Prepared by the <i>End User</i>; endorsed by <i>immediate Supervisor</i> - PR should be properly signed and all details filled up by <i>End User</i>
Assignment of PR/WOR Number	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel, or other designated HRAD personnel</i>
Approval of PR/WOR	<ul style="list-style-type: none"> - Reviewed by the <i>authorized Admin Officer</i> - Budget availability is certified by the <i>Finance & Budget Officer</i> - Approved by the <i>Vice President only</i> if the estimated budget is Php50,000 and below; - Approved by the <i>President only</i> if the estimated budget is above Php50,000
Preparation of "Agency Procurement Request" Form	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel, or other designated HRAD personnel</i> - the form is downloadable from Procurement Service website
Approval of APR	<ul style="list-style-type: none"> - approved and signed by the <i>Procurement personnel (and other designated HRAD personnel), Finance & Budget Officer, and the President CEO</i>
Preparation of Purchase Order	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel, or other designated HRAD personnel</i>
Approval of Purchase Order	<ul style="list-style-type: none"> - certified by the <i>Finance & Budget Officer</i> - recommended for approval by the concerned <i>Department Manager</i> - Approved and signed by the <i>President CEO</i> if the amount is Php50,000.00 and above - Approved by the <i>Vice-President</i> if the amount is less than Php50,000.00
Preparation of Payment Order	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel</i> - transaction/payment terms is "cash-on-delivery (COD)" - attach duplicate copies of <i>PR, APR, AO17, and PO</i> to the request

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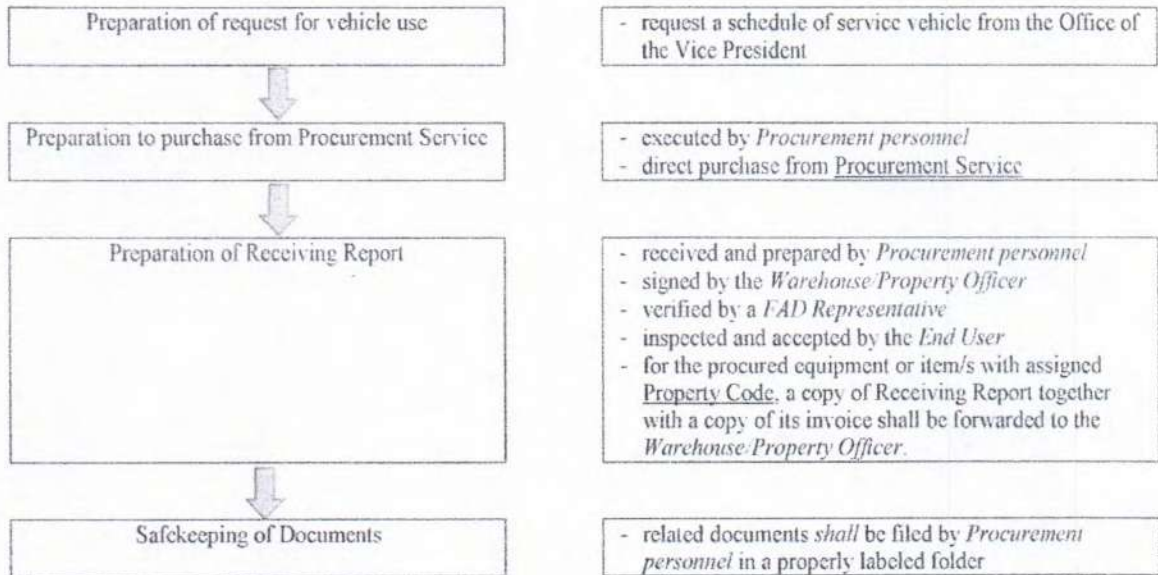
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4) PROCUREMENT of GENERAL SUPPORT SERVICES

4.1) For Repair and/or Maintenance of Equipment/Machinery

PROCESS	PERSON RESPONSIBLE / NOTES
Preparation of Repair and Maintenance Report	<ul style="list-style-type: none"> - Prepared by the <i>Custodian</i> - RMR should clearly define the problem or intended result, in full details, at the best capacity of the <i>Custodian</i> - signed by the <i>Custodian</i> and <i>Department Manager</i> concerned - <i>Warehouse/Property Officer</i> to forward the request to <i>Technical/Inspector</i> for pre-repair
Pre-repair Inspection of request and determining the scope of work	<ul style="list-style-type: none"> - performed by <i>Technical/Inspector</i>
Approval of pre-repair inspection	<ul style="list-style-type: none"> - prepared by <i>Technical/Inspector</i> - approved by <i>Warehouse/Property Officer</i> - forwarded to <i>Custodian/End User</i>
Preparation of Purchase Requisition / Work Order Requisition	<ul style="list-style-type: none"> - Prepared by the <i>End User</i>, endorsed by <i>immediate Supervisor</i> - PR should be properly signed and all details filled up by <i>End User</i> - Attached with the forwarded RMR
Assignment of PR/WOR Number	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel, or other designated HRAD personnel</i>
Approval of PR/WOR	<ul style="list-style-type: none"> - Reviewed by the <i>authorized Admin Officer</i> - Budget availability is certified by the <i>Finance & Budget Officer</i> - Approved by the <i>Vice President only</i> if the estimated budget is Php50,000 and below; - Approved by the <i>President only</i> if the estimated budget is above Php50,000
Preparation of Request for Quotation	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel, or other designated HRAD personnel</i> - at least three (3) technically and financially capable supplier should be invited to submit quotation and join the bid
Posting of RFQ to PhilGEPS website, Company website and in any conspicuous place within the company premises	<ul style="list-style-type: none"> - prepared by <i>BAC Secretariat</i> - posting in PhilGEPS is required only if the Approved Budget of the Contract amounts to above Php 50k - if the item is posted in the PhilGEPS, minimum posting time is three (3) calendar days

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Vice President, Corporate Services

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- posting in PhilGEPS is optional only if the Approved Budget of the Contract amounts to Php 50k and below

Preparation of Abstract of Canvass, Evaluation and Acceptance Summary

- prepared by Procurement personnel, or other designated HRAD personnel
- bid can be awarded to a lone bidder, provided a proof of canvass is made
- proof of canvass (or at least a completely signed RFQ) should be presented by the Procurement personnel, or other designated HRAD personnel even if the invited supplier will not join the bid, or did not submit a bid Or proof of PhilGEPS posting (if applicable).
- Evaluation and Acceptance Summary Report is prepared and approved by the BAC-TWG Evaluation and Acceptance Summary should only contain details of the bid from the Lowest Calculated Bidder, properly signed by the End User, and the BAC-TWG

Approval of the Abstract of Quotation

- Reviewed by the BAC-TWG
- Recommended for award by the BAC
- Approved by the President CEO

Preparation of Purchase Order / Work Order

- prepared by Procurement personnel, or other designated HRAD personnel

Approval of Purchase Order / Work Order

- certified by the Finance & Budget Officer
- recommended for approval by the concerned Department Manager
- Approved and signed by the President CEO

Preparation of Payment Order

- Payment mode may be any of the following:
 - CASH-ON-DELIVERY OR
 - PAYMENT AFTER DELIVERY

A. CASH-ON-DELIVERY

Preparation of Payment Order

- prepared by Procurement personnel, or other designated HRAD personnel
- preparation of Payment Order through "Cash Advance"
- Request for Payment shall be accompanied by duplicate copies of PR, RMR, AOQ, and EVACS, PO/WO
- Procurement personnel shall advise the awardee for date of delivery (to coincide with the release of check payment)

Processing of Payment Order

- prepared by concerned TAD personnel

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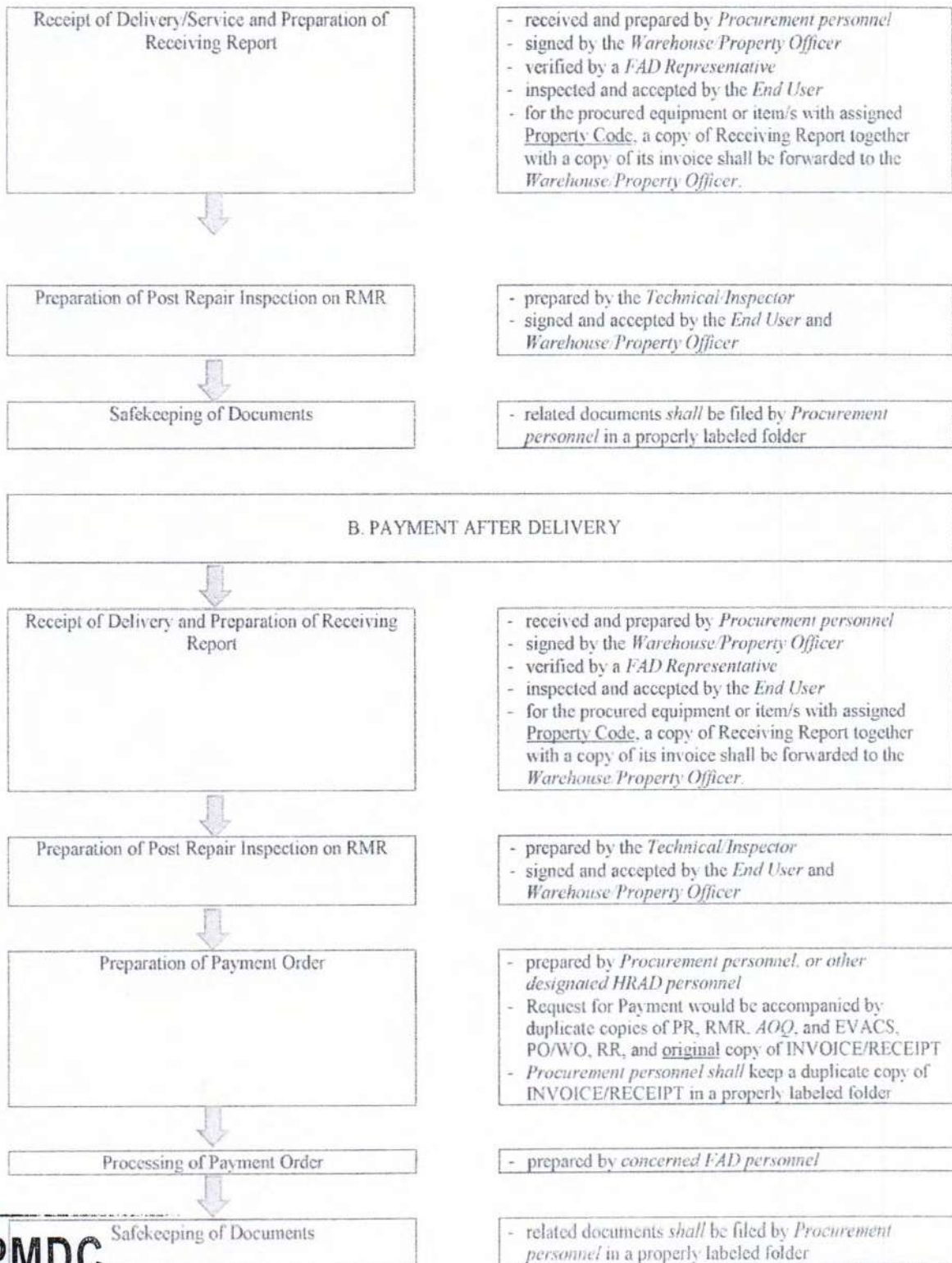


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4) PROCUREMENT of GENERAL SUPPORT SERVICES

4.2) Other Support Services

PROCESS	PERSON RESPONSIBLE / NOTES
Preparation of Purchase Requisition / Work Order Requisition	<ul style="list-style-type: none"> - Prepared by the <i>End User</i>; endorsed by <i>immediate Supervisor</i> - PR should be properly signed and all details filled up by <i>End User</i> - PR should specify all the requirements for the requested service clearly in the "Terms of Reference" or "Scope of Work" - If PR/WOR is for the continuation of a service where the contract is about to expire or has expired, the said PR/WOR should be accompanied by a Service Evaluation Report (SER) - The SER is to be accomplished by the employee-in-charge of the procured service, and noted by his/her immediate supervisor/manager
Assignment of PR/WOR Number	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel, or other designated HRAD personnel</i>
Approval of PR/WOR	<ul style="list-style-type: none"> - Reviewed by the <i>authorized Admin Officer</i> - Budget availability is certified by the <i>Finance & Budget Officer</i> - Approved by the <i>Vice President only</i> if the estimated budget is Php50,000 and below; - Approved by the <i>President only</i> if the estimated budget is above Php50,000
Preparation of Request for Quotation	<ul style="list-style-type: none"> - prepared by <i>Procurement personnel, or other designated HRAD personnel</i> - at least three (3) technically and financially capable suppliers should be invited to submit quotation and join the bid - if the SER indicated a favorable evaluation on the current or more recent service provider, the latter shall be considered as one of the three (3) suppliers for the canvass; if evaluation of service is not favorable, said service provider shall no longer be considered in the canvass
Posting of RFQ to <i>PhilGEPS website, Company website, and in any conspicuous place within the company premises</i>	<ul style="list-style-type: none"> - prepared by <i>BAC Secretariat</i> - posting in PhilGEPS is <u>required only</u> if the Approved Budget of the Contract amounts to above Php 50k - if the item is posted in the PhilGEPS, minimum posting time is three (3) calendar days - posting in PhilGEPS is <u>optional only</u> if the Approved Budget of the Contract amounts to Php 50k and below

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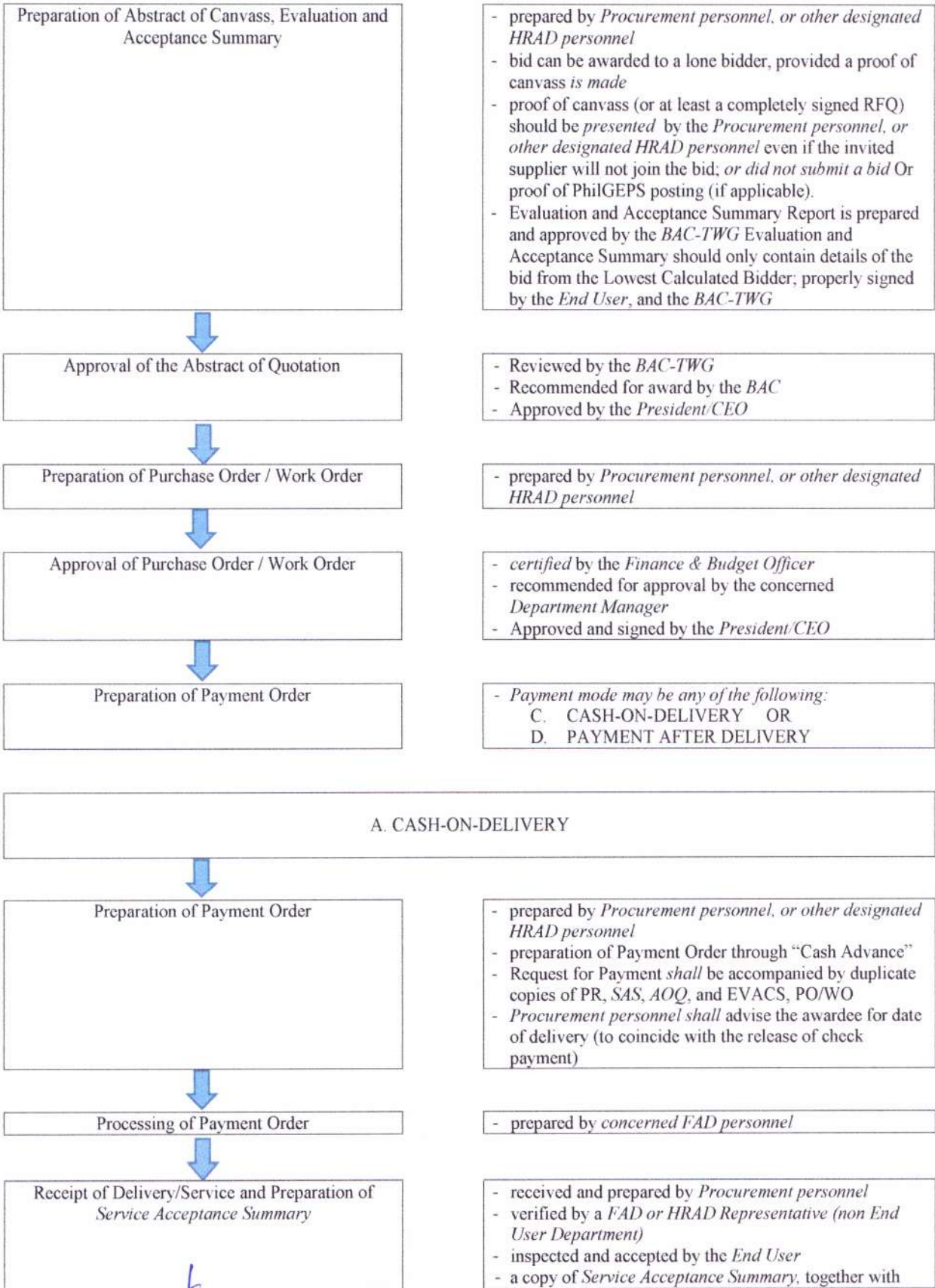
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Safekeeping of Documents

the original copy of its invoice shall be forwarded to FAD

- related documents shall be filed by Procurement personnel in a properly labeled folder

B. PAYMENT AFTER DELIVERY



Receipt of Delivery/Service and Preparation of Service Acceptance Summary

*- received and prepared by Procurement personnel
- verified by a FAD or HRAD Representative (non End User Department)
- inspected and accepted by the End User
- a copy of Service Acceptance Summary, together with the original copy of its invoice shall be forwarded to FAD*



Preparation of Payment Order

*- prepared by Procurement personnel, or other designated HRAD personnel
- Request for Payment shall be accompanied by duplicate copies of PR, RMR, AOQ, and EVACS, PO/WO, SAS, and original copy of INVOICE/RECEIPT
- Procurement personnel shall keep a duplicate copy of INVOICE/RECEIPT in a properly labeled folder*



Processing of Payment Order

- prepared by concerned FAD personnel



Safekeeping of Documents

- related documents shall be filed by Procurement personnel in a properly labeled folder

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Vice President, Corporate Services
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IV. GUIDELINES

A. Filling up of Forms

a. Purchase Requisition

The details to the sections "Originating Department/Work Unit", "Date Requested", "Date Needed", "Item No.", "Item/Description", "QTY", "UM" (unit of measurement), "Remarks", and "Purpose" must be provided and signed by the *End User*.

The specifications of purchase requisition must be completely detailed, up to the last characteristic of the specification needed by the end user (except for proprietary names, and brand name), and complete with justification (if necessary).

b. Work Order Requisition

The details of work to be done must be specified and attach a copy of the technical requirements of the work to be done.

c. Purchase Order

The purchase order must indicate the payment and delivery terms.

d. Work Order

The type of work to be done (i.e. lease, hauling/delivery, others) and the contract cost and payment terms must be indicated.

e. Request for Quotation

The Request for Quotation must prescribe the manner by which price quotations shall be submitted i.e., by sealed or open quotation, and the deadline for their submission. Suppliers must be informed that PMDC is a Tax withholding Agent.


Information relating to the examination, evaluation, and comparison of price quotations shall be kept confidential and should not be disclosed to any other party except to those officially concerned until award of the contract.

f. Service Evaluation Report

A report form that is accomplished by the employee-in-charge of the procured service immediately after the expiration of the service contract. The SER shall be used as basis whether the service provider can be considered for contract renewal after submission of a new bid proposal together with other service providers.

g. Service Acceptance *Summary*

A form that is accomplished by the employee-in-charge/End User, which shows the detailed summary and quality of the services done by the service provider and used as basis for payment.

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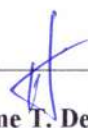
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B. Timelines

- a. For procurement of Regular Items: provided that there are no external factors beyond the control of the *Procurement personnel*, the maximum number of working days to process the request is twelve (12) working days. Scope of the process starts from the receipt of approved Purchase Requisition up to the delivery of the item.
- b. For procurement of Non-regular Items: provided that there are no external factors beyond the control of the *Procurement personnel*, the maximum number of working days to process the request is twenty two (22) working days. Scope of the process starts from the receipt of approved Purchase Requisition up to the delivery of the item.
- c. For the procurement of Goods, Infrastructure, and Consulting Services thru competitive bidding, the provisions on each procurement activities provided in the R.A. 9184, also known as the "Government Procurement Reform Act", shall be applied.

C. PhilGEPS Posting

Posting of all the Request for Quotation and awards in the PhilGEPS website (as well as the Company's website, and at any conspicuous place in the premises of the Company) shall be mandatory on all methods of procurement except for Shopping and Small Value Procurement if the Approved Budget of Contract would equal to Fifty Thousand Pesos (Php50,000.00) and below (*GPPB Resolution No. 09-2009: Approving, by Referendum, the Guidelines for Shopping and Small-Value Procurement*).

Approved by:  <u>Jaime T. De Veyra</u> Vice President, Corporate Services	Date: APR 25 2018	PMDC UNCONTROLLED COPY
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			Revision No.:	1
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**PROCEDURE ON PHILGEPS POSTING,
PREPARATION OF PROJECT PROCUREMENT MANAGEMENT PLAN, ANNUAL
PROCUREMENT PLAN AND PROCUREMENT MONITORING REPORT,
AGENCY PROCUREMENT COMPLIANCE AND PERFORMANCE INDICATOR /
CONSOLIDATED PROCUREMENT MONITORING REPORT**

I. DEFINITION

For purposes of R.A. 9184 otherwise known as the Philippine Government Procurement Act, the terms or words and phrases shall mean or be understood as follows:

1. *BAC* – refers to the Bids and Awards Committee established in accordance with Article V of R.A. 9184
2. *Bidding Documents* – refers to the documents issued by the Procuring Entity as the basis for Bids, furnishing all information necessary for a prospective bidder to prepare a bid for the Goods, Infrastructure Projects, and Consulting Services to be provided
3. *GPPB* – refers to the Government Procurement Policy Board established in accordance with Article XX of RA 9184
4. *GPPB-TSO* – refers to the Government Procurement Policy Board-Technical Support Office
5. *Head of the Procuring Entity (HOPE)* – refers to: (i) the head of the agency or his duly authorized official for national government agencies; (ii) the governing board or its duly authorized official for government-owned and/or-controlled corporations; or (iii) the local chief executive for local government units. Provided, that in a department, office or agency where the procurement is decentralized, the Head of each decentralized unit shall be considered as the Head of the Procuring Entity subject to the limitations and authority delegated by the head of the department, office or agency
6. *Procuring Entity* – refers to any branch, constitutional commission or office, agency, department, bureau, office or instrumentality of the GOP (NGA), including GOCC, GFI, SUC and LGU procuring goods, consulting services and infrastructure projects
7. *PPMP* – refers to the Project Procurement Management Plan which shall be prepared by the end-user units of the procuring entity for their different programs, activities, and projects (PAPs). The PPMP shall include:

a) information on whether PAPs will be contracted out, implemented by administration in accordance with the guidelines issued by the GPPB, or consigned;

b) the type and objective of contract scopes/packages;

c) the extent/size of contract scopes/packages;

d) the procurement methods to be adopted, and indicating if the procurement tasks are to be outsourced.

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Approved by:


Jaime T. De Veyra

Vice President, Corporate Services

Date:

JUN 24 2016

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	PHILIPPINE MINING DEVELOPMENT CORPORATION		Control No:	PMDC-QP-09-00
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- e) the time schedule for each procurement activity and for the contract implementation; and
 - f) the estimated budget for the general components of the contract.
8. *APP* – refers to the Annual Procurement Plan which reflects the entirety of the procurement activities that will be undertaken by the procuring entity within the calendar year using the prescribed format required by the GPPB and submitted to the GPPB.
 9. *APP-CSE* – the Annual Procurement Plan of Common-Use Supplies and Equipment submitted to the Department of Budget and Management-Procurement Service
 10. *APCPI* – refers to the Agency Procurement Compliance and Performance Indicator which is a standard procurement performance monitoring and evaluation tool for use by all procuring entities
 11. *CPMR* – refers to the Consolidated Procurement Monitoring Report
 12. *PMR* – refers to the Procurement Monitoring Report which is prepared by the BAC in the form prescribed by the GPPB.
 - The PMR shall cover all procurement activities specified in the APP, whether on-going and completed from holding of the pre-procurement conference to the issuance of the notice of award and approval of the contract, including the actual time for each major procurement activity.
 13. *PhilGEPS* – refers to the Philippine Government Electronic Procurement System provided in Section 8 of RA 9184
 14. *DBM-PS* – refers to the Department of Budget and Management-Procurement Service

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Vice President, Corporate Services

Date: MAY 18 2016

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II. RESPONSIBILITIES

1. *End-user Unit* – responsible for the preparation of the Project Procurement Management Plan (PPMP) of each unit of the procuring entity
2. *Bids and Awards Committee* – shall have the following functions:
 - a) Advertise and/or post the invitation to bid/request for expressions of interest;
 - b) Conduct pre-procurement and pre-bid conferences;
 - c) Determine the eligibility of prospective bidders;
 - d) Receive bids;
 - e) Conduct the evaluation of bids;
 - f) Undertake post-qualification proceedings;
 - g) Resolve motions for reconsideration;
 - h) Recommend award of contracts to the Head of the Procuring Entity or his duly authorized representative;
 - i) Recommend the imposition of sanctions in accordance with Rule XXIII;
 - j) Recommend to the Head of the Procuring Entity the use of alternative methods of procurement as provided for in Rule XVI hereof; and
 - k) Perform such other related functions as may be necessary, including the creation of a Technical Working Group (TWG) from a pool of technical, financial, and/or legal experts to assist in the procurement process, particularly in the eligibility screening, evaluation of bids, and post-qualification
3. *BAC Secretariat* – serve as the main support unit of the BAC and who shall be under the direct supervision of the BAC Chairman

The Secretariat shall have the following functions and responsibilities:

- a) Provide administrative support to the BAC;
- b) Organize and make all necessary arrangements for BAC meetings and conferences;
- c) Prepare minutes of meetings and resolutions of the BAC;
- d) Take custody of procurement documents and other records;
- e) Manage the sale and distribution of Bidding Documents to interested bidders;
- f) Advertise and/or post bidding opportunities, including Bidding Documents, and notices of awards;
- g) Assist in managing the procurement processes;
- h) Monitor procurement activities and milestones for proper reporting to relevant agencies when required;
- i) Consolidate PPMPs from various units of the procuring entity to make them available for review as indicated in Section 7 of this IRR;
- j) Prepare the APP, APP-CSE, PMR, APCPI, and CPMR as delegated by the BAC;
- k) Prepare the APCPI assessment, convene meetings with the Confirmation Team and reconcile results in case there are difference in findings;

act as the central channel of communications for the BAC with end users, PMOs, other units of the line agency, other government agencies, providers of goods, infrastructure projects, and consulting services, observers, and the general public

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Date:

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4. *Technical Working Group* - appointed by the BAC from a pool of technical, financial, and/or legal experts to assist in the procurement process, particularly in the eligibility screening, evaluation of bids, and post-qualification.

The TWG shall have the following functions and responsibilities:

- Preparation of bidding documents
- Eligibility check/short-listing
- Bid evaluation and preparation of reports
- Post-qualification
- Preparation of post-qualification summary report

5. *Observers* – represent the public, the taxpayers who are interested in seeing to it that procurement laws are observed and irregularities are averted.

The Observers shall have the following functions and responsibilities:

- Prepare report (jointly or separately) indicating their observations on the procurement activities;
- Submit report to the Procuring Entity and furnish a copy to the GPPB and the Office of the Ombudsman/Resident Ombudsman; and,
- Immediately inhibit and notify in writing the Procuring Entity of any actual or potential conflict of interest.

6. *Confirmation Team* - checks the APCPI results of the procuring entity in terms of completeness, correctness, consistency and responsiveness.

The Procuring Entity shall send invitations to at least three (3) suggested partners but attendance of at least one (1) will suffice from any of the following:

- COA
- Civil Society Organization
- Peer Review
- Private Sector

7. *Budget Officer of the FAD* – refers to the Budget Officer of the Finance and Accounting Department.

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Jaime T. De Veyra
Vice President, Corporate Services

Date:

JUN 24 2016

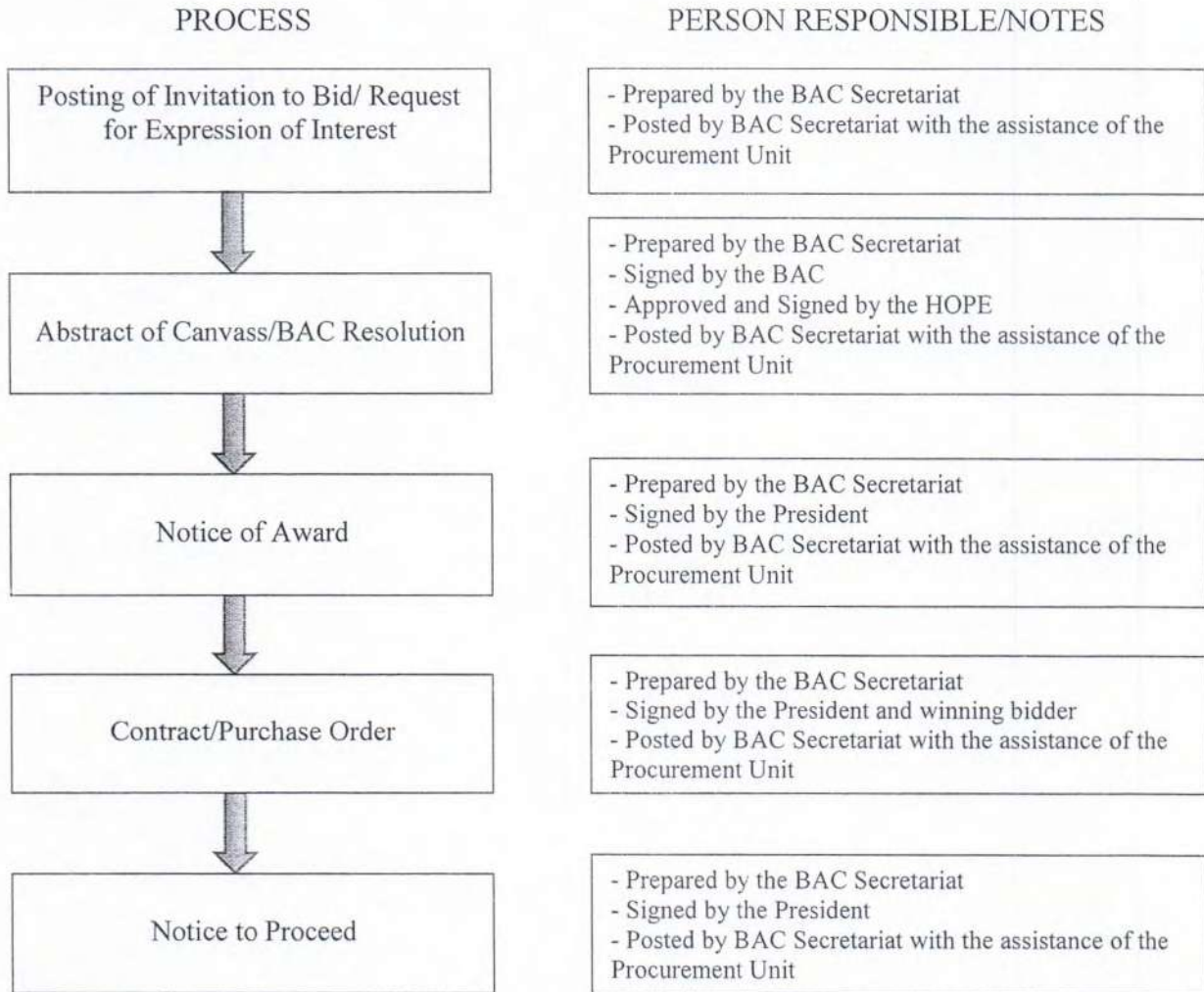
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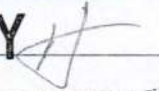
	PHILIPPINE MINING DEVELOPMENT CORPORATION		Control No:	PMDC-QP-09-00
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	Quality Procedure	BAC Secretariat Functions	Effectivity:	May 26, 2016
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III. PROCESS FLOW

1. PhilGEPS POSTING





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Jaime T. De Veyra
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2. PREPARATION OF PPMP, APP AND PMR

A. PROJECT PROCUREMENT MONITORING PLAN

PROCESS	PERSON RESPONSIBLE/NOTES
Preparation of the Project Procurement Management Plan (PPMP)	- Prepared by the end-user unit - Note: BAC Secretariat to provide the PPMP form
Submit to the Finance and Accounting Department (FAD) for evaluation	- Reviewed by the Budget Officer of the FAD
Preparation of the Budget Proposal	- Prepared by Budget Officer of the FAD
Submit Budget Proposal to the HOPE	- Reviewed by the HOPE for approval
Upon approval of the HOPE, FAD will forward the PPMPs to the BAC Secretariat for consolidation and review	- Consolidated and reviewed by the BAC Secretariat
When the Corporate Budget becomes final, the consolidated PPMPs will also be finalized using the APP format	- Finalized by the BAC Secretariat - Reviewed by the BAC
Approval of consolidated PPMP	- Approved by the HOPE

FOR REVISIONS IN THE PPMP

Approved items will form part of the PPMP while disapproved items will be deleted and the PPMP will be revised accordingly.


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Date: MAY 18 2016

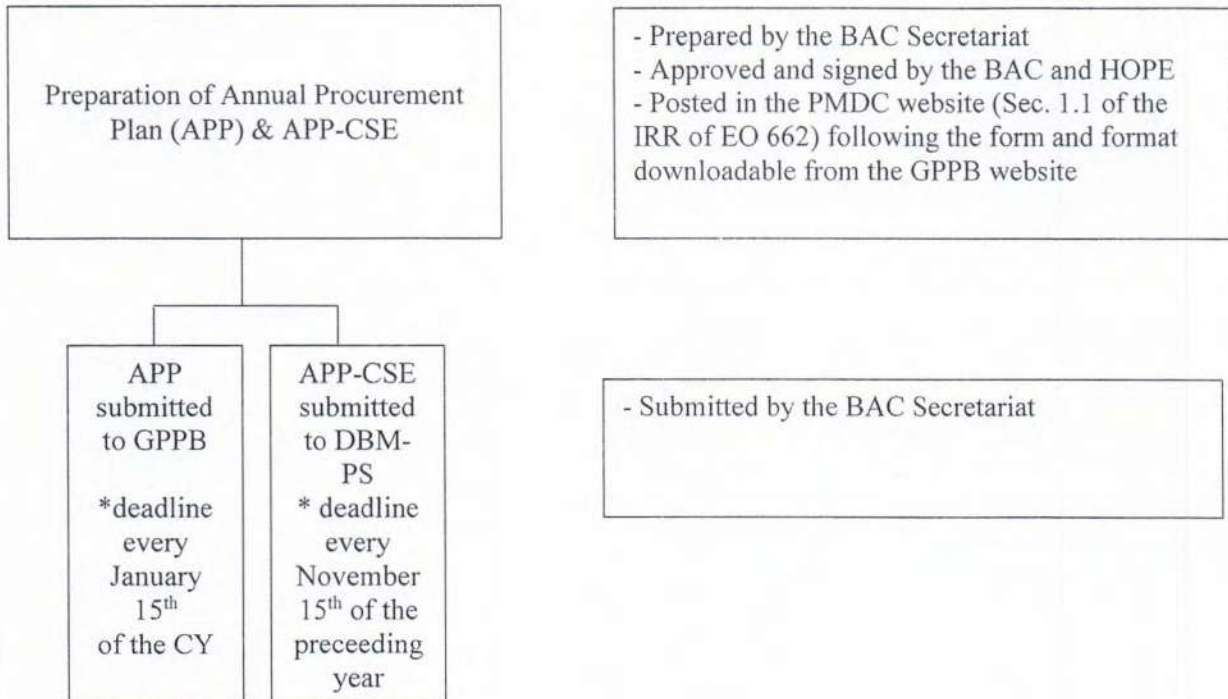
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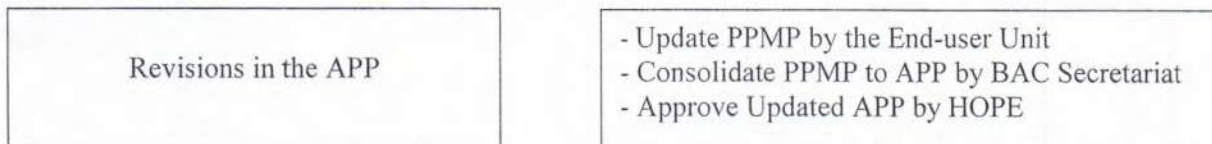
B. ANNUAL PROCUREMENT PLAN (APP & APP-CSE)

PROCESS

PERSON RESPONSIBLE/NOTES



FOR REVISIONS IN THE APP




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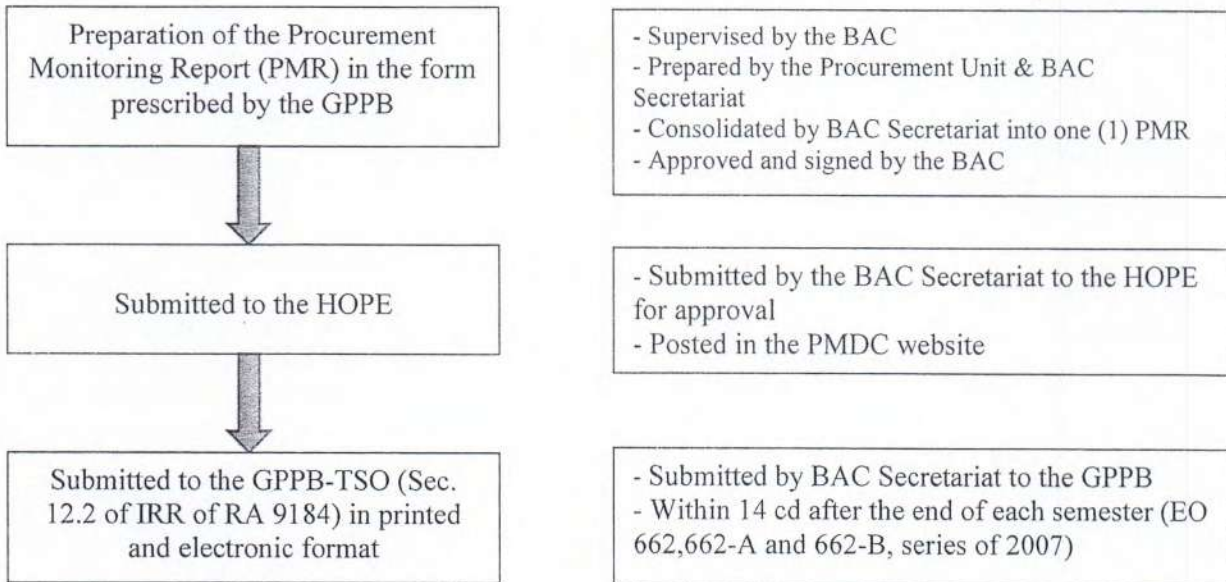
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C. PROCUREMENT MONITORING REPORT

PROCESS

PERSON RESPONSIBLE/NOTES



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Approved by:

Jaime T. De Veyra


Vice President, Corporate Services

Date:

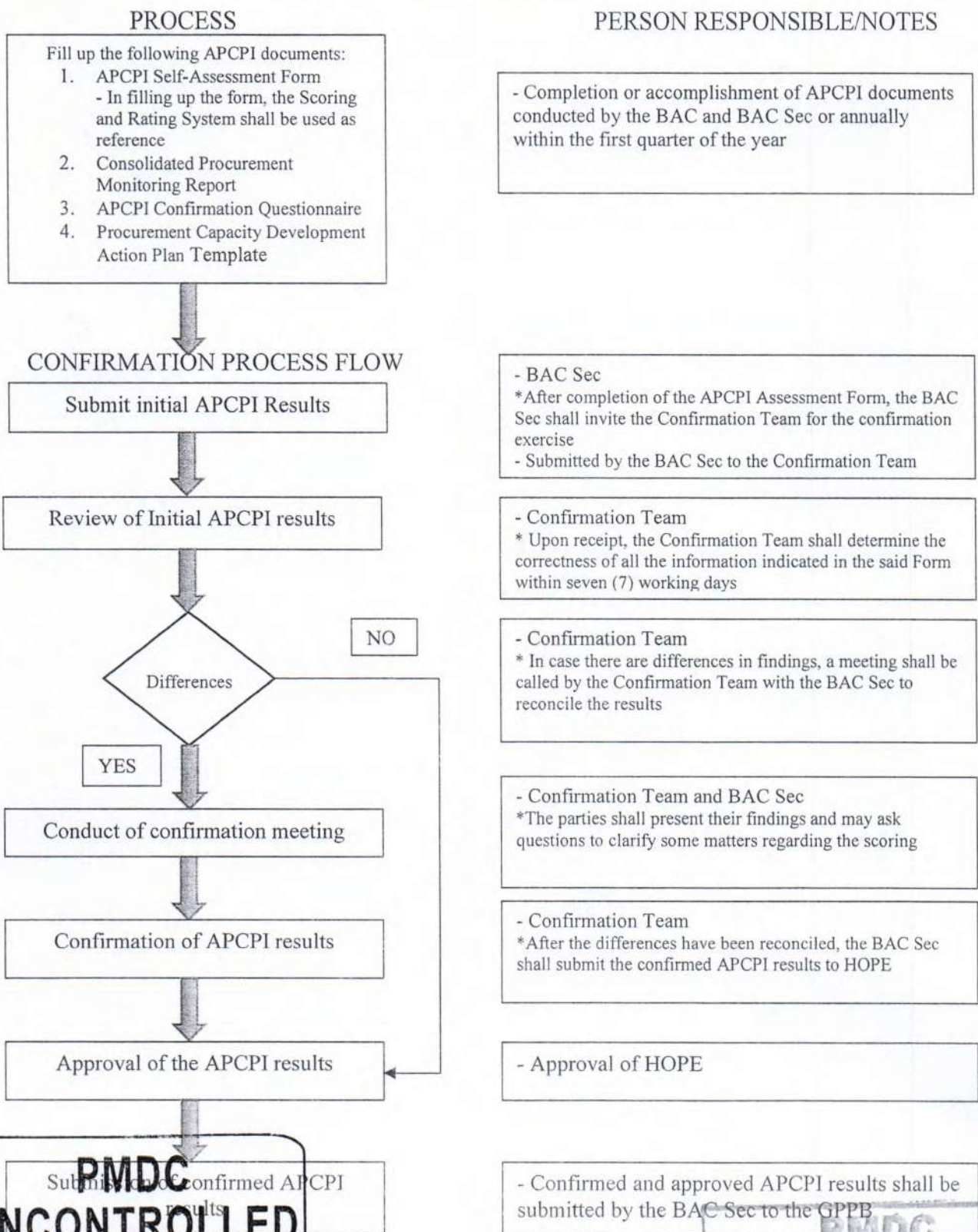
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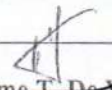
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3. AGENCY PROCUREMENT COMPLIANCE AND PERFORMANCE INDICATOR (APCPI) / CONSOLIDATED PROCUREMENT MONITORING REPORT (CPMR)




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Jaime T. De Veyra
 Vice President, Corporate Services

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4. REQUIREMENTS


Requirements	Law/Rule/ Issuance	Responsible Person/ Entity	Timetable	Post in PE's website
APP	EO 662 as amended; Implementing Guidelines	BAC, BAC Sec, HOPE	Annually	Yes
PMR	Sec. 12.2, IRR EO 662, as amended; Implementing Guidelines	HOPE	Within 14 cd after end of semester	Yes
List of Observers	EO 662, as amended; Implementing Guidelines	BAC Sec, BAC	Every semester	Yes
Resolutions of protests	Sec.56, IRR	BAC Sec Head	Within 7 cd from receipt	Not required
Court cases	Sec. 58.3, IRR	BAC Sec Head	Not indicated	Not required
Blacklisting/ Delisting Orders	Sec. 9.1, Uniform Guidelines for Blacklisting	HOPE	Within 7 cd after issuance	Not required
Contract extensions	Sec. 5.2, Rev. Guidelines re Extension of Gen. Support Services	HOPE or duly authorized representative	Immediately, if extension exceeds 6 mos.	Not required
List of Pre-selected Suppliers	Sec. 49.2, IRR	BAC Sec, BAC, HOPE	After pre-selection procedure	Not required

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5. PRESCRIBED FORMS

- a) Project Procurement Management Plan
- b) Annual Procurement Plan (Note: Forms are revised yearly by the GPPB)
- c) Annual Procurement Plan-Common Supplies and Equipment (Note: Forms are revised yearly by the DBM-PS)
- d) Procurement Monitoring Report
- e) Agency Procurement Compliance and Performance Indicator (APCPI) Self-Assessment Form
- f) Consolidated Procurement Monitoring Report
- g) Confirmation Questionnaire
- h) Procurement Capacity Development Action Plan Template

6. REFERENCES

- 1. R.A. 9184 also known as Government Procurement Reform Act and its Implementing Rules and Regulations
- 2. Executive Order No. 662 also known as Enhancing Transparency Measure under R.A. 9184 and creating the Procurement Transparency Board and its Implementing Guidelines


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Vice President, Corporate Services

Date: MAY 18 2016

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	PHILIPPINE MINING DEVELOPMENT CORPORATION		Control No:	PMDC-QP-10-00
			Revision No.:	i
Quality Procedure	Training and Development	Effectivity:	November 25, 2022	
		Page No.	Page 1 of 7	

PROCEDURE ON TRAINING AND DEVELOPMENT

1.0 PURPOSE

This document institutionalizes the procedures for the preparation of the training plan, conduct of in-house training programs and participation in external capacity-building programs.

2.0 POLICY

PMDC considers the participation of its employees in trainings and seminars as investment for the mutual gain of the company and the individual. The employees' participation thereof is intended to develop, enhance and update their competencies for improved individual and organizational performance.

3.0 SCOPE

This procedure outlines the specific steps and activities undertaken in the preparation, implementation and evaluation of external and in-house training programs attended by the Company's officials and employees.

4.0 DEFINITIONS

1. Training Needs Assessment (TNA) – refers to a method of determining the company's learning gaps and/or training needs and the kind of learning intervention that is required to meet the identified training requirements.
2. Training Plan – refers to a document which provides the list of external training programs to be participated in by the employees and in-house learning sessions to be conducted within the year. The training programs/learning interventions indicated in the Training Plan were derived from the results of the Training Needs Assessment and those formulated by HRAD which were seen as necessary based on the required competencies, results of the performance evaluation, observations or evaluation of the effectiveness of trainings attended.
3. Request for Training Form – refers to the form accomplished and submitted by the employee and endorsed by his/her manager indicating the requested training program to be participated in by the employee. The request includes the following information: training course title, inclusive dates and venue, registration and other fees required and the justification for his/her participation.
4. Evaluation of Training Effectiveness – refers to the list of trainings/seminars attended by an employee for the concluding year prepared and distributed by HRAD to the employee's immediate supervisor. The supervisors evaluate the effectiveness of the trainings at the end of every calendar year based on how the employee was able to apply the learnings obtained or observed improvement on the employee's performance. The immediate supervisor's evaluation is then submitted to HRAD to serve as inputs for the formulation of the Training Plan of the following year.

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Approved by: Jaime T. De Yevra
 Vice President, Corporate Services

Date: NOV 25 2022

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date 11/25/2022



PHILIPPINE MINING DEVELOPMENT CORPORATION

Quality Procedure

Training and Development

Control No: PMDC-QP-10-00

Revision No.: 1

Effectivity: October 01, 2021

Page No. Page 2 of 7

5. Post-Training Report – refers to the report submitted by the employee after his/her participation in an in-house or external training program which contains the training highlights or key topics discussed, relevance of the training program to the employee’s job functions, specific benefits/learnings from the training, and activities or initiatives that can be undertaken by the employee or his/her department in applying the learnings obtained by the training attendee. The Post-Training Report is submitted by the employee within five (5) working days from the last day of the training program or at the latest a month after the training/seminar provided that, HRAD has been advised accordingly. The submitted PTRs are also used to evaluate the applicability and effectiveness of the training programs attended. Further, recommendations from the Post-Training Report can serve as inputs for the succeeding year’s Training Plan and other improvement initiatives within the organization.
6. Training Certificate – refers to the document that certifies that an employee has participated in and completed a training program. The document includes details on the training’s topic, date and venue and duly signed by the resource speaker/training provider.
7. Training Provider – refers to the third-party service provider to whom the facilitation of a particular training program was awarded, through a competitive and transparent procurement process.
8. Webinar – refer to short for web-based seminar, a webinar is a presentation, lecture, workshop or seminar that is transmitted over the web using video conferencing software allowing participants in different locations to interact with each other.

1.0 RESPONSIBILITY

1. Bids and Awards Committee (BAC) – refers to the internal committee that oversees all bidding processes within the company.
2. Department Assistants - processes the documents relative to the approved request for trainings and its corresponding fees, submits the employee’s registration form to the training provider via fax or email, deposits the check payment to the training provider’s bank account (if required) or provides the check payment to the training participant/employee for payment during the actual training.
3. Department Managers/Supervisors – provides inputs to HRAD on training requirements, endorses requests for trainings, assesses the effectiveness of the training based on the employee’s knowledge, skills and abilities and evaluates the applicability of the recommendations indicated in the Post-Training Reports submitted by their subordinates before submission to HRAD.
4. Finance and Accounting Department (FAD) – determines the availability of funds for requested trainings and expenses relative to the conduct of in-house training programs.

5. Human Resource Administration Department (HRAD) – facilitates the provision and conduct of internal capacity-building activities in the organization.

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Vice President, Corporate Services

Date: OCT 22 2021

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Training and Development

Control No: PMDC-QP-10-00

Revision No.: 0

Effectivity: September 27, 2016

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6. HR and Administration Department (HRAD) Manager – oversees the over-all planning for external and in-house training programs, reviews request/s for training and spearheads other capacity-building initiatives for the organization.
7. HR Officer – conducts the Training Needs Assessment during the first quarter of the year, analyzes the results and submits a proposed Training Plan using the data obtained from the Training Needs Assessment. He/she is also in-charge of the preparation and facilitation of in-house training programs.
8. HR Specialist – assists the HR Officer in the conduct of the Training Needs Assessment and preparation of the Training Plan; collates and monitors the submission of Post-Training Reports and training certificates within a given period, and manages the administrative preparation of in-house training programs.
9. Vice President for Corporate Services – endorses request/s for training and reviews the proposed Training Plan prior submission to the President and CEO.
10. President and CEO – approves request/s for training and the proposed Training Plan as endorsed by the Vice President for Corporate Services.
11. Procurement Unit -- assists the Bids and Awards Committee (BAC) in facilitating the end-to-end procurement process of the organization.

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Vice President, Corporate Services

Date:

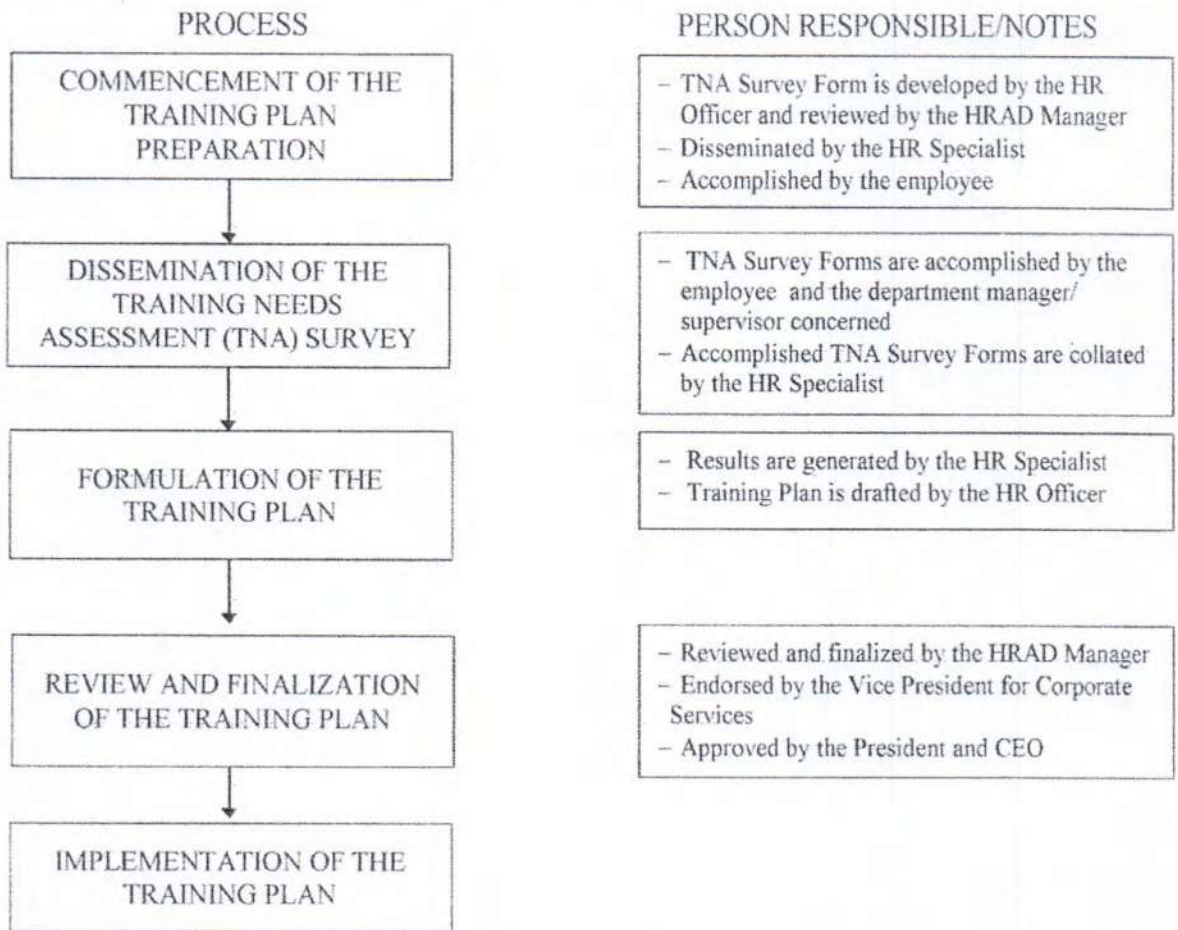
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1.0 PROCESS FLOW

PREPARATION OF THE TRAINING PLAN



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Approved: 
Vice President, Corporate Services

Date: SEP 09 2016
10/15/2021

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PROCESSING OF EMPLOYEE PARTICIPATION IN EXTERNAL TRAININGS/SEMINARS

PROCESS

PERSON RESPONSIBLE/NOTES

PREPARATION OF THE REQUEST FOR TRAINING FORM

- Prepared by the employee
- Endorsed by the immediate supervisor

CERTIFICATION OF BUDGET AVAILABILITY OF THE REQUEST

- Budget availability is certified by the Budget Officer or any designated/authorized officer

EVALUATION OF THE REQUEST FOR TRAINING FORM

- Reviewed by the HRAD Manager
- Endorsed by the Vice President for Corporate Services

APPROVAL OF THE REQUEST FOR TRAINING FORM

- Approved by the President and CEO

PROCESSING OF PAYMENT FOR THE TRAINING PROVIDER

- Facilitated by the Department Assistant concerned and FAD Personnel

RELEASE OF CHECK PAYMENT

- For advance payment, the Department Assistant deposits the check payment to the training provider's bank account
- For on-the-day payment, the Department Assistant turns-over the check payment to the training participant for payment on the training day itself

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Approved: Jahangir De Veyra
Vice-President, Corporate Services

Date: SEP 09 2016

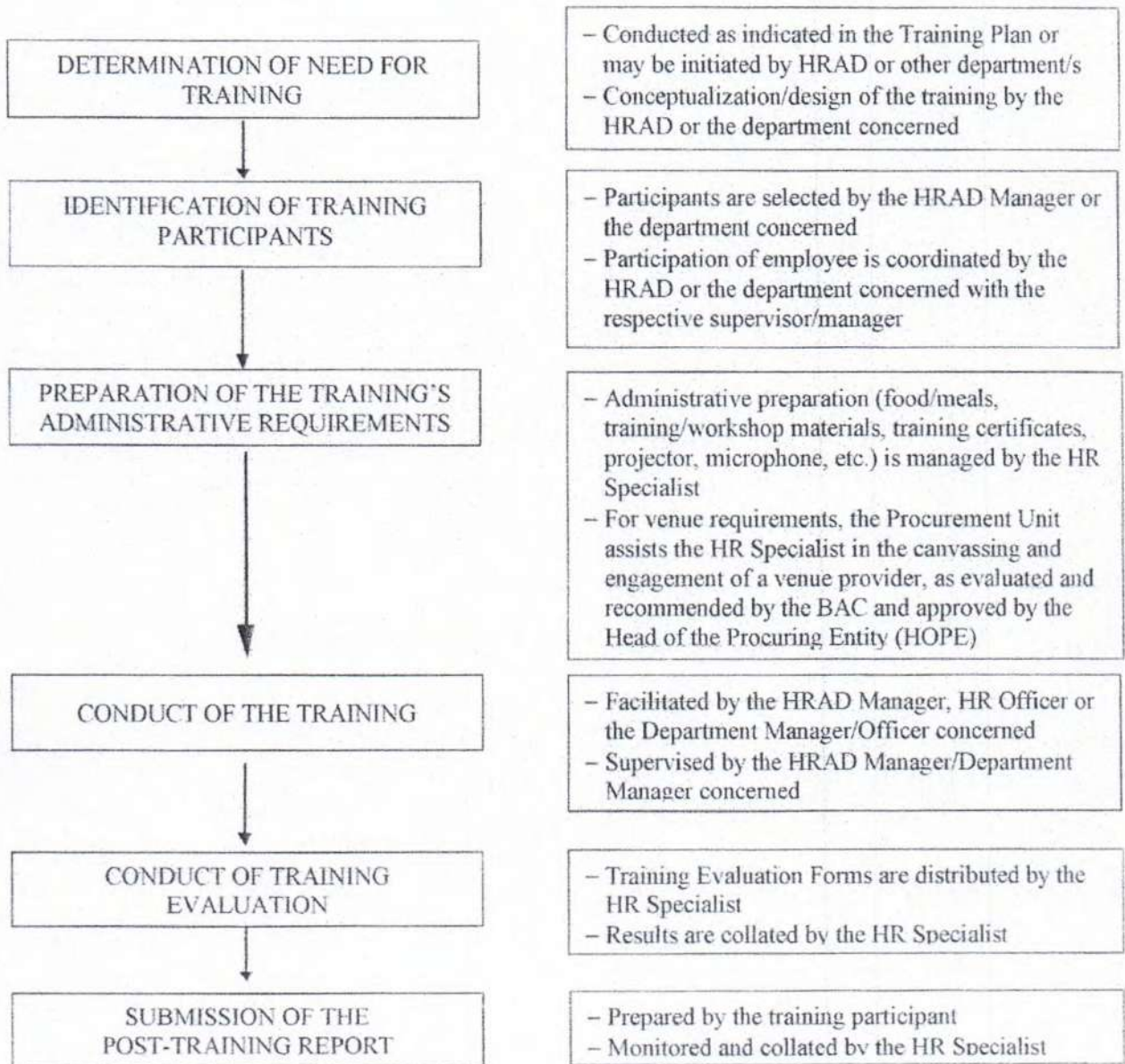
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**CONDUCT OF IN-HOUSE TRAINING PROGRAM
(In-house Training Facilitator)**

PROCESS

PERSON RESPONSIBLE/NOTES



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Vice President, Corporate Services

Date:

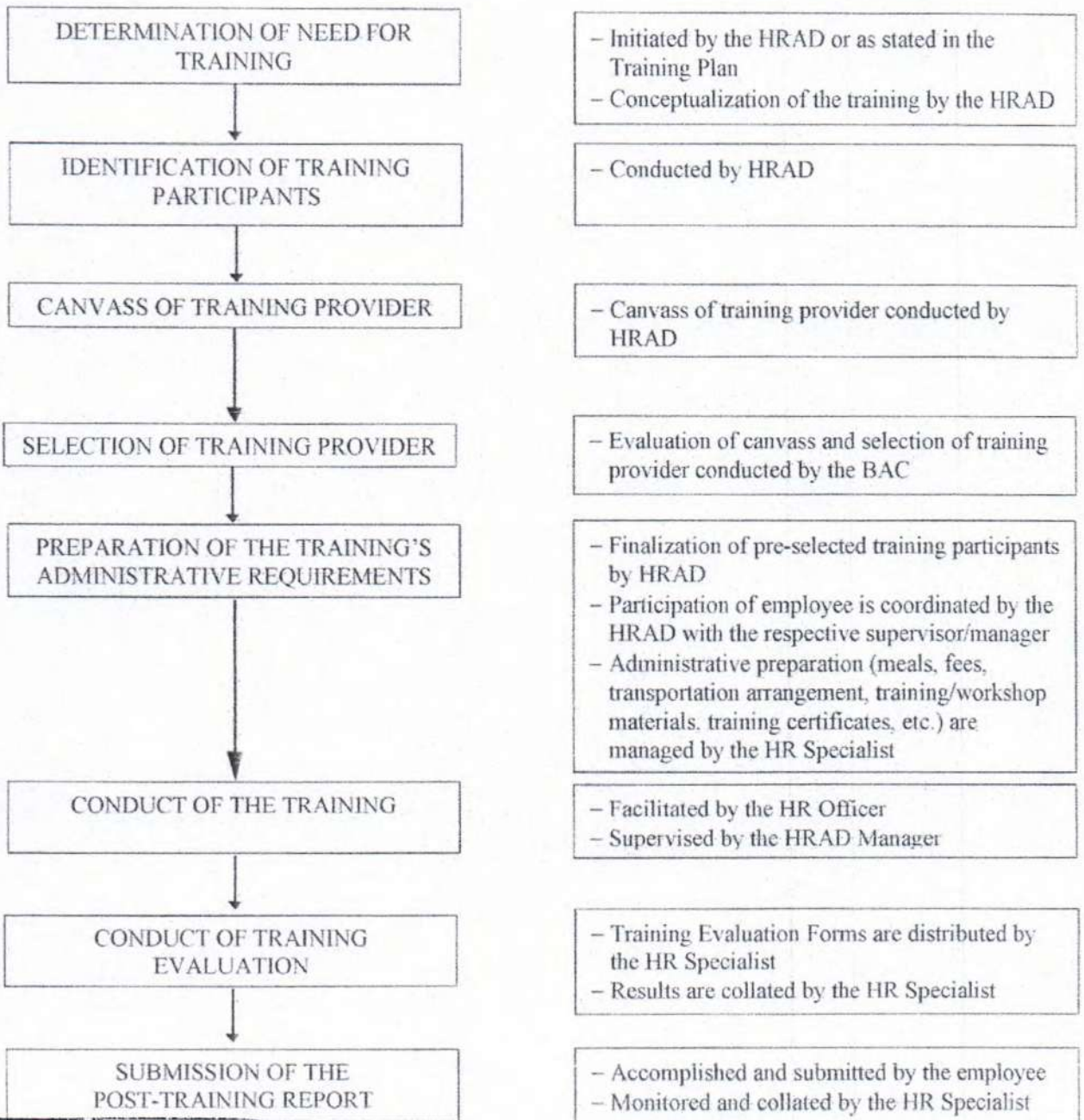
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**CONDUCT OF IN-HOUSE TRAINING PROGRAM
(External Training Provider)**

PROCESS

PERSON RESPONSIBLE/NOTES



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Approved: Jaime S. Veyra
Vice President, Corporate Services

Date: SEP 09 2016

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PHILIPPINE MINING DEVELOPMENT CORPORATION

Quality Procedure

Handling and Safekeeping of Bond Documents

Control No:	PMDC-QP-11-00
Revision No.:	0
Effectivity:	October 31, 2016
Page No.	Page 1 of 3

I. Purpose

This document aims to institutionalize the policies and procedures on the handling and safekeeping of Security/Bond Documents.

II. Policy

It is the policy of PMDC to ensure that security documents, such as Bid/Performance Bond, Surety Bond, etc., are properly handled or managed to ensure protection or security for the company in case a bidder or contractor withdraws from a bid or defaults in the performance of his contracted service.

III. Scope

This procedure covers security/bond documents required in the bid processes as well as those after awarding the contract to a qualified third party.

IV. Definition of Terms

In accordance with the provisions of Republic Act 9184, its implementing rules and regulations and other applicable law, rules and regulations, Bid Bond and Performance Bond shall be defined as follows:

Bid Bond – or bid security is an amount of money that may be calculated as a percentage of the budget estimate of a procurement requirement or a percentage of a bidder’s bid price. The bid security is intended to deter bidders from withdrawing their bids, because they would otherwise forfeit the bid security amount to the client. It gives the client some assurance that the selected bidder will sign the contract or otherwise forfeit its bid security.

A performance bond is issued by a winning bidder or contractor as a guarantee against its failure to meet obligations specified in the contract. A performance bond is usually provided by a bank or an insurance company to make sure a contractor completes designated projects.

A Bid Bond or Performance Bond may be in the form of:

- 1) Cash or cashier’s/manager’s check issued by a Universal or Commercial Bank;
- 2) Bank draft/guarantee or irrevocable letter of credit issued by a Universal or Commercial Bank; provided, however, that it shall be confirmed or authenticated by a Universal or Commercial Bank, if issued by a foreign bank.
- 3) Surety bond callable upon demand issued by a surety or insurance company duly certified by the Insurance Commission as authorized to issue such security.

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Approved by:

Jaime T. De Veyra

Vice President, Corporate Services

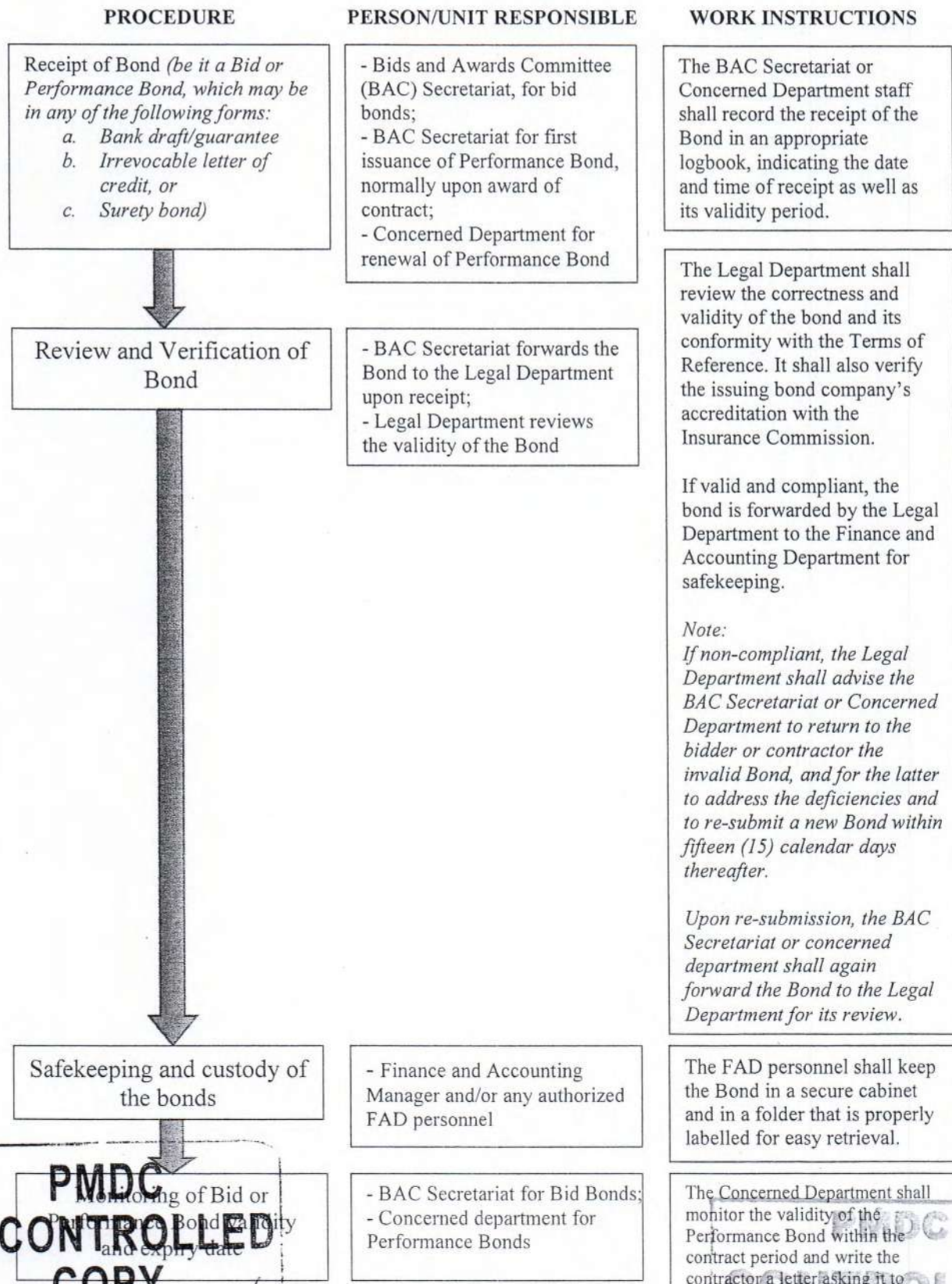
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V. Guidelines/Flowchart

a) For Non-Cash Bonds



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Approved by: Jaime T. De Vevra
 Vice President, Corporate Services

Date: OCT 24 2016

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PHILIPPINE MINING DEVELOPMENT CORPORATION

Quality Procedure

Handling and Safekeeping of Bond Documents

Control No:	PMDC-QP-11-00
Revision No.:	0
Effectivity:	October 31, 2016
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b) For Cash Bonds

PROCEDURE	PERSON/UNIT RESPONSIBLE	WORK INSTRUCTIONS
Receipt of Bond (be it a Bid or Performance Bond, which may be in the form of Cash or Cashier's/Manager's Check)	- Bids and Awards Committee (BAC) Secretariat for Bid and Performance Bonds	The BAC Secretariat shall record the receipt of the Bond on an appropriate logbook indicating the amount, date and time of receipt, as well as its validity period.
Issuance of Acknowledgement Receipt	- Cash Management Officer	The Cash Management Officer shall record/post the details (i.e. customer's name, amount, and accounting code) in the Computerized Accounting System (CAS).
Signing and Execution of Bond Agreement (for Performance Bond only but not for Bid Bond)	- Legal Department drafts the Performance Bond Agreement	After review and approval by the Legal Department of the signed and notarized Performance Bond Agreement, the latter is forwarded to FAD for safekeeping.
Deposit of the Cash Bond in PMDC's depository bank	- FAD personnel as authorized by the FAD Manager	The FAD personnel shall deposit the cash bond in the trust liability account of PMDC's depository bank.
Monitoring of Bid or Performance Bond validity and expiry date	- BAC Secretariat for Bid Bonds; - Concerned Department for Performance Bonds	The BAC Secretariat shall return the Cash, Bid Bond to the bidders within thirty (30) days after the winning bidder has signed the contract. The Concerned Department shall monitor the expiry of the Performance Bond and the Contract.

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Vice President, Corporate Services

Date: OCT 24 2016

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	PHILIPPINE MINING DEVELOPMENT CORPORATION	Control No:	PMDC-QP-12-00
		Revision No.:	0
Quality Procedure	Repair and Maintenance of Properties and Equipment	Effectivity:	December 19, 2016
		Page No.	Page 1 of 5

1.0 PURPOSE

This document institutionalizes the policies and procedures for the repair and maintenance of the company's properties and equipment.

2.0 POLICY

It is the policy of PMDC to ensure that all of its properties and equipment are in good working condition and performing according to their required functions. Regular preventive maintenance and repair works, whenever necessary, shall be undertaken to maintain the satisfactory operating condition of machines and equipment and prolong their useful life.

3.0 SCOPE

The set of procedures applies to the specific steps or activities that the Property Officer and other concerned employees need to adopt in order to adhere to PMDC's Quality Management System. This document covers the procedures from the identification of equipment for repair to preparation of post-repair inspection report.

4.0 DEFINITIONS

1. Repair of Equipment – process/act of restoring a property/equipment to its original state or to its working condition. Unserviceable equipment may be restored to its normal state of efficiency by making repairs.
2. Minor and Ordinary Repair – merely keeps an equipment in fit condition for use without increasing its capacity or otherwise adding to its normal value as an asset
3. Maintenance – actions taken to retain the equipment in a serviceable condition or to restore it to serviceability when it is economically repairable
4. Repair and Maintenance Report (RMR) – a document issued in reporting the breakdown or malfunctioning of a certain property or equipment, at the same time requesting for the repair of said property. The RMR form comes in three parts, to wit: a) Request to Repair; b) Pre-Repair Inspection; and c) Post-Repair Inspection
5. Waste Materials Report (WMR) – a document that lists all waste materials such as destroyed spare parts and other materials considered scrap due to repair and replacement
6. Property Masterlist – a record of all the assets of the company which is organized, collated, and maintained by the Property Officer

Approved by:


Jaime T. De Veyra

PMDC Vice President, Corporate Services

Date:

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7. Repair and Maintenance Logbook - shows the summary/history of all repairs and maintenance work done. Said logbook shall be maintained by the Field Office Property Custodians and the Property Officer for Main Office records. The Property Officer shall, however, for reference purposes, maintain copies of the Repair and Maintenance Reports and Official Receipts from repair and maintenance works done in the field.

5.0 RESPONSIBILITY

1. Custodian – refers to the employee who is the actual user or assignee of the property/equipment
2. Property Custodian – is a designated individual who has the authority and immediate responsibility for the immediate custody of all properties within his custodial area. The Property Custodian shall be bonded and be physically located near the property for which he or she is responsible
3. Department Manager/Immediate Supervisor – approves a request for repair
4. Head of HR and Administration Department – approves the commencement of repair after the pre-repair inspection and evaluation done by the Technical/Property Inspector, and the recommendation of the Property Officer, in consideration of the records and repair/maintenance history of the concerned property/equipment
5. Technical/Property Inspector – refers to the person designated or assigned to inspect and assess the property prior to repair, determines the reasons for breakdown as to fair wear and tear or negligence and inspects the property's condition after its repair
6. Property Officer – refers to the person designated to be in charge of the overall accounting, safekeeping and maintenance of the properties of the company. Also responsible for maintaining property records and reports, and handles the administrative aspect of the disposition of company properties, upon direction and approval of management
7. Procurement Officer/Specialist – refers to the person who is tasked to handle the company's procurement functions in accordance with the provisions of Republic Act 9184
8. Field Administration Assistant/Davao Administration Officer – persons tasked to process the Repair and Maintenance Reports in the Field Offices, prior to submission to the Main Office for review of the Property Officer, the Department Managers Concerned, and endorsement to the Procurement Officer/personnel designated to handle procurement functions

Approved by:


Jaime T. De Veyra

Vice President, Corporate Services

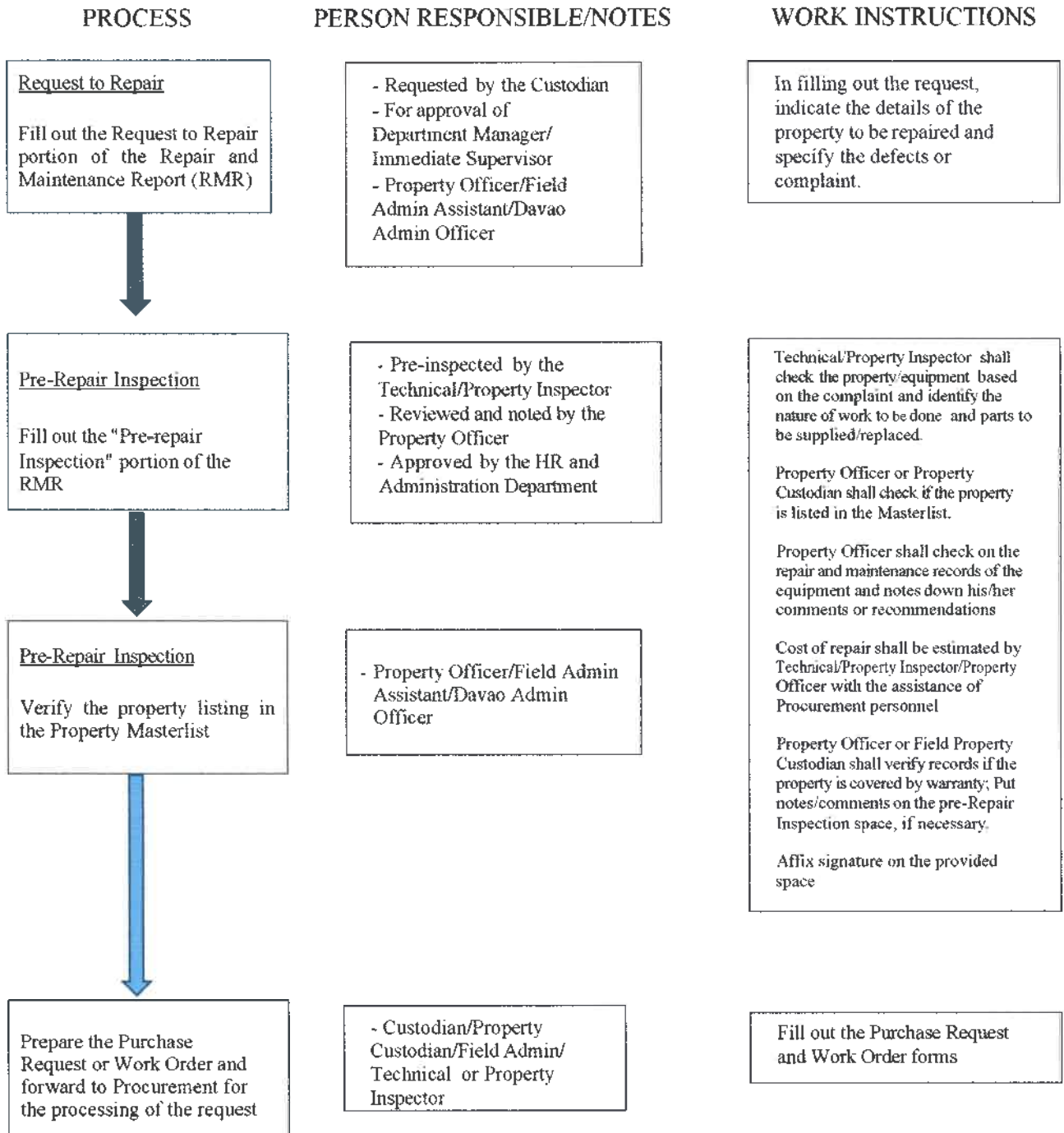
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6.0 PROCESS FLOW



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PROCESS	PERSON RESPONSIBLE/NOTES	WORK INSTRUCTIONS
<p><u>Post-Repair Inspection</u></p> <p>Upon completion of the repair, conduct the Post-Repair Inspection</p>	<p>- Custodian/Technical or Property Inspector</p>	<p>Check if the repair done is in accordance with the specified requirements; Test the performance of the property; Check if the parts replaced are in accordance with the specifications</p>
<p>Sign the Post-Repair Inspection (and Waste Materials Report (WMR), if necessary)</p>	<p>- Davao Admin Officer/Field Admin Assistant/Property Officer - For WMR: Property Officer/Head of Admin Dept./ Technical or Property Inspector/Technician</p>	<p>Fill out the Post-Repair Inspection part of the RMR</p> <p>Prepare the WMR and list down all defective spare parts including materials which are removed or pulled out from the property/equipment due to replacement of a new part</p>
<p>Prepare the necessary documents for payment, liquidation or reimbursement, to wit:</p> <ol style="list-style-type: none"> 1. Photocopies of the ff: <ol style="list-style-type: none"> a. RMR b. Service Report from the service center c. WMR 2. Original copy of Invoice and OR for accounting use/reference 	<p>- Procurement Officer or Specialist/Field Admin Assistant/Davao Admin Officer/Property Officer/Property Custodian</p>	<p>For all completed Main/Field Office repair and maintenance works, concerned Main/Field Office shall attach all required documents for liquidation or reimbursement, and ensure that these are properly signed by all authorized /designated PMDC officers and employees prior to submission to the Finance and Accounting Department (FAD)</p>
<p>Document repair and maintenance works done</p>	<p>- Property Officer/Field Office Property Custodian</p>	<p>Record the cost and date of repair in the RMR Logbook</p> <p>File the RMR, photocopy of Invoice, original copy of Service Report, and warranty certificate with the Property Officer</p> <p>Property Officer shall maintain photocopies of the RMRs and ORs submitted by the Field Office for reference purposes</p>

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 PMDC Vice President, Corporate Services

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	PHILIPPINE MINING DEVELOPMENT CORPORATION	Control No:	PMDC-QP-12-00
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7.0 FORMS

1. **Repair and Maintenance Report (RMR)**

- the RMR consists of three parts namely, Request to Repair, Pre-Repair Inspection, and Post-Repair Inspection which are described as follows:

I. **REQUEST TO REPAIR**

- indicates the defects/complaints in the property/equipment, as listed by the Custodian
- filled out and signed by the Custodian
- endorsed by the Immediate Supervisor/Manager
- assigned a Reference No. by the Property Officer/Field Property Custodian in the upper right corner of the RMR form.
- The format of the RMR control number is as follows:

Year-Property Code-Counter

Where:

- **Year**- current year of repair
- **Property Code**- first four alphanumeric characters in the property number
- **Counter** – series number

Example:

Reference No: **2024-CP-01-001**

(2024 as the current year of repair, CP-01 as the first four alphanumeric characters in the property number, and 001 as the counter.)

II. **PRE-REPAIR INSPECTION**

- shows/enumerates the findings, nature and scope of work to be done, and parts to be supplied/replaced, as determined by a designated Technical/Property Inspector
- pre-inspected by the Technical/Property Inspector
- reviewed and noted by the Property Officer
- approved for repair signed by the Head of HR and Administration Department

III. **POST-REPAIR INSPECTION**

- shows details of the work done
- inspected and accepted by the Requisitioner/Property Inspector
- noted by the Property Officer

Approved by:


ATTY. LUCAS R. VIDAD
 Vice President for Operations

Date:

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2. **Waste Materials Report (WMR)**
 - lists the waste parts/items for disposal
 - certified true and correct by the Property Officer and initialed by Field Office Administrative Officer /Assistant for Field Office waste material disposal
 - disposal approved by the Head of the HR and Administration Department
 - inspected by the Technical/Property Inspector
 - witnessed by an Accounting staff or any employee

3. **Repair and Maintenance Logbook (RML)**
 - shows the type of equipment, its description, asset no., make, model and serial number, as well as acquisition date and acquisition cost
 - shows the date, reference number, type of work whether repair (R), preventive maintenance (PM) or repair and maintenance (RM), scope of work and services (including parts replaced), and total cost (gross) incurred
 - maintained by Property Officer (Main Office) and/or Property Custodian/ Field Administration Assistant/Davao Administration Officer (Field Office).

8.0 TIMELINES

Reflected in the PMDC Citizen's Charter 2024 (5th Edition) under Internal Services – Service #9: Request for Repair and Maintenance.

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1.0 PURPOSE

This document institutionalizes the policies and procedures for the conceptualization, planning, implementation, monitoring, and assessment of projects and activities under the Corporate Social Responsibility (CSR) program.

2.0 POLICY

In the conduct of its business, the PMDC, in partnership with its stakeholders, also works toward promoting and sustaining development in its mining communities.


The Company's CSR agenda is anchored on the fundamental needs of the communities – Health, Education/Environment, Rural Infrastructure, and Opportunities to earn (or livelihood), collectively dubbed as the PMDC's H.E.R.O. Program.

3.0 SCOPE

This procedure applies to specific steps and activities that the Project Management Department, particularly the Community Development Officer (CDO) and the Community Relations Officer (CRO), must adhere to in undertaking the Corporate Social Responsibility (CSR) Program of the Company.

4.0 DEFINITION OF TERMS

1. Community – refers to the host and neighboring areas where the mining project is located. It also refers to the group of people directly affected by the mining project, or the stakeholders, which includes the local officials, the residents, indigenous people, and all other key players.
2. Community Profiling – refers to the process of gathering vital records/information (demographics, historical background, social services etc.) about a community which serves as the basis for project conceptualization.
3. Community Needs Assessment – refers to the process being done to identify the needs of a given community vis-à-vis the Company's CSR agenda and its existing resources to determine the appropriate assistance which the Company may provide to communities. Tools that enable Community Assessment may include, but not limited to: survey, interviews, focused-group discussions, community consultations and meetings including

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PHILIPPINE MINING DEVELOPMENT CORPORATION


Quality Procedure

CORPORATE SOCIAL RESPONSIBILITY

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coordination with stakeholders such as LGUs, review of secondary data (for cross-validation of data), and third-party research and study.

4. Contract – refers to the written agreement that the Company enters into with any stakeholder upon commencement of CSR projects (e.g., Contract with contractors/consultants, Memorandum of Agreement, Service Contracts, etc.)
5. Corporate Social Responsibility (CSR) – refers to the program of the Company being undertaken for the welfare and development of the identified and selected host and neighboring communities in line with its policy and motto, “Creating Wealth, Enriching Lives”, which includes but not limited to:
 - Projects and activities initiated by the Company based on the Community Needs Assessment; and,
 - Projects and activities implemented based on the requests of the community beneficiaries, LGUs, and other institutions, and government instrumentalities.
6. CSR requests – refers to any written letter soliciting assistance financially and/or in-kind submitted by a requestor (e.g., community organizations, LGUs, other institutions and government instrumentalities) to the Company.
7. Host and Neighboring Communities – (a) host community refers to the people living within the mining area and directly affected by the mining operation; while the (b) neighboring communities refer to the people living at the barangay(s) adjacent to the host community which are also affected by the mining project in the area.
8. H.E.R.O. Pillars – refers to the thrusts of PMDC for its CSR Program which stands for Health, Education/Environment, Rural Infrastructure, and Opportunities to earn.
9. Partner/Operator – refers to the mining company to whom the Joint Operating Agreement (JOA) for a particular project was awarded after the conduct of a competitive and transparent bid.
10. Production – refers to the extraction or disposition of minerals.
11. Project Proposal – refers to the document that provides information about the CSR project, its budget, and its execution. This document also serves as the proof of approval of PMDC’s management of the CSR project.
12. Short-term to Medium-Term CSR Projects – refers to CSR projects that take one (1) to five (5) years of implementation such as Rural Infrastructures projects.

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13. Stakeholders – refers to the entities that can affect or be affected by PMDC’s operations, programs, projects, and activities which include host and neighboring communities, community-based organizations, tribal groups, LGUs, and other government instrumentalities.

5.0 RESPONSIBILITY

1. Community Development Officer (CDO)/OIC-Community Relations Officer – conceptualizes CSR projects/ activities and facilitates the implementation of all the CSR projects, activities, requests and other CSR endeavors either initiated by the Company or requested by the community or local government units (LGUs.)
2. Community Relations Officer (CRO) – initiates the review and endorsement of CSR requests and implements the CSR projects and activities.
3. Finance and Accounting Department – incorporates CSR budget into the Corporate Operating Budget (COB) and facilitates payments and release of Cash Advances.
4. Legal Department – provides legal support and assistance to the CDO/CRO in terms of any legal concerns that may be encountered in the course of planning and implementation of CSR projects/ activities.
5. PMDC Field Office – receives CSR request and proposals, facilitates the next steps upon the approval of any CSR request and proposals.
6. President and CEO – provides strategic direction to the Company that includes its CSR; approves all CSR requests and proposals.
7. Human Resources and Administration Department (HRAD) – reviews requests for procurement and processes purchase requirements related to the Company’s CSR projects.
8. Project Management Department (PMD) Manager – gives guidance to the CDO and CRO in the course of planning and implementation of CSR.

Approved by:

AFTY LUCAS R. VIDAD
 Vice President for Operations

Date:

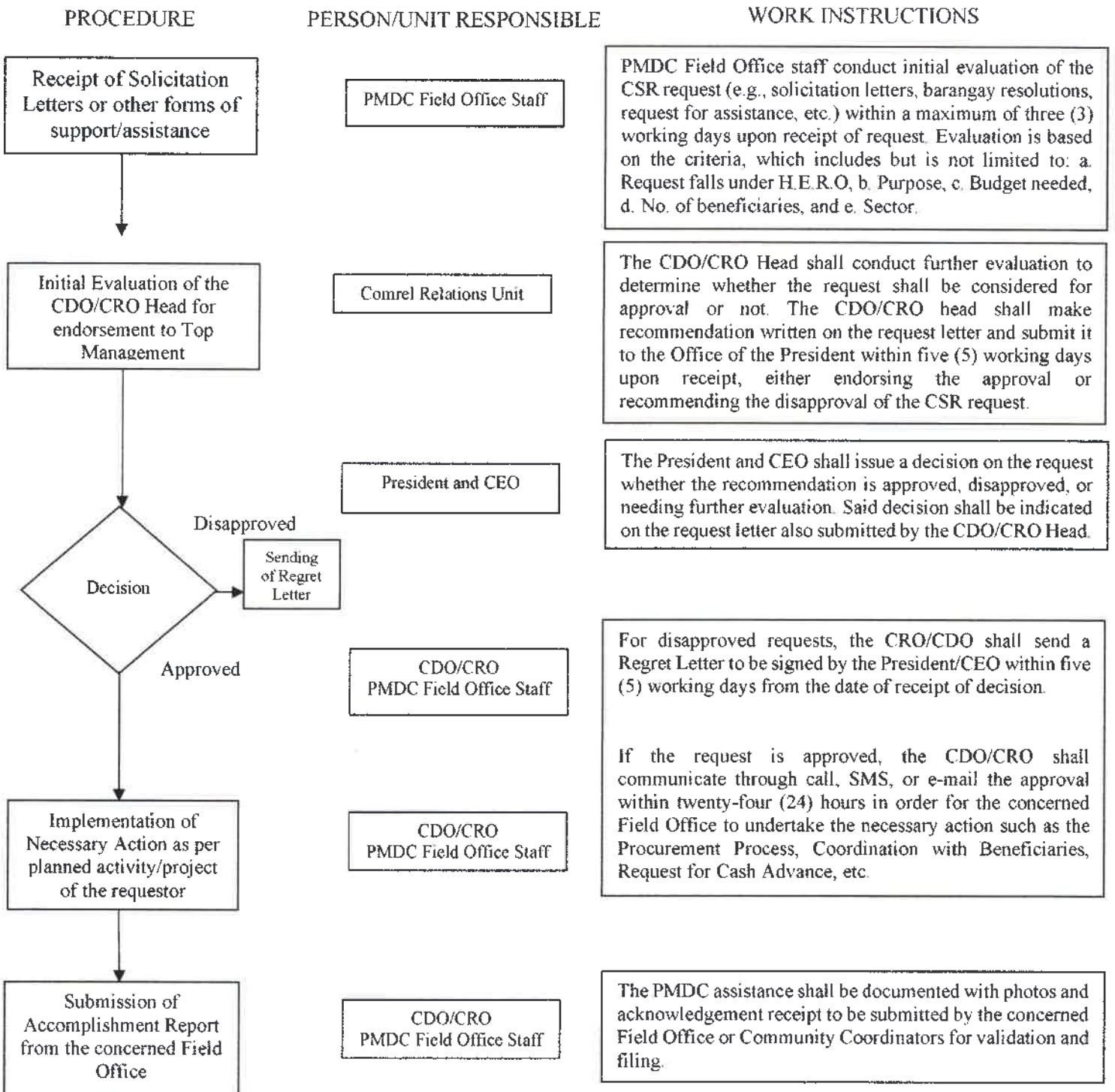
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6.0 PROCESS FLOW

A. CSR REQUESTS



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B. SHORT-TERM TO MEDIUM-TERM CSR PROJECTS

PROCEDURE	PERSON/UNIT RESPONSIBLE	WORK INSTRUCTIONS
Conceptualization of Project/Activity	CDO/CRO	<p>Short-term and medium-term CSR Projects should be aligned with the H.E.R.O framework.</p> <p>Conceptualization of CSR Projects/Activities shall trigger from the following references: CSR Baseline Data (if available), and Community Needs Assessment</p>
Preparation of Project Proposal/Concept Note	CDO/CRO	
Review and Evaluation	PMD Manager/ President and CEO	<p>Once a project/activity has been identified and necessary coordination works with concerned stakeholders have been conducted, a Project Proposal and Activity Design with details of the proposed project shall be prepared by the CDO/CRO for review and evaluation of the PMD Manager and/or the President and CEO.</p> <p>When necessary, supplemental data-gathering work shall be done depending on the directives of the PMD Manager and/or President and CEO.</p>
<p>Decision from the President & CEO and Board of</p> <p>Disapproved</p> <p>Approved</p>	President and CEO	<p>The President and CEO shall issue a decision on the proposal whether approved, disapproved, or needing further evaluation. When necessary, the CDO/CRO shall also prepare a Board Memorandum to seek the approval of the Board of Directors (BOD).</p> <p>Approved project proposals shall be included in the Corporate Operating Budget (COB) and the Annual Procurement Plan (APP) of the implementing year. The CDO/CRO shall also initiate the preparation of the work plan required for</p>
Formulation of Work Plan	PMD/CDO/ CRO	<p>The implementation of the project shall be done accordingly as per approved work plan.</p> <p>Regular and necessary coordination activities with stakeholders shall be done during the implementation, monitoring, assessment/evaluation, and completion stage. All documentation work and reports must be accomplished accordingly for review and approval of the PMD Manager and the President & CEO.</p>
Commencement of Implementation of Approved Project/Activity	PMD/CDO/ CRO	
Monitoring and Periodical Assessment of Project	PMD/CDO/ CRO	
Project Evaluation and Completion	PMD/CDO/ CRO	<p>Upon completion of the CSR project/activity, exit process, such as a turnover ceremony, shall be conducted.</p> <p>Project shall be declared completed upon turnover to the concerned community/LGU/organization/agency. The project shall be considered sealed when concerned parties have been furnished with the turnover documents.</p>
Conduct of Exit Process and Project Turnover	PMD/CDO/ CRO	

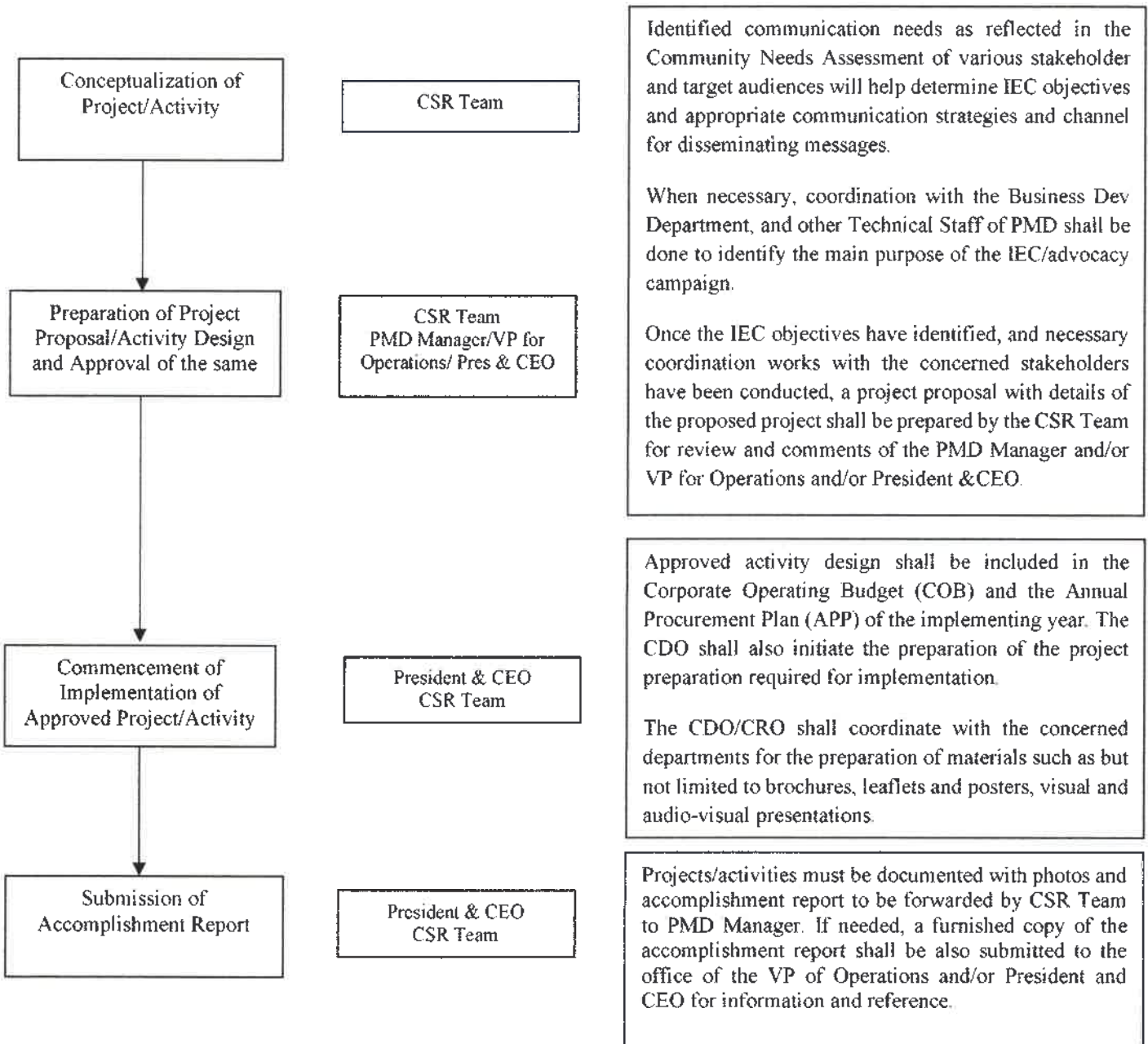
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D. INFORMATION, EDUCATION AND COMMUNICATION (IEC) CAMPAIGN


PROCEDURE PERSON/UNIT RESPONSIBLE WORK INSTRUCTIONS




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7.0 CUSTOMER FEEDBACK SURVEY

1. The main customers of PMDC's CSR Program are its host and neighboring mining communities, particularly its residents, community People's Organizations (POs), Local Government Units (LGUs), or other local government agencies.
2. Customer Feedback is a vital input in PMDC's Quality Management System (QMS). It is one of the primary gauges of the QMS' effectiveness, and thus, used as a basis for the continual improvement of the system. Further, Customer Feedback mechanism also aims to assess whether the objective/s and target/s of a CSR project or activity have been achieved.
3. The tool used to gather the customers' feedback is PMDC's CSR Customer Feedback (PMDC-QP-13 F01). The CDO and the CRO shall be responsible for gathering the feedbacks of the community beneficiaries.
4. The gathering of customers' feedback shall be conducted at the following periods:
 - Short-Term to Medium-Term CSR Projects – within a year after project turnover and/or December of every year for Medium-Term CSR Projects
 - Regularly-Implemented CSR Projects – every after activity completed; (PMDC-QP-CSR-F02)
 - IEC Activities – every after IEC activity (PMDC-QP-CSR-F01)
 - CSR Requests – only when applicable and necessary
5. The process on gathering of feedbacks shall be conducted as follows:
 - The CDO/CRO shall gather Customer Feedback simultaneously with his/her scheduled fieldwork activity.
 - The purpose of Customer Feedback mechanism and the manner of filling out of the customer feedback form shall be explained to the intended respondents before the latter accomplishes the form.
 - If necessary, with the assistance from the ISO Secretariat, the CDO/CRO shall encode and consolidate the responses contained in the feedback forms into a database for monitoring and reference to improve the implementation of CSR projects and activities

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¹ Notes:

The following notes outline the details for each stage of implementation with regard to the facilitation of “Section B: Short-Term to Medium-Term CSR Program”:

A. Planning and Conceptualization Stage


1. Community Needs Assessment shall be done by employing the following procedures:
 - Maintenance of database of priority host mining communities for CSR. The database shall contain, but is not limited to, the demographical information as well as the socio-economic data of particular communities. The database shall be analyzed to identify the particular needs of the community that can be integrated into the CSR program.
 - The information from the database shall be validated through other channels of discussion within communities such as on-site assessment, community consultation with area leaders and LGUs, community meetings, surveys, focused-group discussions, and interviews with community.
2. Project Proposals or Concept Notes, at the minimum, shall consist of the following:
 - Identifying Information
 - Rationale of the project
 - Objective of the project
 - Expected Output
 - Breakdown of Beneficiaries (*if needed*)
 - Budgetary and Logistical requirements
 - Timeline (*if needed*)

B. Implementation Stage

1. The project shall follow the implementation procedures indicated in the approved work plan for short term-medium CSR projects and in the approved activity design for regularly implemented CSR Projects.
2. When necessary, the project shall undergo the necessary Procurement Process as prescribed in Republic Act 9184 or the Government Procurement Reform Act. Contracts required shall be referred to the Legal Department while payment requirements of the project shall be prepared by the concerned staff (e.g., Field Office Staff, Community Relations Officer, and Community Development Officer) to be processed by FAD.

C. Monitoring and Assessment Stage

1. The work plan of the approved short term and medium CSR project shall contain details of the monitoring and assessment requirements to serve as guide of the CDO/CRO in

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monitoring of the project. Quantitative and qualitative data may be assessed during the project implementation. Quantitative data are the quantifiable indicators of the project while qualitative data show the effect or the positive impact created by the project.

Quantitative Assessment


- **Timeframe** – Does the project adhere to the agreed timeframe as indicated in the Work Plan?
- **Budget Utilization** – Is the budget appropriately and effectively utilized for the project at a given period and work deliverables?
- **Target Accomplishment** – Are there specific, measurable, attainable, realistic, and time-bound targets that shall reflect the success and effectiveness of implementation? What is the rate of achievement of the targets?

Qualitative Assessment

- **Active participation of the beneficiaries** – Do the beneficiaries show interest in the project? Are they actively participating in all aspects of the project?
 - **Stakeholder Engagement** – Does the project engage other partner and stakeholders in monitoring and assessment of the project? What are the contributions of other stakeholders? What is the result of monitoring and assessment with stakeholders?
 - **Effects on the lives of beneficiaries and/or the environment** – Does the project result to positive effects in the lives of the beneficiaries and/or the environment (tangibly or intangibly)? Do the beneficiaries state positive effects of the project in their lives?
2. If the results of the monitoring and assessment showed major problems, issues and concerns that need to be addressed, the concerned staff (e.g., PMDC Field Office, the CDO, or the CRO) must be able to report it immediately to the PMD Manager and to the President and CEO for feedback and instructions.
 3. For regularly implemented CSR projects, monitoring and assessment activities shall be done through the regular implemented Community Needs Assessment activities.

D. Project Turnover and Termination

1. Necessary reports as required in the work plan of the project must be secured accordingly. As example, for infrastructure project, Project Completion and Final Inspection Reports must be signed by parties including the Contractors prior to turnover to beneficiaries. Deed of Donation and Acceptance must be secured by both the PMDC and the intended beneficiaries during the project turnover.
2. Other documentation reports that shall serve as evidence of project implementation must be secured and filed.

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PHILIPPINE MINING DEVELOPMENT CORPORATION

Quality Procedure

Risk Identification, Assessment and Treatment

Control No:	PMDC-QP-14-00
Revision No.:	0
Effectivity:	June 20, 2019
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1.0 PURPOSE:

To ensure that all processes are designed to incorporate the risk-based thinking, that these are properly identified and assessed; that appropriate action(s) is done to mitigate or prevent the consequence(s) from transpiring.

2.0 SCOPE:

This procedure defines the responsibilities of the Process Owners, Department Heads, and Top Management in ensuring proper identification and assessment of risks. It covers activities from the process determination vis-à-vis associated risks, its assessment and consolidation; up to reviewing the adequacy and effectiveness of the action plan.

3.0 DEFINITION OF TERMS:

- 3.1 Risk - Effect of uncertainty on objectives
- 3.2 Risk Assessment - A systematic process of evaluating the potential risks that may be involved in a projected activity or undertaking
- 3.3 Risk Management - The forecasting and evaluation of risks together with the identification of procedures to avoid or minimize their impacts
- 3.4 Risk Assessment Matrix - A project management tool that allows a single page -quick view of the probable risks evaluated in terms of the likelihood or probability of the risk and the severity of the consequences.
- 3.5 Risk-based thinking - Ensure that the risks are identified, considered and controlled throughout the design and use of the quality management system

4.0 PROCEDURE DETAILS:

4.1 Responsibilities

- 4.1.1 The Risk Management Committee composed of either Department/Division Head or Process Owners, in consultation with their department members, identifies the risks of each relevant process. The Committee shall consider projects, outsourced services and future development during the identification phase
- 4.1.2 The Risk Management Committee shall assess the significance of the identified risks annually or as the need arises.

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The IQA Team reviews the risks and significance rating and where necessary, for technical assistance.


Approved by: Jaime T. De Vevra
VP - Corporate Services

Date: JUN 1 10 15/2019

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	PHILIPPINE MINING DEVELOPMENT CORPORATION		Control No:	PMDC-QP-14-00
			Revision No.:	2
Quality Procedure	Risk Identification, Assessment and Treatment		Effectivity:	For Dec 20, 2023
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4.0 PROCEDURE DETAILS:

4.1 Responsibilities

- 4.1.1 The Risk Management Committee composed of either Department/Division Head or Process Owners, in consultation with their department members, identifies the risks of each relevant process. The Committee shall consider projects, outsourced services and future development during the identification phase.
- 4.1.2 The Risk Management Committee shall assess the significance of the identified risks annually or as the need arises.
- 4.1.3 The IQA Team reviews the risks and significance rating and where necessary, provide technical assistance.
- 4.1.4 The Top Management shall approves the risks and significance rating.
- 4.1.5 The Process Owners shall implement the Action Plan to mitigate/ prevent significant risks.
- 4.1.6 The Process Owners shall monitor and report the status of each implemented item in the Action Plan to the Top Management.
- 4.1.7 The Top Management shall review and evaluate the effectiveness of the Action Plans implemented by the Process Owners.
- 4.1.8 The Process Owners shall compile, maintain and retain documented information related to the organization's risk identification, assessment, and treatment.
- 4.1.9 Each department shall create its own Risk and Opportunity Register, using template PMDC QP-14 F01 v.0, to properly identify all possible risks in their processes. The Risk and Opportunity Register shall contain all the identified risks and opportunities, properly updating of the same, and results of evaluation on the effectiveness of controls to mitigate the identified risks and opportunities for easier traceability and analysis.

4.1.1

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Approved by:

Jaime T. De Veyra

Vice President, Corporate Services

Date:

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	PHILIPPINE MINING DEVELOPMENT CORPORATION		Control No:	PMDC-QP-15-00
			Revision No.:	0
	Quality Procedure	Planning	Effectivity:	November 18, 2024
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PROCEDURE ON PLANNING

1.0 PURPOSE

This document institutionalizes the procedures for the preparation, submission and approval of annual programs, plans, projects and activities of each department/unit in relation to the GCG's mandatory requirement on the submission of the PMDC's Enhanced Performance Scorecard as part of the GOCC Performance Evaluation System (PES).

2.0 POLICY

PMDC considers planning as an important management process through which the organization builds strategies for meeting business goals and objectives. This process is used to prioritize efforts, effectively allocate resources, facilitate decision making, anticipate and mitigate risks as well as develop strategies to maximize and invest in opportunities to achieve improved performance.

3.0 SCOPE

This procedure outlines the specific steps and activities undertaken in the preparation, submission, approval as well as the implementation and evaluation of PPPAs included in the Performance Scorecard.

4.0 DEFINITIONS

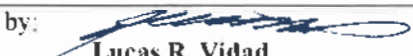
1) Performance Evaluation System (PES)- Republic Act (R.A.) No. 10149 mandates the GCG to establish a performance evaluation system, including performance scorecards, which shall apply to all GOCCs. The PES is intended to set the organizational targets of the GOCC.

2) Performance Scorecard refers to a governance and management tool forming part of the performance evaluation system, which consists of a set of measures, targets and initiatives that facilitate the achievement of breakthrough results and performance through the effective and efficient monitoring and coordination of the strategic objectives of the GOCC.

3) Activity- typically one stage of a project management plan. An activity consists of one or more actions that, upon completion will lead to the next project stage. Taken together as a series, the activities will result in the final deliverable.

4) Program- is defined as coordinating and managing multiple related projects and other activities toward the achievement of one or more strategic objectives.

5) Project Design- occurs in the beginning stages of any project and consists of planning out the ideas, schedules, processes, materials, deliverable, and KPIs that are required to achieve the project's objectives and success criteria. It shall also identify the project management in-charge as well as the implementation and evaluation mechanism including impact assessment to further enhance the positive aspects of the project.

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6) Impact assessment- is a planning and decision-making tool used to assess the potential positive and negative effects of proposed projects. Impact assessments consider a wide range of factors and propose measures to mitigate projects' adverse effects.

5.0 RESPONSIBILITY


- 1) **Planning Committee-** shall initiate the formulation and identification of the long-range corporate vision, mission, goals as well as targets and objectives to be incorporated in the PMDC's Charter Statement and Strategy Map;

Schedule and organize planning activities for key departments to determine the Major PPPAs (Plans, Programs, Projects and Activities) to be included in Annual PES;

Present recommendations for approval by the Chair, President and CEO on the following:


- 1) Conduct of quarterly review and assessment of departmental accomplishments based on the submitted PES to GCG;
- 2) Come up with a **Shared Calendar** that will outline all quarterly deadlines and required submission relative to the PMDC's Performance Scorecard, schedule for the submission of required documents related to procurement, submission of all requirements as agreed during the internal audit and other IQA related activities, and schedule of General Assemblies (e.g. quarterly) in coordination with the Office of the President and HRAD;
- 3) Conduct **Strategic Planning Workshop** and other project planning activities to assist project owners and partners in the timely implementation of targets and achieve desired results and accomplishments;
- 4) Initiate the review and regular updating of documented information required in the Quality Management System (QMS) in close coordination with the Internal Quality Auditors, e.g. Risk and Opportunities Register, Needs and Expectations of Interested Parties, among others in order to assist process owners, determine the actions required and evaluate the effectiveness of action plans identified;
- 5) Present and submit to the PMDC Board and GCG for approval all required documents related to the Performance Scorecard; and
- 6) Upon receipt of the validated Performance Scorecard from the GCG, the Interim Planning Committee shall initiate the review and provide recommendations to Management for any change in strategies, plans, if necessary.

- 2) **Planning Secretariat-** shall assist in all planning activities organized by the Planning Committee, assist the consolidation of reports, documents, and perform other tasks which are necessary to ensure proper implementation of planning activities

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- 3) **Department Managers/ Unit In-charge-** shall submit to the Planning Committee for consolidation, all approved project design, plans, programs and activities for inclusion in the PES and Corporate Operating Budget.
- 4) **Vice President for Operations/ Vice President for Corporate Services-** endorses all projects, programs, plans and activities identified by each department/unit for inclusion in the PES and COB.
- 5) **President and CEO-**approves all project, program as well as activity designs endorsed for inclusion in the PES and COB.
- 6) **PMDC Board-** approves the Annual PES and COB for submission to the GCG and all documents required as part of the Performance Evaluation System (PES).

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PHILIPPINE MINING DEVELOPMENT CORPORATION

Quality Procedure

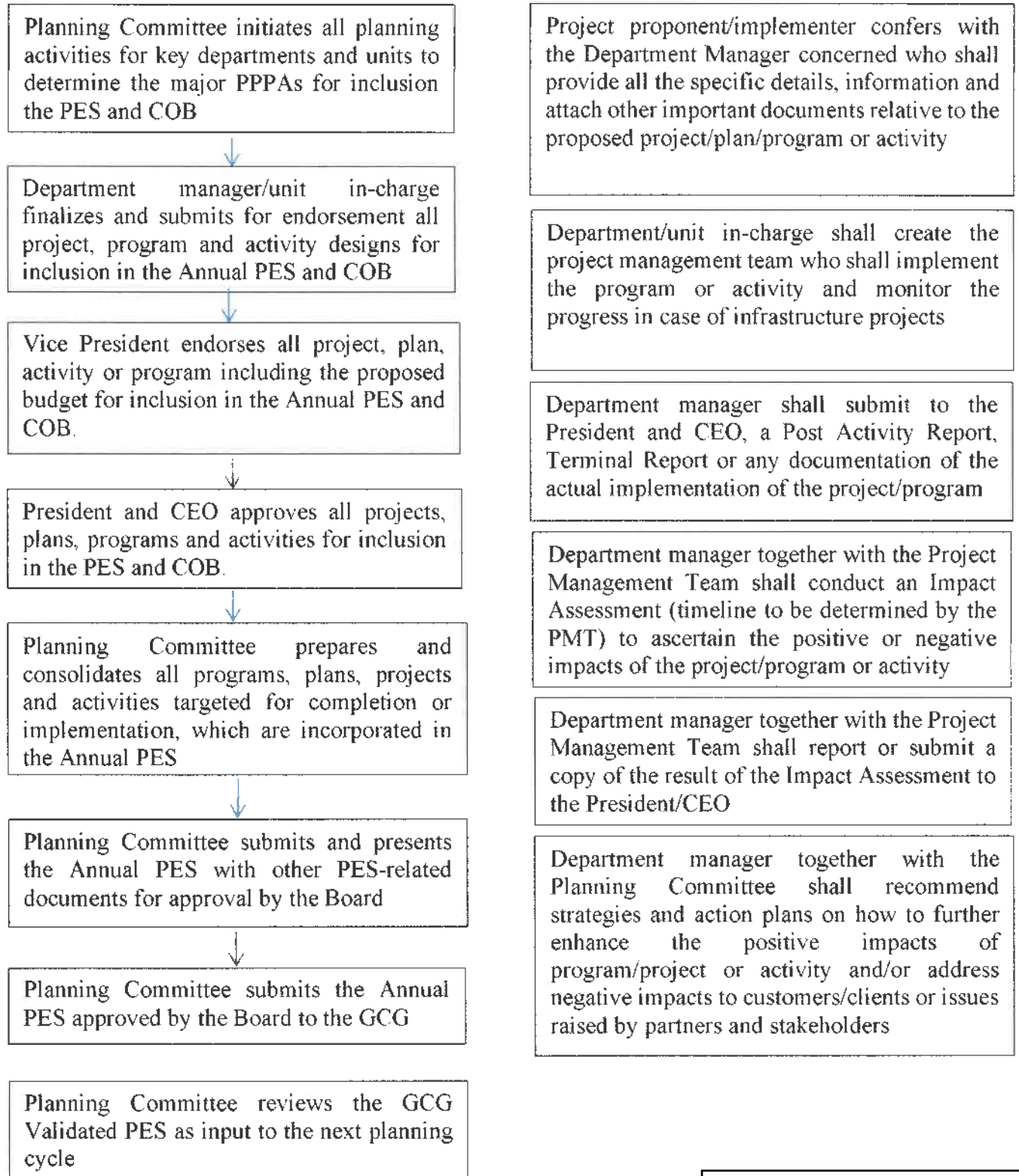
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6.0 PROCESS FLOW

PROCESS

PERSON RESPONSIBLE/NOTES



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Lucas R. Vidad
 Vice President, Operations

Date:

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	PHILIPPINE MINING DEVELOPMENT CORPORATION		Control No:	PMDC-QP-16-00
			Revision No.:	0
	Quality Procedure	Legal Opinion	Effectivity:	November 28, 2024
			Page No.	Page 1 of 2

PROCEDURE FOR REQUESTING LEGAL OPINION

1.0 PURPOSE

This document institutionalizes the process and procedure for soliciting legal advice and guidance to help understand the rights, obligations and possible legal consequences associated with a particular course of action.

2.0 POLICY

PMDC ensures that it strictly adhere to the legal mandates affecting its mining operations.

3.0 SCOPE


This procedure outlines the specific steps and activities undertaken in the endorsement, preparation, draft, and approval of legal opinions that aim to guide the requesting party of a course of action that is free from any legal infirmities.

4.0 DEFINITIONS

- 1) **Department** – refers to the Legal Department consisting of the Legal Manager and its subordinates who are competent members of the Bar.
- 2) **Requesting Party** - refers to Department Heads or any of its authorized representative and committee heads or any of list authorized representative.

5.0 RESPONSIBILITY

- 1) **Legal Assistant** - shall be the one responsible for determining whether the endorsement form filled out by the requesting party for legal opinion complied with the prescribed form for endorsement, record the request in the logbook for purposes of tracking the status of the request, and shall be the one responsible for releasing the legal opinion.
- 2) **Legal Officer** - shall be responsible in properly evaluating and analyzing the facts and documents presented, identify issue by understanding the legal question and facts involved, research the relevant laws, applicable jurisprudence and apply the legal principles and then draft the opinion.
- 3) **Legal Manager** - shall be responsible for assigning the request for opinion to any Legal Officer and will be responsible for the approval or comment on any opinions rendered by the Legal Officer.

Approved by: 
Atty. Lucas R. Vidad
 Vice President, Operations

Date:

NOV 27 2024

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PROCESS FLOW

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Requesting Party prepares the endorsement following the prescribed endorsement form for legal opinion and submits it with all the pertinent documents, if any, to the Legal Department.

Any department heads or its authorized representative, Committee Heads, requesting for legal opinion shall state factual circumstances, state the issue/s sought to be resolved and endorse documents pertinent to the issue as well as other matters which the Legal Department needs to be apprised.

Pertinent documents are check and if found sufficient, record the request in the logbook prior to forwarding the request to the Legal Manager for assignment of the same to any Legal Officer.

Legal Assistant receives and checks the endorsement prior to forwarding it to the Legal Manager for assignment to a Legal Officer for study, review and rendition of legal opinion.

Studies, reviews and drafts the opinion.

Legal Manager evaluates the opinion rendered by the assigned Legal Officer, make comments and revisions if necessary, and approves and signs the final version of the draft.

Legal Manager reviews and/or makes comment of the drafted legal opinion for final printing and affixing of signature.

Assigned Legal Officer after proper evaluation and analysis based on facts and documents presented drafts the opinion for comment and approval of the Legal Manager.

Release of legal opinion to the requesting party.

Legal assistant releases the duly signed opinion (by both the assigned legal officer and legal manager) to the requesting party.

Approved by: Atty. Lucas R. Vidad
Vice President, Operations

Date:

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NOV 27 2024

	PHILIPPINE MINING DEVELOPMENT CORPORATION		Control No:	PMDC-QP-17-00
			Revision No.:	0
	Quality Procedure	Contract Review	Effectivity:	November 28, 2024
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PROCEDURE FOR CONTRACT REVIEW

1.0 PURPOSE

This written document is intended to provide procedures for the proper endorsement of contracts that require legal review from the Legal Department, including the latter's estimated timeline for the output of its reviewed contract.

2.0 POLICY

It is PMDC's policy that contracts requiring legal intervention before being perfected must have prior review by the Legal Department through a proper endorsement of the requesting party.

3.0 SCOPE


This procedure outlines the steps and activities undertaken in the endorsement, review, and the recommended revised provision(s) of the contract that require the Department's legal intervention.

4.0 DEFINITIONS

- 1) **Department** refers to the Legal Department consisting of the Legal Manager and its subordinates who are competent members of the Bar.
- 2) **Requesting party** refers to Department Heads or any of its authorized representatives and committee heads or any of its authorized representatives.
- 3) **Contract** refers to Joint Operating Agreements, Memorandum of Agreements, Financial Service Provider Agreements, and other contracts that creates rights, obligations, and liabilities, which include Philippine Mining Development Corporation as a party.
- 4) **Revision** refers to the provision(s) of the contract, in whole or in part, which has been altered, changed, intercalated, or modified.

5.0 RESPONSIBILITY

- 1) **Legal Assistant** – Shall be the one responsible for determining whether the endorsement form filled out by the requesting party for contract review complied with the prescribed form for endorsement, recording the request in the logbook for purposes of tracking the status of the request, and shall be the one responsible for releasing the reviewed contract.
- 2) **Legal Officer** – Shall be responsible in proposing any changes, revise, and/or amend, in whole or in part, the provisions of the contract, or may recommend any actions pertaining to the reviewed contract if it is for justifiable reasons.

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3) **Legal Manager** – Shall be responsible for assigning contracts for review to any Legal Officer and will be responsible for the approval or comment of any actions undertaken by the Legal Officer pertaining to the proposed changes, revisions, or recommended actions on the reviewed contract.

PROCESS FLOW

PROCESS

PERSON RESPONSIBLE/NOTES

