e3 PLUS

A Framework for Responsible Exploration

Principles and Guidance Notes

PDAC

PROSPECTORS &
DEVELOPERS
ASSOCIATION
OF CANADA

e3 PLUS

A Framework for
Responsible Exploration

This booklet presents

the Principles and Guidance Notes of

e3 Plus: A Framework for Responsible Exploration.

The Framework's three Toolkits on Social Responsibility,

Environmental Stewardship, and Health and Safety are

available online, free of charge, at www.pdac.ca/e3plus.

Updated 2014

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INTRODUCING *e3 PLUS*

e3 Plus: A Framework for Responsible Exploration was developed by the Prospectors & Developers Association of Canada (PDAC) to help exploration companies continuously improve their social, environmental, and health and safety performance. Companies are encouraged to integrate these three aspects into all of their exploration programs around the world.

e3 Plus is an information resource on which **explorers**[1] are encouraged to base their corporate social responsibility (CSR) policies and programs. The content of *e3 Plus* has been assembled to guide the actions of exploration companies and should not be construed as standards of performance. Rather, the intention is to provide companies with the information they need to improve their social, environmental, and health and safety performance while enhancing shareholder value.

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[1]   *Definitions for terms in green can be found in the Glossary section at the end of this document.*

e3 Plus includes eight principles for responsible exploration, guidance notes on implementing the principles, and three internet-based toolkits in the areas of social responsibility, environmental stewardship, and health and safety. The eight principles are relevant to all exploration contexts. The guidance notes are offered to assist practitioners in converting the principles into action.

e3 Plus is designed to be scalable to the size of the company, the location of the project, and the stage of exploration. Acknowledging the varying circumstances in which exploration takes place, *e3 Plus* is designed to be more flexible than prescriptive. This allows for the application of information to be tailored to the circumstances in which the explorer is operating.

e3 Plus encourages explorers to go beyond legal requirements and apply leading practice as it pertains to social, environmental, and health and safety issues. The language used in this document is intended to distinguish between

what are legal requirements ('must'), what is considered to be good practice in the industry ('should', 'advised to') and what is considered to be leading practice ('encouraged to'). While legal requirements will differ between operating environments and explorers retain the responsibility to know the laws in the area where they are operating, the good and leading practices discussed in this document are relevant in all operating environments.

e3 Plus is presented as a 'living document,' subject to modification and improvement as experience is gained and circumstances change. Accordingly, the PDAC will continue to review, revise and update the content of *e3 Plus* regularly.

Figure 1:
e3 Plus: A Framework for Responsible Exploration

What?	Principles

Why?	Guidance Notes

How?	Toolkits

Social Responsibility	Environmental Stewardship	Health & Safety
• Governance • Due Diligence • Community Engagement • Community Development • Ethical Conduct • What am I Responsible For? • Human Rights	• Good Practice Guidelines • Archaeological and Cultural Sites • Planning Needs • Land Disturbance • Site Management • Air Management • Fish and Wildlife Management • Water Use and Conservation • Hazardous Material • Spill Management • Waste Management • Guidelines for Uranium Exploration • Reclamation and Closure • Checklists • Case Histories	• General Safety Principles • General Safety • Emergency Response • Personal Safety • Field Equipment Safety • Safe Traversing Practices • Knowing Your Location • Survival • Weather and Environmental Risks • Wildlife • Surveying • Travel Safety and Security • Vehicles • All-Terrain Vehicles • Snowmobiles • Aircraft • Boats, Canoes and Inflatables • Field Project and Camp Set-up • Project/Camp Communications • Drilling Sites • Advanced Exploration and Road Building • Abandoned Surface

As part of Phase 2 of the e3 Plus Framework, the PDAC is reviewing options for the development of a reporting and certification system.

GENERAL STATEMENTS

1. The Principles and Guidance Notes address issues that are specific to mineral exploration and represent the first part of *e3 Plus: A Framework for Responsible Exploration*. They are intended to complement established guidelines for corporate behaviour, such as the Organization for Economic Cooperation and Development Guidelines for Multinational Enterprises, the United Nations Global Compact, the International Finance Corporation's Performance Standards, the Extractive Industries Transparency Initiative, the Voluntary Principles on Security and Human Rights, the Equator Principles, and the United Nations Guiding Principles on Business and Human Rights, among others.[2]

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[2]   *For a list of relevant instruments see 'Sustainable development and corporate social responsibility: Tools, codes and standards for the mineral exploration industry,' published by PDAC and available at: www.pdac.ca/pdac/publications/pdf/sd-csr-publication-final.pdf.*

2. Explorers are responsible for carrying out the **due diligence** necessary to be informed of the laws, regulations, treaties and standards that are relevant at any time or place with respect to their activities.

3. Explorers should understand that they have a legal requirement to conduct their activities in conformity with applicable laws and regulations, including international treaties ratified by the country in which they are operating. Explorers are encouraged to go beyond legal requirements and apply the highest standard of care through the good practice outlined in *e3 Plus*.

4. The eight principles of *e3 Plus* are not hierarchical. They have equal weight and value and have been given numbers in this document solely to facilitate easy reference. Explorers should have the principles in mind at all times.

5. The guidance notes describe, in general terms, how exploration companies can convert the principles into practice in their normal course of business.

6. While the principles and guidance notes are relevant to all exploration contexts, companies should manage each project in response to the specific characteristics encountered on the ground (legal regime, social and cultural characteristics, physical and biological environment, stage of exploration, **area of impact**, etc.). Such project-specific characteristics will determine the relative intensity with which the practices encouraged in *e3 Plus* should be applied.

7. For the principles and guidance notes to be fully effective, explorers are strongly advised to require that contractors and subcontractors working on their behalf accept and adhere to them, where relevant and practical.

8. The principles and guidance notes are intended for use by exploration companies, contractors and subcontractors, and may also be useful to communities and **indigenous** peoples affected by exploration projects, **civil society** groups interested

in exploration projects, governments at all levels, and other **stakeholders**.

9. Though strongly encouraged for all exploration companies, adherence to the principles of *e3 Plus* is voluntary and not a condition of membership to the PDAC.

10. *e3 Plus* was designed to support explorers in responding to calls from shareholders and stakeholders for greater transparency[3], accountability, and improved practices in CSR. By practising responsible exploration, explorers can reduce risks, minimize adverse **impacts**, optimize benefits to all those connected to their operations, and add value to the project.

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[3]   *Transparency requires the disclosure of material information, defined as any information relating to the business and affairs of the company that would result in or would reasonably be expected to result in a significant change in the market price or value of the company's shares: http://tmx.complinet.com/en/ tsx_manual.html.*

PRINCIPLES FOR RESPONSIBLE EXPLORATION

1. Adopt Responsible Governance and Management

Objective: To base the operation of exploration on sound management systems,[4] professional excellence, the application of good practices, constructive interaction with stakeholders, and the principles of sustainable development.

2. Apply Ethical Business Practices

Objective: To have management procedures in place that promote honesty, integrity, transparency and accountability.

3. Respect Human Rights

Objective: To respect and promote the human rights of employees, contractors, host communities and other affected and interested parties.

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[4]   *See also the OECD Guidelines for Multinational Enterprises at: www.oecd.org/dat/investment/guidelines*

4. **Commit to Project Due Diligence and Risk Assessment**

   Objective: To conduct an evaluation of risks, opportunities and challenges to exploration, and prepare strategies and operational plans to address them before going into the field.

5. **Engage Host Communities and Other Affected and Interested Parties**

   Objective: To interact with communities, indigenous peoples, organizations, groups and individuals on the basis of respect, inclusion and meaningful participation.

6. **Contribute to Community Development and Social Wellbeing**

   Objective: To have measures in place that support the social and economic advancement and capacity-building of communities whose lives are affected by exploration, while respecting the communities' own visions of development.

7. **Protect the Environment**

   Objective: To conduct exploration activities in ways that create minimal disturbance to the environment and people.

8. **Safeguard the Health and Safety of Workers and the Local Population**

   Objective: To be proactive in implementing good practices for health and safety performance in all exploration activities and seek continual improvement.

GUIDANCE NOTES

1. ADOPT RESPONSIBLE GOVERNANCE AND MANAGEMENT

Objective: To base the operation of exploration on sound management systems, professional excellence, the application of good practices, constructive interaction with stakeholders, and the principles of **sustainable development**.

Introduction

Governance consists of management structures and processes that determine how decisions are made. Responsible corporate governance is fundamental to the implementation of the principles and guidance notes. Responsible governance enables an organization to:

- Establish a clear vision and direction to achieve objectives;
- Promote credibility, trust and broad acceptance of its decisions and actions;
- Build constructive relationships;
- Improve performance; and

- Manage risks more effectively.

Responsible governance should be based on:

- Respect for the rule of law;
- Transparency, accountability, reliability and cooperation;
- Ethical conduct, honesty and integrity;
- Fairness and equity;
- Awareness of its impact on others;
- Respect for the interests of others; and
- Inclusion and participation of others in decisions that affect their interests.

Corporate Capacity

It is recommended that, from the outset, explorers:

a. Develop, implement and make public policies and procedures for corporate governance, ethics and sustainable development, and ensure that project personnel have knowledge, awareness, and training in all corporate policies and procedures;

b. Set performance objectives at the corporate and project level to achieve stated commitments and provide the resources necessary to meet these commitments;

c. Employ persons with experience, qualifications and, where appropriate, certification/accreditation relevant to the tasks required. Assign and clarify their roles, responsibilities and authority for achieving stated commitments;

d. Identify where additional training is necessary for employees and contractors to meet their responsibilities and ensure that such training is provided; and

e. Where necessary, seek the advice and assistance of specialists to fill **capacity** gaps in the understanding and management of social, environmental, **human rights** and **security** issues, **health and safety** issues, and the application of **traditional knowledge**.

Legal Compliance

Explorers must:

a. Identify and meet the legal and regulatory requirements of the jurisdiction in which they are operating; and

b. Communicate the relevant requirements for compliance to employees and contractors and provide the resources necessary to meet these requirements.

Explorers are strongly advised to go beyond the legal requirements when local law, or its implementation, is not sufficient to meet the level of **international good practice**.

Relationship with Contractors

Explorers are advised to hire local contractors and, if necessary, provide instruction and training so that it is possible to ensure all contractors and subcontractors follow the company's social, environmental, and health and safety policies. Compliance with such policies can be made a contractual

obligation in agreements for services or supplies. A process for monitoring and enforcing compliance is recommended.

Interaction with Governments

Explorers are encouraged to develop a plan for positive interaction with all levels of government (national, regional, local, indigenous) in the areas where they are operating. This interaction can help support and strengthen government policies and practices that affect responsible exploration.[5]

Involvement of Civil Society

It is recommended that explorers become familiar with the knowledge, skills, capacity and resources that exist within civil society and non-governmental organizations, particularly in the areas of social, environmental, local economic

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[5]   *In many cases, explorers may find it practical to undertake such activities by participating in national and regional industry associations or similar private sector advocacy groups.*

development, and human rights issues. Explorers are encouraged to assess the extent to which the involvement of civil society can assist in creating conditions that will support responsible exploration.

2. APPLY ETHICAL BUSINESS PRACTICES

Objective: To have management procedures in place that promote honesty, integrity, transparency and accountability.

Introduction

Honest, ethical conduct strengthens organizations by creating an environment of accountability, credibility and trust. This can lead to increased confidence of employees, shareholders, communities, indigenous peoples, and other stakeholders within the company. Explorers should ensure a high level of ethical conduct in their organizations and in their interactions with others.

General Aspects

Explorers, their employees and contractors should carry out all activities in an ethical and transparent manner. This includes the need to:

a. Adopt and make public a statement of commitment to ethical conduct and integrate ethical conduct and auditing for compliance into governance procedures;

b. Communicate ethical conduct standards to employees and provide training on how to recognize and handle situations where these standards might be compromised;

c. Encourage the reporting of breaches of ethical conduct by adopting and making public policies and procedures that facilitate and legitimize the action of 'whistle blowers';

d. Avoid complicity in the ethical misconduct of others; and

e. Report violations of the law to the appropriate authorities.

Conduct of Exploration

Explorers are advised to:

a. Identify and apply field procedures that minimize or mitigate any adverse impacts on the environment or local communities while achieving the objectives of an exploration program (see Principles 4 and 7);

b. Be consistent in communicating and managing relationships with local communities and other interested parties throughout their project; and

c. Periodically review and audit their own compliance with their established CSR policies and procedures (see Principle 5).

Collaboration with other Explorers

Where possible, it can be helpful to collaborate with other explorers by sharing information and experiences in the management of social, environmental, and health and safety issues so that the risk of conflict, misunderstanding, or adverse impacts is reduced.

Transparency and Accountability

It is in the interest of explorers to disclose any and all information that, subject to the constraints of business confidentiality, is relevant to their activities and will help remove doubt as to their performance. Explorers are therefore advised to consider the following actions:

a. Adopt and make public policies and procedures for transparency and the full, true and plain **disclosure** of information to stakeholders and other affected and interested parties;

b. Provide information in language that local populations will understand (jargon free, non-technical vocabulary, using the language of the local population, etc.), and employ mechanisms to distribute the information that enable equal and open access (see Principle 5);

c. Provide full, true and plain disclosure of information on the social and environmental impacts of projects to local communities, indigenous peoples, shareholders, and other stakeholders. Include strategies and/or plans to manage and/or mitigate risks (see Principle 5);

d. When information is withheld, disclose the reasons for it being withheld;

e. Provide timely, complete and objective reporting on all activities in a standard

format that allows comparison of
company performance over time; and

f. Demonstrate accountability by adopting
processes that, where possible, involve
independent third parties to verify
company actions and compliance with
corporate policies.

Bribery, Corruption and Conflict of Interest

Explorers, their employees and contractors
must not offer, promise, or give a bribe
to, or demand or accept a bribe from, any
government, public or elected official,
member of the armed forces, police, or any
other individual or organization. Explorers,
their employees and contractors should not
condone or knowingly benefit from a bribe
or other improper advantage. Similarly,
explorers, their employees and contractors
should declare and remove themselves from
any real or apparent **conflict of interest**. It is
recommended that explorers:

a. Adopt and make public policies and procedures to eliminate bribery, corruption and conflict of interests;

b. Provide instruction and training to personnel on how to properly handle situations in which bribes are suggested, requested or demanded, or where a conflict of interest may arise; and

c. Promote and apply practices that disclose and make transparent any payments to third parties and all agencies of government.

3. RESPECT HUMAN RIGHTS

Objective: To respect and promote the human rights of employees, contractors, host communities and other affected and interested parties.

Introduction

The human rights discourse has become a central component of legal, political, social and economic policy in the global forum. Individuals and groups are increasingly using the language of human rights to articulate their concerns and interests. For this reason, it is important that explorers view their own operations through a human rights lens. This will often be critical to securing a social license to operate and engaging effectively with stakeholders and other affected and interested parties.

The Guiding Principles on Business and Human Rights, also known as the Protect, Respect, Remedy Framework or Ruggie Framework (as it was developed by UN Special Representative John Ruggie) has emerged as the leading guidance on corporate

responsibilities regarding human rights. The Guiding Principles were unanimously endorsed by the UN Human Rights Council in 2011 and have since been adopted by governments, businesses, associations, civil society, workers' organizations, national human rights institutions and investors around the world, making the Guiding Principles the authoritative global reference point for business and human rights.[6] Human rights, as defined in the Guiding Principles, are those rights expressed in the following documents:

- The International Bill of Human Rights, which includes:
    - The Universal Declaration of Human Rights[7]
    - The International Covenant on Civil and Political Rights[8]
    - The International Covenant on Economic, Social and Cultural Rights[9]

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[6]   *www.business-humanrights.org/*

[7]   *www.un.org/en/documents/udhr/*

[8]   *www2.ohchr.org/english/law/ccpr.htm*

[9]   *www2.ohchr.org/english/law/cescr.htm*

- The International Labour Organization's Declaration on Fundamental Principles and Rights at Work[10]

The three pillars of the UN Framework are:

1. The state duty to protect human rights against abuses by third parties, including companies;
2. The corporate responsibility to respect human rights; and
3. The need for greater access by victims of human rights abuses to effective remedy, both judicial and non-judicial.

Simply stated, this means companies must not directly or indirectly infringe on human rights and should seek to prevent or mitigate adverse human rights impacts that are linked to their operations.[11]

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[10] www.ilo.org/declaration/thedeclaration/textdeclaration/lang--en/index.htm

[11] www.ohchr.org/documents/issues/business/A.HRC.17.31.pdf

The Guiding Principles offer extensive guidance to companies on fulfilling their responsibility to respect human rights. It can be summarized into three requirements:

- A policy commitment to meet their responsibility to respect human rights;
- A human rights due diligence process to identify, prevent, mitigate and account for how they address their impacts on human rights; and
- A process to enable the remediation of any adverse human rights impacts they cause or to which they contribute.

The following guidance on how to fulfil these three requirements is adapted from principles 15 to 31 of the Guiding Principles. Explorers are encouraged to review the full document, available on the website of the United Nations High Commissioner for Human Rights.[12] Further information on human rights issues commonly encountered

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[12]   *www.ohchr.org*

by explorers, such as those relating to employment and security, can be found in the *e3 Plus* Excellence in Social Responsibility Toolkit.

Policy Commitment

Explorers should adopt a policy stating the company's commitment to meet the responsibility to respect human rights. The policy should stipulate the company's expectations of all employees and contractors with regards to human rights. The policy should be:

- Developed with the input of area experts and relevant civil society actors;
- Approved and endorsed by the most senior level of corporate management;
- Publicly available;
- Communicated internally with clear explanations of lines and systems of accountability;
- Supported where necessary by training for employees and contractors;
- In line with local, regional and national

initiatives that advance the promotion and protection of human rights, where possible;

- Embedded throughout the company's operational policies and procedures, for example in procurement practices, lobbying activities, and procedures that set financial and other performance incentives for personnel; and

- Actively communicated to all parties with which the company has contractual relationships, along with others linked to its operations, for example, state **security forces** and private security forces[13], investors, and potentially affected stakeholders and communities. Explorers should include compliance with the company's human rights policy in all agreements with contractors and subcontractors and establish a mechanism to review performance.

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[13]   *Explorers are encouraged to review the Voluntary Principles on Security and Human Rights, available at: www.voluntaryprinciples.org.*

Human Rights Due Diligence Process

Explorers should undertake due diligence in order to assess and understand the social, political and cultural environment in which they will be operating as part of their decision to initiate exploration activities (see Principle 4). Due diligence should then be undertaken to identify, prevent, mitigate and account for how the company's activities may impact human rights. Due diligence should:

- Include an assessment of the human rights context at the project, regional and the national levels before activity begins and repeat the assessment at regular intervals to account for changing human rights situations;

- Draw on area experts, including relevant civil society actors, to assist in identifying potential issues and **affected parties**; and

- Include **engagement** with local stakeholders and potentially affected groups and communities to identify any particular areas of concern.

Remediation Processes

Explorers should create a process to enable remediation of any adverse human rights impacts with which the company may be involved. This requires a procedure to monitor human rights impacts by the company, its employees and contractors. The procedure should:

- Capture qualitative and quantitative information, using gender-disaggregated data where relevant;
- Draw feedback from internal and external stakeholders, and other affected and interested parties;
- Employ a variety of methods, such as contracts, performance reviews, surveys, audits, engagement with stakeholders and other affected and interested parties; and
- Draw on data from operational-level **grievance mechanisms**.

The monitoring procedure for potential human rights impacts should be incorporated into internal reporting processes. The results of human rights monitoring should be communicated regularly to stakeholders and other affected and interested parties in a form and language that is appropriate for the intended audience. This may be done through a combination of in-person meetings, online dialogues, formal public reports such as annual reports, financial reports, or corporate social responsibility or sustainability reports, among other options. Reports should not put stakeholders, affected communities, employees, contractors, or legitimate requirements of commercial confidentiality at risk. Explorers are encouraged to have reports independently verified as a means to strengthen content and credibility.

The second part of the remediation process includes a remedy for any adverse human rights impacts. The Guiding Principles list potential remedies a company may offer, such as an apology, restitution, rehabilitation, financial or non-financial compensation, punitive sanctions, and injunctions or guarantees of non-repetition. Effective remediation requires that internal decision-making, budgeting, and oversight processes within the company are set up so as to enable effective responses to adverse impacts should they occur.

4. COMMIT TO PROJECT DUE DILIGENCE AND RISK ASSESSMENT

Objective: To conduct an evaluation of the risks, opportunities, and challenges to exploration, and prepare strategies and operational plans to address them before going into the field.

Introduction

It is recommended that explorers be well informed and prepared before going to the field in order to minimize the risks of miscommunication, unnecessary costs, and conflict, and to understand the potential for creating opportunities with local communities.

Project Due Diligence and Risk Assessment

Before committing to a new project and initiating activities on the ground, or returning to an area after an absence, explorers are encouraged to assemble and evaluate all relevant information. This should include, but is not limited to, information on

local and regional social, cultural, political, environmental, and human rights issues; legal conditions, including the social and environmental consequences of any prior mining or exploration activities; and existing local, regional, and national economic development plans. Such information provides the basis on which an assessment can be made of potential issues or risks. This information forms part of the due diligence on which a reasoned decision can be made by the company whether or not to go ahead with the project.

Within the context of due diligence and risk assessment, explorers are encouraged to:

a. Identify the area of impact of the proposed or pre-existing exploration project and the population(s) and communities that could be affected, both positively and negatively, by project implementation;

b. Pay particular attention to the following situations and assemble information

to adequately understand the social, political and legal implications of:

- The presence of indigenous peoples or vulnerable groups;
- The presence of small scale and artisanal mining activity;
- Proximity to parks, reserves and areas of special environmental significance, cultural and heritage value or interest, or high **biodiversity**;
- The presence of endemic diseases, or other social or environmental factors with the potential to affect human health and safety;
- The legal and regulatory framework including treaties and previous agreements with local communities and indigenous peoples;
- The character of national and local governments, including self-governing indigenous peoples, the strength of governance, and the capacity of national and local institutions;

- Human rights abuses in the area documented in the public record;
- The presence of **community**-level conflict or a history of conflict, particularly conflict over resource development or mining; and
- Armed conflict, insurrection or civil war.

c. Carefully assess and measure all risks and costs internal and external to the explorer, including risks to corporate reputation and cost of management options, and develop appropriate strategies and plans to avoid, manage or mitigate such risks; and

d. Undertake periodic review and assessment of project risks and update risk management systems as necessary.

Explorers must follow all laws and regulations of the countries in which they are operating, including those pertaining to land access and use. Some jurisdictions require that projects obtain the **free,**

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prior, and informed consent (FPIC) of indigenous peoples. Explorers are strongly advised to consult up-to-date sources of information on the legal requirements of the country, region and local area in which they will be operating. Explorers should take all necessary steps to understand how local and indigenous people would like to be engaged. More information on community engagement can be found in the *e3 Plus* Excellence in Social Responsibility Toolkit.

Planning and Preparation for Field Activities

In the event of a decision to proceed with exploration activities, it is recommended that explorers use the results of the project due diligence and risk assessment to develop a strategy to manage issues and risks, and design a process for initial engagement with local communities and other affected and interested parties. To this end, explorers are encouraged to:

a. Provide information, instruction and, if necessary, **capacity-building**, including

cultural awareness and cross-cultural communication, to the project team;

b. Provide specialist assistance to the project team to facilitate initial contact and engagement with local communities and stakeholders;

c. Identify procedures and timetables to facilitate engagement with stakeholders and other affected and interested parties. Explorers are encouraged to assess the capacity of such groups and individuals and the resources required by them to participate in engagement;

d. Develop and implement an action plan to manage and communicate the social, environmental, security, health and safety, and legal aspects of the project with provisions for review and updating as experience is gained on the ground;

e. Identify possible opportunities for creating early positive social and economic benefits that are consistent with the level of exploration activity, culturally appropriate, and contribute to

the wellbeing of the **local community**; and

f. If necessary, discuss options with the local communities to build their capacity in order to facilitate their full participation in the engagement process and in the opportunities for social and economic benefit.

5. ENGAGE HOST COMMUNITIES AND OTHER AFFECTED AND INTERESTED PARTIES

Objective: To interact with communities, indigenous peoples, organizations, groups and individuals on the basis of respect, inclusion and meaningful participation.

Introduction

Developing and maintaining positive, mutually-beneficial relationships with local communities, indigenous peoples, and other local stakeholders based on respect, transparency, and participation is fundamental to obtaining a social license to operate. Active engagement with stakeholders and other affected and interested parties from the early stages of exploration and community participation in decision making can decrease the likelihood of conflict.

For each exploration project, the stakeholders and other parties to engage with and the form and scope of engagement

will vary with local circumstances and the stage of exploration. As such, the character of engagement will be context specific, dynamic in nature, and will require constant monitoring and adjustment as exploration advances. In practice, engagement can range from notification and the provision of information, through to participation and an active role in aspects of project planning and decision making.

Explorers are encouraged, therefore, to develop and implement management practices and programs for engagement that are appropriate for the local situation and stage of exploration.[14]

Preparing for Engagement

To facilitate engagement, explorers are encouraged to:

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[14] *For more information on the range of interactions see the materials provided by the International Association of Public Participation available at: www.iap2.org/associations.*

a. Adopt and make public policies and procedures for community relations and stakeholder engagement; land use, mitigation and possible compensation; disclosure of information; and dispute resolution;

b. Identify the geographical area of impact of exploration activities, noting the community or communities, and other parties that may be affected by the exploration project (see Principle 4). It is recommended that this process be repeated at each stage of exploration in order to engage all affected parties;

c. Assemble relevant information in order to understand local social, political, economic and cultural characteristics, including:

- Identification of key groups and individuals, social structures and decision-making processes, and representative leaders;

- Land-use, ownership and occupancy characteristics; and

- Institutional and technical capacity.

Such information can provide a basis on which to develop plans for engagement, communications and community relations and to identify benchmarks against which social and economic changes can be monitored. This process should be repeated periodically in order to ensure that engagement, communications and community relations are appropriate to the stage of exploration (see Principle 2).

Implementing Engagement

Explorers should:

a. Engage with relevant parties during the early stages of exploration to develop a process and schedule for access to and use of land;[15]

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[15] *Procedures for land access vary across jurisdictions. At a minimum, explorers must comply with any legal requirements and government regulations pertaining to access to land and approval to conduct work.*

    b. Identify and implement a process that provides for the mutual exchange of information in a transparent, inclusive and respectful manner and that facilitates community participation in decisions that affect their wellbeing and livelihoods. Explorers are encouraged, where possible, to ensure that all groups within the community, including vulnerable and **marginalized groups**, are included in this process and that they have sufficient time and capacity to participate (see Principle 2);

    c. Be aware that the absence of legal title to surface rights on the part of an individual, group or community does not eliminate the need for engagement and mitigation of, or possible compensation for, any adverse impacts (see Principle 3);

    d. Where possible, conduct exploration activities on the basis of an agreement[16]

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[16]   *Agreements may take the form of a signed written document or be oral before witnesses.*

with the appropriate group, person or persons. It should be anticipated that such agreements will become more detailed as the scale and intensity of the project advances;

e. Confirm commitments with the community in the form of written agreements that incorporate terms which respect community values and processes for interaction and decision making. Explorers are encouraged to structure such agreements so that they provide long-term sustainability for both the community and any future owner or operator;

f. Identify and, where possible, address the need to provide resources for the provision of expert advice to support stakeholders and other affected and interested parties to both understand the project and to participate in the engagement process;

g. Ensure that all employees, contractors, and subcontractors are fully aware of the

mechanisms adopted for engagement, and of their role and responsibility to the community in the engagement process; and

h. Conduct temporary displacement of people and purchase or acquisition of surface rights to land in a manner consistent with the provisions of the International Finance Corporation's Performance Standard 5 (2012): Land Acquisition and Involuntary Resettlement.[17]

Disclosure of Information

Explorers are advised to:

a. Provide non-confidential information about the company and its exploration program, including relevant permits and potential timelines. When possible, explorers are encouraged to provide this information in the local language of the stakeholders and other affected and interested parties, be timely, and use

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[17] *www.ifc.org/performancestandards*

appropriate forms of speech so that the information is easily understood by non-technical persons (see Principle 2); and

b. Be receptive and cooperative with stakeholders and other affected and interested parties who choose to obtain independent advice on the quality, relevance and validity of the information disclosed by the company.

Issues Management, Grievance and Dispute Resolution

Explorers are strongly encouraged to develop, in collaboration with the community, a mechanism for managing issues, grievances and disputes arising from exploration activities.[18] More information on developing a grievance mechanism can

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[18] *See 'IFC Performance Standard 1: Social and Environmental Assessment and Management System,' 'Guidance Notes for Performance Standard 1'and also 'A Guide to Designing and Implementing Grievance Mechanisms for Development Projects' available at: www.cao-ombudsman.org/html-english/Grievance _mechanism2.htm*

be found in the *e3 Plus* Excellence in Social Responsibility Toolkit.

Monitoring and Reporting

Explorers are advised to implement processes of monitoring and reporting on the social and environmental performance of their projects (see Principle 2). In doing so, explorers are encouraged to:

a. Provide monitoring and reporting information that is timely, accurate, relevant and accessible; and

b. Involve the local community or civil society groups in monitoring activities and, where appropriate, confirming the accuracy of reports (see Principle 2).

Exploration-Specific Issues

In addition to the above items, explorers are encouraged to:

a. Develop mechanisms to facilitate communication and the provision of information to local stakeholders and other affected or interested parties during extended periods of time when

the company is absent from the field location (for example, if the project is on hold);

b. Develop systems to manage relationships with local stakeholders and other affected and interested parties in order to facilitate the possible transfer of project management or ownership from one company or team to another, or from exploration to mine construction; and

c. Develop a management process with sufficient resources to mitigate any potential social and environmental impacts of projects which do not lead to mine construction.

6. CONTRIBUTE TO COMMUNITY DEVELOPMENT AND SOCIAL WELLBEING

Objective: To have measures in place that support the social and economic development and capacity building of community members whose lives are affected by exploration activities while respecting the communities' own visions of development.

Introduction

Explorers are encouraged to support, and where possible contribute to the socio-economic development of the local communities in the area of their exploration project. The level of support and/or contribution will vary according to the stage of exploration. The employment of local people and purchase of local services and supplies is a common example. Explorers should avoid creating unrealistic expectations or situations where the involvement of the company in socio-economic development results in dependency. In practice, there

is often a need to find a balance between responding to a demand for the delivery of short-term benefits, and creating opportunities for capacity building and sustainable livelihoods that will continue to support socio-economic development beyond the life of the exploration project.

Policies

Explorers are advised to adopt and make public policies and procedures for community relations, employment, use of local suppliers and services, and community development.

Engagement and Participation

Explorers are advised to engage stakeholders and other affected and interested parties during the early stages of exploration to establish transparent relationships (see Principle 3). Explorers are encouraged to enable community participation in the identification and implementation of local economic and development opportunities so that any contribution to development that the company may make will be compatible

with the existing social structures, the local economy, and the community's own development goals. Any procedures relating to employment and the contracting of local services and supplies should be shared with stakeholders and other affected and interested parties.

Contributing to Community Development

Explorers are encouraged to define the nature, schedule and scope of any contributions to community development in written agreements with the community. In establishing these factors, explorers are encouraged to consider the following points:

a. In coordination with the community and, as necessary, with government and non-governmental organizations, identify the potential to augment or complement existing economic and business development or poverty reduction plans, strategies and programs;

b. In the absence of an existing development plan or strategy, encourage, and if necessary assist the community members to develop and articulate such plans or strategies for themselves;

c. Where possible, partner with government or appropriately qualified non-governmental organizations to facilitate delivery of programs that benefit the community;

d. With the exception of employment and payment for goods and services, limit or avoid the use of money as a vehicle for providing benefit. Rather, through engagement with the community or affected parties and, where appropriate, consider providing benefits in the form of goods and services or initiatives identified by the community or affected parties; [19]

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[19] *See discussions in the 'Guidelines to IFC Performance Standards' at: www.ifc.org/performancestandards*

e. Through engagement with the community, identify where infrastructure required for exploration and development can also benefit the community and, if economically feasible, focus on creating such common improvements;

f. Respect existing social structures and local authorities when defining the roles and responsibilities of the various actors in community development initiatives. Where appropriate, support local governance capacity building to manage community development initiatives into the future;

g. In collaboration with the community, identify indicators of social and/or economic wellbeing that can be used to monitor and measure the outcomes of any community development programs or investments;

h. Where possible, establish cooperative processes with other exploration and mining companies to avoid duplication

of efforts and to enhance the results of any community development initiatives;

i. Where possible, liaise with regional and national authorities to coordinate development initiatives with the implementation of existing government development programs, including (but not limited to) health and education; and

j. Where possible, support education and training initiatives that enable local people to qualify for employment during exploration, and expand training opportunities as the project advances in the mineral development cycle.

Monitoring and Reporting

Explorers are encouraged to implement processes to monitor and report on their efforts to support community socio-economic development (see Principle 2) in order to inform government, local communities, shareholders, stakeholders and other affected and interested parties. In doing so, it is recommended that explorers:

a. Provide monitoring and reporting of information that is timely, accurate, relevant and accessible;

b. Actively communicate the results of the monitoring and reporting with local stakeholders and other affected and interested parties (see also Principle 2); and

c. Wherever possible, involve the local community or civil society groups in monitoring programs of community wellbeing, support and/or economic development and in verifying the accuracy of reports.

e3 Plus: A Framework For Responsible Exploration

7. PROTECT THE ENVIRONMENT

Objective: To conduct exploration activities in ways that create minimal disturbance to the environment and people.

Introduction

In most countries, environmental law, regulations and guidelines exist to provide direction for exploration activities. In the absence of these, explorers are advised to apply good practice as described in the *e3 Plus* Excellence in Environmental Stewardship Toolkit, and, in the case of more advanced exploration projects, the Performance Standards of the International Finance Corporation (2012).[20]

Policies and Management Processes

In developing systems for the management of environmental and socio-environmental matters, explorers are encouraged to follow established guidelines and give consideration to the following:

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[20]   *www.ifc.org/performancestandards*

a. Adopt and make public policies and procedures for the management of environmental and social issues;

b. Create a management and reporting structure that identifies objectives and allocates appropriate resources and responsibilities for the environmental and social aspects of exploration projects;

c. Apply relevant national regulations and inform themselves of international good practice guidelines for environmental management;

d. Establish procedures for the management of environmental issues that are relevant in the area of exploration. Explorers are encouraged to involve the local community in the identification and implementation of preferred environmental management options;

e. Advance understanding amongst employees, contractors, local stakeholders and affected communities

of the potential impacts of exploration and mining on the environment and relevant procedures to prevent and mitigate adverse environmental impacts;

f. Take reasonable steps to ensure that contractors have the capacity to implement operational controls and comply with environmental policies and procedures; and

g. Where possible, support capacity building and education of local stakeholders and affected communities in environmental management using appropriately qualified, independent experts.

Impact Assessment and Management

Explorers, their employees and contractors should be aware of the potential impacts of their activities on the environment and apply appropriate management processes to minimize or mitigate any adverse impacts. In doing so, explorers should consider the need to:

a. Conduct an initial, and then periodic assessments[21] of potential direct, indirect, and cumulative environmental and social impacts, risks and hazards of exploration activities on the environment and people (see Principle 4);

b. Conduct and document baseline environmental and social studies to establish any pre-existing conditions against which changes can be monitored, and share the results of such studies with local communities;

c. Work with government and the local community to identify the potential to augment or complement existing land use and development strategies or plans;

d. Where possible, incorporate local or traditional knowledge and practice into baseline studies and the management of environmental issues, but also

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[21]   *Explorers are encouraged to consider independent, third party assessments, particularly in the advanced stages of exploration.*

be respectful of the nature of such information and maintain confidentiality;

e. Have in place and periodically test procedures and equipment to respond to potential environmental incidents;

f. Create and implement procedures for managing **chance finds** of archaeological sites, artifacts or cultural items;

g. Use processes that reduce the consumption of energy and water and provide for the safe storage and disposal of **hazardous materials and residual wastes**; and

h. Carry out continuous remediation and reclamation of lands affected by exploration activities.

Vulnerable Environments and Biodiversity

Explorers should respect and protect vulnerable environments and species, as well as areas of biodiversity, and:

    a. Respect legally-designated protected areas and promote practices that support biodiversity assessment and management;

    b. Engage with indigenous peoples and local communities to identify valued environmental sites, and any other locations of importance to local people so that the exploration project is respectful of these areas; and

    c. Support the development and implementation of sound, inclusive and transparent approaches to land-use planning, biodiversity, conservation, and climate change, based on the best available data, including traditional knowledge.[22]

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[22] *Explorers may find this is most easily accomplished though participation in local or national industry associations or working directly with local indigenous peoples.*

Monitoring and Reporting

Explorers are advised to implement processes of monitoring and reporting on environmental performance (see Principle 2) to inform management, government, local communities, shareholders, and other interested parties. Explorers are advised to promptly report all environmental accidents or incidents to the local community and appropriate authorities and to actively share plans to manage the accident or incident. Explorers are also encouraged to consider the option to:

a. Where possible, create a community-based process for the participation of local stakeholders and other affected and interested parties in the monitoring and verification of environmental management performance and, where applicable, support capacity building so that such activities are meaningful and effective; and

b. Prepare and publish regular reports on environmental performance that, wherever reasonably possible, are validated by local stakeholders and affected communities or other third-party observers or auditors.

8. SAFEGUARD THE HEALTH AND SAFETY OF WORKERS AND THE LOCAL POPULATION

Objective: To be proactive in implementing good practices for health and safety performance in all exploration activities and seek continual improvement.

Introduction

Health and safety are of immediate and personal concern to workers and local communities, as well as a basic human right. As such, explorers, their employees and contractors must conduct their activities in ways that protect the health and safety of workers and local communities.

Policy and Management Process

In developing systems for the management of health and safety, explorers are advised to:

a. Adopt and make public policies and procedures for the management of health and safety (see Principle 1);

b. Apply relevant national and sub-national regulations and educate themselves on

international good practice guidelines;[23]

c. Adopt and implement a management structure with adequate resources, defined responsibilities, and accountability for health and safety performance at the corporate and project levels; and

d. Provide education, training, equipment and supplies to ensure a safe working environment and to deal with specific local health risks.

Risk Prevention

Sound health and safety programs are based on a full understanding of risks, and require mechanisms to avoid and/or manage these risks to be in place from the earliest stage of an exploration project. Explorers are therefore advised to:

a. Assess existing and potential risks to the health and safety of employees and local communities and develop plans and

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[23]   *See the World Bank Group's Environmental, Health, and Safety Guidelines at www.ifc.org/sustainability*

procedures to avoid, manage or mitigate these risks (see Principle 4);

b. Develop site and project-specific checklists to facilitate the management of risks and hazards;

c. Provide health and safety information and training that is culturally and linguistically appropriate for local stakeholders and affected communities;

d. Adopt and make public policies and procedures for the transportation of persons, equipment and hazardous materials to and from exploration work sites, and have in place provisions for appropriate action should there be an accident involving persons or the release of hazardous material;

e. Take reasonable steps to verify that drivers, aircraft pilots and boat operators employed or contracted to provide transportation to and from exploration work sites are qualified for the tasks they are expected to perform;

f. Take reasonable steps to verify that contractors are able to meet the health and safety standards required and that vehicles, aircraft and boats used to access exploration work sites are properly equipped and maintained;

g. Establish the capacity to deal with accidents and to deliver emergency medical assistance in the absence of outside agencies in coordination with local stakeholders and affected communities and, where possible, government or non-governmental organizations;

h. Periodically test procedures to respond to emergencies; and

i. Review and, where necessary, revise policies and procedures in light of experience gained from every test, incident, or accident.

Monitoring and Reporting

Explorers are advised to implement procedures for monitoring and reporting on health and safety performance (see Principle 2) in order to inform management, government, local communities, shareholders and other interested parties. It is recommended that explorers promptly report any accident or health incident to local communities and appropriate authorities, and assist with any rescue, containment or preventative measures that are required. Explorers are also encouraged to consider the need to:

a. Monitor, investigate and report on accidents and incidents in a manner that encourages continuous learning and improvement of health and safety performance; and

b. Prepare periodic reports on health and safety performance and share such reports with local stakeholders and affected communities.

GLOSSARY OF TERMS

Aboriginal: See also Indigenous and Tribal Peoples. The term Aboriginal is used in Canada, Australia and some other countries instead of indigenous. In Canada, this term refers to the peoples who self-identify as First Nations, Inuit and Métis.

Affected Community: The community or communities subject to the risks or impacts, both positive and negative, arising from an exploration project. Such communities may be defined as physical entities or comprise dispersed populations in the area of impact of an exploration project.

Affected Parties: Groups and individuals subject to the risks or impacts, both positive and negative, arising from an exploration project.

Area of Impact: The area of impact of a project includes the primary project site(s) and related lands and facilities that the explorer and contractors control directly or indirectly;

associated facilities whose viability and existence depend exclusively on the project and whose goods and services are essential for the operation of the project; areas impacted by the presence of the project and the activity of the explorer and their employees, contractors and service providers; and those potentially impacted or affected by further planned or probable developments caused by the project in the future.

Baseline Surveys: The gathering of data to describe the existing physical, biological, socio-economic, health, labour, cultural heritage, or any other variable considered relevant before project development. The data is used as a basis for estimating the impact of development, planning measures to avoid, manage or mitigate impacts, and establishing baseline conditions and indicators against which change resulting from the presence of an exploration or mining project can be measured.

Biodiversity: An integrating concept that includes the ecosystems within which people of the world live, as well as the multitude of species that are used by humankind for food, fiber, medicines, clothing and shelter. Biodiversity is the variety of life in all its forms, including genetic, species and ecosystem diversity.[24]

Capacity: The sum of the skills, procedures and abilities of individuals, groups, organizations or institutions to perform functions, identify, analyze and resolve problems, and set and achieve objectives.

Capacity Building: Developing abilities, relationships and values that will enable organizations, groups and individuals to improve their performance and achieve their development objectives.[25]

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[24]   *IFC Glossary of Terms, 2006*

[25]   *United Nations Environment Program, www.unep.org/ PDF/Capacity_building.pdf*

Chance Finds: Archaeological or cultural sites and artifacts, including such items as ceramics, tools, buildings, burials, etc., previously unrecognized in baseline studies that are discovered during the course of exploration activities.

Civil Society: The wide array of non-governmental and not-for-profit organizations that have a presence in public life, expressing the interests and values of their members or others, based on ethical, cultural, political, scientific, religious or philanthropic considerations. Civil Society Organizations (CSOs) therefore refer to a wide of array of organizations: community groups, non-governmental organizations (NGOs), labor unions, indigenous groups, charitable organizations, faith-based organizations, professional associations, and foundations.[26]

Community: A social group possessing shared beliefs and values, stable membership, and

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[26] *http://go.worldbank.org/PWRRFJ2QH0*

the expectation of continuous interaction. It may be defined geographically, by political or resource boundaries, or socially as a community of individuals with common interests.

Completion Agreement: A formal agreement, either written or made orally before witnesses, between an explorer and another party that provides formal confirmation that the explorer has complied with a contract, promise or other form of obligation to the other party. Examples of such agreements include the reclamation of land after exploration activities and the delivery of benefits to a community.

Conflict of Interest: A conflict of interest exists when an individual is, or is perceived to be, in a position to exploit a professional or official capacity in some way for their personal benefit. Such situations make it difficult for an individual to act or, more importantly, be perceived to act impartially. A conflict of interest exists even

if no unethical or illegal act results from the situation; hence it is necessary to be proactive in the avoidance of any circumstance in which a conflict of interest may exist or be perceived to exist.

Cultural Heritage: Unique and non-renewable resource that possesses cultural, historic, scientific, spiritual or religious value and includes immovable objects, sites, structures, natural features or landscapes that have archaeological, paleontological, historical, cultural, artistic and religious values, as well as unique environmental features that embody cultural values.[27]

Cumulative Impacts: The combination of multiple impacts arising from existing projects or activities, and/or anticipated future projects or activities that may result in adverse and/or beneficial impacts that would not arise from the original project.[28]

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[27]   *IFC Glossary of Terms, 2006*

[28]   *Ibid*

Development Benefits and Opportunities: Benefits and opportunities provided with the aim of improving the standard of living and livelihoods of host and affected communities in a manner that is culturally appropriate and fosters long-term sustainability of the resources on which they depend.[29]

Disclosure: The process of providing information to project-affected communities and other interested and affected parties that is timely, understandable and in the appropriate language(s). This should include information on the purpose, nature and scale of the project, the duration of the proposed project activities, and the potential risks to and potential impacts on such communities of not only the exploration project, but also those that may arise should exploration lead to development of a mine.

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[29]   *Ibid*

Discrimination in Employment: Any distinction, exclusion or preference with respect to recruitment, hiring, working conditions or terms of employment made on the basis of personal characteristics unrelated to inherent job requirements that nullifies or impairs equality of opportunity or treatment in employment or occupation.[30]

Due Diligence: Process of assembling and evaluating all relevant information to provide the basis for an assessment of potential risks, opportunities and costs on which informed decisions can be made by the company.

Economic Displacement: Loss of assets or access to assets that leads to loss of income or means of livelihood.[31]

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[30] *Ibid*

[31] *Ibid*

Engagement: A process of relationship-building comprising contact, dialogue and interaction that assures that project-affected communities and other affected and interested parties are adequately informed and can participate in decisions that affect their lives and livelihoods.

Exploration: The systematic endeavour of searching for and evaluating potentially commercially viable concentrations of minerals (commonly called ore). Exploration is considered to encompass those activities involved in area selection, discovery, definition, economic and technical evaluation of mineral deposits, beginning with conceptual planning and extending through reconnaissance, prospecting, ore deposit identification and measurement, environmental and social baseline surveys for impact assessment, and ending with the initiation of financial feasibility studies.

Explorers: Companies, corporations, firms, syndicates, partnerships, groups and individuals involved in the management and execution of mineral exploration.

Financial (Final) Feasibility Study: An estimate based on commercial considerations that include project investment, operating and maintenance costs together with relevant costs for managing and mitigating environmental and social impacts that establish whether a project is economically viable or non-viable to the proponent.

Free, Prior, and Informed Consent: The concept of free, prior, and informed consent (FPIC) provides a standard for interaction with indigenous communities. The concept has been developed through the UN

Declaration on the Rights of Indigenous Peoples (UNDRIP)*32* and Convention 169 of the International Labour Organization*33* (ILO 169).*34* The International Finance Corporation's (IFC) Performance Standards update of 2012*35* requires that recipients of IFC financing consult with indigenous communities and in certain circumstances obtain their FPIC.*36* The IFC recognizes that FPIC is a process that will be the result of negotiation and will be evidenced by "agreement between the parties as the outcome of the negotiations."*37*

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32 *http://social.un.org/index/IndigenousPeoples.aspx*

33 *www.ilo.org/indigenous/lang--en/index.htm*

34 *Although a number of states are signatories to ILO 169 and have indicated their support for the more aspirational UNDRIP, only a few have implemented the principle of FPIC through national law.*

35 *www.ifc.org/performancestandards*

36 *IFC Performance Standard 1, para. 32*

37 *IFC Performance Standard 7, para. 12*

Guidance for the extractive industry has been produced by the International Council on Mining and Metals (ICMM) and further information can be found in the *e3 Plus* Excellence in Social Responsibility Toolkit.

Grievance and Dispute Resolution Mechanism: Mechanisms to receive and facilitate resolution of concerns and grievances that may be related to issues such as compensation for damage or harm raised by persons or members of host communities; social, environmental, and safety performance by the explorer; and employment and workplace concerns.

Hazardous Waste: Substances identified as hazardous on specific lists or characterized as having at least one of the following characteristics: ignitability, reactivity, radioactivity, corrosivity or toxicity.[38]

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[38]   *IFC Glossary of Terms, 2006*

Human Rights: The basic rights and freedoms to which all humans are entitled, including civil and political rights, such as the right to life and liberty, freedom of expression, and equality under the law; and social, cultural and economic rights, including the right to food, the right to work, and the right to education.

Impact: Any effect, whether anticipated or unanticipated, positive or negative, brought about by the activity of exploration.

Indigenous and Tribal Peoples: (Also referred to as Aboriginal Peoples) Distinct social and cultural groups which may be defined by legal statute or recognized by displaying some or all of the following characteristics in varying degrees: self-identification as members of a distinct indigenous cultural group and recognition of this identity by others; collective attachment to geographically distinct habitats or ancestral territories and to natural resources in these habitats and territories; customary cultural, economic, social or political institutions that are separate from those of the dominant

society or culture; an indigenous language, often different from the official language of the country or region.[39]

Institutional Development: The strengthening, improvement and advancement of the organizational, operational and intellectual abilities of institutions to function for the benefit of their members or constituents, notably the institutions of government at all levels and civil society.

International Good Practice: The exercise of skill, diligence, prudence and foresight that would reasonably be expected from similar corporations or individuals engaged in the same type of undertaking under the same or similar circumstances at any location globally.

International Treaty: A formally concluded and ratified agreement between states. The term is used generically to refer to instruments binding

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[39]   *IFC Glossary of Terms, 2006*

at international law, concluded between international entities (states or organizations).[40]

Local Community: The community or communities within the area of impact of the project.

Marginalized, Disadvantaged or Vulnerable Groups: Individuals or groups within the project area of impact who could experience impacts more severely than others based on their vulnerable or disadvantaged status. This status may stem from an individual's or group's race, colour, sex, age, language, religion, political or other opinion, national or social origin, birth or other status. In addition, other factors should be considered such as gender, ethnicity, culture, sickness, physical or mental disability, poverty or economic disadvantage, and dependence on unique natural resources.[41]

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[40]   *www.unicef.org/crc/files/Definitions.pdf*

[41]   *Ibid*

Occupational Health and Safety: The range of endeavours aimed at protecting workers from injury or illness associated with exposure to hazards in the workplace or while working.[42]

Participatory Monitoring: The involvement of communities or other affected and interested parties in the monitoring of environmental and social management, mitigation procedures and the verification of information to ensure that such procedures are appropriate and effective.[43]

Physical Displacement: Relocation or loss of home or shelter.[44]

Pre-feasibility Study: An estimate of commercial considerations made on the basis of proven ore reserves, conceptual designs for mining and processing, and probable operating and capital costs that establish whether a project is economically viable or non-viable to the proponent.

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[42]   *IFC Glossary of Terms, 2006*

[43]   *Ibid*

[44]   *Ibid*

Project Life Cycle: The progress of a project from conceptual planning through physical execution, to termination or closure and decommissioning.

Security: Measures taken to guard against espionage, sabotage, crime (theft, assault) or attack on the activities of an explorer.

Security Forces: Organizations hired to undertake the task of security that have the ability to apply the legitimate use of force, usually armed force.

Security Personnel: Individuals hired to undertake the task of security who have the ability to apply the legitimate use of force.

Stakeholders: Individuals or groups that are affected by, or have the ability to impact an exploration project.

Sustainable Development: Sustainable development is generally understood as development that meets the needs of today without compromising the ability of future generations to meet their needs. In the context of exploration, sustainable development is considered to be actions and activities that protect and preserve the environment and improve the wellbeing of the community or ability of the community to manage and sustain its own affairs now and into the future without depending on external sources for their ongoing maintenance.

Traditional Knowledge: Traditional knowledge encompasses the beliefs, knowledge, wisdom, values, teachings, practices, innovations, arts, spirituality, and other forms of cultural experience and expression by indigenous and tribal communities. In many cases, traditional knowledge is preserved and transmitted orally between individuals and generations and expressed in the form of stories, legends, rituals, songs or laws.

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