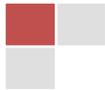


Registration and Log-in Support

Mine Site Sustainability Audit Application (MSSA)

Nickel Asia Corporation

2022



Revision Sheet

Release No.	Date	Revision Description
Rev. 1	03/24/2023	Registration and Log-in Support Document

REGISTRATION AND LOG-IN SUPPORT

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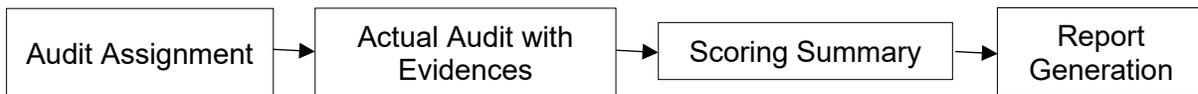
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1.0 GENERAL INFORMATION

1.1 System Overview

The Mine Site Sustainability Audit App includes the following:

- **Major functions performed by the system:**
 - a. Deals with the internal audit of mine sites for an audit period for the eight (8) TSM protocols.
 - b. Processes/generates Assessment Summary Reports for each mine site and/or each protocol.
 - c. Provides the Audit History for ease of verification and access to the accomplished audits for a specific period.
 - d. Allows System Administrators edit access to the Master Data.
 - e. Allows System Administrators access to the System Settings which display the User Roles, Audit Schedules, and User Activities.
- **System Architecture**



- **Responsible entity/ies**
 - A. System Administrator**
 - provides the master data and system settings to be used in the Audit Proper.
 - B. Auditor**
 - performs the audit.
 - C. Auditee**
 - presents the evidence/s.
 - D. Verifier**
 - verifies the audit history of the mining company.
 - E. COMP IT**
 - group responsible for hosting and managing the audit application.
- **General description**

The program was designed to automate the TSM internal audit process for the eight (8) TSM Protocols adopted by the Chamber of Mines of the Philippines

(COMP). It was originally intended to be used in NAC operating and project sites by NAC-designated internal auditors and auditees for practical and reasonable audits. NAC, under certain conditions, may allow select external parties the privilege of using the app.

With the MSSA application, the audit proper, as well as the generation, compilation, and reporting of results, can be conducted remotely within a shorter time frame and with less resources required.

1.2 Points of Contact

1. COMP Officers

- a. HR and Admin/Timekeeping
- b. Cost Management
- c. Information Technology
- d. Research and Development/Core Group

2. Nickel Asia Corporation

a. System Administration

- Mary Lyndsy C. Bartolome
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e. Project Lead

- Rolando R. Cruz
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2.0 SYSTEM SUMMARY

2.0 System Configuration

A. Front – End

- ASP.Net (C#)
- Bootstrap 5
- Visual Studio 2013

B. Back – End

- Microsoft SQL Server 2019

C. Desktop

- Windows 10 or Higher Version of Windows Desktop Application or macOS for Apple

D. Server

- Windows Server 2016 or Higher Version

2.1 System Outline

A. Master Data

1. Users (Administrator, Auditor, Auditee, Verifier)
2. Department Heads
3. Resident Mine Managers
4. Protocols
5. Indicators
6. Levels
7. Questions
8. Evidences
9. Companies
10. Mine Sites
11. Departments
12. Positions
13. Audit Periods
14. Users for Registration

B. Entries/Queries

1. Audit Proper

C. Reports

1. Audit History
2. Audit Report per Site

D. System Settings

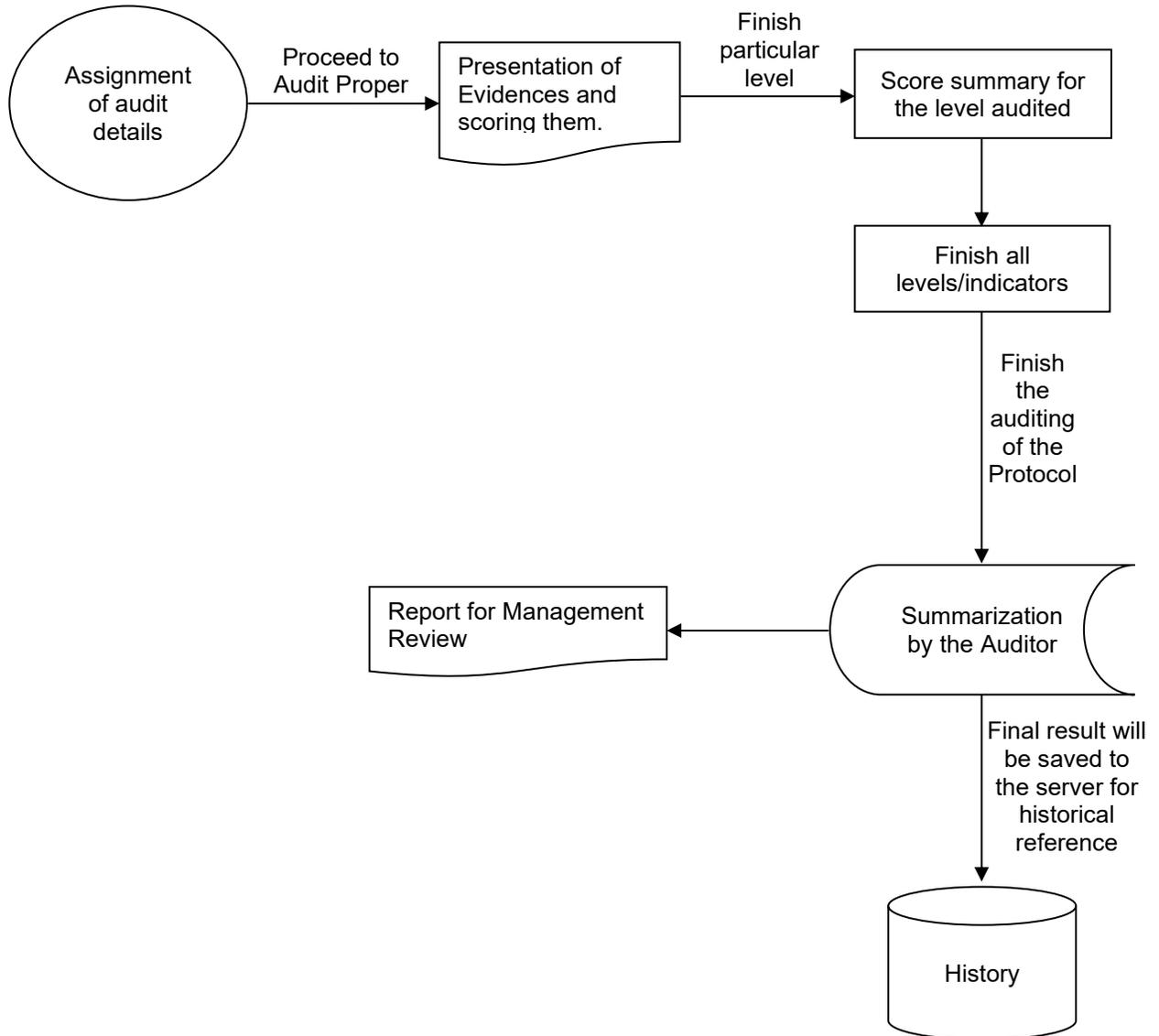
1. User Roles
2. Audit Schedules
3. User's Activities (Audit Trails)

E. Help

1. User's Manual
2. About

2.2 Data Flows

Actual Audit



2.3 User Access Levels

The Mine Site Sustainability Audit App has the following levels of access:

- a. **Administrator** - Overall access
- b. **Auditor** - Actual Audit and Reports
- c. **Auditee** - View only
- d. **Verifier** - Audit History and Reports

2.4 Contingencies and Alternate Modes of Operation

The Mine Site Sustainability Audit (MSSA) App is a web-based application or centralized database intended for use by different mine companies/sites. It is an internet-based application whose connection is dependent on internet connectivity. The administration of data backup is the responsibility of the IT Department wherein different media can be used for the said procedure.

Any writable medium can be used in the process of backup. The whole web folder of 'COMPTSM' or the folder where the web deployment files are located should be backed-up including the files and subfolders inside the said folder. Any changes to the folders inside the folder of the application will result in an error upon running the system. If the operating system or OS (e.g., Windows) of the computer is freshly installed/newly formatted, the user should use the web deployment package of the application located in the 'COMPTSM' folder or in the folder where the application is located. After the deployment of the web deployment files, the user must test the web address of the application. For ease of access, it is better to access the application using a proper web address instead of an IP address.

2.5 About the System

The Mine Site Sustainability Audit (MSSA) app is an online application developed and deployed in 2021 by the personnel of the Strategic Development and Growth Group, wholly using NAC in-house resources. Worthy of mention are the personnel directly involved in its development, namely Mary Lyndsy C. Bartolome, Manuel A. Rivas, Jr., Rolando R. Cruz, Jo Cristine C. Li, Pamela Victoria R. Galang, Carlo A. Tac-an, and Matthew F. Fabic.

The program was designed to automate the TSM internal audit process for the eight (8) TSM Protocols adopted by the Chamber of Mines of the Philippines (COMP). It was originally intended to be used in NAC operating and project sites by NAC-designated internal auditors and auditees for practical and reasonable audits. NAC, under certain conditions, may allow select external parties the privilege of using the app. With the MSSA application, the audit proper, as well as the generation, compilation, and reporting of

results, can be conducted remotely within a shorter time frame and with less resources required.

While not the original intention, the COVID-19 pandemic made the completion of the online app timely and expedient.

2.6 Scope and Limitation

The app is designed for the internal audit of the eight (8) TSM Protocols adopted by the COMP for its member companies. These protocols are:

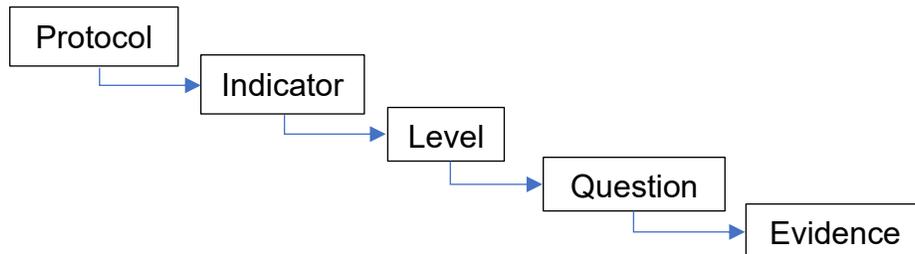
- ICC/IP and Community Outreach and Social Development,
- Preventing Child and Forced Labor,
- Water Stewardship,
- Biodiversity Conservation Management,
- Safety and Health Performance,
- Crisis Management and Communications Planning,
- Climate Change, and
- Tailings Management

The application does not cover any kind of audit for any other TSM Protocol, nor any kind of similar audits intended for external purposes. The audit assessment rating system implemented in the application, while based on the original TSM rating system, is made simpler by being answerable through either a 1 ("YES") or 0 ("NO") rating. This binary rating system makes the audit straightforward and with no room for vague audit inputs, either from the auditee or from the auditor.

3.0 SYSTEM PROPER

3.1 Actual Audit Process

1. The audit proper in the app consists of the following items in this hierarchy:



Note: Levels are not applicable to the Preventing Child and Forced Labor Protocol and the Crisis Management Protocol.

2. For each protocol, there are indicators for which the mine site will be assessed. For each indicator, there are levels to measure where the mine site is at in terms of its implementation or performance regarding that indicator. For every level within each indicator, there are questions that need to be answered to meet the requirements for a certain level. Lastly, for each question, there are evidences that will be required to support the answer to the question.
3. The level of assessment per indicator ranges from C (lowest) to AAA (highest).
4. The resulting assessed level of performance by the mine site will be per indicator for each protocol.
5. Prior to the audit, the auditee should prepare in advance all the evidences to be presented to the auditor by sending/uploading them through email or via a file sharing platform for ease of storage, access, and retrieval of the file by the auditor.
6. During the audit proper, which can be conducted thru video, call and chat features of MS Teams, or any available online conference platform capable of the same functions,
 - a. the auditor logs in to the app, clicks on the Audit Proper page, enters the details needed (i.e., mine site name, name of auditee, date, etc.), chooses which TSM Protocol the mine site will be audited for, and then proceeds to Audit Scoring.
 - b. the auditor conducts the interview with the auditee using the app and:
 - the page will display the list of evidences that will be needed on a per level and per question basis.
 - The auditee must then present/show the documents—highlighting the statement(s) in the document—which will support the answer to the evidence being asked for.

- If the auditor is satisfied with the evidence presented by the auditee, the auditor will mark the evidence as one (1). If not, it will be marked as zero (0).
 - If all the evidences for a particular question are marked with one (1), the answer to the question is a 'YES'. A zero (0) mark for any of the evidences will automatically give an answer of 'NO' to the question.
 - The auditor will then proceed to the next questions up to the level the mine site can be assessed for by clicking on the 'Next/Save' button until he/she reaches the last question wherein the 'Last/Save' button will be displayed.
 - A summary page per level will be displayed after all of the questions for that level have been answered. The list of questions and the corresponding answer of 'YES' or 'NO' along with the total number of '1's and '0's which were answered for each of the evidences will be displayed.
 - If all the questions have been answered with a 'YES', you may proceed to answer the questions in the next level by clicking on the 'Next Level' button. If there are questions with a 'NO' answer, the assessment for that indicator will end at that level and you may proceed to answer questions for the next indicator by clicking on the 'Next Indicator' button.
- c. The auditor will continue to the next indicator until all the questions for the subsequent indicators have been answered.
- d. Upon reaching and answering the questions for the last indicator of the protocol, the app will display a prompt that you have reached the last indicator and it will ask you to click on the Assessment Summary Report and/or to proceed to the Audit Proper page to select a new protocol to audit.
- e. The Assessment Summary or Score per indicator for the audited protocol will be presented in a table and in a bar graph. The score per indicator will depend on the resulting answers to all the questions for a certain level. If all the answers are 'YES', the assessment result for the indicator will be that level. If not, the assessment result will be at a lower level.

Example: For Indicator 1, if all the answers to the B-level questions are 'YES', then the mine site will be assessed as a Level B for Indicator 1. If there is a 'NO' answer to any of the B-level questions, the mine site will then be assessed as a Level C for that indicator. The assessment will end there and there will be no need to answer the A-level questions.

In the case of the Preventing Child and Forced Labor Protocol and the Crisis Management Protocol, the Assessment Score will indicate 'PASS' if the resulting answers to all the questions are 'YES', and 'FAIL' if the resulting answer to the any of the questions contain a 'NO' answer.

7. The app automatically generates and saves the results of the audit which can be accessed in the Reports menu. For ease of review, the auditor may opt to save the results offline by saving it in pdf format.

3.2 Opening the Application

1. Open a web browser. **Note:** Any web browser will do but Microsoft Edge is preferred.

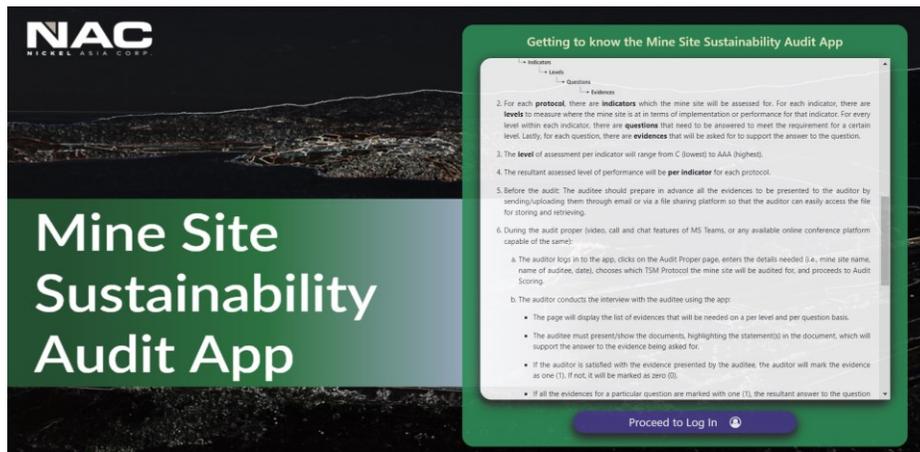


2. On the web browser, type the web or IP address and then press “Enter.”



Note: The web address or IP address will be provided by the System Administrator of the audit app.

3. The About page will be displayed. Click the **<Proceed to Login>** button to open the Log in page.



4. Type your email address and password, then click the **<Log in>** button to log on to the application.



3.3 Forgotten Password

1. On the Log in Page, click the text **<Forgot password?>**.
2. When the Forgot Password page appears, type your email address, and click the **<Submit>** button.
3. Open your email and check for the temporary password sent by the MSSA App.
4. Go to the Log in Page and input the provided temporary password.

Note:

- a. If you did not receive the temporary password or if the password provided is not working, kindly inform the System Administrator to reset it and to provide you with a temporary password.
- b. After the log in is successful, go to your profile and change your password, since the temporary password is too complex to memorize or remember easily.

3.4 Register as a New User

Register

For Registration

First Name <input type="text"/>	Last Name <input type="text"/>	Password <input type="password"/>
Email <input type="text"/>	Position No Position <input type="text"/>	Department No Department <input type="text"/>
Minesite No Minesite <input type="text"/>	Company No Company <input type="text"/>	

[Register](#)

Please wait for your account to be approved by the System Administrator.

1. On the Log in page, click the text **<Register new account>**.
2. Once the Register page appears, fill up the information required.
3. Once done, click the **<Register>** button.
4. The Log in page will appear and the registration will be queued for approval by the Administrator.

Register

For Registration

First Name Renee	Last Name Daza	Password *****
Email renee.daza@nickelasia.com	Position No Position <input type="text"/>	Department No Department <input type="text"/>
Minesite No Minesite <input type="text"/>	Company No Company <input type="text"/>	

[Register](#)

Please wait for your account to be approved by the System Administrator.

Note:

- a. The registration will be received by the System Administrator. Once approved, the Audit app will send an email to the user confirming their log-in details along with their user role assignment.
- b. If no email was received, please notify the System Administrator. The System Administrator can manually add/register a user in the Audit app.

