


ComplyTrack for Mining & Exploration in Ontario

Developed by:



Content Contributions from:





Mining and Exploration in Ontario can be complicated, messy and costly. With environmental obligations, Aboriginal and stakeholder consultation, and securities regulation, where do you start? It's difficult to make sense of the extensive and murky legal obligations, and non-compliance means revoked licences and lost investors.

ComplyTrack for Mining & Exploration is a cloud-based tool for identifying, tracking and mitigating legal and regulatory risk in the mining sector. With ComplyTrack, you'll access a suite of comprehensive, integrated, easy-to-use, cost-effective and practical compliance and risk management tools to help you and your team: focus your efforts, navigate the complex legal channels, and ensure that your projects move forward and stay operating.

CCH Canadian is a leading global provider of authoritative legal, accounting and audit compliance tools. Since 1946, CCH has produced information and software products that help customers take command of complex regulatory issues. CCH Canadian is a division of Wolters Kluwer, a market-leading global information services company.

ComplyTrack for Mining & Exploration in Ontario

Overcome the regulatory burden of exploration in Ontario by identifying your compliance gaps in Aboriginal and stakeholder consultation, securities, permitting, licensing, environment, and health & safety. Focus your staff, consultants and counsel on problem areas that could hinder your success.

ComplyTrack was built specifically for Ontario exploration and allows you to hone in on compliance gaps, maximize your chances of obtaining a permit, minimize the risk of losing your permit, better your chances of securing financing and reach the next stage of development with a social licence to operate.

ComplyTrack makes compliance simple, straightforward and achievable by transforming guiding processes into understandable terms and manageable action items. Through five integrated modules, ComplyTrack empowers you to stay ahead of changing legislation, and avoid regulatory quicksand.

Risk Assessment Manager

Identifies areas of legal risk, proposes remedial actions, creates reminders and follow up plans.

Rules & Best Practices Library

Offers a comprehensive research portal with up-to-date information on Federal and Provincial legislation and regulation, plus best practices for stakeholder and Aboriginal consultation, environmental, permitting and licensing, securities, and occupational health and safety.

Activity & Event Manager

Manages and stores all consultations, investigations and findings in one central location.

Contract & Relationship Manager

Stores and tracks all contracts and agreements, including reminders for renewals and deliverables.

Document & Policy Manager

Stores and manages all versions of letters, plans, policies and memos.

Content Developed by:



CCH

a Wolters Kluwer business



EEM

SUSTAINABLE MANAGEMENT

ComplyTrack's five modules work together to easily identify, track and document your compliance process. Each module plays an important part in the process, and ensures that you stay organized and on track.

RISK ASSESSMENT MANAGER

The **Risk Assessment Manager** is your key to compliance and best practices in the Ontario mining and exploration space.

Your team is given a series of surveys that ask “yes/no/unsure” questions in plain English. These questions sets have been developed by **ÉEM Sustainable Management**, and designed to identify possible improvements in the following areas:

- Environmental obligations
- Aboriginal consultation and stakeholder engagement
- Permitting and licensing
- Securities and stock exchange listing requirements
- Occupational health and safety

The **Risk Assessment Manager** starts your compliance process by identifying possible risk through surveys, which reference legislation in the **Rules & Best Practices Library**. Once completed, the **Activity & Event Manager** can manage your remedy program.

Once the surveys are completed, the **Risk Assessment Manager** empowers you to analyze results and easily create reports that identify gaps in your company’s overall compliance. With this information, your team will be equipped to mitigate risk and track compliance progress. They can also set reminders, assign follow-up actions, and track progress against key compliance requirements in all relevant compliance areas.

ComplyTrack
by MecRegs

Home

Administrator: Kelly Gold | Entity: Merry Exploration

Department : Ontario - Permits, Approvals and Authorizations [Assignments Home](#) | [Review Answers](#)

Category : Prospecting and Early Exploration

Question # : 5 of 33

Where the surface rights of the claimed land have been granted, sold, leased or located by the crown, has the owner of the rights been notified within 60 days that the land has been staked for mineral exploration?

Citation# 60896 | [Enter/Upload Document](#) | Yes No Not Applicable Review/Delegate

Last Review or Update: 07/29/2011 [Submit](#)

Supporting Documents Currently Referenced on the Server - Check All that Apply

Enterprise Wide Documents: No Enterprise Wide Documents on file for this Question Set

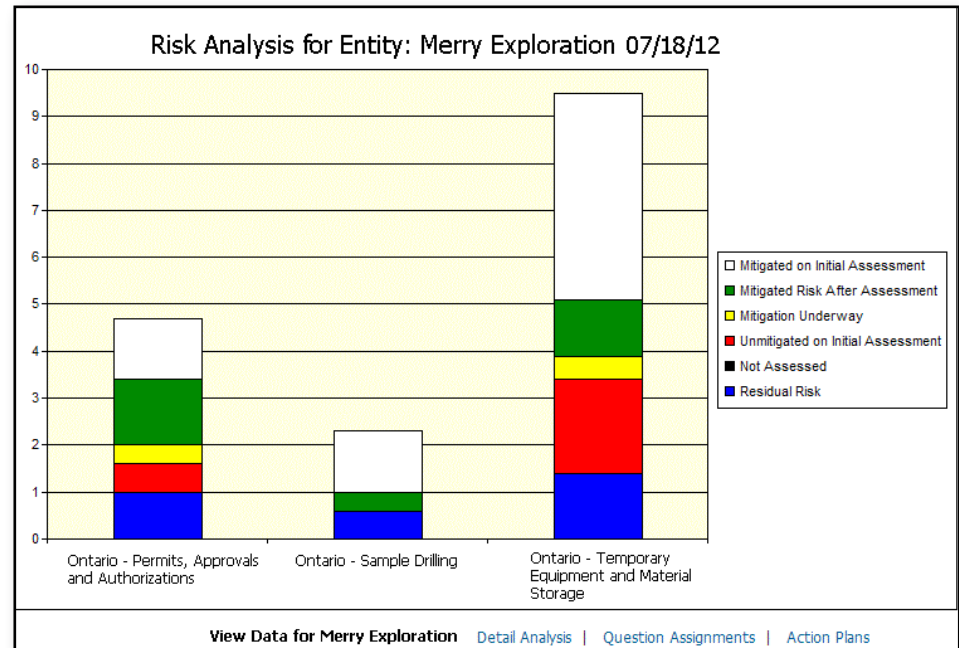
Entity Specific: No Entity Specific Documents on file for this Question Set

Add Comments (Optional):

Contact Comply Track Support at: Tel# 800 808 6800 ext 2 or email support@complytrack.com

Easily generate graphs and reports for investors, board members, auditors, stakeholders, regulators and inspectors.

- Prospecting and Early Exploration – Ontario – Permits, Approvals and Authorizations**
1. Have prospectors obtained a prospecting licence, having completed the prescribed prospector's awareness program? *Citation# 60955*
 2. Is the land available for staking as identified by the Ministry of Northern Development and Mines? *Citation# 60959*
 3. If not, has specific consent of the Minister of Northern Development and Mines or the Ontario Northland Transportation Commission been obtained? *Citation# 60960 60959*
 4. Has the claim been staked in accordance with the Claim Staking and Recording Regulations? *Citation# 60961*
 5. Has the claim been recorded with the Ministry (by Provincial Mining Recorder)? *Citation# 60962*
 6. Where the surface rights of the claimed land have been granted, sold, leased or located by the Crown, has the owner of the rights been notified within 60 days that the land has been staked for mineral exploration? *Citation# 60963*
 7. Where the staking activity involves boring, has a boring permit been obtained? *Citation# 60964*
 8. Where the staking activity involves boring and the surface rights granted, has the surface rights holder been compensated for any damage related to the staking? *Citation# 60965*



Rules & Best Practices Library

The **Rules & Best Practices Library** is a powerful information portal for searching the most up-to-date mining and exploration legislation, regulation and best practices in Ontario.

Organized by topic, the comprehensive library lets you access easy-to-use, cross-linked archives for quick reference searches. You can also bookmark key documents for easy retrieval, and store searches to stay on top of legal developments.

Included in the **Rules & Best Practices Library** is a free subscription and back catalog of **iComply for Mining in Canada**, an electronic journal on mining regulation across Canada.

Content includes contributions from:



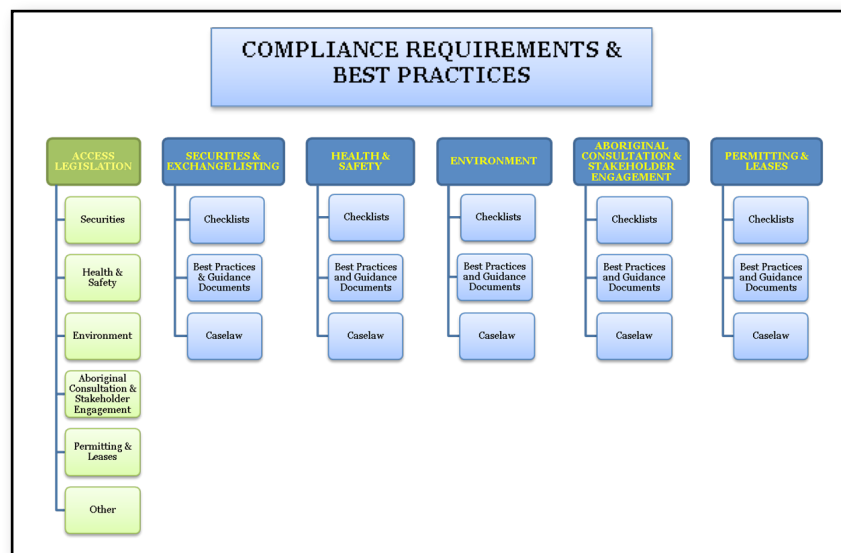
ÉEM Sustainable Management
Environmental and OH&S



CCH Canadian
Provincial and Federal Legislation

The Rules & Best Practices Library includes:

- Comprehensive compliance content
- Key Federal and Provincial legislation and regulations – updated regularly
- Occupational Health and Safety requirements and best practices
- Industry, government, and recognized international standards and best practices
- Relevant TSX and TSX-Venture listing rules and requirements
- Complementary subscription to iComply for Mining in Canada



The Rules & Best Practices Library is a repository of compliance reference material. Survey questions from the Risk Assessment Manager use citations in the Rules & Best Practices Library, and can be used to recommend specific best practice documents.

Activity & Event Manager

The **Activity & Event Manager** is a single, enterprise-wide system that enables end-to-end management of issues, projects, meetings and incidents.

The **Activity & Event Manager** helps you organize and manage day-to-day interactions with regulators, Aboriginal groups, contractors, sub-contractors, stakeholders, and other third-parties through a web-based portal, which is accessible from anywhere via an Internet connection.

The **Activity & Event Manager** also helps you maintain a constant record of events and meetings, from inspection and identification through to resolution and follow-up. It also features specific permission controls to precisely manage data access, while still allowing authorized team members and stakeholders to easily share tasks, exchange reports and collaborate.

Once you have identified areas of risk with the **Risk Assessment Manager**, the **Activity & Event Manager** is the perfect project management tool to follow-through on your remedy plan.

Perfect for Managing:

- Stakeholder relations
- Community relations
- Aboriginal consultations
- Dealings with regulators
- Environmental assessments
- Site inspections
- Health & safety incident management

Task Type	Name	Task Description	Task Due Date	Priority	Status	Assigned By
AEM	A permit has not been obtained for outdoor fires from an officer ...	Obtain necessary documentation to be complete...	7/27/2012	Normal	Open	John Smith
AEM	Local expertise has not been retained to support prospecting and ...	Identify consultants with local expertise and...	7/30/2012		Open	Kelly Gold

Activity #	Description	Activity Date	Status	Priority
0236	A permit has not been obtained for outdoor fires from an officer of the Ministry of Northe...	07/19/2012	UnResolved	Medium
0237	Local expertise has not been retained to support prospecting and sampling activities.	07/19/2012	UnResolved	Low
0238	Safety marks have not been displayed on dangerous goods to be transported.	07/19/2012	Ongoing	Medium
0239	The Stakeholder Engagement Plan has not been reviewed to ensure it remains effective.	07/19/2012	Pending	High

Contractor	Name	Status	Effective Date	Expiration Date	Renewal Date	Automatic Renewal
John Smith	John Smith - Environmental Consultant	Active	8/29/2010	8/29/2012	7/29/2012	<input type="checkbox"/>
Law Firm LLP	Contract for Legal Services Rendered	Active	9/3/2010	9/3/2012	8/3/2012	<input type="checkbox"/>
ABC Company Ltd.	ABC - Subcontractor		9/24/2010	9/24/2012	7/24/2012	<input type="checkbox"/>

Document #	Title	Description	Status	Owner	Ver. Editor Type	Approval
0169	Community Relations and Stakeholder Engagement Policy	Best Practice - Social License...	Checked Out - Kelly Gold	Kelly Gold 1	External	

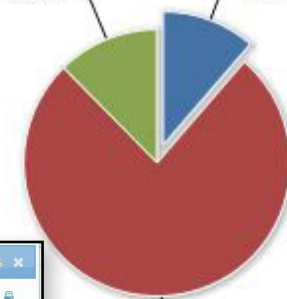
Document #	Title	Description	Status	Owner	Ver. Editor Type
0173	Employee Information Form	For Internal Purposes	Checked In	Kelly Gold 1	External
0171	Projected Sources and Uses of Funds Statement for 18 month Period	TSX Exchange Requirement: List...	Checked In	Kelly Gold 1	External
0172	Workplace Harassment Policy	Bill 168: Workplace Violence a...	Checked In	Kelly Gold 1	External

Use the **Activity & Event Manager** to easily assign tasks to staff members and track their progress.

Activities By Days to Resolve

Click on section to view more Details

61-120 Days: 12 > 180 Days: 11



0-60 Days: 74

Activity #	Activity Date	Owner
0004	09/12/2006	Tim Kennedy
0003	01/29/2007	Leila Turner
0013	03/25/2010	Louise Sadler
0002	04/14/2011	Elizabeth Gowan
0014	04/27/2011	Leila Turner
0015	06/14/2011	Jay Goldsmith
0016	06/24/2011	Jay Goldsmith
0019	07/20/2011	Jay Goldsmith
0017	07/06/2011	Jay Goldsmith
0108	07/20/2011	Elizabeth Gowan
0193	03/15/2011	Sue Ann Gorassi

Contract & Relationship Manager

The **Contract & Relationship Manager** gives you a cloud-based, central storage point to track and monitor the most up-to-date version of every contract, lease, permit, license, certificate, and agreement within your organization.

The **Contract & Relationship Manager** also updates you with timely reminders when payment is due, when contracts are up for renewal, or when other actionable items emerge. You can also mitigate compliance risk by tracking and recording contractor liability insurance details, continuing education obligations, and renewable license requirements.

Plus, you can stay organized and focused by uploading and attaching supporting documents, emails, impact benefit agreements, phone call notes, and signed agreements to permits and leases.

Once your remedy plan has been developed in the **Activity & Event Manager**, you can use the **Contract & Relationship Manager** to manage all relevant third-parties who are needed to fix the situation, and set reminders for payment and renewals.

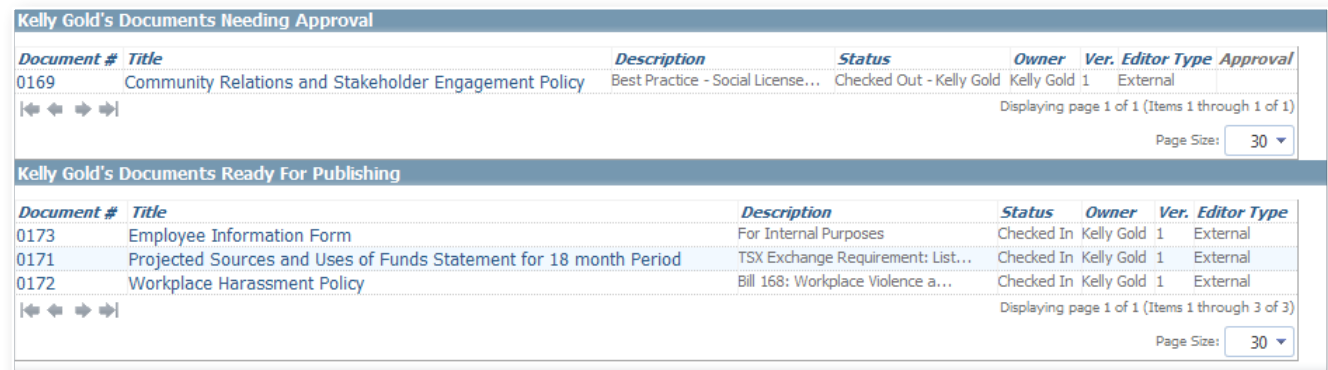
Document & Policy Manager

The Document & Policy Manager allows you to create, store and manage all documentation, including policies, contracts and forms.

With its built-in robust text and html editors, you can easily and efficiently create, edit and distribute documentation to employees, suppliers and consultants.

The Document & Policy Manager also has a simple check-in and check-out feature that ensures document and version integrity, which keeps things clear and organized when dealing with multiple revisions and multiple editors.

During your remedy process, you can develop new policies and supporting documentation in the **Document & Policy Manager** to ensure that future compliance is straight forward, fully developed, and well-organized for reporting purposes.



The screenshot displays two tables from the Document & Policy Manager interface. The first table, titled "Kelly Gold's Documents Needing Approval", lists a single document with ID 0169, titled "Community Relations and Stakeholder Engagement Policy". The second table, titled "Kelly Gold's Documents Ready For Publishing", lists three documents with IDs 0173, 0171, and 0172, including titles like "Employee Information Form" and "Workplace Harassment Policy". Both tables include columns for Document #, Title, Description, Status, Owner, Ver., Editor, and Type. Navigation and pagination controls are visible at the bottom of each table.

Kelly Gold's Documents Needing Approval							
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Compliance in Ontario doesn't have to be complicated, messy or costly. **ComplyTrack for Mining and Exploration in Ontario** helps you navigate the complex legal channels and ensures your projects move forward, and stay operating.

Signup for a FREE demo of ComplyTrack and see what the buzz is about.

For more information or to request a demo contact CCH Canadian at:
1-800-461-5308 ext. 6243
complytrackcanada@wolterskluwer.com
www.complytrackformining.ca

