

	INTEGRATED SYSTEM BUENAVENTURA SOCIAL INCIDENTS P-COR-AS-01.01	CORPORATE VERSION 01 PAGE 1 OF 11
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1.0 OBJECTIVE

Strengthen the prevention and attention to social incidents through the use of a procedure to systematically identify, monitor and evaluate social incidents in order to promote an adequate social climate for the operations and projects of Buenaventura and its subsidiaries.

2.0 SCOPE

This procedure is applicable to all operations and projects managed by Buenaventura, as well as to all its Contractors and visitors.

3.0 DEFINITIONS

Social actor:

Individuals or groups in the social arena whose interests and those of Buenaventura are positively or negatively linked in the relationship process.

Social Incident Early Warning Alert:

Alert when a major or severe social incident has a high probability of occurrence in order to implement corrective measures to mitigate its occurrence or severity.

Major or Severe Incident Alert

Timely alerts the occurrence of a major or severe incident.

Social incident

Event that comes from the relationship process between social actors and Buenaventura, and that affect or may affect the social climate and the interests of Buenaventura in a negative way.

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Social incident addressed

Registered social incident that has received corrective actions.

Social incident closed

Three meanings for considering an incident closed: 1. A solution is reached with the social actor, 2. The cause generating the incident is dissipated, 3. The social actor declines to pursue his/her claim or interest.

Social incident pending attention

Registered social incident that has not received corrective actions.

Corrective action

Actions taken by Buenaventura to mitigate or reduce the risk of a social incident. The scope and effectiveness of corrective actions vary depending on the incident and the context.

4.0 RESPONSIBLES / RESPONSIBILITIES**Social Management Direction**

- Define social risk mitigation strategies and actions.
- Implement mitigation measures for major or severe incidents.

Head of Social Risk Management

- Design processes and tools to prevent, identify, treat, monitor and evaluate social incidents.
- Analyze social risks and trends to propose mitigation and/or elimination control measures.
- Manage incident and social risk information, proposing specific recommendations.
- Provide support to field teams for reporting, attention and advance monitoring of social incidents.

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- Assist in the prevention of incidents by reporting trends and mitigation actions.
- Convenes the Social Risk Analysis Committee.

Superintendencies and/or Heads of Social Affairs of each unit/project

- Report, monitor and evaluate the occurrence of social incidents until their closure.
- Propose and implement actions for the prevention and attention of social incidents.
- Manage the complaints mailbox.
- Convenes the Social Risk Analysis Committee.

5.0 PROCEDURE

5.1 GENERAL ASPECTS

- Social incidents are perceived in the relationship process. They are usually expressed
- verbally, by writing or by actions driven by social actors.
- They are then identified by the Social Affairs teams, other areas or by external specialized consultants.
- Social incidents are registered in the Social Incidents section of the Social Affairs Weekly Report, using the Social Incident Register format of the Social Affairs Weekly Report according to Annex 1.
- The Head of Social Risk Management classifies the social incidents, records them in the database and forwards the incidents to the Social Affairs teams for their monitoring and evaluation until closure.
- The Head of Social Risk Management issues a monthly report with the analysis of social incidents, recommendations and alerts by unit or project.

5.2 RECORDING, MONITORING AND EVALUATION OF SOCIAL INCIDENTS

The P-COR-AS 01.01F01 format shall be used to record social incidents.

- **Day:** date on which the social incident occurred.
- **Actor:** protagonists of the social incident.
- **Cause:** Reason for the social incident. Indicate the main cause, there are 15 types of causes according to Annex 2.
- **Impact:** Consequence of the social incident in the Company's interests. Indicate the main impact, there are 7 types of causes according to Annex 3.

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- **Severity:** four levels to measure severity: minor, moderate, major and severe. It is proposed to analyze six variables to define the severity of an incident according to Annex 4. In addition, Annex 5 offers examples of how to characterize the severity in an incident.
- **Description:** brief description of the incident. Clearly indicate the actors, demands, cause and possible repercussions.
- **Corrective Action:** brief description of the actions and corrective measures taken by Buenaventura to mitigate or reduce the severity of the incident.
- **Corrective Action Date:** Date of the implementation of the corrective actions.
- **Status:** Reports the status of the incident according to three variables: "Pending", "Attended" and "Closed": The conceptualization of these variables can be found in section 3.0 Definitions. Incidents in "Pending" and "Attended" status will appear in the weekly report until they are reported as "Closed". Once reported as "Closed", the incident will be removed from the following week's list.

5.3 SOCIAL RISK ANALYSIS COMMITTEE

- The Head of Social Risk Management and the Superintendents and/or Heads of Social Affairs, in coordination with the Direction of Social Management, convene the Social Risk Analysis Committee to discuss a case or aspects of improvement of a unit or project.
- The Social Risk Analysis Committee will review the case, validate the risks and propose corrective actions that will be submitted to the Superintendents, Directors, Management and Vice-Presidency of Sustainability for their consideration and implementation.
- Various sources of information will be used, such as the monthly incident report, recommendations from the Social Affairs team, and reports from independent external consultants using Annex 6 (Social Risks Report).

5.4 SOCIAL INCIDENT EARLY ALERT

- The early alert is sent by the Superintendents and/or the Heads of Social Affairs when a major or severe social incident has a high probability of occurring and urgent corrective measures are required to mitigate its occurrence or severity.
- This tool is focused on preventing incidents as it facilitates coordination and the information flow for decision making in a context of urgency. The Early Alert figure is included in Annex 7.
- The Early Alert will be sent to: 1. Vice President of Sustainability and Vice President of the area involved, 2. Manager, Directors and Bosses of Social Affairs of Lima and of the area involved, 3. Unit/Project Manager and 4. Superintendents and Unit/Project Heads related to the incident.

5.5 MAJOR OR SEVERE SOCIAL INCIDENT ALERT

- The major or severe social incident alert is sent by the Superintendents or Heads of Social Affairs in order to report in a timely way the occurrence of a major or severe incident.
- The major or severe social incident alert is included in Annex 8.
- The major or severe social incident alert will be sent to: 1. General Management, 2. Vice Presidents, 3. Managers, 4. Directors, 5. Bosses and 6. Superintendents.

5.6 COMPLAINTS BOX

Each unit or project of Buenaventura and subsidiaries will have a complaints box easily accessible to the population. The Superintendents and Heads of Social Affairs will define the best location to place the mailbox in such a way that the population can leave their claims. Complaints collected by this means will be processed according to this procedure.

6.0 FORMATS AND REGISTERS

- * P-COR-AS-01.01F01, Register of Social Incidents of the Social Affairs Weekly Report.
- * P-COR-05.01, Internal and External Communications.

7.0 REVIEW

Apply Procedure P-COR-SIB-04.08 Document Management.

8.0 LEGAL REFERENCES AND OTHER STANDARDS

PDAC, CDA Collaborative Learning, World Vision. 2010. Preventing Conflict in Exploration.

PDAC. 2015, E3 Plus: A Framework for Responsible Exploration. Community Engagement Guide.

Center for Responsible Mining Development - RMD. Relationship and Communication Toolkit for responsible mining exploration, Lima, Peru, 2018.

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Davis, Rachel and Daniel M. Franks. 2014, *Costs of Company-Community Conflict in the Extractive Sector." Corporate Social Responsibility Initiative Report No.66. Cambridge, MA: Havard Kennedy School.

9.0 ANNEXES

Annex 1, Register of Social Incidents of the Weekly Report Social Affairs.

Annex 2, Causes of Social Incidents.

Annex 3, Impact of Social Incidents.

Annex 4, Matrix for Determining Severity.

Annex 5, Typical Description of Severity Categories

Annex 6, Social Risks Report

Annex 7, Social Incident Early Alert

Annex 8, Major or Severe Social Incident Alert

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