

LOCAL SURVEY AS A DATA COLLECTION INSTRUMENT

General Description

The Local Assessment for Mining Communities is a data collection instrument designed exclusively to be implemented at ground level in communities affected by mining activities.

The main objectives of this instrument are to establish dialogue with local community, get a deep understanding of the problem, and perceptions of the community regarding possible solutions and alternatives in order to better design bottom-up policy implementation at ground level.

The instrument is designed to be implemented in any mining affected community in order to get a global understanding of the issue and be able to establish comparisons analysis among communities spread worldwide.

It is divided in 11 sections and has a maximum of 76 questions, depending on the answers given by the respondent.

Objectives/Purposes

- Generate first-hand data about communities affected by mining activities through quantitative and qualitative data collection approaches.
- Gain deep understanding about social, environmental and economic dynamics of communities affected by mining activities, at local level.
- Establish comparisons and cross analysis between communities affected by mining activities, at global level.
- Establish specific indicators and indexes regarding the mining crisis and its relation with local communities, at local and global level.
- Establish a dialogue with local community and promote trust generation.
- Raise awareness among local community regarding drivers and impacts of mining, and also document their perceptions about possible actions and policies to be undertaken.

Sections and Questions

1 - General Information

This section will be fulfilled previous to the survey to be implemented in a specific community and it contains general information about community identification, urbanization level and type of mining. It also specifies when mining activities have started in the area and by which actors this actions are being implemented.

When the survey been implemented in many communities throughout the world, would give a general picture of this factors at a global level, being able to represent this data in an interactive world map.

2 - Personal Background

This section includes personal demographic information of the local person being surveyed. It is important in order to identify the person and also understand the relation between factors such as gender and age, with other social, economic and environmental factors reviewed throughout the survey.

3 - Labor Background

This is the largest section from the survey, depending on the answers given by the interviewee, since labor and lack of more diverse opportunities for employment were identified as ones of the main factors for local community members be involved and/or directly/indirectly affected by mining related activities.

If in question 3.1 the person answers that does not have a job, the interviewer will go directly to the next section since our main interest with this survey is to approach community members who work in mining-related activities and or the affectations that this activities could have in other sources of income and economic activities held by community members.

By “have a job” we mean if the person develops any kind of economic activity in which he earns and income. If this is the case, the answer will be yes, and go to the next question.

Question 3.2 makes the differentiation if the person who was a job is working in a mining related activity or not. In case of working in mining-related activity the interviewer will follow to the next question. 3.3, and if not it will follow to the question 3.20.

If the interviewee works in mining related activities, the main intention of the following questions is to understand the level of formality of the economic activity, the frequency in which this activity is developed, importance of this income in household economy and capacities of the person in other kind of economic activities. And also the level of satisfaction of the interviewee in the exercise of this economic activity, in order to assess the possibility of a change of economic activity by the interviewee.

If the interviewee does not work in a mining activity the interviewer should go directly to the question 3.20 and end the section after that. The main intention of this question is to identify other economic activities already developed by the community and analyze if there any relation, positive and/or negative, of mining over this alternative activities.

4 - Expenditure and Savings

This section is the shortest of the survey, but still very important, in order to have a quick overview of saving capacity of the interviewee and how its income is spent.

Questions 4.1 and 4.2 will give us the level of bancarization and of saving capacity of the community, this data is important in order to develop different saving schemes and analyze the capacities of community to re-invest in alternative businesses.

Question 4.3 is very important in order to understand which are the main expenditures of local community members. Lower income households usually spend most of their income in non-durable goods such as food, while higher income households does it in more durable good or for leisure purposes. If we understand this dynamics, public policy could be suggested for the provision of different community services that could cover these community needs, in order to increase disposable income in households and do the same with saving, investment and consumption capacities to promote new businesses in the sector.

5 - Household Income

This section complements questions in section 4, in order to extend the analysis about labor and income and includes also the household situation regarding this issue. Household includes the other persons who share housing and expenditures with the interviewee.

5.1 question asks for the number of members that the household has, and in case to be more than 1 (the interviewee), it is solicited, if possible, to include in annex the names of the other members of the household. This is in order to be able to identify all household members and then be able to know to which household each interviewee belongs. This is also useful to have a perception of the percentage of local community members that already have been interviewed, for assuring not duplicating interviews and to be able to prioritize interviews in case it is necessary (would be more valuable to get an interview from a household that have not been interviewed yet, than an interview from a household that has been interviewed already).

6 - Health

This section is included in the survey since we identified that mining-related activities could have impact on local community member's health.

Question 6.1 aims to measure if local community members may have any kind of protection against this events, and in case they do not, identify this need in order to implement actions and/or policies to broaden health coverage.

Questions 6.2, 6.3 and 6.4 aims to measure any kind of health issues that might had an impact on community, related to mining-related activities, and also to understand the involvement other authorities have on this issue.

7 - Education and Capacities Background

This section is included in the survey since lack of education was also identified as a factor that might go against the development of alternative economic activities which complement

or replace mining-related activities. While capacities background analysis is important in order to understand other opportunities that could be feasible according to capacities from community members.

Question 7.1 will give us a general overview of level of formal education. While questions 7.2, 7.3 and 7.4 will give us an overview of different capacities present in the community.

8 - Community Engagement

This sections aims to measure the level of community involvement at interviewee level and also at local level. This is important since it gives an overview of community dynamics and roles, and the relation of this engagement with mining.

Question 8.4 will give us a perception of which kind of community activities the interviewee would be interested to participate, and on this way know the type of activities should be organized in order to promote community participation.

Question 8.5 aims to measure the mobilization empowerment of the communities regarding mining activities. This would give a useful insight in different methodologies that could be implemented on the ground regarding the level of mobilization of the community.

9 - Impacts of Mining and Environmental Awareness

This section aims to measure the perception of positive and negative impacts mining have on the communities and environment. Environmental impacts are not explicitly mentioned in the questions with the intention of measuring community members level of awareness on this issue, environmental impacts will be independently analyzed by experts on the subject and then crossed with answers by local community members.

Question 9.3 about perception on mining activity will give an overview of community members position on this issue and on this way also guide the territorial and solution/alternative implementation approach. If community is satisfied with mining activity, solutions/alternatives might be closer to achieve best practices on mining activities, while if

community is not satisfied solutions/alternatives might be closer to alternative livelihood projects.

10 - Willingness and Future Prospects

This section complements with section 9 about community engagement, in order to get a better understanding the willingness of participation by community members on extracurricular activities. By “extracurricular activities” we mean to new activities that nowadays might not be part of their routine.

Question 10.2 will give us an estimate of the average disposable time community members might have available for additional activities and also give us this data and personal level, which can then be crossed also with factors like age and gender.

Question 10.3 will help us to measure the level of interest that community members might have on capacity building programs and also leave space for them to mention in which kind of this programmes they are interested. Capacity building programs should be explained as spaces where community meets in order to develop new skills or improve existing ones, to generate new economic and social development opportunities on the community.

11 - Solutions and Alternative Development

This section is result of previous research undertaken regarding alternative livelihoods and best sustainable mining practices projects, and it is divided into this main lines.

Alternatives and solutions that have already been implemented at global level are listed below each section, and the interviewee is asked to mention the level of importance it assigns to each alternative/solution. This will give us a global understanding of community preferences and also facilitate and promote the political acceptance of different actions implemented on the ground.

It also gives space for the interviewee make proposals which are not present on the list, and the interviewer is asked to encourage interviewee to give their personal input in this section.

Outcomes Expected and Relation with Questions

The outcomes expected with the implementation of this survey are related with indicators and indexes regarding the relation between local communities and mining-related activities at both local and global level. As well, as a territorial approach at local community as result of the implementation of the interview process.

- General understanding of community and its relation to mining-related activities (1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7).
- Age and gender data from communities and its relation with different studied factors (2.1, 2.2, 2.3, 2.4).
- Relation between living distance from mining extractive areas and perceptions by community about different studied factors (2.5, 2.6, 2.7).
- Level of involvement of local communities in mining-related activities (3.1, 3.2, 3.3, 3.5, 3.6, 3.14, 5.1, 5.3).
- Level of formalization in working conditions in mining-related activities (3.4, 3.5, 3.7, 3.9)
- Importance of mining-related activities in income (3.7, 3.8, 3.10, 3.11, 3.12, 3.13).
- Perception on mining of community involved in mining-related activities (3.15, 3.16, 3.17).
- Development of economic activities other than mining by local community members (3.18, 3.19, 3.20)
- Effects of mining activities in other economic activities executed by local community members (3.20)
- Level of saving capacity by community members (4.1, 4.2)
- Understanding and distribution of expenditure by local community members (4.3)
- Level of unemployment in local communities affected by mining-related activities (5.1, 5.2, 5.6)
- Under-age labor in local communities affected by mining-related activities (5.5)
- Level of household income (5.7)
- Representation of mining-related activities income on household total income (3.7, 3.8, 5.7)

- Level of community members covered with any kind of health insurance (6.1)
- Impacts of mining activities on health of community members (6.2, 6.3)
- Level of formal education (7.1)
- Capacities other than mining in members of local community (3.18, 3.19, 7.2, 7.3, 7.4)
- Level of participation of local community members in community activities (8.1, 8.2)
- Relation within community members (8.3)
- Preference of local community members regarding community activities (8.2, 8.4)
- Level of participation of local community members in mining mobilization activities (8.5)
- Qualitative and quantitative perception of impacts of mining-related activities by local communities (9.1, 9.2, 9.3).
- Level of environmental awareness by local community related to mining activities (9.1, 9.2, 9.3)
- Quality of life satisfaction by communities affected by mining-related activities (10.1).
- Time available and level of interest by local communities to spend in extracurricular activities (8.2, 8.3, 10.2, 10.3).
- Perceptions of local community on the implementation of different solutions/alternatives (11)

Implementation

The methodology of implementation of this survey depends on the resources available in the target community and also in local circumstances that might have an influence on implementation.

The main issues to take into account at the time of implementing the survey are:

- Actors that will be involved in the implementation (local organizations, international organizations, government, academia).
- Financial resources by implementation actors.
- Technology available for implementation process and data entry.

- Relation of local actors with community leaders.
- Quantity of individuals involved in the implementation process.
- Previous level of trust of local community in implementation actors.
- Level of security and of maintenance of public order.
- Geographical accessibility of local community.
- Willingness of community members to participate in survey.

This variables will clearly influence the implementation process at ground level, since they have to be taken into account when designing the territorial interventions.

Some guidelines to take into account regarding the design and implementation of survey:

- Identify local communities affected by sand crisis.
- Map potential actors that could participate in design of territorial intervention and implementation of survey, including local community leaders.
- Get in touch and establish formal alliances with identified actors.
- Analysis of main issues to take into account at the time of implementing survey.
- Design of territorial intervention among participating actors.
- Design and implement participatory meeting with community in order to explain the purposes of the survey.
- Set dates and time horizon of survey implementation process and socialize methodology with local community.
- Define the type of data collection instrument to be used at ground level, such us paper survey, online form and/or interactive data collection platform linked to cloud services.
 - The type of data collection instrument to be used will have strong influence in the methodology of the data entry process.
 - In base of the data collection instrument decided to be used, the data entry process should be designed and implemented, taking into account that global data need to be centralized and be able to be interpreted.
- The data recollected should be socialized with local community in a way in which they could be able to understand it, in order to raise awareness about the issue,

promote their participation in territorial interventions and in the design and implementation of community-based projects.

- Establish frequent and regular meetings with local community members in order to legitimate participatory processes and make them part of the decision-making processes regarding the development of community-based projects and initiatives.



LOCAL ASSESSMENT FOR MINING COMMUNITIES

This assessment has the purpose to better understand the social, environmental and economic dynamics of communities affected by mining activities, in order to develop community-based projects to achieve either alternative livelihoods and/or better practices in the mining industry.

/ /

DATE

NAME

ORGANIZATION

CODE

1

GENERAL INFORMATION

1.1

COMMUNITY NAME

1.2

REGION/PROVINCE

1.3

COUNTRY

1.4

Urbanization level:

Rural

Semi-Urban

Urban

1.5

Type of mining

Sand and gravel

Gold

Bauxite

Copper

Other:

1.6

When did mining started in the area?

Mention year:

1.7

The mining activities are developed by:

Private business

Name _____

Country _____

Government

PPPs

Illegal organization

Local community

Other

2

PERSONAL BACKGROUND

2.1

NAME AND SURNAME

2.2

/ /

BIRTH DATE

2.3

PLACE OF BIRTH

2.4

Gender

Male

Female

Other

2.5

Since when are you living
in this community?

Mention year:

2.6

Why did you decide to
come and live here?

Work opportunities

Family relocation

Displacement

Other:

2.7

How far do you live from mining extractive areas?

0-500 m

1001 - 1500 m

Above 2000 m

501 - 1000 m

1501 - 2000 m

3

LABOR BACKGROUND

3.1

Do you have a job?

Yes (to 3.2)

No (to section 4)

If yes, to 3.1

3.2

Are you working in mining-related activities?

Yes (to 3.3)

No (to 3.2)

If yes, to 3.2

3.3

Since when are you working in mining related activities?

Mention year:

3.4 What is employment status?

- Self-employed
- Private institution
- Public institution
- Informal sector
- Other:

3.5 How many hours do you work per week?

- 0 - 5 hs
- 6 - 10 hs
- 11 - 15 hs
- 15 - 25 hs
- Above 25 hs

3.6 What are your duties/role/position?

3.7 How often do you receive a payment for this activity?

- Daily
- Weekly
- Every 2 weeks
- Monthly
- Other:

3.8 Approximately, how much are you paid each time?

Local currency:

Later, equivalent in USD:

3.9 What is the payment method?

- Cash
- Bank transfer
- Other:

3.10 Is this the main income from your household?

- Yes
- No

3.11 Does the remuneration you obtain from mining satisfy your needs?

- Yes
- No

3.12 Are there any other sources of income in your household?

- Yes
- No

3.13 If yes, to 3.12. What are the other sources of income?

3.14 How often do you go to work?

- | Days | Time |
|---|------------------------------------|
| <input type="checkbox"/> Every day | <input type="checkbox"/> Morning |
| <input type="checkbox"/> From monday to friday | <input type="checkbox"/> Afternoon |
| <input type="checkbox"/> Only on weekend | <input type="checkbox"/> Night |
| <input type="checkbox"/> Some days of the week. How many? | <input type="checkbox"/> Overnight |

3.15 Mention positive aspects of working in a mining related activity?

3.16 Mention negative aspects of working in a mining related activity?

3.17 What is your level of satisfaction for working in mining-related activities?

- Very satisfied
- Satisfied
- Not sure
- Unsatisfied
- Very unsatisfied

3.18 Do you have experience in any other kind of economic activity?

- Yes
- No

3.19 If yes, to 3.18.

Which?

When?

For how long?

If not, to 3.2

3.20 Are you owner of the business or employed by another person/business/institution?

If owner

In which sector?

Do you have employees?

Yes. How many?

No

What are the effects of mining in this economic activity?

- Positive Negative
- Not sure Not relation

If employed by another:

In which sector?

What are your duties/position?

What are the effects of mining in this economic activity?

- Positive Negative
- Not sure Not relation

4

EXPENDITURE AND SAVINGS

4.1 Do you have a bank account?

- Yes
 No

4.2 Are you able to save part of your income, for future expenditure?

- Yes
 No

4.3 Tick the three options in which you use most of your income?

- | | | |
|-----------------------------------|-------------------------------------|------------------------------------|
| <input type="checkbox"/> Food | <input type="checkbox"/> Investment | <input type="checkbox"/> Health |
| <input type="checkbox"/> Housing | <input type="checkbox"/> Leisure | <input type="checkbox"/> Education |
| <input type="checkbox"/> Services | <input type="checkbox"/> Vacation | <input type="checkbox"/> Other: |
- _____

5

HOUSEHOLD INCOME

5.1 How many members does your household has?

Ask for members names in annex.

5.2

How many are in physically, legally and mentally stable conditions to work?

5.3 How many of them work in mining-related activities?

5.4

How many of them work and earn an income?

5.5 Among these persons, is there any under-aged?

- Yes
 No

5.6

How many are actively looking for a job?

5.7

Approximately, how much is your household's total income per month?

6 HEALTH

6.1 Are you covered by any kind of health insurance?

- Yes
 No

6.2 Have you experienced any health problems related to mining activities?

- Yes
 No

6.3 Has anyone else in your household experienced health problems related to mining activities?

- Yes
 No

6.4 Did you receive any help regarding health from any mining activities related authority?

- Yes
 No

7 EDUCATION AND CAPACITIES BACKGROUND

7.1 What is your level of formal education?

- | | | |
|--|---|--|
| <input type="checkbox"/> Not formal education | <input type="checkbox"/> Incomplete tertiary/university level
Specify profession _____ | <input type="checkbox"/> Student primary school |
| <input type="checkbox"/> Incomplete primary school | | <input type="checkbox"/> Student high school |
| <input type="checkbox"/> Completed primary school | <input type="checkbox"/> Complete tertiary/university level
Specify profession _____ | <input type="checkbox"/> Student tertiary/university level
Specify profession _____ |
| <input type="checkbox"/> Incomplete high school | | |
| <input type="checkbox"/> Completed high school | | |

7.2 Do you have any capacities or technical skills in other sector than mining?

7.3 Do you any have knowledge in ICTs?

- Yes
 No

7.4 Do you use/are familiar with social networks?

- Yes
 No

8

COMMUNITY ENGAGEMENT

8.1 Do you have any responsible role within your community?

Yes

Which?

No

8.2 Do you participate in any community activities?

Yes

Which?

No

8.3 How satisfied are you with the members of your community?

Very satisfied

Satisfied

Not sure

Unsatisfied

Very unsatisfied

8.4 In which of these kind of events would you like to participate?

Community empowerment

Alternative livelihood projects

Best sustainable mining practices

Education activities

Leisure and family

Other:

8.5 Have you ever mobilized to stop mining activities or making them more sustainable?

Yes

When?

No

9

IMPACTS OF MINING AND ENVIRONMENTAL AWARENESS

9.1 What are the positive impacts of mining in your community?

9.2 What are the negative impacts of mining in your community?

9-3

What is your perception on the mining activity?

- Very satisfied Unsatisfied Not sure
 Satisfied Very unsatisfied

10 WILLINGNESS AND FUTURE PROSPECTS

10.1

How satisfied are you with your quality of life?

- Very satisfied
 Satisfied
 Not sure
 Unsatisfied
 Very unsatisfied

10.2

How many hours per week are you willing to spend in other activities?

- Between 0-2 hs
 Between 3-5 hs
 More than 5 hs
 No time for that

10.3

Would you be interested in participating in capacity building programs?

- Yes
 What kind?

- No

11 SOLUTIONS AND ALTERNATIVE DEVELOPMENT

What kind of solutions and alternatives come to your mind in order to achieve sustainable livelihoods and/or best sustainable practices in the mining industry? Specify how important you consider them and feel free to make proposals which not appear in the list.

Alternative livelihoods

	Very important	Important	Less important	Not important
11.1 Promotion of ecological and sustainable tourism through partnerships with community members	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.2 Promotion of agriculture commercialization through sustainable practices such as agroforestry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.3 Education and training programmes in entrepreneurship and alternative professions, services and crafts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.4 Education and training programmes in entrepreneurship and alternative professions, services and crafts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.5 Education and training programmes in new technologies through the development of spaces dedicated to this area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.6 Construction of community facilities in order to develop bottom-up community development projects	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.7 Financing programs in order to invest in alternative businesses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

		Very important	Important	Less important	Not important
11.8	Other _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.9	Other _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.10	Other _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Best sustainable mining practices

		Very important	Important	Less important	Not important
11.11	Implementation of formalization process to small scale mining, issuing permits and licences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.12	Implementation of programs that promote better working conditions and assure labor rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.13	Creation of a union to facilitate communication and representation between mining companies and workers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.14	Implementation of minimum safety standards and regularize health monitoring by mining companies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.15	Restrict mining areas and give penalties/sanctions for any environmental damages	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.16	Designate specific areas as national parks or environmentally protected areas to ensure biodiversity and wildlife protection	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.17	Financing programs in order to invest in alternative businesses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.18	Other _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.19	Other _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.20	Other _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

END OF SURVEY

Thank you for your time and all the information provided during this interview