COMMUNITY DEVELOPMENT
TOOLKIT

ESM310

The Community Development Toolkit contains two main parts:

- **17 Tools** intended for use throughout the project cycle and which cover the assessment, planning, management, and evaluation phases of community development as well as stakeholder relationships. The tools are colour-coded and individually numbered for clear identification. An introduction, glossary and discussion of mining and community development accompany the tools.

- A **Background volume**, which contains the background and context to the project as well as an examination of the mineral policies and mining laws necessary for mineral activity to contribute to sustainable development and the bibliography.

The Tools have been divided into 5 categories:

ASSESSMENT For assessing the environment; that is, who the people are who live there, how they live, whether there are any existing conflicts, and what resources will be need to build and support a community development program in this setting.

PLANNING To design development programs desired by all and therefore with an opportunity to become sustainable. Some plans may be internal to specific organizations, such as a company or NGO. Other plans may be developed by coordinated efforts by many groups.

RELATIONSHIPS For building and maintaining good relationships between all stakeholders, such as government, community members, company representatives, and local organizations. Relationships are the foundation of all cooperative activities and therefore essential for sound community development programs.

PROGRAM MANAGEMENT For supporting and implementing the plans developed with the planning tools. These management tools include means for ensuring that plans are realistically resourced and scheduled and that there are people taking responsibility for implementing them. Plans are just pieces of paper until they are put into motion.

MONITORING & EVALUATION For measuring progress toward program goals. Some evaluations may be internal to individual organizations, but ideally all participants will work together on some evaluation tools so that any modifications required to plans will be developed in a coordinated and cooperative manner.

ASSESSMENT TOOLS 1-4

PLANNING TOOLS 5-9

RELATIONSHIPS TOOLS 10-12

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ESMAP

THE WORLD BANK

ICMM
International Council
on Mining & Metals

Community development is the process of increasing the strength and effectiveness of communities, improving peoples' quality of life, and enabling people to participate in decision making to achieve greater long-term control over their lives. Sustainable community development programs are those that contribute to the long-term strengthening of community viability. Mining and mineral processing activities can play a central role in sustainable community development by acting as a catalyst for positive economic and social change in areas that may otherwise have limited opportunities for economic and social development.

The Pioneering New Approaches in Support of Sustainable Development in the Extractive Sector project was jointly coordinated and managed by the World Bank Group's Oil, Gas, and Mining Policy Division and the International Council on Mining and Metals (ICMM), and was supported financially by the Energy Sector Management Assistance Program (ESMAP), ICMM, and the World Bank. The aim of the project was to develop new approaches and tools to support government, industry, and community efforts to realize more sustainable community development around mining and mineral processing operations.

Acknowledgments

CONTENTS OF THE TOOLKIT

LIST OF ABBREVIATIONS AND ACRONYMS

AusAID	Australian Agency for International Development
BPD	Business Partners for Development
CASM	Communities and Small-Scale Mining
CBOs	Community-Based Organizations
DFID	Department for International Development (UK)
EITI	Extractive Industries Transparency Initiative
ESMAP	Energy Sector Management Assistance Program
E3	Environmental Excellence in Exploration
IAIA	International Association of Impact Assessment
ICME	International Council on Metals and the Environment
ICMM	International Council on Mining and Metals
IDS	Institute for Development Studies (Sussex University, UK)
IFC	International Finance Corporation (part of World Bank Group)
IIED	International Institute for Environment and Development
IISD	International Institute for Sustainable Development
IPIECA	International Petroleum Industry Environmental Conservation Association
LNG	Liquefied Natural Gas
M&E	Monitoring and Evaluation
MMSD	Mining, Minerals, and Sustainable Development
OGP	International Association of Oil and Gas Producers
SADC	Southern African Development Community
UNEP	United Nations Environment Programme
UNCTAD	United Nations Committee on Trade and Development
USAID	United States Agency for International Aid
WBCSD	World Business Council for Sustainable Development

PREFACE

The Pioneering New Approaches in Support of Sustainable Development in the Extractive Sector project aims to:

- Foster constructive working relationships and alliances among communities, companies, and governments.

- Build capacity within governments, companies, and communities to address sustainable development issues at the local level.

- Promote the value-adding potential of mine development and operation in support of local and regional social and economic sustainable development efforts.

- Improve opportunities for the sustainable development of mining communities and regions during all phases of the mining cycle.

The Pioneering New Approaches project builds on previous World Bank Group work to strengthen the capacity of governments, private sector, and communities to manage mineral development in ways that will contribute more effectively to the longer-term sustainable development of mining regions. This work includes the International Finance Corporation (IFC) good practice manuals and reports such as "Doing Better Business Through Effective Public Consultation and Disclosure" (1998), "Investing in People: Sustaining Communities through Improved Business Practice" (2000), "Developing Value: The Business Case for Sustainability in Emerging Markets" (SustainAbility and IFC, 2002), World Bank sponsorship of the Business Partners for Development (BPD) initiative (1998–2002), and several World Bank–supported international workshops and conferences including Mining and Community (Quito in 1997 and Madang in 1998), Mining and Sustainable Development (Madang in 2002) and Women in Mining (Madang in 2003 and 2005).

The project also responds to recommendations in "Breaking New Ground," the report of the Mining, Minerals, and Sustainable Development (MMSD) project (2002), for new approaches to enable governments, industry, and communities to create country-specific frameworks, including community sustainable development plans, that would ultimately reduce conflict, promote cooperation, and enhance the contribution of mineral-related investment to sustainable development.

The result is this **Community Development Toolkit**, to which there are two main parts:

- **17 Tools** intended for use throughout the project cycle and which cover the assessment, planning, management, and evaluation phases of community development as well as stakeholder relationships.

- The **Background volume**, which contains the background and context to the project as well as an examination of the mineral policies and mining laws necessary for mineral activity to contribute to sustainable development.

1 INTRODUCTION

Background to the Project

A key objective of the World Bank Group's Oil, Gas, and Mining Policy Division is to determine how extractive industry investments can better contribute to poverty reduction and sustainable development at both the community and country levels. The division is currently carrying out a sustainability work program intended to create and add value for all stakeholders: governments, affected communities, and private companies. The program includes the implementation of a variety of new initiatives to maximize the contribution of extractive activities to more sustainable national and local development in those countries and communities where nonrenewable resource extraction is or has the potential to become a significant economic activity.

Such initiatives include the Extractive Industries Transparency Initiative (EITI) and the Communities and Small-Scale Mining (CASM) knowledge-sharing initiative, as well as this Community Development Toolkit. The approach underlying the initiatives is based on strengthening the capacity of all stakeholders to:

- Articulate and represent their interests and needs in an informed way.
- Manage their interactions with other stakeholders in constructive ways that ultimately translate into equitable sharing of the various potential benefits – social and economic, short and long term – that can be derived from large-scale oil, gas, and mining development.

This project has focused on developing a methodological approach supported by relevant tools that can be used by the various stakeholders to identify opportunities, build durable relationships, and promote community development and create the basis for long-term community sustainability beyond the life of the extractive activity.

The project concept was originally conceived at a joint workshop held in November 2000 in Johannesburg for members of the Southern African Development Community (SADC). The convenors included the World Bank and the International Council on Metals and the Environment (ICME)[i], among others.

The objective of the workshop was to advance the understanding of the major issues and challenges standing in the way of sustainable mining sector development within countries of southern Africa.

A consensus emerged around the need to have practical toolkits to facilitate implementation of the key elements of a generative process for fostering constructive working relationships between communities, companies, and government while securing the sustainability of communities. It was argued that the toolkits should themselves be developed through a participatory process involving all stakeholders.

The World Bank and ICME followed up by drafting a proposal (2001–02) for a joint project to elaborate such tools. The World Bank's Oil, Gas, and Mining Policy Division turned to the Energy Sector Management Assistance Program (ESMAP) trust fund for financial support. The proposal addressed a number of ESMAP's core objectives, and the knowledge product was to be grounded in the southern African experience, also a priority region for ESMAP support. The ICME pledged additional financial support from its own resources, even as it was undergoing its own transition to the International Council on Mining and Metals (ICMM). The new ICMM affirmed its commitment to work collaboratively with other stakeholders in its inaugural Toronto Declaration of May 2002.

The ICMM Sustainable Development Framework[ii] followed shortly thereafter (2003). From ICMM's perspective, the project provided an opportunity to develop tools to assist members, and others, implement ICMM's 10 sustainable development principles (see box 1.1), against which corporate members have committed to measure and report their performance. In particular, the project was relevant to the ninth principle where members have committed to "contribute to the social, economic and institutional development of the communities in which they operate."

BOX 1.1 ICMM SUSTAINABLE DEVELOPMENT PRINCIPLES

1   Implement and maintain ethical business practices and sound systems of corporate governance.

2   Integrate sustainable development considerations within the corporate decision-making process.

3   Uphold fundamental human rights and respect cultures, customs, and values in dealings with employees and others who are affected by our activities.

4   Implement risk management strategies based on valid data and sound science.

5   Seek continual improvement of our health and safety performance.

6   Seek continual improvement of our environmental performance.

7   Contribute to conservation of biodiversity and integrated approaches to land use planning.

8   Facilitate and encourage responsible product design, use, re-use, recycling, and disposal of our products.

9   Contribute to the social, economic, and institutional development of the communities in which we operate.

10 Implement effective and transparent engagement, communication and independently verified reporting arrangements with our stakeholders.

International organizations and associations, such as the ICMM, the World Coal Institute and the World Business Council for Sustainable Development (WBCSD), and multilaterals, such as the World Bank and the International Finance Corporation (IFC), now more than ever recognize the importance of providing guidance to improve the contribution of extractive industries to the sustainability of communities. Such guidance includes the design and introduction of new tools and operating frameworks to facilitate the achievement of sustainability objectives. Recent examples of tools, both generic and sector specific, include WBCSD's "Doing Business with the Poor: A Field Guide" (2004), the IFC's "Doing Better Business Through Effective Public Consultation and Disclosure: A Good Practice Manual" (1998), as well as the ICMM and the World Conservation Union's "Integrating Mining and Biodiversity Conservation: Case Studies from around the World" (2004), the IFC's "HIV/AIDS Guide for the Mining Sector" (2004), the IFC's "Developing Value: The Business Case for Sustainability in Emerging Markets" (SustainAbility and IFC, 2002), and ICMM and the United Nations Environment Programme's (UNEP) "Good Practice in Emergency Preparedness and Response" (2005). In addition the World Bank and the IFC have various guidelines and safeguards such as for Resettlement and for Indigenous Peoples that guide the implementation of development projects including extractive industry projects.

The *Background* volume and *Tools* are the end products of an extended process to design and disseminate a set of community development, engagement, and planning tools that will be relevant and valuable to communities, mining companies, and governments. Toolkit components were developed with the assistance of community-oriented practitioners living and working in the southern Africa region. In addition, analyses were undertaken to define the constraints and opportunities provided by existing government policy and institutional frameworks to promote social and economic development around extractive activities within the region. These analyses are included on the accompanying CD-ROM.

Structure of the Toolkit

There are two main parts to the Community Development Toolkit (see table 1.1). The Background volume contains the background and context to the project and an annotated bibliography as well as an examination of the mineral policies and mining laws necessary for mineral activity to contribute to sustainable development. It is divided into four sections:

• An **Introduction** describing the background of the project, how it builds on previous work by the World Bank Group and the mining, minerals, and metals industry, the structure of the Toolkit, and the target audience. (This Introduction is the same for both volumes.)

• An overview of the **Toolkit development process**, including consultation activities, work undertaken, and experience drawn from southern Africa.

• A discussion of **Government Tools for Sector Sustainability**. This includes an examination of overarching mineral policies and mining laws in five countries (Botswana, Namibia, South Africa, Tanzania, and Zimbabwe) to identify current trends in mineral development that contribute to sustainable development and to define key components that, if embedded in overarching policy and legal instruments, become tools for enhancing the contribution of the mining and metals sector to sustainable development.

• An annotated **Bibliography**, describing the broader range of information and resources available on mining and community development. Key references are also listed in each tool.

The Tools are divided into four sections:

• An **Introduction** describing the background of the project; how it builds on previous work by the World Bank Group and the mining, minerals, and metals industry; the structure of the Toolkit; and the target audience. (This Introduction is the same for both volumes.)

• A brief discussion of **mining and community development**, including community development goals and processes, and opportunities to link community development to the mining project cycle. This section includes good practice principles for sustainable community development, advice on the scheduling of development activities in the mining cycle, and on the roles of government, companies, and communities.

• **The Community Development Tools** section introduces the essential building blocks of community development and describes 17 tools. Each community development tool is supported by detailed, step-by-step instructions on how and when to use them. The tools are designed to be easily extracted for use in the field.

• A **Glossary** of community development terms and concepts.

Target Audience

The Toolkit provides practical guidance for all stages of the community development process, from exploration through construction, operations, and eventually decommissioning and closure, including post closure.

Because it is the mining company (rather than the government or the community) that applies for exploration and mining licenses, selects exploration targets, commissions feasibility studies, contracts construction, manages the mine during its operational life, and prepares and implements the mine closure plan, it became evident during preparation of the Toolkit that much of it should be aimed at enabling the mining company to undertake these various steps in a manner that would take account of community views and would contribute to community sustainability. Thus, much of the Toolkit is aimed at mining company staff as the primary users, and different instruments are linked to stages of development of a mining project. However, there are tools that would be used by communities and where the mining company would at most play a facilitator role. Governments may also decide to modify their licensing regulations to provide a framework that would set rules and allocate responsibilities for undertaking some of the actions included in the Toolkit.

In addition to being a valuable resource for companies, communities, and government agencies, the Toolkit should also be a valuable resource and guide for civil society groups such as nongovernmental organizations (NGOs) and community-based organizations (CBOs), academics, training and education providers, trade unions, business associations, and mining services companies. In fact, the Toolkit is for anyone who is interested in facilitating community development. Ideally, most of the tools will be used by several participants together.

TABLE 1.1 COMMUNITY DEVELOPMENT TOOLKIT AT A GLANCE

Section	Key Points
TOOLS	
1 Introduction	Background, objectives and target audience for the Toolkit. The Introduction is the same for both volumes
2 Mining and Community Development	Definition of community development, key principles for sustainable community development, phases of the mining project cycle, and stakeholder roles and responsibilities
3 Community Development Tools Assessment Tools Planning Tools Relationships Tools Program Management Tools Monitoring and Evaluation Tools	17 practical tools for community development supported by step-by-step guidance to assist in using them
4 Glossary	A guide to some important community development terms and concepts
BACKGROUND VOLUME	
1 Introduction	Background, objectives and target audience for the Toolkit. The Introduction is the same for both volumes
2 Toolkit Development Process	Work carried out to develop the Toolkit, including initial work in southern Africa and consultation activities
3 Government Tools for Sector Sustainability	Analysis of the elements of legislation and regulations that can enable a government to create an environment conducive to sustainable mineral development
4 Bibliography	A guide to additional information and resources on community development in mining communities

While the work that supported the development of the Toolkit took place in southern Africa, and was largely focused on coal mining operations, the Toolkit has a broader applicability, both regionally and in terms of different types of operation. The Toolkit is designed to be applicable for projects in all parts of the world, with the important proviso that it does not address the unique characteristics of Indigenous Peoples' communities. The World Bank has operational policies[iii] in relation to Indigenous Peoples that apply to any projects (not just mining projects) that affect them.

ICMM recognizes that relationships with communities are often complex and this is particularly the case in relationships with Indigenous Peoples. As a result, ICMM commissioned an independent review[iv] of the issues surrounding Indigenous Peoples and mining and metals operations to assist in facilitating more meaningful relationships in these areas.

Last, while the initial work focused on coal mining, the Toolkit is considered useful also for other mining and metals activities, and most if not all of the instruments would also be relevant for other energy projects (for example, oil and gas investments).

2 MINING AND COMMUNITY DEVELOPMENT

Relationship Between Mining and Sustainable Community Development

Community development is the process of increasing the strength and effectiveness of communities, improving people's quality of life, and enabling people to participate in decision making to achieve greater long-term control over their lives. Sustainable community development programs are those that contribute to the long-term strengthening of community viability.

Often, the most sustainable beneficial legacies that community development programs around a mining operation may leave are in the skills and capacities that training, employment, and education programs for local people provide. The essential element of a sustainable community development program is that it can survive without input from a mining company, especially after the mining project is finished. Thus, community sustainability can be supported by mining practices that help convert one local asset, nonrenewable natural resource capital, into another local asset, sustainable human and social capital.

Role of the Mining Industry

The mining industry can play a central role in community development by acting as a catalyst for positive change in areas that may otherwise have little if any opportunities for economic and social development. This is especially true in situations where mining can be a catalyst to help to build up other (non-mining) sustainable income sources in the areas where the mines are located so that communities are able to develop independently of the mine and are thus able to survive the exhaustion of the ore reserves and the departure of the mining operation. An important means of achieving this is to foster dynamic linkages between communities and external support agencies.

During the mine life, there can be tensions involving the distribution of mining revenues in a country, between local and national levels. This is because mineral wealth is usually vested in national governments rather than owned by people living in the mining area, and national governments may have priorities for development that differ from those of the communities neighboring the mine.

For companies that see sustainable community development as a positive factor for their mining activities, however, there is a pressing need to expand the positive benefits and mitigate the harmful operational impacts in the local area, regardless of whether the central government chooses to return a proportion of royalty payments and other mining revenues to the local community. Encouraging central governments to invest mining revenues in the regions most affected by the mining is important, but it is equally essential to work with local and regional governments on local development programs. Most governments have their own national, regional, and local development plans. The most effective use of corporate investments in local community development is in support of existing programs that provide additional skills and resources where appropriate.

Community Development is Good for Business

Improved social performance generally leads to better financial returns. While the business case for community development will always be specific to the individual company or operation, some common themes are clear. If communities benefit greatly from a mining operation, then they have a significant stake in seeing the mine operate successfully and will help to overcome obstacles that could adversely affect the mining operation. By contributing to local community well-being and development, benefits to companies may include:

• **Reputation:** Enhanced reputation, in the financial community, in government, and among other stakeholders

• **Resources:** Improved access to resources, such as ore bodies, in environments that are increasingly challenging or remote

• **Ease approvals processes** and **help resolve disputes:** Better relations with local governments, nongovernmental organizations (NGOs) and communities that can help ease approvals processes for project development, expansion, and closure and help resolve disputes and avoid situations in which local groups might hinder or even prevent mining from taking place

• **Reduced closure costs and liabilities:** Resulting from better management of social risk, better management of community expectations, and reduced community dependency on the operations

• **Efficiency and productivity and local support services:** Greater efficiency and productivity owing to the availability of improved local support services

• **Local workforce:** Improved education and skill levels of the local workforce enabling companies to reduce their dependence on expensive expatriates and increase local knowledge in operations, knowledge that can save time, effort, frustration, and money

• **Employees:** Improved employee recruitment, retention, and engagement.

In other words, community development is a reciprocal process. By helping communities to develop themselves in a sustainable manner, a mining company is simultaneously helping its own business to succeed. If we can all move beyond the donor/recipient model of community relations and view mining operations and their community development programs as a mutually beneficial partnership process, the goal of sustainability will become more achievable.

Good Practice Principles for Sustainable Community Development

The most effective and sustainable community development activities reflect some basic principles:

• **Adopt a strategic approach:** Development activities at the operational level are linked to long-term strategic objectives for the company and are also aligned with existing and future community and/or regional and national development plans.

• **Ensure consultation and participation:** Local communities are actively involved in all stages of project conception, design, and implementation, including closure and post-closure.

• **Work in partnership:** Private, governmental, NGO, and community organizations bringing different skills and resources – but shared interests and objectives – can achieve more through working together than individually. Formal or informal partnerships can also reduce costs, avoid duplication of existing initiatives, and reduce community dependency on the mining operation.

• **Strengthen capacity:** Programs that emphasize strengthening of local community, NGO, and government capacity are more sustainable in the long-term than the supply of cash, materials, or infrastructure without a properly designed forward-looking participatory framework. While infrastructure is often essential for the development of remote communities, it will only be sustained if there is an adequate maintenance program supported by a well designed participatory process including local communities and governments.

Mining Operations Support Community Development

This is the focus of the Toolkit. While the tools have broad applicability, there is no simple blueprint for how they will be used at any particular site. Mining operations' support for community development is always determined by local conditions; that is, by the nature and scale of the operation, local government resources, and local peoples' specific needs and priorities.

Conventionally, mining companies have wanted to take immediate measures to alleviate poverty they observed in the neighborhood of their mining projects. Typically this has been by building schools, clinics, or hospitals and by sponsoring external health and education service providers to create new programs.

Often these efforts, although appreciated as generous gifts to local communities, have not lasted beyond the life of the mine, and sometimes not even beyond the tenure of the particular company staff that instigated the projects. The reasons for this are because the projects:

• Were chosen by the mining company people and/or the local elites

• Were built or run by outsiders, with little management involvement from local community members

• Were only accessible by the more affluent members of the community and not by the poorer members

• Required technology or knowledge not locally available to maintain them

• Or because the capacity of local people to manage the programs was not built up to a sufficient level.

The sum of these factors is that, with the best of intentions, the projects were imposed upon local communities and they therefore did not feel any particular ownership of them nor did they have the needed capabilities to sustain them, resulting in a progressive decline once external support was withdrawn.

Further, if local communities and government agencies become accustomed to mining companies taking charge of the provision of infrastructure and services, an unhealthy dependency relationship can evolve, which works against sustainability.

Mining companies should take a strategic and intelligent perspective and focus upon their own areas of expertise to determine where those intersect with community needs. In that way there is a reduced chance of companies filling roles that should be the responsibility of others. For example, schools and clinics are the areas of expertise of educational and medical experts and the responsibility of governments and are not core business skills for mining companies. Certainly, companies have building expertise, but the buildings are only the skeleton of the health and education systems, and are not much use without teachers, nurses, course materials, and medicines, none of which are mining business specialties. Even where mining companies are willing and able to put in place such health and education services, there remains the inherent risk that when the mining company ceases its activities and departs, these services will collapse.

By contrast, mining operations do have skills to share with communities, for instance, in trade, administration, management, finance, operating, and maintaining mobile and fixed machinery, and in improving local supplier and contractor capability. Partnership programs for local apprentices in these areas of capacity building will be more beneficial in the long term than the traditional list of buildings.

The challenge, however, is to not only build the skills but also facilitate the growth of other activities in parallel to mining. For example, the Lac La Ronge Indian Band initially developed trucking and catering skills with support from the local uranium mines in northern Canada. Over time, they expanded their business away from the mines and now have an annual turnover of Can$65 million in 2005 supplying services in the surrounding region. This is an example of how mining companies can localize some of their product and service procurement policies to help build local supply capabilities. In addition to helping train local community members to provide goods and services, companies can also consider supporting micro credit schemes to help encourage small business.

Local agriculture development is also a key area of community sustainability. One of the sustainability risks faced by communities is that income from a mining operation results in the community being able to purchase most of its food needs from outside, with a resultant decline in local agriculture production. The loss of local agriculture capabilities can be a cause of severe problems at the time of mine closure for a community when it no longer has the income to purchase most of its food from outside.

Acid Test for Sustainable Community Development

When reviewing programs for community development, mining companies should ask themselves how those programs will fare when the mine has closed (and remember, this may happen sooner than planned). If ongoing company support, leadership, and maintenance will be required to keep a program going in good order, then it is not sustainable and will need to be rethought. This is where the real contrast between highly visible, tangible projects, such as road building, and low-key, hard to display programs, such as women's literacy programs, is sharpest.

A road will be obviously useful, with people, bicycles, and buses using it every day while the mine is there to maintain it. Picture the same road some years after the mining operation has closed, and neither the local district government, the national government, nor the local community feel the responsibility nor has the capacity to continue its upkeep. It may well be potholed, crumbling, and likely to get worse, or rehabilitation requirements may have necessitated its removal, meaning that it should never have been classified as a sustainable community benefit at all. In either case, unless a major construction project like a road is developed as part of a community-centered program, with community plans and capacity for ongoing management and maintenance, or is part of a partnership initiative with the host government that will therefore take responsibility for its care and upkeep when the mine is gone, then it cannot be called sustainable.

By comparison, women's literacy and numeracy programs may yield much more modest demonstrable results. There may not have been any follow-on enrollments in adult education classes nor women achieving high school diplomas. However, if a number of women became able to read, write, and manage bank accounts, which helped them to save money and helped them establish and operate small business enterprises to benefit themselves and their families, then those skills will not be lost. Further, if some of the women value education more as a result of their experience of learning, and encourage their children to complete their schooling so that school retention rates are raised, then the benefits of training those women will multiply and continue. Thus, there is no need for the mining company to maintain a presence to sustain the benefits of the program after closure. Although on a smaller scale, this sort of development is sustainable.

Roles and Responsibilities for Community Development

Community development needs clearly defined roles and responsibilities of government, companies, NGOs/community-based organizations (CBOs), and communities (table 2.1), and shared commitment from all levels within an organization.

TABLE 2.1 **TYPICAL ROLES AND RESPONSIBILITIES OF STAKEHOLDERS**

Government	Companies	NGOs/CBOs	Community groups
• Strategic leadership • Strategic coordination • Provide policy and regulatory framework for project development, operation, closure, and post-closure • Support capacity building at the local level including monitoring capabilities • Deliver local services • Leverage state and external resources • Monitoring and evaluation	• Manage exploration, construction, operation, and closure of mines in accordance with regulatory requirements • Catalyst for action at the community level • Stakeholder coordination around project site • Financial, material, and facilities support for local community • Transfer of technical and management skills and expertise to local community • Monitoring and evaluation	• Local needs assessment • Local capacity building and institutional strengthening • Community project design and implementation • Leverage external funding for community support • Monitoring and evaluation	• Local needs definition and prioritization • Local knowledge and values • Community planning and mobilization • Mobilization of local assets and resources • Monitoring and evaluation • Internal organization and conflict resolution

The precise roles of the various participants depend on local circumstances and change during the course of both the mine and the community development process. However, some broad principles are clear:

• **Government:** Has the primary responsibility for ensuring that communities benefit from development on their land or in their region. Governments should take the lead in setting policy and standards to ensure development takes place at the local level, planning the development of social and physical infrastructure and land use, developing systems for project monitoring and evaluation, and protecting the rights and interests of citizens.

• **Companies:** Can also play an active role to support community development, but they should not assume the role of government at the local level. Where government capacity is insufficient, companies may be forced to take a leadership role but to the extent possible it should be shared with NGOs and community organizations. In the longer-term, however, they should focus on ensuring that local initiatives work constructively alongside regional government development programs and on building partnerships to help develop sustainable community capacities and resources. Most importantly, they should foster skills transfer and encourage the development of small businesses.

• **NGOs/CBOs:** Can play an important role in advocating on behalf of local communities and in delivering local services. NGOs need, however, to clearly define their roles and to identify where their interests may be different to those of the local community. NGOs involved directly in community issues need to respect different community perspectives toward proposed development and work on building their capacity to articulate local perspectives and to determine that the full range of development options are available to communities.

• **Community groups:** Play the central role. Community development is essentially the process through which communities address locally defined needs and achieve improvement in quality of life. Development reflects their needs, priorities, and aspirations; is achieved largely through their ownership and commitment to locally defined development goals; and is sustained when they have the capacity, confidence, and opportunity to plan appropriate strategies and mobilize resources to fulfill their development goals.

In addition, **international development agencies** may also play a role in community development in the mining sector, although they are not always present in areas where mining takes place. Donors have unique influence and responsibility, particularly in harmonizing the standards by which communities are treated and in bringing influence to bear on public and private-sector development actors. They provide an important source of development resources, expertise, and experience and can advise governments, companies, NGOs/CBOs, and communities of good practice as well as helping mobilize financial resources for local development projects.

Community Development in the Mining Project Cycle

Community development activities span all phases of the mining project cycle. All present particular challenges. It is important to remember that the relationships between mining companies, local communities, and other stakeholders begin long before construction of a mine commences, and companies would be wise to invest in establishing good local relationships at the earliest stages possible.

While the Toolkit includes guidelines on when different tools are applicable, as a practical rule of thumb the sooner you start, the better. Processes can more easily be slowed down than speeded up to meet a community's needs. Additional guidance for the exploration phases of project development is provided in Environmental Excellence in Exploration (E3)[v]: an online reference (an e-manual) of best practices in environmental management and community engagement practices for minerals exploration globally. Where leases or projects are acquired from other companies, an assessment of relationship legacies must be made at the earliest possible stage and steps toward amelioration taken as soon as possible, if needed.

Special attention is needed at the construction stage, which can be most traumatic for communities. There is often an influx of construction workers from outside the region, typically with little affinity for local people, their customs, or their needs. This is the stage when community incomes change drastically with "haves" and "have nots" starting to emerge according to which individuals and families receive employment and/or compensation and which do not. It is also a time when local prices for food, goods, and services typically rise as money flows into the community, and making the plight of "have nots" even worse. It is also a time when traditional authority structures and family relationships can be weakened and domestic violence can increase in response to community stresses.

There can also be unintended consequences, especially at the construction stage. For example, the construction of a mine in a remote location can result in all the local transportation being contracted to meet the needs of construction. Pressure for accommodation and land increases, and demand for food and supplies rises to meet the needs of the construction site, causing price increases that benefit suppliers and farmers. Unintended consequences can be that local people no longer have easy access to transportation to other locations, the delivery of supplies to local stores is disrupted, and the price increases for food and suppliers harms those with little or no income – typically women and children – who are least able to protect themselves.

The importance of involving local people in emergency planning has been identified in work carried out by the International Council on Mining and Metals (ICMM) and the United Nations Environment Programme (UNEP). The ICMM and UNEP publication, Good Practice in Emergency Preparedness and Response (2005), presents the 10 steps of UNEP's Awareness and Preparedness for Emergencies at Local Level process and other elements of a best practice emergency plan. It covers everything from identifying who does what in an emergency to training and proper liaison with the local community. This is followed by and linked to a series of case studies gathered from across the industry that illustrate some of the principles involved and how they might be effectively applied.

The importance of monitoring and evaluation cannot be overstated, especially since relationships with and impacts on local communities will continue after the mine is finished. It is essentially important to ensure that all planning takes post-closure aspects into consideration. This is particularly the case where long-term post-closure monitoring will be required, which is becoming more common.

Table 2.2 shows the sequence of community development tools and activities throughout the mining project cycle. But remember:

• Many of those activities will be repeated throughout the project cycle. Never stop assessing local community or regulatory conditions, identifying stakeholders, or developing human resources and capacities.

• The earlier it is started, the better, but it is never too late to start applying community development tools and approaches. If it has not been done so already, begin at any time and follow the sequence of activities set out in the matrix at the beginning of the Toolkit.

• For sustainability, always consider how a community development program will cope without support from the mine, whether the mine closes in 5 or 50 years. All stakeholders should start planning for closure from the earliest opportunity. Taking into account closure needs and implications can well affect the initial mine design and infrastructure provision. Planning for closure should become progressively more detailed as the mine life advances.

TABLE 2.2 DESCRIPTION OF PHASES OF THE MINING PROJECT CYCLE AND COMPANY/COMMUNITY INTERACTIONS

Phase	Description
Exploration[a]	• Highly competitive and structured within very short time horizons. • The nature of the relationship between company and local communities is established and generally sets the tone of relationship from then forward. This is a challenging time since, in the earliest stages at least, there is an inbuilt mismatch between the interests of communities that want full information disclosure and a long-standing relationship and the interests of exploration teams who want to keep their data confidential and who will move on if there are no promising prospects for follow up.
Feasibility	• Extensive technical studies and consultations with government and local stakeholders. • Important opportunities for the company to engage with local communities to establish, for example, clear understanding of social, environment, development needs, priorities, and concerns as well as inform communities about possible mine development scenarios and timing.
Construction	• Relatively short, but typically brief and intense, set of activities in the construction phase potentially with a large and/or temporary workforce. • The influx of construction workers can be highly traumatic for the community. This phase often introduces significant cash into community, sometimes for the first time, with profound impacts – that can be both negative and positive – for the community.
Operations	• Medium- to long-term time horizons. Period of greatest presence and stable activities. • Opportunities to implement long-term community development programs, focusing on locally identified development needs and community participation and stakeholder partnerships in program design, implementation, and monitoring.
Decommissioning and closure	• May be according to a long-term plan or may occur prematurely. Need for closure planning throughout the mining project cycle to ensure that programs can survive mine closure. • Role and development of local partners is critically important in planning for closure. • Even well planned and implemented closure will likely cause significant decline in community income and tax base of local government.
Post closure	• Long-term time horizon. Includes monitoring of environmental impacts and social conditions following closure. • Requires clear allocation of responsibilities for monitoring and remediation of any post closure impacts. • Support for post-closure alternative income generation measures and sustaining the delivery of social services.

[a]Detailed online guidance on best practices in exploration is available from E3 at www.e3mining.com

Community Development Toolkit: An introduction to the 17 Tools

3 COMMUNITY DEVELOPMENT TOOLS

Using the Tools

The tools are designed for government officers, mine site managers, and community relations staff and community officials and members in mining regions. They briefly provide and simply explain some essential tools for community development in a way that makes them easy to learn and to use, particularly for people who have limited time for development jargon or theory.

By following the step-by-step approach – and detailed guidance on the use of simple and effective tools – the community development process will be better understood and community development activity in and around mining operations will be better supported.

The tools have six specific objectives:

• To improve understanding of local community development processes

• To support lasting improvement in the quality of life enjoyed by mining communities

• To facilitate community empowerment through participatory development processes

• To build local capacities and development resources

• To foster constructive working relationships among communities, companies, and governments

• To reduce conflict in mining communities and regions.

The tools provide practical guidance for all stages of the community development process, from first contacts between exploration geologists and local community members, or the acquisition of existing projects, through to construction, operations, and eventually decommissioning, closure, and post-closure.

Much of the tool content is aimed at mining company staff and linked to stages of development of a mining project. This is because the tools are designed for use in the mining and metals sector.

However, the tools should also provide a valuable resource for government agencies, NGOs, training and education providers, trade unions, business associations, and mining services companies, in fact, anyone who is interested in facilitating community development.

Ideally, most of the tools will be used by several participants together in some type of formal or informal partnership. For example, community problem ranking workshops may be organized by the mining company in conjunction with community members, with the participation of local government officers and facilitated by a local NGO.

Some other tools may be used by different participants from slightly different perspectives. Strategic planning and stakeholder analysis tools, for example, may be used by each of the company, government, and NGOs in a similar fashion but with varying results owing to the different viewpoints of each group. In the introduction to each category of tools, the use by different stakeholders is explained. Anybody can use any of these tools when they need to assess local conditions or plan, manage, or evaluate local development activities.

The tools are a reference and a guide to help you work more effectively in community development. The Toolkit is designed to provide the tools you need, when you need them.

Initially, you may wish to look briefly through the tools to review the range of development approaches described. As you begin to work through some of those development approaches, you may wish to focus on specific tools to ensure you understand when and how those tools may be most effectively applied.

They are not all-encompassing (or they would be too bulky to use). Other useful sources of advice will be found, including those noted in the Bibliography. These are particularly relevant when faced with issues requiring separate and specific treatment, such as resettlement, and references to the World Bank guidelines on this and other topics are provided in the Bibliography. The tools also do not remove the need for knowing and observing laws and regulations that apply to an operation.

Using the tools will not mean that you will never need help from others. Certain aspects of community development require expertise that you may not have. The tools should help you decide when you need assistance and what kind of assistance that should be.

Gender and Inclusion

Underlying the use of the Toolkit is an important gender dimension. Typically mining development has a gender bias whereby most of the benefits (employment, income, royalties, and infrastructure projects) tend to accrue to men, and the negative impacts (cultural disruption, social stress, environmental harm, and domestic violence) affect women and children. Corrective actions are available that can redress this situation and improve the economic and social empowerment of women and improve the well-being, safety, and security of both women and children. Each stakeholder group (government, companies, communities, and civil society groups) should examine their own activities through a gender prism to see how well women are represented and how much their views and concerns are taken into account in using the tools and in associated monitoring and evaluation activities.

Categories of Tools

The tools have been divided into several categories according to their main uses, which are also the main elements necessary in a healthy community development program:

• **Assessment tools:** For assessing the environment; that is, who the people are who live there, how they live, whether there are any existing conflicts, and what resources will be need to build and support a community development program in this setting.

• **Planning tools:** To design development programs desired by all and therefore with an opportunity to become sustainable. Some plans may be internal to specific organizations, such as a company or NGO. Other plans may be developed by coordinated efforts by many groups.

• **Relationships tools:** For building and maintaining good relationships between all stakeholders, such as government, community members, company representatives, and local organizations. Relationships are the foundation of all cooperative activities and therefore essential for sound community development programs.

• **Program management tools:** For supporting and implementing the plans developed with the planning tools. These management tools include means for ensuring that plans are realistically resourced and scheduled and that there are people taking responsibility for implementing them. Plans are just pieces of paper until they are put into motion.

• **Monitoring and evaluation tools:** For measuring progress toward program goals. Some evaluations may be internal to individual organizations, but ideally all participants will work together on some evaluation tools so that any modifications required to plans will be developed in a coordinated and cooperative manner.

Some Advice

Be patient. Let people develop at their own pace. One of the greatest challenges of providing good community development support is working to the timetable of the community. Community leaders and members will likely be fully aware of this. If you are a mining company manager, government official, or NGO representative, you may have project deadlines, annual reports to complete, and budgets to utilize. These imperatives, coupled with the temptation to see immediate results from your work, can be strong.

Remember that development is a long-term process. It is about building local capacities and strengthening local organizations and not necessarily the immediate or visible outputs of your development activity. Development is the process of change in local people's capacities and resources, in how they organize themselves, and in how they relate to the outside world.

For those who are not community leaders or members, your role is to facilitate that process and to take a back seat or supporting role. You probably have special skills, knowledge, and abilities and access to resources, all of which could achieve the tangible aspects of community development projects more quickly than people just learning the ropes can.

However, you will really have achieved the goal of sustainable community development when the community feels that it can manage well without you.

ENDNOTES

i   On May 21, 2001, the Board of Directors of the International Council on Metals and Environment (ICME) agreed to broaden the groups' mandate and transform itself into the International Council on Mining and Metals (ICMM), and to move its headquarters from Ottawa, Canada, to London.

ii   See www.icmm.com/sd_framework.php.

iii   World Bank Revised Operational Policy and Bank Procedure on Indigenous Peoples (OP/BP 4.10) available at web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTSOCIALDEVELOPMENT/EXTINDPEOPLE/0,,menuPK :407808~pagePK:149018~piPK:149093~theSitePK:407802,00.html.

iv   See ICMM Mining and Indigenous Peoples Issues Review, available at www.icmm.com/library_pub_detail.php?rcd=175.

v   See www.e3mining.com

COMMUNITY DEVELOPMENT TOOLS IN THE MINING PROJECT CYCLE

CATEGORY OF COMMUNITY DEVELOPMENT TOOL	TOOL NAME AND NUMBER	WHEN TO USE THEM					WHO MIGHT USE THEM			
		Exploration	Feasibility	Construction	Operations	Decommissioning, closure and post closure	Government	Community	NGO	Company
ASSESSMENT	1 Stakeholder Identification	Start activity	Ongoing	Ongoing	Ongoing	Ongoing	Primary	Primary	Primary	Primary
	2 Social Baseline Study		Start activity		Repeated	Repeated	Primary		Primary	Primary
	3 Social Impact and Opportunities Assessment		Start activity	Start activity	Repeated	Repeated	Primary	Support	Primary	Primary
	4 Competencies Assessment		Start activity	Start activity			Primary	Primary	Primary	Primary
PLANNING	5 Strategic Planning Framework				Start activity	Start activity	Primary	Primary	Primary	Primary
	6 Community Mapping				Start activity		Primary	Primary	Primary	Primary
	7 Institutional Analysis				Start activity		Primary	Primary	Primary	Primary
	8 Problem Census				Start activity		Support	Primary	Primary	Support
	9 Opportunity Ranking				Start activity		Primary	Primary	Primary	Support
RELATIONSHIPS	10 Stakeholder Analysis		Start activity	Ongoing	Ongoing	Ongoing	Primary	Primary	Primary	Primary
	11 Consultation Matrix	Start activity	Repeated	Repeated	Repeated	Repeated	Primary	Primary	Primary	Primary
	12 Partnership Assessment		Start activity	Repeated	Repeated	Repeated		Primary	Primary	Primary
PROGRAM MANAGEMENT	13 Conflict Management		Start activity	Ongoing	Ongoing	Ongoing	Support	Primary	Support	Primary
	14 Community Action Plans			Start activity	Ongoing	Ongoing	Primary	Primary	Primary	Primary
MONITORING & EVALUATION	15 Logical Framework			Start activity	Ongoing	Ongoing	Primary	Primary	Primary	Primary
	16 Indicator Development			Start activity	Ongoing	Ongoing	Primary	Primary	Support	Primary
	17 Goal Attainment Scaling			Start activity	Ongoing	Ongoing	Primary	Primary	Primary	Primary

This matrix provides a general guide to the tools including who might use them and when during the project cycle.

KEY: Start activity | Ongoing | Repeated

Primary user | Support user

ASSESSMENT TOOLS

List of Assessment Tools in this Toolkit

1   Stakeholder Identification
For identifying all the people with an interest in the project or who may be affected by the project.

2   Social Baseline Study
For drawing up a profile of the community surrounding the project area and its regional and national setting.

3   Social Impact and Opportunities Assessment
For assessing the impacts, both positive and negative, that the project may have on host communities and how to manage them.

4   Competencies Assessment
For determining the attributes your team has and whether other skills, knowledge, and understanding may be required.

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Guidance for Using Assessment Tools

Assessment is the first thing you need to do when starting work in a new environment to determine your needs and those of others. Communities, shareholders, regulators, and other stakeholders are increasingly demanding that baseline assessments be undertaken for projects, so that there is a background profile against which monitoring and evaluation measurements may be made. (See table below for assessment tools and who might use them.)

• **Government officer:** As a government officer you may have been transferred to a new district and need to assess your new environment or a new mining project may have come to your district, so you need to assess their plans. By learning who all the stakeholders are with an interest in the project, whether any conflicts exist between the project and the community, and how the company intends to address its social impacts, you will be better placed for identifying opportunities for government plans to dovetail with community and company plans.

• **Community member:** As a community member you may have moved to a new home and need to ascertain what activities are taking place in the new neighborhood or a new project may have announced its intention to start up locally so you need to assess their intentions. You may not be inclined to conduct a stakeholder identification exercise or social impact assessment yourself but, by identifying yourself as a stakeholder and participating in impact assessment activities, such as community meetings and focus groups, you will be shaping the process to suit your community.

You will also be getting to know the other stakeholders, which will help you to participate further later.

• **Community organization or NGO:** As a member of a community organization or NGO you may need to assess the plans of a new project or a new company may have acquired an existing project and you may want to evaluate how different that new company may be from the former owners. Your organization may want to conduct a stakeholder identification exercise to make sure that you are consulting all the relevant people in the community, government, and company.

• **Mining company staff:** As a member of the mining company staff you may have started work on a new mining project and need to assess the potential impacts that the project might have on local communities, or your company may have bought an existing mine, so you need to determine what the legacies are from the previous owners and learn about the surrounding social and economic environment. Assessment tools provide valuable information on demographic and economic conditions and trends, political structures, local organizations, cultural traits, and other factors that can influence the way in which affected communities will respond to anticipated changes brought about by the project.

Assessment Tools and Who Might Use Them

Participant	Assessment Needs	Appropriate Tools	Tool No.
Government Officer	To know new stakeholders	Stakeholder Identification	1
	Understand project impacts	Social Impact and Opportunities Assessment	3
	Understand the local community	Social Baseline Study	2
Community Member	To know new stakeholders	Stakeholder Identification	1
	To identify own needs and priorities	Social Impact and Opportunities Assessment (participation)	3
NGO Member	To contribute to assessment data	Social Impact and Opportunities Assessment (participation)	3
	To know new stakeholders	Stakeholder Identification	1
Mining Company Staff	To know new stakeholders	Stakeholder Identification	1
	Understand project impacts	Social Impact and Opportunities Assessment	3
	Understand the local community	Social Baseline Study	2
	Ensure adequate skills, knowledge and attitudes for community development staff	Competencies assessment	4

Stakeholder Identification

Description

Stakeholder Identification is the discovery of a project's stakeholders; that is, of their interests and the ways in which those interests affect a project's viability. Stakeholder Identification contributes to project design by learning about the goals and roles of different groups, suggesting appropriate forms of engagement with those groups.

Stakeholders are persons or groups who are affected by or can affect the outcome of a project. Stakeholders may be individuals, interest groups, government agencies, or corporate organizations. They may include politicians, commercial and industrial enterprises, labor unions, academics, religious groups, national social and environmental groups, public sector agencies, and the media.

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Purpose

The purpose of this tool is to identify a comprehensive list of people and groups with an interest in your project. This can be used for consultation purposes, impact assessment, and partnership assessment as the project evolves. Stakeholder Identification provides a starting point in building the relationships needed for successful community development; that is, finding which groups to work with and how they might most effectively be engaged.

It is especially important to seek out stakeholders who may be marginalized or not represented in formal structures (for example, Indigenous Peoples or women). You cannot assume that their interests will be covered. They need to be considered separately to ensure that their voices will be heard.

When to use this tool

From the earliest prefeasibility stages of a project start to build the stakeholder list, and then revise the list whenever there are any changes in project design, scope, social environment, or activity, right through to closure. In the context of closure, employee consultation needs to be undertaken as a distinct closure activity. Revise the list systematically at least once per year or more often if changes are observed.

The following process is aimed at company staff, but could be applied just as easily to stakeholder identification by government or NGO representatives or community members.

Stakeholder Identification is a dynamic process; that is, some stakeholders disengage and others join in at different stages of project development. There is no such thing as a static list that can be filed away once all stakeholders have been successfully identified. Take care to remember internal stakeholders. For example, your own employees form an essential part of the community and should be kept informed and listened to just as much as external stakeholders. This will enhance employees' feeling of ownership. In addition, many external stakeholders gain knowledge of your activities through interactions with your employees, so it makes perfect sense to keep your own staff engaged.

How to use this tool

Your initial objective is to identify absolutely everyone and every group that might have an interest in the project in order not to miss anyone. Later, you will ascertain who has an enduring or deep interest in the project, but to start with aim for inclusivity.

• **Step 1**: Brainstorm existing stakeholders. This is best done by a team of people who have interactions with parties external to the organization. Every project already has existing relationships. List those first. Use the table opposite as a checklist, and name the stakeholders for the project you are working on. Some stakeholders are easily identified, such as people in the neighborhood of the project, interest groups in the country where the project is located, local and regional government people, and so on. These may be termed direct stakeholders. Other, indirect, stakeholders may be more difficult to identify, and you need to think more laterally about how you establish and maintain relationships with them. Examples of these may be NGOs or academics situated in locations remote from the project but nonetheless with an interest in it.

• **Step 2:** Network to expand the list. Ask the stakeholders you already know to suggest other people with an interest in the project. Be inclusive. Do not worry about numbers. They will even out in the end. Worry more about leaving people out.

• **Step 3:** Check that you have included all the possible stakeholders that you and your colleagues can think of. A question to ask yourself for ensuring that all key stakeholders are included in the list is: Whose support or lack of it might significantly influence the success of the project?

Checklist of possible stakeholders

Use this generic list to jog your memory

Communities

- The local community near your site
- The local community near your head office
- The regional community
- The national community
- The international community

Specially impacted

- Nearest neighbors
- Elderly/ill/incarcerated/disabled
- Indigenous Peoples[a]
- Racial minorities/oppressed groups
- Children/schools/orphanages
- Others

Government officials

- Local officials
- Regional officials
- State officials
- National officials
- Opposition officials
- Others

Industry

- Individual companies
- Competitors
- Suppliers
- Customers
- Industry associations
- Business associations
- Others

Regulators

- Local agencies
- Regional agencies
- State agencies
- National agencies
- International organizations
- Others

Environmental Non-Governmental Organizations and Community Based Organizations

- Local groups
- Regional groups
- State groups
- National groups
- International groups
- Individual green activists
- Others

Other advocacy groups

- Health and safety groups
- Human rights groups
- Social justice groups
- Political groups
- Others

Other civic organizations

- Churches and religious organizations
- Trade or labor unions
- Educational organizations
- Fraternal organizations
- Charitable organizations
- Organizations serving children
- Organizations serving the elderly
- Professional and trade associations
- Others

Internal

- Board of directors
- International advisory board
- Top management
- Shareholders
- Legal people
- Health, safety, and environment people
- Employees
- Retirees
- Families of employees
- Human resources/employment department
- Others

Specially concerned people/groups

- With interest in your site (small-scale miners)
- With interests in your company (existing partners)
- With interests in your industry
- Who are already involved
- Who want to be involved
- With emergency response job
- Who you wish to involve
- News media
- Others

[a] For a detailed examination of the issues in relation to mining and indigenous peoples, see ICMM's Mining and Indigenous Peoples Issues Review, available at www.icmm.com/library_pub_detail.php?rcd=175 .

Key references

IIED and WBCSD: "Breaking New Ground – Mining, Minerals and Sustainable Development"

Available: www.iied.org/mmsd/

International Finance Corporation (IFC) Environment Division: Investing in People: Sustaining Communities Through Improved Business Practice. A Community Development Resource Guide for Companies (section 2: Defining Community).

Available: www.ifc.org/ifcext/enviro.nsf/Content/Publications

IFC Environment Division: Good Practice Notes: Doing Better Business Through Effective Public Consultation and Disclosure (section C, Guidance Note 2: Stakeholder Identification).

Available: www.ifc.org/ifcext/enviro.nsf/Content/Publications

Social Baseline Study

Description

The gathering and compilation of baseline data that describes the state of the social and economic environment and the characteristics of the populations living in the area around a mining project is usually known as a social baseline study. A social baseline study investigates:

- **Demographic factors:** Numbers of people, their location, population density, age, ethnicity, health, income and so on

- **Socioeconomic determinants:** Factors affecting incomes and productivity, land tenure, access to productive inputs and markets, family composition, kinship reciprocity, and access to wage opportunities, and labor migration

- **Social organization:** Organization and capacity at the household and community levels affecting participation in local-level institutions as well as local decision-making processes and access to services and information

- **Economic organization:** Local and regional businesses and commercial structures, infrastructure supporting economic activity, government, and other economic/industrial development plans for the area

- **Sociopolitical context:** Stakeholder organizations' development goals, priorities, commitment to development objectives, control over resources, experience, and relationship with other stakeholder groups

- **Historical context:** Historical issues and events (migration, relocation)

- **Needs and values:** Stakeholder attitudes and values determining whether development interventions are needed and wanted, appropriate incentives for change, and capacity of stakeholders to manage the process of change

- **Human rights context:** Prevailing human rights issues and country risks and so on

- **Institutions:** Role, governance, resources, and capacities of local institutions as well as regulatory framework

- **Cultural background:** Cultural norms and practices and places of high cultural value

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Purpose

The purpose of this tool is to enable project proponents to understand the local communities' situation, their hopes and fears surrounding the project, and the potential impacts, both positive and negative, of the project. It is used also to gather data that can be used for measuring future change.

Without good understanding of the local social and economic context, program facilitators may underestimate project risks, fail to identify opportunities for contributing to social and economic development, introduce program activities that are culturally or socially inappropriate, or fail to understand local causes of poverty and inequality.

A good baseline study also provides the grounding data needed for assessments of change after a project has been initiated. By measuring conditions at the outset of a project, it is possible to take later measurements, compare them with the baseline data, and determine whether change has taken place. For example, it would be possible to ascertain whether there are more local businesses since the start of a project.

When to use this tool

A baseline study, by definition, needs to be undertaken prior to the beginning of a project. If an existing project is acquired, and no baseline study was conducted by the previous project managers, then it is a good idea to do a baseline study from the time you start with a project, perhaps to be termed a delayed baseline.

Some leading companies are already including a less complex assessment of the likely costs of programs to mitigate potential social problems in their due diligence process (that is, not a full Social Impact Assessment, but a rough estimate). The results of the desktop study (step 1) could be used for this purpose. Conceivably, if the costs of implementing adequate social programs will outweigh the potential profits of a mine, as assessed at a high level at this early stage, then it may be prudent to walk away from the project.

If the initial desktop estimate does not deter investors from proceeding with the project, then the gathering of primary data to complete the baseline survey should commence as soon as possible after the go-ahead decision is made. The baseline study is not, however, the end of the process of knowing your local community. Development facilitators need to update their understanding of local social conditions—to identify emerging concerns and changing need—throughout the life of the project.

Another important time to update baseline social and economic data is at mine expansion or closure. This will help both to plan appropriately for expansion or closure and to provide a baseline against which to measure post-closure changes or an adjusted baseline to measure post-expansion changes against.

How to use this tool

A baseline survey is a large undertaking, frequently requiring a large team of field surveyors, and is therefore beyond the capacity of most companies to conduct with in-house resources. Usually consultants are engaged to gather and analyze the baseline data, including information already available in a variety of sources, such as universities and government departments. Ideally, experienced consultants with a familiarity with international social assessment standards will team with local consultants and researchers to conduct the social baseline study process. Even better, if time and resources permit, participatory research methods, where community members conduct their own analysis, may be used.

In general, however, as participatory methods are much more time-consuming than the data-gathering efforts of professional researchers, and companies are pressured by project deadlines to finalize their reports, community-directed research tends to take place as part of participatory planning programs, such as described in tools 6–9.

• **Step 1:** Desktop social profile; that is, engage researchers to locate available data in cooperation with local officials and community leaders to draw up a social profile (this could be part of a due diligence assessment).

• **Step 2:** Decide what further information needs to be acquired through primary research.

• **Step 3:** Engage experienced social scientists and local tertiary institutes or research organizations to design a survey to capture both quantitative (questionnaire of many people) and qualitative (focus groups and key informant interviews) information.

• **Step 4:** Draw comprehensive community profile. Test with community participants and adjust as needed.

• **Step 5:** Use the completed social and economic baseline study as the basis for conducting a Social Impact and Opportunities Assessment (tool 3) and for monitoring and evaluation activities (tools 15–17).

The following examples of social baseline studies are adapted from actual examples, one from a mine in Africa and one from a mine in Australia. The purpose of including two examples is to illustrate that, although the basic structure of a baseline study is fairly standard, the emphasis and priority given to other elements will vary according to the circumstances.

In example 1, the mine had been in existence for some years before a new company bought it and decided to do a baseline study. There had been some conflict between the previous owners and the local community. Hence, community relations became the first topic for discussion after the fundamental demographic profile was presented. In example 2, the majority of the local community near the mine were Indigenous Peoples, whose demographic trends and structures differ from the majority of the national population, so emphasis was given to explaining this before dealing with other issues such as health, education and employment.

The point is that there is no fixed template for baseline studies, although the fundamental elements will be common to all societies.

Example Social Baseline Studies Tables of Contents	
Example 1	**Example 2**
Project description Existing data and gap analysis Primary and secondary data covering: • Demographics • Community relations • Education • Health • Economic development • Resettlement • Community development • Infrastructure • Agriculture/forestry	Project description Existing data and gap analysis Primary and secondary data covering: • Population trends • Age/gender distribution • Employment and income • Education standards • Health standards • Housing standards • Regional economy • Infrastructure • Community life

Social Baseline Survey in Progress in Tanzania
Social surveyor (right) collecting baseline data from community member, Tanzania

Key references

World Bank: Social Analysis Sourcebook: Incorporating Social Dimensions Into World Bank Operations (chapter 4: Social Assessment; chapter 5: The Way Forward).

Available: www.worldbank.org/socialanalysissourcebook/

IFC Environment Division: Good Practice Notes: Addressing the Social Dimensions of Private Sector Projects (all sections).

Available: www.ifc.org/ifcext/enviro.nsf/Content/Publications

TOOLKIT

Social Impact and Opportunities Assessment

Description

There is a concern among some community development commentators that the process of Social Impact Assessment (SIA) limits itself to identifying negative impacts and mitigating them rather than also considering positive aspects of the presence of a project. SIAs should identify positive as well as negative impacts and look for methods of enhancing the opportunities that can flow from the positive impacts as well as offsetting the negative ones. These opportunities can form the basis for a sustainable community development program if harnessed in a cooperative participatory planning program with full engagement from the local community, government, and other stakeholders. In addition, the purposeful identification and enhancement of opportunities that can add value to a project's presence within a community from the start will make the challenges of engagement, local participation, and a more collaborative and sustainable community development effort throughout the life cycle of the project easier.

Purpose

The purpose of this tool is to assess the potential social and economic impacts of the proposed project upon stakeholders. Having identified likely impacts, it can then be used to propose measures to offset potential negative impacts and maximize positive impacts. Going beyond the basic SIA model, a community-development–focused SIA approach should include opportunity assessment to enhance positive development impacts of the project as well as identifying impacts that need to be mitigated.

When to use this tool

Ideally, an SIA should be conducted as soon as possible after the Social Baseline Study (see tool 2). Indeed, they usually form part of the same large exercise, although, in some cases, a baseline may be conducted as a separate undertaking.

Assessments should be made of the impacts likely at each stage of the project, from feasibility through to relinquishment, including transitory phases such as construction, when a large, temporary workforce may be present. It is particularly important that the social impacts of a project at closure and beyond are taken into account when assessing the feasibility of a proposed project. As a site approaches closure, a specific SIA on the impacts of closure should be conducted, and closure mitigation programs should be developed accordingly. The cost of exit strategies should be factored into the financial modeling when examining the feasibility of a project. If the costs of managing social impacts in a responsible and sustainable manner are too high, it might be better for project proponents to consider not proceeding. An environmental impact assessment (EIA) may also be underway at the same time and it is important to consider any overlaps between environmental and social impacts, such as those in relation to community health.

How to use this tool

The assessment would normally be undertaken by experienced social scientists with a good understanding of mining projects and their potential effects, as well as sound knowledge of community dynamics and the local population. If good baseline data have been collected (see tool 2), then the assessment will be based on a solid foundation. The participation of local, regional, and national stakeholders, through interviews, focus groups, and surveys will also provide information about local values and experiences, invaluable for a comprehensive assessment. These surveys and interviews are not just for the purposes of data collection to populate the baseline study, but should capture people's hopes, fears, and expectations to give life to the assessment of impacts and identification of opportunities.

Criteria applied for the determination of an impact should include the likelihood of an impact occurring, how widespread the impact will be (how many people will it affect), and, after management measures have been developed, whether it can be mitigated reasonably or not. Management measures are then proposed for the impacts identified, either to enhance the positive impacts (opportunities) or to mitigate the negative impacts. Closure planning should also form part of the planning for impact management measures from the earliest stage. That is, the impact management programs should be designed to be sustainable, to survive the cessation of mining operations and not simply be a positive measure during the life of the mine, leaving people no better off when the mine closes.

Impacts should ideally be assessed twice, once without the ameliorative effect of mitigation measures and then again after proposed management measures are included in the equation. This should be done to determine whether a project is able not only to manage its negative impacts through good community development programs but even to have a positive contribution to sustainable development. This comparative assessment will highlight the importance of good community development and encourage companies to invest in social programs. (See table opposite for an example of impacts.)

For example, a large mine may have a significant negative impact on local employment for small-scale miners who will no longer be able to mine the deposits they used to. However, if employment programs are implemented to provide alternative livelihoods for these miners, then the impact may be neutral or even positive. Going further, if the mine is able to put in place, in cooperation with government and employment and training agencies, an effective training and education program that allows local people to acquire skills that enable them to obtain lifelong employment from a variety of sources, then the overall impact of the project on employment and income may be positive. The project, in partnership with government agencies, will then have created opportunities for the broader community.

• **Step 1:** Review social baseline study and determine areas of concern to the communities, potential impacts, as well as areas where the project might present opportunities.

• **Step 2:** Assess potential impacts and opportunities and identify areas needing impact management programs.

• **Step 3:** Propose measures to manage and, if necessary, mitigate the identified impacts and enhance opportunities.

• **Step 4:** Reassess the impacts and opportunities, taking the proposed management measures into account.

• **Step 5:** Work with community and other partners on participatory development plans that address community priority programs (enhancing opportunities) as well as required mitigation programs (mitigating impacts). Tools 6–9 and tool 14 can be used to develop impact management plans in cooperation with community members and other partner agencies.

• **Step 6:** Review management measures and programs regularly, and adjust as required (see tools 15–17 for monitoring and evaluation methods).

Example Summary Table of Impacts		
Impact area	**Positive or negative impact**	**Significance (severity/number of people affected)**
Livelihoods		
• Predicted impacts	Negative	Low
• Predicted impacts after mitigation measures	Positive	High
Community relations		
• Predicted impacts	Neutral	High
• Predicted impacts after mitigation measures	Positive	High
Education		
• Predicted impacts	Positive	Medium
• Predicted impacts after mitigation measures	Positive	High
Health		
• Predicted impacts	Positive	Low
• Predicted impacts after mitigation measures	Positive	High
Infrastructure		
• Predicted impacts	Positive	Medium
• Predicted impacts after mitigation measures	Positive	Medium/high
Community development		
• Predicted impacts	Positive	Low
• Predicted impacts after mitigation measures	Positive	High

Note: This is a summary table. The significance level of positive impacts progresses to a higher level when programs are made available to more people (that is, the impact becomes more positive).

Key references

There are many references on SIA, and it is frequently a rather detailed process. This tool intends to give an outline of the broad processes involved. For greater detail, follow up on some of these sources.

Burdge, Rabel J. 2004. A Community Guide to Social Impact Assessment. Rev. Ed.. Middleton, WI: Social Ecology Press.

Available: www.dog-eared.com/socialecologypress/

International Association of Impact Assessment has a range of resources available on its Web site.

Available: www.iaia.org/

IFC Environment Division: Good Practice Notes: Addressing the Social Dimensions of Private Sector Projects (all sections).

Available: www.ifc.org/ifcext/enviro.nsf/Content/Publications

IPIECA: Guide to Social Impact Assessment in the Oil and Gas Industry.

Available: www.ipieca.org/downloads/social/SIA_Document_Final.pdf

Competencies Assessment

Description

Good community development is dependent on having people with suitable skills and understanding to run programs and on giving community development staff the training support they need to perform their jobs well. If responsibility for managing community development is given to people whose primary duties and expertise are in other areas (for example, environmental science or human resource management), it is unlikely that community development programs will run properly. The competencies assessment is a process for measuring and recording the skills of an individual or group. It is a highly flexible tool that can be performed through a facilitated workshop process, on a one-to-one basis, or an individual basis.

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Purpose

The purpose of this tool is to identify additional resources, either permanent or temporary, that may be needed over time. This tool can be used for selecting consultants for short-term or intermittent inputs to programs as well as for choosing permanent staff. This tool helps in identifying and developing the knowledge, skills, and attitudes needed to ensure the right team and resources are assembled to achieve community development goals, whatever the size of the organization. It can also help in assessing the skills available in an already existing team or that the local community possesses so that training and development needs can be recognized for staff and community members as well as gaps to be filled by additional personnel.

A range of knowledge and skills will be needed in the team to achieve development objectives. In general, look for people with humanities or social science training or community organization experience. Direct knowledge of the local community and cultural context would be beneficial, but more important is experience in working well with communities and the ability to grasp quickly the local issues. An assessment of a person's skills needs to include more than formal training, as someone with appropriate experience may be more suitable than someone with the right degree but little experience. Types of knowledge, skills and attitudes are outlined in the table at the top of the page opposite.

When to use this tool

This tool is needed when forming the community development team, as early as possible, ideally at the same time that project construction plans are being made. If resettlement of local communities is required for the construction of the mine and its infrastructure, then community development expertise will be required to plan and manage the relocation process. Then, as the scale of operational activities increases, it may be necessary to expand the team to cover additional areas of community development activity (for example, you may need to hire a small business development expert). Additional expertise when planning for closure may be needed, and certainly when implementing closure plans when a combination of experience and local knowledge is essential. In other words, use this tool as early as possible. Then, re-evaluate the team as needs evolve.

How to use this tool

The tool can be used by an individual or collectively by a team to list required skills, estimate the level of expertise needed for each skills area, and assess the current level of skills against requirements. Then steps can be taken to fill any gaps identified.

- **Step 1:** Individually (for example, if you are a single community development worker) or in a team (if there are several), think about the predicted impacts of the operation and the baseline conditions of the local communities (from tools 2 and 3) and consider what areas of community development programs you expect to become involved in (for example, mechanical training, women's microenterprises, and agricultural extension).

- **Step 2:** Having listed likely program areas, consider the role that could best be played by your team (for example, would your team actually run training programs for mechanics or would you work with a local vocational training school to help them upgrade their services). Decide whether you need technical skills, training skills, or organizational development skills, and then list the full range of skills your team will need.

- **Step 3:** Write the list of required skills in the central column in the Competencies Assessment worksheet on the opposite page.

- **Step 4:** Estimate the level of expertise desired in those required skills and record it in the left column in the worksheet.

- **Step 5:** Assess the levels of skills and knowledge possessed by you and your colleagues in the right column in the worksheet.

- **Step 6:** Compare the results of the left and right columns and make note of discrepancies (for example, you may have estimated that you need a small business expert, with level 3 knowledge and skills, but your team has only level 1 knowledge in this area, or none at all). This means that you may need to either hire an extra team member or a consultant or have one of your existing team trained in extra skills. You might also decide that it would be best to team up with a local organization that offers the requisite skills, such as a vocational training school, rather than hiring the expertise yourself.

- **Step 7:** Collate the gaps identified and then make an assessment of what actions need to be taken to make the team effective and ensure that the necessary support for the programs is available.

- **Step 8:** Prepare a training needs list and a human resources request list to be presented to the relevant administration people in your organization. In addition, list the range of consultants you will need to hire for temporary inputs and the kinds of organizations you might need to form links with.

Knowledge, Skills, and Attitudes for Community Development

Description	Knowledge	Skills	Attitudes
	Community development demands a broad base of knowledge in many areas: for example, local social conditions and dynamics of change, institutional development, economic development, and program design and management. It includes both basic information, how to acquire information, and the ways in which information can be applied.	Skills help move from knowledge to action. Skills are learned, practical, and repeatable processes through which positive outcomes are achieved. Skills do not need to be well-developed at the beginning of the community development process, but, as planning becomes implementing and sustaining action, the demands on skills will increase.	The spirit or perspective from which community development is approached shapes decisions and actions. It is critical to building trust and in empowering local communities. Attitude may be individual, may be evident within groups, or may be common throughout the organization.
Key points	Understanding of: • Community needs, priorities, and values • Social and economic development and natural resource management • Partnership brokering and maintenance • Group processes and dynamics • Project management • Financial management • Team building and team management • Problem solving and decision making • Training and skills development • Organizational development and design	Demonstrated capacity in: • Planning and program design • Research, assessment, analysis, and evaluation • Team building, staff, and financial management • Communications, consultation, and facilitation • Problem solving and conflict resolution • Organizational design and development	Respect for: • Local people and communities • Development as a social process, not simply dependent on technical skills and expertise • The value of process and sustainability; not quick results • Local empowerment and development • Local knowledge and perspectives • Facilitation and not leadership • New ideas, approaches, and opportunities • Patience, flexibility, resilience, and perseverance • Constructive criticism and self-evaluation

Competencies Assessment Worksheet

Required skill level				Skills	Existing skill level			
Level of expertise, knowledge, or understanding required to perform effectively in role				Skills area (there may be others)	Actual level of expertise, knowledge, or understanding			
No expertise		High expertise			No expertise		High expertise	
0	1	2	3		0	1	2	3
			√	Planning and program design		√		
		√		Research, assessment, analysis, and evaluation			√	
			√	Team building, staff, and financial management				√
			√	Communications, consultation, and facilitation			√	
			√	Problem solving and conflict resolution	√			
		√		Organizational design and development		√		

The example above lists general skills for community development staff. The results of that team assessment would be that additional expertise is required in the problem solving and conflict resolution area, so a consultant may be required for that. In addition, either a new team member with higher level skills in communications, planning, and organizational design may be needed, or current staff may need additional training in those fields.

An example for a person or organization with a specific technical skill, such as the small business expertise mentioned in step 6, might look like the one shown below.

It is likely that a new team member or long-term consultancy or partnership may be needed to fill this gap. Upgrading current staff skills from level 1 to level 3 by training would probably take too long to be effective.

Sample Worksheet for Small Business Enterprise									
Required skill level				**Skills**	**Existing skill level**				
From new team member or consultant				Skills area	In current team				
No expertise		High expertise			No expertise		High expertise		
0	1	2	3		0	1	2	3	
			√	Small business development		√			
			√	Training and skills transfer		√			

Key references

DFID: Tools for Development: A Handbook for Those Engaged in Development Activity.

Available: www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf

PLANNING TOOLS

List of Planning Tools in this Toolkit

5   Strategic Planning Framework
The process through which you (a) understand why you want to contribute to community development, (b) define and plan your development objectives and how to achieve them, and (c) determine how you will know when you have succeeded.

6   Community Map
This is an exercise in which local people map out their community's physical layout. It is designed to start people recognizing that they are the experts about their own community and to get discussion and cooperation going.

7   Institutional Analysis
This is an exercise to evaluate the variety, strength, and linkages of institutions within and around a community.

8   Problem Census
This is to allow a full range of participants to decide upon priority development issues in the community rather than the views of only a few being noted. It is a workshop process that enables a broad range of community participants to define and explain the importance of obstacles to development in their community.

9   Opportunity Ranking
This is a process to help community members decide which projects to start implementing first by sorting the projects according to priority and feasibility. This is accomplished by taking into account the locally available resources, skills, and capacities.

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Guidance for Using Planning Tools

Good planning in community development, especially participatory planning, which incorporates the wishes, needs, and efforts of program beneficiaries as central to the planning process, can make the difference between an average and an excellent program. Working together, thinking ahead, marshalling resources, allocating responsibilities, fitting in with the budgeting and planning processes of other major stakeholders in the region, such as donor agencies, companies, government departments, are all important factors of good plans. (See table below for planning tools and who might use them.)

• **Government officer:** As a government officer you may not be accustomed to observing communities making their own plans and learning about program priorities from the grassroots level instead of from central or regional government. Becoming involved in participatory planning activities, as a facilitator, support person, or observer, may prove to be effective in furthering government programs, especially if they are developed with community members and match their aspirations. You also have a crucial role to play in aligning community development plans with regional and national development programs.

• **Community member:** As a community member you may not have ever been consulted before about your development priorities, and you may not know that all the skills required for community development planning already exist in your neighborhood, but just need encouragement and support.

This is an opportunity for your community to lead the development planning process and to work with partners such as mining companies, government departments, and NGOs to realize community aspirations.

• **Community organization or NGO:** As a member of a community organization or NGO you have an opportunity to play a central role in facilitating the participatory planning process. Your role can be to ensure that community needs and wants are recognized by authorities and donors so that development funds are spent where the community wants them. By building the community's capacity to manage itself, with support from companies and government, you can leave a lasting positive legacy.

• **Mining company staff:** As a member of mining company staff you may be used to community programs that consisted largely of donations or of the construction of buildings deemed necessary by mine management and a small section of the community. With program planning tools you can learn how to work with a broad range of community members to help them make their own plans, ensuring that any development activities will be wanted by the recipients, and that they will want to "own" them. You can also learn how to fit your community development programs into the operation's management processes, so that you will have a reliable budget to work with and collegial support and not just random funding and isolated programs.

Planning Tools and Who Might Use Them

Participant	Planning Needs	Appropriate Tools	Tool No.
Government officer	Support community's planning efforts	Participatory Planning (facilitate)	5–9
	Understand community priorities	Problem Census (observe)	8
	Identify opportunities for community development	Opportunity Ranking (participate)	9
Community member	Build confidence in own ability to plan	Participatory Planning	5–9
	Understand own institutions	Institutional Analysis	7
	Identify opportunities	Opportunity Ranking	9
NGO member	Support community's planning efforts	Participatory Planning (facilitate)	5–9
	Understand community priorities	Problem Census (facilitate)	8
	Identify opportunities for community development	Opportunity Ranking (participate)	9
Mining company staff	Understand community priorities	Problem Census (observe)	8
	Learn how to work with community	Participatory Planning	6,7
	Identify opportunities for community development	Opportunity Ranking (participate)	9
	Plan for long term, including closure	Strategic Planning Framework	5

Explanation of Participatory Planning Methods

Apart from the Strategic Planning Framework, the tools described in this section are from a suite of tools known as Participatory Planning*. These tools are widely used approaches for the development of an understanding of community capacity and motivation. They have been used internationally for more than 20 years, and are highly effective in identifying development needs, setting priorities, and designing development programs in a cooperative and participatory manner.

People participate in local development every day through their family life, livelihood activities, and community responsibilities. Previously, community development planning was undertaken by outside experts, who then informed communities of what programs were available for them and sought their agreement. By involving community members in the actual planning stages of development programs, the likelihood of developing appropriate and sustainable plans is greatly increased.

Some of the costs and weaknesses of participation may include increased time necessary to permit participation of significant stakeholder groups (for example, women, youth, and ethnic minorities, all of whom tend to be overlooked in conventional planning processes) and to build capacity of these groups to take advantage of participatory approaches. There is no doubt that participatory planning methods take longer to develop and implement than authoritarian methods. However, the initial outlay in time and inconvenience will be repaid many times over when communities begin to assume control of their own destiny. This is fundamental for sustainable development.

Participatory Planning is a methodology that covers a variety of useful tools rather than being a tool in itself. The four community development tools selected for this Toolkit, Community Map (tool 6), Institutional Analysis (tool 7), Problem Census (tool 8), and Opportunity Ranking (tool 9) are four of the most useful for engaging with communities near mine sites in joint planning exercises. These four tools enable a community to consider its physical and institutional structures and their strengths and weaknesses and to identify areas they wish to improve in their community and then to assess the optimal means for achieving their development goals.

Each of these tools will be explained in detail. There are also many other Participatory Planning tools that can prove useful when working with communities unused to managing their own development futures. Several of these are listed in the table overleaf.

Examples of Other Participatory Planning Methods	
Tool	**Description**
History	Helps people to think about where their community has come from and where it might be headed. Useful in that many younger people and newer arrivals may not have heard the community history before.
Trends Analysis	Asks people to consider how aspects of community life have changed for better or worse over extended time periods and how the aspects may change in the future.
Seasonal Calendar	Graphically describes busy work periods, celebration periods, and times of plenty and scarcity. Encourages people to make linkages between some of these occurrences, such as many months of celebration leading to hard times later. It can also highlight important gender differences (for example, tendency for men to spend longer periods of time in celebration and less time working than do women).
Gender Daily Calendar	Very useful for initiating discussions of men's and women's production and domestic workloads and the different responsibilities of different family members.

Note: Many reference works about PRA methods can be found at www.clarku.edu/departments/idce/publications.shtml.

*Most commonly known as PRA or Participatory Rural (or Rapid) Analysis. In the community development approach advocated in this Toolkit for the minerals sector the analysis or research aspects of PRA are of less importance than the cooperative planning aspects, so it is more accurate to use the term Participatory Planning.

Strategic Planning Framework

Description

Community development should be an integral component of mining and metal processing activity from exploration through to closure and beyond. It should be aligned with other organizational processes and strategies – including risk and impact assessment, communications and consultation, employment, and local business development – and be concerned with minimizing negative impacts and maximizing opportunities associated with the operation. The Strategic Planning Framework (see table on the back page of this tool) will help clarify the project's community development objectives and relate those objectives to the broader goals of the organization. Strategic planning is the process through which you understand why you want to contribute to community development; to define your development objectives, how you plan to achieve those objectives, and how you will know when you have succeeded. Initially, you need to conduct strategic planning internally within your organization. As you establish closer working relations with local and regional stakeholders, and progress toward detailed activity planning, you will need to share and review your strategic plans in consultation with regional partners to ensure consistency with regional plans.

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Purpose

Strategic planning takes fundamental decisions and actions that shape how your community development program operates, what it does, and why it does it, with a focus on the future. This means:

• Preparing the best way to respond to changing and sometimes hostile environments

• Being clear about your organization's objectives and resources, and consciously incorporating both into your response to a dynamic environment

• Setting goals (planning a desired future), developing an approach to achieving those goals, and measuring whether they have been achieved.

The strategic planning process applies a sequence of questions that help you examine experience, test assumptions, gather and incorporate information about the present, and anticipate the environment in which you will operate in the future.

Strategic planning will lead to a set of decisions about what you want to do, why you want to do it, and how you do it. Naturally, some decisions and actions are more important than others. Much of strategic planning lies in making the tough decisions about what is most important to achieving success.

When to use this tool

This tool should be used as early as possible when building your community development team (see tool 4) and starting to make program plans. These should take place at the same time that construction plans are being developed. Do not forget to take post-closure sustainability into account when defining strategies. The real measure of success in your strategic plans will be in seeing community development programs that can continue independently when the mine has ceased operation.

How to use this tool

Strategic planning includes five key elements:

• **Vision statement:** Defines objectives, values, and principles

• **Mission statement:** Describes what is going to be done and why it is going to be done

• **Strategic objectives:** Describes the results wanted to be achieved in the medium to long term

• **Strategies:** Describes the means by which the objectives will be achieved

• **Goals:** Lists the measures to be achieved by implementing strategies in pursuit of the defined objectives

Strategic planning will provide the foundation for detailed program planning as you improve your understanding of your local environment and explore opportunities for partnership with regional stakeholders. This is where you begin to address critical management issues related to resource allocation, deadlines, budgets, responsibilities, and performance. Program planning is described in detail later in the Toolkit (see tool 14).

• **Step 1. Develop vision statement:** Your vision reflects your understanding of the ideal conditions for your community or for the part your project plays in the community (for example, how things might look if community development were perfectly addressed and there were harmonious and mutually supportive relationships between the mining company and other sectors of the community). This is best articulated and communicated through a vision statement that clarifies, first for yourself and then for your team and organization, your deepest objectives, values, and principles. Vision statements should generally be (a) easily understood by members of the community and shared by all team members, (b) broad enough to include a diverse variety of perspectives, (c) inspiring and uplifting to everyone involved in your effort, and (d) easy to communicate.

• **Step 2. Develop mission statement:** The mission statement grounds your vision in practical terms and describes what you are going to do and why you are going to do it. It is similar to a vision statement in that it also looks at the big picture, but it is more concrete and more action-oriented. The mission statement may identify broad objectives and indicate in broad terms how you might reach your goals. Mission statements generally are (a) concise (not as short as vision statements but must still get the point across in one sentence), (b) outcome oriented (fundamental outcomes your organization is working to achieve are explained), and (c) inclusive (key goals are described but the goals are described in very broad terms). Good mission statements are not limiting in the strategies or sectors of the community that may become involved in the project.

Clearly-defined vision and mission statements are important for a number of reasons. They help your organization focus on what is really important. They let other individuals and organizations have a snapshot view of who you are and what you want to do. They are helpful in having members who are focused and bound together in common purpose. They provide a basis for developing the other aspects of your action planning process; that is, objectives, strategies, and action plans.

• **Step 3. State your objectives:** The next element is to state your objectives; that is, the results you want to achieve in the medium to long term. Objectives should reflect the expectations and requirements of all major stakeholders and the underlying reasons for establishing the development initiative. These objectives could cover, for example, coordination and service delivery, capacity building, and institutional development. These are, however, the underlying objectives. Your detailed short-term objectives will be developed later in the program planning phase.

• **Step 4. Develop strategies for achieving objectives:** These are the guidelines by which your mission, objectives, and so on may be achieved. They can cover the community development program as a whole including such matters as coordination, participation, and sustainability, or they can relate to primary matters in key functional areas such as, for example, health provision, education, and training of community leaders.

• **Step 5. Define goals:** The goals are specific interim or ultimate time-based measurements to be achieved by implementing strategies in pursuit of your defined objectives (such as to establish a regional development partnership with key stakeholders within the next three years). Examples include achieving 100 percent vaccination in three years' time or increasing school completion rates by 20 percent. Goals should be quantifiable, consistent, realistic, and achievable. Goals in this tool are underlying, high-level goals. They should be based on the impacts and opportunities identified (tool 3) and therefore grounded in knowledge gathered through the social baseline study (tool 2). Detailed, program-specific goals will be developed in conjunction with community members when Community Action Plans (tool 14) are designed.

• **Step 6. Develop program:** The final element is the development program itself, which sets out the implementation plans for key strategies. This is described in detail later (see tool 14), and covers resources, objectives, time scales, deadlines, budgets, and performance targets.

Participatory Planning in Tanzania
Village women in Tanzania engage in participatory planning exercises with the help of an external facilitator. Here, they are drafting their Seasonal Calendar on the ground before transferring the final version to cardboard.

Step-by-Step Strategic Planning Framework Process

Action	Description
Learn what is important to people in your community	Knowing the important issues in your community is vital for the establishment of a strong, effective, and enduring development program. Your first step in developing your vision and mission is to define the issues that matter most to people in your community. Do so through consultation, surveys, or facilitated focus groups. Identify what is important to the community and what local people perceive to be the community's strengths and problems and what people wish the community was like. As all of these activities should have been undertaken in the baseline study and SIA (tools 2 and 3), you should already have this information available.
Decide on the general focus of your program	Once you have heard what the community has to say, decide the general focus of your program. What topic is most important to your organization and your community? What level will you work at, the village, local area, or broader region?
Develop your vision statement	Now that you have a clearer understanding of what you want to do and why, you can develop the statements that will capture your ideas. Remember it may require several vision statements to fully capture the vision of those involved in the community development program: You do not need—or even want—just one "perfect" phrase. Encourage people to suggest all of their ideas, and write them down, possibly on poster paper at the front of the room so people can be further inspired by the ideas of others. After you have brainstormed a lot of ideas, your group can discuss critically the different ideas. Oftentimes, several of the vision statements will just jump out at you. Someone will suggest it, and people will just instantly think, "That's it!" You can also ask yourselves the following questions about vision statements: Will it draw people to common work? Does it give hope for a better future? Will it inspire team members to realize the community's dreams through positive, effective action? Does it provide a basis for developing the other aspects of your action planning process?
Develop your mission statement	The process of developing your mission statement is much like that for developing your vision statements. Remember, though, that unlike with vision statements, you will want to develop a single mission statement. After having brainstormed for possible statements, you will want to ask of each: Does it describe what you will do and why you will do it? Is it concise (one sentence)? Is it outcome oriented? Is it inclusive of the goals and people who may become involved in the organization?
Obtain consensus on your vision and mission statements	Your next step is to learn what other members of your organization or community think of your vision and mission statements before you start to use them regularly. Talk to the same community leaders or focus group members you spoke to originally. Ensure they agree that the statements together capture the spirit of what they believe and desire. You might find you have omitted something very important by mistake.
Decide how you will use your vision and mission statements	Finally, remember that all of your hard work in developing your vision and mission statements will count for nothing if you do not communicate them and incorporate them in your action planning. The point is to get the message across to your internal and external stakeholders, and to begin living your expressed values and goals.

Key references

AusAID: Logical Framework Approach.

Available: www.ausaid.gov.au/ausguide/ausguidelines/ausguidelines-1.pdf

DFID: Tools for Development: A Handbook for Those Engaged in Development Activity.

Available: www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf

IFC Environment Division: Investing in People: Sustaining Communities Through Improved Business Practice. A Community Development Resource Guide for Companies.

Available: www.ifc.org/ifcext/enviro.nsf/Content/Publications

Community Map

Description

A Community Map is a visual representation of what the community perceives as its community space. This includes showing the boundary of the community as understood by community members and all the elements recognized by them as part of their area. Most of the spatial information is obtained through direct observation, and facilitators should familiarize themselves with the area sufficiently to be able to assist the community in drawing the map. However, it is the community members themselves who must decide what does and does not go on the map. Some items of importance to the community, and which they may choose to mark on the map, may not be noticeable to outsiders, such as sacred sites or clan boundaries. (See the figure over for an example of a Community Map.)

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Purpose

Community mapping is an ice-breaking exercise in which community groups sketch out their community's physical layout. It is designed to start people recognizing that they are the experts about their own community and to get discussion and cooperation going. Separate groups of men and women are often used if that is appropriate and practical because they frequently draw maps with different features, which can lead to interesting discussions about community dynamics. The objective of this exercise is not to produce any particular kind of map, but to engage community members, unused to being involved in planning exercises, in mapping out their own community as they see it and to start analyzing for themselves how their community functions. It is also very instructive to the facilitators, company, and government people to learn about how the community functions from the inside and to observe community dynamics and capabilities.

When to use this tool

This tool should be used as the first exercise in a Participatory Planning workshop (see section at the beginning of the planning tools on "Explanation of Participatory Planning Methods").

How to use this tool

Gather interested community members together for a community development planning workshop. Try to ensure that as many people as possible feel encouraged and welcome to attend, although no one should be pressured to join in. Ask them to divide themselves into groups, which they often do along gender lines, and then to draw a map of their community as they see it. People are often shy and state that official maps are better than they can produce. Some may prefer to do rough sketches, in the sand or on rough paper, before committing the drawing to cardboard. Once people realize that they are being asked to draw their picture of their community, not for someone else's use, they usually enjoy the process. This exercise is usually done in a community workshop, when all community members are invited to participate in planning for community development.
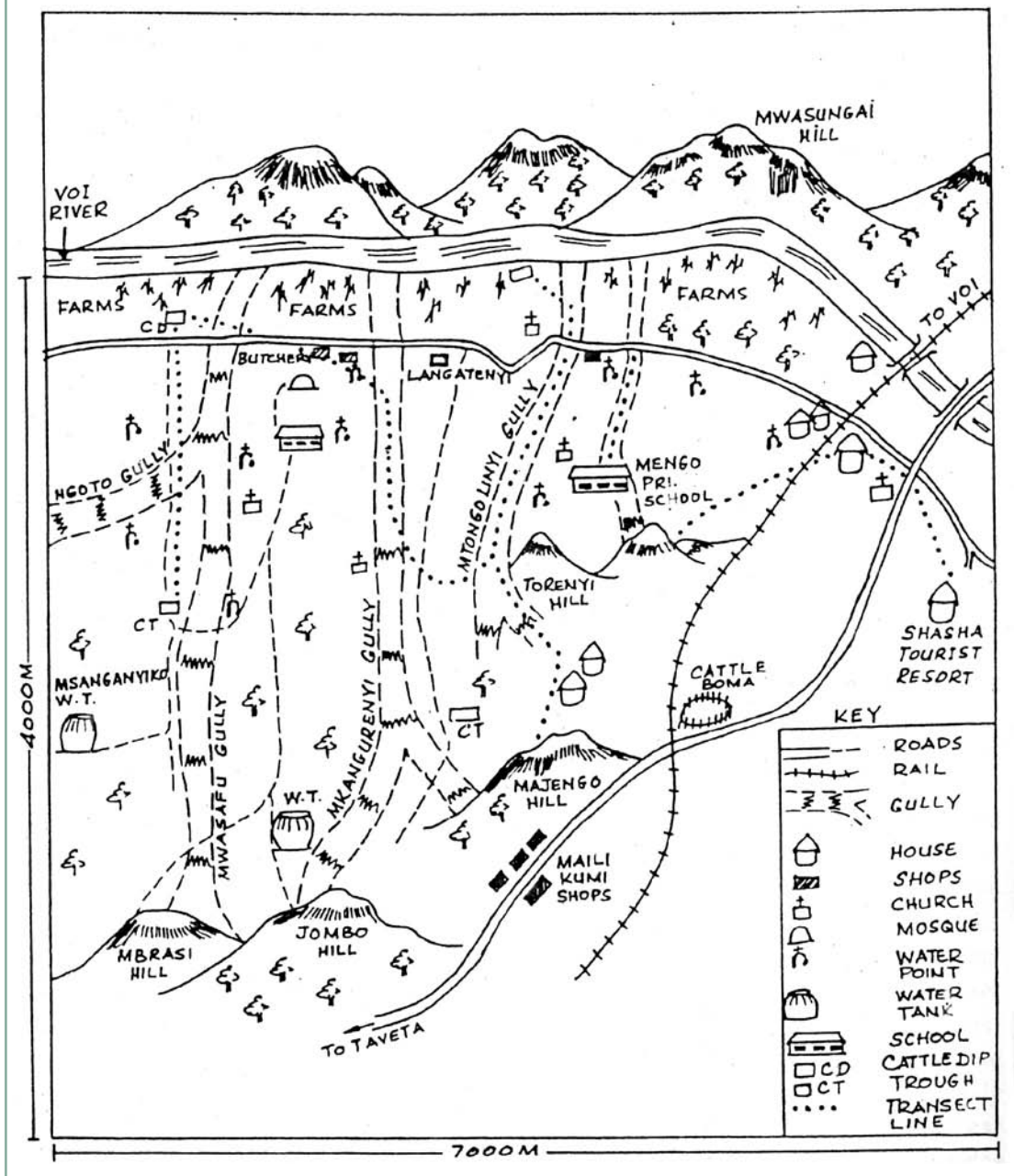
Source: PRA Handbook for Participatory Rural Appraisal Practitioners, Njoro, Kenya, 1994, p. 22.

Key references

IFC Environment Division: Investing in People: Sustaining Communities Through Improved Business Practice. A Community Development Resource Guide for Companies (section 2: Defining Community).

Available: www.ifc.org/ifcext/enviro.nsf/Content/Publications

The National Environment Secretariat, Kenya; Clark University, United States; Egerton University, Kenya, and the Center for International Development and Environment of the World Resources Institute: Participatory Rural Appraisal Handbook.

Implementing PRA: A Handbook for Facilitating Participatory Rural Appraisal. (Prepared by Elizabeth Oduor-Naoh and Isabella Asamba, National Environment Secretariat, Ministry of Environment and Natural Resources, Kenya; Richard Ford and Lori Wichhart, Program for International Development, Clark University; and Francis Lelo, Egerton University, Njoro, Kenya)

Institutional Analysis

Description

Institutional Analysis is a process for discussing what institutions are present in and around a community, how important each institution is, how they relate to each other, and who participates in them. Institutions could be, for instance, schools, churches, mosques, sports teams, fishing or farming cooperatives, women's groups, youth groups, companies, or government offices.

Purpose

In this exercise, facilitators ask community members to describe the institutions that exist in their community, describe their function, how important they are in relation to other institutions, and how central or peripheral they are to the community's life. This exercise is immensely useful for planning purposes because it becomes apparent which community institutions are vibrant enough to play an active role in development activities and which may need strengthening.

When to use this tool

This tool should be used in a participatory planning workshop (see section at the beginning of the planning tools on "Explanation of Participatory Planning Methods"). This should be done when community development programs are being considered so that active community engagement in the planning process can be encouraged.

How to use this tool

This is best done with a form of Venn diagram, in which different-sized circles of paper are used to represent each institution. Members of the community choose a circle to represent an institution that is important to them. They then explain the role of that institution and why they have chosen a particular size of circle to represent its relative importance. Different community members often challenge the size of circles chosen and lively discussion ensues. Once all institutions are represented by a circle whose size has been agreed upon, then a large circle can be drawn on the ground representing the community and institutional circles are placed either inside the circle, outside the circle, or straddling the boundary, indicating how central each institution is to the community. The relationship between various institutions may also be described by the distance between the circles.

In the example illustrated below, the group assessed that the local development council (BDC) and the community leader (Barangay captain) were the central actors in the community resource management program. They also assessed that the Fishers' Association and the Cooperative were further toward the periphery of the program's sphere, which may indicate a lack of participation from some potentially key players. This information could then be used to evaluate the program to determine whether adjustments were needed to enable the fishing community to assume a more central role.

Institutional Analysis Diagram From a Community Resource Management Program in a Philippines Fishing Community

Sample output of a venn diagram

Institutions involved in CRM
Sitio Luzaran, Lapaz, Nueva Valencia, Philippines

Legend

- more important institution
- less important institution
- overlap of membership
- influence between institutions
- coordinate with each other

- indicates community
- outside the community but with some local influence
- based outside the community but with some presence or activities within the community

BDC – Barangay Development Council
UPV – University of the Philippines in the Visayas
DENR – Department of Environment and Natural Resources
* – Fish retailer and wholesaler

Source: International Institute of Rural Reconstruction. 1998. Participatory Methods in Community-Based Coastal Resource Management. Vol. 2. Silang, Cavite, Philippines, p. 122.

Key references

DFID and IDS: Sustainable Livelihoods Program, Livelihoods Connect: Sustainable Livelihoods Toolbox (section 1: Policy, Institutions, and Processes).

Available: www.livelihoods.org/info/info_toolbox.html

International Institute of Rural Reconstruction (IIRR): Participatory Methods in Community-Based Coastal Resource Management.

Available: www.iirr.org/publicationbdate.htm

Problem Census

Description

The Problem Census is developed in a small group setting, conducted in the community or village where stakeholders live. It is a nonthreatening, focused discussion that uses small group dynamics to elicit (a) a complete and ranked census of the real and perceived problems of individual households and the village as a whole and (b) the community's proposed solutions to these problems.

Purpose

The purpose of this tool is for community members to articulate the problems they consider need addressing in their community, to discuss those problems as a community, and then to collectively decide upon priority problems to be tackled. These problems will not be confined to those that the mining project may have a bearing upon but can be any issues of concern to the community.
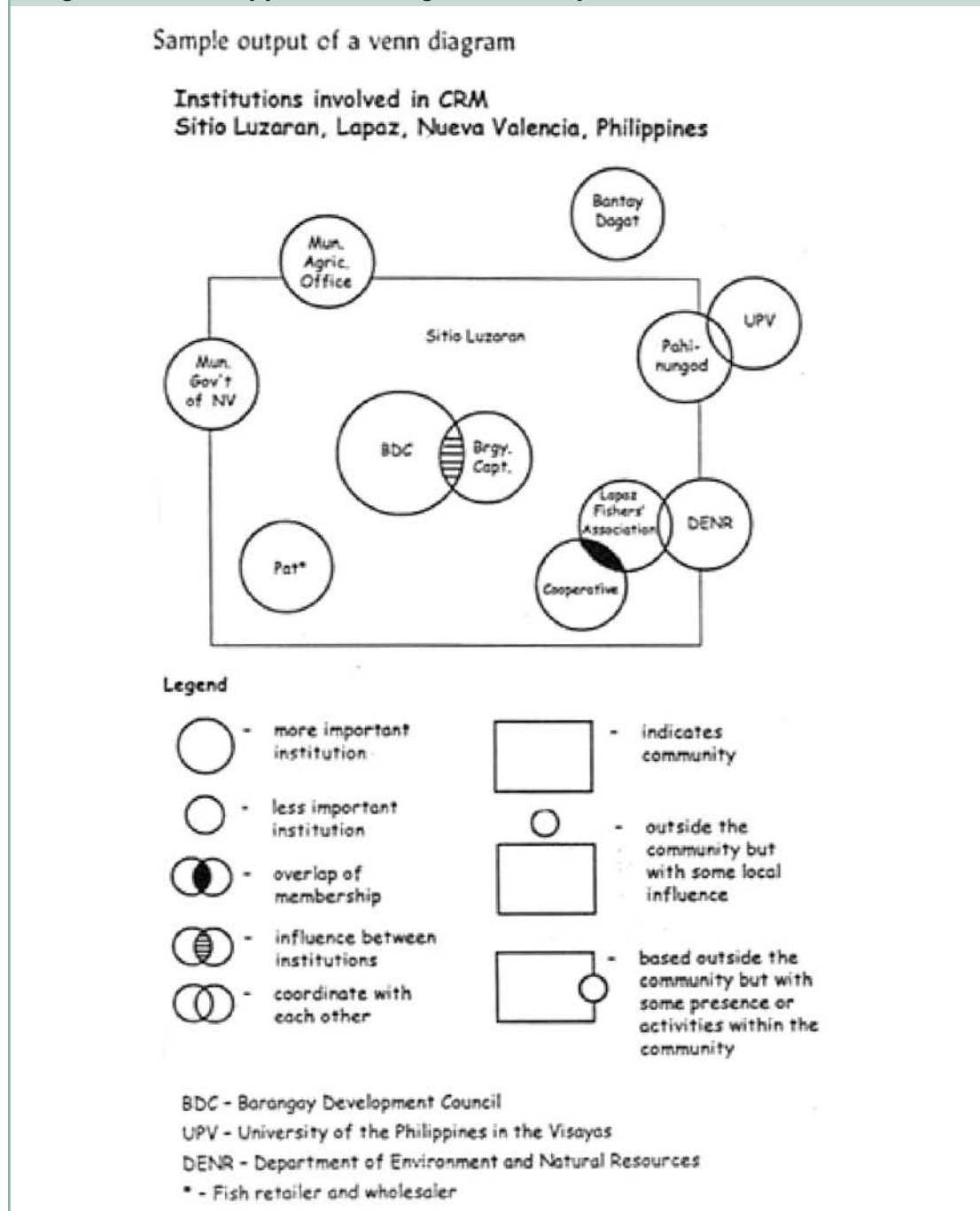
When to use this tool

This tool can be used in a participatory planning workshop (see section at the beginning of the planning tools on "Explanation of Participatory Planning Methods"). This should be done when community development programs are being considered so that active community engagement in the planning process can be encouraged.

How to use this tool

This exercise is usually done in a community workshop and led by experienced facilitators, who may come from the community, from NGOs, from local government agencies, or be consultants hired by the mining company. Facilitators should not contribute to the discussion other than to explain the process. This approach provides the setting in which all participants can contribute. No problem is rejected. All solutions are considered. Community members are the only contributors. The final ranking of problems and preferred solutions is theirs. The facilitator's contribution is confined to creating the setting in which the Problem Census meeting can be conducted. See the table over for a step-by-step process.
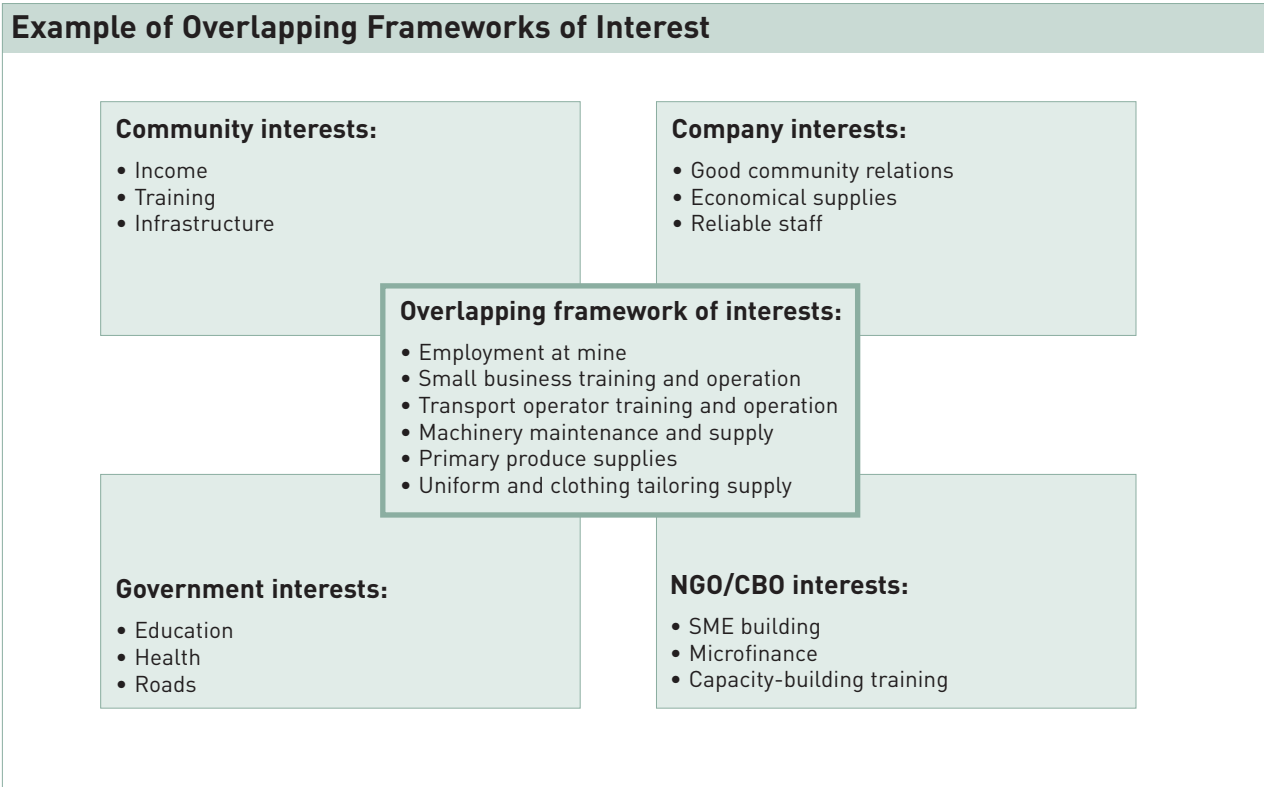
Problem Census

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Step-by-Step Problem Census Process

	Action	Description
Step 1	Initiate meeting with community leaders	Facilitator makes initial contact with villages or communities. Ideally this would be someone known to the community. Discussions with the village leader, elders, or key individuals in each community will evaluate interest and capacity of each community to participate in community development planning activities. If there is interest and sufficient labor, resource, and financial capacity to effectively participate in activities, plans would be made to conduct a Problem Census with that community. The importance of the inclusion of men and women, youth and the elderly should be emphasized from the outset of discussions.
Step 2	Begin Problem Census meeting with the whole community	The Problem Census begins with the coming together of the community. If segregation is preferred, men and women will meet in separate locations. The facilitator introduces and explains the process and, with other members of the team, facilitates the meeting. At this point it is emphasized that the facilitator does not intend to solve the problems to be identified in this process. Once participants are settled, a single question is posed as the focus of the Problem Census meeting. Typical questions are: What are the priority problems for your family? What are the priority development needs for your community?
Step 3	Individuals respond to single question	Participants are asked to work as individuals and record their responses to the single question posed by the facilitator. This can be done either with paper and pencil or through the facilitator. At this stage individuals should be encouraged to respond at a family or individual level rather than a whole community scale.
Step 4	Small groups develop consensus response to the same question	As individuals complete this task, they are assembled into small groups of up to 10 people, although 6 or fewer is ideal. Each group is asked to discuss the problems identified by individual participants in response to the question posed by the facilitator. The group is asked to reach consensus on the priority problems they collectively consider important at the village or community level. They record this consensus outcome on a large piece of paper, ready for presentation to other participants.
Step 5	Plenary session ranks community-level Problem Census	Each small group elects a spokesperson who reports the ranked problems to other participants in a plenary session. These are recorded by the facilitator on a blackboard or large wall charts. This record of problems remains with the participants, with a record being made by facilitators. Participants then regard the lists of ranked problems from small groups and collectively prioritize these problems to form a ranked Problem Census for the village or community. Consensus is sought on the top 5 or top 10 (to be decided by the community) priority problems. The facilitator records this.
Step 6	Meeting close	Participants are thanked for attending and for making a contribution, and invited to join the facilitator for refreshments, either lunch or afternoon tea, depending on the timing of the meeting.

For the development of an overall community development plan, in which a mining company, community members, and other development partners (government, NGOs, and development agencies) agree upon an integrated program of development activities for a future period of time, perhaps one year or several, it is essential that all parties decide upon their relative frameworks of interest. For communities, this will be the priority problems identified as part of the Problem Census exercise.

Mining companies will usually decide internally which programs in the community development sphere they view as priority issues for social investment. The results of the SIA (tool 3) should help the company to make these decisions. Governments will normally already have local or regional development plans that list their priority development programs. Many NGOs and CBOs focus on specific areas and will therefore prioritize programs in their field of interest. For all parties then, an overlapping framework of interest can be identified in a joint meeting. Other problems identified by the community, which do not happen to overlap with the frameworks of interest of any of the other parties, can still be priority issues for the community to solve, but they may need to seek alternative sources of support or act independently. See the table and figure below.

Steps in Identifying Overlapping Regional Frameworks of Interest

	Action	Description
Step 1	Community framework of interest	The top priority problems identified by the community during the Problem Census exercise represent the community framework of interest.
Step 2	Introduce regional stakeholders' frameworks of interest	The facilitator now introduces senior mining company/government/NGO leaders to present their respective frameworks of interest.
Step 3	Identify overlapping frameworks of interest	The facilitator compares the community and other frameworks of interest. Overlapping interests are identified, and, ideally, several will be chosen to be developed as Community Action Plans (tool 14).

Example of Overlapping Frameworks of Interest

Community interests:

- Income
- Training
- Infrastructure

Company interests:

- Good community relations
- Economical supplies
- Reliable staff

Overlapping framework of interests:

- Employment at mine
- Small business training and operation
- Transport operator training and operation
- Machinery maintenance and supply
- Primary produce supplies
- Uniform and clothing tailoring supply

Government interests:

- Education
- Health
- Roads

NGO/CBO interests:

- SME building
- Microfinance
- Capacity-building training

Problem Census

Key references

AusAID: Logical Framework Approach.

Available: www.ausaid.gov.au/ausguide/ausguidelines/ausguidelines-1.pdf

DFID: Tools for Development: A Handbook for Those Engaged in Development Activity (chapter 3: Problem and Situational Analysis).

Available: www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf

Sartorius, R. Social Impact: Training Manuals – Managing the Project Cycle.

Available: www.socialimpact.com/resource-center/training-manuals.html

Opportunity Ranking

Description

Options for dealing with problems can be identified once problems have been ranked with tool 8. A list of potential opportunities for solving each problem should be drawn up from community discussion. Each opportunity should then be ranked for its suitability as a solution using an agreed set of criteria, many of which are tried and tested. The beauty of this process is that problems that require little outside input or finance often score higher than those dependent on assistance. This can be enlightening for a community by helping them realize the power of self-management.

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Opportunity Ranking

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Purpose

The purpose of this tool is to help community members and other development partners decide which projects to start implementing. This is done taking into account the locally available resources, skills, and capacities. A scoring system is used for ranking the options against agreed sustainability criteria, such as cost and the need for external expertise and finance. It is important to remember that community feelings about options are more important than any so-called objective score.

When to use this tool

This tool should be used when the community has completed its Problem Census exercise (tool 8), either as the next stage of an ongoing participatory workshop or on a subsequent occasion.

How to use this tool

By using the ranked problems from tool 8, the community should agree upon a list of criteria to use for assessing the various opportunities for problem solving available for each priority problem. Commonly used criteria for ranking opportunities are:

• **Sustainability:** Can the community keep the project running by itself after outside assistance has gone?

• **Productivity:** Will it substantially increase the availability of needed resources?

• **Equitability:** Will the project benefit a broad cross section of the community?

• **Cost:** Will large amounts of external funding be needed?

• **Technical feasibility:** Does the project require specialized expertise both to start and maintain?

• **Social/cultural acceptability:** Does the project fit within the community's norms?

• **Time needed:** Will it take a long time for the community to reap the benefits of the project?

When a number of options have been identified in this way, an action plan can be developed, usually by a representative committee of local community members. In the example below, community members have identified a significant problem (water shortage), defined an objective (increased water availability), and assessed four options (boreholes, roof catchment, shallow wells, and surface dams) for achieving the objective. In this instance, the action plan would focus on roof catchment options for the community, as that was assessed as the number one option.

Participatory Assessment of Water Options

Criteria/ option	Sustainability	Productivity	Equitability	Feasibility	Social/ cultural	Cost	Time	Points	Rank
Boreholes	1	3	1	0	2	1	2	**10**	**4**
Roof catchment	3	2	3	2	2	2	2	**16**	**1**
Shallow wells	2	2	2	1	2	2	2	**13**	**2**
Surface dams	1	2	1	2	2	1	1	**10**	**3**

Key: 0 = nil; 1 = low; 2 = average; 3 = high

Key references

World Bank: Participation Sourcebook (appendix 1: Methods and Tools for Social Analysis).

Available: www.worldbank.org/wbi/sourcebook/sbpdf.htm

Rietbergen-McCracken, J., and Deepa Narayan. 1998. Participation and Social Assessment: Tools and Techniques. Washington, DC: IBRD/World Bank.

RELATIONSHIPS TOOLS

List of Relationships Tools in this Toolkit

10 Stakeholder Analysis
Having identified the project's stakeholders (with tool 1), it is useful to analyze their level of interest in the project, whether they are very interested or only marginally interested.

11 Consultation Matrix
After analyzing the stakeholders, it is important to develop a system to ensure that they are consulted as often as they would like and at an appropriate level to their interest in the project.

12 Partnership Assessment
A tool for analyzing potential partners, their suitability for partnering with the organization, and what areas of mutual interest are shared in regional community development programs.

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Guidance for Using Relationships Tools

Relationships are the most important element of any successful community development program. The best designed plans will falter if there is insufficient trust between the various stakeholders involved. It is therefore essential that all parties know who the other stakeholders are, know why they are involved with the project, and learn to know each other so that they can work together to develop programs acceptable to all of them. Consultation is both the best means of coming to understand other stakeholders and of building good relationships with them. It is therefore the most powerful and crucial tool in this section, although both the Consultation Matrix and the Partnership Assessment will assist in determining the nature and extent of consultations with various stakeholders. (See table below for relationships tools and who might use them.)

• **Government officer:** As a government officer you may have been transferred to a new district and need to learn who the people are in communities and institutions, or a new mining project may have come to your district, so you need to learn about it. Your relationships with the various stakeholders involved in community development programs around the mining project will determine how much the government can leverage its own programs for greater success. Combining government programs with activities sponsored by the mine or initiated by the community is much more effective than going it alone.

• **Community member:** As a community member you may have moved to a new neighborhood and want to know who the key stakeholders are for community development activities, or a new project may have announced its intention to start up locally so you need to assess the intentions. If you are concerned about the impacts of a mining project, it will be beneficial to become involved with community forums or reference groups so that you can influence how issues are managed. In addition, if you wish to become involved in community development activities, participating in mining project-centered consultation activities will enable you to participate and help design any new programs.

• **Community organization or NGO:** As a member of a community organization or NGO you may need to assess the plans of a new project that wants to establish itself in your area, or a new company may have acquired an existing project and you want to evaluate how different they may be from the former owners. Engaging in consultation activities with mining company people, and with government and community participants will enable you to influence the way issues are managed. Your involvement can ensure that the views of your organization and the people that it represents are heard.

• **Mining company staff:** As a member of the mining company staff you may have started work on a new mining project and need to know who all the project's stakeholders are. You will also need find out if there are legacies from previous owners or earlier interactions in the area, so that you can ameliorate them and develop sound and positive relationships. Building good relationships with all stakeholders will be a central part of the mine's community development team's responsibility.

Relationships Tools and Who Might Use Them			
Participant	**Relationships Needs**	**Appropriate Tools**	**Tool No.**
Government officer	Understand new stakeholders	Stakeholder Analysis	**10**
	Establish good relations	Consultation Matrix	**11**
Community member	Understand new stakeholders	Stakeholder Analysis	**10**
	Identify potential program partners	Partnership Assessment	**12**
	Exchange information and learn	Consultation Matrix	**11**
NGO member	Understand new stakeholders	Stakeholder Analysis	**10**
	Exchange information and learn	Consultation Matrix	**11**
	Identify potential program partners	Partnership Assessment	**12**
Mining company staff	Understand new stakeholders	Stakeholder Analysis	**10**
	Exchange information and learn	Consultation Matrix	**11**
	Identify potential program partners	Partnership Assessment	**12**

TOOLKIT

Stakeholder Analysis

Description

Once stakeholders have been identified with tool 1 (and remember that you will constantly encounter new ones; this is not a static process), it is often helpful to consider what their interests are in the project and how much they might like to be involved. The stakeholder analysis tool uses a series of questions to enable you to assess how important the project might be to each stakeholder and also how much they might want to participate in community development programs. Understanding how stakeholders relate to each other will also help in understanding the web of relationships surrounding the project.

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Purpose

The purpose of this tool is to refine understanding of identified stakeholders further, by:

• Defining the characteristics of stakeholders to understand their level of interest in the project

• Drawing out the interests of stakeholders in relation to the key development issues and program objectives

• Identifying conflicts of interests between stakeholders to help manage such relationships during the course of the project

• Identifying relations between stakeholders that may facilitate development partnerships

• Assessing the capacity of different stakeholder groups to participate in development activities

• Assessing appropriate levels of engagement with different stakeholders (for example, informing, consulting, and partnering) at different stages of the project cycle.

The identified level of interest of each stakeholder helps you to design your Consultation Matrix (tool 11) and to decide how much time to devote to engaging with each stakeholder or group. The engagement levels required by each group of stakeholders as revealed through this analysis may be more than consultation. They may include partnership or involvement in community development plans. It is important to always ask stakeholders how much involvement they desire and to learn about their views and expectations. The more known about various stakeholders, the more successful you are likely to be in building good relationships with them.

When to use this tool

The stakeholder analysis tool should be used when designing the Consultation Matrix and should be revised each time the list of stakeholders (from tool 1) is revised. The initial analysis should be undertaken for national and international stakeholders in the prefeasibility stage and then at least by early in the construction phase for local stakeholders, depending on how early on-ground disturbance activities commence at the site (that is, earlier if resettlement is needed).

How to use this tool

Ask the questions provided in the matrix on the opposite page for each of the stakeholders being analyzed and then assign them to one of the three categories of interest and impact. The result will be three lists of stakeholders, according to the assessed importance of the project to them and their likely level of interest.

• **Step 1:** Obtain a list of stakeholders from using tool 1.

• **Step 2:** Either individually or in a team, consider each of the questions in the matrix and decide which stakeholders are least or most interested in or impacted by the project or which ones have an average interest.

• **Step 3:** Arrange the lists of stakeholders into the three categories depending on how often they appear in each category. Ideally, each stakeholder or group should only be in one category at the end, although different lists for different issues might be drawn.

• **Step 4:** Use the category lists to assign priorities to stakeholders for engagement activities in the Consultation Matrix.

Stakeholder Analysis Matrix			
Questions to ask	**Stakeholders**		
	Most	Average	Least
Who will be affected by negative impacts of the project?			
Who will benefit from the project?			
Who will be responsible for implementing measures to mitigate the negative impacts?			
Whose cooperation, expertise, or influence would be helpful to the success of the project?			
Who are the most vulnerable, least visible, and voiceless for whom special consultation efforts may have to be made?			
Who supports or opposes the changes that the project will bring?			
Whose opposition could be detrimental to the success of the project?			
Who might have resources to contribute?			
Who will make decisions?			

Stakeholder Analysis

Key references

IIED and WBCSD: "Breaking New Ground – Mining, Minerals and Sustainable Development."

Available: www.iied.org/mmsd/

DFID: Tools for Development: A Handbook for Those Engaged in Development Activity (section 2: Stakeholder Analysis).

Available: www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf

IFC Environment Division: Good Practice Notes: Doing Better Business Through Effective Public Consultation and Disclosure (section A: IFC's Requirements Regarding Consultation and Disclosure; section C, Guidance Note 6: Consultation and Disclosure on the Draft EA Report).

Available: www.ifc.org/ifcext/enviro.nsf/Content/Publications

Sartorius, R. Social Impact Training Manuals – Managing the Project Cycle.

Available: www.socialimpact.com/resource-center/training-manuals.html

Consultation Matrix

Description

There is a significant difference between relationships in which stakeholders are engaged in consultative or participatory ways and those in which stakeholders are seen as passive beneficiaries of development programs. Understand these distinctions to decide what level of engagement you would really like to undertake – and how successful that level of engagement might be – with project stakeholders.

• The lowest levels of engagement involve information provision.

• A moderate level of engagement is represented by facilitators and stakeholders working together on projects of mutual benefit.

• The highest level of engagement is partnership, where the facilitator relinquishes control of the engagement process and all parties work together toward shared goals.

The Consultation Matrix is the basis for developing a comprehensive, well-thought through consultation plan. It is a helpful tool for ensuring that information gets to the people who need it at the right times, that feedback from stakeholders reaches the right people in the company and government, and that stakeholders are informed of the results of their inputs.

Stakeholders should be asked what level of consultation they desire: information provision, involvement in meetings, or partnership on community development programs. Matching the levels of interactions with stakeholders' wishes will guarantee an effective program. Ideally, consultations between all stakeholders should be frequent, open and mutual. Consultation is not a one-way street. Key principles for achieving comprehensive consultation are:

• Consult often

• Consult everyone who wants to be consulted

• Listen as much as you talk

• Record your interactions in a database, including comments and responses from stakeholders

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Purpose

The purpose of the tool is to establish a comprehensive system for project consultation and communications and to ensure that consultation activities are appropriate to the specific needs of different stakeholder groups. For example, if you discover during early consultations that areas of current or potential conflict exist between your group and other stakeholders, you should make note of that to ensure that efforts are made to try to resolve and manage these conflicts (see tool 13, Conflict Management). The tool should also enable you to keep up to date with consultations with stakeholders. You will be able to tell when you last spoke to a stakeholder and what you or your colleagues talked about. Often, this information is stored in field officers' heads. Unfortunately, if those officers move on to other jobs, the information in their heads goes, too, so it is important to keep records to enable constancy and continuity in relationships with stakeholders.

When to use this tool

This tool should be used whenever stakeholder engagement activities begin, which usually means prefeasibility, for indirectly affected stakeholders such as financiers, government agencies, NGOs, and other institutional bodies. For stakeholders who are directly affected by the initiative, such as people living in the project area, the plan should be made for consultations prior to commencing any ground-disturbing activities (exploration). Employees also become an important stakeholder group that need to be consulted from the commencement of operations and especially in the context of closure. The plan should be revised at least annually, or whenever the scope of activities changes.

How to use this tool

The analysis of stakeholders and how great a level of engagement they require has already been conducted with tool 10 (Stakeholder Analysis). Using the Consultation Matrix opposite you can plan the nature of communications with each stakeholder and ensure that the level of engagement correlates with the level of interest and impact assessed in tool 10. The matrix is the framework for the plan. Schedules need also to be drawn for the frequency of each type of consultation (for example, site tours once a month or press releases quarterly), and then records need to be kept of which stakeholders are engaged by which method and how often. Records should also be kept of responses to stakeholders, especially if project or program modifications are made due to stakeholder inputs.

• **Step 1:** Make sure all key stakeholders are included on the list from tool 10. Revise your Stakeholder Analysis whenever changes in the project or community occur.

• **Step 2:** Consider stakeholders' consultation needs according to their assessed levels of impact and interest in your community development project, based on the Stakeholder Analysis.

• **Step 3:** Identify appropriate consultation methods for each stakeholder or group. The consultation methods you apply are likely to fall within a broad continuum; that is, from simply informing stakeholders of your activities to partnering with them in program design or placing final decision-making powers in their hands. Consultation methods should always be determined by stakeholders' levels of impact and interest in the project. Appropriate formats should also be utilized (for example, using audiovisual methods for people who are not highly literate). Local languages should always be used, through an interpreter if necessary.

• **Step 4:** Use the Consultation Matrix to plan for consultation throughout the life of the program, recognizing that stakeholders' needs and interests are likely to change. Monitor and evaluate the effectiveness of your consultation activities. Revise the Consultation Matrix to reflect changing needs, circumstances, and experience. Remember that consultation is an interactive process and that messages coming in from stakeholders are just as important as those going out.

• **Step 5:** Keep a record of consultation activities, including messages from and feedback to stakeholders. This will help you to keep track of who you have consulted and ensure you do not neglect or fatigue stakeholders. When agreements are reached through consultation with stakeholders, it is always useful to generate a signed record of this, whether minutes of a meeting or a formal agreement. All parties should receive copies of such records, and the company should ensure that one is kept in its database.

Lists of stakeholders contacted, records of the dates and nature of the contact and feedback should be systematically documented and filed in a database, whether electronic or paper-based. People should consent to notes or recordings being taken of meetings. Otherwise it would be inappropriate to do so. Privacy legislation must be adhered to, ensuring that stakeholder data are not passed on or used for any purpose other than keeping track of interactions. If people provide confidential or personal information that is entered in the database, it should be marked as confidential and treated as such.

Consultation Matrix

Consultation methods to be used for different stakeholders at key stages in community development program (list key stakeholders in relevant box; many others possible)

Level of impact and Interest	Level of participation	Consultation methods	Assessment	Planning	Program management	Monitoring & Evaluation
Most	**Partnership:** Ongoing stakeholder involvement in project decision making	• Working parties • Mediation (see tool 13) • External steering committees	• National Environmental Council • Corporate board of management	Community development committees in each interested community	• Regional community advisory group • Development partners: donors, NGOs, regional enterprises	Regional project evaluation group (government, community, company)
Most, average	**Participation:** Substantive discussion and debate, encouraging participation	• Focus groups • Workshops • Public meetings	• Women's enterprise groups • Youth associations • Small business groups • Townspeople	• Women's enterprise groups • Youth associations • Small business groups • Local and regional government	Community advisory group or steering committee from each community with a Community Action Plan	Review group including government, community, and NGO members
Most, average, least	**Investigation:** Research into community needs or issues. Limited opportunity for dialogue	• Newsletters, press releases • In-depth interviews • Presentations to key stakeholder groups	• Local community • Key community members • Regulators, community groups, etc. • All levels of government	• Local community • Key community members: perhaps a community reference group • All levels of government as observers, supporters, participants	• Local community • Key community members: perhaps a community reference group • Regulators, community groups, etc.	• Local community • Key community members • Regulators, community groups, etc.
Most, average, least	**Information:** One-way, informing stakeholders of proposals and project direction	• Press releases • Newsletters • Web site • Fact sheets • Site tours • Exhibitions	• International media • Local schools			

COMMUNICATIONS AND CONSULTATION NEEDS

Consultation Matrix

Rössing Uranium Mine – Communication and Consultation

The Rössing mine was first established in Namibia in 1976. Rössing's production currently accounts for 10.2 percent of Namibia's exports and contributes 1.9 percent to the gross domestic product. As one of the major investment projects in Namibia and a significant contributor to the Namibian economy during the early stages of the country's independence, the mine is historically, politically, and economically significant to the country.

The average length of service of its employees is approximately 14 years, and a significant percentage of employees have spent their entire career working for Rössing.

Rössing is currently assessing two options: expansion (that will considerably extend mine life) or closure. The communication program developed by Rössing to introduce the closure option serves as a model example for early communication through which an effective long-term communication strategy can evolve and a consultation process with regard to closure can ultimately be built.

Open house sessions were held in three towns where Rössing has a substantial presence: Arandis (residents), Swakopmund (business community), and Windhoek (government). Rössing committed three days in each town, and involved the participation of more than 30 Rössing senior employees with whom stakeholders could engage.

The environment impact assessment of the proposed expansion and closure was discussed. A follow up process is also in place with regard to establishing a more formal forum. This forum will meet on a routine basis for regular contact between Rössing and its stakeholders.

Key features of the communications approach adopted by Rössing include:

• **Timing:** Rössing seized an opportunity where closure could be introduced as merely an option in covering different aspects of the operation (expansion, environmental impact assessment). As a result, discussions on closure were held in a relatively positive environment rather than one dominated by fear, insecurity, and anxiety.

• **Taking information to the stakeholders:** By holding open day forums in its three primary areas of impact the company was seen to be proactive, transparent, and genuinely keen to engage and communicate with its stakeholders.

• **Involvement of Rössing employees:** By holding these forums not just with external stakeholders but also with its employees and union members Rössing established both an internal and external communication process.

• **Two-way process:** By involving more than 30 Rössing employees in the open house sessions an opportunity was provided for comprehensive two-way communication between stakeholders and company personnel.

• **Following up on questions:** Rössing followed up on questions either verbally or in writing when needed.

• **Providing opportunities for the less vocal:** Using an open house, in addition to presentations and questions, stakeholders were able to communicate one-on-one company personnel. This provided an avenue for the less vocal to express their views and concerns.

• **Identification of stakeholders:** By starting very early, Rössing has the opportunity of identifying representative stakeholders and has a strong chance of correctly identifying the "right" to participate in a consultation process.

• **Building of a consultation process:** This early broad-based communication process can serve as a forerunner in building a mature consultation process.

• **Ownership of communication:** Even though a professional company was contracted to design the materials and literature for the communication program, the program is wholly owned and managed by Rössing.

• **Open and transparent:** While specific stakeholders were specially targeted and invited to the open house sessions, it was also advertised in the local newspapers for any interested parties to attend.

Source: Rössing Uranium Mine and Rio Tinto

Key references

CARE International: Community Resources Management Guidelines
(section 4: Mobilizing the Community).
Available: www.careinternational.org.uk/resource_centre/livelihoods/comm_resources_management _guidelines_zimbabwe.pdf

Consultative Forum on Mining and Environment: Public Participation Guidelines for Stakeholders in the Mining Industry. Available: www.goodpracticemining.org/documents/jon/CMSA-PPGuide.pdf

IFC Environment Division: Doing Better Business Through Effective Public Consultation and Disclosure: A Good Practice Manual. Available: www.ifc.org/ifcext/enviro.nsf/Content/Publications

World Bank: Participation Sourcebook. Available: www.worldbank.org/wbi/sourcebook/sbpdf.htm

Partnership Assessment

Description

The sustainability of community development activity demands effective partnerships between government, business, and civil society. None of these groups possess the full range of resources required to promote community development at the local level. Each has distinctive roles and responsibilities within the community development process. Each has distinctive skills and capacities. Working together they can make significant and sustainable contributions to the local development process that will outlive the closure of the mining project. Successful partnerships are built on a shared commitment to address regional development needs.

The World Bank's Business Partners for Development (BPD) initiative brought government, industry, and civil society representatives together to explore opportunities for partnership around resource development projects and to produce practical guidance on how those partnerships could generate sustainable benefit in local communities. Much of this tool is based on the BPD initiative. Partnerships offer a model of participatory development involving all sectors of society. They bring together unique resources and qualities:

• Government contributes credibility to partnership arrangements, strategic coordination through local development plans and public investment and can act as catalyst, broker, and mediator.

• Business contributes employment and infrastructure opportunities, financial resources, capital equipment, a results-led work ethic, and attention to performance quality.

• Community organizations and NGOs contribute local knowledge, capacity to mobilize community participation, and tools and methods to ensure relevance to local conditions.

The greatest opportunities for community development—and best hope for program sustainability—lie in bringing together the development capacities and resources available collectively within the region. This ensures better coordination of development activities, more efficient use of development resources, and the active support and participation of key stakeholder groups. See the table over for partnership benefits.

Partnership Benefits		
For Government	**For Business**	**For Community**
• Alignment of private sector infrastructure with government development plans • Greater visibility of government discharging its civic duties • Coordination between government departments • Cost sharing, risk sharing • Improved capability, resources, etc., to deliver development programs	• Greater efficiency of production, reduced delays, facility downtimes, and security costs • Greater return on investment • More robust social license to operate • Better management of community expectations • Meeting compliance requirements for social management • Direct cost savings in managing social issues • Enhanced local reputation and competitiveness • Shareholder and investor confidence • Improved recruitment, retention, and employee engagement	• More participatory design of community projects • Transparency and accessibility of company and government • Relevance of interventions closer to true livelihood needs • Greater sustainability of community projects

Source: Business Partners for Development

Purpose

The Partnership Assessment framework enables an assessment of the development capacities and resources available within the region, anticipated future capacity needs, and any critical gaps. The framework can help in the assessment of the need for—or success of—capacity building initiatives to improve regional development performance and partners to work with in achieving those goals. It is used to assess existing and future partnership capacity needs; anticipated benefits of the partnership to the organization, programs, or projects; and the sustainability of potential partner organizations. Over time, an institution may be considered sustainable if it can fulfill its functions on a permanent basis with decreasing levels of external support. Specifically, that is if it is able to secure necessary inputs and support, provide a continuing stream of development activities and services that are valued by its stakeholders, and survive for as long as it is needed.

When to use this tool

This tool should be used during the construction phase so that partnerships will be in place by the time community development plans are made and operations commence; during operations, when actively planning community development programs to ascertain what other skills and capacities exist locally and avoid duplication of effort; and for closure planning purposes to ensure that the partnerships invested in are likely to be sustainable and to continue to benefit the local community after the mine has finished.

How to use this tool

Analyze potential partners for suitability to team with your organization and for capacities in community development by using the Partnership Assessment Worksheet provided.

• **Step 1:** Based on existing knowledge of stakeholders, develop a list of all possible community development partners.

• **Step 2:** Using the Worksheet identify where particular partners have a leadership role in specific development initiatives and where initiatives fall outside a given partner's mandate, interest, or sphere of influence.

• **Step 3:** Identify where partners have shared mandates, interest, and influence over possible development initiatives.

• **Step 4:** Make a list of potential partners identified as having common interests and capacities with your organization.

• **Step 5:** Approach potential partners with a view to reaching broad level agreement to explore ways of addressing priority development initiatives through partnership.

Effective Partnerships: The Titirheleni Community Gardens Project

The Titirheleni Community Gardens project in South Africa provides a useful example of a mining company—the Palabora Mining Company—working in partnership with local people to promote local economic development.

The project was established when local women presented proposals to the Palabora Foundation's Community Development Committee. The project had existed for about two years, but faced collapse. The women had few tools, no infrastructure, and no financial, technical, or marketing skills.

The Palabora Foundation sourced R150,000 from an external donor for pumps, pipes, and other infrastructure, and provided training in financial management and technical skills. Women were given plots to cultivate. This provided incomes, produce to feed their families, and vegetables and seedlings to sell to local residents. Each woman pays R50 a month to cover electricity, pesticides, equipment, and fertilizer. The women are currently planning to diversify into making preserves from their produce and to expand their market, with the adjacent Namakgale Township a possible market for fresh vegetables.

The Palabora Foundation's involvement in the initial stage of the project was intense, but was gradually scaled down as the project became more established. In September 2003 the foundation ceased funding the project and handed it over to the community. The foundation will continue to offer advice and mentoring with the local department of agriculture. This project was so successful that a second vegetable gardening project was started on adjacent land. A group had watched the progress of the first garden and the benefits it brought to the local women involved. Although the Palabora Foundation expected the second group to approach it for assistance, learning-by-watching had made the second group self-reliant.

 Among the lessons learned are:

• Women are a valuable but underused community resource. The project provided the women with the skills to make their own decisions, to earn incomes, and to ensure food security for their families.

• Learning by example is a useful way of transferring skills and knowledge, especially in communities where illiteracy may constrain capacity building.

• Small projects that provide quick benefits to poor communities can get community buy-in and support for more medium- and long-term projects.

• Projects that promote self-reliance free up resources for other projects.

• Community gardens like this provide nutritious vegetables for people that are infected/affected by HIV/AIDS.

Source: Marie Hoadley, Daniel Limpitlaw, and Bren Sheehy 2003 (see Background Volume).

Key references

CorCom: Mechanisms for OVO and NGO Collaboration: The Development Community's Experience.

Available: www.corcom.org/Publications/PVO-NGO-Report.pdf

International Business Leaders Forum (IBLF) and WBCSD. A Business Guide to Development Actors (online directory).

Available: www.wbcsd.org/templates/TemplateWBCSD5/layout.asp?type=p&MenuId=Nzc5&doOpen=1&ClickMenu=LeftMenu

BPD: Seven Training Modules for Managing Social Issues in the Extractive Industries Through the Tri-Sectoral Partnership Approach.

Available: www.bpd-naturalresources.org/html/tools_train.html

Partnership Assessment Worksheet

Elements of assessment	High				Low	Comments
1 Which program areas would be served by the partnership? (List relevant community development program areas.)						
1.1						
1.2						
1.3						
2 What is the partnership's likely impact on our core interests?						
2.1 Financial resources						
2.2 Mandate						
2.3 Operational effectiveness						
2.4 Operational efficiency						
2.5 Outreach						
2.6 Capacity						
2.7 Human resources						
2.8 Legitimacy						
2.9 Sustainability						
2.10 Any negative impacts						
3 Internally, how do you assess the following critical elements?						
3.1 Support of key internal stakeholders						
3.2 Internal opposition to partnership proposal						
3.3 Financial resources availability for partnership						
3.4 Key staff support and availability						
3.5 Technical resources availability						
3.6 Level of agreement on purpose and outcomes						
3.7 Level of agreement on how to proceed						
3.8 Level of understanding of partnership planning effort required						
4 Externally, how do you assess the availability of the following in the partner organization?						
4.1 Financial resources for community development						
4.2 Technical resources for community development						
4.3 Human resources for community development						
4.4 External development resources						
4.5 Common development goals among government, business, and civil society						

Partnership Assessment Worksheet continued						
Elements of assessment	**High**				**Low**	**Comments**
4.6 Willingness to participate in partnerships						
4.7 Strategic planning resources for community development						
4.8 Operational capacity for community development						
4.9 Community development performance						
4.10 Participation in community development						
4.11 Legitimacy of community development actors						
5 What are the principal strengths of your potential partners?						
5.1 **Government**						
5.11 Financial resources						
5.12 Mandate						
5.13 Operational effectiveness						
5.14 Operational efficiency						
5.15 Outreach						
5.16 Capacity						
5.17 Human resources						
5.18 Legitimacy						
5.19 Sustainability						
5.2 **Business**						
5.21 Financial resources						
5.22 Mandate						
5.23 Operational effectiveness						
5.24 Operational efficiency						
5.25 Outreach						
5.26 Capacity						
5.27 Human resources						
5.28 Legitimacy						
5.29 Sustainability						
5.3 **Civil Society**						
5.31 Financial resources						
5.32 Mandate						
5.33 Operational effectiveness						
5.34 Operational efficiency						
5.35 Outreach						
5.36 Capacity						
5.37 Human resources						
5.38 Legitimacy						
5.39 Sustainability						

6 Once you have completed your internal assessment, assign responsibilities and deadlines for consultation with stakeholders to assess the likelihood that suitable partner organizations will be available and willing to work with you.

Action	Responsibility	Deadline
6.1 Establish communications with potential partners		
6.2 Validate, with external stakeholders, assumptions in your internal assessment		
6.3 Explore possible roles and resource commitments of prospective partners		
6.4 Assess potential partners' capacity to contribute and maintain support for the partnership		
6.5 Develop process through which partners can negotiate the terms of the partnership (see key references)		

PROGRAM MANAGEMENT TOOLS

List of Program Management Tools in this Toolkit

13 Conflict Management
Conflict Management is a means for identifying, understanding, and managing conflicts through resolution so that they do not disrupt the activities of the various stakeholders, especially where community development programs are concerned.

14 Community Action Plans (CAPs)
The Community Action Plan (CAP) is a detailed plan for implementing solutions to the problems that have been identified during the participatory planning process. It will become the management plan both for the community and its development partners, and will be adjusted to suit circumstances and changing community priorities as time passes.

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Guidance for Using Program Management Tools

Managing community development programs after the community and partners have designed them is very important. Plans not well managed may fail although well designed. The beneficiaries of the plan, the community members, must be well represented in the management structures for community development plans, indeed they must manage the plans, with appropriate support from donors, companies, government agencies, and so on. This may be by means of a multistakeholder community development committee or communities may establish their own management groups and consult with external supporters as needed. Ownership of the plans, time-bound commitments and actual people agreeing to take responsibility are key factors of success. In a similar fashion, managing conflicts which may arise between stakeholders will help programs to run smoothly. (See table below for program management tools and who might use them.)

• **Government officer:** As a government officer you have a crucial role to play in advising and supporting communities in their efforts to manage their community development plans. By identifying regional and national development funds and programs that can support community efforts, you can do much to ensure program success. You can also play a key role in helping manage conflicts.

• **Community member:** As a community member this is an opportunity for your community to lead the development process and to work with partners like mining companies, government departments, and NGOs to realize community aspirations. By taking ownership and responsibility for managing community development plans, you will ensure that your community will get the kind of development it wants and not what someone else thinks it should have.

• **Community organization or NGO:** As a member of a community organization or NGO you have a key role in ensuring that community development plans are well managed. By building the community's capacity to manage itself, with support from companies and government, you can leave a lasting positive legacy.

• **Mining company staff:** As a member of the mining company staff you must work with community members to help them manage their own plans. Providing opportunities for management capacity building and moral as well as financial support for community efforts are major roles that companies can play. Training programs in management methods are essential elements for building community and company staff capacity where needed. Learning how to manage conflict with project neighbors is of great benefit to both project and community development program success.

Program Management Tools and Who Might Use Them

Participant	Program Management Needs	Appropriate Tools	Tool No.
Government officer	Help resolve conflicts by identifying a mediator if needed	Conflict Management (support)	**13**
	Assist community with plans, budgets, resources, responsibilities	Community Action Plans (support)	**14**
Community member	Help resolve conflicts by identifying a mediator if needed	Conflict Management	**13**
	Develop own plans, with budgets, resources, responsibilities	Community Action Plans	**14**
NGO member	Help resolve conflicts	Conflict Management (participate)	**13**
	Support community's planning efforts	Community Action Plans (facilitate)	**14**
Mining company staff	Help resolve conflicts by identifying a mediator if needed	Conflict Management	**13**
	Assist community with plans, budgets, resources, responsibilities	Community Action Plans (facilitate)	**14**

Conflict Management

Description

Conflict can exist in all relationships, and the relationships between mining operations and their neighbors and other stakeholders are no exception. It is important to accept that conflict is a normal part of relationships and occurs whenever people or groups have different expectations of joint or intersecting activities. Instead of seeking to avoid conflict at all costs, which would be unrealistic, it is better to learn to recognize and manage conflict as part of good relationship building and maintenance. It is very likely that any existing conflicts will have been identified through the use of tools 1 and 10 (Stakeholder Identification and Analysis) and tools 2 and 3 (Social Baseline and Impact Assessment). Through ongoing consultation activities and regular review of the Consultation Matrix (tool 11), conflicts arising during the course of the mining project's development should also be identified.

Conflict Management is a process that may be useful throughout a project's development. Conflicts can arise at any stage in a relationship and can exist between a number of stakeholders of a project. If conflicts are resolved early in a project's life, they may never grow into major obstacles in the relationship between the mine and other stakeholders. Not all conflicts can be resolved, but methods for managing differences between stakeholders so that projects can continue are possible. A basic typology of the range of conflicts that may involve a mining project is described in the table over.

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Basic Typology of Possible Conflicts at Mining Projects		
Parties	**Other Parties**	**Resolution Choices**
Company	Host government (local, regional, or national)	Courts, official arbitration, international conventions (for example, ICSID)
Local community	Company	Courts, alternative dispute resolution
Local community	Host government (local, regional, or national)	Courts, alternative dispute resolution
Sectors of community	Sectors of community	Courts, alternative dispute resolution

Other groups, such as NGOs, may also become involved in conflict with any or all of these parties. Frequently, NGOs side with local communities, but not always, as they may have different objectives to fulfill. For example, an environmental NGO deeply opposed to mining may not agree with a community that wants to see a mine built in its area in order to benefit from the accompanying economic development.

Purpose

The purpose of this tool is to identify, understand, and manage conflicts through resolution so that they do not disrupt the activities of the various stakeholders, especially where community development programs are concerned. This process can be undertaken by any party that finds itself in a conflict situation. If a conflict resolution process can be agreed upon by major stakeholders very early in the project cycle, then it may be possible to prevent conflicts affecting relationships.

When to use this tool

As conflict management is a normal part of relationships, it should be included in planning processes for all stages of a mining project, from initial encounters and stakeholder identification through all phases of construction and operation and after a mine has closed. Ideally, a means for resolving conflicts should be devised during early consultations with stakeholders (the IFC advises the institution of a grievance mechanism as part of the Public Consultation and Disclosure Plan; that is, access to an agreed means of mediation or arbitration in case of conflict fulfils an equally important role). Remember that relationships between the project site and stakeholders will continue after the mine has ceased operation, so the continuation of a conflict resolution process should be an integral part of planning for closure and beyond.

For example BP Plc in relation to its Tangguh liquefied natural gas (LNG) project in Bintuni Bay, West Papua (a high conflict province in Indonesia), has appointed a four-member panel of high level experts, the Tangguh Independent Advisory Panel (TIAP), to advise on how best to help local communities protect the environment, and prevent conflicts with locals and environmentalists. The panel reports directly to the corporate leadership in London and is not subject to the organizational structure of BP in Indonesia. TIAP's reports are made available to the public. One of the conflicts identified by TIAP is that between villages on the north shore of Bintuni Bay, close to where many of the gas fields are located, and those on the south shore, who have been resettled to allow the construction of the LNG plant. The resettled community members have all received new, high-standard housing and community facilities as part of the relocation package. This has sparked jealousy from the north shore villagers who feel that the gas somehow "belongs" to them because it is in their part of the bay and that they are therefore just as entitled to new houses. TIAP has strongly advised BP and its joint venture partners to increase community development program funding in the north shore villages as soon as possible to reduce the inter-village conflict.*

Three main stages of conflict management can be defined as conflict identification, conflict mapping, and conflict resolution.

Conflict identification: In the case of mining projects, the existence of conflicts should be discovered as part of the Stakeholder Analysis process (tool 10) and Social Impact and Opportunities Assessment (tool 3). Conflicts that arise after a project has begun operation should be discovered in the course of consultation (see tool 11). Stakeholders paying close attention to the interests of others and learning about their views of a project should be able to detect any potential or actual conflicts without needing to apply special methods; that is, disagreements or issues likely to lead to disagreement should become apparent when stakeholders spend time discussing project-related matters during consultation and relationship-building conversations.

Conflict mapping: Having identified conflict areas, it is important to try to understand the origins, the parties involved, and as much as possible about why the various parties have come to be in conflict. Even the simplest interpersonal conflict has many elements. Conflicts involving multiple parties, large numbers of people, and complex organizations such as governments can be enormously complicated. For this reason, it is helpful to draw a conflict map to help in understanding all the elements of a conflict.

Conflict resolution: There are many ways to deal with conflicts: surrendering, running away, overpowering the opponent with violence, filing a lawsuit, and so on. The movement toward alternative dispute resolution, sometimes referred to simply as conflict resolution, grew out of the belief that there are better options than using violence or going to court. Today, the terms "alternative dispute resolution" and "conflict resolution" are used somewhat interchangeably and refer to a wide range of processes that encourage nonviolent dispute resolution outside of the traditional court system. Common forms of conflict resolution include:

• **Negotiation:** A discussion among two or more people with the goal of reaching an agreement.

• **Mediation:** A voluntary and confidential process in which a neutral third-party facilitator helps people discuss difficult issues and negotiate an agreement. Basic steps in the process include gathering information, framing the issues, developing options, negotiating, and formalizing agreements. Parties in mediation create their own solutions and the mediator does not have any decision-making power over the outcome.

• **Arbitration:** A process in which a neutral third-party, after reviewing evidence and listening to arguments from both sides, issues a decision to settle the case. Arbitration is often used in commercial and labor/management disputes.

• **Mediation-arbitration:** A hybrid that combines both of the above processes. Prior to the session, the disputing parties agree to try mediation first, but give the neutral third-party the authority to make a decision if mediation is not successful.

How to use this tool

• **Step 1:** Take note of any conflicts or potential conflicts which you identify during assessment and relationship building activities (tools 1–4 and 10–12). Include the need to address these issues with the relevant stakeholders in your Consultation Matrix (tool 11).

• **Step 2:** Map the conflicts identified. When talking to other stakeholders, try to discover the following elements of any conflict or potential conflict: (a) history of the conflict (does it derive from other conflicts or is it related to others); (b) the physical and organizational settings of the conflict (how widespread is it and what aspects of the community does it envelop); (c) the parties involved (that is, primary parties are those who oppose one another, are using fighting behavior, and have a direct stake in the outcome of the conflict, secondary parties have an indirect stake in the outcome and are often allies or sympathizers with primary parties but are not direct adversaries, and third parties are actors such as mediators and peacekeeping forces that might intervene to facilitate resolution); (d) identify the causes of conflict, although it is not always possible to distinguish a cause of a conflict from a consequence. Common causes are perceived goal and interest incompatibility and identity defense. Distinguishing between parties' positions in a conflict and their interests can be very helpful. Focus on position means only one party can win whereas focus on interests may reveal areas of overlap and commonality.

• **Step 3:** Choose a resolution method in consultation with other parties, if possible. This may be scoped during stakeholder consultations when the views of all stakeholders can be ascertained.

• **Step 4:** Agree on a conflict resolution process. This can be done through a facilitated workshop involving the broadest range of stakeholders possible. There may be existing conflict resolution processes available, such as a public defender's office or ombudsman, but these avenues may seem inaccessible or ineffective and people may prefer to develop their own process. In general, a nonformal means, such as third-party mediation with arbitration as a final resort, is preferable because it is quicker, less costly, and more cooperative than using litigation. Agree upon a mediator and rules for invoking the conflict resolution process and for use during the mediation. The mediator conducts confidential discussions with all parties, and may not pass information from one group to another, so it is essential that this person be above reproach and trusted by all. Suggest some people that you respect to the other parties, and they should respond with their own list until an acceptable and willing mediator can be found. It may well be that an external mediator will be required to assure participants that they are not linked to any of the conflicting parties. Suitable candidates may be retired judges or senior diplomats, people who have had long careers in public life, perhaps through involvement in community organizations, or religious leaders, in short, eminent persons appropriate to the communities involved.

• **Step 5:** Appoint the mediator, and ensure that all parties have copies of the rules and procedures agreed upon.

• **Step 6:** Review the process whenever project activities or major stakeholders change, at least once a year. If the annual review reveals that a significant number of the participants who agreed to the conflict resolution process are no longer involved, then a new workshop should be convened to ensure that a majority of stakeholders are still satisfied with the procedure. This may not happen often if there is a relatively stable community involved both at the mine and around it. It is essential that a procedure for conflict resolution prior to cessation of operations be agreed to, as conflicts may continue to arise over post-closure uses of assets or rehabilitation programs.

Important Points to Note

Mediation is dependent upon all parties agreeing to participate and accept the results, a mediator acceptable to all parties being available, and mutually agreed rules being developed in a consultative manner by all parties.

Remember, conflict will arise, as it does in all relationships. Therefore, it would be best for all parties to agree upon a conflict resolution procedure before serious conflicts emerge. If agreement cannot be reached upon using mediation, then it is likely that formal means of resolution, such as the courts, will need to be used.
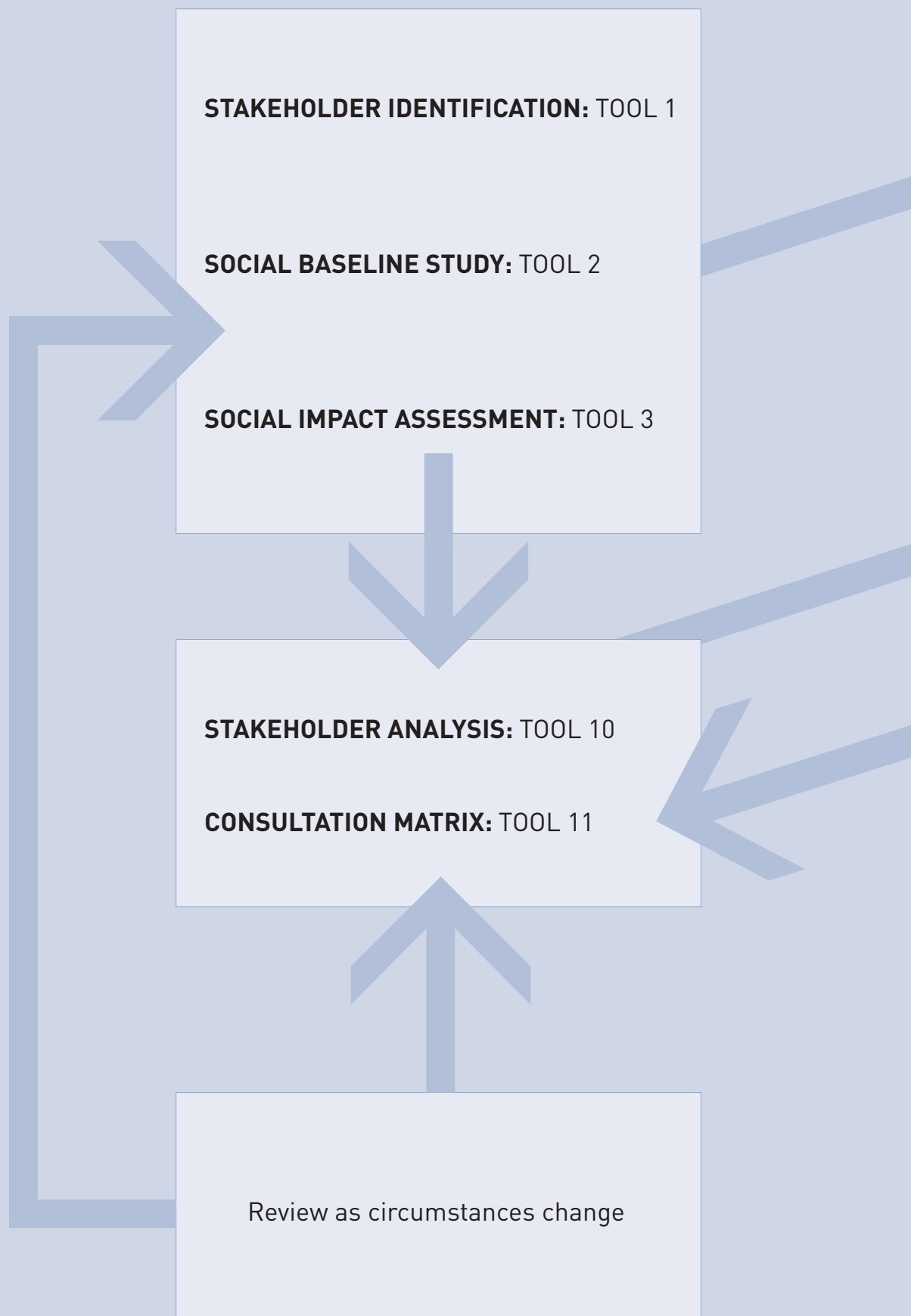
In the case of pre-existing conflicts, perhaps in the case of legacies of previous project owners in the case of an acquisition, then it would be worth trying to engage all parties initially in choosing a resolution method such as mediation rather than directly trying to solve the actual conflict.

One of the hardest parts of many mediation processes is just getting people to agree to participate. The only way to overcome this problem is to demonstrate that negotiation is likely to yield a better outcome than the alternatives. This is easiest once the conflict has reached a point of stalemate—once both sides have won what they can, and the parties are at a standoff, neither able to win more, yet not willing to give up either. This is when a conflict is said to be "ripe" for resolution, and this is usually the best time to "get people to the table."*
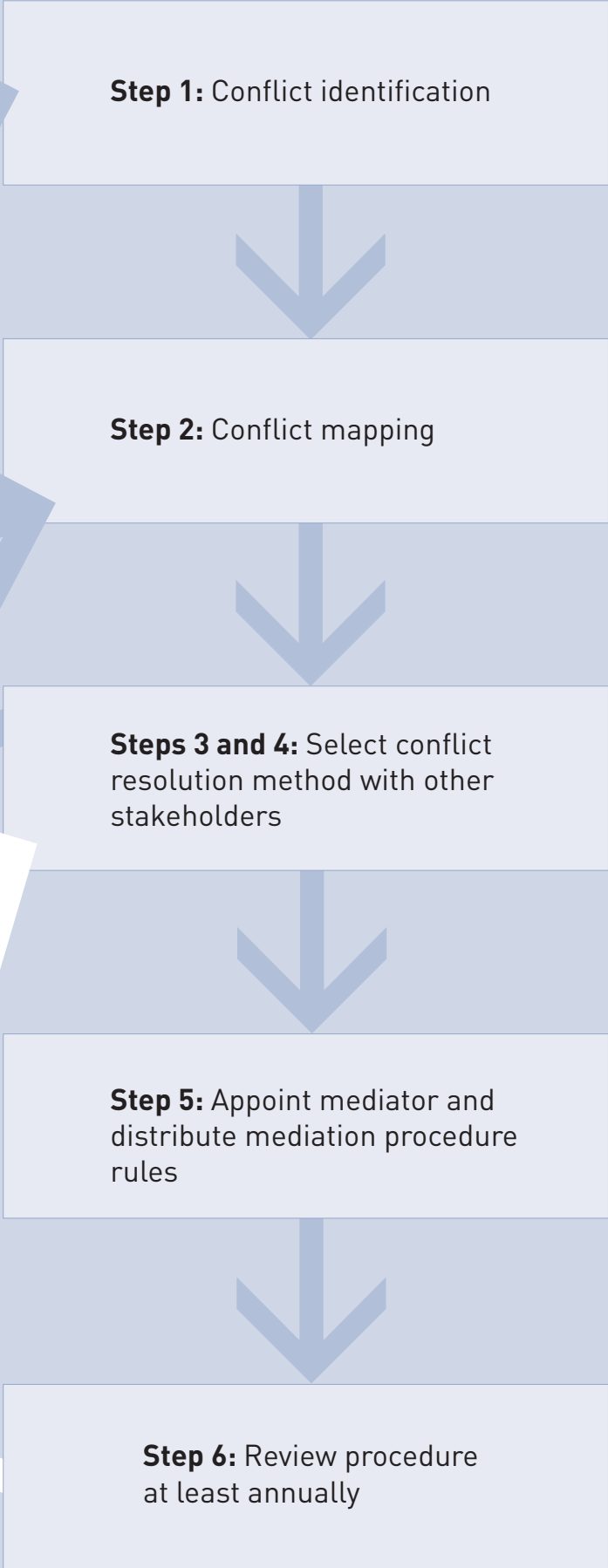
People with less power in a negotiation may also be afraid of being overpowered in mediation. It is crucial for the mediator to be able to convince all parties that their interests and needs will be fairly considered and that they will not be disadvantaged in the mediation process. This emphasizes the importance of finding a mediator who is acceptable, impartial, and neutral. If all parties cannot trust the mediator to fulfill his or her role in a fair and balanced manner, then the process cannot work.

*www.colorado.edu/conflict/peace/treatment/totable.htm

COMMUNITY DEVELOPMENT ACTIVITIES

STAKEHOLDER IDENTIFICATION: TOOL 1

SOCIAL BASELINE STUDY: TOOL 2

SOCIAL IMPACT ASSESSMENT: TOOL 3

STAKEHOLDER ANALYSIS: TOOL 10

CONSULTATION MATRIX: TOOL 11

Review as circumstances change

CONFLICT MANAGEMENT PROCESS

Step 1: Conflict identification

Step 2: Conflict mapping

Steps 3 and 4: Select conflict resolution method with other stakeholders

Step 5: Appoint mediator and distribute mediation procedure rules

Step 6: Review procedure at least annually

Key references

Conflict Research Consortium, University of Colorado: Conflict Mapping.
Available: www.colorado.edu/conflict/peace/treatment/cmap.htm

Association for Conflict Resolution: Conflict Resolution. Available: www.acrnet.org/about/CR-FAQ.htm

Mediate.com: Mediation. Available: www.mediate.com/articles/Mediationfaq.cfm

BPD: Briefing Notes. Preventing and Resolving Disputes With Communities and NGOs.
Available: www.bpd-naturalresources.org/media/pdf/bn/Bnote6final.pdf

International Alert: Conflict Sensitive Business Practice: Guidance for Extractive Industries.
Available: www.international-alert.org/publications/28.php

Community Action Plans

Description

Participatory planning exercises aim to establish detailed Community Action Plans (CAPs). Taking community members through the steps of participatory planning (see tools 6–9) enables them to analyze their situation, gain confidence in their own ability to understand the cause of their problems and devise solutions to them, and design a detailed plan for future action. CAPs not only list actions that need to be taken for community development, but also state who should undertake those activities (both community members and external partners) and the dates by which actions need to be undertaken. CAPs also provide a reality check for excessive community expectations, as the process of allocating responsibilities, deadlines, and resources required should make it quite plain when too much is being expected from one person, one donor, or in too short a time span. CAPs provide detailed work programs both for the community, which owns the plan, and for development partners.

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Initial CAPs, probably produced during an intensive participatory planning workshop process, will be fine tuned, modified, and updated, as communities and their program partners go through the implementation process. Early versions of CAPs will likely focus on problems requiring immediate action. As time passes and communities become more confident in their ability to manage their development agenda in collaboration with program partners, it would be a good idea to introduce an element of post-closure planning. By the time a mine closes, the communities' development plans should include the mining company as only one of a range of partners because they will have long since moved beyond dependency on the mining project for financial support.

Above all, participatory planning is an ongoing process and extremely interactive. CAPs are not drawn up for development experts to implement nor for gaining community acquiescence in preordained plans. As a dynamic system, participatory planning is subject to growing pains and setbacks as well as successes. It is these developmental stages, however, that enable participatory planning to eventually bring about a mutually respectful and cooperative working relationship between communities and their partners in the development process; that is, government, NGOs, and resource companies.

Purpose

The most important purpose of the CAP is to act as a process for future planning activities by the community and to serve as a record of how much they have achieved during the participatory planning activities. It is thus the basic management tool for the community development program. The purpose of producing a CAP is to provide community members with a set of goals, activities, and timelines to enable them to achieve their development objectives. The community owns the plan, and the plan also provides members with a list of partners to follow up with for help in achieving those objectives and target dates to work toward. Simultaneously, the CAP provides development partners with a clear understanding of community priorities and development objectives so that they do not need to guess what the community needs.

When to use this tool

This tool should be used following on from the participatory planning exercises detailed in the previous section (tools 6–9). Specifically, the results of the Problem Census (tool 8) and Opportunity Ranking (tool 9) feed directly into the CAP process, as action plans need to be developed for the implementation of the priority opportunities identified. CAPs should be reviewed as frequently as any other development plan (that is, as circumstances change or at least once a year). The project's monitoring and evaluation system (see tools 15–17) should check whether CAPs are being implemented and suggest whether revisions are required.

How to use this tool

This exercise is usually done in a community workshop, when all interested community members are invited to participate in planning for community development. Experienced facilitators who understand how to encourage community members to take the lead are the best people to manage the production of CAPs. (See the tables opposite for an example of a CAP.)

There are six principal steps in developing a CAP for a specific problem. The same procedure should be followed for each of the selected opportunities. The specific plans can then be combined to form an overall CAP for the community.

• **Step 1:** State the specific objective that will correct the problem.

• **Step 2:** Develop a list of activities that must be undertaken to achieve the objective.

• **Step 3:** Decide who in the community or what unit or agency is most appropriate to undertake each activity.

• **Step 4:** Decide when the activities are to be done.

• **Step 5:** Decide what resource and budget will be needed for each activity and who will contribute resources.

• **Step 6:** Name who will take responsibility for ensuring that the plan is implemented.

The CAP then becomes the management tool for community development activities, to be managed by the community with support from company, government, and NGO partners. CAPs from adjoining communities may be combined to form the basis of district or regional plans.

Example of CAP for Improved Crop Farming From a Tanzanian Village

Problem:
Low Crops Production

Opportunity Improved farming	Actions	Resources Needed	Who Will Provide	Date To Start	Who Will Follow Up
4.1a	A. Use of manure	• Cattle • Carts • Logs • Bicycles • Hand hoes • Bags • Advice/expertise	• Households concerned • Company/community, T Sh 50,000–150,000 • Agriculture and livestock department	Ongoing	• James, A. • Tatu, M. • Petro, S.
4.1b	B. Other actions • Terracing agriculture • Use of farm inputs • Extension service advice • Nongrazing on farms	• Hand hoes • Use of oxen • Improved seeds (2 kgs at T Sh3000) • Money	• Community • Agriculture department • Agricultural shops	December 2000	• Mizi ya chuma • Wilson, N.

Example of Plans From Several Tanzanian Village CAPs Combined to Form District Educational Action Plan

Problem: Poor education	Opportunity	Total cost, T Sh	Community contribution, T Sh	Percent of total	Donations needed, T Sh
Village 1	Construction of four classrooms (one in 2001)	4.5 million	Villagers: 1.0 million Village government: 0.5 million	33	Donor: 2.0 million District council: 1.0 million
Village 2	Construction of school buildings (one classroom, one staff room, one preprimary)	12.5 million	3.0 million	24	Donor: 6.0 million District council: 3.5 million
Village 3	Building (five) classrooms	22.5 million	2.0 million (already done)	As required by the national government	National government: 20.5 million
Village 4	Construction of two classrooms and one preprimary	9.0 million	Cash: 2.0 million Labor: 1.0 million	22	Donor: 5.0 million District council: 2.0 million

Total needed from donors: T Sh 13.0 million; from district council: T Sh 6.5 million; from national government: T Sh 20.5 million. Note that the community has pledged to contribute between 22 and 33 percent of the funds needed and the labor needed in some cases.

Community Action Plans

Participatory Planning Near Golden Pride Mine in Nzega District, Tanzania

Resolute Mining Limited's Golden Pride Gold Project in the Tabora region of western Tanzania was the first modern gold mine to begin operation in Tanzania when it began to produce gold in November 1998.

The communities close to Golden Pride in Nzega District depended on subsistence farming and suffered from a lack of infrastructure and income-generating opportunities. Resolute Mining Limited, an Australian company, took measures to alleviate some of the most immediate features of the poverty it saw, rehabilitating and equipping the local schools, supplying uniforms, books, desks, and trees for fruit to supplement the children's diet.

Gradually, the company realized that it would be more effective in the long term if communities could be encouraged to empower themselves and take responsibility for their own development plans. The company could then join in with community-motivated and initiated projects instead of trying to ascertain from outside what the communities needed.

For this reason, Resolute Mining Limited decided to conduct a participatory planning program at the end of 2000 in the four communities closest to the mine's perimeter – Isanga, Mwaluzwilo, Bujulu, and Undomo – to encourage communities to develop their own Community Action Plans (CAPs). Community members were delighted to be asked what they lacked, what they needed, and to be assisted to devise their own plans. Once they overcame their initial shyness with the unfamiliar process, each community embraced the opportunity to develop a CAP and put a great deal of effort into ensuring the project was completed.

These are the participatory planning methods used:

- Community Mapping

- History

- Seasonal Calendar

- Gender Daily Calendar

- Problem Ranking

- Options Assessment

- Community Action Plan

Source: C. Macdonald, URS, and F. Kyessi, Resolute Mining Limited

Key references

World Bank: Participation Sourcebook (Appendix 1: Methods and Tools for Social Analysis). Available: www.worldbank.org/wbi/sourcebook/sbpdf.htm

Rietbergen-McCracken, J., and Deepa Narayan. 1998. Participation and Social Assessment: Tools and Techniques. Washington, DC: IBRD/World Bank. Available: www-wds.worldbank.org

The National Environment Secretariat, Kenya; Clark University, United States; Egerton University, Kenya, and the Center for International Development and Environment of the World Resources Institute: Participatory Rural Appraisal Handbook.

Implementing PRA: A Handbook for Facilitating Participatory Rural Appraisal. (Prepared by Elizabeth Oduor-Naoh and Isabella Asamba, National Environment Secretariat, Ministry of Environment and Natural Resources, Kenya; Richard Ford and Lori Wichhart, Program for International Development, Clark University; and Francis Lelo, Egerton University, Njoro, Kenya).

MONITORING & EVALUATION TOOLS

List of Monitoring & Evaluation Tools in this Toolkit

15   Logical Framework

This is a matrix that can be used for developing clear outputs and outcomes and that uses verifiable indicators to measure progress toward goals. It is a powerful system for program management and for monitoring and evaluation.

16   Indicator Development

This is a process for choosing indicators for program evaluation that can measure up to transparent scrutiny from any quarter. These indicators are especially appropriate for use in the logical framework and Goal Attainment Scaling methods outlined.

17   Goal Attainment Scaling

This is a useful means for measuring the degree to which outputs and outcomes are being met. It is particularly useful for social investment and community development projects where multiple stakeholders are involved and where there may be differing assessments about the degree of achievement of project goals. It enables evaluations to be made by a range of stakeholders and observers, not just so-called experts. Another major advantage is that the results can be presented in the form of simple graphs, which makes them more accessible to people unfamiliar with qualitative, social science measurements, such as financial and technical managers at a mining project.

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Guidance for Using Monitoring and Evaluation (M&E) Tools

See table below for M&E tools and who might use them.

• **Government officer:** As a government officer you will be able to report on community development progress in your area by taking part in evaluation processes.

• **Community member:** As a community member this is an opportunity for you and your neighbors to make sure that your efforts are worthwhile and also that companies are fulfilling their undertakings. Participating in monitoring programs means that you will be able to influence the outcomes of community development programs.

• **Community organization or NGO:** As a member of a community organization or NGO you can participate in monitoring activities to ensure that programs are achieving what they set out to do. You may also be required to demonstrate to managers that resources are being used wisely.

• **Mining company staff:** As a member of the mining company staff you will likely have internal company demands for monitoring and evaluation, to demonstrate to managers and shareholders that community development funds are being invested wisely, and achieving stated objectives. You should involve the community and other stakeholders in the monitoring process as much as possible because this will give you the most real feedback about your progress.

Participatory Monitoring and Evaluation in Zambia

At a community level, participatory Monitoring and Evaluation can be used to help motivate people to sustain local initiatives and manage conflicts. CARE Zambia, a nongovernmental development agency, wanted to implement projects in a more responsive manner, and to ensure they learned better from their own project experience. CARE conducted a baseline assessment in dozens of villages using well-being ranking and other participatory methods. Changes are now being tracked in the best- and worst-off households to assess project impact and help plan new initiatives. Joint analysis has helped communities and CARE staff define – rather than simply speculate about – changes and has encouraged communities to take action on their own.

Source: Institute of Development Studies Policy Briefing 12, November 1998.

Monitoring and Evaluation Tools and Who Might Use Them

Participant	Monitoring and Evaluation Needs	Appropriate Tools	Tool No.
Government officer	Assist with developing management framework	Logical Framework	15
	Help with indicator development for evaluation	Indicator Development	16
	Provide feedback to the company	Goal Attainment Scaling	17
Community member	Develop management framework	Logical Framework	15
	Develop monitoring and evaluation indicators	Indicator Development	16
	Provide feedback to the company		
	Identify opportunities for evaluation	Goal Attainment Scaling	17
NGO member	Assist with developing management framework	Logical Framework	15
	Help with indicator development for community management	Indicator Development	16
	Provide feedback to the company	Goal Attainment Scaling	17
Mining company staff	Develop management framework with community	Logical Framework	15
	Help with indicator development for community management	Indicator Development	16
	Learn how to listen to community responses	Goal Attainment Scaling	17

COMMUNITY DEVELOPMENT
TOOLKIT

Overview of Monitoring and Evaluation Tools

Monitoring and evaluation (M&E) ensures that development programs are going in the right direction to achieve their stated goals:

• **Monitoring:** The ongoing, methodical collection and analysis of data on development activities, which provides program managers and stakeholders with early indications of progress and achievement of goals. Monitoring can be said to be the measurement of outputs and is undertaken more frequently than evaluation and is often done by people involved in the community development programs.

• **Evaluation:** Primarily concerned with longer-term results of development activity, or the measurement of outcomes. It aims to identify how and why activities succeeded, failed, or were changed to improve the effectiveness of future undertakings. Many mining projects opt to have evaluation done periodically by independent, external advisors, but self evaluation is also worthwhile.*

Through M&E four fundamental questions are explored:

• What worked and why?
• What did not work and why?
• What could have been done differently?
• What adjustments and changes are required now?

The process developed for answering these questions depends on the complexity of the community development activities and the depth of knowledge and understanding required. Evaluations of community development are challenging because they have both quantitative and qualitative dimensions: basic information about what has been undertaken is important but so too is information about community members' perceptions of the process, the results achieved, and the overall benefits of community development.

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The benefits of effective M&E include:

• **Improved management:** It supports your commitment to stay on track and achieve results. It also gives you an opportunity to critically review your management systems and processes and to identify what is working well and what needs some development.

• **Improved accountability:** Your partners want to know how you have used program resources and what you have achieved to assess whether they should continue to support your activities.

• **Participation:** M&E provides an opportunity to bring communities and other stakeholders into the program management process, to review program performance from their own perspective, and to influence future program direction.

• **Learning and development:** M&E is an important learning process, enabling you to reflect on your experience and assess how that experience can be incorporated into other activities and longer term program development.

The M&E system recommended here builds on the Logical Framework (tool 15) program management process and uses indicators developed by using tool 16. By applying these indicators in the Logical Framework process, using verifiable indicators to measure outputs for monitoring purposes and verifiable indicators for measuring outcomes for evaluation, project managers and stakeholders can assess the implementation of project activities and the validity of assumptions and achievement of agreed project goals. As an additional means of assessing both short-term achievements (monitoring of outputs) and longer-term results (evaluation of outcomes), the Goal Attainment Scaling method (tool 17) is beneficial because it allows assessment to be undertaken by a wide range of stakeholders and permits comparison of assessments given by different stakeholder groups.

M&E can be used at any time in the life of a community development activity or investment to measure:

• Changes resulting from investment in the community relations activity

• Differences between expected and actual outcomes

• Reallocation of remaining resources to improve outcomes

• Justification for allocation of further resources

• The performance of the community development team.

There are many other monitoring and evaluation processes available, and the references will lead you to discussions of some of those. If you use a combination of tools 15–17, however, you will have a good understanding of the progress of the community development programs that you are involved with.

TOOLKIT

Logical Framework

Description

The Logical Framework approach (often abbreviated to logframe) is a highly effective and flexible method of planning, monitoring, and evaluating development activities. It is a time-consuming process, as it involves methodically moving through each step of a management plan and checking that it flows logically from what precedes it and that it can contribute to the outcomes expected from it. It is this meticulousness that makes the logframe process worthwhile. It is included here in the M&E section because it is a most effective means of conducting both activities. However, the logframe process could also fit comfortably into the program management section because it is a powerful and useful management tool.

Purpose

The logframe approach helps program facilitators to:

• Describe the goals that the activity is being designed to deliver (these should follow from the Problem Census (tool 8) and Community Action Plan (tool 14)

• Think through and state the important assumptions that need to be made about external factors that are likely to affect the achievement of the objectives

• State what indicators to use to measure the achievement of the objectives (see tool 16)

• State what measurement method will be used to measure each indicator

• Specify the activities that need to be undertaken and the timing of these activities to achieve the objectives

• Specify the resources needed: personnel, training, equipment, and material inputs.

When to use this tool

Planning a project and also for M&E as part of the logframe process involves developing verifiable indicators. As with any other management framework, a logframe matrix should be reviewed and updated as needed when program circumstances (personnel or funding) change, or at least annually).

How to use this tool

The logframe is presented as a 4 x 4 matrix. Using a step-by-step process of developing program goals, outcomes that will lead to the goals, more immediate results (outputs) that will contribute to the longer term outcome, and the inputs or activities required to achieve those results, appropriate indicators with specific targets and means of measuring progress against those indicators, an M&E framework is produced. (See the table below for the step-by-step process.)

A note on terminology and process

It is important not to become overly concerned with terminology. Different advocates of using logframes use different words to describe the same basic functions. Do not be distracted by trying to determine whether something should be called a goal or an objective. Instead, go through the logic checking process described in step 1 to make sure that your planned activities will lead to the kind of results you hope for with your community development program. If the logic works, then your management framework will also work.

Examples of equivalent terms used in logical frameworks follow:
• Goal = objective
• Outcome = purpose (longer term)
• Outputs = results (shorter term)
• Inputs = activities

Step-by-Step Logical Framework Development Process

	Action (column number refers to Matrix opposite)	Description (refers to the Logical Framework Matrix)
Step 1	Define goal and elements (column 1)	Start with the narrative summary or description column first, working from the top down. Describe the elements of your program, as defined in each box of column 1. Review what you have done several times until the vertical logic makes sense. Continue to ask "if and then" questions at each level, working from the bottom up: • If these inputs are provided then will these outputs be achieved? • If these outputs are achieved then will these outcomes be achieved? • If these outcomes are achieved then will it contribute to achieving the goal? When the answer is yes to these questions, you can be reasonably sure that the vertical logic is sound.
Step 2	Identify important assumptions (column 4)	Work from the bottom up. Think of any external factors for which the project has limited or no control over that need to be in place for the results to be achieved. Write these down for each level. Now check them by asking these questions. • If the project provides these inputs and the assumptions relating to inputs hold true, then will the outputs be achieved? • Will project outputs plus assumptions lead to the outcomes? • Will project outcomes plus assumptions lead to the goal?
Step 3	Identify measurable indicators (column 2)	For each level, identify indicators that are measurable that will indicate achievement of each objective. Start from the bottom and work up.
Step 4	Identify measurement methods (column 3)	For each level, state how the indicators will be measured. Make sure that whatever is proposed is practical and can be done. Very often there are existing reporting systems in place but which typically do not report on the right things, so improving these systems will make them more effective.
Step 5	Check the logic	Ask the questions for steps 1 and 2 to check the vertical and horizontal logic of the logframe and suggest improvements that could be made.

The Logical Framework Matrix

Narrative summary (column 1)	Indicators (column 2)	Measurement of indicators (column 3)	Important assumptions (column 4)
Goal: The goal to which the community development program contributes	Changes that will indicate the goal has been achieved (higher level of skilled employability in community)	Statement of how data on goal are to be collected and measured	Assumptions for achieving the goal
Outcomes: The longer-term results of the community development program	Conditions that will indicate outcomes have been achieved (increased skills level in community)	How data on outcomes will be collected and measured	Assumptions for achieving outcomes
Outputs: The direct measurable results of community development projects	Extent and nature of outputs (numbers of trained people)	How data outputs will be collected and measured (monthly reports structured output indicators)	Assumptions for achieving outputs
Inputs: The activities and resources allocated to the implementation of community development projects	Implementation activities and budgets (by type and quantity)	How inputs will be monitored	Assumptions for providing inputs

Example of a Logical Framework Matrix for a Training Program for Community Members

Narrative summary	Verifiable indicators	Means of verification (measurement of indicators)	Assumptions
Goal: Raised standards of skills-based education and employability in the village	Numbers of people with increased skills levels; numbers of people with jobs	Baseline skills and employment register and periodic reassessment	Assumptions for achieving the goal
Activity 1. Generator and Electrical Maintenance Training			
Outcome: Increased capacity of community members to maintain and repair the village's power generation and distribution infrastructure and to seek employment in this field outside of the village	Reported incidence of power failure in the village; one or more community members obtain employment in the field of motor mechanics outside of the village	Number of reports of power failures to community liaison officers; periodic employment survey	Currently two 5,000 watt generators and overhead power cables to be maintained; should increase as result of planned refurbishment
Output: People trained in generator and electrical maintenance	Six people successfully trained	Training course reports	That there will be at least six willing and suitable participants available to complete the course (four already named in the CAP)
Input: Generator and electrical maintenance course	Cost of trainers, hall hire, course materials, per diems for attendees and staff	Invoices submitted by staff and students	Company, government sponsors will provide the course support fees
Activity 2. Basic Midwifery/Traditional Birthing Assistant Training			
Outcome: Increased capacity of traditional birth attendants to provide basic but competent advice and assistance to others during pregnancy and child birth	Reduced incidence of complications during childbirth, perinatal, and neonatal mortality; increased detection and referral of high risk pregnancies to government midwives	Village/ward/district health records	Government health monitoring systems
Output: People trained in basic midwifery/birthing assistant skills	Six people successfully trained	Training course reports	That there will be at least six willing and suitable participants available to complete the course
Input: Basic midwifery/traditional birthing assistant training course	Cost of trainers, hall hire, course materials, per diems for attendees and staff	Invoices submitted by staff and students	Company, government sponsors will provide the course support fees

Note: The goal used came from an actual Community Action Plan (see tool 14)

Using Logical Frameworks With Local Stakeholders in Ethiopia

It is not necessary for all stakeholders to understand Logical Framework (logframe) analysis. Indeed, logframe can be scary to some people. In such situations, it can be useful to ask the same questions that are used in logframe analysis, but without presenting the findings in a 16-box matrix.

This was the approach used in the 1997 Ethiopia Basic Education Project stakeholder workshop. There were 40 participants—parents, teachers, local, regional, and national officials, and U.K. Department for International Development advisers – speaking three different languages. Over a period of one week the following questions were asked. Only at the end of the process was a logframe produced.

- Where are we now? What is the problem? What is our vision of the future? (Goal)
- Where would we like to get to in the next 5-10 years? (Outcome)
- What are the main things that need to be delivered by the project to achieve the vision? (Outputs)
- What needs to be done to deliver each of these? (Inputs)
- How would you assess or measure that you are on track? (Indicators)
- Where would you get the information needed to make these assessments? (Means of verification)
- What risks are there that the project might fail? (Important assumptions)

Once the workshop had reached consensus on each of these questions, one of the most articulate participants was shown how this information could be arranged into a logical framework. He presented the result to the other participants. A logframe was produced, but the most important thing was that participants gained a shared vision and reached a consensus on what the project would deliver.

Source: Adapted from Kennedy, Tomas, and Steve Jones. 1997. Ethiopia Basic Education Project Workshop Report in DFID. 2002. Tools for Development: A Handbook for Those Engaged in Development Activity. Available: www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf.

Key references

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Available: www.ausaid.gov.au/ausguide/ausguidelines/ausguidelines-1.pdf

DFID: Tools for Development: A Handbook for Those Engaged in Development Activity.
Available: www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf

Social Impact: Impact Notes
Available: www.socialimpact.com/resource-center/impact-notes.html

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Indicator Development

Description

Effective management, monitoring, and evaluation depend on the identification of effective performance indicators. Effective performance measurement needs to use appropriate units for measuring change; to be able to distinguish between inputs, outputs, and outcomes; to measure effectiveness and efficiency; and to assess both qualitative and quantitative dimensions of change.

• **Inputs:** Input indicators measure inputs such as money or time contributed to, for instance, development activities and/or processes conducted, number of meetings held, or number of studies conducted. Input indicators are important in managing resources and ensuring accountability of development facilitators but do not, however, tell us anything about how successful, or otherwise, development activity has been.

• **Outputs:** Output indicators measure the direct results of community development projects (for example, numbers of children vaccinated, numbers of people trained in agricultural methods, or school completion rates).

• **Outcomes:** Outcome indicators measure longer term changes that are the desired return on investment in the project (for example, measurable change in the community's quality of life, health, or economic well-being). Outcome indicators are the best measure of how successful, or otherwise, development activity has been.

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Purpose

The purpose of this tool is to develop a set of objectively verifiable indicators to measure performance of community development programs.

When to use this tool

Frequent monitoring can enable programs to be reoriented if they are not succeeding at first. So, this tool should be used as often as possible, at least once a year, or whenever circumstances change. As with the Goal Attainment Scaling tool (tool 17), appropriate performance indicators are important parts of a post-closure monitoring program as well as useful during operation of the mine.

How to use this tool

Similar to the Goal Attainment Scaling tool, development of program indicators is often best done as a group exercise. Performance measurement should be based on objectively verifiable indicators to ensure that measurements of change by one group are accountable to all stakeholders as well as being repeatable by other groups if needed. The important point is that there must be some objective means of verifying results (for example, test results for students or numbers of trainees completing a course).

• **Step 1:** Gather together people with knowledge of and interest in the programs you want to develop indicators for.

• **Step 2:** Brainstorm ideas for indicators, focusing on means of verification.

• **Step 3:** Prepare a list of indicators for each program. These can be included in your logframe management matrix (tool 15) or used in any other management framework that you use. Examples of *quantitative* indicators may include (a) the frequency of meetings, the number of people involved; (b) growth rates; (c) yields, prices; (d) up-take of activity inputs (loans, school enrollment, seeds, visits to the clinic, children vaccinated); and (e) adoption/implementation of activity outputs (technologies, manuals, newsletters, or guidelines in use). An example is provided on the opposite page. *Qualitative* indicators may relate to (a) the level of participation of a stakeholder group; (b) stakeholder/consumer opinions, satisfaction; (c) aesthetic judgments regarding local amenity or lifestyle choices; (d) decision-making ability; (e) attitudinal change; (f) emergence of leadership; (g) ability to self-monitor; (h) development of groups and of solidarity; (i) behavioral changes; and (j) evidence of consensus. It is generally easier to measure behavior than feelings; behavior can be observed. So if an objective is to increase people's confidence in meetings, it may be appropriate to measure this by observing how often they speak and whether they speak clearly.

Monitoring Table Example: Monitoring of Basic Midwifery Training for January-June 2002

Input	Output expected (indicator)	Actual Results (indicator)	Difference	Observations (action to be taken)
Midwifery training course	Six trained people	Five trained people	One person failed to complete the course	Ensure that selected trainees are free to attend future courses

Source: Model adapted from Royal Institute for the Tropics/World Bank/African Network on Participatory Approaches. 2000. Village Participation in Rural Development. Tool 16. Data adapted from logframe example used in tool 15.

The table below is an example of how the detailed indicators used in the logframe process (tool 15) can be used for M&E purposes. This M&E process can be used by community development program participants or by external evaluators.

Format for Using Logistical Frameworks for Monitoring and Evaluation

Project structure	Indicators	Progress	Comments/recommendations
Insert inputs from logframe	Insert indicators of achievement from the logframe for each input or activity	Provide a report against each indicator	Provide any comments; explain if progress is not as planned; provide time-bound action points for program managers and participants
Insert outputs from logframe	Insert indicators of achievement from the logframe for each output	Provide a report against each indicator	Provide any comments; explain if progress is not as planned; provide time-bound action points for program managers and participants
Insert outcomes from logframe	Insert indicators of achievement from the logframe for each outcome	Provide a report against each indicator	Provide any comments; explain if progress is not as planned; provide time-bound action points for program managers and participants
Insert goal from logframe	Insert indicators of achievement from the logframe for the goal	Provide a report against each indicator	Provide any comments; explain if progress is not as planned; provide time-bound action points for program managers and participants

Source: Adapted from DFID. 2002. Tools for Development: A Handbook for Those Engaged in Development Activity. Available: www.dfid.gov.uk/pubs/files/toolsfordevelopment.pdf

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Goal Attainment Scaling

Description

Goal Attainment Scaling (GAS) is a tool used to determine different – or changing over time – levels of stakeholder satisfaction with development activities. It is best used in conjunction with the program management and monitoring and evaluation processes explained in the Logical Framework (tool 15).

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Purpose

GAS can be used to directly track progress toward an identified goal. GAS can be used to monitor the outputs of community development activities, say every six months, or it can be used to evaluate different stakeholder perceptions of outcomes of a program over a longer time period. The results of the surveys can demonstrate differences between different stakeholders' perceptions of an issue of shared interest.

When to use this tool

This tool should be used whenever the views of one or more groups of stakeholders are required on the progress and achievements of a program. GAS can be repeated at intervals and among different groups. This can be done at any stage from preconstruction to post-closure, with the questions being asked altered to match the prevailing situation.

How to use this tool

Activity or program goals are framed as key questions. The goals form a common framework for personal consultations, analysis of program performance, and review of documentation. The key questions lead logically to a GAS framework that enables the facilitator to determine the degree to which program outputs or outcomes are being achieved.

The table opposite presents an example GAS sheet for the tracking of community and company perceptions of an engagement program being conducted with communities adjacent to a planned mining project. In this example, the objective has been defined as the degree to which the engagement program contributes to mutually beneficial relationships between company and local stakeholders. Five levels of achievement are suggested against each question, and each respondent should select one description of the level of achievement for each question posed. In other words, it is a five-point multiple-choice survey and therefore fairly simple to explain to respondents.

Using this instrument with different stakeholder groups can detect areas where the perception of the performance of the engagement program differs between the parties. The results can also be used to establish benchmarks that can be tracked for change over time.

It is simple to represent the results in graphic form to make it easier for management and stakeholders to analyze quickly changing trends in perceptions of the success of the programs being evaluated. This is best done with a group or team of people involved in the project and can be done for each indicator for outputs and outcomes, as feedback desired.

- **Step 1:** Identify the objectives (outputs and outcomes) for a project and their associated indicators. Use the logframe developed in tool 15. In the example provided in the table opposite, one of the goals of the stakeholder engagement program being evaluated was defined as developing a good relationship between the company and communities. So, a central question to evaluate was, Is the engagement program developing a good relationship between the company and local communities?

- **Step 2:** Decide on and write descriptors for the scoring scale for each indicator. Ideally this should be determined by the project manager/coordinator together with key primary stakeholders. Defining and agreeing on GAS scales can take some time often because different participants have different expectations, perhaps stemming from different understandings about what the project is about. This time, however is a useful investment to ensure a shared understanding of what the collective expectations are for it. The descriptors for the 1–5 scale are designed with the central question being scale point 3 (that is, the average score), meaning that your objective has been met. In this case, a score of 3 was described as the engagement process is developing the basis for a sound and fruitful relationship between the parties. The descriptors for scale points 1 and 2 should describe evaluations that fall short of meeting the objective, with 1 being the lowest achievement. See rows number 1 and 2 in the table opposite. The descriptors for points 4 and 5 on the scale should indicate results which exceed the objective, with a score of 5 being the highest. See rows number 4 and 5.

- **Step 3:** The method for using the GAS is that each person rates the program being evaluated with a score of 1–5. In the example given, 60 people are asked to rate the program, 15 people from each of the four categories of stakeholders. So, looking at the top row of the table, none of the government or company people gave the program the lowest score, but three NGOs and two community members did. At the other end of the scale, the bottom row reveals that one person from each of the company and government groups gave the program the most favorable outcome score, and none of the NGO or community people did. The beauty of this process is that the same questions can be asked of different stakeholder groups, and the results can be compared. The survey can also be reported at intervals of time. Finally, the results are easy to present in a graphical format. Weighting accorded to the results obtained from different GAS results may differ depending on the importance of each group's perspective to the project management.

- **Step 4:** Communicate results and display the results in graphs.

GAS Sheet for Assessing the Engagement Program

GAS scale	Goal **Engagement program leads to a mutually beneficial relationship between company and local stakeholders**	Score (n = 60)			
		Company	**Government**	**NGOs**	**Communities**
	Question: Is the engagement program developing a good relationship between the company and local communities?				
1	The engagement program is poorly regarded with the level of contact between the parties being low and ineffective.	0	0	3	2
2	The engagement program is regarded as generally well run, in that contacts are friendly, but are not progressing far in establishing a sound relationship.	1	1	7	5
3	The engagement process is developing the basis for a sound and fruitful relationship between the parties.	6	8	5	5
4	The engagement process has evolved into a solid relationship, based on mutual trust, open exchange of issues, and ideas and a shared framework of interests.	7	5	0	3
5	The relationship between the parties has been formalized and is recognized as very important by both parties.	1	1	0	0

In graphic representation (shown below), most scores are around the middle, which means the program has attained its goal for building a good relationship. The highest ratings came from the government and company people, and the lowest from NGOs with middling scores from the communities.

The scores could be agglomerated, to give a raw score of how many people rated the program as having obtained its objective, but is most useful when stakeholder group scores are kept separate.

Graphic Representation of GAS Sheet for Assessing the Engagement Program
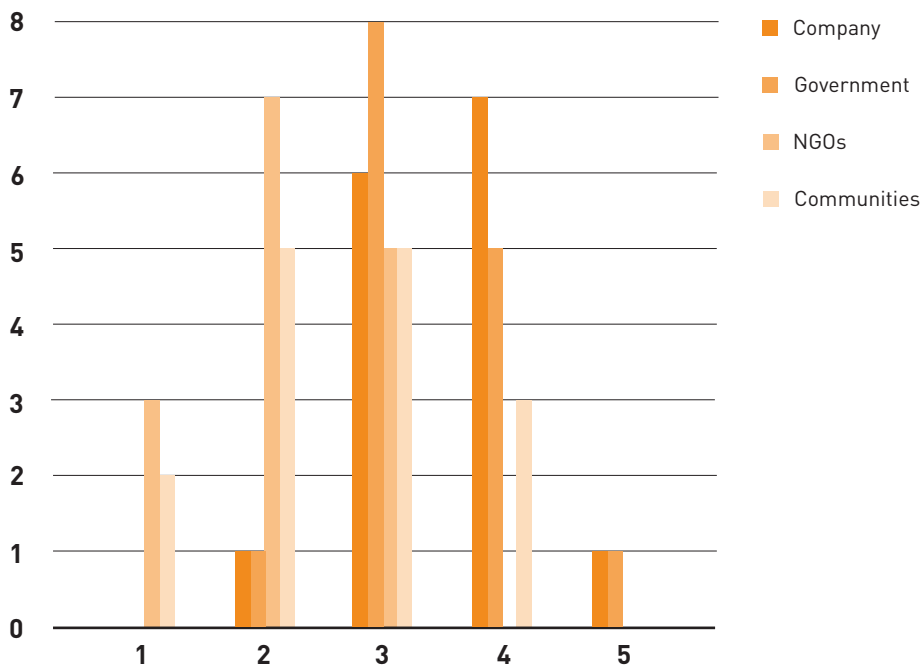
X-axis key: 1, most unfavorable outcome; 2, less than expected success; 3, expected level of success; 4, more than expected success; 5, most favorable outcome.

Y-axis key: number of people giving that score. Maximum score possible per group is 15.

This example (on previous page) shows the results of only one question asked about a program, but a series of questions or objectives could be evaluated in just the same way, and repeated at intervals, as part of a regular monitoring process that can continue even after the mine has ceased operations as part of a post-closure monitoring program. If low scores or wide discrepancies in scores are observed from different stakeholder groups, this should be taken as an indication that the program is not meeting the expectations of certain stakeholders. Corrective action should be taken by consulting the dissatisfied stakeholders and working toward a mutually agreed modification of the program. Because modifications may then affect other stakeholders, the stakeholders should also be consulted.

Using GAS for monitoring thus enables early corrective actions to be undertaken. For longer term evaluation purposes, the GAS process similarly allows programs to be improved and enables program managers to understand which sections of the community may not be satisfied with project activities.

Arbitration: A process in which a third-party neutral, after reviewing evidence and listening to arguments from both sides, issues a decision to settle the case. Arbitration is often used in commercial and labor/management disputes.

Baseline data: Information gathered prior to a project that demonstrates the magnitude of the development problem, the extent to which the problem exists in the community, and, over time, will enable a measurement of the progress in addressing the problem. Baseline data can indicate the incidence of a problem in the community (for example, the community has an adolescent pregnancy rate of 15.8 pregnancies for every thousand teenage girls). It can reveal the prevalence of a problem (45 percent of teens in the community report that they did not use contraceptives during the last time that they had sex). It can also measure community attitudes toward a problem (65 percent of local people do not consider teen pregnancy to be an important problem for the community).

Capacity building: A managed process of (a) skill upgrading, both general and specific; (b) procedural improvement; and (c) organizational strengthening. Capacity building aims to develop the ability of individuals, groups, institutions, and organizations to identify and solve development problems.

Civil society: The network of associations, social norms, and relationships that exist separately from government or market institutions. Civil society may include religious organizations, foundations, professional associations, labor unions, academic institutions, media, pressure groups, and environmental groups. Civil society reflects social diversity and may provide the intellectual, material, and organizational basis for community interaction with the state and business sectors.

Community: A social group possessing shared beliefs and values, stable membership, and the expectation of continued interaction. It may be defined geographically, by political or resource boundaries, or socially, as a community of individuals with common interests.

Community-based organizations: Groups of individuals within a village or group of villages or residential area with similar interests, established to work together to achieve common objectives. Can refer to organizations that provide care or services in the neighborhood as well as initiatives by individual citizens and groups within the community.

Community development: The process of increasing the strength and effectiveness of communities, improving peoples' quality of life, and enabling people to participate in decision making and to achieve greater long-term control over their lives. Community development aims to empower and help communities to improve their social and physical environments, increase equity and social justice, overcome social exclusion, build social capital and capacities, and involve communities in the strategic, assessment, and decision-making processes that influence their local conditions.

Community profile: A picture of the community that reflects the demographic, economic, human, social, visual, and natural resources and the needs and assets of the community.

Competency: An attribute that contributes to successful performance and achievement of organizational goals. Competencies may be defined organizationally or individually, and may include knowledge, skills, and abilities plus other characteristics such as values, motivation, legitimacy, initiative, and control.

Consultation: A tool for managing two-way communications between project developers and stakeholders. The goal is to improve decision making, reduce risk, and build understanding by actively involving individuals, groups, and organizations with a stake in the project. Their involvement increases the project's long-term viability and enhances its benefits to locally affected people and other stakeholders. To be meaningful, consultation should be carried out in a culturally appropriate manner, with locally appropriate timeframes and in local languages.

Conflict resolution: The process by which the participants together with the assistance of a neutral person or persons systematically isolate disputed issues to develop options, consider alternatives, and reach a consensual agreement that will accommodate their needs.

Empowerment: Increasing peoples' ability to participate in decision making; that is, the ability to negotiate with, influence, control, and hold accountable the institutions that affect their lives. In its broadest sense, empowerment is the expansion of freedom of choice and action and implies transferring decision-making responsibilities and operational resources to project beneficiaries.

Evaluation: Systematic investigation of the worth, value, merit, or quality of an object. It is an assessment of the operation or the outcomes of a program or policy compared to a set of explicit or implicit standards as a means of contributing to its improvement. Criteria for evaluation may include relevance, effectiveness, efficiency, impact, and sustainability.

Focus groups: A group selected for its relevance to a particular area of investigation that is engaged by a trained facilitator in discussions designed to share insights, ideas, and observations on the area of concern. Focus groups are typically open ended, discursive, and used to gain a deeper understanding of respondents' attitudes and opinions. A key feature is that participants are able interact with, and react to, each other. The group dynamic often provides richer insights and data than would have been achieved by interviewing the participants individually.

Gender: The socially constructed roles ascribed to males and females and resulting socially determined relations. Gender roles are learned, change over time, and vary widely within and across cultures. Gender is a key variable in social analysis. It is important to understand the social, economic, political, and cultural forces that determine how men and women participate in, benefit from, and control project resources and activities. Social analysis should highlight gender-specific constraints, risks, and opportunities.

Impact: Any effect, whether anticipated or unanticipated, positive or negative, brought about by a development intervention.

Indicator: Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor.

Input: The activities and resources allocated to the implementation of community development projects

Institutional Analysis: Analyzes the institutional capacities and relationships critical to operational success, and identifies gaps or weaknesses in institutional resources, performance or sustainability. Over time, an institution may be considered sustainable if it can secure necessary support, provide continuing development activities and services that are valued by its stakeholders, and maintain its functions with decreasing levels of external support.

Logical Framework: A simplified chain of relationships that demonstrates the logic and assumptions underlying a program or intervention and how it intends to achieve its expected results. It states the logic of the program, identifies the assumptions on which it is based, and outlines the logical connections between the activities undertaken, the outputs to be produced, the immediate or short-term outcomes that are expected, and the ultimate or long-term impacts the program is designed to achieve.

Mediation: A voluntary and confidential process in which a neutral third-party facilitator helps people discuss difficult issues and negotiate an agreement. Basic steps in the process include gathering information, framing the issues, developing options, negotiating, and formalizing agreements. Parties in mediation create their own solutions, and the mediator does not have any decision-making power over the outcome.

Mediation-arbitration: A hybrid that combines both of the processes outlined above for "Mediation." Prior to the session the disputing parties agree to try mediation first, but give the neutral third party the authority to make a decision if mediation is not successful.

Mission statement: A brief statement outlining the specific task(s) for which a group has charged itself.

Monitoring and evaluation: A management tool that provides managers with feedback on project effectiveness during implementation. This is important in enabling project managers to move away from prescriptive planning toward a more flexible planning approach that enables those in charge of projects to learn and adapt to changing conditions and experience on the ground. Managers use participatory monitoring and evaluation to systematically evaluate progress throughout the project cycle, ensuring the incorporation of the perspectives and insights of all stakeholders, beneficiaries, as well as project implementers. Stakeholder participation in the identification of problems and solutions helps to develop ownership and commitment to any corrective actions that may be decided on.

Negotiation: A discussion among two or more people with the goal of reaching an agreement.

Non-government organizations (NGOs): Private organizations that pursue activities to relieve suffering, promote the interests of the poor, protect the environment, provide basic social services, or undertake community development. NGOs operate independently of government, are often value-based and guided by the principles of altruism and voluntarism. Broadly, NGOs may be operational, when their primary purpose is the design and implementation of development-related projects, or advocacy-focused, when their primary purpose is to defend or promote a specific cause or seek to influence development policies and practices.

Objective: An expression of an effect that a program is expected to achieve if completed successfully and according to plan. Objectives are often viewed as a hierarchy, beginning with strategic goals, purposes, outputs, and activities.

Organization: Formal structures with designated roles and purposes. Organizations and individuals pursue their interests within an institutional structure defined by formal rules (constitutions, laws, regulations, and contracts) and informal rules (ethics, trust, religious precepts, and other implicit codes of conduct). Organizations, in turn, have internal rules to deal with personnel, budgets, procurement, and reporting procedures that constrain the behavior of their members.

Outcome: The objectives of community development; that is, the longer term results aimed for at the end of a program.

Output: The direct results of an intervention, a deliverable for which management is responsible.

Participation: A process through which stakeholders influence and share control over development initiatives and the decisions and resources that affect them. Participation can improve the quality, effectiveness and sustainability of projects and strengthen ownership and commitment of government and stakeholders.

Participatory Rural Appraisal: A range of participatory approaches and methods that emphasize local knowledge and enable local people to conduct their own appraisal, analysis, and planning. It uses group animation and exercises to facilitate information sharing, analysis, and action among stakeholders. Although originally developed for use in rural areas, it can be employed successfully in a variety of settings, enabling development facilitators, government officials, and local people to work together to identify and address local development needs.

Partner: The individual and/or organization with which one collaborates to achieve mutually agreed upon objectives.

Partnership: Negotiated relationships that exist between two or more entities that have voluntarily entered into a legal or moral contract.

Primary data: Qualitative or quantitative data that are newly collected to address a specific research objective. Primary data may include original information gathered from surveys, focus groups, independent observations, and test results.

Problem Census: A tool used to gain a balanced and comprehensive understanding of community needs. The Problem Census is particularly useful in understanding the causes of local development problems, identifying all possible solutions to those problems, and, by enabling the broadest community participation, developing program goals and strategies that reflect the needs and aspirations of all sections of the local community.

Program management: Management concerned directly with the production and delivery of services. Skills and procedures include project cycle management, program formulation, communications, financial and human resource management, and technical reviews and evaluation.

Quality of life: People's overall well-being. Quality of life is inherently subjective and difficult to measure (whether for an individual, group, or nation) because it includes both material well-being and such intangible components as the amenity and quality of the environment, national security, personal safety, and political and economic freedoms.

Qualitative surveys: Research more subjective than quantitative research and uses very different methods of collecting information, mainly a relatively small number of individual, in-depth interviews and focus groups. Qualitative surveys are exploratory and open ended, and allow respondents greater freedom to influence the research scope and design. Participants are asked to respond to general questions, and the interviewer or group moderator probes and explores the responses to identify and define perceptions, opinions, and feelings about the topic or idea being discussed. The quality of the findings from qualitative research is directly dependent upon the skill, experience, and sensitivity of the interviewer or group moderator. Qualitative research is often less costly than quantitative surveys and is extremely effective in understanding why people hold particular views and how they make judgments. While qualitative research does not produce results that are statistically reliable, its findings can, if participants are broadly representative, be strongly indicative of the population as a whole.

Quantitative surveys: Research concerned with measurement of objective, quantitative, and statistically valid data. Simply put, it is about numbers. In quantitative surveys a relatively large and scientifically calculated sample from a population is asked a set of closed questions to determine the frequency and percentage of their responses. Quantitative surveys can be used with reasonable levels of confidence to assess community attitudes across large populations. Weaknesses of quantitative surveys, however, are that they are relatively expensive, questions are strictly ordered and determined by the questioner, and are closed; that is, respondents cannot introduce topics into the survey and cannot expand on or qualify their responses.

Ranking: An exercise in which respondents identify what is most important to them (for example, in identifying development needs, communities may rank livelihood as more immediately important than education). Ranking allows facilitators to understand local preferences and to understand how values differ among different groups. Identifying local preferences and priorities is critical to choosing appropriate and effective development strategies and interventions.

Secondary data: Qualitative or quantitative information that has already been assembled, having been collected for some other purpose. Sources may include census reports, journal articles, technical or academic studies, and other publications.

Semi-structured interviews: Interviews that are partially structured by a flexible interview guide with a limited number of preset questions. The guide ensures that the interview remains focused on the issue at hand while providing enough flexibility to allow participants to introduce and discuss topics that are relevant to them. Semi-structured interviews are a deliberate departure from survey-type interviews with lengthy, predetermined questionnaires.

Stakeholders: Persons or groups who are affected by or can affect the outcome of a project. Stakeholders may be individuals, interest groups, government agencies, or corporate organizations. They may include politicians, commercial and industrial enterprises, labor unions, academics, religious groups, national social and environmental groups, public sector agencies, and the media.

Stakeholder Analysis: A process that seeks to identify and describe the interests and relationships of all the stakeholders in a given project. It is a necessary precondition to participatory planning and project management.

Standard of living: The level of well-being of an individual, group, or the population, as measured by the level of income or by the quantity of various goods and services consumed.

Strategic plan: An outline of the program or organization's long-term goals, and of the specific strategies, approaches, methodologies, and resources through which those goals will be achieved.

Strategic planning: A process by which a future vision is developed for an organization, taking into account its political and legal circumstances, its strengths and weaknesses, and the threats and opportunities facing it. Strategic planning articulates the organization's sense of mission and maps out future directions to be taken, given the organization's current state and resources.

Strategy: A planned course of action undertaken with the aim of achieving the goals and objectives of an organization. Strategy may be developed for any aspect of an organization's activities or, at the broadest level, for the organization itself.

Sustainable development: Development that meets the needs of the present without compromising the ability of future generations to meet their own needs. Progress measured in social or economic terms is accomplished without irreversible environmental degradation or social disruption. The benefits should not only outweigh the social and ecological costs but should also be founded on a rational use of human and natural resources that can be maintained indefinitely.

Sustainability: The ability of an organization to secure and manage sufficient resources to enable it to fulfill its mission effectively and consistently over time without excessive dependence on a single funding source. Sustainable organizations have (a) the ability to scan the environment, adapt to it, and seize opportunities it offers; (b) strong leadership and management; (c) the ability to attract and retain qualified staff; (d) the ability to provide relevant benefits and services for maximum impact in communities; (e) the skills to demonstrate and communicate this impact to leverage further resources; (f) community support and involvement; and (g) commitment to building sustainable (not dependent) communities.

Survey: The collection of data from a population for the purpose of analysis of a particular issue. In a sample survey data are collected from a representative sample of the population.

Triangulation: A process of using multiple data sources, data collection methods, evaluators, or theories to study an issue from different perspectives, validate research findings, help eliminate bias, and detect errors or anomalies in results.

Vision: A description of the large-scale development changes (economic, political, social, or environmental) to which the program hopes to contribute.

Vulnerability: Condition characterized by higher risk and reduced ability to cope with shock or negative impacts. It may be based on socioeconomic condition, gender, age, disability, ethnicity, or other criteria that influence people's ability to access resources and development opportunities. Vulnerability is always specific to the particular location and time. Development initiatives should assess vulnerability and target interventions to particularly vulnerable and marginal members of the community.