CommWell

Community Well-being and Mining Framework

Process Guidance

Devonshire Initiative

January 2022

For any questions regarding the development of The CommWell Framework or its implementation, please contact the Devonshire Initiative.

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Executive Summary

The purpose of this document is to provide guidance on implementing the Community Well-being and Mining Framework (CommWell Framework or CommWell). It is intended for CommWell implementers or organizations. The CommWell Framework Overview document should be seen as a companion piece.

The CommWell Framework is a participatory process for discussing, defining, measuring and analyzing community well-being. The data, dialogue and decisions about community well-being generated by the Framework acts as a catalyst for various stakeholders to plan and coordinate community development initiatives in the mining context. The Framework was jointly developed by participants of the Devonshire Initiative, including mining companies, civil society organizations and academics. It is designed to engage stakeholders in a participatory process to define and collect data on community well-being in the mining context.

The objective of the Framework is to:

- collect **better data** to assess community well-being;
- encourage **better dialogue** among stakeholders in mining areas and support multi-stakeholder coordination around local development processes; and
- support **better decisions** that affect community well-being.

The CommWell Framework Guidance Notes are intended to provide general direction on how to roll out the CommWell Framework at any given site. The Guidance Notes seek to provide specific-enough direction to be clear and actionable, while maintaining sufficient flexibility to adapt the process to any community setting. The Guidance Notes are not meant to be a blueprint for implementation, but to provide some parameters for how the Framework will be implemented and how community participation could be incorporated. The participatory process outlined here is the foundation of the Framework. The Guidance Notes aim to ensure not only community participation but ultimately community ownership.

BZH 1.1 was published in 2016 and was updated in 2021 based on insights from pilot studies and practitioners. The 2021 version has been renamed The CommWell Framework to illustrate the importance of community driven well-being in the mining context. For more information on the main differences between the two versions please see the Framework Overview.

Introduction

What is the Community Well-being and Mining Framework?

The Community Well-Being and Mining Framework (the CommWell Framework or The Framework) is a participatory process for discussing, defining, measuring and analyzing community well-being in the mining context. The indicators are not linked to any specific program or initiative; rather, they are derived from the community's holistic definition of well-being. The data, dialogue and decisions about community well-being generated by the CommWell Framework acts as a catalyst for various stakeholders to plan and coordinate community development initiatives in the mining context. Through comparison with other regions or national data, as well as by monitoring changes in the community over time, the data from CommWell can also help answer the question: is this community in the mining context better off?

The Framework was jointly developed by participants of the Devonshire Initiative, including mining companies, civil society organizations and academics. It is designed to engage stakeholders in a participatory process to define and collect data on community well-being in the mining context. This multi stakeholder process also aims to shift how companies and civil society organizations participate in community development dialogue more broadly and provide opportunities for dialogue and practical decisions related to community well-being.

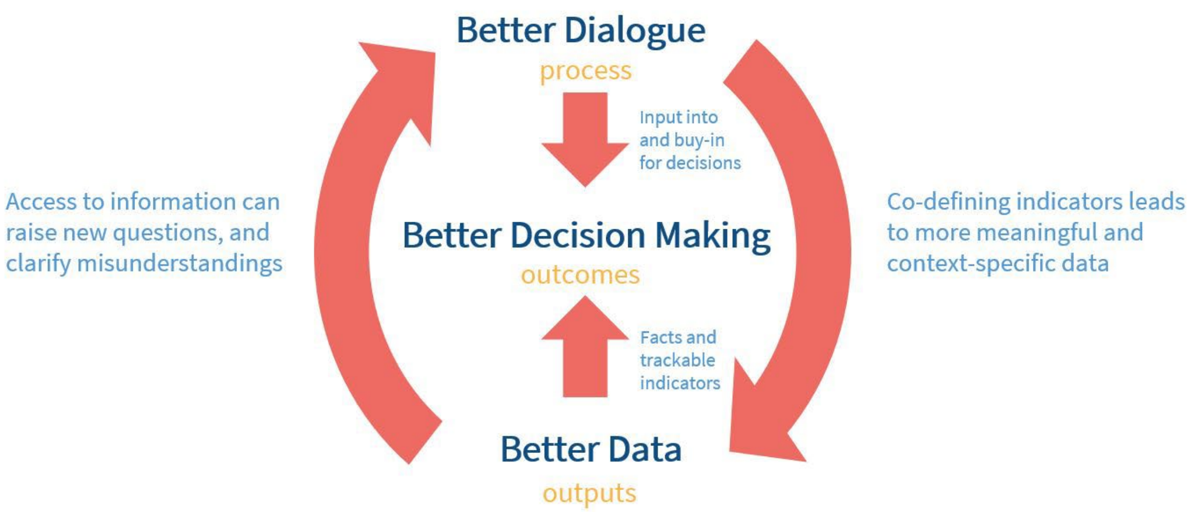
The Framework is laid out in four phases (see Figure 2) and is designed to complement existing initiatives for baseline data collection in the mining context (such as Social Impact Assessments) as well as existing community planning and development processes. The four phases of the CommWell Framework process are preceded by an initial pre-planning phase designed for the 'broker (the initiator of the process)'. Each phase of the CommWell Framework is explained in the following pages of this guidance document.

What is the Objective of the CommWell Framework?

The CommWell Framework aims to:

- collect **better data** to assess community well-being;
- encourage **better dialogue** among stakeholders in mining areas and support multi-stakeholder coordination around local development processes; and
- support **better decisions** that affect community well-being.

Figure 1: The CommWell Framework fosters better dialogue, to obtain better data, both of which can inform better decision-making



Some of the benefits of CommWell for mining companies, NGOs or government include:

- **The CommWell process contributes to community acceptance and/or a social license to operate:** The multi-stakeholder process of engaging with communities and other development actors creates practical opportunities to build relationships with a broad set of stakeholders. The meetings, forums and dialogue used in the process help stakeholders build trust, which contributes to better communication, community acceptance and/or a social license to operate. Participation in CommWell also signals to stakeholders that an organization is committed to community participation and long-term development outcomes.
- **CommWell data can support monitoring and evaluation of programs / initiatives:** The indicators are driven by the community's holistic definition of well-being instead of being developed to measure the outcomes of a specific program or initiative. However, community well-being indicators will likely overlap with program monitoring and evaluation criteria for initiatives undertaken by a mining company, NGO, government agency or other development actor.
- **CommWell data can support SDG reporting:** CommWell indicators can support a company, NGO or government's data collection and reporting on the UN's Sustainable Development Goals (SDGs). CommWell data tells a broader story

about development outcomes than specific program level monitoring and evaluation.

- **CommWell Framework can support planning and coordination around community development:** CommWell's community-defined well-being indicators can inform the planning process for initiatives that influence community development. The multi-stakeholder dialogue channels forged through the CommWell Framework implementation can support further coordination and collaboration on projects. CommWell focuses on the multi-stakeholder nature of community well-being and avoids presenting any one actor as responsible for changes.

- **CommWell data can be used as a baseline and for benchmarking:** The data from CommWell can provide a baseline for a community and changes can be monitored over time. Data sets can also be compared to regional or national averages, where available, to provide benchmarking and insight into how the mining area is doing relative to non-mining areas or other mining areas. Overall, the data helps answer the question: are communities better off in the mining context?

Some of the benefits of CommWell for communities in mining areas include:

- **Participatory prioritization of community wellbeing**: The CommWell process provides a practical space for communities to define what well-being means to them and thus share their priorities for development. It is an opportunity to share that definition with other stakeholders who can influence and contribute to development outcomes.

- **Better information on well-being & increased participation in decision-making:** Communities are able to access data on how well-being is changing over time and how the data for certain indicators compare to other regions. This can shape the community's perception of development actors and their ability to further participate in decision-making.

- **More sustainable outcomes**: The data from CommWell, the dialogue and coordination that is fostered amongst development actors throughout the process, and the participation of communities in the process all lay the groundwork for more sustainable development outcomes. Unilateral programming that is not integrated with local needs, governance and resources, and that lacks local partners is less sustainable.

Guidance Notes Objective

A flexible process that focuses on community participation.

The CommWell Framework Guidance Notes are intended to provide general direction on how to roll out the CommWell Framework at any given site. The Guidance Notes seek to provide specific-enough direction to be clear and actionable, while maintaining sufficient flexibility to adapt the process to any community setting. The Guidance Notes are not meant to be a blueprint for implementation, but to provide some parameters for how the Framework will be implemented and how community participation could be incorporated. The participatory process outlined here is the foundation of the Framework. The Guidance Notes aim to ensure not only community participation but ultimately community ownership.

Explaining Key Terms

The Guidance Notes explain the terminology used throughout the CommWell Framework, however there are key terms that appear frequently in the Guidance Notes and merit early clarification:

Catalyst: The ***Catalyst*** is what inspires the ***Broker*** to initiate the Framework. This could be a regional planning process, a new development program, a community investment plan, an environmental and social impact assessment (ESIA), etc. The Catalyst may also simply be a desire to have better data, dialogue and decision making about community wellbeing and sustainable development.

Broker: The ***Broker*** is the entity that is be the initial champion for the CommWell Framework, introducing it to other key stakeholders and identifying an ***Entry Point*** and ***Implementation Partner(s)***. The ***Broker*** may be a mining company or an NGO or some other organization or governance body.

Steering Committee: The ***Steering Committee*** is a group of people that will oversee and govern the CommWell Framework process. There is no maximum or minimum size for a Steering Committee, but ideally, it should consist of individuals who are involved in community development planning and associated activities.

Implementing Partner(s): An ***Implementing Partner (***or partners) acts primarily as a facilitator and project manager, while providing specific expertise in select areas. To remove mining companies from the center of development planning, it is important that they do not take on this role.

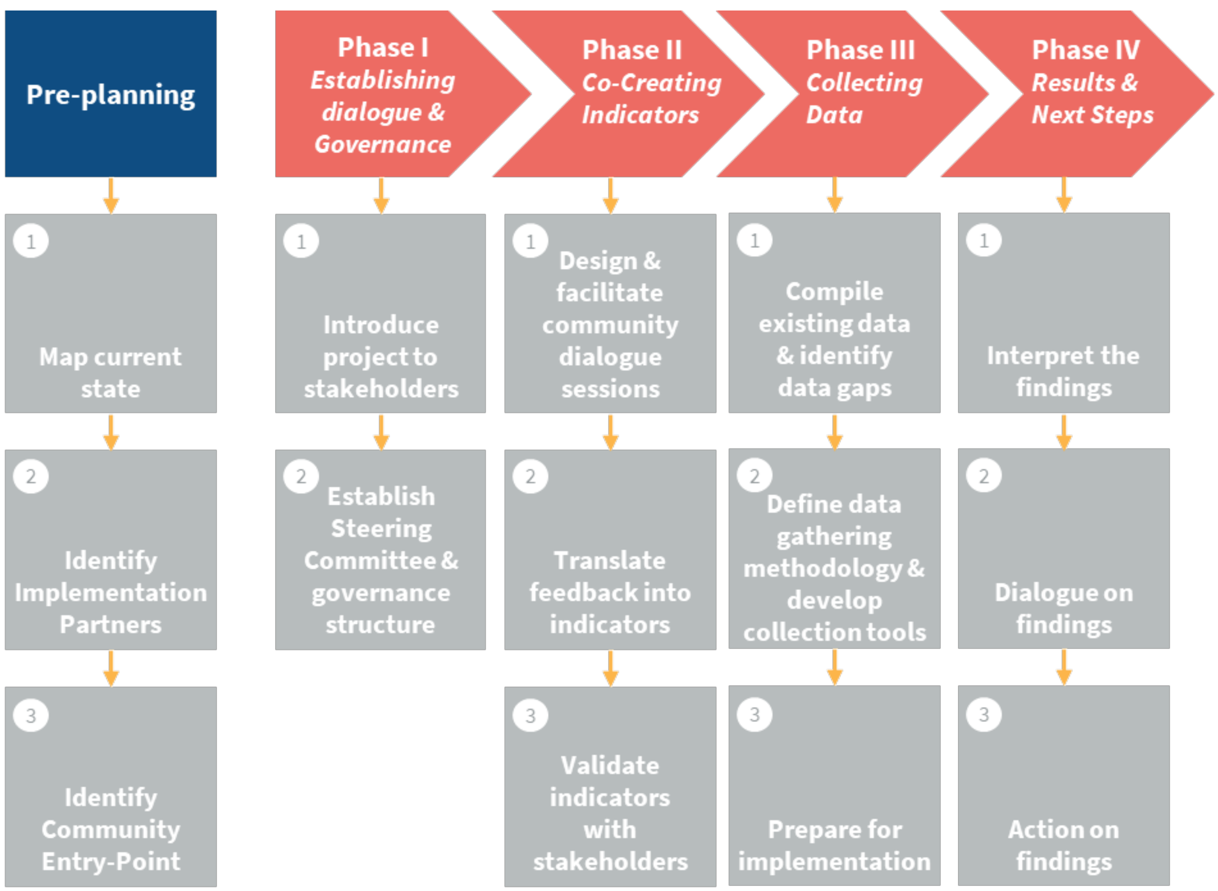
Entry Point: The ***Entry Point*** is the forum or mechanism through which the Framework is introduced to other stakeholders including the community. There may be existing initiatives in the community or region that have a similar process or objectives as the CommWell Framework, and could serve as the foundation or starting point for the CommWell process. It may be the community initiative itself that aligns with the CommWell Framework, or it may be the individuals involved that make it an ideal 'Entry Point'.

Data Users: Data that results from the CommWell Framework, should be disaggregated and accessible based on the needs of stakeholders involved in the process. ***Data Users*** may include companies, NGOs, government officials and agencies and community members.

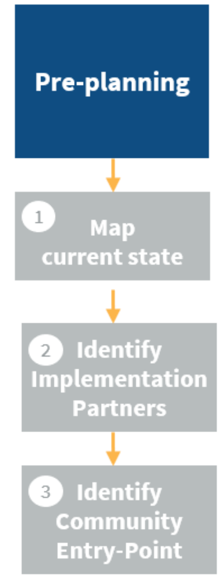
Overview of the Four Phases

The CommWell Framework is structured in four phases, detailed below, with an additional pre-planning phase specifically for Brokers.

Figure 2: Phases of the CommWell Framework



Phase 0. Pre-planning and analysis phase



The CommWell Framework supports a participative, multi-stakeholder process. However, the Framework needs to be introduced by an initial entity or ‘Broker’, such as the company, an NGO or community organization. The Broker will likely have to assume a leadership role at least in the early stages of the process. A Catalyst, such as a regional planning process, a new development program, an ESIA or simply the desire for better data, dialogue and decisions about community wellbeing may have prompted the Broker to initiate the Framework. The pre-planning and analysis phase has been included specifically for the Broker. The other phases of the CommWell Framework should be rolled out with the participation of community stakeholders and other partners.

The Pre-Planning Phase is designed to give the Broker some guidance on how the CommWell Framework could be introduced to the community and how it might be incorporated into existing initiatives or dialogue processes (the ‘Entry Point’). These are initial points for consideration only; the Framework is intended to be a participative or community-driven process and it is important to maintain flexibility in the project design.

As part of the Pre-planning and Analysis Phase, Brokers will need to consider how CommWell will be resourced. Specific questions should be answered:

- How do you characterize the current relationship between the Broker and local communities/stakeholders?
- Do the Broker staff/members have the requisite skills and/or experience to initiate this project?
- Who within the various organizations/groups will be responsible for their participation? What is their role? Do they have the resources and capacity?
- What financial resources are required to implement the Framework?

An Example of a 'Catalyst' and 'Broker':

Two Canadian NGOs, World University Service of Canada (WUSC) and the Center for International Studies and Cooperation (CECI) (the *Brokers*), have been working with local communities in three regions of Burkina Faso, Ghana and Guinea impacted by extractive industries. The West Africa Governance & Economic Sustainability in Extractive Areas (WAGES) project aims to empower local communities, and specifically integrate women and youth, to participate fully in local governance, economic opportunities and the sustainable development of these areas. The NGOs saw an opportunity to pilot CommWell as part of WAGES (the *Catalyst*) and received additional funding from International Development Research Canada to support this.

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Step 0.1 Map Current State

Objective

Develop an understanding of the following key elements:

- Stakeholders that could/should be involved in the implementation of the CommWell Framework and individuals or groups in the community that might have the capacity or interest to play a leadership role
- Dynamics and relationships between stakeholders
- Existing data and data collection processes
- Existing or planned community development planning processes (may or may not involve the company)
- Potential geographic scope for the CommWell Framework

Key Outputs

- Stakeholder map identifying project participants and potential Steering Committee members.

- Geographical map of the scope of communities to be included in well-being monitoring.
- List of options for the entry-point to introduce the process to key stakeholders.
- List/map of known or possible data sources relevant to well-being monitoring.

Key Considerations

This phase can be done by Broker alone or collaboratively with a sub-set of other stakeholders. This phase will help the Broker identify options for how the project could roll out, but decisions on these points will be made collaboratively with stakeholders during Phase I.

Description

1. Develop a stakeholder map

Based on current knowledge, identify and map out the key stakeholders with an interest and/or potential stake in this process and/or community development more broadly. The map should include company, community, NGO and government stakeholders. The community should be broken down into sub-groups including women, youth, disabled people, Indigenous Peoples, elders and racialized groups (for example). This map will help identify which organizations should be included in the process, including who (or what perspective) they represent and if they might be part of the Steering Committee. The goal should be to have a wide breadth and diversity of perspectives and experience on the Steering Committee. The map should also provide guidance on who (internally and externally) needs to be informed of the CommWell Framework process and whose buy-in needs to be secured. Finally, the map should identify existing groups and vehicles (community consultation committees, task forces, working groups, etc.) that could be involved and potentially serve as 'Entry Points' for the CommWell Framework. These groups might be connected to local mining initiatives, such as a social impact assessment, resettlement process, community investment group, etc., or these groups could be connected to community development initiatives, such as a municipal working group or village council. More guidance on this is provided in Step 3 of this phase.

2. Define options for geographic scope

One of the first questions to consider is which communities the process will involve. In other words, what is the geographic scope of the area that will be included in the measuring and monitoring of well-being indicators. The Broker should consider the existing geopolitical/administrative boundaries relevant to the area as well as the area of impact of the mining project. It should also take into account the area of interest and responsibility of other stakeholders and potential partners in the process. Communities, specifically Indigenous Peoples, that use the area but might not live year-round in the area must also be considered. The scope will of course have cost implications and will also inform which stakeholders need to be engaged, including local and regional governments.

3. Review available data sources

Identify any existing data sources that relate to community well-being indicators. For example, national census information might be disaggregated to provide insights. Likewise, provincial / district / state / municipal governments as well as hospitals, schools, law enforcement agencies and NGOs might have relevant data that could be useful to the process. An understanding of what is already available will help in determining what kind of data needs to be collected and may influence some of the co-created indicators selected for monitoring. Where possible, note what baseline data has already been collected by mining companies, for example, from a mining company's baseline study and/or ESIA.

4. Identify the Catalyst

The Catalyst is the event that inspires the ***Broker*** to initiate CommWell. This could be a regional planning process, a new development program, a community investment plan, an environmental and social impact assessment (ESIA), etc. The Catalyst may also simply be a desire to have better data, dialogue and decision-making about community wellbeing and sustainable development. Providing a clear understanding of the Catalyst, and how CommWell is connected, is an important part of bringing other stakeholders on board.

Community Development Requirement in Mining Law around the World

The Columbia Centre on Sustainable Investment has identified 38 countries globally where domestic laws relating to mining or occasionally business activities include requirements for community development, such as plans, agreements, funds or revenue sharing. Such requirements can be a Catalyst and/or an Entry Point for CommWell.

For more information see: CCSI's PDF here.

Step 0.2 Identify Implementation Partners

Objective

The objective of this step is to identify potential Implementing Partners for the process and basic administrative issues.

Key Outputs

- Agreement with Implementing Partner.
- Stakeholder engagement plan for initiating the process.

Key Considerations

It is possible to have more than one Implementing Partner, each with unique roles in the process. In this early stage, it will be important to differentiate those responsibilities.

Description

1. Assess the need for an Implementing Partner

The Implementing Partner (or partners) will be responsible for introducing the concept of the CommWell Framework to other stakeholder groups including, community groups and leaders (via the Entry Point to be identified in Step 3) and/or helping to establish and facilitate a Steering Committee. The partner(s) can also engage community members in defining indicators and coordinate the data collection and analysis process.

If the company is the Broker, then engaging a neutral third-party facilitator at this early stage can help remove the company from the center of the process. This is important to establishing a community-driven process that focuses on overall well-being, not solely on mine-related issues. While it is normal that the mine's impact on the community (negative or positive) will be a theme that is discussed throughout the CommWell process, the aim is to broaden the dialogue to a discussion about more general community well-being. Overall, the CommWell Framework is not intended to be a tool for measuring company impacts but rather to track and measure community well-being as well as any outcomes of mutually agreed programs and activities which contribute to local development.

2. Identify potential key Implementing Partners for the process

In considering potential Implementing Partners, the partners should assess experience and work in the region and technical expertise in participatory monitoring and surveys. Expertise in developing and tracking indicators is an asset. Strong relationships with community groups and representatives is an important benefit. It is fine to have a couple of people or agencies in different roles, so long as they are clear on responsibilities and coordination.

Implementing Partner Roles	Skill set / Attributes
Facilitation. The success of a participatory process depends on the facilitator(s) and their ability to generate productive dialogue (and move away from unproductive discussions) in a way that leaves all parties feeling their views have been taken into account.	• Ability to act and be perceived as acting neutrally • Experience facilitating community dialogue, translating dialogue into indicators
Coordination. This is a multi-faceted program with multiple stakeholders and numerous steps, which can fail if details are not well managed.	• Project Management Skills • High level of engagement/interest in CommWell • Existing relationships/experience in the region and contextual knowledge (helpful)
Technical Monitoring and Evaluation. The ability to design and conduct surveys in a way that ensures quality and consistency in the data and does not negatively influence perceptions is critical.	• Experience in participatory monitoring • Experience creating surveys and collecting and managing data
Capacity Building / Training. Technical and non-technical knowledge transfer will be important to ensure that the local owners of the process can continue data monitoring and analysis without the support of an Implementing Partner.	• Skills in training and capacity building
Communications and Engagement. An important aspect of the Framework is communication, information sharing and engagement. This is a central part of bringing multi-stakeholders together, but also sharing and understanding data results. Experience with community dialogue is an asset.	• Clear and concise communications • Organized and able to use local communications channels and languages • Understanding of community development

3. Provide training, review initial roles / responsibilities and budget and develop agreements.

Clarity and transparency are key to success when working with multiple partners and stakeholder groups. Some elements to consider are as follows:

Project Plan

The Broker (or Implementing Partner) should develop a clear project plan that is accessible to all parties involved in the implementation. This project plan should be regularly referenced and updated as a main record. This can feel redundant, especially to individuals who are intimately involved in the project. However, consistently revisiting and updating the project plan with all stakeholders is an effective way to center the group, keep everyone informed and provide opportunity for feedback and questions.

Agreements

Any agreement with a potential Implementing Partner should clarify the following:

- The purpose and desired outcomes
- Roles and expectations of each
- Key deliverables and/or activities and relevant timeline
- Data management and data ownership
- Overall project budget
- Participation stipends for community stakeholders (transportation, etc.)
- Budget/compensation for the Implementing Partner
- Guiding principles, including transparency, objectivity, and inclusivity
- Process for scope change.

Budget

One of the key administrative issues that should be considered early on is the budget. Although all budget implications may not be fully defined at this point, it is good to have a template that can be transparently reviewed throughout the process. See the Budget Template in Appendix C for an overview of what should be considered in a budgeting process for the CommWell Framework. Budgets as well as sources of funding should be made public.

Training

Provide Implementing Partner(s) with specific training on the CommWell Framework, the main objective(s) of implementing the CommWell Framework and, if required, the local context.

Tools and Resources in Appendix

Budget Template (Appendix C)

Tips on Planning a More Sustainable Project:

A United Nations Environment Programme (UNEP) report on lessons learned on mainstreaming projects to make them more sustainable (UNEP, 2009) identified six critical aspects of project design and implementation, namely:

- ***Project management structure*****:** involve appropriate institutions at the right level from the start of the project; start with sustainability in mind (integrate sustainability into the project planning; play to the strengths of the various partners
- ***Governance*****:** clarify roles and responsibilities, identify means to incorporate project recommendations; link project to similar initiatives
- ***Capacity building*****:** ensure institutional and administrative capacity of executing agencies
- ***Implementation*****:** be realistic when formulating the objectives and do not expect mainstreaming to occur automatically
- ***Financing*****:** local management structures and continuous involvement of partner institutions are critical to ongoing funding.
- ***Local conditions and infrastructure*****:** project results may be impacted by unanticipated changes in local conditions and emerging threats and emergencies.

Step 0.3. Define a Community Entry-Point

Objective

Consider possible Entry Points and determine the best option to introduce the CommWell Framework concept to key community stakeholders. This will involve:

- Considering existing dialogue forums
- Consulting key stakeholders
- Selecting the appropriate forum
- Developing a stakeholder engagement plan

Key Outputs

- Decision on what group to approach or process (new or existing) to use as the initial point of entry for the CommWell Framework.

Key Considerations

- At this stage in the process, an Implementing Partner could be taking more of a lead role.
- When selecting an Entry Point, also consider stakeholders who may need to be informed about the plans for such a process, including individuals internal to the Broker entity, company departments and the broader development-related stakeholders, such as local/regional leaders, development planners, agencies, etc.
- Although the CommWell Framework is not specifically a planning framework, the processes and data that emerge from it can be woven into an existing development planning process, or it can be considered as a precursor to a new development planning process. Keep this in mind when identifying potential Entry Points.

Description

There may be existing committees or forums - such as municipal or regional development councils and community development organizations - that could govern the CommWell Framework process, or there may be a need to create a new forum or committee for the CommWell Framework. The stakeholders involved with these existing groups would likely form the base of or help create a CommWell Framework Steering Committee and provide advice on the successful launch of the process.

Keep in mind that one of the primary objectives of the CommWell Framework is to encourage and reinforce community participation in planning decisions, and build relationships between stakeholders responsible for such plans – regional and/or local government, NGOs and other agencies. They should be engaged early and often.

1. Consider existing dialogue forums

Based on the groups/forums identified in the stakeholder mapping exercise, consider the mandate and weigh the risks and opportunities of each as an entry-point and possible basis for the Steering Committee. In particular, consider the following:

- The extent to which the group/forum is broadly representative of community stakeholders;
- How well the CommWell Framework could fit with their current mandate, structure and funding;
- The extent to which the existing group could modify its composition for the purpose of forming the CommWell Framework Steering Committee; and
- The likelihood of the group owning the process in the long-term and making use of the resulting data.

It may prove easier to tap into an existing community group/forum to initiate the introduction of the process to community stakeholders, as it would have an established working dynamic, structure and possibly a familiarity with the issues.

2. Consult key stakeholders

As part of your assessment, consider testing your proposal informally with key members of the existing or proposed group in advance. Seek their feedback and advice on how best to present CommWell Framework to a wider community audience.

3. Develop a stakeholder engagement plan for introducing the concept

The plan could be developed by the Implementing Partner, the company or both, and should be designed based on the identified Entry Point. This plan should encompass the engagement of any stakeholder who is associated with the entry-point for the project, as well as the broader community. Some questions to consider in the engagement plan are:

- Does it cover a representative range of demographics and vulnerable groups?
- How will you explain the idea? How you will approach the community and inform them of the well-being monitoring process?

- How could the CommWell Framework align with or enhance their existing objectives and activities?
- What tools will you bring with you to present the process? Will you discuss CommWell Framework in advance with any group members?

Assess the expectations of different stakeholders. As part of the stakeholder engagement plan, address risks and delineate key steps for developing and maintaining public trust. The plan should include key messages on the intended goals and outcomes of the CommWell Framework process, timelines and limitations.

An Example of a Community 'Entry Point':

Many areas where a mining project will be developed require regional plans on how development and any influx in local taxes/revenues will be managed.

For example, in Guinea, the mining code includes a provision for a local economic development fund of 1% of revenues from any operating mine (this was the Catalyst). The municipal prefecture manages this fund based on a Local Development Plan. A company piloting CommWell chose the municipal prefecture and its work on the Local Development Plan as its Entry Point.

Phase 1: Establishing Dialogue and Governance

Step 1.1. Introducing Project to Stakeholder

Objective

- Introduce the CommWell Framework to a range of key stakeholders and build community support for the process.

Key Outputs

- Agreement among various groups/ stakeholders to support and/or participate in the CommWell Framework process.

Key Considerations

The Broker or Implementing Partner can lead this phase. It is strongly recommended that the mining company refrain from leading this phase in order to avoid it becoming a company-driven process. If the mining company is the Broker, then the Implementing Partner can lead this effort.

As the Broker or Implementing Partner executes this step, keep the next step in mind: establishing a Steering Committee and general governance structure. Remember the ultimate goal is not speed, it is community involvement and eventual ownership of the process. Be patient; it may take longer than expected to build support and buy-in.

Some stakeholders may see the CommWell Framework as a source of risk – that their authority may be challenged or that the results may show them in an unfavourable light. Likewise, each stakeholder will have a different perspective on the potential value of the process and how the results should be used. During this initial phase these issues should be discussed and addressed. It is advisable to keep key stakeholder groups that are not directly involved, informed of progress and to identify opportunities for them to get involved later on.

Description

1. Initiate Dialogue

Based on the Stakeholder Engagement Plan developed in the Pre-Planning Phase, initiate dialogue through the selected Entry Point.

2. Describe the CommWell Framework Process

How the Framework is described to local stakeholders will be determined by local circumstances. However, there are a few key points that should always be considered:

- *Co-creating indicators through community dialogue:* It is important that stakeholders have a say in how "well-being" is defined and measured in their context. To ensure local ownership and relevance, the process aims to engage diverse community groups and local stakeholders to discuss definitions and measures of well-being. If the indicators are going to be used in future community planning, it is important that this process incorporate a broad perspective of views.
- *Managing expectations:* The framework is about taking stock of the current state of community well-being, with the ultimate purpose of improving future planning and prioritization of initiatives. As such, the CommWell Framework should not become a forum for project or donation requests – those discussions should be referred to the appropriate mechanisms.

At this stage, it is important to assess whether there is sufficient support for the project in order for it to move forward. While having general community support is important, active participation and a certain level of ownership over the process should be the goal. How this is measured will be different in every setting, but active participation by the community (in particular, leaders and/or development planners) in a Steering Committee should be considered the minimum requirement. More guidance on this topic is provided in the next sections.

Step 1.2. Establish a Steering Committee and Governance Structure

Objective

- Establish a Steering Committee that will oversee the process and ensure inclusivity and long-term community ownership. Determine with the Steering Committee how the process will be governed, as well as the roles, responsibilities and contributions of its members.
- If you are tapping into an existing committee or group to oversee this process, then the objective is to clarify the role of that group in steering the CommWell Framework process.

Key Outputs

- List of members in the Steering Committee.

- A Steering Committee agreement (such as a Memorandum of Understanding or Terms of Reference) outlining its mandate, structure, membership and responsibilities, as well as agreement on participation incentives (if necessary).

Key Considerations

At this point, a neutral third party (such as the Implementing Partner) would be best positioned to lead the process. This should help facilitate consensus-building around committee membership.

Determining who will be part of the Steering Committee is one of the most critical steps in the CommWell Framework. Local leaders and administrators will likely need to be involved in some way, as will local development planners, however, a Steering Committee should also strive to have a balance of perspectives.

Description

The role of the Steering Committee is to oversee and advise the process as it evolves and becomes incorporated into planning and decision-making at the local level.

The Steering Committee (SC) oversees the process of communicating with a broad set of stakeholders, selecting indicators, collecting and analyzing data, and communicating the significance of insights gained. The SC shares data and recommendations with decision-makers who are then able to act to improve community well-being.

1. Build a common understanding of SC membership

It is important that there is a clear understanding among stakeholders of the role of the SC and the importance of broad representation through its membership.

The Steering Committee should include various stakeholder representatives, such as:

- Government representatives (local, regional and/or national)
- Community members/leaders including representatives of any Indigenous People
- Representatives of community sub-groups including, women, youth, elders etc.
- Civil society
- Company representatives
- The Implementing Partner

If there is resistance to expanding the group or to including certain representatives, then return to the function of the Steering Committee, which is to govern a process overseeing community well-being, meaning it requires broad representation reflective of the community and local stakeholders.

2. Determine SC membership

Should any key stakeholders – as identified in the stakeholder mapping process and with the entry-point – not yet be represented at the table, determine who could be approached. Each prospective member should commit to serve for a set length of time on the Steering Committee.

3. Determining participation costs/stipends/ incentives

Participating in this type of process can mean that some participants incur costs that should be covered, including travel, accommodation, food, childcare or time. In some cases, local custom may mean that people expect compensation for participation. Research what the acceptable range of incentives or compensation is in the region. Consider who will manage the budget for covering costs and participation incentives.

4. Establish the mandate of the group

For an existing body or group, propose that the group reviews and revises the committee's current mandate or terms of reference (TOR) to reflect the needs of the process. For a new group, draft terms of reference or a memorandum of understanding (MOU) for discussion.

Whether within the TOR document or in another document (like an MOU), ensure that the purpose and role of the Steering Committee is clear. Certain basic principles of the MOU/TOR should be standardized, then during the first Steering Committee meeting, more detail can be added or amendments made. The MOU/ TOR should be kept on record and referred to frequently.

Whether for an existing or new group, the terms of reference or memorandum of understanding should clarify:

- The purpose of the group
- Guiding principles, including transparency, objectivity, and inclusivity
- Membership and specific roles and responsibilities (including of the Implementing Partner)
- Meeting procedures
- Project management team or staffing and commitment
- Communication and engagement protocol.

This process should be highly participatory and facilitated by a neutral third party (such as the Implementing Partner). This process is key to establishing buy-in and a sense of purpose and cohesion in the group.

5. Collaborate with local and regional authorities/leaders

By this point, discussions will likely have occurred with various regional authorities about the project. As one of the principal objectives of the process is to build regional capacity for defining, measuring and (eventually) planning around community well- being, it is in the best interest of the project to coordinate any sort of data collection efforts with those of regional authorities. Pulling them into the process can build capacity, and improve outcomes and general support for the project, especially at the Steering Committee level.

Phase 2: Co-Create Indicators

Step 2.1. Design & Facilitate Community Dialogue Sessions

Objective

- Design and facilitate dialogue sessions for community participants to provide input on well-being – what it means to them, how they define it, what their specific hopes are for community development, etc.

Key outputs

- Facilitation questions and contextually appropriate methodology
- Decisions on attendance, format, length and number of sessions
- Context specific messaging on how the concept of the CommWell Framework will be introduced and explained to the participating community members.

Key Considerations

An Implementing Partner or third-party facilitator should take the lead on this step of the process. To avoid the conversation revolving around the mining company's impacts, it is not recommended that the company lead the facilitation of this workshop(s), though it may be involved in other ways in this step.

Description

Co-creation workshops can be facilitated in many different ways. The information below provides some guidance on various considerations that have to be addressed in planning. Overall, the workshop should accomplish the following:

- Provide a collection of ideas/concepts of well-being for translation into indicators at a later phase.
- Facilitate a better understanding of how communities determine the state of well-being at a given point in time (i.e. what is well-being and how do you know when you have it).

- Ensure stakeholders feel that they are part of a process and that their input is respected and valued.
- Create interest in the process and the next steps.

Here are some of the major considerations/ decisions for the planning of this step:

1. Decide on workshop attendance, format, length and number of sessions

Who should attend?

Identify trusted individuals and community leaders who can help organize these dialogue session(s). These individuals may be formal leaders and informal leaders, such as school teachers, religious leaders, heads of economic associations, etc. Speak with them in advance of the larger community session and get their input on how it should be structured. Consider how to maximize diverse participation and how to encourage marginalized voices to be heard in the process. The planning of the workshop should address the additional barriers faced by individuals from groups or populations at heightened risk of vulnerability or marginalization. Participants should represent the diversity of the community. The greater the community participation at this step, the greater the chance of community ownership over the entire process going forward.

Is the process participatory?

The most important element at this stage is that the process is genuinely participatory and the ideas are community-driven. While it is unlikely that the entire community will participate, input should come from various groups of stakeholders (and not just community leaders) in order for it to be - and for it to be perceived as - legitimate.

The aim is to maximize both involvement and engagement throughout the sessions. Consider vulnerable groups and how to best capture their input. Decide if different stakeholder groups should be engaged separately or in larger, mixed group sessions. The Steering Committee (with input from other community leaders/groups) can help determine this.

What is the right format?

There are many different approaches to hosting a workshop and to getting the input that is needed to create indicators. Using a combination of different approaches is helpful and will likely yield the most comprehensive information and broad participation. Here are three examples of participatory methodologies:

- **Focus group (small workshops):** Facilitated group sessions that break down larger community groups into more manageable sizes. This typically encourages more input and more meaningful discussions than larger, town hall type meetings.
- **World Café (large workshop):** A version of a focus group session with multiple small group discussions taking place in a venue/ room at one time. Each group focuses on one specific topic for a short time and then they move to a different part of the venue/ room to discuss a different topic.
- **Key informant interviews (one-on-one):** Focused one-on-one interviews with a range of stakeholders. This can be a valuable addition to other group processes, but is not particularly efficient (in terms of use of time) or broadly inclusive.

Regardless of the format(s) chosen, it is important to explain to the community and stakeholders that the feedback from these sessions will be 'translated' into indicators. Depending on the context, capacity level, and interest level of the participants involved, community members may wish to be involved in this next step – the translation into indicators.

Length and number of workshops

Depending on the scope of the project (i.e. how many communities are involved and how large the communities are), multiple workshops may be needed. Even in small communities, multiple workshops may be necessary in order to incorporate input from various groups (e.g. youth, women, elders, etc.).

Discussing environmental indicators

The approach to co-defining environmental indicators will be similar to the rest, but should be modified slightly due to the specific nature of these types of indicators. Appendix E provides additional guidance on how to have a structured and productive session on community-identified environmental indicators.

2. Decide on approach for Step 2 – translation of indicators

As part of the planning for the workshop(s), it is important to think ahead about how the feedback from the session(s) will be translated into specific indicators. Two options are:

- **Option 1 – Small group or individual:** Taking the feedback from the session(s), a small group, such as the Implementing Partner (potentially in collaboration with other groups, like academic organizations or NGOs) or a qualified individual would work through the feedback, translating the ideas expressed in the workshop into specific indicators. The work then gets presented back to communities for validation.

- **Option 2 – Community developed:** Participants from the workshop actively participate in the process described above. While beneficial in building capacity and general support for the process, this approach will likely be more cumbersome, as it can be a relatively academic process and will require some level of input from a specialist in this field.

3. Decide how the concept will be introduced and explained to the broader group

Introducing the CommWell Framework

By this point, discussions on the CommWell Framework process and survey have likely already taken place with a number of important stakeholders. However, there may be many new people in the room for this workshop. From a transparency and trust perspective, participants should be aware of the broader framework being applied. As a general practice, providing context for the CommWell Framework process at the beginning of any meeting is an important way to make sure the purpose and process is well understood by all stakeholders. It may feel repetitive, but it is an effective way to build buy-in and trust and provide multiple opportunities for questions and discussion.

Example of the importance of framing the discussion on well-being

During a pilot in Ghana, facilitators organized community discussions on defining wellbeing in order to inform the identification of indicators and development priorities. Some members of the community questioned the need for a shared understanding of well-being as a precondition for the creation of a list of priority actions. Communities need to understand why the discussion on well-being is taking place and how this information can or will be used.

Clarifying the objectives

In many contexts, dialogue around community well-being can raise expectations for community development initiatives or community investments from the participating mining company. When opening these discussions, it is important to clarify that the objective is to define well-being from the perspective of the community and its members (recognizing that communities are not homogeneous) for the purpose of conducting a community-level survey. The survey will then be used to inform better community planning by all relevant stakeholders and actors. Participants should be reminded that the objective is not to develop a 'wish list' of community development projects.

How CommWell can help stakeholders report on SDGs

Tracking changes in CommWell indicators that align with the SDGs can provide insight into changes in the community over time. Likewise, comparing the data to other regions or national level data can provide insight on how the community in the mining context is doing relative to other places. CommWell intends to provide a snapshot of community well-being as defined by the community and is not designed to measure specific program / initiatives outcomes. However, actors may design their programs to influence specific SDGs that align, at least in part, with what is being measured by CommWell. CommWell data can also be used to inform program design and help measure outcomes.

4. Develop a facilitation guide and questions

In order to facilitate a productive session(s), a basic facilitation guide should be developed that outlines, at a minimum, the agenda and some questions to guide the conversation. It is recommended that the facilitator start with more open-ended questions and then progress to more specific or guided discussions about specific development themes – health, education, infrastructure, etc.

Facilitate open-ended discussion

Beginning with open-ended questions will allow for more unstructured feedback than what may emerge from specific thematic discussions. The results here will also provide a more unfiltered view of the community's concerns and priorities. These types of sessions can be more challenging to facilitate and the discussion may naturally focus solely on one or two priority issues. The facilitator(s) must actively manage the discussion to provide space to explore other important themes, while also ensuring different ideas and perspectives can be expressed. For samples of open-ended facilitation questions, see additional guidance on co-creating indicators in Appendix D

Facilitate specific thematic discussions

Based on what comes out of the broader discussion around well-being, group the feedback into the standard themes/categories (e.g., health, education, infrastructure, etc.) or the 17 SDGs (Sustainable Development Goals) and use a set of leading questions around each theme to get into more specific conversations. Additional guidance on the types of leading questions can be found in Appendix D.

5. Facilitate Session

Document feedback

Ensure that you are prepared to capture the information and discussion from the workshops and/or interviews. Depending on the approach you choose, as well as the literacy rates in the area, you may want to begin categorizing key points into themes by putting questions, comments and ideas on to flip charts or sticky notes on a wall. This type of documentation will be important in later stages to show the input from various stakeholder groups and again build trust and buy-in.

Manage expectations

This type of dialogue can raise expectations for community development initiatives or community investments by the participating mining company. As discussed in the section above on clarifying objectives, it is extremely important to explain that the objective is to define well-being from the perspective of the community, not to define a 'wish list' of development projects for the company to support. To avoid this, the discussion has to be actively managed by the facilitator.

Discuss next steps - translation of indicators

When clarifying the objectives at the beginning of the session, as well as at its conclusion, make sure that all participants are clear that the feedback they give will be translated into specific indicators (i.e. something that can be measured). It is also important for participants to understand that they will have an opportunity to hear what indicators are being proposed and provide feedback on them before they are finalized.

Tools and Resources in Appendix

- Facilitation Guide for Co-Creating Indicators (Appendix D)
- Facilitation Guide for Environmental Indicators (Appendix E)

Step 2.2. Translate Feedback into Indicators

Objective

Work through the community feedback, identifying and categorizing themes (a process already started in the previous step) and designing measurable indicators that can be incorporated into a survey.

Key Outputs

- A list of indicators to bring back to some (or all) community groups for validation, ensuring the indicators reflect what was articulated in the community feedback session(s).

Key Considerations

The group which facilitated the workshop will most likely manage this step as well. However, some professional input will likely be required by experts who have experience with development indicators.

This step may be challenging, as the volume of feedback will likely be quite large. There is no minimum or maximum number of co-created indicators that need to be developed, but the more indicators, the more time will be required for data collection and processing. As such, this step is about focusing on what issues are most important to communities and producing a reasonable number of indicators.

Description

1. Finalize who will be involved

As outlined in the previous step, it might be beneficial for the translation of indicators to be done by a small group or an individual with specialized knowledge in this field, rather than through broader community involvement. Both approaches have benefits and drawbacks. A hybrid approach between the two options can also be considered, where a small number of community participants are involved. Designing a small working group to participate directly in the development of the indicators and give immediate feedback on initial drafts will help produce a strong set of indicators before going back to the community for validation.

2. Develop the first draft of co-created indicators

There is no blueprint for translating dialogue and discussion into quantitative indicators, nor is there a specific target number of co-created indicators that should be developed. Feedback from the previous step should provide a sense of priorities and key measures of well-being.

The CommWell Framework provides a database of possible indicators that align with the United Nation's 17 Sustainable Development Goals (SDGs) as well as 9 categories of well-being: governance, civic engagement and culture, health, education, infrastructure, safety and security, environment, living standards and economy. While the selection of indicators from the database is not necessary, alignment with the 17 goals (see figure 5) can help:

- build buy-in for the process with certain stakeholder groups (e.g. regional and national governments, international organizations)
- integrate with other development and decision-making processes
- communicate changes to well-being with certain stakeholders.

Furthermore, ensuring that indicators cover each of the 17 SDGs or 9 categories is not necessary but can help to provide a holistic record of well-being that can be monitored over time.

Aligning with the SDGs can also support buy in from stakeholders that are invested in reporting on their contributions to and impacts on the SDGs, which is increasingly common for mining companies, regional governments, and NGOs.

Designing a good indicator means that it can be measured in the context of a community survey. The two key questions that need to be answered when designing indicators are:

- *How is it measured: What information/inputs would be needed to measure the proposed indicator?*
- *How is it collected: How can this information be collected in a local/regional context or what types of questions need to be asked to get the information?*

Finally, consider how indicators can incorporate an analysis of vulnerable groups using disaggregated data. By collecting data on age, gender, income, membership of a marginalized group, etc., analysis can be done to understand trends in community well-being among different vulnerable groups. Individuals from groups or populations at heightened risk of vulnerability or marginalization may face additional barriers to accessing and/or benefiting from development. Furthermore, who is vulnerable or at risk may change depending on the indicator. For example, an indicator on income in a community may show an upward trend, even though low-income households may be experiencing a lower standard of living. Information on different vulnerable groups can inform decisions on policy and program development. If some groups are left behind, then the resiliency and sustainability of community well-being is undermined.

Having a Holistic Understanding of Community Well-being:

Community well-being has many drivers. While these drivers may be weighted differently in each community, they often cover the diversity of the SDGs or the categories laid out in the CommWell Framework and adapted from the UN's Sustainable Livelihoods Framework: health, education, infrastructure, safety and security, environment, living standards, economy, governance and civic engagement and culture. By facilitating a dialogue around the SDGs or categories, you help capture a balanced view of community well-being.

Step 2.3. Validate Indicators with Stakeholders

Objective

Validate the indicators developed in the previous step with a wider group of community stakeholders.

Key Outputs

- A final draft of co-created indicators
- Finalized collection methods for new indicators.

Key Considerations

The group that facilitated Step 1 of this phase would likely facilitate this process as well. It is possible that this step will require several iterations and adequate time should be provided to hold more than one feedback session if it means greater support/buy-in from participants.

Description

1. Validate indicators with community participants

If the process of translating feedback into specific indicators is done with a smaller group of individuals, the indicators should be validated by a wider group of community stakeholders. Design a community feedback session(s) to achieve this, potentially using the same venue and stakeholders as in Step 1 of this phase. Some stakeholders may be more interested in how the indicators align with the SDGs while others may respond more to the general categories of well-being. In short, customize and adjust your facilitation of the session and presentation of indicators to best fit the audience.

2. Finalize the collection methods for the new indicators

Once the co-created indicators have been validated, finalize the set of questions and/ or data inputs that will be used to measure the new indicators. Those questions/inputs must be incorporated into the data collection methodology defined in the next phase.

As discussed in the previous step, when an indicator is proposed, determine exactly how the indicator would be measured (what information/inputs would be needed) and how that information would be collected (where can you find the information and/or what types of questions need to be asked to obtain it). Some other basic considerations are:

- ***Scope and sample size:*** How big of a sample is necessary for the data to be statistically significant? Is this something that should be measured on the local or regional level? Expert input on appropriate sample sizes may be necessary.
- ***Cost:*** Some indicators may be cost prohibitive, because information is too complicated or takes too long to collect. For purposes of transparency and trust, if an indicator is excluded for this reason, the rationale should be shared with the community.

Phase 3: Data Collection

Step 3.1. Compile Existing Data and Data Sources and Identify Gaps

Objective

- Compile all relevant existing data and data sources, and align them with the co-created indicators for the defined geographic scope of area for the survey.
- Identify what information needs to be collected and what can be re-purposed from other sources.

Key Outputs

- A list of required data to be collected at the household, community and regional level.
- A database to house quantitative and qualitative data and produce summary reports for analysis.

Key Considerations

This step requires some technical expertise in data collection and therefore might be led by the Implementing Partner, or by the Steering Committee with support from a third party specialized in surveys/data collection.

One of the key considerations will be the ‘housing’ and ‘ownership’ of the data. The company may have competencies in this area that can be utilized, but also consider how/if that could impact the ownership of this project by the community. It may be worth the time and cost to support the local/regional municipality or planning authority to develop its own data management system to fulfill this need.

Description

1. Review existing data sources

An initial list of available data sources should have been drafted in Phase 1. Revisit this list, and compare with the final list of co-created indicators. Depending on the state of data collection in the country, there may be a reasonable amount of regional (and possibly local) data that can be used. In some countries (or for some communities), there will be little to no data from external sources. When data is available locally or regionally, you may want to consider coordinating the timing of your data collection efforts with regional authorities.

2. Establish a database and data management system

The data collection process needs to be fed into a database. Ensure that you have a central location for inputting and managing information. A data management system should include a clear process for inputting data and for flagging any discrepancies or data quality issues. It should also include measures to secure the data and protect privacy.

Where the database will be housed is an important consideration. While a participating company may have the most competence in this area, consider the message this sends about the ownership of the project. For this reason, it is encouraged, where possible, to house the database in a more community-based location. Databases don't need to be complicated, but they will likely require more functionality than a simple excel spreadsheet. Important qualities to look for when collecting a database:

- **Flexible** – The system is designed to give the end-user and the system's administrator the capacity to manage, maintain and modify most of the components of the system.
- **Intuitive and user friendly** – Considering that deadlines can be tight and not all people accessing the database will have been trained, the system should ideally have an easy and intuitive user interphase.
- **Visual** – Visual reporting and mapping is valuable in conveying ideas.
- **Accessible** – In remote areas, there are many challenges to accessibility. Consider the advantages of local intranet versus the web – or, ideally, a system that can operate cross-platform. Desktop, tablet and mobile accessibility are possible through some software systems.
- **Secure** – Ensuring the security and integrity of data is paramount. Spreadsheet programs like Excel are not very secure as data can be changed by anyone who has access to it; whereas some software systems can create permissions for varied levels of access.
- **Cost** – Consider the pricing model of the software. Some are free, some have a one-off cost, and some have ongoing fees and/or fees for reporting, which can be prohibitive.

3. Collaborate with local and regional authorities

Discussions should have already been held with various regional authorities about the project as a whole. As one of the principal objectives of the project is to build regional capacity for defining, measuring and (eventually) planning around community well-being, it is in the best interests of the project to coordinate any data collection efforts with those of regional authorities. Engaging them in the process can improve capacity, outcomes and general support for the project.

4. Decide who will conduct data collection

Data will likely need to be collected from various sources, including third party sources (e.g. census databases and municipal governments), as well as through household surveys and other mechanisms (discussed above). A third party with specific experience in conducting surveys should be engaged to ensure that the data collection process will be seen as relatively neutral. It is important to ensure data collectors are adequately trained before commencing the process.

Step 3.2. Define Data Gathering Methodology and Develop Collection Tools

Objective

Define the methods that will be used in the data collection process and develop necessary data collection tools.

Key Outputs

- Data collection matrix outlining the data required for each well-being indicator, with the method(s) to be used to gather the data.
- Data gathering tools (e.g. household questionnaire).

Key Considerations

In this step, it is important that the lead actor be experienced in surveying and data collection (such as a consultant or academic), but that they also be perceived by the community as a relatively neutral party.

Description

1. Create data collection matrix

In consultation with the Steering Committee, prepare a data collection matrix that outlines the data required and the method(s) to be used to collect it (i.e., household survey, focus group, informant interview and/or community mapping).

Consider locally appropriate methods of data collection

Household surveys will likely be the most common approach to collecting the type of information required for this process, along with information from sources like schools, hospitals, and local/regional governments. However, there are other methods of data collection that can complement and enhance quantitative data to enrich the understanding of the local context – these may be community mapping (potentially very effective for environmental indicators) or focus group discussions. Community mapping is a participatory, physical mapping of a given area in order to identify important physical areas, items and issues – it is a hands-on way of facilitating discussions around material issues.

2. Design survey questionnaire

Many of the co-created indicators will be measured through a household survey. Consider how data might be disaggregated to analyze well-being of different community groups, specifically Indigenous Peoples, women and girl, national or ethnic minorities, religious and linguistic groups, children, persons with disabilities, and migrant workers and their families. A sample household survey is included in Appendix F.

3. Determine sample size required

Calculate the sample size needed for the survey to ensure the sample is representative of the wider population. A good rule of thumb is that a sample size should generally result in a 5% margin of error. Expert input on appropriate sample sizes may be necessary.

Tools and Resources in Appendix

- Householder Survey Sample (Appendix F)

Step 3.3. Prepare for Implementation

Objective

- Ensure the survey team are well prepared for the data collection process and initiate the survey.

Key Outputs

- A detailed implementation plan approved by the Steering Committee
- Finalized survey instrument
- A communication strategy approved by the Steering Committee and then executed.

Key Considerations

It is not recommended that the company be overly involved in data collection as this could influence how participants respond to the questionnaire. Third party support will be required here, particularly if surveying is not a skill set held by the Implementing Partner.

Description

1. Develop an implementation plan, including a work plan, schedule and budget

The implementation plan should demonstrate how the household surveys and other forms of data collection will be undertaken and the results presented back to the communities. This includes:

- logistics (i.e., training, transportation, equipment, translation if required);
- data collection, data management system and inputting quality control;
- recruitment and training of enumerators (consider recruiting from participating communities);
- pre-test and finalization of survey instrument;
- feedback plan; and
- agreement on confidentiality.

The quality of your data starts with the preparation of good surveys, collection methods, and storage. Here are some tips on maintaining quality on key issues.

Data collection:

- Make all necessary arrangements to address logistic requirements for data collection, such as scheduling, appointments, transportation, catering, payments to participants in focus groups, etc.

- Establish data collection protocols (i.e., when to collect what, and how to do so).
- Establish quality assurance and quality control (QA/QC) protocols for data collection and input (i.e., when, how, and by whom is data quality reviewed).
- Conduct a practical training workshop with data collection agents and use real life examples to demonstrate how to implement tools and protocols.
- Test run (pilot) data collection tools and protocols to ensure they are effective, and make necessary adjustments before finalizing them.
- Provide supervision in the field and review the results each night to ensure data collection tools are being implemented correctly and that the data collection program has been well planned or is adjusted as necessary.
- Review data collection results to ensure that the tools are capturing information on all important social characteristics and activities of community members.

Data input:

- Consider using a specialized information management system to enter data. If not possible, make sure to establish an efficient excel database.
- Integrate QA/QC protocols to ensure data is collected and entered in a consistent format.
- Attempt to have data input clerks enter information into the database immediately after data collection.

Data storage:

Establish a protocol for filing electronic and physical copies of information. Consider how to ensure easy access and confidentiality, and address risks of losing information (fire, theft, etc.). Confidentiality is very important. Access to databases and files with attributed data (i.e. any ability to identify to whom the data is referring or which individual provided it) should be very limited. This information must always be kept secure. Unattributed data can be more widely accessible. Confidentiality must be part of the data management plan and reiterated continuously. Risks to confidentiality must be mitigated and monitored on an ongoing basis.

2. Prepare a communications plan

The plan should ensure participating communities understand the purpose of the process and are aware of the data collection and community feedback plan. The communications plan should be reviewed with the Steering Committee and other key people/ groups.

Phase 4: Results and Data

Step 4.1. Interpret the Findings

Objective

Make sure data is accurate and translated into information that community stakeholders/decision makers can use.

Key Outputs

- Disaggregated data (by sex, age, race and ethnicity)
- Analysis of differences in well-being for different demographics (age, ethnicity etc.)
- Organized set of key insights garnered from the data
- Audience-specific messaging and presentation of the results.

Key Considerations

Data analysis is a challenging task. The Implementing Partner(s) may have experience with data analysis and interpretation, but if not, third party assistance will likely be needed. It is not recommended that the company lead the interpretation of the results as it could influence how the community perceives and decides to use the data.

Description

There are many different ways to interpret data and again, experienced practitioners should be engaged for this step, so the guidance in this section is fairly light.

1. Scrub the data

Data hygiene refers to issues such as duplicate, incorrect or incomplete data. Quantitative electronic data are 'cleaned', most often at the data analysis stage in preparation for reporting. These procedures ensure that errors and gaps do not skew summaries of results (aggregated data).

2. Perform a gender / vulnerable group analysis of the data

It is widely acknowledged that women are key actors in economic and social development. Understanding how well-being evolves differently between genders is critical to development planning. The purpose of a gender analysis is to specifically identify and describe the ongoing gender dynamics and inequalities in the community, and to demonstrate how they affect well-being. The focus and unit of analysis is the gender dynamic or the relationship.

As this could be a controversial topic in some jurisdictions, the way the gender analysis is presented and explained will need to be context-specific. Perform any further disaggregated analyses of vulnerable groups that seems appropriate for the context.

3. Contextualize the data – look for key insights

Examine the results in terms of how they align or do not align with what is already known about well-being in the region. How do the results compare to national data or historical data if it exists? What major events or dynamics could have impacted the results? What aspects of well-being appear to be the weakest and the strongest? Based on dialogue throughout the process, do the results reflect the priorities and hot topics shared by the stakeholders involved?

While the first round of local data collection is intended as a baseline to which future years of data will be compared, with a bit of research, key insights should emerge from even this first round of data collection. Along with comparisons to national level data, sources like the UN Human Development Programme and UNICEF are great starting points to help contextualize survey results.

An Example of comparing data to answer the question, is a community in the mining context better off?

Kinross operates a mine in the city of Paracatu, Minas Gerais, Brazil. The mine is the largest employer and tax payer in the municipality and, through its local benefit footprint (jobs, procurement, taxes and community programs), has the capacity to influence overall development in the city. Until 2010, Brazil, with the support of the UNDP, measured the human development index (HDI) across all municipalities on a decadal scale. These data demonstrate how the HDI in Paracatu has improved at a faster rate than the state of Minas Gerais and the country as a whole. For reference, the mine started in 1987 and Kinross acquired full ownership in 2004.

4. Package/present data for different audiences

Different audiences will understand data in different ways. This is typically based on their level of familiarity and experience with indicator-based information and the cultural biases they may have on the issues being measured. It is important to present the information in a constructive and engaging way, and keep messages objective and de-politicized. Adapt information according to different audiences: which groups are you presenting the data to and what is the most relevant and appropriate way to engage them? Is there an opportunity to build capacity around data analysis and interpretation? For example, with community participants, the focus can be on describing and discussing the results with some visual aids and diagrams. Infographics may be more effective than an index. Use and adapt formats or successful tools from previous engagements when relevant.

Step 4.2. Dialogue on Findings

Objective

- Utilise the results of the study to spur discussion on the current and future state of well-being.

Key Outputs

- Facilitation questions to help generate discussion of results
- Workshop (and/or other forums) to discuss the results with various stakeholders
- Documentation of community stakeholder reactions to results of study.

Key Considerations

It is not recommended that the company lead the interpretation of the results as it could influence how the community perceives and decides to use the data. Ideally, the Steering Committee would be heavily involved in this step with support from the Implementing Partner, an NGO or another external third party.

Description

1. Develop workshop facilitation approach and begin validation of results

Preparation for this step begins in Step 1 of this phase and should conclude with the development of questions. Looking at each of the key results, the discussion with the community should touch on the following points:

- What do we think this result means? Why do you think it is low/high?

- Given what the data is saying, what do we think is going well? What are the opportunities for improvement?
- Do these relate to the vision we established earlier for community well-being?
- What are the key factors that impact/ influence this result (for each prioritized result)? What indicators (or issues) would we like to see improved?

The facilitator should always be cognizant of the need to manage expectations. In particular, the facilitator should refer back to the goal and objectives of the CommWell Framework: to measure and monitor community well-being in order to inform decision making on development programming and planning amongst the community and stakeholders. It should be made clear that the data does not imply a promise for specific changes, but rather allows for better insight into what the community could prioritize as important areas for development.

Example of measuring community wellbeing & contribution to the SDGs

In communities near the Tasiast mine in Mauritania, Kinross has conducted detailed socio-economic and perception surveys on a regular basis (3-to-5-year periodicity), implemented by independent experts. The surveys cover a wide range of social, economic, and environmental metrics, including metrics from CommWell version 1.0. Contextualizing these metrics within the umbrella of the relevant SDG sub-goals provides a means of communicating these results to a wider audience, which is important for demonstrating progress. Data related to SDG 1 reveals that poverty levels in the local community, measured by daily expenditure per capita, have declined from 28% in 2011 to 6% in 2017, meeting SDG target 1.2: reduce at least by half the proportion of people living in poverty by 2030.

2. Begin identifying themes

Feedback from this workshop may bring to light new themes, issues, priorities and concerns.

It may also serve to confirm some of the positions expressed during the step of co-creating indicators (Phase II). Typically, people want to discuss actions on findings (i.e., how do we fix this problem) as they are presented. This type of conversation has to be carefully navigated, as it is important to summarize feedback (which can ultimately be filtered into appropriate planning groups and processes), but not to get deep into planning discussions. Remain within the scope of the project.

3. Follow-up report

After discussing the results, follow-up the first report with a second report that includes community and Steering Committee interpretations and feedback (i.e., from Step 2.b). This will ensure that a fulsome understanding of the status of well-being is documented for reference during the next data collection period. Think about how to ensure various Data Users can have access to the report and identify barriers to access.

Step 4.3. Action on Findings

Objective

- Ensure continuation of the dialogue on and measurement of community well-being.
- Ensure findings from data inform key decisions.

Key Outputs

- Summary of findings and recommendations for municipal/community planning
- Data storage plan and agreement between the Implementing Partner and the ‘owner’ of the process going forward (it is possible that the Implementing Partner will continue to own the process)
- Action Plan with roles and responsibilities for the next data collection process
- List of roles and responsibilities for those who will be advocating for and acting on the findings (if applicable).

Key Considerations

The CommWell Framework is not a one-time exercise.

The most critical part of closing out the project is establishing agreements to continue the process and to ensure data-collection reoccurs. The Steering Committee should take a role in ensuring accountability for future data collection and would most likely lead this step.

Description

1. Develop key recommendations from summary report

Based on the dialogue and analysis in the previous step, the Steering Committee summarizes the findings of the study, how the results were received by stakeholders, and provides a set of key recommendations or areas of focus for local development planning. This could be presented to an existing regional or municipal planning body, or be used by the Steering Committee itself. See Figure 3 and Figure 4.

2. Reconfirm the data storage plan

This should already have been agreed upon in Phase II, but it is critical enough to discuss again; determine if the group housing the data has the necessary capacity to protect and maintain the data. If the company has been providing support services in this area, this would be the appropriate time to put an action plan in place to facilitate the housing of the data within an appropriate authority/planning body. This could be a lengthy capacity-building process, but should be approached as an important part of communities managing their own development. Be clear also on how Data Users can access the unattributed data.

3. Establishing agreement on roles, responsibilities and the future of CommWell

The Implementing Partner and the Steering Committee need to determine ongoing roles and responsibilities going forward. The following key questions need to be answered when agreeing on next steps:

- Who will measure and monitor the indicators in the future?
- Who owns the process at this point?
- Where will the funding come from?
- When will data be collected again?
- What kind of engagement can take place between this point and the next round of data collection?
- How can this data inform decision-making? Are there any action plans resulting from this?

The frequency with which the data are collected will be determined uniquely in every context. Necessity and sustainability based on capacity and budgets will be key considerations in planning. For cost purposes, every 2-3 years is suggested as a minimum time between data collection periods, while for consistency purposes it is not recommended that more than five years elapse between data collection periods. Data collection periods may also shift, depending on the phase of the mining project and the needs / circumstances of the community. There may also be some indicators that are deemed by stakeholders to be extremely important and could therefore be monitored on a more frequent basis, such as monthly, quarterly or annually.

What are some of the opportunities to leverage the CommWell Framework data and process to inform decision-making?

While the CommWell Framework aims to provide better data through a process of dialogue and collaboration, the Framework can also influence planning processes. Various stakeholders are responsible for specific decisions and actions that can affect community well-being, and which can benefit greatly from improved data and dialogue with stakeholders. Furthermore, adopting a collaborative model for decision-making related to community-wellbeing can lead to greater buy-in, sustainability and results. Figure 3 shows decisions / activities by various actors that influence community well-being and that present an opportunity for a more integrated approach.

There are many options for how different stakeholders can work together on community well-being initiatives, ranging from informal dialogue right through to formal mergers (see Figure 4 below). The 17th Goal of the SDGs is around Partnerships: "Strengthen the means of implementation and revitalize the global partnership for sustainable development".

Figure 3: Opportunities for collaborative and integrated decision-making in areas that can influence community well-being

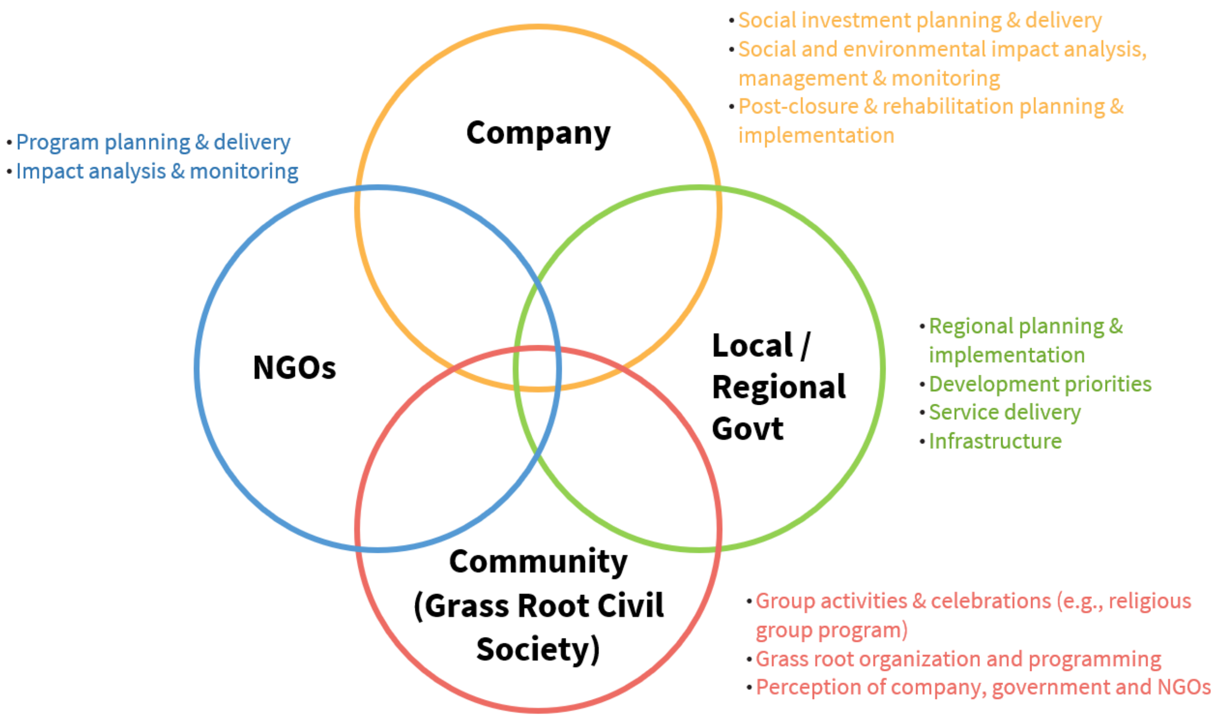

Figure 4: Increasing level of interconnection and potential for value creation (The Partnering Initiative, 2017).

Examples of How the CommWell Framework Informed Development Decisions

GHANA: In Ghana, a working group that included a wide range of representatives, including of key institutions, community leaders and marginalised constituents in the society such as youth and women oversaw the implementation of the Beyond Zero Harm (now called CommWell) framework. They facilitated community discussions on community wellbeing which informed the identification of indicators and development priorities. Institutional partners, including the regional government and mining company, included these priorities in their development planning, and supported the construction of a community market, the revival of communal labour, the construction of gutters, and access to loans by some female traders.

GUINEA: The commune of Sangarédi needed to update its Local Development Plan and invited the local Beyond Zero Harm (CommWell) Working Group to be part of the process, which includes a Local Socio-Economic Diagnosis, the planning and prioritizing of actions, and the implementation, monitoring and evaluation of the plan.

BURKINA FASO: In the third research cycle around Community Well-being, facilitators led community dialogue to identify eight priority actions specifically aimed at improving the well-being of youth and women in the community and the overall well-being of the Bagassi population. The Municipality of Bagassi has integrated these priority actions into the Local Development Plan. The Municipality has also officially assigned the BZH (now CommWell) Working Group a consultative role in monitoring the implementation of these integrated priority actions, providing advice regarding the well-being of the population in the municipality. (See full WAGES reports here)

Case study on sustainability:

Based on a pilot in Ghana, four main factors emerged as critical in influencing the sustainability of the initiative beyond the pilot phase:

1. **Availability of funds to finance some of the activities of the Beyond Zero Harm Working Group (BWG), administrative and otherwise;**
2. **Continued support extended to the initiative by key institutional stakeholders such as the local government and the traditional authority;**
3. **Continued commitment of members of the BWG given that the initiative is largely voluntary without any form of financial remuneration; and**
4. **Demonstrable progress of the BWG in terms of achieving development priorities.**

The following recommendations were made to enhance the chances that the BZH framework will continue to be implemented post the pilot phase:

- **An arrangement should be made by the key institutional stakeholders, including local government, mines, and traditional authority, to accommodate certain expenditures of the BWG;**
- **These key institutional stakeholders must also commit to provide wider non-financial support implementation of the initiative beyond the pilot phase;**
- **Community representatives on the BWG must be encouraged to commit to implementation of the initiative beyond the pilot phase; and**
- **Institutional stakeholders sponsoring the execution of some priorities (such as the market, recreational centre, and new health centre) must be encouraged to expedite the construction of these facilities to demonstrate tangible results and give a boost to the BWG and the framework. (See full WAGES report here)**

Appendix A | Identifying Indicators

The following offers some tips for the process of selecting indicators that reflect a community's vision of well-being:

1. **Consistency with the SDGs or Other Global Indices:** The SDGs framework includes indicators that can be used in this process. The CommWell database includes the SDG indicators that are potentially relevant at the community level. You may also want to create your own indicators that better reflect the community's vision and these can also align with the 17 Goals. Global indices can provide inspiration when creating indicators. Generally, the more frequently an indicator appears in various indices validates its credibility as a legitimate and effective indictor of well-being. It also significantly increases the likelihood that that data would be collected (at a minimum) at the national level, making local – national comparisons possible.

2. **Outcome / Impact:** Identify indicators that are indicative of broad scale change and not simply inputs/outputs from specific and targeted community investments.

3. **Cost:** Cost prohibitive indicators significantly hinder the likelihood of adoption of the framework.

4. **Mining-Relevant:** Although the focus is on getting a balanced picture of well-being of communities, indicators that are more likely to be influenced by a mining project (positively or negatively) can be given slightly more weight.

5. **Feasibility:** The likelihood that the indicator could be collected in any setting.

6. **Simplicity:** Indicators that are relatively straightforward to measure, analyze and understand increase the likelihood of adoption and the general usability of the data.

7. **Stability/Longevity:** Indicators that provide a view of a sustained or sustainable change rather than ones that are overly volatile to basic stimulus.

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SDG & Mining Resources

SDG and mining document	Agency	Description
Mapping Mining to the SDGs: An Atlas	United Nations Development Programme, World Economic Forum, Columbia Center on Sustainable Investments and Sustainable Development Solutions Network	Illustrates how mining can contribute to the achievement of the Sustainable Development Goals (SDGs): • Maps its roles, responsibilities and opportunities across the 17 Sustainable Development Goals; • Demonstrates how the mining industry can ensure that social and economic benefits of mining are widely shared and environmental impacts minimized; • Maps the relationship between mining industry and the SDGs by using examples of good practice in the industry and existing knowledge and resources in sustainable development.
Mining and the SDGs: a 2020 status update	Responsible Mining Foundation	Status update of what large-scale mining companies are currently doing to integrate the SDGs into their business strategies and to take proactive measures that will help deliver these Goals.
Mining and the SDGs: How to address the materiality mismatch?	Responsible Mining Foundation	Examination of mining companies' reporting on the SDGs and the strategic steps they can take to fulfill their considerable potential to help deliver the SDGs.
Responsible Mining Index Report & Methodology	Responsible Mining Foundation	An evidence-based assessment of the economic, environmental, social and governance (EESG) policies and practices of large, globally-dispersed mining companies, focused on economic development, business conduct, lifecycle management, community wellbeing, working conditions and environmental responsibility – with gender and human rights issues integrated throughout the report. Includes assessment of contributions to the Sustainable Development Goals (SDGs).

Other Helpful Resources

SDG and mining document	Agency	Description
Mine Site Assessment Tool	Responsible Mining Foundation	A set of questions is intended as a starting point to constructive engagement at any mine site, big or small, and for local communities, civil society, workers, trade unions, local government and others wishing to engage in a constructive way on what one can reasonably expect from mine sites in most environments.
Collaboration for the SDGs: Exploring the Support System for Effective Partnering	The Partnership Initiative	While not mining specific, this document states that the "SDGs explicitly acknowledge the interconnectedness of the prosperity of business, the prosperity of society and the prosperity of the environment" and provides a framework for "holistic, multiple-issue partnerships that can address the complexity of interlinked goals at the country or local level. "
Requirements For Community Development In Mining Laws	Columbia Center on Sustainable Investments	Investments in extractive industries, agriculture and forestry often include processes for sharing benefits with, or fostering development of, project-affected communities. The database includes a portfolio of activities regarding community development requirements and CDAs that includes best practices and a repository of publicly available Community Development Agreements (CDAs).
West Africa Governance & Economic Sustainability in Extractive Areas (WAGES)	World University Service of Canada (WUSC) and the Center for International Studies and Cooperation (CECI)	WAGES works with local communities in three regions of Burkina Faso, Ghana and Guinea impacted by extractive industries. The project aims to empower local communities, and specifically integrate women and youth, to participate fully in local governance, economic opportunities and the sustainable development of these areas. The project collaborates with local and national governments, select mining companies, as well as small and medium-sized businesses and civil society organizations to attain those objectives. Through their work, they have published many thought pieces on mining and community development.

Appendix C | Sample Budget Template

	# of units	Unit Price	Cost
STEERING COMMITTEE			
Stipends			$-
Meeting space			$-
Transportation			$-
Food/drinks			$-
Sub total			$-
This should cover all engagements, starting in Phase 1, through to Phase 4. It may also include an allowance for ongoing occasional meetings after Phase 4 to continue to promote the work and plan monitoring process.			
WORKSHOPS / FOCUS GROUPS / KEY INFORMANT INTERVIEWS			
Meeting space			$-
Stipends			$-
Facilitator			$-
Paper / special supplies			$-
Transportation			$-
Food/drink			$-
Sub total			$-
This should include at least 3 workshops with community stakeholders: envisioning community wellbeing (Phase 2), confirming indicators (Phase 2), reporting back on findings (Phase 4). Note that you might hold separate workshops for different stakeholder groups for each of these engagement points.			
QUANTITATIVE DATA COLLECTION			
Survey team lead			$-
Surveyors			$-
Transportation in field			$-
Training of team - food			$-
Training of team - meeting space			$-
Training of team - stipend			$-
Training of team - transportation			$-
Data input administrators			$-
Sub total			$-
This should cover full cost of data collection and input for the CommWell framework (Phase 3).			

	# of units	Unit Price	Cost
ITC + ADMINISTRATION			
Telephones / cell phones			$-
Internet			$-
Computers / laptops			$-
Database system			$-
Ongoing data storage			$-
Printing / photocopies			$-
Graphic design work			$-
Supplies			$-
Work space			$-
Sub total			$-
This should cover all admin, communications and technology costs for the CommWell framework.			
PARTICIPATION OF STAFF/CONSULTANTS/OTHERS NOT LOCATED AT SITE			
Flights/ transportation to site			$-
Per diem			$-
Lodging			$-
Consultant fees			$-
Sub total			$-
Staff from a Regional or Corporate office may participate in the CommWell process. Consultants may be need to be engaged as the “Implementing Partner” or to support specific pieces of work (like data analysis, workshop facilitation and stakeholder engagement, or data collection oversight).			
TOTAL BUDGET			**$-**

Appendix D | Facilitation Guide

Facilitation Guide

This appendix is designed to offer guidance for facilitating the co-creation of indicators. It is important to note that depending on the scale of the Framework implementation, you may need to consider running this workshop a number of times so as to involve a sufficient number and representation of community members (i.e., adequate geographic, gender, ethnic representation, etc.). It may also be important to consider whether separate sessions are necessary for particular groups given the socio-political context.

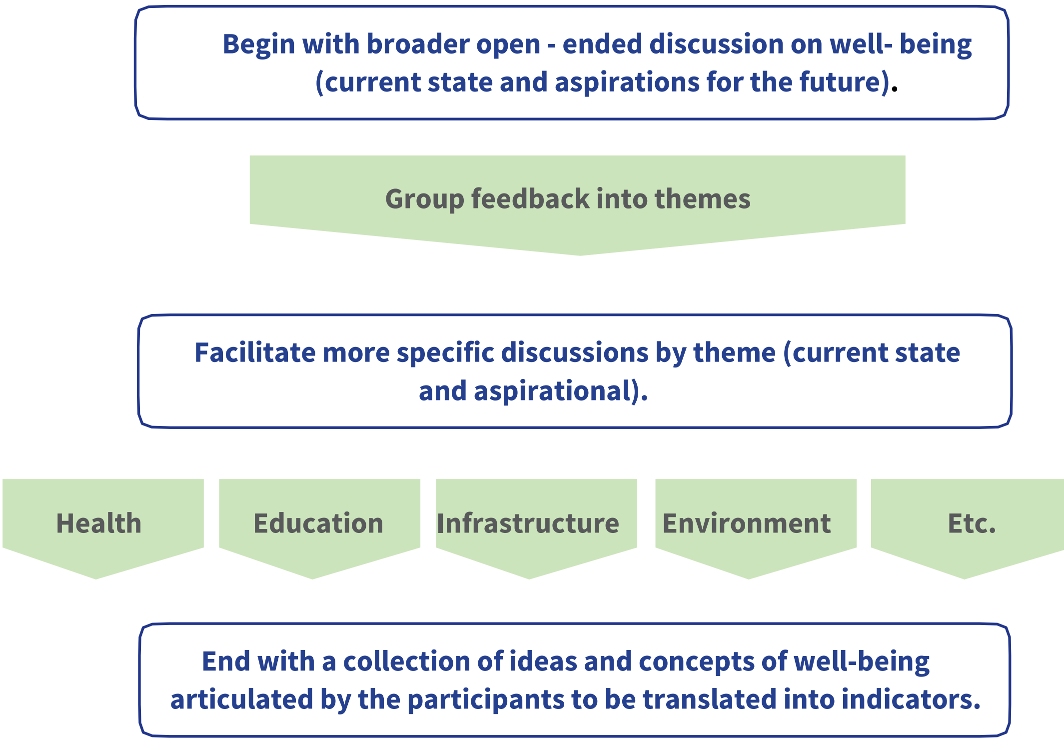
Overview

By the end of this workshop, you will have accomplished the following:

- Collected ideas/concepts of well-being
- Developed a better understanding of how communities determine the state of well-being at a given point in time (i.e., what is well-being and how do you know when you have it)
- Ensured stakeholders feel that they are part of a process and that their input is respected and valued
- Created interest in the process and the next steps.

Community Representatives: Volunteers, typically part of other development discussions at the community level; participants in local governance processes; and focus groups comprised of an inclusive cross-section of the community (i.e., women and youth organizations, socio-professional groups, marginalized and vulnerable groups, etc.).

Suggested Approach:



Facilitators: recommend the workshop has an overall facilitator, a note taker, and additional facilitators identified who can assist with breakout sessions

Materials: Flip charts (3); markers, tape

Suggested Agenda:

1. Introduction - Overview & Objectives
2. Open-Ended Questions
3. Grouping of Themes
4. Thematic Discussion
5. Feedback & Next Steps

Guidance

1. Introduction: Overview & Objectives

Describe the CommWell Framework Process in general terms, focusing on:

- How the CommWell Framework works and its purpose
- How the Framework co-creates indicators (i.e., community specific / community defined) through a process that brings together many or all of the relevant local and regional stakeholders.

2. Purpose of CommWell Framework

To start (or improve) the monitoring of community well-being, with the intention of using the data for better dialogue and planning on community development by all of the various stakeholders involved.

3. Purpose of This Session

To begin the process of co-creating locally- relevant indicators. In other words, for the community to define what unique well-being issues can and should be measured. The goal of the session is to produce specific feedback, which can (later) be translated into indicators.

4. What the Session Isn't About

Although the company is involved as an interested party, this session is not about creating a list of priorities for funding. Similarly, this session isn't about creating or evaluating specific community development programs. This is one of the reasons it will be important for there to be an objective, third party facilitator as opposed to having staff of the mining company facilitate.

5. Who is involved

Provide an overview of the Steering Committee, who has been involved to date and where the initiative was started.

6. Agenda

Provide a basic overview of the how the day will work – moving from broader discussion to more focused discussion around development themes/areas, such as education, health, infrastructure, etc. The role of the facilitator will be to stimulate and guide discussion and work towards getting as specific as possible feedback as possible, in order to be able to create indicators (in the next step, likely not in the same day or days in which this workshop is held).

7. Open-Ended Discussion on Well-Being

The purpose of this session is to encourage brainstorming and the expression of ideas/feedback that might not be perfectly captured in more specific thematic discussions which will come later. It is important to begin with the open-ended approach to avoid steering the conversation in any particular direction. Open-ended questions also allow participants to 'warm up' to ideas around community well-being (i.e., what is important to them) before getting into specifics thematic discussions about health, education, infrastructure, etc.

Form Small Groups

Small groups make for better discussion and more feedback. Groups of 5 – 10 are an ideal size to balance the volume of feedback with the quality of discussion. Explain the process to the group (read the 3 steps below) and designate a 'recorder' for the group, i.e., someone who can report back to the broader group with the major themes.

Begin Questions

It may be difficult to start the discussion, below are a sample of questions that can be chosen to help stimulate the dialogue.

Sample Facilitation Questions:

Current State

- **What is "well-being" for this community?**
- **What is important to you?**
- **What is going well in the community today? What isn't going well?**

"Aspirational, forward looking"

- **What are your hopes/concerns for the future of your community? Hopes for your children?**
- **Flip forward 20 years and describe the community in terms of results/examples**
- **What does "success" look like for this community?**

8. Report back

When some (or all) of the questions are covered, or after 1+ hour of conversation, groups should then report back to the broader group about their major themes of discussion.

9. Document Feedback

As feedback is coming in, be sure to summarize as much of the feedback as possible (on flip charts). Documentation allows participants to feel acknowledged (and they will continue to participate more) and will allow for better management of the session in general.

10. Grouping of Themes

Overview: In order to get community feedback that is specific enough to be able to turn into indicators, the more general feedback will have to be grouped into categories or themes. This can be done by the facilitator in between the open-ended session and the thematic session (lunch break or in between days). You can use the themes laid out below. If these don't exactly capture the feedback from the session, create more categories.

- Governance
- Civic Engagement & Culture
- Health
- Education
- Environment
- Infrastructure
- Safety & Security
- Living Standards
- Economy

Alternatively, you could choose to facilitate the session according to the 17 SDG themes (see Figure 5).

Facilitation Tip:

Colour code comments (using markers or post it notes) for each theme during the open-ended discussions. Grouping the feedback into themes during the break will be much quicker.

Figure 5: UN Sustainable Development Goals

11. Break

Use the break to begin categorizing the feedback. Some feedback may fit into more than one category.

12. Get Feedback on the Results of the Grouping

Before proceeding into more specific discussions, show the group how their comments have been grouped. While there may not be 100% agreement on how things are grouped, it's important to review it with the group and see if there are any major concerns.

The broad discussions may not have touched on all of the SDGs or categories but the facilitator can show which ones they did cover and seek feedback. The facilitator can then ask if they would like to add anything under the other SDGs or other categories. Having a balanced understanding of community well-being is important.

13. Thematic Discussion

Overview: Assign each table a different category (e.g., living standards, health, education, etc.) and ask participants to pick a table/theme for discussion, indicating that they will get a chance to rotate to different tables. Each table should have a facilitator.

14. Form small groups for each theme

Designate 4 – 6 discussion areas to cover different thematic areas (e.g., health, education, economy, etc.). Indicate to participants to choose a discussion area. Each group will cover a different theme for ~30 minutes and then switch to one of the other discussion areas of their choice. Each participate will get a chance to discuss 2 or 3 topics. Facilitation guidance is provided below.

Facilitation Tip:

The facilitator's job is to encourage participants to get more and more specific on their responses. For example, if participants are discussing jobs (during the Economy discussion), the facilitator should explore around what kinds of employment are considered 'good'? i.e., is waged labor or self- employment preferred in the community and why?

Appendix E | Facilitation Guide for Environmental Indicators

Introduction

Background: The following guide provides a structured approach for facilitating a workshop(s) for the co-creation of Environmental Indicators. The guideline is generally based on an ecosystem goods and services approach to understanding the environment and was develop with extensive input and guidance from both (mining) industry and non-industry environmental experts.

This guidance is based on the following thematic areas of environmental well-being:

- State of the Environment and the Provisional Ecosystem;
- Resiliency to Environmental Events and Stresses; and
- Impact of Human Activity on the Natural Environment.

Environmental health is core to community well-being. So even though these general themes will be turned into specific indicators during Phase 2.1 Co-Creation of Indicators, these placeholders are included in the Core Indicators list to ensure that environmental indicators of well-being are thoroughly discussed.

This facilitation guide is designed to help deliver a community workshop(s) that will turn these themes into specific indicators. Although this workshop(s) coincides with the rest of the co-creation process, this facilitation guide differs from the general facilitation guide for Phase 2.1. Why? Simply put, understanding community environmental health can be complex and requires more structured guidance to arrive at ‘good’ indicators.

The Process: This facilitation guide was designed for a one or two-day session in a community, which may be repeated in other neighboring communities participating in the CommWell Framework process. The workshop(s) may end up producing more than just one specific indicator. That’s OK, additional indicators can be added to the general list of Co-created Indicators. A basic prioritization process at the end of this facilitation guide will help single out the most important indicator in each category to be added to the list of core indicators.

Number of Participants: This session is designed for 10 – 30 participants. Larger groups can be better facilitated/managed by breaking into smaller focus groups of 5-10 people each.

Community Representatives: Volunteers, who are typically part of other development discussions at the community level; participants in local governance processes; and focus groups made up of women and youth organizations.

Facilitators: The number of facilitators will depend on the size of the group. Whether facilitating or acting in an assistance role, having someone with expertise in environmental science for this session(s) will be of critical importance to help inform and guide the conversation.

Materials

Flip charts (3); markers, tape.

The thematic areas and the SDGs:

Six SDGs focus on environmental issues or have significant environmental components:

7 – Affordable and clean energy

11 – Sustainable cities and communities

12 – Responsible consumption and production

13 – Climate Action

14 – Life below water

15 – Life on land.

The three thematic areas of this guide cover these SDGs. The facilitator can further tailor the questions for the workshop to probe more specifically around the SDGs.

Part 1: State of the Environment and the Provisional Ecosystem

What aspects of the natural environment are most important to the community?

Y/N	A. Which of the following are applicable?	B. How would you describe or measure this?	C. How to tell whether this is getting better or worse?
	Crops (areas cultivated for food or cash)	Are there maps for where this occurs? Location(s), area (extent)	Quantity: yield, tonnage, height, volume, frequency, flow, depth, …
	Livestock (pasture)		
	Water (used for drinking, bathing, irrigation)		
	Groundwater		
	Fishing (wild)	Does anyone have data on how much this occurs? Quantity: yield, weight, height, volume, frequency, depth, …	
	Aquaculture (fish, shellfish, etc. bred in ponds etc.)		
	Hunting (small or large game, fowl, other)		
	Gathering (collecting mushrooms, nuts, etc.)	Who uses this? Everyone? Some? A few? Some vulnerable groups?	
	Timber (natural forest or plantation)		Quality: color, taste, odor, clarity, …
	Fiber and resins (non-wood, non-fuel fibers)		
	Animal skins (cattle, deer, pigs, snakes, other)	How important is it? Critical need? Important, but can be replaced? Optional / non-essential?	
	Sand (from coral or shells)		
	Natural medicines		
	Ornamental resources		
	Biomass fuel (firewood, dung)	How does this use rely on other aspects of the natural environment (prey/ predator balance; habitat for spawning or other critical life-stage; pollenization; etc.)?	
	Cultural sites (shrines, landmarks, etc)		
	Recreational areas (trails, sports, etc.)		
	Overall aesthetic or spiritual value		

For each component present, formulate a statement of the use:

> [Who uses?] in the community uses [component], located primarily at [location, extent]. About [how much?] is used, making this [how important?]. Indicators of change include [signs getting worse] and [signs getting better].
>
> *This statement will help formulate an indicator, specifically the information on signs that it is getting better/worse. Some indicators may be able to be developed on the spot, while others may have to be considered with expert input after this initial session is over.*

Part 2: Resiliency to Environmental Events and Stresses

How do natural events affect the community, and is this changing over time?

Y/N	A. What natural events affect the community?	B. How is this quantified?	C. What natural features mitigate the extent, frequency, or severity of these events?
	Floods	How would you characterize the frequency and extent (area / duration / intensity)? Has this changed over time?	Forests / vegetation (flood control, erosion control, landslide control, storm break)
	Landslides		
	Droughts	Who is affected? Everyone? Some? A few? Some vulnerable groups?	Habitat (predators of pests, e.g.)
	Dust storms		
	Wildfires	How intense is the impact? Critical? Somewhat important? Nuisance?	Water purification, filtering
	Insects (disease vectors, crop destruction)		Water storage, groundwater recharge
	Soil erosion / degradation	What triggers these events – natural or human activities, or a combination?	
	Tornado / hurricanes		Seed bank / pollination
	Crop failure		Soil protection / generation

For each component present, formulate a statement of the effect on the community:

> [Events] occur [frequency] and affect the community [who, intensity]. This is triggered (or made worse) by [triggers]. [Mitigating feature] are important because they [mitigate, prevent, reduce the extent] of the [events]. Indicators of better/worse could include [characterization of impacts] or [changes in natural mitigating features].
>
> *This statement will help formulate an indicator, specifically the information on signs that it is getting better/worse. Some indicators may be able to be developed on the spot, while others may have to be considered with expert input after this initial session is over.*

Part 3: Impact of Human Activity on the Natural Environment

What activities may generate impacts that affect the community?

Y/N	A. What activities occur in the local community?	B. How is this quantified?	C. How to tell whether this is getting better or worse?
	Small scale mining	What aspects of the natural environment are impacted	Quantity: weight, height, volume, frequency, depth,…
	Industry - discharge of effluent, air emissions		
	Sanitation – untreated discharge of human waste to streams, ground		
	Use of pesticides, herbicides, fungicides in agriculture	Are there maps for where this occurs? Location(s), area (extent)	
	Cooking on indoor fires		Quality: color, taste, odor, clarity,...
	Open / unmanaged dumping of domestic waste		
	Open / unmanaged dumping of oil/liquids from vehicle maintenance	Does anyone have data on how much this occurs? Quantity: weight, height, volume, frequency, depth,…	
	Open burning of waste		Monitoring: government or company sampling / analysis (where, frequency, parameters)
	Open burning of vegetation	Who is affected? Everyone? Some? A few? Some vulnerable groups?	
	Overgrazing		
	Deforestation	How intense is the impact? Critical? Somewhat important? Nuisance?	
	Activities that cause erosion / soil loss		

For each component present, formulate a statement of the effect on the community:

> [Source of pollution] affects the community [where, extent, who, intensity]. The community sees [signs of better or worse] as an important indicator of impact.
>
> *This statement will help formulate an indicator, specifically the information on signs that it is getting better/worse. Some indicators may be able to be developed on the spot, while others may have to be considered with expert input after this initial session is over.*

Part 4: Integration and prioritization

Prioritization may happen very naturally with each discussion session. If not, this basic prioritization process is very useful for determining which indicators get added to the core list as well as which additional ones might be added to the general list of Co-created Indicators.

1. Compile a list of the indicators identified in the previous parts.
2. Consider any monitoring that may measure the extent of these indicators (in consultation with appropriate agencies / authorities).

Y/N	A. What activities occur in the local community?	B. How is this quantified?	C. How to tell whether this is getting better or worse?
	Air quality – ambient dust	Who? – name of agency or, if enterprise is required to monitor	Standards – do standards exist that define “safe” levels?
	Air quality – ambient gases		
	Air quality – emissions		
	Drinking water – quality	Where? – locations and frequency	
	Surface water – quality		Data availability – are the results published/available? Is the community notified of any unsafe levels?
	Surface water – flow/quantity		
	Ground water – depth/ quality	What? – parameters measured	
	Waste water/effluent – quality		
	Food		

3. Refine & prioritize the indicators based on:
   - The number of stakeholders potentially affected (including vulnerable groups)
   - The intensity (severity) of potential impacts on the community
   - The duration (reversibility) of potential impacts

- The existence of cross-impacts / feedback loops / multiplier effects on other resources
- The likelihood of changes
- The ease / expense / technical viability of measurement & interpretation.

See the below table for guidance. Any indicators with multiple 'high' consequences should be considered as a potential Core Indicators for each category.

Consequences	Low	Medium	High
Number of stakeholders potentially affected	A few non-vulnerable individuals	Some groups and/or a number of individuals	A broad range of groups and individuals, including vulnerable stakeholders
Uses of the natural environment affected	Non-essential, can be replaced/mitigated	Important to some stakeholders	Essential, irreplaceable
Duration (reversibility) of the impact of any change	Temporary, short-term (reversible)	Medium term	Permanent, irreversible
Intensity of impact of any change	Minor nuisance, no health impacts	More than a nuisance, but not impacting health/well-being	Severe impacts to health & well-being
Multiplier effects / cross-impacts	No implications of impacts to other resources	Some potential impacts on other resources	Critical component affecting a broad range of other natural resources
Likelihood of changes	Hypothetical: Difficult to imagine a realistic scenario	Possible under some realistic scenarios	Observed, already on-going
Ease of measurement	Technically infeasible / complex / difficult to interpret	Possibly feasible, but requires additional investment / resources	Simple, easily measured and understood, with little additional investment