

Responsible Mineral Development Initiative Implementation Manual

March 2017



Contents

3	Introduction
4	RMDI Overview
5	A Business Case for the RMDI
6	RMDI and the SDGs
8	Applying the RMDI Tool
8	Step 1: Enabling the Process
10	Step 2: Designing and Implementing the Survey
12	Step 3: Planning and Conducting the Roundtable Workshops
14	Step 4: Dissemination of Results and Feedback
15	Lessons Learned
16	Annex 1: Country Examples
16	Mongolia
17	Mozambique
18	Peru
19	Annex 2: Memorandum of Understanding Sample
21	Annex 3: SDG Discussion Guide and Targets
32	Annex 4: RMDI Survey and Instructions for Mobile Survey Adaptation
48	Acknowledgments
49	Endnotes

Introduction

This manual provides guidance on implementing the Responsible Mineral Development Initiative (RMDI), including methods for engaging with key stakeholders, conducting the RMDI survey, analysing results and organizing an initial roundtable discussion. It provides insight on the lessons learned through the application of the RMDI in various countries and outlines a step-by-step procedure for implementing the RMDI.

Understanding the role of the RMDI

The RMDI addresses a broad range of issues within the mining and metals industry and hence does not provide a deep quantitative analysis of specific contextual issues. Rather, the RMDI highlights issues among stakeholders and within the industry and then creates a conducive and transparent multistakeholder dialogue to address these concerns. The outcome of the RMDI will lead to a detailed action plan to address issues identified as priorities and thus maximize the value of the industry within a specified context.

Where can the RMDI be useful?

The RMDI is typically implemented in regions or countries where mining is or is expected to have a significant impact on the economy. The RMDI is best suited to emerging economies where institutional capacity needs to be further developed to maximize the value generation from mining.

The RMDI is commonly used in close coordination with state entities. This is due to the strong institutional leadership role of government and its ability to communicate with and influence many levels of society, both vertically and laterally.

The following criteria can be helpful in determining whether the RMDI should be implemented in a specific region.

- Are there prevailing misconceptions about the costs and benefits of mining in the region?
- Is there a perception of asymmetrical bargaining power or capacity in negotiating mineral development arrangements?
- Are the needs and expectations of all stakeholders understood and addressed?
- Is there confusion among stakeholders over the regulatory and fiscal framework implemented, or the timing of benefits and impacts?
- Are sustainability issues well understood by stakeholders?

- Are there opportunities to broaden the linkages from mining into the economy?
- Are social issues regarding mining activities being poorly addressed?
- Are traditional livelihoods being negatively impacted by mining activities?

Key outcomes of the RMDI

- Promote better understanding and harmonization in the mining sector
- Identify priority areas for joint actions and approaches to accelerate positive development outcomes, involving multiple stakeholders
- Reveal expectations and perceptions of stakeholders within the mining industry
- Maximize value generation from the mining industry through improving dialogue and feedback among stakeholders
- Has potential to institutionalize a permanent dialogue platform for all stakeholders involved

RMDI Overview

The World Economic Forum's Responsible Mineral Development Initiative (RMDI) was launched in 2010 to explore the views, priorities and concerns of key stakeholders on mineral development, and to seek answers on what works, what does not, where discontent and frustration most commonly arise, and where improvements should occur.

Phase I of the initiative in 2010 included interviews with more than 250 stakeholders from 13 countries on their perceptions of these challenges.

The main problems identified were:

- An insufficient understanding of the nature, scope and timing of the benefits and costs to be derived from mineral development
- Limited expertise and institutional capacity of governments, civil society and companies
- Insufficient stakeholder inclusion in decision-making processes

- Opaque negotiation and development processes
- Incomplete compliance, monitoring and dispute-resolution processes

Phase II in 2011 developed a deeper understanding of the challenges and identified constructive, practical responses to them. Workshops in six continents underpinned further research and consultation. This phase showed that no single "silver bullet" solution to the challenges exists. Instead, six building blocks were identified (see Figure 1) that address common challenges and provide guidance on practical actions to take. The results from Phase II can be found in the 2011 RMDI report at: http://www3.weforum.org/docs/WEF_MM_Report_2011.pdf

Phase III in 2012 developed a tool to survey and portray the perspectives of different interests regarding the "value" of mining and metals, to be used to catalyse in-country, multi-interest dialogues on the challenges facing mining. The results from Phase III can be found in the 2013 RMDI report at: http://www3.weforum.org/docs/WEF_MM_RMDI_Report_2013.pdf

Figure 1: Six building blocks to achieve responsible mineral development



A Business Case for the RMDI

The mining and metals industry is pivotal to the creation of a sustainable world. It provides employment and economic opportunity to lift families out of poverty. It also provides the materials required to build innovative infrastructures, from resilient cities to alternative energy generation systems. The industry supports agricultural production and has linkages into nearly all major value chains.

However, the downturn in global commodity prices, increasing conflicts between communities and companies, and the short-term focus of shareholders are creating a turbulent operating environment for the industry. It is also facing pressure from stakeholders to operate in a more sustainable manner, with tightening legislation from regulatory bodies and rising expectations from the state and civil society.

All these forces are making it increasingly difficult for mining and metals companies to operate successfully. Given this context, the relevance of the RMDI could not be greater.

The RMDI provides an opportunity to establish collaborative multistakeholder dialogues in order to create a shared vision for the industry. The RMDI platform will lead to action plans on specific issues, and it will improve institutional capacity and promote transparency on mineral development within the host country or region. The initiative improves dialogue and feedback processes within the industry.

The RMDI provides a tried and tested survey tool that has been implemented and continually adapted since 2012, having been tested in a number of countries, including Mozambique, Peru and Mongolia, and currently in Guinea.

The RMDI provides stakeholders with the opportunity to utilize a tool that is specifically designed for multistakeholder engagement processes within a sustainable mining context. It has been developed by world leaders in the fields of sustainable development, multistakeholder engagement, and the mining and metals industry.

The RMDI allows stakeholders to develop a deeper understanding of the contextual and global issues facing the mining and metals industry. This new insight grants stakeholders an opportunity to develop new and innovative solutions to the issues facing the industry.

The RMDI process can also improve communication among stakeholders by creating a platform for dialogue. This process provides the opportunity for stakeholders to give and receive candid feedback and help build trust and transparency within the industry. Applied correctly, the RMDI can help to avoid costly development delays and production interruptions, and can help relieve the pressures that build to force renegotiation of mineral development arrangements after significant capital expenditures have been incurred.



RMDI and the SDGs

On 23 September 2015, the United Nations adopted “Transforming Our World: The 2030 Agenda for Sustainable Development”, which includes a set of 17 Sustainable Development Goals (SDGs). The SDGs represent the most comprehensive global framework for economic, social and environmental development in the post-2015 global agenda.

The mining and metals industry has immense potential to mobilize significant human, physical, technological and financial resources to advance the SDGs. Since the release of the SDGs, an atlas has been developed to map the linkages between mining and the SDGs. The *Mapping Mining to the Sustainable Development Goals: An Atlas* was published by the World Economic Forum, in partnership with the United Nations Development Programme (UNDP), United Nations Sustainable Development Solutions Network (UNSDSN) and Columbia Center for Sustainable Investment (CCSI). The atlas illustrates how the SDGs will impact mining industry operations, and how the mining and metals community can actively contribute toward the SDGs.

One of the key outcomes of the atlas was the acknowledgement that partnerships and dialogue will be critical for mining to enhance its positive impacts while minimizing its negative ones. The RMDI can provide the ideal platform for dialogue between key stakeholders in the mining industry and hence help generate further value from the industry.

As a result, the RMDI has been updated to ensure its methodology is well aligned with the SDGs. By integrating the SDGs into the RMDI methodology and survey, there is potential for the SDGs to influence the global mining industry. The systems-thinking paradigm of the SDGs has been integrated into the RMDI survey, which will create dialogue around the RMDI dimensions and the SDGs and allow stakeholders to work collectively towards achieving a common goal.

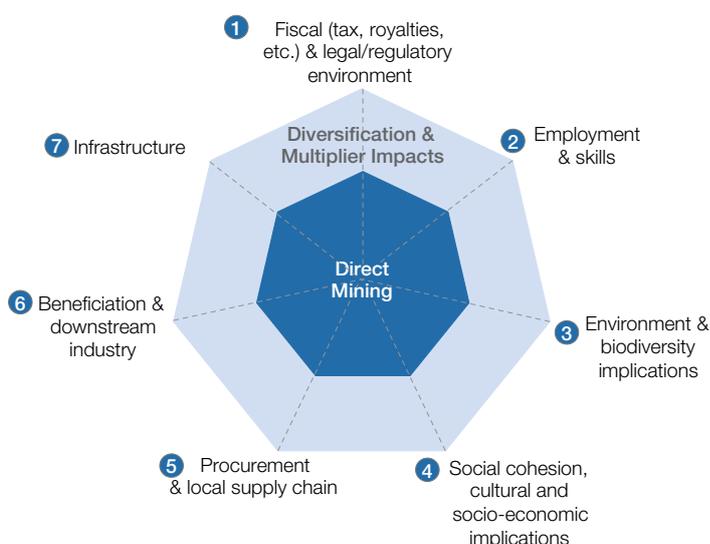
RMDI survey dimensions and SDG integration

A Capstone Team from Columbia University’s School of International and Public Affairs (SIPA) partnered with the RMDI in 2016 to incorporate SDG language into the survey tool (Annex 4). The integration of the SDGs will help educate stakeholders about the development goals, facilitate synergies between the resource sector and SDG-based development plans, and ensure that the RMDI survey is more accessible at all levels.

This approach provides the benefit of creating a synergistic relationship between the RMDI and the SDG framework, integrating and mainstreaming the SDGs while maintaining

the perspectives from which stakeholders generally think about and approach resource development, as reflected in the original RMDI dimensions (Figure 2).

Figure 2: The original seven RMDI dimensions

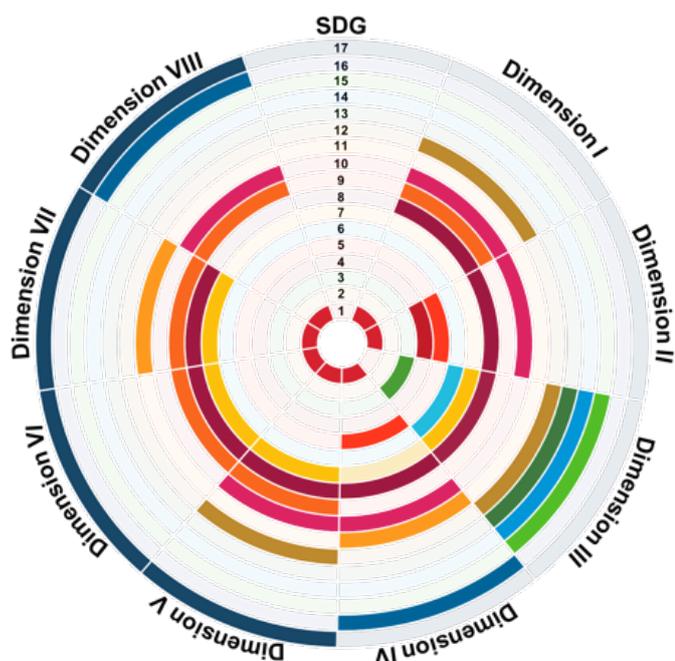


The SIPA Capstone Team reviewed the past RMDI survey, which included seven categories, or dimensions, and analysed where the SDGs directly or indirectly relate to each dimension. Figure 3 shows the direct relationships between each dimension in the current survey (1-8) and the SDGs. Relationships are based on the 169 targets within the SDGs to ensure that all SDG priorities are incorporated into the RMDI framework.

Based on these relationships, all questions and options were reviewed to incorporate additional SDG targets and allow for deeper and more productive discussion. This process resulted in the creation of an eighth additional dimension (VIII), the addition of factors within each dimension, and updated language for the current survey that incorporates the 17 SDGs.

By integrating SDG language, the current version of the RMDI survey is better aligned with the globally accepted SDG framework, incorporates previously omitted factors relevant to resource-based development and improves the accessibility of the survey.

Figure 3: RMDI dimensions and SDG integration



The graphic above shows how the eight RMDI dimensions overlap with the 17 SDGs. For each dimension, the filled in SDG signifies that a direct relationship was identified. This also shows the SDGs that appear most frequently within RMDI (e.g. SDG 1 is directly related to 7 of the 8 dimensions). Source: Jordan, Erica, Columbia University, SIPA

There are several benefits this approach offers. First, creating a survey that maintains consistent structure and formatting as the past survey will assist in the easy transition of institutional knowledge from previously conducted surveys. It will be less costly to adopt, and will also allow for comparability across data collected from past and current surveys.

Second, one of the purposes of the RMDI National Roundtable process is to enable a conversation about past difficulties in the mining and metals industry, creating bridges between stakeholders previously or traditionally at odds or caught in deadlock. Maintaining categories based on past dimensions, which resulted from extensive consultations, ensures that the current survey reflects the more traditional topics of interest for involved stakeholders. By incorporating the SDG language, the current survey can help bridge traditional and historic perceptions and expectations with forward-looking steps towards the achievement of the SDGs. The current survey creates a foundation for roundtable participants to collectively work toward the achievement of common goals.

Third, the addition of discussion points around the SDGs for use in survey implementation and at the roundtables, as well as an appendix specifying the SDG targets tied to each of the survey dimensions (Annex 3), creates an educational and accessible conversation about the SDGs

Figure 4: SDGs that are directly related to the eight RMDI dimensions



SDGs that are directly related to the 8 RMDI Dimensions

Source: World Economic Forum/UNDP/CCSD, Mapping Mining to the Sustainable Development Goals: An Atlas, 2016

Applying the RMDI Tool

This manual section will provide a detailed methodology of how to implement the RMDI tool, which may be used by a variety of organizations at a national or regional level. This tool will be of particular relevance to developing economies with high to moderate levels of mineral dependence.

The RMDI is best implemented with the aid of host-country governments, development agencies and local implementation partners. It will allow users to develop an improved understanding of the expectations and perceptions of the costs and benefits in the mining and metals industry. The application provides a survey tool that is based on a holistic understanding of value generation in the industry that covers economic, social and environmental facets.

The tool is designed to be the entry point into multistakeholder dialogues to enhance mutual understanding of how mining creates value. The RMDI survey serves as a real-time report card that reveals the perceptions, expectations and priorities of stakeholders towards sustainable development and value generation within the mining and metals industry.

The application is designed to be used on a collaborative basis involving a range of key stakeholders, which include national and regional level institutions, international organizations, government, the private sector, academia and civil society. Currently, the RMDI tool has been implemented on a national basis that culminates in a roundtable workshop.

Step 1: Enabling the Process

1. Commitment from government

Obtaining a commitment from government through an official invitation is the traditional starting point of the RMDI implementation process. However, it may be used in other contexts, such as by a mining company, NGO or local mining authority.

2. Signing a memorandum of understanding

A meeting is held where objectives are aligned through clear and transparent dialogue. Once an agreement on scope and objectives has been reached an MOU is then signed.

3. Identification of local implementation partners

Based on specified objectives and goals, identify a list of potential partners who would be appropriate candidates for the country or region. A competent team of analysts and survey specialists will be needed, supplemented by other organizations. Identify research organizations with the necessary skills and capacity to meet the objectives that cannot be achieved by the other local partners.

4. Stakeholder discussions

Early stakeholder discussions are crucial to ensure buy-in from relevant stakeholders.

5. Assign roles and responsibilities

It is important to assign roles and responsibilities to designated members to ensure accountability and the progression of the programme. Regular meetings should be held to ensure that tasks are being completed within the allocated time frame

6. Budget

A sufficient financial commitment will be required to complete the RMDI process. A clear and transparent budget will need to be created to ensure the process is sufficiently funded. Preparation of the budget and identification of funding sources should be completed before the project is officially started.

Breakdown of roles and responsibilities

Implementation partners

- Organize roundtables in collaboration with host government
- Provide necessary resources for the implementation of the RMDI
- Conduct basic training before the survey at the community level where required and identify a local research centre
- Provide technical assistance, translations where required, and ensure the accuracy of the survey translation
- Facilitate the follow-up of actions proposed as a result of strategic dialogue/RMDI roundtable

Government

Prior to the event

- In coordination with the implementation partner, agree on the list of participants
- Contribute to the invitation to be sent out by the steering organization; provide a government logo, etc.
- Coordinate attendance of relevant cabinet ministers and other officials

Prior to the roundtable

- Ensure participation in pre-meeting of key representatives and provision of venue
- Support for and completion of survey by government representatives
- Assign a representative or task force to be the official government's point of liaison during the development of the roundtable

- Assist in roundtable preparation (logistics, identifying issues and stakeholders, agreeing on invitation list, roundtable format)
- Co-brand roundtable with the government logo on all key roundtable documents, including co-signing of roundtable invitation

Post-roundtable

- Engage with implementing partner in preparing the post-roundtable report
- Develop an action plan based on roundtable outcomes
- Establish and continue engagement with and support of ongoing RMDI platform to address actions

- Commit to another roundtable to follow up on actions taken (optional)

Steering organization

- Act as an incubator, house the secretariat, create full-time project manager position
- Through project manager, foster relationship with governments, the private sector, civil society and academia
- Ensure oversight of strategy and operation

Table 1: Working plan sample

RMDI working plan		Budget/Date/Responsibility
Launch	Create RMDI working group	
	Invite emailing	
	RMDI launch session design	
	RMDI launch	
Thematic groups	General and thematic facilitators recruitment	
	Kick-off meeting	
	Internal working thematic group meetings	
	Mini-roundtable	
	Thematic working group report and summary	
Survey	Update RMDI survey for adaptation	
	Working plan RMDI survey	
	Consultants recruitment	
	Data collection	
	Data analysis	
	Draft report	
	Report review and comments	
	Final report	
Roundtable	Communication plan	
	Event planner recruitment	
	Identify keynote speaker	
	National facilitator identification	
	International facilitator identification	
	Event planner enrolment	
	Round table arrangements	
	Integration of thematic group reports towards round table	
	RMDI report draft for review and comments	
	RMDI final report	
	National and international facilitators enrolment	
	Roundtable	

Step 2: Designing and Implementing the Survey

Key interviews may be conducted if survey cannot be completed.

Developing and implementing a survey on stakeholder perceptions around value creation from mineral development is a key component of the Responsible Mineral Development Initiative (RMDI).

The purpose of the survey is to explore perceptions among various stakeholders on:

- Where value is being created today for each type of stakeholder
- To identify across which dimensions there are the largest opportunities to increase value
- To identify types of initiatives, policies or coordinated action that will likely be most effective for each dimension

The survey is designed to reach a diverse representation of stakeholders and facilitate the initial roundtable dialogue. The survey should be a platform to facilitate discussion around issues and opportunities affecting the mining and metals industry and surrounding communities. The language of the SDGs has been integrated into the survey design in order to be more inclusive, targeted and educational in implementation.

General instructions for completing the survey

Adapt survey

The survey should be adapted to the specific region or national context and cater for specific issues raised by key stakeholders. The scope of the survey will need to be considered depending on the context.

Some questions to consider when adapting the survey include:

- How many people are estimated to answer the survey?
- What language(s) will the survey need to be translated into?
- Will all the terms and jargon of the survey be correctly translated and understood?
- Are relevant topical issues included in the survey?

Conduct survey

The survey should be conducted online. When applicable, the team leader can choose to send the survey link in invitation emails to certain respondents. If internet access is not available, an offline version can be made available.

The survey has the dual purpose of familiarizing participants with key issues in the mining industry and receiving their feedback, which may be used in the roundtable event.

Once the survey has been completed by relevant stakeholder groups, it will need to be statistically analysed. The results should be depicted in a clear manner. An example of results is depicted below in Figure 5.

Taking the survey

The online survey should take 15-20 minutes to complete. All respondents will be asked about their perceptions of value creation across the eight dimensions in their country relative to other countries, today and in 10 years' time.

All respondents will be required to

- Rank the dimensions in order of perceived impact
- Identify if the largest areas for improvement in the top two priority dimensions were in the direct or multiplier/diversification areas
- Identify the top three structural and enabling factors for each of the eight dimensions

Survey team and function

The implementing partners act as the survey team. It is suggested the survey team be divided into three different roles: coordinators, team leaders and enumerators.

Coordinators

In each country, coordinators will be responsible for assigning team leaders to implement the survey within designated regions and/or among various groups of diverse stakeholders. It is the coordinator's responsibility to understand the local context of each country and adjust the survey as needed. The coordinators will be responsible for tracking the progress of the survey and provide logistical support to all the teams as needed.

Team leaders

Team leaders should ensure the enumerators are trained on all dimensions of the survey and how to appropriately answer questions of survey respondents. It is expected that team leaders will administer survey implementation across diverse stakeholders in the given region. The stakeholders should include representation from the following:

- Commodity producers (mining companies)
- Governments (national and sub-national)
- Local communities
- NGOs
- Academics
- International agencies
- Other civil society representatives (e.g. religious institutions, local chambers of commerce, labour organizations)

If surveys are not filled out completely, it is the responsibility of the team leaders to communicate with the enumerators why the survey is not being completed and ensure any

necessary completion is done in a non-biased and ethical manner.

Enumerators

Enumerators are responsible for survey distribution. Each enumerator must understand all questions presented in the survey and participate in the survey training. Enumerators should ensure that all survey questions have been translated appropriately for local context.

Enumerators should introduce themselves to each respondent, inform the respondent they are working on behalf of the RMDI and distribute the digital platforms to survey respondents. Enumerators should not guide any of the respondents' answers, but should only provide clarification of meaning or assist in any technological issues. In the case that a respondent is unable to use the digital platform, the enumerator should assist the respondent in selecting their stated answers.

In the case that a respondent is unable to read the survey, the enumerator should read each question directly in a clear and non-biased tone. The enumerator should not ask any form of leading questions to the respondent. It is the responsibility of the enumerator to ensure all survey results have been submitted through the digital platform and to confirm the team leader has received the results.

All questions asked by survey respondents must be answered in adherence to training given by team leaders. It is expected that all enumerators act in a non-biased and ethical manner. If any enumerator is reported to be manipulating responses by survey respondents, the responses in question will be removed.

The survey is built and implemented using the Kobo Toolbox, a free and open source service that uses Open Data Kit software and designed by the Harvard Humanitarian initiative to collect social and environmental data in remote areas. An offline version of the survey can be found in Annex 4 for reference, but all survey implementation will be conducted through Kobo Toolbox.

The toolbox provides the option for offline collection on Android devices in circumstances where internet access is not available. However, it is preferred that all surveys are implemented using its online platform when possible. The RMDI has developed a template survey with Kobo Toolbox. This template can be administered as is, or adapted to the local or regional context of implementation using the Kobo Toolbox platform.

All surveys should be completed using the Kobo Toolbox digital platform. Each respondent should be allowed to complete the survey in a neutral location and in privacy, if they choose.

The enumerator should encourage respondents to answer every question in the survey. All questions related to the eight dimensions are mandatory and will require a mark or ranking. In the structural and enabling portions, if a respondent is unable to rank their top three choices, they must select a minimum of one choice. If a respondent selects only one choice, an enumerator cannot rank the other options for him/her. The enumerator must guarantee the confidentiality of all respondents in any assistance they provide.

Ethical considerations

Informed consent

Participation of each survey respondent must be voluntary. Before the completion of the survey, each respondent must be explicitly informed that their participation is voluntary and they have the option to withdraw. If a participant is forced to participate in the survey response, their response will not be recorded in the overall data collection.

Purpose and procedures

The purpose of the survey is to stimulate roundtable dialogues at both the national and local level. To do this, the survey will seek to gain equal representation of all stakeholder groups to ensure inclusivity. It is understood that answers from different stakeholders may be controversial; however, this should not limit their representation.

Risks

When necessary, a respondent may choose to answer the survey anonymously. It is highly preferred that all stakeholders state their region, category of representation and gender in order to gather the highest level of accuracy in data collection. However, if there is perceived threat, a respondent may choose to leave these categories anonymous. If a respondent feels their livelihood is at risk through participation in the survey, they may choose to withdraw participation at any time.

Benefits

The benefit of the data collection through the survey will be to inform structured multistakeholder workshops to address the challenges highlighted in the survey. Results will enable focused discussions on the challenges that matter most to the specific community, region and country.

Confidentiality

All survey data will be collected and processed in a confidential manner. In no circumstance is a respondent required to provide their name or other details which may significantly reveal their identity. The survey seeks to stimulate open and honest dialogues around the issues presented in the survey. In doing this, full confidentiality will be honoured.

Step 3: Planning and Conducting the Roundtable Workshop

1. Plan

- Assign clear roles and responsibilities within the project management team
- Identify a date, prepare participant list, send out invitations and explain full agenda in follow-up emails
- Prepare advertising material to publicize the event
- Identify a respected, neutral workshop facilitator
- Identify who will present and discuss key findings

2. Logistics

- Find right-sized venue and ensure audio and video equipment are available
- Ensure room has appropriate furniture (tables, chairs, podium)
- Make sure to set up a registration table, staffed for badge allocation and welcome and closing
- Book food and beverage services for refreshment breaks
- Arrange accommodation and travel costs for key speakers and participants, if needed
- Determine if translation requirements will be needed

Table 2: Example of checklist and responsibilities

Item	Responsibility*
Logistics	
Venue	
Room set-up	
Security	
Food (coffee/tea, lunch, dinner, etc.)	
Staffing	
Audio/Visual, IT	
Interpretation	
Sessions	
Nametags/nameplates	
Photographer	
Translator(s)	
Agenda/format	
Session structure	
Speakers/moderators	
Themes	
Invites	
Sending	
Tracking	

- Add who will be responsible for the funding in each section

3. Participants

The roundtable process brings together a range of stakeholders and helps to create mutual understanding among diverse views and opinions. It is advised to bring together as many relevant stakeholders as possible. Diversity in stakeholder participation brings a balance of views, encourages the sharing of knowledge and promotes an understanding of mutual interest. However, increasing the number of participants increases the cost and preparation of the event and therefore a balance needs to be met.

Roundtable participants should be composed of:

- High-level government officials, relevant cabinet ministers
- Leaders from a local and international private sector
- Civil society
- Academia
- Media

4. Workshop agenda

- Extract topical priorities from the survey responses, following prioritization exercises
 - If no survey has been carried out, conduct interviews with critical stakeholders to identify priorities
 - Identify and provide briefing conversations to panellists
- Focus on priority issues in separate breakout groups, including deep dives on enabling and structural factors, as per the survey results
 - Ensure speakers and facilitators are briefed on the agenda and expectations of the day

Table 3: Example of a workshop agenda

Roundtable Agenda	
08.00 - 09.00	Welcome and introduction by facilitator
09.00 - 10.00	Session 1: Presentation of key findings from survey
10.00 - 10.30	Break
10.30 - 12.00	Session 2: Breakout group sessions <ul style="list-style-type: none"> - Participants break into specific focus groups - Groups focus on different issue points highlighted in Session 1 - Each group nominates a facilitator - Rapporteurs take minutes and report back on group discussion
12.00 - 13.00	Lunch
13.00 - 14.30	Session 3 <ul style="list-style-type: none"> - Develop action plans for focus groups and propose ideas to address key issues - Each focus group provides a few ideas on pathways forward that evolved from the discussion
14.30 - 15.00	Break
15.00 - 16.00	Session 4 Conclusions, summary of key findings, close of workshop



Step 4: Dissemination of Results and Feedback

1. Disseminating results

- Disseminate the findings of the survey and workshop through reports and/or websites
- Avoid using technical or business jargon to reach the widest possible audience
- Distil and review the findings to send the right message to the audience; consider what findings are relevant to the original goals identified
- Summarize key takeaway points
- Use spider web diagrams to best illustrate survey results

2. Feedback

- Hold a debrief meeting with implementation partners
- Send thank you messages to participants with summary reports

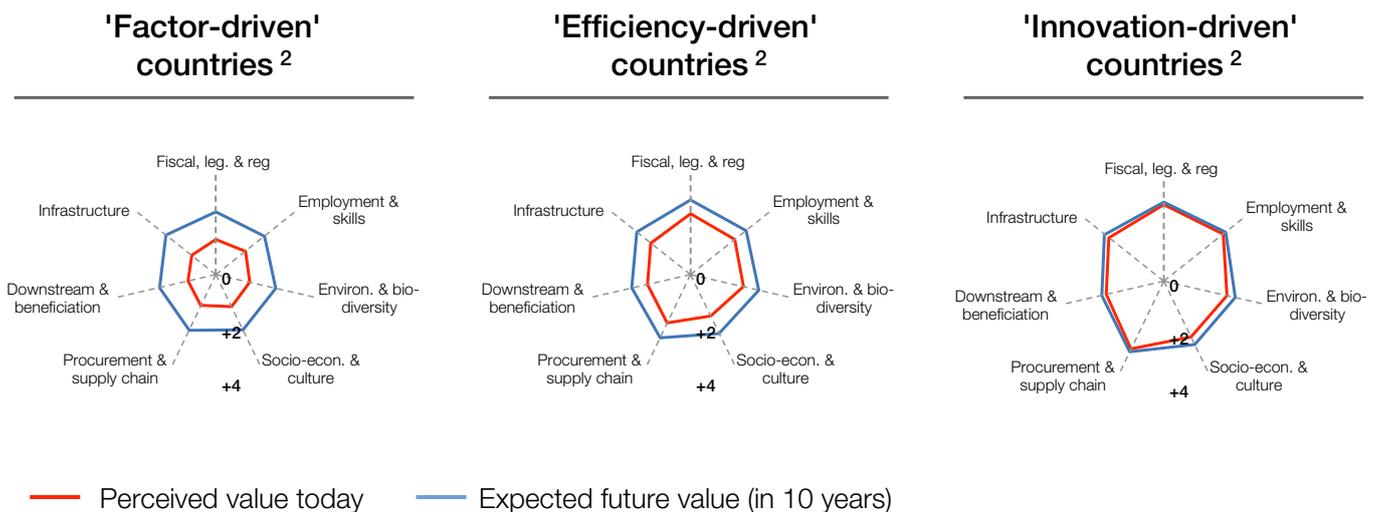
- If appropriate, organize a follow-up roundtable 6-12 months after the initial event to introduce accountability and to follow up on progress

3. Action plan

The results generated from the RMDI survey and roundtable event will be synthesized into an action plan. It is important that the stakeholders contribute in generating the action plan so that there is legitimate buy-in and accountability.

The action plan may take many forms. It is essentially a strategic outline of how to meet future challenges in the industry and is generated in a specific context for the region under discussion. The action plan should be distributed to all key stakeholders, allowing them time to review and give feedback. The action plan is led predominantly by government.

Figure 5: Example of survey results using spider web diagrams



Source: World Economic Forum

Lessons Learned

Since the RMDI was launched in 2010, many key lessons have been learned throughout the process:

- It is important to facilitate discussions between stakeholders in order to generate ideas, share knowledge, resolve conflict and build trust.
- Management is improved through monitoring, evaluating, learning and adapting through a collective action.
- Strong inter-personal and communications skills are necessary to bring together a diverse range of stakeholders.
- Strong leadership from key stakeholders, such as government and mining companies, are necessary to legitimize the process and create sufficient buy-in and accountability.
- Bringing together separate and isolated stakeholders that have overlapping interests increases the likelihood of common goals being achieved.
- It is important to ensure key stakeholders attend the roundtable event.
- Delegating roles and responsibilities is crucial in achieving the successful operation of the process.
- It is important to produce feedback soon after a roundtable event and disseminate.



Annex 1: Country Examples



Mongolia

Key minerals: Coal, uranium, copper, gold, fluorite, phosphorous and zinc

Economic stage: Factor driven

Roundtable (September 2013, Ulaanbaatar)

The discussion focused on key challenges facing the Mongolian mining industry:

- Increasing capital and operational costs and falling commodity prices are challenging the competitiveness of the industry in Mongolia.
- Capacity constraints at the national and local levels restrict the distribution of wealth recovered from mineral extraction activity.
- Different perceptions among stakeholders hamper confidence and/or trust in the mining sector.

Addressing the challenges

Three proposals put forward to address these three issues:

1. Increase institutional capacity by developing a framework in which to distribute the benefits in mining. There is a need to build a social contract on the role of mining that

is inclusive of all stakeholders to create a shared vision and accountability for its implementation.

2. Strengthen regulatory frameworks for the mining sector. Participants agreed that in order to attract foreign investment regulatory and legal frameworks have to be strengthened in Mongolia.
3. Improve infrastructure. Rail and power are seen as key drivers to Mongolia's growth. Participants identified an immediate need to complete the southern railway systems connecting the coal mines to china and even completing smaller key projects such as the Gobi railroad.

Next steps

To successfully address the key challenges identified through the RMDI process, a continuation of a neutral multistakeholder group is required. This should be underpinned by a trusted source of information and agreed upon transparent processes and consultation.

Lessons learned

The roundtable successfully identified issues that need more insight and research with regard to responsible mineral development in developing nations. Although the roundtable was successful in getting buy-in from the government, low survey input from respondents hindered the legitimacy of the results; an improved local implementation partner was sighted as an area of improvement.





Mozambique

Key minerals: Aluminum, beryllium, tantalum and natural gas

Economic stage: Factor driven

The RMDI was implemented in Mozambique between 2012-2013. The aim of the roundtable process was to identify key challenges and opportunities required for the responsible mineral development in Mozambique through the continued constructive dialogue between government, industry and civil society representatives.

Roundtable (28 November 2013, Maputo)

Mozambique and its stakeholders are facing mounting challenges in maintaining the competitiveness of its industry while supporting sustainable economic development in the region. Three of these challenges were discussed in detail during the conversations:

1. Shortcomings of the current fiscal, legislative and regulatory framework need to be addressed. A proposal to develop a national model was suggested to ensure sustainable use of Mozambique's assets. A framework that determines royalties, company tax and resource rent is required.
2. The lack of critical infrastructure is preventing operations from extracting resources at full capacity and delaying new projects. Infrastructure investment, particularly for rail and energy, is a priority for all stakeholders.
3. Social tensions surrounding the extractive industries continue to threaten national cohesion and stability. Consultation and engagement of local communities has to be strengthened.

Key outcomes

- Mining and oil and gas are strategic sectors for Mozambique that have the potential to drive significant economic and social development. Therefore, an action plan is required to develop these sectors to move to them to a new level of maturity.
- Mozambique's extractive industry competitiveness is being jeopardized by the lack infrastructure (including rail and power), fluctuations in global commodity prices and growing capital and operational costs.
- Programmes and models need to be developed to ensure benefits from the extractives industries are used to sustainably finance the country's economic development.
- Ongoing coordination, collaboration and communication are required across government agencies and key stakeholder groups to ensure the consensus of a shared vision and for creating the required capacity to realize this vision.

Four ideas for action were proposed to address the challenges:

1. Establish a permanent platform for multistakeholder dialogue
2. Prioritize work on local content and resettlement issues
3. Improve strategic communications and outreach
4. Improve integrated land-use and infrastructure planning

Lessons learned

Strong presidential and government support, with a strong industry champion, is needed to organize a roundtable and promote high-level private sector engagement. Other areas of improvement include better support to implementation partners in order to minimize the administrative burden and to ensure stakeholder interview and preparatory conversations, as well as the need to outsource a local research institute for the RMDI survey and to follow up the process and actions after the roundtable.





Peru

Key minerals: Copper, gold, silver, zinc, molybdenum, lead, tin, iron

Economic stage: Efficiency driven

Roundtable (2013, Lima)

Three multistakeholder breakout sessions complimented the discussion, focusing on topical issues for the industry:

1. Building local and national capacity
2. Social cohesion and early conflict prevention
3. Small-scale/artisanal mining

Key challenges

- Growing capital and operational costs and falling commodity prices are challenging the competitiveness of the industry in Peru.
- There is a lack of national and local capacity to appropriately distribute the wealth recovered from mineral extraction activities.
- A lack of common understanding, confidence and trust in the government and mining industry are contributing to the misalignment and conflict among stakeholders.

Addressing the challenges

Participants agreed on the need to improve coordination, collaboration and communication across multistakeholder groups in order to deliver a consistent and shared vision of success. They also stressed the importance of:

- Providing a consistent and simplified working relationship with the government at the local, regional and national level

- Building mechanisms at the national and local level to create and deliver the “shared value” of mining to all stakeholders
- Improving access to good quality and consistent information to allow for informed decision-making by all stakeholders
- Developing appropriate dialogue with the informal sector to build a shared approach to delivering small-scale mining and preventing illegal activities

Lessons learned

- The competitiveness of the extractives industry of Peru at the global level is threatened by growing capital and operational costs to the industry.
- These costs are being affected in part by the external fluctuating demand for commodities, but increasingly from inhibitive licensing processes and social conflict leading to project delays and the increasing responsibility being placed on the private sector to respond to social development needs where they are little or no state capacity to do so.
- Coordination, collaboration and communication across multiple stakeholder groups will be key in creating consensus, buy-in and accountability to a shared vision of success and in providing the required capacity and capabilities to deliver upon this vision.



Annex 2: Memorandum of Understanding Sample

This is a sample MOU and would be expected to change dependent on the context and stakeholders involved.

Memorandum of Understanding (MOU) between the (Steering Organization) and the Government of ()

Responsible Mineral Development Initiative – High-Level Roundtable

Date, Place

1. Executive summary

Following the invitation from the President of (Country) to support the country's responsible mineral development strategy, the (Steering Organization) is pleased to propose a joint multistakeholder Roundtable in (City) in (Date). This Roundtable would be held partnership with and under the patronage of the Government of (Country) as part of the Responsible Mineral Development Initiative (RMDI).

The roundtable has broad support from a range of Government, private sector and civil society stakeholders. We are excited about the opportunity to contribute to the ongoing advancement of responsible mineral development in (Country).

This document sets out:

- An overview and objectives of the proposed Roundtable;
- Participants of the Roundtable
- Roles and responsibilities of the (Steering Organization) and Government of (Country)
- Proposed timeline, key actions and logistics.

We are seeking confirmation that the Government is prepared to partner with the (Steering Organization) in relation to this Roundtable and agree to execute the roles and responsibilities as set out in this document.

2. Overview and objectives

The extractives sector is intricately linked to (Country) future economic development and the Government is focused on responsibly leveraging the sector to maximize broader economic growth.

Over the last 12 months the Government has been undertaking a significant overview of the fiscal, contractual and regulatory regime related to the extractives sector. In addition, it is focusing on other ways to create value from the industry for the broader economy. Particular areas of focus include energy and transport infrastructure, employment and skill development. Consistent with other parts of the world, local communities in (Location) have also become more active, trying to get a more equitable share of

the benefits being created from mining. This has manifested in protests in some regions as well as strikes at some of the mining operations.

Many international extractive companies and investors support (Country) ambition to leverage the sector more broadly and have been active in addressing some of the local communities' concerns. However, to make the long-term commitments required they want to ensure there is an adequate level of investment stability, more clearly defined roles and responsibilities between stakeholders as well as a broad understanding of the trade-offs in making some of these commitments.

Under the patronage of the Government of (Country), the (Steering Organization) is proposing to co-host, a multistakeholder roundtable on responsible mineral development to address some of these issues. This would bring together key (Country) stakeholders from Government, local and international leaders from the private sector, civil society as well as local community representatives. The roundtable would employ a structured approach based on the methodologies developed as part of the Responsible Mineral Development Initiative to create a frank dialogue between stakeholders.

Roundtable objectives

- Create a better understanding and alignment on how the extractives sector in (Country) can create value for all stakeholders including further defining roles and responsibilities
- Identify possible approaches to accelerate pre-identified specific opportunities in energy and transport infrastructure and skills development using multistakeholder collaborative approaches
- Discuss formalizing an ongoing multistakeholder platform to follow up on outcomes of the Roundtable.

3. Roundtable approach

3.1 Logistics

- Location:
- Proposed dates: (Day/Month/Year) to be agreed with the (Country)
- Format: One-and-a-half day roundtable with (opening and closing plenaries, breakout groups and workshops in parallel, opening dinner or closing lunch)

3.2 Participants

We would suggest targeting ~55-60 participants composed of high-level (Country) officials, leaders from the local and international private sector, the civil society, academia and media. The final participants list will be agreed between (Steering Organization) and the (Country) Government but

the indicative breakdown would be:

- 15-20 Government of (Country) (various Ministries)
- 15-20 international and local business
- 5-10 civil society reps (international and local)
- 5-10 local community reps

- 5-10 international organizations and bilateral agencies

3.3 Timeline and key actions

A draft timeline for the preparation of the roundtable is set out below.

	Feb	Mar	April	May	June	July	August
Issue identification & planning							
WEF preparatory visit							
Issue invitation letters							
Confirm program							
Other logistics preparation							
Roundtable							

4. Roles and responsibilities

Government of (Country)

As the Roundtable would be a joint Government of (Country)/(Steering Organization) event, the following is required from the Government of (Country):

Prior to Roundtable:

- Booking of and cover the costs for the Roundtable and Dinner venue
- Assistance in securing room blocks at a reduced fare
- Facilitation of visa within (Country) consulates/embassies abroad and upon arrival of the participants at (Country) Airport.
- Assurance of efficient and effective security measures for the meeting venue and the participants
- Assignment of a representative to be the official Government's point of liaison with (Steering Organization) during the development of the Roundtable
- Assistance in Roundtable preparation (logistics, identifying issues and stakeholders, agreeing invitation list, roundtable format)
- Co-branding of Roundtable with the Government of (Country) logo on all key Roundtable documents, including co-signing of Roundtable invitations

During Roundtable:

- Opening or closing remarks from the President of (Country) at the Roundtable
- Involvement of the key cabinet Ministers in the presentation of (Country) mineral development vision,

and overall engagement/leadership of the entire Roundtable including Minister of Mines and Geology, Minister of Economy and Finance, Minister of Energy and Water Resources, Minister of Employment and Civil Service, and Minister of Environment

Post-Roundtable:

- Engage with (Steering Organization) in preparing the post-Roundtable report
- Develop action plan based on Roundtable outcomes
- Establish and continue engagement with and support of ongoing RMDI platform to address actions
- Commit to a follow up Roundtable to follow up on actions taken

Steering Organization

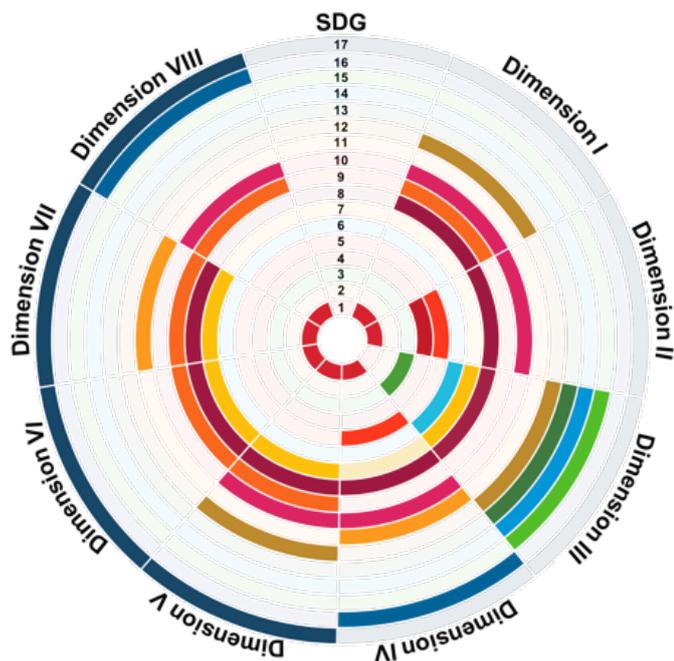
- Act as an incubator, house the Secretariat, create full time Project Manager position
- Through Project Manager, foster relationship with governments, private sector, civil society and academia
- Oversight of strategy and operation

5. Agreement

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed in duplicate by their duly authorized representatives and thereby confirm their consent to the terms and conditions of this Agreement.

FOR AND ON BEHALF OF THE GOVERNMENT (OF COUNTRY)	FOR AND ON BEHALF OF THE (STEERING ORGANIZATION)
Date: _____	Date: _____
Signature: _____	Signature: _____
Name: _____	Name: _____
Position: _____	Position: _____

Annex 3: SDG Discussion Guide and Targets



The graphic above shows how the eight RMDI dimensions overlap with the 17 SDGs. For each dimension, the filled in SDG signifies that a direct relationship was identified. This also shows the SDGs that appear most frequently within RMDI (e.g. SDG 1 is directly related to 7 of the 8 dimensions). Source: Jordan, Erica, Columbia University, SIPA

Introduction to the SDG discussion guide and targets

The RMDI survey should be a platform to facilitate discussion around issues of concern or places of opportunity for all stakeholders. This discussion guide is a tool to be used by RMDI national roundtable facilitators in order to foster a conversation that not only emphasizes a mutual understanding among stakeholders, but also challenges stakeholders to work together to achieve the UN Sustainable Development Goals (SDGs). By integrating the SDGs into the RMDI methodology and survey, there is potential for the SDGs to influence the global mining industry. The systems-thinking paradigm of the sustainable development goals has been integrated into the RMDI survey, allowing government officials and stakeholders to interact with the tools, create dialogue and work collectively towards achieving the common goals.

The RMDI survey is meant to appeal to a large audience, with accessible language. The survey also incorporates language that can lend itself to discussion around specifically aligned SDGs. This SDG focus would include campaigns or community sessions to educate participants on the mining industry, relevant terminology, and the SDG framework at two stages: while implementing the survey and while discussing the results at a national or regional roundtable.

To more concretely address the incorporation of the SDGs into the RMDI survey, RMDI factors that are directly connected to a specific SDG are cited throughout the survey and in the RMDI manual. The following is a brief discussion

guide for community educators and roundtable facilitators to use in their conversations. It is hoped that by engaging with the SDGs in discussion, that they may be proactively adopted post-roundtable.

Major themes for stakeholders wishing to align with the SDGs are environmental sustainability, social inclusion and economic development.¹ In this guide, each RMDI survey dimension includes key individual themes, example questions and a list of relevant targets.

The following discussion guide is meant to be adaptable to the context in which the national or regional roundtables will take place. These themes and sample questions are amenable to being changed or expanded upon by the facilitator. For further information on linkages between the SDGs and the mining sector, please see *Mapping Mining to the Sustainable Development Goals: An Atlas* (UNDP, WEF, CCSD).

Dimension I: Fiscal	
SDG 1	No poverty
SDG 8	Decent work and economic growth
SDG 10	Reduced inequalities
SDG 12	Responsible consumption and production
SDG 16	Peace, justice and strong communities

Key themes: Economic planning, representation, responsible fiscal policy, fair distribution of costs and benefits

Example discussion questions

- Are all stakeholders paying or receiving a fair and accurate share of taxes and revenues?² (SDG 1)
- Do financial flows, policy and regulation encourage a reduction of inequality within and among countries? (SDG 10)
- Is sufficient effort being put to strengthening financial institutions, so that they are accessible to small-scale and large-scale business? (SDG 9, SDG 10, SDG 16)
- Is sufficient effort being put to diversifying fiscal planning in order to support future generations? (SDG 10, SDG 16)
- How can stakeholders encourage participatory budgeting?³ (SDG 10)

Relevant targets for further discussion

The SDGs and specific targets identified as related to Dimension I are listed below. The footnotes from the survey show how specific targets are directly related to the structural and enabling factors.

Goal 1. End poverty in all its forms everywhere

1.3 Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable

Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

8.1 Sustain per capita economic growth in accordance with national circumstances and, in particular, at least 7 percent gross domestic product growth per annum in the least developed countries

8.2 Achieve higher levels of economic productivity through diversification, technological upgrading and innovation, including through a focus on high-value added and labour-intensive sectors

Goal 9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation

9.3 Increase the access of small-scale industrial and other enterprises, in particular in developing countries, to financial services, including affordable credit, and their integration into value chains and markets

Goal 10. Reduce inequality within and among countries

10.3 Ensure equal opportunity and reduce inequalities of outcome, including by eliminating discriminatory laws, policies and practices and promoting appropriate legislation, policies and action in this regard

10.4 Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality

10.5 Improve the regulation and monitoring of global financial markets and institutions and strengthen the implementation of such regulations

10.6 Ensure enhanced representation and voice for developing countries in decision-making in global international economic and financial institutions in order to deliver more effective, credible, accountable and legitimate institutions

10.b Encourage official development assistance and financial flows, including foreign direct investment, to States where the need is greatest, in particular least developed countries, African countries, small island developing States and landlocked developing countries, in accordance with their national plans and programmes

Goal 12. Ensure sustainable consumption and production patterns

12.7 Promote public procurement practices that are sustainable, in accordance with national policies and priorities

12.c Rationalize inefficient fossil-fuel subsidies that encourage wasteful consumption by removing market distortions, in accordance with national circumstances, including by restructuring taxation and phasing out those harmful subsidies, where they exist, to reflect their environmental impacts, taking fully into account the specific needs and conditions of developing countries

and minimizing the possible adverse impacts on their development in a manner that protects the poor and the affected communities

Goal 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels

16.a Strengthen relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime

Dimension II: Employment and Skills	
SDG 1	No poverty
SDG 4	Quality education
SDG 5	Gender equality
SDG 8	Decent work and economic growth
SDG 9	Industry, innovation and infrastructure
SDG 10	Reduced inequalities
SDG 12	Responsible consumption and production

Key themes: Technical training and capacity-building, inclusive policies for marginalized groups, equal opportunity, economic planning

Example discussion questions

- Are women and youth being trained in technical skills for high paying wages within the mining sector? (SDG 5)
- Are policies in place to protect against discrimination based on sex, disability, race, ethnicity, origin, religion or economic or other status? (SDG 10)
- Are employment policies and their objectives being made with community stakeholders present? (SDG 1)
- How are indirect employment opportunities affecting livelihood opportunities in communities? Are community members appropriately trained in order to take advantage of these opportunities and if not, how can they be? (SDG 8)

Relevant targets for further discussion

The SDGs and specific targets identified as related to Dimension II are listed below. The footnotes from the survey show how specific targets are directly related to the structural and enabling factors.

Goal 1. End poverty in all its forms everywhere

1.3 Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable

1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance

1.7 Create sound policy frameworks at the national, regional and international levels, based on pro-poor and gender-sensitive development strategies, to support accelerated investment in poverty eradication actions

Goal 4. Ensure inclusive and quality education for all and promote lifelong learning

1.3 By 2030, ensure equal access for all women and men to affordable and quality technical, vocational and tertiary education, including university

1.4 By 2030, substantially increase the number of youth and adults who have relevant skills, including technical and vocational skills, for employment, decent jobs and entrepreneurship

Goal 5. Achieve gender equality and empower all women and girls

5.1 End all forms of discrimination against all women and girls everywhere

5.5 Ensure women’s full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life

5.a Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national laws

5.c Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels

Goal 8. Promote inclusive and sustainable economic growth, employment and decent work for all

8.2 Achieve higher levels of economic productivity through diversification, technological upgrading and innovation, including through a focus on high-value added and labour-intensive sectors

8.5 By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value

8.6 By 2020, substantially reduce the proportion of youth not in employment, education or training

8.8 Protect labour rights and promote safe and secure working environments for all workers, including migrant workers, in particular women migrants, and those in precarious employment

Goal 9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation

9.1 Develop quality, reliable, sustainable and resilient infrastructure, including regional and trans-border infrastructure, to support economic development and human well-being, with a focus on affordable and equitable access for all

Goal 10. Reduce inequality within and among countries

10.2 By 2030, empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status

10.3 Ensure equal opportunity and reduce inequalities of outcome, including by eliminating discriminatory laws, policies and practices and promoting appropriate legislation, policies and action in this regard

10.6 Ensure enhanced representation and voice for developing countries in decision-making in global international economic and financial institutions in order to deliver more effective, credible, accountable and legitimate institutions

Dimension III: Environment and Biodiversity	
SDG 3	Good health and well-being
SDG 6	Clean water and sanitation
SDG 7	Affordable and clean energy
SDG 12	Responsible consumption and production
SDG 13	Climate action
SDG 14	Life below water
SDG 15	Life on land

Key themes: Resource efficiency, sustainable management of resources, conservation and restoration, education

Example discussion questions

- How can policies and actions by stakeholders prevent the destruction and pollution of the environment? (SDG 6, SDG 12)
- How can the management of resources be more sustainable and how can the use of non-renewable resources be decreased? Where can efficiency be increased? (SDG 6, SDG 7, SDG 12, SDG 15)
- What programmes can be created to educate about the importance of clean water, air, and soil for human health, biodiversity and healthy ecosystems? (SDG 3, SDG 6, SDG 13, SDG 14, SDG 15)

Relevant targets for further discussion

The SDGs and specific targets identified as related to Dimension III are listed below. The footnotes from the survey show how specific targets are directly related to the structural and enabling factors.

Goal 3. Ensure healthy lives and promote well-being for all at all ages

3.3 By 2030, end the epidemics of AIDS, tuberculosis, malaria and neglected tropical diseases and combat hepatitis, water-borne diseases and other communicable diseases

3.9 By 2030, substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination

Goal 6. Ensure availability and sustainable management of water and sanitation for all

6.3 By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally

6.4 By 2030, substantially increase water-use efficiency across all sectors and ensure sustainable withdrawals and supply of freshwater to address water scarcity and substantially reduce the number of people suffering from water scarcity

6.5 By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate

Goal 7. Ensure access to affordable, reliable, sustainable and modern energy for all

7.2 By 2030, increase substantially the share of renewable energy in the global energy mix

Goal 12. Ensure sustainable consumption and production patterns

12.2 By 2030, achieve the sustainable management and efficient use of natural resources

12.4 By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment

12.6 Encourage companies, especially large and transnational companies, to adopt sustainable practices and to integrate sustainability information into their reporting Cycle

12.c Rationalize inefficient fossil-fuel subsidies that encourage wasteful consumption by removing market distortions, in accordance with national circumstances, including by restructuring taxation and phasing out those harmful subsidies, where they exist, to reflect their environmental impacts, taking fully into account the specific needs and conditions of developing countries and minimizing the possible adverse impacts on their development in a manner that protects the poor and the affected communities

Goal 13. Take urgent action to combat climate change and its impacts

13.3 Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning

13.a Implement the commitment undertaken by developed-country parties to the United Nations Framework Convention on Climate Change to a goal of mobilizing jointly \$100 billion annually by 2020 from all sources to address the needs of developing countries in the context of meaningful mitigation actions and transparency on implementation and fully operationalize the Green Climate Fund through its capitalization as soon as possible

Goal 14. Conserve and sustainably use the oceans, seas and marine resources for sustainable development

14.1 By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, including marine debris and nutrient pollution

Goal 15. Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss

15.1 By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements

15.2 By 2020, promote the implementation of sustainable management of all types of forests, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation globally

15.5 Take urgent and significant action to reduce the degradation of natural habitats, halt the loss of biodiversity and, by 2020, protect and prevent the extinction of threatened species

15.a Mobilize and significantly increase financial resources from all sources to conserve and sustainably use biodiversity and ecosystems

15.b Mobilize significant resources from all sources and at all levels to finance sustainable forest management and provide adequate incentives to developing countries to advance such management, including for conservation and reforestation

Dimension IV: Social and Cultural	
SDG 1	No poverty
SDG 3	Good health and well-being
SDG 5	Gender equality
SDG 8	Decent work and economic growth
SDG 10	Reduced inequalities
SDG 11	Sustainable cities and communities
SDG 13	Climate action
SDG 15	Life on land
SDG 16	Peace, justice and strong institutions

Key themes: Human rights, labour rights, cultural rights, traditional livelihoods, population displacement, representation

Example discussion questions

- Is the mining community implementing impact-benefit/ community agreements?⁴ (SDG 8)
- Are local stakeholders aware of their legal rights and social protections? (SDG 8)
- Are women and indigenous people groups being promoted to viable leadership positions within the mining company and auxiliary industries? (SDG 5)

- Are companies encouraging the involvement of communities in the development of plans and budgets to deploy mining-related revenues allocated to the local level⁶? (SDG 10)
- Is there a partnership between mining companies, communities, and local and regional authorities to create spaces that preserve natural and cultural heritage? If not, can this be created? (SDG 11)

Relevant targets for further discussion

The SDGs and specific targets identified as related to Dimension IV are listed below. The footnotes from the survey show how specific targets are directly related to the structural and enabling factors.

Goal 1. End poverty in all its forms everywhere

1.3 Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable

1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance

Goal 3. Ensure healthy lives and promote well-being for all at all ages

3.5 Strengthen the prevention and treatment of substance abuse, including narcotic drug abuse and harmful use of alcohol

3.7 By 2030, ensure universal access to sexual and reproductive healthcare services, including for family planning, information and education, and the integration of reproductive health into national strategies and programmes

3.8 Achieve universal health coverage, including financial risk protection, access to quality essential health-care services and access to safe, effective, quality and affordable essential medicines and vaccines for all

3.9 By 2030, substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination

Goal 5. Achieve gender equality and empower all women and girls

5.2 Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation

5.5 Ensure women's full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life

5.a Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national laws

Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

8.7 Take immediate and effective measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour, including recruitment and use of child soldiers, and by 2025 end child labour in all its forms

8.8 Protect labour rights and promote safe and secure working environments for all workers, including migrant workers, in particular women migrants, and those in precarious employment

8.10 Strengthen the capacity of domestic financial institutions to encourage and expand access to banking, insurance and financial services for all

Goal 10. Reduce inequality within and among countries

10.2 By 2030, empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status

10.3 Ensure equal opportunity and reduce inequalities of outcome, including by eliminating discriminatory laws, policies and practices and promoting appropriate legislation, policies and action in this regard

10.4 Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality

Goal 11. Make cities and human settlements inclusive, safe, resilient and sustainable

11.4 Strengthen efforts to protect and safeguard the world's cultural and natural heritage

Goal 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels

16.2 End abuse, exploitation, trafficking and all forms of violence against and torture of children

16.3 Promote the rule of law at the national and international levels and ensure equal access to justice for all

16.6 Develop effective, accountable and transparent institutions at all levels

16.7 Ensure responsive, inclusive, participatory and representative decision-making at all levels

16.b Promote and enforce non-discriminatory laws and policies for sustainable development

Dimension V: Supply Industry	
SDG 1	No poverty
SDG 7	Affordable and clean energy
SDG 8	Decent work and economic growth
SDG 9	Industry, innovation and infrastructure
SDG 10	Reduced inequalities
SDG 12	Responsible consumption and production
SDG 17	Partnership for the goals

Key themes: Innovation, local content, sustainable linkages to auxiliary industries

Example discussion questions

- Do the procurement systems used by stakeholders leverage local procurement services?⁶
- How could supply industry systems be made more sustainable, using fewer resources? (SDG 7, SDG 8, SDG 12)⁷
- In what way can local content requirements be enabled or improved (for the procurement of local goods, services and/or labour)? (SDG 8)
- How can stakeholders partner together to improve the ease of doing business across the mining input industry and auxiliary industries? (SDG 17)
- In what ways can the mining industry and those related be more innovative? What processes need improvement, and is there a way they could improve with more innovation? (SDG 9)
- How can companies which work in the same geographic area partner to create local supply chain synergies? (SDG 9, SDG 17)

Relevant targets for further discussion:

The SDGs and specific targets identified as related to Dimension V are listed below. The footnotes from the survey show how specific targets are directly related to the structural and enabling factors.

Goal 1. End poverty in all its forms everywhere

1.a Ensure significant mobilization of resources from a variety of sources, including through enhanced development cooperation, in order to provide adequate and predictable means for developing countries, in particular least developed countries, to implement programmes and policies to end poverty in all its dimensions

Goal 7. Ensure access to affordable, reliable, sustainable and modern energy for all

7.1 By 2030, ensure universal access to affordable, reliable and modern energy services

7.3 By 2030, double the global rate of improvement in energy efficiency

Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

8.2 Achieve higher levels of economic productivity through diversification, technological upgrading and innovation, including through a focus on high-value added and labour-intensive sectors

8.3 Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity and innovation, and encourage the formalization and growth of micro-, small- and medium-sized enterprises, including through access to financial services

8.4 Improve progressively, through 2030, global resource efficiency in consumption and production and endeavour to decouple economic growth from environmental degradation, in accordance with the 10-year framework of programmes on sustainable consumption and production, with developed countries taking the lead

Goal 9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation

9.2 Promote inclusive and sustainable industrialization and, by 2030, significantly raise industry's share of employment and gross domestic product, in line with national circumstances, and double its share in least developed countries

9.4 By 2030, upgrade infrastructure and retrofit industries to make them sustainable, with increased resource-use efficiency and greater adoption of clean and environmentally sound technologies and industrial processes, with all countries taking action in accordance with their respective capabilities

9.5 Enhance scientific research, upgrade the technological capabilities of industrial sectors in all countries, in particular developing countries, including, by 2030, encouraging innovation and substantially increasing the number of research and development workers per 1 million people and public and private research and development spending

9.c Significantly increase access to information and communications technology and strive to provide universal and affordable access to the internet in least developed countries by 2020

Goal 10. Reduce inequality within and among countries

10.2 By 2030, empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status

10.3 Ensure equal opportunity and reduce inequalities of outcome, including by eliminating discriminatory laws, policies and practices and promoting appropriate legislation, policies and action in this regard

Goal 12. Ensure sustainable consumption and production patterns

12.2 By 2030, achieve the sustainable management and efficient use of natural resources

12.3 By 2030, halve per capita global food waste at the retail and consumer levels and reduce food losses along production and supply chains, including post-harvest losses

12.4 By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their lifecycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment

12.5 By 2030, substantially reduce waste generation through prevention, reduction, recycling and reuse

12.6 Encourage companies, especially large and transnational companies, to adopt sustainable practices and to integrate sustainability information into their reporting cycle

12.a Support developing countries to strengthen their scientific and technological capacity to move towards more sustainable patterns of consumption and production

Goal 17. Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development

17.6 Enhance North-South, South-South and triangular regional and international cooperation on and access to science, technology and innovation and enhance knowledge sharing on mutually agreed terms, including through improved coordination among existing mechanisms, in particular at the United Nations level, and through a global technology facilitation mechanism

17.7 Promote the development, transfer, dissemination and diffusion of environmentally sound technologies to developing countries on favourable terms, including on concessional and preferential terms, as mutually agreed

17.16 Enhance the global partnership for sustainable development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the achievement of the sustainable development goals in all countries, in particular developing countries

17.17 Encourage and promote effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships

Dimension VI: Downstream Industry	
SDG 7	Affordable and clean energy
SDG 8	Decent work and economic growth
SDG 9	Industry, innovation and infrastructure
SDG 12	Responsible consumption and production
SDG 17	Partnership for the goals

Key themes: Innovation, shared use, value addition, diversification, sustainable linkages to auxiliary industries

Example discussion questions

- Which factors need to be present to make downstream industries viable in a given country? (SDG 8, SDG 9)
- How could downstream industries (e.g. minerals processing, smelting and refining, semi-fabrication, final product) be made more sustainable? (SDG 7)⁸
- How can the mining sector create shared use resources (e.g. infrastructure), creating access for local communities and other downstream industries? (SDG 7, SDG 8, SDG 9, SDG 17)⁹
- How can stakeholders partner to improve the ease of doing business and opportunities for skills and business development in downstream industries? (SDG 8)¹⁰

Relevant targets for further discussion

The SDGs and specific targets identified as related to Dimension VI are listed below. The footnotes from the survey show how specific targets are directly related to the structural and enabling factors.

Goal 1. End poverty in all its forms everywhere

1.1 By 2030, eradicate extreme poverty for all people everywhere, currently measured as people living on less than \$1.25 a day

1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance

1.a Ensure significant mobilization of resources from a variety of sources, including through enhanced development cooperation, in order to provide adequate and predictable means for developing countries, in particular least developed countries, to implement programmes and policies to end poverty in all its dimensions

Goal 7. Ensure access to affordable, reliable, sustainable and modern energy for all

7.2 By 2030, increase substantially the share of renewable energy in the global energy mix

7.b By 2030, expand infrastructure and upgrade technology for supplying modern and sustainable energy services for all in developing countries, in particular least developed countries, small island developing States and landlocked developing countries, in accordance with their respective programmes of support

Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

8.1 Sustain per capita economic growth in accordance with national circumstances and, in particular, at least 7 percent gross domestic product growth per annum in the least developed countries

8.2 Achieve higher levels of economic productivity through diversification, technological upgrading and innovation, including through a focus on high-value added and labour-intensive sectors

8.3 Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity and innovation, and encourage the formalization and growth of micro-, small- and medium-sized enterprises, including through access to financial services

8.4 Improve progressively, through 2030, global resource efficiency in consumption and production and endeavour to decouple economic growth from environmental degradation, in accordance with the 10-Year Framework of Programs on Sustainable Consumption and Production, with developed countries taking the lead

8.5 By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value

8.10 Strengthen the capacity of domestic financial institutions to encourage and expand access to banking, insurance and financial services for all

Goal 9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation

9.1 Develop quality, reliable, sustainable and resilient infrastructure, including regional and trans-border infrastructure, to support economic development and human well-being, with a focus on affordable and equitable access for all

9.2 Promote inclusive and sustainable industrialization and, by 2030, significantly raise industry's share of employment and gross domestic product, in line with national circumstances, and double its share in least developed countries

9.3 Increase the access of small-scale industrial and other enterprises, in particular in developing countries, to financial services, including affordable credit, and their integration into value chains and markets

9.b Support domestic technology development, research and innovation in developing countries, including by ensuring a conducive policy environment for, inter alia, industrial diversification and value addition to commodities

9.c Significantly increase access to information and communications technology and strive to provide universal and affordable access to the Internet in least developed countries by 2020

Goal 17. Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development

17.5 Adopt and implement investment promotion regimes for least developed countries

17.7 Promote the development, transfer, dissemination and diffusion of environmentally sound technologies to developing countries on favourable terms, including on concessional and preferential terms, as mutually agreed

17.8 Fully operationalize the technology bank and science, technology and innovation capacity-building mechanism for least developed countries by 2017 and enhance the use of enabling technology, in particular information and communications technology

17.9 Enhance international support for implementing effective and targeted capacity-building in developing countries to support national plans to implement all the Sustainable Development Goals, including through North-South, South-South and triangular cooperation

17.12 Realize timely implementation of duty-free and quota-free market access on a lasting basis for all least developed countries, consistent with World Trade Organization decisions, including by ensuring that preferential rules of origin applicable to imports from least developed countries are transparent and simple, and contribute to facilitating market access

Dimension VII: Infrastructure	
SDG 1	No poverty
SDG 6	Clean water and sanitation
SDG 7	Affordable and clean energy
SDG 8	Decent work and economic growth
SDG 9	Industry, innovation and infrastructure
SDG 11	Sustainable cities and communities
SDG 12	Responsible consumption and production
SDG 13	Climate action
SDG 14	Life below water
SDG 15	Life on land
SDG 17	Partnership for the goals

Key themes: Economic development planning, access, empowerment, land use, sustainability

Example discussion questions

- Is there an opportunity for the shared-use of infrastructure among stakeholders? How can this opportunity be leveraged?¹¹
- Are stakeholders playing an active role in promoting inclusion and collaborating with government and communities to support transparent public consultations for infrastructure development? How can this role be improved?¹² (SDG 10)
- How can infrastructure be utilized for the public good, including access to clean water, reduced emissions, protected marine life and preserved ecosystems? (SDG 6, SDG 13, SDG 14, SDG 15 and SDG 17)
- Can international development agencies provide/ facilitate financing for expanded infrastructure or increased access to mining-related infrastructure development projects? (SDGs 8, 9 and 17)

Relevant targets for further discussion

The SDGs and specific targets identified as related to Dimension VII are listed below. The footnotes from the survey show how specific targets are directly related to the structural and enabling factors.

Goal 1. End poverty in all its forms everywhere

1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance

1.a Ensure significant mobilization of resources from a variety of sources, including through enhanced development cooperation, in order to provide adequate and predictable means for developing countries, in particular least developed countries, to implement programmes and policies to end poverty in all its dimensions

1.b Create sound policy frameworks at the national, regional and international levels, based on pro-poor and gender-sensitive development strategies, to support accelerated investment in poverty eradication actions

Goal 6. Ensure availability and sustainable management of water and sanitation for all

6.5 By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate

6.a By 2030, expand international cooperation and capacity-building support to developing countries in water- and sanitation-related activities and programmes, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies

Goal 7. Ensure access to affordable, reliable, sustainable and modern energy for all

7.a By 2030, enhance international cooperation to facilitate access to clean energy research and technology, including renewable energy, energy efficiency and advanced and cleaner fossil-fuel technology, and promote investment in energy infrastructure and clean energy technology

7.b By 2030, expand infrastructure and upgrade technology for supplying modern and sustainable energy services for all in developing countries, in particular least developed countries, small island developing States, and land-locked developing countries, in accordance with their respective programmes of support

Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

8.3 Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity and innovation, and encourage the formalization and growth of micro-, small- and medium-sized enterprises, including through access to financial services

8.5 By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value

8.6 By 2020, substantially reduce the proportion of youth not in employment, education or training

Goal 9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation

9.1 Develop quality, reliable, sustainable and resilient infrastructure, including regional and trans-border infrastructure, to support economic development and human well-being, with a focus on affordable and equitable access for all

9.3 Increase the access of small-scale industrial and other enterprises, in particular in developing countries, to financial services, including affordable credit, and their integration into value chains and markets

9.4 By 2030, upgrade infrastructure and retrofit industries to make them sustainable, with increased resource-use efficiency and greater adoption of clean and environmentally sound technologies and industrial processes, with all countries taking action in accordance with their respective capabilities

9.a Facilitate sustainable and resilient infrastructure development in developing countries through enhanced financial, technological and technical support to African countries, least developed countries, landlocked developing countries and small island developing States

Goal 11. Make cities and human settlements inclusive, safe, resilient and sustainable

11.2 By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons

11.7 By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities

11.a Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning

11.c Support least developed countries, including through financial and technical assistance, in building sustainable and resilient buildings utilizing local materials

Goal 13. Take urgent action to combat climate change and its impacts

Goal 14. Conserve and sustainably use the oceans, seas and marine resources for sustainable development

Goal 15. Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss

Goal 17. Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development

Dimension VIII: Governance	
SDG 1	No poverty
SDG 9	Industry, innovation and infrastructure
SDG 10	Reduced inequalities
SDG 16	Peace, justice and strong communities
SDG 17	Partnership for the goals

Key themes: Transparency, prevent and pre-empt conflict, partnerships, legal frameworks, contract monitoring, grievance mechanisms, accountability

Example discussion questions

- Are agreements among stakeholders transparent, executable, capable of being effectively monitored, and do they offer grievance mechanisms for involved parties? (SDG 9, SDG 17)
- How can the development of legal processes be more participatory and represent more stakeholders, including companies, investors and communities? (SDG 1, SDG 10, SDG 16)
- Are the parties responsible for enforcing legislation and agreements effective, and how can they be more effective? Especially in connection to environment, labour, community development, social and cultural impacts, and human rights? (SDG 10, SDG 16)
- Is it clear who owns and who is responsible for the management of natural resources, from national to the local level? How can these duties be more clear and how can management be made equitable through legislative processes? (SDG 1)

Relevant targets for further discussion

The SDGs and specific targets identified as related to Dimension VIII are listed below. The footnotes from the survey show how specific targets are directly related to the structural and enabling factors.

Goal 1. End poverty in all its forms everywhere

1.2 By 2030, reduce at least by half the proportion of men, women and children of all ages living in poverty in all its dimensions according to national definitions

1.3 Implement nationally appropriate social protection systems and measures for all, including floors, and by 2030 achieve substantial coverage of the poor and the vulnerable

1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance

1.b Create sound policy frameworks at the national, regional and international levels, based on pro-poor and gender-sensitive development strategies, to support accelerated investment in poverty eradication actions

Goal 9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation

9.1 Develop quality, reliable, sustainable and resilient infrastructure, including regional and trans-border infrastructure, to support economic development and human well-being, with a focus on affordable and equitable access for all

9.2 Promote inclusive and sustainable industrialization and, by 2030, significantly raise industry's share of employment and gross domestic product, in line with national circumstances, and double its share in least developed countries

9.b Support domestic technology development, research and innovation in developing countries, including by ensuring a conducive policy environment for, inter alia, industrial diversification and value addition to commodities

Goal 10. Reduce inequality within and among countries

10.2 By 2030, empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status

10.3 Ensure equal opportunity and reduce inequalities of outcome, including by eliminating discriminatory laws, policies and practices and promoting appropriate legislation, policies and action in this regard

10.4 Adopt policies, especially fiscal, wage and social protection policies, and progressively achieve greater equality



10.5 Improve the regulation and monitoring of global financial markets and institutions and strengthen the implementation of such regulations

10.6 Ensure enhanced representation and voice for developing countries in decision-making in global international economic and financial institutions in order to deliver more effective, credible, accountable and legitimate institutions

10.7 Facilitate orderly, safe, regular and responsible migration and mobility of people, including through the implementation of planned and well-managed migration policies

Goal 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels

16.5 Substantially reduce corruption and bribery in all their forms

16.6 Develop effective, accountable and transparent institutions at all levels

16.7 Ensure responsive, inclusive, participatory and representative decision-making at all levels

16.8 Broaden and strengthen the participation of developing countries in the institutions of global governance

16.10 Ensure public access to information and protect fundamental freedoms, in accordance with national legislation and international agreements

16.a Strengthen relevant national institutions, including through international cooperation, for building capacity at all levels, in particular in developing countries, to prevent violence and combat terrorism and crime

16.b Promote and enforce non-discriminatory laws and policies for sustainable development

Goal 17. Strengthen the means of implementation and revitalize the global partnerships for sustainable development

17.3 Mobilize additional financial resources for developing countries from multiple sources

17.9 Enhance international support for implementing effective and targeted capacity-building in developing countries to support national plans to implement all the sustainable development goals, including through North-South, South-South and triangular cooperation

17.14 Enhance policy coherence for sustainable development

17.17 Encourage and promote effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships



Annex 4: RMDI Survey and Instructions for Mobile Survey Adaptation

Page 1: Select a language

Page 2: Responsible Mineral Development Survey (RMDI) introduction

This survey is part of the World Economic Forum's Responsible Mineral Development Initiative (RMDI), which promotes dialogue on how mineral development can create or contribute to the creation of value for different stakeholders. Mining can be leveraged for positive impacts, but can also generate negative effects. For more information, visit www.weforum.org/rmdi.

The survey, which will take about 15-20 minutes to complete, will ask you about your perceptions of the impact of mining today and what you expect from mining in the future. It will test stakeholders' views of current value and areas of opportunity to increase value.

The language of the UN Sustainable Development Goals (SDGs) has been integrated into the survey to create a more holistic and representative conversation around the global mining industry. The survey identifies direct and indirect relationships between the SDGs and the eight dimensions identified below. Language of the survey reflects the integration of the SDG targets to facilitate a dialogue around local context and impacts.

Please be assured that your responses will be strictly confidential and data from this survey will be reported only in the aggregate. We thank you for your contribution to this initiative.

Page 3: Respondent information

Name:
Job / Position / Role:
Gender:
Age:
Province / Region:
Organization / Company / Affiliation / Community:

Which stakeholder group do you most represent?

- **Business related** (commodity producers, shareholders, customers, contractors, suppliers, financial and lending institutions)
- **Government related** (national, regional and local authorities, legislators, government agencies)
- **Local communities** (community groups, individuals directly involved or impacted by the extractives sector activities in their local area)
- **Civil society** (NGOs, media, activist groups, religious organizations, professional associations, voluntary associations)
- **Other**

If other, please specify:

Page 4: RMDI dimensions

For the purposes of the survey, we have identified eight dimensions which have the potential to create benefits in the minerals sector.

Dimension I: Revenues – structure, amounts and use of "resource rent" (i.e. tax, royalties, dividends) being collected

Dimension II: Employment and Skills – employment and training opportunities offered through and as a consequence of resource development activities, and the availability of appropriately skilled resources in a host country; it also includes new jobs created through the mining supply chain and due to spending by mining employees

Dimension III: Environment and Biodiversity – the impacts on and stewardship of the environment (biodiversity, water, air, land and soils, and climate change), and the impacts and enhancements to livelihoods dependent on living resources in mineral affected areas

Dimension IV: Social and Cultural – the respect for and consideration of rights in decision-making and planning and the impacts of mining on social rights (e.g. human rights, labour rights, minority rights and gender), cultural rights (e.g. traditional livelihoods, population displacement and culturally sensitive sites) and social cohesion

Dimension V: Supply Industry – the size, competitiveness, advancement and sustainability of the mining input industries (e.g. mining equipment, accounting services, catering), as well as leveraging these activities to develop auxiliary industries

Dimension VI: Downstream Industry – the processing and refining of raw commodities (e.g. minerals processing, smelting and refining, semi-fabrication, final product) as well as leveraging this to develop auxiliary industries

Dimension VII: Infrastructure – the level and quality of infrastructure in a country required by the mining industry and the opportunity to leverage that infrastructure for other uses (e.g. public use and non-mining industries)

Dimension VIII: Governance – the overall governance, legal and policy frameworks, and transparency within the mining sector; more specific information about sector needs and policies can be found within the other seven dimensions; governance frameworks (including laws, regulations, contracts, international agreements and government policies) cover a range of issues, including fiscal terms, community rights and benefits, health, safety, and environmental obligations, grievance and dispute-settlement mechanisms, disclosure of information, partnerships, and accountable and inclusive processes and institutions

Page 5: Overall ranking

For each dimension, how much perceived impact (positive or negative) is the mining sector currently having in your country today?

	Very negative (-2)	Negative (-1)	None (0)	Positive (+1)	Very positive (+2)
I. Revenues					
II. Employment and Skills					
III. Environment and Biodiversity					
IV. Social and Cultural					
V. Supply Industry					
VI. Downstream Industry					
VII. Infrastructure					
VIII. Governance					

For each dimension, how much impact (positive or negative) do you expect the mining sector to have over the next 10 years?

	Very negative (-2)	Negative (-1)	None (0)	Positive (+1)	Very positive (+2)
I. Revenues					
II. Employment and Skills					
III. Environment and Biodiversity					
IV. Social and Cultural					
V. Supply Industry					
VI. Downstream Industry					
VII. Infrastructure					
VIII. Governance					

Are there any other areas of impact important to you that are not here?

Based on your answers above, in which area of impact do you want to see the most positive impact be created in the next 10 years? (1 being highest priority; 8 being the lowest)

	Ranking (1 to 8)
I. Revenues	
II. Employment and Skills	
III. Environment and Biodiversity	
IV. Social and Cultural	
V. Supply Industry	
VI. Downstream Industry	
VII. Infrastructure	
VIII. Governance	

If other, please specify:

Page 6: Dimension I – Revenues

This dimension refers to the structure, amounts and use of “resource rent” (i.e. tax, royalties, dividends) being collected. Please select the area that, in your opinion, needs more improvement:

	The structure and level of taxes, royalties and government ownership or equity participation regimes ¹³
	The effective use of the revenues generated from the mining sector to create sustainable development and equitable economic growth ¹⁴

Please rank the top three structural factors that you believe have the biggest impact on this dimension. Structural factors relate to the inherent nature of the country, its mineral deposits and mining industry (e.g. geography, ore quality and quantity, mine cycle), and current levels of skill, technology and infrastructure in the country.

	Write your choices below to rank
Global commodity prices impacting profitability of the mining industry	
Current stage of the mine cycle (exploration, construction, operation, closure)	
Available physical infrastructure increasing the attractiveness of mining investment ¹⁵	
Finite nature of resource base and its implications for diversification and long-term fiscal planning ¹⁶	
Type, quality and quantity of resource base.	
Other (please specify below)	

Other:

Please rank the top three enabling factors which, if improved, you believe would have the biggest impact on this dimension.

Enabling factors relate to the regulatory, institutional and political structures in a country, as well as the representation, behaviour and attitude of all relevant stakeholders.

	Write your choices below to rank
Level and structure of taxes and royalty regimes and public ownership of mineral assets ¹⁷	
Complexity of procedures to obtain mining licenses and permits ¹⁸	
Structure and complexity of public institutions and levels of government	
Effectiveness of compliance and monitoring of mineral agreements and tax collection ¹⁹	
Revenue management and expenditure mechanisms ²⁰	
Availability and structure of subsidies and incentives for mining ²¹	
Institutional and human capacity of government regulators to monitor, manage and invest revenue streams	
Other (please specify below)	

Other:

--

Any other comments related to the opportunities and priorities within this dimension of value:

--

Page 7: Dimension II – Employment and Skills

This dimension refers to employment and training opportunities offered through and as a consequence of resource development activities, and the availability of appropriately skilled resources in a host country. It also includes new jobs created through the mining supply chain and due to spending by mining employees.

Please select the area that, in your opinion, needs more improvement:

	Direct and indirect employment and skill levels through the mining supply/value chain ²²
	Increasing employment opportunities and skills of vulnerable populations (e.g. women, indigenous and migrant) ²³

Please rank the top three structural factors that you believe have the biggest impact on this dimension.

Structural factors relate to the inherent nature of the country, its mineral deposits and mining industry (e.g. geography, ore quality and quantity, mine cycle), and current levels of skill, technology and infrastructure in the country.

	Write your choices below to rank
Current stage of mine cycle (e.g. exploration, planning, construction, operating, mine closure) impacting all levels of full and productive employment ²⁴	
Location of mines (e.g. close/far from population centres) ²⁵	
Contribution of sustainable and resilient infrastructure in the country ²⁶	
Levels of relevant education and technical skills (including of women, indigenous, migrant and marginalized populations)	
Flexibility of labour market in the country	
Advances in technology/automation impacting levels and type of employment ²⁷	
Presence of artisanal mining in relation to industrialized mining, as it impacts employment and skills in the local community ²⁸	
Other (please specify below)	

Other:

--

Please rank the top three enabling factors which, if improved, you believe would have the biggest impact on this dimension.

Enabling factors relate to the regulatory, institutional and political structures in a country, as well as the representation, behaviour and attitude of all relevant stakeholders.

	Write your choices below to rank
Local employment requirements in mineral agreements and existence of local content policy ²⁹	
Equal employment opportunities for women, indigenous, migrant and marginalized populations, including targeted programmes and support as necessary	
Levels of training and education by government and private sector, ³⁰ in mining-related fields and in auxiliary fields	
Integration of mining into broader and more sustainable national economic planning, including the use of government revenues for diversification into non-mining sectors ³¹	
Willingness and commitment of mining companies to adopt policies to support and invest in local procurement, alone or in clusters and to promote linkages of employment to other industries ³²	
Other (Please specify below)	

Other:

Any other comments related to the opportunities and priorities within this dimension of value:

Page 8: Dimension III – Environment and Biodiversity

This dimension refers to the impacts on and stewardship of the environment (biodiversity, water, air, land and soils, and climate change), and the impacts and enhancements to livelihoods dependent on living resources in mineral affected areas.

Please select the area that, in your opinion, needs more improvement:

	Minimizing the direct environmental impacts caused by the mining sector to air, land, water, biodiversity and human health ³³ and livelihoods dependent on environmental resources
	Improving the role mining can play in increasing general country environmental standards and stewardship of the natural endowment through concurrent reclamation, habitat improvement, educational programs ³⁴ and best practice examples for sustainable use of input ³⁵

Please rank the top three structural factors which you believe have the biggest impact on this dimension.

Structural factors relate to the inherent nature of the country, its mineral deposits and mining industry (e.g. geography, ore quality and quantity, mine cycle), and current levels of skill, technology and infrastructure in the country.

	Write your choices below to rank
Geography and climate of areas surrounding mining sites (e.g. soil, air, water, precipitation level)	
Country participation in biodiversity commitments and presence of protected areas	
Types of mineral resources requiring different types of processing and inputs (e.g. water, energy, infrastructure, chemicals) ³⁶	
Proximity to environmentally sensitive sites and endangered species ³⁷	
Types of technology used at mining sites impacting the environment (e.g. use of renewables in mining sector) ³⁸	
Relative scale of artisanal and/or industrialized mining ³⁹	
Other (please specify below)	

Other:

--

Please rank the top three enabling factors which, if improved, you believe would have the biggest impact on this dimension.

Enabling factors relate to the regulatory, institutional and political structures in a country, as well as the representation, behaviour and attitude of all relevant stakeholders.

	Write your choices below to rank
Government mechanisms and capacity to support protected areas	
Legislation and regulatory frameworks to maintain environmental quality (including requirements for environmental impact assessments and reporting), achieve conservation goals, ensure sustainable use of natural resources in mining sector and increase opportunities for mining to improve environmental conditions ⁴⁰	
Legislation and regulatory frameworks on environmental issues and their impacts on public health (e.g. clean water, tailings, air emissions, spills) ⁴¹	
Use of subsidies and incentives that affect the sustainable use of environmental mining inputs (e.g. carbon tax, awards, reputation) ⁴²	

Capacity to implement and monitor environmental impact and enforce legislation and regulation ⁴³ (including rights principles such as access to information, right to be heard, right to appeal, etc.)	
Company attitude and commitment to minimizing environmental impact (e.g. production activities, education and awareness programs, or environmental rehabilitation or protection) and enhancing biodiversity ⁴⁴	
Influence and activities of civil society groups	
Levels of planning and funding (from private sector and government) for mitigation, adaptation, conservation, post-mine closure and reclamation ⁴⁵	
Existence of financial assurance mechanisms for reclamation and closure	
Other (please specify below)	

Other:

Any other comments related to the opportunities and priorities within this dimension of value:

Page 9: Dimension IV –Social and Cultural

This dimension refers to the respect for and consideration of rights in decision-making and planning and the impacts of mining on social rights (e.g. human rights, labour rights, minority rights and gender) and cultural rights (e.g. traditional livelihoods, population displacement and culturally sensitive sites), and social cohesion.

Please select the area that, in your opinion, needs more improvement:

	Respect for and consideration of rights in decision-making and planning within the mining sector
	Minimizing negative social and cultural impacts on those directly participating in the mining sector ⁴⁶ and increasing the mining sector's contribution to social development in surrounding communities ⁴⁷

Please rank the top three structural factors that you believe have the biggest impact on this dimension.

Structural factors relate to the inherent nature of the country, its mineral deposits and mining industry (e.g. geography, ore quality and quantity, mine cycle), and current levels of skills, technology and infrastructure in the country.

	Write your choices below to rank
Proximity of mine and its activities to local communities	
Presence of indigenous and vulnerable communities	
Presence of artisanal and small-scale miners in proximity to large-scale mining activities ⁴⁸	

Participation of diverse stakeholder groups in the mining sector ⁴⁹ (e.g. social, cultural and economic demographics)	
Existing local socio-cultural context and dynamics (e.g. gender, ethnicity, religion, migration)	
Other (Please specify below)	

Other:

Please rank the top three enabling factors which, if improved, you believe would have the biggest impact on this dimension.

Enabling factors relate to the regulatory, institutional and political structures in a country, as well as the representation, behaviour and attitude of all relevant stakeholders.

	Write your choices below to rank
Legislation, regulation and social impact assessments associated with the protection of human rights, labour rights, gender rights, cultural heritage and indigenous peoples, and government capacity to enforce them ⁵⁰	
Company approach and commitment to promoting social inclusion, addressing social impacts, ⁵¹ protecting cultural heritage and investing in community development ⁵²	
Company commitment to rights protocols (e.g. an approach that adopts free, prior and informed consent (FPIC))	
Influence and activities of civil society groups ⁵³	
Mechanism for structured dialogue and engagement between stakeholders in all phases of the mining sector	
Company approach and commitment to the protection of human rights in mining communities (e.g. access to adequate health, necessary social services and access to secure communities) ⁵⁴	
Other (Please specify below)	

Other:

Any other comment related to the opportunities and priorities within this dimension of value:

Page 10: Dimension V – Supply Industry

This dimension refers to the size, competitiveness, advancement and sustainability of the mining input industries (e.g. mining equipment, accounting services, catering), as well as leveraging these activities to develop auxiliary industries.

Please select the area that, in your opinion, needs more improvement:

	Opportunities to develop supply chain inputs, including support for local suppliers (i.e. the use of local/domestic industries and suppliers in the procurement of goods and services that mining companies need to operate)
	Diversification of local and national economies catalysed by mining and corresponding supply chains

Please rank the top three structural factors that you believe have the biggest impact on this dimension.

Structural factors relate to the inherent nature of the country, its mineral deposits and mining industry (e.g. geography, ore quality and quantity, mine cycle), and current levels of skill, technology and infrastructure in the country.

	Write your choices below to rank
Type of minerals being extracted influencing the types of goods and services needed ⁵⁵	
Scale of mining industry impacting ability to create large, diversified, high-value added, highly skilled, and/or innovative local input industry ⁵⁶	
Levels of physical infrastructure in country (rail, roads, power supply, etc.) ⁵⁷	
Levels of skills and technology of local industry/ economy, experience and capability of local entrepreneurs to competitively pursue business opportunities and deliver quality services and products ⁵⁸	
Capacity of broader economy to “supply suppliers” impacting multiplier effects of supply industry ⁵⁹	
Other (please specify below)	

Other:

--

Please rank the top three enabling factors which, if improved, you believe would have the biggest impact on this dimension.

Enabling factors relate to the regulatory, institutional and political structures in a country, as well as the representation, behaviour and attitude of all relevant stakeholders.

	Write your choices below to rank
Local content requirements (e.g. for the procurement of local goods, services, and/or labour)	
Quality of institutional environment (e.g. ease of doing business)	

Integration of mining into broader and more sustainable national economic planning, including the use of government revenues for diversification ⁶⁰	
Willingness and commitment of mining companies to invest in and adopt policies to support local procurement, alone or in clusters, and to promote linkages to other industries ⁶¹	
Access to and availability of financial services and technical services for micro, small and medium-sized enterprises ⁶²	
Consultation and collaboration between mining companies and auxiliary industries	
Other (Please specify below)	

Other:

Any other comments related to the opportunities and priorities within this dimension of value:

Page 11: Dimension VI – Downstream Industry

This dimension refers to the processing and refining of raw commodities (e.g. minerals processing, smelting and refining, semi-fabrication, final product) as well as leveraging this to develop auxiliary industries.

Please select the area that, in your opinion, needs more improvement:

	Developing the current value addition of extracted commodities, including processing and refining
	Development of diversified local and national economies, through leveraging an existing downstream industry

Please rank the top three structural factors that you believe have the biggest impact on this dimension.

Structural factors relate to the inherent nature of the country, its mineral deposits and mining industry (e.g. geography, ore quality and quantity, mine cycle), and current levels of skill, technology and infrastructure in the country.

	Write your choices below to rank
Type of mineral, strategic importance of mineral, and industry cost structure (including raw commodity cost as % of total cost base, transport costs, energy costs) affecting profitability of downstream industry ⁶³	
Long-term growth prospects of global industry for downstream products, demand for downstream goods (market size and attractiveness) and proximity to markets ⁶⁴	
Levels of physical infrastructure in country ⁶⁵	
Levels of skills and technology of local industry and economy ⁶⁶	

Business capacity, i.e. experience and capability of local entrepreneurs to competitively pursue business opportunities and deliver quality services and products ⁶⁷	
Type of downstream industry influencing ability to create diversification	
Scale of mining industry, impacting ability to create large, diversified, high-value added, and labour-intensive downstream industry ⁶⁸	
Other (Please specify below)	

Other:

Please rank the top three enabling factors which, if improved, you believe would have the biggest impact on this dimension.

Enabling factors relate to the regulatory, institutional and political structures in a country, as well as the representation, behaviour, and attitude of all relevant stakeholders.

	Write your choices below to rank
Policies to promote downstream development and investment (e.g. incentives, subsidies, industrial policies and export restrictions) ⁶⁹	
Regulatory and legal environment governing value-addition activities	
Capacity of government to analyse trade-offs and effectiveness of policies promoting downstream development	
Integration of downstream industries into broader and more sustainable national economic planning including the strategic use of downstream industries for diversification ⁷⁰	
Influence and collaboration of stakeholders (private sector; mining and other relevant industries), lobby groups, government, civil society) in policy-making and promoting linkages to other industries ⁷¹	
Quality of institutional environment (e.g. ease of doing business)	
Access to and availability of financial services and technical services for micro, small and medium-sized enterprises ^{72, 73}	
Opportunities for training in skills related to downstream and auxiliary industries, provided by both private and public sector	
Other (Please specify below)	

Other:

--

Any other comment related to the opportunities and priorities within this dimension of value:

--

Page 12: Dimension VII – Infrastructure

This dimension refers to the level and quality of infrastructure in a country required by the mining industry and the opportunity to leverage that infrastructure for other uses (e.g. public use and non-mining industries).

Please select the area that, in your opinion, needs more improvement:

	Improving the direct mining infrastructure in the country to attract more investments and improve the profitability of the industry (e.g. leading to more tax revenues, etc.)
	Leveraging the infrastructure for broader use and development opportunities (e.g. access to infrastructure by other non-mining industries, expanded access to infrastructure and public services, availability of clean water, etc.) ⁷⁴

Please rank the top three structural factors that you believe have the biggest impact on this dimension.

Structural factors relate to the inherent nature of the country, its mineral deposits and mining industry (e.g. geography, ore quality and quantity, mine cycle), and current levels of skill, technology and infrastructure in the country.

	Write your choices below to rank
Size and quality of the mineral reserves (impacts the economic viability of building long-term infrastructure)	
Type of ore (dictates the type of infrastructure required)	
Location of the mineral reserves (influences the ability to leverage infrastructure for non-mining industry and public use)	
Level of existing infrastructure in the country and accessibility ⁷⁵	
Levels of skills and technology in country to construct and operate infrastructure ⁷⁶	
Geographic location of country (affects types of infrastructure development opportunities and potential for regional integration)	
Other (Please specify below)	

Other:

--

Please rank the top three enabling factors which, if improved, you believe would have the biggest impact on this dimension.

Enabling factors relate to the regulatory, institutional and political structures in a country, as well as the representation, behaviour and attitude of all relevant stakeholders.

	Write your choices below to rank
Stability of investment environment to encourage long-term private investment ⁷⁷	
Capacity of government and local authorities to conduct regional economic planning and integrate infrastructure solutions into that planning ⁷⁸	
Public policies to promote or develop sustainable supporting infrastructure for extractive industries ⁷⁹	
Existence of supplementary funding for mining infrastructure projects to expand access for other users and other purposes ⁸⁰	
Level of coordination between government departments and levels (federal/national, regional, local) for infrastructure planning and integration ⁸¹	
Willingness of mining companies to share infrastructure at local and national level, with other companies and other users	
Levels of coordination between mining companies ⁸²	
Other (Please specify below)	

Other:

Any other comment related to the opportunities and priorities within this dimension of value:

Page 13: Dimension VIII – Governance

This dimension refers to the overall governance, legal and policy frameworks, and transparency within the mining sector. More specific information about sector needs and policies can be found within the other seven dimensions. Governance frameworks (including laws, regulations, contracts, international agreements and government policies), cover a range of issues, such as fiscal terms, community rights and benefits, health and safety, environmental obligations, grievance and dispute-settlement mechanisms, disclosure of information, partnerships, and accountable and inclusive processes and institutions.⁸³

Please select the area that, in your opinion, needs more improvement:

	A fair, transparent, coherent policy and legal framework that maximizes the benefits and protects the interests of all stakeholders, including host countries and communities ⁸⁴
	Accountable, effective and inclusive processes and institutions, including access to grievance mechanisms and remedies for affected stakeholders and communities ⁸⁵

Please rank the top three structural factors that you believe have the biggest impact on this dimension.

Structural factors relate to the inherent nature of the country, its mineral deposits and mining industry (e.g. geography, ore quality and quantity, mine cycle), and current levels of skill, technology and infrastructure in the country.

	Write your choices below to rank
Existing international treaties and agreements ratified by the country ⁸⁶	
Historic levels of corruption	
Political stability (ability to maintain continuity of systems). ⁸⁷	
Level of wealth concentration	
Historic and existing models of government (e.g. dictatorship, monarchy, military rule, democracy)	
Other (please specify below)	

Other:

--

Please rank the top three enabling factors which, if improved, you believe would have the biggest impact on this dimension.

Enabling factors relate to the regulatory, institutional and political structures in a country, as well as the representation, behaviour and attitude of all relevant stakeholders.

	Write your choices below to rank
Decision-making processes, distribution of authority and the accountability of decision-makers ⁸⁸	
Participation (by governments, companies, and civil society) in voluntary initiatives (e.g. the Extractive Industries Transparency Initiative (EITI) and the Voluntary Principles (VPs))	
Ownership and responsibility for the management of natural resources (including decentralized ownership or management at the local or sub-national level) ⁸⁹	

Transparency of mineral agreements/ arrangements between government and private sector and transparency of government expenditure of mineral revenues ⁹⁰	
The level of legislation and regulatory frameworks, including the distribution of rights and responsibilities, reducing scope for negotiation, increasing transparency and decreasing scope for corruption ⁹¹	
Independence and ability of institutions to enforce legal obligations, including those related to environment, labour, human rights, etc. ⁹²	
Participatory processes in the development of the legal framework (e.g. representation of companies, investors and communities) ⁹³	
Access to grievance mechanisms and remedies for affected parties	
Levels of corruption and avenues available to address corruption ⁹⁴	
Training programmes for government negotiators and policy-makers, focusing on negotiation skills, legal drafting and best practice provisions.	
Other (please specify below)	

Other:

Any other comments related to the opportunities and priorities within this dimension of value:

Page 14: Thank You

Thank you for participating in the RMDI survey. Do you have any other comments or feedback to share?

Instructions for Mobile Survey Adaption

The following survey can be adapted in two ways:

1. Working off of the Kobo Toolbox template (<https://ee.kobotoolbox.org/::YFEo>)
2. Working off of the Excel code (template included as a separate document)

The excel code allows the user more freedom in adapting the survey content and format. Additionally, depending on the preferences of the implementing partner, the Excel code can be uploaded as is into any open source or off the shelf data collection platform. Examples include: Kobo Toolbox, Flowfinity, Fulcrum, Harvest Your Data, Open Data Kit, Magpi, CommCare, taro Works, iFormBuilder, Google Forms, etc.

For help working with the Excel code, refer to XLSForm.org (<http://xlsform.org/#settings>).



Acknowledgements

The World Economic Forum would like to thank the authors of the Responsible Mineral Development Initiative (RMDI) Implementation Manual: Corey Beavon of the University of Cape Town and Sophia Davis, Erica Jordan and Alyssa Shumaker of Columbia University's School of International and Public Affairs (SIPA).

Endnotes

- ¹ World Economic Forum, United Nations Development Programme (UNDP), Columbia Center for Sustainable Investment (CCSD), *Mapping Mining to the Sustainable Development Goals: An Atlas, 2016*, p. 4.
- ² *Ibid.*, 18.
- ³ *Ibid.*, 48.
- ⁴ *Ibid.* 40. In some countries, such as Canada and Australia, the use of formal agreements with communities, especially indigenous peoples, is standard practice. Agreements are legally binding documents where the company and the community set out mutual commitments. Agreements typically cover community access to employment, procurement and training opportunities to exchange for company access to land and water resources. Agreements can also cover the joint monitoring of operational impacts. Agreements are based on good faith, inclusive and participatory of indigenous peoples, should respect the principles of free, prior and informed consent. Companies and communities can collaborate on the transparent monitoring of commitments made in agreements.
- ⁵ *Ibid.*, 46.
- ⁶ *Ibid.*, 17. For example, developing local supplier capacity or strengthening local value chains could improve these systems.
- ⁷ *Ibid.*, 36-37. More sustainable supply industry systems could be achieved through improved energy efficiency or by incorporating renewable energy. Energy efficiency can be improved through low energy grinding technologies, improved maintenance, or through energy audits. Renewable energy can be utilized instead of diesel, but researching cost-effective wind, solar, or geothermal energy options.
- ⁸ *Ibid.*, 36.
- ⁹ *Ibid.*, 36, 39, 42.
- ¹⁰ *Ibid.*, 39, 66.
- ¹¹ *Ibid.*, 45. Shared use infrastructure, especially in countries with a large infrastructure financing gap, represents a significant opportunity for mining to expand access to critical services. Ways to share infrastructure include exploring co-funding arrangements with other stakeholders (government), sharing rail, road, power, water and ICT infrastructure, and harnessing economies of scale and economies of scope.
- ¹² *Ibid.*
- ¹³ This factor is connected to SDG Targets 1.3, 10.4
- ¹⁴ This factor is connected to SDG Target 8.1
- ¹⁵ This factor is connected to SDG Target 10.b
- ¹⁶ This factor is connected to SDG Target 8.2
- ¹⁷ This factor is connected to SDG Target 10.4
- ¹⁸ This factor is connected to SDG Target 12.7
- ¹⁹ This factor is connected to SDG Target 10.5
- ²⁰ This factor is connected to SDG Target 12.c
- ²¹ This factor is connected to SDG Target 12.c
- ²² This factor is connected to SDG Targets 8.5, 8.6
- ²³ This factor is connected to SDG Targets 1.3, 8.8, 10.2
- ²⁴ This factor is connected to SDG Target 8.5
- ²⁵ This factor is connected to SDG Target 9.1
- ²⁶ This factor is connected to SDG Target 9.1
- ²⁷ This factor is connected to SDG Target 8.2
- ²⁸ This factor is connected to SDG Targets 12.6
- ²⁹ This factor is connected to SDG Targets 5.a, 5.c, 10.3, 1.3
- ³⁰ This factor is connected to SDG Targets 4.3, 5.1
- ³¹ This factor is connected to SDG Target 1.7
- ³² This factor is connected to SDG Target 1.4
- ³³ This factor is connected to SDG Targets 3.3, 3.9, 12.4
- ³⁴ This factor is connected to SDG Target 13.3
- ³⁵ This factor is connected to SDG Targets 12.2 and 15.5
- ³⁶ This factor is connected to SDG Targets 12.4
- ³⁷ This factor is connected to SDG Target 15.5
- ³⁸ This factor is connected to SDG Target 7.2
- ³⁹ This factor is connected to SDG Target 12.6
- ⁴⁰ This factor is connected to SDG Targets 3.3, 3.9, 6.4, 12.2, 12.6
- ⁴¹ This factor is connected to SDG Targets 3.3, 3.9, 6.3, 12.4, and 14.1
- ⁴² This factor is connected to SDG Targets 7.2, 12.c, 15.1, 15.2
- ⁴³ This factor is connected to SDG Targets 6.5, 13.3
- ⁴⁴ This factor is connected to SDG Target 13.3
- ⁴⁵ This factor is connected to SDG Targets 13.a, 15.a, 15.b
- ⁴⁶ This factor is connected to SDG Targets 1.4, 5.a, 8.8, 10.3
- ⁴⁷ This factor is connected to SDG Targets 1.3, 5.a, 8.10, 10.4
- ⁴⁸ This factor is connected to SDG Targets 3.7, 3.8
- ⁴⁹ This factor is connected to SDG Targets 1.4, 5.a, 8.8, 10.2, 10.3, 16.b
- ⁵⁰ This factor is connected to SDG Targets 3.7, 3.8, 5.a, 8.7, 8.8, 11.4, 16.2, 16.3
- ⁵¹ This factor is connected to SDG Targets 8.7, 8.8, 10.2, 16.2
- ⁵² This factor is connected to SDG Targets 10.4, 16.b
- ⁵³ This factor is connected to SDG Targets 5.5, 10.2, 6.7
- ⁵⁴ Examples of human rights from the Universal Declaration of Human Rights, Article 25
- ⁵⁵ This factor is connected to SDG Targets 9.5, 9.c
- ⁵⁶ This factor is connected to SDG Targets 8.2 and 8.3
- ⁵⁷ This factor is connected to SDG Targets 9.2 and 9.4
- ⁵⁸ This factor is connected to SDG Targets 8.3, 17.6, 17.7
- ⁵⁹ This factor is connected to SDG Target 1.a
- ⁶⁰ This factor is connected to SDG Targets 7.1, 7.3
- ⁶¹ This factor is connected to SDG Targets 8.3, 12.7
- ⁶² This factor is connected to SDG Target 8.3
- ⁶³ This factor is connected to SDG Target 9.c
- ⁶⁴ This factor is connected to SDG Target 17.12
- ⁶⁵ This factor is connected to SDG Targets 9.2, 9.4
- ⁶⁶ This factor is connected to SDG Targets 8.3, 17.6, 17.7
- ⁶⁷ This factor is connected to SDG Targets 8.3, 17.6, 17.7
- ⁶⁸ This factor is connected to SDG Targets 8.2, 8.3

- ⁶⁹ This factor is connected to SDG Targets 9.b, 17.5
- ⁷⁰ This factor is connected to SDG Targets 7.1, 7.3, 9.3
- ⁷¹ This factor is connected to SDG Targets 8.3, 12.7
- ⁷² This factor is connected to SDG Targets 8.3, 1.4, 8.10, 9.3
- ⁷³ This factor is connected to SDG Target 1.4
- ⁷⁴ This factor is connected to the SDGs that will depend on mining infrastructure and may leverage mining infrastructure for broader use and development – SDGs 6, 13, 14, 15 and 17.
- ⁷⁵ This factor is connected to SDG Targets 11.2, 11.7
- ⁷⁶ This factor is connected to SDG Targets 8.5, 8.6
- ⁷⁷ This factor is connected to SDG Targets 1.a, 7.a, 9.4, 9.a
- ⁷⁸ This factor is connected to SDG Targets 6.5, 6.a
- ⁷⁹ This factor is connected to SDG Targets 7.b, 11.a
- ⁸⁰ This factor is connected to SDG Targets 8.3, 9.3, 11.c
- ⁸¹ This factor is connected to SDG Targets 8.3, 9.1
- ⁸² This factor is connected to SDG Target 9.1
- ⁸³ This factor is connected to SDG Targets 9.2, 9.b
- ⁸⁴ This factor is connected to SDG Target 1.2
- ⁸⁵ This factor is connected to SDG Targets 1.2, 10.3, 16.b
- ⁸⁶ This factor is connected to SDG Targets 9.2, 9.b, 16.8, 17.3, 17.9, 17.17
- ⁸⁷ This factor is connected to SDG Targets 10.5, 10.7, 16.a
- ⁸⁸ This factor is connected to SDG Targets 1.b, 10.2, 10.6, 16.7
- ⁸⁹ This factor is connected to SDG Target 1.4
- ⁹⁰ This factor is connected to SDG Target 9.2
- ⁹¹ This factor is connected to SDG Targets 1.b, 9.1, 10.5, 17.14
- ⁹² This factor is connected to SDG Targets 10.4, 10.6, 16.b
- ⁹³ This factor is connected to SDG Targets 1.3, 10.2, 10.3, 10.5, 10.6, 16.7
- ⁹⁴ This factor is connected to SDG Targets 16.5, 16.6, 16.a



COMMITTED TO
IMPROVING THE STATE
OF THE WORLD

The World Economic Forum, committed to improving the state of the world, is the International Organization for Public-Private Cooperation.

The Forum engages the foremost political, business and other leaders of society to shape global, regional and industry agendas.

World Economic Forum
91–93 route de la Capite
CH-1223 Cologny/Geneva
Switzerland

Tel.: +41 (0) 22 869 1212
Fax: +41 (0) 22 786 2744
contact@weforum.org
www.weforum.org