



Program for Improvements to the Profiling of Artisanal and Small-Scale Mining Activities in Africa and the Implementation of Baseline Surveys

Program objectives and background

The success of efforts to reduce poverty, promote sustainable rural livelihoods, including alternatives to artisanal mining, and to eliminate the negative effects of ad hoc practices will depend on a continually improving understanding of the dynamics of this activity, including the way it interacts with other sectors and stakeholders (i.e. its governance structures), and its social, economic, political, and environmental dimensions. The knowledge acquisition and analytical frameworks which this program will develop for profiling artisanal and small-scale mining will facilitate more effective design, implementation, and monitoring of assistance interventions and enhance their potential positive developmental impacts.

Baseline surveys are typically commissioned to generate a more accurate understanding of the dimensions and characteristics of a particular situation. Baseline surveys also serve as the first step of a project or policy impact assessment. It provides the “baseline” from which change can be measured and identifies indicators against which the success of projects or policies in effecting change can be assessed. Such surveys can also provide a critical knowledge base for policy formulation. They can identify sensitive social issues or habitat concerns which should be taken into account in project design.

Given the historically limited financial resources available for work on artisanal mining and the lack of good country data on this activity in general, the investment in baseline work or profiling of the “sub-sector” is important for identifying and understanding key problematic issues and the complex relationships that invariably surround this activity in a given country or locale, but if the profiling is limited to only the “sub-sector”, it will fail to shed light on the macro political and economic forces and policies, which also impact on the sub-sector and to which the sub-sector also responds. For example, the inadequacies of poverty reduction policies at the macro level are contributing to the growth of artisanal mining activity in many African countries. Accurate profiling is essential for the formulation of the most appropriate and effective policy and assistance measures, whether

- (a) to formalize, support and transform artisanal activity into a more sustainable mode of production, or,
- (b) to harness its wealth generating potential for establishing other forms of sustainable economic activity, in parallel with its own constructive transformation.

Several organizations, among them the World Bank and the United Nations, have sponsored and made use of baseline and diagnostic studies of small-scale and artisanal mining situations in Africa to provide a benchmark for monitoring progress and for assisting in the design and implementation of country specific interventions and technical assistance programs. Most of the older studies were commissioned as static works undertaken by national or international consultants and were guided by terms of reference developed for the specific work (e.g. World Bank studies in Tanzania, Madagascar, Mozambique, Burkina Faso, Ghana). For the Mining, Minerals and Sustainable Development research project on artisanal and small-scale mining in southern Africa, a common terms of reference was constructed and circulated for use in the preparation of all commissioned country studies. More recently, the UN has applied a common frame of reference based on a sustainable livelihoods and participatory approach for the collection and analysis of the data (Ghana, Guinea, Mali and Ethiopia), with the idea of improving the quality of the data and establishing a more solid basis for follow-up actions as well.

The proposed program will review this work, along with any privately sponsored studies, academic researches, and other documentation, that are available; and go on to identify gaps in the existing knowledge base on artisanal and small-scale mining in Africa. The objective of the proposed program is to improve methodologies and approaches for profiling this sub-sectoral activity in order to

- a) ensure a more integral understanding of the social-economic, political, governance, environmental and technological dynamics of small-scale and artisanal mining, and its impact or lack thereof on poverty reduction..
- b) provide a more thorough or relevant basis for designing and implementing programs aimed at reducing poverty and achieving local social, economic and environmental sustainability, and
- c) identify a set of appropriate and measurable indicators to use in monitoring progress towards developmental objectives.

The work will be framed by the vision enunciated at the UN Seminar on artisanal and small-scale mining in Africa held in Yaounde, November 2002, that policies and programs directed towards the sub-sector will contribute to a *sustainable reduction of poverty and improvement in livelihoods in African small-scale and artisanal mining communities by the year 2015.*¹

The improved “norms” and methodologies for profiling will be adopted by the COCPD for use in all of its upcoming operational work with an artisanal and small-scale mining subcomponent or focus in Africa. The products of this consultancy will also be used in ongoing operational work to improve understanding of the developmental impacts of policy and program interventions on artisanal and small-scale mining livelihoods and communities. The improved methodologies will be both vetted and adapted for use in other regions through the CASM knowledge sharing program, and eventually used across regions for all WB operational work involving artisanal and small-scale mining. COCPD anticipates that operational work involving artisanal and small-scale mining will only increase over the next five to ten years.

Program scope of work

This work will allow for a quick check of past baseline work in terms of its thoroughness and relevance to current understandings of what is required for transforming artisanal activity into a basis for more sustainable livelihoods and communities. It will identify appropriate indicators for tracking change and will propose adjustments and/or modifications to “profiling” methodologies and techniques that can be field tested in Africa during a potential second phase.

Four activities will be carried out:

- (i) an inventory of past work in countries of Africa south of the Sahara, whether of a public and private nature, which was specifically undertaken to profile or define the characteristics of artisanal and small-scale mining, or the people and communities involved **in the broadest sense**, and/or its interactions and impacts;
- (ii) a review of the individual studies in order to describe
 - the objective(s) of each study
 - the methodologies and survey techniques employed for data collection and analysis
 - the key parameters or characteristics actually documented and evaluated
 - any parameters identified as indicators against which change could be measured
 - limitations identified by the original researchers related to data collection, scope and extent of coverage, analysis of data, etc.
 - recommendations made by original researchers for further evaluation, data collection and/or data analysis
 - any new, unique or significant attributes of artisanal mining activity identified as a result of the study

¹ See publication entitled, **Seminar on Artisanal and Small-Scale Mining in Africa: Identifying best practices and building sustainable livelihoods of communities**, International Centre for Training and Exchanges in the Geosciences, Occasional Publication 2003/38, Orleans : http://www.cifeg.org/serveur_web/PO2003_38.htm

(iii) based on the preceding analysis and building on previous work, preliminary drafting of a “kit” for setting up and carrying out future baseline or profiling studies, which would reflect the Yaounde objectives (refer above) and could include :

- (a) a set of model terms of reference for future studies,
- (b) a checklist of critical issues and information necessary
 - a. for properly characterizing artisanal and small-scale mining activities and their developmental role(s) and impact(s) within communities and regions,
 - b. for understanding the effects on the sub-sector as well as the constraints and/or opportunities for change posed by particular macro policies and realities, such as exchange rates, fiscal and budgetary policies and regulations, land right and titling issues,
 - c. for describing the flows of resources across sectors and inter-sectoral economic linkages,
 - d. for identifying additional opportunities for complementary or alternative livelihood development and for increasing the economic and commercial multiplier effects of this activity, and
 - e. for understanding the interplay of important cross-cutting themes like HIV/AIDS infection and transmission, environmental degradation and health, gender, child labor, resource conservation across generations, use rights and governance
- (c) a set of suggested indicators which could serve as benchmarks against which progress towards objectives, i.e. reducing poverty and regularizing livelihoods, could be measured,
- (d) preferred data recording, compilation, and reporting formats
- (e) sample questionnaires and/or other appropriate instruments for facilitating data collection adaptable to local circumstances
- (f) guidelines and recommendations for carrying out such surveys
- (g) references or links to other useful resources;

(iv) a review and analysis of the studies as a whole to highlight differences and commonalities of approach and results, and with reference to (iii), to make a preliminary determination of any apparent gaps or omissions related to

- the social, economic, political, governance, demographic, and technological characterization of the activity, the miners and their households and communities
- the understanding of how artisanal and small-scale mining function and fit into the broader developmental, and local/regional economic context
- the understanding of how cross-cutting issues like mobility and migration, HIV/AIDS infection and transmission, environmental degradation and health, gender, child labor, resource conservation across generations, equity and governance of resources, are treated and integrated into profiling studies
- the understanding of the extent to which the activity contributes to the reduction of poverty and the development of sustainable livelihoods in areas where its practice is significant

(v) presentation of preliminary results at a workshop to be convened at the CASM Annual General Meeting and Learning Event in September 2003 in Ghana to validate the selection of the parameters and indicators and the format(s) suggested for use in future baseline or profiling work