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DIGGING DEEPER WITH THE PEOPLE

A STUDY OF ROLE OF PEOPLE IN THE EXTRACTIVE SECTOR IN AFGHANISTAN

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Integrity Watch Afghanistan
Kabul
July 2020

Cover Photo: An Integrity Watch representative Ajmal Afghan speaking with laborers in a salt mine in Takhar province during covid19 in July 2020. ©
Published by Integrity Watch Afghanistan
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ACKNOWLEDGMENTS

Integrity Watch expresses its appreciation and gratitude to the team responsible for the production of this report in particular to the author of the report, Charlotte Boyer, Governance of extractive resources, transparency, business, and human rights; Ezatullah Adib, Head of Research of Integrity Watch Afghanistan for leading the project; the local researcher Asadullah Wafa and all other field staff for conducting field interviews.

We acknowledge with gratitude the cooperation offered by the Afghan Government authorities in Kabul and the provinces, during the weeks of data collection. We are also deeply thankful to those who participated in the interviews. Furthermore, we would like to thank Sayed Ikram Afzali, Norville Connolly, Mohammad Nasir Timory, Javed Noorani, Stephen Carter, and all other reviewers who took the time to review and comment on the initial drafts of this report.

Finally, we extend our appreciation to GIZ (Promoting Good Governance in the Extractive Sector in Afghanistan II) program for their financial support.

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ACRONYMS

AEITI	AFGHANISTAN EXTRACTIVE INDUSTRIES TRANSPARENCY INITIATIVE
ASM	ARTISANAL AND SMALL-SCALE MINING
CBM	COMMUNITY-BASED MONITORING
CBM-E	COMMUNITY-BASED MONITORING IN THE EXTRACTIVE SECTOR
CDA	COMMUNITY DEVELOPMENT AGREEMENTS
CSC	COMMUNITY SCORE CARD
CSO	CIVIL SOCIETY ORGANIZATION
CSR	CORPORATE SOCIAL RESPONSIBILITY
DOM	DEPARTMENT OF MINES
ESIA	ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT
FDG	FOCUS GROUP DISCUSSION
FPIC	FREE, INFORMED AND PRIOR CONSENT
HRIA	HUMAN RIGHTS IMPACT ASSESSMENT
IDI	IN-DEPTH INTERVIEW
ICT	INFORMATION AND COMMUNICATIONS TECHNOLOGIES
KII	KEY INFORMANT INTERVIEW
PDF	PROVINCIAL DEVELOPMENT FUND
TAI	TRANSPARENCY AND ACCOUNTABILITY INITIATIVES

EXECUTIVE SUMMARY

The present report was commissioned by Integrity Watch Afghanistan in order to support the implementation of a Community-Based Monitoring (CBM) project in the context of the extractive industries (CBM-E). The objective of this research was to help Integrity Watch Afghanistan empower residents living nearby mining sites to monitor some of the positive and negative externalities of these projects on their lives and environment. As they do it in the education and healthcare sectors, Integrity Watch Afghanistan wished to use the information collected by the community members themselves to advocate for a better governance of the sector. While having a great potential, the extractive industries in Afghanistan is widely characterised by the involvement of armed groups, government corruption, resource-driven conflict and a minimal benefit for either local communities or the national government. By improving local participation and transparency about the impacts of mining projects on the ground and the injustices behind redistribution of the revenues from this industry, a CBM project seeks to disrupt the existing power dynamics that generate and benefit from the opacity and resource capture. If political will is the main game changer in this respect, supporting communities demand a more equitable management of the oil, gas and mining resources certainly is one critical enabling factor in building an extractive sector that benefits Afghanistan and all its citizens.

With this report, Integrity Watch Afghanistan also aimed to advocate for the expansion of CBM initiatives in the extractive sector by sharing information and guidance with other civil society organizations and donors. Finally, it is intended to support public authorities, who have an important role to play in supporting CBM projects as a critical way of improving the transparency and accountability of the sector. Based on experiences from other organizations which developed similar projects (section 1) and results from a field study (section 2), a monitoring system is proposed with specific parameters to monitor for each project where CBM was considered feasible (section 3).

During the field study, 18 projects were covered in 7 provinces. In total, 30 residents from 6 communities were interviewed, as well as 6 representatives from provincial Departments of Mines, 12 companies' representatives, one representative of the Ministry of Mines, one from the Afghanistan Extractive Industries Transparency Initiative (AEITI), 6 representatives of Afghan civil society organizations, and 5 staff members of Integrity Watch Afghanistan. Around 40 resources were accessed in the literature review to inform this report.

An important lesson drawn from the literature review as well as from Integrity Watch Afghanistan's own experience in CBM was the necessity to design a CBM methodology that would ensure the communities' engagement in the process. Building a sense of ownership among the communities and the future local monitors was indeed identified as one of the main challenges, which required a flexible methodology where monitors would firstly be empowered to collect data on elements that most matter to them and that would be adapted to each community.

The first step was to select the communities and projects where Integrity Watch Afghanistan could consider implementing a CBM-E project. Inactive projects, insecure areas and communities who did not show willingness to participate were discarded. Out of the 18 projects initially in scope, 8 were identified as potential sites to implement the CBM-E project.

The preparation work then helped identify what parameters needed to be monitored, whether because the local residents or local authorities had themselves highlighted some issues, or based on good practices and lessons drawn from other organizations' experiences. In total, 15 parameters were selected, with 2 to 15 of them

recommended for each project. Parameters include among others, whether communities were consulted before the start of the operations and whether regular consultations are still taking place, the quality of air and water, whether companies have a grievance mechanism, the volumes of the mine's production, the relevance and implementation of social projects funded by the company, the impact of the mine on women.

Considering the amount of work and resources that the monitoring of all these parameters might need, this report also suggests different solutions to put them in practice. For most parameters, a lighter implementation solution is proposed, where local monitors are solicited at a lesser extent. Choices must be adapted to each situation, taking into account how much time and resources is available in the community and within the implementing organization, and to whether sufficient commitment on the part of local monitors is secured.

In the suggested model, the implementing organization is encouraged to enable local monitors to use phones or cameras to take pictures in some situations (for example of land degradation, water pollution, or improper mining waste disposal). However, the report does not encourage the introduction of other digital devices that may be used in this type of programs (online questionnaires, data collection mobile applications for example) at this stage. Considering the technicality of the topic, the priority objective of building ownership of the project among communities, and the low technological literacy among the targeted audience, it appears that relying on such tools would hinder implementation and create unnecessary obstacles.

One important lesson from this preparatory phase is the importance of offering proper methodological and topical training to the communities in general and the local monitors in particular. While ensuring monitors know how to collect data is key, they must also understand why their work is needed and how it could in the short, medium or longer term be directly beneficial to them. This is likely to strengthen their understanding of and commitment to the project. In this regard, Integrity Watch Afghanistan's long experience in the transparency and accountability movement and in citizen engagement will be highly valuable.

This scoping study also shed light on the challenge in ensuring women are not forgotten in any CBM initiative. It is indeed very clear that men and women do not experience the negative and positive impacts linked to extractive projects in the same way. However, it has proven impossible to hear from women in this preparatory phase. While a CBM project should take into account the local and cultural context and remain adaptable, failing to integrate women in a community-centred transparency and accountability mechanism would be a significant gap. The same way, implementing organizations should ensure that other vulnerable groups (based on ethnicity, religion or age) are not left out of the project. The particular impact that they experience must be taken into account and the solutions found should be adapted to their needs and the constraints they may face. A CBM project that would not integrate these principles in its design would be at a greater risk of only supporting some groups within communities, endangering the project's final objective and likelihood of success.

By suggesting a flexible methodology for a CBM project in the extractive sector, based on data collected in mining communities in Afghanistan and on experiences from similar initiatives, this report hopefully paves the way for the development of programs which give citizens the tools to build transparency and accountability and materially reduce deep-seated problems of conflict and corruption, to the benefit of the whole country. Public authorities, CSOs and donors must all join forces to leverage local knowledge and empower communities to play a role in improving the governance of the extractive sector at the local and national level.

INTRODUCTION

In Afghanistan, the extractive sector is largely underdeveloped, and active projects do not benefit the national government nor the local communities as they should. The prevailing opacity enables corruption to spread and the situation is aggravated by the presence of insurgents and non-State armed groups who have partial or total control over some territories where minerals are exploited. The government hence have very limited authority over these mining projects which are able to operate outside the legal framework and remain untaxed and uncontrolled. The revenues from these projects represent a significant source of revenues to these groups, which fuels conflicts and instability[1]. Companies operating legally also face extorsion practices from armed groups. The sector is also characterized by under reporting of production as minerals are being openly looted out of the country and substantial commercial exploitation of minerals happens during the exploration phase[2].

At the local level, this situation firstly results in insecurity for communities living nearby oil, gas and mining projects, as armed-groups have vital interests in spreading and maintaining their influence over some of them. Local communities are also more likely to suffer from other negative externalities from these activities than to benefit from the potential positive ones. The absence of controls indeed generates impunity and companies are not held accountable for any failure to comply with laws and regulations regarding community consultation, the environment or taxation. Ineffective taxation and inoperative redistribution systems also do not enable these communities to benefit from these activities through an increase in public investments in key social and economic sectors.

Since 2014, Integrity Watch Afghanistan has been advocating for a more transparent and accountable extractive sector and is now eager to support these communities to ensure they benefit from the opportunities that may be created by mining projects, and can protect themselves from any potential harm resulting from the extractive activities. With this objective in mind, Integrity Watch Afghanistan is willing to use its experience in community-based monitoring of infrastructure, healthcare and education projects to empower mining communities[3].

Integrity Watch Afghanistan indeed has an extensive experience in training citizens in Community-Based Monitoring (CBM) methodologies to follow the construction of health centers or schools in their neighborhoods, ensure public money is properly used and infrastructure is built according to high quality standards. These initiatives empower local volunteers to play a critical role in building accountability in the realization of public investments for the benefit of the whole community. They are put at the center of this transparency and accountability mechanism, are given the tools to be active citizens and ensure public investments have a real impact on people's lives. They also gather valuable information from the ground for Integrity Watch Afghanistan, who in turn, uses it to advocate for better rules and stricter implementation to fight corruption.

The same principles can and should be applied to the extractive sector, where communities living nearby oil, gas and mining projects are at the forefront of any local impact. First of all, the interests of these communities must be defended to ensure they do not suffer from negative impacts and benefit from the positive

[1] See Noorani, J., De Brouckere, L., A Balancing Act for the Extractive Sector, Afghanistan Research and Evaluation Unit and German Federal Ministry of Economic Cooperation and Development, 2016

[2] Byrd, W and Noorani, J, Industrial-Scale Looting of Afghanistan's Mineral Resources, in United States Institute of Peace Special Report N°404, June 2017

[3] See https://iwaweb.org/

externalities that may be generated by these activities. Secondly, a deep understanding of how communities can be affected locally is crucial to developing relevant advocacy messages and influence the mining legal framework and its implementation. The purpose of this report was then initially to inform Integrity Watch Afghanistan's strategy in designing and implementing a CBM project in mining communities. In particular:

- Where exactly should the project be implemented: which mines and communities in Northern Afghanistan?
- What should be monitored? While every step of the extractive value chain should be monitored, the scoping study would help identify which dimensions are the most relevant for each community.

By extension, this report may help other organizations willing to support mining communities by suggesting a methodology. A number of useful resources and guidance are also referred to throughout the document, for any organization interested in learning more on this topic. This report also shows that CBM in the mining sector is possible, in particular as stakeholders (communities, companies and authorities) proved to be overwhelmingly open to this type of initiatives. In addition, its highlighted opportunities for the public authorities to support CBM initiatives, by sharing information on the mining projects (contract, production, taxes) and ensuring civil society organizations can engage with companies.

This study is, on the one hand, based on a review of approximately 40 academic and non-academic resources related to community engagement in mining contexts. Integrity Watch Afghanistan's past activities and initiatives on the governance of extractive resources, including CBM related projects were also reviewed through project documents and interviews with Integrity Watch Afghanistan staff. On the other hand, a field study was conducted by Integrity Watch Afghanistan on 18 mining projects, using data collection tools elaborated by a consultant. Integrity Watch Afghanistan staff conducted Focus Group Discussions with local residents, In-Depth Interviews with local authorities and available company representatives on site or in Kabul. They also conducted Key Informant Interviews with civil society organizations, representatives from the Ministry of Mines and Petroleum and the Afghanistan Extractive Industries Transparency Initiative (AEITI).

1. Community engagement in the extractive sector: theory of change and best practices

This literature review covers around 40 sources from academic and non-academic (NGO) literature. We will start by understanding what role communities can and should play within the extractive value chain, whether because they are the first potential victims of the negative externalities of a mine, or because they are entitled to benefit from it through direct economic opportunities or indirect revenue distribution leading to local development.

1.1 The theory of change of CBM in the extractive sector

1.1.1 Improving the governance of the extractive sector through local participation and transparency

The numerous examples of project monitoring initiatives at community level presented below illustrate a theory of change based on the belief that community participation and public access to information are key factors to influence the governments' and companies' behavior. The underlying objectives of these mechanisms are to

- increase the exchange of information between the central and local levels, in both directions,

- build advocacy/dialogue frameworks at both central and local levels, fed by the information collected and exchanged
- strengthen the support system that enables local communities to have a voice in the discussion.

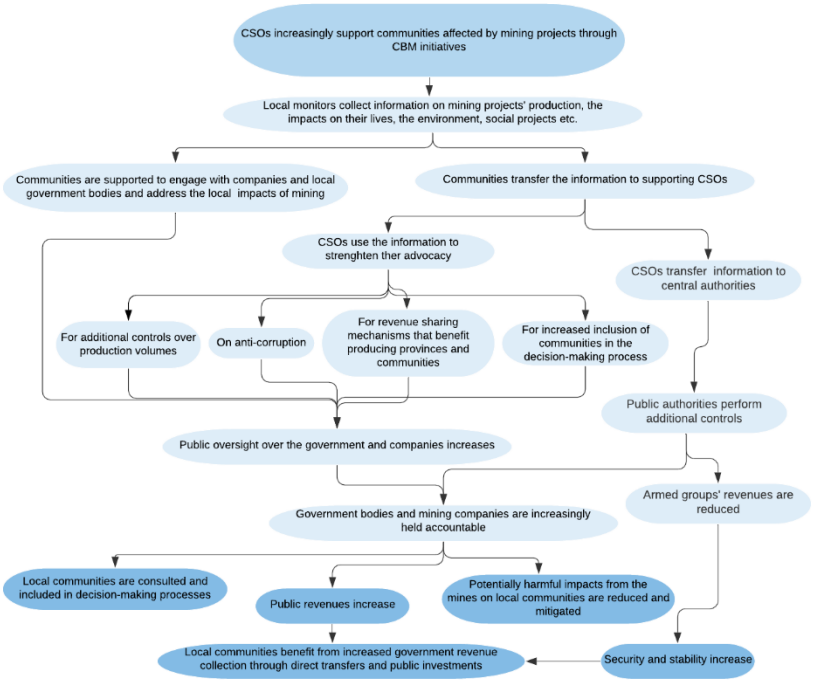
In the Afghan context, CBM can participate in addressing some issues that undermine the sound governance of the sector.

Data collection by local stakeholders allows implementing organizations like Integrity Watch Afghanistan to have access to a permanent flow of first-hand information regarding the life of the mine. Civil society organizations who receive this information are then able to precisely identify the challenges that local communities face and in turn adapt and strengthen their advocacy towards companies and government entities for a better management of the sector. They are also able to feed this information to central government bodies that may not have access to it as local elites may have vested interests in maintaining opacity around what really happens on the ground, or security constraints prevent public authorities to physically visit some areas.

Through this permanent monitoring system, valuable pieces of information such as a mine's production can be collected. Considering the difficulties of government control bodies to secure this data and the widely spread under-reporting and looting practices of companies, CBM initiatives could turn out to directly facilitate monitoring work for public authorities. While precisely estimating the volumes of minerals produced can be difficult in some cases, enabling local residents to request the data from the operating companies may participate in introducing the pressure of transparency onto them.

Lastly, building a support system for local communities is critical in the attempt to improve the power balance between them and companies, who may be supported by representatives of public authorities or armed groups. While the support of CSOs will of course not be sufficient to protect local residents from the serious threats and risks that they may face, an increased level of public oversight may create additional room for action on their part. CSO's access to the media and their ability to bring some issues and events to the attention of the national and international opinions could prove to be beneficial.

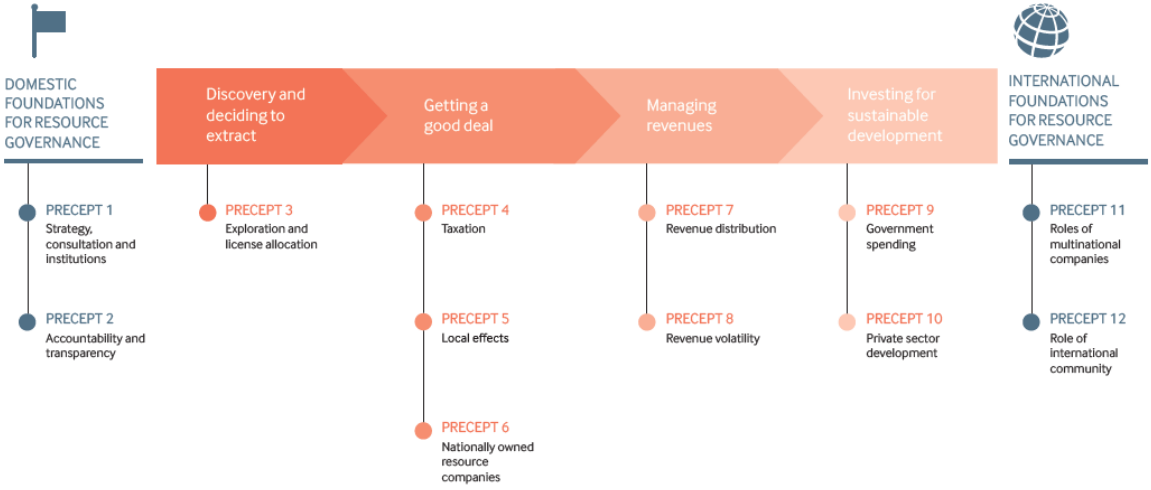
The theory of change below illustrates how CBM can address some of the governance issues specific to the Afghan extractive sector.



2. Monitoring opportunities for communities in the extractive value chain

NRGI's Natural Resource Charter Decision Chain[4] identifies the principles that should drive the governance of extractive resources in resource rich countries at each step of the process, from the decision to extract the natural resource to the use of revenues for the benefit of the population.

Natural Resource Charter Decision Chain, NRGI



The table below uses the Charter as a reference to identify how some of these principles are relevant at the community level: when local communities in mining areas are likely to be impacted, when they should play a role to ensure extractive operations benefit them and how they can participate in building

[4] https://resourcegovernance.org/approach/natural-resource-charter

transparency and accountability in the sector at the country level. From this framework, we can infer a number of questions to ask to ensure good practices are implemented at each step of the way, and which all represent an opportunity for community-based monitoring.

Decision to extract
Precept 3: Exploration and license allocation
Information sharing
• Are communities informed when nearby territories are proposed for licensing? • Are communities informed when a license has been allocated in a nearby territory and when operations are supposed to start? • Are contracts publicly available?
Communities' FPIC
• Is communities' free, prior and informed consent to extraction enshrined into law?
Consultation
• Are communities consulted by companies before exploration permits are allocated? After the allocation? • Are communities consulted by authorities before exploration permits are allocated? After the allocation? • Do consultation processes follow internationally recognized standard, such as OECD Guidelines for Meaningful Stakeholder Engagement in the Extractives sector? • Did the consultation process take into account the differentiated impacts on the various population groups (according to age, gender, ethnicity)? • Are communities consulted by the company to design adequate voluntary and mandatory social programs that meet the needs of the whole community? • Are communities consulted to design compensation mechanisms in case of displacement of populations, loss of means of livelihood, loss of access to water sources or land?
Getting a good deal
Precept 4: Taxation
Information on fiscal obligations and payments
• Are communities aware of the company's fiscal obligations? • Are communities informed about the company's fiscal payments?
Precept 5: Local effects
Creation of Economic benefits
• Do communities benefit from employment opportunities at the mine? • Do the working conditions at the mine meet the national legal requirements? • Are workers allowed to organize themselves to defend their rights? • How are conflicts between the company and workers resolved?
Design and implementation of social programs
• Do the mandatory and voluntary social programs benefit the local communities and all the segments of the population fairly? • Is the community involved in the management of the projects?
Existence of grievance mechanisms
• Did the company set up a grievance mechanism that enables everyone to safely and anonymously report corporate misconduct or alert on local impact of the mining operations? • How are complaints treated?
Compensation in case of displacement, loss of lands or means of livelihood
• Does the compensation mechanism meet the legal requirements? • Is the compensation mechanism fair according to the local situation and actual living costs?
Impact of environment and health
• Are national legal requirements in terms of environmental protection met?

- Does the company monitor the quality of water, air (fumes, dust from operations or transportation of minerals), soil, noise, vibrations, local fauna and flora? Does it communicate about the processes and findings?
- Is the community involved in this monitoring processes (involved in design of methodology, present during sampling etc.)?
- Do public authorities perform monitoring activities?
- If a pollution happens, does the company have an emergency mechanism to remediate it?

Impacts on social environment and well-being

- Do authorities monitor the evolution of socio-economic indicators since the beginning of mining operations? (health, access to education, intra and inter-community violence, access to local public services, prevalence of corruption, evolution of gender roles)
- Have local residents lost means of livelihood and economic opportunities since the start of mining operations?
- Have artisanal mining and illegal mining activities developed since the beginning of the mine? Are there conflicts about the use of land between the company and small scale/artisanal miners?

Managing revenues

Precept 7: Revenue distribution

Transfer of revenues to sub-national level

- Does the legal framework include a transfer of revenues from mining activities to producing provinces, and to producing communities? How much and how is the transfer calculated and distributed?
- Who is in charge of managing these revenues at the subnational level?
- Are these revenues earmarked for certain purposes?
- Are the transfers effective?
- Are the local authorities informed of the legal provisions, of the value that is supposed to be transferred annually and of the value of the actual transfers?
- Are the communities aware of the legal provisions, of the value that is supposed to be transferred annually and of the value of the actual transfers?
- Do local authorities report on the use of the revenues?
- Do local communities participate in defining how the transfers are used?

Direct payments to subnational level

- Do the legal framework subject extractive companies to pay taxes at a local level?
- Are these payments paid directly at the local level or are they paid to the central government and transferred to subnational entities?
- Who is in charge of managing these revenues at the subnational level?

Investing for sustainable development

Precept 9: Government spending

Information on government spending at local level

- Are local residents informed of the infrastructure budget planned for the province on a yearly basis?

Precept 10: Private sector development

Local content requirements and implementation

- Does the legal framework include local content requirements, by which a company has to use local services and suppliers?
- Does the contract address local content matters?
- Are local authorities aware of the legal and contractual provisions?
- Are communities aware of the legal and contractual provisions?
- Do central or local authorities perform controls?
- Are the tendering processes transparent and fair?
- Are the local content measures or initiatives accompanied by trainings?
- Is there a dialogue between the company, communities and authorities about the company's needs and how to support local stakeholders to meet these needs?
- Do authorities measure the economic impact of the use of local suppliers or services by extractive companies?

2.1 The different types of community engagement in the extractive sector

Extractive projects can impact many dimensions of local life, including the social dynamics, the economic situation of the community and individuals, the environment, local residents' health, the access to public infrastructure etc. Several tools and methodologies exist to assess these impacts from the perspective of the local community. In this literature review, we will expose several methodologies designed by academics and civil society organizations that all have in common to put the local community at the center of the project, both their experience and needs and as actors of the monitoring. While they are not necessarily called "Community-Based monitoring", all of the methodologies explained below are centered on the communities' needs and aim at empowering them to participate in the debate about the governance of extractive industries on a local level. Some examples from non-extractive contexts have been used as well, as they can still teach valuable lessons applicable to the mining sector.

The various methodologies reviewed require different levels of community engagement. Besides, some of these tools allow for punctual assessments while others provide for long-term monitoring. Some of these methodologies do not include an advocacy phase and are limited to the data collection phase. Others are designed to take into account the use of data for advocacy purposes on a local (to change the behavior of the company for example) or national level (to change the law).

This review is also an opportunity to highlight several helpful resources such as handbooks, guides etc.

3. Community Based Monitoring: a general definition

In the specific context of Afghanistan, R. Rahimi[5] underlines the importance of CBM to improve the governance of the extractive sector in the country. He recalls that the approach stems from the "sense of entitlement" of local populations over the resources in the area and observes that the growing focus on community-based approaches also result from the convergence of several tendencies, namely the development of Corporate Social Responsibility (CSR) approaches by mining companies under public pressure and the increasing concern about adverse impact from the Artisanal and Small-scale Mining (ASM) sector on communities. While he praises the progress in the law which introduced the Community Development Agreements (CDA), he highlights its weaknesses in effectively providing tools for community participation and "addressing the plethora of issues that constrain communities' capabilities to effectively participate in mining decision making".

More generally speaking, the term Community-based monitoring is used in the academic field to refer to a scientific research method where citizens' knowledge of their own environment ("citizen science") is valued as a legitimate source of information for data analysis. These projects focus on the collection of information for long-term scientific purposes and usually don't include mechanisms where the data is used for short-term problem-solving or advocacy at local or national level.

A series of projects developed in the Arctic region shows for example how universities and scientific institutes enable residents in remote villages to monitor the evolution of certain environmental parameters[6]. The projects always involve some level of training for the local monitors, whether they collect data on the

[5] Rahimi, R. (2018), Linking mining with sustainable development in Afghanistan: the value of community-based monitoring, Journal of Multidisciplinary Research at Trent

[6] Victora Gofman. Community based monitoring handbook: lessons from the Arctic, CAFF CBMP Report No.21, August 2010, CAFF International Secretariat, Akureyri, Iceland. ISBN 978- 9979-9778-4-1

ground or through interviews with other members communities. If the overall objective is to enable communities and governments to better adapt to a changing environment, the projects do not directly aim at solving the problems the communities may face as a result of it. There is no short-term problem-solving perspective in the collection of data and only indirect use of it for long-term advocacy purposes. However, the literature shows how these projects have other impacts, such as the empowerment of indigenous communities through the valorization of their local and sometimes traditional knowledge. This type of projects also allows for collection of data in remote areas on a regular basis at a limited cost.

CBM is then defined as a form of citizen science, and is "a process where concerned citizens, government agencies, industry, academia, community groups, and local institutions collaborate to monitor, track and respond to issues of common community concern". (Whitelaw et al. 2003). Researchers[7] propose a categorization of CBM projects:

- *Consultative governance*: A central agency is asking for information from the public. Citizens can provide a "watch-dog" service. Data collected can be used to create long-term data sets. This methodology can enable very large-scale data collection, but in which local residents only play a limited role.
- *Collaborative CBM:* The project is governed by a group representing the multiple groups composing the community, and more decision-making power is given to communities.
- *Transformative governance:* Often born out of crisis, the group focuses on an issue with the hopes of initiating government action. There is sometimes no private sector or government support, and organization and funding are provided by the community, which can lead to higher rates of failure. This bottom-up type of system involves participants at every stage, from defining the project to taking action. In this context, the role of the scientist is to guide rather than to set the agenda.

The academic literature also identifies a number of challenges linked to CBM:

- Organizational issues: due to a lack of interest from volunteer monitors, a lack of funding for this type of projects and challenges in accessing information.
- Data collection issues: due to inaccuracies in data collected by volunteers and their lack of objectivity. In addition, the weak experimental designs further the mistrust in the credibility of CBM data.
- Data use issues: as data not used in decision-making processes because of concerns regarding the quality of the data or the inability of getting the data to the appropriate decision-maker. Data quality is indeed a legitimate concern and studies have shown volunteers' difficulties to stick to precise protocols and methodologies. However, adequate training can lead to quality collection.

4. Community-controlled impact assessments

A number of tools are used by organizations to measure impacts of different types of projects on communities and empower them to defend their rights. The category of tools in this section comprises human rights-based impact assessments, gender impact assessments and health impacts assessments. They all are punctual evaluations of a given situation and not methodologies for long-term/permanent monitoring. They are built around the community's concerns and needs and not meant

[7] Conrad, C., & Hilchey, K.G. (2011). A review of citizen science and community-based environmental monitoring: issues and opportunities. Environmental Monitoring and Assessment, 176, 273-291.

to give answers to questions predefined by a CSO for example.

A human rights impact assessment (HRIA) is "a process to measure the gap between the human rights commitments of the state (human rights in principle) and the actual enjoyment of these rights by rights-holders (human rights in practice)."[8] A HRIA analyzes a situation against a set of human rights internationally recognized and reflected in domestic legislation.

A number of CSOs collaborated to design a guide for HRIA in the context of investment projects, which is addressed to communities and CSOs who are looking to support local residents[9]. This tool highlights important points to keep in mind when implementing an HRIA and is applicable to the extractive sector. In particular:

- The preparation phase of the project should necessarily take into account the safety and security of future participants to the survey and assessing team, as this type of initiatives can trigger resistance and backlash from other stakeholders.
- It is also crucial to determine a precise objective for the HRIA, in particular considering that the community's expectations might be raised by such an initiative, which can undermine the project and its impact if unmet.
- An HRIA should be focused on a selected number of human rights, and not try to address all of them.

A health assessment enables to understand the impacts of the extractive project on the local residents' health and well-being. In this context, health should not be understood as merely the absence of illness. In a guide to community-centered health assessment in mining context[10], authors see health through a "holistic definition of health with a focus on the individual's views of their own well-being, and that of their community." Health concerns may for example include the decreasing stocks of local fish, which has an impact on the quality of food supplies available to the community; or concerns about the impact of mine workers' shift schedule on their family life.

The health assessment methodology described in this guide is intended to be implemented by the community and does not rely on outside experts. To the authors, the benefit of a community-centered approach is that it draws on impacts perceived by the community, not on risks identified by an outside party who will decide which ones are acceptable or not. However, this type of project can encounter resistance from within the community, as for example, people may be concerned that if contamination is discovered, property values will decrease or the mine will shut down. According to the document, it is crucial to ensure in advance that they are enough resources available or that the community will be able to find the resources needed to carry out the entirety of the project. The authors also encourage to determine the priorities and to focus on a few health concerns. It is important to note that some of these strategies may require external technical expertise, for example to conduct biomonitoring studies, environmental sampling or medical testing.

A gender impact assessment "identifies the likely impacts an extractive industry project will have on women, men, boys and girls, and the relationships between them, in mine-affected communities." [11] Oxfam Australia's guide to gender impact assessment addressed to companies can also provide valuable guidance

[8] Getting it right, Human Rights Impact Assessment Guide
[9] Getting it right, Human Rights Impact Assessment Guide, http://hria.equalit.ie/en/index.html.
The online HRIA tool takes the user through all the steps of the project, from the preparation to the drafting of the report. It generates sets of questions to gather all necessary information for the assessment and also includes guidance in collecting and analyzing information. It can also be adapted whether the project under study is ongoing or in a planning phase.
[10] Mining and Health, A Community-Centred Health Assessment Toolkit, Mining Watch Canada, 2009
[11] Hill, C, Madden, C & Collins, A Guide to Gender Impact Assessment for the Extractive Industries, Oxfam (2017)

for CSOs willing to understand how an extractive project has an impact on gender dynamics within a given community.

A gender impact assessment is crucial to have a comprehensive understanding of a situation, in particular in an extractive context. Men and women do not experience the impacts of a mining project the same way "primarily because women and men play different roles in households and communities in almost all societies. They have access to different resources and control of different assets, as well as different rights and responsibilities." [12] For example, women can experience an increase in workloads as men may be driven away from traditional subsistence activities, or as they have to travel longer distances to fetch water, food, forest products and wood fuel when the extractive project has restricted access to certain land or polluted the area. Moreover, payment of compensation or benefits often goes to men as the heads of their household, denying women control over the financial benefits from the project, and encouraging women's economic dependence on men.

A gender impact assessment starts with a baseline study to define the profile of the socio-economic conditions of the households and communities. It should seek to understand the gender division of labor and the dynamics of access and control of resources between men and women, including the differences according to the age range.

5. Environmental participatory monitoring

Communities living nearby mining sites are likely to witness (and suffer from) potentially significant impacts on their environment. They can be empowered to document these impacts in order to support their advocacy towards companies for better mitigation measures and towards national authorities for better protection.

However, environmental monitoring by communities poses multiple challenges. Lessons can be drawn from different types of monitoring processes. Some are punctual checks, while other are designed to be implemented on the long run. The community's role may vary and should be determined based on the community's willingness to get involved and the resources available. Because they require technical skills, these processes might involve the support of an external expert, or, at the very least, a strong capacity-building of some members of the communities.

In Latin America, a number of participatory environmental monitoring committees were created by companies during the impact assessment phase or after a pollution episode[13]. A review of a number of cases in four countries in the region shows that the initiatives were not carried by CSOs or communities themselves but by the company. What's more, the company is sometimes the one designing the sampling and monitoring methodology and performing it under the supervision of the committee. They are hence different from CSO-led and supported CBM projects but can still help draw valuable lessons for planning any participatory environmental monitoring:

- Monitored parameters can include air quality, water, salt water, soil, noise levels, vibrations, and speed of passing vehicles by company. In one case it also included the state of flora and fauna.
- The process and methodology have to be perceived as legitimate by all stakeholders. For the results of the monitoring to be considered credible and used to support advocacy, the identification of the parameters to monitor, the sampling methodology as well as the analysis itself

[12] Ibid

[13] Pareja, C., Xavier, A., Daitch, S. (2019). Participatory Environmental Monitoring Committees in Mining Contexts: Lessons from Nine Case Studies in Four Latin American Countries. United Nations Development Programme: New York.

have to be based scientifically. In the cases reviewed in the report, the protocols for sampling water to assess the quality was whether designed after the one used by the state agency in charge of water management, designed by an external consultant, or designed by an NGO. These were all ways to ensure all parties considered the methodology credible.

- Environmental monitoring is hence costly (travel, accommodation, equipment, transport of samples, analysis, compensation to committee members for days not worked).
- The communication between the committee and the communities remains a challenge as it can be difficult to report on the activities and convey the information and results in an understandable way.
- Community representatives in the committees all received some kind of technical training to be able to do or oversee the sampling.
- The impact of environmental monitoring can be limited if there is no baseline data available to show the evolution of the environmental parameters.
- Environmental monitoring enables communities to express different kind of concerns, not necessarily related to the environment. However, it won't prevent all potential negative impacts, nor will it address the opposition expressed by some communities who do not agree with development based on an extractivist model.

In the Philippines, mining oversight committees were created by law, and their composition must include civil society and community representatives. The "Environmental Monitoring Handbook", by Bantay Kita and Foundation Philippine Environment is designed to help members of the mining oversight committees to fulfill their duties [14]. The handbook provides information on the mining legal framework in the Philippines, the water and air quality standards against which values should be interpreted, and about the environmental impacts of the extraction of certain common metals in the country (gold, nickel, copper), highlighting the fact that this research work is indispensable before any environmental monitoring. It then discusses methods of data collection, testing and monitoring and interpretation of results.

The manual highlights areas where communities can be involved in the monitoring. However, considering the technicality of the guidance provided in the handbook, it is clear that quality environmental monitoring relies on a very thorough preparation including technical training, as well as on the access to professional equipment. Thorough preparation is needed to determine the duration of sampling, the sampling points, the frequency and patterns of sampling, the method and the responsible person. Similarly, transport and storage should be anticipated as failures to meet quality standards can result in the alteration of the samples and undermine the study. The guide advises to prepare a monitoring plan by identifying the problem(s), formulating a hypothesis about the causes of the problem before setting the objectives of the monitoring and selecting a methodology. The guide also emphasizes the importance of determining a limited number of objectives to ensure the project is realistic.

In the wealth of technical guidance on the sampling methodology and best practices, authors highlight the need for baseline data to which the monitoring data will be compared to. Baseline data can be data from an anterior period, or from the same period but sampled at

[14] Environmental Monitoring Handbook, A practical guide for affected communities in monitoring mining operations. Bantay Kita and Foundation Philippine Environment, 2018

another site which is not exposed to the same factors.

6. Community Scorecards

Community Scorecards (CSC) are "participatory surveys that provide quantitative feedback on user perceptions on the quality, adequacy and efficiency of public services." They allow "service users" and "service providers" [15] to rate a number of parameters for a given situation and include a dialogue and problem-solving phase during which participating parties can share their scoring, explain their position and collectively agree on remediation action.

CSC have been used in extractive context and allowed to foster dialog between communities and other stakeholders. In that sense, they can inform Integrity Watch Afghanistan in designing a CBM project. However, it is important to keep in mind that CSC projects can be better suited for one-time projects, and less adapted to monitoring projects that are meant to allow for a permanent exchange of information.

	Voice from Ring One project Pattiro, Indonesia[16]	Community Score Card initiative by the Cambodian Center for Independent Media[17]	Community Score Card project in the Philippines, by Community Volunteer missioners[18]
Objective of the CSC	- Assess the performance of the oil and gas company in implementing its CSR policy	- Assess the government's performance in informing communities about potential future mining activities	- Assess the implementation of the provisions of laws - Allow communities to voice their concerns and build their capacities in using social accountability tools - Bring together all the stakeholders
Methodology	Community Score Card: - Indicators generated from 2 global standards of the EI: UN Global Compact and ISO 26000, and from national legislation.	Community Score Card: - Indicators based on national law	Community Score Card: - 32 questions addressed only to indigenous inhabitants - Company and local authorities were also asked to score but refused.
Existing problems	- Health impacts from regular gas leaks from the field; lack of information	- Lack of information about potential future mining activities	

[15] World Bank, accessible at https://web.archive.org/web/20180831000055/http://web.worldbank.org:80/WBSITE/EXTERNAL/TOPICS/EXTSOCIALDEVELOPMENT/EXTPCENG/0,,contentMDK:20507680~pagePK:148956~piPK:216618~theSitePK:410306,00.html

[16] Abdullah, M., Research Report, Voice from Ring One, Community Score Card: Environment and Social Aspects of Oil and Gas Operations Of Pertamina Petrochina East Java (PPEJ) in Sukowati Block, Bojonegoro District, East of Java (2012)

[17] Improving Dialogue in Communities Affected by Mining, A Cambodian Centre for Independent Mediai Community Scorecard Initiative in Sen Monorom Commune, Mondulkiri Province, July 2012

[18] Journey to the Copper and Gold dust trails, Community Volunteer Missioners (2012)

	on community development projects.		
Activities	- Collection of data to identify parameters to score and scoring system, through FGD - Development of indicators, questions and scores - Stakeholder scoring phase, by communities, company and local authorities. - Interface meeting where stakeholders discuss the scoring, gaps and solutions.	- Data collection to build the scorecards - Scoring by stakeholders, including local authorities - Interface meeting for all parties to discuss scoring and agree on a list of actions.	- Data collection to identify the indicators to rate - Scoring by all stakeholders (company and local authorities refused to rate) - Interface meeting
Issues monitored	- Company's alert mechanism for gas leaks - Company's information mechanisms about community development projects	- Local authorities' performance in sharing information about potential future mining activities in the region	- Implementation of legal obligations related to community development programs, - royalties paid to Indigenous communities, - taxes paid to the government, - environmental protection and rehabilitation.
Participation of the community	- Shared their grievances to allow for identification of parameters to score. - Scored the parameters once. Participated to the final meeting.	- Scored the parameters - Participated in the final meeting	
Lessons learned	- Follow-up is necessary to ensure commitments made during the final meeting will be respected.	- CSC provided a platform for discussions that did not exist before	- Initial phase of data collection was also an opportunity to share information to communities about their rights - Need to customize the CSC process to the culture of particular group

7. Long-Term multidimensional monitoring

Some monitoring projects intend to monitor several dimensions of the impacts of a mining project on local life.

Canadian University McGill started in 2014 a 30-year monitoring project designed to provide an" independent and reliable source of information on changes occurring within the physical environment and everyday lives of people in the area" of a mine in Panama[19]. The project relies on university students coming every year for a week of monitoring activities on parameters such as water quality, land use as well as socio-economic changes. In this instance, the community-based participatory research is defined as a "process of evaluation of the impacts of development interventions carried out under the full or joint control of local communities in partnership with professional practitioners" in which, "community representatives participate in the definition of impact indicators, the collection of data, the analysis of data, the communication of assessment findings, and in post-assessment actions designed to improve the impact of development interactions in the locality."

The American Bar Association Rule of Law Initiative also designed a handbook[20] to help Guinean organizations and communities in mining areas get organized. The guide in particular highlights the importance of documenting the situation. The documenting needs to start from the very beginning as it is crucial to collect information on the initial situation. Again, the organization insists on the importance of baseline data, as a key to build strong advocacy in case the community should have to prove the impacts of the mine on its life.

8. Lessons from the ground: results from the field study

After a review of a number of community-centered monitoring projects conducted around the world, this next section focuses on the Afghan context and exposes the main findings from the field study carried out by Integrity Watch Afghanistan during the preparation path.

The geographical scope of the field study was determined by Integrity Watch Afghanistan and encompassed 18 mining projects in 7 provinces in Northern Afghanistan. For a summary of the projects included in this scope and the communities, companies and administrative representatives that were solicited for this field study, *see annex 1*.

In total, focus group discussions (FGD) were conducted in 6 communities across 4 provinces in the course of the field study, gathering 30 residents. Representatives from 12 companies were also interviewed, at the mine site or in Kabul, for security reasons. All respondents were welcoming and open to questions according to the researchers. In addition, Integrity Watch Afghanistan researchers conducted interviews with representatives of provincial departments of mines (DoM) in 6 different provinces, and 6 Key Informant Interviews were conducted with Civil Society Organizations (CSO) representatives who shared their inputs for the design and implementation of a CBM project in the extractive sector.

[19] McGill University, Year two of the long-term assessment of mining impacts in Donoso, Colon, 2015

[20] American Bar Association Rule of Low Initiative, Mines et communautés : promouvoir le développement axé sur les droits humains dans le contexte de l'exploitation minière industrielle en Guinée (2015)

8.1 Focus Group Discussions

Six FGD were conducted in four provinces in the course of the field study.

Province	Balkh	Balkh	Baghlan	Jawzjan	Takhar	Takhar
District	Dehdadi	Nahreshahi	Pulikhumri city	Sheberghan	Kalafghan	Namakab
Village	Tokhta	Sharake Afghania	Nawabad Shash Sadkoti Pulikhumri city Community	Khwaja Gogerdak	Archak hotel	Taqcha Khana
Mine/project	Mahian Nawid, Bakhtar Crystal, and Ford Bamika coal mines	Turkish Petroleum Afghan-Tajik Basin oil and gas project	Ghori Cement factory	Jawzjan Gas Ent Khwaja Gogerdak gas field	West Co Kalafghan salt mine	West Co Namakab Salt mine

Communities identified for the Kar Kar Coal mine, Dod Kash coal mine (Baghlan province), Qarizada salt mine (Faryab province), Mohmand Shamal coal mine, Mesaq-e-sharq coal mine, Madankari coal mine, Khoshak Brothers Company coal mine (Samangan), were not visited due to the area being too insecure, or the itinerary to the villages being unsafe.

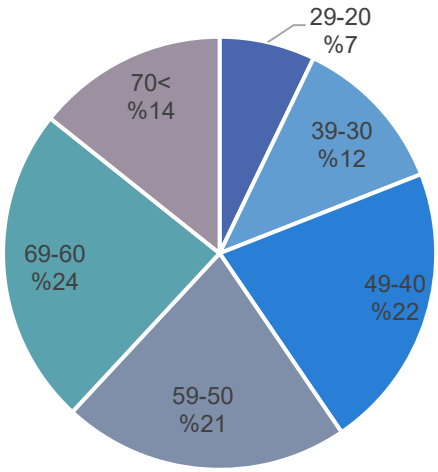
An FGD was organized with residents from Sharake Afghania (Afghan Tajik basin oil and gas project, in Balkh province) in Mazar e Sharif city, because it could not be conducted in the village itself due to security reasons and the presence of illegal armed groups.

Integrity Watch Afghanistan field researchers tried to organize an FGD with residents from Gazestan and Dashte Robat communities, near the Khalid Aziz Brothers Company coal mine in Takhar, but they refused to participate in the meeting.

Integrity Watch Afghanistan chose not to visit communities near the Amu Darya Basin oil and gas project (CNPCI and Watan oil and gas companies) because the project is inactive.

In total, 30 local residents were interviewed (all male) from 6 different ethnicities. Among them were 3 village leaders, and 6 people working in the mines. The rest had various occupations as farmers, lawyers, businessmen etc. The most represented age range was 60 to 69 years old. In total, only 19% of respondents were under 40 years old.

Repartition of respondents' age



Generally speaking, respondents in FGD were all open to discussion and welcoming towards Integrity Watch Afghanistan field researchers. They answered all questions, even though their answers were often concise and not much developed according to the interview transcripts.

8.2 In-depth interviews with company representatives

Representatives from 12 companies were interviewed for this field study, at the mine site or in Kabul for security reasons.

- Mayhan
- Navid Company
- Bakhtar crystal
- Fordbamika
- Watan Oil and Gas
- Momande Shamal Company
- Mesaq-e-sharq
- Madan Karan Company
- Khoshak Brothers Company
- Ghori Cement
- Qarizada Sauce Making company
- West co-international
- Khalid Aziz Brothers Company

Interviewers estimated that the representatives from Mayhan Navid Company, Bakhtar crystal, Fordbamika and Qarizada companies did not appear to have provided answers in all freedom. But all respondents were welcoming and open to questions. All respondents agreed to share their contacts with the interviewers.

Integrity Watch Afghanistan researchers also requested interviews with Turkish Petroleum, Afghanistan North Coal Enterprise, CNPCI, Ghazanfar Group, Dragon Oil and gas and Jawzjan Gas Enterprise but were denied. Companies said their top management did not allow any interview.

8.3 In-depth interviews with Provincial Departments of Mines

Integrity Watch Afghanistan researchers conducted interviews with representatives of provincial department of mines (DoM) in 6 different provinces. Only the DoM in Faryab province denied Integrity Watch Afghanistan's request, arguing that they were not allowed to give interviews. In Baghlan and Sar-e-Pul, Integrity Watch Afghanistan was able to meet with the Department's director. In general, respondents were said to be welcoming and open. Only the representative in Balkh province was said by the interviewer to be somewhat cautious and suspicious during the interview.

8.4 Key Informant Interviews

Integrity Watch Afghanistan researchers conducted 5 Key Informant Interviews with Civil Society Organizations (CSO) representatives in Kabul. The consultant also conducted one online interview with an Afghan extractive industries researcher.

A representative of the Ministry of Mines was also interviewed. Initially, Integrity Watch Afghanistan researchers requested interviews with the hydrocarbon department, contract compliance department (refused) and monitoring department (refused). A letter from the minister was presented stating that no one was allowed to give any interview.

An interview was also conducted with a member of the Afghanistan Extractive Industries Transparency Initiative. However, the national coordinator was not available, so the Admin manager was interviewed.

8.5 Conclusions from the field study

Generally speaking, all community respondents had some awareness of the mining operations were happening in the surrounding area, even though the level of knowledge varied from one

community to another. A number of respondents complained about environmental damage, air and noise pollution and on multiple occasions, degradation of agricultural land in the case of soil gravel mines.

According to community respondents, contacts with companies or local authorities are limited, even though rarely inexistent. A number of them had received some information about future job prospects linked to the mining activities. However, they had in general no knowledge of accessible grievance mechanism implemented by the company. Two communities (Tokhta village and Khwaja Gogerdak) replied they did not even know how to contact the company. It is important to note that a committee appears to have been created in the area affected by the Afghan Tajik Basin Oil and Gas Project, and is composed of one representative of each of the four nearby communities. It is unclear whether the initiative was introduced by the company or the communities. Similarly, a commission of 6 persons was formed in Taqcha Khana to speak with the company. A workers' union is also active at the Ghori Cement factory.

During their interviews, most company representatives said that the impact of the mine was mostly – and sometimes only – positive, and put forward the jobs created, the support to local economic life and the social projects supported by the company. In terms of general perception on the part of the DoM representatives, all acknowledged both positive and negative impacts of the mining sector. They noted the job creations, the payment of taxes and potential social projects. However, they also were aware of the potential environmental problems caused by extraction.

Nine companies mentioned some kind of dispute (past or present) with local communities or complaints received about social projects, land issues, increased activity on the road and disruption of water systems. Five companies seem to have some kind of grievance mechanism, with people specifically in charge of receiving complaints from communities. However, only Ghori Cement Company appears to have proper mechanisms (for which efficiency and accessibility still need to be evaluated). Most companies said they are regularly controlled by authorities, in particular as two inspectors from the mine directorate are permanently on site and/or visit every 3 months. This was confirmed by answers from DoM representatives.

Most respondents from communities said they were favorable to CBM and felt safe engaging with companies or local authorities. Several said they or their community had been involved in monitoring projects before, even though no details was provided. More than half of the company representatives explicitly said they were favorable to CBM approaches by communities. However, some said communities could complain about disturbance (pollution, noise etc.) but that monitoring was the government's responsibility. In general, DoM respondents estimated that communities were legitimate in wanting to monitor the mining sites.

Overall, the knowledge of DoM representatives on the extractive legal framework appeared limited, even though more comprehensive than among company representatives and local residents. Only three respondents from DoM said they knew about the mining revenue sharing mechanism recently enshrined in law.

Several of the CSOs representatives highlighted the importance of training to ensure monitors' commitment to the project and quality of work. They provided valuable advice, such as presenting the legal provisions whereby a certain share of mining revenues should be transferred to producing provinces as the basis for a CBM project, to show communities how they could directly benefit from a better management of the sector. It was also advised to try and collaborate with official inspectors that are present on mining sites, who might welcome the support in monitoring production.

9. Designing a CBM project in the Afghan extractive sector

9.1 The following section examines:

how a CBM project was designed for Integrity Watch Afghanistan to implement in the extractive sector that integrate the best practices and lessons drawn from the field study, the following orientations can be considered by any CSO willing to develop a CBM project in the mining sector. However, it is important to note that this report only addresses the data collection phase of such a project, and not the data processing phase. For a CBM project to bear fruit and contribute to change, the information collected must then be used by the different stakeholders and feed into a well-planned advocacy work. Integrity Watch Afghanistan already has an extensive experience in using data for problem-solving and functioning dialogue platforms to engage with government bodies and companies. The recommendation is that this data collection process feeds into their existing system. Overview

Based on the literature review, field study and discussions with Integrity Watch Afghanistan staff, a methodology was designed to select the projects to track (step 1), the parameters to monitor (step 2) and the procedures to implement (step 3).

Out of 18 projects originally included in the scope, 8 were dismissed for security reasons. One other project was discarded because it is inactive, and one more because the community did not show any motivation to be part of the project. After this selection process, 8 projects appeared suitable for Integrity Watch Afghanistan to include in its scope for a CBM-E project (section 3.2)

Several criteria were then identified to help select the parameters that Integrity Watch Afghanistan could consider having local monitors collect data on (section 3.3). A different set of parameters is suggested for each project, based on the concerns put forward by stakeholders, the commodities extracted, Integrity Watch Afghanistan's advocacy priorities and good practices underlined in many resources. In addition, several options to implement the monitoring for each parameter are suggested (section 3.4) based on the means available and the capacities and motivation of community members.

The priority being to ensure that communities are empowered to monitor their main causes for concern (which they shared during the FGD) each monitoring model must be adapted to each community and context. It must also be adapted to each type of mineral. For example, it could be important to monitor watercourses nearby gravel soil mines, where erosion could happen. To help secure communities' commitment, it is also suggested that they be empowered to monitor whether the share of mining revenues that is supposed to be allocated to producing provinces is actually transferred.

In addition, it is encouraged that baseline data on environmental parameters is collected on a regular basis, even when significant impact has not yet been reported by stakeholders. Many sources from NGOs and academics highlight the importance of starting to collect baseline date as soon as possible to gain an understanding of the long term and cumulative effects of a number of factors that are hard to measure on a day-to-day basis.

Several other parameters were also recommended in order to ensure that the CBM-E project feeds Integrity Watch Afghanistan with much needed data to support their advocacy for a better management of extractive resources. For example, monitoring production seems a priority for Integrity Watch Afghanistan, who is willing to spur debate about under-reported production and incidental under-collection of taxes. And while it has not been highlighted by any local stakeholder, collecting data on how extractive industries specifically impact women should be a standard characteristic of any CBM project.

In order to ensure the feasibility of the CBM-E project, Integrity Watch Afghanistan must be particularly vigilant on what exactly monitors will be required to do. Two implementation options are suggested for most parameters, each requiring more or less implication from the monitors. Choosing between different options for each parameter and each community allows to design tailored made CBM-E systems that have the most chances to gain the support of local residents and be sustainable.

9.2 Step 1: Selection of projects

Projects to be monitored were selected based on three criteria:

1. accessibility and security of the mining site and the identified community;
2. motivation and participation of the community;
3. existence of an active legal mining site.

These criteria were defined mainly based on Integrity Watch Afghanistan's past experience in monitoring mining sites. Safety and security of the mining site is indispensable to allow monitors to travel to the mining site, potentially to district or provincial capitals etc. Integrity Watch Afghanistan staff also needs to reach the communities on a regular basis. After this selection process, 8 projects appeared suitable for a CBM project:

- Ghori *Cement Factory*
- Maihan Nawid Soil Gravel Mine
- Bakhtar Crystal Soil Gravel Mine
- Ford Bamika Soil Gravel Mine
- Khawja Gogerdak Gas Field
- Yatem Taq Gas Field
- West co Kalafghan Salt Mine
- West *co Namakaab Salt Mine*

9.3 Step 2: Selection of monitoring parameters

9.3.1 Empower communities to monitor their main causes of concern

Based on Integrity Watch Afghanistan's past experience in implementing CBM in the mining sector, lessons learned from other organizations who engaged in similar projects and advice from CSO representatives who have an extensive knowledge of the Afghan context, it became clear that a "one-size-fits-all" approach would not be suitable for a CBM project. Communities' engagement being a major challenge in this type of project, the CBM system proposed to future monitors must be adapted to their priorities, needs and centers of interest. Communities' members should be empowered to monitor what they consider their main causes for concern.

During the FGD, participants spontaneously raised a number of problems such as air pollution (Tokhta, Pulikhumri city, Archak Hotel), damage to roads (Tokhta), noise pollution (Tokhta), land issues and absence of proper rehabilitation of land after the end of mining operations (Tokhta and Taqcha Khana), and blockage of water streams by mining waste (Tokhta).

DoM representatives in the concerned provinces also shared their visions of the impacts on communities and the environment caused by mining, namely damage to agricultural land and absence of proper rehabilitation (Balkh), impact on quality of water (Balkh, Jawzjan, Takhar) and air pollution (Takhar).

In addition, monitoring watercourses, their flow rate or banks erosion could be necessary around certain mines. In particular, if gravel is dragged from river beds by gravel exploitation companies, it could contribute to erosion. Salt mines and cement factories also potentially use important volumes of water in their extraction/fabrication process.

It is also suggested that the transfers of some of the mining revenues to producing provinces through the Provincial Development Funds (PDF), as stated in the article 50 of the 2018 Mineral law, is monitored in this project. The matter was not raised by most stakeholders which shows that awareness level on this topic remains low. However, as suggested by one CSO representative, bringing community members's attention to this legal provision could greatly help build their interest for CBM and the governance of the extractive sector, as it would imply that they can directly benefit from a good implementation of the law. The absence of perception of direct benefits from CBM related actions was indeed raised as a reason behind the lack of community engagement. The same way, the use of these revenues at the provincial level could be addressed in the project. The procedure for collecting this type of information is different as it cannot be collected at the mining site level. Different options, with various levels of implication from Integrity Watch Afghanistan and communities are presented in the next section.

In the same perspective, empowering communities to monitor the social projects supported by companies could help secure their commitment. Monitors could indeed be motivated by the fact that monitoring could directly improve the quality and actual implementation of social projects and hence benefit them. Moreover, such information would feed into Integrity Watch Afghanistan's advocacy for strong Community Development Agreements (CDA) and their implementation.

9.3.2 Ensure collection of baseline data

Experiences from other organizations make a strong case for the need to collect baseline data in order to monitor and if necessary, illustrate, the long-term impacts of mining on communities and the environment. This is why air and water quality for example are suggested as monitoring parameters for most projects even when issues have not been raised by respondents from the communities. Collecting baseline and end line data is also critical to measure the impact of the project on the intiail situation.

As part of the baseline study and preparation phase, companies should be asked to disclose their Environmental and Social Impact Study (ESIA) and, if relevant, their Environmental and Social Management Plan. As a compulsory requirement in the licensing process, all companies should have conducted an ESIA, which would constitute an important source of information on the predicted and expected impact of the mine on neighboring communities.

9.3.3 Enable communities to collect data to inform Integrity Watch Afghanistan's advocacy

Monitoring of production was not spontaneously suggested by communities but only respondents from Khwaja Gogerdak said they were not in favor of monitoring the mine's production. It is also one of Integrity Watch Afghanistan's priorities. It was then added as a monitoring parameter for most projects, except for the gas projects potentially monitored by residents in Khwaja Gogerdak. In this case, the feasibility itself of tracing the site's production needs to be further assessed. The packaging and means of transportation of gas (pipeline for example) can greatly differ from the ones used for minerals and hence make it difficult or impossible to account for. Only a cooperation with the company and on-site inspectors could enable to collect production data.

The frequency of community consultation by companies and the existence of grievance mechanisms were also added as parameters to monitor for most projects as this data can support Integrity Watch Afghanistan's advocacy towards companies and to improve legal obligations in terms of community consultation in the future. This type of information is also relatively easy to collect and document for communities.

As highlighted in the literature review, men and women are not impacted the same way by mining projects. Women usually do not have the

same level of information as men from the same communities. In a 2014 report on the experience of women in communities near three mines[21], Integrity Watch Afghanistan shed light in particular on the mobility restrictions that women faced as a result of the arrival of workers from outside the community or the presence of security groups. This is why it was suggested that the monitoring parameters include a focus on changes experienced by women, for most projects.

The different ways to monitor all of these parameters are developed in the next section.

9.3.4 Suggested monitoring parameters per project

Below is a summary of suggested monitoring parameters for each project covered in the field study.

	Ghori Cement	Mahian Nawid	Bakhtar Crystal	Ford Bamika	Yatem Taq Gas field	Khwaja Gogerdak gas field	West Co Kalafghan salt mine	West co Namakaab salt mine
Communities consultation		X	X	X	X	X	X	X
Land compensation			X	X	X	X	X	X
Impact on air quality	X		X	X	X	X	X	X
Impact on water sources			X	X			X	X
Impact on water streams (flow, erosion)	X		X	X			X	X
Land rehabilitation		X	X	X			X	X
Noise disturbance			X	X				
Impact on state of roads			X	X				
Mine Production			X	X			X	X
Working conditions in mines	X		X	X			X	X
Design and implementation of social projects	X		X	X	X	X	X	X
Existence and use of grievance mechanisms	X		X	X	X	X	X	X
Impact on women's lives and means of living			X	X			X	X
Revenue transfer to producing provinces or communities	X		X	X	X	X	X	X
Use of local revenues	X		X	X	X	X	X	X

[21] Integrity Watch Afghanistan, Women and Afghanistan's extractive industries, June 2014

9.4 Step 3: Procedures and implementation

9.4.1 Implementation options

In this section, are suggested different ways and solutions to monitor each parameter. For several of them, two options are presented, with different levels of community implication. The objective is to further allow to adapt the CBM to each community's motivation and availability. The accumulation of time-consuming tasks can quickly deter people from engaging on this project. Over-exposing local residents by having them regularly meet with company or provincial authorities' representatives can also have a negative impact on community members if they feel they can be at risk. Moreover, all the resources describing different approaches to CBM (human rights assessment, health assessment, environmental monitoring) underlined the importance to prioritize issues and define a limited number of aspects to focus on.

Additional discussions with the monitors themselves are certainly necessary to choose between the different options and design tailored CBM systems, taking into account their openness to the approach, their perception of risks associated with it, the security context and the receptivity of the company and local authorities.

The choice between the different options also depends the organization's ability and willingness to regularly travel to the mining sites in order to carry out some monitoring activities. While the objective of the CBM-E project is to empower communities, supporting organizations could consider collecting some data themselves in order to alleviate part of the workload for communities.

Generally speaking, regular visits to the communities should be planned for training purposes, as well as ensuring communities' commitment.

Special care must be taken when engaging in environmental monitoring. As highlighted in the literature review, collection of environmental data must be rigorous and scientifically based in order to be credible and accepted by other stakeholders. As a result, comprehensive environmental monitoring can be costly. It also requires a thorough preparation and should not be implemented if it cannot be sustained on the long run.

In general, all the data collection tools will have to be thoroughly prepared, using the resources reviewed in this report as guidance.

CBM projects should also consider the opportunity to capitalize on the existing community and local structures such as the shuras or the Community Development Councils (CDC). Informal institutions and networks previously created by other CSOs or international organizations at community level for various purposes should be seen as privileged relays and enabling factors. They can indeed allow the implementing organization to assess the level of openness and implication to such initiatives in one given community and be used to reach and engage with local residents. During the preparation phase to Integrity Watch Afghanistan's CBM-E project, a fw projects were already identified, such as the education and healthcare monitoring projects implemented by APPRO/NAC; ACSFo's project to monitor development projects and government services in Samangan provinces through social audits and data collection by local residents using questionnaires; or WADAN's network of community elders trained on human rights, community rights and environmental issues.

	Option 1		Option 2	
	Community's role	***Integrity Watch Afghanistan's role***	***Community's role***	***Integrity Watch Afghanistan's role***
Communities consultation	- Document all the consultation processes organized by authorities or companies	- Train communities on FPIC and consultation processes quality standards - Receive and store information Advocate local authorities and companies about consultation methodologies - Advocate for the integration of consultation obligations in the law	- Participate in Integrity Watch Afghanistan's surveys	- Collect data on consultation processes performed by authorities and companies
Land compensation	- Document the losses in land and means of livelihood - Document the information received on compensation	- Use data in advocating for stronger legal framework -	- Participate in Integrity Watch Afghanistan's surveys	- Collect data on consultation processes performed
Impact on air quality Impact on water sources	- Collect air samples twice a year and send them to Integrity Watch Afghanistan's main office	- Train communities in simple sampling methods with the support of experts - Help communities select the sampling sites - Receive samples and submit them to a laboratory - Alert authorities when necessary	- Document perception of air quality by responding to a detailed questionnaire twice a year	- Build questionnaire with the help of experts to collect participants' perceptions of air quality (occurrence of respiratory problems, intensity of dust disturbance etc.) - Get appropriate technical training and collect air samples on mining sites twice a year
Impact on watercourses (flow, erosion)	Document perception of watercourses' flow rates and riverbed structure by	- Build questionnaire with the help of experts to collect participants' perceptions		- Document perception of watercourses' flow rates and riverbed structure by responding

	responding to a detailed questionnaire twice a year Take pictures	- Alert authorities when necessary		to a detailed questionnaire twice a year
Land rehabilitation	- Visit abandoned mining sites and document the state of their rehabilitation twice a year by responding to a questionnaire - Take pictures	Build a questionnaire to collect participants' observations	- Inform Integrity Watch Afghanistan on the location of abandoned mining sites	- Visit abandoned mining sites and document the state of their rehabilitation twice a year by responding to a questionnaire
Noise disturbance	- Collect testimonies from a sample of households twice a year	- Build data collection tool for monitors		- Build data collection tool for monitors - Collect testimonies from a sample of households twice a year
Impact on state of roads	- Document the perception of the state of roads in a delimited perimeter around the community using a detailed questionnaire twice a year - Take pictures	- Build questionnaire	- Participate to Integrity Watch Afghanistan's survey	- Build questionnaire - Document the perception of the state of roads in a delimited perimeter around the community using a detailed questionnaire twice a year
Mine Production	- Observe the number and contents of trucks leaving the mining site on a defined number of days (random) day per month; - Document reports/testimonies of local mine workers or production accounts shared by company	- Consolidate data and share it with provincial DoM, ministry and AEITI		Engage discussions with provincial DoM to have access to production figures
Working conditions in mines	- Collect testimonies from a sample of mine workers twice a year	- Build questionnaire/data collection tool		

Design and implementation of social projects	- Regularly document the advancement of social projects by the company - Identify communities' needs through rounds of meetings - Start dialog with company on communities' needs	- Obtain access to existing CDAs - Annually request information from companies on planned social projects - Share information with communities - Send annual reports to companies on the execution of the planned projects	- Document the advancement of social projects by the company twice a year and send to Integrity Watch Afghanistan	- Obtain access to existing CDAs - Annually request information from companies on planned social projects - Share information with communities - Send annual reports to companies on the execution of the planned projects
Existence and use of grievance mechanisms	- Engage with companies for the creation of grievance mechanisms - Share information with rest of community	- Assist communities in engaging with companies - Share information to DoM		- Engage with companies for the creation of grievance mechanisms - Share information with rest of community - Share information to DoM
Impact on women's lives and means of living	- Create a group of women where they can share their experiences - Collect their perceptions on the impacts of mining on their lives twice a year	- Raise the community's awareness on the gendered impacts of mining - Build questionnaire		- Raise the community's awareness on the gendered impacts of mining - Collect testimonies from a sample of women on the impacts of mining on their lives once a year - Build questionnaire
Revenue transfer to producing provinces	Request annual meeting with DoM to enquire about the transfer of mining revenues and provincial budget	Assist communities in engaging with DoM		Request annual meeting with DoM to enquire about the transfer of mining revenues and provincial budget Share information with communities
Use of local revenues				

9.4.2 Build communities' capacities

An efficient and sustainable CBM project relies on quality and regular data collection processes, which are only possible when data collectors are committed to the project and have received adequate training. Capacity building on both the purpose of the CBM project and of the methodologies to collect data are necessary.

Considering the technicality of the sector and the understandable disconnection felt by monitors between their actions and the resulting benefits, it is crucial that implementing organizations spend time raising awareness on why such a project is necessary and useful. Local residents and potential monitors need to be convinced that their action can have an impact on the governance of the sector and consequently on themselves. Bringing clarity on the challenges associated with the highly opaque mineral sector could be an important component to help strengthen citizen engagement among the audience and in turn build ownership around the project. It is suggested that a common set of knowledge is shared with all concerned communities. It could include awareness raising sessions on:

- The extractive sector in Afghanistan
  - Overview of known mineral reserves
  - List of known minerals in the province
  - The mining law: strengths and weaknesses
- The challenges of extractive resources management:
  - The "resource curse"
  - The good governance principles (see NRGI Charter for example)
- CBM:
  - Why is it important?
  - How can it have an impact?

In addition to this common set, future monitors need to be trained on data collection techniques and the use of the data collection tools that will be elaborated. A good data collection process implies that the same questions are answered at regular intervals of time, in the same format, so that data is comparable in time and between different projects.

For more technical procedures such as sampling, protocols need to be elaborated by experts and then strictly followed to ensure the credibility of data. Ideally, protocols should be shared with companies and authorities before the start of the process in order to build transparency and credibility.

9.4.3 Ensure local monitors' security

By collecting data and enabling it to be used to influence decision-making by companies and public authorities, local monitors will be disturbing the existing power dynamics within the extractive sector and consequently jeopardizing the interests of some stakeholders. As a result, they will be particularly vulnerable and exposed to danger. As explained above, the exposure of local monitors can and should be reduced by adapting the CBM activities if the risk is considered too high. However, considering the stakeholders involved in the mining sector in Afghanistan, local monitors are exposed as soon as they participate to a project that aims at reducing the opacity that favors some categories of actors.

The security of the local monitors must be a priority for implementing organizations which implies a minimum set of steps.

1. A comprehensive analysis of the security risks for each community involved should be conducted prior to the implementation of any activity;
2. The local monitors are explicitly consulted on this point;
3. The project's implementation is adapted to the identified risks and to the level of risk tolerance expressed by the local monitors;
4. Alert mechanisms are put in place and local monitors are equipped with means to alert the implementing organization in case of threat or danger.

Recommendations

Recommendations are addressed to a number of stakeholders to ensure Integrity Watch Afghanistan and local monitors are able to carry their monitoring activities and that the project yields result beneficial to the transparency and accountability of the Afghan extractive sector.

To Provincial Departments of Mines:

- Regularly meet with civil society organizations involved in CBM projects and their local monitors
- Share data on production volumes with local monitors
- Make information about the mining revenues received from central authorities accessible to the public
- Ensure on-site inspectors cooperate with local monitors and civil society organizations involved in CBM projects
- Ensure mining companies cooperate with local monitors and civil society organizations involved in CBM projects

To companies:

- Set up a system of regular consultations with neighboring communities
- Set up a proper grievance mechanism by which local residents can easily, anonymously and safely send complaints about the impacts of the mine on their life and environment
- Give access to the mining site to local monitors and civil society organizations, while respecting security measures
- Share the Environmental Impact Assessments and all relevant documents related to the company's measures to mitigate its externalities
- Publish the agreements reached with central authorities on voluntary and/or contractual social projects, or the CDA
- Publish annual social projects plans and budgets after consultation with local communities

To the Ministry of Mines:

- Ensure contracts of monitored projects are accessible to the public
- Issue support letters to help Integrity Watch Afghanistan's monitors perform all CBM-E activities
- Ensure provincial authorities and companies cooperate with civil society organizations involved in CBM projects and local monitors
- Ensure representatives from the Ministry always meet with communities when performing on-site inspection missions
- Establish a strong and independent Mining Ombudsman, along with other grievance mechanisms if necessary

To the AEITI:

- Cross-check the information received through civil society organizations involved in CBM with AEITI-collected data
- Ensure data from CBM initiatives are considered as a source of contextual information by Independent Administrators during reconciliation exercises

To civil society organizations willing to improve the governance of the extractive sector:

- Develop community-based monitoring initiatives to support communities and inform your own advocacy
- Coordinate the initiatives with other organizations active in the sector

- Share the collected information with other civil society organizations, international organizations and public authorities
- Train local monitors to collect data on a limited number of parameters that have a direct impact on their lives and ensure data collection is sustained on the long-term
- Train the staff on how to include a gender perspective in CBM projects. In particular,
- ensure that trainers as well as local monitors teams are gender balanced and that the impact of extractive industries on women are documented

Annex 1: Summary of projects included in the scope of the study

S. #	Province	Project	Company	Mineral	Size of mine	Communities near mines	FGD with community	IDI with Company	IDI with DoM
1	Baghlan	Ghori Cement Factory	Cement Ghori Enterprise Company	Cement Ghori	Large	Nawabad Shash sadkoti in Pulekhomry city	Yes	Yes	Yes
2	Baghlan	Kar Kar Coal Mine	Kar Kar Coal Committee	coal	Large	Pulekhumri city	No	No	
3	Baghlan	Dod Kash Coal Mine	Dod Kash	coal	Large	Nahrin	No	No	
4	Balkh	Maihan Nawid Soil Gravel Mine	Maihan Nawid	soil gravel	Small	Tokhta	Yes	Yes	Yes
5	Balkh	Bakhtar Crystal Soil Gravel Mine	Bakhtar Crystal	soil gravel	Small			Yes	
6	Balkh	Ford Bamika Soil Gravel mine	Ford Bamika	soil gravel	Small			Yes	
7	Balkh	Afghan-Tajik Basin Oil and Gas Project	Turkish Petroleum Company, Ghazanfar Oil & Gas Company and Dragan oil Company	Oil and Gas	Large	Sharake Afghania	Yes	No	
8	Sar e pol	Amu Darya Basin Oil Field	CNPCI and Watan Oil and Gas Afghanistan Limited	Crude Oil	Large	Angoot and Qashqari	No	Yes	Yes
9	Faryab	Qarizada Salt Mine	Qarizada Sauce Making Company	Salt	Small	Fayzabad	No	Yes	No
10	Jawzjan	Yatem Taq Gas Field	Jawzjan Gas Enterprise	Gas	Medium	Yatem Taq (and Khwaja Gogerdak)	No		Yes
11	Jawzjan	Khwaja Gogerdak Gas Field		Gas	Large	Khwaja Gogerdak	Yes	No	
12	Samangan	Mohmand Shamal Coal Mine	Sherkat Mohmand Shamal	coal	Large	Tor and shikha	No	Yes	Yes
13	Samangan	Mesaq-e-sharq Coal Mine	Sherkat Mesaq-e-Sharq	coal	Large			Yes	
14	Samangan	Madankari Coal Mine	Sherkat Madankari	coal	Large			Yes	
15	Samangan	Khoshak Brothers Company Coal Mine	Khoshak Brothers Company	coal	Large			Yes	
16	Takhar	West Co Kalafghan Salt Mine	Sherkat West Co-International	Salt	Small	Archak hotel village	Yes	Yes	Yes
17	Takhar	West Co Namakaab Salt Mine	Sherkat West Co-International	Salt	Large	Taqcha Khana	Yes		
18	Takhar	Khalid Aziz Brothers Company Coal Mine	Khalid Aziz Brothers Company	Coal	Large	Gazestan/Dashte robat	No	Yes	

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