



# Seeking Benefits and Avoiding Conflicts: A Community Company Government Assessment of Chavuma, Zambia





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## List of Acronyms

AAC	-	Anglo-American Corporation
CCA	-	Community Company Assessment
CCGA	-	Community, Company Government Assessment
CDOS	-	Catholic Diocese of Solwezi
CSR	-	Corporate Social Responsibility
CSO	-	Central Statistics Office
EITA	-	Extractive Industries Transparency Alliance
EITI	-	Extractive Industry Transparency Initiative
FISP	-	Farmer Input Support Programme
FGD	-	Focus Group Discussions
FODEP	-	Foundation for Democratic Process
FRA	-	Food Reserve Agency
FSP	-	Food Security Pack
GRZ	-	Government of the Republic of Zambia
JCP	-	Joint Country Programme Zambia
JCTR	-	Jesuit Centre for Theological Reflections
KZF	-	Keepers Zambia Foundation
NGO	-	Non-Governmental Organisation
NRC	-	National Registration Card
PWYP	-	Publish What You Pay
PTA	-	Parent Teacher Association
RG	-	Resources Governance
SAP	-	Strengthened Accountability Programme
SCT	-	Social Cash Transfer
YAD	-	Youth Alliance for Development



# Executive Summary

This study is a collaboration of partners of Diakonia Country Office Zambia and the Joint Country Programme (JCP) Zambia namely Caritas Zambia, Catholic Diocese of Solwezi (CDOS), Publish What You Pay (PWYP), Jesuit Center for Theological Reflections (JCTR), Extractive Industries Transparency Alliance (EITA), Youth Alliance for Development (YAD) and Foundation for Democratic Process (FODEP). Ultimately, it is expected that the study will strengthen the capacities of parties involved so that the benefits of Zambia's natural resources extend to the communities where operations may disrupt livelihoods.

The team conducted fieldwork in five (5) communities in Chavuma which included; Chinwandumba, Kakanga, Kamisamba, Kalombo and Chavuma Central. The team visited each of these communities and spread out to collect data for a day, conducting concurrent one-on-one interviews and Focus Group Discussions (FGD). This Community Company Government Assessment (CCGA) is unique in that it was the first of its kind to be conducted in Chavuma. At the time the CCGA was conducted, the Extractive Industries in Chavuma was non-existent, however there was evidence of mining exploration activities being conducted by Anglo-American Corporation. As such, it was crucial that this CCGA be undertaken to assess community perceptions on the possible mining activities that could commence in Chavuma district. This CCGA also sought to establish the nature of the communities' perceptions of the relationship they had with the local authorities in Chavuma.

The research adopted the purposive and stratified random sampling techniques to identify communities to be interviewed to ensure that the sample size included all hard to reach groups, such as the women, children and youth. Communities and government listed their priority areas of development as indicated below:

## **Chinwandumba Priority Areas**

- Increase Farmer Input Support Programme (FISP) to expand agricultural yield.
- Installation of electricity in residents' homes.
- Provision of good health facilities.
- Provision of clean water and sanitation services
- Construction of trade schools for skills development.
- Job creation for women in mining companies
- Provision of education and telecommunication services.
- Construction of infrastructure such as roads and boreholes.
- Access to bursaries for the youths in Chavuma to acquire higher education.
- Establish Women Empowerment Programmes to assist women and girls in the communities.

## **Kakanga Priority Areas**

- Infrastructure development- Government should construct bridges, roads as well as provide better infrastructure for proper sanitation.
- Construction of a Trades and Carpentry Center for youth.
- Provision of Government bursaries/scholarships specifically for youths in Kakanga to acquire an education.





### **Kamisamba Priority Areas**

- Government should provide adequate basic services. For example, construction of hospitals, schools (primary, secondary and tertiary levels), better market structures, better sanitation systems, agricultural shelters/storehouses as well as good roads.
- The government and the company should install boreholes.
- Youth empowerment programmes- There is need to sponsor the youth in schools by constructing youth centers, libraries and support the youth to establish recreational clubs for sporting activities.

### **Chavuma Central Priority Areas**

- Infrastructure development-government should construct bridges, roads, sanitation facilities and super markets.
- Create jobs for the local people.

## **KEY RECOMMENDATIONS**

The following recommendations on infrastructure development, health, education, employment, engagement and special needs were given by the various communities and government departments that were interviewed:

### **Infrastructure Development**

- The community recommended that the Government offices in Chavuma be properly re-designed and better structured with clear sign posts.

### **Employment**

- The community should negotiate with mining companies to ensure that the selection of jobs is done fairly prior to the commencement of mining companies.
- Government should create a mechanism that will ensure local residents are a priority for employment opportunities should mining operations commence in Chavuma. Mining companies should reserve a reasonable proportion of the workforce for the local community once mining starts in Chavuma.
- The community should hold regular engagement meetings with the mining companies, contractors and the District Commissioner where they can review a selected list of job seekers and verify local employment using National Registration Cards (NRCs). This will help in the monitoring/tracking of the number of local residents that are employed by the mining companies.
- There is need for government to enact laws that ensure employment of local people, providing for "job on training" opportunities for the unskilled.

### **Health and Education**

- Corporate Social Responsibility (CSR) by mining companies should focus on agriculture, health and education. For education, CSR should specifically focus on building schools, sponsoring children that are performing well academically to universities for mining related courses to find jobs in the mines locally and elsewhere.
- Training institutions should be established to equip local youths with skills compatible with those needed in the mining sector should mining in Chavuma commence.







### **Engagement and Community Consultations**

- The communities, civic leadership and government needed to engage more often with mining explorers because there proved to be lots of secrecy in the interactions between the mining company and the government.
- The mining company should have a clear plan on environmental pollution and sign an agreement with the community according to the timeframe the company will be mining in the district.
- To enhance dialogue and improved communication on the mining prospecting, there is need to form a representative committee for these purposes. Representation should include people from the local authorities, mining companies and the communities.
- Mining companies should conduct extensive consultations with traditional leaders and the local communities in Chavuma before the mining investors begin their exploration activities.
- There is need for the local authority, central government and traditional leaders to synchronize their efforts in engaging with exploring companies as opposed to working in silos.

### **Special Needs**

- A community needs assessment should be conducted for government to make informed decisions about prioritizing interventions that meet the needs of Chavuma communities. Should mining companies displace communities, there is need to ensure that the designated area for relocation has the much-needed social amenities.
- There is need for mining companies to have a proper resettlement plan that will ensure decent accommodation for residents.
- There is need for government to enact laws that ensure employment of local people, providing for “job on training” opportunities for unskilled people. There is need for the government to intensify work around fighting corruption and nepotism to ensure equal job opportunities for those who are qualified but have no social connections.
- There is need to conscientize the community on the positive and negative aspects of mining. There is need to mainstream sensitization on the effects of mining in speeches and other government activities.
- There is need to involve the community on mining activities from the onset.

### **Way Forward**

The research team proposes the following as a way forward:

- Seek additional funding to complete the CCGA process. This includes holding a multi stakeholder meeting, getting stakeholder commitment to follow-up on recommendations with an action plan, and implementing at least part of the action plan.
- Carry out CCGA's in other areas focusing on communities within and in proximity to the company operation/mining prospecting areas. It might be necessary to take the CCGA beyond the traditional operational area and make the CCGA a repeated or regular exercise to continuously inform the extractive industries, government and communities.
- Interest Non-Government Organizations (NGOs) and donors to conduct and maintain a system that monitors and evaluates the implementation of agreed CCGA action plans by companies and the government.









An initial baseline study was conducted by Diakonia and its 5 partners before the commencement of the Strengthened Accountability Programme (SAP) in Chavuma district. Through the SAP, Diakonia and partners are working in local communities to address the poor social service delivery, the high cost of living, high unemployment and underemployment through strengthening accountability of duty bearers, who include the mining exploring companies, local authorities, traditional leaders and the various government departments (Health, Education and Agriculture). This is all in a bid to promote social and economic justice amongst especially the poor and vulnerable rights' holders in the district. The rights holders' programme targets traditional leaders, religious leaders, the media, local state institutions and communities through various capacity building activities to promote awareness of human rights' and natural resource rights. A study was conducted in Chavuma district to gather data on the initial situation at commencement of the SAP, against which comparisons can be made in measuring outcomes and impacts of the programme.

Between November 27 and December 9 2016, a research team consisting of individuals from Caritas Zambia, Catholic Diocese of Solwezi (CDOS), Publish What You pay (PWYP), Jesuit Center for Theological Reflections (JCTR), Extractive Industries Transparency Alliance (EITA), Youth Alliance for Development (YAD), Foundation for Democratic Process (FODEP), through the support of Diakonia and the Joint Country Programme (JCP) conducted the study to assess the relationship among exploring mining companies, Government and Communities in Chavuma District, North western Province.

This study, a Community Company Government Assessment (CCGA), aims to develop shared understanding among companies, communities and government officials, so that the possible extraction of natural resources results in net benefits to people living in and around the areas of exploitation. This study is the first step in enabling communities to negotiate with large companies from a position of strength. We intend for this research to inform how communities in Chavuma District can engage more strategically and effectively with the mining industry and how companies operating in the region can address community concerns. We also intend to inform central and local government on the interaction between exploring mining companies, government departments and communities, the emerging issues for consideration, and the management of community and other stakeholder expectations with respect to the mining industry. Ultimately, we hope that this CCGA will strengthen the capacities of those involved so that the benefits of Zambia's natural resources extend to the communities where operations may disrupt livelihoods.

## **1.1 Organisation of CCGA Chavuma Report**

Chapter one is the introduction of this report and it explains the background and motivation for the study. Chapter 2 lays out the study's methodology and CCGA process. A specific understanding of the methodology and CCGA process by the research team is imperative prior to data collection. The data collected through field research from the respective communities and local government is presented in Chapters 3 and 4. This chapter focusses on the detailed presentation of findings from the CCGA process. Chapter 5 highlights the key recommendations and priority areas from the communities and government recommendations. Chapter 6 presents the core team recommendations and the study concludes in Chapter 7 with a way forward giving specific suggestions to continue the process of developing shared understanding amongst the key stakeholders that is, mining corporates, government and the communities.





## 1.2 CCGA Schedule

The CCGA process was conducted from November, 2016 to December 2016. The following is a layout of the time line followed for the completion of the process until the report writing stage:

### **(2016)**

- 28 November - Research team trained on CCGA process
- 29 November - Data collection and validation process commences
- 2 December - Data collection and validation process ends
- 19 December - Data analysis and Report writing commences
- 22 December - Data Analysis and Report writing ends





# CHAPTER TWO

## Research Methodology

### 2.0 Introduction

This chapter is developed to lay out how the data required to meet the objectives of this study was collected. The main goal of this chapter is to justify the methodological approach, validity and ethical considerations that were undertaken during the CCGA process. Information included in this chapter is on the research design, methodology and processes of data collection and analysis. As such, this chapter's discussion will focus on the various techniques and processes that were used to gather and analyze data as to achieve the main purpose of the CCGA process.

The research team prioritized Chavuma district to assess how relationships were developing among communities, local government authorities and the mining companies that were undertaking explorations. This provided a good opportunity for the CCGA to assess how relationships were unfolding during the pre-extraction period. The data collection process, validation and analysis for the CCGA was done from 29 November to 9 December 2016. The research team met with a wide variety of community and government representatives during the process with the exception of the exploring mining company Anglo-American Corporation (AAC).

Ideally, the CCGA requires that a mining company be interviewed because they are key stakeholders to the process. It must be pointed out from the onset that ACC was not interviewed due to that they were unavailable in Chavuma at the time the research team was collecting data. Nonetheless, the perceptions shared by the communities and the local authorities about the mining exploration works and possible mining activities in Chavuma were important and of great value to the research team and the entire CCGA process. The research team, however, intends to engage the AAC to establish their exploration findings and their future plans in the district.

### 2.1 CCGA process

The CCGA explored the relationship among exploring companies, government and the communities by assessing and measuring how it has and developed over time. Data is collected and analyzed using grounded theory, a qualitative research approach which begins with generative questions that guide the research but are not limited or confining. Thus, as data is gathered, core concepts and themes are identified, coded and linkages are developed. A central feature of this approach is that the respondents themselves and not the researchers identify the important themes that emerge in the study. The interview is carried out more in the form of a conversation with the respondent selecting the topics to discuss, and, with probing, the respondent provides the detail and depth to the topics discussed. The interviewer's role is to keep the conversation linked to the broad theme of the industry and its effects on personal and community life, and to then document what is said.

The CCGA is distinct from many other research-based approaches in the following ways:

1. The subject matter is not pre-determined. Rather, the focus of the assessment arises from discussions with communities and company personnel. A protocol with open-ended questions ensures that themes that emerge from the data are identified by respondents and not the interviewers.
2. Data is reviewed and coded daily
3. The assessment team summarizes and presents findings back to a sample of the data providers (Government and community), who in turn are asked to review and validate the data, to change it or to strike out anything that clearly looks incorrect. This process ensures that the researchers' understanding of the meaning of what was said is as intended.

4. Emphasis is placed on understanding and documenting what is said regardless of whether or not the perceptions and opinions may be factually correct from the interviewer's point of view.
5. Both communities and companies provide data, and their responses are compared and analyzed to generate the assessment. The gap in company and community perspectives is the space for building relationships. The overlap is the space from which shared understanding and trust are generated.
6. Different levels of government, donors and other actors are also solicited for their inputs, and their views are incorporated into the team's analysis and recommendations.



***One of the researcher's explaining the CCGA process to a group of youths before the interviews***

7. Power relations among the different groups of actors, their interests, priorities and capacities are also analyzed.
8. The results of a CCGA are twofold: net benefits to communities and companies; and trustful relationships between companies and the communities in their areas of direct impact. Intermediate results are strong community capacities to negotiate for their priorities, to monitor agreements, and to advocate on their behalf in an effective way.

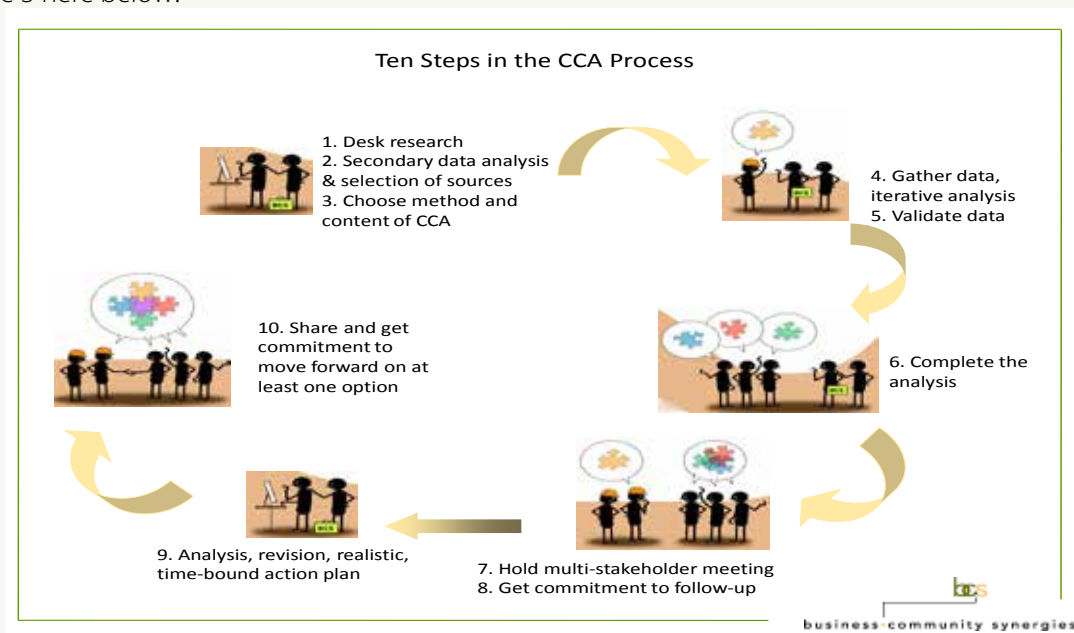
Four principles guide and underlie the CCGA process. To build trust, it is crucial for the research team:

- To respect each stakeholder's knowledge (scientific and non-scientific), logics (or ways of seeing and thinking about the world) and languages (ways of expressing themselves);
- To make significant effort, even before the intervention begins and on an ongoing basis, to understand the histories, diversities and local-national-global power relations, as well as the full spectrum of livelihoods that characterize the communities and regions impacted by extraction.



- To consider local history, diversities and past relationships within and among communities, as well as with international actors.
- To ensure that all interactions with stakeholders creates shared understanding, i.e., recognition of the reality of the many perspectives on natural resource extraction in each context and accepting the legitimacy of those perspectives.

The steps of the CCGA, as noted below, draw heavily from principles of participation. The ten steps are detailed in Figure 3 here below:



**Figure 3: The CCGA process**

For this study, steps 1 and 2 were carried out through internet correspondence among the Diakonia and JCP partners. Steps 3 to 6 were carried out by the research team in Chavuma, Zambia.

An important step in the CCGA process is the validation of data. This requires that a sample of data providers from communities and government and the company review the summary of data they themselves provided and verify its accuracy. The validation step is critical not just because it confirms the research team's understanding of what was said, but also because it reveals the degree of receptivity to the data and implications for action. The team is able to note the following: Are there gender/ethnic/age differences within and among the communities in terms of their view of the data? Where do we see the greatest consensus and where can we anticipate resistance to change? In some validation exercises, participants may substantially challenge and change what people in their own community or company said. This is an indicator of divisions within the company or community. It may also be a misunderstanding on the part of the team – one reason why it is essential to have teams that bring both local and international perspectives and experience to data interpretation.

Worth pointing out also is that three validation exercises (step 5) were conducted in Chavuma for communities, local authorities and central government officials. The validation process brought separately representatives from the four communities as well as representatives from the local and central government where the research team conducted interviews. The research team also completed its own analysis of the validated data (Step 6). The next steps of this process will be to hold a multi-stakeholder meeting (Step 7), get stakeholder commitment to follow-up on recommendations with an action plan (Step 8 and 9), and put at least part of the action plan to the test (Step 10).

## 2.2 The questions asked

Central to the CCGA approach is to hold conversations using generative questions and allowing the respondents to identify the topics of interest and concern to them. Thus, the content of the data emerges from the individuals interviewed rather than from the research group. An interview protocol was used in this study (Refer to Appendix one). The purpose of the interview is to hear and understand what the respondents think and to give them voice, so their voice and perspective can come through independently of the interviewer's perspectives. The team also conducted some Focus Group Discussions (FGDs), which enabled the researchers to explore perceptions, opinions and beliefs in a group setting, where the participants actively interact. Here insights arise from the shared language/responses (or not) established by the group. The observation of participant interaction can also lend insights into community, government and company power dynamics.

The research team introduced every conversation with the community and government representatives using the same four themes:

1. To enable each person interviewed to describe in his or her own language the nature of their contact/interaction with the company, government and community;
2. To state whether and to what extent the communities perceive the benefits from possible copper exploitation;
3. To offer their perspectives on the possible barriers to community benefits from mining as well as the current barriers to benefits from the government; and
4. To provide an ideal scenario from the interviewee's perspective. What would they change if they could and how?



**One of the youths facilitating a FGD during the validation process of the CCGA.**





## 2.3 Data sources

Considering the on-going explorations of oil and minerals, the research team prioritized Chavuma area. In these areas, the team focused on areas that could possibly be directly impacted by extractive industries operations. The team conducted fieldwork in communities of Chinwandumba, Kakanga, Kalombo, Kamisamba and Chavuma Central. The team visited each of these communities for one day and spread out, conducting concurrent interviews, small group and focus group discussions. We aimed for stratified random sampling, but given the time constraints of the research team, some snowballing was used to ensure that we included hard reaching groups, such as the women, youth and children.

## 2.4 Limitations

The major limitation to the CCGA was the time available due to the wide geographical area of Chavuma district. Typically, a CCGA of this nature covering five communities that are relatively far apart would require more time. Ideally, the CCGA would cover a more systematic sample of community members, additional villages in the district, and a wider diversity of national and sub-national stakeholders.

Another limitation was the failure to have and interview any of the exploring companies in Chavuma, the CCGA was limited to data from communities and government.

There are also limitations to the use of such open-ended methods. For example, the influence of the researcher in the interview/group discussion process may be significant, which raises questions about the validity and replicability of the research results. Several steps were taken to mitigate against these biases:

1. We conducted substantial and detailed secondary data review;
2. The team included multiple local NGO personnel with extensive inter-disciplinary and specialized expertise and familiarity with the industry and the local context;
3. Team members received training in the CCGA prior to the study,<sup>1</sup> and additional training and practice immediately before starting the field work;
4. The assessment team used grounded theory, a qualitative research approach which begins with generative questions that guide the research but are not limited or confining Researchers worked in teams whenever possible (one as primary interviewer the other as note taker) so that consistency of research findings was maximized; and
5. Finally, validation workshops were held for community and government representatives to ensure that their views and perceptions were captured appropriately.

Despite these limitations, the information generated during the study exhibited a high degree of consistency within and across the different groups, thus we have confidence in the research findings. Inconsistencies and uncertainties were taken note of during the validation exercise and have been recorded in this report. With respect to the accuracy of community and government perceptions, the validation exercise helped ensure we had documented these perceptions accurately. The validation process permitted government and communities to ensure the data did represent their perspectives.

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<sup>1</sup> A full-day training workshop held by Diakonia and Caritas Zambia facilitated by CCA experts from JCP and CDOS.

# CHAPTER THREE

## PRESENTATION OF FINDINGS

### 3.1 Introduction

The CCGA process findings are presented in this chapter. Firstly, a brief profile of the demographics of the communities where respondents were sampled is given. The chapter then goes on to discuss the findings of five communities in Chavuma namely; Chinwandumba, Kakanga, Kalombo, Kamisamba and Chavuma Central. The findings of government are also presented and discussed. What is specifically presented is a summary of data per community for the first three themes of the CCGA interview protocol which include:

- Community-Company-Government Interactions;
- The extent to which communities have benefitted from the presence of the exploring mining company;
- The perceived barriers to community benefits from mining explorations.

As indicated in the previous chapter, the aim for the Chavuma Community-Company, Government assessment (CCGA) was to appraise the relationship that exists among the key stakeholders on the nature of their interaction, the benefits occurring in the communities in the district as well as the barriers that could prevent and/or hinder full benefits from the presence of mining activities.

### 3.2 Participant Demographics

The research team conducted several interviews with community members, local council officers and government officers from the various government departments. There was a deliberate effort by the research team to ensure that men, women, youth and the elderly were well represented in the sample size. Hard reaching groups such as the women and the elderly were found by employing the snow-ball sampling technique. Overall, the views that are presented in this chapter reflect the different sexes, ages and social/economic backgrounds of the people in Chavuma. As such, the experiences and perspectives of each group (women, men, youth and the elderly) provided valuable data and insight for the CCGA process.

### 3.3 Presentation of Findings

The following section discusses the specific findings from the five (5) communities and government based on the results attained during the field work process. Emerging themes derived from the interviews on perceived interaction, benefits and barriers to benefit in some areas of Chavuma district are presented as they contribute to achieving the main objective for conducting this CCGA process.

#### 3.3.1 Chavuma Central

Chavuma central, is a ward in Chavuma district and as per the last census held in 2010 has an average of 7,263 people as its total population. Chavuma central is located on the east bank of the Zambezi River which is more developed and highly populated as it hosts most of the government departments and district administration offices. Majority of the people in this ward are subsistence farmers and small-scale traders whilst a few others are working in the various government departments and entities.





### 3.3.1.1 Community- Company Government Interaction

The interviews conducted with community members in Chavuma Central revealed that although many of them had seen vehicles labelled Anglo-America driving through the town center in 2014, there had not been any direct interaction with the company. Residents of Chavuma Central further pointed out that most exploration did not take place in the main town center area. However, through interaction with other communities they were able to get certain information on the exploration activities the company was conducting and they were told that Anglo-America had come to conduct explorations and this would inevitably result into people living near prospecting sites being relocated because they would need to sell their houses. Some community members near the exploration sites also indicated that they had seen the company get samples of stone to test for mineral content, while others in the community said there was oil near the Zambezi river banks thus they suspected that people living near these areas would soon be displaced. The community further indicated that there was no formal introduction of the prospecting company with the community. Concerning their interaction with government, the community stated there was little interaction between the two parties.



*Traders in the Chavuma Central Market being interviewed during the CCGA process*

### 3.3.1.2 Community Benefits

The only notable benefit the community cited was that a few individuals were employed by Anglo-America during the exploration periods. However, the community anticipated that should mining operations begin, some of the potential benefits would be development through improved road networks, building of supermarkets and shopping malls, better houses, clinics of good standards, schools and a bridge on the Zambezi River. The community also noted that investment from the mines would result in job creation which would invariably lead to an increased disposable income for people to spend. Residents further stated that the coming of the mines would mean increased business and trading opportunities for them as more commodities in the market place would be sold.



### 3.3.1.3 Barriers to Community Benefits

On the contrary, in highlighting barriers to benefits, community members were quick to point out that employment would be given to residents outside the communities because the mining companies would opt to hire people from other areas such as the Copperbelt.

***“Even if they came, in case of employment, they will only choose those in the offices; marketeers will never be selected”. Community member***

Most of the youths interviewed in the Chavuma Central area felt left out and sidelined for training and employment opportunities in district. For instance, some youths reported that sometime back, a trade’s team consisting of youths to be trained in Mwinilunga was registered at the District Commissioner’s office with the involvement of the Social Welfare office. However, these youths had still not been contacted to be trained at the time the CCGA was conducted.

Residents also stated that the lack of qualifications, skills and experience of most of the youths would be a barrier to them benefitting should mining activities commence. A reason given for this was that the mining companies would only employ people with grade 12 certificates and experience in a particular trade. Furthermore, the community also felt that the mining company may not be transparent about who they employ and only Government officers and mine workers’ children from the mine would be selected for the jobs. They went on to state that even when there was a job opportunity at the government office, information on the available job vacancies were not shared by those employed in the Government. The same applied to women who would not get employed due to favoritism and corruption.

***“If you want to get employed you have to have a relationship with the boss and if you refuse you are left out”, Resident***

Another community member expressed concern on favoritism when it came to the job search process.

***“Corruption has been growing in Zambia from corner to corner even when it comes to looking jobs”. Community member***



*Part of the research team and traders in Chavuma Central Market during the CCGA process*





### 3.3.2 KAKANGA COMMUNITY

Kakanga is a community in Chavuma district located on the east bank of the Zambezi River. Majority of the people in this area are subsistence farmers, seasonal fishermen and small-scale traders whilst a few others are working in the various government departments and entities. The community's infrastructural development is only limited to a few houses that can be labelled as developed as compared to the majority of thatched houses in the community. Women, men, youth and the elderly from the community were sampled to take part in this study.

#### 3.3.2.1 Community-Company Government Interactions

Anglo-America was first seen in the community in 2014 and residents stated that there was no direct interaction with the mining company as they were not allowed to go near their exploration and office sites. The community further observed that they only saw the company collecting stones and loading them into sack bags but no communication had reached them on why this was being done.

***“When the mining company came there was no full story on what the mine company came to do in Chavuma” Community member***

Concerning interactions with the government, the community reported that contact between the two parties had been close to non-existent.

#### 3.3.2.2 Community Benefits

The residents of Kakanga community indicated that there were no benefits accrued to them during the period of exploration by Anglo-America. However, they anticipated that should mining activities commence, potential benefits must include a bridge being built on the Zambezi River, hospitals, teaching colleges and a university. The community also hoped for better market structures, feeder and tarred roads as well as better drinking water sources in the community.

#### 3.3.2.3 Barriers to Community Benefits

The residents cited a number of barriers for them to benefit from mining explorations. , Some of the barriers cited included not been able to work hand in hand with government as well as the non-consideration of locals for jobs in the public-sector domain as a result of nepotism and tribalism which is common amongst government officials in office who only employed their family members and relatives. ***“Even though it’s we the people of Chavuma that elect Members of Parliament, they are only interested in benefitting themselves and not us”, Community member***

### 3.3.3 CHINWANDUMBA COMMUNITY

The Chinwandumba community is located east of the Chavuma Central Business District, 17 km away from the main road. According to the District Medical Department, the community has a population of approximately 1,320 people. Most of the community's economic activities include subsistence farming and seasonal fishing on the east banks of the Zambezi River called the Kashiji plains. Fishing is usually done during the flooding of the Zambezi River between January to March every year.

#### 3.3.3.1 Community Company-Government Interactions

Residents of Chinwandumba community reported that they did not have any active mining activities until 2014 when exploration activities were started by Anglo-America. The men and youth group interviewed mentioned





that they had never interacted with any mine company that had come into their communities for exploration purposes. It was said that the company came in, did their work and left without any explanation or information of what they had been doing or what they had found. The community however indicated that they only heard that the company in question doing the mineral prospecting was Anglo American Corporation. However some women interviewed mentioned that the only interactions was when a few of them had approached four site workers from Anglo America to ask where they had come from. On the interactions/contact with government, one community member stated, **“Government has never visited this community”**. The community complained that they had never interacted with the government over mining issues nor any other issue related to the exploration of minerals in the area.

### **3.3.3.2 Community Benefits**

There was general consensus amongst the residents interviewed that there were no visible benefits from both the government and Anglo-America’s exploration activities. However, some of the women from the community had highlighted a few potential benefits they hoped to get from potential mining activities in their area. One of the potential benefits they mentioned was the distribution of fertilizer to improve the yield of their farming activities. Women also wanted to be empowered by the mining company through the provision of hammer mills, sowing machines, ploughs and work oxen’s because they felt that they as women could not be employed by the mining company due to the nature of the work.

### **3.3.3.3 Barriers to Community benefits**

The men and youths of Chinwandumba indicated that the main barrier was that the government was not interested in their welfare as they did not take into consideration their basic needs during the district budgeting and planning processes. They went on to further cite the non-visitation by elected government officials as another barrier because the only time they went to the community to interact was during the election campaign period. Residents of Chinwandumba also complained that the government had not sensitized the community on mining issues which made it very difficult for the community to know whether the companies were really prospecting in line with the mining company’s exploration license.

The women of Chinwandumba community highlighted that they too had not received any direct benefits from the presence of the exploring mining company. However, the women felt that in the long run if mining activities were to take off, they would encounter barriers to benefits. Firstly, since most of their children were enrolled in school, they would not be employed by the mining company. Secondly, the women were also concerned that the mining company would only employ community members who were educated even though some of the jobs can be done by uneducated people as they heard was the case in Solwezi district.

### **3.3.4 KALOMBO COMMUNITY**

Kalombo is a community located in Chavuma district, 15km away from government department offices in Chavuma central. The community is a linear settlement which is seen along the main road. Kalombo has the same social, economic and governance aspects as most of the other communities in Chavuma. Women, men, youth and the elderly from the community were sampled to take part in this study.

### **3.3.4.1 Community- Company Government Interactions**

Community members mentioned that there was no direct interaction with the mining Company, however, they indicated that they had a few interactions with the government. The only Government interaction with the people of Kalombo community was when the community was informed by the District Administrative Officer, Chiefs and Village headmen that a mine will be opened in Kalombo in the near future. The community further noted that Anglo America was spotted in Kalombo community in the year 2014 during the exploration activities, however, they were not officially informed of the company’s agenda in their community. The people of Kalombo community believed it was the duty and responsibility of the District Ward Development Committee to speak with the mining company and afterwards inform community members of the mining company’s business in Chavuma.







The women of Kalombo community pointed out that they had spotted the mining company behind Kalombo primary school but did not engage with them. The women also heard that the mining company came to choose a committee comprising of the chiefs from the west bank, however, it was said that no direct interaction occurred with the community. With regards to government interaction, the women stated that the only other interaction was during the construction of schools through the Parent Teachers Association (PTA).

#### **3.3.4.2 Community Benefits**

The people of Kalombo community mentioned that they were not many direct benefits from the mining company. However, a company subcontracted by Anglo America to do the exploration drilling made donations in the form of books to Kalombo Primary School whilst mosquito nets were also distributed to community members. The women mentioned that even though they benefitted from these donations, only a few were selected through the government structures to receive mosquito nets.

#### **3.3.4.3 Barriers to Community Benefits**

A crucial barrier cited by the community was that the mining company had left holes in their cassava fields which were not covered for the safety of the communities'. Additionally, the community outlined several potential barriers that they felt would arise if active mining was to be done in their community. Residents further expressed concern that ignorance would be the biggest barrier because even though the mining company had gone into their community, they had no idea how to approach them. They went on to add that the little information they had was gotten through the rumors heard from different people in the district. The community members also identified political affiliation and perpetuation of regionalism, nepotism and tribalism by Government as barriers to community benefits from the government. Another possible barrier raised was that of employment of youths from other areas and districts which would invariably disadvantage indigenous youths from the Kalombo community.



*An incomplete police post constructed in the Kalombo community*





### 3.3.5 KAMISAMBA COMMUNITY

Kamisamba is a ward in Chavuma district and as per the last census held in 2010 census has an average of 1,248 people as its total population. Majority of the people in this ward are subsistence farmers, seasonal small-scale traders whilst a few others are working in the various government departments and entities. Women, men, youth and the elderly from the community were sampled to take part in this study.

#### 3.3.5.1 Community-Company Government Interactions

The mining company Anglo-America was spotted in the community at the end of 2013 and residents stated that they saw the company camped across Kalombo stream. Residents also mentioned that they witnessed the company drilling holes across Kalombo stream where they were digging in people's farms and putting up beacons. The community added that no feedback was given to them on what was happening as the company was merely conducting its explorations in secrecy. The residents of Kamisamba further pointed out that there was no direct interaction with the larger community as they only saw the company surveying and exploring for minerals. Worth pointing also was that before the exploration started, the mining company went directly to the District Commissioner's office and then went to see the chiefs and area village head men for a meeting with the councilor. However, community members were not informed about the meeting and hence were not consulted.

Residents of Kamisamba also contended that the government had not sensitized them over mining related issues and so they were unaware of where the mining company came from. ***"The only sensitization we receive comes from Non-Governmental Organisations"; community member.***



*A group of women speak out about their experiences in the Kamisamba community*





***A Headman in the Kamisamba community responds to a question posed by the researcher***

As regards interactions with government, community members stated that government officials had only been available to sensitize the community on non-mining related issues such as the upcoming Hydro- Electric Power project, the installation of boreholes as well as environmental related issues. This sensitization was done through the local council in partnership with Keepers Zambia Foundation (KZF) Zambia. The community also said they interacted with government when they formed youth clubs through the ministry of agriculture and community development.

### **3.3.5.2 Community Benefits**

The community had mixed feelings on the benefits from the presence of the company especially in view of the time spent during exploration by Anglo-America. Majority of the Kamisamba residents said that there were no benefits that came from Anglo-America.

***“There are no benefits for the community especially us, we heard rumors of people benefiting from mosquito nets but it was not from here”, Community member.***

Residents, however, were still able to give highlights on potential benefits if the mining company started full operation. Some of the benefits highlighted were; employment and the empowerment for women through the access to loans from the mining company. The community also talked about having better schools, clinics, hospitals, road networks, piped water as well as newly built houses and market structures with good standards. Other expected benefits from the mining company was the building of nursing colleges and technical schools in mining related courses so that residents could be employed by the mining company.

Community members anticipated that there would be more money circulating amongst themselves because products would be sold quickly resulting in vulnerable groups such as the old, sick and the lame being assisted. Communities also cited the installation of electricity as another benefit that would come if mining activities commenced.

### **3.3.5.3 Barriers to Community Benefits**

Despite the anticipated benefits from the mining company, some of the community members still strongly felt they would not benefit from the company’s operations. Amongst the key barriers to benefits cited were the mining investors’ trend to employ people outside the district as learnt from the case of Solwezi district. For



example, during the exploration the company employed people from Chavuma central and no one from the Kamisamba area was given a job. This, in itself, was perceived to be a sign that the company would outsource labour from outside the host community. One of community members cited the lack of skills as the main hindrance to benefitting from the job opportunities of mining operations.

***“There will be no benefit from the mines. They may make the community slush grass for a month but not employ them on a full-time basis because of the lack of skills” Kamisamba resident.***

Others further contented that some community members would not be employed unless a bribe was given to the government officials and traditional leaders. In addition, it was perceived that Government officials at times did not consider their people important even when the locals were qualified because they only gave jobs to their daughters and sons who were not qualified.

Inevitable displacements that accompany large scale mining operations were also cited as potential barriers to benefits. The communities expressed concern over the possibility of being moved from their ancestral land on which they had settled for decades.

### 3.4 GOVERNMENT DEPARTMENT FINDINGS

Chavuma district is made up of a single constituency, which is administered from the government offices located on the east bank of the Zambezi River. The administration of the district uses a system by which the District Commissioner (DC) heads the whole district leadership and coordinates the work of all government departments, while the Council, which is the policy making body, runs the local government, while the traditional leaders administer the traditional systems. The Central Government is represented in the district through various ministries who have Departments in the District Council through District Development Coordinating Committee (DDCC) where they are members. The District Commissioner is the Chairman of the DDCC and is the head of the Government in the district charged with responsibilities of coordinating and spearheading developmental programs.

In view of this, varying government departments<sup>2</sup> were interviewed in order to assess the perceived relationship amongst the government departments, mining exploring companies and communities in the district.

#### 3.4.1 Government Community-Company Interaction

The government departments interviewed declared that there had been varying levels of interaction with the community and these interactions had been through government support programs and projects. The key form of interactions with the communities was during sensitization meetings that were done for respective projects before implementation. Amongst the channels of interaction mentioned included, the Farmer Input Support Programme (FISP) and Food Security Pack (FSP) supported by the Ministry of Agriculture and the Ministry of Community Development. The Social Cash Transfer (SCT) supported by the Social Welfare Department was equally highlighted as one of the avenues of community interaction. The departments further revealed that the interactions in the respective areas/ projects/departments had yielded positive results. However, the departments further revealed that although interactions with communities were fruitful, there had been no interactions on mining issues.

On government interactions with mining companies, although over 6 companies had mineral exploration licenses in the district, the District Administration indicated to have only interacted with Anglo-American when they paid a courtesy call to their Office at the inception of the exploration works.

#### 3.4.2 Benefits/Potential Benefits in Chavuma District

The various government departments interviewed stated that Anglo America Company donated mosquito nets to various communities in Chavuma. It was also noted that the company donated text books valued at K68,445.00 to Kalombo Primary School. Additionally, a K10,000 contribution was given by the company to the

2 District Administrative Officer, Social Welfare Department, Ministry of Agriculture and Livestock, Ministry of General Education, Professional Assistant to the Member of Parliament







*The Chavuma District Administrative Officer speaking during the validation process of the CCGA*

District Administration towards the Jubilee Independence Day celebrations. Twelve (12) local people employed by Anglo America during the explorations were also cited to have benefitted.

The government departments pointed out some of the potential benefits of having mining in the district and these included:

- A market place for the trading of goods and services due to the increased population growth
- Infrastructure transformation as the mining activities would bring about infrastructure development in the district

One government official stated that, **“Mining investors would be potential partners in development to help in building schools, health-clinics and hospitals, roads, water, sanitation and agriculture hence improving the economic outlook of the local economy. Employment for people and job creation would be another benefit.”**

### **3.4.3 Barriers to Benefits in Chavuma District**

A probe on the barriers to benefits revealed that amongst the hindrances to receiving benefits post mineral resource exploration, on the legal front; would be companies not being bound by the law to carry out Corporate Social Responsibility (CSR).

Another barrier to benefit cited was that the government did not monitor the company doing explorations in the district. This had resulted in the lack of information and feedback on exploration findings from the mining company to the District Administration.

Government also cited that some of the eventualities of displacement of people, demolishing of houses, deforestation, loss of livelihoods, and water/air pollution are potential barriers. Not to mention that, the government departments interviewed perceived the lack of community involvement from the onset of mining activities and little sensitization by government on mining related issues as a major barrier.



# CHAPTER FOUR

## Recommendations

### 4.0 COMMUNITY AND GOVERNMENT RECOMMENDATIONS

The following are the recommendations that were given by the five (5) communities and government departments interviewed to ensure that there is maximum benefit from the potential extractive activities.

#### 4.1 Community Recommendations

##### 4.1.1 Employment/Job Opportunities

- The community should negotiate with mining companies to ensure that the selection of jobs is done fairly prior to the commencement of mining activities.
- Government should create a mechanism that will ensure residents are prioritized for employment opportunities should mining operations commence in Chavuma. Mining companies should reserve a reasonable proportion of the workforce for the local community once mining starts in Chavuma.
- The community should hold regular engagement meetings with the mining companies, contractors and the District Commissioner where they can review a selected list of job seekers and verify local employment using National Registration Cards (NRCs). This will help in the monitoring/tracking of the number of local residents that are employed by the mining companies.
- There is need for government to enact laws that ensure employment of local people, providing for “job on training” opportunities for the unskilled.



*A focus Group Discussion (FGD) giving recommendations during the CCGA process*



- There is need for the government to intensify work around fighting corruption and nepotism to ensure equal job opportunities for those who are qualified but have no social connections.

#### **4.1.2 Health and Education**

- Training institutions should be established to equip local youths with skills compatible with those needed in the mining sector should mining commence activities in Chavuma district.
- Should economically viable mineral prospects be found, government needs to set up training institutions to equip local youths with skills compatible with those needed in the mining sector. Only then will employment opportunities be realized.

#### **4.1.3 Engagement and Community Consultations**

- The communities, civic leadership and government need to engage more often with mining explorers because there has been lots of secrecy in the interactions between the mining company and the government in the past.
- The mining company should have a clear plan on environmental pollution and sign an agreement with the community according to the timeframe the company will be mining in the district.
- To enhance dialogue and improved communication on the mining prospecting, there is need to form a representative committee for this purpose. Representation should include people from the local authorities, mining companies and the communities.
- Mining companies should conduct extensive consultations with traditional leaders and the local communities in Chavuma before the mining investors begin their exploration or mining activities.
- There is need for the local authority, central government and traditional leaders to synchronize their efforts in engaging with exploring companies as opposed to working in silos.

#### **4.1.4 Infrastructure Development**

- The community recommended that the Government offices in Chavuma be properly re-designed and better structured with clear sign posts.

#### **4.1.5 Mineral Beneficiation/Special Needs**

- A community needs assessment should be conducted for government to make informed decisions about prioritizing interventions that meet the needs of Chavuma communities.
- Should mining companies displace communities, there is need to ensure that the designated area for relocation has the much needed social amenities.
- There is need for mining companies to have a proper resettlement plan that will ensure decent accommodation for residents should mining activities commence.
- There is need to involve the community on mining activities from the onset.
- Government needs to put in place a mechanism to share mineral royalties amounting to 60 percent for local development projects and programmes.





#### 4.2 GOVERNMENT RECOMMENDATIONS

1. There is need to conscientize the community on the positive and negative aspects of mining.
2. There is need to mainstream sensitization on effects of mining in speeches and other government activities.
3. There is need to involve the community on mining activities from the onset.
4. The companies should reserve a reasonable proportion of the workforce for the local community.
5. Corporate Social Responsibility (CSR) by mining companies to focus on agriculture, health and education. Under education CSR should specifically focus on building schools, sponsoring children that had been performing well academically to universities for mining related courses to find jobs in the mines locally and elsewhere.





# CHAPTER FIVE

## Priority Areas

### 1.1 COMMUNITY AND GOVERNMENT PRIORITY AREAS

This chapter presents the key priority areas as listed by each community and government department. Here below is a table of the priorities listed in descending order:

<b>Chavuma Central Priority Areas</b> <ul style="list-style-type: none"><li>• Provision of infrastructure. Government should build bridges, roads, sanitation services and super markets.</li><li>• Employment opportunities for especially the local educated people.</li></ul>	<b>Kakanga Priority Areas</b> <ul style="list-style-type: none"><li>• Provision of infrastructure. Government should build bridges, roads, sanitation services as well as a trades and carpentry center.</li><li>• Introduction of government bursaries specifically for youths in Kakanga area</li></ul>
<b>Chinwandumba Priority Areas</b> <ul style="list-style-type: none"><li>• Expansion of agriculture sector through the increased distribution of fertilizer.</li><li>• Installation of electricity to residents' homes.</li><li>• Good hospital facilities, clean water and sanitation and construction of trade schools for skills development.</li><li>• Job creation for especially women in the mining company</li><li>• Provision of health, education and telecommunication services. The government should also improve transport and communication infrastructure.</li><li>• Construction of infrastructure such as hospitals, schools and boreholes.</li><li>• Access to bursaries for the youths in Chavuma to acquire higher education.</li><li>• Establishment Women Empowerment Programmes to assist women and girls in the communities</li></ul>	<b>Kalombo Priority Areas</b> <ul style="list-style-type: none"><li>• Building of hospitals for provision of better health care services</li><li>• Provision of improved education services</li><li>• Provision of farming inputs like fertilizer, irrigation machinery and bulldozers to uproot weeds.</li><li>• Provision of water and sanitation services</li><li>• Electrification of houses.</li></ul>



Kamisamba Priorities	Government Priorities
<ul style="list-style-type: none"><li>• Infrastructure development by government and mining company through the construction of hospitals, schools (nursing, pre-schools, colleges and universities), better market structures with good sanitation, agriculture shelters and good road networks.</li><li>• The government and the company should put up boreholes.</li><li>• The government and the company should provide land for displacement and grave yards</li><li>• Youth Empowerment programmes: The government and the mining company should sponsor the youth in schools, bring in youth centers and libraries, support the youth clubs and consider youths to fill higher positions.</li></ul>	<ul style="list-style-type: none"><li>• Government development priority areas were in the agriculture, health, education, water and sanitation sectors.</li><li>• Reviewing mining legislation (i.e Mines and Minerals Development Act of 2015)</li><li>• Sensitization of communities on mining and resettlement/compensation laws to help protect the interests of residents.</li><li>• Monitoring of mining companies to ensure adherence to environmental required legal standards.</li></ul>



# CHAPTER SIX

## Way Forward

### 1.0 RESEARCH TEAM CORE RECOMMENDATIONS AND WAY FORWARD

This chapter presents the recommendations given by the core research team on both the pre-mining and mining contexts in Chavuma. This is followed by an overall reflection of the study and the way forward on the findings of the process.

#### 6.1 Core Research Team Recommendations

##### 6.1.1 On Infrastructure Development

1. The government should construct modern markets for the communities for traders to be able to conduct business in a decent and safe space
2. The government should work on the road network and a modern bridge across the Zambezi river
3. The government should reach out to the Private sector and enter partnerships to promote infrastructure development



*An elderly person in the Chinwandumba Community sharing his views with the researcher during the CCGA process*





### **6.1.2 On the Education and Health Sectors**

1. The government should build more primary, secondary and especially tertiary education centers for youths to develop their skills
2. The government should construct more health centers in the district as the current ones are insufficient to meet the health needs in the district
3. The government should provide qualified health and education personnel for the existing health and education centers

### **6.1.3 On Employment and Job creation**

1. Government should create more employment opportunities in Chavuma because most youths even though qualified are jobless.
2. The government set up an industry hub in Chavuma to boost the production of local products that can be traded across the borders with Angola which is close by. Increase in trading opportunities will invariably lead to more jobs created
3. Should mining activities in Chavuma, mining companies must make it a priority to employ the locals first before employing people from other provinces and regions

### **6.1.4 On Engagement and Community Consultations**

1. Communities should be conscientised on their human rights so that they are able to demand and claim their rights
2. There is need to formalize platforms for engagement between communities, government and the prospecting mining companies in the event that mining activities commence in Chavuma
3. Prospecting mining companies should frequently engage with the locals to share their exploration findings so that they are aware on the latest developments
4. Should mining activities commence in Chavuma district, there is need for thorough consultations to be undertaken especially around issues of resettlement, displacement and compensation as these will negatively affect a number of communities.

### **6.1.5 On Policies, mineral beneficiation and local content**

In the event that mining activities commence in Chavuma district

1. The government should implement policies that ensure equal sharing of resources with the local communities. A Mineral Revenue Sharing Mechanism (MRSM) should be constituted to ensure that a certain percentage of the revenues from mining are channeled back to development programmes and projects in the district.
2. Mining companies should engage the communities more on the identification of CSR projects and programmes so as to ensure that these initiatives are meeting the needs of the local people.
3. Government should guarantee a consistent mineral and tax policy framework in the Extractive Industries to ensure that local content for the people in Chavuma is actualized.





## 6.2 WAY FORWARD

The research team proposes the following as a way forward on the CCGA process:

- Seek additional funding to complete the CCGA process. This includes holding a multi stakeholder meeting, getting stakeholder commitment to follow-up on recommendations with an action plan, and implementing at least part of the action plan.
- Carry out CCGA's in other areas focusing on communities within and in proximity to the company operation/mining prospecting areas. It might be necessary to take the CCGA beyond the traditional operational area and make the CCGA a repeated or regular exercise to continuously inform the extractive industries, government and communities.
- Interest Non-Government Organizations (NGOs) and donors to conduct and maintain a system that monitors and evaluates the implementation of agreed CCGA action plans by companies and governments.



*One of the women from Kamisamba taking lead during the validation process of the CCGA*





# APPENDICES

## Appendix 1: Interview Protocol

Record starting time: .....

### Introduction

Hello, I am XXX (name) and I am XXX (name). I work with XXX and I work with XXX. We are studying the relationship between communities and mining companies in Zambia (Lumwana-Solwezi district). Thank you for agreeing to speak with us about your opinions.

The focus of our research is your experience of the relationship between your company and communities in which you work in Zambia. We would like to bring your personal and/or corporate experience into your response

We will not identify you especially with what you say. We will only put your name on a list of all the people we interview. Is this agreeable to you? Before we begin, do you have any questions about our study?

### Topics for interview:

1. Company interactions – Could you please speak about your interactions with communities/company? Have you had direct contact with a community/company? Could you describe your experience? (When, where, respectful, listening, full story)
2. Benefits: individual and community-- Can you tell us some benefits you have already seen from the Mine companies in Lumwana? (Potential benefits, individual, community)
3. Barriers to benefits --In your experience could identify some things that are negative or blocking communities from benefiting from mineral extraction (respect for individuals, cultures, history; lack of services; in-migration)
4. King or queen – If you are in charge could do anything you wanted, what would you do to change the circumstances surrounding the extraction of minerals that the benefits to communities are maximized?
5. If there is one thing you absolutely want to be sure we put in our report, what would that be?
6. Is there anything else you would like to add?

After interview: Record ending time.....

Final appreciation: thank the interviewee for their time and contribution to the study.

Record any relevant interview setting notes: (use interview sheet)





## Appendix 2: Research Team

<b><u>NAME</u></b>	<b><u>ORGANIZATION</u></b>
1. Chisomo J Phiri	PWYP
2. Cecilia Chishala	YAD
3. Edmond Kangamungazi	Caritas Zambia
4. Evelyn Masuwa	Caritas Solwezi
5. Felix Ngosa	Joint Country Programme
6. Inonge Sakala	EITA
7. Micomizya Dieudonne	JCTR
8. Monica Mwanza	FODEP
9. Mtwalo Msoni	PWYP
10. Mukupa Nsenduluka	Diakonia-Sweden Zambia
11. Nangandu Nhandu	JCTR
12. Nkula Edward Goma	Diakonia-Sweden Zambia
13. Richard Banda	Caritas Solwezi
14. Ruth Kambeja	FODEP
15. Sherrine Kanyimbi	YAD













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2016-12-30

# Seeking Benefits and Avoiding Conflicts: A Community Company Government Assessment of Chavuma, Zambia

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