

APPENDIX 3

Sample questionnaire for target group survey

Target group surveys will target citizens and their representation, as well as mining companies and their representation

The following introductory text could be used when approaching potential respondents.

“Excuse me. I was wondering if you would have the time to answer a few questions. We are conducting a public opinion survey on behalf of [name of agency] and would like to ask you to participate.

The survey will take approximately 25 minutes and is about your views, opinions and awareness of the agency. Your participation is important for improving the work of the agency.

We do not need to know your name, and we will not be recording anything that will identify you on the questionnaire. Would you like to participate?”

If yes, proceed with, ‘May I start reading the first question?’

If no, end the interview and say, ‘Thank you for your time.’ (Note down gender and location of the person declining.)

Interviewer: _____

Date: ____ / ____ / ____

Time: _____

Location: _____

General background variables

- | | |
|---|--|
| 1. Age of respondent: | a. __ years old
b. __ Don't know
c. __ Declined to answer |
| 2. Gender of respondent: | a. __ Female
b. __ Male |
| 3. Years of formal education/schooling: | a. __ years
b. __ Don't know
c. __ Declined to answer |
| 4. Have you been in contact with the agency? | a. __ Yes
b. __ No |
| 5. [If yes on question 4] When was the last time you were in contact with the agency? | a. __ one year or less
b. __ between one and three years
c. __ more than three years
d. __ don't know |
| 6. Additional background variables | |

Principle 1: Legality

Please indicate to what extent:¹⁵

Not at
all

To a
small
extent

To a
large
extent

To a very
large
extent

Don't
know

1. Specification of the agency: You think it is clear which public agencies are responsible for dealing with the environmental impact related to the mining sector.

2. Scope of powers: You think it is clear what the agency can do and is allowed to do in relation to mining operations.

3. Role in minimizing environmental impact: You think that the agency has a responsibility for minimizing the environmental impact of the mining sector.

4. Abiding by the law: You think that the agency staff generally follow the law when performing their functions.

5. Professionalism of the agency: You think that the agency staff are professional in providing services and understand their duties according to the law.

6. Equal treatment: You think that the agency staff treat persons or groups differently depending on gender, age, ethnic, tribal or political affiliation.

Additional respondent comments on legality:



15. In the users' survey, the questions make sense if asked to artisanal miners who could apply for licences. However, and it is important to note, they are less applicable to communities in their current form. To ensure robust and balanced qualitative data, adapting the questions depending on the context and target groups is a requirement in the users' survey. Alternatively, the research team should check which exact 'services' could be relevant for the community in relation to government authorities (e.g. appeals or the right to be heard/participate).

Principle 2: Accessibility

Please indicate to what extent:

Not at
all

To a
small
extent

To a
large
extent

To a very
large
extent

Don't
know

7. **Agency structure:** You think it is easy to access the services of the agency.

8. **Navigating the administrative set-up:** You think it is easy to understand which units in the agency are responsible for addressing the environmental impact of mining.

9. **Openness:** You think that the agency and the relevant unit within the agency are accessible in terms of visiting and communication.

10. **Language of communication:** You think it is possible to communicate with the agency in other languages than the official one.

11. **Cost of service:** You think that the cost of the agency's services is affordable.

12. **Equal access to services:** You think that different groups of citizens have equal access to the services provided by the agency, regardless of their sex/age/ethnicity/religion/tribe or family affiliation/political affiliation or other social status.

Additional respondent comments on accessibility:



Principle 3: Right to be heard and participate

Please indicate to what extent:	Not at all	To a small extent	To a large extent	To a very large extent	Don't know
13. Awareness of the right to be heard: You are familiar with your right to be heard in matters concerning the environmental impact of mining operations.					
14. Awareness of the right to participate: You are familiar with your right to participate in matters concerning the environmental impact of mining operations.					
15. How to exercise the right to be heard: You are familiar with the procedures for exercising your right to be heard.					
16. How to exercise the right to participate: You are familiar with the procedures for exercising your right to participate.					
17. Hearing concerned persons: You think that the agency listens to your views and arguments before it takes a decision that has an environmental impact which can affect you.					
18. Definition of concerned persons: You think that you are affected by the environmental impact of mining, but you are not considered a concerned person or group by the agency.					
19. Redirecting petitions: You think that the agency would assist you in cases of obvious mistakes, such as if you sent an inquiry to the wrong agency.					
20. Timelines for decisions: You think that there are time limits for when the agency must take decisions in cases related to the environmental impact of the mining sector.					
21. Timelines for decisions: You think that the agency follows time limits when taking decisions affecting cases that raise concerns over environmental impact.					
22. Equal treatment: You think that the agency gives you equal access to be heard and participate in decision-making, regardless of your sex/age/ethnicity/religion/tribe or family affiliation/political affiliation or other social status.					
Additional respondent comments on the right to be heard and participate:					



Principle 4: Transparency

Please indicate to what extent:

Not at all	To a small extent	To a large extent	To a very large extent	Don't know
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23. Access to information: You can obtain information on the laws, standards and procedures that guide the work of the agency in relation to the environmental impact of mining activities.

24. Proactive vs. reactive provision of information: You can obtain this information only upon request (as opposed to the information being readily available and proactively shared with stakeholders, including local communities).

25. Access to information on specific cases of mining environmental issues: You think you can obtain information on specific cases related to the environmental impact of mining.¹⁶

26. Specification of public agency: It is clear to you which public agency houses information on cases addressing environmental concerns related to mining.

27. Ability to obtain information: You think you can obtain information from the agency on any specific case related to the environmental impact of mining which concerns you.

28. Privacy and integrity: You think that the agency will give out sensitive or private information.

29. Equal treatment: You think you have equal access to information from the agency, regardless of your sex/age/ethnicity/religion/tribe or family affiliation/political affiliation or other social status.

Additional respondent comments on transparency:



16. Such as land-use planning, negotiations of mining concessions, contracting and licensing; environmental impact assessments; environmental management plans, including water recycling, land rehabilitation, relocation and compensation, biodiversity offset; and mine closure, monitoring, compliance, enforcement and sanctions.

Principle 5: Right to appeal

Please indicate to what extent:	Not at all	To a small extent	To a large extent	To a very large extent	Don't know
30. Formulating decisions: You think that the agency explains the reasons behind its decisions in cases related to the environmental impact of the mining sector.					
31. Feedback: You think that the agency will inform you if and when it has taken a decision in a case with a potential environmental impact that concerns you.					
32. Appealing a decision: You think you can appeal decisions by the agency in the event of a negative environmental impact affecting you. (Potential follow-up question on whether or not the respondent has made an appeal.)					
33. Proactive awareness-raising of the right to appeal: You think that the agency would advise you on how to appeal a mining-related decision that it has taken and which could lead to a negative environmental impact.					
34. Counsel: You think there are other public agencies that would advise you on how to appeal a decision by the agency if there is a risk that the decision will have a negative impact on the environment.					
35. Fair review of appeal: You think that the agency would fairly and objectively review its own decisions related to the environmental impact of mining.					
36. Cost of appeal: You think you can appeal the agency's decision at a reasonable cost.					
37. Equal treatment: You think that the agency would review its own decisions fairly and objectively, regardless of your sex/ethnicity/religion/tribe or family affiliation/political affiliation or other social status.					
Additional respondent comments on the right to appeal:					



Principle 6: Accountability

Please indicate to what extent:	Not at all	To a small extent	To a large extent	To a very large extent	Don't know
38. Sector-wide practices: You think there are corrupt practices ¹⁷ in the mining sector in general.					
39. Corruption: You think that civil servants at the agency are offered bribes.					
40. Impunity: You think that a civil servant at the agency could accept a bribe without being detected and punished.					
41. Oversight bodies: You think that oversight agencies (e.g. ombudsman, national human rights institutions etc.) have an influence over the work of [name of the agency].					
42. Priority areas of oversight bodies: You think that oversight agencies (e.g. ombudsman, national human rights institutions etc.) influence the work of the agency with the aim of reducing the environmental impact of mining.					
43. Violation of law: You think that civil servants at the agency know how to deal with situations where another civil servant is suspected of breaking the law.					
44. Dealing with complaints: You think that complaints against the agency that relate to the environmental impact of mining operations are taken seriously and dealt with accordingly.					
45. Equal treatment: You have experienced a situation where someone has been discriminated against due to sex/ethnicity/religion/tribe or family affiliation/political affiliation or other social status.					
46. OR					
47. You think that a civil servant at the agency could discriminate against citizens (due to sex/ethnicity/religion/tribe or family affiliation/political affiliation or other social status) without being corrected.					
Additional respondent comments on accountability:					

17. Such as the misappropriation of funds or other forms of corruption.