



THE UNIVERSITY  
OF QUEENSLAND  
AUSTRALIA



UNIVERSITY OF  
CAMBRIDGE  
PROGRAMME FOR  
SUSTAINABILITY LEADERSHIP

# Anglo American Advanced Social Management Programme

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Updated 22 February 2013

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Centre for Social Responsibility in Mining (CSRM), The University of  
Queensland.

These materials have been compiled for the Anglo American Social Practitioner Capacity Development Initiative. The materials provide a broad guide to Community Relations-related documents currently available through the World Wide Web (WWW). Materials are varied and generally have global applicability, even when based on cases in particular countries. Sources include web based documents published and archived by various government departments, universities, international organisations, and industry associations. In some cases, links are provided to journal articles. Where indicated, you may need to pay a small fee to access these articles via the journal website. Relevant Anglo American resources are also listed.

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## A. Broad Themes

### The Minerals Industry and Sustainable Development

#### KEY REPORTS

|   |
|---|
| <b>Breaking New Ground: Mining, Minerals and Sustainable development, Executive Summary</b>     |
| Institute of International Development (2002)   |
| Earthscan   |
| <a href="http://www.iied.org/pubs/pdfs/G00910.pdf">http://www.iied.org/pubs/pdfs/G00910.pdf</a> |

|   |
|---|
| <b>Sustainability Program Quality Benchmark Matrix</b>  |
| IFC, CommDev, Deloitte, Norwegian Ministry of Foreign Affairs, ICMM (2011)  |
| <a href="http://www.fvtool.com/files/Benchmark%20Matrix.pdf">http://www.fvtool.com/files/Benchmark%20Matrix.pdf</a> |

|   |
|---|
| <b>Minerals and Africa's Development</b>  |
| International Study Group (2011)  |
| <a href="http://www.africaminingvision.org/amv_resources/AMV/ISG%20Report_eng.pdf">http://www.africaminingvision.org/amv_resources/AMV/ISG%20Report_eng.pdf</a> |

|   |
|---|
| <b>Mining's Contribution to Sustainable Development: the series</b>   |
| ICMM (2012)   |
| <a href="http://www.icmm.com/library/minings-contribution">http://www.icmm.com/library/minings-contribution</a> |

|   |
|---|
| <b>Resource Revolution: Meeting the world's energy, materials, food, and water needs</b>  |
| November (2011)   |
| McKinsey Global Institute   |
| <a href="http://www.mckinsey.com/Insights/MGI/Research/Natural_Resources/Resource_revolution">http://www.mckinsey.com/Insights/MGI/Research/Natural_Resources/Resource_revolution</a> |

#### DISCUSSION PAPER

|   |
|---|
| <b>MMSD+10: Reflecting on a decade of mining and sustainable development</b>          |
| Abbi Buxton (2012)  |
| <a href="http://pubs.iied.org/16041IIED.html">http://pubs.iied.org/16041IIED.html</a> |

#### ARTICLES

|   |
|---|
| <b>Sustainable Mining and the Oil Sands</b>   |
| Jim Cooney (2008)   |
| <a href="http://www.mining.ca/www/media_lib/TSM_Speech/2008/23_4_08Alberta_Environment_Keynote_Speech.pdf">http://www.mining.ca/www/media_lib/TSM_Speech/2008/23_4_08Alberta_Environment_Keynote_Speech.pdf</a> |
| PDF provided on QuickPlace  |

**Address by Gold Fields chairperson, during the Mining Indaba 2013, Cape Town (06/02/2013)**

Mamphela Ramphele

<http://www.polity.org.za/article/sa-mamphela-ramphele-address-by-goldfields-chairperson-during-the-mining-indaba-2013-cape-town-06022013-2013-02-07>

**Corporate Social Responsibility in Mining in Southern Africa: Fair accountability or just greenwash?**

Ralph Hamann and Paul Kapelus (2004)

*Development*, Vol. 47, No. 3

<http://www.palgrave-journals.com/development/journal/v47/n3/full/1100056a.html>

***This article is copyright protected. Students may need to purchase for a small fee.***

## Social Risk

### REPORTS

**Social impact assessment of resource projects**

Daniel Franks (2012)

International Mining for Development Centre

[http://im4dc.org/wp-content/uploads/2012/01/UWA\\_1698\\_Paper-02\\_Social-impact-assessment-of-resource-projects1.pdf](http://im4dc.org/wp-content/uploads/2012/01/UWA_1698_Paper-02_Social-impact-assessment-of-resource-projects1.pdf)

**Business Risks facing mining and metals 2011-2012**

Ernst and Young (2011)

<http://www.ey.com/GL/en/Industries/Mining---Metals/Business-risks-facing-mining-and-metals-2011-2012>

**Social Risk as Strategic Risk**

T. Bekefi, B. Jenkins, B. Kytte (2006)

Corporate Social Responsibility Initiative

[http://www.hks.harvard.edu/m-rcbg/CSRI/publications/workingpaper\\_30\\_bekefietal.pdf](http://www.hks.harvard.edu/m-rcbg/CSRI/publications/workingpaper_30_bekefietal.pdf)

### BOOK CHAPTER

**Management of the Social Impacts of Mining**

Daniel M. Franks (2011)

*SME Mining Engineering Handbook, Third Edition*

*Pdf provided*

### JOURNAL ARTICLE

**Social Impact Assessment: The State of the Art.**

Esteves, A. M., Franks, DM., & Vanclay, F. 2012.

*Impact Assessment and Project Appraisal*, Vol. 30, No. 1, pp. 34-42

<http://www.tandfonline.com/doi/pdf/10.1080/14615517.2012.660356>

## RELATED ANGLO RESOURCES

- SEAT Tool 4A – Complaints and Grievance Procedures
- SEAT Tool 4C – Conflict Assessment and Management
- SEAT Tool 4F – Contractor Management

## Business Ethics

### RESEARCH PAPER

|   |
|---|
| <b>Building the Business Case for Ethics</b>  |
| Business Roundtable Institute for Corporate Ethics (2009)   |
| <a href="http://www.corporate-ethics.org/pdf/business_case.pdf">http://www.corporate-ethics.org/pdf/business_case.pdf</a> |

### ARTICLES

|   |
|---|
| <b>Toward a Model for International Business Ethics</b>   |
| Nader Asgary and Mark C. Mitschow (2002)  |
| <i>Journal of Business Ethics</i> , Vol. 36, No. 3  |
| <a href="http://www.jstor.org/stable/25074709">http://www.jstor.org/stable/25074709</a>           |
| <b><i>This article is copyright protected. Students may need to purchase for a small fee.</i></b> |

|   |
|---|
| <b>Ethics, surface mining and the environment</b>   |
| Wesley Cragg, David Pearson and James Cooney (1995)   |
| <i>Resources Policy</i> , Vol. 21, No. 4, 229-235   |
| <a href="http://www.sciencedirect.com/science/journal/03014207">http://www.sciencedirect.com/science/journal/03014207</a> |
| <b><i>This article is copyright protected. Students may need to purchase for a small fee</i></b>                          |

### CASE STUDY

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|--|
| <b>A Global Mining Corporation and Local Communities in the Lake Victoria Zone: The Case of Barrick Gold Multinational in Tanzania</b> |
| Aloysius Marcus Newenham-Kahindi (2010)  |
| <i>Journal of Business Ethics</i> , Vol 99, No 2, pp 253-282   |
| <a href="http://www.springerlink.com/content/771450302x534205/">http://www.springerlink.com/content/771450302x534205/</a>              |

### REPORT

|   |
|---|
| <b>Drilling Down: The Civil Society Guide to Extractive Industry Revenues and the EITI</b>  |
| Revenue Watch Institute (2008)  |
| <a href="http://www.revenuwatch.org/training/resource_center/drilling-down-civil-society-guide-extractive-industry-revenues-and-eiti">http://www.revenuwatch.org/training/resource_center/drilling-down-civil-society-guide-extractive-industry-revenues-and-eiti</a> |

## RELATED ANGLO RESOURCES

- Anglo American Good Citizenship Business Principles
- Anglo American Guiding Values
- Anglo Social Way

## Community Engagement

### REPORT

|   |
|---|
| <b>Breaking Ground: Engaging Communities in Extractive and Infrastructure Projects</b>  |
| Kirk Herbertson, Maria Athena Ballesteros, Robert Goodland, Isabel Munilla (2009)   |
| World Resources Institute   |
| <a href="http://www.wri.org/publication/breaking-ground-engaging-communities">http://www.wri.org/publication/breaking-ground-engaging-communities</a> |

### CASE STUDIES

|   |
|---|
| <b>Listening to the impacts of the PNG LNG Project, Central Province, Papua New Guinea</b>  |
| Oxfam (2011)  |
| <a href="http://resources.oxfam.org.au/pages/view.php?ref=655&amp;k=">http://resources.oxfam.org.au/pages/view.php?ref=655&amp;k=</a> |

|   |
|---|
| <b>Conflict, Consensus and Dialogue in the Mining Sector</b>  |
| Mining Policy Research Initiative & International Development Research Centre (2004)  |
| <a href="http://idl-bnc.idrc.ca/dspace/bitstream/10625/32397/73/119704-e.pdf">http://idl-bnc.idrc.ca/dspace/bitstream/10625/32397/73/119704-e.pdf</a> |

|   |
|---|
| <b>Listening to the city of Cajamarca</b>   |
| Kemp, D, Owen, J, Cervantes, M, Arbelaez-Ruiz, D and Benavides Rueda, J CSRM (2012)   |
| <a href="http://www.yanacocha.com.pe/wp-content/uploads/CSRM_Listening-Study.pdf">http://www.yanacocha.com.pe/wp-content/uploads/CSRM_Listening-Study.pdf</a> |

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|---|
| <b>How companies can get it right with local communities</b>  |
| L. Zandvliet (2000)   |
| <a href="http://www.cdainc.com/cdawwww/pdf/other/cep20brochure1_Pdf.pdf">http://www.cdainc.com/cdawwww/pdf/other/cep20brochure1_Pdf.pdf</a> |

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| <b>Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets</b>  |
| International Finance Corporation and the World Bank Group (2007)   |
| <a href="http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_handbook_stakeholderengagement_wci_1319577185063">http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_handbook_stakeholderengagement_wci_1319577185063</a> |

### BOOK CHAPTER

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| <b>Community Issues</b>                                  |
| Robin Evans & Deanna Kemp                                |
| <i>SME Mining Engineering Handbook. Third ed.</i> (2011) |
| pdf provided   |

### RELATED ANGLO RESOURCES

- SEAT Tool 2A – Profiling Affected Communities
- SEAT Tool 2B – Planning for the Stakeholder Engagement Process
- SEAT Tool 2C – Stakeholder Identification and Gap Analysis
- SEAT Tool 2D – Guidance on Approaches to Stakeholder Engagement
- SEAT Tool 4H – How to Prepare a Community Engagement Plan (*forthcoming*)

## Community Development

### ARTICLES

|   |
|---|
| <b>Mission impossible?: Adopting a CSR-based business model for extractive industries in developing countries</b> |
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|                    |
|--------------------|
| Keith Slack (2012) |
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| <i>Resources Policy</i> (in press) |
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| <a href="http://www.sciencedirect.com/science/article/pii/S0301420711000109">http://www.sciencedirect.com/science/article/pii/S0301420711000109</a> |
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|   |
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| <b>Mining and community development: problems and possibilities of local-level practice</b> |
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| Deanna Kemp (2009) |
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| <i>Community Development Journal</i> |
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| <i>PDF supplied by author</i> |
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| <b>Mining companies' role in sustainable development: the 'why' and 'how' of corporate social responsibility from a business perspective</b> |
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|                     |
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| Ralph Hamann (2003) |
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| <i>Development Southern Africa</i> , Vol. 20, No. 2 |
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| <a href="http://dx.doi.org/10.1080/03768350302957">http://dx.doi.org/10.1080/03768350302957</a> |
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| <b><i>This article is copyright protected. Students may need to purchase for a small fee.</i></b> |
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| <b>Investments Benefits Study</b> |
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| Oxford Policy Management for the United Republic of Tanzania (2011) |
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| <i>Pdf provided</i> |
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### GUIDANCE MATERIALS

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|--|
| <b>Strategic Community Investment: A Good Practice Handbook for Companies Doing Business in Emerging Markets</b> |
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| International Finance Corporation (IFC) (2010) |
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| <a href="http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_handbook_communityinvestment_wci_1319576907570">http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_handbook_communityinvestment_wci_1319576907570</a> |
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| <b>Mining: Partnerships for Development Toolkit</b> |
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| International Council on Mines and Metals (2011) |
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| <a href="http://www.icmm.com/mpdtoolkit">http://www.icmm.com/mpdtoolkit</a> |
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| <b>Mining Community Development Agreements: Source Book</b> |
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|                   |
|-------------------|
| World Bank (2012) |
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| <a href="http://siteresources.worldbank.org/INTOGMC/Resources/mining_community.pdf">http://siteresources.worldbank.org/INTOGMC/Resources/mining_community.pdf</a> |
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## WEBSITES

### **IFC & World Bank Comm Dev**

<http://commdev.org/>

### **UK Department for International Development (DFID)**

<http://www.eldis.org/go/topics/dossiers/livelihoods>

### **United Nations Human Development Report**

<http://hdr.undp.org/en/>

<http://hdr.undp.org/en/reports/global/hdr2010/>

### **United Nations Research Institute for Social Development**

<http://www.unrisd.org/>

## RELATED ANGLO RESOURCES

- The Anglo Zimele Model – *A Corporate Risk Capital Facility Experience*, International Finance Corporation and Anglo American, 2008
- SEAT Tool 5A – Establishing Partnerships
- SEAT Tool 5B – Leveraging Donor Resources
- SEAT Tool 5C – Micro-credit for SME Development
- SEAT Tool 5D – Increasing Local Procurement for Local Business Development
- SEAT Tool 5E – Alternative Livelihoods
- SEAT Tool 5F – Human Capital Development
- SEAT Tool 5G – Seeking Community Synergies from Infrastructure Development
- SEAT Tool 5H – Small Scale Water and Sanitation Delivery
- SEAT Tool 5I – Improving Community Health
- SEAT Tool 5J – Developing Local Institutional Capacities



## Mining and Conflict

### REPORT

|   |
|---|
| <b>Preventing Conflict in Exploration: a Toolkit for Explorers and Developers</b> |
| PDAC, CDA, World Vision, Government of Canada (2012)                              |
| <i>2 Pdfs provided</i>  |

### DISCUSSION PAPERS

|   |
|---|
| <b>Resources for Peace? Managing Revenues from Extractive Industries in Post-Conflict Environments</b>  |
| Phillip LeBillon (2008)   |
| Center on International Cooperation: Political Economy Research Institute   |
| <a href="http://www.peri.umass.edu/fileadmin/pdf/working_papers/working_papers_151-200/WP167.pdf">http://www.peri.umass.edu/fileadmin/pdf/working_papers/working_papers_151-200/WP167.pdf</a> |

|   |
|---|
| <b>Report of International Roundtable on Conflict Management and Corporate Culture in the Mining Industry</b>   |
| Caroline Rees (2009)  |
| Corporate Social Responsibility Initiative, Harvard Kennedy School  |
| <a href="http://www.hks.harvard.edu/m-rcbg/CSRI/publications/report_37_rees_cm_roundtable.pdf">http://www.hks.harvard.edu/m-rcbg/CSRI/publications/report_37_rees_cm_roundtable.pdf</a> |

|   |
|---|
| <b>Re-opening and developing mines in post-conflict settings: the challenge of company-community relations.</b>   |
| V Boege and D Franks ( 2012)  |
| In P Lujala and SA Rustad (eds) High-value natural resources and post-conflict peacebuilding (pp. 87-120) United Nations Environment Programme. London, U.K. Earthscan.                   |
| <a href="http://environmentalpeacebuilding.org/sites/default/files/87-120_boege_and_franks.pdf">http://environmentalpeacebuilding.org/sites/default/files/87-120_boege_and_franks.pdf</a> |

### CASE STUDY

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|---|
| <b>Corporate Responsibility and Community Engagement at the Tintaya Copper Mine</b>   |
| V Kasturi Rangan (2006)   |
| Harvard Business Review Case Studies  |
| <a href="http://harvardbusinessonline.hbsp.harvard.edu/b01/en/common/item_detail.jhtml?id=506023">http://harvardbusinessonline.hbsp.harvard.edu/b01/en/common/item_detail.jhtml?id=506023</a> |
| <i>This case study is copyright protected. Students may need to purchase for a small fee.</i>   |

### RESEARCH PAPERS

|   |
|---|
| <b>Occupying Spaces Created by Conflict: Anthropologists, Development NGOs, Responsible Investment, and Mining</b>  |
| Catherine Coumans (2011)  |
| <i>Current Anthropology</i> , Vol. 52, No. S3, p. S29-S43   |
| <a href="http://www.wennergren.org/news/april-publication-corporate-lives-new-perspectives-social-life-corporate-form-wenner-gren-sympo">http://www.wennergren.org/news/april-publication-corporate-lives-new-perspectives-social-life-corporate-form-wenner-gren-sympo</a> |

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| <b>The costs of conflict with local communities in the extractive industry</b>  |
| Daniel Franks & Rachel Davis (2011)   |
| SR Mining Conference 2011   |
| <a href="http://www.csr.mq.edu.au/LinkClick.aspx?fileticket=friXeB5-goM%3d&amp;tabid=191&amp;mid=685">http://www.csr.mq.edu.au/LinkClick.aspx?fileticket=friXeB5-goM%3d&amp;tabid=191&amp;mid=685</a> |

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| <b>Mining Industry Perspectives on Handling Community Grievances</b> |
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|                                 |
|---------------------------------|
| Deanna Kemp & Carol Bond (2009) |
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| Centre for Social Responsibility in Mining |
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| <a href="http://www.csr.m.uq.edu.au/publications/260-mining-industry-perspectives-on-handling-community-grievances-a-summary">http://www.csr.m.uq.edu.au/publications/260-mining-industry-perspectives-on-handling-community-grievances-a-summary</a> |
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## GUIDANCE MATERIALS

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|---|
| <b>Conflict-Sensitive Business Practice: Guidance for Extractive Industries</b> |
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|                            |
|----------------------------|
| International Alert (2005) |
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| <i>Pdf provided</i> |
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| <b>Community development and local conflict: A resource document for practitioners in the extractive sector</b> |
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| CommDev: The Oil, Gas and Mining Sustainable Community Development Fund (2008) |
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|---|
| <a href="http://commdev.org/content/document/detail/1801/">http://commdev.org/content/document/detail/1801/</a> |
|---|

## RELATED ANGLO RESOURCES

- SEAT Tool 4A – Complaints and Grievance Procedures
- SEAT Tool 4C – Conflict Assessment and Management (this tool is based on the above mentioned *International Alert* document and was prepared with their assistance)

## Human Rights

### POLICY PAPERS

|   |
|---|
| <b>Protect, Remedy and Respect: a framework for business and human rights</b> |
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|                    |
|--------------------|
| John Ruggie (2011) |
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|---|
| <a href="http://www.ohchr.org/Documents/Issues/Business/A-HRC-17-31_AEV.pdf">http://www.ohchr.org/Documents/Issues/Business/A-HRC-17-31_AEV.pdf</a> |
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|   |
|---|
| <b>Business and human rights in conflict-affected regions: challenges and options towards State responses</b> |
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|                    |
|--------------------|
| John Ruggie (2011) |
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| <a href="http://www2.ohchr.org/english/bodies/hrcouncil/docs/17session/A.HRC.17.32_en.pdf">http://www2.ohchr.org/english/bodies/hrcouncil/docs/17session/A.HRC.17.32_en.pdf</a> |
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| <b>Business and Human Rights in South Africa</b> |
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|--|
| Ralph Hamann and Christoph Schild (2008) |
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| National Business Initiative |
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| <a href="http://www.business-humanrights.org/Links/Repository/840958">http://www.business-humanrights.org/Links/Repository/840958</a> |
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| <b>Human Rights and Ethics in the Oil and Gas Industry</b> |
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| IPIECA (2008) |
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### CASE STUDY

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| <b>Gold's Costly Dividend</b> |
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|                           |
|---------------------------|
| Human Rights Watch (2011) |
|---------------------------|

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|---|
| <a href="http://www.hrw.org/en/reports/2011/02/01/gold-s-costly-dividend-0">http://www.hrw.org/en/reports/2011/02/01/gold-s-costly-dividend-0</a> |
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### GUIDANCE MATERIALS

|   |
|---|
| <b>Guiding Principles on Business and Human Rights: Implementing the United Nations “Protect, Respect and Remedy” Framework</b> |
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| UN (2013) |
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| <a href="http://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR_EN.pdf">http://www.ohchr.org/Documents/Publications/GuidingPrinciplesBusinessHR_EN.pdf</a> |
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| <b>The “State of Play” of Human Rights Due Diligence: Anticipating the next five years</b> |
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| Institute for Human Rights and Business (2011) |
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| <a href="http://www.ihrb.org/pdf/The_State_of_Play_of_Human_Rights_Due_Diligence.pdf">http://www.ihrb.org/pdf/The_State_of_Play_of_Human_Rights_Due_Diligence.pdf</a> |
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| <b>From Red Flags to Green Flags: the Corporate Responsibility to respect human rights in high-risk countries</b> |
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| Institute for Human Rights and Business (2011) |
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| <a href="http://www.ihrb.org/pdf/from_red_to_green_flags/complete_report.pdf">http://www.ihrb.org/pdf/from_red_to_green_flags/complete_report.pdf</a> |
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| <b>A Guide to Human Rights Impact Assessment and Management</b> |
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| International Business Leaders Forum (IBLF), International Finance Corporation (IFC), UN Global Compact (2010) |
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| <a href="http://www.guidetohriam.org/welcome">http://www.guidetohriam.org/welcome</a> (requires registration to view the guide) |
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| <b>Business, Human Rights &amp; the Right to Water</b> |
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| Institute for Human Rights and Business (2009) |
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| <a href="http://www.institutehrb.org/pdf/Draft_Report-Business_Human_Rights_and_Water.pdf">http://www.institutehrb.org/pdf/Draft_Report-Business_Human_Rights_and_Water.pdf</a> |
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| <b>Why Human Rights Matter: A Resource Guide for Integrating Human Rights into Community and Social Performance work at Rio Tinto</b> |
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| CSR and Rio Tinto (2013) |
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| <a href="http://www.riotinto.com/documents/ReportsPublications/Rio_Tinto_human_rights_guide_-_English_version.pdf">http://www.riotinto.com/documents/ReportsPublications/Rio_Tinto_human_rights_guide_-_English_version.pdf</a> |
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## WEBSITES

### Business and Human Rights Resource Centre

<http://www.business-humanrights.org/Home>

### Voluntary Principles on Security and Human Rights

<http://www.voluntaryprinciples.org/>

## RELATED ANGLO RESOURCES

- Anglo American Good Citizenship Business Principles
- Anglo Social Way
- Anglo American plc Implementation Guidelines for the Voluntary Principles on Security and Human Rights
- SEAT Tool 4A – Complaints and Grievance Procedures
- SEAT Tool 4C – Conflict Assessment and Management (this tool is based on the above mentioned *International Alert* document and was prepared with their assistance)

## Cumulative Impacts

### REPORT

|   |
|---|
| <b>Governance Strategies to Manage and Monitor Cumulative Impacts at the Local and Regional Level</b>   |
| D Franks, J Everingham and D Brereton CSRM (2012)   |
| <a href="http://www.csr.uq.edu.au/publications/243-governance-strategies-to-manage-and-monitor-cumulative-impacts-at-the-local-and-regional-level">http://www.csr.uq.edu.au/publications/243-governance-strategies-to-manage-and-monitor-cumulative-impacts-at-the-local-and-regional-level</a> |

### ARTICLE

|  |
|--|
| <b>Collective Impact: Large-scale social change requires broad cross-sector coordination, yet the social sector remains focused on the isolated intervention of individual organizations</b> |
| John Kania & Mark Kramer (2011)  |
| <a href="http://www.ssireview.org/articles/entry/collective_impact">http://www.ssireview.org/articles/entry/collective_impact</a>  |

### GUIDANCE MATERIALS

|   |
|---|
| <b>Cumulative Impacts: A Good Practice Guide for the Australian Coal Mining Industry</b>  |
| D Franks, D Brereton c Moran T Sakra and T Cohen CSRM and CWIMI (2010)  |
| <a href="http://www.csr.uq.edu.au/publications/37-cumulative-impacts-guide">http://www.csr.uq.edu.au/publications/37-cumulative-impacts-guide</a> |

|   |
|---|
| <b>Cumulative Impact Assessment and Management: Guidance for the Private Sector in Emerging Markets</b>   |
| IFC (2013) Under review   |
| <a href="http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/sustainability+framework/ciam+gpn+external+peer+review">http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/sustainability+framework/ciam+gpn+external+peer+review</a> |

## B. Key Issue Areas

### “Resource Curse” Debate

#### REPORT

|   |
|---|
| <b>The Challenge of Mineral Wealth: using resource endowments to foster sustainable development: analytical framework</b>   |
| ICMM (2006)   |
| <a href="http://www.eisourcebook.org/cms/files/the_challenge_of_mineral_wealth_%E2%80%93_using_resource_endowments_to_foster_sustainable_development.pdf">http://www.eisourcebook.org/cms/files/the_challenge_of_mineral_wealth_%E2%80%93_using_resource_endowments_to_foster_sustainable_development.pdf</a> |

#### ARTICLES

|   |
|---|
| <b>The Resource Curse</b>   |
| G. Davis and J. Tilton (2005)   |
| Natural Resources Forum; Vol. 29, No.3: 233-242.  |
| <a href="http://www3.interscience.wiley.com/journal/117987076/issueyear?year=2005">http://www3.interscience.wiley.com/journal/117987076/issueyear?year=2005</a> |
| <b><i>This article is copyright protected. Students may need to purchase for a small fee.</i></b>   |

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| <b>Lifting The Resource Curse</b>   |
| T. Palley (2003)  |
| <i>Foreign Service Journal</i> , December   |
| <a href="http://www.globalpolicy.org/security/natres/generaldebate/2003/12curse.htm">http://www.globalpolicy.org/security/natres/generaldebate/2003/12curse.htm</a> |

#### BOOK CHAPTERS

|   |
|---|
| <b>The Challenge of Mineral Wealth: Using Resource Endowments to Foster Sustainable Development</b> |
| Kathryn McPhail (2009)  |
| <i>Mining, Society, and a Sustainable World</i> , J.P. Richards ed.                                 |
| <b>PDF provided</b>   |

#### CASE STUDY

|   |
|---|
| <b>Utilizing mining and mineral resources to foster sustainable development of the LAO PDR</b>  |
| ICMM (2011)   |
| <a href="http://www.icmm.com/page/59841/mining-drives-socio-economic-development-in-lao-pdr-reveals-new-icmm-research">http://www.icmm.com/page/59841/mining-drives-socio-economic-development-in-lao-pdr-reveals-new-icmm-research</a> |

#### WEBSITE

**Extractive Industries Transparency Initiative** <http://eitransparency.org/>

## Indigenous Communities

### REPORTS

|  |
|--|
| <b>Report of the Special Rapporteur on the rights of indigenous peoples: extractive industries operating within or near indigenous territories</b> |
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|                    |
|--------------------|
| James Anaya (2011) |
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| <a href="http://www2.ohchr.org/english/bodies/hrcouncil/docs/18session/A-HRC-18-35_en.pdf">http://www2.ohchr.org/english/bodies/hrcouncil/docs/18session/A-HRC-18-35_en.pdf</a> |
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| <b>Mining and Indigenous Peoples Issues Review</b> |
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|                  |
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| J. Render (2004) |
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| International Council on Mining and Metals |
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| <a href="http://www.icmm.com/page/1161/mining-and-indigenous-peoples-issues-review">http://www.icmm.com/page/1161/mining-and-indigenous-peoples-issues-review</a> |
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### GUIDANCE MATERIALS

|   |
|---|
| <b>ICMM: Good Practice Guide: Indigenous Peoples and Mining</b> |
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| International Council on Mining and Metals(2010) |
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| <a href="http://www.icmm.com/library/indigenouspeoplesguide">http://www.icmm.com/library/indigenouspeoplesguide</a> |
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| <b>IBA Community Toolkit: Negotiation and Implementation of Impact and Benefit Agreements</b> |
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| G. Gibson and C. O'Faircheallaigh (2010) |
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| <a href="http://www.ibacommunitytoolkit.ca/">http://www.ibacommunitytoolkit.ca/</a> |
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| <b>IFC Performance Standard 7 and Guidance Notes Indigenous Peoples</b> |
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| IFC (2012) |
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| <a href="http://www1.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Sustainability+Framework/Sustainability+Framework+-+2012/Performance+Standards+and+Guidance+Notes+2012/">http://www1.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Sustainability+Framework/Sustainability+Framework+-+2012/Performance+Standards+and+Guidance+Notes+2012/</a> |
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### RELATED ANGLO RESOURCES

- Anglo Social Way
- SEAT Tool 4G – Indigenous Peoples

## Cultural Heritage

|   |
|---|
| <b>IFC Performance Standard 8 and Guidance Notes Cultural Heritage</b>  |
| IFC (2012)  |
| <a href="http://www1.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Sustainability+Framework/Sustainability+Framework+-+2012/Performance+Standards+and+Guidance+Notes+2012/">http://www1.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Sustainability+Framework/Sustainability+Framework+-+2012/Performance+Standards+and+Guidance+Notes+2012/</a> |

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|---|
| <b>Why Cultural Heritage Matters</b>  |
| Rio Tinto and CSR ( 2011)   |
| <a href="http://www.csr.uq.edu.au/publications/168-why-cultural-heritage-matters">http://www.csr.uq.edu.au/publications/168-why-cultural-heritage-matters</a> |

## Free Prior and Informed Consent (FPIC)

### DISCUSSION PAPERS

|  |
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| <b>Making FPIC - Free, Prior and Informed Consent – work: challenges and prospects for Indigenous People</b> |
| Forest Peoples Programme (2007)  |
| <b>PDF provided</b>  |

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|---|
| <b>Informed consent and mining projects : some problems and a few tentative solutions</b>   |
| Martha Macintyre (2004)   |
| <a href="http://www.minerals.csiro.au/sd/Certification/MacintyrePriorInformedConsentandMining.pdf">http://www.minerals.csiro.au/sd/Certification/MacintyrePriorInformedConsentandMining.pdf</a> |

|   |
|---|
| <b>Prior informed consent and mining : promoting the sustainable development of local communities</b>   |
| Environmental Law Institute (2004)  |
| <a href="http://www.elistore.org/reports_detail.asp?ID=10965&amp;topic=Mining">http://www.elistore.org/reports_detail.asp?ID=10965&amp;topic=Mining</a> |
| <i>Requires free site-registration to access</i>  |

### GUIDANCE MATERIALS

|   |
|---|
| <b>Implementing a Corporate Free, Prior, and Informed Consent Policy: Benefits and Challenges</b>   |
| Amy K. Lehr and Gare A. Smith (2010) Foley Hoag LLP   |
| <a href="http://www.foleyhoag.com/NewsCenter/Publications/eBooks/Implementing_Informed_Consent_Policy.aspx">http://www.foleyhoag.com/NewsCenter/Publications/eBooks/Implementing_Informed_Consent_Policy.aspx</a> |



## Grievance Mechanisms

### RESEARCH PAPER

|   |
|---|
| <b>Community grievance mechanisms and Australian mining companies offshore: An industry discussion paper</b>  |
| D. Kemp, N. Gotzmann (2008)   |
| Centre for Social Responsibility in Mining  |
| <a href="http://www.csr.m.uq.edu.au/docs/CSRM_%20minerals%20industry%20grievance%20discussion%20paper_FINAL.pdf">http://www.csr.m.uq.edu.au/docs/CSRM_%20minerals%20industry%20grievance%20discussion%20paper_FINAL.pdf</a> |

### GUIDANCE MATERIALS

|   |
|---|
| <b>Good Practice Note: Addressing Grievances from Project-Affected Communities</b>  |
| International Finance Corporation (2009)  |
| <a href="http://www1.ifc.org/wps/wcm/connect/cbe7b18048855348ae6cfe6a6515bb18/IFC%2BGrievance%2BMechanisms.pdf?MOD=AJPERES&amp;CACHEID=cbe7b18048855348ae6cfe6a6515bb18">http://www1.ifc.org/wps/wcm/connect/cbe7b18048855348ae6cfe6a6515bb18/IFC%2BGrievance%2BMechanisms.pdf?MOD=AJPERES&amp;CACHEID=cbe7b18048855348ae6cfe6a6515bb18</a> |

|   |
|---|
| <b>Rights Compatible Grievance Mechanisms: A guidance tool for companies and their stakeholders</b>   |
| C. Rees (2008)  |
| Corporate Social Responsibility Initiative  |
| <a href="http://www.hks.harvard.edu/m-rcbg/CSRI/publications/Workingpaper_41_Rights-Compatible%20Grievance%20Mechanisms_May2008FNL.pdf">http://www.hks.harvard.edu/m-rcbg/CSRI/publications/Workingpaper_41_Rights-Compatible%20Grievance%20Mechanisms_May2008FNL.pdf</a> |

|  |
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| <b>Advisory Note: A Guide to Designing and Implementing Grievance Mechanisms for Development Projects</b>  |
| Compliance Advisor Ombudsman (CAO) for the International Finance Corporation (IFC)<br>Multilateral Investment Guarantee Agency (MIGA) Members of the World Bank Group (2008) |
| <b>PDF provided</b>  |

|   |
|---|
| <b>Human Rights in the Mining &amp; Metals Sector: Handling and Resolving Local Level Concerns &amp; Grievances</b>   |
| ICMM (2009)   |
| <a href="http://www.icmm.com/page/15822/icmm-presents-new-guidance-note-on-handling-and-resolving-local-level-concerns-and-grievances">http://www.icmm.com/page/15822/icmm-presents-new-guidance-note-on-handling-and-resolving-local-level-concerns-and-grievances</a> |

### RELATED ANGLO RESOURCES

- SEAT Tool 4A – Complaints and Grievance Procedures
- SEAT Tool 4C – Conflict Assessment and Management (this tool is based on the above mentioned *International Alert* document and was prepared with their assistance)

## Gender

### Book

|   |
|---|
| <b>Gendering the Field: Towards Sustainable Livelihoods for Mining Communities</b>  |
| Edited by Kuntala Lahiri-Dutt (2011)  |
| Australian National University  |
| <a href="http://epress.anu.edu.au/apps/bookworm/view/Gendering+the+Field%3A+Towards+Sustainable+Livelihoods+for+Mining+Communities/5521/upfront.xhtml">http://epress.anu.edu.au/apps/bookworm/view/Gendering+the+Field%3A+Towards+Sustainable+Livelihoods+for+Mining+Communities/5521/upfront.xhtml</a> |

### GUIDANCE MATERIALS

|   |
|---|
| <b>Why gender matters: A resource guide for integrating gender considerations into Communities work at Rio Tinto</b>  |
| Kemp, D, Keenan, J & Davidson, J. (2009)  |
| Rio Tinto and CSR   |
| <a href="http://www.riotinto.com/documents/ReportsPublications/Rio_Tinto_gender_guide.pdf">http://www.riotinto.com/documents/ReportsPublications/Rio_Tinto_gender_guide.pdf</a> |

|   |
|---|
| <b>ARPEL Social Guideline: Guidelines for the implementation of Gender Policies and Strategies</b>                      |
| Regional Association of Oil and Natural Gas Companies in Latin America and the Caribbean (2003)                         |
| <a href="http://www.commdev.org/content/document/detail/1911/">http://www.commdev.org/content/document/detail/1911/</a> |

|   |
|---|
| <b>Gender Impact Assessments</b>  |
| Red Internacional Mujeres y Minería (RIMM) (n.d.)   |
| <a href="http://www.rimmrights.org/Documents/RIMM_GIAs.pdf">http://www.rimmrights.org/Documents/RIMM_GIAs.pdf</a> |

### WEBSITE

#### IFC Key Resources on Gender and the Extractive Industries

<http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTOGMC/EXTTEXTINDWOM/0,,contentMDK:22086230~menuPK:3157115~pagePK:210058~piPK:210062~theSitePK:3156914,00.html>

## Resettlement

### REPORT

|   |
|---|
| <b>Avoiding New Poverty: Mining-Induced Displacement and Resettlement</b> |
| T. E. Downing (2002)  |
| Mining, Minerals and Sustainable Development                              |
| <b>PDF provided</b>   |

### JOURNAL ARTICLES

|   |
|---|
| <b>Introduction: Resettlement An Enduring Issue in Development</b>  |
| M.M. Cernea, (2009)   |
| Asia Pacific Journal of Anthropology, 10(4): 263-5  |
| <a href="http://www.tandfonline.com/doi/pdf/10.1080/14442210903079756">http://www.tandfonline.com/doi/pdf/10.1080/14442210903079756</a> |

|   |
|---|
| <b>'To move or not to move': Reflections on the resettlement of artisanal miners in the Western Region of Ghana</b>             |
| Hilson, G., Yakovleva, N., and Banchirigah, S. M. (2007)  |
| African Affairs, Vol. 106, No. 424: 413–436.  |
| <a href="http://afraf.oxfordjournals.org/content/106/424/413.full">http://afraf.oxfordjournals.org/content/106/424/413.full</a> |

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|--|
| <b>Mining, Displacement and the World Bank: A Case Analysis of Compania Minera Antamina's Operations in Peru</b> |
| Szablowski, D (2002)   |
| Journal of Business Ethics. 39 (3): 247-243.   |
| <a href="http://www.jstor.org/stable/25074841">http://www.jstor.org/stable/25074841</a>                          |

### GUIDANCE MATERIALS

|   |
|---|
| <b>Handbook for Preparing a Resettlement Action Plan</b>  |
| IFC (2004)  |
| <a href="http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_handbook_rap_wci_1319577659424">http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_handbook_rap_wci_1319577659424</a> |

### CASE STUDY

|   |
|---|
| <b>A clash of cultures (and lawyers): A case study of Anglo Platinum and its Mogalakwena mine in Limpopo, South Africa</b>  |
| L. Farrell, E. Mackres and R. Hamann (2008)   |
| Corporate Governance in Africa Case Study: no 1   |
| <a href="http://www.reports-and-materials.org/Anglo-Platinum-case-study-Farrell-Mackres-Hamann-May-2009.pdf">http://www.reports-and-materials.org/Anglo-Platinum-case-study-Farrell-Mackres-Hamann-May-2009.pdf</a> |

### RELATED ANGLO RESOURCES

- Anglo Social Way
- SEAT Tool 4D – Resettlement Planning and Implementation

## Health

### CASE STUDIES

|   |
|---|
| <b>Placer Dome Case Study: Differing Approaches to Community Development Health Care Renewal at Porgera (PNG) and Las Cristinas (Venezuela)</b> |
| J. Davidson (2008)  |
| Centre for Social Responsibility in Mining  |
| <i>To be provided</i>   |

|   |
|---|
| <b>GLOBAL HEALTH INITIATIVE Private Sector Intervention Case Example</b>  |
| World Economic Forum (2002)   |
| <a href="http://www.weforum.org/pdf/Initiatives/GHI_HIV_CaseStudy_AngloGold.pdf">http://www.weforum.org/pdf/Initiatives/GHI_HIV_CaseStudy_AngloGold.pdf</a> |

### GUIDANCE MATERIALS

|   |
|---|
| <b>Good Practice Guidance on HIV/Aids, TB and Malaria</b>     |
| International Council on Mining and Metals (2008)             |
| <a href="http://www.icmm.com/hiv">http://www.icmm.com/hiv</a> |

|   |
|---|
| <b>HIV/AIDS Guide for the Mining Sector: A Resource for Developing Stakeholder Competency and Compliance in Mining Communities in Southern Africa</b>   |
| The Canadian International Development Agency (CIDA) through the International Finance Corporation (IFC) (2004)   |
| <a href="http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_gpn_hivaids-mining">http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_gpn_hivaids-mining</a> |

|   |
|---|
| <b>IFC Performance Standard 4 and Guidance Notes Community Health safety and Security</b>   |
| IFC (2012)  |
| <a href="http://www1.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Sustainability+Framework/Sustainability+Framework+-+2012/Performance+Standards+and+Guidance+Notes+2012/">http://www1.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Sustainability+Framework/Sustainability+Framework+-+2012/Performance+Standards+and+Guidance+Notes+2012/</a> |

### RELATED ANGLO RESOURCES

- Anglo Social Way
- Anglo American HIV/AIDS Policy
- SEAT Tool 5J – Improving Community Health

## Water

### REPORT

|   |
|---|
| <b>Water and Human Rights: Exploring the Roles and Responsibilities of Business</b>   |
| The CEO Water Mandate (2009)  |
| <a href="http://www.unglobalcompact.org/docs/issues_doc/Environment/ceo_water_mandate/Business_Water_and_Human_Rights_Discussion_Paper.pdf">http://www.unglobalcompact.org/docs/issues_doc/Environment/ceo_water_mandate/Business_Water_and_Human_Rights_Discussion_Paper.pdf</a> |

|   |
|---|
| <b>The CEO Water Mandate</b>  |
| <b>The Human Right to Water: Emerging Corporate Practice and Stakeholder Expectations</b>   |
| J. Morrison & P. Schulte of the Pacific Institute (2010)  |
| <a href="http://www.unglobalcompact.org/docs/issues_doc/Environment/ceo_water_mandate/Water_Mandate_Human_Rights_White_Paper.pdf">http://www.unglobalcompact.org/docs/issues_doc/Environment/ceo_water_mandate/Water_Mandate_Human_Rights_White_Paper.pdf</a> |

### JOURNAL PAPER

|   |
|---|
| <b>Mining, water and human rights: making the connection</b>  |
| Kemp, D., Bond, C., Franks, DM., Cote, C. (2010)  |
| Journal of Cleaner Production, Vol. 18, (No.15), pp1553-1562.   |
| <a href="http://www.sciencedirect.com/science/journal/09596526">http://www.sciencedirect.com/science/journal/09596526</a> |
| <b><i>This article is copyright protected. Students may need to purchase for a small fee.</i></b>                         |

### CONFERENCE PAPER

|   |
|---|
| <b>Water, Communities and Mineral Resource Development – Understanding the Risks and Opportunities</b>  |
| D. Brereton and J. Parmenter (2006)   |
| Water in Mining Conference, AusIMM  |
| <a href="http://www.csr.m.uq.edu.au/docs/Brereton.pdf">http://www.csr.m.uq.edu.au/docs/Brereton.pdf</a> |

### RELATED ANGLO RESOURCES

- SEAT Tool 5H – Small Scale Water and Sanitation Service Delivery

## Local Procurement

### REPORTS

|  |
|--|
| <b>Changing Course: A study into Responsible Supply Chain Management</b> |
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|   |
|---|
| Global CSR and Copenhagen Business School for the Danish Ministry of Foreign Affairs (2011) |
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| <a href="http://www.global-csr.com/fileadmin/Our_Approach/RSCM_MainReport_110111.pdf">http://www.global-csr.com/fileadmin/Our_Approach/RSCM_MainReport_110111.pdf</a> |
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| <b>Procuring from SMEs in Local Communities: A Good Practice Guide for the Australian Mining, Oil and Gas Sectors</b> |
|---|

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| Esteves, A M., Brereton, B., Samson, D., and Barclay, M. (2010) |
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| <a href="http://www.csr.uq.edu.au/docs/4361%20CSR%20SME%20Report%20Email%20V2.pdf">http://www.csr.uq.edu.au/docs/4361%20CSR%20SME%20Report%20Email%20V2.pdf</a> |
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| <b>Local Supplier Development Company Diagnostic Tool</b> |
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| International Finance Corporation (2010) |
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| <a href="http://commdev.org/content/document/detail/2626/">http://commdev.org/content/document/detail/2626/</a> |
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| <b>Developing SMEs Through Business Linkages</b> |
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| Mozal Aluminium; The World Bank Group (2008) |
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| <a href="http://commdev.org/content/document/detail/2328/">http://commdev.org/content/document/detail/2328/</a> |
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|   |
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| <b>Increasing Local Procurement By the Mining Industry in West Africa</b> |
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|-----------------------------|
| The World Bank Group (2012) |
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| <a href="http://siteresources.worldbank.org/INTENERGY2/Resources/8411-West_Africa.pdf">http://siteresources.worldbank.org/INTENERGY2/Resources/8411-West_Africa.pdf</a> |
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## Mine Closure

### TOOLKIT

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|--|
| <b>Planning for Integrated Mine Closure Toolkit</b>                      |
| ICMM (2008)  |
| <a href="http://www.icmm.com/document/310">www.icmm.com/document/310</a> |

### REPORT

|   |
|---|
| <b>It's Not Over When It's Over: Mine Closure around the World</b>  |
| The World Bank and the International Finance Corporation (2002)   |
| <a href="http://siteresources.worldbank.org/INTOGMC/Resources/notoverwhenover.pdf">http://siteresources.worldbank.org/INTOGMC/Resources/notoverwhenover.pdf</a> |

### CASE STUDY

|   |
|---|
| <b>The closure of coal mines and local development responses in Coal-Rim Cluster, northern KwaZulu-Natal, South Africa</b>  |
| E. L Nel, T. R Hill, K. C Aitchison & S. Buthelezi (2003)   |
| Development Southern Africa, Vol. 20, No. 3   |
| <a href="http://www.informaworld.com/smpp/content~content=a713661578~db=all~order=page">http://www.informaworld.com/smpp/content~content=a713661578~db=all~order=page</a> |
| <i>This article is copyright protected. Students may need to purchase for a small fee.</i>  |

### GUIDANCE MATERIALS

|   |
|---|
| <b>Leading Practice Sustainable Development Program for the Mining Industry: Mine Closure and Completion</b>          |
| Australian Government (2006)  |
| <a href="http://www.dmp.wa.gov.au/documents/mine_closure.pdf">http://www.dmp.wa.gov.au/documents/mine_closure.pdf</a> |

### RELATED ANGLO RESOURCES

- Anglo American Mine Closure Planning Toolbox
- SEAT Tool 4E – Managing the Social Dimension of Mine Closure (supports the Mine Closure Toolbox)

## Migration and Displacement

### REPORT

|   |
|---|
| <b>In Search of Shelter: Managing the Effects of Climate Change on Human Migration and Displacement</b>   |
| CARE International and Center for International Earth Science Information Network at the Earth Institute of Columbia University (2009)  |
| Care International and Columbia University  |
| <a href="http://www.careclimatechange.org/index.php?option=com_content&amp;view=article&amp;id=41%3A+in-search-of-shelter&amp;catid=41&amp;Itemid=44">http://www.careclimatechange.org/index.php?option=com_content&amp;view=article&amp;id=41%3A+in-search-of-shelter&amp;catid=41&amp;Itemid=44</a> |

### HANDBOOK

|   |
|---|
| <b>Projects and People: A Handbook for Addressing Project-Induced In-Migration</b>  |
| International Finance Corporation (IFC) (2009)  |
| The World Bank  |
| <a href="http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_handbook_inmigration_wci_1319576839994">http://www1.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/publications/publications_handbook_inmigration_wci_1319576839994</a> |

### ARTICLE

|   |
|---|
| <b>Moving lives: Migration and livelihoods in the Lao PDR</b>   |
| J. Rigg (2007)  |
| Population, Space and Place, Vol. 13: 163-178   |
| <a href="http://onlinelibrary.wiley.com/doi/10.1002/psp.438/pdf">http://onlinelibrary.wiley.com/doi/10.1002/psp.438/pdf</a> |



## Environmental Sustainability

### GUIDANCE NOTE

|   |
|---|
| <b>IFC Performance Standards and Guidance notes on Environmental and Social Sustainability</b>  |
| International Finance Corporation (2012)  |
| <a href="http://www1.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Sustainability+Framework/Sustainability+Framework+-+2012/Performance+Standards+and+Guidance+Notes+2012/">http://www1.ifc.org/wps/wcm/connect/Topics_Ext_Content/IFC_External_Corporate_Site/IFC+Sustainability/Sustainability+Framework/Sustainability+Framework+-+2012/Performance+Standards+and+Guidance+Notes+2012/</a> |

### RESEARCH REPORTS

|   |
|---|
| <b>Satellite-based Estimates of Groundwater depletion in India</b>  |
| M. Rodell, I Velicogna, J. Famiglietti (August 2009)  |
| <i>Nature</i> , Vol. 460: 999-1002  |
| <a href="http://www.nature.com/nature/journal/v460/n7258/abs/nature08238.html">http://www.nature.com/nature/journal/v460/n7258/abs/nature08238.html</a> |

|   |
|---|
| <b>Re-building Global Fisheries</b>   |
| B. Worm, et al. (July 2009)   |
| <i>Science</i> , Vol. 325, No. 5940: 578 - 585  |
| <a href="http://www.sciencemag.org/content/325/5940/578.full?sid=4b2f7134-4262-4a8f-ac8b-198e3350a7df">http://www.sciencemag.org/content/325/5940/578.full?sid=4b2f7134-4262-4a8f-ac8b-198e3350a7df</a> |

### REPORT

|   |
|---|
| <b>Resource Revolution: meeting the world's energy, materials, food and water needs</b>   |
| McKinsey Global Institute (2011)  |
| <a href="http://www.mckinsey.com/Features/Resource_revolution.aspx">http://www.mckinsey.com/Features/Resource_revolution.aspx</a> |

|   |
|---|
| <b>TEEB - The Economics of Ecosystems and Biodiversity – Executive Summary</b>  |
| Bishop, J., et al (2010)  |
| <a href="http://www.teebweb.org/publications/teeb-study-reports/foundations/">http://www.teebweb.org/publications/teeb-study-reports/foundations/</a> |

|   |
|---|
| <b>Food, Energy, Water and the Climate: A Perfect Storm of Global Events</b>  |
| Professor Sir John Beddington (2010)  |
| <a href="http://www.dius.gov.uk/assets/bispartners/goscience/docs/p/perfect-storm-paper.pdf">http://www.dius.gov.uk/assets/bispartners/goscience/docs/p/perfect-storm-paper.pdf</a> |

## Wicked Problems

### RESEARCH

#### Dilemmas in a General Theory of Planning

H. Rittel & M. Webber (1973)

*Policy Sciences* Vol. 4:155-169

[http://www.uctc.net/mwebber/Rittel+Webber+Dilemmas+General\\_Theory\\_of\\_Planning.pdf](http://www.uctc.net/mwebber/Rittel+Webber+Dilemmas+General_Theory_of_Planning.pdf)

#### Tackling Wicked Problems: A Public Policy Perspective

Australian Public Service Commission (2007)

Australian Government

<http://www.apsc.gov.au/publications-and-media/archive/publications-archive/tackling-wicked-problems>

#### Small Wins: Redefining the Scale of Social Problems

K. Weick (1984)

<http://psycnet.apa.org/journals/amp/39/1/40.pdf>

#### "Wicked Problems," Public Policy, and Administrative Theory: Lessons From the GM Food Regulatory Arena

Durant, R. F. and Legge Jr., J. L.

*Administration & Society*, July 2006 Vol. 38 No. 3: 309-334.

<http://aas.sagepub.com/content/38/3/309.abstract>

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## Partnerships

### REPORT

#### Mining: Partnerships for Development Toolkit

ICMM (2011)

<http://www.icmm.com/document/1945>

### PAPER

#### Investing in Social Innovation: Harnessing the Potential of Partnership between Corporations and Social Entrepreneurs, Working Paper No. 20.

Nelson, J and Jenkins, B (2006)

Cambridge, Harvard University (CSRI)

[http://www.hks.harvard.edu/m-rcbg/CSRI/publications/workingpaper\\_20\\_nelson\\_jenkins.pdf](http://www.hks.harvard.edu/m-rcbg/CSRI/publications/workingpaper_20_nelson_jenkins.pdf)

#### Collaborative Strategic Management: Strategy Formulation and Implementation by Multi-Organizational Cross-Sector Social Partnerships

Clarke, A. and M. Fuller (2010)

*Journal of Business Ethics* 94, 85-101.

<http://link.springer.com/article/10.1007%2Fs10551-011-0781-5?LI=true>

## Business and Poverty Reduction

### ARTICLE

|   |
|---|
| <b>Booms, Busts, and Echoes: How the biggest demographic upheaval in history is affecting global development</b>                      |
| D Bloom and D Canning (2006)  |
| Finance & Development (IMF) Magazine; Sept 2006, Issue 43, No. 3.   |
| <a href="http://www.imf.org/external/pubs/ft/fandd/2006/09/bloom.htm">http://www.imf.org/external/pubs/ft/fandd/2006/09/bloom.htm</a> |

|   |
|---|
| <b>Business and development: making sense of business as a development agent</b>  |
| Michael Blowfield, (2012)   |
| Corporate Governance, Vol. 12 Iss: 4, pp.414 - 426  |
| <a href="http://www.emeraldinsight.com/journals.htm?articleid=17051050&amp;show=html">http://www.emeraldinsight.com/journals.htm?articleid=17051050&amp;show=html</a> |

### KEY REPORTS

|   |
|---|
| <b>Innovation: Applying knowledge in Development</b>  |
| UN Millennium Project (2005)  |
| <a href="http://www.unmillenniumproject.org/documents/Science-complete.pdf">http://www.unmillenniumproject.org/documents/Science-complete.pdf</a> |

|   |
|---|
| <b>Business for Development: Business solutions in support of the Millennium Development Goals</b>  |
| World Business Council for Sustainable Development/WBCSD (2005)   |
| <a href="http://www.wbcsd.org/plugins/DocSearch/details.asp?type=DocDet&amp;ObjectId=MTY0MzU">http://www.wbcsd.org/plugins/DocSearch/details.asp?type=DocDet&amp;ObjectId=MTY0MzU</a> |

### VIDEO

|   |
|---|
| <b>Professor Richard Wilkinson: The Spirit Level why more equal societies almost always do better</b> |
| IPH interview with the authors of the book with the same title (2009)                                 |
| <a href="http://www.youtube.com/watch?v=y36BJoelaMc">http://www.youtube.com/watch?v=y36BJoelaMc</a>   |

## Security

|   |
|---|
| <b>The Voluntary Principles on Security and Human Rights: An Implementation Toolkit for Major Project Sites</b>                       |
| Multilateral Investment Guarantee Agency, Japan Environmental and Social Challenges Fund, Anvil Mining (2008)                         |
| <a href="http://www.business-humanrights.org/Links/Repository/742295">http://www.business-humanrights.org/Links/Repository/742295</a> |

### ARTICLE

|  |
|--|
| <b>Corporate Security begins in the Community: Mining, the Corporate Social Responsibility Industry, and Environmental Advocacy in Indonesia</b> |
|--|

|   |
|---|
| Marina Welker (2009)  |
| <i>Cultural Anthropology</i> , 24(1): 142-179   |
| <a href="http://onlinelibrary.wiley.com/doi/10.1111/j.1548-1360.2009.00029.x/abstract">http://onlinelibrary.wiley.com/doi/10.1111/j.1548-1360.2009.00029.x/abstract</a> |

#### WEBSITES

##### **Voluntary Principles on Security and Human Rights**

<http://www.voluntaryprinciples.org/>

#### RELATED ANGLO RESOURCES

- Anglo American plc Implementation Guidelines for the Voluntary Principles on Security and Human Rights

## Inspiration

#### ARTICLE

|   |
|---|
| <b>The Big Idea: Creating Shared Value</b>  |
| Michael E. Porter and Mark R. Kramer (2011)   |
| <a href="http://hbr.org/2011/01/the-big-idea-creating-shared-value/ar/1">http://hbr.org/2011/01/the-big-idea-creating-shared-value/ar/1</a> |

|   |
|---|
| <b>Connecting to Source: the U-Process</b>  |
| Z. Hassan (2006)  |
| Systems Thinker: Building Shared Understanding; 17( 7): 2-7   |
| <a href="http://www.generationconsulting.com/publications/papers/pdfs/ZaidTST.pdf">http://www.generationconsulting.com/publications/papers/pdfs/ZaidTST.pdf</a> |

## C. Additional Resources

### Websites for general reference

ICMM searchable “good practice” library

<http://www.icmm.com/publications>

IFC/World Bank CommDev

<http://commdev.org/>

International Petroleum Industry Environmental Conservation Association

<http://www.ipieca.org/>

World Bank Business Partners for Development – Natural Resources Cluster

<http://www.bpdweb.com/>

World Business Council for Sustainable Development

<http://www.wbcsd.org/>

### Books

**Frank Vanclay and Ana Maria Esteves (2012). *New Directions in Social Impact Assessment: Conceptual and Methodological Advances*, (Cheltenham, UK: Edward Elgar Publishing Ltd).**

- This edited book outlines current developments in thinking in the field of social impact assessment (SIA). It emphasizes that the focus of SIA should be on: managing social issues associated with planned interventions; taking a holistic and integrated approach to impact assessment; and stressing that greater attention needs to be given to ensuring that the goals of development (project benefits) are attained and enhanced. SIA is therefore the process of managing the social aspects of development. Implicit in this book is the view that SIA is of benefit not only to regulatory agencies as has been traditionally conceived, but also to communities, government developers and the private sector. Traditionally, SIA has been a proponent-led process to meet regulatory requirements. There will still be an ongoing need for that, but SIA can do much more. SIA can also be a proponent-led process to assist companies to develop impact and benefit agreements with communities in fairness and good faith, ensure an ongoing social licence to operate, represent best practice in corporate social responsibility, as well as influencing all business drivers. The book has a forward written by Bruce Harvey, specifically relating to the minerals industry.

**Zandvliet, L. and Anderson, M. (2009). *Getting it Right: Making Corporate-Community Relations Work*, (Sheffield: Greenleaf Publishers).**

- This book has been written for corporate managers who are responsible for company operations in societies that are poor and politically unstable. Many such managers are frustrated with the situations they face. They try their best to run effective, profitable and beneficial operations that take account of the needs of all their stakeholders, including local surrounding communities. But, even with their best efforts, they encounter community dissatisfaction, unrest, opposition, and delays and, worse yet, threats and violence. The book provides a treasure trove of practical experience against which other managers can analyze their own situations and, using what has been learned by smart colleagues before them, arrive at sound, practical approaches to their daily challenges.

**Cochrane, G. (2008). *Festival Elephants and the Myth of Global Poverty*, (Boston: Pearson).**

- Glynne Cochrane draws on his many years as a development anthropologist to show how the “Festival Elephants” of development aid are wasting time and money instead of helping to solve poverty. The author takes issue with the idea that there is only one kind of global poverty (and one single solution). Instead, through his travels to places like the Solomon Islands, Papua New Guinea, Sri Lanka, the Cook Islands, and Tanzania, the author shows that poverty is locally experienced and contextually variable. Chapters take the reader with Cochrane to the Solomon Islands, Papua New Guinea, Sri Lanka, the Cook Islands, and Tanzania, providing vivid lessons about local poverty and development interventions along the way. In the last chapter, Cochrane draws on his ten years of experience as Social Advisor to Rio Tinto, one of the world’s largest mining companies to show how fieldwork-based community relations, following an anthropological model, are an effective way to prevent and alleviate poverty.

**Elkington, J. (1998). *Cannibals with Forks: The Triple Bottom Line of 21<sup>st</sup> Century Business* (London: New Society Publishers).**

- Polish poet Stanislaw Lec asked, "Is it progress if a cannibal uses a fork?" Elkington applies the question to twenty-first-century capitalism as he ponders whether holding corporations accountable to a "triple bottom-line" of economic prosperity, environmental quality, and social justice constitutes progress. Elkington cofounded SustainAbility, a London consulting firm that advises major corporations on how to be more environmentally sensitive and socially active while prospering economically. He is also the author of several books on corporate "greening" and "green" consumerism. Published last year in Britain, Elkington's book identifies the seven dimensions of--or revolutions leading to--a sustainable future. For each of the seven, he examines the "blind-spots" most corporate leaders have that prevent them from joining in the revolution. This lively and practical guide outlines the seven great "sustainable" revolutions that are already unfolding, showing how business leaders should respond and profiles some of the world's best-known companies including Nike, Wal-mart, Levi Strauss, Volkswagen, Texaco, Intel, Volvo, Dow Chemical, Electrolux, Novo Nordisk, and Shell.

**Dressner, S. (2002). *The Principles of Sustainability* (London: Earthscan).**

- At a time of increasingly rapid environmental deterioration and climate change, sustainability is one of the most important issues facing the world. Can we create a sustainable society? What would that mean? How should we set about doing it? How can we bring about such a profound change in the way things are organized? This text tackles these questions directly. It covers: historical development of the concept of sustainability; contemporary debates about how to achieve it; and obstacles and the prospects for overcoming them. This new fully revised edition covers the latest on the climate change front, particularly the advances in scientific understanding and political awareness of climate change. Other updates include more recent economic analyses, particularly the Stern Report, and an examination of the global shift away from faith in markets and towards statism over the past five years.

**Jones, I.W. Pollitt, M.G. and Bek, D. (2007). *Multinationals in their Communities – A Social Capital Approach to Corporate Citizenship Projects* (Basingstoke, Hampshire: Palgrave MacMillan).**

- This book examines a number of case studies of corporate citizenship projects from leading multinationals, including Anglo American, Diageo, GSK, Vodafone and examines their impact from a social capital perspective. From these cases the authors draw conclusions about the sort of projects that bring most benefits to companies, and the objectives that should be borne in mind as programmes are designed.

**Collier, P. (2010). Plundered Planet –How to reconcile prosperity with nature (Oxford: Oxford University Press).**

- Paul Collier, who is the Director of the Centre for the Study of African Economies at Oxford University, declares a two-front war on economists and environmentalists at the same time. He is against what he calls “utilitarian economists,” because if left on their own, they would end up plundering the planet. But Collier also takes on “romantic environmentalists,” who would be unable to eradicate hunger. For Collier, Nature is the lifeline for the countries of the bottom billion – and thus cannot remain untouched. With a strong faith in the power of well-informed ordinary citizens, Collier proposes a series of international standards that would help poor countries rich in natural assets better manage those resources. Technology, which enlarges the capacity of ordinary citizens, is also necessary to turn Nature into assets. But of course, in order to be effective and benefit the bottom billion instead of just the few at the top, regulation, which requires governance, is another seminal element of the equation to create prosperity. Professor Collier presents us with a chain of decisions that need to happen in order for a low-income society to become prosperous. First, a society has to turn Nature into assets through a discovery process; then “capture” them through a taxation process; and finally invest them in a way so as to break the limits to what economists call “absorptive capacity” (what he calls “investing in investing”). Challenges come from the fact that the outcome of this complex chain of decisions is only as good as the weakest link in it.

**Collier, P. (2007). The Bottom Billion. Why the Poorest Countries are Failing and What Can Be Done About It (Oxford: Oxford University Press).**

- Global poverty, Paul Collier points out, is actually falling quite rapidly for about eighty percent of the world. The real crisis lies in a group of about 50 failing states, the bottom billion, whose problems defy traditional approaches to alleviating poverty. In *The Bottom Billion*, Collier contends that these fifty failed states pose the central challenge of the developing world in the twenty-first century. The book shines a much needed light on this group of small nations, largely unnoticed by the industrialized West, that are dropping further and further behind the majority of the world's people, often falling into an absolute decline in living standards. A struggle rages within each of these nation between reformers and corrupt leaders--and the corrupt are winning. Collier analyzes the causes of failure, pointing to a set of traps that snare these countries, including civil war, a dependence on the extraction and export of natural resources, and bad governance. Standard solutions do not work against these traps, he writes; aid is often ineffective, and globalization can actually make matters worse, driving development to more stable nations. What the bottom billion need, Collier argues, is a bold new plan supported by the Group of Eight industrialized nations. If failed states are ever to be helped, the G8 will have to adopt preferential trade policies, new laws against corruption, and new international charters, and even conduct carefully calibrated military interventions.