



**Note**

**Internal Use Only**

This worksheet is intended to be a guide. The questions and information collected should be considered an internal tool and not a document that is universally shared.

*Many resources contain information for multiple categories, so it can be helpful to think across categories as you look at each resource.*

**Directions**

Use this worksheet to guide your initial and ongoing research of the project. Consider developing a series of small questionnaires that different community members can complete, thereby making the overall project more manageable to complete.

<b>Project and Commodity</b>	
Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>● Agenda packets from legislative or regulatory proceedings</li> <li>● Feasibility studies and environmental impact reports</li> <li>● Company website, annual reports, and financial records</li> <li>● Information filings</li> <li>● Environmental assessments of similar projects or commodities</li> <li>● Web searches for industry sources with detailed economic analysis on the commodity</li> <li>● Information provided by the company under confidentiality agreements</li> <li>● Past interactions in your community or other communities near past/ongoing project sites</li> <li>● Annual mining or energy association meetings</li> <li>● Land claim agreements</li> </ul>	<ol style="list-style-type: none"> <li>1. What is the official description of the proposed project or activity?</li> <li>2. Who controls the company's decision-making power about whether this project moves forward?</li> <li>3. Is this a one-off project or part of a larger project or initiative?</li> <li>4. Has this type of project or activity occurred before locally, regionally, nationally, and globally? Are there any lessons learned that could be applied?</li> <li>5. What is the geology of the project site (e.g., grade, commodity mix, impurities)?</li> <li>6. What technology will be used to develop and operate a project or activity? Has it been used elsewhere?</li> <li>7. What constraints could cause key project vulnerabilities?</li> <li>8. Is this a doable project, or is it a speculative</li> </ol>

<b>Project and Commodity</b>	
Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>● Surface lease agreements</li> <li>● Discussions with lawyers, journalists, academics or consultants with subject matter expertise</li> <li>● <a href="#">EJ Atlas</a></li> <li>● <a href="#">Benchmark Mineral Intelligence</a></li> <li>● <a href="#">Fastmarkets</a></li> <li>● <a href="#">Climate Program Portal</a></li> <li>● Commodity-specific maps and databases</li> </ul>	<p>investment at risk of early closure or project failure?</p> <ol style="list-style-type: none"> <li>9. Do they have financing or permits in place?</li> <li>10. What project or development agreements might already exist that could apply?</li> <li>11. How big is the pie? What are the company's annual revenue and profits?</li> <li>12. Has the company accurately portrayed the resource?</li> <li>13. What is the Internal Rate of Return (IRR), generally 10-20%? The higher the IRR, the greater the community can demand in terms of financial benefits.</li> <li>14. What are the likely markets for this product? What is the current and projected price for the resource?</li> <li>15. Where does this project fit within one or more supply chains?</li> <li>16. Is the corporation developing the site with contractors?</li> <li>17. Does the company have project labor agreements for other projects?</li> <li>18. How close is this deposit/project to the company's (or contractor's) past or ongoing deposits/project sites?</li> <li>19. Are the project sites overlapping with, close to, or potentially endangering Tribal reservations or Tribal cultural resources?</li> </ol>

<b>Company</b>	
Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>● Corporate website, annual reports, and financial records</li> <li>● Investment and business websites (e.g. <a href="https://www.sec.gov/about/reports-publications/inv">https://www.sec.gov/about/reports-publications/inv</a>)</li> </ul>	<ol style="list-style-type: none"> <li>1. Who is the project or activity's sponsor(s) and owner(s)?</li> <li>2. What kind of company are they? How diversified or stretched thin is this company?</li> </ol>

<b>Company</b>	
Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>• <a href="#">estorpubscompanies</a> , <a href="https://www.moodys.com/">https://www.moodys.com/</a> and <a href="https://www.dnb.com/en-us/">https://www.dnb.com/en-us/</a>)</li> <li>• Inclusive Development International's <a href="#">Shareholder Tracker</a> tool.</li> <li>• Filings with the <a href="#">US Securities and Exchange Commission</a></li> <li>• Past interactions in your community or other communities near past/ongoing project sites</li> <li>• <a href="#">Bloomberg Terminal</a> (paywalled)</li> <li>• <a href="#">S&amp;P Capital IQ Pro</a> (paywalled)</li> <li>• <a href="#">Pitchbook</a> (paywalled)</li> <li>• <a href="#">Junior Mining Network</a></li> <li>• <a href="#">Mining Weekly</a></li> </ul>	<ol style="list-style-type: none"> <li>3. Where are the sponsor(s) and owner(s) headquartered, and what is their physical footprint?</li> <li>4. Who sits on the board of directors and who are top executives?</li> <li>5. Who are the company's major shareholders, owners, or investors?</li> <li>6. What is the history of the company?</li> <li>7. Has the company been sued for breach of contract? Of similar activity? How did the company react?</li> <li>8. Does the company have a history of directly addressing issues or first claiming there are no issues?</li> <li>9. Has the company ever applied for or received public subsidies, tax incentives or loans?</li> <li>10. What is the company's size based on revenues, number of workers, and position relative to other firms in the same industry?</li> <li>11. What is the company's Internal Rate of Return, and how does this project fit within that context?</li> <li>12. How does the site-based staff and operation relate to the parent company?</li> <li>13. Do the workers have formal representation from a union or neutrality agreements to form one?</li> </ol>

<b>Corporate Governance</b>	
Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>• Climate and environmental disclosure initiatives</li> <li>• Corporate responsibility NGOs</li> <li>• Corporations' legal requirements &amp; reporting to shareholders</li> <li>• Searches on corporations' negotiation strategies</li> <li>• Guidelines and standards (e.g., IFC, WBG, Global</li> </ul>	<ol style="list-style-type: none"> <li>1. What are the company's goals? Values?</li> <li>2. How might these relate to us?</li> <li>3. Does the company belong to national or international coalitions that set labor or environmental standards?</li> <li>4. Does the developer or company belong to a corporate governance organization that upholds corporate</li> </ol>

## Corporate Governance

Resources	Some Key Questions to Research
<p>Reporting Initiative, IRMA)</p> <ul style="list-style-type: none"> <li>Guidance from <a href="#">MiningWatch Canada primer</a></li> </ul>	<p>governance standards on labor, environment, Indigenous rights or community engagement?</p> <ol style="list-style-type: none"> <li>Are they signatories to a recognized climate or environmental disclosure initiative, such as CDP?</li> </ol>

## Statutory and Judicial Authorities

Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>Local, state, and national laws</li> <li>International treaties and agreements</li> <li>Relevant court cases</li> <li>Federal and State Supreme Court databases</li> <li>Local county clerk's offices</li> <li><a href="#">Lexis</a> (paywalled)</li> <li><a href="#">Nexis Uni</a> (paywalled)</li> </ul>	<ol style="list-style-type: none"> <li>What is the law related to the use of the site, the industry, the company, and the project?</li> <li>Has proposed legislation or a regulatory proceeding been initiated that would have impacted the project, and why was it not enacted or approved?</li> <li>What court cases can be used to strengthen our case?</li> </ol>

## Permits, Licenses, and Other Permissions Required to Undertake Activities

Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>Websites of regulatory and planning bodies</li> <li>Analysis by community representatives</li> <li>Relevant water permits database</li> </ul>	<ol style="list-style-type: none"> <li>What are the regulatory requirements, and how can they affect leverage?</li> <li>Will the project or activity require permits or licenses?</li> <li>Which agencies control access to potential permits, licenses, or leases related to a project or activity?</li> <li>What actions have these government bodies taken on similar projects in the past?</li> </ol>

## Permits, Licenses, and Other Permissions Required to Undertake Activities

Resources	Some Key Questions to Research
	<ol style="list-style-type: none"> <li>5. Who sits on these government bodies, and have they made official or private comments about similar projects or related issues?</li> <li>6. Will the project or activity's supply chain or waste life cycle require permits or licenses?</li> <li>7. What are the key decision points and moments of greatest influence (e.g., regulatory approvals)?</li> </ol>

## Mineral Rights and Regulation

Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>● Government departments (e.g., BLM, state environmental agencies) with jurisdiction over estate ownership or environmental regulation on public and private lands</li> <li>● Mineral tenure law and regulation (federal, state, or local)</li> <li>● Legislative base for consultation on mineral rights</li> <li>● Relevant mining permits database</li> </ul>	<p>What legal and regulatory instruments support the case for a CBA that advances environmental, economic, public health, and social well-being protections for local communities?</p>

## Energy Sources

Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>● Feasibility and environmental impact assessment studies</li> <li>● <a href="#">City energy research template questionnaire</a> (Sierra Club)</li> <li>● National Association of State Energy Planning (<a href="#">NASEO</a>)</li> </ul>	<ol style="list-style-type: none"> <li>1. Where will power come from?</li> <li>2. Is there sufficient transmission and excess power in the area to accommodate the project or activity?</li> <li>3. What subsidies could be available to underwrite the cost of accessing the power?</li> <li>4. Is there a way for community power to be used?</li> </ol>

## Transportation

Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>● Feasibility and environmental impact assessment studies</li> <li>● Local General Plans</li> <li>● Metropolitan transportation improvement programs</li> <li>● State transportation plans</li> <li>● Local and regional supply chain and logistics analyses</li> <li>● Blue Green Alliance’s <a href="#">“EV Jobs Hub”</a></li> <li>● Third Way’s <a href="#">“Mapping Our Clean Energy Future”</a></li> <li>● U.S. Department of Energy’s <a href="#">“Building America’s Clean Energy Future”</a></li> <li>● New Energy Nexus’s <a href="#">“Lithium Battery Supply Chains of North America”</a></li> </ul>	<ol style="list-style-type: none"> <li>1. Will new roads be required to access the project or activity?</li> <li>2. Are there special transportation considerations, such as the weight, height, and maneuverability of the transport or off-road vehicles?</li> <li>3. What are the likely routes in and out of the project site?</li> <li>4. Does the construction and operation of the project or activity require the coordination of multiple modes of transportation or transportation-related facilities, such as airports, railways, ports-of-entry, or seaports?</li> <li>5. Would any components or activities require special security clearances at the port-of-entry or interstate checkpoints?</li> <li>6. What type and carbon intensity of transport is used during the project's lifecycle?</li> <li>7. How many trucks per day or vehicle-miles traveled (VMT) will be required for construction and operation?</li> </ol>

## Emergency and Contingency Planning

Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>● Websites of local, state, and federal disaster preparedness and response agencies.</li> <li>● Feasibility and environmental impact assessment studies</li> <li>● Materials from trade associations and insurance companies</li> </ul>	<ol style="list-style-type: none"> <li>1. What chemicals and other potentially hazardous materials will be used and stored on site (e.g., cyanide or acid)? How many of them? What risks do they pose?</li> <li>2. How will hazardous or toxic materials be transported to, around, and away from the site?</li> <li>3. What regulatory bodies oversee the monitoring of these chemicals and hazardous materials?</li> <li>4. Is the project in a high fire hazard, flood zone, or</li> </ol>

<b>Emergency and Contingency Planning</b>	
Resources	Some Key Questions to Research
	<p>earthquake area? Are there special conditions or materials that need to be used to reduce the risk or mitigate the impact of an emergency?</p>

<b>Environmental Liabilities and Impacts</b>	
Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>● Feasibility and environmental impact assessment studies</li> <li>● Technical reviews of these assessment studies</li> <li>● Standards set by regulatory bodies or commonly accepted research</li> </ul>	<ol style="list-style-type: none"> <li>1. What might be impacted by the development (e.g., water, air, soil, animals, vegetation)?</li> <li>2. Are there critical habitats or special status species that may need to be protected from development?</li> <li>3. Is the project located in an area with already contaminated air, water, or soil?</li> <li>4. Are there existing air or water monitors serving the area?</li> <li>5. What mitigation measures might be proportional to the expected impacts?</li> </ol>

<b>Social, Cultural, and Economic Impacts</b>	
Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>● Feasibility and environmental impact assessment studies</li> <li>● Self-assessment</li> <li>● Government assessment</li> <li>● Community understanding or narratives of risks and impacts</li> <li>● Oral histories</li> <li>● Labor market and demand</li> <li>● Inventory of business capacity</li> <li>● Job skill profiles from the developer</li> </ul>	<ol style="list-style-type: none"> <li>1. What is the cultural and historic significance of the region, and what cultural and historic places or values might be impacted? (e.g., heritage sites, place names, sites of hunting, fishing, trapping, gathering, local or traditional ecological knowledge (TEK) use)</li> <li>2. What is important to the community to build or preserve?</li> <li>3. How will sectors in the community be impacted? Will the project degrade or make the area less attractive for other businesses or community uses, such as</li> </ol>

<b>Social, Cultural, and Economic Impacts</b>	
Resources	Some Key Questions to Research
	<p>tourism?</p> <ol style="list-style-type: none"> <li>4. What businesses might be developed? What business opportunities exist?</li> <li>5. How many people within the local community have the skills to gain employment or advance their careers due to the project?</li> <li>6. Do local schools currently support the development of the job skills needed to be employed at the new project?</li> <li>7. Will the project result in bringing in outside workers?</li> <li>8. Will taxation affect workers?</li> </ol>

<b>Indigenous and Treaty Rights Analysis</b>	
Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>● Indigenous leaders and elders</li> <li>● Tribal monitors</li> <li>● Legal advisors</li> <li>● Lands rights holders</li> <li>● Federal or state government staff with appropriate training and experience</li> <li>● Ethnographic studies</li> <li>● Archaeological surveys</li> <li>● Anthropologists or cultural resource managers who have established trust through extended fieldwork and advocacy</li> </ul>	<ol style="list-style-type: none"> <li>1. Has the company previously negotiated with Indigenous Peoples and local communities?</li> <li>2. Has the company or responsible regulatory bodies meaningfully engaged and/or obtained free, prior and informed consent?</li> <li>3. What ancestral territories, place names, material culture, cultural practices, physical remains, and legal rights do Tribal governments and Indigenous people have concerning the area?</li> <li>4. Do tribal governments and Indigenous Peoples have rights pending, unfulfilled, or violated?</li> </ol>

<b>International Standards</b>	
Resources	Some Key Questions to Research
<p>Guidelines and international standards that can be used to level set or apply pressure, including:</p> <ul style="list-style-type: none"> <li>● International Finance Corporation</li> <li>● World Bank Group</li> <li>● International Council on Mining and Metals</li> <li>● Initiative for Responsible Mining Assurance</li> <li>● Inter-American Commission on Human Rights</li> <li>● Commodity-specific international associations and trade groups</li> </ul>	<ol style="list-style-type: none"> <li>1. What is the best practice in guidelines, even if the company does not adhere to them?</li> <li>2. Can they be used to strengthen the community's position?</li> <li>3. Is the company in need of capital from financial institutions?</li> <li>4. How can these institutions and their standards be leveraged to deliver community benefits?</li> </ol>

<b>Closure and Reclamation Plans</b>	
Resources	Some Key Questions to Research
<ul style="list-style-type: none"> <li>● Feasibility and environmental impact assessment studies</li> <li>● Permit applications</li> </ul>	<ol style="list-style-type: none"> <li>1. What closure and reclamation plans exist?</li> <li>2. How do the plans incorporate mitigation?</li> <li>3. Do the plans incorporate reclamation bonds or sureties (used to guarantee the reclamation plan is completed as approved in the permit)?</li> <li>4. Who has the authority to determine if the closed facility has been properly cleaned.</li> <li>5. How could the community be informed and involved in the closure and reclamation plans from start to finish?</li> </ol>

**Source:** Questions and categories have been adapted from Table 3.1 (pp. 74-77), Gibson, G., & O’Faircheallaigh, C. (2015). IBA Community Toolkit: Negotiation and Implementation of Impact and Benefit Agreements. The Gordon Foundation.