



Fair Cobalt Alliance
L'Alliance du Cobalt Equitable

Results Measurement Framework

Measuring Impact

March 2023

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1. Objective of the Framework

Operationalising how we measure change

The purpose of this framework is to provide a clear and concise methodology for measuring and reporting results of FCA's work by:

- Developing results chains for FCA's strategic workstreams;
- Identifying indicators to show progress against work done under these workstreams;
- Elaborating proposed methodology for data collection.



2. The Theory of Change

& connecting the result chains

The Theory of Change (ToC) shows a broader overview of FCA's different strategies to bring long-term change to establish a supply of fair ASM cobalt from DRC. It shows how the different workstreams are interdependent and interconnected for achieving longer term impact. It shows the strategic outlook for FCA.

The ToC is supported by **individual results chains** which show the more detailed actions that will be undertaken by FCA and different partners under each workstream to achieve desired results.

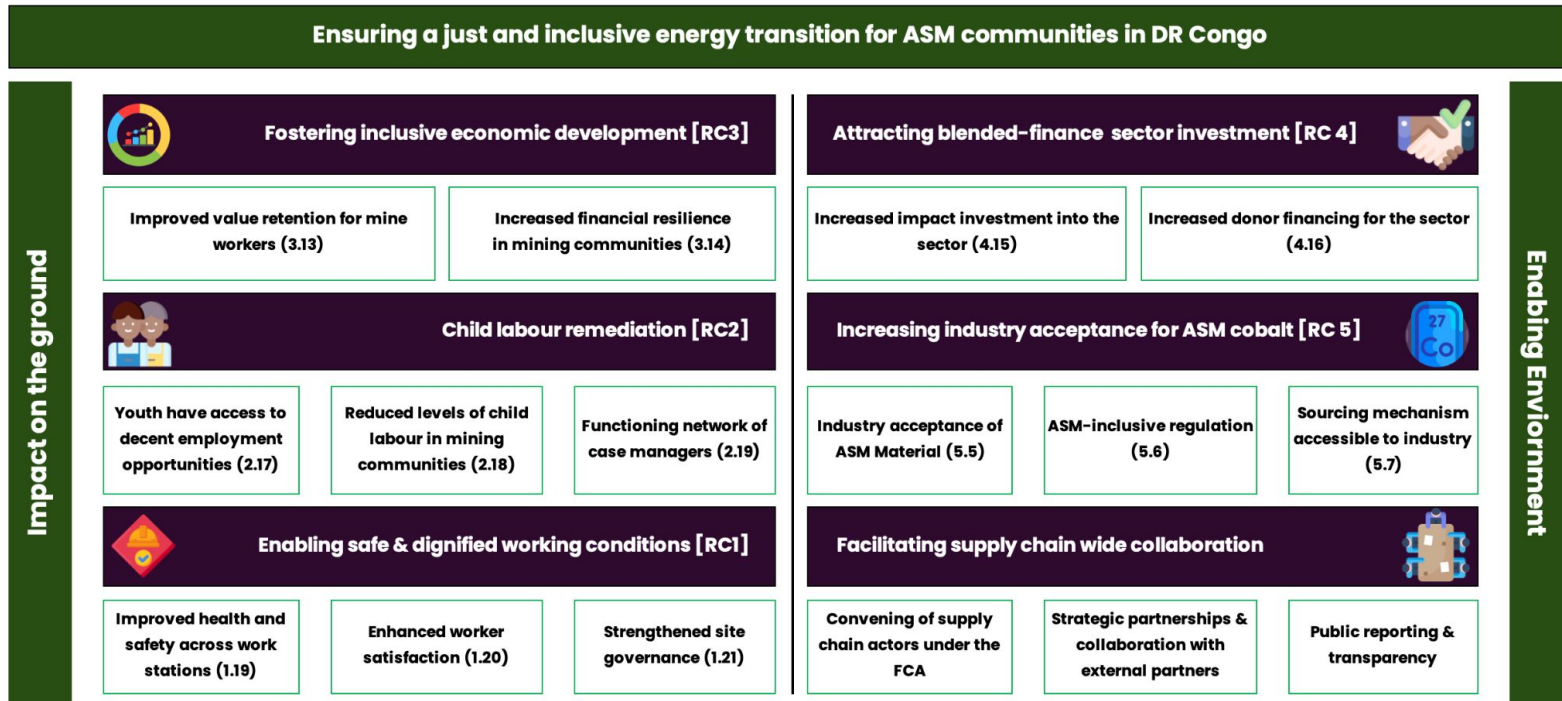
The results chains are more detailed and show the logical links between key activities and outputs, outcomes and impact. The results chains are thus used to identify metrics that will allow FCA to assess shorter- and longer-term impacts of specific activities.



2.1. The FCA's Theory of Change (ToC)

A holistic approach to achieving long term change

The FCA's Theory of Change (ToC) builds on the notion of a holistic approach to achieve lasting change. The below provides an overview of the various workstreams needed to achieve a professionalisation of the artisanal cobalt sector and ensuring a just and inclusive energy transition for local communities. An updated version of the full ToC will be finalised upon approval of the result chains. A version including a problem statement for each result chain can be found in **Annex 1 on slide 31**.



3. The Results Measurement Process

How it works

The results measurement process for FCA starts at developing results chains which show key activities under each workstream/work area and anticipated changes at output, outcome and impact level.

These results chains are supported with measurement plans which identify indicators that can help assess progress against each of the changes identified in the results chains. They further identify data collection tools (means of verification) and timelines when the data will be collected.

The FCA will collect data on each of the changes identified in the results chains by assessing the status of the metric identified for that change. This allows FCA to determine contribution of its work by checking for causation on whether the chain of changes are indeed happening as a result of FCA activities. So, working bottom-up from the results chains to check if activities happened and then whether subsequent changes happen as a result of those activities; i.e., whether one box leads to the next as articulated in the results chain.



3. The Results Measurement Process

..continued

Whenever possible and relevant, FCA will also try to establish a counterfactual scenario (aka what would have happened without FCA) by taking stakeholders' opinions, comparing before and after scenarios and even comparing against a control group if it is possible to identify one.

FCA will adopt a practical and pragmatic approach in conducting research. Instead of going for scientific rigour, FCA will use a robust methodology that should convince a reasonable but sceptical observer.

The data collected through the results measurement process will be used to assess progress of FCA's work and make management decisions based on what works and what does not work. The key quantitative metrics will be aggregated and used with the qualitative information to present the results of FCA's work.



4. Result Chains & Measurement Plans

An introduction

The slides following this introduction show the results chains and measurement plans that have been developed for **five strategic areas** of work for FCA.

It is important to note that these results chains and measurement plans are not static documents and need to be updated as strategies evolve further and activities are added, dropped or reformulated. It is suggested that these results chains and measurement plans are updated at least on an annual basis to ensure they capture on ground reality.

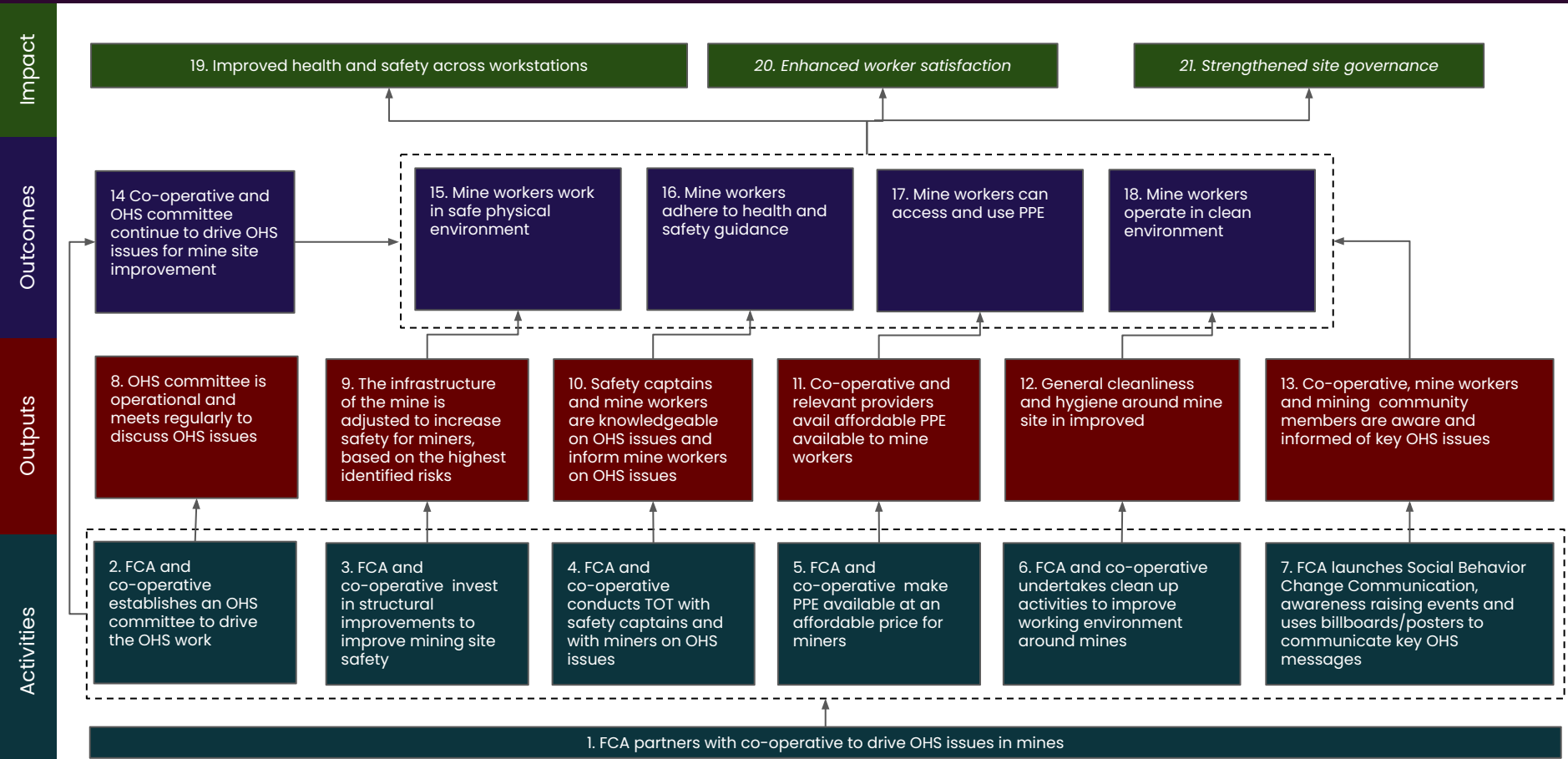
FCA's specific activities under each strategic area may vary between mine sites, depending on demand and capacity of key partners particularly for safe and dignified working conditions, child remediation and increasing income of mine workers. So, all the key activities that are represented in results chains 1 to 3 may not apply to each mine. Hence, when measuring results of a specific mine, FCA will first check which activities have been undertaken and then assess the related outputs, outcomes and impact that correspond to those.





Result Chain 1

Enabling safe and dignified working conditions



Measurement Plan Result Chain 1

Enabling safe and dignified working conditions

#	Change	Indicator	MoV	Timeline
Impact Indicators				
20	Enhanced worker satisfaction	Improved perception of health and well being	Perception Survey	Annually
19	Improved health and safety across workstations	Reduction in the number of accidents at mine site and during transport	SAEMAPE/ cooperative records	Annually
		Reduction in the number of deaths at mine site and during transport		
		Increased perception of safety (if the former two are not possible)	Perception survey	
Outcome Indicators				
18	Mine workers work in clean environment	# of mine workers working in clean environment	Co-operative records	Annually
17	Mine workers purchase and use PPE	# of miner workers using PPE	Observation/Survey	Annually
16	Mine workers adhere to health and safety guidance	Improved OHS behavior among mine workers	Monthly Prod. Data	Annually
15	Mine workers work in safe physical environment	# of workers working in safe environment	Co-operative records	Annually
14	Co-operative and OHS committee continue to drive OHS issues for mine site improvement	Actionable plans for mine site improvement developed by co-operative and OHS committee (sustainability indicator)	In-depth interviews	Two years after starting work

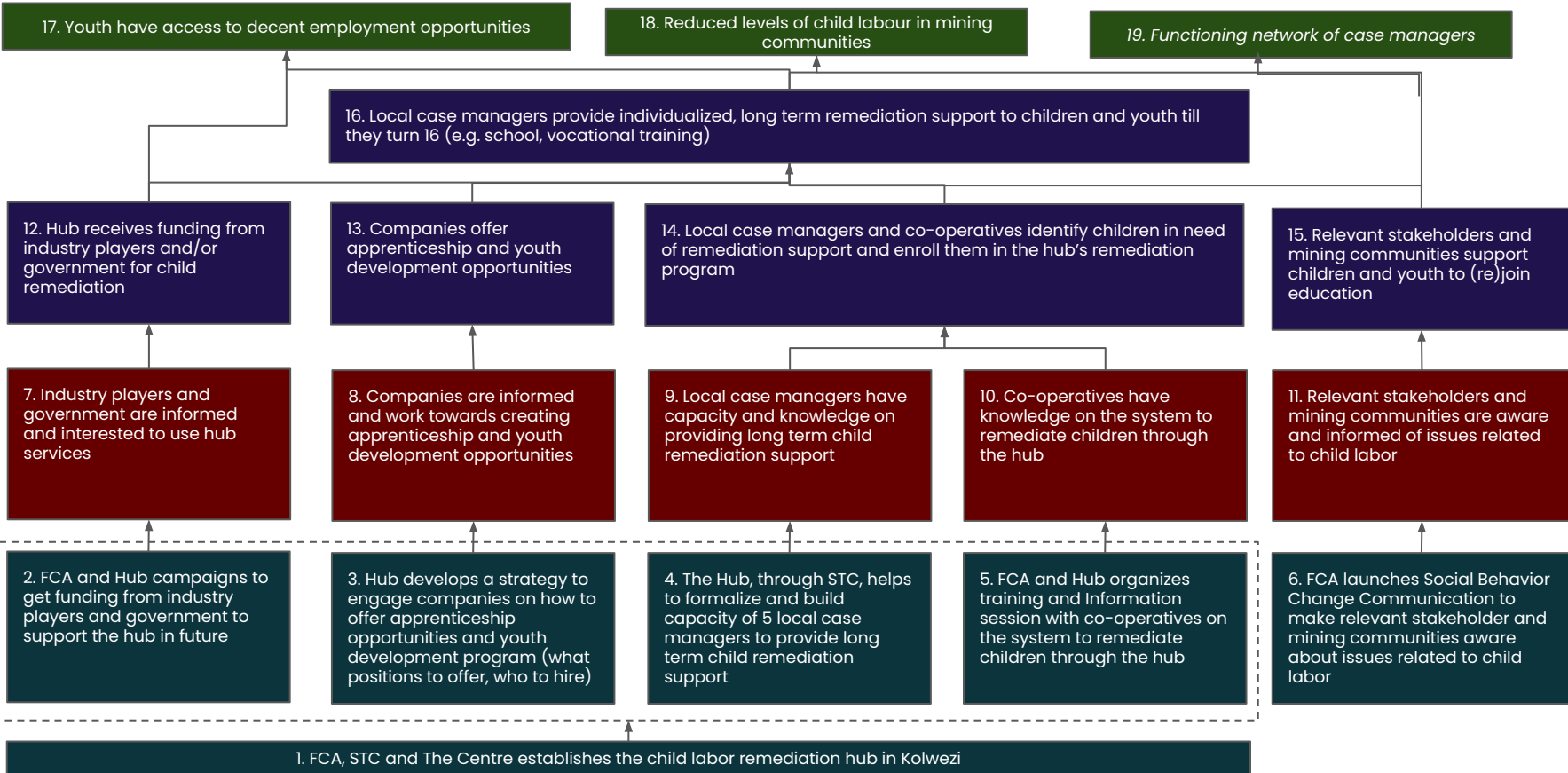
#	Change	Indicator	MoV	Timeline
Output Indicators				
13	Co-operative, mine workers and mining community members are aware and informed of key OHS issues	# and % of stakeholders informed about key OHS issues (disaggregated by stakeholder type)	Survey	Once a year (depending on frequency of activities)
		Channel (FCA or external) through which different stakeholders validate they receive information		
		Satisfaction with information received		
12	General cleanliness and hygiene around mine site in improved	Increased cleanliness and hygiene around mine sites	Observation to check if key improvements supported through FCA is followed	After project activities
11	Co-operative and relevant providers avail affordable PPE available to mine workers	Number of workers who buy or get PPE Price of PPE (to check for affordability)	Co-operative data	After completion of every round of activities where PPE is provided
10	Safety captains and mine workers are knowledgeable on OHS issues and inform mine workers on OHS issues	See Output indicator 13.		
9	The infrastructure of the mine is adjusted to increase safety for miners, based on the highest identified risks	Key infrastructural changes made	In-depth interview with a knowledge matter expert who helped in design or is informed of this	After completion of every round of activities where infrastructure is adjusted to improve safety
		Confirmation on potential safety implications		
8	OHS committee is operational and meets regularly to discuss OHS issues	OHS committee is established as a separate entity	In-depth interview with a key (or more) OHS personnel	After OHS committee is formed
		Key tasks or mandates of OHS committee		



Result Chain 2

Child labor remediation

Impact
Outcomes
Outputs
Activities



Measurement Plan Result Chain 2

Child labor remediation

#	Change	Indicator	MoV	Timeline
Impact Indicators				
18	Reduced levels of child labour in mining communities	% reduction in child labor in selected communities	Before and after qualitative research	Baseline + after five years
		Reasons for change in child labor as validated by communities		
		If the above two indicators are too expensive to research, use proxies:		
		# and % of children and youth who successfully complete full child remediation program	Data from the Hub	
		Communities perception on child labor and trade-offs they need to make (If former two are not possible)	Qualitative interviews with communities	
17	Youth have access to decent employment opportunities	# of youth who get placed in employment/apprenticeship opportunities through hub and companies engaged by FCA	Data from hub and partnering companies	Annually

#	Change	Indicator	MoV	Timeline
Outcome Indicators				
16	Local case managers provide individualized, long term remediation support to children and youth till they turn 16 (e.g. school, vocational training)	Total # of children and youth placed in long term remediation support (disaggregated by remediation support provided. E.g. by education type, accommodation provision, other services)	Data from the Hub	Annually
		Community feedback on child remediation hub	FGDs with communities	
15	Relevant stakeholders and mining communities support children and youth to (re)join education	# of children and youth identified and referred to the hub (disaggregated by referees such as case managers, communities and co-operative)	Data from the Hub	Annually
14	Local case managers and co-operatives identify children in need of remediation support and enroll them in the hub's remediation program	A more focused indicator can also be defined for 15, once FCA is clear on specific activities for SBCC work		
13	Companies offer apprenticeship and youth development opportunities	# of companies offering apprenticeship and youth development opportunities	Data from the Hub	Annually
		The type of opportunities that are created	In-depth interviews with companies identified during measurement of output indicator 8	
		# of vacancies/spots that are created		
12	Hub receives funding from industry players and/or government for child remediation	Total # of actors providing financial or in-kind support to hub (disaggregated by stakeholder type)	Data from the Hub	Annually
		Total fund generated per year		

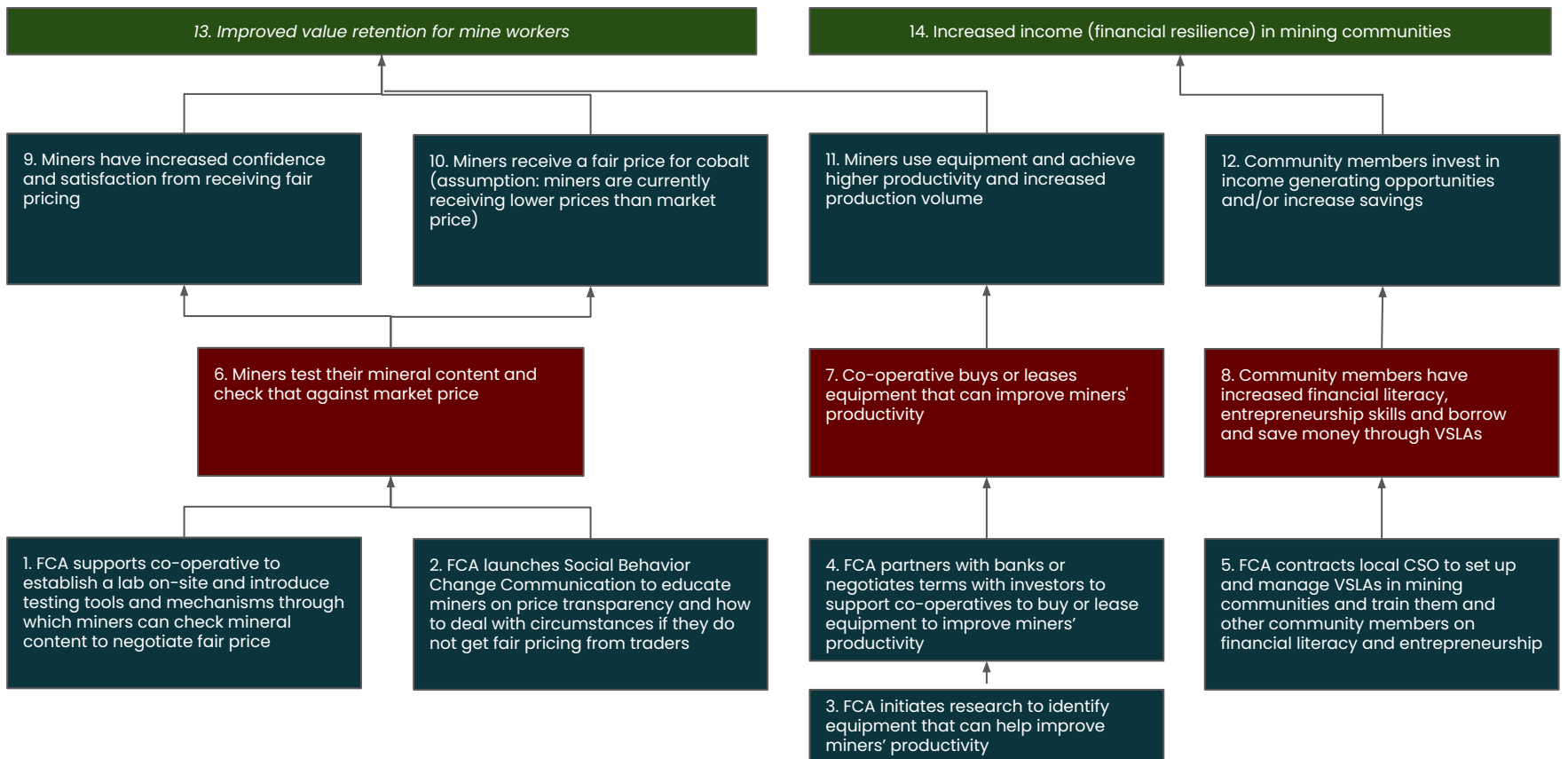
#	Change	Indicator	MoV	Timeline
Output Indicators				
11	Relevant stakeholders and mining communities are aware and informed of issues related to child labour	# and % of stakeholders informed about key issues related to child labor (disaggregated by stakeholder type)	Survey	Once a year (depending on frequency of activities)
		Channel (FCA or external) through which different stakeholders validate they receive information		
10	Co-operatives have knowledge on the system to remediate children through the Hub	Co-operatives and relevant staff (guards, transporters) are informed about appropriate procedures to follow when they come across child labor	In-depth interviews	Once a year (depending on frequency of activities)
9	Local case managers have capacity and knowledge on providing long term child remediation support	# of case managers who start providing long term remediation support	In-depth interview with the Hub	Annually
		Type and quality of remediation support provided		
8	Companies are informed and work towards creating apprenticeship and youth development opportunities	# and type of companies who confirm interest to create apprenticeship and youth development opportunities	In-depth interview with companies who were reached through activity 3	Annually
7	Industry players and government are informed and interested to use Hub services	Type of industry players and government who confirm interest to use the Hub	In-depth interview with the Hub and companies who were reached through activity 2	



Result Chain 3

Fostering inclusive economic development

Impact
Outcomes
Outputs
Activities



Measurement Plan Result Chain 3

Fostering inclusive economic development

#	Change	Indicator	MoV	Timeline
Impact Indicators				
14	Increased income (financial resilience) in mining communities	# of people with additional income	In-depth interviews and validation survey	Every year if done internally
		Additional income generated by calculating one or more of the following:		
		Additional revenue generated through receiving better price for cobalt		
		Additional revenue generated through diversifying income		
		Increase in saving	Before and after survey	Every 3 to 4 years
		If additional income is difficult as suggested above is difficult to measure, use a proxy measure such as:		
		Poverty Probability Index (PPI) Data is available for DRC, but scorecard needs to be made		
		Simple Poverty Scorecards		
Coping Strategy Index				

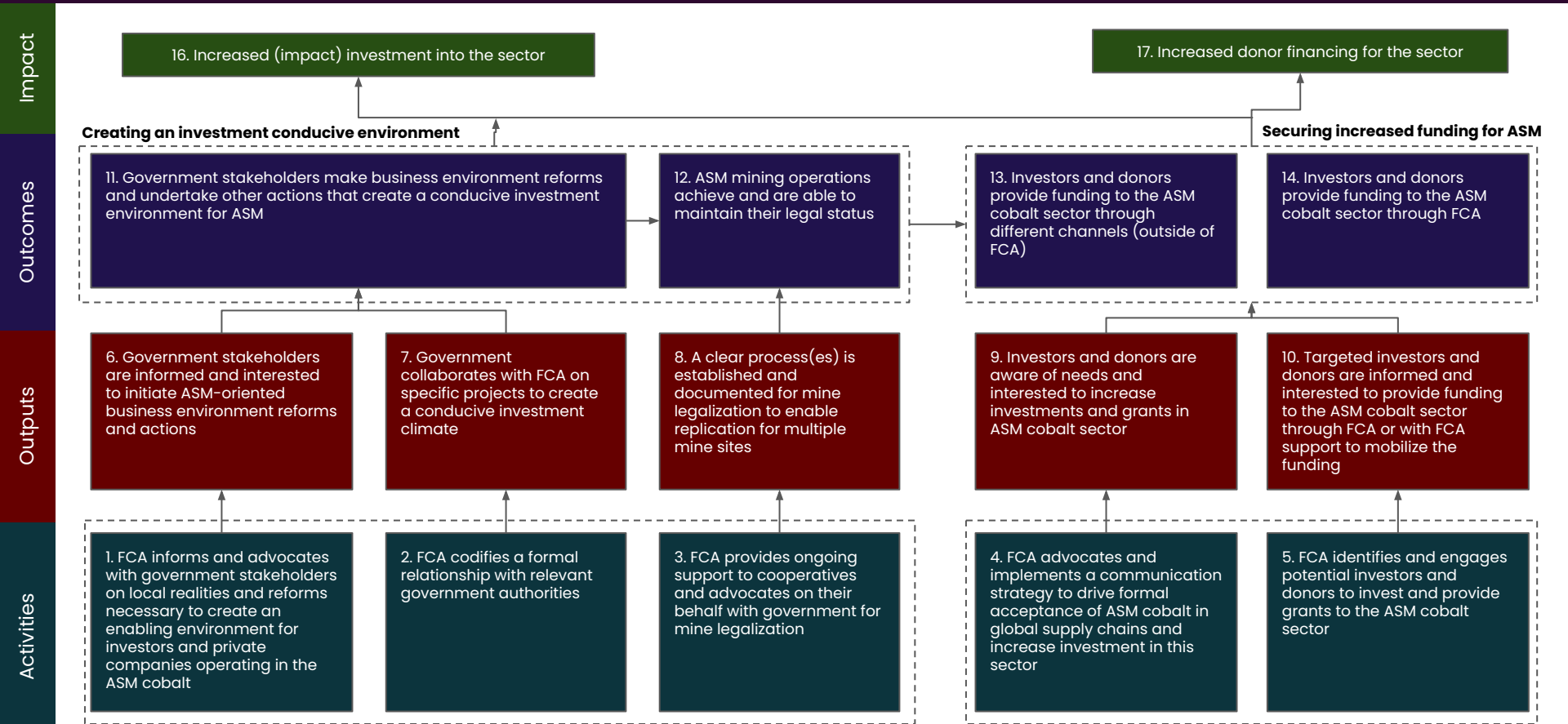
#	Change	Indicator	MoV	Timeline
Impact Indicators				
13	Improved value retention for mine workers (increased trading transparency)	Fair pricing mechanism established through FCA's work (e.g. spares to calculate mineral content, increased availability and access to pricing information)	Observation and stakeholder verification	After such a mechanism is established
Outcome Indicators				
12	Community members invest in income generating opportunities and/or increase savings	# of people who diversify income source (e.g. through entrepreneurship) or make investments (e.g. purchasing an asset) that can increase income	Survey of people reached through activity 5	Annually
		# of people who start saving more through VSLAs		
11	Miners use equipment and achieve higher productivity and increased production volume	Number of mine workers who have increased productivity and increased production volume	Survey	Annually
		Additional productivity		
10	Miners receive higher price for cobalt	# and % of workers who get better price for cobalt	Co-operative data and validation survey with miners	Annually
		Additional price received		
9	Miners have increased confidence and satisfaction from receiving fair pricing	Miners increased satisfaction with prices received	Before and after survey	Annually

#	Change	Indicator	MoV	Timeline
Output Indicators				
8	Community members have increased financial literacy, entrepreneurship skills and borrow and save money through VSLAs	# of community members who have increased literacy or entrepreneurship skills	Before and after survey to check against training content covered through activity 5	Annually
		# of active VSLA members	VSLA data	
7	Co-operative buys or leases equipment that can improve miners' productivity	Type of equipment bought or leased	Co-operative data	Every time a new machinery is bought or leased
		Potential effect on productivity		
6	Miners test their mineral content and check that against market price	# of miners who test mineral content	Co-operative data	Annually after such a mechanism is introduced



Result Chain 4

Attracting blended-finance sector investment



Measurement Plan Result Chain 4

Attracting blended-finance sector investment

#	Change	Indicator	MoV	Timeline
Impact Indicators				
15 / 16	Increased (impact) investment into the sector Increased donor financing for the sector	List and type of stakeholders investing in ASM cobalt sector	FCA internal tracking	Annually
Outcome Indicators				
14	Investors and donors provide funding to the ASM cobalt sector through FCA	Number of investors and donors (disaggregated by type) who provide funding to the ASM cobalt sector through FCA	FCA internal tracking	Annually
		Additional funds generated		
		Purpose of funds		
13	Investors and donors provide funding to the ASM cobalt sector through different channels (outside of FCA)	Number of investors and donors (disaggregated by type) who provide funding to the ASM cobalt sector	FCA internal tracking	Annually
		Additional fund generated		
		Purpose of funds		

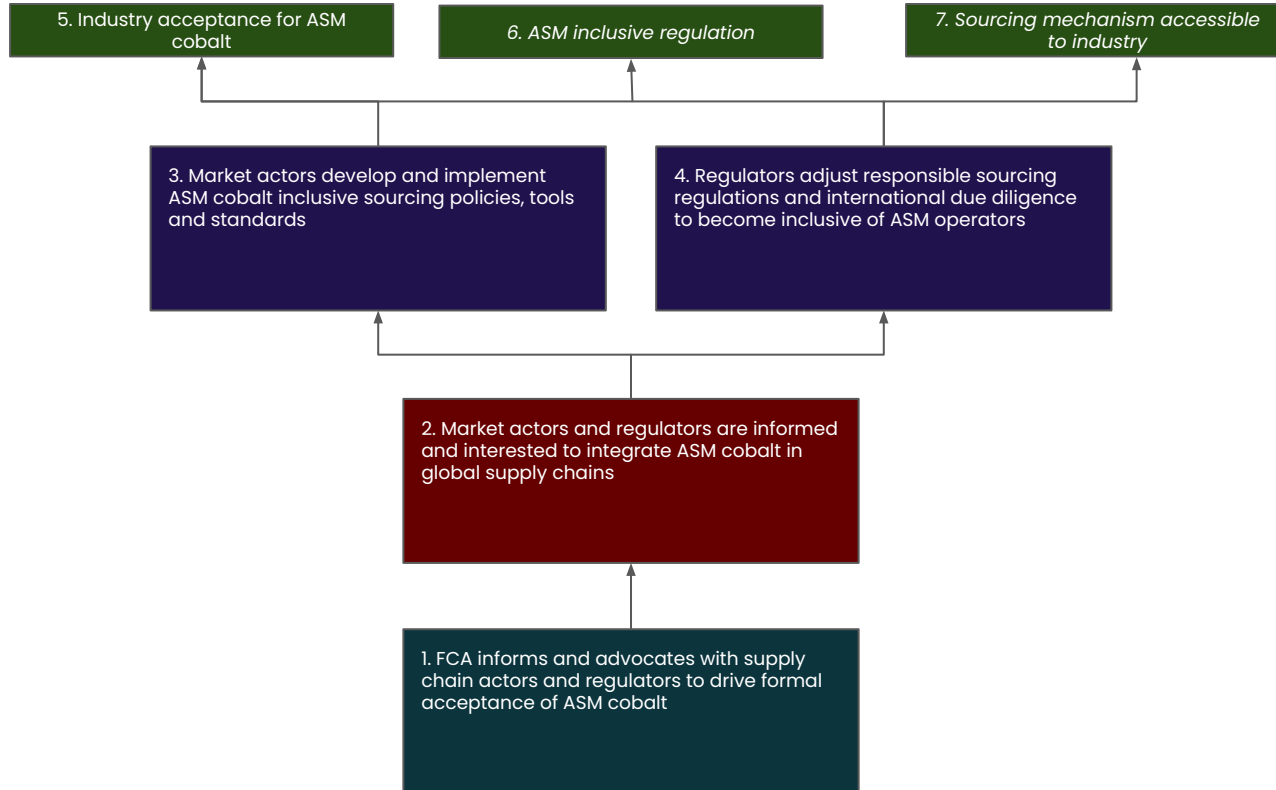
#	Change	Indicator	MoV	Timeline
Outcome Indicators				
12	ASM mining operations achieve and are able to maintain their legal status	ASM mining operations is legalized and remain so	Co-operatives and FCA internal tracking	After legalization and check every 3 years
		Legal status		
11	Government stakeholders make business environment reforms and undertake other actions that create a conducive investment environment for ASM	Type of reforms introduced and action taken in support of a conducive investment environment for ASM	FCA internal tracking	Annually
Output Indicators				
10	Targeted investors and donors are informed and interested to provide funding to the ASM cobalt sector through FCA or with FCA support to mobilize the funding	List of investors and donors who pledge or show interest to provide funding to the ASM cobalt through FCA, with FCA support or outside FCA	FCA internal tracking	Annually
9	Investors and donors are aware of needs and interested to increase investments and grants in ASM cobalt sector			
8	A clear process(es) is established and documented for mine legalization to enable replication for multiple mine sites	The process(es) established to legalize mine sites	Consultation with relevant stakeholders	After the process is established
7	Government collaborates with FCA on specific projects to create a conducive investment climate	Type of collaborations made between FCA and government to create a conducive investment climate	FCA internal tracking	Annually
6	Government stakeholders are informed and interested to initiate ASM-oriented business environment reforms and actions	Type of government stakeholders who pledge or show interest to initiate ASM-oriented business environment reforms and actions	FCA internal tracking	Annually
		Type of reforms or actions suggested		



Result Chain 5

Increasing industry acceptance for ASM cobalt

Impact
Outcomes
Outputs
Activities



Measurement Plan Result Chain 5

Increasing industry acceptance for ASM cobalt

#	Change	Indicator	MoV	Timeline
Impact Indicators				
7	Sourcing mechanism accessible to industry	Volume and quantity and number of actors involved in transactions purchasing from responsible ASM sites	FCA internal tracking	Annually
6	ASM inclusive regulation	Qualitative review of changes in regulation with impact on global sourcing behaviour, including but not limited to EU (member states) and the US.	FCA internal tracking	Annually
5	Industry acceptance for ASM cobalt	Increased sourcing of ASM cobalt from DRC	FCA internal tracking	Annually
Outcome Indicators				
4	Regulators adjust responsible sourcing regulations and international due diligence to become inclusive of ASM operators	Type of adjustment made to sourcing regulations and international due diligence to become inclusive of ASM operators	FCA internal tracking	Annually
		Potential effects of such adjustments		
3	Market actors develop and implement ASM cobalt inclusive sourcing policies, tools and standards	The type of ASM cobalt inclusive sourcing policies, tools and standards developed	FCA internal tracking	Annually
Output Indicators				
3	Market actors and regulators are informed and interested to integrate ASM cobalt in global supply chains	List of market actors and regulators (disaggregated by type) who pledge or show interest to integrate ASM cobalt in their supply chain	FCA internal tracking	Annually

5. Research Methodology

Measurement at mine level vs. sector-level

The results measurement for workstreams 1 to 3 will be conducted separately for each mine that FCA works with unless some activities are done in combination for more than one mine.

For example, for workstream 2 on child remediation, the work with the local case managers might need to be assessed separately for each mine as FCA might partner with different case managers in each case. However, the work on fundraising for the Hub does not need to be measured separately under each mine but needs to be assessed at a broader level.

The results measurement for workstreams 4 and 5 applies to the sector level work done by FCA, so will need to be assessed at that level. For example, for workstream 5, assessing whether FCA contributes towards increasing overall industry acceptance of ASM cobalt.



5.1. Measurement at mine level

Introduction

As explained before, FCA will take a practical and pragmatic approach in results measurement. This means doing in-house monitoring to check for early signs of impact and doing validation surveys where and when applicable to create a more robust data set. In general, the following principles can be applied to measuring impact at mine level:

1. Baselines: Whenever possible, FCA will aim to collect baseline data against key variables before FCA starts activities or immediately after it starts, before change happens. For example, under workstream 1, find out the status of infrastructure that affects workers' safety, people's knowledge on OHS issues, cleanliness and hygiene around mine sites, usage of PPE prior to FCA starting its work in these areas. If this is not available for some reason, FCA will try to establish this baseline retrospectively. For example, by checking how often people say they wore PPEs in the past, or their perception of cleanliness at mine sites before FCA activities.



5.1. Measurement at mine level (continued)

2. Early monitoring: In the first measurement cycle, FCA will rely on more in-house monitoring to check what change is taking place. The purpose of such monitoring will be to check if changes are happening as initially anticipated, why such change is happening and the extent of the change.

For example, under workstream 3 on increasing incomes of mining communities, if spares are introduced for checking mineral content, first visiting some workers who use such spares at site and observing how they are used, whether it leads to any price differences.

Such early monitoring can help inform FCA on what is working and what not and allow it to also take remedial actions. It would also help FCA to determine where it should spend more resources on data collection. For example, in the above scenario, if FCA observes that using spares doesn't lead to any price differences, then it is not efficient to spend money on a bigger survey to validate this any further. For such early monitoring FCA will also rely on local partners to gather early intel.



5.1. Measurement at mine level (continued)

3. Validation: In cases where FCA sees that early monitoring indicates substantive change, follow up with bigger validation surveys to check for impact is recommended.

For example, under workstream 1, if early monitoring shows that many workers are using PPE and following safe OHS behavior as introduced by FCA, then designing a follow up survey to validate this makes sense. Such follow ups can also be commissioned through enumerators or local research firms if available and feasible.

However, if commissioned externally, it is important that FCA helps in developing easy-to-use questionnaires that can be executed by external parties. For example, using the above case, listing 5 key OHS behavior changes advocated through FCA and giving multiple options for answers.



5.1. Measurement at mine level (continued)

4. Sampling: During early monitoring, FCA will rely on small samples and try to triangulate findings by checking through different sources to build a clear picture of how change is happening, why or why not and to what extent.

For validation surveys, FCA will try to get a sample that is as representative as possible by doing cluster sampling, which splits the population up into groups, or 'clusters' such as different communities, or different geographies. This can be done by using a Lot Quality Assurance Sample. Alternatively, the sample size itself can be determined using a sample size calculator such as Raosoft which can suggest options for sample sizes, depending on accuracy chosen by the program.

For example, entering the population size and calculating a sample that could give 95% confidence level and 5% margin of error.



5.2. Measurement at sector level

For workstreams 4 and 5, where FCA will be working to create sector level change, the measurement will be reliant on internal tracking of changes and trying to validate why that takes place.

It is important to acknowledge that overall sector level change often happens because of multiple factors and actors such as political environment, industry trends, influence of multiple programs and sector players. Thus, when assessing sector level change, FCA will try to examine three factors to check link between FCA activities and related changes:

1. Checking timelines to track if there are relations between key changes and when FCA takes certain actions. For example, if FCA introduces a method of mine legalization which gets adopted immediately in more mines than FCA directly works, it could claim that FCA's work had a bigger impact on this.
2. Validating causality by checking stakeholder opinions. For example, if different investors start investing in ASM cobalt mining in DRC, checking for recognition of FCA among different stakeholder whether FCA is acknowledged as a key player by them.



Annex 1: Overview of result chains, impacts and problem statements

Impact on the ground

Ensuring a just and inclusive energy transition for ASM communities in DR Congo

Fostering inclusive economic development [RC3]

Improved value retention for mine workers (3.13)

Increased financial resilience in mining communities (3.14)

Local communities rely heavily on artisanal mining as their main source of income. Mine workers are generally unsatisfied with the way cobalt is traded, not trusting the accuracy of the payment they receive.

Child labour remediation [RC2]

Youth have access to decent employment opportunities (2.17)

Reduced levels of child labour in mining communities (2.18)

Functioning network of case managers (2.19)

The artisanal cobalt sector is strongly associated with child and youth labour, systemic to the region across sector. To protect children's rights, long-term remediation is required. Local civil society lacks the means and technical capacity to provide offer the necessary support

Enabling safe & dignified working conditions [RC1]

Improved health and safety across work stations (1.19)

Enhanced worker satisfaction (1.20)

Strengthened site governance (1.21)

The artisanal cobalt sector operates largely informally, often under hazardous conditions, putting the health and safety of men and women working in the mines at risk. Strong management systems, safer infrastructure and meaningful worker engagement are needed to ensure lasting improvements of working conditions.

Attracting blended-finance sector investment [RC 4]

Increased impact investment into the sector (4.15)

Increased donor financing for the sector (4.16)

The artisanal cobalt sector is excluded from service provision by the formal financial sector. Grants and investment do not match the size of the sector and the development opportunity at hand.

Increasing industry acceptance for ASM cobalt [RC 5]

Industry acceptance of ASM Material (5.5)

ASM-inclusive regulation (5.6)

Sourcing mechanism accessible to industry (5.7)

In a response to growing regulatory pressures to ensure ethical supply chains and increased scrutiny by media and NGOs, many companies have taken to disassociate from the artisanal cobalt sector. Industry-wide acceptance and proactive sourcing efforts are needed to ensure a professionalisation of the sector.

Facilitating supply chain wide collaboration

Convening of supply chain actors under the FCA

Strategic partnerships & collaboration with external partners

Public reporting & transparency

To meaningfully address issues associated with artisanal cobalt production, sector-wide engagement by actors from across the supply chain is required. A pooling of financial resources and expertise and constructive and pro-active exchanges between private sector, government and development actors are needed to ensure a pre-competitive environment that ensures that as many people as possible can be supported with the limited resources available.

Enabling Environment

A photograph of a mining site. In the foreground, a person wearing a green jacket, a green head covering, and dark boots stands next to a black bicycle with a rear cargo rack. They are positioned next to several large, white, cylindrical sacks, likely containing minerals. In the background, there are more sacks, a person standing further away, and a large, reddish-brown structure made of plastic or fabric. The background features a large, eroded hillside under a clear blue sky.

Thank you.

Contact us at:

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The Fair Cobalt Alliance is managed by The Impact Facility serving as its permanent Secretariat.

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