



01

MAP THE MINING AWARDS PROCESS AND CONTEXT

STEP 1
DEFINE THE SCOPE



STEP 2
MAP THE AWARDS PROCESS AND PRACTICE



STEP 2A
IDENTIFY VULNERABILITIES TO CORRUPTION IN THE PROCESS AND PRACTICE



STEP 3
ANALYSE THE AWARDS PROCESS



STEP 3A
IDENTIFY VULNERABILITIES TO CORRUPTION IN THE AWARDS CONTEXT

02

ASSESS THE CORRUPTION RISKS

STEP 4
IDENTIFY CORRUPTION RISKS RESULTING FROM THE VULNERABILITIES



STEP 5
ANALYSE EVIDENCE ABOUT THE LIKELIHOOD AND IMPACT OF EACH RISK



STEP 6
SCORE THE LIKELIHOOD AND IMPACT OF THE RISK



STEP 7
VALIDATE THE RISK ASSESSMENT RESULTS

03

COMMUNICATE THE FINDINGS

STEP 8
PRIORITISE THE CORRUPTION RISKS FOR ACTION



STEP 9
WRITE A CORRUPTION RISK ASSESSMENT REPORT

MINING AWARDS CORRUPTION RISK ASSESSMENT TOOL



Change starts by asking these questions

POLITICAL & ADMINISTRATIVE CONTEXT

→ Who benefits from mining approval decisions?

LAND ALLOCATION AND PLANNING

→ How ethical and fair is the process for opening land to mining?

LICENSING PROCESS

→ How fair and transparent is the licensing process?

LICENSING PROCESS: INTEGRITY SCREENING

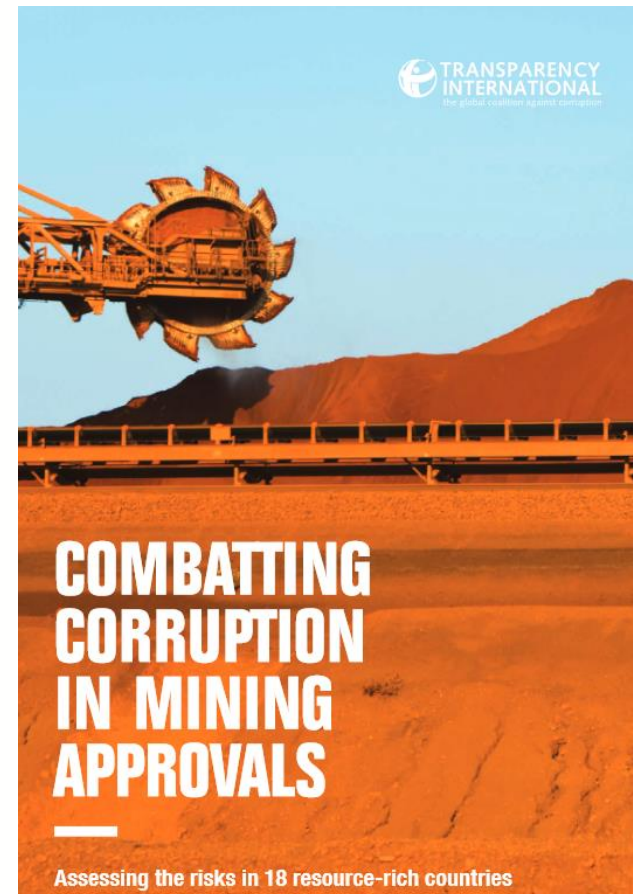
→ Who gets the right to mine?

ENVIRONMENTAL AND SOCIAL IMPACT ASSESSMENT

→ How accountable are companies for their environmental and social impacts?

COMMUNITY CONSULTATION & ENGAGEMENT

→ How meaningful is community consultation?



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Corruption risk hotspots



Political and administrative context	Land allocation and planning	Licensing process
Who benefits from mining approval decisions?	How ethical and fair is the process for opening land to mining?	How fair and transparent is the licensing process?
Corruption is more likely when: <ul style="list-style-type: none">• Controls on revolving doors are inadequate• Regulations on political donation and lobbying are weak• The real owners or beneficiaries of licence applicants are not disclosed	Corruption is more likely when: <ul style="list-style-type: none">• Land rights are poorly protected and not properly registered• Rules and criteria for opening land are not clear or transparent	Corruption is more likely when: <ul style="list-style-type: none">• Steps and decision-making criteria in the process are unclear• Information in the licence register is missing or not publicly available• The licence authority is under-resourced

Corruption risk hotspots



Licensing process: Integrity screening	Environmental and social impact assessment	Community consultation and engagement
Who gets the right to mine?	How accountable are companies for their environmental and social impacts?	How meaningful is community consultation?
Corruption is more likely when: <ul style="list-style-type: none">• Due diligence on licence applicants is inadequate• Controls on licence stockpiling are weak• Regulation and disclosure of licence transfers is ineffective	Corruption is more likely when: <ul style="list-style-type: none">• Verification of ESIA's is inadequate• Accountability of approval decisions is low• Enforcement of licence conditions are weak	Corruption is more likely when: <ul style="list-style-type: none">• Rules for consultation are not clear• Consultation only occurs with local elites• Agreements are not publicly available