

PREDICT

Principles of good mining checklist



Power



Responsibility



Engagement



Dynamism



Independence



Co-Creation



Transparency



PREDICT

Principles of good mining checklist

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Disclaimer: This tool is based on empirical research which sought to understand the multiple stakeholder perspectives shaping the social and political environment of contemporary and future mining. This research (Project P4-010) was funded by the Cooperative Research Centre for Optimising Resource Extraction (CRC ORE).

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As a Queensland University of Technology (QUT) based research team, we acknowledge the Turrbal and Yugara, as the First Nations owners of the lands where QUT now stands. We pay our respects to their Elders past, present and future, and acknowledge that these lands have always been places of research.

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MAKE

future

OUR

better

NOW!

CONTEXT

Social Licence to Operate (SLO) encompasses the broad socio-political understanding on the part of multiple stakeholders that a mining operation's social and environmental impacts and measures are legitimate and acceptable.

The multiple and variously interacting stakeholder groups—local communities, environmental actors, Indigenous communities, regulators, local governments, industry peak bodies, financiers, affiliated businesses—have the proven capacity to confer and/or disrupt a mining operation's SLO.

The presence or absence of a SLO can have significant consequences not only for stakeholder groups, including the mining operation, but also for the shared development of a good mining future. Conceptualisation of what is 'good mining' is central to future planning and decisions around development, adoption and reception of new technologies and sustainable mining futures.

CHECKLIST PURPOSE

This first of its kind tool seeks to facilitate genuine multi-stakeholder interactions and development of a dynamic shared SLO to advance good mining.

DEVELOPING THE PREDICT TOOL

PREDICT has emerged from the findings of a research project exploring the complexity of the political, social, and legal licences involved in contemporary mining in Australia (CRC ORE: PP4-010; see www.extractivestakeholder.com for more information).

The research team's multi-perspectival analysis of the SLO socio-political landscape involved desktop review of publicly documented stakeholder views around a specific, highly debated mining operation, and over 40 in-depth interviews with participants from a range of involved stakeholder groups— including industry experts, central Queensland residents in mining-affected communities, government actors in areas related to mining, and environmental activists with a range of perspectives and scales of operation. Interviewee perspectives on stakeholder engagement and interaction, and what constitutes good mining, are synthesised to form the basis of PREDICT.

PREDICT principles synthesise and reflect the insights offered by the diversity of our experienced stakeholder research participants.



WHY USE PREDICT?

Insights from our research participants, articulated across the spectrum of stakeholder categories, emphasise the risks to SLO—including increased risk of delayed and contested approvals and loss of reputation and legitimacy—when the socio-political stakeholder landscape and interactions around a mining project are characterised by lack of authentic engagement, misinformation, fragmented debate, and pejorative stakeholder stereotypes.

Conversely, participants emphasise the importance of seeking shared agendas, goals and values—as well as sharing problems and decision-making—among stakeholder groups, including mining companies, in achieving an authentic SLO and good mining: efficient, innovative, socially-accepted and co-created for greatest possible shared, public benefit.

Recognising and including a multitude of voices and perspectives makes for decisions that are beneficial for a broader cross-section of the community and can lead to a greater net positive impact.

USING PREDICT

Review the explanation of each principle and answer honestly the subset of questions. These predict what could or should be done to achieve a genuine SLO and creation of good mining.

! IMPORTANT NOTES:

Each principle of the assessment checklist is important when it comes to good mining: the more principles that are integrated into evaluation of stakeholder interactions around a given mining operation, the better.

Subsets of indicative questions are aligned with each principle.

Some questions are more directly relevant to industry and government actors for example. However, the overall set of questions can be used to facilitate both self-evaluation of stakeholder engagement and evaluation by other stakeholder groups with which engagement is sought or underway.

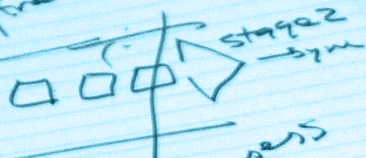
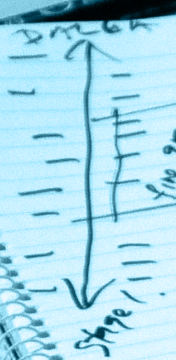
Some questions may be confronting and/or uncomfortable, for example around sharing power, working with uncertainty, and recognising the legitimacy of opposing views.

A person is shown from the chest up, wearing a light-colored shirt, writing on a notepad with a pen. The image is overlaid with a blue tint. The text "PREDICT PRINCIPLES OF GOOD MINING CHECKLIST" is written in white, bold, uppercase letters in the bottom left corner.

PREDICT PRINCIPLES OF GOOD MINING CHECKLIST



eco-free zone.



100 New Businesses
Welcome
~~100~~ New.

Nothing yet planned.
No PERMIT R



OF
EVENT IS
URBAN SURVIVAL
OF OLD VEHICLES
TO HELP DRIVE
CONCRETE IN
POLO FACTORY ETC.

KEY
HOW DO YOU
GRAB THE
EMBEDDED ENERGY
HOW CAN YOU BUILD
INTO LANDSCAPE...

WATER: WATER
SUCKING PUMPERS
OF WATER/CLEAN
-ING + USING
LANDSCAPE
INSTRUMENTS



POWER

In the context of SLO, power refers to levels of influence and access to resources (e.g. funds, time, expertise, information, networks, access to communication channels, and so on) that a given actor has in a specific situation. That is, power flows to and can be wielded by diverse actors according to context to promote or challenge a SLO.

In contemporary mining in Australia, mining companies, and government actors and departments, often have far greater influence (and resources) than other stakeholder actors.

At the same time, in terms of influence over public perceptions, a more diverse range of stakeholders can exert considerable influence. As a result, stakeholder groups can decentre the mining operation as the driving or primary stakeholder in securing SLO. Adopting an actor-network perspective to understand relationships amongst stakeholders may assist with understanding the ebbs and flows of power in stakeholder interactions.

Power in good mining is also about actively ameliorating the power imbalances that often exist between extractive organisations and diverse mining stakeholders, particularly Traditional Owners, and local communities.

Other resources

- FAO. (2016). Free Prior and Informed Consent: An indigenous peoples' right and a good practice for local communities (Manual for Project Practitioners). <http://www.fao.org/indigenous-peoples/our-pillars/fpic/en/>
- Oxfam Australia. (n.d.). Free, Prior and Informed Consent. <https://www.oxfam.org.au/what-we-do/mining/free-prior-and-informed-consent/>
- Transparency International Australia. (2021). Native Title. https://transparency.org.au/wp-content/uploads/2021/04/Native-Title_web1.pdf
- OECD. (2017). OECD Due Diligence Guidance for Meaningful Stakeholder Engagement in the Extractives Sector. https://www.oecd-ilibrary.org/governance/oecd-due-diligence-guidance-for-meaningful-stakeholder-engagement-in-the-extractive-sector_9789264252462-en;jsessionid=iaQw_BXWLtuxyNFF2BB7pQjd.ip-10-240-5-88
- Mayes, R., McDonald, P., & Pini, B. (2014). 'Our' community: corporate social responsibility and community engagement in resource-affected rural Australia, *Environment and Planning A*, 46, 398-413. <https://eprints.qut.edu.au/67940/>



POWER

Yes No/
Needs
Work

STEPS
How has this been done?
OR How will this be done?

Does the/your organisation acknowledge, ameliorate, and/or share power around information sharing and decision making? (see Co-creation)	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation undertake independent, confidential, and accountable processes around stakeholder engagement? (See Engagement)	<input type="radio"/>	<input type="radio"/>	
Has thorough participatory mapping of all relevant Traditional Owners been conducted and documented according to the FAO Guidelines?	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation abide by the OECD Guidelines, which state that in “contexts where the opposition is widespread, not based on misinformation or bias, and ongoing attempts to meaningfully engage, an enterprise should consider the risks involved with continuing an operation”?	<input type="radio"/>	<input type="radio"/>	
Have all relevant Traditional Owners been given co-created opportunities and mutually agreed timeframes to provide consent or refusal?	<input type="radio"/>	<input type="radio"/>	
Are Traditional Owners invited to be part of shareholder meetings?	<input type="radio"/>	<input type="radio"/>	
If Traditional Owners have not given consent, is this decision accepted?	<input type="radio"/>	<input type="radio"/>	
Are Traditional Owners given the right to withdraw or change their consent if new information emerges, or at different stages of the project?	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation encourage open discussion (i.e., by refusing to create or enforce gag clauses, including with landowners)?	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation abide by OECD Guidelines, in that it “consider[s] the underlying causes of the opposition as opposed to taking legal actions against community members that could result in further exacerbating the situation and contribute to the criminalisation of non-violent rights defenders”?	<input type="radio"/>	<input type="radio"/>	
Does negotiation take place on equitable terms, as per OECD Guidelines?	<input type="radio"/>	<input type="radio"/>	



RESPONSIBILITY

Responsibility in good mining is about acknowledging actual and potential social, environmental and economic harms and proactively developing and implementing best practice solutions in collaboration with relevant stakeholders. This responsibility principle encompasses progressive mine-site rehabilitation involving early stakeholder engagement (i.e., during mine design stages) to determine aligned values and resourcing. It involves actively working with stakeholders to address their concerns.

To be effective, a philosophy of responsibility needs to be integrated throughout the organisation and enacted in decision-making processes.

Other resources

- KPMG International Cooperative. (2015). Sustainable Insight: The essentials of materiality assessment. <https://assets.kpmg/content/dam/kpmg/pdf/2014/10/materiality-assessment.pdf>
- Hine, A. (2021). Disrupting landscape: Enacting zones of socio-material entanglement for alternative futures. *The Extractive Industries and Society*, 8(2). <https://eprints.qut.edu.au/208269/>
- Hine, A., & Erskine, P. (2016). Recognising and Integrating Stakeholder Landform Expectations into Life-of-mine Planning. Life-of-Mine 2016 Conference/Brisbane, Qld, 28–30 September. <https://eprints.qut.edu.au/210401/>
- Mayes, R. (2015). A social licence to operate: corporate social responsibility, local communities and the constitution of global production networks. *Global Networks* 15, S109-128. <https://eprints.qut.edu.au/85897/>



RESPONSIBILITY

Yes No/
Needs
Work

STEPS
*How has this been done?
OR How will this be done?*

Are social and environmental considerations equal to economic considerations within decision making?	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation integrate best practice social, environmental, and cultural heritage considerations into decision making? (see <i>Independence</i>).	<input type="radio"/>	<input type="radio"/>	
Are responsible behaviours integrated into your/the organisation's business strategy?	<input type="radio"/>	<input type="radio"/>	
Is there alignment between the/your organisation's communication and actions around best practice social and environmental considerations?	<input type="radio"/>	<input type="radio"/>	
Has the final land use and/rehabilitation of the mine been negotiated with stakeholders prior to construction?	<input type="radio"/>	<input type="radio"/>	
Is implementation of the final land use/rehabilitation plan progressive?	<input type="radio"/>	<input type="radio"/>	
Has the/your organisation set aside adequate funds to cover the cost of rehabilitation?	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation work collaboratively with stakeholders to determine socially and environmentally responsible behaviours (e.g., materiality assessment)?	<input type="radio"/>	<input type="radio"/>	
Is responsibility for environmental, social, and cultural heritage reinforced by your/the organisation's senior management and enacted by employees?	<input type="radio"/>	<input type="radio"/>	
Is there a long-term plan around impacts to community after mine project closure (e.g., maintenance of town halls, community groups)?	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation have a plan to help transition the community/employees from mining post project?	<input type="radio"/>	<input type="radio"/>	



ENGAGEMENT

Engagement for good mining is about creating opportunities for stakeholders' knowledge, opinions and concerns to be voiced, listened to, debated and acted on by the organisation and/or other stakeholders. The importance of collaborative engagement is consistently emphasised; it is also consistently flagged as an area requiring major improvement.

NOTE: Engagement is not simply sharing information or providing community or other sponsorship. While these are important, emphasis needs to be on facilitating opportunities for proactive, genuine, and responsive engagement with a range of stakeholders.

Early, authentic engagement with a range of stakeholders including those who self-identify as such (i.e., during the project formation), an emphasis on building relationships, and processes that 'close the loop' (i.e., communication about completion of promised actions) are hallmarks of authentic and effective engagement in the interests of best practice and smooth operations.

Other resources

- OECD. (2017). OECD Due Diligence Guidance for Meaningful Stakeholder Engagement in the Extractives Sector. https://www.oecd-ilibrary.org/governance/oecd-due-diligence-guidance-for-meaningful-stakeholder-engagement-in-the-extractive-sector_9789264252462-en;jsessionid=iaQw_BXWLtuxyNFF2BB7pQjd.ip-10-240-5-88
- Hurst, B., Johnston, K.A, & Lane, A.B. (2020). Engaging for a social licence to operate (SLO). Public Relations Review, 46(4). <https://eprints.qut.edu.au/202038/>
- Hurst, B. & Ihlen, O. (2018). Corporate social responsibility and engagement: Commitment, mapping of responsibilities, and closing the loop. In The handbook of communication engagement (Handbooks in Communication and Media) (pp. 133-147). USA: John Wiley and Sons. <https://eprints.qut.edu.au/127469/>



ENGAGEMENT

Yes
No/
Needs
Work

STEPS
*How has this been done?
OR How will this be done?*

Does the/your organisation provide opportunities for stakeholder self-identification?	<input type="radio"/>	<input type="radio"/>	
Are forums held/attended that allow multiple and diverse stakeholders to safely share and discuss concerns, co-create solutions and participate in agenda setting? (see Co-create)	<input type="radio"/>	<input type="radio"/>	
Are a wide range of stakeholders consulted? Does this include stakeholders whose views may not align with the/your organisation?	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation engage with stakeholders at the project formation stage?	<input type="radio"/>	<input type="radio"/>	
Is engagement frequent, responsive to diverse stakeholder needs and ongoing throughout the project lifecycle?	<input type="radio"/>	<input type="radio"/>	
Is there a consistent point of contact for stakeholder engagement? Is this person able to make decisions and keep promises?	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation listen to the concerns of stakeholders and respond to these in a timely manner?	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation participate in stakeholder driven engagement?	<input type="radio"/>	<input type="radio"/>	
As per OECD Guidelines, does the/your organisation “reach out to opposition groups and renew invitations to engage in good faith regularly”?	<input type="radio"/>	<input type="radio"/>	



DYNAMISM

Good mining recognises that mining environments are not static, and that stakeholders, debates, issues and their interrelations change and evolve throughout a project's lifecycle. The principle of dynamism incorporates reflective assessment and capacities to change behaviours when they no longer align with social expectations.

Best practice is dependent on the context at the time: social, environmental, and technological contexts change, and it is necessary for mining organisations and stakeholder groups to keep abreast of these changes.

Stakeholder mapping and engagement in good mining is dynamic and ongoing in the sense that new stakeholders may emerge, and relationships among stakeholders may shift, throughout the project lifecycle.

Other resources

- Hurst, B., Johnston, K.A., & Lane, A.B. (2020). Engaging for a social licence to operate (SLO). Public Relations Review, 46(4). <https://eprints.qut.edu.au/202038/>
- Transparency International Australia. (2017). Environmental Impact Statement Process Map QLD. https://transparency.org.au/wp-content/uploads/2021/02/QLD-EIS_Process_V2.6_4-Feb-2021.pdf



DYNAMISM

Yes **No/
Needs
Work**

STEPS

*How has this been done?
OR How will this be done?*

Does the/your organisation have a mechanism to identify and engage with new stakeholders as they emerge?	<input type="radio"/>	<input type="radio"/>	
Is engagement conducted and participated in regularly, recognising that opinions and concerns shift throughout the project's lifecycle?	<input type="radio"/>	<input type="radio"/>	
If stakeholder sentiment shifts over the course of the project lifecycle, is the organisation willing to change its plans in response?	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation respond to changing societal norms?	<input type="radio"/>	<input type="radio"/>	
Does the/your organisation encourage/participate in forums enabling interaction with multiple stakeholders?	<input type="radio"/>	<input type="radio"/>	



INDEPENDENCE

Transparency, credibility and trustworthiness are important characteristics of good mining. Independent verification—e.g., of validity of information, assessments and approval processes—is pivotal to establishing these characteristics.

Independent assessors (qualified external/unaffiliated experts) and Independent facilitators (qualified external professionals) are both central to the principle of independence, and in best practice are subject to endorsement by all involved stakeholders.

Other resources

- Australian Government Productivity Commission. (2020). Resources Sector Regulation. <https://www.pc.gov.au/inquiries/completed/resources/report>
- The Mining Association of Canada. (2021). Community Interest Advisory Panel. <https://mining.ca/towards-sustainable-mining/community-interest-advisory-panel/>
- Transparency International Australia. (2017). Environmental Impact Statement Process Map QLD. https://transparency.org.au/wp-content/uploads/2021/02/QLD-EIS_Process_V2.6_4-Feb-2021.pdf



INDEPENDENCE

	Yes	No/ Needs Work	STEPS <i>How has this been done? OR How will this be done?</i>
Has an independent panel (not government or the organisational paid consultant) assessed the mine's impacts during the approval process?	<input type="radio"/>	<input type="radio"/>	
Do independent experts have access to mining operation data?	<input type="radio"/>	<input type="radio"/>	
Has data and modelling been independently verified and assessed by more than one qualified expert?	<input type="radio"/>	<input type="radio"/>	
Is engagement conducted by independent facilitators who can ensure transparency, confidentiality and safety?	<input type="radio"/>	<input type="radio"/>	
Have stakeholder Q&A sessions been offered with mutually agreed, independent experts?	<input type="radio"/>	<input type="radio"/>	
Has an independent observer been used to verify procedural fairness around provision of consent in relation to Indigenous Land Use Agreements?	<input type="radio"/>	<input type="radio"/>	

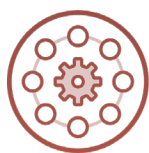


CO-CREATION

Good mining is about working with stakeholders to identify problems, but also to co-create understanding and solutions. While invariably there are elements of mining projects that cannot be changed, it is important for companies to seek opportunities to genuinely work with stakeholders and co-develop solutions to shared problems. Co-creation can involve valuing local knowledges to prepare for and avoid costly socially and environmentally adverse events.

Other resources

- Hurst, B., Johnston, K.A, & Lane, A.B. (2020). Engaging for a social licence to operate (SLO). Public Relations Review, 46(4). <https://eprints.qut.edu.au/202038/>



CO-CREATION

Yes **No/
Needs
Work** **STEPS**
*How has this been done?
OR How will this be done?*

Are Traditional Owners co-designers of cultural heritage practices, including storage of and access to cultural artefacts?

☐ ☐

Has the design of the mine operation been developed with active input from diverse local stakeholders?

☐ ☐

Has the final land use/rehabilitation of the mine been co-created with the community?

☐ ☐

Are stakeholders empowered to co-create solutions to problems related to the project?

☐ ☐

Does the/your organisation recognise different types of knowledge in relation to the local area and mine site (e.g., intergenerational landowner knowledge of rainfall and flooding patterns)?

☐ ☐

Does it take this local knowledge seriously (even if it is not documented in existing scientific data)?

☐ ☐



TRANSPARENCY

Good mining involves transparency. This means willingness to share information that is complete, honest and accessible to stakeholders. Such quality information is both relevant and accurate, and verified/verifiable by an independent third party. It includes clear policies around disclosure of arrangements between the organisation and stakeholders.

Other resources

- OECD. (2017). OECD Due Diligence Guidance for Meaningful Stakeholder Engagement in the Extractives Sector. https://www.oecd-ilibrary.org/governance/oecd-due-diligence-guidance-for-meaningful-stakeholder-engagement-in-the-extractive-sector_9789264252462-en;jsessionid=iaQw_BXWLtuxyNFF2BB7pQjd.ip-10-240-5-88
- Transparency International Australia. (2021). Environmental Impact Statements. https://transparency.org.au/wp-content/uploads/2021/04/EIS_web.pdf
- Transparency International Australia. (2021). Mining Licence Process Map Australia (Queensland). https://transparency.org.au/wp-content/uploads/2021/03/Australia_QLD_Feb-2021.pdf
- Transparency International Australia. (2017). Corruption Risks in Mining Approvals: Australian Snapshot. <https://transparency.org.au/corruption-risks-mining-approvals-in-australia/>



TRANSPARENCY

Yes **No/
Needs
Work** **STEPS**
*How has this been done?
OR How will this be done?*

Does the/your organisation proactively share data relevant to/impacting on stakeholders? For example, data around noise, air quality, rehabilitation, drilling, site clearing and other information as requested by stakeholders?

☐ ☐

Is the/your organisation transparent about royalty payments, particularly deferral of payments?

☐ ☐

Does the/your organisation provide quality information to all stakeholders?

☐ ☐

Does the/your organisation proactively report breaches or violations?

☐ ☐

Has a detailed plan for the proposed rehabilitation/ final land use of the mine and environmental impact management plans been made publicly available?

☐ ☐

Can the/your organisation demonstrate how consent was freely achieved?

☐ ☐

Does the/your organisation have a policy ensuring provision of public information about arrangements made with different stakeholders: i.e., who was engaged with and how, and what have been the concerns and outcomes?

☐ ☐

