TRANSACTION WORKBOOK / FREE STARTER GUIDE

Map a Mineral Transaction

Understand the roles, evidence and open questions in a mineral supply chain before considering a transaction.

Allow 30 minutes for reading and practice. No account required.



Illustrative African business or field scene, created with AI. Not an actual engagement.

Identify roles and responsibilities

Draw a simple chain showing the claimed producer, dealer or exporter, buyer, laboratory, logistics provider and relevant authorities. These roles may be held by different organisations, and a person presenting an offer may not have authority to act for every party. Note who claims to own the goods, who can authorise a sale, who would hold custody and who would receive payment. Treat this as an information request rather than an assumption that every link exists.

Ask what each item of evidence establishes

A photograph, a site observation, a sample test and a licence address different questions. A test result relates to the material tested and the sampling conditions; it does not by itself establish title or lawful export. Ask a qualified laboratory about suitable testing and sampling for the material. Confirm the scope and current status of relevant permissions through the appropriate issuing authorities. Keep goods, documents and the parties involved connected in the record, including unresolved gaps.

UNDERSTAND THE LIMITS / TEST YOUR REASONING

Include responsible sourcing

Commercial checks should be considered alongside supply-chain impacts. The OECD minerals guidance addresses risk-based due diligence for companies in mineral supply chains, including human-rights and conflict-related risks. Use the original guidance and specialist support appropriate to your role and context. A short course or worksheet cannot establish that a supplier, shipment or sourcing arrangement meets every requirement. The useful result of this exercise is a clearer set of questions and an evidence plan.

A fictional practice scenario

A fictional seller supplies a laboratory report for a sample and says this proves they own the full stock and may export it.

What is the key distinction?

A. A sample result automatically proves ownership.

B. Any laboratory report confirms every export permission.

C. The sample result, ownership and export authority require different evidence.

Worked response

The strongest response is C. Keep the questions separate. Testing describes the tested material within its stated scope. Ownership, custody, authority to sell and lawful export require their own appropriate checks.

Reading and context

OECD: Due Diligence Guidance for Responsible Supply Chains of Minerals (2016)

The explanations and worksheet are original Capital Africa material. Follow the linked publishers for their own guidance. Educational material does not replace legal, financial, tax or engineering advice, laboratory testing, or current guidance from relevant authorities.

YOUR WORKING DOCUMENT

Make the learning practical.

Work through a fictional example first. Use these prompts to organise your notes; keep confidential information out of shared learning discussions.

1. Parties, roles and authority claimed

2. Goods, location and custody claimed

3. Sampling and testing questions for a qualified laboratory

4. Ownership and document checks still needed

5. Responsible-sourcing questions and relevant expertise

6. Unresolved conditions and the decision owner

Next action / owner / review date: