



SUMEX DELIVERABLE D4.2

TOOLKIT LEARNERS & LEADERS LEAGUE (3-L) APPROACH

Summary:

This deliverable provides a plan of action and engagement approach of SUMEX with people and organisations and their involvement in project actions, in order to facilitate the creation of a Learners & Leader League and a Community of Practice.

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This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement n° 101003622.

Title:	Toolkit Learners & Leaders League (3-L) Approach		
Lead beneficiary:	Vienna University of Economics and Business, Institute for Managing Sustainability (WUW)		
Other beneficiaries:	-		
Due date:	30 November 2021		
Nature:	Public		
Diffusion:	all Project Partners		
Status:	Final		
Document code:	SUMEX_WUW_D_4.2_3L Approach		
Revision history*	Author	Delivery date (DD.MM.YYYY)	Summary of changes and comments (Include versions with major changes only)
Version 01	Andreas Endl	01.10.2021	Annotated table of contents
Version 02	Andreas Endl	15.11.2021	First revised draft
Final version	Andreas Endl	30.11.2021	

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DELIVERABLE 4.2

Figures 3

Abreviations 3

1 EXECUTIVE SUMMARY 5

2 Introduction 6

3 A community for exchange and learning 8

 3.1 A Community of Practice – For transforming a sector, people and organisations matter 8

 3.2 Peer-to-peer learning - Why engagement on a more informal and focused exchange is needed 10

4 Setup and Selection process of the Learners and Leaders League 13

 4.1 Key Aspects for mapping and identifying different 3L community members: 14

 4.2 Scoping of peer-learning topics and Identification of potential 3L community members 18

5 Procedures and actions for engaging with 3L community members 22

 5.1 First engagement actions for setting up the 3L community 22

 5.2 Roles of 3L Community Members and their Contribution to Project Actions 24

 5.3 Benefits for 3L Community Members for participating in the SUMEX project 24

Outlook and implications 26

SUMEX Project background 27

FIGURES

Figure 1: Diffentiation of SUMEX Macro-regions 19

ABREVIATIONS

3L	Leaners and Leaders League
CoMMER	Council of Mining and Metallugy European Regions
CoP	Community of Practice
EU MS	European Union Member State
IMPEL	European Union Network for the Implementation and Enforcement of Environmental Law
MIREU	Horizon 2020 Project Mining and Metallurgy Regions EU



DELIVERABLE 4.2

MOOC

Massive Open Online Course

WP

Work Package



1 EXECUTIVE SUMMARY

The SUMEX project, conceptualised as an extractives sector community support and coordination project, has at its core a community of practitioners willing to engage in a sustainable development transition in the extractives sector. The purpose of this document is to provide a plan of action and engagement approach of SUMEX with people and organisations and their involvement in project actions.

While all target audiences will benefit from SUMEX actions, a smaller number of people and organisations - Learners and Leaders League (3L) community and Community of Practice (CoP) members - will benefit from the in-depth and informal learning and engagement components of the project. The CoP and particularly the 3L Community plays a fundamental part in the design and implementation of both the SUMEX Toolkit (WP4) as well as its physical exchange processes (WP5).

Since the selection of 3L members is crucial for several project actions, the project team engages into a transparent and multi-criteria process (such as gender-balance or topical and geographic relevance) for the selection, recruitment and, ultimately engagement with potential members of the 3L community. Everybody is considered equally as a Learner and Leader in the context of sustainability transitions, however, differences exist with regards to level of knowledge, expertise, willingness to commit time and resources and institutional capacity to initiate change in organisations. The SUMEX project incentivises people to engage in its learning and exchange actions in a three-pronged approach: tools-centered, people-centered, and institutions-centered.

2 INTRODUCTION

The SUMEX project, conceptualised as an extractives sector community support and coordination project, has at its core a community of practitioners willing to engage in a sustainable development transition in the extractives sector. The purpose of this document is to provide a plan of action and engagement approach of the SUMEX project with people and organisations and their involvement in project actions. Consequently, this report summarises the SUMEX approach to a Community of Practice (CoP) as well as the Learners and Leaders League (3L) with regards to its purpose, relevant SUMEX actions, roles and benefits.

For the extractive sector sustainability transition, people and organisations matter

“A happy life is one spent in learning, earning, and yearning.” – Lillian Gish

However, due to the very contextual and site-specific nature of extractive sector practices, the differentiated and diverse institutional settings in different EU Member States, oftentimes conflictual nature of business interests and civil society engagement, makes forming a consistent, trustful and inclusive Community of Practice (CoP) a challenging task for the extractives sector. A CoP is a group of people and organisations that collaborate to find innovative solutions for complex problems such as in the case for sustainable extractive sector practices in the public and private sector.

While all target audiences will benefit from SUMEX actions, a smaller number of people and organisations (Learners and Leaders League community and CoP members) will benefit from the in-depth and informal learning and engagement components of the project. Everybody is considered equally as a Learner and Leader in the context of sustainability transitions. Against this background, the Learners and Leaders League (3L) will form a group of people and organisations incentivising and facilitating the formation of a CoP and facilitating a transformation towards a sustainable extractive sector. The CoP and, particularly the 3L Community plays a fundamental part in the design and implementation of both the SUMEX Toolkit repository and learning component (WP4) as well as its physical learning and exchange processes (WP5).

A more informal and focused exchange is needed

“Tell me and I forget. Teach me and I remember. Involve me and I learn.” – Benjamin Franklin

Central to the formation and establishment of the 3L Community and CoP are project actions targeting the exchange of knowledge among its members which in SUMEX is referred to as peer-to-peer learning.



DELIVERABLE 4.2

The peer learning approach is based on personal interactions among peers on physical and online platforms and utilises a case-study approach:

- Formation of a smaller group of people willing to more closely engage with the SUMEX Team applying a learner-centred process where interaction and exchange lies at the core of knowledge co-creation: **SUMEX 3L community**
- Exchange and learning formats in smaller and informal settings of CoP and 3L Community members: **SUMEX Regional Workshops and digital learning webinars**
- Outline the dynamics, challenges and factors hindering the uptake of good practices in real world applications based on two case studies: **SUMEX Use cases**

A transparent approach for the establishment of the 3L community

“A good teacher can inspire hope, ignite the imagination, and instill a love of learning.” – Brad Henry

The selection of members for the 3L Community is a crucial element for the success of learning approaches, network and CoP formation, dissemination of results and, ultimately, facilitating change towards more sustainable extractive practices. Thus, the project team considers several factors and processes for the selection, recruitment and engagement with potential members of the 3L community. Key aspects for mapping and identifying different 3L community members (see chapter 4) comprise willingness, diverse stakeholder representation, geographic and regional spread, topical relevance, Gender-balance, differentiation between mining and quarrying, and proper conduct of business.

The respective roles of 3L Members to support SUMEX project actions comprise 1) advice for the operationalisation and topical spin in the respective Regional Workshop, 2) Input & co-development of the SUMEX Toolkit, and 3) wider dissemination of results and outreach to network partners.

A nurturing setting for people to exchange and benefit from each other

“Learning is not attained by chance, it must be sought for with ardor and attended to with diligence”. – Abigail Adams

Everybody is considered equally as a Learner and Leader in the context of sustainability transitions, however, differences exist with regards to level of knowledge, expertise, willingness to commit time and resources and institutional capacity to initiate change in organisations. The SUMEX project incentivises people to engage in its learning and exchange actions in a three-pronged approach: tools-centered, people-centered, and institutions-centered (see chapter 5). In a tools-centered approach learning and



DELIVERABLE 4.2

exchange exercises, in particular peer learning, per se can be a valuable approach to not only generate learning but also be a motivation for many people. A people-centered approach focuses on attaining visibility via different learning engagements and SUMEX Tools which is important for people to “get heard of” and find appreciation about their work routines and achievements. An institutions-centered approach enables organisations lacking financial and time resources to give their employees the chance to effectively engage in external learning activities such as SUMEX workshops and webinars.

3 A COMMUNITY FOR EXCHANGE AND LEARNING

SUMEX project, conceptualised as an extractives sector networking, discourse-oriented and capacity building project, has at its core a community of practitioners willing to engage in a sustainable development transition in the extractives sector. The SUMEX project does not aim at advancing innovations in the extractives sector per se, i.e. having an R&D&I impact in the sector, but rather seeks to guide future decision making and implementation of practices fostering a sustainable extractives sector in policy and industry alike. To this end, the project follows a number of activities: 1) mapping existing extractives sector stakeholders (D6.5, to be published soon on the [SUMEX website](#)), 2) practices with regards to its potential to transform the sector (WP2 and WP3), 3) facilitating stakeholder networking and community building, and 4) using dissemination channels tailored to specific target audiences. Due to the inherent nature of being a networking, discourse-oriented and capacity building project, the project’s impact measurement focuses more on the latter aspects (i.e. community and network building and project outreach in the form of communication, knowledge sharing and learning).

3.1 A COMMUNITY OF PRACTICE – FOR TRANSFORMING A SECTOR, PEOPLE AND ORGANISATIONS MATTER

Due to the very contextual and site-specific nature of extractive sector practices, the differentiated and diverse institutional settings in different EU Member States, oftentimes conflictual nature of business interests and civil society engagement, makes forming a consistent, trustful and inclusive Community of Practice a challenging task for the extractives sector.

While the broader network & dissemination as well as publicly available SUMEX knowledge repository will be benefitting all target audiences to tap into the potential of learning from good practices and training materials compiled throughout the project’s duration, only a limited number of people and organisations (3L community and CoP members) will benefit from the in-depth and informal learning



DELIVERABLE 4.2

and engagement components of the project. However, the outcomes of 3L actions will be transformed and utilised for the elaboration of both educational, learning and training materials in the form of policy briefs, guidance documents as well as a Massive Open Online Course (MOOC), and, therefore available publicly and benefitting all target audiences. For the purpose of engaging with people and organisations with similar learning needs and organisational backgrounds as well as thematically narrowing down the focus, SUMEX will engage 3L and CoP members along the 5 topic areas, i.e. socio-economic and environmental impact assessments, land use planning, health and safety, reporting official statistics, permitting processes / policy integration.

Learners and Leaders League (3L) Members: In the SUMEX project the establishment of a Community of Practice (CoP) is key for the overall success for both the setup and design of learning and engagement actions. Against this background, the 3L community will form a group of people and organisations incentivising and facilitating the formation of a CoP and facilitating a transformation towards a sustainable extractive sector. They will be instrumental in designing Toolkit features as well as guiding topic development for 3L actions and exchange among practitioners in peer learning settings (i.e. supporting elaboration of use cases in WP4 as well as initiating 3L actions).

Community of Practice (CoP) members: Communities of Practice (CoP) are groups of people and organisations that collaborate to find innovative solutions for complex problems. In the case of the sustainable extractive sector these are practices in the public and private sector. CoPs form 1) a /technical/functional / professional domain (their ties and relations are not merely formed by a club of friends or a network of connections between people, but rather have an identity defined by a shared interest and set of competences), and 2) form a community (members engage in joint activities and build relationships that enable them to learn from each other); and 3) a practice (members are practitioners with a shared repertoire of experiences, stories, tools and ways of addressing recurring problems).

In the context of the SUMEX Toolkit, the CoP members represent the entirety of people and organisations benefitting from 1) SUMEX 3L actions as well as 2) accompanying educational, learning and training materials. SUMEX Toolkit (WP4) and Peer learning actions (WP5) (henceforth summarised as 3L actions) will target CoP members on various actions.



3.2 PEER-TO-PEER LEARNING - WHY ENGAGEMENT ON A MORE INFORMAL AND FOCUSED EXCHANGE IS NEEDED

Central to the formation and establishment of the 3L Community and CoP are project actions targeting the exchange of knowledge among its members which in SUMEX is referred to as peer learning. Peer learning is commonly defined as a ‘two-way reciprocal learning activity’ in which learning should be “mutually beneficial and involve the sharing of knowledge, ideas and experience between the participants”.¹ Peers are defined as equals in, for example, position (e.g. national policy makers), or individuals that are brought together by a shared practice (e.g. communities of practice).² Peers learn extensively by explaining their ideas to others, working collaboratively with others, giving and receiving feedback, and evaluating their own learning.³

Box-text: Learning VS Teaching

The SUMEX learning approaches apply a method of peer learning that is different from a ‘traditional learning setting’. A peer learning event (e.g. physical workshop, webinar etc) focuses on the process of knowledge exchange amongst participants as opposed to a ‘traditional’ approach of a few presenters sharing their knowledge (information dissemination). Hence, peer learning entails the utilisation of ‘the knowledge present in the room’ instead of a handful of ‘lecturers’ teaching a group of students. In order to facilitate this process of ‘knowledge exchange’ peer learning actions use ‘collaborative learning’ exercises such as table discussions, interactive mapping exercises and group work, to name a few, which can be equally applied, but with different conditions, in physical and digital settings.

¹ Boud, D., Cohen, R., & Sampson, J. (Eds.). (2001). Peer learning in higher education: learning from & with each other. London : Sterling.

² Wenger, E. (2000). Communities of Practice and Social Learning Systems. *Organization*, 7(2), 225–246. <https://doi.org/10.1177/135050840072002>

³ Pisano, U., Berger, G. (2016), Exploring Peer Learning to Support the Implementation of the 2030 Agenda for SD, ESDN Quarterly Report, ed. 40, April.



DELIVERABLE 4.2

The peer learning approach is based on personal interactions among peers on physical and online platforms. Peers will share their knowledge and personal experiences about their daily work routines, SUMEX cases as well as other information they find relevant. Thus, the co-creation of knowledge at the peer learning events will happen directly and verbally through different facilitation formats. This is supported by the approach in SUMEX, which focuses on:

- Formation of a smaller group of people willing to engage more closely with the SUMEX Team, applying a learner-centred process where interaction and exchange lies at the core of knowledge construction⁴: the **SUMEX 3L-community**. This also goes in line with the definition of case learning as a learner-centred process where interaction and exchange lies at the core of knowledge construction⁵. Thus, case learning is often solution-oriented and strives to operationalise success-factors and challenges. The selection pool for members of the 3L will first be defined by the SUMEX team and different SUMEX focus areas for which events will be organised. The chosen SUMEX focus area for an event will further influence the selection of 3L members. It is important to select participants that can 1) clearly benefit from learning from one or more of the SUMEX focus areas at the event, and 2) contribute to the workshop by sharing their knowledge and experience of relevant practices in their organisations and daily work routines. The most important aspect to consider for inviting people and organisations to the 3L community is how to capture their interests in participating with SUMEX and at the event. Clearly communicating the expected benefits from participating in the 3L and at SUMEX events is important to generate interest of these persons and organisations.
- Exchange and learning formats in smaller and informal settings of CoP and 3L Community members: **SUMEX Regional Workshops and digital learning webinars** are peer learning events, where participants can benefit from the SUMEX peer learning approach along specific topic's spin (see section 4). The goal of the peer learning events is to foster exchange between stakeholders, experts and actors demonstrating examples of good practice in the extractives

⁴ Jonassen, D.H. and Hernandez-Serrano, J., (2002) Case-based reasoning and instructional design: Using stories to support problem solving. *Educational Technology Research and Development*, 50(2), pp.65-77.

⁵ Jonassen, D.H. and Hernandez-Serrano, J., (2002) Case-based reasoning and instructional design: Using stories to support problem solving. *Educational Technology Research and Development*, 50(2), pp.65-77.

sector. Additionally, it is an opportunity for participants to share informal knowledge and personal experiences. As an outcome of these events, the participants are equipped with new knowledge and solutions which they can transfer and implement in their organisation to resolve specific challenges and reform certain practices.

- Investigating and discussing concrete examples and applications that are relevant for challenges of different practitioners in which context case learning is often solution-oriented and strives to operationalise success-factors and challenges in order to ‘solve’ a specific challenge at hand⁶: **SUMEX Use Cases** will outline the dynamics, challenges and factors hindering the uptake of good practices in real world applications based on two case studies (see D3.1, to be released on the [SUMEX website](#)). Furthermore, documents for good practice learning and training materials, containing an in-depth elaboration of SUMEX Use Cases and their good practice elements such as framework conditions, success factors and barriers for transferability.

The peer learning approach in SUMEX is based on vast previous experience of the project team in projects such as MIN-GUIDE, MinLand as well as RE-SOURCING and conceptual as well as practical approaches grounded in work on the Effective Institutions Platform’s (EIP) *A Guide to Peer-to-Peer Learning – How to make peer-to-peer support and learning effective in the public sector*, as well as the European Sustainable Development Network’s (ESDN) quarterly report on *Exploring Peer Learning to Support the Implementation of the 2030 Agenda for Sustainable Development*, and recent approaches applied in the MinLand “Common approach for peer learning and good practice guidance” and the RE-SOURCING “Common approach for peer learning and good practice guidance”⁷.

⁶ Shapiro, B. P. (1984). *Hints for case teaching*. Harvard Business School, 9-585-012

⁷ The WUW SUMEX project team has already applied the knowledge exchange and co-production approach in several forms of policy and stakeholder dialogues in European-wide policy networks (European Sustainable Development Network) and EU funded projects like MIN-GUIDE, Minland, RE-SOURCING COBALT, RESPONDER. The project team has long-time experiences in process design for stakeholder dialogues and knowledge co-production, event facilitation: [Endl, A., Berger, G., Gottenhuber, S. \(2018\). Minland Common Approach for peer learning and good practice guidance](#); [Pisano, U., Berger, G. \(2016\), Exploring Peer Learning to Support the Implementation of the 2030 Agenda for SD, ESDN Quarterly Report, ed. 40, April](#); MIN-GUIDE website: <https://cordis.europa.eu/project/id/689527/de>



4 SETUP AND SELECTION PROCESS OF THE LEARNERS AND LEADERS LEAGUE

The selection of members for the 3L Community is a crucial element for the success of learning approaches, network and CoP formation, dissemination of results and, ultimately, facilitating change towards more sustainable extractive practices. Therefore, careful consideration is given to the selection, recruitment and engagement with potential members of the 3L Community. In the following paragraphs, the SUMEX Team provides the baseline and general understanding for this process and, therefore enables a transparent perspective on SUMEX work processes and the establishment of the 3L Community.

The identification of a 3L Community and mapping of learning needs informs the design and selection of its members and important project topical decisions for primary engagement and learning processes. The CoP and, particularly the 3L Community plays a fundamental part in the design and implementation of both the SUMEX Toolkit repository and learning component (WP4) as well as its physical learning and engagement processes (WP5). The elaboration of the management approach on the 3L is supported by the initial stakeholder mapping (WP6, D6.5, to be soon released on the [SUMEX website](#)) and consecutive work on the e-learning design will facilitate the setup of a CoP and in parallel will support the design and implementation of the learning component of the SUMEX Toolkit as well as the Regional Workshops for peer learning.

For that purpose, the SUMEX project is able to draw on extensive networks: partner organisations or informal networks and multiplier organisations such as business associations (e.g. UEPG) or official platform networks (informal network of mining authorities) or via past project networks (i.e. H2020 Project MIN-GUIDE National Focal Points, NFPs i.e. public administrators working on mineral policy design in EU MS; or H2020 INTRAW project and its later instigation of the International Raw Material Observatory and its Board of Members) to set up the 3L community.

While the extractive sector is commonly heavily influenced by industry stakeholder actions and views, other stakeholders also play an influential role in defining and shaping the sustainability agenda in the extractives sector: Governments and public authorities play an ever-increasing role in shaping rules that guide behaviours of companies and their innovation activities ([MIN-GUIDE D1.3](#)), while in particular land use planning and permitting authorities play a key role in securing transparent and fair access to land resources such as mineral raw materials ([MinLand D6.2](#)). At the same time civil society organisations, and, in particular, environmental NGOs and citizens groups, continue to play an ever-important role in



DELIVERABLE 4.2

pushing the industry performance towards more sustainable practices or highlighting problematic approaches and practices ([MIREU D4.3](#), [MinLand D6.2](#)).

The work on identifying potential persons and organisations for the 3L Community will be based on the internal stakeholder mapping (D6.5). The following networks and organisations are considered examples and potential candidates for the 3L Community:

CoMMER & H2020 Project MIREU: The Council of Mining and Metallurgy European Regions (CoMMER) will be embedded as a Task Force within the European Regions Research and Innovation Network (ERRIN), a well-established Brussels-based network of more than 120 regions, most of whom are represented by their Brussels' offices.

Network of EU MS Mining Permitting Authorities: The Heads of European Member States Mining permitting authorities form an informal network for exchange on permitting issues around extractive activities.

IMPEL - European Union Network for the Implementation and Enforcement of Environmental Law: As an international non-profit association of the environmental authorities of the European Union Member States, the network has access to all practitioners working on inspection of mining and quarrying sites in EU MS. With its actions to ensure effective application of environmental legislation via awareness raising, capacity building, peer review, exchange of information and experiences on implementation, IMPEL would greatly benefit from SUMEX actions targeting the extractives sector on aspects of environmental performance.

4.1 KEY ASPECTS FOR MAPPING AND IDENTIFYING DIFFERENT 3L COMMUNITY MEMBERS:

Against this background, there are several key considerations the SUMEX project takes into account when recruiting members to its 3L Community.

- **Willingness to support the SUMEX project and sustainability transition in the extractives sector:** Stakeholders willing to “go the extra mile” to participate in the transition towards a sustainable extractive sector (see D1.2 SUMEX sustainability approach), are most welcome to join the 3L Community. Furthermore, with its tailor-made outreach and networking actions as well as targeted invitation approach communicating benefits of 3L participation of promising and influential members, the SUMEX project will effectively engage and recruit members for the 3L Community.



DELIVERABLE 4.2

- **A multi-stakeholder perspective on a sustainable extractive sector:** All stakeholders are relevant in a transition towards a sustainable extractive sector: Public authorities, industry, research & consulting, and civil society organisations. Some stakeholders however, play a direct role in changing practices such as civil servants working on the design of mineral and land use planning policy, public authorities and municipalities responsible for implementation of policy and procedures or industry stakeholders deploying technologies or management approaches. Due to its focus on the regulatory system and procedures of mineral and related policy areas (e.g. LUP) special emphasis will be given to public authorities on the regulatory as well as procedural and implementation part. The stakeholder taxonomy in D6.5 clearly differentiates different systems that play a role for effectively managing sustainability transitions. Against that background “Economic”, “Political” and “Civil Society” system stakeholders are considered as key stakeholders in this regard and will be helpful for identifying respective practitioners (people and organisations) engaging in exchange on sustainable extractive practices. The “knowledge” system stakeholders, of which the SUMEX consortium and outputs are a part of, set the framework conditions for an effective and facts-based approach in any peer learning setting.
- **Geographic and regional composition:** The SUMEX learning actions are targeting 4 macro-regions (see section 4 for more details on the rationale) in Europe. Therefore, the 3L Community should represent different stakeholder groups and practitioners active and situated within these macro-regions. According to a split of different stakeholder groups the SUMEX teams aims for one representative from public policy (authority and/or ministry), industry, CSO for each region, respectively.
- **Topical Relevance for peer-learning & SUMEX focus areas:** The 4 Regional Workshops cover different SUMEX focus areas (see section 4). 3L Community members should be actively working in these areas relevant for the respective Regional Workshop.
- **Gender-balance of the overall 3L community and the regional split:** Contributing to the SDGs, where gender equality is a cross-cutting theme to all 17 SDGs, and in particular for SDG 5 (Gender Equality), the SUMEX team will strive to reach a gender balance wherever possible in the identification and recruitment of 3L Community members. This will be particularly relevant when discussing gender specific impacts of health and safety and other employment regulation or practices in the extractives sector.



DELIVERABLE 4.2

- **Proper conduct of business and practice:** Organisations who practice proper conduct of business, are legally compliant, not subject to bribery or other misconduct are considered viable for introduction into the 3L Community. This further extends to a transparent and respectful engagement with other stakeholders in the extractives sector.
- **Reasonable number and influence of stakeholders:** Next to willingness to engage and motivation, a stakeholders' influence on changing a practice or system characteristics are important for sustainability transitions. The SUMEX project defined primary stakeholders according to importance and influence in the context of SUMEX Focus Areas in report D6.5. Persons and organisations who are key for influencing and changing practices along SUMEX Focus Areas will be of primary interest (see example below).

In terms of making engagement and collaboration between project partners and the 3L Community meaningful and effective, the number of actual 3L members will differ between the different regions.

- **Differentiation between mining and quarrying:** Special emphasis will be given to the SUMEX differentiation between mining and quarrying backgrounds of people and organisations eligible for the SUMEX 3L Community, and, therefore, strive for an equal or neutral representation background.

The selection of members will be informed by the abovementioned key aspects as well as the project teams' access to these persons and organisations. It should be noted that 3L Community members are not limited to giving input to their assigned macro-region. In case a member has expertise that is relevant for other or all macro-region(s), the member will be encouraged to contribute to these.

The following paragraph provides a more concrete example how stakeholder categorisation and mapping for the identification of potential 3L community members works.

Box-text: SUMEX Focus Area land use planning & mapping of potential 3L Member stakeholder groups

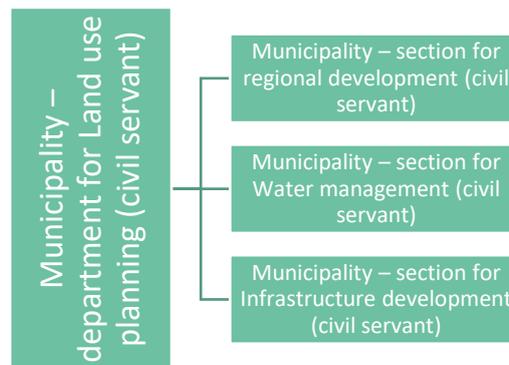
We differentiate between different tiers for directly or more indirectly relevant persons and organisations (in descending order):

Implementing & procedural authorities: Land Use Planners/practitioners & Permitting Authorities:

Land Use Planners – Public bodies directly responsible for implementing land use planning at local,

regional and national level, including mining inspectorates (contact person: civil servant). Industries who implement and organise permitting processes (contact person: e.g. company managers/planner) and related land use planning.

Different tiers can be further broken down into, for example:



Regulating authorities & policy framework experts: Authorities who have the responsibility for formulating or designing mineral and land use policies. Experts (academia, consultancy) that have in-depth knowledge of the mineral and land use policies (policy design & formulation) (contact person: e.g. county civil servants or ministry civil servants, academia/universities, consultancies, private research institutions).

Geo data management experts & National Geological surveys who have the responsibility for geological data management and mining inspection etc. Experts who have in-depth knowledge on geological data management. (contact person: e.g. National geological surveys, academia/universities, consultancies, private research institutions)

Additional experts and supporting stakeholder groups relevant for land use planning:

Industry – associations, investors, exploration and mining companies not responsible for permitting aspects and land use consultants.

Civil Society – various NGOs with a stake in land use planning like environmental organisations, local interest groups affected by mining (e.g. farmers, citizens, Sami reindeer husbandry communities).



4.2 SCOPING OF PEER-LEARNING TOPICS AND IDENTIFICATION OF POTENTIAL 3L COMMUNITY MEMBERS

“Getting the right people for doing the right thing” means the identification of 3L community members and a CoP ensuring that project results (learning from cases and exchange on practices) are communicated to the right target audience and that interactive exchange among peers (learning among peers) is possible. The initial identification of potential 3L members will be based on established contacts of the project team, such as the extensive stakeholder networks of previous projects, the Advisory Board members and contacts from our engagement with other networks or initiatives.

1. **Scoping of SUMEX focus areas and Regional Workshop:** In a first step, Oeko Institute and WUW will together define the scope of peer-learning topics at the respective Regional Workshops which in turn will define the target audience and the 3L Community members for the respective peer learning setting (see example above in Box-text). Consequently, based on the stakeholder mapping in D6.5 the project team together with the coordinator will identify possible stakeholder groups that are relevant for these workshops as well as the 3L Community.
2. **Checking eligibility for nomination:** Based on the criteria above Oeko Institute together with WUW will create a short list of eligible partners and, if possible, persons working at these organisations. Consortium partners will be asked for support in identifying and mapping these organisations and persons. This will be the starting point for the selection and engagement with potential 3L community members.
3. **Prioritising and internal check:** The shortlist and eligibility criteria will help the project team to create a priority list of potential candidates. This list will be shared with consortium partners for a quick internal round of feedback (e.g. whether the candidates match the eligibility criteria or whether any of the project consortium partners has any established contact at these organisations).

For the purpose of scoping the SUMEX focus areas and Regional Workshops the below mentioned paragraphs provide some important background information on the Regional Workshop setup and implementation along the five SUMEX focus areas.

The aim of the SUMEX project is to establish a sustainability framework for the extractive industries throughout the entire EU. This sustainability framework should be recognized as broadly as possible and

applied by as many people as possible, united in the Community of Practice. Against this background and especially with regard to the claim to represent the entire EU, it is important that the 3L and the CoP have representatives from as many countries as possible and that a broad spatial distribution is achieved. Therefore, the goal was defined that the 3L has at least one representative from each of the four macro-regions per stakeholder group, i.e., for example, at least 4 representatives from the macro-region "EU East", one each to permitting authorities, policy, industry and civil society. Figure 1 shows the breakdown of the EU into the four macro-regions:



Figure 1: Differentiation of SUMEX Macro-regions

In addition to geographical criteria, the four macro-regions were defined on the basis of cultural criteria. Specifically, the four regions include the following countries:

- North: Sweden, Finland, Denmark
- East: Poland, Czech Republic, Slovakia, Romania, Hungary, Latvia, Estonia, Lithuania, Bulgaria
- South: Portugal, Spain, Italy, Croatia, Slovenia, Greece, Malta, Cyprus
- West: Ireland, Netherlands, Belgium, Luxembourg, France, Germany, Austria

This division of countries into macro-regions ensures that, among other things, aspects such as language, socio-economic and institutional framework, time zone, spatial distances have a certain uniformity.

The SUMEX project has five focus areas: permitting, health & safety, data reporting, socio-economic and environmental impacts and land use planning. While permitting is addressed as a cross-cutting topic in all four regional peer-learning workshops, the remaining four focus areas are each addressed in one of the four regional peer-learning workshops. In the following, all five focus areas are briefly described and relevant actors are listed.

Permitting: All mining and quarrying sites must obtain a permission to open a site. The legislation is quite diverse among the EU Member States. In parts, local and regional authorities have large competencies whereas in other states national authorities are in charge of permitting. Relevant actors include the permitting authorities at different spatial and hierarchical levels and corresponding networks/associations, other involved authorities such as water protection authorities or land use planning authorities, the public authorities responsible for adaptations to the legislative framework, the companies that apply for site permissions and associations of other stakeholders that are affected by mining and/or quarrying activities.

Health & safety: The aim is to ensure that mining and quarrying activities do not lead to detrimental health effects, especially among employees. Health and safety mainly concern the operation of mining and quarrying activities and to a lesser extent the exploration or closure phase. It is particularly concerned with the prevention of accidents and the reduction of harmful emissions. Relevant actors include public authorities, such as the permitting authorities and environmental protection agencies, companies that are responsible for audits such as TÜV Süd GmbH, operating companies, temporary employment agencies and work councils.

Socio-economic and environmental impacts: The impact of mining and quarrying activities on neighbouring stakeholders, such as local residents, agricultural farms, companies located in the area etc. should be minimized and their interests taken into account, for example, by holding participation

forums, offering monetary compensation, etc. Likewise, the impact on the environment is to be kept as low as possible, for example, the type and extent of discharges into water bodies, construction and maintenance of tailings, and successful renaturation after site closure. Relevant actors include permitting authorities, water protection authorities, nature protection authorities, environmental protection authorities, operating companies, companies that are responsible for audits, and facilitation and mediation companies.

Land use planning: The development of the built environment and other uses generally follows plans developed by land use planning authorities at different spatial and hierarchical levels. In the EU, the management and consideration in land use planning of potential mining or quarrying sites or the expansion of already existing sites is quite diverse. In particular, competencies are bundled at national level or subdivided to multiple local or regional authorities. Relevant actors include land use planning authorities at different spatial and hierarchical levels, permitting authorities, water protection authorities, nature protection authorities and environmental protection authorities, communities and associations of various interest groups.

Data reporting: Evaluations, incremental improvement processes, macro-economic planning, and multiple other aspects rely on data for the corresponding analyses. This includes for instance production volumes subdivided into various product category groups, planned/targeted production volumes, material and energy requirements, numbers of hazards and accidents, completed audits, etc. Relevant actors include permitting authorities, geological survey organisations, operating companies, and research institutes.

Workshop No 5 in Brussels: This workshop will bring together all participants of the four regional workshops. Good practice examples which have the potential to be implemented similarly in other states and macro-regions are presented. Insights and experiences of the participants of the four regional workshops are shared. Comparisons are drawn as to similarities and differences between the setup and design among the four macro-regions and the corresponding states. Also, conclusions shall be drawn and recommendations as to adaptations in the legislative framework shall be formulated.

5 PROCEDURES AND ACTIONS FOR ENGAGING WITH 3L COMMUNITY MEMBERS

The following paragraphs will outline the procedures and actions of project partners and the engagement (i.e. establishing first contact, responsibilities and communication approach) with potential candidates for the 3L Community.

It should be noted that the 3L Community Members have no decision-making power in the SUMEX project. Their involvement will rather focus on informing and consulting the project consortium on various topics and issues, and, jointly with other stakeholders support the Toolkit development process.

5.1 FIRST ENGAGEMENT ACTIONS FOR SETTING UP THE 3L COMMUNITY

In general, the communication, collaboration and engagement between the SUMEX consortium team and the 3L Community will be facilitated through telephone calls and online involvement through webinars, workshops, interviews and conference calls. Furthermore, the Macro-region specific 3L Community Members will be invited to participate in the respective regional workshop as well as the final Workshop.

1. **Establishing first contact and explaining the purpose of engagement (4 months before the respective Regional Workshop):** The project consortium under coordination of task-leader Oeko-Institut and WUW will establish first contact with the potential candidates of the 3L Community. For that purpose, project partners who have direct or already established contacts to potential candidates will be asked to make the first contact either via phone or email. Further communication will be handled by Oeko-Institut. The next steps will be bilateral conference calls or email communication explaining the purpose of the 3L Community, benefits as well as roles within SUMEX.
2. **Co-develop scoping and design of respective regional workshop (3 months before the respective Regional Workshop):** After a first design of the outline of the regional workshop, 3L Community Members will be asked to provide supplementary feedback on target audience, topical spin, particular regional specificities as well as challenges relevant to their organisation as well as country context.



DELIVERABLE 4.2

3. **Involvement in 3L Community learning actions** (for more details see Box-text below): Based on prior investigation of 3L actions for learning on good practice and knowledge transfer (see [D4.1](#)), the “Learners and Leaders League Actions” or “3L Actions” will comprise a mix of online engagement tools as well as physical workshop settings (i.e. Regional Workshops, see section 4). The WUW Team currently investigates different options on how to best organise online engagement tools in the context of SUMEX learning actions (see Box-text below).

Box-text: 3L learning actions anticipated in the SUMEX project (for more details please see [D4.1](#))

The 3L Actions will comprise of the following forms of online engagement activities:

- **Learning Management Systems** such as Massive Open Online Courses or open Learning Management Systems such as Moodle will be utilised for engaging CoP members in 3L actions
- **Webinars** for knowledge co-creating, good practice result-validation and peer learning
- **Webcasts** and recordings of, for example, webinars and project activities
- **Expert-stakeholder video interviews** with experts, focusing on different aspects of the project for wider engagement, understanding and accessibility of SUMEX
- **Audio-visual story-telling videos** for each focus area will constitute a prime vehicle for combining information and graphics to disseminate SUMEX results.
- **Online discussion fora** will provide opportunities for stakeholders to discuss and exchange information

5.2 ROLES OF 3L COMMUNITY MEMBERS AND THEIR CONTRIBUTION TO PROJECT ACTIONS

The members of the 3L community are expected to support the SUMEX project by taking on three main roles over its 3-year implementation.

- **Regional Workshop topical spin:** Most importantly, the 3L Community Members will advise the project on the operationalisation and topical spin in the respective Regional Workshop. This includes fostering uptake and dissemination of the Workshop as well as project results during and beyond the project's lifetime.
- **Input & co-development of the SUMEX Toolkit:** The SUMEX Toolkit has the primary goal to 1) synthesise and contextualise existing good practice information of industry & public policy practices in the European extractive sector, as well as 2) provide capacity building across the EU and with all stakeholders via information provision and targeted learning actions (repository & learning actions). As part of the further development of the Toolkit, the 3L Community will provide feedback on functionalities and user-needs with regards to the SUMEX-Toolkit. Consequently, with a more detailed understanding about the expected data items and required filter criteria, WUW will conduct a more detailed analysis of target users and their needs together with Members of the 3L Community.
- **Wider dissemination of results:** As the 3L Community Members are expected to have an active network of peers and other stakeholders they have the possibility to effectively raise awareness of project results and communicate the advantages tied to the uptake of good practices in the extractive sector.
- **To enable stakeholders to access the SUMEX Toolkit** after the end of the project and keeping the extractive sector sustainability agenda active and progressing, the consortium and 3L Community Members need to explore different options to keep the SUMEX Digital Toolkit accessible. In addition, the 3L Community will play a role in developing a plan to keep the peer and stakeholder network active.

5.3 BENEFITS FOR 3L COMMUNITY MEMBERS FOR PARTICIPATING IN THE SUMEX PROJECT

SUMEX 3L Community Members represent peers who are defined as equals in, for example, position (e.g. national policy makers), or individuals that are brought together by a shared practice (e.g. communities of practice). Everybody is considered a Learner and Leader in the context of sustainability



DELIVERABLE 4.2

transitions, however, differences exist with regards to level of knowledge, expertise, willingness to commit time and resources and institutional capacity to initiate change in organisations.

The SUMEX projects incentivises persons to engage in its learning and exchange actions in a number of ways: a tools-centered, people-centered, and institutions-centered approach

- **A tools-centered approach - peer-centred learning approaches:** Learning and exchange exercises, in particular peer learning, per se can be a valuable approach to not only generate learning but also be a motivation for many people. However, given that peer learning is a means and not an end, the approach will be heavily adapted to the needs of its participants in the form of 3L community members. This adaption of the learning approaches is important in maintaining interest and motivation in the process. Within the context of these learning actions, furthermore, SUMEX will utilise interesting formats of online engagement such as smart drawing, 1:1/2:2 break-outs, and individual expert feedback by other peers.
- **A people-centered approach - Engagement benefits & visibility of individuals:** Attaining visibility via different learning engagements and SUMEX Tools is important for people to “get heard of” and find appreciation about their work routines and achievements (i.e. good practice and challenges faced in their work routines). Therefore, the SUMEX team plans to provide a platform for people to raise concerns, identify challenges, or exchange ideas about their work via various means: SUMEX speakers and video representation, presentation of case studies, selection and validation of practices relevant for regional context or SUMEX Workshops etc.
- **An institutions-centered approach:** Organisations are often lacking financial and time resources to allow their employees to effectively engage in external learning activities such as SUMEX workshops and webinars. Furthermore, due to the current COVID Pandemic and the ubiquitous availability of online engagement on a wide variety of topics and initiatives, practitioners are overwhelmed with different options for engagement, and engagement activities are competing against each other. With the support of multiplier and gate-keeper organisations such as important umbrella organisations (industry associations, informal networks or institutionalised platforms for exchange such as UEPG, Network of Mining Regions or IMPEL) SUMEX is able to effectively reach out and communicate benefits of its learning actions to potential 3L community members. Furthermore, offering financial compensation for travel and accommodation, will give participants some arguments to convince their superiors to allow them to attend SUMEX events.



OUTLOOK AND IMPLICATIONS

The 3L Community and wider CoP plays an important role for the SUMEX project as a capacity – building, networking and discourse – oriented project. Therefore, special emphasis and careful consideration is given towards the task to identify, describe and engage with 3L Community members. This document outlines a plan of action to follow up during the next project months to more strategically facilitate the setup of a CoP.

While the SUMEX consortium based on its comprehensive network of partner contacts, previous Horizon 2020 projects and established Advisory Board, has a potential large number of contacts for 3L Community members available, to effectively engage and acquire commitment from people and organisations to collaborate with SUMEX needs careful consideration. Thus, a comprehensive setup of selection criteria, a short-list of potential candidates and an effective communication strategy are necessary to avoid stakeholder saturation, institutional barriers, or fatigue from participation at other events and project actions.

Consequently, in order to overcome abovementioned challenges, the SUMEX project will employ tools-centered, people-centered, and institutions-centered approach for engaging with potential 3L Community members. This task lead by Oeko-Institut, WUW and the project coordinator MUL, will require efforts by all project partners to successfully facilitate the creation of a CoP.



SUMEX PROJECT BACKGROUND

SUMEX is a 36-months project funded by the EC that started on 01.11.2020. The project supports the set-up of a European sustainability framework to improve the permitting procedure along the extractive value chain (prospecting, exploration, extraction, processing, closure, post closure activities), to guarantee timely decisions, a transparent governmental regulatory regime, appealing financial and administrative conditions and sustainable natural environmental and social conditions. The main mission of SUMEX is to assist policymakers and other stakeholders in seizing this opportunity.

To foster more, but sustainable mineral production in the EU, SUMEX (*SU*stainable *M*anagement in *EX*tractive industries) will establish a sustainability framework for the extractive industry in Europe. It does so by considering the Sustainable Development Goals, the European Green Deal, as well as EU Social License to Operate considerations and will involve stakeholders from industry, government, academia and civil society backgrounds from all across the EU.

This framework is then applied across the extractive value chain to analyse the mineral, as well as relevant economic, environmental and social policy frameworks of the EU, member states and selected regions along five focus areas – socio-economic and environmental impact assessments, land use planning, health and safety, reporting official statistics and permitting processes/policy integration-to find, or build, where needed, good practices or tools for an open access toolkit, which will be embedded in a broader Community of Practise (CoP) and which forms the basis for capacity building. This CoP will consider relevant stakeholder groups, with a focus on permitting authorities, across the EU, providing a digital platform and using a series of workshops and webinars. In SUMEX, the experience from other projects builds a powerful foundation for addressing the challenge of how best to implement sustainability considerations into the whole raw materials value chain.

Challenge: No common understanding of sustainable management in extractive industries

SUMEX supports the set-up of a European sustainability framework to improve the permitting procedure along the extractive value chain (prospecting, exploration, extraction, processing, closure, post closure activities), to guarantee timely decisions, a transparent governmental regulatory regime, appealing financial and administrative conditions and sustainable natural environmental and social conditions. The main mission of SUMEX is to assist policymakers and other stakeholders in seizing this opportunity.



DELIVERABLE 4.2

Objectives of SUMEX

- Strengthen policy coordination and agenda setting along the mineral extraction value chain;
- Propose a uniform EU sustainable management in extractive industries context;
- Cluster with other projects to identify good practices and good practise principles;
- Identify good practises and principles for policy strategies and strategic approaches, coordination/integration and approaches and property rights regimes for different institutional systems;
- Build a toolkit with good practises, with a focus on access to land, permitting and policy coordination and integration;
- Identify stakeholder learning needs and requirements;
- Deploy an open access toolkit for capacity building across EU and with all stakeholders.

More info on <https://www.sumexproject.eu/>

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