



SUMEX DELIVERABLE D7.3

DATA MANAGEMENT PLAN

Summary:

The main purpose of this Data Management Plan is:

- a) to encourage good data handling in the SUMEX project;
- b) to deliver background information on the General Data Protection Regulation (GDPR) and its applicability;
- c) to provide instructions on FAIR data management and how public data should be made available taking into account relevant ethical aspects.

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1 EXECUTIVE SUMMARY

This deliverable describes the management of data generated by the SUMEX project.

Topics covered by this Deliverable are:

- Communication infrastructure including technical and non-technical aspects needed to exchange data within and outside of the project consortium.
- Data handling including the framework for secure data exchange and related responsibilities.
- Cybersecurity and Data privacy embracing data integrity, data privacy and data protection.
- Ethical aspects associated with the project-related data generation.

In addition to that, this Deliverable provides an overview on research data the project is expected to generate, the types and formats of the particular data, and how the data is processed and stored in order to make them findable, accessible, interoperable and reusable (according to the principles of FAIR data management). The purpose of the Data Management Plan (DMP) is to contribute to effective and secure data handling during the project's lifetime.

The DMP is a living document and will be regularly updated according to the needs of the particular development status of the project.



2 INTRODUCTION

2.1 PURPOSE OF THE DATA MANAGEMENT PLAN

The SUMEX Data Management Plan (DMP) is a living document presenting the project position specifically on any topic related to FAIR data management. As such it serves as supporting guidelines for the SUMEX consortium regarding the handling of any data generated and/or collected within the scope of the project. Hence, this document will be regularly updated throughout the course of the entire project duration in order to cover all sources of data and potential future implications.

2.2 SCOPE OF THE DATA MANAGEMENT PLAN

The SUMEX DMP documents the management of data that is expected to be gathered during the course of the project. This starts with the creation and collection of data, provisions for storage and access to data including data security and longevity and is based on the FAIR data principles, ensuring findability and reusability of all data. All of these processes are carried out while adhering to the General Data Protection Regulation (GDPR) and research ethics.

2.3 RELATED DOCUMENTS

Due to the nature of the Data Management Plan, which serves as a guiding document for all SUMEX project partners by describing essential principles for data generation and data handling in the project, all SUMEX activities are to be seen in close connection with this Data Management Plan (DMP).



3 SUMEX PROJECT DESCRIPTION

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 Management 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.

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.

4 LEGAL FRAMEWORK REGARDING ETHICS AND RESEARCH INTEGRITY

4.1 LEGAL BACKGROUND AND CORE DOCUMENTS

According to Regulation (EU) No 1291/2013, establishing the Horizon 2020 research and innovation framework programme and adopted by the European Parliament and the Council on 11 December 2013, Article 19 on “Ethical principles” sets out that:

1. All the research and innovation activities carried out under Horizon 2020 shall comply with ethical principles and relevant national, Union and international legislation, including the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights and its Supplementary Protocols.

Particular attention shall be paid to the principle of proportionality, the right to privacy, the right to the protection of personal data, the right to the physical and mental integrity of a person, the right to non-discrimination and the need to ensure high levels of human health protection.

However, the primary obligation to comply with all ethical principles is specified in Article 34 of the Grant Agreement:

ARTICLE 34 — ETHICS AND RESEARCH INTEGRITY

34.1 Obligation to comply with ethical and research integrity principles

The beneficiaries must carry out the action in compliance with:

(a) ethical principles (including the highest standards of research integrity)

and

(b) applicable international, EU and national law.

*Funding will not be granted for **activities carried out outside the EU** if they are prohibited in all Member States or for activities which destroy human embryos (for example, for obtaining stem cells).*

*The beneficiaries must ensure that the activities under the action have an **exclusive focus on civil applications**.*

The beneficiaries must ensure that the activities under the action do not:

(a) aim at human cloning for reproductive purposes;

(b) intend to modify the genetic heritage of human beings which could make such changes heritable (with the exception of research relating to cancer treatment of the gonads, which may be financed), or

(c) intend to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

In addition, the beneficiaries must respect the fundamental principle of research integrity — as set out in the European Code of Conduct for Research Integrity⁴⁹.

This implies notably compliance with the following fundamental principles:

- reliability in ensuring the quality of research reflected in the design, the methodology, the analysis and the use of resources;

- honesty in developing, undertaking, reviewing, reporting and communicating research in a transparent, fair and unbiased way;

- respect for colleagues, research participants, society, ecosystems, cultural heritage and the environment;

- accountability for the research from idea to publication, for its management and organization, for training, supervision and mentoring, and for its wider impacts and means that beneficiaries must ensure that persons carrying out research tasks follow the good research practices and refrain from the research integrity violations described in this Code.

This does not change the other obligations under this Agreement or obligations under applicable international, EU or national law, all of which still apply.

34.2 Activities raising ethical issues

Activities raising ethical issues must comply with the ‘ethics requirements’ set out as deliverables in Annex 1. Before the beginning of an activity raising an ethical issue, each beneficiary must have obtained:

- (a) any ethics committee opinion required under national law and*
- (b) any notification or authorisation for activities raising ethical issues required under national and/or European law needed for implementing the action tasks in question.*

The documents must be kept on file and be submitted upon request by the coordinator to the [Commission][Agency] (see Article 52). If they are not in English, they must be submitted together with an English summary, which shows that the action tasks in question are covered and includes the conclusions of the committee or authority concerned (if available).

34.3 Activities involving human embryos or human embryonic stem cells

.....

34.4 Consequences of non-compliance

If a beneficiary breaches any of its obligations under this Article, the grant may be reduced (see Article 43) and the Agreement or participation of the beneficiary may be terminated (see Article 50).

Such breaches may also lead to any of the other measures described in Chapter 6.

4.2 RESEARCH ETHICS – IMPLEMENTATION OF FUNDAMENTAL PRINCIPLES

Research ethics is based on two main principles: a) the research activities should avoid any harm or at least minimise harm as good as possible and b) participation in research activities should be on an absolutely voluntary basis.

4.2.1 Respecting human dignity and integrity

The SUMEX consortium is taking care that the project activities are not endangering (not even potentially) the dignity and integrity of human beings, independent of whether they are directly participating in the SUMEX project or not.

According to the charter of fundamental rights of the European Union (2012) right of integrity is defined in the following manner.

“Article 3

Right to the integrity of the person

1. Everyone has the right to respect for his or her physical and mental integrity.
2. In the fields of medicine and biology, the following must be respected in particular:
 - a) the free and informed consent of the person concerned, according to the procedures laid down by law;

.....”

4.2.2 Ensuring honesty and transparency

The SUMEX consortium will treat all societal concerns in relation with the extraction value chain seriously. Moreover, the SUMEX consortium will stay in close contact with the public/stakeholder community throughout the project duration in order to achieve the best possible project implementation and to discover any project related concerns in a timely manner.

4.2.3 Ensuring privacy and confidentiality

According to the charter of fundamental rights of the European Union (2012) right of privacy is defined in the following manner.

“Article 8

Protection of personal data

1. Everyone has the right to the protection of personal data concerning him or her.
2. Such data must be processed fairly for specified purposes and on the basis of the consent of the person concerned or some other legitimate basis laid down by law. Everyone has the right of access to data which has been collected concerning him or her, and the right to have it rectified.
3. Compliance with these rules shall be subject to control by an independent authority.”

The SUMEX consortium fully respects that each individual has the absolute right to privacy and protection of personal data. Personal data is defined as information that directly or indirectly relates to an identified or identifiable individual person. All research participants will be informed about the future use of non-anonymised data should such non-anonymised data be required.

4.2.4 Promoting justice and inclusiveness

This subtopic is related to the United Nations Sustainable Development Goal (SDG) No. 16 and includes for example the following principles:

- Compliance with laws and regulations;
- Anti-corruption;
- Public access to information;
- Inclusive decision making.

Therefore, a particularly important project implementation topic will be the initiation of public-private dialogues in relation with the extractive sector value chain.

4.2.5 Minimising harm and maximising benefit

The SUMEX consortium will consider moral-reasoning as central part of the project activities – especially if this is in connection to decision-making related to the ethics principle “Minimising harm and maximising benefit”.

4.2.6 Respecting and protecting the environment and future generations

The SUMEX partners will handle the environment as well as the basis of the life for future generations with great care and respect, in compliance with all legal and ethical provisions.

4.3 THE GENERAL DATA PROTECTION REGULATION (EU GDPR)

The protection of personal data is a fundamental right under the legislation of the European Union. Its main legal framework consists of the GDPR (<https://gdpr-info.eu/>). The SUMEX consortium consists of partner organisations that are all based in countries belonging to the European Union, therefore GDPR regulations will be applied for all project related activities.

4.3.1 Legal basis of processing personal data

Personal data and the corresponding processing of personal data is defined in the following way:

“Article 4 GDPR

1. ‘personal data’ means any information relating to an identified or identifiable natural person (‘data subject’); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person;
 2. ‘processing’ means any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction;
 3. ‘restriction of processing’ means the marking of stored personal data with the aim of limiting their processing in the future;
 4. ‘profiling’ means any form of automated processing of personal data consisting of the use of personal data to evaluate certain personal aspects relating to a natural person, in particular to analyse or predict aspects concerning that natural person’s performance at work, economic situation, health, personal preferences, interests, reliability, behaviour, location or movements;
 5. ‘pseudonymisation’ means the processing of personal data in such a manner that the personal data can no longer be attributed to a specific data subject without the use of additional information, provided that such additional information is kept separately and is subject to technical and organisational measures to ensure that the personal data are not attributed to an identified or identifiable natural person;
 6. ‘filing system’ means any structured set of personal data which are accessible according to specific criteria, whether centralised, decentralised or dispersed on a functional or geographical basis;
-”

The SUMEX consortium will be mainly processing data from:

- a) Representatives of the Advisory-Board;
- b) Stakeholders and Clustering/Networking partners;
- c) Research participants involved in the SUMEX activities.

In order to minimise the risks associated with data handling, the related project data may be pseudonymised or anonymised, whereas anonymised data is not being considered as personal data under the GDPR (see below).

Recital 26: (...) The principles of data protection should therefore not apply to anonymous information, namely information which does not relate to an identified or identifiable natural person or to personal data rendered anonymous in such a manner that the data subject is not or no longer identifiable. ⁶This Regulation does not therefore concern the processing of such anonymous information, including for statistical or research purposes.”

Anonymisation guarantees that the dataset containing personal data is modified in a way that makes it impossible to re-identify a particular individual.

Only in the following cases, processing of personal data is legally allowed:

“Article 6 GDPR:

¹Processing shall be lawful only if and to the extent that at least one of the following applies:

- a. the data subject has given consent to the processing of his or her personal data for one or more specific purposes;
- b. processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract;
- c. processing is necessary for compliance with a legal obligation to which the controller is subject;
- d. processing is necessary in order to protect the vital interests of the data subject or of another natural person;
- e. processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller;
- f. processing is necessary for the purposes of the legitimate interests pursued by the controller or by a third party, except where such interests are overridden by the interests or fundamental rights and freedoms of the data subject which require protection of personal data, in particular where the data subject is a child. “

²Point (f) of the first subparagraph shall not apply to processing carried out by public authorities in the performance of their tasks.

4.3.2 Ensuring security of personal data

Concerning security of personal data, the GDPR states the following:

“Article 32 GDPR:

1. Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, the controller and the processor shall implement appropriate technical and organisational measures to ensure a level of security appropriate to the risk, including inter alia as appropriate:
 - a) the pseudonymisation and encryption of personal data;
 - b) the ability to ensure the ongoing confidentiality, integrity, availability and resilience of processing systems and services;

- c) the ability to restore the availability and access to personal data in a timely manner in the event of a physical or technical incident;
 - d) a process for regularly testing, assessing and evaluating the effectiveness of technical and organisational measures for ensuring the security of the processing.
2. In assessing the appropriate level of security account shall be taken in particular of the risks that are presented by processing, in particular from accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to personal data transmitted, stored or otherwise processed.
 3. Adherence to an approved code of conduct as referred to in [Article 40](#) or an approved certification mechanism as referred to in [Article 42](#) may be used as an element by which to demonstrate compliance with the requirements set out in paragraph 1 of this Article.
 4. The controller and processor shall take steps to ensure that any natural person acting under the authority of the controller or the processor who has access to personal data does not process them except on instructions from the controller, unless he or she is required to do so by Union or Member State law.”

4.3.3 Appointment of a Data Protection Officer

According to Article 37 GDPR, a data protection officer has to be appointed in the following cases:

“Article 37 GDPR: Designation of the data protection officer

1. The controller and the processor shall designate a data protection officer in any case where:
 - a) the processing is carried out by a public authority or body, except for courts acting in their judicial capacity;
 - b) the core activities of the controller or the processor consist of processing operations which, by virtue of their nature, their scope and/or their purposes, require regular and systematic monitoring of data subjects on a large scale; or
 - c) the core activities of the controller or the processor consist of processing on a large scale of special categories of data pursuant to [Article 9](#) or personal data relating to criminal convictions and offences referred to in [Article 10](#).
-”

The main obligations of a Data Protection Officer are:

- to guarantee that all relevant data protection laws are fulfilled;
- to monitor all data relevant processes (for example: data protection impact assessments);
- to generate awareness for data protection in the organisation; and
- to train staff members on data protection issues.

More information can be found under the following link:

<https://gdpr-info.eu/issues/data-protection-officer/>

5 DATA SUMMARY

This section gives an overview of the type of data generated in the project and their purpose. A list of expected datasets for the SUMEX project is provided in Annex 1. This list includes, for example, a short description of the data, the expected format of the data creation, the origin of the data and their planned accessibility. It is intended that this list will grow substantially during the project duration.

5.1 PURPOSE OF DATA COLLECTION AND GENERATION

In order to create a uniform European framework for the sustainable management of the extractive industry, it is necessary to collect various data on the status quo and the special needs of this particular industry sector. Currently, the main challenge is that there is no common understanding of sustainability in the extractive industry. A multitude of definitions and guidelines provided from different stakeholders leads to a blurry understanding of what sustainability entails across all phases along the entire extractive value chain. Therefore, one of the first SUMEX goals is to gather information on relevant definitions and guidelines on sustainable extraction as well as all relevant projects in the field in order to analyse the existing circumstances and bring together good practice examples. This is implemented by connecting significant stakeholder groups and mapping their experience and their particular needs. By bringing this data together in an anonymised way a toolkit of good practices will be developed in order to assist stakeholders and policymakers in meeting the demand for a better and sustainable future in the extractive industry.

To achieve this key objective, it is necessary to:

- a) collect data via desktop research,
- b) screen various project databases,
- c) perform interviews/surveys and
- d) organise physical as well as virtual events and workshops.

The data and results generated in the SUMEX project should later be made available via a specially created toolkit for topics such as capacity building. In this connection it is very important that all GDPR rules and possible ethical aspects are adhered to.

5.2 ORIGIN OF DATA

Data collected and generated in the SUMEX project will stem from a wide variety of sources in order to map the entire field related to the extractive value chain and sustainable management as good as possible. This demands a manifold set of data collection methods and a maximum diversity in data sources.

The origin of data can mainly be allotted to the following sources:

- Databases inside the consortium, such as stakeholder contact lists
- Interviews with the SUMEX Advisory Board members and other external stakeholders
- Surveys with relevant external stakeholder groups
- Desktop research on sustainable development definitions and relevant policies and guidelines
- Screening of external databases for projects active in the extractive industry sector or of relevance to the extractive industry sector
- Clustering events and workshops with members of relevant projects and stakeholders active in the extractive industry or of relevance to that particular sector

- Digital learning events and activities with and for the Community of Practice (stakeholders interested to learn from and exchange on good practice)
- Feedback from the Advisory Board members and other important stakeholders

This list may grow depending on the progress of the project and potential additionally arising needs.

5.3 DATA TYPES AND FORMATS

5.3.1 Types of data

When it comes to data types, the first distinction that needs to be made is based on existing data protection regulations. This means that datasets containing personal data and those not containing any personal data need to be handled differently in respect to the privacy of personal data. This distinction leads to the following categorisation:

Table 1: Data categories

| Data(sets) containing personal data ¹ | Data(sets) not containing personal data |
|--|--|
| <ul style="list-style-type: none"> - Open data - Private data - Anonymised data | <ul style="list-style-type: none"> - Public data - Confidential data |

All of these data types will play a role in the SUMEX project and it is important that the consortium treats any data collected and generated by the project with utmost care.

At this point the following types of data are expected:

1. Open or public data:
 - Inventory of relevant extractives projects, policies and strategies
 - Reports and summaries on SUMEX events and workshops
 - Capacity building material
 - Published scientific papers, posters and presentations
 - Recordings of interviews or statements for dissemination purposes
2. Private data²:
 - Stakeholder lists with contact details
 - Interview recordings and transcripts
 - Survey responses
 - Event recordings
3. Anonymised data:
 - Outcomes of interview evaluations
 - Outcomes of survey evaluations
 - Event feedback

¹ 'Personal data' means any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.

² "Private data" is information about a person that can reasonably be expected to be secured from public view. It is considered a basic right that is important to safety, security and quality of life.

4. Confidential data:

- Coding datasets for project screenings as well as interview and survey evaluations
- Data in order to protect project related IPR

5.3.2 Data formats

Datasets usually contain multiple data formats. For example, the datasets needed in order to define the SUMEX sustainable development criteria and prepare the related report will include contact details of interview partners, interview recordings and transcripts and survey responses, while the basis for this result has been created via desktop research.

Therefore, the following data formats are expected:

- Documents, reports and publications: .pdf, .docx
- Spreadsheets: .xlsx
- Audiofiles: .mp3
- Videofiles: .mpeg, .mp4
- Pictures and graphics: .jpeg, .png
- Formats created via online tools: e.g. Word Cloud via Mentimeter or Murals

5.4 DATA UTILITY

Data generated and collected in the SUMEX project serves the purpose of supporting stakeholders and policymakers in the extractive industries with sustainable management. As such SUMEX data will be useful for anyone who works with or is interested in the permitting procedure along the extractive value chain, namely in relation to prospecting, exploration, extraction, processing, closure and post closure activities. Therefore, the SUMEX data will be useful for stakeholders of the extractive industry, policymakers, researchers, educational institutions, students and NGOs / civil society organisations. The outcomes of the project will set the scene for future sustainable development projects in this field.

5.5 PROJECT INTERNAL DATA STORAGE

5.5.1 Metadata for Internal Communication Platform

The SUMEX consortium uses a workspace provided by the project coordinator on the platform BSCW for project internal communication, collaboration and storage. All project related internal data and documents are stored and archived on this platform.

The following metadata are used to describe datasets stored on BSCW:

- File name
- File type
- Date and Version
- Work Package number
- Responsible person
- Lead partner
- Dissemination level

When uploading datasets to BSCW, project partners need to make sure that the same file names are used for uploading multiple and updated versions and that the metadata is provided as requested above.

6 FAIR DATA

In order to foster open science, SUMEX will base its data management strategy on the principle of FAIR data – Findable, Accessible, Interoperable and Re-usable. Exceptions for sharing data will only be made on the grounds of protecting the privacy of research or training participants.

The repository Zenodo³ has been chosen within the SUMEX project as the standard open research data repository to comply with the H2020 Open Access obligation. At the same time, Zenodo has been identified as fulfilling all criteria for FAIR data management. This interlink between FAIR data and Zenodo will be described in the following sections.

6.1 ZENODO DATA REPOSITORY

Zenodo is an open, dependable repository operated by CERN. Data uploaded to Zenodo is stored at the CERN Data Center. Any size or format of research outputs from any discipline is accepted. Through its connection to OpenAIRE, data collected within the scope of projects funded through Horizon 2020 and published via Zenodo can be automatically linked and reported to the EC Participant Portal.⁴

Within SUMEX Zenodo will be used for example as repository for:

- Publishing academic articles
- Public reports (in addition to the SUMEX website)
- Other public data: e.g. meta-data and raw data sets

It is the obligation of the lead partner responsible for the respective publication to make sure that all copyright and license conditions are met before uploading any files to the public repository Zenodo. In terms of licenses Zenodo offers open access publications but also embargoed access, restricted access and closed access. Whenever possible, open access publication is desirable and encouraged within the SUMEX project.

Publishing files via Zenodo is very simple and can be easily implemented by following the steps below:

- Create an account on Zenodo with your e-mail address and a username
- Click on the “Upload” button in the top menu
- An overview on your uploads is provided, which you can edit or amend or create a “New upload”
- Enter all necessary information according to the form and pre-reserve your DOI
- Click “Publish” to make your upload immediately available

6.2 MAKING DATA FINDABLE, INCLUDING PROVISIONS FOR METADATA

6.2.1 Data Object Identifier - DOI

SUMEX will make use of the standardised “ISO 26324, Digital Object Identifier System”. A unique “data object identifier” (DOI) number is assigned to each publication, thus making data findable and citable. If a DOI was not previously assigned by a publisher, Zenodo registers a new DOI for each upload and offers the option to pre-reserve a DOI before finalising an upload. This pre-reservation of a DOI allows researchers to use the DOI beforehand for publications and citations.

To allow revising, editing and updating of already published data or software, Zenodo offers an integrated DOI versioning system. For each version of the dataset a separate DOI will be registered automatically in order to ensure that each version is citable. All versions of one dataset will additionally be linked via a Concept DOI,

³ <https://zenodo.org/>

⁴ <https://help.zenodo.org/>

thereby providing a record of available versions of a certain dataset. This system guarantees machine-readable versioning without breaking the DOI of the original dataset which might already have been cited. By using the Concept DOI all versions can be cited at once.

6.2.2 Metadata

The definition of metadata for any data set is another important prerequisite for making data findable. Metadata should provide additional information on the background and origin of the data. They should include information on who is responsible for the data, how they were collected, with which methods and in what timeframe as well as a general abstract on the purpose and origin of the data and how they were processed. In Zenodo Metadata are requested by default for each upload, thereby assuring that data is findable based on this additional information.

The following Metadata are requested for publications in Zenodo and need to be provided for each upload within the SUMEX project:

- Upload Type (Publication, Poster, Presentation, Dataset, Image, Video/Audio, Software, Lesson, Physical Object, Other)
- Digital Object Identifier (DOI) – can be entered if already known or requested if no DOI exists yet
- Publication date
- Title
- Authors and Affiliation
- Description
- Version
- Language
- Keywords
- Additional notes
- Access right
- License
- Funding

Zenodo also offers a multitude of optional metadata that can be added in order to provide even more details depending on the nature of the upload:

- Related/alternate identifiers
- Contributors
- References
- Journal (Title, Volume, Issue, Pages)
- Conference (Title, Acronym, Dates, Place, Website, Session, Part)
- Book/Report/Chapter (Publisher, Place, ISBN, Title, Pages)
- Thesis (Awarding university, Supervisors)
- Subjects (To specify subjects from a taxonomy or controlled vocabulary. Each term must be uniquely identified (e.g. a URL).)

Whenever possible and applicable it is encouraged to provide any of these optional additional metadata as well.

6.2.3 SUMEX Keywords

In order to increase findability and reusability of data, a list of general keywords has been created by the SUMEX consortium. These keywords complete the set of metadata described above and a selection of these keywords should be used if deliverables, scientific publications or datasets are published.

The list of general keywords is as follows:

- Sustainable development framework
- Extractive Industries
- Environmental sustainability
- Social license to operate
- European Union
- Social and societal responsibility
- Operationalising sustainable management
- Environmental impact assessment
- Social impact assessment
- Policy integration
- Policy analysis
- Peer learning
- Mine & exploration permitting
- Health & Safety
- Land use planning
- Impact assessment
- Good-practice principles
- Digital toolkit
- Battery materials
- Construction materials
- Metals
- Mining
- Quarrying
- Industrial minerals
- Metals

6.2.4 Naming conventions

Datasets will be identified using the following naming conventions:

DS_WP_DataCategoryNo_DataController_Description_H2020_Acronym_UniqueDataNo

- “DS” refers to dataset
- “WP” refers to one of the seven project related work packages (WP1, WP2...WP7)
- “DataCategoryNo” refers to the following data category:
 - 1=Manually collected data
 - 2=Automatically collected data
 - 3=Contact information
- “Data Controller” refers to the short name of the project partner responsible for the dataset
- “Description” refers to a short description of the dataset (see example)
- “UniqueDataNo” is the next number of the research metadata list which can be accessed on the project internal communication platform

Example: *DS_WP1_3_MUL_HighLevelAdvisoryBoard_H2020_SUMEX_0001*



6.3 MAKING DATA OPENLY ACCESSIBLE

The SUMEX consortium, participating in the open access research pilot, is committed to publishing any anonymised content-based data per default via the Zenodo repository. Exceptions to this open access publication policy will only be made in order to protect personal data whenever anonymisation is not possible and in case of commercial interests. No other regulations are foreseen in the Consortium Agreement, which means that any datasets stemming from the SUMEX project will be published with open access while adequately protecting sensitive data.

6.4 MAKING DATA INTEROPERABLE

Zenodo as the preferred repository for the SUMEX project uses the JSONS schema as open standard file format and data interchange format in order to make (meta)data interoperable. It offers export to the popular formats Dublin Core or MARCXML amongst others. All vocabulary used in (meta)data is based on the FAIR principles. References to other / external (meta)data will be given as qualified references, providing context and explaining the intent of the given link. A resolvable URL will be provided for external (meta)data.⁵

Additionally, the SUMEX consortium intends to strengthen the interoperability of (meta)data by establishing a link between the project results and the Raw Materials Information System (RMIS), as described in more detail in section 10.

6.5 INCREASE DATA RE-USE (THROUGH CLARIFYING LICENCES)

To reach the widest re-use of datasets possible, licensing will be done via Creative Commons wherever possible. This allows everyone to access, exploit and disseminate all public datasets from the SUMEX project free of charge. Any research data will be made available as soon as possible, with no envisioned embargo periods and no restrictions for re-use. The availability of public datasets will also be promoted via the SUMEX website, thereby encouraging their reuse.

6.6 FAIR DATA PROVISIONS FOR THE SUMEX TOOLKIT

The SUMEX Toolkit, which shall be developed based on the outcomes of the research conducted within the SUMEX project, will also integrate the principles of FAIR data management. A key idea is to make the SUMEX Toolkit publicly available in order to offer all interested stakeholders the opportunity to learn from good practice examples of the extractive industry. This will contribute to building a Community of Practice. Technical specifications for this Toolkit will be defined in the next few project months, including provisions for making data of this toolkit findable, accessible, interoperable and reusable. In this context, too, the data management plan is adapted in accordance with the project's progress.

⁵ <https://about.zenodo.org/principles/>

7 ALLOCATION OF RESOURCES

The costs for data management are understood as an integral part of project management costs.

The SUMEX project consortium uses a project internal research data repository that does not involve any additional costs. Beside that long-term preservation of public data is ensured by using Zenodo.

Other necessary costs or resources that may arise in the future, for example, when using the SUMEX toolkit after the end of the project, must be clarified on a case-by-case basis within the next few project months.

8 DATA SECURITY

Ensuring data security is a joint effort of the SUMEX consortium. For each dataset created within the SUMEX project, the responsible partner is the Data Controller and as such in charge of data security and any other GDPR related requirements.

Requirements of data security are met in the SUMEX project mainly through:

- a) working with a secure internal communication platform for data storage;
- b) publishing in the trusted and certified repository Zenodo for safe long-term preservation and
- c) taking provisions from the start in order to assure data security of the SUMEX toolkit.

8.1 DATA SECURITY FOR THE INTERNAL COMMUNICATION PLATFORM

As mentioned before, the SUMEX project works with an internal communication platform and data repository. For this the cloud-based groupware BSCW (Basic Support for Collaborative Work) is used, provided by the project coordinator Montanuniversität Leoben. It ensures efficient data exchange between all SUMEX project partners, providing a secure archive for all and any data and documents generated as part of the project. The platform is password secured and can only be accessed by representatives of the SUMEX consortium partner organisations.

BSCW runs on its own virtual machine at Montanuniversität Leoben, separate from all other systems in order to provide independent data security especially for this platform. A backup of this entire virtual machine is created every night at 10pm CET and is saved for 2 months. Each backup that is saved is write-protected and encrypted so that it is also secured against hacker attacks.

8.2 SECURE PUBLISHING VIA ZENODO

The entire infrastructure for Zenodo is located directly on the premises of the renowned research institution CERN, a pioneer in open access. The configuration management system used ensures that the latest security patches are always applied to Zenodo servers. Further technical details on the elaborate security systems underlying Zenodo can be reviewed on this website: <https://about.zenodo.org/infrastructure/>

8.3 DATA SECURITY ASPECTS OF THE SUMEX TOOLKIT

The responsible partners will formulate respective data security aspects of the SUMEX Toolkit after the inception phase of the Toolkit has been finalised. The inception phase of the SUMEX Toolkit (the Toolkit comprises an e-learning as well as a repository component; see D4.1 Technical specification for the SUMEX Toolkit for more details) will commence with

- 1) the finalisation of Deliverable D4.1 “Technical specification for the SUMEX Toolkit”,
- 2) negotiations and contractual agreements for software programming of the repository component as well as

3) the conceptualisation of the e-learning component.

Consequently, the drafting of data security aspects of the SUMEX Toolkit will be developed in a timely manner in accordance with the conceptualisation and implementation of its first actions. All of this will be developed while strictly adhering to data protection and data privacy regulations, assuring highest levels of data security. This section will be regularly updated as developments proceed.

9 ETHICAL ASPECTS

This section gives an overview of all ethical aspects related to data handling during the SUMEX project implementation.

9.1 SUMMARY OF ETHICS AND PRIVACY ASPECTS

9.1.1 Commitment to ethical principles

The SUMEX consortium values research integrity and ethics very highly and sees it as the very basis of any responsible research activity. Therefore, it is always the highest goal to protect the welfare of anyone and anything involved in research endeavours. In the context of SUMEX this refers first and foremost to the protection of all individuals voluntarily taking part in any project activity such as interviews, surveys, workshops or any other learning and training activity. Additionally, any potentially harmful impacts of such project activities on the environment or society need to be avoided. All of this will be done by adhering to the GDPR regulations at all times.

Moreover, the SUMEX consortium will abide by the following principles of research integrity and research ethics as outlined by the Austrian Federal Ministry of Education, Science and Research:

Principles of research integrity:

- Independence: ensure objectivity and impartiality of the researcher
- Honesty: presenting research results in an honest way
- Scrupulousness: applying appropriate methods, processes and reporting
- Transparency: laying open all aspects on how the research results were achieved
- Fairness: treating other researchers with respect throughout the entire process

Principles of research ethics:

- Autonomy & self-determination: respect the individual right of free choice (e.g. via informed consent procedures)
- Beneficence / non-maleficence: obligation to minimise any potential harm
- Justice: fairness, equal treatment and distribution of resources (e.g. in relation to selecting research participants)

(cf. "Research Ethics / Research Integrity" Working Group of the Austrian Higher Education Conference, 2020: 11f)

9.1.2 Privacy strategy

To assure compliance with all applicable ethical and privacy requirements, the privacy strategy encompasses all data assurance activities that will be performed in relation with the SUMEX project.

The following list provides a rough outline of project activities related to data collection, data storage, publication of scientific papers, etc.:

- D7.2 Quality Assurance and Risk Management Plan as well as the SUMEX Consortium Agreement

- Dealing with several project internal procedures such as the official release process of scientific publications
- D7.3 Data Management Plan describes procedures for:
 - Data collection and handling
 - Open research data
 - Privacy and consent procedures
 - Technical solutions, storage of data, etc.
- Several SUMEX Deliverables are dealing with:
 - Data collection plans
 - Methods and specification of (automated data) collection and GDPR-conform functionality
 - Evaluation and analysis of data received (personal or anonymised data)
 - Data processing procedures, etc.
 - SUMEX toolkit will provide GDPR and ethics conform functionality

9.1.3 Collecting personal data

A summary of the legal framework in terms of General Data Protection Regulations was given in section 4. These regulations are especially relevant when it comes to personal data. Protection of personal data in research endeavours is of the utmost importance. The ground rule which the SUMEX consortium will operate under is therefore “data minimisation”, meaning that only data that is needed for the implementation of the project will be collected and personal data will only be requested if it is absolutely necessary. Any research activity in which any kind of data is collected, such as interviews and surveys, will be designed in a way that they ensure the maintenance of privacy of the participants.

9.1.4 Information letter and consent form

An informed consent procedure has been implemented, which ensures that every person participating in SUMEX research activities does so of their own free will on a voluntary basis. Proof of their voluntariness needs to be given via an informed written consent. This informed consent procedure consists of two documents for which templates are provided in Annex 2, namely the participant information letter and the informed consent form. Specific suggestions for these templates have been developed in order to match the different research activities. In Annex 2 templates are provided for:

- Interviews
- Events
- Surveys
- Other data collection activities

In the following the contents and goals of these two documents will be described shortly.

The Participant Information Letter:

- Provides background information on the SUMEX project, its purpose and goals
- Clarifies the reasons why a certain person has been invited to take part in the specific activity and that their participation is entirely on a voluntary basis
- Informs about the benefits of taking part in the project activity
- Explains potential risks of taking part
- Informs the participant about their rights to withdraw at any time and all relevant regulations in connection to the GDPR
- Explains how the collected data will be processed and stored and who will have access to them
- Describes briefly how the SUMEX project results are intended to be published
- Assures that data security is provided at any time and the SUMEX consortium is committed to protect privacy and anonymity by handling all data confidentially
- Offers the opportunity to inform participants about the outcome of the project and provides contact details of the responsible person who can answer any potential further questions

The Consent Form:

Via the consent form the participant declares that he or she...

- ...has read the information letter and agrees with its content
- ...agrees to take part in the activity
- ...understands that participation is entirely voluntary
- ...understands their right to withdraw and all rights provided via the GDPR
- ...gives permission for recording (video and/or audio) and/or taking pictures, if relevant
- ...explicitly gives permission to publishing the recording and/or pictures, if relevant

It is the responsibility of the each SUMEX partner to implement the processes in such a way that they comply with the legal, ethical and project related requirements.

Proof of consent for any research activity needs to be collected throughout the course of the project and stored by the responsible partner. Depending on the concrete project activity, this proof of consent can look as follows:

Table 2: Forms of consent depending on the project activity

| Project Activity | Proof of consent |
|------------------------------|---|
| Survey | Checkbox needs to be ticked before the survey can be accessed |
| In-person interview | Consent form needs to be signed |
| Online interview | Written consent needs to be given, either by signing the consent form or via E-Mail |
| Physical event | Consent form needs to be signed |
| Online event | Checkbox needs to be ticked before the event registration can take place |
| Other online data collection | Collect consent via a checkbox or E-Mail |

Consequently, the signed consent form or the corresponding E-Mails giving consent need to be saved and stored. For security reasons these documented proofs of consent should be regularly uploaded as backup to the internal communication platform BSCW.

9.1.5 Protecting personal data

Personal data will always be handled according to the GDPR. This implies that the responsible partner carrying out a research activity needs to ensure that all necessary information as listed above is given to the data subject in a clear, concise, transparent and easily understandable way by using simple language. The entire informed consent procedure needs to be followed whenever personal data is collected.

The individual right to privacy and satisfactory handling of personal data will not be violated. Adhering to the GDPR entails that any personal data that is stored is correct and up to date. What follows from this is that it has to be guaranteed that incorrect or incomplete data is corrected, supplemented or deleted. Whenever a data subject revokes consent or hands in a request for his or her data to be corrected, supplemented or deleted, the Data Controller is responsible for ensuring that this process is carried out in accordance with the law. All personal data collected in the SUMEX project will be stored on secure servers. Access control to the storage will be managed by the Data Controller.

9.1.6 Using and sharing of data

Whenever possible the principle rule is that data analysis should be carried out in an anonymised way. All personal data, including audio and video files, will be deleted after the full completion of the project. Unless explicit consent is given by each individual data subject, no personal data will be stored after full completion of all project-relevant processes (including date of final EC payment and expiry of the official retention period for project documents). Only anonymous data will be documented and archived accordingly in a research data repository following the GDPR and the FAIR data principles.

9.1.7 Managing contact information

In terms of managing contact information there needs to be a clear distinction between contacts to external parties of any partner that existed prior to the SUMEX project and contact information where contact has been established solely for project purposes.

If any partner uses already available contacts to external parties as part of the project, this contact information needs to be managed adequately by this particular partner within their organisation. The best example for this would be the contact list(s) that the project partner EFG generates and handles for dissemination purposes.

Any other contacts to external parties that are specifically established for SUMEX project purposes will be managed by the SUMEX consortium according to the GDPR. A secure storage location will be provided via the internal communication platform BSCW.

9.2 ETHICAL PROVISIONS FOR INDIGENOUS RESEARCH

In the context of the SUMEX project it might be possible that the experience of indigenous people in connection with the extractive industry will be of relevance. The SUMEX consortium will make sure to adhere to all necessary ethical guidelines concerning indigenous research. Therefore, the SUMEX consortium is taking care that whenever contact with indigenous people is sought, researchers are informed about their culture and society and that their values and traditions are being treated with respect. The partner in charge of the research activity will make sure that the activity will have no negative or harmful effects on that particular community. As in any research activity obtaining free, prior and informed consent in writing is a precondition for any kind of data collection. For that purpose, sufficient background on the SUMEX project and the specific research activity will be provided in due time, in order to allow potential participants an informed decision. The subjects are entitled to the denial of such consent without any consequences for them personally or their community as a whole. Anonymity of research participants needs to be assured at any time, especially so when dealing with small communities. Any aspects of data protection and privacy according to GDPR as described in section 4 and

related ethical aspects as described above in section 9 apply without exception to any research activity carried out within the SUMEX project.

10 LINK TO THE RAW MATERIALS INFORMATION SYSTEM

The Raw Materials Information System (RMIS) is a knowledge sharing platform established by the European Commission, developed by the Directorate-General (DG) Joint Research Centre (JRC) together with the DG for Internal Market, Industry, Entrepreneurship and SMEs (GROWTH).⁶ The platform focuses on non-fuel, non-agricultural raw materials from primary and secondary sources. It aims at bringing together comprehensive knowledge along the entire raw materials value chain from all relevant sources, thereby creating a central knowledge hub to support Europe in the areas of:

- raw materials policy,
- trade,
- material efficiency, stocks & flows and recycling and
- social & environmental sustainability.

As such it provides an ideal platform for sharing the outcomes of the SUMEX project, with the potential to support the sustainability of the project results beyond the project-lifetime. In preliminary talks between the SUMEX consortium and the JRC, the JRC has expressed interest specifically in the SUMEX toolkit and the Community of Practice. The specific needs in terms of data management in connection with the RMIS will be developed over the course of the project and adapted in this DMP as necessary. Specific separate agreements between the SUMEX consortium and the JRC can only set up based on the concrete project results. This topic will therefore be revisited at a later point in the project.

11 CONCLUSION

This document affects the work of all project related work packages, deliverables, work processes and project results.

MUL as coordinator of the SUMEX project will take care (in collaboration with the rest of the consortium) that any data management issues which might arise during the project will be managed properly in a transparent & fair way.

Formal approval and release of this Deliverable within the SUMEX consortium is understood as official commitment by all project partners to adhere to the data management strategy and the procedures and guidelines described in this document. If this document is officially approved by the EC, then the SUMEX consortium assumes that the data management processes described herein and adhered to by the project partners, are adequate.

⁶ <https://rmis.jrc.ec.europa.eu/>

12 REFERENCES

- ALLEA – The European Code of Conduct for Research Integrity (Revised Edition - 2017)
- Charter of Fundamental Rights of the European Union (2012), <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A12012P%2FTXT>
- General Data Protection Regulation (GDPR), <https://gdpr-info.eu/>
- H2020 - Annotated Model Grant Agreement: V5.2 -26.06.2019; Article 34 – Ethics and Research Integrity; page 269 ff.
- Regulation (EU) No 1291/2013 of the European Parliament and of the Council of 11 December 2013 – establishing Horizon 2020 – the Framework Programme for Research and Innovation (2014-2020) and repealing Decision No 1982/2006/EU; Article 19 Ethical Principles.
- “Research Ethics / Research Integrity” Working Group of the Austrian Higher Education Conference (2020): *Best Practice Guide for Research Integrity and Ethics*. Vienna: Austrian Federal Ministry of Education, Science and Research (BMBWF)

13 GLOSSARY

| Abbreviation | Explanation |
|--------------------------|---|
| 3L | Leaders and Learners League: A key measure to establish a working CoP is the presence of organisations and persons that drive an ongoing exchange and learning process. In order to foster this continuous process a selected group of people will be assigned a role in a 3L, that will be composed of members of SUMEX advisory board and organisations and persons that play a fundamental role in guiding the topic development. |
| Anonymised data | Data items that do not allow the identification of individuals in the data material, neither directly through names or personal ID number, nor indirectly through background variables, such as connection keys, encryption formulas or codes. |
| BSCW | Web-based groupware tool for efficient collaboration. The SUMEX consortium uses BSCW as project internal communication and collaboration platform. https://www.bscw.de/en/ |
| CoP | Community of Practice |
| CRM | Critical Raw Material. More information on CRM can be found here: https://ec.europa.eu/growth/sectors/raw-materials/specific-interest/critical_en |
| Creative Common Licences | Creative Commons licenses give everyone from individual creators to large institutions a standardised way to grant the public permission to use their creative work under copyright law; https://creativecommons.org/about/ccllicenses/ |
| Data Controller | Data Controller refers to the project partner responsible for the particular dataset |
| DG | Directorate-General = departments of the European Union’s government |
| DMP | Data Management Plan |
| DoA | Description of Action |
| DOI | Digital Object Identifier |
| EC | European Commission |

| | |
|-------------------|--|
| EGD | European Green Deal |
| FAIR data | Findable, Accessible, Interoperable, Re-usable data |
| GA | Grant Agreement |
| GDPR | General Data Protection Regulation https://gdpr-info.eu/ |
| Gold Open Access | Open access publishing (gold open access) means that an article is immediately provided in open access mode on the publisher or journal's webpage. Most publishers charge Article Processing Chargers (APCs) to make articles publicly available. |
| Green Open Access | Self-archiving (green open access) means that a published article or the final peer-reviewed manuscript is archived in an online repository before, in parallel or after its publication. In some cases, the author can delay access to the article (embargo period). However, H2020 regulations stipulate that embargo periods cannot exceed six months. |
| DG GROWTH | Directorate-General for Internal Market, Industry, Entrepreneurship and SMEs |
| JRC | Joint Research Centre = a Directorate-General of the EU |
| Personal data | Art. 4 GDPR (1) "Personal data" means any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. https://gdpr-info.eu/art-4-gdpr/ |
| Private data | "Private data" is information concerning a person that can reasonably be expected to be secured from public view. It is considered a basic right that is important to safety, security and quality of life. |
| Pseudonymisation | Art. 4 GDPR (5) "Pseudonymisation" means the processing of personal data in such a manner that the personal data can no longer be attributed to a specific data subject without the use of additional information, provided that such additional information is kept separately and is subject to technical and organisational measures to ensure that the personal data are not attributed to an identified or identifiable natural person. https://gdpr-info.eu/art-4-gdpr/ |
| RMIS | Raw Materials Information System https://rmis.jrc.ec.europa.eu/ |
| RMKG | Raw Materials Knowledge Gateway in relation with the Raw Materials Information System |
| SD | Sustainable Development |
| SDG | Sustainable Development Goal(s) |
| SLO | Social License to Operate |
| WS | Workshop |

| | |
|--------|--|
| Zenodo | <p>Zenodo is a catch-all research data repository that enables researchers, scientists, EU projects and institutions to share research results. Zenodo is harvested by the OpenAIRE portal and hosted by the CERN cloud infrastructure.</p> <p>https://zenodo.org/</p> <p>Zenodo is an open repository, enabling researchers from all disciplines to share and preserve their research outputs, regardless of size or format. Free to upload and free to access, Zenodo makes scientific outputs of all kinds citable, shareable and discoverable for the long term.</p> <p>Zenodo is the name derived from Zenodotus, the first librarian of the ancient library of Alexandria and father of the first recorded use of metadata, a landmark in library history.</p> |
|--------|--|

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ANNEX 1 | EXPECTED DATASETS

Table 3: Expected Datasets within the SUMEX project

| WP | Name of dataset | Description | Format | Responsible Partner | Origin | Class (PU/CO) | Comments |
|----|----------------------------|--|--------------------------|---------------------|--|---------------|--|
| 1 | Interviews | Transcripts, table with interview partner names and dates, consent | .xlsx .docx emails | MUL | External | CO | Results will go into D1.2 |
| 1 | Survey | Online survey | Tool TBC | MUL | External | CO | Results will go into D1.2 |
| 1 | Launch meeting | Word Cloud, Mentimeter | Online tools | OEKO | External | CO | Results published in D 5.1 |
| 2 | Preliminary coding dataset | Internal report summarises screening results of EU, national and regional projects, those from the EFG survey and industry practices | .pdf .docx .xlsx | LAY | Climate Calls (2014-2015, 2016-2017, 2018-2020), EFG survey results, industry documents (ICMM, Rio Tinto, Finnish Network of sustainable mining, Anglo American) | CO | Report is for internal use only and will compile all of the information gathered before the screening of policy options and good practices |
| 2 | Inventory of relevant | Compilation of the inventory of projects addressing the 5 SUMEX themes | .pdf .docx | LAY | Screenings | PU | Inventory of relevant extractives projects in Europe addresses the SUMEX themes and |



DELIVERABLE 7.3

| WP | Name of dataset | Description | Format | Responsible Partner | Origin | Class (PU/CO) | Comments |
|----|--|--|--------------------------------|---------------------|-----------|---------------|--|
| | extractives projects | | | | | | includes the results of the mapping and pre-screening for good practises. |
| 2 | Clustering partner list | List of projects, contact information of coordinators | .pdf .docx .xlsx | LAY | | CO | The following sources are for internal use only: EFG spreadsheet of potential partners, LAY identified partners, all SUMEX partners |
| 2 | Report on Clustering workshops | Summary of lessons learned and key takeaways | .pdf .docx | LAY | Workshops | PU | Compilation of 'snapshots' highlighting the problems addressed in the workshops, potential or actual solutions and recommended good practices. |
| 3 | Interviews (e.g. semi-structured, expert interviews) | table with interview partner names and dates, audio/video files, transcripts, personal data, demographics, consent forms | .mp4 .xlsx .docx .pdf | MUL, WUW, WUR | External | CO | Results will be used for Deliverables of WP3 (D3.1-D.3.3) |
| 3 | Policies/strategies datasets | Dataset consisting of various policies, strategies, etc., | .pdf and other sharable files | MUL, WUW, WUR | External | CO | Results will be used for Deliverables of WP3 (D3.1-D.3.3) |
| 3 | Focus Groups | table with interview partner names and dates, audio/video files, transcripts, personal data, demographics, consent forms, GDPR forms | .mp4 .xlsx .docx .pdf | MUL, WUW, WUR | External | CO | Results will be used for Deliverables of WP3 (D3.1-D.3.3) |
| 3 | Delphi Study | Survey, table with interview partner names and dates, Focus-group | .mp4 .xlsx | MUL, WUW, WUR | External | CO | Results will be used for Deliverables of WP3 (D3.1-D.3.3) |



DELIVERABLE 7.3

| WP | Name of dataset | Description | Format | Responsible Partner | Origin | Class (PU/CO) | Comments |
|----|--|---|---------------------------------------|---------------------|--|---------------|---|
| | | interviews, audio/video files, transcripts, personal data, demographics, consent form, GDPR forms | .docx .pdf | | | | |
| 3 | Surveys/Questionnaires | Online survey, personal data, consent, GDPR | Tool TBA | MUL, WUW, WUR | External | CO | Results will be used for Deliverables of WP3 (D3.1-D.3.3) |
| 4 | Personal interview transcripts, online surveys & consultations | Collection of interview data and survey data (via WU survey tool, etc.) for the purpose of elaborating project deliverables | .pdf .xlsx .docx Audio files | WUW | Interviews, online surveys | CO | |
| 4 | Digital learning events (webinars) participant contact list | collection of contact data, photographs, post-event survey data event registration services (e.g. Eventbrite account), online conferencing tools (e.g. ZOOM) | .pdf .xlsx .docx | WUW | Digital events | CO | |
| 5 | Recorded SUMEX Webinars and videos | video production, audio/video recordings, post-event survey data (summarised in D5.4) | Video files | WUW | Digital events (Project consortium & external) | CO | Original source material of video production will be confidential. The final processed video material will be published on the project or WUW WIMAS YouTube channel |
| 5 | Project documentation | Meeting agendas, minutes of meetings | .pdf .xlsx .docx | OEKO | Project Consortium | CO | Data used for efficient and high-quality WP coordination |



DELIVERABLE 7.3

| WP | Name of dataset | Description | Format | Responsible Partner | Origin | Class (PU/CO) | Comments |
|----|--|---|-----------------------|---------------------|-------------------------------------|---------------|--|
| 5 | Stakeholder list | List of stakeholders from academia, industry, authorities on MS, regional and EU level | .xlsx | OEKO | Own contacts and Project Consortium | CO | Data used for invitation management of digital and physical events |
| 5 | Summary of Kick-off workshop | Summary of Kick-off workshop | .pdf .docx | OEKO | Kick-off workshop | PU | Used for communication of workshop results |
| 5 | Recordings of workshops and events | | .mpeg .mp4 Etc. | OEKO | Workshops | CO | Used for preparation of minutes summary reports & sketch notes |
| 5 | Sketch notes | Summary Reports of 4 regional peer-learning and 1 EU peer-learning workshop | .pdf .docx | OEKO | Workshops | PU | Dissemination of workshop results |
| 5 | Summary report of diffusion workshop | Summarise and contextualise key outputs from conference with relevance for the project. | .pdf .docx | EFG | Project Consortium | PU | Dissemination of results |
| 5 | Webinars | Recorded SUMEX Webinars and videos | .mpeg .mp4 Etc. | WUW | Project Consortium | PU | Materials for peer-learning |
| 5 | Complementary capacity building material | Complementary capacity building material | .docx .pdf | EFG | Project Consortium | PU | Dissemination of results |
| 5 | Recordings of selected "clips" (statements/inter | Separately recorded or extracted videos with interesting statements | .mpeg .mp4 Etc. | EFG | Workshops | PU | Dissemination of workshop results |



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| WP | Name of dataset | Description | Format | Responsible Partner | Origin | Class (PU/CO) | Comments |
|----|----------------------------------|--|------------------------|---------------------|---|---------------|---|
| | views) from workshops and events | (used with the agreement of individuals – GDPR compliance) | | | | | |
| 6 | Stakeholder list | Contact details of project stakeholders | .xlsx | EFG | Project Consortium ' contacts, any other interested parties | CO | Data used to establish stakeholder network and engagement with interested parties |
| 6 | Dissemination report | List of dissemination activities (publications, events, newsletters, social media, etc.) | .xlsx | EFG | Project consortium | CO | |
| 7 | Project documentation | Meeting agendas, minutes of meetings, progress reports, etc. | .pdf .xlsx .docx | MUL | Project Consortium | CO | Data used for efficient and high-quality project coordination |

ANNEX 2 INFORMATION LETTER AND CONSENT FORM

This Annex provides templates of information letters and consent forms for various purposes – such as: a) general SUMEX activities, b) SUMEX related physical or online events, c) SUMEX related interviews and d) SUMEX related surveys.

These templates will be adapted according to specific needs and types of activities throughout the project duration.

A. GENERAL SUMEX ACTIVITIES

Participant information letter



Dear,

we cordially invite you, as an expert for extractive sector, to participate in the SUMEX project activities (<https://www.sumexproject.eu>). This project is funded by the European Union's Horizon 2020 research and innovation framework programme (2014-2020) under grant agreement No. 101003622.

Before you decide whether you would like to participate, it is important to understand why the SUMEX project is being undertaken and what might be your role in the project. Please take the time to read the following information carefully and possibly discuss it with your colleagues. Please don't hesitate to contact if anything is unclear or in the case that you would like to receive additional information.

What is the main purpose of the SUMEX (Sustainable Management in EXtractive industries) project?

The core objective of SUMEX is to set up a European sustainability framework in order to improve the permitting procedure along the extractive value chain (prospecting, exploration, extraction, processing, closure, post closure activities).

This undertaking specifically includes to:

- a) guarantee timely decision-making processes;
- b) enable a transparent governmental regulatory regime;
- c) offer attractive financial and administrative conditions;
- d) create sustainable environmental and social conditions.

The main mission of SUMEX is to assist policymakers and other stakeholders in seizing this opportunity.

Why have I been invited to participate?

You are invited to share your opinion and knowledge on the sustainable extraction value chain because you have been identified as someone who has extensive experience in the extractive sector and/or has a key role in your company/organisation active in this field. Your contribution will help the project consortium to achieve the project's objectives.

What will I have to do if I decide to participate in the planned SUMEX activities?

You are asked to read this information sheet and decide if you would like to participate in the SUMEX project activities. If you are willing to participate, please complete and sign the informed consent form.

Can I use my preferred language?

The standard language used in the SUMEX project is English. In exceptional cases and if possible, the information sheet and consent forms will be supplied in your preferred language. It may also be possible to use your



preferred language for interviews and for your description of project related experiences. Please note, if these activities are taking place in your preferred language (other than English), then the information you provide will be translated into English for project evaluation purposes.

What will be the benefits of taking part?

No particular incentives will be offered for your participation other than that you are invited to become part of the SUMEX stakeholder network and have access to the resources generated in the project. And of course, your contribution may help to improve the European extractive industry's sustainability efforts.

What are the possible risks in taking part?

There are no risks anticipated that are associated with your participation in the project activities. However, please make sure that you only share information that are allowed to be used in publications and other materials (all data will be anonymised).

What if I wish to withdraw from the participation?

You are completely free to withdraw from the participation in the project activities at any time and without any negative consequences.

Will my participation in the project activities be treated confidentially?

Your participation will be treated confidentially by default. Any project related documentation will be stored in a password protected file, accessible only by the responsible researcher conducting the project related activity. It will be stored until five years after the end of the project and will then be deleted, unless there is a legal ground for further processing of data. Some of your phrases describing your experience might be used for reports. However, there will be in no case any identifiable information in them relating to you as an individual. Your name, your contact details and any other identifiable information will not appear in any publications or project related reports, neither will there be anything to identify your workplace unless you have provided explicit consent for this to be included.

What happens to the information that I provide to the project?

Information received from you will be used for implementing the project objectives and may be included in project related publications, presentations and reports. However, your anonymised individual experience report and any data provided will not be transferred to other researchers outside of the SUMEX consortium.

In the case audio and video recordings took place during the project activities – they will only be used for analysis. No other use will be made of them without your written permission, and no one outside of the project consortium will be allowed access to the original recordings.

What are my rights (data subject rights)?

At any time, you have the right of access to, rectification and erasure of your personal data, restriction of data processing, the right to object, and the right to lodge a complaint with the respective National Data Protection Authority, pursuant to the applicable statutory regulations (Article 15 – 23 GDPR).

Further information

If you would like to get further information about the SUMEX project, please let us know and we will provide you with additional information.

Contact Point (including responsible DPO) for the particular activity and responsible DPO.

Remark: corresponding information need to be provided here



Consent Form



Consent Form –

Name of project partner:

Address of project partner:

Name of responsible person:

Name and contact of person in charge of data management:

Place & Date:

Please complete this consent form if you are willing to participate in the SUMEX project activities by ticking each box and signing at the bottom.

When completed please return a copy, either by e-mail or regular mail to.....

Declaration by Participant

Your name, address, organisation:

- I have read the information presented in the Participant Information Letter and agree with its content.
- I agree to participate in the project activities.
- I understand that my participation is entirely voluntary and I am under no obligation to carry any particular process and/or answer any particular question.
- I understand that I am free to withdraw my consent at any time.
- I give my permission that project related processes might be recorded (video and audio) and used for internal project purposes.

The protection of personal data (according to GDPR) is a high priority in the SUMEX project.

Following data may be collected and processed: name, contact address, organization, age group, gender, job function and stakeholder group, photos, chats, voice and video recordings in relation with the following research activities:

- Interviews and surveys with stakeholders and experts;
- Workshops/seminars with stakeholders and experts;
- Project related conferences and other events.

Additional project related information can be found on the project website: www.sumexproject.eu



Purpose of data use

Personal data will be anonymised, so that no relation between name and other personal data sets can be established. Anonymised data will be processed in connection with the project purpose, project dissemination activities and reporting to the European Commission:

- Communication within the SUMEX consortium to prepare interviews, surveys, workshops and other project related events;
- Sharing project related information or distribution of invitations to project relevant events;
- Project internal purposes in order to improve the SUMEX results (non-public);
- Reporting on project progress to the European Commission (non-public);
- Showcasing the project results to the public including reports, presentations, briefing documents or academic and other publications.

Processing of data includes the following steps:

- Collecting data;
- Anonymisation of data sets;
- Saving the anonymised data on a secure server of the project consortium;
- Exchanging data within the consortium for testing and evaluating the project results.

I hereby declare my consent to the use of my personal data in connection with the SUMEX project.

Participant Name:

Consent taken by:

Participant Signature:

Signature:

Date:

Date:

B. SUMEX RELATED PHYSICAL OR ONLINE EVENTS

Participant Information Letter



*[Title of event]
Organised by [organisation/company]
[Location, date & time]*

We cordially invite you, as an expert for *[e.g. the extractive sector]*, to participate in this event as part of the SUMEX project activities (<https://www.sumexproject.eu>). This project is funded by the European Union's Horizon 2020 research and innovation framework programme (2014-2020) under grant agreement No. 101003622.

Before you decide whether you would like to participate, it is important to understand why the SUMEX project is being undertaken and what might be your role in the project. Please take the time to read the following information carefully and possibly discuss it with your colleagues.

Please don't hesitate to contact *[contact details for person in charge of this event]* if anything is unclear or in the case that you would like to receive additional information.

What is the main purpose of the SUMEX (Sustainable Management in EXtractive industries) project?

The core objective of SUMEX is to set up a European sustainability framework in order to improve the permitting procedure along the extractive value chain (prospecting, exploration, extraction, processing, closure, post closure activities).

This undertaking specifically includes to:

- a) guarantee timely decision-making processes;
- b) enable a transparent governmental regulatory regime;
- c) offer attractive financial and administrative conditions;
- d) create sustainable environmental and social conditions.

The main mission of SUMEX is to assist policymakers and other stakeholders in seizing this opportunity.

What is the main purpose of this SUMEX event?

This SUMEX event aims at bringing together various stakeholders of the extractive industry in order to *[for example: identify, collect and discuss best practice examples in the extractive sector event]*

[Provide more information to this particular event]

Why have I been invited to participate?

You are invited to share your opinion and knowledge on the sustainable extraction value chain because you have been identified as someone who has extensive experience in the extractive sector and/or has a key role in your company/organisation active in this field. Your contribution will help the project consortium to achieve the project's objectives.



What will I have to do if I decide to participate in the planned SUMEX activities?

[Explain the modalities for this specific event, what is planned, how long will it take, if any feedback is expected at the end etc.]

You are asked to read this information sheet and, in case you decide to participate, please complete and sign the informed consent form.

What will be the benefits of taking part?

Your participation is entirely voluntary. No particular incentives will be offered for your participation. You are invited to become part of the SUMEX stakeholder network and have access to the resources generated in the project. Your contribution may help to improve the European extractive industry's sustainability efforts.

[Adapt in case any specific benefits apply for this particular event]

What are the possible risks in taking part?

There are no anticipated risks.

What if I wish to withdraw from the participation?

You are completely free to withdraw from the participation in the project activities at any time and without any negative consequences.

Will my participation in the project activities be treated confidentially?

Your participation will be treated confidentially by default. The contact information (full name, email, organisation) collected during the registration will not be publicly available or shared with any third parties outside the project without your prior consent. Any project related documentation will be stored in a password protected file, accessible only by members of the SUMEX consortium. It will be stored until five years after the end of the project and will then be deleted, unless there is a legal ground for further processing of data.

[OPTIONAL for recordings:

“The video and audio tapes taken during the event will be used for research and outreach purposes and may be made publicly available fully or in part via the project’s newsletter, website and social media channels. Please be aware that if you decide to share your real name and video on [specify; e.g. Zoom], this data may be published as part of the event recordings. However, you are free to disable your video function and use a pseudonym at any time in order to protect your identity.”

OR if no publicly available recordings:

“Some of your phrases describing your experience might be used for reports. However, there will be in no case any identifiable information in them relating to you as an individual. Your name, your contact details and any other identifiable information will not appear in any publications or project related reports, neither will there be anything to identify your workplace unless you have provided explicit consent for this to be included.”]

What happens to the information that I provide to the project?

Information received from you will be used for implementing the project objectives and may be included in project related publications, presentations and reports.

[For anonymised data:

“However, your anonymised individual experience report and any data provided will not be transferred to other researchers outside of the SUMEX consortium. In the case audio and video recordings took place during the project activities – they will only be used for analysis. No other use will be made of them without your written



permission, and no one outside of the project consortium will be allowed to have access to the original recordings.”

If recordings/pictures will be made publicly available, please specify⁷:

[Where will it be made available, which tools will be used, who will have access to it and how]

What are my rights (data subject rights)?

At any time, you have the right of access to, rectification and erasure of your personal data, restriction of data processing, the right to object, and the right to lodge a complaint with the respective National Data Protection Authority, pursuant to the applicable statutory regulations (Article 15 – 23 GDPR).

Further information

If you would like to get further information about the SUMEX project, please let us know and we will provide you with additional information.

Contact Point for and responsible Data Protection Officer (DPO) for this event:

If you have any general questions in relation with the event, please contact:

[add contact details of the organiser]

If you have any questions in relation with the data protection measures, please contact:

[if not the same as organiser, add contact details of the responsible DPO]

⁷ **General Remark for the preparation of the event:** If you plan to use the recording for a publication or broadcast or deposit in archive, it will usually be best to prepare and sign a separate release form for each item used.



Consent Form – Title of the project event



Name of project partner:

Address of project partner:

Name of responsible person:

Name and contact of person in charge of data management:

Place & Date:

Please complete this consent form if you are willing to participate in the SUMEX project activities by ticking each box and signing at the bottom.

When completed please return a copy, either by e-mail or regular mail to.....

Declaration by Participant

Your name, address, organisation:

- I have read the information presented in the Participant Information Letter and agree with its content.
- I agree to participate in the project event.
- I understand that my participation is entirely voluntary and I am under no obligation to carry any particular process and/or answer any particular question.
- I understand that I am free to withdraw my consent at any time.
- I give my permission that project related processes might be recorded (video and audio) and used for project internal purposes.
- [OPTIONAL: "I give my permission that recordings and/or pictures from this event may be published."]*

The protection of personal data (according to GDPR) is a high priority in the SUMEX project.

Following data may be collected and processed: name, contact address, organisation, age group, gender, job function and stakeholder group, photos, chats, voice and video recordings in relation with *[name the activity/event title]*.

Additional project related information can be found on the project website: www.sumexproject.eu

Purpose of data use

Personal data will be anonymised, so that no relation between name and other personal data sets can be established. Anonymised data will be processed in connection with the project purpose, project dissemination activities and reporting to the European Commission:

- Communication within the SUMEX consortium to prepare interviews, surveys, workshops and other project related events;



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- Sharing project related information or distribution of invitations to project relevant events;
- Project internal purposes in order to improve the SUMEX results (non-public);
- Reporting on project progress to the European Commission (non-public);
- Showcasing the project results to the public including reports, presentations, briefing documents or academic and other publications.

Processing of data includes the following steps:

- Collecting data;
- Anonymisation of data sets;
- Saving the anonymised data on a secure server of the project consortium;
- Exchanging data within the consortium for testing and evaluating the project results.

I hereby declare my consent to the use of my personal data in connection with the SUMEX project.

Participant Name:

Consent taken by:

Participant Signature:

Signature:

Date:

Date:

C. SUMEX RELATED INTERVIEW

Participant Information Letter



Dear *[add name of participant]*,

We cordially invite you, as an expert for *[e.g. the extractive sector]*, to participate in an interview as part of the SUMEX project activities (<https://www.sumexproject.eu>). This project is funded by the European Union's Horizon 2020 research and innovation framework programme (2014-2020) under grant agreement No. 101003622.

The interview will be conducted by researchers from *[add organisation name of the interviewer]*.

Before you decide whether you would like to participate, it is important to understand why the SUMEX project is being undertaken and what might be your role in the project. Please take the time to read the following information carefully and possibly discuss it with your colleagues.

Please don't hesitate to contact *[contact details for person conducting the interview/in charge of the activity]* if anything is unclear or in the case that you would like to receive additional information.

What is the main purpose of the SUMEX (Sustainable Management in EXtractive industries) project?

The core objective of SUMEX is to set up a European sustainability framework in order to improve the permitting procedure along the extractive value chain (prospecting, exploration, extraction, processing, closure, post closure activities).

This undertaking specifically includes to:

- e) guarantee timely decision-making processes;
- f) enable a transparent governmental regulatory regime;
- g) offer attractive financial and administrative conditions;
- h) create sustainable environmental and social conditions.

The main mission of SUMEX is to assist policymakers and other stakeholders in seizing this opportunity.

What is the purpose of this interview?

[Add reasons for this specific interview – what is the goal of it and what do you want to get out of it?]

Why have I been invited to participate?

You are invited to share your opinion and knowledge on the sustainable extraction value chain because you have been identified as someone who has extensive experience in the extractive sector and/or has a key role in your company/organisation active in this field. Your contribution will help the project consortium to achieve the project's objectives.

[Adapt according to the selection process for this interview. Which profile were you looking for in your interview partners?]

What will I have to do if I decide to participate in the planned SUMEX activities?



You are asked to read this information sheet and, in case you decide to participate, please complete and sign the informed consent form.

[Explain the modalities for this interview, what is planned, how long will it take, if any feedback is expected at the end etc.]

Example: “The interviewer will ask you questions on the topic of sustainability in the extractive industry. We invite you to share your knowledge and experience with us. You will also have the opportunity to raise issues that you believe are relevant in that connection. There are no wrong answers and any input that you can provide is highly appreciated. You are under no obligation to answer the questions that are asked and you may decide not to answer any if you wish. We understand that there may be some restrictions about the information that you are free to share, for example where data is commercially sensitive, and request that you only share information you are happy to share in this context.

Depending upon your location and availability the interview may be conducted face to face but it is more likely that you will be interviewed via telephone or [insert online tool e.g. Webex], depending upon your preference. We ask that you put aside one hour for the interview as it should last for 30 - 40 minutes.”]

The *[video-]*interview will be used for research purposes.

Can I use my preferred language?

The standard language used in the SUMEX project is English. In exceptional cases and if possible, the information sheet and consent forms will be supplied in your preferred language. *[Add if applicable: “Depending on the availability of interviewers, it may be possible to conduct interviews in your preferred language.”]* Please note, if any activities are taking place in your preferred language (other than English), then the information you provide will be translated into English for project evaluation purposes.

[Specify if in this interview it will be possible to use any other language than English]

What will be the benefits of taking part?

Your participation is entirely voluntary. No particular incentives will be offered for your participation. You are invited to become part of the SUMEX stakeholder network and have access to the resources generated in the project. Your contribution may help to improve the European extractive industry’s sustainability efforts.

[Adapt in case any specific benefits apply for this specific interview]

What are the possible risks in taking part?

There are no risks anticipated that are associated with your participation in the project activities. However, please make sure that you only share information that are allowed to be used in publications and other materials (all data will be anonymised).

What if I wish to withdraw from the participation?

You are completely free to withdraw from the participation in the project activities at any time and without any negative consequences.

Will my participation in the project activities be treated confidentially?

Your participation will be treated confidentially by default. Your contact information (full name, email, organisation) will not be publicly available or shared with any third parties outside the project without your prior consent. Your personal data will only be received by *[Name of Organisation/company carrying out the interview]* as conductor of the interview. As such *[Name of Organisation/company carrying out the interview]* is also the data controller as defined by the GDPR. Any project related documentation will be stored in a password protected file, accessible only by members of the SUMEX consortium. It will be stored until five years after the



end of the project and will then be deleted, unless there is a legal ground for further processing of data. If you have any questions about data protection, contact details can be found at the end of this letter.

[If applicable add a section on sharing the interview publicly. E.g.: “The interview or some excerpts of it might be showcased in the course of the SUMEX project via the project website <https://www.sumexproject.eu>, social media and the project newsletter.”

OR:

“Some of your phrases describing your experience might be used for reports. However, there will be in no case any identifiable information in them relating to you as an individual. Your name, your contact details and any other identifiable information will not appear in any publications or project related reports, neither will there be anything to identify your workplace unless you have provided explicit consent for this to be included.”]

What happens to the information that I provide to the project?

Information received from you will be used for implementing the project objectives and may be included in project related publications, presentations and reports.

[For anonymised data:

“However, your anonymised individual experience report and any data provided will not be transferred to other researchers outside of the SUMEX consortium. In the case audio and video recordings took place during the project activities – they will only be used for analysis. No other use will be made of them without your written permission, and no one outside of the project consortium will be allowed access to the original recordings.”

If recordings/pictures will be made publicly available, please specify⁸:

Where will it be made available, which tools will be used, who will have access to it and how]

What are my rights (data subject rights)?

At any time, you have the right of access to, rectification and erasure of your personal data, restriction of data processing, the right to object, and the right to lodge a complaint with the respective National Data Protection Authority, pursuant to the applicable statutory regulations (Article 15 – 23 GDPR).

Further information

If you would like to get further information about the SUMEX project, please let us know and we will provide you with additional information.

Contact Point for and responsible Data Protection Officer (DPO) for this event:

If you have any questions in relation with the interview itself, please contact:

[add contact details of the interviewer]

If you have any questions in relation with data protection issues, please contact:

[if not the same as organiser, add contact details of the responsible DPO]

⁸ General Remark for the preparation of the event: If you plan to use the recording for a publication or broadcast or deposit in archive, it will usually be best to prepare and sign a separate release form for each item used.



Consent Form – Title of the project event

Name of project partner:

Address of project partner:

Name of responsible person:

Name and contact of person in charge of data management:

Place & Date:

Please complete this consent form if you are willing to participate in the SUMEX project activities by ticking each box and signing at the bottom.

When completed please return a copy, either by e-mail or regular mail to.....

Declaration by Participant

Your name, address, organisation:

- I have read the information presented in the Participant Information Letter and agree with its content.
- I agree to participate in the project event.
- I understand that my participation is entirely voluntary and I am under no obligation to carry any particular process and/or answer any particular question.
- I understand that I am free to withdraw my consent at any time.
- I give my permission that project related processes might be recorded (video and audio) and used for project purposes.
- [OPTIONAL: "I give my permission that recordings and/or pictures from this event may be published."]*

The protection of personal data (according to GDPR) is a high priority in the SUMEX project.

Following data may be collected during the interview and processed: name, contact address, organisation, age group, gender, job function and stakeholder group, photos, chats, voice and video recordings.

Additional project related information can be found on the project website: www.sumexproject.eu

Purpose of data use

Personal data will be anonymised, so that no relation between name and other personal data sets can be established. Anonymised data will be processed in connection with the project purpose, project dissemination activities and reporting to the European Commission:

- Communication within the SUMEX consortium to prepare interviews, surveys, workshops and other project related events;
- Sharing project related information or distribution of invitations to project relevant events;



DELIVERABLE 7.3

- Project internal purposes in order to improve the SUMEX results (non-public);
- Reporting on project progress to the European Commission (non-public);
- Showcasing the project results to the public including reports, presentations, briefing documents or academic and other publications.

Processing of data includes the following steps:

- Collecting data;
- Anonymisation of data sets;
- Saving the anonymised data on a secure server of the project consortium;
- Exchanging data within the consortium for testing and evaluating the project results.

I hereby declare my consent to the use of my personal data in connection with the SUMEX project.

Participant Name:

Consent taken by:

Participant Signature:

Signature:

Date:

Date:



D. SUMEX RELATED SURVEY

WELCOME TO THE SUMEX survey on the following topic:.....

Thank you for your interest in taking part in our survey. We highly appreciate your participation! The survey will take approximately *xxxx* minutes.

Before you decide whether you would like to participate, it is important for you to understand why the SUMEX project is being undertaken and what might be your role in the project. Please take the time to read the following information carefully and possibly discuss it with your colleagues.

Please don't hesitate to contact [*contact details for person in charge of the survey*] if anything is unclear or in the case that you would like to receive additional information.

What is the main purpose of the SUMEX (Sustainable Management in EXtractive industries) project?

The core objective of SUMEX (<https://www.sumexproject.eu>) is to set up a European sustainability framework in order to improve the permitting procedure along the extractive value chain (prospecting, exploration, extraction, processing, closure, post closure activities).

This undertaking specifically includes to:

- a) guarantee timely decision-making processes;
- b) enable a transparent governmental regulatory regime;
- c) offer attractive financial and administrative conditions;
- d) create sustainable environmental and social conditions.

The main mission of SUMEX is to assist policymakers and other stakeholders in seizing this opportunity. This project is funded by the European Union's Horizon 2020 research and innovation framework programme (2014-2020) under grant agreement No. 101003622.

What is the purpose of this survey?

The purpose of this survey is to investigate

[Add more information on the topics of this specific survey– what is the goal of it and what do you want to get out of it?]

Why have I been invited to participate?

You are invited to share your opinion and knowledge on the sustainable extraction value chain because [*explain your target group, e.g. "you have been identified as someone who has extensive experience in the extractive sector and/or has a key role in your company/organisation active in this field."*] Your contribution will help the project consortium to achieve the project's objectives.

What will I have to do if I decide to participate in the planned SUMEX activities?

If you agree to take part, you will need to complete an online survey. You will be asked to give informed consent prior to starting the questionnaire. Your participation is taking place online and should take approximately [*add expected duration*] minutes to complete. You will be asked to answer the questions as honestly and accurately as possible.

[Explain the modalities for this survey: What will the questions look like? E.g. "There will be multiple choice questions, questions with scales where you need to rate how much you agree with a certain statement and a



few open questions. At the end of the survey you will have the opportunity to give us some feedback. If you are interested in taking part in future survey of the SUMEX project, you are invited to provide your email address at the end of the survey. To stay up to date on the progress of our project you will also be invited to sign up for our SUMEX newsletter.”

What will be the benefits of taking part?

Your participation is entirely voluntary. No particular incentives will be offered for your participation. You are invited to become part of the SUMEX stakeholder network and have access to the resources generated in the project. Your contribution may help to improve the European extractive industry’s sustainability efforts.

[Adapt in case any specific benefits apply for this specific survey.]

What are the possible risks in taking part?

There are no risks anticipated that are associated with your participation in the project activities. However, please make sure that you only share information that are allowed to be used in publications and other materials (all data will be anonymised).

What if I wish to withdraw from the participation?

You are completely free to withdraw from the participation in the project activities at any time and without any negative consequences.

Will my participation in the project activities be treated confidentially?

Your participation will be treated confidentially by default. Any data you provide in this survey will be anonymised. There will be in no case any identifiable information in them relating to you as an individual. *[Name of Organisation/company carrying out the survey]* is the data controller as defined by the GDPR. Any project related documentation will be stored in a password protected file, accessible only by members of the SUMEX consortium. It will be stored until five years after the end of the project and will then be deleted, unless there is a legal ground for further processing of data. If you have any questions in relation with data protection issues, contact details can be found at the end of this letter.

What happens to the information that I provide to the project?

Information received from you will be used for implementing the project objectives and may be included in project related publications, presentations and reports.

[Adapt if the results will be used for any other purposes]

What are my rights (data subject rights)?

At any time, you have the right of access to, rectification and erasure of your personal data, restriction of data processing, the right to object, and the right to lodge a complaint with the respective National Data Protection Authority, pursuant to the applicable statutory regulations (Article 15 – 23 GDPR).

Further information

For more information, please visit our webpage: www.sumexproject.eu

If you would like to get further information about the SUMEX project, please let us know and we will provide you with additional information.

Contact Point for and responsible Data Protection Officer (DPO) for this survey:

If you have any general questions about the survey, please contact:

[add contact details of the interviewer]

If you have any questions about data protection for this survey, please contact:

[if not the same as organiser, add contact details of the responsible DPO]

Thank you for taking the time to read this information!

Informed Consent

Please complete this consent form if you are willing to participate in this SUMEX survey by ticking each box.

- I have read the information presented above and agree with its content.
- I understand that my participation is entirely voluntary and I am under no obligation to carry any particular process and/or answer any particular question.
- I understand that I am free to withdraw my consent at any time.
- I give my permission that the outcomes of this survey are used for project purposes.
- I agree to participate in the project survey.

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