

RE-SOURCING D5.1 – Common approach for peer learning and good practice guidance

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1 Introduction

Responsible Sourcing (RS), whilst being a term commonly referred to by different stakeholders who work on and are affected by the Sustainable Development Agenda; its concept and implementation remains vague both amongst EU and non-EU stakeholders. For the implementation of RS practices, guidance and collaboration is required at a number of levels: firms to learn from other firms; sectors to share experiences with other sectors; and for international agendas to integrate their strategies and share common objectives and the means to achieve them. These three levels are further intersected by global mineral value chains, where activities in one supply chain provide input to a number of firms across sectors. The source of these minerals, often global in nature, also implies that both, developing and developed countries are involved in the international agenda setting process that informs RS practices. RE-SOURCING, considering these complexities, employs a holistic approach that integrates

- firms and industry;
- three key EU sectors (renewable energy, mobility, electric and electronic equipment);
- EU and other important actors (political, economic, financial, social & environmental);
- Global Mineral Value Chains of traditional minerals (e.g. copper), conflict minerals (3TG) and green tech minerals (e.g. Lithium); and
- international agenda setting processes.

RE-SOURCING is a four-year project (November 2019 – October 2023), with 11 partners from different European countries, that is coordinated by the Vienna University of Economics and Business. The project consortium will be working together to develop the RE-SOURCING Platform to strengthen the responsible sourcing agenda among EU and international stakeholders.

The RE-SOURCING project actions will:

- facilitate the development of a globally accepted definition of RS;
- develop ideas for incentives facilitating responsible business conduct in the EU, supporting RS initiatives;
- enable the exchange of stakeholders for information and promotion of RS;
- foster the emergence of RS in international political fora; and
- support the European Innovation Partnership on Raw Materials.

RE-SOURCING will deliver:

- For EU and international business stakeholders:
 - increased capacity of decision-makers for implementing responsible business conduct;
 - better understanding and awareness of RS in three sectors of renewable energy, mobility and electric and electronic equipment; and
 - facilitated implementation of lasting and stable sectoral framework conditions for RS.
- For EU policymakers:
 - increased capacity for RS policy design and implementation;
 - innovative ideas on policy recommendations for stimulating RS in the private sector; and

- better understanding and awareness on RS in three sectors of renewable energy, mobility and electric and electronic equipment.

■ For Civil Society:

- integration of sustainable development and environmental agenda into the RS discourse;
- an established global level playing field of RS in international political fora and business agendas; and
- better understanding and awareness on RS in three sectors of renewable energy, mobility and electric and electronic equipment.

This report outlines the conceptual basis for the RE-SOURCING good practice learning¹ and peer learning actions. Against this background, the report addresses questions of elaboration procedures, roles and responsibilities, and academic as well as practitioner background on these concepts. It will serve as a guide for project partners and will be complemented by individual process documents in the follow-up implementation of both concepts. These documents will comprise of templates and step-by-step instructions for Flagship case elaboration and the peer learning process, respectively, including the organization of workshops, selected peer learning methods and instructions for elaborating good practice cases. Through this two-step approach, the concepts of good practice learning and peer learning can already be communicated and explained to partners at this early stage, while allowing the project to develop the more tailor-made processes in parallel. These processes are currently starting with the identification of the specific challenges to be addressed in the three sectors of the project (renewable energy, mobility, electronics) by the sector leads and will ultimately serve as guidelines for organising good practice case elaboration and peer learning events. As such, the project avoids dictating a top-down methodology based on insufficient knowledge of implementation requirements and topical discourses along the three sectors.

The two main sections of this report cover good practice learning and peer learning. Both concepts draw heavily on experiences of previous projects and activities on peer learning and Flagship case elaboration in MIN-GUIDE, MinLand and ESDN². The process of good practice learning is based on

¹ **Peer learning** is commonly defined as a ‘two-way reciprocal learning activity’ in which learning should be “mutually beneficial and involve the sharing of knowledge, ideas and experience between the participants”. Peers are defined as equals in, for example, position (e.g. national policy makers), or individuals that are brought together by a shared practice (e.g. communities of practice). ; Boud, D., Cohen, R., & Sampson, J. (Eds.). (2001). Peer learning in higher education: learning from & with each other. London : Sterling. Wenger (2000). Communities of Practice and Social Learning Systems, *Organization*, 7(2), 225–246.

² The WU RE:SOURCING project team has already applied the knowledge exchange and co-production approach in several forms of policy and stakeholder dialogues in European-wide policy networks (European Sustainable Development Network) and EU funded projects like MIN-GUIDE, Minland, COBALT, RESPONDER. The project team has long-time experiences in process design for stakeholder dialogues and knowledge co-production, event facilitation: [Endl, A., Berger, G., Gottenhuber,](#)

documents and reports including tangible, documented knowledge to be accessed by interested stakeholders. Learning from cases often constitutes a learner-centred process where interaction and exchange lies at the core of knowledge construction,³ thus, case learning is often solution-oriented and strives to operationalise success-factors and challenges in order to ‘solve’ a specific challenge at hand.⁴ Peer learning on the other hand will be organised at dedicated events and is based on more intangible knowledge promoted through personal exchange and the sharing of experiences. Peer learning event participants will be able to co-create knowledge by sharing experiences with each other and learn about the solutions others have applied. Practitioners not taking part in peer learning activities will have the opportunity to learn from these experiences in so-called Guidance documents which will be informed by the outcomes of the peer learning events and good practice cases.

The main RE-SOURCING outputs related to peer learning and good practice learning are:

- Three Flagship case working papers that outline the dynamics, challenges and factors hindering the uptake of good practices of selected Flagship cases.
- Four Guideline documents for good practice learning (one per sector and a final cross-sectoral document), containing an in-depth elaboration of Flagship cases and their good practice elements such as framework conditions, success factors and barriers for transferability.
- Six peer learning events (3 sectoral Flagship Labs and 3 Webinars) where participants can benefit from the RE-SOURCING peer learning approach.

Figure 1 shows the distinction between the two processes. The Flagship case elaboration process is focused on desk research and communicating knowledge in clearly defined terms such as the Guideline documents. These documents can be shared with stakeholders as guidelines for the further dissemination and uptake of good practice. The peer learning approach on the other hand is based on personal interactions between stakeholders at different events (physical and online). Participants will share their knowledge and personal experiences about case specific insights. Thus, the co-creation of knowledge at the peer learning events will happen directly and verbally through different facilitation formats. After the events, the outcomes of these discussion will be compiled in written form to inform the compilation of Guideline documents as well as allowing interested stakeholders to have access to this pool of knowledge.

S. (2018). *Minland Common Approach for peer learning and good practice guidance*; Pisano, U., Berger, G. (2016), *Exploring Peer Learning to Support the Implementation of the 2030 Agenda for SD*, ESDN Quarterly Report, ed. 40, April; MIN-GUIDE website: <https://cordis.europa.eu/project/id/689527/de>

³ Jonassen, D.H. and Hernandez-Serrano, J., (2002) Case-based reasoning and instructional design: Using stories to support problem solving. *Educational Technology Research and Development*, 50(2), pp.65-77.

⁴ Shapiro, B. P. (1984). *Hints for case teaching*. Harvard Business School, 9-585-012

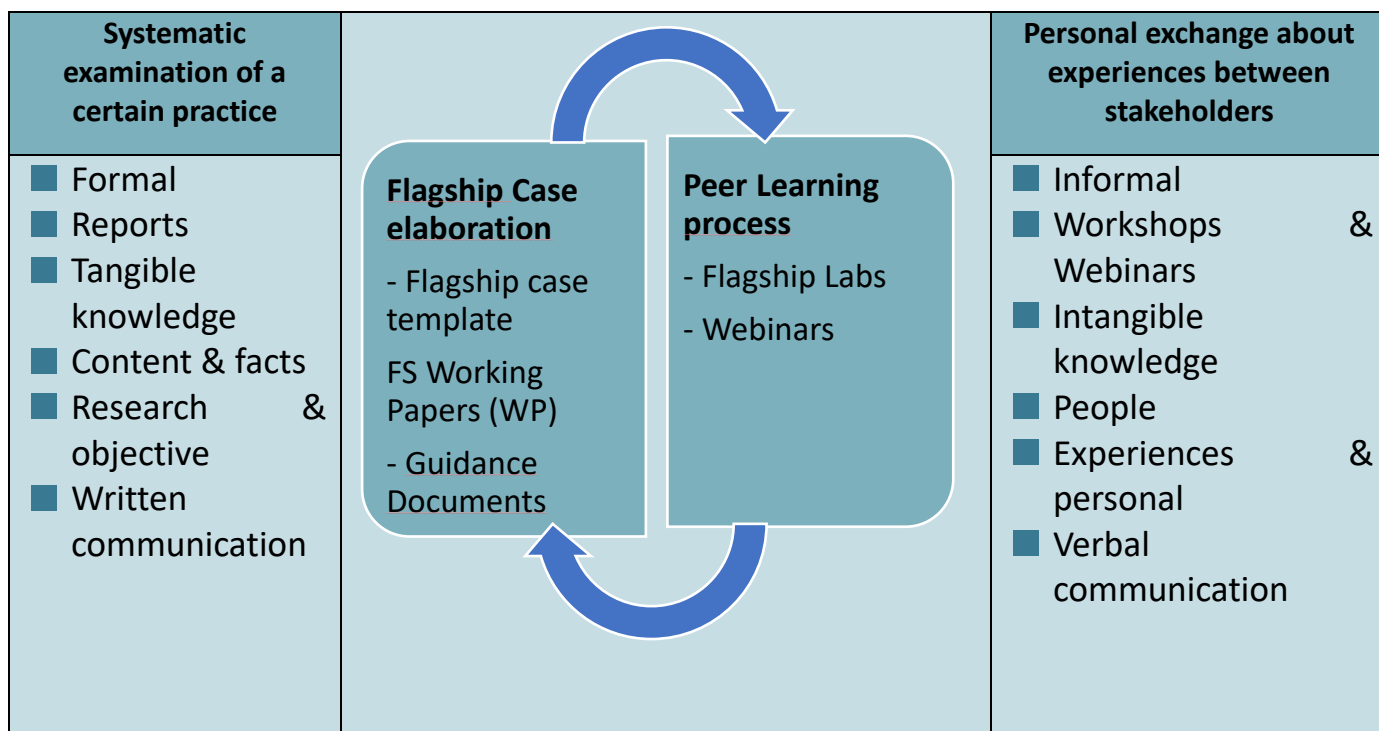


Figure 1. The characteristics and differences of Flagship case elaboration and peer learning

Even though these are two distinct processes, Flagship case elaboration (via the Flagship case template & Flagship case Working papers) and peer learning events (via Flagship Labs and webinars) are interlinked and will constantly feed into each other throughout the project, as shown in figure 2.

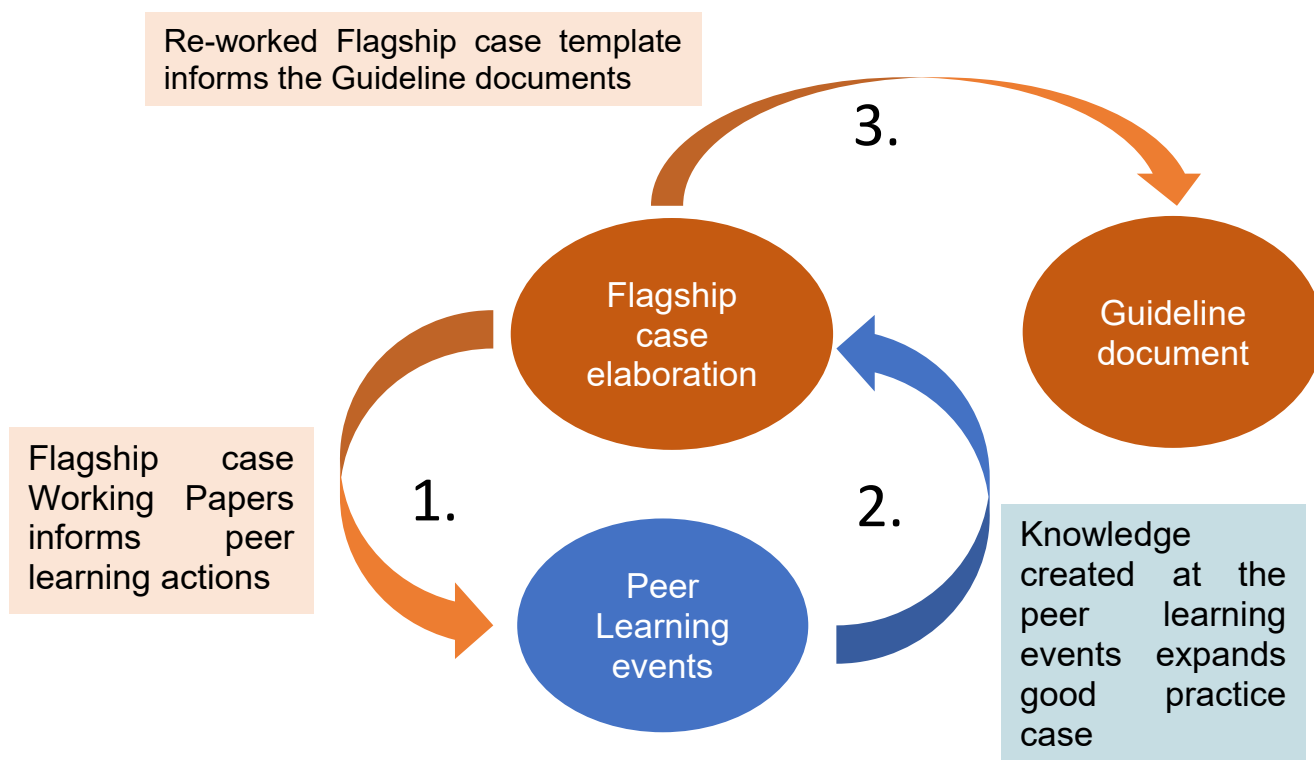


Figure 2. Interlinkage of the Flagship case template with the peer learning process

2 Process

The process of good practice learning and peer learning throughout the project will consist of the following steps:

1) Common approach for peer learning and good practice guidance

This document outlines the basis of the RE-SOURCING approach for good practice learning and peer learning. It describes the framework, actions and tools that will be used for peer learning and Flagship case elaboration throughout the project.

2) State-of-play reports and roadmap process for the three sectors

Initial stocktaking results from the different sectors (Project state-of-play reports D4.1, D4.2, and D4.3) will provide first insights into the identification of Flagship cases, relevant stakeholders and unresolved challenges for each of the three sectors, respectively.

3) Identification of Flagship cases

During the elaboration of the sectoral state-of-play reports, sector leads will identify potential Flagship cases. In addition, other RE-SOURCING partners will also be asked to provide input on potential Flagship cases. These Flagship cases shall be analysed according to several criteria outlined in this document and further elaborated in the good practice learning process documents (i.e. Flagship case template). The Flagship case template provides a standardised analysis tool with several sections covering all aspects to describe and best communicate a Flagship case. Such a modular description guarantees a streamlined approach for partners to analyse Flagship cases and facilitates the uptake of specific good practices.

3) Elaboration of Flagship case working paper

The purpose of the sectoral Flagship case working papers (FS WP) is to fully elaborate the dynamics in each Flagship case as well as outline unresolved challenges and possible solutions that should be further addressed by stakeholders. They will further highlight current and emerging factors hindering good practice uptake within each Flagship case. Sectoral experts and RE-SOURCING stakeholders will support the selection process of Flagship cases, topics and unresolved challenges. Consequently, three webinars will validate and extend information on FS cases as well as support the selection of the 3-5 sectoral FS cases that will undergo further refinement and in-depth description.

4) Flagship Labs for peer learning

The Flagship Labs (Project milestones 16, 17, and 18) are workshop-format events that will enable peers to learn from Flagship cases and respective good practice elements within each of the three sectors. They will be the main peer learning activity of the project. The emphasis at these Labs will be knowledge exchange, discussions and sharing of personal experiences. They provide an opportunity for stakeholders to comment on the SWOT analysis (strengths, weaknesses,

opportunities and threats) of the practices to be discussed at the Labs. This facilitates the transferability of suitable practices to other participants, as this will serve as the starting point of the exchanges at the events. The main topics of the Labs will be decided prior to the events, informed by the Flagship Working Papers and the challenges from the state-of-play reports.

Chapter 6 of this report provides a short introduction to Flagship Labs as well as a short step-by-step guide on how to organise a Flagship Lab. A more detailed version of the guide to Flagship Lab organisation will be drafted in the follow-up to this report to support sector leads in organising these Labs.

5) D5.2-4 Guidelines for good practice learning and impact in the three sectors

These guidelines will be the final outputs of the peer learning and Flagship case elaboration process in their respective sectors. The sectoral Flagship working paper and the results of the Flagship labs will be synthesised into the sectoral Guideline document. The first draft of these Guideline documents will be subject to a consultation with experts and practitioners in the respective field, such as the RE-SOURCING stakeholder database, the Platform Steering Committee and the Advisory Board, for further elaborating favourable framework conditions, context-relevant information on success factors and barriers for transferability. These insights will be added to the document to create the final guidelines for good practice learning. After the three sectoral Guideline documents have been completed, cross-sector findings for good practice transferability will be compiled in a synthesis report. This report will examine general good practice elements that are not sector specific that can be applied by stakeholders in different contexts. To ensure the success of cross-sectoral learning, this report will have a strong focus on factors for transferability.

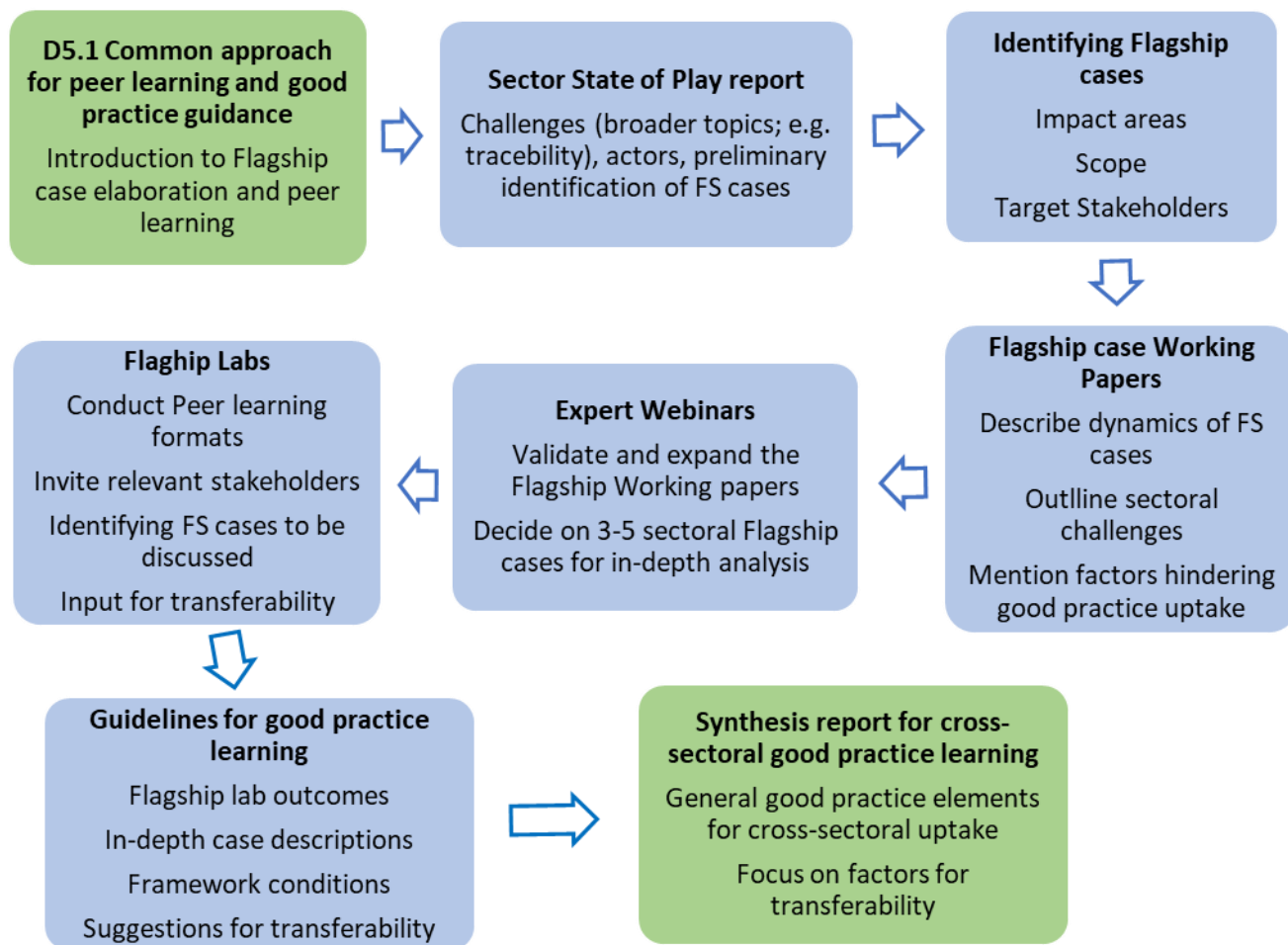


Figure 3. The RE-SOURCING peer learning and good practice learning process (with intermediary steps): Blue process steps represent sector-specific actions; green steps represent non-sector-specific actions.

2.1 Roles and responsibilities

The entire process of Flagship case elaboration and peer learning, from the preliminary identification of Flagship cases to the drafting of the Guideline documents will be conducted three times during the project's running time - once for each sector. WU, in collaboration with MineHutte, will be coordinating the entire process for each sector: WU and MineHutte will be involved in the peer learning and good practice learning process throughout the entire project as their role is to supervise, coordinate and support the various outputs, from Flagship working papers, to peer learning event organisation to the drafting of the sectoral Guideline documents. However, the main responsibility is with a different project partner leading actions in a sector (i.e. sector lead): Montanuniversität Leoben (MUL) for the renewable energy sector, Oeko Institut (Oeko) for the mobility sector and Stichting Onderzoek Multinationale Ondernemingen (SOMO) for the electronics sector. The sector leads, MUL, Oeko, SOMO, with support from MineHutte are responsible for 1) identifying and elaborating Flagship cases and coordinate this process with the other project partners, 2) organising the respective Flagship Lab in their sector and, 3) compiling the sector specific guidance documents. Sector leads will be involved and take part in actions implemented by other sector leads in order to allow for a continuous improvement of and learning on this process. Once the last Guideline document is complete

(electronics sector), WU will synthesise results of the peer learning process into the report on cross-sectoral good practice learning. This report is the last output of the RE-SOURCING good practice learning and peer learning process.

3 Good practice learning

This chapter will discuss the concept of good practice learning. A key aspect of transferring a good practice (i.e. RE-SOURCING Flagship case) is to fully understand all its aspects. Therefore, stakeholders need to understand the broader context as well as challenges and success factors related to a Flagship case. This chapter will focus on two aspects of good practice learning: First, it will explain the Flagship case template – a document on how to best structure and communicate good practice information in Flagship cases to stakeholders. Second, it will give an overview of how to use this Flagship case template by project partners.

The elaboration of RE-SOURCING Flagship cases will serve to:

- Demonstrate good practice and describe it according to certain characteristics (e.g. good practice topic, good practice aspect, elements of a good practice aspect, impact area and scope)
- Facilitate the elaboration of factors for transferability
- Provide the context for peer learning among participants at the 3 Flagship Labs and the 3 Webinars

3.1 Background of good practice

Based on research on initiatives, programmes and innovative solutions applied by stakeholders in global mineral value chains and the experience from previous H2020 projects, WU will develop a common approach for Flagship case elaboration via the so-called Flagship case template. The purpose of the template is to examine good practices by stakeholders and elaborate their context, challenges and factors for transferability to enable other stakeholders to learn from them and implement them in their own organisational context or improve upon existing practices in their organisations. A preliminary stock-taking of Flagship cases has already been undertaken in the project, this process will be expanded in further Flagship case elaboration exercises. The Flagship case template will be used for the step-by-step elaboration of the RE-SOURCING Flagship cases.

3.2 Purpose of Flagship case elaboration

The elaboration of good practices is relevant for several objectives in the RE-SOURCING project. One main objective of the project is to further practices for responsible business conduct in the EU and create supportive framework conditions for it. Therefore, clearly defining good practices and encouraging stakeholders along global mineral value chains to take up these practices is vital to achieving this objective. Achieving this objective is further supported by dissemination of Flagship cases to raise awareness of RS practices, e.g. through Flagship Labs, Webinars and sectoral Guidelines for good practice. The elaboration of Flagship cases will not only inform the peer learning events but

the results of knowledge co-creation at these events will be used as input for the Flagship case elaboration template. This reworked template will then inform the three sectoral Guidelines for good practice learning and the report on cross-sectoral good practice learning. These guidelines are the main output of the project's good practice learning and peer learning process, as they will define best practices in the sectors and how these can be applied to different contexts. Flagship case elaboration and peer learning are therefore key mechanisms of the RE-SOURCING project as they are the tools that will be applied to ensure the uptake of RS practices by stakeholders in global mineral value chains.

3.3 How to structure good practice information

The Flagship case template is the major tool for elaborating Flagship cases in order to communicate as well as elaborate good practices in a structured manner. This template systematically describes identified good practice aspects and examines them according to different criteria. Structuring good practice information in this manner enhances its general understanding as well as transferability:

- The good practice topic, e.g. traceability of minerals. Several good practice topics will be defined by RE-SOURCING, these will address a variety of challenges surrounding responsible sourcing in global mineral value chains.
- The good practice aspects, e.g. using blockchain for supply chain transparency. The good practice aspect is the action taken to address the issue related to the identified good practice topic. This will be a specific solution/approach/action taken by an actor to deal with a challenge relevant to the project. A RE-SOURCING Flagship case might address one or several Good Practice Aspects that relate to one or several Good Practice Topics.
- The good practice elements, e.g. elements of a good practice aspect represent important building blocks describing in more detail what constitutes a good practice aspect. Essentially, it is a way of explaining to an outsider how a good practice aspect of a case study came to resolve a certain problem. The elements refer to 1) a success factor, 2) a strategic decision, 3) challenges / problems encountered, or 4) framework conditions/contextual factors that help to understand and describe a good practice aspect.

Before the elaboration of a Flagship case template, the Flagship cases need to be categorised by two main characteristics: the case's impact area and its differentiation into large-scale sector cases and individual company cases.

As regards case impact areas, the RE-SOURCING project has identified four main impact areas under which the Flagship cases should be grouped (see further details in Annex II). There are several sub-sections for every impact area to provide a more detailed picture of the impact of a good practice. The impact areas (with respective examples of a sub area) are:

- **Transparency, Traceability & Due Diligence** (e.g. sector guidelines for due diligence reporting)
- **Social & Human Rights in Large Scale Mining** (e.g. indigenous rights)
- **Environmental issues in large scale mining** (e.g. mining waste & disposal)
- **Environmental and Social Issues in Artisanal and Small Scale Mining** (e.g. health & safety of ASM miners)

The scoping of impact areas has a two-fold purpose: First, it should validate that the Flagship case achieved an actual impact in order to qualify as a good practice case. Second, it helps interested

stakeholders on a first glance to understand its relevance and importance for their own organisation to improve their practice on, for example, due diligence management schemes.

The second set of characteristics to categorise Flagship cases is their differentiation into large-scale sector cases and individual company cases. These large-scale sector cases are further broken down into sectoral, value chain or policy focused and the company cases into reporting standards, technology and management systems. These allow the project to consider a multitude of cases beyond the scope of simply looking at company best practices.

4 The Flagship case template for Flagship cases

4.1 How does the Flagship case template support peer learning

The aim of the Flagship case template is to support RE-SOURCING partners in their elaboration of Flagship cases by providing a standardized framework of analysing and communicating good practice for stakeholders along global mineral value chains. The clear structure makes it easy for stakeholders to understand and learn from the Flagship case at hand. The templates also serve the purpose to streamline the compilation of good practice information relevant to the RE-SOURCING project, to be included in the Guidelines for good practice learning (D5.2, D5.3, D5.4, and D5.5).

The Flagship case template is interlinked with the peer learning process at the Flagship Labs and the Webinars. The Flagship cases that have been analysed with the template will inform the exchange at the peer learning events. It will guide the discussion on the challenges, success factors and factors for transferability for the individual Flagship cases. As these events will produce deeper insights through personal exchanges, the template will be updated and expanded to include knowledge created in the events. This process will result in a comprehensive Flagship case template which will include both information acquired through research and interviews as well as through the discussion and exchange based on personal experience on good practices and challenges among workshop participants. The Flagship case template will then serve to inform the finalisation of the Guidelines for good practice learning. The steps of interaction between the Flagship case template and the workshops are explained in the figure below:

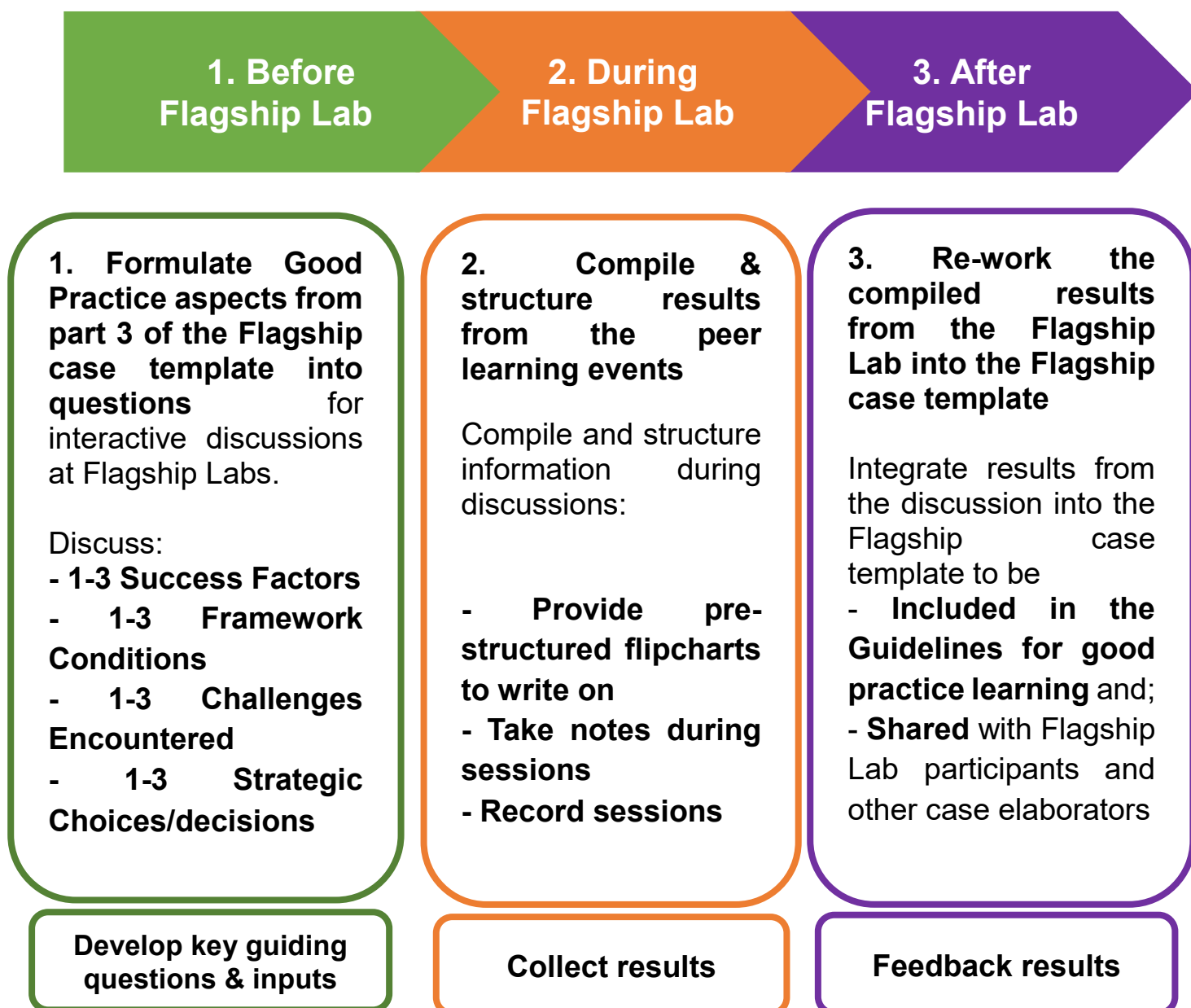


Figure 4: The interaction between the Flagship case template and the peer learning events at every stage of event organisation

Elaborating Flagship cases further demands an approach on different levels. First, partners need to identify a good practice presented by stakeholders such as companies or larger initiatives. These good practices need to satisfy certain criteria decided upon by the project. These criteria include an impact on several players in the value chain. An example would be a battery company that wants to eliminate child labour from their supply chain and, therefore, collaborates with other stakeholders, such as an extractive company, to establish a minerals traceability programme. This would lead to the mining company to participate in this programme, therefore, nudging other stakeholders that acquire their minerals from said company to purchase child labour-free minerals as they can now be traced back to their origin.

4.2 Sector lead partner guidance for the Flagship case template

This section will give an overview of the Flagship case template, as mentioned before a more in-depth process document will be created as a follow-up to this report that should be used as guidance to fill out the Flagship case template. Overall, the Flagship case template is structured along three parts, Part 1: case overview, part 2: case description, and part 3: case evaluation.

In part 1, case overview, a short introduction to the chosen case, outlining the good practice aspects addressed by the case, as well as a short summary of part 2 case description and part 3 case evaluation is given. In addition, part 1 also outlines the addressed good practice topic(s) and actual measurable impact of the case.

The second part provides a brief description of the good practice aspect the case relates to, as well as the more general context and involved stakeholders.

The third part, the evaluation, analyses the impact that the case has achieved as well as a detailed description of the applied good practices. Therefore, this part is more analytical and evaluates the effectiveness of the case based on measurable impacts and certain KPIs. An example of such a quantifiable impact criteria to check for the actual impact the good practice had, could be that every actor along a certain mineral value chain has been incentivised to participate in a blockchain programme, allowing a group of companies to trace 100% of their 3TG supply back to the mine. The actual impact of the case should be compared to the intended objectives to see if the planning was accurate and to draw lessons for increased transferability and higher rates of success. The second section of this part will break down the case's good practice aspects into its different elements, i.e. success factors (specific strategies or favourable framework conditions), the unique challenges they faced that provide the context and options for sectoral and cross-sectoral transferability.

Together these parts offer a clear elaboration of all aspects of the Flagship case, and will serve to effectively catalogue and then communicate the identified case. Only through a thorough analysis can the project guarantee the best framework for peer learning and the dissemination of good practices.

5 Peer learning

5.1 Introduction to peer learning

This chapter will describe the peer learning process, which plays a central role throughout the RE-SOURCING project. In a conventional learning setting, knowledge is shared in one direction, from the presenter(s) to the audience. This results in a one-sided flow of information and limits the knowledge that is shared to the experiences of the presenter. Such knowledge will be context-specific and related to individual factors experienced by a stakeholder. However, this context specificity can make it difficult for shared insights to be transferred and applied by other stakeholders, as they might operate

in other contexts and face other needs and challenges. In a peer learning setting on the other hand, knowledge is shared in both directions that results in a horizontal exchange of experiences: this knowledge co-creation and the resulting outputs consider different contexts and address various challenges of different stakeholders with different needs. In the peer learning workshops, the participants will explain their ideas, challenges and successes to others as well as give and receive feedback on the various inputs. As different participants will have different good practice approaches for a variety of issues, these workshops will facilitate the elaboration of thorough solutions to a plethora of issues related to RS.

The goal of the peer learning approach is to foster exchange between stakeholders, experts and actors demonstrating examples of good practice in global mineral value chains. Additionally, it is an opportunity for participants to share informal knowledge and personal experiences. As an outcome of these events, the participants are equipped with new knowledge and solutions which they can transfer and implement in their organisation to resolve specific challenges and reform certain practices.

The peer learning approach will provide all the tools necessary to enable peer learning and organise the different events to create settings for peer learning. The peer learning labs will provide unique possibilities for having a high concentration of experts with in-depth knowledge of various topics related to responsible sourcing. In addition, the participants will have extensive practical knowledge in their respective sectors or stage of the value chain. Therefore, it can be guaranteed that well-documented good practices will be shared at these events and participants can directly benefit from an increased understanding on the functioning of good practices. Another benefit is that the pooled expert knowledge can be used to develop solutions to still unresolved challenges. Participants can present new ideas/concepts for unresolved challenges and discuss the implications and potential solutions with other participants. This horizontal learning approach allows including the points of view of stakeholders along different stages of the value chain, each with a different area of expertise. Therefore, the peer learning labs should not only be seen as an opportunity to share existing or well-documented knowledge among participants, but also as an opportunity to create new knowledge through collaborative thinking on the process of how to create new solutions.

6 The peer learning guide

6.1 The RE-SOURCING peer learning approach

This section will give an overview of the peer learning approach, as mentioned in the introduction, a process document will be drafted that will serve as a guidance for organising peer learning events and ensuring that participants will actually learn from each other's experiences. The success of peer learning is strongly dependent on a thorough approach to the Flagship case elaboration. The elaborated Flagship cases will serve as a starting point for the peer learning process.

In addition to case selection, the first phase of the peer learning approach is to identify relevant stakeholders. This exercise will cluster stakeholders along global mineral value chains, both companies and larger initiatives, into groups with similar challenges, areas of expertise and contexts.

The following three peer learning tiers of stakeholders have been identified for RE-SOURCING:

- Tier 1 – Companies and other business/industry stakeholders with an interest in Responsible Sourcing
- Tier 2 – International non-public initiatives or associations involved in responsible sourcing
- Tier 3 – other stakeholders such as policy makers or NGOs

These three tiers are the most relevant classification of stakeholders related to Responsible Sourcing; therefore, the peer learning events will focus on representatives of these tiers. It is at the discretion of event organisers to invite participants of other stakeholder groups such as other industry or civil society actors. Building such groups is important to ensure the effectiveness of the peer learning process, by giving every participant access to knowledge directly related to their operations. This does not only streamline the learning process but also the knowledge co-creation process in general, as the participants can share their knowledge and experiences at the event. The RE-SOURCING peer learning approach aims at setting the framework for a co-creation of knowledge, a two-way exchange of learning and teaching within the Flagship Labs and peer learning webinars. Therefore, this first phase of selecting Flagship cases as well as identifying and inviting the correct stakeholders, is of utmost importance to guarantee an effective implementation of peer learning at the RE-SOURCING peer learning events.

The second phase of the peer learning approach is to develop concrete tools and event formats to facilitate peer learning. This document gives an overview of the RE-SOURCING common approach to peer learning and serves as an introduction to organising peer learning events. Developing a common approach is important to help event organisers ensure a structured approach to knowledge sharing at the events. Drafting the step-by-step guidance for peer learning event organisation will be a follow-up process of this report.

RE-SOURCING will organise three Flagship Labs – workshop-format events – one per sector, which will be organised specifically for peer learning purposes. Additionally, different webinars will be hosted by the project to further enhance the uptake of good practices between sectoral stakeholders. Furthermore, the opening and closing conferences of the project, as well as two major online conferences offer the possibility to exchange experiences and to disseminate the results of the peer learning events.

The final stage of the peer learning approach is to write the four Guideline documents for good practice learning, one per sector and one for cross-sectoral insights. As mentioned above, these documents will be a compilation of the peer learning and Flagship case elaboration outcomes. These documents, as well as other peer learning outcomes from the project will be published on the RE-SOURCING platform to be accessed by interested stakeholders. Having access to this knowledge will enable these stakeholders to transfer relevant good practices into their operations.

6.2 Guidance for event organisation



Figure 5: The five steps of organising a peer learning event

1) Identify Flagship cases and fill them into the Flagship case template

The identified good practices in the Flagship case template provide the topical framing for the Flagship Labs. Thoroughly examining them is important to facilitate the discussion and consequent understanding of the good practice by participants. The template should identify good practice topics, aspects and elements thereof. Additionally, the template will serve to inform participants prior to the workshop, in terms of generating interest and framing the topics to be discussed at the Flagship Lab.

2) Decide on the good practices to be discussed at the workshop

The sector leads have to decide which good practices will be discussed and what participants can learn from these cases e.g. what are the challenges that will be discussed, which impact area(s) will be focused on, which stage(s) of the value chain will be central for the discussion etc.

3) Decide which stakeholders will be able to contribute and/or benefit the most and how to make them participate

The selection pool for participants will first be defined by the sector for which the event is organised. The chosen good practices for the event will further influence the selection of participants. It is important to select participants that can 1) clearly benefit from learning from one or more of the Flagship cases discussed at the event, and 2) contribute to the workshop by sharing their knowledge and experience of relevant good practices.

The most important aspect to consider for the invitations is how to get stakeholder interested in participating at the event. Clearly communicating the expected benefits from participating at the events is important to generate interest of stakeholders. The invitation should also include information on the good practices to be discussed and the topic focus of the event.

4) Plan the content of the workshop – ensure all topics are covered during the workshop (guidance of participants etc.)

The event will be separated into three different stages. The first stage should be about setting the context and creating a common understanding: This stage will comprise of an introduction to the good practices that will be discussed throughout the workshop and of the peer learning methods that will be applied at the workshop. The second stage will be the implementation of peer learning methods throughout the event, to ensure knowledge is shared and reflected among the participants. The event organisers need to manage the event in a way to facilitate the inclusion of all participants and to ensure all topics are covered. The last stage is about compiling a report with the peer learning outcomes, it is described in the next step.

5) Evaluate peer learning outcomes of the workshop and add insights into the Flagship case template

This step will analyse the effectiveness of the applied peer learning methods and collect the peer learning experiences from participants. A report will be written to summarise the outcomes of the workshop, in terms of shared and co-created knowledge, and the different ways in which stakeholders benefited from the event. The Flagship case templates will be complemented with the results of the peer learning events in order to incorporate first-hand experiences. The revised Flagship case templates will then be used to inform the sectoral Guideline documents for good practice learning.

7 Conclusion

This document provides a general overview of the processes of Flagship case elaboration and peer learning that will be central to the RE-SOURCING project. It serves as an informative document for partners and project stakeholders to familiarise themselves with the two concepts and to understand the most important processes – elaborating the Flagship case template for Flagship cases and the organisation of peer learning events. In the follow-up of this report, detailed instructions and tools will be prepared for the partners responsible for elaborating good practices and organising peer learning workshops. The detailed description of these individual processes will ensure that partners are aware of the specific requirements of good practice learning and peer learning and how to realise them. These two documents will comprise step-by-step instructions for filling in the Flagship case template and for the organisation of peer learning events. This report can also help stakeholders understand the relationship between peer learning and Flagship case elaboration to enhance the effectivity and benefits of exchanges between these two processes at later stages of the project.

Annex I: Structure of Flagship case mapping⁵

The purpose of the Flagship case mapping template⁶ is to guarantee 1) that aspects of Flagship cases follow a solution oriented / good practice approach that tackles important challenges in the responsible sourcing discourse, and 2) that Flagship cases cover a wide variety of different good practice approaches to a wide range of different topics.

Thus, the following template categorises Flagship cases along two overarching categories: 1. type of Flagship case; and 2. impact areas: Under Flagship case type we differentiate between **two overarching categories**, denoting the columns of the document: **large scale initiatives** such as policies or sectoral programmes (e.g. Responsible Copper initiative); and **efforts by individual companies** such as the effective use of technology (e.g. using blockchain to ensure the traceability of Minerals).

Additionally, the project has identified a range of **impact areas** against which the Flagship cases will be evaluated. These impact areas are derived from important sector and industry challenges in the area of responsible sourcing that are outlined the State-of-Play Report (D1.1; March 2020). These are listed in the rows of the FS case template. The document illustrates which impact areas are addressed by the different FS cases (exemplified and marked by an x). The included version of the FS case mapping template is a simplified version, the finalised list of impact criteria will be more extensive and is being updated continuously. Impact criteria listed below are only examples of a larger and more comprehensive list that will be used for Flagship case mapping.

⁵ Based on and adapted from RE-SOURCING deliverable D1.2

⁶ The FS cases described in the template are example cases and do not reflect a result of the final mapping task and the full and final list of RE-SOURCING Flagship cases.

| | Larger Scale Initiatives | | | | | Individual Company Cases | | | |
|--|-------------------------------|----------------------------|---------------------------|--|---|--------------------------|------------|--|--|
| | PRIVATE SECTOR - value chains | | PRIVATE SECTOR - sectoral | PUBLIC POLICY: EU / EU MS | | Management systems | Technology | Reporting systems | |
| Impact Areas: blue background denotes areas / categories, Green background denotes individual issues | Responsible Copper | IMPACT - Just Gold project | Good Electronics Network | Implementation of EU conflict minerals regulation BY EU MS | Several EU MS have strategies on Lithium e.g. Sustainable EU lithium value chains | ... | blockchain | Conflict Minerals Reporting Template (Responsible Minerals Initiative) | |
| MS | | | | | x | | | | |
| RES | x | | | | | | | | |
| EEES | | x | | x | | | | | |
| Environmental criteria | x | | | | x | | | | |
| Mining waste & disposal | x | | | | x | | | | |
| Water contamination from LSM | x | | | | x | | | | |
| Social & human rights criteria | x | | | x | x | | | | |
| Indigenous Rights | x | | | | x | | | | |
| Preventing the funding of armed rebel groups | | x | | x | | | | | |
| Transparency, Traceability & Due Diligence criteria | x | x | | x | x | | | | |
| Sector guidelines for reporting on DD | x | | | | x | | | | |
| Independent third party audit of supply chain due diligence | | x | | | | | | | |
| ESG in ASM | | x | | | | | | | |
| Social & human rights in ASM | | x | | x | | | | | |
| environmental issues of ASM (esp. Gold) | | x | | x | | | | | |

Annex II: Example of a Flagship case template from a previous project (MINLAND)

Part 1: Should only be an **overview and summary of what is written in Part 2 and 3** (can be written last).

Part 2: Full case description, including general case context, involved stakeholders, and institutions. Part 2 should give the reader a full understanding of the extent of the case and should be descriptive.

Part 3: Case evaluation, this should consist of 1) the **impact achieved** by the case at hand, 2) a **link between a good practice aspects and elements** that enabled such aspects, 3) **suggestions** for practitioners to transfer a good practice aspect of the case to their own context. Part 3 has been updated to include a table that provides a better understanding of the relation of Good Practice Aspects, Elements of Good Practice Aspects and suggestions for transferability.

Part 1 – Overview and Summary.

| Part 1: Summary |
|---|
| <ul style="list-style-type: none"> ➤ To be filled out by case elaborator. ➤ Should contain a brief overview and summary of the information presented in Part 2 and 3. |

| Part 1 - Structure |
|---|
| 1.1 Executive Summary 1.2 Good Practice Aspects Overview 1.3 Mineral Resource Group |

| Part 1 - Guiding Questions |
|---|
| 1.1 Executive Summary (part 2 and part 3) <ul style="list-style-type: none"> - Which Good Practice Topic(s) does the case address? - Provide a short summary of the latter part 2 and part 3 1.2 Good practice Aspects <ul style="list-style-type: none"> - As a summary, list the most important Good Practice Aspects identified in Part 3. - As a summary, list the most important elements of the identified Good Practice Aspects and where appropriate, an overview of related suggestions for transferability. |

Part 2 – Case description

| Part 2: Case Description |
|---|
| <ul style="list-style-type: none"> ➤ To be filled out by case elaborator. ➤ Should contain a brief description of the case (utilising information already provided for WP3). ➤ Should describe the general case context e.g. economic, political, legal factors. ➤ Should include involved/responsible institutions and stakeholders. |

| Part 2 - Structure |
|--------------------|
|--------------------|

- 2.1 Case Description
- 2.2 Institutions
- 2.3 Stakeholders
- 2.4 Context

Part 2 - Guiding Questions

- 2.1 Case Description
 - Which Good Practice Topic(s) does the case relate to?
 - How did the case develop?
- 2.2 Institutions
 - Which institutions are/were involved?
 - Which role did the institutions have (responsible, implementing etc.)?
- 2.3 Stakeholders
 - Which stakeholders are/were affected by the case and in which way?
- 2.4 Context
 - To what extent was the context/framework/institutional set up relevant for the case (e.g. political, socioeconomic etc.)?

Part 3 Case evaluation (impact, elements of good practice aspects, and transferability)

Part 3: Case Evaluation

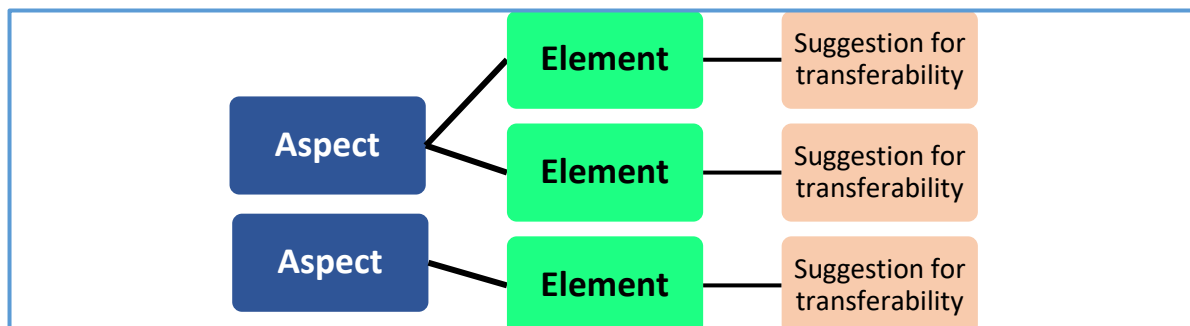
- To be filled out by case elaborator.
- Should utilise input and results from peer learning discussions and exercises conducted at the Local Workshops if applicable.
- Can draw information and analysis from other WP outputs that relate to your case (e.g. WP4+WP5 deliverables).
- Should identify Good Practice Aspects related to a specific Good Practice Topic
- Should identify Good Practice elements related to the identified Good Practice Aspects and then propose recommendations for transferability for the elements (where this is applicable) Should contain impacts (3.1), Good Practice Aspects and Elements thereof (3.2: Success Factors, Strategic choices, Challenges encountered, contextual factors), and recommendations for transferability (3.3). (3.2 and 3.3 in the form of a matrix)
- Recommendations for transferability (3.3) should be elaborated by case elaborators' expertise, input from local workshops and other WP deliverables where such information exists.

Part 3 - Structure

- 3.1 Impact achieved**
 - Effects of the new approach in relation to the Good Practice Topic
 - Actual impact
- 3.2 Aspects of Good Practice and elements thereof***, according to:
 - Success Factors
 - Strategic Choices
 - Challenges encountered
 - Contextual factors

3.3 Suggestions for transferability of Good Practice Aspects*

**In the new GPT structure part 3.2 and 3.3 are part of the table/matrix as seen below.*



Part 3 - Guiding Questions

3.1 Impact achieved

- **Effects of the new approach in relation to the Good Practice Topic/Analytical criteria:** State in how far the case managed to reach its goal and achieve its anticipated impact on its intended beneficiaries/stakeholders with regard to the contributing to the Good Practice Topic/Analytical criteria. Potentially describe on which parts it could still improve.
- **Actual impact:** What measurable/quantifiable impact/effect did the specific case have (e.g. jobs created, social licence to operate improvement)?

→ **APPLY MATRIX TABLE: Good Practice Aspects X Elements X Transferability**

3.2 Elements of a Good Practice Aspect

- **Element "Success Factor":** What were the case- internal factors that contributed to success (policy related: legislation or policy strategy, organisational: new institution created or altered institutional process etc.) and describe WHY they are considered as success factors.
- **Element "Strategic choice":** Outline what decisions were taken by case stakeholders or actors during its life-time that had a fundamental impact for becoming a good practice (e.g. actions taken by the institutions or decisions made during the life-time/process of the case).
- **Element "Challenge encountered":** Describe some shortcomings, challenges, problems overcome or not-overcome during the case's life-time (i.e. In after-thought how would you have addressed the problem in hindsight, ex-post optimisation).
- **Element "Contextual factor":** Describe the external factors that facilitated the development of the case (aspects that influence the development of the case in a negative or positive way; e.g. a positive SLO setting, a legislative instrument, changing economic development/commodity price etc.)

3.3 Suggestions for transferability of Key Aspects of good practice

Reflect on Good Practice Aspects from another perspective. This part is exploratory and evaluative, case owners can utilise their own knowledge and expertise in creating suggestions e.g. asking what would I, as a case owner, suggest to an outsider?

- Could the good practice aspect or elements of the good practice be transferred into another context? If so, what should a person do to transfer the Good Practice Aspect(s) of the case into another setting (e.g. organisation, region, country etc.)?
- Are some factors very specific for the case-context or could Good Practice Aspects and Elements thereof potentially be applied in other settings?
- Case owners should reflect about their potential/degree to which they could be transferred: What resources/capabilities/framework conditions needed to achieve transferability?

MATRIX TABLE: Good Practice Aspects X Elements X Transferability

Part 3.2 and 3.3 of the GPT is structured according to the matrix below. Potential Key Elements are described above, case elaborators may choose to use these as guidance when applicable. The case owner can thus add a good practice aspect, one element related to this Good Practice Aspect, and a suggestion for transferability of this element. However, there may be more elements related to a specific Good Practice Aspect (and more suggestions or recommendations for transferability related to each element) hence, the case elaborators can add information as they see appropriate.

| IDENTIFIED GOOD PRACTICE ASPECT 1 | |
|---|--|
| Key Elements (of Good Practice Aspects) (Part 3.2) | Suggestions for Transferability (Part 3.3) |
| <p>Identified Key element 1 related to one of the following categories (if applicable):</p> <ul style="list-style-type: none"> - Success Factor - Strategic Choice - Challenge encountered - Contextual factor <p>A specific key element of the Good Practice Aspect should be identified and described in this paragraph.</p> | <p>Suggestion for a practitioner who may wish to implement similar practices.</p> <p>A recommendation/ suggestion for what to transfer and how to transfer the Good Practice Aspect or Key Element should be elaborated in this paragraph.</p> |
| <p>Identified Key Element 2 (of Good Practice Aspect 1)</p> | <p>Suggestion for Good Practice Aspect 1 related to Key Element 2.</p> |
| IDENTIFIED GOOD PRACTICE ASPECT 2 | |

Identified Key Element 1 (of Good Practice Aspect 2)

Suggestion for Good Practice Aspect 2 related to key element 1.



re-sourcing

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