



re-sourcing

The RE-SOURCING Common Approach

Deliverable 1.2

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Executive Summary

Keywords: Responsible sourcing, sustainability agenda, global platform, raw materials value chains, Flagship cases, renewable energy, mobility, electric and electronic equipment

The inception report “The RE-SOURCING Common Approach” describes the project approach to responsible sourcing, project priorities & activities, stakeholder engagement and outlines the project scope and topical areas. The general introduction to responsible sourcing is outlined in Chapter 1 and refers strongly to the State-of-Play report (RE-SOURCING project deliverable March 2020).

The RE-SOURCING project acknowledges that the listed challenges on the extraction and sourcing of raw materials are immense (see Chapter 2.1), yet not unsurmountable. Through a collective, consultative, and industry & civil society driven process, it is possible to improve responsible sourcing practices across all actors in global value chains, while maintaining a level playing field for all firms and actors involved. Thus, over a four-year period, RE-SOURCING aims to contribute to this process with four overarching objectives (see Chapter 2.2):

- (1) To Create supportive EU Framework Conditions for responsible sourcing (RS)
- (2) To Foster the Global Application of RS to create a Level Playing Field
- (3) To Advance RS Practices & Concepts for Inclusion within the Global Agenda and
- (4) To Build a Global Platform for the RS Community, Networks & Stakeholders

To achieve these project objectives the central element is the development of the global RE-SOURCING platform. A comprehensive platform for the exchange of information will be created through a virtual as well as a physical exchange (see Chapter 3). The RE-SOURCING platform will address networking opportunities, community building and information exchange, enabling cross-sectoral cooperation, peer learning and discussions.

The concepts behind the project are manifold (see Chapter 4) and aimed at addressing raw material value chains for three mineral groups: Traditional Minerals (e.g. aluminum, copper and iron ore/steel), Conflict Minerals (3TGs) and Green Technology Minerals (e.g. lithium & nickel). Given the complexity of mineral value chains, the improvement and uptake of RS practices need to be addressed at multiple levels simultaneously. Key stakeholders influence RS practices at different stages, requiring a multi-level approach to reinforce synergetic effects and mitigate negative spillovers. Therefore, RE-SOURCING will target three interlinked levels:

- (1) Micro level – Good practice by firms → RE-SOURCING works on selected good practice cases (Flag Ship Cases) which are placed at firm/industry level and improve impacts on the ground and good practice learning. (see Chapter 5.2)
- (2) Meso level - Sectors (EU) → RE-SOURCING develops visions & roadmaps for the three sectors Renewable Energy, Mobility and Electric and Electronic to provide recommendations and good practice transfers. (see Chapter 5.1)
- (3) Macro level – global agenda: → RE-SOURCING engages in international dialogues and international RS&SD Agendas in order to include a holistic approach to RS in the global agenda setting process. (see Chapter 5.4)



The following report outlines the current status of the project approach and the initial agreed focus. As the project will run for four years, new and emerging issues and questions may partially shift the focus.

1 General introduction to responsible sourcing

The terms ‘Sustainability’ and ‘Sustainable Development’ have been in use for over three decades and have been defined in a number of ways. In current literature, most sustainable development discussions use the UN Sustainable Development Goals (SDGs) as their primary reference, before addressing/focusing on specific sustainability issues that are of relevance. The SDGs are considered as a starting point for the project, and in the stakeholder engagement under RE-SOURCING a more detailed characterisation of sustainability will be developed by the research team, in the context of raw materials/responsible sourcing over the course of the project.

Responsible sourcing (RS) is one aspect of a complex solution to meeting a sustainable development and growth path. It primarily focuses on one set of actors – companies – and how they produce and re-utilise the goods and services they provide to consumers (both citizens and governments). The firms’ approach to responsible sourcing, and what it entails, is driven by its internal code of ethics, that is often a reflection of the demands from the consumers as well meeting the standards and regulations set by governments and international actors. In essence, the *RS practices by firms refer to processes being undertaken by the producer in sourcing goods and services, such that the tenets of sustainability are respected*. For a more detailed discussion on RS, see RE-SOURCING Project Report on ‘State of Play’ (March 2020).

1.1 How does Responsible Sourcing meet / fulfil the Sustainability Agenda?

Sustainability requires three primary, overlapping dimensions to be addressed: the environmental, social and economic dimension. While many factors can be added under each dimension, the major ones are as follows: The **economic** dimension considers issues related to the impact of the market presence of the firm’s goods and services, contributions to the local economy, procurement practices, anti-corruption and anti-competitive behaviour, tax payment strategies and other indirect economic impacts from a firm’s operations. The **social** aspects consider employment and labour management relations (including occupational health, training, diversity and equal opportunity for the labour force), child labour, forced or compulsory labour. It also includes engagement with the local communities, use of security forces, protection of the rights of indigenous people and human rights in general. The **environmental** dimension considers the materials used in the production of goods and services, energy use, water and effluents, protecting biodiversity, GHG emissions, management of waste from operations, compliance with environmental regulations and standards and managing supplier’s environmental impacts.

These dimensions address some of the core issues for sustainable growth and development and are in line with the UN SDGs. By clearly delineating the role of a firm and the areas it needs to address, responsible sourcing guidelines and practices are meant to address the wider sustainability agenda, by enhancing the performance at the firm level. Summing up firm efforts, industrial sectors can make greater contributions to the sustainability agenda, with the combined efforts, making a global impact.

The contribution of responsible sourcing to a sustainable growth and development path needs to be more clearly understood. While there is a wide range of literature that looks at the factors included under RS, how these contributions ‘sum up’ to contribution to achieving sustainability goals has not been clearly established. Questions remain: what economic, regulatory or voluntary measures would need to be brought in to make the RS contribution to sustainability more viable? How would this RS contribution be measured for individual firms and sectors and then benchmarked with the contribution from other sectors or regions? While there are perceived benefits of responsible sourcing, have there been considerations about the possible costs of these practices? If there are trade-offs between these costs and benefits, how are the trade-offs to be managed? Further discussion on these issues are in the State-of-Play report (March 2020).

1.1.1 The European Union’s Commitment to a Sustainable World

Over the past decade, the EU has shown increasing commitment towards sustainability, which have been translated into various policy initiatives (Climate neutral Europe by 2050; Circular Economy Action Plan, Conflict Mineral Regulation, EU Non-Financial Reporting Directive etc.). The European Green Deal, to become the world’s first climate-neutral continent by 2050, announced in 2019, is the latest commitment to a sustainable growth and development model.

Sustainability covers a number of issues across a number of sectors, three of which are in the focus of RE-SOURCING due to their increasing global importance – Renewable Energy, Mobility and Electronics & Electric Equipment. These three sectors represent essential priorities in the European long-term vision: Mobility sector for clean mobility and Renewable energy for the fully decarbonized energy supply¹. The EEE-sector reflects the relevant questions on the conflict mineral regulation. Their contribution is essential to achieving the targets that have been set by the EU Green Deal. To ensure that the ‘output’ from these sectors contributes to the sustainability agenda, responsible sourcing practices within these sectors need to be strengthened.

While there is commitment towards Responsible Sourcing at the EU, National and Industrial level, stakeholders are attempting to find the best strategies and practices to achieve this, yet with mixed results. There are a number of initiatives assisting and monitoring firms’ behaviour in responsible sourcing. Some focus on the operations management by firms, while others are more data driven, looking at the networks that support these operations. Some follow self-reporting guidelines by firms, whilst others include third-party auditing and reporting. While each of these RS initiatives has evolved, their fragmentation at firm, sector and global levels remains challenging for establishing a unified and coherent approach. They operate at different levels of complexity, reporting and operationalisation, and their engagement with varied stakeholders is not consistent across initiatives. The global community, whilst making progress, has not yet agreed on a common approach to defining, operationalising and reporting on RS practices.

Today there are ‘accepted norms’ for what constitutes RS, which differ from sector to sector and by firm size. Both the complexity of the global value chain in which a business operates and where within that chain the business is placed will impact the RS practices of a firm and how governments and international actors regulate these chains. There are a number of globally accepted guidelines for RS

¹ In the European Roadmap on a climate-neutral Europe by 2050 strategic priorities lie amongst other mile stones in 1) putting industrial modernisation at the centre of fully circular economy 2) embracing clean, safe and connected mobility 3) fully decarbonising Europe’s energy supply (see A Clean planet for all – A European strategic long-term vision a prosperous, modern, competitive and climate neutral economy, 2018)

practices. For a detailed discussion, see the State-of-Play report (March 2020) from RE-SOURCING Project.

2 Introduction to the RE-SOURCING Project

Responsible Sourcing (RS), whilst being commonly referred to by different stakeholders who work on or are affected by the Sustainable Development Agenda, both amongst EU and non-EU stakeholders, its concept and implementation remains vague. 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 experience 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 mineral global value chains, where activities in one chain supply inputs 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. Considering these complexities, RE-SOURCING employs a holistic approach that convenes and integrates

- firms and industries (up- and downstream);
- three key EU sectors (renewable energy, mobility, electric and electronic equipment);
- key actors in- and outside the EU (political, economic, financial, social & environmental);
- mineral Global 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) convening 11 partners from different countries 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 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 industry sectors: automotive, electric and electronic equipment, and renewable energy; and
 - facilitated implementation of lasting and stable sectoral framework conditions for RS.
- for EU policy makers:

- 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 of RS in three industry sectors: automotive, electric and electronic equipment, and renewable energy.
- 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 of RS in three sectors: automotive, electric and electronic equipment, and renewable energy.

The following subchapters briefly describe the basic challenges which the RE-SOURCING project relates to (Chapter 2.1) by providing an overview of the project's objectives (Chapter 2. 2).

2.1 Major challenges addressed by the RE-SOURCING project

The extraction and sourcing of raw materials is accompanied by a wide range of social, economic and ecological challenges. In addition, the fragmented approaches are challenging to fuse, as these operate at different levels of complexity, as well as engage with varied stakeholders.

Socio-economic and environmental challenges in global value chains

The socio-economic and environmental challenges in global value chains and responsible sourcing approaches are described in detail in the State-of-Play report (March, 2020). It outlines the complex global value chains in which Europe's companies – mostly downstream companies – are embedded. This chapter provides a short summary to point out the context of the RE-SOURCING project.

The major issues occur in the mining sector, where - despite large improvements in national legal and regulatory requirements as well as voluntary industry good practice standards, industry engagement and manifold examples of successful implementation of responsible mining practices in the last decade – the socio-economic and environmental performance still needs to be improved across the value chains. This particularly applies to countries with weak governance, monitoring and sanction mechanisms. Main challenges occur in the fields of 1) environmental damage, 2) community and workforce related issues and human rights, and 3) economic contribution from mining as starting point for poverty alleviation and more diversified economic development. There can also be adverse impacts on societies related to bribery and corruption. Apart from the mining sector, global value chains also create environmental and social risks in other areas, e.g. pollution and high energy demand in refining and smelting, and the use of slave labour as well health and safety issues in secondary supplier companies. More information on sector-specific and common challenges is provided in Chapter 5.1.1.1.

Challenge in responsible sourcing: a fragmented and incoherent approach

Downstream companies are increasingly trying (and being asked) to implement ‘responsible sourcing (RS)’ to make sure that they source products and raw materials which are not associated with negative impacts on the environment or human rights. However, the RS concept and its implementation remain opaque even where discussants and actors commonly refer to supporting a Sustainable Development (SD) Agenda in their policies and actions, both amongst EU and non-EU stakeholders. The greater fragmentation appears to be in ‘how’ to achieve RS and how to ‘report’ on RS practices, although efforts to bring firms on board with RS practices is also of concern.

RS implementation practices differ in scope 1) **by minerals** - for example when addressing Conflict Minerals (3TGs) compared to Traditional Minerals (e.g. Copper); 2) **by actor** – the EU individual companies (micro level) approaches RS implementation differently, and these differences are further compounded when various EU industrial sectors (meso level), for example, the Renewable Energy (RE), Mobility (MS) sector and the Electronics & Electric Equipment (EEE) sector, have to deal with RS implementation; and finally they differ 3) **by International Agenda** – the approaches of international organisations (macro level) differ in focus, for example between the UN Sustainable Development Goals & China’s Cobalt Initiative. These fragmented approaches, at the firm, sector and global level, are challenging to unite, as these networks operate at different levels of complexity, as well as engage with varied stakeholders.

In practice, large manufacturing companies currently have a good level of ‘control’ on their direct suppliers; this includes dialogues and continuous joint learning processes. The further upstream value chains are largely beyond direct control. Therefore, these steps in the value chain require a compliance confirmation from the respective upstream supplier. There is an emerging risk of ‘greenwashing’ with due diligence becoming a mere compliance exercise that is not adequately pursued at every stage in the value chain. Growing signs of ‘fatigue’ with ever increasing sustainability reporting requirements to appease both legal and voluntary requirements compound this risk. There is also the challenge of expanding RS practices beyond ‘sanitised’ value chains, where a section of the global industry is not following RS as their supply chains are not linked to EU consumers or producers. This may negatively impact the competitiveness of the EU industry.

In total, the current state-of-play leads to the conclusion that despite an increasing number of frontrunners and pilot projects, the necessary extensive transfer of RS best practices between companies within a global value chain or cross-sectoral good practice learning is not sufficiently emerging.

These complex and severe challenges – overall and sector-specific - are further complicated by the fact that there is still no global definition of RS which is accepted by the complex network of political, economic, financial, social and environmental platform which are active in the wider Sustainability Agenda.

2.2 Objectives of the RE-SOURCING project

RE-SOURCING acknowledges that the listed challenges are immense (see State-of-Play Report (March 2020)). However, they are not unsurmountable, and it is possible to improve RS practices across all actors in global value chains through a collective, consultative, industry & civil society-driven process. RE-SOURCING aims to contribute to this process with four overarching objectives:

- (1) To Create supportive EU Framework Conditions for RS
- (2) To Foster the Global Application of RS Internationally to create a Level Playing Field

(3) To Advance RS Practices & Concepts for Inclusion within the Global Agenda and

(4) To Build a Global Platform for the RS Community, Networks & Stakeholders

The following paragraphs briefly outline these objectives:

(1) Creating Supporting EU Framework Conditions for RS

RS practices are currently undertaken by a number of lead firms and sector initiatives and their experiences are a crucial tool for others to follow. However, most of these practices are taking place at either the firm or the sector level. Brining these principles up to the EU level strengthens and widens the practice of RS across the EU Economy. Therefore, RE-SOURCING focuses on the identification of existing good RS practices operationalised by firms & sector initiatives in order to facilitate the creation of a wider support framework of RS in the EU. The role of governments, regulators and investors will need to be identified to create such an enabling framework for firms and sectors.

In the above-mentioned selection of good RD practices, so-called Flagship (FS) Cases are identified. These selected good practice cases will be disseminated through peer learning events to stimulate a broader discussion on how to increase good practice learning amongst peers. This transfer of knowledge of FS Cases to other organisations will contribute to positive impacts on the ground. The RE-SOURCING Project will use these FS Cases and the associated discussions to design sectoral roadmaps for three key EU sectors (RES, MS and EEES²).

These roadmaps will form the basis for identifying actions required from businesses and the general shape of EU framework conditions for supporting RS. Based on this, the roadmaps will explore future EU policy needs to offer EU businesses incentives to induce operationalisation of RS practices. While these results primarily focus on the three key EU sectors, their secondary impacts include a wider application to other sectors as well as support for the EIP Raw Materials and the RMI.

(2) To Foster the Global Application of RS Internationally to create a Level Playing Field:

A level playing field of actors in- and outside the EU is crucial for a broad and consistent international implementation of RS Practices & Concepts in mineral value chains. Particularly for the EU companies to retain their global competitiveness within EU and international markets, a level playing field is important to ensure that companies and other actors are not penalised for taking a RS business approach. This can be achieved by fostering the global application of RS.

To foster the international uptake of RS practices, the RE-SOURCING Project will work with currently active initiatives by leveraging 1) past H2020 funded engagements of the consortium partners (STRADE & FORAM), 2) strategic international events (China Mining Conference, UN High Level Political Forum, World Resources Forum events, and global RS forums, such as the OECD Responsible Mineral Supply Chains and IGF on Mining, Minerals, Metals & Sustainable Development) and 3) other industry based stakeholders in international markets that are identified during the course of the project.

The projects' dissemination of exemplary business cases for RS (FS Cases) and the developed sectoral roadmaps, through these engagements, is envisaged to foster a greater application of RS practices amongst businesses engaging with EU sectoral value chains. It also aims at fostering the RS concept in global networks to increase uptake of RS in other regions, thereby enabling the creation of a level

² Renewable Energy/RES; Mobility/MS; and Electronic and Electric Equipment/EEES

playing field. Dialogues around challenges to RS implementation (economic, social, environmental & political) will be pursued with major EU trading partners and stakeholders embedded in value chains (Asia, SSA, LA), as well as wider exchange with EU and other international actors.

(3) To Advance RS Practices & Concepts for Inclusion within the Global Agenda:

Advancing the inclusion of RS Practices & Concepts within the Global Agenda (in a first approach understood as global platforms, initiatives and associations dealing with the wider SDG agenda) is severely hampered by often disconnected RS discourses, dispersed initiatives and platforms, and the lack of interaction between actors from different sectors. E.g., dialogues on responsible mining are often confined to expert conferences despite their wider importance in responsible sourcing approaches. Another challenge is the lack of interoperability of the different certification and due diligence schemes.

To create a streamlined approach for wider commitment to RS concepts, there is a need to expedite a globally accepted definition of RS. This is a key for a better global interoperability of different approaches, standards, regulations and a common understanding along the complex value chains. Beginning with an analysis of the State-of-Play of RS in the EU and international mineral up- and downstream sectors, RE-SOURCING will direct its efforts to stimulate this debate and bring in the lessons learnt from EU businesses and global dialogue partners during the roadmap and flagship case processes.

RE-SOURCING will also address increasing public perception, awareness and image of RS by translating project results into useful and fit-for-purpose policy briefs and synthesizing results into the RE-SOURCING Platform online knowledge repository. These activities will allow for wider engagement, common understanding and awareness of RS with senior international policymakers.

(4) Strengthen Exchange and Networking for a well-connected global RS community:

Building a Global Platform for the RS Community, Networks & Stakeholders is crucial for having a widely accessible and consolidated tool for discussion, dissemination and validation of RS practices, concepts and principles. The RE-SOURCING Platform identifies and manages the relevant stakeholders and engages them in physical and digital exchange processes to ensure continuity of exchange and networking across different stakeholder groups, interests and geographical locations. Combining physical and digital exchange via innovative means, the Platform will address three main functions: 1) Dissemination activities, such as knowledge sharing of good practice cases (FS cases) and findings of the roadmap process; 2) Continuous stakeholder engagement in RE-SOURCING processes (e.g. roadmaps, FS cases), and 3) Visibility and wider participation in international discussions on different levels (sustainable development goals platforms; mining expert platforms; cross-sector RS discussion). This includes the facilitation and support of a globally accepted definition of RS and related concepts by leveraging RE-SOURCING's stakeholders and practical experiences.

The Platform will guarantee stakeholder participation & engagement by deploying tools such as peer learning, virtual conferences, and audio-visual storytelling.

The overall aim is that at the end of the RE-SOURCING project,

- the RE-SOURCING Platform will be a well-known and widely used hub for information provision, networking and knowledge exchange among key stakeholders

- the knowledge base on effective RS practices (with the RE-SOURCING flagship cases), which will accelerate uptake and support mainstreaming of RS in business practices, will be substantially expanded
- the project contributed to an improved perception and shift of attitudes among key business players, consultants and industry initiatives, as well as public policy that RS provides a competitive advantage and have acquired a deeper understanding of its practical implementation.

Beyond the RE-SOURCING projects' duration, the project shall have a continual impact due to the

- build vibrant and active Community, consisting of business frontrunners, motivated early adopters, international experts with the capacity and commitment to implement RE-SOURCING flagship cases. This will inspire future RS initiatives beyond the project duration.
- developed widely accepted three EU raw material sector roadmaps creating effective RS framework conditions for business. This will carry future commitment and buy in of strategic European players.
- Established level playing field of RS on the global level by facilitate the inclusion of the RS principles in the setting of global agendas, international initiatives and three world regions (SSA, Asia, LA).

3 Building a Global Stakeholder Platform for Responsible Sourcing

The global stakeholder RE-SOURCING platform will create a platform for information exchange and will be the main access point of the RE-SOURCING project. The RE-SOURCING platform will be engaged in networking, community building and information sharing activities in order to enable cross-sectoral collaboration, peer-learning and exchange. The Platform will build a knowledge repository to foster concerted and streamlined efforts for responsible sourcing. The RE-SOURCING platform will be continuously expanded via synthesis of project results.

The RE-SOURCING Platform identifies and manages the relevant stakeholders and engages them in **physical and digital exchange processes - the digital and physical component of the Platform**. The platform will address three main functions:

- (1) Dissemination activities (FS cases) and other relevant materials;
- (2) Engagement in strategic EU sectoral roadmap processes;
- (3) Support the wider inclusion of RS in international agendas, agreed concepts and definitions.

The Platform gives opportunities to have necessary information in one place.

The RE-SOURCING platform website will include the online knowledge repository for responsible sourcing (online knowledge repository) to communicate Flagship cases, sector state-of-plays and roadmaps. The platform structure includes:

- a dynamic section advertising upcoming physical and virtual events and project workshops;
- interactive platform spaces in real- and non-real-time:

- Non-real-time interactions include discussions (to discuss, assess and validate different opinions of participants regarding a specific topic), stock-taking (to generate knowledge regarding a specific topic);
- Real-time interactive spaces in the form of webinars (to discuss and elaborate on flag-ship case good practice elements and reflect on their transfer into other institutional contexts);
- three training sessions (webinars), videos, webcasts showing the results, features and application of the RE-SOURCING platform.

The RE-SOURCING digital component:

The digital and virtual components of the RE-SOURCING platform act as a tool for networking, exchange and learning for stakeholders. The RE-SOURCING digital component will include:

- audio-visual storytelling videos (each about 10-15min) highlighting the specific RS challenges and potential solutions from each of the FS-sectors (RES, MES, EEES)
- 9 expert interview videos (each 10min long) three per sector, with high-level expert stakeholders with the aim to increase outreach, accessibility and a broader understanding of RS for a wider audience
- 15 webcasts based on webinars and physical platform activities. The webcasts will allow users to digitally access information from physical platform activities and fully be able grasp the content and features
- 3 online webinars - live training sessions in the form of webinars with the objective to disseminate final results and show the features and application of the RE-SOURCING website to a larger audience.
- 2 virtual conferences will be organised in collaboration with a virtual conference provider. The event will incorporate webcasts and live key notes, a virtual exhibition, webinars and Q&A bulletin boards and attract participants from all over the globe.

The RE-SOURCING website will include in the navigation bar the headings and sub-headings as listed in Table 3-1.

The RE-SOURCING physical component:

By organising two physical conferences and workshops, the project will aim to ensure continued commitment by key stakeholders by engage regularly more personal and face to face networking and exchange spaces for stakeholders. The physical component is important to build up relationships, commitment, trust and mutual interest.

Table 3-1: Headings (and sub-headings) to include in the navigation bar of the RE-SOURCING website

| TABS structure (and sub-headings) to include in the Navigation Bar on the RE-SOURCING Website | | | | | | |
|---|--|---|--|---|--|--|
| HOME (landing page) | ABOUT | „TARGET GROUPS“ OR „INDUSTRY SECTORS“ | NEWS | EVENTS | KNOWLEDGE PORTAL | CONTACT |
| <ul style="list-style-type: none"> ■ Project Statement & Logo ■ About the RE-SOURCING platform ■ Personal & target audience specific approach – welcome (to introduce the project and its objectives) ■ Organisations/partner logos ■ Social media icons ■ (Twitter, LinkedIn, etc.) ■ Mailing list subscription | <ul style="list-style-type: none"> ■ Purpose & objectives ■ Videos (team presentation: photo or video with project partners) ■ Team (&Partners) | <ul style="list-style-type: none"> ■ Energy Sector (RES) ■ Mobility Sector (MS) ■ Electronics & Electric Equipment Sector (EEES) | <ul style="list-style-type: none"> ■ Social Media & News feed | <ul style="list-style-type: none"> ■ Opening Conference, 3-4 Dec 2020 ■ Physical events ■ Digital events ■ Other events | <ul style="list-style-type: none"> ■ WIKI on RS (listing of initiatives, networks etc.) ■ Flagship cases ■ Roadmaps ■ Sectors ■ Project Reports | <ul style="list-style-type: none"> ■ Coordinator contact & General info email |

3.1 Objectives of the RE-SOURCING platform – How will we be doing this?

The project will undertake a number of approaches to consolidate stakeholder engagement, knowledge co-creation and dissemination of RS practices. The RE-SOURCING Platform is a crucial delivery tool for this purpose (Figure 3-1: RE-SOURCING Platform

). It will combine physical and digital interfaces with stakeholders through cross-border collaboration, including three Global Advocacy Fora in Sub-Saharan Africa, Latin America and Asia.

The digital dimension includes the online platform with the possibility of information exchange via audio-visual storytelling and webcasts. **Consultation** will be realised online and via real time discussion fora. **Knowledge co-creation** will be achieved by webinars and the project’s knowledge repository. The two virtual conferences will be realised via key-note webcasts and interactive exchange spaces. The **physical dimension** of the platform has four areas including conferences (opening and closing conference) for networking and dissemination, two Global Advocacy Fora (Latin America, Asia, Sub-Saharan Africa) for the discussion of the RS definition, three sector-specific workshops (renewable energy sector, electrical & electronics sector, mobility sector) for building the respective EU Roadmaps, and three sector-specific flagship labs for peer learning on good practice examples.

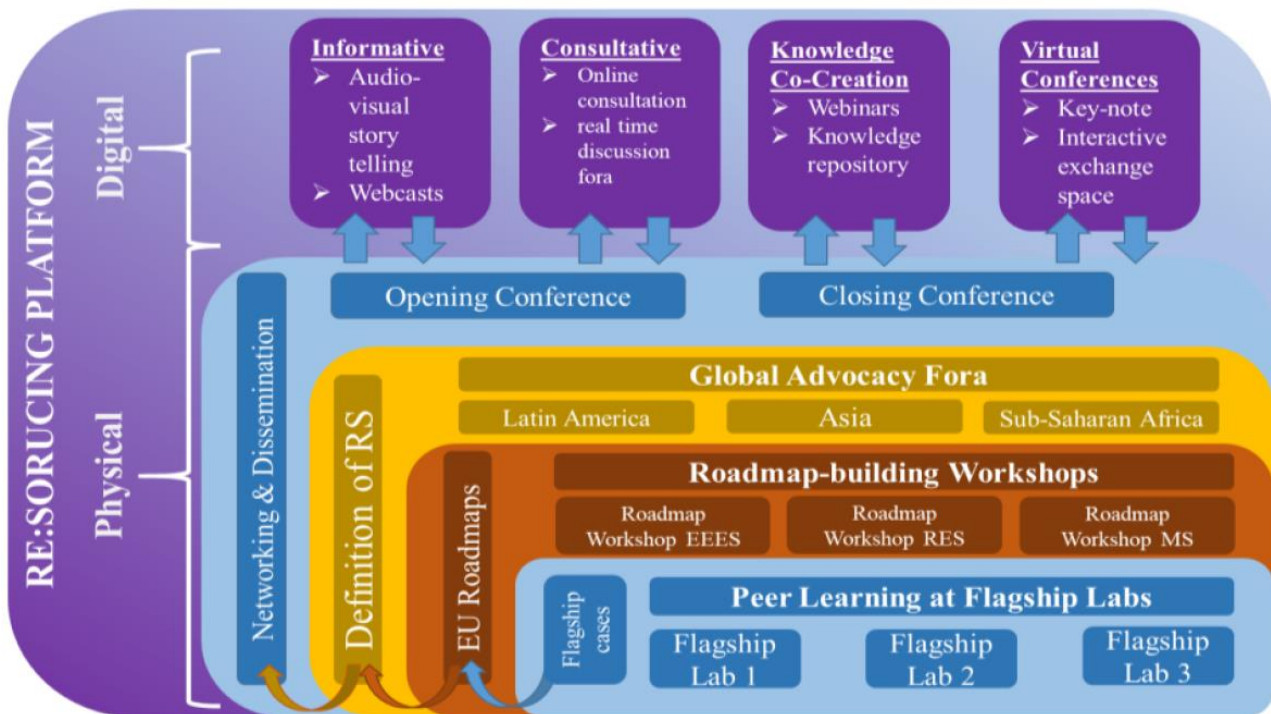


Figure 3-1: RE-SOURCING Platform

The aim of the platform is to

- support an online knowledge repository on Responsible Sourcing (comprehensive, user-friendly, collaborative, up-to-date)
- be the main channel of dissemination for a common understanding of Responsible Sourcing
- serve as a virtual meeting space for stakeholders across the globe
- build a physical and virtual community of practice (CoP)³ in the area of responsible sourcing that increases understanding and transparency of concepts, standards and practices, while fostering exchange and concerted action towards minerals value-chain due diligence and RS
- support the emergence of a global stakeholder community working towards Responsible Sourcing

A collective platform enables stakeholders from different sectors and stages within global value chains to connect and build a trustful network. With this background, the stakeholders can learn from the experience of others, allowing them to develop a common understanding for a collective plan of the future. The nature of this platform facilitates the common learning and knowhow exchange.

To this end, real-time interactions such as brainstorming sessions and virtual meeting spaces openly discuss topics and actively generate knowledge and/or common understandings, whereas webinars primarily inform participants about certain topics and facilitate learning from discussions). Non-real time interactions include audio-visual storytelling, expert interviews, and webcasts for awareness rising and information. Both non- and real-time interaction can be understood as virtual collaboration. In this respect, this interaction takes a 'connectivistic' approach, in which learning amongst, and between members of the virtual community is imperative and understood as (1) an exchange of diverse opinions, (2) a process and realisation of exchange of between sectors and concepts, and (3) the co-creation of knowledge through this process.

The construction of a virtual community builds on integral aspects of: (1) merging physical and virtual worlds (RE-SOURCING Platform), and (2) designing and building trust and rapport, as well as fostering continuous reciprocal discussions (virtual means of exchange e.g. online fora and webinars). The digital platform will foster the connectivity between technology and people through communication networks, and thus works towards increased inclusion and outreach.⁴ Secondly, the platform rests on a strong conceptual underpinning of designing and implementing trust in virtual communities in a dual-approach that combines perceived goodwill and competence in the process of creating and sustaining trust between members and the operators of the virtual community.⁵ Lastly, the platform will be designed to ensure continuity to the process of exchange, thereby forming and sustaining virtual communities⁶ and creating new networks that emerge

³ CoPs are groups of people that collaborate to find innovative solutions for complex problems (Slob A (2012) Collaborative tools and processes for connecting policy and science. Hands on approach. www.psiconnect.eu. Pattinson S and Preece D (2014) Communities of practice, knowledge acquisition and innovation: a case study of science-based SMEs. *Journal of Knowledge Management*). They are characterised by (1) sharing a thematic field of interest, (2) continuous interaction based on mutual respect, trust and a shared vision, and (3) a pool of practices, ideas, information and tools that the community members are willing to share and mutually develop (Wenger et al. (2002) *Cultivating communities of practice: A guide to making knowledge*. Harvard Business Press. Boston.).

⁴ European Commission (2020): The Internet of Things. <https://ec.europa.eu/digital-single-market/en/internet-of-things>

⁵ Leimeister et al (2005): Design, Implementation, and Evaluation of Trust-Supporting Components in Virtual Communities for Patients; *Journal of Management Information Systems* 21; no. 4

⁶ Hiltz & Wellmann (1997): Asynchronous Learning Networks as a Virtual Classroom; *Communications of the ACM* 40, no.9

from continuous discussions and mutual interests.⁷ Together, the physical and virtual community fosters concerted action across stakeholder groups, sectors and geographical areas, towards a harmonised understanding of RS.

The RE-SOURCING platform shall not only be set up as a new independent platform. It will link to already existing platforms, certification and due diligence schemes and further existing systems relevant to the RE-SOURCING platform. Against this backdrop, RE-SOURCING will collaborate with the EU JRCs Raw Materials Information Centre (RMIS)⁸, where relevant outcomes of the RE-SOURCING project will be included.

4 The RE-SOURCING Project – Concepts

In the following sub-chapters RE-SOURCING's use and understanding of concepts are explained:

4.1 What do we understand by Sustainability and Responsible Sourcing?

The terms 'sustainability' and 'sustainable development' have been in use for over three decades and have been defined in a number of ways. In October 1987, the Brundtland Report '[Our Common Future](#)', commissioned by the United Nations set out a global agenda for change; recognising the environmental and social challenges facing the planet and aiming to build a prosperous future, which was more just and secure, for multiple generations and for citizens of all countries. Sustainability is a global concern, where the negative impacts on economic, social and environmental factors affect citizens in all regions. With the expansion of global methods of production (global value chains) the consumption in one region is linked to production in other regions. Therefore, international institutions play a central role in addressing sustainability and in turn responsible sourcing.

In current literature, most sustainable development discussions use the **UN SDG framework** as their primary reference, before addressing/focusing on specific sustainability issues that are of relevance. While the SDGs remain one of the few globally agreed concepts of sustainability, RE-SOURCING will further enhance this concept. Apart from the UN, other leading international institutions share similar scopes of addressing sustainability. In more recent years, the concept of Green Growth has been added and the OECD (2011) refers to 'fostering economic growth and development, while ensuring that natural assets continue to provide the resources and environmental services on which our well-being relies'.

Sustainability, Sustainable Development and Sustainable Development and Growth generally refer to the same underlying concept, although with differing emphases and connotations. The State-of-Play (March, 2020) outlines these concepts in more detail. As the project explores the concepts of RS with stakeholders, the spectrum of sustainability will be more clearly defined and articulated within the sector roadmaps. The aim of the project is to move towards strong sustainability, rather than race to the bottom with weak sustainability concepts.

Therefore, RE-SOURCING considers sustainability as a spectrum, where the needs of the present are met without compromising the ability of future generations to meet their own needs. Sustainability encompasses

⁷ Ridings & Grefen (2006): Virtual Community Attraction: Why People Hang Out Online; Journal of Computer-Mediated Communication 10; no.1

⁸ See <https://rmis.jrc.ec.europa.eu/>

three dimensions: economic, environmental and social. Within these dimensions, the consideration is for the broader environmental and societal interests, rather than to the interests of specific organizations.⁹

Brink *et al* (2019), based on extensive literature review, find no concrete definition for responsible sourcing in the raw materials sector. They offer the following definition: “the management of social, environmental and/or economic sustainability in the supply chain through production data”. This definition combines two important dimensions of RS: the **management of organisations and supply chains** through supplier monitoring and development and **production data** which collects information on production location and processes.

The term ‘responsible’ is often interchangeable with ethical, green, sustainable, whilst ‘sourcing’ is often interchanged with procurement and purchases. While any combination refers to essentially the same concept, for consistency, we will be using the term Responsible Sourcing throughout the project.

The project will focus on two aspects of RS in its research – 1) the **management techniques** employed by organisations to **implement responsible sourcing practices** (such as company code of ethics, operations, labour policy, environmental policy, supplier development etc) and 2) **on processes providing data** that assist with responsible sourcing (such as mapping supply chains, use of block chain technology, due diligence schemes, use of certification schemes etc).

4.2 How do we work on different levels – from local good practices to a global agenda dialogue

The complexity of international raw material value chains and their manifold political, economic, social and environmental implications require efforts on different levels from local best practice to global agenda dialogues. RE-SOURCING considers three different levels (micro, meso and macro) which are illustrated in the Figure 4-1.

The Figure also shows the identified **three priority EU raw material based sectors** – Renewable Energy (RES), Mobility (MS) and Electric & Electronic Equipment (EEES) – that are considered crucial for addressing the current and future challenges in the EU’s transition towards a circular economy and successful Green Deal.

The Figure also shows the related **Raw Material Value Chains** which will be addressed by RE-SOURCING: Traditional Minerals (e.g. aluminium, copper and iron ore/steel), Conflict Minerals (3TGs) and Green Technology Minerals (e.g. lithium & nickel).

⁹ Based on the GRI Reporting Standards definition of sustainability.

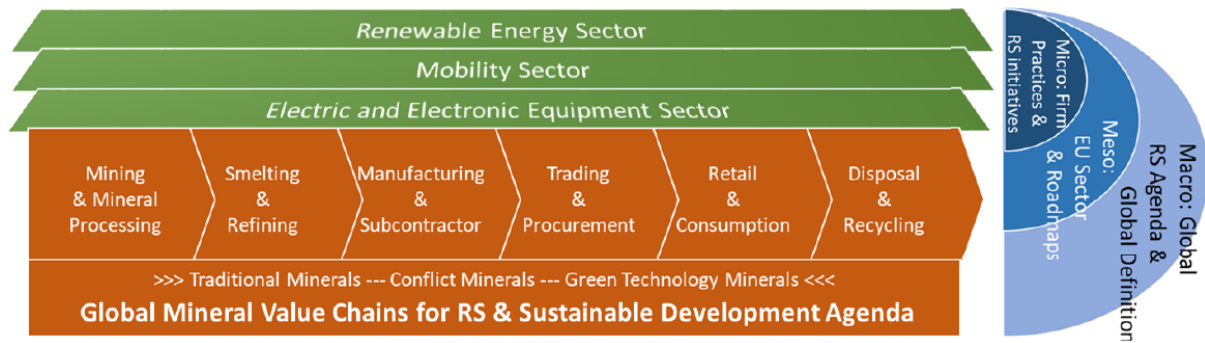


Figure 4-1: RE-SOURCING’s Three-Pronged Approach

Given the complexity of mineral value chains, the improvement and uptake of RS practices needs to be addressed on **multiple levels** simultaneously. With key stakeholders influencing RS practices on various levels a multi-layered approach is required to reinforce synergetic effects and mitigate negative spill-overs. Therefore, RE-SOURCING will target three interlinked levels:

1. **Micro level – Good practice by firms** → RE-SOURCING works on selected good practice cases (Flag Ship Cases) which are placed at firm/industry level and improve impacts on the ground and good practice learning.
2. **Meso level - Sectors (EU)** → RE-SOURCING develops visions & roadmaps for the three sectors RES, MS and EES to provide recommendations and good practice transfers.
3. **Macro level – global agenda:** → RE-SOURCING engages in international dialogues and international RS&SD Agendas in order to include a holistic approach to RS in the global agenda setting process.

The EIP¹⁰ / RMI¹¹ and global institutions (UN, OECD) clearly call for an integrated and holistic approach for Responsible Sourcing, i.e. integrating different dimension of sustainable development (exemplified by the SDGs). Policies have high impact on individual raw material value chains and industrial sectors; and in turn comprehensive company engagement and sectoral efforts for RS&SD will shape the global progress of sustainable development. A better inclusion of RS business incentives in global agendas and resulting commitments facilitates an enabling and competitive environment for EU actors. Beyond this context, RE-SOURCING aims to support this inclusion by integrating stakeholders from different fields ranging from the practitioner on the ground up to international decision-makers and aims to use these different perspectives and experiences for a global multi-level cooperation.

4.3 How do we define our three sectors – Renewable Energy, Mobility and Electric and electronic equipment?

The EU’s commitments under the 2015 Paris Agreement have set the region on a transition to a low-carbon, circular economy. In line with these commitments, the European Commission presented its strategic roadmap for a climate-neutral Europe by 2050 in November 2018. The roadmap’s strategic priorities include 1) putting industrial modernisation at the centre of a fully circular economy; 2) embracing clean, safe and

¹⁰ The European Innovation Partnership
¹¹ Raw Materials Initiative

connected mobility; and 3) fully decarbonising Europe's energy supply, amongst other milestones.¹² The three sectors covered in RE-SOURCING are very much linked to these priorities:

The Renewable Energy Sector (RES): The RE Sector includes a host of sources, with 91% of the energy generation currently coming from biomass, hydropower and wind (2017). Solar energy remains an important source of RE for the future. The EU target under the revised Renewable Energy Directive is set at 32% energy from renewable energy sources by 2035. In 2016, the RE industry was valued at €149 billion, providing more than 1.4 million jobs in the EU.¹³ The RE sector directly addresses the EU priority Societal Challenge to secure clean and efficient technology. In 2011, the EU accounted for the largest share of global investment in clean energy but was overtaken by China in 2015. Between its peak in 2011 (€ 126bn), new investments in clean energy in Europe had fallen to € 68bn by 2018.¹⁴

Challenges in the sourcing of raw materials within the sector include limited availability of materials, price fluctuations and recycling. The extraction of these minerals is also associated with negative social and environmental impacts, as are practices in the manufacturing of equipment that goes into the RE sector.

For the RE sector, this project will focus on the global value chains for wind and solar energy, as these are the fastest growing sources of renewable energy and both require a wide range of metals (copper, steel, aluminium, lead, tin, zinc, rare earths, etc). These have limited availability in the EU and are often imported across chains that stretch from Latin America, Africa and China into the EU.

Figure 4-2 depicts the focus of the RE-SOURCING project within the RE value chain. Two nodes will be researched in greater detail: the **mining & processing stage** and the **manufacturing stage**. As noted, the minerals used in the RE sector come from several countries, mostly outside of the EU. Similarly, while the manufacture of wind turbines is largely based in the EU, the top producers for other RE manufacturing products are located elsewhere. Thus, the RS practices for EU firms, both in procurement of metallic products and of manufactured components are of importance.

Within the mining & processing node, the focus will be on **copper**, as it is needed in all RE sources. Within the manufacturing node, the project team will include **industry** stakeholders (manufacturers, users such as electricity suppliers and the recycling firms). A more detailed description of stakeholders and initiatives are provided in the RE-SOURCING State of Play report (March, 2020).

¹² [Our Vision for a Clean Planet for All](#). EC (2018)

¹³ [Renewable Energy Policy Factsheet](#). EuroObserv'ER (2018)

¹⁴ [Clean Energy Investment Trends, 2018](#). Bloomberg (2019)

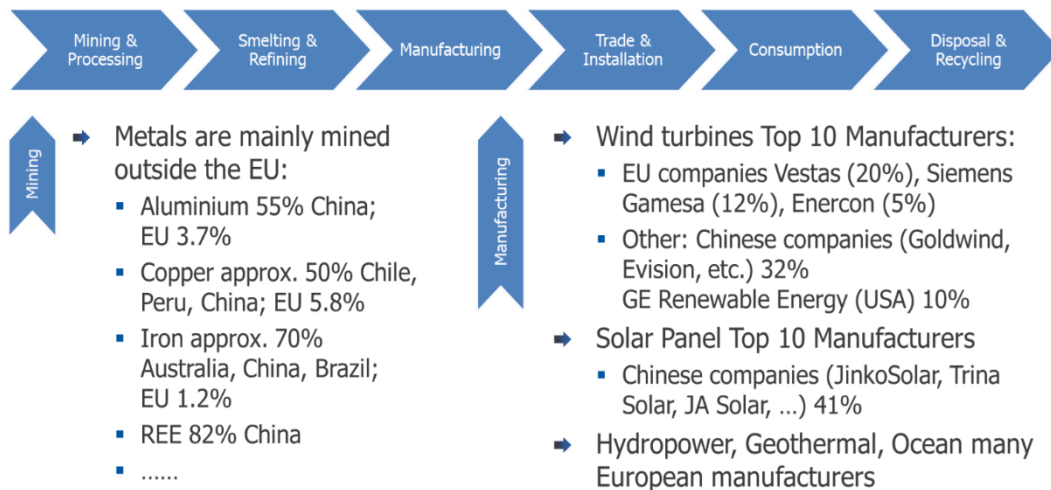


Figure 4-2: Global Value Chain for Renewable Energy

The Mobility Sector (MS): The mobility sector (manufacture of motor vehicles, trailers and semi-conductors) is one of the largest manufacturing sectors in the EU. In 2017, the transport sector also accounted for 25% of the EU28 GHG emissions. Therefore, the main elements of the European Strategy for Low-emission Mobility include speeding up the deployment of low-emission alternative energy for transport and moving towards zero-emission vehicles.

A key strategy for this shift to be successful is the transition to Hybrid and Electric Vehicles; in 2050, 80% of all newly registered passenger cars globally could be powered by alternative drivetrains.¹⁵ The key to e-mobility is the production of strong, efficient and affordable batteries. In the value chain of electric cars the battery is the most valuable component with a share of 40%. The EC projects that the EU batteries market will increase by a factor of 4 to 10 by 2025, creating a market valued at €250 billion/year.¹⁶ The focus in the mobility value chain will be the mining of selected materials (lithium, cobalt, graphite and nickel), cell manufacturing and recycling efforts (Figure 4-3).

The mobility sector will focus on the more mature technology of the electric battery, which will be the key component of the sustainability transition agenda in the EU. The electric battery accounts for 40% (in terms of value) of the electric car value chain.

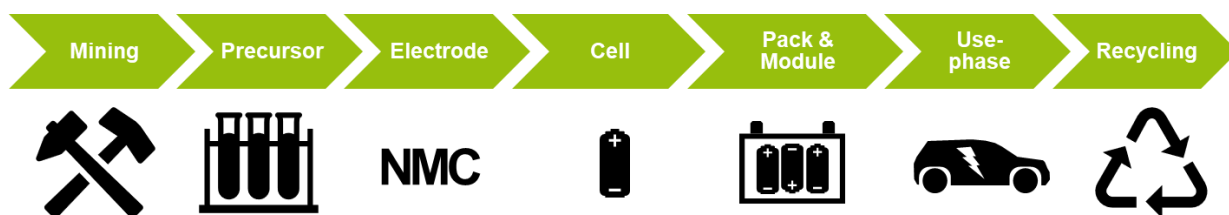


Figure 4-3: Lithium-ion battery value chain

The focus of the research in the RE-SOURCING project will be on three nodes within this value chain: the mining of selected minerals; cell manufacturing and recycling.

¹⁵ Lithium-ion batteries: Global resource demand and recycling potential until 2050. Oeko Institute (2019)

¹⁶ Our Vision for a Clean Planet for All: Industrial Transition. EC (2018)

Electric & Electronic Equipment Sector (EEES): The Electronics sector is one of the largest industries in the world, with approximately 18 million workers who produce 20% of global imports and generate \$1.7 trillion trade in electronics products. It is a major contributor to creating economic growth and opportunities across the world and is key for many industries (automotive, healthcare, aeronautics, space, communications) and users.

In Europe, the revenue from the consumer electronics segment is expected to be around US 78mn (€ 71mn) in 2020; the sales of European semiconductors alone is expected to reach US 3.25bn (€ 2.97 bn) this year. However, sub-standard working conditions and human rights violations are pervasive along the production value chain. Major RS issues include addressing low wages, toxic chemicals, environmental impacts, child labour, forced labour, etc.

The EEES will be key for the industrial modernisation needed for a circular economy and serves a number of key EU manufacturing businesses: automotive (electrification of vehicles and autonomous mobility), Industry 4.0, IoT¹⁷ devices and systems, 5G, energy, healthcare, aeronautics and space. In 2018, the EC launched a process to update its current Strategy on Electronics that was adopted in 2013. The EU Conflict Minerals Regulation has a direct impact on this sector, as EU businesses source both raw materials and semi-manufactured products to manufacture products ranging from laptops to mobile phones and engines.

The EEE Sector covers many products from electronic components and boards; computers and peripheral equipment; consumer electronics, electronic and electric wires and cables. The global value chain for the sector is illustrated in Figure 4-4.

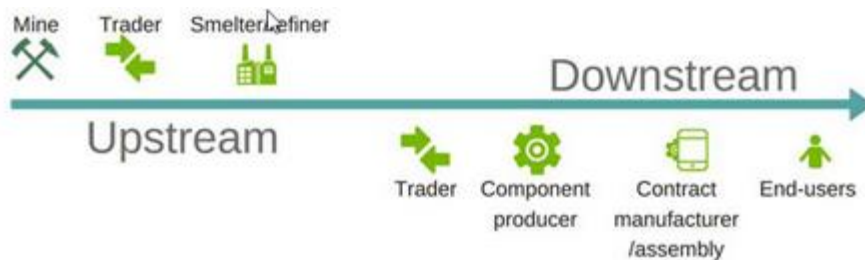


Figure 4-4: Value chain in EEE sector
 Source: EC: The regulation explained (<https://ec.europa.eu/trade/policy/in-focus/conflict-minerals-regulation/regulation-explained/>)

The range of materials used in EEE products is relatively extensive. For example, over 34 minerals/metallic products are used in the production of automobiles and electronic products, ranging from copper to mica. To focus the research in this sector, two sets of minerals have been identified at this stage:

- **3TG (Tin, Tungsten, Tantalum, Gold):** They have high relevance due to legislation (OECD, EU, Dodd-Frank) that governs RS practices and they have high industry consumption and function criticality (tin, tantalum) for EEE products.
- **Mica:** It has high relevance of the mineral for EEE (as well as the mobility sector) and there is also sever sustainability risks associated with its extraction.

A number of active initiatives have been identified for this sector, including the Responsible Minerals Initiative, GoodElectronics Network and the International Campaign for Responsible Electronics, amongst

¹⁷ Internet of Things

others. A more detailed description of stakeholders and initiatives are provided in the RE-SOURCING State of Play report (March, 2020).

4.4 How do we map our stakeholders?

Mapping is an important step in understanding who the key stakeholders are, which expertise they have, and where and how they can contribute to the project. The objective of mapping exercises is to ensure that potential external experts and affected stakeholders (e.g. raw materials traders or employer associations) who might have an interest or a stake in the project’s results have been identified.

The stakeholder mapping for the RE-SOURCING project is described in detail in Deliverable 6.1 “Stakeholder Management Strategy” (March 2020) and will be performed in three phases (see Figure 4-5 below):

- Identification of stakeholders
- Stakeholder analysis
- Clustering of stakeholders and targeted messaging

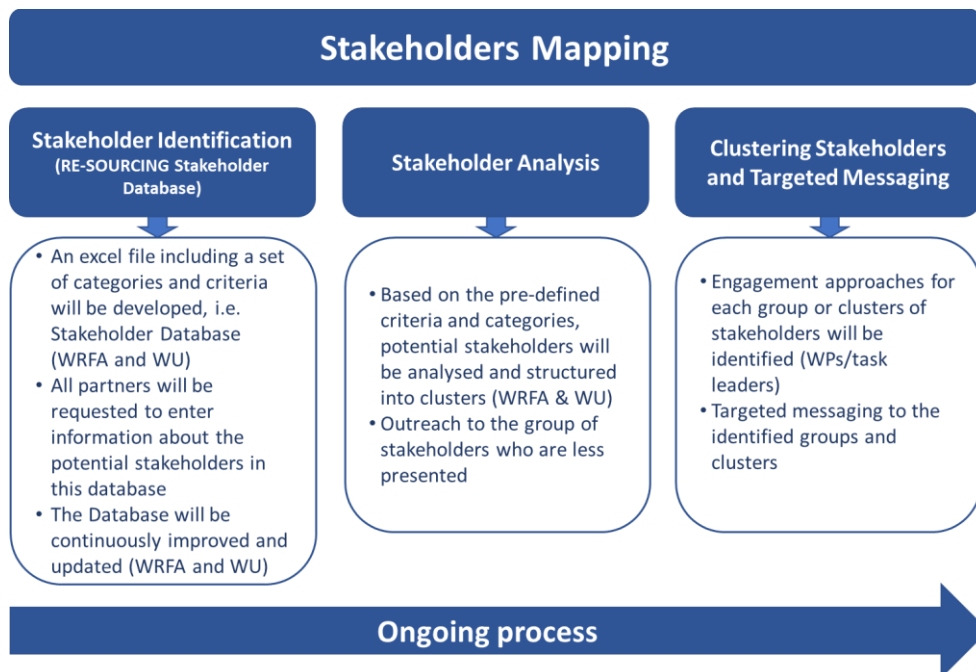


Figure 4-5: Three steps in stakeholder mapping

The data protection guidelines are always kept in mind. The data protection guidelines are part of Deliverable 6.1 (Stakeholder Management Strategy) and corresponding Ethics deliverables.

4.5 How do we engage our stakeholders?

The stakeholder engagement strategy for the RE-SOURCING project is divided into the

- type and degree of stakeholder engagement (informative, consultative, collaborative) and
- engagement channels (physical events, online activities).

The details are described in Deliverable 6.1 “Stakeholder Management Strategy” (March 2020).

4.6 What is our focus along the value chain?

Based on an holistic understanding of RS, the project considers all stages in global value chains. Several key features can be traced along international sourcing streams that determine the current state-of-play in mining industries and are thus in the focus of RE-SOURCING, including:

- Most European companies in global value chains are manufacturing companies and located in downstream sectors.¹⁸
- Many socio-economic and environmental challenges are directly located at the mine (upstream).
- The refiners & smelters play a key function as nodes in due diligence schemes because they are principally able to track the origin of their raw materials, if they engage in tracking schemes. (upstream). In addition, the role of middlemen or traders has a significant role in some mineral value chains (for example DRC and cobalt).
- An increasing number of initiatives aims to address the complete value chain.
- Asia, particularly China, plays an important role in processing semi-finished products. As such, high shares of global raw material demand stems from Asia for the production of interim and end-user products, both for global and domestic markets.

In response, RS requires the involvement of stakeholders across geographic and sectoral boundaries in order to address the challenges of current sourcing practices. RE-SOURCING is doing so by engaging with EU and global stakeholders, addressing issues along the entire value chain.

4.7 What raw materials are we considering?

RE-SOURCING generally deals with minerals. Fossil energy such as coal or renewable energy sources such as biomass are not in the project scope. The current debate on responsible sourcing is a very broad one and not limited to a few minerals. By addressing three different sectors and specific good practice cases within these sectors, RE-SOURCING will deal with a wide range of minerals. The detailed selection will be informed by the project Advisory Board and the Platform Steering Committee. In general, RE-SOURCING focuses on traditional minerals (e.g. iron, copper, bauxite), green technology minerals (e.g. battery materials like cobalt, lithium, manganese and mica) and conflict minerals (tin, tungsten, tantalum, gold). In the current project phase, the integration of the following raw materials is compatible with the selected key sectors as outlined in Table 4-1 (no complete list):

Table 4-1: Range of selected raw materials associated with the three sectors

| | Renewable Energy Sector | Mobility Sector | Electric & Electronic Equipment Sector |
|------------------------------|--------------------------------|---------------------------|---|
| Traditional materials | | | |
| Iron | Assembly materials | Bodyworks | |
| Copper | Generators, grid | Electric motor | Electronics, electric motor |
| Bauxite / Aluminum | Assembly materials | Light weight construction | |

¹⁸ Please find the definition on downstream/upstream in the state-of-play report (D1.1; March 2020)

| | Renewable Energy Sector | Mobility Sector | Electric & Electronic Equipment Sector |
|--|---|---|---|
| Green technology minerals | | | |
| Battery materials (cobalt, lithium, nickel, natural graphite, manganese, et al.) | Energy storage | E-Mobility | Batteries in mobile devices |
| Mica | Cables, turbo engines, etc. | Sensors, brake pads & clutch pads, coatings, etc. | Printed Circuit Boards, sensors, cables, etc. |
| Rare earths in magnets | Wind turbines (in some generator types) | E-Motors (in some motor types) | Speakers, hard disc drives |
| Conflict minerals | | | |
| 3TG (tin, tungsten, tantalum, gold) | Electronics | Electronics | Electronics |

4.8 Which regions are considered?

RE-SOURCING generally deals with global value chains and aims for a broad international engagement. Beside the virtual engagement which enables broad global dialogues, physical workshops (global advocacy forums) are foreseen to reflect parameters of a globally accepted RS definition. The forums are planned in:

Asia (esp. China): The forum will explore the Chinese perspective on global responsible sourcing and critically discuss the RE-SOURCING findings. Additional key issues might be China's role as midstream manufacturer in supply chains with cobalt and conflict minerals

Sub-Saharan Africa: The workshop will explore the Sub-Saharan African perspective on global responsible sourcing and critically discuss the RE-SOURCING findings. Focal points and key issues might be conflict minerals or the integration of ASM in responsible supply chains.

Latin America: The workshop will explore the Latin American perspective on global responsible sourcing and critically discuss the RE-SOURCING findings. Additional key issues might be responsible mining of lithium or copper.

Europe: Several workshops for the road map process for the three sectors and the Flagship cases are planned in Europe. Furthermore, the opening and closing conferences will be in Europe (Brussels or Vienna). They are complemented by virtual formats to include international stakeholders in the debate.

Participation in international conferences: The project team will also attend international conferences and workshops, and present and discuss RE-SOURCING findings and considerations on a globally accepted RS definition with the international stakeholder community.

An overview on the events is visualised in Annex I.

5 Major project actions

The RE-SOURCING project will be performed with selected project measures: Sector Roadmaps, Flagship Cases, Platform Labs, and Global Advocacy Fora, which are explained in the following sub-chapters. The chapter ends with the outline of the importance of knowledge sharing and networking.

5.1 Sector Roadmaps

RE-SOURCING will develop sectoral **roadmaps** for three key European industrial sectors – Renewable Energy Sector (RES), Mobility Sector (MS) and Electric and Electronic Equipment Sector (EEES) – describing the current situation (“**state of play**”), the vision (“**vision for the future**”) and key actions needed to transverse the distance between now and an improved future situation for the responsible sourcing (RS) of raw materials (“**milestone achievements**”). The sectors are very comprehensive to be dealt within RE-SOURCING. Therefore, the scope of the individual sectors has to be limited in the project. A first approximation of the project’s focus within these three sectors is outlined in Chapter 4.3.

The initial development of the technology roadmapping approach in the late 1970s by Motorola (Willyard & McClees, 1987¹⁹) was to support the linkage of strategic product and technology plans. Having since evolved, the tool offers a key benefit, as it organises and clearly communicates the current achievements and challenges, and the future vision, juxtaposed with the means to realising said goal (Phaal, Farrukh, & Probert, 2007²⁰). Roadmapping has become one of the most widely used approaches for driving innovation and strategy planning, both at firm and sector levels, and has been used before in EU projects (e.g. SONNETS,²¹ VERAM²²).

Thus, roadmapping is very well suited for RE-SOURCING to **develop a vision for RS** in these sectors. In order to achieve these visions, **recommendations for actions** will be developed **involving all relevant stakeholders**, i.e. European and international policymakers, businesses along the raw material value chains, Civil Society Organisations (CSOs) and academia. The project will particularly draw support from the project’s **Platform Steering Committee (PSC)** in terms of uptake and dissemination of the roadmaps beyond the project’s lifetime.

The Roadmapping process is strongly interlinked with the work carried out in other project actions:

- **Conceptual Basis:** General state of the art on responsible sourcing, concept guidance on roadmap process; peer learning and facilitation methods of workshops and webinars; peer learning and stakeholder validation, policy briefs based on the roadmaps
- **The Platform:** Online consultation on roadmap; webinars for peer learning and roadmap validation; roadmap integration into the online knowledge repository
- **Global Agenda Setting:** will contextualise and reflect the findings of the roadmaps within a broader global framework, through consultations with international stakeholders
- **Flagship Labs:** Transferability aspects of FS cases will feed into the final versions of the roadmaps.

¹⁹ Willyard, C.H.; McClees, C.W. (1987): Motorola’s Technology Roadmap Process.

²⁰ Phaal, R.; Farrukh, C.J.P.; Probert, D.R. (2007): Strategic Roadmapping: A Workshop-based Approach for Identifying and Exploring Strategic Issues and Opportunities. In: Engineering Management Journal.

²¹ SONNETS – SOcietal Needs aNalysis and Emerging Technologies in the public Sector

²² VERAM – Vision and roadmap for European raw materials

5.1.1 Roadmapping Process

The RE-SOURCING project will use a three-step process adopted from Phaal, Farrukh & Probert (2007)²³ for the roadmapping process. Figure 5-1 visualises the RE-SOURCING roadmapping process. The three steps planning & purpose, sectoral roadmaps and roll out are described in the following sub-chapters.

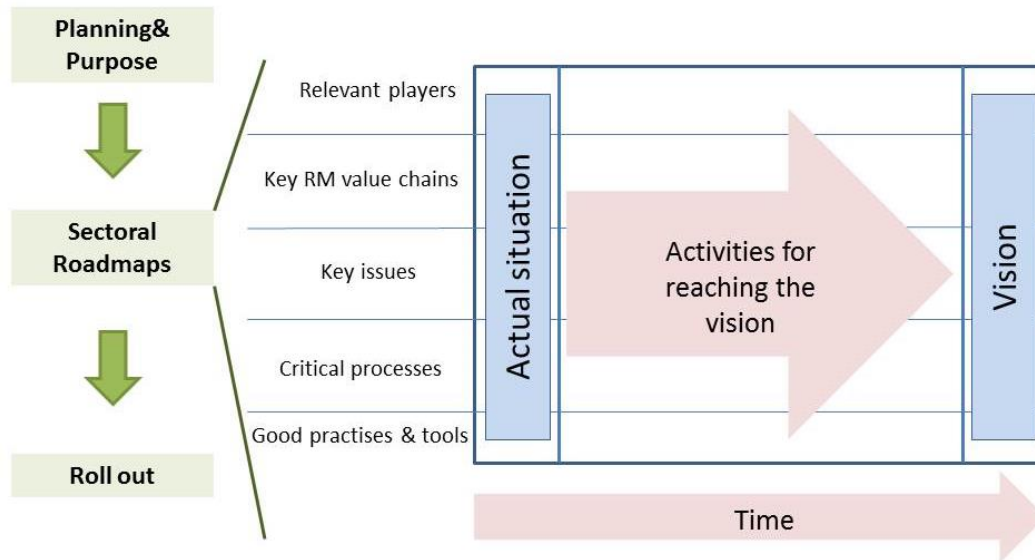


Figure 5-1: RE-SOURCING Roadmapping Process

5.1.1.1 1. Step: Planning & Purpose

In order to ensure that both the process and roadmap architecture are appropriate for the intended purpose, it includes stakeholder identification and commitment, RE-SOURCING Platform setup, and the identification of the state of play, key topics and blind spots.

Key areas to be covered in the road mapping process include:

- relevant and active players
- key raw material value chains (incl. parallel activities in secondary material sourcing (recycling), substitution of critical raw materials and increasing resource efficiency, intermediate products imported e.g. from China)
- key issues (e.g. human rights, environment, ASM)
- critical processes (e.g. audits, use of block chain, financing)
- existing good practices & tools, for example:
 - sector level (e.g. GoodElectronics as sector initiative)
 - firm level (e.g. BMW commitment to sustainable cobalt mining in DRC²⁴)
 - material level (e.g. Responsible Cobalt Initiative, Aluminium Stewardship)
 - process level (e.g. safe tailing dam management; responsible mining initiatives)

²³ Phaal, R.; Farrukh, C.J.P.; Probert, D.R. (2007): Strategic Roadmapping: A Workshop-based Approach for Identifying and Exploring Strategic Issues and Opportunities. In: Engineering Management Journal.

²⁴ <https://www.bmwgroup.com/en/responsibility/sustainable-stories/popup-folder/sustainable-cobalt-mining.html>

- government level (e.g. stricter environmental requirements on water management in Chilean mining sites)
- international initiatives (e.g. UN, SDGs, OECD Due Diligence Guidance).

The report on State-of-play of the international RS agenda (D1.1; March 2020) is an element of major importance in this planning process. It will provide (1) a stock-taking of RS developments in the mineral down- and upstream sectors, by analysing advances at major existing platforms & initiatives such as by the OECD, within the finance/investment sector, CSO initiatives and schemes being currently implemented. Particular attention will be given to incentives for businesses to source responsibly as well as the interface with the secondary resource sector (recycling);

(2) analysis of downstream sectors (RES, MS, EEES); relevant global stakeholders (industry, CSO and other actors influencing European actors in establishing a level playing field globally); the key challenges (conflict minerals, human rights, environmental sustainability, health & safety etc.). This analysis will be used as input for sectoral roadmaps and form the basis of the dialogue to address a globally accepted definition of RS, and the elaboration of good practices (Flagship cases);

(3) an initial stakeholder mapping and classification system drawing heavily from data bases in H2020 projects: FORAM²⁵, STRADE²⁶, MIN-GUIDE²⁷ as well as the EIT Raw Materials network.

Challenges identified during the proposal phase for EU raw material responsible sourcing that need to be addressed can be seen in Table 5.1.

Table 5-1: Common challenges for EU raw materials responsible sourcing

| Common Challenges: Energy, Mobility & EEE | | |
|---|---|--|
| Common Business Sourcing Challenges | | |
| Risk identification | Integrating within global Value Chains | Integration of sub-contractors |
| Finance & procurement practices | Innovation & demands from outside influences | Collaboration with external vendors & auditors |
| Transparency & the role of social media | Information & the big data revolution | Regional diversity in recruitment |
| Shared Sustainability Challenges in Sourcing | | |
| Labour practices | Human Rights | Finance |
| - Freedom of association - Treatment of migrant labour - Living wage for workers - Exposure to hazardous substances (mercury) - Provision of protective equipment | - Serious abuses associated with the extraction, transport or trade of minerals - Use of public or private security forces - Direct or indirect support to non-state armed groups | - Payment of taxes, fees & royalties - Bribery & Corruption - Fraudulent misrepresentation of the origin of minerals - Money-laundering - Extortion |
| Environment | Social | Businesses |
| - CO ₂ and other air emissions - Mining waste & disposal - Water contamination & competition - Tailings dam failure & accidents - Land & biodiversity | - Contribution to welfare of mining communities - Forced relocation of communities - Indigenous rights - ASM | - Establish strong company management systems - Identify and assess risk in the supply chain - Independent third-party audit of supply chain due diligence |

²⁵ FORAM – Towards a World Forum on Raw Materials

²⁶ STRADE – Strategic Dialogue on Sustainable Raw Materials for Europe

²⁷ MIN-GUIDE – Minerals Policy Guidance for Europe

5.1.1.2 2. Step: Roadmapping

Building on the project's concepts & approaches, apply desktop research, narrative analysis and expert interviews represent the starting point to further the roadmapping process and identify RS initiatives, challenges and key actors. This will be followed by a first round of online consultations to capture major topics and ideas for a first vision and roadmap draft outline report. By using the RE-SOURCING Platform for both physical (3 Roadmap workshops – 1 for each sector), digital stakeholder interaction (validation webinars), and the Platform Steering Committee, further information will be gathered and validated to develop draft sectoral roadmaps, as well as achieving stakeholder buy-in. The roadmaps will then be finalised with input from the generalised Flagship case results. The roadmaps and policy briefs will be promoted on the Platform and used as input into global agenda setting processes.

The State-of-play and roadmap concepts:

Building on the state-of-play and inception report and input from the work on Global Agenda Setting on European and international stakeholders, the state-of-play and roadmap process will review existing European and global RS initiatives. This will support the definition of challenges and actors, and to develop the structure of a draft roadmap, including a vision, milestones and outline required areas of action, using desktop research, narrative analysis, expert interviews and input from an online consultation process. This will be done in three separate processes for each sector, in parallel, but slightly off-set to learn and improve each process. The findings from these processes will be described in reports on the state-of-play and roadmap process for each sector, which will also include the outline concepts (defining needed content and key questions) of the three sectoral roadmaps.

Building the roadmap:

Building on the state-of-the-art reports further information will be gathered in sequenced sectoral workshops. The workshops will involve previously identified relevant stakeholders and will generate content in the key areas of the roadmap. The Workshops in combination with the Platform Steering Committee will also be used to get stakeholder buy-in for the later update and implementation of roadmaps. The roadmap information is validated in sequenced webinars with experts using the RE-SOURCING Platform, leading to detailed and validated roadmaps.

RE-SOURCING follows the vision of responsible, sustainable, and transparent value chains from the extraction of the raw materials to the end-user to recycling. The goal is to implement this vision until 2050 and the roadmap shall provide a guidance to reach this vision. This guidance primarily focuses on a step by step implementation of existing standards (identified in the Planning & Purpose phase) and gaps that need to be filled.

These standards include but are not limited to

- OECD Due Diligence Guidance for
 - Meaningful Stakeholder Engagement in Extractive Sector,
 - Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas,
 - Responsible Business Conduct,
- EU standards and initiatives
 - European Green Deal
 - Sustainable Consumption and Production Action Plan
 - Circular Economy Action Plan

■ Sustainable Development Goals²⁸

Sector specific standards and initiatives need to be considered, e.g. Battery Initiative by EU for Electronics and Mobility Sector.

Existing standards and initiatives have to be evaluated regarding their ability to help each sector reach the vision of a responsible value chain. Are these standards enough? Do they cover the entire supply chain and all aspects necessary to realise a responsible supply chain? If this is not the case, new approaches or adjustments of existing schemes need to be developed accordingly.

Challenges during the roadmapping process:

There are a number of challenges that need to be anticipated during the roadmapping process.

1) Insufficient stakeholder involvement: imbalanced representation within stakeholder groups, lack of feedback during the validation workshops and webinars, insufficient presence during the workshops, etc.

Measures to be taken are:

- permanent assessment of stakeholder presence and targeted continuous recruitment or underrepresented groups;
- active focus on the lack of input from certain groups, use the multiplier programme and “attract and hold” methodology in online community management (OCM) to keep stakeholders;
- early and extensive invitation policy, based on a stakeholder database that includes the stakeholder group, country, sector, etc. of each individual person;
- clear and short invitation texts, including email invitations, meeting flyers, tailor-made for each stakeholder group which explains the benefits to attend the meetings;
- financial travel support for each participant, as foreseen in the budget;
- possibility to attend the meetings virtually through online tools;
- the 2 virtual conferences reduce the need for physical presence in meetings, less travel costs, and, allow a global stakeholder community to attend the conference.

2) Low degree of output legitimation: lack of impartiality, focus on European value chains – legitimation on global scale? (Europe centric vs global acceptance)

Measures:

- Open and transparent tools for engagement with stakeholders (online consultation and validation with ALL relevant stakeholders; open the platform for everybody to register)
- Involvement of all stakeholder groups (see challenge 1))

3) Technology changes: Raw Materials relevant during the roadmapping process might not be used in the future, development of new technologies not currently available for analysis, etc.

Measures:

²⁸ For sourcing, the major SDG is SDG 12 “Consumption and Production”. However, issues related to mining are included in all 17 SDGs (see CCSI, UNDP, SDSN (2016): Mapping Mining to the Sustainable Development Goals - An Atlas.

https://www.undp.org/content/dam/undp/library/Sustainable%20Development/Extractives/Mapping_Mining_SDGs_An_Atlas_Executive_Summary_FINAL.pdf; Africa Renewal: How can mining contribute to the Sustainable Development Goals? <https://www.un.org/africarenewal/news/how-can-mining-contribute-sustainable-development-goals>; accessed March 2020)

- Roadmaps will not focus on a single raw material (this is included in Flagship cases) but rather consider the entire value chain of the sectors
- Suggestions for changes to achieve RS will be transferable to new/other raw materials as well

5.1.1.3 3. Step: Roll-out

The developed roadmaps will be used as input sources for international agenda setting processes to receive the buy-in and commitment from participants in the Global Advocacy Fora and from the Platform Steering Committee. After finalising the sectoral roadmaps incorporating relevant good practise information from the Flagship Cases the roadmaps will be promoted through the RE-SOURCING Global Stakeholder Platform. Together with the Policy Briefs based on the roadmaps, the roadmaps are used as a major input to the global discussion with international actors. Also, a comprehensive description of the framework conditions required to implement the sectoral roadmaps and good practices will be developed. This will support the implementation of the vision in the roadmaps.

5.1.2 Stakeholder Engagement

The involvement of stakeholders is key in ensuring a long-lasting impact of the roadmaps beyond the lifetime of RE-SOURCING. Stakeholders from Industry, Industry Associations, academia, CSOs and policy makers (national and EU level) will be targeted and asked to support the roadmapping process.

RE-SOURCING will bring together existing networks and communities directly linked to the minerals and raw materials sector in two ways: 1) through consortium connections of different stakeholder groups (e.g. EIT, WWF) and previous projects (e.g. FORAM, STRADE, MIN-GUIDE), and 2) through strategic identification and prior commitment of networks and communities relevant to responsible sourcing. By combining existing and new stakeholders over the duration of the project, the consortium will build a **RE-SOURCING Expert Crowd** a stakeholder database covering the three sectors GVCs (down- and upstream). Most prominently, RE-SOURCING will set up and recruit key-stakeholders from Expert Crowds to form a **Platform Steering Committee**.

The Platform Steering Committee will play a fundamental role in guiding the topic development, guaranteeing stakeholder outreach, and designing a plan for the post-project lifetime of the RE-SOURCING Platform. The strategic identification of networks and communities will specifically focus on mapping interests, influence and equal representation in terms of value-chain relevance, geographical coverage and power/gender dynamics, thereby ensuring a wider outreach and representative community for a global stakeholder platform.

RE-SOURCING will build a **physical and virtual community of practice (CoP)** in the area of responsible sourcing that increases understanding and transparency of concepts, standards and practices, while fostering exchange and concerted action towards mineral value chain due diligence and RS.²⁹

5.1.3 Why participate in the RE-SOURCING Roadmap Process?

Consumers, civil society, and governments increasingly expect responsible sourcing, responsible business conduct, and due diligence from companies. Accidents (e.g. tailings dam failure in Brazil) and bad practice cases along the value chain (social, environmental and economic issues in mining but also in refining, further production, storage, etc.), have increased sensitivity of society and governments towards the conduct of

²⁹ For more information on CoPs, see section 3.1, footnote 3.

companies. Demand for transparent supply chains is growing. Moreover, limited availability of raw materials and price fluctuations force industry to improve resource efficiency.

The benefits for companies applying RS principles are not only an increased social acceptance and an advantage over their competitors, but also economical gains. An example is the “triple supply chain advantage”-approach. The application of this approach shows positive impacts on revenues (plus of 5-20%), costs (reduction of 9-16%), and brand value (15-30% increase). Moreover, customer health, local welfare and labour conditions can be improved. The third aspect – the environment – can benefit from carbon gas emissions of 13-22%. (WEF, 2015³⁰)

Furthermore, also one of the world’s largest metal trading centres, the London Metal Exchange (LME) is supporting the introduction of RS principles and the transparency of value chains. As a first step companies are assessed using the OECD Red Flag Assessment to identify the current status of sourcing. The LME uses the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas as a standard and regular re-checks or audits are performed to ensure companies are adhering to these standards. Starting at the end of 2020 the results of the assessment will be published first as summaries, then as anonymous versions and from 2025 onwards as attributed versions, allowing customers to choose responsibly sourced metals (LME, 2019³¹).

However, the participation is not only advantageous for companies. Also (inter-)governmental associations benefit by gaining insights into areas where responsible sourcing or manufacturing policies need to be implemented or enforced.

5.2 Flagship Cases: Approach for good practice elaboration and mapping

Responsible Sourcing and due diligence in business practices is gradually becoming a **new reality for both downstream and upstream companies**. While peer learning and good practice learning have been successfully applied in other sectors and organisations, applications of **good practice learning and transferability** of responsible sourcing practices amongst and between industry sectors remain **largely unexplored**. In this context, **Flagship Cases are used as instruments for good practice learning and transferability in the RE-SOURCING project**.

What is a RE-SOURCING Flagship Case?

Flagship Cases are real world practices that have proven to **address challenges and provide solutions for firms, sector initiatives, public administrators**, etc. on the topic of responsible sourcing (e.g. a public sector approach to standardisation of responsible sourcing is the Swedish Governments Certificate for sustainable metals; to be further defined in the RE-SOURCING Common Approach for Good practice guidance).

The RE-SOURCING Team has composed a preliminary list of Flagship Cases based on a stock-taking of industry sector challenges and state-of-play analysis (see Annex II & III). In that sense, RE-SOURCING addresses a range of challenges in the global supply chains of raw materials. Therefore, the project emphasises a variety of existing good practice solutions, responses, initiatives and practical cases to illustrate effective approaches

³⁰ World Economic Forum (2015). Beyond Supply Chains – Empowering Responsible Value Chains.

³¹ The London Metal Exchange (2019). LME responsible sourcing roadmap – Setting the global standard.

to these challenges. The RE-SOURCING Flagship Cases are selected from these approaches, aiming to cover many different good practice areas along the supply chain.

The main **impact criteria** for identifying good practice are **1) Environmental issues in LSM, 2) Social & Human Rights in LSM, 3) Transparency, Traceability & Due Diligence criteria, and 4) Environmental and social issues in Artisanal mining (ASM)**. These are further broken down into individual issues related to the sourcing of minerals that are addressing important sector and industry value chain challenges both up- and downstream.

Flagship Cases will be differentiated in terms of their scope and impact areas to address important challenges in the three sectors that the project focuses on. Thus, Flagship Cases can be grouped into **two overarching categories to most comprehensively address sector challenges as well as allow a wide variety of stakeholders to improve and learn from FS cases**:

1. **‘Larger scale sector cases’**

- a. Private sector - **Value chain** focused (e.g. ResponsibleSteel)
- b. Private sector - **Sectoral focus** (e.g. GoodElectronics Network)
- c. Public sector - **EU & EU Member State policies** (e.g. Sweden Sustainable Minerals Certificate)

2. **‘Individual company cases’**

- a. Management systems (e.g. Identification and assessment of risks in the supply chain)
- b. Technology (e.g. blockchain application)
- c. Reporting systems (e.g. application of RMI Conflict Minerals Reporting Template; Effective application of standard/certification scheme)

Depending on the various challenges of the RE-SOURCING sectors faced by different stakeholders, the project identified three additional categories of Flagship Cases to cover the different knowledge and learning needs and the consequent **uptake of good practices relevant to their area of operations**.

Flagship Cases will cover the following types of cases:

- **Established good practices** – these practices are well proven in terms of their impacts and success. Thus, the challenge lies in **how to best transfer them** to other organisations and potentially sectors e.g. IMPACT’s ‘Just Gold’ project exporting and selling certified gold from Artisanal and Small-Scale Mining (ASM) in the DRC.
- **Emerging practices** – these practices are newly established, front-runner approaches that achieved some impact and success or are dealing with emerging challenges. RE-SOURCING will not only focus on the transfer to/uptake by other organisations, but also the **further improvement of flagship cases** (e.g. ResponsibleSteel)
- **Approaches to yet / still unresolved challenges** – an initial approach or practice to a challenge that has not yet been resolved or has been overlooked until now (e.g. further developing existing ASM initiatives that lack the capacities to adapt to the high dynamic of challenges in the sector). RE-SOURCING will focus on **exploring options on how to address still unresolved or emerging challenges** together with stakeholders in a peer learning and knowledge co-creation setting at Flagship Lab Workshops.

For the purpose of mapping and elaborating FS Cases, the RE-SOURCING project has designed a **template for mapping and categorising FS Cases** along these impact criteria (see Annex III). The template will allow analysis of every potential Flagship case, e.g. an initiative or project, according to its category and subcategories as well as every impact criteria identified by RE-SOURCING.

Stakeholders wanting to improve practices in a certain impact area e.g. biodiversity loss from large scale mining, can learn from RE-SOURCING Peer learning processes and Good Practice Guidance Reports on FS cases.

Thus, FS case good practice elaboration will:

- **Identify one or more Good Practice Aspects** – in the case of ‘European Partnership for Responsible Minerals Initiative’ the good practice aspects would be the implementation of the reporting template by the company Philips.
- **Clearly outline which impact areas they respond to** – there is a variety of good practice topics, therefore it is important to be aware on which impact area a practice focuses on e.g. traceability, environmental degradation, indigenous rights. Clearly outlining and narrowing down the impact areas facilitates the identification by other peers across companies and even sectors.
- **Be able to explain Good Practice Aspects in more detail and providing suggestions for transferability** – understanding the dynamics of good practice examples greatly enhances the possibility to tackle specific issues, by being aware which elements are crucial to different impact areas. This increases the effectiveness of FS case mapping by ensuring the transferability of relevant measures to the challenges faced by other stakeholders. E.g. for a measure that aims at supporting the sourcing and exporting of conflict-free gold, tools for traceability and transparency will be vital for its success.

Elaborating and learning from FS cases

The process of identifying, mapping, elaborating and, consequently, learning from Flagship cases combines both:

- (a) the systematic examination of the performance of a certain practice (good practice elaboration) as well as
- (b) the personal exchange with experts and practitioners (peer learning in workshop settings).

The two-fold goal of this hybrid-approach is to support FS cases to improve their own performance, transfer good practice and adopt it in other organisations.

RE-SOURCING has already identified several FS cases that have confirmed their interest to collaborate in the project (e.g. Aluminium Stewardship Initiative, ResponsibleSteel Initiative, GoodElectronics Network). In order to identify additional FS cases that are of relevance for good practice transfer and peer learning, the project will draw on insights from major EEES, MS, RES sector stock-taking of challenges, stakeholder needs and unresolved challenges.

The elaboration of Flagship cases is based on four steps:

1. **Mapping:** First, we will identify and categorise FS cases based on their capacity to resolve sectoral challenges. Additionally, there will be a series of expert interviews and discussions among the expert crowd of the three sectors on unresolved challenges and FS cases.
2. **Elaboration of FS case working papers:** After the FS case mapping, there will be a selection and in-depth elaboration process of good practice aspects. This will include three webinars to validate and extend information on the mapped FS cases. These webinars will further serve to select 3-5 FS cases per sector to undergo further refinement and in-depth description, which serve as the sectoral FS cases of RE-SOURCING.
3. **Peer Learning and transferability:** To **contextualise and facilitate the transferability** of the good practices in FS cases, RE-SOURCING will organise three sector-specific Flagship Lab Workshops for peer learning. Peer learning will serve to 1) learn from good practice in FS cases, 2) develop an **action**

catalogue for unresolved challenges in the FS cases, and 3) provide input to contextualise and generalise good practice factors in **other organisational and EU MS** settings (in preparation to Good Practice Guidance Reports)

- 4. Good Practice Guidance Reports:** At the end of the FS elaboration and peer learning process, three preliminary **Good Practice Guidance Reports** (D5.2, D5.3, D5.4) will be drafted for the three sectors. These will bring together results from the three FS case working papers and the findings of the FS Labs. These Reports will provide further information on favourable framework conditions, sector-specific success factors as well as barriers for the transferability of good practices.

5.3 Flagship Lab Workshops

Taking into account the need for processes guiding the good practice uptake, peer-learning and incentives for key decision-makers in private and public domains, the RE-SOURCING project will organise peer learning at three Flagship Lab Workshops.

RE-SOURCING identified **three main groups of key decision-makers and practitioners for peer-learning:**

- **Individual firms, business associations and NPOs³² with business background** interested in new approaches to RS (e.g. Intel, Chambers of Commerce, Zinc Association etc.)
- **Global and EU Responsible Sourcing Initiatives & Platforms** (e.g. Responsible Business Alliance)
- **Other supporting stakeholders** e.g. public policy authorities giving incentives to businesses towards the uptake of RS practices).

The RE-SOURCING **peer-learning approach** is separated into **four phases:**

- Mapping Flagship cases & identifying peers and supportive multiplier institutions***
In phase I, the project will define the learning areas and **develop the RE-SOURCING peer learning approach** to identify and communicate the benefits of peer-learning. Additionally, this phase will be about collaborating with organisations and initiatives, for identifying learning needs and peers as well as multiplier organisations which can further enhance the peer learning engagement of stakeholders. These stakeholders will be grouped by their needs and challenges for learning to maximize the peer learning benefits of the process.
Sector-focused organisations in the Platform Steering Committee will give valuable input for mapping FS cases as well as suggesting peers and multiplier institutions (e.g. the GoodElectronics Network can give insights on different stakeholders and areas of improvement in the Electronics sector.)
- Building commitment, trust and mutual interest in peers' experiences***
The next phase focuses on ensuring ongoing communication between peers. It is important to **bring the right people together**, such as innovation or supply chain managers etc. To facilitate the ongoing exchange between peers and FS case good practice elaboration, RE-SOURCING will establish an approach defined in the Common Approach for Good practice guidance. The Common Approach focuses on developing tools for the facilitation of peer learning at Flagship Labs and webinars. Facilitation tools will ensure that peers will 1) learn from good practice cases, and 2) jointly review and improve information on transferability and knowledge transfer of FS cases via **Good Practice Guidance Reports**.

³² Non-Profit-Organisation

III. *Using effective engagement and mutual learning tools*

Phase III aims first at achieving ongoing and productive engagement among peers. There are three main clusters of activities to achieve this task:

1. **Three Flagship Labs** engaging a smaller number of peers of the respective sectors, thus allowing for more in-depth exchanges and learning.
2. A series of **webinars and moderated online discussions** to allow peers to engage and update each other without having to travel to a conference.
3. **Two international physical conferences & two digital conferences** engaging a large number of peers for information provisions and broader dissemination of peer learning results and good practice guidance documents.

IV. *Diffusion of peer learning results*

The last phase of the peer-learning process is about **the diffusion and transfer of peer and FS case good practice results** to create change at a larger scale. **The Good Practice Guidance Reports** will serve to diffuse good practice information from FS cases and to provide further information on favourable framework conditions, sector-specific success factors as well as barriers for the transferability of good practices.

The project will further amplify the outreach of RS into various sectors by exploring policy recommendations incentivising businesses to take up good practices. The final step of the peer-learning approach is to work with multiplier organisations and related platforms and networks to disseminate the peer-learning results.

5.4 Global Advocacy Fora

A key objective of RE-SOURCING is to engage with relevant international stakeholders to foster the application of responsible sourcing (RS) concepts in the global agenda setting. On the one hand, a dedicated international exchange is important for the project to consider international developments that have significant impact on RS activities in the political, economic and civil society arena. On the other hand, the engagement will facilitate the inclusion of the RS concept in the setting of global agendas, whilst supporting broad comprehension of key project results by relevant international actors.

As key communication activity for the international exchange, the project plans three Global Advocacy Fora: regional workshops in Chile, China and Sub-Saharan Africa. Participants in the Global Advocacy Fora will be relevant international actors. The aim of the Global Advocacy Fora is to:

- encourage awareness and context for a global definition of responsible sourcing,
- networking and exchange with regional opinion leaders on pressing regional RS issues,
- establishing interfacec with global influencers and EU sectoral roadmaps in creating a global RS level playing field.

Based on this international exchange, efforts will be made to ensure active and influential actors are engaged in this process, including the EU, third-countries and other international actors.

The locations for the Advocacy Fora were each chosen to represent the key regions providing raw materials for the global value chains in the three sectors the project is focusing on. Asia is seen as a key player in the global value chain for the Renewable Energy Sector (RES) and the respective Advocacy Forum is organized in month 32, reviewing and contextualizing the RES sectoral roadmap (WP4). Latin America is seen as a key player for the Mobility Sector (MS) and the respective Advocacy Forum is organized in month 40, reviewing and contextualizing the MS sectoral roadmap (WP4). The Sub-Saharan region is taken as a key player in the

global value chain for the Electrical and Electronic Equipment sector (EEES) and the respective Advocacy Fora is organized in month 43, reviewing and contextualizing the EEES sectoral roadmap (WP4).

The three Global Advocacy Fora will be jointly planned by the international consortium partners who have an extensive stakeholder network in those regions. If necessary, the project will seek synergies with existing events and conferences, where the Advocacy Fora can be organized as side events. This will ensure a broad participation of stakeholders and efficient use of resources. More details for the approach will be defined in the global exchange and advocacy strategy (D3.1, Oct 2020).

5.5 Sharing Knowledge & Networking

The above approaches are a combined effort intended to deliver an inclusive framework that facilitates, expands and implements RS practices in conformity with the international sustainability agenda whilst retaining competitiveness of EU actors. The project will capitalise on existing knowledge and past collaborations to implement targeted yet inclusive networking and dissemination strategies as one key to the success of RE-SOURCING.

Success in the co-creation of knowledge depends on the ability to share and learn from past experiences and to find a collective way forward. The identification as well as transferring and sharing of good practice cases are of main importance in this regard.

How will the project do this? For the peer learning process RE-SOURCING's major activities follow a two-pronged approach (for more details see chapter 5.2):

- 1) the establishment of a network of peers, and
- 2) the conduct of knowledge co-creation & learning processes.

Firstly, the establishment of a network of peers is largely based on on-site meetings and events, in which face-to-face interactions among peers are facilitated, and where exchange can happen more easily (Flagship Lab Workshops). Secondly, learning from and exploring frameworks surrounding good practices through peer learning and knowledge co-creation plays a vital role for mutual learning and improvement towards good practice in RS^{33,34}.

The great importance of face-to-face meetings is considered in this project by different events from large conferences, roadmap workshops, flagship labs in smaller meetings. Personal meetings enable the building of trust and valuable knowledge exchange. An effective communication and sharing environment can build commitment, trust and interest.

³³ Groenendijk (2009): EU AND OECD BENCHMARKING AND PEER REVIEW COMPARED. Paper presented at Third EUCE Annual Conference; THE EU IN A COMPARATIVE PERSPECTIVE European Union Centre of Excellence (EUCE) Dalhousie University, Halifax, NS, Canada April 26-28, 2009

³⁴ ICMM (2015): Demonstrating value. A guide to responsible sourcing

6 Conclusion

The above chapters represent the starting point for the RE-SOURCING project structure and approaches. The project will run for four years and it is to be expected that the project will evolve over time and, for example, priorities within sectors may change as a result. Due to the Green Deal, a new momentum is growing in all three sectors of the project. This may accelerate some developments (technological and others) in the near future. In addition, evaluations and updates of government regulations or EU directives might change the focus; e.g. the update of the Battery Directive or the Conflict Mineral Regulation. Furthermore, there is an active commercial and business sector that is constantly evolving to meet demand from green investors, which may bring further changes to business practices. Therefore, the project will remain flexible in order to adjust to these and other new developments over the next four years. This will allow RE-SOURCING to include emerging challenges and issues in the fast-changing sphere of Responsible Sourcing.

RE-SOURCING is a stakeholder driven project. It is about learning from people who face the everyday challenge of Responsible Sourcing. The RE-SOURCING platform ensures a physical and virtual networking and dialogue with actors along the whole supply chain in the three sectors mobility, renewable energy, and electric and electronic equipment.

RE-SOURCING is also policy driven. It is about supporting the EU with concrete measures to meet its 2050 commitments as well as support the conflict mineral regulation.

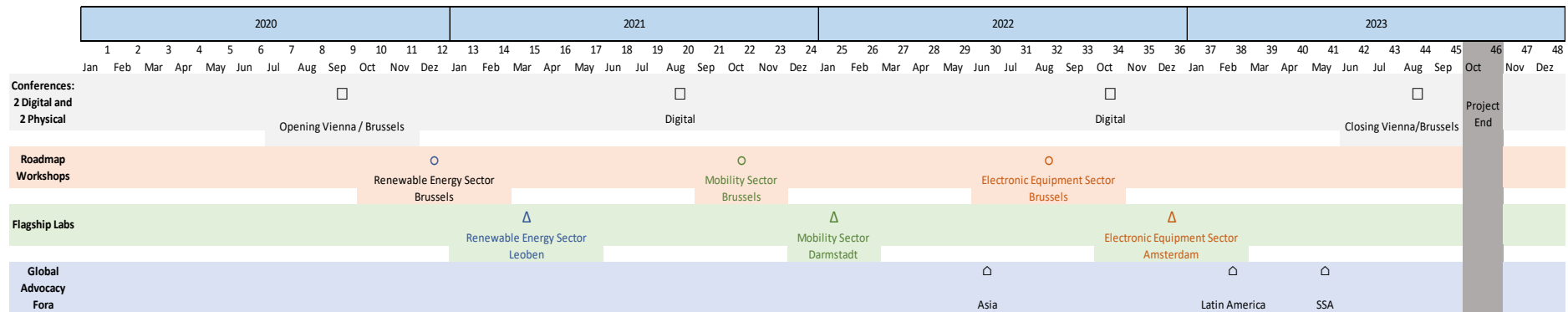
RE-SOURCING considers all three pillars of sustainability. All three sustainability dimensions are in the focus of the project: environmental, social and economic issues.

RE-SOURCING has an international focus. It is about including international agendas and actors because sustainability is a global issue.

7 Annex

7.1 Annex I: Time table events

In the following figure an overview of the physical meetings within the project is visualised.



| | |
|------------------------------|---|
| Conferences | |
| Virtual: | 2 virtual events will be organised in collaboration with a virtual conference providers. The two events will incorporate top-level webcasts and live key notes, a virtual exhibition, webinars and Q&A bulletin boards and attract ~500 participants from all over the globe. |
| Physical: | One opening conference (Vienna) and one closing conference (Brussels) will be organised for 150 participants, respectively, from relevant stakeholder groups and initiatives |
| Roadmap Workshops: | 3 sectoral workshops will be organised with identified stakeholders to generate content and create stakeholder buy-in of the roadmap process. |
| Flagship Labs: | 3 platform peer-learning labs will be organised in Amsterdam, Leoben and Darmstadt to foster exchange and good practice learning from Flagship cases for relevant stakeholders. |
| Global Advocacy Fora: | 3 regional workshops will be held in Chile, China and Rwanda with relevant international actors in order to encourage awareness and context for a global definition of RS, networking and exchange with regional opinion leaders on pressing regional RS issues, and interface global influencers and EU sectoral roadmaps in creating a global RS level playing field. |

7.1 Annex II: Structure of Flagship case mapping

The purpose of the Flagship case mapping template³⁵ 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.

³⁵ 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 | | | | | |

7.1 Annex III: List of preliminary identified Flagship cases

The project aims at elaborating examples of good practice in so-called Flagship cases across the three sectors, as is described in chapter 5.2 of this document. Currently the project has started with a preliminary identification of Flagship cases, their categorisation and mapping procedure for these cases is shown in Annex 7.2. This list and mapping exercise will be refined and finalised at a later stage in the project.

The list of preliminary Flagship cases below has been elaborated based on three approaches. The overarching criteria for Flagship case selection have been outlined in the RE-SOURCING EC contract, which also named a number of initiatives that were analysed against the identified impact areas (e.g. ResponsibleSteel). The second source of input on flagship cases came from the RE-SOURCING online Validation Webinar. The webinar brought together the consortium partners with over a dozen external experts with sector specific expertise from industry, civil society and policy-making. The experts provided valuable input by suggesting organisations and initiatives demonstrating good practice in relation to one or more impact areas (e.g. IRMA standard). Lastly, RE-SOURCING conducted an initial background research on the topic of responsible sourcing and the efforts of various stakeholders groups. This helped identifying additional FS cases for the project (e.g. IMPACT’s Just Gold Project).

It should be noted that the current stock-taking of FS cases is preliminary. Throughout the course of the project there will be further in-depth stock taking and validation exercises for the respective sectors (D4.1, D4.2, D4.3), which will identify additional sector specific FS cases and update the existing list of cases.

| FS CASE name | short description | Link / origin of FS case | Impact area(s) |
|--|---|---|--|
| PRIVATE/COMPANY: Philips – implementation of OECD due diligence guidance | <i>“Each year, Philips investigates its supply chain to identify smelters of tin, tantalum, tungsten, and gold (3TG), following the OECD’s five-step approach to due diligence.”</i> | https://europeanpartnership-responsibleminerals.eu/case-study-philips | Identification and assessment of risks in the supply chain; Preventing the funding of armed rebel groups |
| PRIVATE/COMPANY: Valcambi – implementation of OECD due diligence guidance | <i>“Valcambi is confident that its sourcing model ensures that the risks are well-managed. This is down to a number of factors, including robust internal systems and procedures, a deep understanding of the operating context, and the building of strong relationships with stakeholders on the ground. Valcambi’s due diligence procedures follow the OECD DDG, and exceed its requirements in many areas “</i> | https://europeanpartnership-responsibleminerals.eu/case-study-valcambi | Identification and assessment of risks in the supply chain; Sector guidelines for reporting on DD |
| PRIVATE/COMPANY: Intel – implementation of OECD due diligence guidance | <i>“Intel is committed to not simply dis-engage from challenging supply chains. In 2011, Intel, partnered with the U.S. State Department, the U.S. Agency for International Development and other companies to form the Public-Private Alliance for Responsible Minerals Trade (PPA), which works in the Democratic Republic of Congo and neighbouring countries</i> | https://europeanpartnership-responsibleminerals.eu/case-study-intel | Identification and assessment of risks in the supply chain; Forced Labour |

| FS CASE name | short description | Link / origin of FS case | Impact area(s) |
|---|---|---|--|
| | <i>to foster more responsible mineral supply chains. Intel was also instrumental in the creation of the Responsible Minerals Initiative”</i> | | |
| PRIVATE/SECTOR: Conflict Minerals Reporting Template (CMRT) from the Responsible Minerals Initiative (RMI) | <i>“The Conflict Minerals Reporting Template (CMRT) is a standardized reporting template developed by the Responsible Minerals Initiative (RMI) that facilitates the transfer of information through the supply chain regarding mineral country of origin and the smelters and refiners being utilized”</i> | reporting template for upstream (mining, refining, trader) http://www.responsiblemineralsinitiative.org/reporting-templates/cmrt/ | Sector / Value chain certification scheme; Independent third party audit of supply chain due diligence |
| EC POLICY/PROGRAMME: Responsible Sourcing in the strategic action plan on batteries | <i>“Brings together a set of measures to support national, regional and industrial efforts to build a battery value chain in Europe, embracing raw materials extraction, sourcing and processing, battery materials, cell production, battery systems, as well as re-use and recycling”</i> | https://eur-lex.europa.eu/legal-content/EN/TX/T/?qid=1554816272501&uri=COM:2019:176:FIN | Sector / Value chain certification scheme; Identification and assessment of risks in the supply chain |
| EC POLICY/PROGRAMME: Non-financial reporting directive | An EC consultation has led to the revision of this directive <i>“EU rules require large companies to publish regular reports on the social and environmental impacts of their activities”</i> | https://ec.europa.eu/info/business-economy-euro/company-reporting-and-auditing/company-reporting/non-financial-reporting_en | Forced Labour; Mining waste & disposal |
| EU MS POLICY/PROGRAMME: IMPLEMENTATION OF EU conflict minerals regulation BY EU MS | <i>“Effective approaches of EU MS Public authorities to implement the EU regulation (2017) to stop conflict minerals and metals from being exported to the EU”</i> | https://ec.europa.eu/trade/policy/in-focus/conflict-minerals-regulation/ | Identification and assessment of risks in the supply chain; Preventing the funding of armed rebel groups |
| EU MS POLICY/PROGRAMME: EU MS example guidance document for companies for implementation of EU conflict minerals regulation (Due Diligence Ready portal) | <i>“Due diligence ready!” was developed to help companies source minerals and metals responsibly and, if applicable, comply with regulatory requirements, including the new EU ‘conflict minerals’ regulation effective from 1 January 2021.”</i> | https://ec.europa.eu/growth/sectors/raw-materials/due-diligence-ready_en | Fraudulent misrepresentation of the origin of Minerals; Social & human rights in ASM |

| FS CASE name | short description | Link / origin of FS case | Impact area(s) |
|---|--|---|--|
| EU MS POLICY/PROGRAMME: Strategies on Lithium supply | Some of the strategies on the Lithium supply are included in the Battery Directive. Further, the 'Report on Raw Materials for Battery Applications (2018)' includes strategies for the supply of Raw Materials relevant for the battery industry, including Lithium. | https://ec.europa.eu/transp ort/sites/transp ort/files/3rd-mobility-pack/swd20180245.pdf | Circular Economy / Recycling |
| EC POLICY/PROGRAMME: Battery Directive Revision: component of RS potentially | The EC has evaluated the Battery directive and <i>"the evaluation concludes that the Directive has delivered positive results in terms of a better environment, the promotion of recycling and better functioning of the internal market for batteries and recycled materials"</i> | https://ec.europa.eu/info/news/commission-publishes-evaluation-eu-batteries-directive-2019-apr-09-0_en | Water contamination from LSM; Land use & biodiversity loss from LSM |
| EC POLICY: DATA AND MONITORING ON RS: New data on responsible sourcing informing the EU Raw Materials Scoreboard | <i>"The EU Raw Materials Scoreboard is an initiative of the EIP on raw materials. It provides policymakers with quantitative data on the EIP's general objectives and on the raw material policy context. It presents reliable and relevant information to inform governments, industry and other stakeholders. The EU Raw Materials Scoreboard also contributes to monitoring progress towards a circular economy."</i> | https://ec.europa.eu/growth/content/raw-materials-scoreboard-2018_en | Identification and assessment of risks in the supply chain of critical raw materials |
| EC POLICY/PROGRAMME: WIP Continuation of Latin America Mineral Development Platform: link to sustainable mining & responsible sourcing | <i>"The EU-Latin America Mineral Development Network Platform (MDNP) aims to establish a network platform for the cooperation between authorities, industry, business and other relevant entities from the EU and Latin America for the non-energy extractive industries across all the relevant areas of the value chain."</i> RS is a focus of the platform | https://www.mineralplatform.eu/node/23 | Livelihoods of Mining Communities; Living wage |
| PRIVATE/SECTOR: Responsible investment - London Metal Exchange meeting on Responsible Sourcing | Responsible investors drafted a statement for responsible sourcing of COBALT, which is based on the UN principles of responsible investment. The investors have a criteria catalogue for analysing companies on Responsible Sourcing. | Suggested by DG GROW | Social & human rights in ASM; Fraudulent misrepresentation of the origin of Minerals |
| PRIVATE/SECTOR: ResponsibleSteel | <i>"Through a global standard and certification programme for the entire sector, the organisation will ensure businesses and consumers can be confident that the steel they use has been sourced and produced responsibly at every stage."</i> | https://www.responsiblesteel.org/ | Independent third party audit of supply chain due diligence; Mining waste & disposal |
| PRIVATE/SECTOR: Aluminium Stewardship Initiative. | ASI is a global non-profit standards setting and certification organisation, its goals are: <i>"To define globally applicable standards for sustainability performance aluminium value chain; To promote continual improvements in the key environmental, social and governance</i> | https://aluminium-stewardship.org/ | Independent third party audit of supply chain due diligence; Mining waste & disposal |

| FS CASE name | short description | Link / origin of FS case | Impact area(s) |
|---|--|---|--|
| | <i>impacts of aluminium production, use and recycling; To develop a credible assurance and certification system”</i> | | |
| PRIVATE/COMPANY: Blockchain technology company application | <i>“Blockchain is a technology that allows for data to be validated and subsequently stored as an immutable ‘block’ on a collectively owned and distributed digital database. The resulting blockchain is immutable because every block is validated based on previous blocks, making it very difficult to alter.” This makes tracking a material back to its origin along every step of the supply chain possible</i> | https://www.rcsglobal.com/wp-content/uploads/2018/09/ICMM-Blockchain-for-Traceability-in-Minerals-and-Metal-Supply-Chains.pdf | Fraudulent misrepresentation of the origin of Minerals; Sector guidelines for reporting on Due Diligence |
| PRIVATE/SECTOR: Initiative for Responsible Mining Assurance (IRMA) | <i>“IRMA offers true independent third-party verification and certification against a comprehensive standard for all mined materials that provides ‘one-stop coverage’ of the full range of issues related to the impacts of industrial-scale mines.”</i> | https://responsiblemining.net/ | Independent third party audit of supply chain due diligence |
| PRIVATE/SECTOR: Responsible Minerals Initiative - Responsible Minerals Assurance Process for 3TGs (RMAP) | <i>“The RMI defines standards for smelters and refiners that participate in the (RMAP). The standards development process includes extensive stakeholder consultations to ensure our standards are aligned with regulatory requirements, meet best practice expectations and are of high quality in a way that is verifiable and promotes the RMAP’s credibility and acceptance by our stakeholders.”</i> | http://www.responsiblemineralsinitiative.org/minerals-due-diligence/standards/ | Sector / Value chain certification scheme; Sector / Value chain standard |
| PRIVATE/SECTOR: The Copper Mark | <i>“The Copper Mark is a credible assurance framework to demonstrate the copper industry’s responsible production practices and industry contribution to the United Nations SDGs.”</i> | https://coppermark.org/ | Land use & biodiversity loss from LSM; Forced Relocation of Communities |
| PRIVATE/SECTOR: IMPACT Just Gold Project | <i>“IMPACT’s Just Gold project is the first to successfully trace conflict-free and legal artisanal gold from mine site to export while applying regional and international standards applicable to conflict-affected and high-risk areas.”</i> | https://impacttransform.org/en/work/project/just-gold/ | Independent third party audit of supply chain due diligence; Fraudulent misrepresentation of the origin of Minerals |
| PRIVATE/SECTOR: Good Electronics Network | <i>“The GoodElectronics Network connects and empowers organisations and individuals working to improve human rights in the global electronics supply chain”</i> | https://goodelectronics.org/ | Sector guidelines for reporting on DD; Forced Labour |
| PRIVATE/SECTOR: Responsible Cobalt Initiative | <i>“Support downstream and upstream companies to recognize and align their supply chain policies with the OECD Due Diligence Guidance and the Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains in order to increase transparency in</i> | http://www.respect.international/responsible-cobalt-initiative-rci/ | Fraudulent misrepresentation of the origin of Minerals; Sector / Value chain certification scheme |

| FS CASE name | short description | Link / origin of FS case | Impact area(s) |
|---|--|---|---|
| | <i>the cobalt supply chain and improve supply chain governance.”</i> | | |
| UN POLICY: Guiding Principles on Business and Human Rights | <i>“The UN Guiding Principles on Business and Human Rights are a set of guidelines for States and companies to prevent, address and remedy human rights abuses committed in business operations.”</i> | https://www.business-humanrights.org/en/un-guiding-principles | Forced Labour; Health & safety in LSM |
| PRIVATE/SECTOR: Investor Alliance for Human Rights | <i>“A membership-based, non-profit initiative focusing on the investor responsibility to respect human rights, corporate engagements that drive responsible business conduct, and standard-setting activities that push for robust business and human rights policies”</i> | https://investorsforhumanrights.org/about | Sector / Value chain standard; Tax, fee & royalties avoidance |



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