

## 6179 Identifying and Declaring Conflict Minerals

*The Dodd-Frank Act states that companies listed in the USA, with the help of their suppliers, must declare to the SEC at the end of May 2021<sup>4</sup> for the first time, i.e. for the 2013 calendar year and then annually by 31<sup>st</sup> May for the previous calendar year, whether they use minerals (3TG) from the mines of the Democratic Republic of Congo (DRC) or neighboring countries. If so, questions about their origin and trade chains must be disclosed in a "conflict minerals report" and the smelters concerned are reported to the Stock Exchange supervisory authority. Annual reporting is carried out in accordance with the RMI (Responsible Mineral Initiative) reporting standard CMRT. It must be clarified whether the minerals used do not directly or indirectly benefit or finance armed groups in this Central African region. In light of current events, the RMI is suspending new assessments of Russian-based smelters, and Russian audited companies that exceeded the one-year mark after 1<sup>st</sup> October 2022 were removed from the active and compliant facility list on 31<sup>st</sup> January 2023.*

### Objective

You know what conflict minerals are as well as the background and aim of the U.S. Dodd-Frank Act and the EU regulation. You are able to determine if your company is concerned. You possess the basic skills in order to identify entries that are categorized as conflict minerals in your supplier's feedback, and you can identify critical elements early enough. Moreover, you are able to transfer information, requirements and obligations along the supply chain.

### Contents

- ☐ Overview on Conflict Minerals
  - Definitions, background and aims
  - Dodd-Frank-Act Sec. 1502 Conflict Minerals
  - EU regulation (EU) 2017/821 on conflict minerals
  - General information options
- ☐ Analysis and inventory
  - Determine who is concerned by 3TG and the role of your own company
  - Establish measures in order to fulfill your obligation in the supply chain (OECD Due Diligence Guidance)
  - The supply chain from smelters to producers
- ☐ CMRT Reporting standard in a nutshell
  - Reporting your company and contact person
  - Selecting the reporting level
  - Answering the questions regarding the selected reporting level
  - Answering questions A-J on company level
  - Introducing and assessing check routines (Due Diligence)
- ☐ Current statement on Russia
  - Evaluation of RMI smelters and refineries in Russia
  - Suspension of the Good Delivery List for resident refineries
  - Expiry of the one-year mark for compliant facilities after 31st December 2023
- ☐ The Conflict Free Smelter Program in a nutshell
  - Smelters: introduction
  - Compliant and registered smelters

### Who is affected?

Listed companies in the USA or companies that supply to those companies and therefore are required to report, EU importers

### Participants

Developers, engineers, staff responsible for environmental/quality management and sales/purchase.

### Duration

180 minutes

**Max. no. of participants:** 14

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