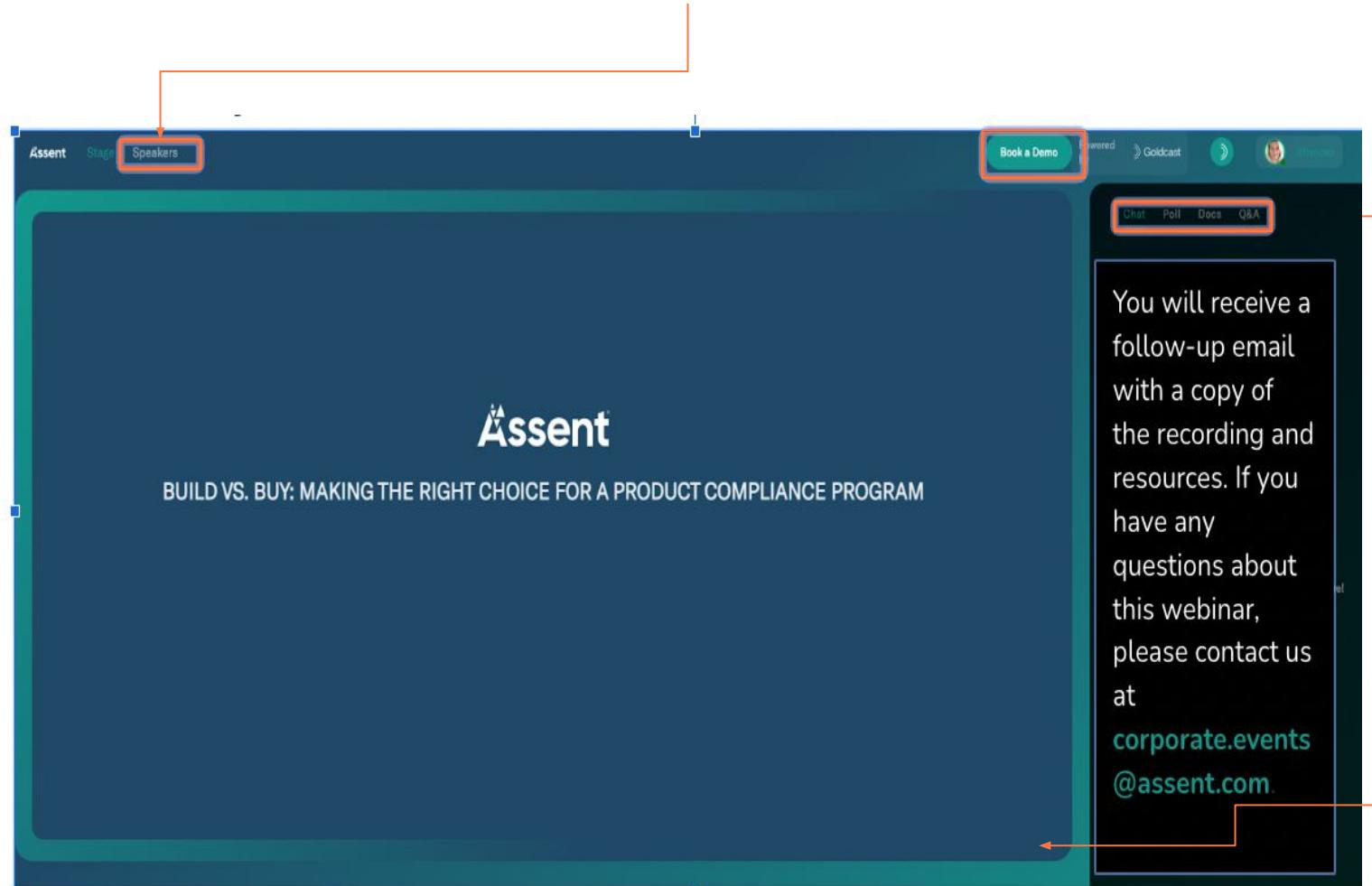


# Housekeeping

Want to know more about today's **speaker(s)**?



In the **right side panel** you will find:

- ▶ **Chat** – Greetings and technical issues.
- ▶ **Polls** – Look for it throughout the session!
- ▶ **Docs** (Templates, Assent Help Center and Slide Deck!)
- ▶ **Q&A** – submit your questions here
  - ▷ **A thumbs up makes it a priority Q!**

Turn on Closed Captions with the CC option below the presenter's screen and move the screen into full screen.





Real depth. Sustainable growth.™

# Supplier Training

on Responsible Minerals



# Today's Presenters



Rose

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Supplier Education and  
Engagement Specialist

Assent Inc.



Noah Taetle

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Sustainability Specialist

Assent Inc.



# Agenda & Learning Objectives



# Agenda

1. Introduction to Assent.
2. An overview of the conflict minerals and extended minerals concepts.
3. An understanding of Reporting Templates (the CMRT and EMRT) and how to populate them.
4. A walkthrough of the Assent Supplier Portal.
5. Assent Support: Training & Learning Resources
6. Q&A



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# Introduction to Assent

# Introduction to Assent



Helping complex manufacturers bring responsible products to the world with solutions to **see deeper, be smarter and grow better**



International team of regulatory experts with deep expertise



## World-Class Solutions for:

- ▶ Product Compliance
- ▶ Environmental, Social, and Governance (ESG)
- ▶ Trade Compliance



## A Global Presence

- ▶ Ottawa, Ontario
- ▶ Columbus, Ohio
- ▶ Penang, Malaysia
- ▶ Amsterdam, Netherlands
- ▶ Eldoret, Kenya

## Some Companies That Trust Assent

INTUITIVE

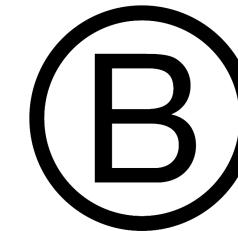
PLEXUS

GE APPLIANCES

POLARIS

TEXTRON

Certified



Corporation<sup>®</sup>

This company meets high standards of social and environmental impact.



Your customers need to demonstrate that their products are compliant with a variety of regulatory requirements. Sharing product data through the Assent Platform will help you meet your customers supplier expectations.

This presentation guides you through the process.

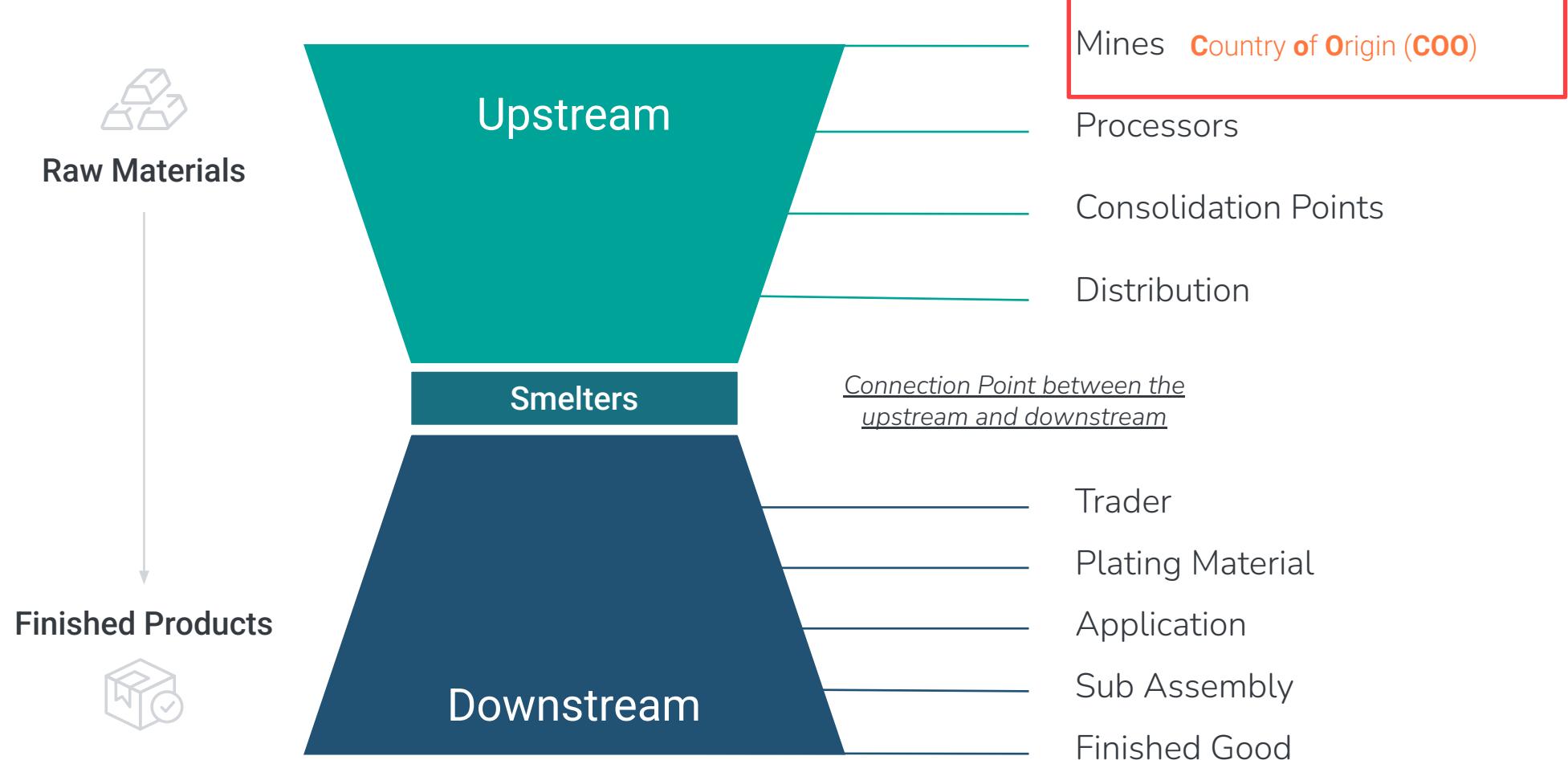


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Conflict Minerals

# Understanding the Metals Trade

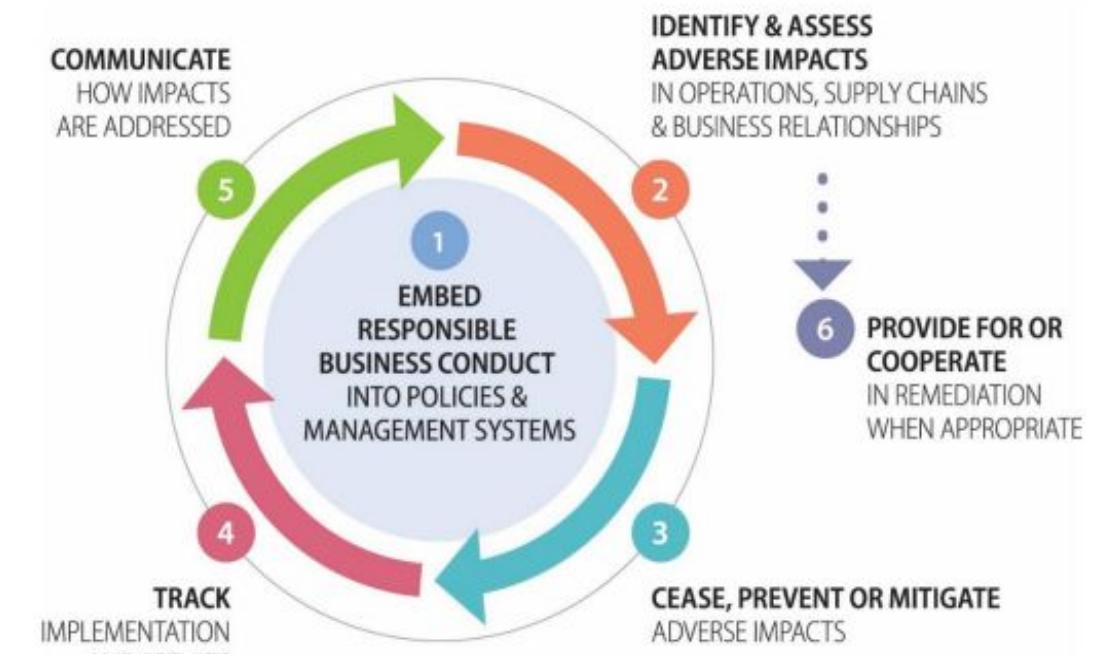
## Do You Know Your Position in the Value Chain?



# Following the Guidelines

## OECD Due Diligence Guidance for Responsible Supply Chains of Minerals

- ▶ Continuous monitor of smelters risks/smelter insights
  - ▷ e.g. Russian gold smelters were dropped from the London Bullion Market Association (LBMA)'s Good Delivery List
- ▶ Smelter risk scoring
  - ▷ Metal association's audit results
  - ▷ Verified red flags mentions/sanctions, sourcing data
- ▶ Action on “red flagged” smelters
  - ▷ Confirm entities are actually in your supply chain
  - ▷ Communicate risk with stakeholders
  - ▷ Ask to transition away from entities within reasonable timeframe



# Regulatory Drivers

		 Dodd Frank Section 1502	 EU Conflict Minerals Regulation
Background	Prevent financing of armed groups in the DRC through minerals trade	Ensure importation of conflict minerals from CAHRA does not fund armed groups or violate human rights	
Scope	Publicly traded US companies need to report annually on tin, tungsten, tantalum, and gold (3TGS)	Primarily smelters/refiners of 3TGS; downstream entities may report	
Requirements	Conduct reasonable 'country of origin' inquiry Perform due diligence in alignment with OECD Minerals Guidance	Implement policies, risk management, reporting mechanisms Conduct due diligence per OECD Minerals Guidance	

# Conflict Minerals Reporting Requirements

## What is really required by Dodd-Frank Section 1502?

### Companies must report on:



Products manufactured or contracted to be manufactured that have not been found to be “DRC conflict-free”



The facilities used to process the conflict minerals in those products



The country of origin of the conflict minerals in those products



The efforts to determine the mine or location of origin with the greatest possible specificity

# 3TGS and Responsible Sourcing

## Difference between DRC conflict free and overall Responsible Sourcing

- ▶ **Before**, DRC Conflict Free referred to sourcing minerals (smelter, supplier, company) from the DRC or adjoining countries and is likely free of funding arms groups and human rights risks associated with the area. **This is a less often used term now.**



# 3TGS and Responsible Sourcing

## Difference between DRC conflict free and overall Responsible Sourcing

- ▶ Before, DRC Conflict Free referred to sourcing minerals (smelter, supplier, company) from the DRC or adjoining countries and is likely free of funding arms groups and human rights risks associated with the area. This is a less often used term now.
- ▶ **Now**, Responsible sourcing refers to a policy or commitment to source minerals from smelters who have engaged with industry-recognized audit/assessment programs and have been found to adhere to standards set by such industry-recognized audit/assessment programs. **This is a more often used term.**



# 3TGS and Responsible Sourcing

## Difference between DRC conflict free and overall Responsible Sourcing

- ▶ Before, DRC Conflict Free referred to sourcing minerals (smelter, supplier, company) from the DRC or adjoining countries and is likely free of funding arms groups and human rights risks associated with the area. This is a less often used term now.
- ▶ Responsible sourcing refers to a policy or commitment to source minerals from smelters who have engaged with industry-recognized audit/assessment programs and have been found to adhere to standards set by such industry-recognized audit/assessment programs.
- ▶ **This is not a regulatory demand**, but could be part of a company's **responsible sourcing policy** or be a requirement of supplier contracts. Therefore, it is imperative to engage with customers proactively to make sure both parties are in consensus to the matter.

# Smelters & Determination of Risk

## How Smelter Risk Levels Are Determined:

1. Geographic proximity to the DRC and covered countries.
2. Known mineral source country of origin.
3. Responsible Minerals Assurance Process (RMAP) audit status.
4. Credible evidence of unethical or conflict sourcing.
5. Peer Assessments conducted by credible third-party sources.



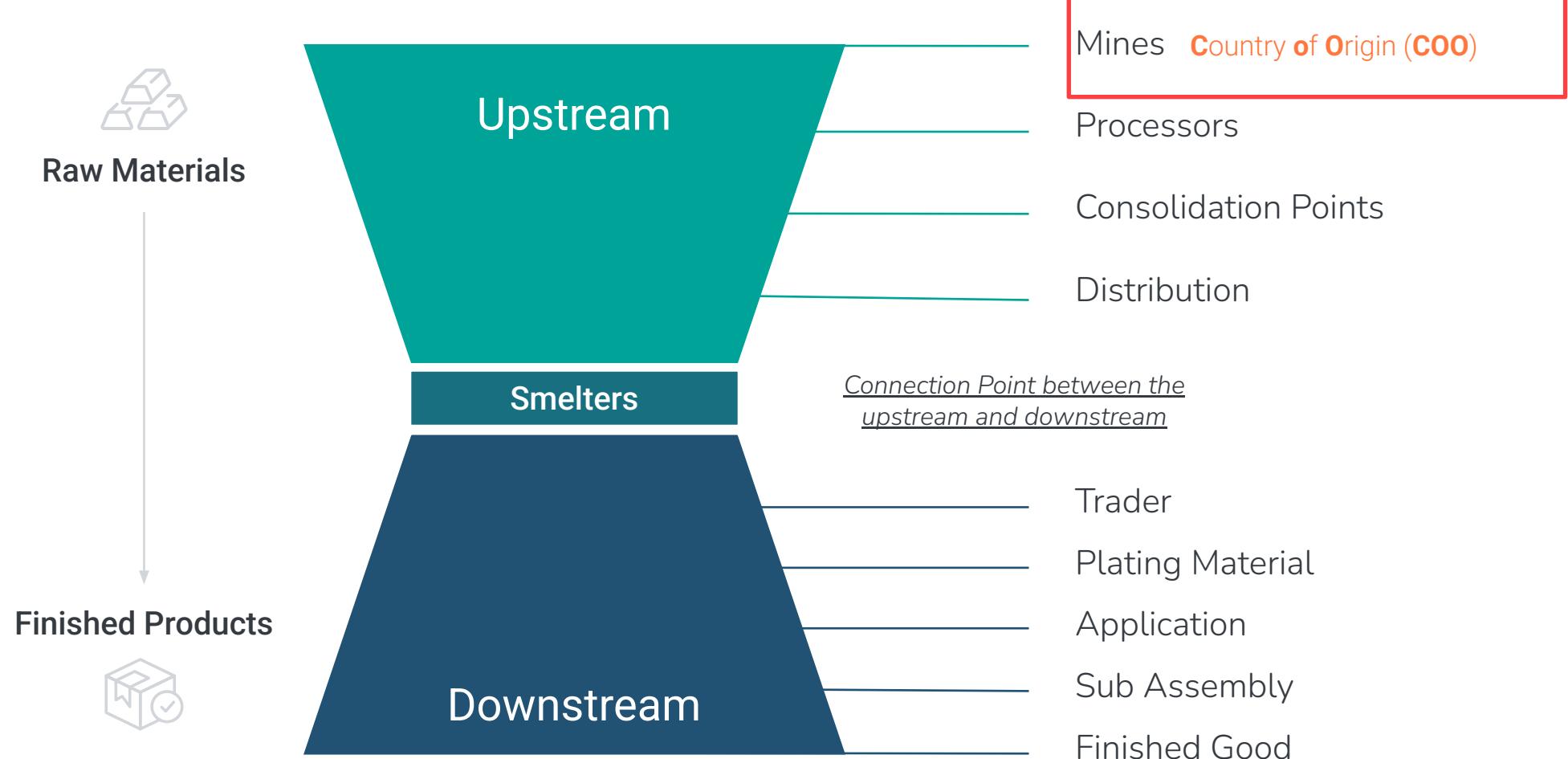


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Extended Minerals

# Understanding the Metals Trade

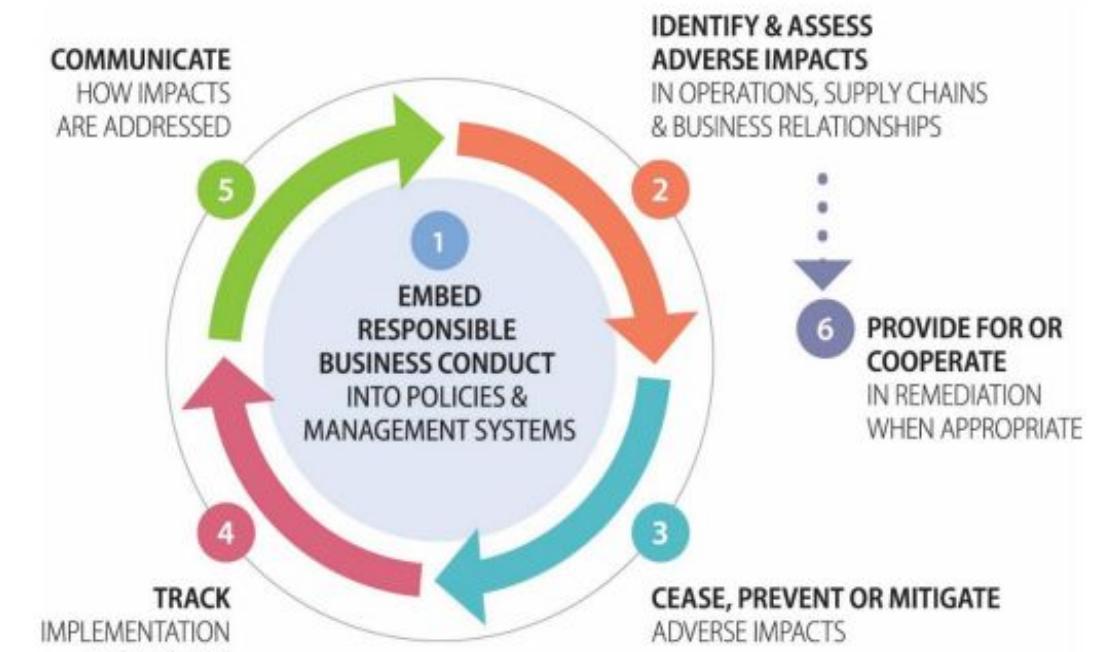
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# Program Drivers

	 EU Battery Regulation	 Customer Requests
Background	EU Battery Regulation introducing human rights due diligence requirements on the sourcing of cobalt natural graphite, lithium, and nickel	Companies need to align their due diligence efforts with increasing ESG requirements under EU laws and may want to get ahead
Scope	Applies to all economic operators that have a Net turnover > €40 million in the financial year preceding the last financial year	Voluntarily with relevance for companies that fall under EU Battery Regulation or EU CRM
Requirements	Economic operators may collaborate with other actors, including through due diligence schemes recognised under the regulation, to fulfill obligations	Provide country of origin information on minerals other than 3TGs

# Responsible Sourcing of Minerals

## Reporting Templates Are Growing

- ▶ The Extended Minerals Reporting Template (EMRT) is currently used to collect supply chain data on the sourcing of **mica** and **cobalt**
- ▶ In 2024, the Responsible Minerals Initiative (RMI) membership voted to expand the scope to include additional minerals: **lithium** (Li), **graphite** (C), **nickel** (Ni) and **copper** (Cu)

Newly Expanded EMRT (released 4/2025)



EU Batteries Regulation due diligence required



The EU Batteries Regulation requires mineral due diligence on **cobalt**, **lithium**, **natural graphite**, and **nickel** in battery manufacturing supply chains.

Manufacturers can leverage the EMRT to support some of their Batteries Regulation reporting requirements.

# Extended Minerals and Responsible Sourcing

## More Minerals Due Diligence

- ▶ Responsible sourcing policy can cover the **extended minerals** as well.
  - ▷ A policy or commitment to source minerals from smelters who have engaged with industry-recognized audit/assessment programs and have been found to adhere to standards set by such industry-recognized audit/assessment programs.
- ▶ **This is not a regulatory demand**, but could be part of a company's **responsible sourcing policy** or be a requirement of supplier contracts. Therefore, it is imperative to engage with customers proactively to make sure both parties are in consensus to the matter.



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Reporting Templates

# What are the CMRT & EMRT?

Conflict Minerals Reporting Template (CMRT)

Extended Minerals Reporting Template (EMRT)



Helps companies perform due diligence



Discloses smelter information  
in supply chains



Uses the up-to-date version found on  
the RMI website. Version 6.5 of the CMRT  
is currently being used & Version 2.0 of  
the EMRT



# Blank CMRT for Your Reference



 <p><b>RESponsible MINERALS INITIATIVE</b></p> <p><b>Select Language Preference Here:</b></p> <p>显示语言: 選択する言語: 表示言語をここから選択してください: Selectionner la langue préférée ici: Selezione Preferenza di idioma Aqui: Wählen Sie hier die Sprache: Selecione el lenguaje de preferencia aquí: Selezionare la lingua di preferenza qui: Burada Dil Tercihini Belirleyin:</p>	<h2>Conflict Minerals Reporting Template (CMRT)</h2> <p>English</p>																												
<p>The purpose of this document is to collect sourcing information on tin, tantalum, tungsten and gold used in products</p> <p>Mandatory fields are noted with an asterisk (*). Consult the Instructions tab for guidance on how to answer each question.</p> <p><b>Company Information</b></p> <table border="1"> <tr> <td>Company Name (*):</td> <td></td> </tr> <tr> <td>Declaration Scope or Class (*):</td> <td></td> </tr> <tr> <td>Description of Scope:</td> <td></td> </tr> <tr> <td>Company Unique ID:</td> <td></td> </tr> <tr> <td>Company Unique ID Authority:</td> <td></td> </tr> <tr> <td>Address:</td> <td></td> </tr> <tr> <td>Contact Name (*):</td> <td></td> </tr> <tr> <td>Email - Contact (*):</td> <td></td> </tr> <tr> <td>Phone - Contact (*):</td> <td></td> </tr> <tr> <td>Authorizer (*):</td> <td></td> </tr> <tr> <td>Title - Authorizer:</td> <td></td> </tr> <tr> <td>Email - Authorizer (*):</td> <td></td> </tr> <tr> <td>Phone - Authorizer:</td> <td></td> </tr> <tr> <td>Effective Date (*):</td> <td></td> </tr> </table>		Company Name (*):		Declaration Scope or Class (*):		Description of Scope:		Company Unique ID:		Company Unique ID Authority:		Address:		Contact Name (*):		Email - Contact (*):		Phone - Contact (*):		Authorizer (*):		Title - Authorizer:		Email - Authorizer (*):		Phone - Authorizer:		Effective Date (*):	
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<small>Revision 6.5 April 25, 2025</small>																													
<a href="#">Link to Terms &amp; Conditions</a>																													

You must complete the **Smelter** tab unless you have indicated 'No' to Q1 and Q2 for each 3TG on the Declaration tab.

On the **Declaration** tab, you have multiple options for 'Declaration Scope'

1. Company
2. Product (or List of Products)
3. User-defined



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EMRT Walkthrough

# Blank EMRT for Your Reference



**Extended Mineral Reporting Template (EMRT)**

Select Language Preference Here:  
请选择你的语言:  
表示言語をここから選択してください:  
사용할 언어를 선택하십시오:  
Sélectionner la langue préférée ici:  
Wählen sie hier die Sprache:

The purpose of this document is to collect sourcing information on below minerals.

Mandatory fields are noted with an asterisk (\*). Consult the instructions tab for guidance on how to answer each question.

Company Name (\*):  
Declaration Scope or Class (\*):  
  
Description of Scope:  
  
Select Minerals/Metals in Scope (\*):  
Cobalt      Copper      Graphite  
Lithium      Mica      Nickel  
  
Company Unique ID:  
Company Unique ID Authority:  
Address:  
Contact Name (\*):  
Email - Contact (\*):  
Phone - Contact (\*):  
Authorizer (\*):  
Title - Authorizer:

English

Revision 2.0  
April 25, 2025

[Link to Terms & Conditions](#)

Company Information

Answer the following questions 1 - 7 based on the declaration scope indicated above

1) Is any of the specified mineral/metal intentionally added or used in the product(s) or in the production process? (\*)

Answer	Comments
Cobalt(*)	
Copper(*)	
Graphite(*)	
Lithium(*)	
Mica(*)	
Nickel(*)	

2) Does any of the specified mineral/metal remain in the product(s)? (\*)

Answer	Comments
Cobalt(*)	
Copper(*)	
Graphite(*)	
Lithium(*)	
Mica(*)	
Nickel(*)	

3) Do any of the smelters or processors in your supply chain source the specified mineral/metal from conflict-affected and high-risk areas? (OECD Due Diligence Guidance, see definitions tab) (\*)

Answer	Comments
Cobalt(*)	
Copper(*)	
Graphite(*)	
Lithium(*)	
Mica(*)	

On the Declaration tab, you have multiple options for 'Declaration Scope'

1. Company
2. Product (or List of Products)
3. User-defined

Questions 1-7 relate to your use of the extended minerals.



# Blank EMRT for Your Reference

Answer the Following Questions at a Company Level		
Question	Answer	Comments
A. Have you established a responsible minerals sourcing policy? (*)		
B. Is your responsible minerals sourcing policy publicly available on your website? (Note - If yes, the user shall specify the URL in the comment field.) (*)		
C. Do you require your direct suppliers to source cobalt from smelters or natural mica from processors whose due diligence practices have been validated by an independent third-party audit program? (*)  Cobalt (*) Mica (*)		
D. Have you implemented due diligence measures for responsible sourcing? (*)		
E. Does your company conduct cobalt and/or natural mica supply chain survey(s) of your relevant supplier(s)? (*)		
F. Do you review due diligence information received from your suppliers against your company's expectations? (*)		
G. Does your review process include corrective action management? (*)		

Questions A to G are related to your applicable company level internal actions around the relevant minerals.



# Common Errors & Error Messages

# Common Errors

1. Missing information on the template
2. Too much text or reformatting in the template
3. Using the wrong template version
4. Contradictory responses or logic errors
5. Greyed-out areas responded (non-mandatory fields completed)
6. Smelters not selected from the drop down list

# Error Messages

Please note, the following error messages may occur during the uploading process:

The screenshot shows the Assent Supplier Portal interface. A modal window titled "Something doesn't look right" displays an error message: "Your form cannot be uploaded for the following reasons: You are trying to submit either an older version of the CMRT or an incorrect declaration type. Please resubmit your CMRT using the latest version (CMRT 6.22)". Below the message are two buttons: "Download blank CMRT" and "Discard". In the background, there's a "Upload Completed CMRT" section with a file input field containing "91d702ee-0cc3-423c-9b70-95ffff7cf4d4.xlsx" and a dropdown menu for "Select Data Source". Other visible buttons include "Send email receipt to:" and "Create New CMRT".

You will not be permitted to upload unsupported CMRTs. Use the link provided to download the latest version of the CMRT.

The screenshot shows a "Review" step in the Assent Supplier Portal. It starts with a heading "Action Required" and the message "Form Incomplete - Please Answer the following questions:". Below this is a list item: "⚠ An Authorizer Email has not been listed". A red callout box contains the message: "The uploaded CMRT file is invalid for the reasons listed above. You can submit this file, but your customer may require that you resubmit a valid CMRT later." At the bottom, there's a checked checkbox for "Share your declaration" with the explanatory text: "Check to receive fewer compliance requests. Assent will share your declaration with other customers where applicable."

Invalid responses will provide reason(s) why your CMRT is invalid, and notify you that you may be asked to resubmit in the future.



# RM Frequently Asked Questions

# RM Frequently Asked Questions

1. Missing, invalid and/or obsolete part numbers
2. Distributors
3. Different divisions/sites
4. Company and product level requests
5. Smelter information availability
6. Non responsive suppliers



# Assent ASP/Supplier Portal Walkthrough



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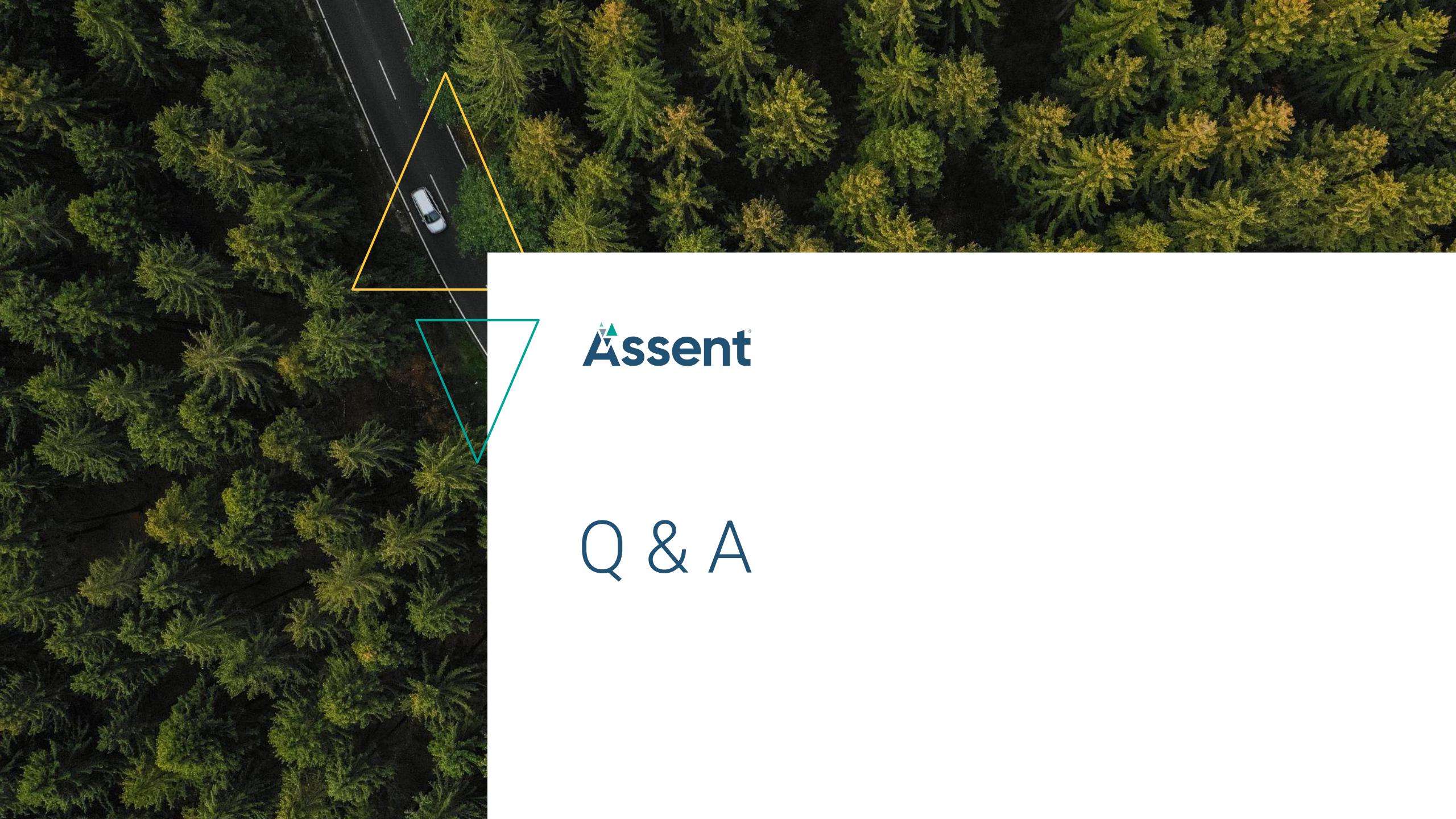
# Key Takeaways

# Key Takeaways

Assent is here to help!

- ▶ **Open emails and links from Assent**, your customer's service partner.
- ▶ **Review the requests in your inbox** and estimate time to complete. Notify Assent or your customer of any deviations from the expected due date.
- ▶ **Ensure all fields on the CMRT and EMRT are populated**, to avoid redoing work.





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Q & A



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# Additional Resources

# Assent Support

## Training & Learning Resources



### Assent Help Center

[https://assentcompliance.my.site.com/SupplierCustomerPortal/s/?language=en\\_US](https://assentcompliance.my.site.com/SupplierCustomerPortal/s/?language=en_US)



### Supplier Support

[compliancesupport@assent.com](mailto:compliancesupport@assent.com)



### Chat 24/5



**1 855 277 3681**

Multilingual Phone Support 24/5

Available in English | Español | Italiano | 中文 热线 | Deutsch | Français | Português | 日本語





# Upcoming Webinars

## Schedule for Fall 2025

Training on Product Compliance - REACH, RoHS, PROP 65

- [September 23, 2025, at 10–11 AM ET](#)

Training on Assent Sustainability Platform

- [October 15, 2025, at 10–11 AM ET](#)

Training on Responsible Minerals

- [October 29, 2025, at 10–11 AM ET](#)

Training on Product Compliance - TSCA & PFAS

- [November 12, 2025, at 10–11 AM ET](#)

Training on Responsible Minerals

- [November 26, 2025, at 10–11 AM ET](#)

Supplier Training - Compliance Year in Review: Key Insights & Open Q&A

- [December 3, 2025, at 10–11 AM ET](#)



The logo for Assent features the word "Assent" in a bold, dark blue sans-serif font. A small teal triangle icon is positioned above the letter "A". A registered trademark symbol (®) is located at the top right of the "t" in "Assent".

Thank you!



*Real depth. Sustainable growth.<sup>TM</sup>*