



Sustainability for a Connected Future

EPEAT– RSC–2025

Responsible Supply Chains Criteria

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Foreword

The Global Electronics Council (GEC) is a mission driven non-profit working to create a more sustainable and just world, focused on supporting institutional purchasers in procuring only credible sustainable and circular technology products and services. GEC owns and operates EPEAT™, a comprehensive voluntary sustainability ecolabel. GEC ecolabel criteria address priority impacts throughout the life cycle of the product, based on an evaluation of scientific evidence and international best practices.

Criteria are developed in balanced, voluntary consensus processes consistent with:

- a) ISO 14024: *Environmental labels and declarations – Type 1 environmental labelling – Principles and procedures*,¹ and
- b) US Executive Office of the President, Office of Management and Budget, OMB Circular A-119: *Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities*.²

A summary of GEC's Criteria Development Process (P74) and procedures governing the process are publicly available on the EPEAT Registry.³ Public stakeholder consultation occurs throughout the criteria development process. Stakeholder comments on criteria are considered by the Technical Committee as part of the Voluntary Consensus Process. Detailed policies for the EPEAT Program and criteria implementation are available in the EPEAT Policy Manual, also found on the EPEAT Registry).³ The EPEAT Program may issue temporary policy addenda to this document, EPEAT Policy Manual (P65), to address unforeseeable and extraordinary circumstances that are beyond the control of manufacturers. Such circumstances include but are not limited to natural disasters, acts of war or terrorism, significant labor strikes, devastating accidents to a supplier facility, epidemics, or pandemics.

These criteria were developed in collaboration with NSF International. NSF facilitated the voluntary consensus process, in alignment with GEC's Criteria Development Process.

GEC Criteria are owned by GEC and, unless noted otherwise, their use is limited to the tools and resources developed by GEC as part of its mission activities. All GEC Criteria are publicly available.

¹ Available at: <https://www.iso.org>

² Available at: https://www.whitehouse.gov/wp-content/uploads/2020/07/revised_circular_a-119_as_of_1_22.pdf

³ Available at: <https://www.epeat.net>

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US Environmental Protection Agency

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1.0 Purpose

The purpose of this document is to establish performance-based criteria to mitigate labor and occupational health and safety (OHS) concerns in the electronics supply chain. GEC's State of Sustainability Research on Corporate ESG Performance: The Electronics Industry⁴ identifies priority risks, impacts, and mitigation strategies for the electronics sector, providing the science and evidence-based foundation for criteria development. Criteria address manufacturer and supplier commitment, supply chain transparency, factory monitoring and reporting, and the remediation of non-conformance findings during audits.

1.1 Scope

EPEAT adopts these criteria for its product categories, providing an incentive for manufacturers to enable safer and more sustainable labor and workforce practices and to allow purchasers to identify more sustainable products. EPEAT policies and procedures govern the implementation of these criteria within the EPEAT program.

2.0 Normative References

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies. European Union (EU) Directives, which contain the adoption date in their title, are not treated as "dated references" (as described above). Unless explicitly indicated otherwise, when an EU Directive is referenced in this document, a new or updated EU Directive shall apply upon its enforcement date unless, otherwise noted in the criteria.

Dodd-Frank Wall Street Reform and Consumer Protection Act of 2012, Section 1502⁵

EU Eco-Management and Audit Scheme (EMAS)⁶

EU Regulation No. 2017/821, *laying down supply chain due diligence obligations for Union importers of tin, tantalum and tungsten, their ores, and gold originating from conflict-affected and high-risk areas*⁷

IAF, *Multilateral Recognition Arrangement (MLA)*⁸

⁴ <https://globalelectronicscouncil.org/resources/state-of-sustainability-research/state-sustainability-research-corporate-esg-performance/>

⁵ <https://www.govinfo.gov/content/pkg/PLAW-111publ203/pdf/PLAW-111publ203.pdf>

⁶ https://ec.europa.eu/environment/emas/index_en.htm

⁷ <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32017R0821>

⁸ <https://iaf.nu/en/about-iaf-mla/>

ILO, *Abolition of Forced Labour Convention, 1957* (C105) ⁹

ILO, *Collective Bargaining Convention, 1981* (C154) ¹⁰

ILO, *Declaration on Fundamental Principles and Rights at Work, 1998* ¹¹

ILO, *Discrimination (Employment and Occupation) Convention, 1958* (C111) ¹²

ILO, *Equal Remuneration Convention, 1951* (C100) ¹³

ILO, *Examination of Grievances Recommendation, 1967* (R130) ¹⁴

ILO, *Forced Labor Convention, 1930* (C029) ¹⁵

ILO, *Freedom of Association and Protection of the Right to Organise Convention, 1948* (C087) ¹⁶

%%%%%%ILO, *Minimum Age Convention, 1973* (C138) ¹⁷

ILO, *Minimum Wage Fixing Convention, 1970* (C131) ¹⁸

ILO, *Occupational Safety and Health Convention, 1981* (C155) ¹⁹

ILO, *Occupational Safety and Health Convention Recommendation, 1981* (R164) ²⁰

ILO, *Promotional Framework for Occupational Safety and Health Convention, 2006* (C187) ²¹

ILO, *Right to Organise and Collective Bargaining Convention, 1949* (C098) ²²

ILO, *Violence and Harassment Convention, 2019* (C190) ²³

⁹ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C105:NO

¹⁰ https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_INSTRUMENT_ID:312299

¹¹ https://www.ilo.org/sites/default/files/2024-04/ILO_1998_Declaration_EN.pdf

¹² https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:312256:NO

¹³ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:312245:NO

¹⁴ https://www.ilo.org/dyn/normlex/en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:R130

¹⁵ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100::NO:12100:P12100_ILO_CODE:C029:NO

¹⁶ https://normlex.ilo.org/dyn/nrmlx_en/f?p=normlexpub:12100:0::no::p12100_instrument_id:312232

¹⁷ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C138

¹⁸ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:312276:NO

¹⁹ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C155

²⁰ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:R164

²¹ https://normlex.ilo.org/dyn/nrmlx_en/f?p=normlexpub:12100:0::no:12100:p12100_instrument_id:312332:no

²² https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:312243:NO

²³ https://www.ilo.org/dyn/normlex/en/f?p=1000:12100:0::NO::P12100_ILO_CODE:C190

ILO, *Worst Forms of Child Labour Convention, 1999 (C182)* ²⁴

ISO 14001, *Environmental management systems – Requirements with guidance for use* ²⁵

ISO/IEC 17021-1:2015, *Conformity assessment – Requirements for bodies providing audit and certification of management systems* ²⁶

ISO/IEC TS 17021-10:2018: *Conformity assessment – Requirements for bodies providing audit and certification of management systems - Part 10: Competence requirements for auditing and certification of occupational health and safety management systems* ²⁷

ISO 45001, *Occupational health and safety management systems – Requirements with guidance for use* ²⁸

ISO 9000, *Quality management systems – Fundamentals and vocabulary* ²⁹

OECD, *Due Diligence Guidance for Responsible Business Conduct* ³⁰

OECD, *Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas* ³¹

OECD, *Guidelines for Multinational Enterprises on Responsible Business Conduct* ³²

RBA, *Auditor Guidebook* ³³

RBA, *Code of Conduct* ³⁴

RBA, *Validated Assessment Program (VAP)* ³⁵

SA8000 ³⁶

²⁴ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO::P12100_ILO_CODE:C182

²⁵ <https://www.iso.org/standard/60857.html>

²⁶ <https://www.iso.org/standard/61651.html>

²⁷ <https://www.iso.org/standard/71102.html>

²⁸ <https://www.iso.org/standard/63787.html>

²⁹ <https://www.iso.org/standard/45481.html>

³⁰ <https://mneguidelines.oecd.org/due-diligence-guidance-for-responsible-business-conduct.htm>

³¹ https://www.oecd.org/en/publications/2016/04/oecd-due-diligence-guidance-for-responsible-supply-chains-of-minerals-from-conflict-affected-and-high-risk-areas_g1g65996.html

³² https://www.oecd.org/en/publications/oecd-guidelines-for-multinational-enterprises-on-responsible-business-conduct_81f92357-en.html

³³ <https://www.responsiblebusiness.org/media/docs/RBAAuditorGuidebook.pdf>

³⁴ <https://www.responsiblebusiness.org/code-of-conduct/>

³⁵ <https://www.responsiblebusiness.org/vap/about-vap/>

³⁶ <https://sa-intl.org/programs/sa8000/>

SAAS, Procedure 201B: AAS Competence and Maintenance Requirements for SA8000 Social Accountability Program Managers, Auditors and Allied Experts for Use by Certification Bodies Performing SAAS Accredited SA8000:2014 Certification Audits ³⁷

SAI Social Accountability Accreditation Services (SAAS) ³⁸

UN, *Guiding Principles on Business and Human Rights* ³⁹

UN, *Protocol to Prevent, Suppress and Punish Trafficking in Persons Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime* ⁴⁰

UN, *Universal Declaration of Human Rights, Article 23, Right to work* ⁴¹

US Securities Exchange Act of 1934, Rule 13p-1: *Requirement of report regarding disclosure of registrant's supply chain information regarding conflict minerals* ⁴²

US Department of State, Office to Monitor and Combat Trafficking in Persons, *Trafficking in Persons (TIP) Report* ⁴³

Victims of Trafficking and Violence Protection Act of 2000 (TVPA) ⁴⁴

3.0 Definitions and Acronyms

3.1 Definitions

audit: Audits against labor and OHS requirements.

conflict minerals: Tin, tantalum, and tungsten, their ores, and gold (3TG) from conflict affected and high-risk areas. (Source: Dodd-Frank Wall Street Reform and Consumer Protection Act of 2012, Section 1502 ⁵ and EU Regulation No 2017/821 ⁷)

collective bargaining: All negotiation which take place between an employer, a group of employers or one or more employers' organisations, on the one hand, and one or more workers' organisations, on the other,

³⁷ https://sa-intl.org/wp-content/uploads/2021/10/SAAS_Procedure.201B_2015.pdf

³⁸ <https://sa-intl.org/about-saas/>

³⁹ <https://digitallibrary.un.org/record/720245>

⁴⁰ <https://www.ohchr.org/en/instruments-mechanisms/instruments/protocol-prevent-suppress-and-punish-trafficking-persons>

⁴¹ <https://www.un.org/en/about-us/universal-declaration-of-human-rights>

⁴² <https://www.govinfo.gov/app/details/CFR-2013-title17-vol3/CFR-2013-title17-vol3-sec240-13p-1>

⁴³ <https://www.state.gov/bureaus-offices/under-secretary-for-civilian-security-democracy-and-human-rights/office-to-monitor-and-combat-trafficking-in-persons>

⁴⁴ <https://www.govinfo.gov/content/pkg/PLAW-106publ386/pdf/PLAW-106publ386.pdf>

for: (1) determining working conditions and terms of employment; and/or (2) regulating relations between employers and workers; and/or (3) regulating relations between employers or their organisations and a workers' organisation or workers' organisations. (Source: International Labor Organization (ILO) C154 ¹⁰)

conflict-affected and high-risk areas: Conflict-affected and high-risk areas are identified by the presence of armed conflict, widespread violence or other risks of harm to people. Armed conflict may take a variety of forms, such as a conflict of international or non-international character, which may involve two or more states, or may consist of wars of liberation, or insurgencies, civil wars, etc. High-risk areas may include areas of political instability or repression, institutional weakness, insecurity, collapse of civil infrastructure and widespread violence. Such areas are often characterized by widespread human rights abuses and violations of national or international law. (Source: Organization for Economic Co-operation and Development (OECD) *Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas* ³¹)

corporation level: See Section 3.2, EPEAT Program Terms.

disclosure: Information made available to the audience specified in criterion (e.g., purchasers, public, etc.).

due diligence: An on-going, process that companies use to identify, prevent, mitigate, and account for the negative impacts of their activities or those of their subsidiaries, subcontractors, and supplies on human rights and the environment. (Sources: United Nations (UN) *Guiding Principles on Business and Human Rights*; ³⁹ and OECD *Guidelines for Multinational Enterprises on Responsible Business Conduct* ³²)

final assembler: A factory/entity where the final assembly of the registered product is taking place, including all component parts necessary to operate the equipment.

freedom of association: The right of "workers and employers, without distinction whatsoever, shall have the right to establish and, subject only to the rules of the organisation concerned, to join organisations of their choosing, without previous authorization"; and "Workers' and employers' organisations shall have the right to draw up their constitutions and rules, to elect their representatives in full freedom, to organise their administration and activities and to formulate their programmes." (Source: ILO C087 ¹⁶; see also ILO C098 ²²)

grievance: An issue raised about any measure or situation which concerns the relations between employer and worker or which affects or may affect the conditions of employment of one or several workers in the undertaking when that measure or situation appears contrary to provisions of an applicable collective agreement or of an individual contract of employment, to works rules, to laws or regulations or to the custom or usage of the occupation, branch of economic activity or country, regard being had to principles of good faith. (Source: ILO R130 ¹⁴)

meaningful stakeholder engagement: Characterized by ongoing, responsive two-way communication involving the good faith of all parties, and the timely sharing of relevant information needed for stakeholders to make informed decisions in a format they can understand and access. (Source: OECD *Due Diligence Guidance for Responsible Business Conduct* ³⁰)

major nonconformity: A nonconformity, as determined by the manufacturer management system, that affects the capability of the management system to achieve the intended results.

NOTE – Nonconformities could be classified as major in the following circumstances:

- A grievous breach of ethical standards
- Significant risk of immediate harm to workers or communities
- Exploitative violations of worker rights (Adapted from: ISO/IEC 17021-1:2015 ²⁶ definition of “major nonconformity” and Responsible Business Alliance (RBA) VAP ³⁵ definition of “priority non-conformance”)

manufacturer: See Section 3.2, EPEAT Program Terms.

nonconformity: Non-fulfilment of a requirement.

product: See Section 3.2, EPEAT Program Terms.

product category: See Section 3.2, EPEAT Program Terms.

product category level: See Section 3.2, EPEAT Program Terms.

publicly available: Obtainable by the public without restriction of access; for example, cannot require member only access. A requirement to provide a name and/or organization to obtain access is not considered a “restriction of access.”

remediation and remedy: Remediation and remedy refers to both the processes of providing remedy for an adverse human rights impact and the substantive outcomes that can counteract, or make good, the adverse impact. These outcomes may take a range of forms, such as apologies, restitution, rehabilitation, financial or non-financial compensation, and punitive sanctions (whether criminal or administrative, such as fines), as well as the prevention of harm through, for example, injunctions or guarantees of non-repetition. (Source: UN The Corporate Responsibility to Respect Human Rights ⁴⁵)

representative union: A union that was not established by the employer (or the government, to protect the employer) and is not under the influence of the employer (or the government, to protect the employer).

stakeholders: Are persons or groups who have interests that could be affected by an enterprise's activities, including but not limited to affected workers, workers representatives, trade unions (including global unions), community members, civil society organisations, investors and professional industry and trade associations. (Source: OECD *Due Diligence Guidance for Responsible Business Conduct* ³⁰)

supplier: An entity that provides goods or services to the manufacturer.

⁴⁵ <https://digitallibrary.un.org/record/734366?ln=en&v=pdf>

3.2 EPEAT Program Terms

The terms below are important for the application of these criteria in the EPEAT Program. They are defined by the EPEAT Program for the purpose of assessment of conformance to the criteria in this document.

corporation level: Evidence provided to support conformance with the criterion addresses, at a minimum, all product categories in which the manufacturer has EPEAT registered products.

manufacturer: A brand owner that registers products to the EPEAT Ecolabel and is responsible for ensuring ongoing conformance of products to criteria; also referred to as “Participating Manufacturer” in EPEAT policy documents.

product: A marketing model and chassis type associated with a unique product registration, including accessories and peripherals, integral to the operation of the product and contained by default in the point of sale (POS) packaging associated with the unique product registration, excluding consumables in imaging equipment.

NOTE — “Integral” means the accessory or peripheral is fundamental or essential to product function. If the manufacturer does not include the peripheral or accessory in the POS packaging by default, it is not within scope. “By default” means that the peripheral or accessory is standard in the POS package(s). Manufacturer may offer choices for the “default” peripheral or accessory (e.g., different mouse options or output tray options.)

NOTE — Criteria may modify product scope (e.g., include or exclude an accessory, peripheral or component) or define a calculation methodology that accounts for variation in accessories and peripherals included in POS packaging (e.g., recycled content.)

NOTE — “Unique product registration” may have multiple unique product identifiers.

product category: A group of products identified by the EPEAT program for the purpose of product registration (e.g., computers and displays, servers, mobile phones, and imaging equipment).

product category level: Evidence provided to support conformance with the criterion covers all products registered by the manufacturer in the EPEAT product category. Manufacturers may indicate if the submitted evidence addresses multiple product categories.

product level: Evidence provided to support conformance with the criterion is for individual EPEAT-registered products.

product type: Sub-categories of products identified by the EPEAT program for the purpose of product registration and searching the EPEAT Registry. For example, the following product types are included in the Computer and Display product category: desktop computer, monitor, integrated desktop computer, notebook computer, tablet/slate, thin client, workstation, signage display.

unique product identifier: A distinct code used to unambiguously identify and differentiate an individual sales unit on the marketplace, whether it be a specific version or model of a device, or a bundle or multi-pack of multiple products. Common unique product identifiers include Global Trade Item Numbers (GTIN) (e.g.,

universal product code (UPC), European Article Number (EAN), and Manufacturer Part Number (MPN).

3.3 Acronyms

3TG:	tin, tantalum, tungsten, gold
AB:	accreditation body
ANSI:	American National Standards Institute
CB:	certification body
EAN:	European Article Number
EMAS:	Eco-Management and Audit Scheme
EMS:	environmental management system
ESG:	Environment, Social and Governance
EU:	European Union
GEC:	Global Electronics Council
GTIN:	Global Trade Item Numbers
HR:	Human Resources
IAF:	International Accreditation Forum
IEC:	International Electrotechnical Commission
IC:	integrated circuits
ILO:	International Labour Organization
ILAB:	International Labor Affairs
ISO:	International Organization for Standardization
LBMA:	London Bullion Market Association
MLA:	Multilateral Agreement
MPN:	manufacturer part number
NGO:	non-governmental organization
NSF:	NSF International
OECD:	Organization for Economic Co-operation and Development
OHS:	occupational health and safety
POS:	point of sale
RBA:	Responsible Business Alliance
RCOI:	reasonable country of origin inquiry
RMI:	Responsible Minerals Initiative
RJC:	Responsible Jewelry Council

SA:	Social Accountability
SAAS:	Social Accountability Accreditation Services
SAI:	Social Accountability International
SAQ:	Self-Assessment Questionnaire
TIP:	trafficking in persons
TVPA:	Trafficking and Violence Protection Act
UN:	United Nations
UNGPs:	United Nations Guiding Principles on Business and Human Rights
UPC:	universal product code
URL:	uniform resource locator
US:	United States
VAP:	Validated Assessment Program

4.0 This section intentionally left blank

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7.0 Responsible Supply Chains

7.1 Labor Rights and Occupational Health and Safety Performance in the Electronics Supply Chain

7.1.1 **Required – Manufacturer commitment and performance audits for labor and occupational health and safety**

Manufacturer shall commit to and demonstrate compliance with the labor rights and OHS management system requirements in Annex B, for at minimum their facilities that manufacture and assemble the registered product(s) and its materials, components and parts. Manufacturer shall have a publicly available commitment meeting or exceeding the requirements in Annex B. If the wording provided in the publicly available commitment differs from the wording of the provisions in Annex B, manufacturer shall provide a mapping showing that the provisions are included.

Manufacturer shall also demonstrate that Prioritized Manufacturer Facilities in Scope meet the labor rights and OHS management system requirements in Annex B by conducting audits as specified in this criterion.

Manufacturer shall also provide a description of the mechanisms manufacturer uses to comply with the labor rights and OHS requirements listed in Annex B. Prioritized Manufacturer Facilities in scope shall be determined using the risk assessment methodology outlined in Part A of this criterion.

Manufacturer shall provide a documented process for ongoing meaningful stakeholder engagement with respect to allegations of failure to comply with the provisions in Annex B. This process shall include how inconsistencies between prior audit findings and allegations are identified and addressed.

Manufacturer shall maintain a list of cities and regions for all in-scope manufacturer facilities to demonstrate facilities are not in regions where independent third-party audits cannot be performed as part of a credible forced labor due diligence process in alignment with the United Nations Guiding Principles on Business and Human Rights (UNGPs).^{39,46} The list(s) shall be updated at least annually.

Part A – Assessment to Determine Prioritized Manufacturer Facilities in Scope:

Manufacturer shall have a process to identify Prioritized Manufacturer Facilities, either owned, leased or operated by the manufacturer, by conducting annually a risk assessment, as described in Annex C, of facilities that manufacture and/or assemble the registered product(s) and its materials, components and parts. Manufacturer shall provide written documentation of the process to identify Prioritized Manufacturer Facilities.

If manufacturer does not own or operate any facilities that manufacture or assemble products, they are not required to conduct a risk assessment, no manufacturing facilities are in scope, and they do not need to meet Parts A and B.

For the purpose of this criterion, a “manufacturer owned facility” is defined as a manufacturing site that is fully or majority owned by the manufacturer. A manufacturer operated facility is one where the manufacturer controls the operations of the facility but does not own or lease the facility.

When a facility(ies) is operated through a joint venture, a collaboration or a partnership business arrangement(s), the legal contractual arrangement documents shall clearly define the responsibilities and accountabilities for the operational controls of the facility(ies) throughout the duration of such business arrangement.

Addressing allegations:

Where industry-independent civil society organizations allege and provide documented evidence of manufacturer’s facilities’ failure to meet compliance of the provisions in Annex B, manufacturer shall follow the documented process used for meaningful stakeholder engagement and for addressing identified inconsistencies between prior audit findings and allegations as relevant.

⁴⁶ Prohibited regions include those in the annual Global Slavery Index report on state-imposed forced labor where “operating in accordance with the United Nations Guiding Principles on Business and Human Rights (UNGPs) is not possible”.

Allegations provided by the industry-independent civil organization outside of 2 years after the alleged failure and communicated to a representative of management at the manufacturer facility are out of scope.

Part B – Manufacturer’s Audit Requirements:

Manufacturer shall ensure that all manufacturer facilities in scope (i.e., identified by the manufacturer as Prioritized Manufacturer Facilities in Part A have met any one of the following:

- a) Certified by accredited certification bodies (CBs) to SA8000³⁶ and ISO 45001.²⁸ Certification bodies for SA8000 shall be accredited by Social Accountability International (SAI) SAAS³⁸ to certify to the SA8000. Certification bodies for ISO 45001 shall be accredited by a globally recognized accreditation body (AB). The certification shall be no older than three years, or
- b) Audited to the RBA Code of Conduct³⁴ using the VAP.^{35,47} A VAP report⁴⁸ shall be issued by the VAP Operations Management Team to verify that for each manufacturer facility:
 - i. Initial VAP reports contained no priority non-conformance findings, or
 - ii. Achievement of RBA’s VAP Silver Recognition Level or better, or
 - iii. A closure audit confirms that all priority non-conformances resulting from VAP audits were closed or downgraded, other than those related to (1) working hours or (2) recruitment fees with a closure plan, within the specified time in the RBA Operations Manual most recent version,⁴⁹ or
- c) Audited on site⁵⁰ every two years in an audit program of management systems meeting the requirements of SA8000 and ISO 45001, covering the labor rights and OHS provisions in Annex B. Auditor shall be qualified as a lead auditor under SA8000 and ISO 45001 or RBA, or equivalent. Equivalence is defined in Procedure 201B:2015³⁷ and/or the RBA Auditor Guidebook,³³ Revision 7.1, Section 7.1: *Lead Auditor*. Audit program shall include:
 - i. Demonstration of equivalence of audit program to Annex B requirements.
 - ii. Defined levels of severity of non-conformances (e.g., priority, non-priority).
 - iii. A method for the determination of the cause(s), corrective action(s) identification and resolution

⁴⁷ There is a specific timeline for closing non-conformances defined by the RBA, such that an open item that has not exceeded a specified timeline will not prevent a manufacturer from meeting element Part B, b) of this criterion. For example, six months to close social insurance even for priority non-conformances. The timeline for closing non-conformances defined by the RBA can be found in the RBA VAP.

⁴⁸ An initial VAP report is validated for 2 years.

⁴⁹ The RBA Silver recognition requires all priority non-conformances to be closed. The RBA Gold recognition requires all priority and major non-conformances to be closed. Having any open non-conformances prevents the audit from being recognized. If the only open priority non-conformances are related to working hours or recruitment fees a copy of the audit may be submitted to confirm that all priority non-conformances have been closed with the exception of working hours and/or recruitment fee, within the specified time in the RBA Operations Manual most recent version. This exception will allow the criterion to be met.

⁵⁰ In the event of a designated force majeure event impacting an in-scope facility, remote audits of that facility may be accepted by EPEAT as determined in accordance with the EPEAT policies and procedures regarding force majeure.

- of each non-conformance.
- iv. Identifying actions to lower risk of immediate harm to workers or communities, including actions to address violations of worker rights, and to provide remediation and remedy for harm already suffered.
- v. Closing non-conformances within a specified period of time.
- vi. Stakeholder engagement, including interviews with workers and input from worker representatives as part of the audit.

If manufacturer does not own, lease or operate any facilities that manufacture or assemble products, materials, components or parts, the manufacturer may indicate Not Applicable for this criterion.

Verification requirements:

This criterion is verified at the product category level.

- a) If manufacturer does not own, lease or operate any facilities that manufacture or assemble products, materials, components or parts, manufacturer declaration that manufacturer does not own, lease or operate any facilities that manufacture or assemble products, materials, components or parts and that this criterion is Not Applicable. If the manufacturer declares Not Applicable, the remaining verification requirements do not apply.
- b) URL(s) for publicly available manufacturer commitment meeting the requirements of this criterion on manufacturer's website. If the wording provided in the publicly available commitment evidence differs from the wording of the provisions in Annex B, provide a mapping showing that the provisions are included.
- c) Evidence (e.g., procedures, HR manual) of how the provisions listed in Annex B are included in the manufacturer's operations and that there is language to meet or exceed the labor rights and OHS provisions listed in Annex B (e.g., meets or exceeds compliance with the RBA *Code of Conduct*³⁴) for the manufacturer's operations.
- d) Documentation of process for ongoing meaningful stakeholder engagement as required by this criterion.

Verification Part A – Assessment to Determine Prioritized Manufacturer Facilities in Scope:

- e) When a facility(ies) is operated through a joint venture, a collaboration or a partnership business arrangement(s), the manufacturer shall provide a written statement by the manufacturer defining the structure, roles, responsibilities and accountabilities of the management team, and clearly defining the responsibilities and the requirements for the control and the management of the facility(ies) operation such as but not limited to the physical facility, personnel, processes and products.
- f) If the manufacturer has owned or operated facilities, then the following verification requirements apply:
 - i. Documentation of process to identify Prioritized Manufacturer Facilities, either owned or operated, that demonstrates conformity to this criterion.

- ii. As part of the documentation of process to identify Prioritized Manufacturer Facilities, rationale for approach to determine facilities that are and are not Prioritized Manufacturer Facilities.
- iii. Where industry-independent civil society organizations allege and provide documented evidence of manufacturer's facilities' failure to meet compliance of the provisions in Annex B, evidence that the manufacturer's documented process for addressing allegations was followed.

Where no allegations have been raised under iii) above, or where manufacturer has not previously conducted an audit, verification will be limited to i) and ii).

- g) To demonstrate facilities are not in regions where qualified, independent, third-party audits cannot be performed as part of credible forced labor due diligence processes:
 - i. List of cities and regions of all in-scope facilities, and identification of those which are Prioritized Manufacturer Facilities as required by this criterion.
 - ii. List of regions where independent third-party audits cannot be performed.
 - iii. Evidence that facility list(s) are updated at least annually.

Verification Part B – Manufacturer's audit requirements:

- a) Demonstration of certification to SA8000³⁶ and ISO 45001,²⁸ or completion of RBA VAP³⁵ audits, or completion of other audit program as identified in this criterion for all manufacturer owned or operated manufacturer facilities in scope (i.e., Prioritized Manufacturer Facilities) for the registered product, including one of the following:

- i. Certificate to SA8000 and ISO 45001 issued within three years prior to product registration for all manufacturer owned or operated manufacturer facilities in scope (i.e., Prioritized Manufacturer Facilities) and the documentation which demonstrate the accreditation of the CB,

Or

- ii. VAP report issued by the RBA VAP Operations Management Team for all manufacturer owned or operated manufacturer facilities in scope (i.e., Prioritized Manufacturer Facilities) for the registered product. Initial audit reports must have been issued within the timeframes specified below and each VAP report must verify one of the following:
 - a. The initial VAP report contained no priority non-conformance findings. The initial report must be issued within two years of product registration, or
 - b. Achievement of RBA's VAP Silver Recognition Level or better, or a closure audit confirms that all priority non-conformance corrective actions, other than those related to (1) working hours or (2) recruitment fees with a closure plan, resulting from previous VAP audits were closed or downgraded.

Or

- iii. Evidence of audits conducted within two years prior to product registration in an audit

program of management systems, other than SA8000 and ISO 45001, or RBA VAP audits, meeting the requirements of SA8000 and ISO 45001 covering the labor rights and OHS provisions in Annex B, as required by the criterion.

- a. Evidence of the audit program, including the following:
 - i. Demonstration of equivalence of audit program to Annex B requirements.
 - ii. Defined levels of severity of non-conformances.
 - iii. Method(s) for determining of the cause(s), corrective action(s) identification and resolution of each non-conformance.
 - iv. Actions to lower risk of immediate harm to workers or communities, including actions to address violations of worker rights, and to provide remediation and remedy for harm already suffered.
 - v. Closing non-conformances within a specified period of time.
 - vi. Documentation of the process for stakeholder engagement, including interviews with workers and input from worker representatives as part of the audit.
- b. Include documentation of the audit company or individual's qualifications (e.g., the lead auditor certificate), including the following:
 - i. Name of the company and/or individual(s) performing the audit.
 - ii. Contact information of the audit company or auditor.
 - iii. Qualifications (e.g., education/training and experience in the auditing), or certification/approval as a lead auditor under SA8000 and ISO 45001, or RBA.

References and details:

The RBA *Code of Conduct*³⁴ (most recent version) meets the manufacturer's commitment elements of this criterion, including the provisions of Annex B, and the RBA Risk Assessment Platform⁵¹ in combination with Self-Assessment Questionnaire (SAQ⁵²) is an analysis methodology meeting the identification of Prioritized Manufacturer Facilities of "Part A – Assessment to Determine Prioritized Manufacturer Facilities in Scope."

7.1.2 Required – Supplier code of conduct requirements for labor rights and occupational health and safety

Manufacturer shall have a publicly available supplier requirements document(s) (e.g., supplier code of conduct) covering the requirements in Annex B. If the wording provided in the publicly available document differs from the wording of the provisions in Annex B, manufacturer shall provide a mapping showing that the provisions are included.

Manufacturer shall communicate the expected requirements to its directly contracted suppliers for registered

⁵¹ <https://www.responsiblebusiness.org/tools/risk-assessment/>

⁵² <https://www.responsiblebusiness.org/tools/saq-faqs/>

products through contracts, specifications, purchase orders, or other documented requirements.

The supplier requirements document(s) must require at a minimum directly contracted suppliers to meet or exceed the labor rights and OHS provisions listed in Annex B, and include language requiring suppliers to similarly require at a minimum their directly contracted suppliers for registered products meet the provisions listed in Annex B.

Verification requirements:

This criterion is verified at the corporation level.

- a) URL(s) for publicly available supplier requirements document(s) on manufacturer's website. If the wording provided in the publicly available commitment evidence differs from the wording of the provisions in Annex B, mapping showing that the provisions are included.
- b) Evidence that the provisions of supplier requirements document(s) are communicated with directly contracted suppliers for registered products (e.g., through contracts, specifications, purchase orders, or other documented requirements) and that there is language which requires suppliers to meet or exceed the labor rights and OHS provisions listed in Annex B. Examples include a table linking all provisions listed in Annex B to the manufacturer's supplier requirements document(s).
- c) Evidence that the manufacturer requires its suppliers to require their directly contracted suppliers meet the labor rights and OHS provisions listed in Annex B.

References and details:

The *RBA Code of Conduct*³⁴ (most recent version), meet the elements of this criterion, including the provisions of Annex B.

7.1.3 Required – Social responsibility performance audits of high-risk suppliers

Manufacturer shall demonstrate that supplier facilities in scope meet the requirements in Annex B by conducting supplier audits (labor rights and OHS). Supplier facilities in scope (i.e., Prioritized Supplier Facilities) shall be determined using the prioritization assessment methodology outlined in Part A below. Audits shall meet the requirements in Part B below.

Manufacturer shall provide a documented process for on-going meaningful stakeholder engagement with respect to allegations of failure to comply with the provisions in Annex B. This process shall include how inconsistencies between prior audit findings and allegations are identified and addressed.

Manufacturer shall maintain a list of cities and regions for all in-scope supplier facilities to demonstrate facilities are not in regions where independent third-party audits cannot be performed as part of a credible forced labor due diligence process in alignment with the UNGPs.^{39,46} The list(s) shall be updated at least annually.

Manufacturers of imaging equipment designated as EPEAT Bronze shall meet this criterion no later than 2 years from the publication date of this criteria document. Manufacturers of imaging equipment designated as

EPEAT Silver or Gold shall meet this criterion at the time of product registration.

Part A – Assessment to Determine Prioritized Supplier Facilities in Scope:

Manufacturer shall provide written documentation of its risk assessment process for the identification of Prioritized Supplier Facilities subject to the supplier audit criteria in Part B of this criterion. The risk assessment process shall include, at minimum, the risk categories identified in Annex C. Manufacturer shall provide documentation which outlines how the risk assessment process was applied across the manufacturer’s supply chain and how risk was evaluated, such as through weighting factors and the consideration of probability, frequency and severity of the risk. The manufacturer’s risk assessment methodology shall identify Prioritized Supplier Facilities. Supplier facilities found to have risk factors, based on priority non-conformances that have not been remediated within the timeframe specified by the supplier audit approach employed as required by Part B of this criterion,⁵³ are to be considered Prioritized Supplier Facilities. Risk assessments are reviewed and updated as needed, at least annually.

Addressing allegations:

Where industry-independent civil society organizations allege and provide documented evidence of supplier’s facilities’ failure to meet the provisions in Annex B, manufacturer shall follow the documented process used for meaningful stakeholder engagement and for addressing identified inconsistencies between prior audit findings and allegations as relevant.

Allegations provided by the industry-independent civil organization outside of 2 years after the alleged failure and communicated to a representative of management at the supplier facility are out of scope.

Part B – Supplier Audits:

Manufacturer shall ensure that all supplier facilities in scope (i.e., Prioritized Supplier Facilities), as identified in Part A, have any one of the following:

- a) Certified by accredited CBs to SA8000³⁶ and ISO 45001.²⁸ Certification bodies for SA8000 shall be accredited by SAI SAAS³⁸ to certify to the SA8000. Certification bodies for ISO 45001 shall be accredited by a globally recognized AB. The certification shall be no older than three years, or
- b) Audited to the RBA Code of Conduct³⁴ using the VAP.^{35,47} An executive summary VAP report⁴⁸ shall be issued by the VAP Operations Management Team to verify that for each facility:
 - i. Initial VAP reports contained no priority non-conformance findings, or
 - ii. Achievement of RBA’s VAP Silver Recognition Level or better, or
 - iii. A closure VAP report confirms that at least 95% of all priority non-conformances (or a minimum of all but 1 priority non-conformance) were closed or downgraded, other than those related to

⁵³ For Part B, b) of this criterion, supplier facilities found to have risk factors, based on priority non-conformances that have not been remediated within the specified time in the RBA Operations Manual most recent version, are to be considered Prioritized Supplier Facilities.

(1) working hours or (2) recruitment fees with a closure plan, within the specified time in the RBA Operations Manual ⁴⁹ most recent version, or

- c) Audited on site ⁵⁰ every two years in an audit program of management systems meeting the requirements of SA8000 and ISO 45001 covering the labor rights and OHS provisions in Annex B.

Auditors shall be qualified as lead auditors under SA8000 and ISO 45001 or RBA, or equivalent. Equivalence is defined in Procedure 201B:2015 ³⁷ and/ or the RBA Auditor Guidebook,³³ Revision 7.1, Section 7.1: *Lead Auditor*. Audit program shall include:

- i. Demonstration of equivalence of audit program to Annex B requirements.
- ii. Defined levels of severity of non-conformances (e.g., priority versus non-priority).
- iii. A method for the determination of the cause(s), corrective action(s) identification and resolution of each non-conformance.
- iv. Identifying actions to lower risk of immediate harm to workers or communities, including actions to address violations of worker rights, and to provide remediation and remedy for harm already suffered.
- v. Closing non-conformances within a specified period of time.
- vi. Stakeholder engagement, including interviews with workers and input from worker representatives as part of the audit.

Part C – A Summary of Audit and Corrective Action Reports:

Manufacturer shall annually publish the below listed items regarding assessments conducted within the supply chain. The report, which may be included as part of the manufacturer's annual public reporting shall include all of the suppliers in scope for Part B (i.e., Prioritized Supplier Facilities), and may include additional facilities. Manufacturer may choose the initial 12-month period covered by the audit and corrective action report and must use the same 12-month period every year.

The report shall include the following:

- a) Explanation of the process to identify Prioritized Supplier Facilities.
- b) Overview of labor rights and OHS audits from the past year, including:
 - i. The number of audits conducted,
 - ii. The percentage of supply chain facilities directly contracted by the manufacturer that were audited within the past 3 years, and
 - iii. A summary of audit results for the past 3 years by risk rating, i.e., for each year, report the percentage of suppliers that fell within each risk category utilized by the supply chain audit program.
- c) Description of actions taken to assist suppliers with continuous improvement and capacity building.
- d) Summary of major non-conformances for the past 3 years and the actions taken to address.
- e) An explanation of how public reports regarding possible violations of the requirements in Annex B,

that are received by the manufacturer or supplier facility, are investigated and addressed.

- f) A list of local, national, regional and/or international industry-independent organization(s) (e.g., community groups, worker organizations, non-governmental organizations (NGOs)) with whom the manufacturer engages on a recurring basis or as a partnership, for feedback on supply chain programs.
- g) In support of ILO *Declaration on Fundamental Principles and Rights at Work*,¹¹ the report must include a description of the supply chain audit program in relation to the rights of employees to form and join—or refrain from joining—organizations of their choice, and to bargain collectively through their chosen representatives without interference, discrimination, retaliation, or harassment.

Verification requirements:

This criterion is verified at the product category level.

Verification Part A – Assessment to Determine Prioritized Supplier Facilities in Scope:

- a) Documentation of process to identify Prioritized Supplier Facilities that demonstrates conformity to this criterion.
- b) As part of the documentation of process to identify Prioritized Supplier Facilities, rationale for approach to determine facilities that are and are not Prioritized Supplier Facilities.
- c) Where industry-independent civil society organizations allege and provide documented evidence of manufacturer's facilities' failure to meet compliance of the provisions in Annex B, evidence that the manufacturer's documented process for addressing allegations was followed.

Where no allegations have been raised under c) above or where manufacturer's supplier has not previously conducted an audit, verification will be limited to a) and b).

- d) To demonstrate facilities are not in regions where qualified, independent, third-party audits cannot be performed as part of credible forced labor due diligence processes:
 - i. List of cities and regions of all in-scope suppliers,
 - ii. List of regions where independent third-party audits cannot be performed, and identification of those which are Prioritized Supplier Facilities as required by this criterion, and
 - iii. Evidence that supplier list(s) are updated at least annually.

Verification Part B – Supplier Audits:

- a) Demonstration of certification to SA8000³⁶ and ISO 45001,²⁸ or completion of RBA VAP³⁵ audits, or completion of other audit program as identified in this criterion for all supplier owned or operated facilities in scope (i.e., Prioritized Supplier Facilities) for the registered product, including one of the following:
 - i. Evidence of certification to SA8000 and ISO 45001 issued within three years prior to product registration for all supplier owned or operated facilities in scope (i.e., Prioritized Supplier Facilities) and the documentation which demonstrate the accreditation of the CB,

Or

- ii. VAP report issued by the RBA VAP Operations Management Team for all supplier owned or operated facilities in scope (i.e., Prioritized Supplier Facilities) for the registered product. Initial audit reports must have been issued within the timeframes specified below and each VAP report must verify one of the following:
 - a. The initial VAP report contained no priority non-conformance findings. The initial report must be issued within two years of product registration, or
 - b. Achievement of RBA's VAP Silver Recognition Level or better, or
 - c. A closure VAP report confirms that at least 95% of all priority non-conformances (or a minimum of all but 1 priority non-conformance) were closed or downgraded, other than those related to (1) working hours or (2) recruitment fees with a closure plan, within the specified time in the RBA Operations Manual ⁴⁹ most recent version.

Or

- iii. Evidence of audits conducted within two years prior to product registration in an audit program of management systems, other than SA8000 and ISO 45001, or RBA VAP audits, meeting the requirements of SA8000 and ISO 45001 covering the labor rights and OHS provisions in Annex B, as required by the criterion.
 - a. Evidence of the audit program, including the following:
 - i. Demonstration of equivalence of audit program to Annex B requirements.
 - ii. Defined levels of severity of non-conformances.
 - iii. Method(s) for determining of the cause(s), corrective action(s) identification and resolution of each non-conformance.
 - iv. Actions to lower risk of immediate harm to workers or communities, including actions to address violations of worker rights, and to provide remediation and remedy for harm already suffered.
 - v. Closing non-conformances within a specified period of time.
 - vi. Documentation of the process for stakeholder engagement, including interviews with workers and input from worker representatives as part of the audit.
 - b. Include documentation of the audit company or individual's qualifications (e.g., the lead auditor certificate), including at a minimum the following:
 - i. Name of the company and/or individual(s) performing the audit.
 - ii. Contact information of the audit company or auditor, and
 - iii. Qualifications (e.g., education/training and experience in the auditing), or certification/approval as a lead auditor under SA8000 and ISO 45001, or RBA.

Verification Part C – A Summary of Audit and Corrective Action Reports

- a) URL(s) for the public website where the manufacturer makes available an aggregated audit and corrective action report with information described in this criterion. The report does not include verification requirements beyond those specified in Part C (i.e., requirements of Part A or Part B).

References and details:

The RBA *Code of Conduct*³⁴ (most recent version) meet the manufacturer's commitment elements of criterion 7.1.1, including the provisions of Annex B, and the RBA Risk Assessment Platform⁵¹ in combination with SAQ⁵² is recognized as an analysis methodology meeting the identification Prioritized Supplier Facilities of "Part A – Assessment to Determine Prioritized Supplier Facilities in Scope."

7.1.4 Optional – Improving supply chain quality and transparency

Part A – Country-Specific Summary of Audit and Corrective Action Reports:

For all facilities in scope of 7.1.3, Part B, manufacturer shall annually conduct, and make publicly available on the manufacturer's website, a single summary report of audits and corrective action that includes labor rights and OHS supply chain findings relevant to Annex B, as identified in 7.1.3, Part C: A Summary of Audit and Corrective Action Reports, organized by country and by the categories of production spend (i.e., contract manufacturers, final assembly, and component suppliers).

Part B – Transparency on suppliers:

Manufacturer shall make publicly available on the manufacturer's website a list of supplier facilities covering 80% by production spend, including the city and country locations of the facilities.⁵⁴

Production spend is defined as:

- a) Total annual spend by the manufacturer on production for EPEAT registered products, inclusive of spend on outsourced final assemblers,⁵⁵ and
- b) Total annual spend by the manufacturer on components of EPEAT registered products that are directly sourced⁵⁶ by the manufacturer and provided to outsourced final assemblers, and
- c) Total annual spend by the manufacturer on directly sourced components of EPEAT registered products that are used by the manufacturer in final assembly.

⁵⁴ Supplier facilities that do not perform any type of manufacturing or assembling functions related to the materials, components, and parts contained in or composing the products declared to conform to the standard (e.g., distributors) are not manufacturing sites. They are considered out of scope as defined in the above Supplier Facilities in Scope definition and shall not be included in the calculation of production spend.

⁵⁵ Limited to spend by manufacturer on value added by final assemblers. Value added is the difference between the input costs to the final assembler and the selling price to the manufacturer (see Annex D). Estimated value added, based on manufacturer's estimated production cost breakdowns, can be used when actual value added is not available for the assembler(s).

⁵⁶ "Directly sourced" refers to the process of obtaining components directly from the original or primary source, without involving intermediaries.

An illustration of the main elements of production spend can be found in Annex D.

Point value: 1-2 points (maximum of 2 points) as follows:

Part A: 1 point

Part B: 1 point

Verification requirements:

This criterion is verified at the product category level.

Verification Part A – Country-specific Summary of Audit and Corrective Action Reports:

- a) URL(s) for the public website where the manufacturer makes available an aggregated audit and corrective action report with information described in this criterion. The report does not include verification requirements beyond those specified in Part A above.

Verification Part B – Transparency on suppliers:

- a) Evidence that production spend threshold is met.
- b) URL(s) for the public website where the manufacturer makes available list of supplier facilities covering 80% by production spend, including the name and site addresses of the facilities.

References and details: None.

7.1.5 **Optional – Suppliers details for worker engagement**

For all facilities in scope of prioritized suppliers as defined in Part A of criterion 7.1.3: *Assessment to Determine Prioritized Supplier Facilities in Scope* and Annex C: *Factors to Determine Prioritized Facilities in Scope*, manufacturer shall publish a summary report on activities undertaken to engage workers in improving labor conditions in the workplace and make the report publicly available. The report shall include all of the following:

- a) Description of the methodology the supplier operating each facility in scope uses to engage with workers and worker organizations. The methodology shall provide specific examples of how worker engagement included employee representation in the development and implementation of remediation plan(s), such as representation provided by a worker organization established consistent with ILO C087¹⁶ and C098.²²
- b) Description of the process and outcomes for addressing worker grievances and/or complaints for the supplier operating each facility in scope, which may include collectively bargained grievance mechanisms, including but not limited to:
 - i. Numbers, types and trends observed in the grievances and/or complaints filed, resolved, and average processing times annually. “Types” include, at a minimum, types of labor rights set forth in Annex B.
 - ii. The process or processes of resolution, including mediation, arbitration (private or

government), conciliation or other means.

NOTE— It also includes labor and employment types set forth in (qualified) audit and assessment processes that at minimum include the ILO Conventions in Annex B.

- c) Description of the process and outcomes of other issues addressed through collective dialogue and/or bargaining.

Point value: 1 point

Verification requirements:

This criterion is verified at the product category level.

- a) URL(s) for the public website where the manufacturer makes available information regarding worker engagement methodology and process for addressing worker grievances and/or complaints described in this criterion.
- b) For all facilities in scope of Prioritized Supplier Facilities as defined in Part A of criterion 7.1.3, a summary report on activities undertaken to collectively engage workers in improving labor conditions in the workplace, through dialogue and/or bargaining, including but not limited to the resolution of grievances/complaints based on types of issues, time required and method used for their resolution.

References and details: None.

7.1.6 Optional – Living wage assessment and gap closure plan

Manufacturer shall conduct or ensure their suppliers conduct (1) a living wage assessment and (2) develop a plan to close identified gaps for all final assembly, manufacturer owned and outsourced, inclusive of manual assembly and associated packaging operations and back-end chip manufacturing covering 80% of the value of the ICs in the product within a specified period of time for workers that manufacture registered products or components, as identified in Table 7.1.6. Manufacturer shall include a list of manufacturing operations by country or region, at minimum for the manufacturing operations identified in Table 7.1.6.

Living wage assessment shall include, at a minimum:

- a) An explanation of the methodology used to set the wages when determining the pay rate for a specific job.
- b) A comparison between the lowest paid employee at a manufacturing operation and the determined living wage rate. Employee data shall show what workers are actually paid (effective wage data) on a guaranteed basis, for standard working hours. The living wage rate shall include consideration for the cost of food, water, housing, education, health care, transportation, clothing, and other essential needs including at least 5% provision for unexpected events for a worker and their family. Other elements may be included based upon the methodology used.
- c) Data collected no more than five years prior and adjusted for the time since the original data was collected (i.e., for inflation).

- d) Disclosure of methodologies and data sources to the conformance body (e.g., indication whether primary data was collected, and name of secondary data sources) used to assess living wage.

Manufacturer shall provide the methodologies used to assess living wage, whether done itself or by a supplier, on its publicly available website. Disclosure of actual wages is not required.

Table 7.1.6 – Point values by step for consideration of living wage

Type of manufacturing operation	Optional Point(s)
Conducting a living wage assessment	1 point
Develop a plan to close identified gaps	1 point

Point value: 1 point each (maximum of 2 points)

Verification requirements:

This criterion is verified at the product category level.

- a) Identification of manufacturing operations by country or region and type of manufacturing operation.
- b) If conducting a living wage assessment, documentation of the calculation of living wage assessment(s) that meets the requirements of this criterion, including identification of the methodologies and data sources used in assessment(s).
- c) If developing a plan to close identified gaps, evidence of a time bound gap closure plan(s) by country or region and type of manufacturing operation that encompasses the manufacturing operations identified in a).
- d) A calculation demonstrating that manufacturing operations identified in verification requirement a) meet 80% of the value of the integrated circuits (ICs) in the product.
- e) URL(s) for the public website where manufacturer makes living wage assessment(s) methodologies used for living wage assessment(s) described in this criterion available.

References and details:

Back-end chip manufacturing refers to locations where the wafer is cut, assembled, and packed into different packages. (Source: *Electronics Watch 2021 Annual Report*)⁵⁷

Manufacturer may consider using living wage benchmark methodologies such as the *Anker Methodology* for

⁵⁷ https://electronicswatch.org/en/strategy-annual-reports_2543078

Estimating a Living Wage,⁵⁸ Wage Indicator Global Living Wage,⁵⁹ and Global Living Wage.⁶⁰

7.1.7 Required – Manufacturer and outsourced supplier (final assembly) OHS management system

Manufacturer shall have a third-party certified OHS management system for at least one final assembly manufacturing facility for registered products, whether owned by the manufacturer or outsourced. The manufacturer shall select a facility based on percentage of registered product the facility produces.

The OHS management system shall be third-party certified to meet at minimum the requirements of ISO 45001²⁸ or a nationally adopted version of ISO 45001. Third-party certification shall be obtained from a CB accredited by a body that is a signatory to the International Accreditation Forum (IAF) MLA⁸ with a scope of accreditation that includes the standard applicable to this criterion.

A multi-site or enterprise certification inclusive of those parts of the company that manufacture the registered product is acceptable.

This criterion must be met within 1 year of product registration.

Verification requirements:

This criterion is verified at the product category level.

- a) Evidence that the facility selected was based on the percentage of registered product the facility produces.
- b) Evidence of third-party certification to ISO 45001 or a nationally adopted version of ISO 45001 for at least one final assembly manufacturing facility for registered products.
- c) Demonstration that certification was performed by a third-party CB accredited by an IAF member AB whose scope of accreditation includes the specified standard (e.g., logo or other indication on certification document, publicly posted URL by CB reflecting accreditation from an IAF member AB).

References and details: None.

7.2 Environmental Management Systems

7.2.1 Required – Manufacturer certified environmental management system

Manufacturer shall have a third-party certified environmental management system (EMS) for (1) those parts of the company with functional responsibility for the design and development, and (2) those parts of the company with responsibility for final assembly of registered products. The EMS shall be third-party certified to meet the requirements of ISO 14001,²⁵ a nationally adopted version of ISO 14001, or the EU EMAS.⁶

⁵⁸ <https://ankerresearchinstitute.org/>

⁵⁹ <https://wageindicator.org/salary/living-wage>

⁶⁰ <https://www.globallivingwage.org/>

Manufacturer shall identify their use of the terms “design” operations and/or “development” operations.

NOTE — For the purpose of this criterion, “design and development” means a set of processes that transform requirements for an object into more detailed requirements for that object. In a project there can be several design and development stages.⁶¹ (Source: ISO 9000:2015²⁹)

Certification(s) shall be obtained from a CB accredited by a body that is a signatory to the IAF MLA⁸ with a scope of accreditation that includes the standard applicable to this criterion.

A multi-site or enterprise certification inclusive of those parts of the company where (1) design and development and (2) manufacture of registered products is done is acceptable.

Newly acquired facilities are to achieve ISO 14001 certification within at least 12-months of shipping EPEAT registered products.

If a manufacturer does not perform their own product design and development and does not manufacture products, they may indicate Not Applicable.

Verification requirements:

This criterion is verified at the product category level.

- a) Identification of how the manufacturer uses the terms “design” operations and/or “development” operations.
- b) List of all design and development and/or final assembly manufacturing operations of the company for registered products.
- c) Evidence of third-party certification to ISO 14001, a nationally adopted version of ISO 14001 or the EU EMAS⁶ for operations identified in a).
- d) Certification(s) shall be obtained from a CB that has been accredited by an AB, which is a signatory to the IAF MLA. The CB shall have the standard applicable to this criterion in its scope of accreditation.

References and details: None.

7.2.2 Required – Outsourced final assembler certified environmental management system

Manufacturer shall demonstrate that outsourced final assembler facilities for manufacture of registered products have a third-party certified EMS. The EMS shall be third-party certified as meeting the requirements of ISO 14001,²⁵ a nationally adopted version of ISO 14001 or the EU EMAS.⁶

Certification(s) shall be obtained from a CB accredited by a body that is a signatory to the IAF MLA⁸ with a

⁶¹ In English, the words “design” and “development” and the term “design and development” are sometimes used synonymously and sometimes used to define different stages of the overall design and development.

scope of accreditation that includes the standard applicable to this criterion.

A multi-site or enterprise certification inclusive of those parts of the company where manufacture of registered products is done is acceptable.

Newly acquired facilities are to achieve ISO 14001 certification within at least 12-months of shipping EPEAT registered products.

If the manufacturer does not outsource final assembly of registered products to any suppliers, they may indicate Not Applicable.

Verification requirements:

This criterion is verified at the product category level.

- a) List of all outsourced final assembler facilities for manufacture of registered products.
- b) Evidence of third-party certification to ISO 14001, a nationally adopted version of ISO 14001 or the EU EMAS for operations identified in a).
- c) Certification(s) shall be obtained from a CB that has been accredited by an AB, which is a signatory to the IAF MLA. The CB shall have the standard applicable to this criterion in its scope of accreditation.

References and details: None.

7.3 Responsible Mineral Sourcing

7.3.1 Required – Public disclosure of due diligence processes for conflict minerals (3TG) in products

Manufacturer shall determine whether registered products contain 3TG minerals necessary to the functionality or production of the products. If any of these minerals are in the product, manufacturer shall prepare annual public disclosure(s) on the sources of these minerals.

The annual public disclosure(s) shall align with the OECD *Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas*³¹ (inclusive of OECD Guidance Annexes I, II and III), and include:

- a) A company sourcing policy or supplier code that addresses 3TG minerals,
- b) Description of a reasonable country of origin inquiry (RCOI) with the manufacturers' direct suppliers of 3TG minerals, and the resultant list of smelters or refiners reported by those suppliers, and
- c) Description of the due diligence measures the manufacturer has conducted on the source and chain of custody of the 3TG minerals which may have originated from covered countries or conflict-affected and high-risk areas.

Verification requirements:

This criterion is verified at the product category level.

- a) URL(s) and/or copies of public documents meeting the requirements of the criterion (e.g., annual report(s) or public disclosure pursuant to Rule 133p-1 of the US Securities Exchange Act of 1934⁴²).

References and details: None.

7.3.2 **Optional – Public disclosure of due diligence processes for cobalt in products**

Manufacturer shall determine whether registered products contain cobalt necessary to the functionality or production of the products. If cobalt is used in the product, manufacturer shall prepare annual public disclosure(s) on its sources.

The annual public disclosure(s) shall align with the OECD *Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas*,³¹ and include:

- a) A company sourcing policy or supplier code that addresses or includes cobalt,
- b) Description of a RCOI with the manufacturers' direct suppliers of cobalt, and the resultant list of smelters or refiners reported by those suppliers, and
- c) Description of the due diligence measures the manufacturer has conducted on the source and chain of custody of the cobalt which may have originated from covered countries or conflict-affected and high-risk areas.

Point value: 1 point

Verification requirements:

This criterion is verified at the product category level.

- a) URL(s) and/or copies of public documents meeting the requirements of the criterion (e.g., annual report(s)).

References and details: None.

7.3.3 **Required – Sourcing 3TG minerals from responsible smelters/refiners validated by approved programs**

Manufacturer shall annually demonstrate that at least 65% of the total number of smelters/refiners from which manufacturer sources one or more 3TG minerals necessary to the functionality or production of registered products meet one or both of the following requirements:

1. Smelters/refiners process only materials from recycled or scrap sources, and/or
2. Smelters/refiners participate in a validated responsible mineral sourcing program(s) that aligns with the provisions for acceptable programs as defined below for at least the manufacturer's most recent reporting year.

The manufacturer may include active or in-process smelters/refiners in the percent conformance calculation

for this criterion. “Active or in-process” means smelters and refiners that have committed to undergo an assessment by an approved program, have completed the relevant documents, and scheduled an on-site assessment to occur within the manufacturer’s reporting year, that meets the requirements of this criterion.

The list of smelters/refiners used to conform to this criterion shall be reported annually, either in the public disclosure made by the manufacturer in accordance with criterion 7.3.1 *Required – Public disclosure of due diligence processes for conflict minerals (3TG) in products* and/or separately on the manufacturer’s website.

A change in status from conformant to non-conformant occurs when a smelter/refiner is removed from the approved program’s list. Removal of a participating validated smelter/refiner constitutes a change in status that could impact the 65% conformance calculation. Such changes are to be disclosed in the manufacturer’s next annual report as required by criterion 7.3.1 *Required – Public disclosure of due diligence processes for conflict minerals (3TG) in products*. In the absence of publication of an annual report, manufacturer shall publish a signed declaration on their website within 12 months. The declaration shall be signed by a company person with signing authority. The disclosure and declaration shall list all identified smelters/refiners, including changes in status.

Acceptable programs shall meet the following criteria:

- a) Be independently verified as fully aligned with the OECD *Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas*³¹ (and subsequent revisions), inclusive of its standard, governance, and implementation processes. The OECD Secretariat identifies programs found conformant with the OECD *Due Diligence Guidance Alignment Assessment Methodology*.⁶²
- b) Allow for multi-stakeholder participation (i.e., more than one type of organization).
- c) Increase the supply of responsibly sourced minerals (e.g., one or more 3TG minerals) which includes reducing human rights abuses associated with mineral extraction in conflict affected and high risk areas.
- d) Have a system of oversight and public reporting.
- e) Have a validation and/or certification mechanism that utilizes qualified independent third-party auditors.
- f) Have an audit quality assurance process that:
 - i. assesses the accuracy of the information provided for each covered smelter/refiner in scope of this criterion,
 - ii. identifies gaps in their due diligence process, and
 - iii. takes actions to address inaccurate information and identified gaps; and
- g) Does not allow for donation, participation, or activities by a manufacturer’s foundation to meet

⁶² OECD Alignment Assessment Tool: <http://mneguidelines.oecd.org/industry-initiatives-alignment-assessment.htm>; OECD Alignment assessment of industry programmes with the OECD minerals guidance: <https://mneguidelines.oecd.org/industry-initiatives-alignment-assessment-minerals.htm>

requirements.

Manufacturers of imaging equipment products shall meet the requirements of this criterion within 1 year of initial product registration.

Verification requirements:

This criterion is verified at the product category level.

- a) URL(s) of public disclosure in accordance with *Criterion 7.3.1 Required – Public disclosure of due diligence processes for conflict minerals (3TG) in products* and/or a declaration is separately available on the manufacturer’s website, that lists all identified smelters/refiners, including changes in status.
- b) For each smelter/refiner identified in verification element a):
 - i. evidence that criterion requirement 1 is met, such as a supplier declaration of conformity, and/or
 - ii. evidence that criterion requirement 2 is met, i.e., identification of the in-region responsible mineral validated chain-of-custody sourcing program(s) utilized for each mineral at each smelter/refiner that aligns with the provisions for acceptable programs identified in this criterion, for at least the most recent reporting year, or
 - iii. indication that the smelter/refiner does not meet criterion requirement 1 or 2.
- c) The calculation demonstrating that at least 65% of smelters/refiners by number meet criterion requirement 1 and/or 2.
- d) Evidence that responsible mineral sourcing programs that are used to validate the due diligence practices of in-scope smelters and refiners meet the requirements for acceptable programs identified in this criterion.

References and details:

- a) For this criterion, “recycled or scrap sources” are defined as recycled metals that have been reclaimed from end-user or post-consumer products, or scrap processed metals created during product manufacturing. Recycled metal includes excess, obsolete, defective, and scrap metal materials which contain refined or processed metals that are appropriate to recycle in the production of tin, tantalum, tungsten and/or gold. Minerals partially processed, unprocessed, or a byproduct from another ore are not recycled metals.
- b) Currently identified programs that meet the requirements of this criterion include the Responsible Minerals Initiative (RMI),⁶³ Responsible Jewelry Council (RJC),⁶⁴ and London Bullion Market

⁶³ <https://www.responsiblemineralsinitiative.org/>

⁶⁴ <https://www.responsiblejewellery.com/our-story/>

Association (LBMA).^{65,66} In the future other programs may be added to this list.

7.3.4 Optional – Sourcing 3TG and cobalt minerals from responsible smelters/refiners validated by approved programs

Manufacturer shall demonstrate, in accordance with Table 7.3.4, that at least 90% of the total number of smelters/refiners (inclusive of active or in-process smelters/refiners) from which they source one or more 3TG minerals and/or that at least 75% of the total number of smelters/refiners from which they source cobalt minerals, that are necessary to the functionality or production of registered products meet one or both of the following requirements:

1. Smelters/refiners process only materials from recycled or scrap sources; and/or
2. Smelters/refiners participate in a validated responsible mineral sourcing program(s) that aligns with the provisions for acceptable programs as defined below for at least the manufacturer's most recent reporting year.

The manufacturer may include active or in-process smelters/refiners in the percent conformance calculation for this criterion. "Active or in-process" means smelters and refiners that have committed to undergo an assessment by an approved program, have completed the relevant documents, and scheduled an on-site assessment to occur within the manufacturer's reporting year, that meets the requirements of this criterion.

The list of smelters/refiners used to conform to this criterion shall be reported annually, either in the public disclosure made by the manufacturer in accordance with *Criterion 7.3.1 Required – Public disclosure of due diligence processes for conflict minerals (3TG) in products* and/or *Criterion 7.3.2 Optional – Public disclosure of due diligence processes for cobalt in products* and/or separately on the manufacturer's website.

A change in status from conformant to non-conformant occurs when a smelter/refiner is removed from the approved program's list. Removal of a participating validated smelter/refiner constitutes a change in status that could impact the conformance calculations. Such changes are to be disclosed in the manufacturer's next annual report as required by *Criterion 7.3.1 Required – Public disclosure of due diligence processes for conflict minerals (3TG) in products*. In the absence of publication of an annual report, manufacturer shall publish a signed declaration on their website within 12 months. The declaration shall be signed by a company person with signing authority. The disclosure and declaration shall list all identified smelters/refiners, including changes in status.

Acceptable programs shall meet the following criteria:

- a) Independently verified as fully aligned with the OECD *Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas*³¹ (and subsequent revisions), inclusive of its standard, governance, and implementation processes. The OECD Secretariat identifies

⁶⁵ <https://www.lbma.org.uk/prices-and-data/london-vault-holdings-data>

⁶⁶ OECD assessed programs: <http://mneguidelines.oecd.org/industry-initiatives-alignment-assessment-minerals.htm>

programs found conformant with the *OECD Due Diligence Guidance Alignment Assessment Methodology*.⁶²

- b) Allow for multi-stakeholder participation (i.e., more than one type of organization).
- c) Increase the supply of responsibly sourced minerals (3TG and cobalt minerals) which includes reducing human rights abuses associated with mineral extraction in conflict affected and high-risk areas.
- d) Have a system of oversight and public reporting.
- e) Have a validation and/or certification mechanism that utilizes qualified independent third-party auditors.
- f) Have an audit quality assurance process that:
 - i. Assesses the accuracy of the information provided for each covered smelter/refiner in scope of this criterion,
 - ii. Identifies gaps in their due diligence process, and
 - iii. Takes actions to address inaccurate information and identified gaps.
- g) Not allow for donation, participation or activities by a manufacturer’s foundation to meet requirements.

Manufacturers of imaging equipment products may identify this criterion as Not Applicable for 1 year from the time of initial product registration.

Table 7.3.4 – Points value by percentage and type of mineral smelters/ refiners

Minimum percentage of smelters/refiners	Points
90% of the total number of 3TG smelters/refiners	1
75% of the total number of cobalt smelters/refiners (crude and fine)	1

Point value: 1-2 points (maximum of 2 points)

Verification requirements:

This criterion is verified at the product category level.

- a) URL(s) of public disclosure in accordance with criterion 7.3.1 and/or criterion 7.3.2 as applicable and/or is separately available on the manufacturer’s website, that lists all identified smelters/refiners, including changes in status.
- b) For each smelter/refiner identified in verification element a):
 - i. Evidence that criterion requirement 1 is met, such as a supplier declaration of conformity; and/or

- ii. Evidence that criterion requirement 2 is met, i.e., identification of the in-region responsible mineral validated chain-of-custody sourcing program(s) utilized for each mineral at each smelter/refiner that aligns with the provisions for acceptable programs identified in this criterion, for at least the most recent reporting year; or
 - iii. Indication that it doesn't meet criterion requirement 1 or 2.
- c) The calculation demonstrating that at least 90% of 3TG smelters/refiners and/or 75% of cobalt smelters/refiners by number meet criterion requirement 1 and/or 2.
 - d) Evidence that responsible mineral sourcing programs validating the due diligence practices of in scope smelters and refiners meet the requirements for acceptable programs identified in this criterion.

References and details:

- a) For this criterion, "recycled or scrap sources" are defined as recycled metals that are reclaimed from end-user or post-consumer products, or scrap processed metals created during product manufacturing. Recycled metal includes excess, obsolete, defective, and scrap metal materials which contain refined or processed metals that are appropriate to recycle in the production of tin, tantalum, tungsten and/or gold. Minerals partially processed, unprocessed or a byproduct from another ore are not recycled metals.
- b) Currently identified programs that meet the requirements of this criterion include the RMI,⁶³ RJC,⁶⁴ and LBMA.^{65,66} In the future other programs may be added to this list.

Annex A (Informative): Table of criteria and optional points for Section 7.0 Responsible Supply Chains

Subtopic	Criterion	Optional Points
7.1 Labor Rights and Occupational Health and Safety Performance in the Electronics Supply Chain	7.1.1 Required – Manufacturer commitment and performance audits for labor and occupational health and safety	N/A
	7.1.2 Required – Supplier code of conduct requirements for labor and occupational health and safety	N/A
	7.1.3 Required – Social responsibility performance audits of high-risk suppliers	N/A
	7.1.4 Optional – Improving supply chain quality and transparency	1-2
	7.1.5 Optional - Suppliers details for worker engagement	1
	7.1.6 Optional – Living wage assessment and gap closure plan	1-2
	7.1.7 Required – Manufacturer and outsourced supplier (final assembly) OHS management system	N/A
7.2 Environmental Management Systems	7.2.1 Required – Manufacturer certified environmental management system	N/A
	7.2.2 Required – Outsourced final assembler certified environmental management system	N/A
7.3 Responsible Mineral Sourcing	7.3.1 Required – Public disclosure of due diligence processes for conflict minerals (3TG) in products	N/A
	7.3.2 Optional – Public disclosure of due diligence processes for cobalt in products	1
	7.3.3 Required – Sourcing 3TG minerals from responsible smelters/refiners validated by approved programs	N/A
	7.3.4 Optional - Sourcing 3TG and cobalt minerals from responsible smelters/refiners validated by approved programs	1-2

Annex B (Normative): Labor Rights and Occupational Health and Safety Requirements

For the purposes of this annex, “labor rights” and “occupational health and safety” include the following:

1. ILO Fundamental Principles and Rights at Work

These principles and rights are identified in the ILO *Declaration on Fundamental Principles and Rights at Work*,¹¹ and defined in the following Conventions:

- *A Safe and Healthy Work Environment* (C155¹⁹ and C187²¹)
- *Child labor and the worst forms of child labor* (C138¹⁷ and C182²⁴)
- *Discrimination (employment and occupation)* (C111¹²)
- *Equal Remuneration Convention* (C100¹³)
- *Forced labor* (C029¹⁵ and C105⁹)
- *Freedom of association and collective bargaining* (C087¹⁶ and C098²²)

For the purposes of these requirements, “labor rights” also includes the principles and rights defined in the ILO C190.²³

2. Occupational Health and Safety (OHS)

The OHS principles are defined in the following ILO Conventions, which were added to the ILO Declaration as fundamental to a Safe and Healthy Work Environment (added by Amendment in 2022):

- *Occupational Safety and Health Convention, 1981* (C155¹⁹) and *Recommendation, 1981* (R164²⁰)
- *Promotional Framework for Occupational Safety and Health Convention, 2006* (C187²¹)

The requirements of this annex also include the OHS due diligence principles found in the management system major categories of ISO 45001:²⁸

- OHS management system describing context of the organization,
- Leadership and worker participation including OHS Policy, Roles, Responsibilities, Accountabilities and Authorities,
- Risk and hazard identification and assessment and determination of applicable OHS legal requirements and other OHS requirements and risks, including related actions and objectives to address them,
- Provision of resources competence and awareness; information and communication and documented information,
- Operational planning and control including operational controls that apply to outsourcing, procurement and contractors, emergency preparedness and response and change management,
- Performance evaluation including internal audits, monitoring and measurement, analysis and evaluation and management review, and

- Incidents, nonconformities and corrective action, continual improvement of objectives and processes.

Additional (non-mandatory) guidance may be found in ILO Technical Conventions, as relevant, including the following:

- *Asbestos Convention, 1986 (C162⁶⁷) and Recommendation, 1986 (R172⁶⁸)*
- *Chemicals Convention, 1990 (C170⁶⁹) and Recommendation, 1990 (R177⁷⁰)*
- *Code of Practice: Prevention of Major Industrial Accidents⁷¹*
- *Code of Practice: Safety in the use of chemicals at work⁷²*
- *Prevention of Major Industrial Accidents Convention, 1993 (C174⁷³) and Recommendation, 1993 (R181⁷⁴)*
- *Radiation Protection Convention, 1960 (C115⁷⁵)*
- *Working Environment (Air Pollution, Noise and Vibration) Convention, 1977 (C148⁷⁶) and Recommendation, 1977 (R156⁷⁷)*

3. Minimum Wage, Working Hours, Overtime and Employment Contracts

“Labor Rights” also includes the following areas regulated by domestic law in the applicable legal jurisdiction and/or by the international standards identified below at the highest level required:

- minimum wages (ILO C131¹⁸)
- standard working hours (60-hour maximum workweek or local laws, whichever is less)
- overtime compensation, and
- employment contractual relationships

⁶⁷ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:312307:NO

⁶⁸ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:312510:NO

⁶⁹ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:312315:NO

⁷⁰ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:312515:NO

⁷¹ <https://www.ilo.org/resource/prevention-major-industrial-accidents>

⁷² <https://webapps.ilo.org/static/english/protection/safework/cis/products/safetytm/chemcode/codetoc.htm>

⁷³ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:312319:NO

⁷⁴ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:312519:NO

⁷⁵ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO:12100:P12100_INSTRUMENT_ID:312260:NO

⁷⁶ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:12100:0::NO::P12100_INSTRUMENT_ID:312293

⁷⁷ https://normlex.ilo.org/dyn/nrmlx_en/f?p=NORMLEXPUB:55:0::NO::P55_TYPE,P55_LANG,P55_DOCUMENT,P55_NODE:REC,en,R156,/Document

4. Prohibition of Trafficking in Persons

“Labor Rights” further includes the prohibition of trafficking in persons as defined in the UN *Protocol to Prevent, Suppress and Punish Trafficking in Persons Especially Women and Children*,⁴⁰ supplementing the United Nations Convention against Transnational Organized Crime.

Annex C (Normative): Factors to determine prioritized manufacturer and/or supplier facilities

The following risk categories, at minimum, shall be considered in the risk assessment process to identify prioritized facilities:

1. Geographic-specific risk — Conditions in a particular location which may make sector risks more likely
 - a) For labor, geographic consideration of risk may include location in a country whose:
 - i. government does not fully comply with the minimum standards for the elimination of trafficking of the Victims of Trafficking and Violence Protection Act of 2000 (TVPA),^{44,78} as identified as Tier 2 Watch List or Tier 3 countries in the U.S. Department of State Trafficking in Persons (TIP) Report.⁴³
 - ii. policies (e.g., laws, government, enforcement) or geopolitical conditions reinforce corruption, or repression of either freedom of association or cultural groups, by government and/or society.⁷⁹
2. Product and sector-specific risk — Risks prevalent within a product’s sector globally as demonstrated by:
 - a) For labor,
 - i. facilities that use flexible labor or non-standard employment arrangements or migrant workers, third-party agencies to meet production targets, and/or restrict access to auditors or employee representation by worker organizations.
 - ii. facilities that have received (1) a written claim, complaint or grievance of one or more Labor Rights reflected in Annex B that has been submitted to the authorized decision making body and has not been formally dismissed;⁸⁰ or (2) an assertion regarding one or more of the Labor Rights reflected in Annex B, by workers or other advocates to an international organization such as the ILO or a OECD National Contact Point that has not been demonstrably resolved; or (3) most severe nonconformance in the audit protocol being used resulting from an audit, as available, from a stakeholder (regulators, client, parent company,

⁷⁸ TVPA defines “severe forms of trafficking in persons” as: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery. Section 108 of the TVPA details the Minimum Standards for the Elimination of Trafficking. Available at: <https://www.govinfo.gov/content/pkg/PLAW-106publ386/pdf/PLAW-106publ386.pdf>

⁷⁹ See, for instance, OECD.Stat statistical databases on labor (<https://stats.oecd.org/#>).

⁸⁰ Applicable authorities include a governmental authority responsible for enforcement of labor standards such as a country’s Ministry of Labor, an international organization such as the ILO, or an agency supporting the grievance mechanism of a multilateral instrument such as a National Contact Point for the OECD Guidelines for Multinational Enterprises

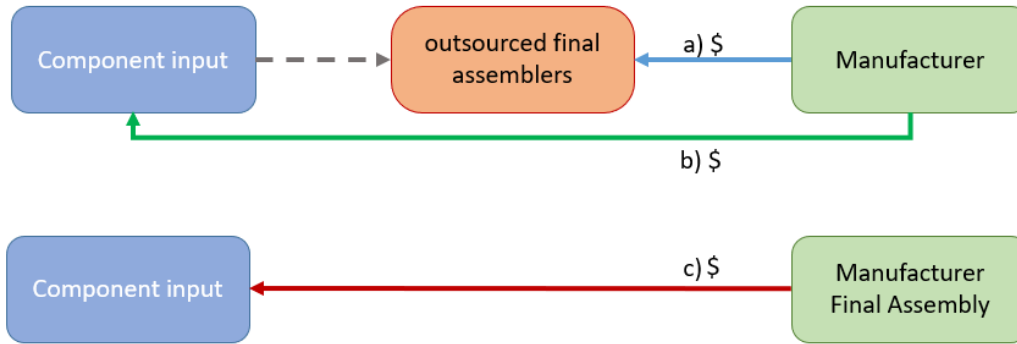
- association, NGO) that has not been remediated.
- b) For OHS,
 - i. high risk work tasks based on dangerous conditions, excessive working hours (i.e., over 60 hours total weekly)
 - ii. facilities that have received (1) a formal filing alleging a significant legal or contractual violation of OHS related laws or regulations reflected in Annex B that has not been formally dismissed; or (2) most severe non-conformance in the audit protocol being used, whether an internal or external stakeholder audit (client, parent company, association, regulatory or compliance audit) that has not been remediated.
 - c) For labor and OHS, public media story(ies), assertions or allegation(s) made to a brand, investor or international organization in the past year that assert a major nonconformity has occurred based on viable evidence that has not been withdrawn, disproven or evaluated and dismissed.⁸¹
3. Enterprise-specific risk, where applicable – risks associated with specific enterprise such as poor corporate governance, and poor history of conduct in respecting human rights, labor rights, anti-corruption standards. Factors considered may include:
- a) Lack of existence of worker organization or union as self-reported by the factory.
 - b) Information that includes assertions or allegations pertaining to facilities' failure to meet the provisions in Annex B from internal or external worker-lead or focused groups (e.g., NGOs, joint safety committees), organizations representing workers' interest, including worker organizations established consistent with ILO C087¹⁶ and C098,²² representative unions in instances where a union is present, public oversight watchdogs, and regulatory bodies.
 - c) Prior audit performance and available lists/reports of prior grievances.
 - d) Ties to entities manufacturing products made in part or whole with forced labor as identified on internationally respected global lists developed by national and/or regional governments, or withholding of goods not released by customs based on affirmation of a labor related violation.
 - i. Goods with a withhold release order issued by U.S. Customs and Border Protection⁸² or listed on the Bureau of International Labor Affairs (ILAB) List of Goods Produced by Child Labor or Forced Labor.
4. Supplier characteristics /materiality risk - supplier characteristics relevant to the significance or importance of the supplier either overall or to the manufacturer. Factors may include:
- a) size of the supplier (e.g., large enterprise or small and mid-size enterprise)
 - b) size of supplier workforce
 - c) percentage of manufacturer spend paid to the supplier

⁸¹ Public media stories or allegations can be formally dismissed by a manufacturer's investigation or a third-party.

⁸² <https://www.cbp.gov/trade/forced-labor/withhold-release-orders-and-findings>

- d) single source supplier
- e) type of product.

Annex D (Informative): Elements of production spend



Production spend includes:

- a. total annual spend by the manufacturer on production for EPEAT registered products, inclusive of spend on outsourced final assemblers, and
- b. total annual spend by the manufacturer on components of EPEAT registered products that are directly sourced by the manufacturer and provided to outsourced final assemblers, and
- c. total annual direct spend by the manufacturer on components of EPEAT registered products that are used by the manufacturer in final assembly

Annex E (Informative): Bibliography

The following references are provided as informative references for the application of this document.

*Anker Methodology for Estimating a Living Wage*⁵⁸

Electronics Watch, *2021 Annual Report*⁵⁷

Elevate, *Worker Sentiment Survey*⁸³

*Global Living Wage*⁶⁰

ILO, *Asbestos Convention, 1986 (C162⁶⁷) and Recommendation, 1986 (R172⁶⁸)*

ILO, *Chemicals Convention, 1990 (C170⁶⁹) and Recommendation, 1990 (R177⁷⁰)*

ILO, *Code of Practice: Prevention of Major Industrial Accidents*⁷¹

ILO, *Code of Practice: Safety in the use of chemicals at work*⁷²

ILO, *Prevention of Major Industrial Accidents Convention, 1993 (C174⁷³) and Recommendation, 1993 (R181⁷⁴)*

ILO, *Radiation Protection Convention, 1960 (C115⁷⁵)*

ILO, *Working Environment (Air Pollution, Noise and Vibration) Convention (C148⁷⁶) and Recommendation (R156⁷⁷)*

London Bullion Market Association (LBMA)⁶⁵

Organisation for Economic Co-operation and Development OECD.Stat⁷⁹

RBA Risk Assessment Platform⁵¹

RBA SAQ⁵²

RBA Worker Voice Platform⁸⁴

Responsible Jewelry Council (RJC)⁶⁴

Responsible Minerals Initiative (RMI)⁶³

Wage Indicator Global Living Wage⁵⁹

The World Bank Business Enabling Environment⁸⁵

⁸³ <https://www.business-humanrights.org/en/companies/elevate/>

⁸⁴ <https://www.responsiblebusiness.org/news/worker-voice/>

⁸⁵ https://www.worldbank.org/content/dam/doingBusiness/pdf/BEE%20Concept%20Note_December%202022.pdf

Document Change History

Issue	Revision	Author	Description of Change	Approver	Approval Date	Effective Date
1	0	Vice President, Category and Criteria Development	Initial release	CEO	February 19, 2025	February 20, 2025