Legal Disclaimer
Note that The Copper Mark is bound by its Anti-Trust Compliance Policy in dealing with commercially sensitive information. These policies are available on the Copper Mark website at [web site link when available]. Nothing in this document should be read to encourage violating those policies or national or international legislation.

Table of Contents

1 Introduction .................................................................................................................. 3
2 Objectives .................................................................................................................... 3
3 Core Elements ............................................................................................................. 4
4 Related Documents ..................................................................................................... 4
5 Scope ............................................................................................................................ 5
  5.1 Geographic scope ..................................................................................................... 5
  5.2 Sites in scope ........................................................................................................... 5
    5.2.1 Sites that are eligible for an assessment against the Copper Mark Criteria ........... 5
    5.2.2 Sites that are not eligible for an assessment against the Copper Mark Criteria ....... 6
  5.3 Materials in scope ................................................................................................... 6
6 Chain of Custody Models ............................................................................................. 6
  6.1 Separation model .................................................................................................... 7
  6.2 Mass balance model ............................................................................................... 7
7 Conformance Requirements ......................................................................................... 8
  7.1 Management systems for Material Control ............................................................. 8
    7.1.1 Leadership ....................................................................................................... 8
    7.1.2 Organisational Roles, Responsibilities, and Accountabilities ......................... 8
    7.1.3 Resources Management ................................................................................ 9
    7.1.4 Performance Evaluation and Improvement .................................................... 9
    7.1.5 Process to Address Complaints, Gaps, Mistakes, and Inconsistencies .......... 9
  7.2 Eligible Copper ....................................................................................................... 10
    7.2.1 Primary Copper ............................................................................................. 11
    7.2.2 Secondary Copper ......................................................................................... 11
1 Introduction

A chain of custody (CoC) is a system of control and transparency, specifically, the documented record of the sequence of companies and individuals that have custody of materials as they move through a supply chain. CoC systems can provide an important point of differentiation and confidence in the responsible production claims of a product for customers, end-users, and other stakeholders when well-defined and validated.

The Copper Mark CoC Standard (CoC Standard) sets the rules for the system as well as the evidence required to demonstrate conformance to those rules. Conformance to the CoC Standard is validated through the implementation of the Copper Mark Assurance Process. The Assurance Process allows sites conformant with the Copper Mark’s CoC Standard at different points in the supply chain to make product-level claims related to “Copper Mark copper” in accordance with the Copper Mark Claims Guide.

The CoC Standard complements the Copper Mark Responsible Production Criteria, against which copper producers are independently assured as having responsible production practices. Its implementation is voluntary for Copper Mark participants.

The CoC Standard is based on the Copper Mark principles of

- Inclusiveness
- Collaboration
- Continuous Improvement
- Progressiveness
- Pragmatism

2 Objectives

The CoC Standard’s core objectives are to:

- Increase transparency in copper supply chains.
- Allow customers to be confident that their copper was produced responsibly.
- To track eligible copper product as it moves between responsible copper producers and processors.
- Contribute to the uptake of responsible production practices and in particular use of the Copper Mark Responsible Production Criteria (Copper Mark Criteria) and Assessment Process.
- Contribute to the increased use of recycled material and support efforts to move to a circular economy.
- Allow product-level claims of Copper Mark copper
3 Core Elements

The CoC Standard incorporates the following core elements:

- **Applicable along the supply chain:** The CoC Standard is available to the full supply chain, from mines to end products, including pre-consumer copper.

  *Figure 1: Simplified copper supply chain*

- **Built on responsible production:** *sites* that are in scope of the Copper Mark Assurance Framework shall demonstrate conformance with the *Copper Mark Responsible Production Criteria (the Copper Mark Criteria)* to be eligible for an assessment against the CoC Standard.

- **Focused on copper products:** Users are able to make product-level claims regarding the content of “*Copper Mark copper*” in their product. All copper-containing products are included in the scope of the CoC Standard.

- **Allows separation and mass balance systems:** Users are able to choose between applying a separation system or a mass balance system at site level.

- **Inclusive of responsibly sourced scrap:** Users are able to make “*Copper Mark copper*” claims for *secondary material* subject to having conducted due diligence on *secondary material* supply chains in accordance with the Copper Mark Criteria.

- **Voluntary:** Implementation of the CoC Standard is voluntary.

- **Independently verifiable:** The CoC Standard defines independently verifiable assessment criteria for actors in the copper supply chain to implement separation or mass balance chain of custody systems.

4 Related Documents

The CoC Standard shall be read in conjunction with the following Copper Mark documents:
• Copper Mark Assurance Process
• Copper Mark Claims Guide
• Copper Mark Criteria for Responsible Production
• Copper Mark Criteria Guide
• Copper Mark Recognition Process
• Joint Due Diligence Standard for Copper, Lead, Nickel and Zinc
• RRA-Copper Mark Equivalency Matrix

5 Scope

5.1 Geographic scope
The CoC Standard has a global scope.

5.2 Sites in scope
The CoC standard is implemented and assessed at site-level. The scope includes all operations that the site uses to process, store, handle, ship and receive Copper Mark copper.

The CoC Standard applies to any site in the copper value chain that directly purchases Copper Mark copper or that purchases a product that contains Copper Mark copper and wish to make assurance claims.

Different requirements apply to:
• Sites that are eligible for an assessment against the Copper Mark Criteria.
• Sites that are not eligible for an assessment against the Copper Mark Criteria.

5.2.1 Sites that are eligible for an assessment against the Copper Mark Criteria
An assessment against the Copper Mark Criteria is available to sites up to and including the point where a product made from copper or copper alloys is given a special shape, surface or design which determines its function to a greater degree than its chemical composition, and down to but not including the point where a complex object is manufactured. For avoidance of doubt, these are:

1. A copper producer, defined as the site of a company that is involved in the production of copper, including but not limited to companies involved in mining, solvent extraction, and electrowinning (SX/EW), smelting, or refining of copper

2. A site where copper and copper alloy materials are processed, treated, mixed, formulated, handled, and otherwise manipulated.
These are generally referred to as mines, smelters, refiners, recyclers or fabricators, but may also include traders or other supply chain actors.

5.2.2 Sites that are not eligible for an assessment against the Copper Mark Criteria

Sites that purchase Copper Mark copper or a product that contains Copper Mark copper for use in a complex object but do not manipulate or chemically alter the copper itself are not eligible nor required to undergo an assessment against the Copper Mark Criteria.

These are generally referred to as manufacturers or end users but may also include traders.

**Chart 1: Eligibility for Copper Mark assessments**

<table>
<thead>
<tr>
<th></th>
<th>Mine</th>
<th>Smelter</th>
<th>Trader</th>
<th>Refiner</th>
<th>Fabricator</th>
<th>Manufacturer</th>
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A chart showing applicable sections of the CoC Standard per supply chain actor is available in Annex I.

5.3 Materials in scope

The CoC Standard covers all copper-containing materials received, held, and/or processed during the assessment period. For avoidance of doubt, this includes copper ore, concentrate, anodes, cathodes, scrap, alloys, intermediate products, and finished copper products.

For products that contain copper (i.e., complex objects), any claims are limited to the copper in the product, not the product itself.

Sites might produce other metals as well as copper. However, because the CoC Standard’s primary objective is to link responsible copper producers with responsible copper products, the material in scope is limited to copper.

6 Chain of Custody Models
Sites may use one of two models:

6.1 Separation model

*Copper Mark copper* is separated from non-*Copper Mark copper* through each stage of the supply chain, including within the *site*, allowing assurance that the copper originates from *sites* that have received The Copper Mark, though it may not be possible to identify which molecules came from which *sites*. A *site* cannot decide to apply or represent itself or its products as being tracked through the separation model after receiving *Copper Mark copper* produced using a mass balance model.

*Figure 2: Separation model*

6.2 Mass balance model

*Copper Mark copper* is physically separated from non-*Copper Mark copper* until a processing stage when the *Copper Mark copper* is allowed to be mixed with non-*Copper Mark copper*. In this instance, proportions of *Copper Mark copper* and non-*Copper Mark copper* at the overall *site* level are recorded and reconciled within the *material accounting period*.  

*Figure 3: Mass balance model*

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1 Adapted from the [ISEAL Chain of Custody models and definitions](https://www.isealcoalition.org/chapter/chain-of-custody-models-and-definitions/) for segregation and *site*-level mass balance.

2 This standard does not allow for products to have a “partial *Copper Mark copper*” claim. The output quantity is designated as all *Copper Mark copper* using the certified source content claims model.
The site shall notify the Copper Mark of which model they are using.

7 Conformance Requirements

7.1 Management systems for Material Control

The site shall have a CoC management system that is appropriate to the size and complexity of its operations.

Elements of the management system may be integrated into existing management systems such as sourcing, sales, legal, and internal controls.

At a minimum, the management system shall include the following elements.

7.1.1 Leadership

The site’s senior management shall commit to the effectiveness of the management system by:

- Understanding the requirements under the Copper Mark criteria.
- Assuming accountability for its implementation and maintenance and the achievement of intended results.
- Ensuring its requirements are integrated into the site’s business processes.
- Allocating resources for building and maintaining internal capacity to implement the management system.
- Ensuring continual improvement of the management system.

7.1.2 Organisational Roles, Responsibilities, and Accountabilities

The site shall assign the responsibility and accountability to a member of its senior management with the necessary competence, knowledge, and experience to:

- Oversee the management system.
- Make decisions for its implementation.
• Regularly review the effectiveness and the performance of the management system and take necessary action to address gaps and deficiencies and pursue improvements opportunities.

7.1.3 Resources Management

The site shall:

• Determine and provide the resources needed to support the implementation, maintenance, and continual improvement of the management system, considering site size, location, and circumstances.

• Define the competences needed to manage and implement the management system and ensure that the staff managing and implementing the management system has these competences, on the basis of education, training and/or experience.

• Provide sufficient training on the management system and process to relevant employees and maintain training records.

7.1.4 Performance Evaluation and Improvement

The site shall evaluate the effectiveness of the management system at pre-determined intervals and determine:

• The scope of the evaluation.

• The methodology of the evaluation.

• The timing of the evaluation.

• The site shall use the results from the evaluation to plan for continuous improvement of the management system.

7.1.5 Process to Address Complaints, Gaps, Mistakes, and Inconsistencies

The site shall design and implement a process to identify, investigate and correct complaints, gaps, mistakes, and inconsistencies related to the production, transfer, receipt, or other handling of Copper Mark copper. The process shall include gaps, mistakes or inconsistencies made by the site as well as any complaints, gaps, mistakes, and inconsistencies brought forth by customers or suppliers.

This process shall include direction for the site to:

• Investigate any complaints or concerns about gaps, mistakes or inconsistencies identified or received to determine the root-cause.

• Develop an improvement plan to avoid future gaps, mistakes, or inconsistencies when these were caused by the site and assist customers or suppliers in
developing an improvement plan when the gaps, mistakes or inconsistencies were caused by the customer or supplier.

- Determine and implement an appropriate way to address the mistake or inconsistency.
- Notify the customer / supplier (respectively) and the Copper Mark without delay, to ensure a check of effectiveness of the implemented action.

**Mistakes or inconsistencies concerning Copper Mark copper received: Site to**

- Notify the supplier and the Copper Mark without delay.
- Agree on steps to address the gap, mistake, or inconsistency either by:
  - Returning the *materials*
  - Retaining the *materials* but removing the *Copper Mark copper* status (i.e., no further transfer records may be issued)
  - Retaining the *materials* and a corrected *CoC transfer record*
- Document the gap, mistake or inconsistency and the steps taken to address it.

**Mistakes or inconsistencies concerning Copper Mark copper sent: Site to**

- Notify the buyer and the Copper Mark without delay
- Agree on steps to address the gap, mistake, or inconsistency, either by
  - Accepting returned *Copper Mark copper*
  - Agreeing to remove the *Copper Mark copper* status (i.e., no further transfer records may be issued)
  - Providing a corrected *CoC transfer record*
- Investigate the root cause of the gap, mistake or inconsistency
- Develop and implement corrective action to avoid future mistakes or inconsistencies
- Document the mistake or inconsistency and the steps taken to address it.

A *site* shall monitor their systems on an ongoing basis as well as through a documented formal review at a frequency appropriate for the *site*.

### 7.2 Eligible Copper

The site shall determine, record and confirm the type (i.e. whether it is primary or secondary) for each material received.
7.2.1 Primary Copper

For primary material to be eligible to be Copper Mark copper, all the following criteria must be met:

- The type of primary material is identified and recorded;
- The point of origin of the primary material is identified and recorded;
- The point of origin meets one of the following criteria at the time when the copper is produced:
  - The point of origin is a recipient of the Copper Mark
  - The point of origin is a recipient of the Copper Mark that are in the process of re-assessment
  - The point of origin is certified by a fully equivalent system (an up-to-date list of equivalent systems is available here.)

A site may combine an assessment against the Copper Mark Criteria and the CoC Standard, however they may not make CoC Standard-related claims until they receive the Copper Mark.

7.2.2 Secondary Copper

For secondary material to be eligible as Copper Mark copper, all of the following criteria must be met:

- The site shall collect and retain information to demonstrate that the material is secondary.
- For each immediate and other known supplier, the site shall collect and retain information to determine the identity, nature and legality of the suppliers' business operations and review such information against relevant national and international sanctions lists. Such information may be collected through the company's existing KYC process and should be collected in line with the Financial Action Task Force (FATF) recommendations in relation to criminal liability and sanctions violations. The site is responsible for collecting such information when entering into a business relationship with a supplier and for updating such information and monitoring changes throughout the business relationship.

7.3 Material accounting system

The site shall have a Material accounting system designed to maintain controls of the Copper Mark copper from the time it enters the site until the time the final product leaves the site.
The *Material accounting system* shall include the following elements.

### 7.3.1 Record Incoming Material

For all incoming material, record the following information:

- Date material is received.
- The name and address of the supplier.
- Type of material (primary or secondary).
- Description of material (e.g., concentrate, cathode, anode, circuit board, shavings, wire, sludge, alloy, etc.).
- For simple objects, weight and percent of copper content
- For complex objects, mass of copper for copper content
- Unique identification number of the material to be used in the production process.

Where *Copper Mark copper* is received, the *site* must record the following additional data points:

- *CoC transfer record* reference number, issued by the supplier. For *Copper Mark copper* processed using the separation model, this number should not change throughout the supply chain.
- Unique identification number of the supplier issued by the Copper Mark.
- The weight of the *Copper Mark copper* content.
- The applicable CoC model applied to the production of the copper (separation or mass balance).

### 7.3.2 Review CoC Transfer Records

If incoming material is *Copper Mark copper*, it must be accompanied by a valid *CoC transfer record* (see Section 7.4). The *site* must confirm that the material received matches the information provided on the *CoC transfer record*. Materials should be secured and separated until all documents are received, reviewed, and validated.

### 7.3.3 Separation Model Only

In the separation model, *Copper Mark copper* shall be kept physically separated from non- *Copper Mark copper* throughout storage and all stages of production.

In cases where there may be mixing of previously processed *materials* (for example, melting, smelting, or refining), the *site* may mix 100% *Copper Mark copper* with other
100% Copper Mark copper. A site cannot apply the separation model after receiving Copper Mark copper produced using a mass balance model.

The site must be able to demonstrate that separation is implemented effectively throughout the production process.

7.3.4 Mass Balance Only

In the mass balance model, the percentage of product that can be claimed as Copper Mark copper is directly determined by the site’s total Copper Mark copper input percentage over the assessment period. The CoC standard does not allow for products to have a “partial Copper Mark copper” claim. The total volume of products claimed to be Copper Mark copper cannot exceed the total volume of Copper Mark copper output. Under the mass balance model, actual Copper Mark copper may or may not be present in the Copper Mark copper products.

To calculate the input percentage, the site input of Copper Mark copper is divided by the sum of input of Copper Mark copper and non-Copper Mark copper, where the unit of measurement for both the numerator and the denominator are the same. As depicted here:

\[
\frac{\text{(Input of Copper Mark copper)}}{\text{(Input of Copper Mark copper)} + \text{(input of non-Copper Mark copper)}}
\]

The resultant number is then multiplied by 100 to get the percentage.

The quantities should be calculated in the appropriate form of measurement, usually mass.

7.3.5 Reconciliation and Losses

The site shall reconcile the total volume of Copper Mark copper input and the total Copper Mark copper output over the material accounting period. The site may define its own material accounting period, which may be no more than 12 months.

The reconciliation shall record the input and output volume and percentage of Copper Mark copper as part of the total copper volume received and sent or sold.

Where there is a positive balance of Copper Mark copper at the end of the material accounting period, it shall be clearly recorded. A positive balance may be carried over to the subsequent material accounting period but will expire at the end of that next period.

The site shall explain and document the reasonable losses from the site's processes. The site shall record and investigate any unreasonable losses in accordance with Section 7.1.5 on addressing complaints, gaps, mistakes, and inconsistencies.
7.4 CoC transfer records

Each time there is a change in custody of the Copper Mark copper, there shall be an updated CoC transfer record, issued by the site that currently has custody of the Copper Mark copper.

Where Copper Mark copper is passed through a site that has custody but does not process the copper, the site shall transmit the CoC transfer record received from the supplier to its customer without making any changes or alterations to that CoC transfer record.

7.4.1 Validity of the CoC transfer record

A CoC transfer record is valid as long as the site that issued it continues to participate in the Copper Mark Assurance Process. This list of participants is updated on the Copper Mark website in real time.

If a site no longer meets the requirements of the Copper Mark standards, the Copper Mark will notify the CoC Standard users.

Copper Mark copper supplied before the change of status of the participant will not be affected and sites along the chain are not expected to retroactively adjust their Material accounting systems accordingly.

Copper Mark copper supplied after change of a status of a participant takes effect is no longer considered to be Copper Mark.

7.4.2 Contents of the CoC transfer record

The CoC transfer record must include, at a minimum, the following information:

- Date of issue of the CoC transfer record.
- CoC transfer record reference number, issued by the site and correlating with the site’s Material accounting system.
- The name and address of the issuing site.
- Unique identification number of the issuing site issued by the Copper Mark.
- The name of the responsible person at the site who can verify information in the CoC transfer record.
- The name and address of the customer.
- Unique identification number of the customer issued by the Copper Mark, where applicable.
- Description of Copper Mark copper (e.g., concentrate, cathode, anode, circuit board, shavings, wire, sludge, alloy, etc.)
• The weight of the *Copper Mark copper*.
• The applicable CoC model applied to the production of the copper (separation or mass balance).
• **For separation only**: all *sites* involved in the production of the subject copper using the separation model.

_Sites_ may include additional information (such as e.g., greenhouse gas emissions) on the CoC transfer record as long as it is clearly indicated that it has not been validated by the Copper Mark.

### 7.4.3 Communicating the CoC transfer record

Each CoC transfer record shall be physically or digitally connected to the *Copper Mark copper* or copper-containing product. A template is provided in Annex II, however *sites* may choose to integrate the required information into their own format.

On an annual basis, the _site_ must report a sampling of CoC transfer records to the Copper Mark. The Copper Mark will conduct a system reconciliation of all CoC transfer records on a regular basis.

### 8 Outsourced contractors

It is common for companies to relinquish physical custody of copper that is owned or controlled by the _site_ for the purpose of another company processing, treating, manufacturing, or otherwise manipulating the copper. When Copper Mark copper is physically held by a company not in the control of the _site_, i.e., activities are contracted, outsourced, or tolled, there is a risk that a link in the physical chain of custody is broken.

When using an outsourced contractor, the _site_ shall retain ownership of all _materials_. If the _site_ does not retain ownership of all _materials_, the copper returned by the outsourced contractor is no longer considered *Copper Mark copper*.

The CoC Standard allows for the outsourcing of *Copper Mark copper* to companies that are not assessed in accordance with the CoC Standard with the following conditions:

- The _site_ reviews the contractor’s processes to understand the potential risks of mixing its *Copper Mark copper* with non-*Copper Mark copper*. For purposes of this section, an outsourced contractor that mixes material is considered “high-risk.”
- The _site’s_ contract with the outsourced contractor requires a continuance of separation or mass balance models as required to support the CoC model used by the _site_.
- The _site_ prohibits outsourced contractors from sub-contracting any activities involving *Copper Mark copper* to any other companies.
• In accordance with the results of the review above, the site requires:
  o For low-risk contractors: records to verify conformance with the contract requirements and requirements of the CoC Standard.
  o For high-risk contractors: third- or second-party site-visit to verify conformance with the contract requirements and requirements of the CoC Standard.

• Any mistakes or inconsistencies result in corrective actions and / or termination of the site’s relationship with the outsourced contractor.

When a site cannot meet the above requirements with their outsourced contractors, the copper returned by the outsourced contractor will no longer be considered Copper Mark copper and shall be recorded and handled accordingly.

The site must maintain a list of all outsourced contractors and records of due diligence for review in an assessment of the CoC Standard.

9 Claims
The Copper Mark allows assured claims by sites that have fulfilled the requirements of the Copper Mark Assurance Process against the Copper Mark standards.

They include text claims and the Copper Mark logo, and their permitted use must adhere to the Copper Mark Claims Guide.

Assurance against the Copper Mark CoC Standard relates to secure and documented transfer of the copper product itself or to the flow of material through the copper supply chain. Assured claims are permitted:

• For sites that are eligible for an assessment against the Copper Mark Criteria: if the site fulfilled the requirements of the Copper Mark Assurance Process against the Copper Mark Criteria and the CoC Standard.

• For sites that are not eligible for an assessment against the Copper Mark Criteria: if the site fulfilled the requirements of the Copper Mark Assurance Process against the CoC Standard.

10 Technology
New technologies to track and trace material through the supply chain are constantly emerging. The Copper Mark believes that technology can play an important role in supporting transparency in global supply chains. The CoC Standard does not require sites to use any technology to meet the conformance requirements. Nevertheless, the Copper Mark recognizes that technology can be a tool to support the objectives and implementation of the CoC Standard.
The Copper Mark continues to monitor developments, particularly related to new technologies such as blockchain. It will regularly review and assess whether and how technologies may be incorporated in the CoC Standard in the future.

11 Glossary

CoC transfer record: The record that accompanies the Copper Mark copper as it is transferred along the supply chain and among outsourced contractors and contains all required information per The CoC Standard.

Copper Mark copper: Eligible copper that either as an input or an output is considered responsibly produced.

Copper Mark standards: The Copper Mark uses the Risk Readiness Assessment (RRA) of the Responsible Minerals Initiative (RMI) as the basis for evaluating Participants’ performance, including the RRA-Copper Mark Criteria Guide of February 2020, and The Joint Due Diligence Standard for Copper, Lead, Nickel and Zinc of February 2021.

Custody: Physical and legal possession of materials.

End user: The final entity that puts copper or copper alloy into consumer-facing products.

Fabricator: A company that processes, treats, mixes, formulates, handles, and otherwise manipulates copper and copper alloys.

Management system: A management system is a set of operational procedures, practices, plans, and related documents that are established to implement policies and fulfilment of tasks required to achieve an objective, including the avoidance and management of adverse issues related to the areas covered by the Criteria, or “aspects” associated with a business’s activities.

For these areas, the steps involved in a management system typically include identification and assessment of issues; setting of objectives, developing action plans, and assigning responsibilities; implementing action plans through establishing procedures, communication, and training; monitoring and tracking progress; and taking action to correct and prevent identified issues. The final step is a review of the aspects and objectives, adjusting the action plans as needed and recording ‘lessons learned’ for future training. Management systems can be integrated and address more than one aspect.

Manufacturer: A company that manufactures products containing copper and is downstream of a fabricator.

Materials: All copper-containing primary, and/or secondary material received, held, sent, and/or processed during the assessment period.

Material accounting period: A defined period of time during which the Copper Mark copper are accounted for and reconciled.
Material accounting system: A system to track and record the total inputs and outputs of copper.

Outsourced contractors: a third party which is undertaking any production, processing or manipulation for or on behalf of the site.

Point of origin: for primary material, the point of origin is the mine.

Primary materials: Mined (copper bearing ore or primary processed material which has never been previously refined), refined, or semi-fabricated copper or copper alloys.

Refiner: For the purpose of this Standard, a company performing a process of purification to produce refined copper, specifically grade A copper cathode.

Secondary material: reclaimed end-user or post-consumer products, or scrap processed material created during product manufacturing. Secondary material includes excess, obsolete, defective, and scrap metal materials which contain refined or processed material that are appropriate to recycle in the production of copper. Minerals partially processed, unprocessed or a by-product from another ore are not secondary materials.

Site: A site is the physical place where operations involved in the mining, refining, or other intermediary steps for copper production, including, but not limited to, mining, solvent extraction and electrowinning (SX/EW), concentration, blending, washing, roasting, smelting, alloying or refining take place. A site may also be a facility where copper and copper alloy materials are processed, treated, mixed, formulated, handled and otherwise manipulated.

A site may comprise several activities in different locations in the same geographic area (e.g., mines, wastewater treatment facilities, refineries, ports and associated infrastructure), and under the same management control. Integrated sites will generally be treated as one site.

Smelter: A company treating minerals or intermediate materials in order to produce metal products for refining. A smelter may treat intermediate material resulting from the processing of either mined material or recycled material.

Trader: A company that buys and sells copper or copper-containing products. A trader may or may not have physical custody of the product at any given time.

12 Resources

The Copper Mark thanks these systems for their support throughout the drafting process. We have used publicly available information from these organizations to inform the CoC Standard.

- Aluminium Stewardship Initiative (ASI)
- Better Cotton Initiative (BCI)
- Forest Stewardship Council (FSC)
- ISEAL Alliance
- Responsible Jewellery Council (RJC)
- RoundTable on Sustainable Palm Oil (RSPO)
Annex I

Applicable sections of the standard by type of supply chain actor.

<table>
<thead>
<tr>
<th>Section</th>
<th>Mine</th>
<th>Smelter</th>
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Annex II

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| Date of issue: | CoC transfer record Reference Number: |

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<td>Separation / Mass balance</td>
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