ISO FORM 4

NEW WORK ITEM PROPOSAL (NP)

DATE OF CIRCULATION:
2023-05-12

CLOSING DATE FOR VOTING:
2023-08-04

PROPOSER:

☒ ISO member body:
DIN

☐ Committee, liaison or other:

REFERENCE NUMBER:

☐ **WITHIN EXISTING COMMITTEE**
Document Number:
Committee Secretariat:

☒ **PROPOSAL FOR A NEW PC**

A proposal for a new work item within the scope of an existing committee shall be submitted to the secretariat of that committee.

A proposal for a new project committee shall be submitted to the Central Secretariat, which will process the proposal in accordance with ISO/IEC Directives, Part 1,Clause 2.3.

Guidelines for proposing and justifying new work items or new fields of technical activity (Project Committee) are given in ISO/IEC Directives, Part 1, Annex C.

IMPORTANT NOTE: Proposals without adequate justification and supporting information risk rejection or referral to the originator.

PROPOSAL
(to be completed by the proposer, following discussion with committee leadership if appropriate)

English title

Sustainable Raw Materials

French title

(Please see ISO/IEC Directives, Part 1, Annex C, Clause C.4.2).
In case of amendment, revision or a new part of an existing document, please include the reference number and current title

SCOPE
(Please see ISO/IEC Directives, Part 1, Annex C, Clause C.4.3)

This document specifies criteria for sustainable raw materials along industry best practices and is intended to be used for mineral-, raw iron- and non-iron-metals. It is applicable to the full value chain of all raw materials, from extraction (mining) to processing, to refining, to final product manufacturing, thereby including the full upstream and downstream value chain. It does not apply to the mine closure and/or mine reclamation stage activities as these stages are not considered integral parts of the value chain.

PURPOSE AND JUSTIFICATION

(Please see ISO/IEC Directives, Part 1, Annex C and additional guidance on justification statements in the brochure Guidance on New Work)

In spite of an increasing regulatory framework for sustainable recovery and processing of raw materials, there are currently no standards available for industry implementation so that industry stakeholders cannot document compliancy of their sustainable mining, processing and refining operations with accepted criteria for sustainable raw materials. A horizontal approach and common guidelines for all raw materials, developed by the proposed ISO/PC, is required to avoid overlaps in the ISO set of standards and to enable wide dissemination and application of the ISO set of standards by industry.

Currently several existing ISO/TCs are starting to work on sustainability aspects separately. Such an uncoordinated approach would lead to the development of conflicting ISO standards with different requirements for different raw materials by these ISO/TCs. ISO/TC 298 and ISO/TC 333 had already acknowledged that working on sustainability matters separately is not purposeful before the proposal for an ISO/PC was first brought up

In 2021, ISO/TMB established a Strategic Advisory Group (SAG) with the mandate to undertake an analysis of existing and potential standardisation work within ISO in the area of critical minerals from the point of initial extraction and processing steps through to pre-cursor materials and make recommendations to the TMB in this regard. Following the initial mandate a second phase of work was agreed which requested the SAG to review tools and standards outside ISO on Environmental Social Governance issues (ESG) specific to Critical Minerals, examine the market need of the suggested activities, and set priorities for future work. This work is due to be presented to the TMB in June 2023.

This proposal shows that there is active deliberation and discussion relating to critical minerals. The outcomes of the consultation of this new work item will be examined in conjunction with the outcomes of the final report being prepared by the Strategic Advisory Group. Frequent exchange between the proposers and the SAG leadership has taken place to ensure that the contents of this proposal are in line with the contents pursued by the SAG.

The standard would aim to provide a framework that can be audited, certified and benchmarked against ESG criteria. It would refer to existing benchmarked standards known to be compliant with regulations.

The standard would also define sustainable raw materials as requested by legally-binding regulations by government and the associated ESG criteria required for testing, auditing, and benchmarking.

PROPOSED PROJECT LEADER (name and email address)

Dr. Michael HASCHKE, Michael.Haschke@dmt-group.com

PROPOSER (including contact information of the proposer's representative)

DIN, Amelie Banhart, amelie.banhart@din.de

☒ **The proposer confirms that this proposal has been drafted in compliance with ISO/IEC Directives, Part 1, Annex C**

PROJECT MANAGEMENT

Preferred document

☒ International Standard
☐ Technical Specification
☐ Publicly Available Specification*

* While a formal NP ballot is not required (no eForm04), the NP form may provide useful information for the committee P-members to consider when deciding to initiate a Publicly Available Specification.

Proposed Standard Development Track (SDT – to be discussed by the proposer with the committee manager or ISO/CS)

☐ 18 months ☐ 24 months ☒ 36 months

Proposed date for first meeting: 2023-07-12

Proposed TARGET dates for key milestones

- Circulation of 1st Working Draft (if any) to experts: 2024-06-03
- Committee Draft consultation (if any): 2025-03-01
- DIS submission*: 2025-12-02
- Publication*: 2026-12-01

* Target Dates for DIS submission and Publication should be set a few weeks ahead of the limit dates automatically determined when selecting the SDT.

It is proposed that this DOCUMENT will be developed by:

☐ An existing Working Group, add title
☐ A new Working Group
(Note that the establishment of a new Working Group requires approval by the parent committee by a resolution)
☐ The TC/SC directly
☐ To be determined
☒ This proposal relates to a new ISO document

☐ This proposal relates to the adoption, as an active project, of an item currently registered as a Preliminary Work Item
☐ This proposal relates to the re-establishment of a cancelled project as an active project
☒ Other: In the ISO/PC directly

Additional guidance on project management is available here.

PREPARATORY WORK

☐ A draft is attached
☐ An existing document serving as the initial basis is attached
☒ An outline is attached
Note: at minimum an outline of the proposed document is required

The proposer is prepared to undertake the preparatory work required:

☒ Yes ☐ No

If a draft is attached to this proposal:

Please select from one of the following options:

☒ The draft document can be registered at Preparatory stage (WD – stage 20.00)
☐ The draft document can be registered at Committee stage (CD – stage 30.00)
☐ The draft document can be registered at enquiry stage (DIS – stage 40.00)

☐ If the attached document is copyrighted or includes copyrighted content, the proposer confirms that copyright permission has been granted for ISO to use this content in compliance with clause 2.13 of ISO/IEC Directives, Part 1 (see also the Declaration on copyright).

RELATION OF THE PROPOSAL TO EXISTING INTERNATIONAL STANDARDS AND ON-GOING STANDARDIZATION WORK

To the best of your knowledge, has this or a similar proposal been submitted to another standards development organization or to another ISO committee?

☐ Yes ☒ No

If Yes, please specify which one(s)

☒ The proposer has checked whether the proposed scope of this new project overlaps with the scope of any existing ISO project

A new ISO/PC would aim to build on existing standards by merging the existing knowledge, uniting it and adding to it such a way that the standard yielded can be applied to all primary and secondary raw materials, including mineral-, raw iron-, non-iron metals and non-agricultural raw materials. There are several committees working on matters concerning various mineral-, raw iron- and non-iron-metals or sustainability of other materials such as secondary materials. The following committees (and their documents) have been thoroughly reviewed and any overlaps or duplications with the proposed ISO/PC scope were ruled out:

- ISO/TC 82/SC 7 *"Mine closure and reclamation management",*
- ISO/TC 207 "*Environmental Management*" (in particular ISO/CD 59014 "*Environmental Management and Circular Economy– Sustainability and traceability of secondary materials re covery– Principles and requirements"),*
- ISO/TC 298 "*Rare Earth*,
- ISO/TC 331 *"Biodiversity"* (in particular ISO/PWI TS 18260 „*Biodiversity and Raw Material: Considering biodiversity protection in the first step of the supply chain. Guidelines on the extraction of abiotic raw material and its impacts on biodiversity"),*
- ISO/TC 333 "*Lithium*" and
- ISO/TMB SAG CRMI "*Strategic Advisory Group on Critical Minerals*".

This proposal has been presented to ISO/TMB SAG CRMI and UNECE and there has been a dedicated meeting with the SAG CRMI Leadership to make sure that the proposal fits seamlessly into the work of the SAG.
ISO/TC 298 and ISO/TC 333 had already acknowledged that working on sustainability matters separately is not purposeful before the proposal for an ISO/PC was first brought up.

☐ If an overlap or the potential for overlap is identified, the proposer and the leaders of the existing project have discussed on:
i. modification/restriction of the scope of the proposal to avoid overlapping,
ii. potential modification/restriction of the scope of the existing project to avoid overlapping.

☐ If agreement with parties responsible for existing project(s) has not been reached, please explain why the proposal should be approved

☐ Has a proposal on this subject already been submitted within an existing committee and rejected? If so, what were the reasons for rejection?

This project may require possible joint/parallel work with
☐ IEC (please specify the committee)
☐ CEN (please specify the committee)
☐ Other (please specify)

Please select any UN Sustainable Development Goals (SDGs) that this proposed project would support (information about SDGs, is available at www.iso.org/SDGs)

☒ GOAL 1: No Poverty
☐ GOAL 2: Zero Hunger
☐ GOAL 3: Good Health and Well-being
☐ GOAL 4: Quality Education
☐ GOAL 5: Gender Equality
☐GOAL 6: Clean Water and Sanitation
☒ GOAL 7: Affordable and Clean Energy
☒ GOAL 8: Decent Work and Economic Growth
☒ GOAL 9: Industry, Innovation and Infrastructure
☐GOAL 10: Reduced Inequality
☐ GOAL 11: Sustainable Cities and Communities
☒ GOAL 12: Responsible Consumption and Production
☒ GOAL 13: Climate Action
☐ GOAL 14: Life Below Water
☐ GOAL 15: Life on Land
☐ GOAL 16: Peace, Justice and strong institutions
N/A GOAL 17: Partnerships for the goals

Identification and description of relevant affected stakeholder categories
(Please see ISO CONNECT)

	Benefits/Impacts/Examples
Industry and commerce – large industry	BENEFITS : Transition to sustainable raw materials extraction and processing procedures according to established ESG criteria ; IMPACTS : Uniform and consistent ESG criteria for sustainable raw materials extraction for all mining industry stakeholders worldwide; EXAMPLES : Successful pilot-audited Co mining in DRC for Volkswagen car batteries, Sustainable aluminium extraction and production from raw material to end product for BMW Group by Rio Tinto.
Industry and commerce – SMEs	Enables criteria-based and thus transparent and credible communication of sustainability for critical raw materials
Government	BENEFIT : Implementation of regulatory legal frameworks, IMPACT: Implementation of regulatory framework (e.g. EU Critical Raw Materials Act, EU Principles for Sustainable Raw Materials) for the raw materials industry worldwide; EXAMPLES : e.g. German Supply Chain Act, EU Critical Raw Materials Act

Consumers	BENEFIT/IMPACT: Supports and implements consumer consciousness and request for sustainably extracted and manufactured end products by utilizing sustainably extracted raw material value chains. EXAMPLES : Successful pilot-audited Co mining in DRC for Volkswagen car batteries, Sustainable aluminium extraction and production from raw material to end product for BMW Group by Rio Tinto
Labour	BENEFIT/IMPACT/EXAMPLE: Allows to implement accepted ESG criteria, which include definition of fair labour conditions in the mining, processing and refining industry.
Academic and research bodies	BENEFIT/IMPACT/EXAMPLE: Enables researchers, for instance to explore improvement and optimization of sustainable value chains, investigate price sensitivity analyses for products manufactured with sustainable raw materials, analyze resulting changes in public reception of mining upon implementation of sustainable raw materials standards
Standards application businesses	BENEFIT/IMPACT/EXAMPLE: Will enable large business potential for TIC (testing-inspection-certification) industry by facilitating independent third-party auditing and certification of regulatory compliancy in the mining industry worldwide.
Non-governmental organizations	BENEFIT/IMPACT/EXAMPLE: Accomodates NGO requests by implementing sustainable raw materials value chains in the mining industry.

Listing of countries where the subject of the proposal is important for their national commercial interests (Please see ISO/IEC Directives, Part 1, Annex C, Clause C.4.8)

Australia, Japan, China, Canada, USA, UK, France and various other countries in Africa, South America, the Middle East and Northern Europe

Listing of external international organizations or internal parties (other ISO and/or IEC committees) to be engaged in this work (Please see ISO/IEC Directives, part 1, Annex C, Clause C.4.9)

Listing of relevant documents (such as standards and regulations) at international, regional and national level (Please see ISO/IEC Directives, Part 1, Annex C, Clause C.4.6)

EU Critical Raw Materials Act, EU Principles for Sustainable Raw Materials, EU Directive on Corporate Sustainability Due Diligence, EU Battery Regulation, German Supply Chain Act, GBR (German Federal Institute for Geosciences and Natural Resources) report

ADDITIONAL INFORMATION

Maintenance Agencies (MAs) and Registration Authorities (RAs)

☐ This proposal requires the designation of a maintenance agency.
If so, please identify the potential candidate:

☐ This proposal requires the designation of a registration authority.
If so, please identify the potential candidate

NOTE: Selection and appointment of the MA or RA are subject to the procedure outlined in ISO/IEC Directives, Part 1, Annex G and Annex H.

Known patented Items (Please see ISO/IEC Directives, Part 1, Clause 2.14)

☐ Yes ☒ No

If Yes, provide full information as an annex

Is this proposal for an ISO management System Standard (MSS)?

☐ Yes ☒ No

Note: If yes, this proposal must have an accompanying justification study. Please see the Consolidated Supplement to the ISO/IEC Directives, Part 1, Annex SL or Annex JG

PROPOSAL ISO/PC Sustainable Raw Materials

A new standard for sustainable raw materials should:

- Be **Modular** (along industry best practices and criteria).
- Cover the **full supply chain** of **all raw materials** (not mine closure/reclamation).
- **Harmonize activities on sustainability** through liaisons (e.g. ISO/TC 298 and 333).
- **Close gaps** in the existing ISO standards catalogue.

Proposed Structure of an ISO standard for sustainable raw materials:

1) List of compliancy frameworks/regulations.
2) List of primary and secondary raw material value chains addressed (non-agricultural raw materials).
3) List of accepted industry best practices related to accepted G7/G20 ESG criteria for sustainable raw materials, to be harmonized with global standard organizations.