Swarovski Optik Material Compliance

SWAROVSKI OPTIK

Dokument: RL-01013
Version: 2
Änderungsdatum: 2015-06-30

1. Introduction

International statutory regulations concerning material requirements – amongst others RoHS (Electrical and Electronic Equipment Act) and REACh – regulate the use of certain substances in products and product manufacture, respectively demand the declaration of substances of high concern. In addition, these requirements view of material data are subject to continuing change and expansion.

Swarovski Optik pursues the path that over and in addition to the statutory provisions, *all* materials, components and assemblies that remain in end products of Swarovski Optik must be suitable for installation in electrical- and electronic equipment. Therefore:

1. Any and all materials, components, assemblies and products that are supplied to Swarovski Optik and which remain in end products of Swarovski Optik, must satisfy the statutory provisions, in particular those listed in Section 2 as well as in Section 3.

2. Point of Sale materials or means of communication, which as regards their character do not fall under the scope of the RoHS provisions (or are not regarded as electrical- and electronic equipment), shall, however, not be affected.

The definition of materials, components or assemblies which remain in end products is provided in the web-based Material- & Supplier Management System "MDS-Web" (http://swarovskioptik.mdsweb.de/).

This directive (RL-01013) is available on the supplier platform http://supplierplatform.swarovskioptik.com. Unless otherwise agreed, the supplier shall indemnify and hold Swarovski Optik completely harmless in connection with failures to meet his obligations in accordance with the present directive, also especially including all legal representation costs.

2. European Directives concerning the Prohibition of Substances

For all articles supplied to SWAROVSKI OPTIK which remain in end products of Swarovski Optik, compliance with the relevant directives/regulations, in particular those specified below, must be ensured at all times. The supplier is obligated to inform himself about the current status of the relevant directives/regulations and to react independently and unsolicited to any changes arising from the respective directive/regulation within the statutory terms.

Index	Directive /Regulation	Official Title / Explanation
2.1.	RoHS 2011/65/ EU	Directive 2011/65/EU of the European Parliament and of the Council of 8 June 2011 on the restriction of the use of certain hazardous substances in electrical and electronic equipment (new edition)
2.2.	REACh Regulation (EC)1907/2006	Regulation (EC) No 1907/2006 of the European Parliament and of the Council of 18 December 2006 concerning the Registration, Evaluation, Authorisation and Restriction of Chemicals (**REACh**), establishing a European Chemicals Agency, amending Directive 1999/45/EC and repealing Council Regulation (EEC) No 793/93 and Commission Regulation (EC) No 1488/94 as well as Council Directive 76/769/EEC and Commission Directives 91/155/EEC, 93/67/EEC, 93/105/EC and 2000/21/EC

2.2.1.	Annex XIV Candidate List	Notification obligation for SVHC (Substances of very high concern) content above 0.1% w/w
2.2.2.	Annex XIV	List of substances subject to authorisation. In order to be able to ensure the supply, suppliers must inform Swarovski Optik at least one year before a restriction comes into force; excluded are validated ECHA registrations.
2.2.3.	Annex XVII	Restrictions on the manufacture, placing on the market and the use of certain dangerous substances, preparations and articles

If specifications exist which go beyond the specifications of this directive "RL-01013 Material Compliance" or prohibit a material specified by Swarovski Optik or demand its modification, then these are to be applied. Swarovski Optik is to be immediately informed in writing about this, specifying the regulation/specification and the component concerned.
The directive "RL-01013 Material Compliance" or any material specification does not relieve the supplier either from his obligation on his part to research the Material Compliance requirements or from his product responsibility and product liability.

3. Swarovski Optik - Specific Substance Restrictions

Index	Prohibited Substance
3.1.	Phthalates (all organic esters thereof) as softener in polymers above 0.1% w/w

Swarovski Optik reserves the right to issue further substance prohibitions. These will be incorporated into the present directive and as a result become a binding specification. The supplier shall keep himself informed pro-actively and independently about such changes. The implementation periods are to be agreed separately with Swarovski Optik; in case of doubt or lack of agreement a maximum period of 15 weeks shall be applicable.

4. Further Information

4.1. RoHS Directive 2011/65/EU

4.1.1. Purpose of the RoHS Directive 2011/65/EU

The European Directive 2011/65/EU serves the “Restriction of the use of certain Hazardous Substances in electrical and electronic equipment” such as lead, mercury or cadmium (see extract below “Annex II”). If and to the extent the corresponding limit values are complied with, a product is considered to be in “RoHS-conformity”.

Extract from the RoHS Directive 2011/65/EU:

ANNEX II

Substances subject to restrictions according to Article 4 Paragraph 1 and maximum admissible concentrations in homogeneous materials in percent by weight

Lead (0.1%)

Mercury (0.1%)

cadmium (0.01%)

Hexavalent chromium (0.1%)

Polybrominated Biphenyl (PBB) (0.1%)

Polybrominated diphenyl ether (PBDE) (0.1%)

4.1.2.Annex III of the Directive 2011/65/EU: Exemption Rules

“RoHS-conformity” can also be achieved with the help of exemption rules.

In that regard, Swarovski Optik distinguishes between exemption rules at a purely material level, such as e.g. exemption 6a, 6b, 6c and exemption rules with regard to special applications, such as e.g. exemption rule 13. In view of the various types of exemption rules, the following communication obligations of suppliers towards Swarovski Optik shall apply:

[1] **Exemption rules at a purely material level**: No obligation of the suppliers to inform Swarovski Optik
[2] **Exemption rules with regard to special applications**: The exemption rule claimed due to a special application must be declared and approved by Swarovski Optik.

Extract from RoHS Directive 2011/65/EU:

ANNEX III

Applications exempted from the restriction in Article 4(1)

Exemption		Scope and dates of applicability
6(a)	Lead as an alloying element in steel for machining purposes and in galvanised steel containing up to 0,35 % lead by weight	
6(b)	Lead as an alloying element in aluminium containing up to 0,4 % lead by weight	
6(c)	Copper alloy containing up to 4 % lead by weight	
13(a)	Lead in white glasses used for optical applications	
13(b)	Cadmium and lead in filter glasses and glasses used for reflectance standards	

4.1.3. Complete Text of Directive 2011/65/EU

http://eur-lex.europa.eu/legal-content/DE/TXT/PDF/?uri=CELEX:32011L0065&from=en

English:
http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32011L0065&from=en

4.2. REACh Regulation (EC) 1907/2006

4.2.1. Purpose of the REACh Regulation

This regulation is intended to ensure a high level of protection for human health and for the environment as well as guarantee the free movement of substances as such, in preparations or in products, and, at the same time, improve the competitiveness and innovation. This regulation is also intended to promote the development of alternative methods of assessment for hazards emanating from substances.

4.2.2. Complete Text of the Regulation (EC) 1907/2006

http://eur-lex.europa.eu/legal-content/de/ALL/?uri=CELEX:32006R1907

German:
http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32006R1907&from=de
English:
http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32006R1907&from=en

Substances subject to authorisation Annex XIV
http://echa.europa.eu/de/addressing-chemicals-of-concern/authorisation/recommendation-forinclusion-in-the-authorisation-list/authorisation-list

Candidate List:
http://echa.europa.eu/de/candidate-list-table

Annex XVII
http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2014.090.01.0001.01.ENG

5. Distribution- / Change Sheet

Swarovski Optik - Distribution- / Change List

Created: 2014-12-05 Name: Gabl, Miller, Kofler, Rotter, tec4u (external)

Release: 2015-02-24 Name: Dietrich, Rotter

Distribution: Internal: 140, 170, 142, 143, 146, 145, 155, 122, 138, 144, 150, 141, 113, 107, 164, 165, 196
External: ---

Version	Date	Name	Page	Description
1	2015-06-30	Rotter		No english Version 1 existing. To keep the same Version number as the german document, Version 1 was skipped.
2	2015-06-30	Rotter		**Release after translation of german version**