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OCTOBER 2022

# Conflict Minerals Compliance

ABB Conflict Minerals Reporting Training for Suppliers

Conflict Minerals Team



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## Content overview

- Agenda
- Submitting the CMRT via email or upload link
- Instruction Worksheet and Definition worksheet
- Declaration Worksheet
- Process steps for completing the CMRT
- Company level information
- Smelter List
- Checker
- Quick Links

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# Agenda

Instructions for completing the Conflict Minerals Reporting Template.

## Desired Outcome

Understanding ABB expectations of its suppliers on how to complete a Conflict Minerals Reporting Template (CMRT).

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# Conflict Minerals Reporting

## Submitting CMRT

### ABB provides you two ways of submitting the CMRT:

- 1) Via email directly to system
- 2) Via upload link directly to system

Sample e-mail with the request from the system will look like the following message.



Supplier ID : G00000000

Supplier Name :

**Important request for information on the use of Conflict Minerals (3TG) in the products you supply to ABB**

Dear valued supplier,

Please find attached a request for information on the use of Conflict Minerals in the products you supply to ABB, includi

A Guidance Document is attached, which provides information on how to complete the Conflict Minerals Section of the links.

ABB provides two ways to submit the CMRT file directly to system, either **via email** OR **via upload link**.

1. Please click [here](#) to submit your CMRT via e-mail.
2. CMRT [Submission via link](#).

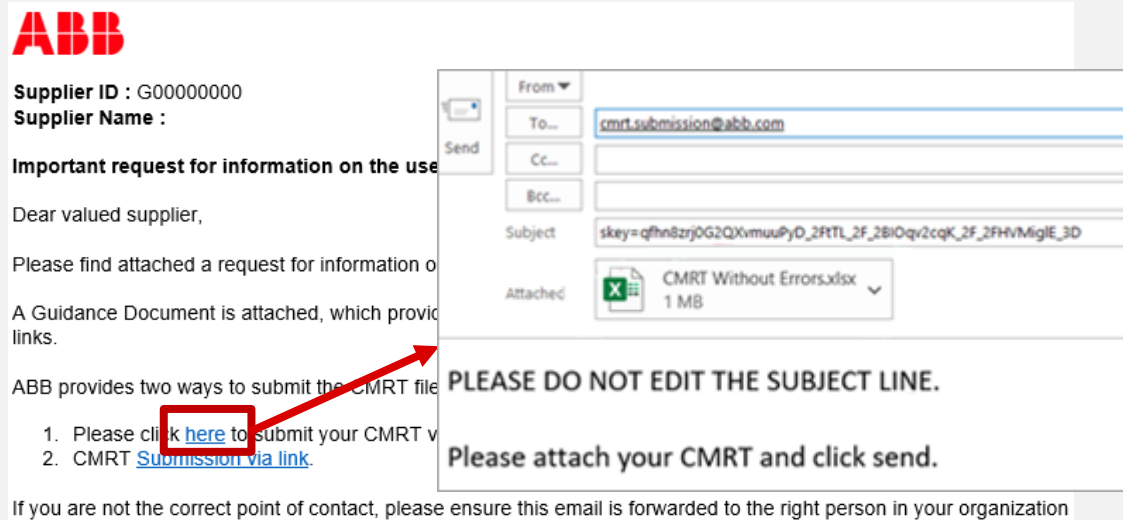
If you are not the correct point of contact, please ensure this email is forwarded to the right person in your organization

# Conflict Minerals Reporting

## Submitting CMRT

### Submitting CMRT via e-mail

- Click the email link (see below)
- Do NOT click reply to send CMRTs via email
- Do NOT edit subject line



**ABB**

Supplier ID : G00000000  
Supplier Name :

**Important request for information on the use**

Dear valued supplier,

Please find attached a request for information o

A Guidance Document is attached, which provid

links.

ABB provides two ways to submit the CMRT file

1. Please click [here](#) to submit your CMRT v
2. CMRT [Submission via link](#).

If you are not the correct point of contact, please ensure this email is forwarded to the right person in your organization

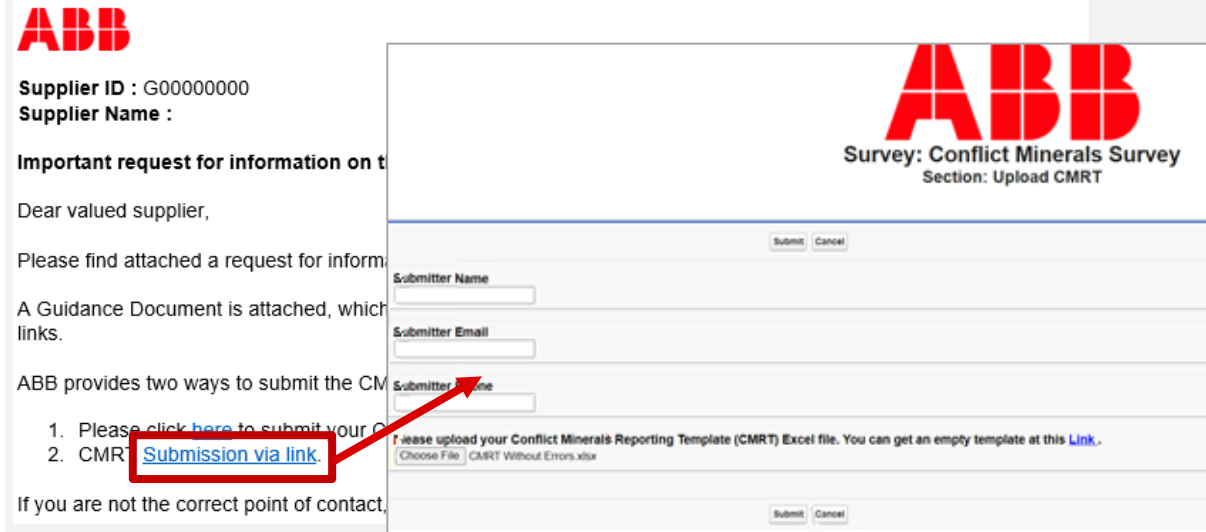
**PLEASE DO NOT EDIT THE SUBJECT LINE.**

Please attach your CMRT and click send.

From: [redacted]  
To: cmt.submission@abb.com  
Subject: skey=qfh8zrj0G2QXvmuPyD\_2RTL\_2F\_2BiOqv2cqK\_2F\_2FHVMIgIE\_3D  
Attached: CMRT Without Errors.xlsx (1 MB)

### Submitting CMRT via link

- Click the upload link (see below) in e-mail
- Step 1 – Submitter Information
- Step 2 – Upload the CMRT
- Step 3 – Click Submit



**ABB**

Supplier ID : G00000000  
Supplier Name :

**Important request for information on t**

Dear valued supplier,

Please find attached a request for inform

A Guidance Document is attached, which links.

ABB provides two ways to submit the CM

1. Please click [here](#) to submit your C
2. CMRT [Submission via link](#).

If you are not the correct point of contact,

**Survey: Conflict Minerals Survey**  
Section: Upload CMRT

Submitter Name:

Submitter Email:

Submitter Phone:

Please upload your Conflict Minerals Reporting Template (CMRT) Excel file. You can get an empty template at this [Link](#).

Choose File | CMRT Without Errors.xlsx

Within a few minutes you will receive an email with feedback from the system.  
If your CMRTs has errors, they MUST be fixed.

# Conflict Minerals Reporting Template

## Instruction worksheet

**Introduction**

This Conflict Minerals Reporting Template (Template) is a free, standard reporting template developed by the Responsible Minerals Initiative (RMI). The Template facilitates the transfer of information on conflict minerals from smelters and refiners being utilized and supports compliance to legal requirements for smelters and refiners to potentially undergo an audit via the Responsible Minerals Initiative (RMI).

Navigation: Revision | **Instructions** | Definitions | Declaration

This Introduction worksheet provides instructions to complete all the questions listed in Declaration Worksheet i.e.

- Company Information (Row 8-22)
- Question 1 to 8 (Row 25-71)
- Questions at company level (Row 75-89)

Also provides instructions to fill Smelter List Worksheet.

<b>Dodd-Frank</b>	<b>2010 United States legislation 1502 ("Dodd-Frank") (<a href="#">http://www.doddfrank1.com</a>)</b>
<b>DRC</b>	<b>Democratic Republic of Congo</b>

Navigation: Revision | Instructions | **Definitions** | Declaration

The Definitions worksheet provides the definition of list of terms relating to conflict minerals.

# Conflict Minerals Reporting

## Template

Note:

- Fields shown in yellow are mandatory to fill
- If any field turns grey it should not be filled.

Language Options 1

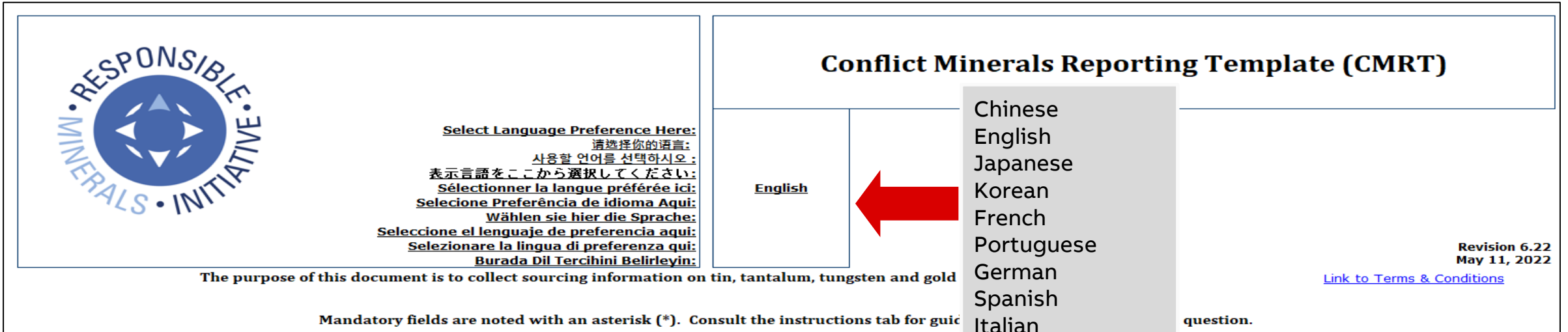
Company Information 2

Tin, Tantalum, Tungsten And Gold(3TG) Questions 3

Company Sourcing Policy Information 4

# Conflict Minerals Reporting Template

## Language options



**Conflict Minerals Reporting Template (CMRT)**

Select Language Preference Here:  
请选择你的语言:  
사용할 언어를 선택하십시오:  
表示言語をここから選択してください:  
Sélectionner la langue préférée ici:  
Selecione Preferência de idioma Aqui:  
Wählen sie hier die Sprache:  
Seleccione el lenguaje de preferencia aqui:  
Selezionare la lingua di preferenza qui:  
Burada Dil Tercihini Belirleyin:

English

Chinese  
English  
Japanese  
Korean  
French  
Portuguese  
German  
Spanish  
Italian

question.

Revision 6.22  
May 11, 2022  
[Link to Terms & Conditions](#)

The purpose of this document is to collect sourcing information on tin, tantalum, tungsten and gold

Mandatory fields are noted with an asterisk (\*). Consult the instructions tab for guidance

### General Guidelines:

Select any language of your choice from the drop down.

Options: Chinese, Japanese, Korean, French, Portuguese, German, Spanish, Italian.

### ABB Preferences:

[Click here to download recent Conflict Minerals reporting template](#)

**ABB accepts CMRT version 6.0 and above. Any other version of CMRT will be rejected.**



# Conflict Minerals Reporting Template

## Company information

Company Information	
Company Name (*):	
Declaration Scope or Class (*):	
Description of Scope:	
Company Unique ID:	
Company Unique ID Authority:	
Address:	
Contact Name (*):	
Email - Contact (*):	
Phone - Contact (*):	
Authorizer (*):	
Title - Authorizer:	
Email - Authorizer (*):	
Phone - Authorizer:	
Effective Date (*):	

Declaration	Smelter List	Checke:	Product List	Smelter I
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### General Guidelines:

**Company Name:** Write your complete company legal name.

**Declaration Scope or Class:** Select any option from the drop down.

- A. **Company:** This means you are reporting 3TG data at company level. Hence, this report should cover all the products manufactured/sold by your company.
- B. **Product:** The CMRT contains only products that are sold to ABB. If you select this declaration, then please update the products in the **Product List** worksheet.
- C. **User defined :** If you select this declaration then it is mandatory to fill description of scope.

**Email ID-** Provide one correct email contact in the CMRT, further ABB will use this contact as Conflict Minerals contact for your company.

**Effective Date:** Should be of current reporting year. Cannot be a future date.

# CMRT Question 1 and 2

## Tin, Tantalum, Tungsten, Gold (3TG) Questions

1) Is any 3TG intentionally added or used in the product(s) or in the production process? (*)	Answer
Tantalum (*)	
Tin (*)	
Gold (*)	
Tungsten (*)	

2) Does any 3TG remain in the product(s)? (*)	Answer
Tantalum (*)	
Tin (*)	
Gold (*)	
Tungsten (*)	

Answer option:  
- Yes  
- No

From the drop-down menu, select the correct answer for each mineral and if required provide comments in the comments box.

### Question 1:

- If you answer “**No**” for any mineral in Question 1 then question 2 to 8 are automatically blocked out for that mineral
- If you answer “**No**” for all the minerals, your declaration is considered complete.
- If you answer “**Yes**” for any mineral in Question 1, then Question 2-8 are to be filled for that mineral.

### Question 2

- The same logic as question 1 applies.

# CMRT Question 3 and 4

## Tin, Tantalum, Tungsten, Gold (3TG) Questions

3) Do any of the smelters in your supply chain source the 3TG from the covered countries? (SEC term, see definitions tab) (\*)

	Answer
Tantalum (*)	
Tin (*)	
Gold (*)	
Tungsten (*)	

4) Do any of the smelters in your supply chain source the 3TG from conflict-affected and high-risk areas? (\*)

	Answer
Tantalum (*)	
Tin (*)	
Gold (*)	
Tungsten (*)	

Answer option:

- Yes
- No
- Unknown

### Question 3:

If Question 3 is answered “YES” or “NO”, please provide the list of smelters or mines that source from these countries in the comments.

### Question 4:

If Question 4 is answered “YES” or “NO”, please provide the list of smelters or mines that source from these countries in the comments.

Note: Provide the list of all smelters in **Smelter List** work list.

N	O	P
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Name of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap" <input type="text"/>	Location (Country) of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap" <input type="text"/>	Does 100% of the smelter's feedstock originate from recycled or scrap source? <input type="text"/>
---------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------

Revision	Instructions	Definitions	Declaration	<b>Smelter List</b>	Checker	Product List	Smelter Look-up
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# CMRT Question 5

## Tin, Tantalum, Tungsten, Gold (3TG) Questions

5) Does 100 percent of the 3TG (necessary to the functionality or production of your products) originate from recycled or scrap sources? (\*)

	Answer
Tantalum (*)	
Tin (*)	
Gold (*)	
Tungsten (*)	

Answer option:

- Yes
- No
- Unknown

N	O	P
---	---	---

Name of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap"	Location (Country) of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap"	Does 100% of the smelter's feedstock originate from recycled or scrap source

Revision | Instructions | Definitions | Declaration | **Smelter List** | **Checker** | Product List | Smelter Look-up

### Question 5:

1.If your answer to this question is “**Yes**” then you are required to fill column N,O and P in **Smelter List** worksheet.

2.If the recycler or Scrap sources are unavailable, please answer Question 5 as “**Unknown**”.

# CMRT Question 6

## Tin, Tantalum, Tungsten, Gold (3TG) Questions

6) What percentage of relevant suppliers have provided a response to your supply chain survey? (\*)

	Answer
Tantalum (*)	
Tin (*)	
Gold (*)	
Tungsten (*)	

- Answer option:
- 100%
  - Greater than 90%
  - Greater than 75%
  - Greater than 50%
  - 50% or less
  - None

### Question 6:

- 1.If your answer is greater than none you must list all the smelters identified in **Smelter list** worksheet.
- 2.**ABB expects its suppliers to have received 100% response to their supply chain survey.**

N	O	P
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Name of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap"	Location (Country) of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap"	Does 100% of the smelter's feedstock originate from recycled or scrap source

Revision | Instructions | Definitions | Declaration | **Smelter List** | Checker | Product List | Smelter Look-up

# CMRT Question 7 and 8

## Tin, Tantalum, Tungsten, Gold (3TG) Questions

7) Have you identified all of the smelters supplying the 3TG to your supply chain?

(*)	Answer
Tantalum (*)	
Tin (*)	
Gold (*)	
Tungsten (*)	

8) Has all applicable smelter information received by your company been reported in this declaration? (\*)

(*)	Answer
Tantalum (*)	
Tin (*)	
Gold (*)	
Tungsten (*)	

Answer option:

- Yes
- No

### Question 7 and 8:

If Question 7 is answered “Yes” then you must list all the smelters information in **Smelter List** worksheet and answer “Yes” for Question 8.

ABB expectation is that you identify all the smelters supplying 3TG to your supply chain

N	O	P
Name of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap"	Location (Country) of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap"	Does 100% of the smelter's feedstock originate from recycled or scrap source
Revision	Instructions	Definitions
Declaration	<b>Smelter List</b>	Checker
Product List	Smelter Look-up	

# Company Sourcing and Policy Information

## Company Sourcing Policy Information

Answer the Following Questions at a Company Level

Question	Answer
A. Have you established a responsible minerals sourcing policy? (*)	
B. Is your responsible minerals sourcing policy publicly available on your website? (Note - If yes, the user shall specify the URL in the comment field.) (*)	
C. Do you require your direct suppliers to source the 3TG from smelters whose due diligence practices have been validated by an independent third party audit program? (*)	
D. Have you implemented due diligence measures for responsible sourcing? (*)	
E. Does your company conduct Conflict Minerals survey(s) of your relevant supplier(s)? (*)	
F. Do you review due diligence information received from your suppliers against your company's expectations? (*)	
G. Does your review process include corrective action management? (*)	
H. Is your company required to file an annual conflict minerals disclosure? (*)	

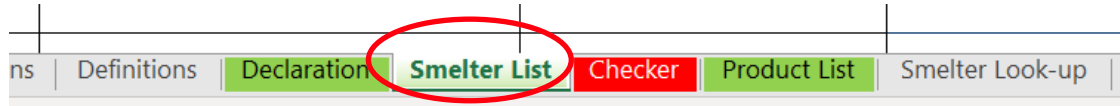
If you answer Yes for Question A then you are required to provide the URL/Link in question B or you can also email your companies Responsible Minerals Sourcing Policy PDF copy to us at [global-conflictmineralscompliance@abb.com](mailto:global-conflictmineralscompliance@abb.com)

The Conflict Free Smelter list is a list of mineral smelters and refiners who have been validated to be in compliance with the CFSI

If your answer to Question E is "Yes, using other format", mention the format that you use in the comment section.

# Conflict Minerals Reporting

## Smelter List



ns	Definitions	Declaration	<b>Smelter List</b>	Checker	Product List	Smelter Look-up
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### Smelter List Data entry when Smelter ID is Available in smelter look up:

Input the smelter identification number in Column A (columns B, C, E, F, G, I and J will auto-populate); D will grey out.

#### TO BEGIN:

Option A: If you know the Smelter Identification Number, input the number in Column A (columns B, C, E, F, G, I and J will auto-populate); D will grey out.

Option B: If you have a Metal and Smelter Look-up name combination, complete the following steps:

Step 1. Select Metal in column B

Step 2. Select from dropdown in column C (wrong combination will trigger RED color)

Option C: If you have a Metal and Smelter Name combination, complete the following steps:

Step 1. Select Metal in column B

Step 2. Select "Smelter Not Listed" in the Smelter Look-up drop down and complete columns D & E

Step 3. Enter all available smelter information in columns H through Q

(\*) Mandatory fields are noted with an asterisk.

(1) Entry required when Smelter Look-up = "Smelter not listed"

NOTE: A combination of Options A, B and C may be used to complete the Smelter List. Do not alter autopopulated cells. All errors in the Smelter Look-up should be reported to RMI by contacting [RMI@responsiblebusiness.org](mailto:RMI@responsiblebusiness.org).



# Conflict Minerals Reporting

## Smelter List

ns	Definitions	Declaration	Smelter List	Checker	Product List	Smelter Look-up
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### Smelter List Data entry when Smelter ID is Available in smelter look up:

Input the smelter identification number in Column A (columns B, C, E, F, G, I and J will auto-populate); D will grey out.

Smelter Identification Number Input Column	Metal (*)	Smelter Look-up (*)
4		
5		
6	Tantalum	
7	Tin	
	Tungsten	
	Gold	

### Smelter List Data entry when Smelter ID Not Available in smelter lookup:

1. Select appropriate metal in column B as shown in the below figure.


2. Next select smelter not listed in column C as shown in the below figure.

3. Once smelter not listed is selected then you will be requested to fill with smelter name and smelter country in column D & E.

4. Once the above is done put the smelter id in column F if available.

Smelter Identification Number Input Column	Metal (*)	Smelter Look-up (*)
4		
5	Tin	
6		Yunnan wind Nonferrous Metals Co., Ltd.
7		Yunnan Xi YE
8		Yunnan Yunfan Non-ferrous Metals Co., Ltd.
9		Yuntinic Resources
10		YUNXIN colored electrolysis Company Limited
		云南锡业股份有限公司锡业分公司
		Smelter not listed
		Smelter not yet identified

# Conflict Minerals Reporting Checker

	A	B	C	D	E
1	To ensure all required fields have been populated before submitting to your customers review form for any line items highlighted in red			Required fields remaining to be completed 12	
2	<a href="#">Click here to return to Declaration tab</a>	<a href="#">Click here to return to Smelter List</a>	<a href="#">Click here to return to Product List</a>		
3	Required Fields	Answer provided	Notes	Hyperlink to source	
4	Company Name (*):	<input type="text"/>	Complete		
5	Declaration Scope or Class (*):	<input type="text"/>	Complete		
6	Description of Scope:	<input type="text"/>	Complete		
7	Contact Name (*):	<input type="text"/>	Complete		
8	Email - Contact (*):	<input type="text"/>	Complete		
9	Phone - Contact (*):	<input type="text"/>	Complete		
10	Authorizer (*):	<input type="text"/>	Complete		
11	Email - Authorizer (*):	<input type="text"/>	Complete		
12	Effective Date (*):	<input type="text"/>	Complete		
13	Is any 3TG intentionally added or used in the product(s) or in the production process? (*)	<input type="text"/>			
14	Tantalum (*)	Yes	Complete		

Note: Before submitting the CMRT, ensure all required fields have been populated correctly by reviewing checker tab for any line items highlighted in red

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# Quick Links

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Particulars

Web links

Responsible Minerals Initiative (RMI)

<http://www.responsiblemineralsinitiative.org/reporting-templates/cmrt/>

CMRT 6.22 Completion Guide

[http://www.responsiblemineralsinitiative.org/media/docs/CMRT%206.0%20Guide\\_final.pdf](http://www.responsiblemineralsinitiative.org/media/docs/CMRT%206.0%20Guide_final.pdf)

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**ABB**