



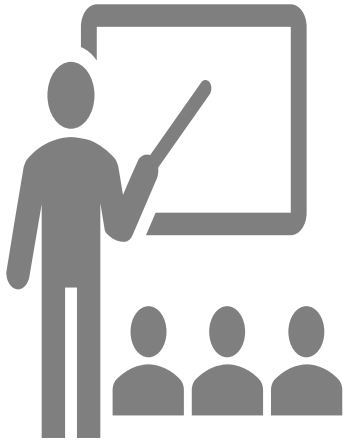
OCTOBER, 2022

# Conflict Minerals Compliance

Training for Suppliers

Conflict Minerals Team

# Content overview



- 1 ▶ Core information on the rule
- 2 ▶ ABB Policy and Supplier Code of Conduct
- 3 ▶ Our Supplier requirements
- 4 ▶ Additional Information and Resources

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# Abbreviations

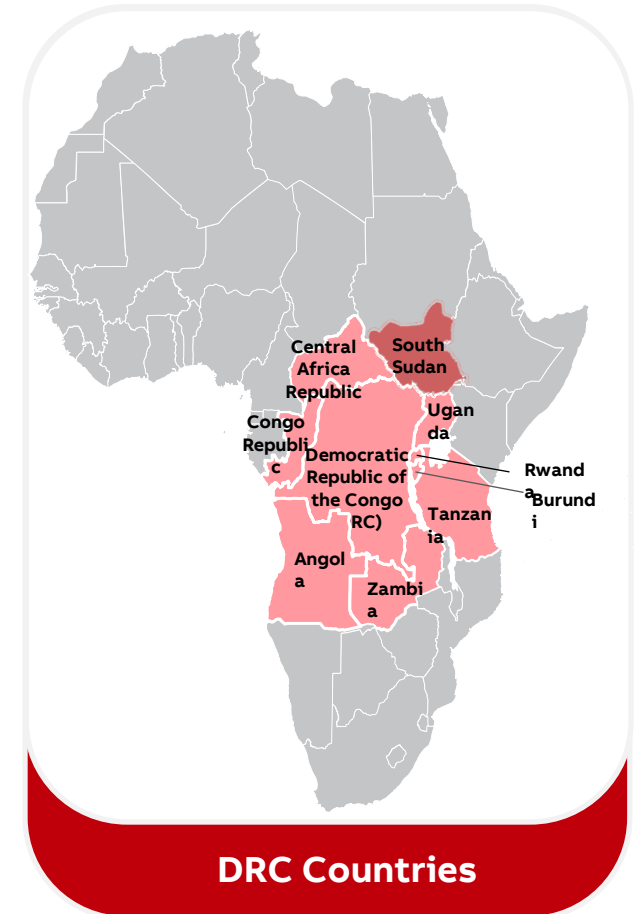
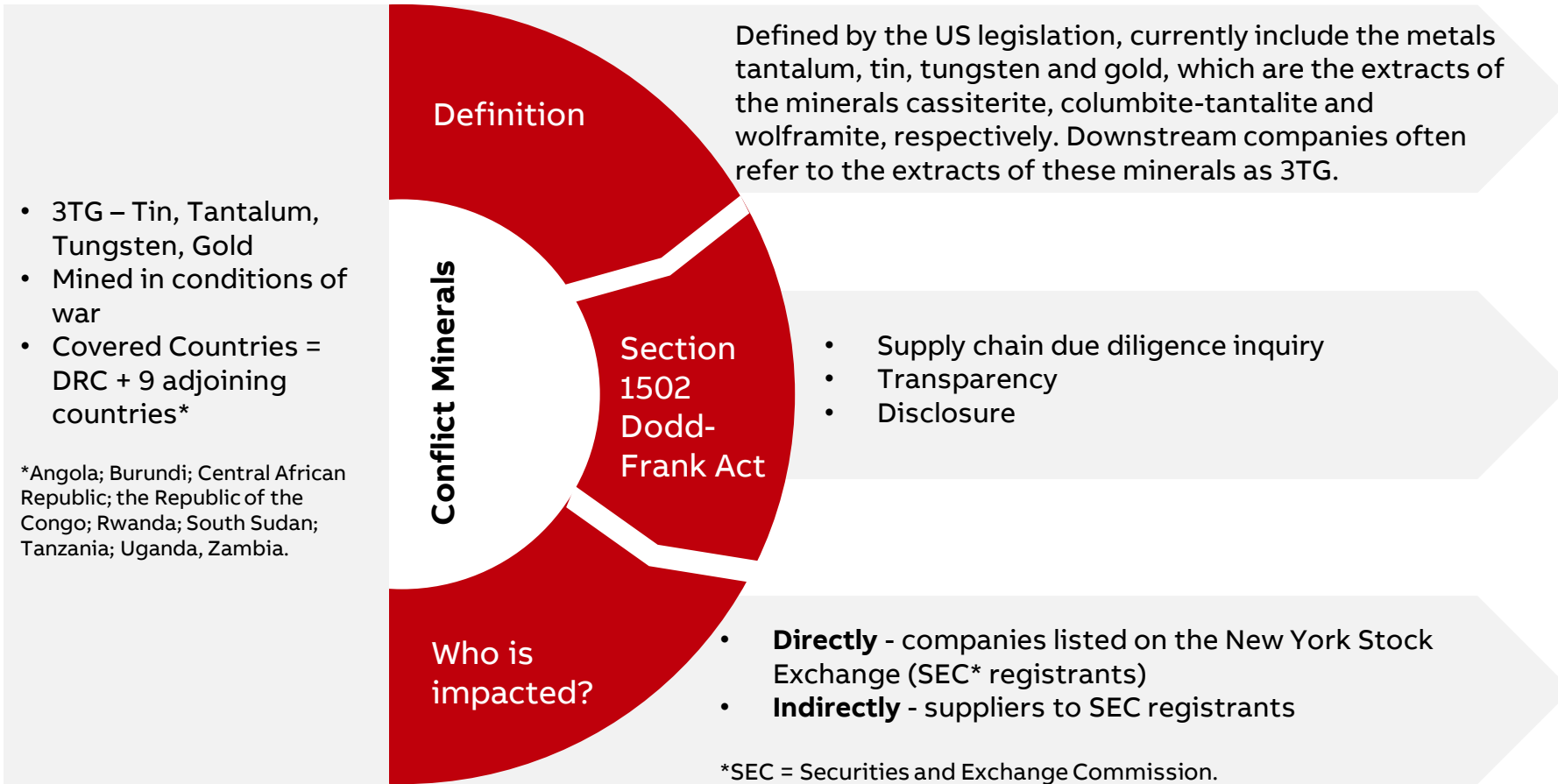
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<b>Abbreviation</b>	<b>Expansion</b>
3TG	Tin , Tungsten , Tantalum and Gold
CAP	Corrective Action Plan
CMRT	Conflict Minerals Reporting Template
CRT	Cobalt Reporting Template
EMRT	Extended Minerals Reporting Template
OECD	Organization for Economic Co-operation and Development
RCOI	Reasonable Country of Origin Inquiry
SOR's	Smelters and Refiners
US SEC	U.S. Securities and Exchange Commission

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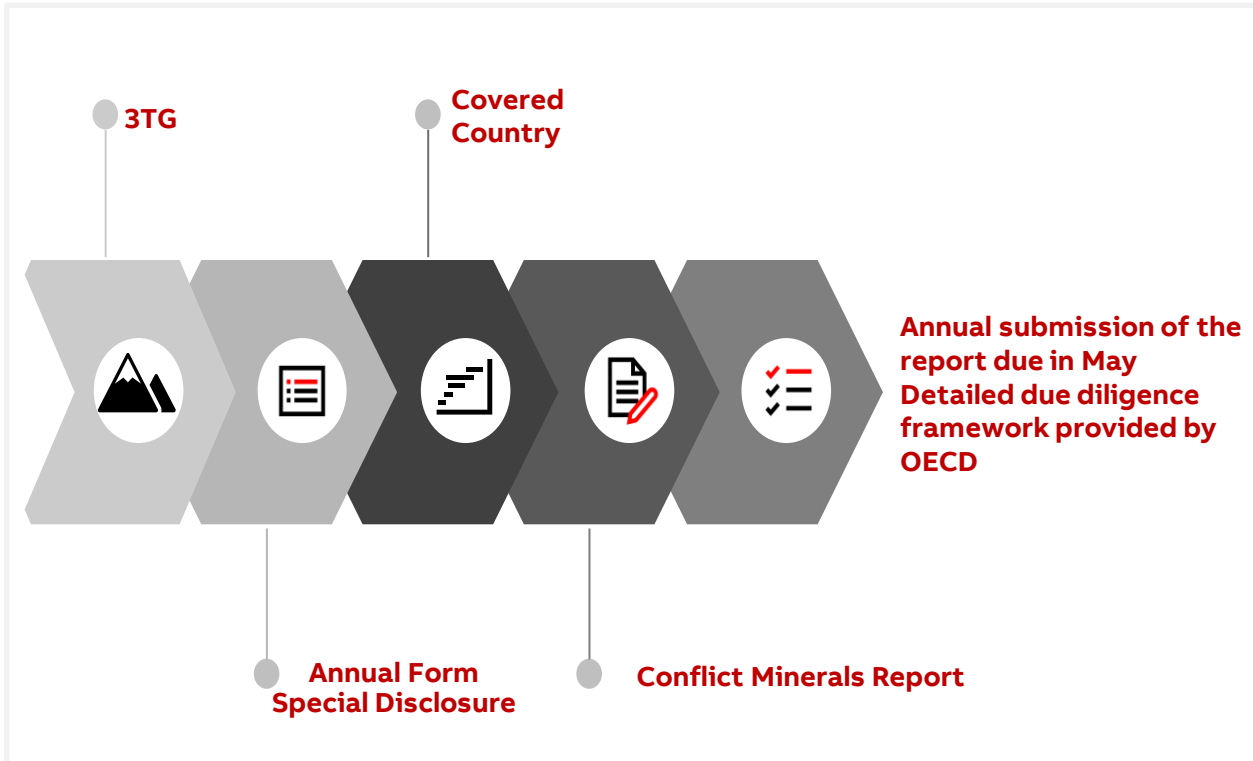
# What are conflict minerals and...

Why should the world care?



# Conflict Minerals and Dodd-Frank Act Section 1502

## Reporting requirements & Implications



### Implications for ABB's suppliers

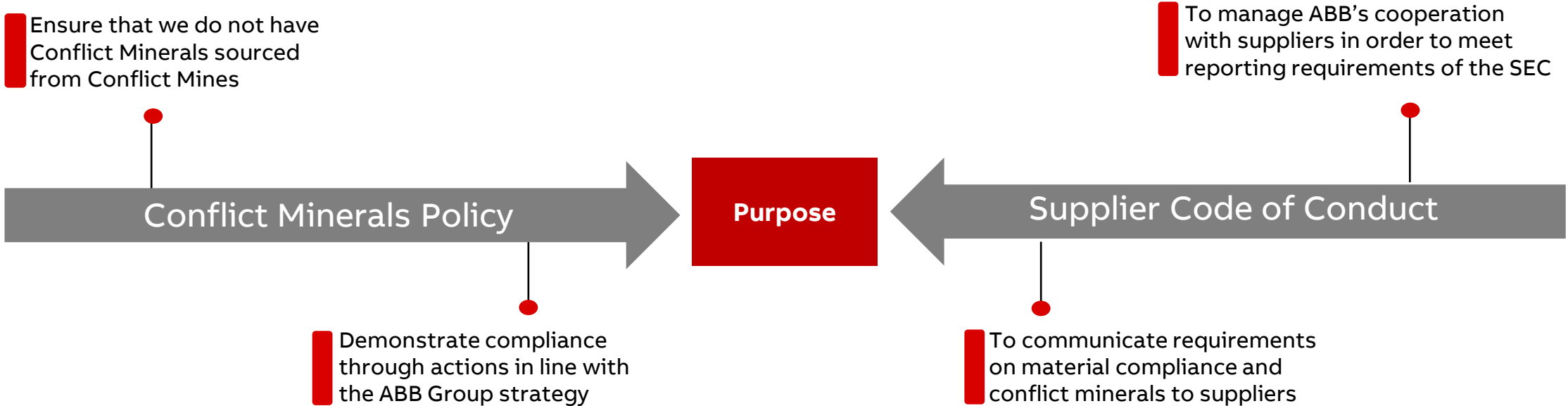
In order to enable ABB to file the Special Disclosure Form (Form SD) and Conflict Minerals Report to the SEC, you as an ABB supplier need to:

- Adhere to our Supplier Code of Conduct
- Respond to our information requests in an accurate, honest and timely manner
- Conduct your own due diligence and engage with your own supply chain on conflict minerals

**Risk mitigation is imperative**  
**Suppliers are an integral part of this process**

# ABB's Conflict Minerals Policy / Supplier Code of Conduct

## Purpose



# Supplier requirements

## Overview



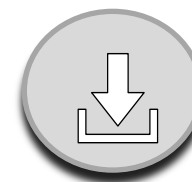
Comply with the ABB Supplier Code of Conduct



CMRT submission by Distributors



Meeting compliance standards



Respond to ABB's requests for evidence



ABB High Risk Smelters Due Diligence

Our suppliers' willingness to comply with these requests will be a factor in our future sourcing decisions

# Supplier requirements

## ABB Supplier Code of Conduct / Compliance standards

### 1. Comply with the ABB Supplier Code of Conduct

ABB's Supplier Code of Conduct has been updated to include requirements specific to conflict minerals:

- “Implement a policy regarding conflict minerals and exercise due diligence to investigate the source of these minerals”
- Respond in a timely manner to ABB's requests for evidence of your compliance with these requirements”

### 2. Meeting compliance standards

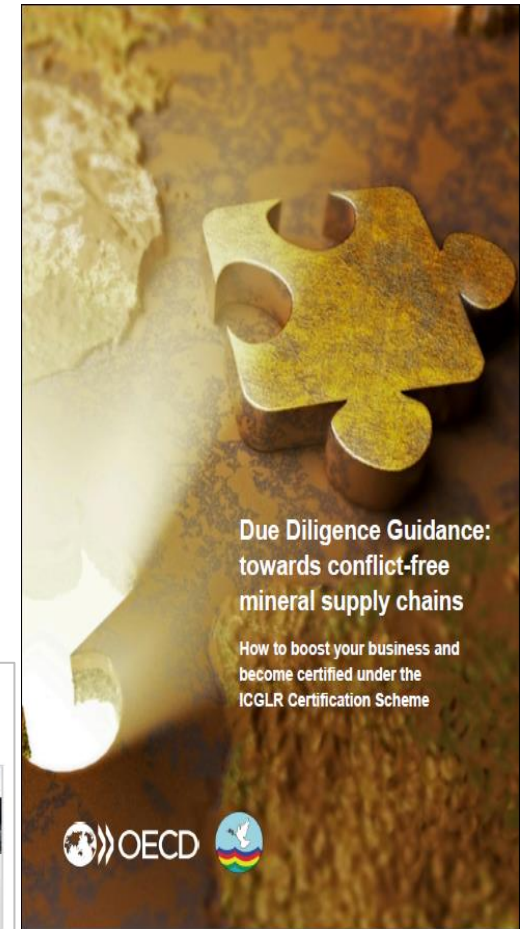
Work towards ensuring that any conflict minerals contained in the products supplied to ABB do not originate from mines that support or fund conflict within the Democratic Republic of Congo and adjoining countries

- How?

- Undertake due diligence efforts
- Establish company management systems
- Identify and assess risks in the supply chain
- Design and implement a strategy to respond to identified risks

#### Sustainability & Integrity in the Supply Chain

Sustainability and integrity are a key part of ABB's Supply Chain Management strategy. Discover more here!





# Supplier requirements

## Due Diligence

### 3. ABB High Risk Smelters Due Diligence

Work towards ensuring that any conflict minerals contained in the products supplied to ABB do not originate from mines that support or fund conflict within the Democratic Republic of Congo and adjoining countries

– How?

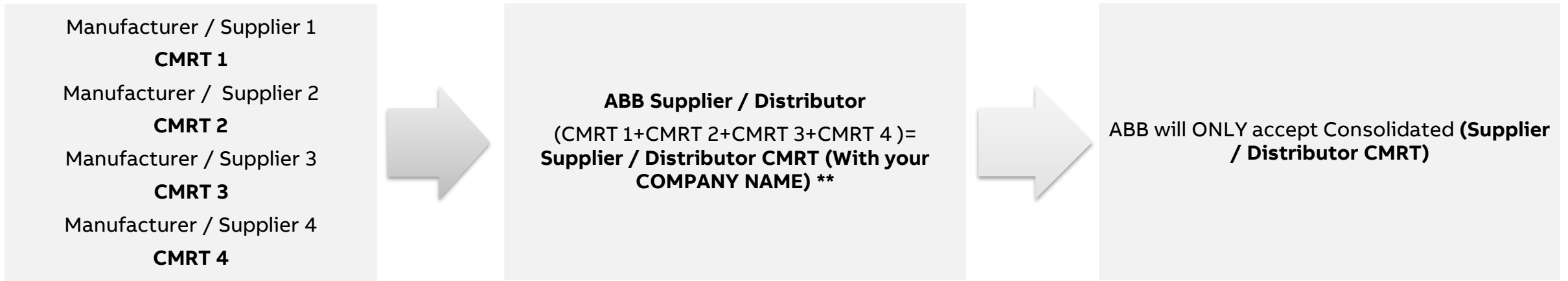
- Undertake due diligence efforts
- Establish company management systems
- Identify and assess risks in the supply chain
- Design and implement a strategy to respond to identified risks

CID	Metal	Smelter or Refinery (SOR)	Location	Comments
CID003185	Gold	African Gold Refinery	Uganda	<a href="#">OFAC's List of SDNs on March 17, 2022</a>
CID002515	Gold	Fidelity Printers and Refiners	Zimbabwe	Relations with Sino Zimbabwe which is under <a href="#">US Treasury Sanctions</a>
CID002563	Gold	Kaloti Precious Metals	UAE	Removed from Dubai Good Delivery list in 2015. Publicly available information – <a href="#">April 2020</a> ; <a href="#">October 2020</a>
CID002587	Gold	Tony Goetz NV	Belgium	SOR not able to confirm to the <a href="#">RMI (RMAP) standards</a> . <a href="#">Public Reports</a>
CID002567	Gold	Sudan Gold Refinery	Sudan	U.N. Security Council concerns over gold smuggling in <a href="#">Sudan</a> .
CID000927	Gold	JSC Ekaterinburg Non-Ferrous Metal Processing Plant	Russian Federation	Ownership with Renovo group – <a href="#">US Treasury Sanctions</a>
CID001029	Gold	Kyrgyzaltyn JSC	KYRGYZSTAN	Kyrgyzaltyn JSC Suspended from LMBA Good Delivery List

# Supplier requirements

## CMRT

### 4. CMRT Submission by distributors



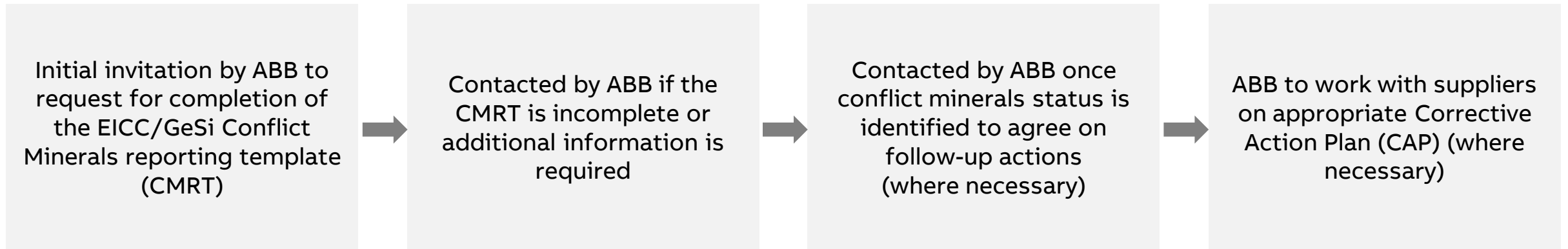
1. Please request CMRT's from your suppliers.
2. Consolidate all CMRT's into one Company Level CMRT under your Company name and submit to ABB.
3. Please NOTE **ABB will ONLY accept CMRT's** and **NOT** your policies or any alternate information.

**Important : Please update your Company name to the consolidated CMRT being submitted to ABB**

# Supplier requirements

## Response

### 5. Respond to ABB's requests for evidence



[Click here to download latest CMRT from RMI](#)

It is imperative that your responses are: Accurate, Honest, Timely

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# Supplier requirements

## Submitting CMRT

### ABB provides 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](#).

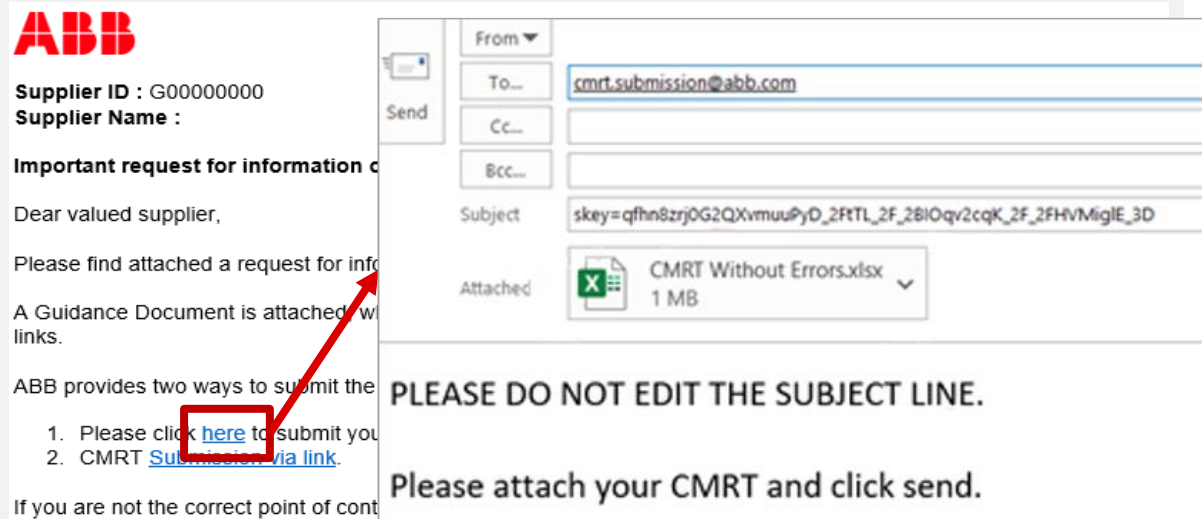
If you are not the correct point of contact, please ensure this email is forwarded to the right person in your organization

# Supplier requirements

## 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 t

Dear valued supplier,

Please find attached a request for information on t

A Guidance Document is attached, which provides links.

ABB provides two ways to submit the CMRT

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

If you are not the correct point of contact, please contact your ABB representative.

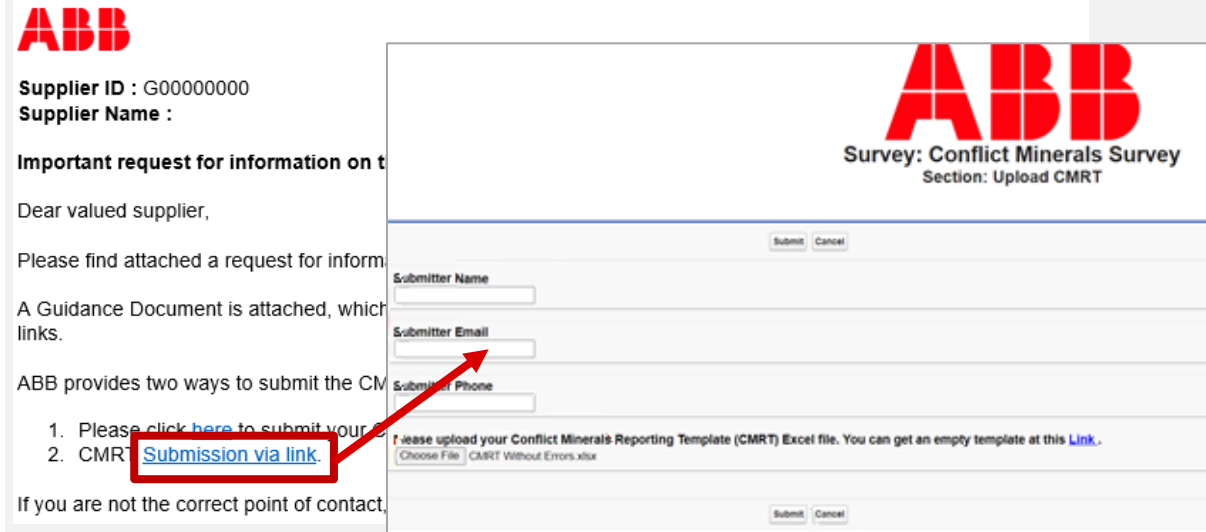
From: [Redacted]  
To: [cmrt.submission@abb.com](mailto:cmrt.submission@abb.com)  
Cc: [Redacted]  
Bcc: [Redacted]  
Subject: skey=qfhn8zrj0G2QXvmuuPyD\_2RTL\_2F\_2BiOqv2cqK\_2F\_2FHVmigIE\_3D  
Attached: CMRT Without Errors.xlsx (1 MB)

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

Please attach your CMRT and click send.

### 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 information on t

A Guidance Document is attached, which provides links.

ABB provides two ways to submit the CMRT

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

If you are not the correct point of contact, please contact your ABB representative.

Submitter Name: [Text Field]  
Submitter Email: [Text Field]  
Submitter Phone: [Text Field]

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

Submit Cancel

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

# Important Notes

## Instructions to fill CMRT Declaration

- If you are unable to open the CMRT submission link provided in the invite, you can submit your CMRT via email @ [global-conflictmineralscompliance@abb.com](mailto:global-conflictmineralscompliance@abb.com)
- ABB only accepts CMRT above version 6.0
- Fill all the mandatory / Yellow fields in the CMRT.
- Only one email address can be provided in the E-mail contact
- Effective date in CMRT should belong to current reporting year (Jan 2022 to current date).
- If answer to question E is “yes, using other format”, you are required to mention the format that you use in the comment section.
- If you need product details, send an email. We will reach out to our internal team and provide you the product list if available. Meanwhile we request you to submit a company level CMRT.
- If there is any company name change notify us by sending an email. Meanwhile, provide a CMRT with your current company name.
- If you are not the manufacturer of the products supplied/are a distributors, then upload your manufacturers CMRT using the link provided or share the link with your manufacturers and request them to upload their CMRTs.
- If you are unable to submit the CMRT in the given time frame, advise if the CMRT can be submitted before 15th of April. This will help us to work on action plans if any.
- If you are not the right contact for Conflict minerals in your organization, forward mail to the right contact and notify us.

Feel free to write back to us using the below mail : [global-conflictmineralscompliance@abb.com](mailto:global-conflictmineralscompliance@abb.com)

# Important Notes

## Instructions to fill the Smelter List in the CMRT



### 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	Tantalum	
6	Tin	
7	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

# ABB general and specific information

## Links



### General information

- SEC Conflict Minerals Ruling ([link](#))
- OECD Guidelines ([link](#))
- Simplified guide to the OECD Guidelines ([link](#))



### Additional information for suppliers

- ABB Supplier Code of Conduct ([link](#))
- ABB Policy on Conflict Minerals ([link](#))
- Supplying to ABB Portal ([link](#))
- ABB Material Compliance for Suppliers ([link](#))
- Conflict Minerals ([video](#))

Questions related to completion of your CMRT?  
Reach out to us @ [global-conflictmineralscompliance@abb.com](mailto:global-conflictmineralscompliance@abb.com)



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# Disclaimer

The purpose of this training material is to provide background information to ABB suppliers on conflict minerals, communicate ABB's requirements regarding conflict minerals and provide guidance on how to fulfil these requirements. The recommendations in this training material are based on ABB's understanding and experience and do not relieve ABB suppliers from their obligations to follow all applicable legal requirements, including contractual obligations.

This training material does not claim to interpret any such laws, regulations, requirements, standards or contracts. While reasonable efforts have been made to check the accuracy of this training material, ABB does not make any representations or warranties with respect to the accuracy or completeness of the contents of this training material, and ABB specifically – but without limitation – disclaims any implied warranties of merchantability or fitness for a particular purpose as concerns this training material.

The information in this training material is not to be considered to be legal or other professional advice. If legal advice or other professional assistance is required, you should engage the services of a competent professional.

**ABB**