

OCTOBER, 2021

Conflict Minerals Compliance

ABB Conflict Minerals Reporting Training for Suppliers

Conflict Minerals Team



Content overview

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- 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
- Quick Links

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).

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 : G000000000

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

The screenshot shows an email composition window. The 'To' field is set to 'cmrt.submission@abb.com'. The 'Subject' field contains a long alphanumeric string. An Excel file named 'CMRT Without Errors.xlsx' (1 MB) is attached. The email body contains the ABB logo, Supplier ID (G00000000), Supplier Name, and instructions for submitting the CMRT. A red box highlights the link 'here' in the instructions, and a red arrow points from this box to the 'To' field in the email header.

ABB

Supplier ID : G00000000
Supplier Name :

Important request for information on the

Dear valued supplier,

Please find attached a request for information.

A Guidance Document is attached, which contains 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 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

The screenshot shows the ABB CMRT submission web form. The 'To' field is set to 'cmrt.submission@abb.com'. The 'Subject' field contains a long alphanumeric string. An Excel file named 'CMRT Without Errors.xlsx' (1 MB) is attached. The form contains the ABB logo, Supplier ID (G00000000), Supplier Name, and instructions for submitting the CMRT. A red box highlights the link 'here' in the instructions, and a red arrow points from this box to the 'Submitter Name' field in the form.

ABB

Supplier ID : G00000000
Supplier Name :

Important request for information on the

Dear valued supplier,

Please find attached a request for information.

A Guidance Document is attached, which contains 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,

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 template developed by the Responsible Minerals Initiative (RMI). The Template facilitates the transfer of information from smelters and refiners being utilized and supports compliance to laws and regulations that require companies to disclose information about smelters and refiners to potentially undergo an audit via the Responsible Minerals Initiative (RMI).

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.

Dodd-Frank	2010 United States legislation 1502 ("Dodd-Frank") (http://www.doddfrank1.com)
DRC	Democratic Republic of Congo

Revision

Instructions

Definitions

Declaration

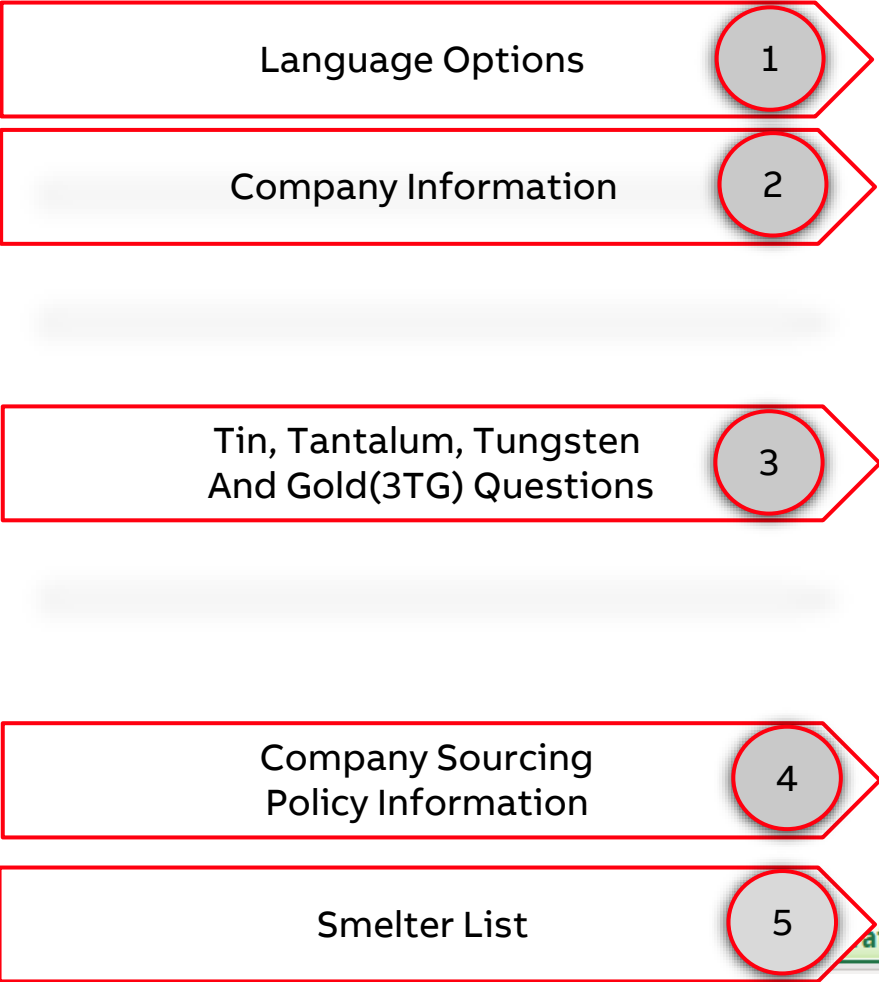
The Definitions worksheet provides the definition of list of terms relating to conflict minerals.

Conflict Minerals Reporting

Template

Note:

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



Conflict Minerals Reporting Template

Language options

 <u>Select Language Preference Here:</u> 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: Seleccione Preferència de idioma Aquí: Wählen sie hier die Sprache: Selecione el lenguaje de preferencia aqui: Selezionare la lingua di preferenza qui: Burada Dil Tercihini Belirleyin:	Conflict Minerals Reporting Template (CMRT)	
	<u>English</u>	<div>Chinese English Japanese Korean French Portuguese German Spanish Italian</div>
<p>The purpose of this document is to collect sourcing information on tin, tantalum, tungsten and gold used in</p>		<p>Revision 6.01 May 19, 2020 Link to Terms & Conditions</p>

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	Checkers	Product List	Smelter List
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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-Please provide the correct email contact in the CMRT , further ABB will use this contact as Conflict Minerals contact for your company.

Effective Date: Fill the date on which CMRT was filled. The date needs to be changed every time if any updates are made in the CMRT.

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:

This is a declaration that defines if any smelter in your supply chain sources 3TG from the covered countries. 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:

This is a declaration that defines if any of your smelter's sources 3TG from CAHRA(Conflict affected and High-Risk Areas)

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

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

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Checker

Product List

Smelter Look-up



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
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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
<input type="text"/>	<input type="text"/>	<input type="text"/>

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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
<input type="text"/>	<input type="text"/>	<input type="text"/>

Revision	Instructions	Definitions	Declaration	Smelter List	Checker	Product List	Smelter Look-up
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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		
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Company Sourcing and Policy Information

Company Sourcing Policy Information

Answer the Following Questions at a Company Level

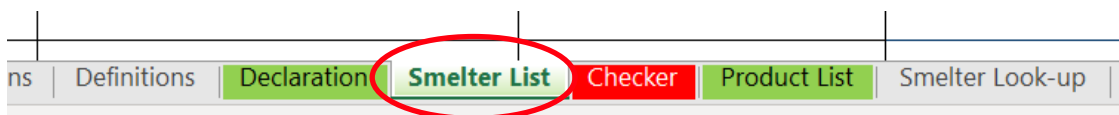
Question	Answer
A. Have you established a responsible minerals sourcing policy? (*)	
B. Is your responsible minerals sourcing policy publicly available on your website? (Note – If yes, the user shall specify the URL in the comment field.) (*)	
C. Do you require your direct suppliers to source the 3TG 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

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

Conflict Minerals Reporting

Smelter List



Smelter List Data entry:

1. Follow instructions at the top of “**Smelter List**” tab.
2. Consolidate the Smelters list received from your suppliers by eliminating duplicates before entering it into **Smelter List** worksheet

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.



Quick Links

Particulars	Web links
Responsible Minerals Initiative (RMI)	http://www.responsiblemineralsinitiative.org/reporting-templates/cmrt/
Conflict Minerals Reporting Template 6.0	http://www.responsiblemineralsinitiative.org/media/docs/CMRT%206.0%20Guide_final.pdf

ABB