Introduction

This Extended Mineral Reporting Template (EMRT) is a free, standardized reporting template created by the Responsible Minerals Initiative® (RMI®). The Template facilitates the transfer of information through the supply chain regarding mineral country of origin and smelters, refiners and processors being utilized and supports the exercise of due diligence in accordance with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas. The template also facilitates the identification of new smelters and refiners to potentially undergo an audit via the Responsible Minerals Assurance Process.

The EMRT was designed for downstream companies to disclose information about their supply chains up to but not including the smelter. If you are a smelter or refiner, we recommend you enter your own name in the smelter list tab.

When filling out the form, none of the cell entries should start with "=" or "#."

Instructions for completing Company Information questions (rows 8 - 22).
Provide comments in ENGLISH only

Note: Entries with (*) are mandatory fields.

1. Insert your company's Legal Name. Please do not use abbreviations. In this field you have the option to add other commercial names, DBAs, etc. This field is mandatory.

2. Select your company's Declaration Scope. The options for scope are:

A. Company-wide
B. Product (or List of Products)
C. User-Defined

For "Company-wide", the declaration encompasses the entirety of a company's products or product substances produced by the parent company. Therefore if the user is reporting cobalt or natural mica data at the company level, they will be reporting data on all products they manufacture.

For Scope selection of Product (or List of Products), a link to the worksheet tab for Product List will be displayed. If this scope is chosen, it is mandatory to list the Manufacturer's Product Number of the products covered under the Scope of this Declaration in Column B of the Product List worksheet. It is optional to list the Manufacturer's Product Name in Column C of the Product List worksheet.

For Scope selection of "User Defined", it is mandatory that the user describes the scope to which the cobalt or natural mica disclosure is applicable. The scope of this class shall be defined in a text field by the supplier and should be easily understood by customers or the receivers of the document. As an example, companies may provide a link to clarifying information.

This field is mandatory.

3. Insert your company's unique identifier number or code (DUNS number, VAT number, customer-specific identifier, etc.)

4. Insert the source for the unique identifier number or code ("DUNS", "VAT", "Customer", etc).

5. Insert your full company address (street, city, state, country, postal code). This field is optional.

6. Insert the name of the person to contact regarding the contents of the declaration information. This field is mandatory.

7. Insert the email address of the contact person. If an email address is not available, state "not available" or "n/a". A blank field may cause an error in form implementation. This field is mandatory.

8. Insert the telephone number for the contact. This field is mandatory.

9. Insert the name of the person who is responsible for the contents of the declaration information. The authorizer may be a different individual than the contact person. It is not correct to use the words ''same'' or similar identification to provide the name of the authorizer. This field is mandatory.

10. Insert the title for the Authorizing person. This field is optional.

11. Insert the email address of the Authorizing person. If an email address is not available, state ''not available'' or ''n/a.'' A blank field may cause an error in form implementation. This field is mandatory.

12. Insert the telephone number for the Authorizing person. This field is optional.

13. Please enter the Date of Completion for this form using the format DD-MMM-YYYY. This field is mandatory.

14. As an example, the user may save the file name as: companyname-date.xlsx (date as YYYY-MM-DD).

Instructions for completing the seven Declaration of Scope Questions (rows 24 - 63).
Provide answers in ENGLISH only

These seven questions define the usage, origination and sourcing identification for cobalt or natural mica. The questions are designed to collect information about the use of cobalt or natural mica in the company's product(s) and the completeness of reporting. Responses to these questions shall represent the 'Declaration Scope' selected in the company information section.

Provide comments in the Comment sections as required to clarify your responses.

Provide an answer using the pull down menu selections. If the response for cobalt or natural mica to question 1 and 2 is positive, then all questions shall be completed for cobalt or natural mica and the following due diligence questions (A to G) shall be completed about the company's overall due diligence program.

1. This question is used to determine whether cobalt or natural mica is within the scope of the reporting requirement. The response to this question serves to exclude any trace-level contaminants or naturally-occurring by-products.

This question asks if any cobalt or natural mica is used as raw material, component or additive in a product that you manufacture, including compounds. Impurities from raw materials, components, additives, abrasives, and cutting tools are outside the scope of the survey.

The answer to this question shall be either "yes" "no" "unknown" or "not applicable for this declaration". "Not applicable for this declaration" can be used if a material is not in scope of the declaration.

Some companies may require substantiation for a "No" answer that should be entered into the Comment Field.

2. This question shall be answered for cobalt and/or mica for which the answer to question 1 is "yes." This is the second of two questions for which the response is used to determine whether the cobalt or mica is within the scope of this reporting template. This question is dependent upon the question and response to Question 1. This question is intended to identify cobalt and mica which are intentionally added or included in the manufacturing process of a product where some amount of the cobalt and mica remains in the finished product. This includes cobalt and mica which may not have been intended to become part of the final product and may not be necessary to the functionality of the product but are only present as residuals of the manufacturing process. In many cases, the manufacturer may have attempted to remove or facilitate consumption of the cobalt and mica during the manufacturing process, however, some amount of the cobalt and mica remains. Should the cobalt or mica, which is added or included during the manufacturing process, be completely removed such that none of the cobalt or mica remains upon the completion of that process, the response to this question would be no.

This question shall be answered for cobalt and mica. Valid answers to this question are either "yes", "no", or "unknown". This question is mandatory.

3. This is a declaration that any portion of the cobalt or natural mica contained in a product or multiple products originates from a conflict-affected and high-risk area (CAHRA). The answer to this question should be "yes" if any smelter in the supply chain sources from CAHRAs, regardless of whether such a smelter has been independently audited or not.

The answers to this question for cobalt shall be "yes," "no," "unknown," or "DRC only." The answers to this question for mica shall be "yes," "no," "unknown," or "India and/or Madagascar only." Substantiate a "Yes" answer in the comments section. An answer of "unknown" is an acceptable response. This question is mandatory for cobalt or natural mica if the response to Question 1 and 2 is "Yes."

4. This is a declaration that identifies whether cobalt contained in the product(s) originate exclusively from recycled or scrap sources.

The answer to this question shall be "yes", "no", or "unknown".

A "Yes" answer means that 100% of the cobalt comes from recycled or scrap sources. A "No" answer means that some of the raw material does not come from recycled or scrap sources. An "Unknown" answer means that the user does not know whether or not 100% of the raw material comes from recycled or scrap sources. This field is mandatory.

Note: As of the date of this publication, there is no significant post-consumer recycling of mica.

5. This is a question to determine whether a company has received disclosures from all direct suppliers reasonably believed to be providing cobalt or natural mica contained in the products covered by the scope of this declaration. Permissible responses to this question are:

- 100%
- Greater than 90%
- Greater than 75%
- Greater than 50%
- 50% or less
- None

This field is mandatory.

6. This question verifies if the supplier has reason to believe they have identified all of the smelters providing cobalt or natural mica in the products covered by this declaration. The answer to this question shall be "Yes" "No" or "unknown", along with a comment in certain cases, e.g. list of smelters. This field is mandatory.

7. This question verifies that all of the smelters or processors identified to be providing any of the raw materials contained in the products covered by the scope of this declaration have been reported in this declaration. The answer to this question shall be "yes," "no," or "unknown" along with a comment in certain cases e.g. list of smelters.

Instructions for completing Questions A. – G. (rows 69 - 83). Questions A through G are mandatory if the response to Question 1 and Question 2 is "Yes" for cobalt or natural mica.
Provide answers in ENGLISH only.

The OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-affected and High-risk Areas (OECD Guidance) defines "Due Diligence" as "an on-going, proactive and reactive process through which companies can ensure that they respect human rights and do not contribute to conflict". More information is available at
http://www.responsiblemineralsinitiative.org/training-and-resources/conflict-affected-and-high-risk-areas/.

Questions A. through G are designed to assess your company's cobalt and/or natural mica sourcing due diligence activities. Responses to these questions shall represent the full scope of your company's activities and shall not be limited to the 'Declaration Scope' selected in the company information section.

A. This is a declaration to disclose whether a company has a responsible minerals sourcing policy. The answer to this question shall be "yes" or "no."

B. This is a declaration to disclose whether a company's responsible minerals sourcing policy is available on the company website. The answer to this question shall be "yes" or "no." If "yes," add the URL in the comments field.

C. This is a declaration to determine whether a company requires their direct suppliers to source cobalt and/or natural mica from independently validated smelters and processors. The answer to this question for cobalt shall be "yes" or "no." The answer to this question for mica shall be "yes," "yes, when more processors are validated," or "no." Comments should be captured in a question comment field. This field is mandatory.

D. This is a question to disclose whether a company has implemented responsible minerals sourcing due diligence measures. This question is not intended to provide details of a company's due diligence measures. The aspects of acceptable due diligence measures shall be determined by the requestor and supplier.

The answer to this question shall be "yes" or "no." If "yes," the user shall describe the due diligence measures implemented in the question comment field (e.g. OECD Due Diligence Framework).

E. This is a question to disclose whether a company requests their supplier to fill out an extended mineral reporting template. Acceptable answers are listed below, in certain cases further explanation may be required, i.e., to provide the format used for collecting information. If the answer is "Yes, using other format" the user shall provide a comment in a question comment field. Permissible responses to this question are:

- Yes, in conformance with IPC-1755 (e.g. EMRT)
- Yes, using other format (describe)
- No

This field is mandatory.

F. Please answer "Yes" or "No". In the comments section, you can provide additional information on your approach. Examples could be:

 "3rd party audit" - on-site audits of your suppliers conducted by independent third parties.
 "Documentation review only" - a review of supplier submitted records and documentation conducted by independent third parties and, or your company personnel.
 "Internal audit" - on-site audits of your suppliers conducted by your company personnel.

This field is mandatory.

G. This is a question to disclose whether a company's review process includes corrective action management. The answer to this question shall be "yes" or "no." Comments shall be captured in a question comment field. This field is mandatory.

Instructions for completing the Smelter List Tab.
Provide answers in ENGLISH only

Note: Columns with (*) are mandatory fields

This template allows for the identification of smelters, refiners, or processors using the Smelter Look-up. Columns B, and C must be completed in order from left to right to utilize the Smelter Look-up feature.
Use a separate line for each metal/smelter/country combination.

1. Smelter Identification Input Column - If you know the Smelter Identification Number, input the number in Column A (columns B, C, D, E, F, G, I, and J will auto-populate). Column A does not autopopulate

2. Metal (*) - Use the pull down menu to select the metal for which you are entering smelter information. This field is mandatory.

3. Smelter Look-up (*) - Select from dropdown. This is the list of known smelters as of template release date. If smelter is not listed select 'Smelter Not Listed'. This will allow you to enter the name of the smelter in Column D. If you do not know the name or location of the smelter, select 'Smelter Not Yet Identified.' For this option, columns D and E will autopopulate to say, 'unknown.' This field is mandatory.

4. Smelter Name (1)- Fill in smelter name if you selected "Smelter Not Listed" in column C. This field will auto-populate when a smelter name in selected in Column C. This field is mandatory.

5. Smelter Country (*) – This field will auto-populate when a smelter name is selected in column C. If you selected "Smelter Not Listed" in column C, use the pull down menu to select the country location of the smelter. This field is mandatory.

6. Smelter Identification - This is a unique identifier assigned to a smelter or refiner according to an established smelter and refinery identification system. It is expected that multiple names or aliases could be used to describe a single smelter or refiner and therefore multiple names or aliases could be associated to a single 'Smelter ID'.

7. Source of Smelter Identification Number - This is the source of the Smelter Identification Number entered in Column F. If a smelter name was selected in Column C using the dropdown box, this field will auto-populate.

8. Smelter Street - Provide the street name on which the smelter is located. This field is optional.

9. Smelter City – Provide the city name of where the smelter is located. This field is optional.

10. Smelter Location: State/Province, if applicable – Provide the state or province where the smelter is located. This field is optional.

11. Smelter Contact Name – The Extended Mineral Reporting Template (EMRT) is circulated among companies in the requesting company's supply chain to exercise due diligence in accordance with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk.

If the template is circulated in a country where laws protecting personal information exist, sharing personal contact information in the EMRT may violate related regulations. Therefore, it is recommended that the requesting company take precautions such as obtaining the contact person's permission to share the information with other companies in the supply chain when completing "Smelter Contact Name" and the "Smelter Contact Email" columns.

If you have permission to share this information, please fill in the name of the Smelter Facility Contact person who you worked with.

12. Smelter Contact Email – Fill in the email address of the Smelter Facility contact person who was identified as the Smelter Contact Name. Example: John.Smith@SmelterXXX.com. Please review the instructions for Smelter Contact Name before completing this field.

13. Name of Mine(s) - This field allows a company to define the actual mines being used by the smelter. Please enter the actual mine names if known. If 100% of the smelter's feedstock originates from recycled or scrap sources, enter "Recycled" or "Scrap" in place of the name of the mine and answer "Yes" in Column P.

14. Location (Country) of Mine(s) - This is a free form text field that allows a company to define the location of the mines being used by the smelter. Please enter the country of the mine(s). If the country of origin is not known, enter "Unknown". If 100% of the smelter's feedstock originates from recycled or scrap sources, enter "Recycled" or "Scrap" in place of the country of origin. This field is optional.

15. Indicates whether the smelter solely obtains inputs for its smelting process(es) from recycled or scrap sources. This question is optional. Permissible responses to this question are:

- Yes
- No
- Unknown

16. Comments – free form text field to enter any comments concerning the smelter. Example: smelter is being acquired by Company YYY

TERMS AND CONDITIONS

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