Conflict Minerals Reporting Training

Module 2: How to Complete A
Conflict Minerals Reporting Template (CMRT)

July 2015

Conflict Minerals Training Modules

Go Further

Module 1

- **Background on the Conflict Minerals legislation**
- **Overview of reporting expectations**
- **Timeline & Actions Required**

Intended Audience

- **Suppliers unfamiliar with conflict minerals reporting requirements**

Today's topic

Module 2

- **Instructions for completing the Conflict Minerals Reporting Template (CMRT)**
- **Methods for CMRT submission**

Intended Audience

- **Person responsible for annual conflict minerals reporting to Ford**

**The Focus Of This Presentation Is Module 2;
Module 1 Training Available At: https://fsp.portal.covisint.com**

Module Purpose And Agenda

Desired Outcome:

- Understand Ford's expectations of its suppliers on how to complete a high quality Conflict Minerals Reporting Template (CMRT), including examples of common errors

Agenda	Slide
Conflict Minerals Reporting Template Overview	**4**
Review of CMRT Tabs and Sections	**5 – 14**
CMRT Submittal Methods To Ford	**15 – 16**
Additional Resources	**17**

Conflict Minerals Reporting Template

Go Further

http://www.conflictfreesourcing.org/conflict-minerals-reporting-template/

1 Language Options

- Chinese
- English
- Japanese
- Korean
- French
- Portuguese
- German
- Spanish
- Italian

2 Company Information

- Company Name
- Address
- Contact Person
- Email and Telephone

Note:
- **Yellow sections are required fields**
- **Grey fields do not need to be completed**

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

4 Company Sourcing Policy Information

Revision / Instructions / Definitions / **Declaration** / Smelter List / Checker / Product List / Smelter Reference List

5 Smelter List

CMRT: Language

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Conflict Minerals Reporting Template (CMRT)

Select Language Preference Here:
请选择你的语言:
사용할 언어를 선택하시오:
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:

English

① **Language Options**

Revision 4.0
April 30, 2015
Link to Terms & Conditions

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

General Guidelines:

- **Select the language of your choice for completing template questions**
  - Options: Chinese, Japanese, Korean, French, Portuguese, German, Spanish, Italian

- **Change language selection to English prior to submitting**

- **Complete "Company Information" and all "Comment" fields in English**

Common Errors:

- Writing company information in a language other than English

- Writing comments in a language other than English

CMRT: Company Information

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 (*):

② Company Information

General Guidelines:

- **Choose "Declaration Scope or Class"**
  - *Preferred:* User-defined - includes only supplier responses for parts sent to Ford in 2015
  - Company level - includes supplier responses for *all* parts sent to *all* customers

- **Use GSDB code as "Company Unique ID" on CMRT to Ford**

- **"Contact" vs. "Authorizer"**
  - Ford will use "Contact" information to send feedback and further instructions

Common Errors:

- Listing more than one name or email in a contact field

- Entering special characters in a contact field, like "/" or ","

- Forgetting to change the "Effective Date" in updated submissions

- Leaving required fields blank (or yellow)

CMRT: Questions 1 And 2

Ford — Go Further

1) Is the 3TG intentionally added to your product? (*)

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

(3) Tin, Tungsten, Tantalum and Gold Questions

2) Is the 3TG necessary to the production of your company's products and contained in the finished product that your company manufactures or contracts to manufacture? (*)

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

Answer Options:
- Yes
- No

General Guidelines:

- **Responses must match IMDS data submitted to Ford**

- **Answers to Questions 1 and 2 should be the same**

- **Ford expects "Yes" if 3TG is intentionally added *anywhere* in your supply chain**

Common Errors:

- Not checking Ford IMDS parts reports for in-scope metal(s)

- Answering "No" but providing no comment for in-scope metal

- Answering "Yes" for Question 1 and "No" for Question 2

Ford
Go Further

3) **Do any of the smelters in your supply chain source the 3TG from the covered countries? (*)**

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

3 **Tin, Tungsten, Tantalum and Gold Questions**

Answer Options:
- **Yes**
- **No**
- **Unknown**

General Guidelines:

- **No penalty for answering "Yes" or "Unknown" to Question 3**

  – If you answer "Yes," include the "Location (Country) of Mine(s)" from your suppliers on your Smelter List for all smelters sourcing from the DRC or surrounding countries.

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"

Declaration | **Smelter List** | Checker | Product List | Smelter Reference List

Common Error:
- Answer "Yes" or "No" to Question 3 for a metal without including smelters or refiners on the Smelter List for that metal

CMRT: Question 4

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

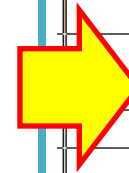|	Answer
Tantalum (*)	
Tin (*)	
Gold (*)	
Tungsten (*)	

3 **Tin, Tungsten, Tantalum and Gold Questions**

Answer Options:
- **Yes**
- **No**
- **Unknown**

General Guidelines:

- **Answer "Yes" *only* if *all* sources of the particular metal use exclusively recycled or scrap material**
  - If you are able to identify the smelters of the recycled metals, list them on the smelter tab and complete columns N, O, and P of the smelter tab (if known)

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 sources?

Declaration | **Smelter List** | Checker | Product List

CMRT: Question 5

3 → **Tin, Tungsten, Tantalum and Gold Questions**

5) Have you received data/information for each 3TG from all relevant suppliers? (*)

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

Answer options:
- **Yes, 100%**
- **No, but greater than 75%**
- **No, but greater than 50%**
- **No, but greater than 25%**
- **No, but less than 25%**
- **None**

General Guidelines:

- **Ford suppliers must survey their suppliers to obtain the information necessary to complete the CMRT (including names of 3TG smelters)**

  – Ford monitors year-over-year improvement in supplier response rate

  – Supplier responses are INCOMPLETE until all Question 5 answers for all in-scope metals are "Yes, 100%"

Common Error:

- Answer "Yes, 100%" without including smelters or refiners on the Smelter List for that metal

CMRT: Question 6

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

3 — **Tin, Tungsten, Tantalum and Gold Questions**

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

Answer options:
- **Yes**
- **No**

General Guidelines:

- **Ford expects all relevant suppliers to submit a complete smelter list**

  – If you have been unable to identify ALL of the 3TG smelters in your supply chain, respond "No" to question 6 and continue working to obtain the required information

  – Supplier responses are INCOMPLETE until all Question 6 answers are "Yes" for all metals

Common Error:

- Answer "Yes, 100%" without including smelters or refiners on the Smelter List for that metal

CMRT: Question 7

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

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

3 Tin, Tungsten, Tantalum and Gold Questions

Answer options:
- **Yes**
- **No**

General Guidelines:

- **If any smelters information received by your company has been excluded from this declaration, the appropriate response to Question 7 is "No"**

- **Ford expects suppliers to use the Comment Box to explain the reason(s) for non-inclusion**

  – Example: some suppliers choose to only report "known" or "validated" smelters from the Smelter Reference List tab in the CMRT

CMRT: Company Level Questions A-J

Answer the Following Questions at a Company Level

Question	Answer
A. Do you have a policy in place that addresses conflict minerals sourcing? (*)	
B. Is your conflict 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 be DRC conflict-free? (*)	
D. 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? (*)	
E. Have you implemented due diligence measures for conflict-free sourcing? (*)	
F. Do you collect conflict minerals due diligence information from your suppliers which is in conformance with the IPC-1755 Conflict Minerals Data Exchange standard [e.g., the CFSI Conflict Minerals Reporting Template]? (*)	
G. Do you request smelter names from your suppliers? (*)	
H. Do you review due diligence information received from your suppliers against your company's	

4 **Company Sourcing Policy Information**

Common Errors:

- Leaving fields blank

- Forgetting required comments, even if Questions A-J are complete

General Guidelines:

- **Complete all questions in this section**
  - Answers are required
- **Note that certain questions require comments**
  - Use "Checker" tab to determine if responses are complete

To ensure all required fields have been populated before submitting to your customers review form for any line items highlighted in red

Click here to return to Declaration tab   Click here to return to Smelter List

Required Fields   **Answer provided**   **Notes**

Required fields remaining to be completed
47
Hyperlink to source

| ◄| | Revision | Instructions | Definitions | Declaration | Smelter List | Checker | Product List | Smelter Reference List | | | ◄ |

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CMRT: Smelter List

| Declaration | **Smelter List** | Checker | Product List |

5 Smelter List

General Guidelines:

- **Consolidate the smelter lists received from your suppliers, then eliminate all duplicates *prior* to entering data on the smelter tab**

- **Check smelter list against the "Smelter Reference List" tab for identified smelters and refiners**

- **Smelter List Data Entry**

  - Follow instructions at the top of "Smelter List" tab

  - Once a metal and smelter is selected from the drop down menu (column B & C), the remaining fields will auto populate

  - If a smelter in your base is not listed, select "Smelter not listed" from the drop down menu in column B and manually add the smelter details

Common Errors:

- Smelter list begins in any row other than row 5

- Mandatory fields (smelter name, country and metal) are blank

- Entering same smelter information in multiple rows

- Smelter listed does not process selected metal

CMRT Submittal Methods To Ford

Two acceptable options:

1. **iPoint Conflict Minerals Platform (iPCMP)**

   – Preferred method for submissions to Ford

   – Consolidate all supplier responses and smelter lists

   – Send CMRTs to your customers (including Ford)

   • Basic License required (FREE!)

   – Request and collect CMRTs from your suppliers

   • Premium or Premium Plus License required (depending on the number of suppliers you are contacting)

   – License options and more information available at website:

   • http://www.conflict-minerals.com/

   – Send your iPCMP account number to cmineral@ford.com

CMRT Submittal Methods To Ford

Two acceptable options:

2. Email directly to Ford

- CMRT can be submitted by emailing spreadsheet file (*.xls or *.xlsx file format only) to cmineral@ford.com

- All email correspondence with Ford should contain a Subject Line ending with your company's unique GSDB code using this format "GSDB: XXXX"

- Example:

To:	cmineral@ford.com
From:	Supplier@ABCD.com
Subject:	Ford CMRT Submission **GSDB: ABCD**

Common CMRT Mistakes Can Result In An Incomplete Report; Correct These Errors To Ensure Ford Receives A Complete CMRT

Additional Resources

- **Conflict-Free Sourcing Initiative (CFSI)**
  - [Conflict Minerals Reporting Template (CMRT)](#)
  - [Training Materials Page](#)
  - [Compliant Smelters List](#)
  - [Active Smelters List](#) (in process to become "compliant")

- **Automotive Industry Action Group (AIAG)**
  - [Conflict Minerals Page](#)
  - [Conflict Minerals Microsite](#)
  - [Technical Guidance for responding to CMRTs](#)

- **[iPoint Conflict Minerals Platform Training](#)**

**A PDF Of This Slide Deck Is Available For Download At
https://fsp.portal.covisint.com**

Questions?

- **Thank you for participating in Ford's conflict minerals training series**

- **Contact cmineral@ford.com with questions**