



SUMMARY REPORT: PROCESSOR

AUDITOR CONFORMANCE STATEMENT

Company Name	Plansee SE
CID Number	CID002556
Assessment Location	Metallwerk-Plansee-Str. 71 6600 Reutte, Tyrol 00000 Austria
Assessment Date	05/15/2023 - 05/15/2023
Assessment Type	Initial Audit (Tungsten) & Re-audit (Tantalum)
Assessment Cycle	2 years
Assessment Period	Initial Audit (Tungsten): 01/01/2022 -04/30/2023, Re-audit (Tantalum): 06/25/2020 - 04/30/2023
Assessment Company	Arche Advisors

CONFORMANCE STATEMENT

Based on all evidence presented during this assessment:

X	The auditor confirms that there is no reason to believe goods directly or indirectly financed or benefited armed groups that are perpetrators of serious human rights abuses in the DRC or an adjoining country.
X	The auditor confirms that the company's due diligence system is designed in accordance with the OECD Due Diligence Guidance for Responsible Mineral Supply Chains from Conflict-Affected or High-Risk Areas.
Y	The auditor confirms that all sources of 3TG are identified and confirmed to be either - Scrap or recycled material (as defined by the OECD DDG); OR - From RMAP (or equivalent) validated companies.
N/A	The auditor confirms that all sources of other minerals/metals included in the scope of the assessment are identified and confirmed to be either - Scrap or recycled material (as defined by the OECD DDG); OR - From facilities that will become RMAP (or equivalent) validated by the time of the next assessment (two year conformance validity)

Note: This is an Assessment Summary Report. The Auditor has submitted the Full Assessment Report to the auditee.

1. ASSESSMENT SCOPE

Physical location(s) included in the verification assessment:

FACILITY NAME	FACILITY ADDRESS	ASSESSMENT DATE(S)
Plansee SE Reutte	Metallwerk-Plansee-Str. 71 Reutte, Tyrol 6600 Austria	05/15/2023 - 05/15/2023



Assessment Scope:

Processes Reviewed	Answer
Step 1: Establish strong company management systems	X
Step 2: Identify and assess risks in the supply chain	X
Step 3: Design and implement a strategy to respond to identified risks	X
Step 4: Carry out independent third-party audit of supply chain due diligence at identified points in the supply chain	X
Step 5: Report on supply chain due diligence	X

Minerals in Scope: Select the appropriate mineral(s).

Mineral	In Scope
Tantalum	X
Tin	
Tungsten	X
Gold	
Cobalt	
Other Minerals/Metals	

Assessment Objective & Criteria

Facilities participating in the Downstream Assessment Program have often been asked by their customers to demonstrate that their responsible sourcing practices are aligned with the OECD Due Diligence Guidance for Responsible Mineral Supply Chains from Conflict-Affected and High-Risk Areas, and to provide validated information about their due diligence activities. The Downstream Assessment Program is designed to provide this validation for customer requirements across mineral and metal value chains, and to meet the European Union Responsible Minerals Regulation (EU Regulation 2017/821) requirements for EU importers of tin, tantalum, tungsten and gold (3TG) that do not meet the definition of a smelter or refiner.

The objective of the audit is to provide a mechanism for downstream companies to obtain independent validation of conflict-free sourcing practices. The audit is carried out against the following criteria:

1. Requirements of the OECD Due Diligence Guidance for Responsible Mineral Supply Chains from Conflict-Affected or High-Risk Areas; and,
2. All sources of 3TG and/or cobalt are identified and confirmed to be either
 - a. Scrap or recycled material (as defined by the OECD DDG); or
 - b. From RMAP (or equivalent) validated companies.
3. All sources of other minerals/metals included in the scope of the assessment are identified and confirmed to be either
 - a. Scrap or recycled material (as defined by the OECD DDG); or
 - b. From facilities that will become RMAP (or equivalent) validated by the time of the next assessment (two year conformance validity)

2. Limitations



3. SUMMARY OF FINDINGS

Process	Summary of Findings Provide a high-level summary of findings for each category that is fit for publication.	Corrective Action Status
Step 1: Establish strong company management systems	none	
Step 2: Identify and assess risks in the supply chain	none	
Step 3: Design and implement a strategy to respond to identified risks	none	
Step 4: Carry out independent third-party audit of supply chain due diligence at identified points in the supply chain	none	
Step 5: Report on supply chain due diligence	none	