



SUMMARY REPORT: PROCESSOR

Company Name	Plansee SE	
Audit Location	Metallwerk Plansee Straße 71, 6600 Reutte, Austria	
Audit Date	13 October 2016	
Audit Type	Processor	
Contact Information	Company	Auditor
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AUDITOR CONFORMANCE STATEMENT

CONFORMANCE STATEMENT	
Based on all evidence presented during this audit:	
YES	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.
YES	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.
YES	The auditor confirms that all sources of 3TG are identified and confirmed to be either <ul style="list-style-type: none"> - Scrap or recycled material (as defined by the OECD DDG); OR - From CFSP (or equivalent) validated companies.

1. AUDIT SCOPE

Physical location(s) included in the verification assessment:

FACILITY NAME	FACILITY ADDRESS	AUDIT DATE(S)
Plansee SE	Metallwerk Plansee Straße 71, 6600 Reutte, Austria	13 October 2016

Audit Scope: *Select the appropriate type of company.*

Processes Reviewed	Processor
Determination of Scope	
Supplier Management	X
Supply Chain Transparency	X
Due Diligence	X

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

Mineral	In Scope
Tantalum	X
Tin	
Tungsten	
Gold	

Audit Objective & Criteria

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 are identified and confirmed to be either
 - a. Scrap or recycled material (as defined by the OECD DDG); or
 - b. From CFSP (or equivalent) validated companies.

2. LIMITATIONS

There were no limitations during this audit.

3. SUMMARY OF FINDINGS

There were no findings during this audit.

Process	Summary of Findings	Corrective Action Status
Company Overview	N/A	N/A
Supplier Management	N/A	N/A
Supply Chain Transparency	N/A	N/A
Due Diligence	N/A	N/A