



# RESPONSIBLE MINERALS ASSURANCE PROCESS ASSESSMENT REPORT

## SUMMARY REPORT

<b>Company Name</b>	EMPRESA METALURICA VINTO - EM Vinto	
<b>Audit Location</b>	Road to Vinto Km 7 ½ Localidad Vinto. Oruro / Departamento de Oruro / Bolivia	
<b>Assessment Date</b>	09/05/2018 – 09/06/2018	
<b>Assessment Period</b>	01/01/2017 – 07/31/2018	
<b>Web Page</b>	<a href="http://www.vinto.gob.bo/?page_id=282">http://www.vinto.gob.bo/?page_id=282</a>	
<b>Assessment Type</b>	Re-assessment	
<b>Contact</b>	<b>Company</b>	<b>Auditor</b>
<b>Information</b>	Ramiro Villavicencio General Manager +591 252 70853 int 102 ramiro.vallavicencio@vinto.gob.bo	Monica Morales Lead Auditor Arche Advisors

### AUDITOR CONFORMANCE STATEMENT

Based on all evidence presented during this audit, the auditor confirms:	
<b>YES</b>	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
<b>YES</b>	The company's due diligence system is designed in accordance with the OECD Due Diligence Guidance for Responsible Mineral Supply Chains from Conflict Area <ul style="list-style-type: none"> <li>• Affected or High</li> <li>• Risk Areas</li> </ul>
<b>YES</b>	All sources of 3TG are identified and confirmed to be either <ul style="list-style-type: none"> <li>• Scrap or recycled material (as defined by the OECD DDG); or</li> </ul>

	<ul style="list-style-type: none"> <li>From CFSP (or equivalent) validated companies.</li> </ul>
<b>YES</b>	The company's Conflict Minerals Reporting Template (CMRT) reviewed on the day of the audit is complete and accurate.

Note: This is an Audit Summary Report. The Auditor has submitted the Full Audit Report to the audit

## 1. AUDIT SCOPE

Physical location(s) included in the verification assessment

<b>FACILITY NAME</b>	<b>FACILITY ADDRESS</b>	<b>AUDIT DATE(S)</b>
EMPRESA METALURICA VINTO - EM Vinto	Road to Vinto Km 7 ½ Localidad Vinto. Oruro / Departamento de Oruro / Bolivia	09/05/2018 – 09/06/2018

Audit Scope:

<b>Processes Reviewed</b>	
Determination of Scope	
Supplier Management	<b>X</b>
Supply Chain Transparency	<b>X</b>
Due Diligence	<b>X</b>
CMRT Review	

Mineral in Scope:

<b>Mineral</b>	<b>In Scope</b>
Tantalum	
Tin	<b>X</b>
Tungsten	
Gold	

## **Audit Objective & Criteria**

The objective of the assessments to assess the auditee's level of conformance with the Responsible Minerals Assurance Process Tin Standard of 2017. The audit was carried out against the following methodology:

- The assessment consisted of collecting and reviewing objective evidence including documentation, management and employee interviews, facility walk-through, and other observations demonstrating that the smelter/refiner's due diligence management system conform to the requirements of the relevant Tin Standard.

## 2. LIMITATIONS

There was no limitation of the audit.

### 3. SUMMARY OF FINDINGS

Process	Summary of Findings	Corrective Action Status
<b>Company Overview</b>	None identified.	N/A
<b>Supplier Management</b>	Consistency in Implementation of the Supply Chain Verification Procedure states that according to the Heidelberg Barometer for La Paz Department (state) as a conflict area.	<b>Status: Closed.</b> Corrective actions were fully Implemented.
<b>Supply Chain Transparency</b>	The company demonstrated it have established strong management systems to satisfy most of the requirements of the RMI Tin Standard. The grievance mechanism allowing any interested party to voice concerns regarding the circumstances of mineral extraction, trade, handling and export was provided for review. Material control systems, along with mass balance were observed to be reasonable.	N/A
<b>Due Diligence</b>	<ol style="list-style-type: none"> <li>1. The company has a Conflict Minerals Policy but not fully aligned with OECD Guidance.</li> <li>2. The company has not have a due diligence report</li> </ol>	<b>Status: Closed.</b> Corrective actions were fully Implemented.
<b>CMRT Review</b>	N/A	N/A