



# RESPONSIBLE MINERALS ASSURANCE PROCESS ASSESSMENT REPORT

The flagship program of the RMI, the Responsible Minerals Assurance Process (RMAP), formerly the Conflict-Free Smelter Program (CFSP), takes a unique approach to helping companies make informed choices about responsibly sourced minerals in their supply chains. Focusing on a “pinch point” (a point with relatively few actors) in the global metals supply chain, the RMAP uses an independent third-party audit of smelter/refiner management systems and sourcing practices to validate conformance with RMAP protocols and current global standards. The audit employs a risk-based approach to validate smelters' company level management processes for responsible mineral procurement. Companies can then use this information to inform their sourcing choices. For more information, please visit:

[www.responsiblemineralsinitiative.org](http://www.responsiblemineralsinitiative.org).

<b>Auditee Name</b>	<i>Cosmo Ecochem Co., Ltd.</i>
<b>CID Number</b>	<i>Unique number assigned to facility by RMAP</i>
<b>Facility Address</b>	<i>55, Wonbong-ro, Onsan-eup, Ulju-gun, Korea, Republic of (South)</i>
<b>Assessment Date(s)</b>	<i>07/08/2019</i> <i>1<sup>st</sup> Desktop Review Update: 3/6/2020</i> <i>2<sup>nd</sup> Desktop Review Update: 9/7/2020</i>
<b>Assessment Type</b>	<i>Initial</i> <i>1<sup>st</sup> Desktop Review</i> <i>2<sup>nd</sup> Desktop Review</i>
<b>Assessed Material</b>	<i>Cobalt</i>



<b>Sourcing from High-Risk Supply Chains</b>	Yes
<b>Conformance Validity</b>	<i>This audit is valid for 1 year, 3 year, other</i>

### I.ASSESSMENT SCOPE

<b>Assessment Period</b>	<i>07/01/2018 – 06/30/2019</i>
<b>Assessment Company</b>	<i>UL</i>

### II.ASSESSMENT OBJECTIVES

The objective of the assessment is to assess the auditee’s level of conformance with the Responsible Minerals Assurance Process *Cobalt* Standard of 2018.

### III.ASSESSMENT 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 conforms, in all material aspects, to the requirements of the applicable Standard.

## V.CONCLUSION

<b>Assessment Results:</b>	
<input checked="" type="checkbox"/>	The assessment was conducted in accordance with ISO19001:2011 Standard, taking into account the guidance provided by the Responsible Minerals Assurance Process. The auditor verified the scope, selected samples, and gathered objective evidence through documentation review, interviews, and visual observations.
<input type="checkbox"/>	The auditor found that the auditee’s due diligence system are in conformance, in all material aspects, with the requirements of the Responsible Minerals Assurance Process Tin and Tantalum / Tungsten / Gold Standard of 2017 and the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas.
<input checked="" type="checkbox"/>	The auditor identified material non-conformance(s) between the auditee’s systems, processes and practices and the requirements of the Responsible Minerals Assurance Process Cobalt Standard of 2018 and the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas.  Material non-conformance(s) relate to:
<input checked="" type="checkbox"/>	Step 1: Establish strong company management systems
<input checked="" type="checkbox"/>	Step 2: Identify and assess risks in the supply chain
<input checked="" type="checkbox"/>	Step 3: Design and implement a strategy to respond to identified risks
<input checked="" type="checkbox"/>	Step 5: Report annually on supply chain due diligence
<input type="checkbox"/>	Zero tolerance findings:  <i>Please specify</i>
<b>Auditor Statements:</b>	
<input checked="" type="checkbox"/>	The information provided by the auditee is true and accurate to the best knowledge of the Auditor(s) preparing the report.
<input checked="" type="checkbox"/>	The findings are based on verified objective evidence relevant to the time period for the assessment.
<input checked="" type="checkbox"/>	The Auditor(s) have acted in a manner deemed ethical, truthful, accurate, professional, independent and objective.
<input checked="" type="checkbox"/>	The Auditor(s) are properly qualified to carry out the assessment.
<input checked="" type="checkbox"/>	There were no limitations to this audit.  <i>Please specify in case of any limitations</i>



VI.ASSESSMENT TEAM (NOTE: THIS WILL NOT BE SHARED PUBLICLY)

<i>Ryu, James</i>	<i>Lead</i>	<i>April 2017</i>	<i>N/A</i>
<i>Song, Juliet</i>	<i>Team</i>	<i>December 2017</i>	<i>N/A</i>