



The Copper Mark Summary Report

Site Information

Name of the Site	AKITA ZINC CO., LTD.
Unique identifier provided by the Copper Mark	S020
Address	217-9, Furumichi-shimokawabata, Iijima, Akita
Country of Operation	Japan
Products produced on site. (e.g., concentrate, anodes, cathodes, sulphuric acid, slag, etc.)	Electrolyte
Metals produced on site. (e.g., copper, gold, nickel, silver, molybdenum)	Zinc, Cadmium
Metals included in scope. (This must be all, or a sub-set of the metals produced on site)	Zinc
Metals covered by other independent assessments for Criterion 31 (e.g., RMAP, LBMA, RJC, etc.)	NA
Types of operations included in scope	
Mining	<input type="checkbox"/>
Concentrate blending	<input type="checkbox"/>
Solvent extraction and electrowinning	<input type="checkbox"/>
Smelting	<input checked="" type="checkbox"/>
Refining	<input checked="" type="checkbox"/>
Other (<i>please explain</i>)	
Infrastructure owned or controlled by the site and included in scope	
Roads	<input type="checkbox"/>
Rails	<input type="checkbox"/>

Ports	<input type="checkbox"/>
Other (please explain)	

Equivalency Check

Upon receiving the pre-assessment checklist, the Copper Mark did a review of equivalent certificates and third-party assurances.

The following equivalent systems were applied:

Equivalent systems are determined by the Copper Mark to have standards and assurance requirements that are materially comparable in scope and intent to those of the Copper Mark, in accordance with the [Copper Mark Recognition Process](#).

Equivalent System	Review Process	Criteria Covered by Equivalency
NA	NA	NA

Independent Site Assessment Information

Name of the Lead Assessor	Tamaki Nakaoka
Name of the Assessment Firm (if applicable)	KPMG AZSA Sustainability Co., Ltd.
Date(s) of Assessment Activities (dd/mm/yyyy – dd/mm/yyyy)	23/10/23 (Headquarters); 26/10/23 (AKITA ZINC)
Assessment Period	01/10/22 – 30/09/23
Summary of the Assessment Methodology	<p>The assessment was conducted in accordance with ISO 19011:2018. Assessors first discussed and prepared the JDDS assessment programme for the assessment, which included objectives, risks identified and actions to address them, scope of assessment, assessment period, schedule, criteria, and team members.</p> <p>The assessment procedures mostly consisted of a documentation review prior to site visits to the DOWA METALS & MINING CO., LTD. headquarters and AKITA ZINC, and a review of the Company's 'Step 5 Report'.</p>
Summary of the Assessment Activities	<p>During the site visits to the DOWA headquarters and AKITA ZINC, assessors held an opening meeting; conducted a site tour to obtain an understanding, in particular, of the production process and how raw materials were received, weighed, analysed and accepted; conducted interviews of relevant personnel on how the due diligence management system is implemented; reviewed supporting documents such as collected KYC questionnaires and transaction documents (e.g. B/L and invoices) provided by DOWA and tested</p>

	samples; and finally held a closing meeting, where the assessors reported any findings.
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Summary of Findings

Criteria	Rating	Comments
1. Management System	Fully meets	<p>Akita Zinc has a medium complexity supply chain, sourcing 85% from mined material and 15% recycled material. Mined material is sourced from 11 international suppliers. Recycled material is sourced from 4 domestic companies and 2 international companies.</p> <p>The due diligence system is carried out by the parent company, DOWA METALS & MINING CO., LTD., which is subject to the policies and procedures of DOWA HOLDINGS CO., LTD.</p> <p>At corporate level, there is a Responsible Minerals Procurement Policy, available here.</p> <p>The policy is supported by the Zinc Supply Chain Due Diligence Manual and Zinc Supply Chain Due Diligence Rules.</p> <p>The responsibilities of senior management are outlined specifically in the manual. Resources are commensurate with the scale of business are provided in terms of personnel, and systems to support the implementation. DOWA METALS & MINING CO., LTD. annually evaluates the performance of supply chain due diligence and records it.</p> <p>There is an established grievance mechanism to allow any employee or external stakeholder to anonymously raise concerns. Information on supply chain due diligence is communicated to suppliers via the KYC questionnaire.</p> <p>An opportunity for improvement was identified:</p> <ul style="list-style-type: none"> Dowa Metals & Mining Co. has not incorporated within contracts or agreements with immediate suppliers the requirement for them to provide data required to conduct risk assessment, since they have not encountered any difficulty in obtaining data from suppliers. <p>This was confirmed through interviews with management; interviews with personnel; a</p>

		facility walkthrough; and a review of documents including the policy, manual, rules, grievance mechanism, training records, and records such as results of the supply chain due diligence implementation.
2. Red Flag Identification Process	Fully meets	<p>DOWA METALS & MINING CO., LTD. has established a process appropriate for collecting the necessary information and identifying potential red flags. There is a KYC process that includes a questionnaire and review of publicly available information.</p> <p>There is a documented process to determine CAHRAs, resulting in the CAHRA determination sheet and approval record of CAHRAs.</p> <p>No Red Flags were identified during the assessment period.</p> <p>This was confirmed through interviews with management; and a review of documents including a sample of KYC questionnaires returned from suppliers, internal memo about red flags, a sample of collected information, the management ledger of vessel and source documents.</p>
3. Risk Assessment Process	Not applicable	No red flags were confirmed.
4. Risk Management Process	Not applicable	No red flags were confirmed.
5. Public Reporting	Fully meets	<p>DOWA METALS & MINING CO., LTD. reports annually about the due diligence management system in its annual report, covering the requirements of this standard and Akita Smelter.</p> <p>The report is available here.</p>

Conclusions

Performance Determination	
The site is found to fully meet the conformance criteria of the Joint Due Diligence Standard for Copper, Lead, Nickel and Zinc (Joint Due Diligence Standard).	<input checked="" type="checkbox"/>
The site is found to fully meet or partially meet the conformance criteria of the Joint Due Diligence Standard and has committed	<input type="checkbox"/>

to continuous improvement at the site to fully meet the conformance criteria by 25 September 2024.	
The site is found to miss some or all of the conformance criteria of the Joint Due Diligence Standard and has committed to continuous improvement at the site to fully meet all conformance criteria by 25 September 2024.	<input type="checkbox"/>
The site misses some or all of the conformance criteria of the Joint Due Diligence Standard and has not committed to continuous improvement.	<input type="checkbox"/>
Limitations:	None
Additional comments:	

Assurance Process Information

Date of Performance Determination (dd/mm/yyyy)	29 November 2023
Re-assessment Due Date (dd/mm/yyyy)	28 November 2026