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供应链管理申诉与沟通机制

Appeal Regulation of Supplier Chain Management

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修改履历						
序号	修订记录	版本	生效日期	编制	审核	批准
1	制定 First Release	A/0	2020-2-18	毛崇威 Chongwei Mao	叶飞 Fei Ye	余胜贤 Shengxian She
2	删除举报电话、增加依据、整体更新 Remove Appeal phone call ,add reference and relevant updating	A/1	2021-7-6	毛崇威 Chongwei Mao	叶飞 Fei Ye	余胜贤 Shengxian She
3	依据公司架构调整更新内容 Revise the update content to align with the organizational structure.	A/2	2022-10-10	李慧琴 Huiqin Li	陈晨 Chen Chen	叶飞 Fei Ye
4	增加准迅速采取补救行动以及纠正和预防措施 Increased access to prompt remedial action as well as corrective and preventive measures	A/3	2024-11-14	钱慧娟 Huijuan Qian	陈晨 Chen Chen	廖青松 Qingsong Liao

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1 目的 Purpose

为了加强同受影响地区、供应链上下游企业、政府部门、非政府组织、媒体及其他相关各方的沟通与协作，及时、有效回应相关方关切，不断提高公司供应链治理能力和信息透明度，本着“诚实、守信、责任”的原则，专门建立“宁波容百新能源科技股份有限公司供应链申诉与沟通机制”。确保原料采购符合《供应链 ESG 尽职调查规定》要求，认真履行企业社会责任，建立规范、科学、有效的申诉机制，允许公司的相关方（受影响人员或举报者）说出与采矿、贸易、加工和出口情况有关的疑虑并得到妥善处理。

In order to strengthen communication and cooperation with affected areas, upstream and downstream enterprises in the supply chain, government departments, non-governmental organizations, media and other relevant parties, respond to the concerns of relevant parties in a timely and effective manner, and continuously improve the company's supply chain governance ability and information transparency, the "Supply chain ESG due diligence regulations" is specially established based on the principle of "honesty, trustworthiness and responsibility". Ensure that the raw material procurement meets the requirements of the supply chain due diligence management system, earnestly fulfill the corporate social responsibility, establish a standardized, scientific and effective complaint mechanism, and allow the relevant parties of the company (affected persons or informants) to express their doubts about mining, trade, processing and export and deal with them properly.

2 适用范围 Scope

本制度适用于本公司的相关方及本公司涉及负责任矿物采购相关工作的部门、单位及人员。容百正极材料涉及的供应链，包含 Li、Ni、Co、Mn。

This regulation is applicable to the relevant parties of the company and the departments, units and personnel of the company involved in responsible mineral procurement. The supply chain involved in Ronbay cathode material includes Li, Ni, Co and Mn.

3 依据 Reference

《供应链 ESG 尽职调查规定》、《容百关于负责任全球供应链的尽职管理政策》。

‘Supply Chain ESG Due Diligence Regulation’, ‘Ronbay policy of global supplier chain due diligence’.

4 职责权限 Responsibilities

公司设立申诉工作处理小组，由产品事业部总经理、容百商社总经理、质量环安与可持续发展中心副总经理、供应商管理组组成，工作处理小组负责对申诉的处理。

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The company has set up a complaint handling group, which is composed of the general manager of Product Division, the general manager of Ronbay Trading Company, the deputy general manager of Quality, Environmental safety and Sustainable Development Center, and the supplier management group. The work handling group is responsible for handling complaints.

5 工作程序 Procedure

5.1 申诉信息的收集 Appeal Collection

公司设立联系/申诉电子邮箱，电子邮箱地址：CSR@ronbaymat.com，电子邮箱地址在公司对外公布供应链政策中予以公布，电子邮箱用于接收相关的询问和申诉。

The company has set up a contact / appeal email address: CSR@ronbaymat.com, the e-mail address is published in the company's external supply chain policy. The e-mail address is used to receive relevant inquiries and appeals.

工作中接收到的相关方关于负责任矿物供应链的与采矿、贸易、加工和出口情况有关的疑虑方面的信息。

Information received from relevant parties during the work on concerns related to mining, trade, processing and export of responsible mineral supply chain.

5.2 申诉的内容 Appeal Information

相关方对公司的供应链管理提起申诉时，该申诉需包含以下内容。

When interested parties file a complaint against the company's supply chain management, the complaint shall include the following contents:

1. 具体说明向申述对象申诉的内容及理由；

Specify the appeal and reasons to the object of complaint

2. 附相关支持性证据；

Relevant supporting evidence attached

如果允许请包含：

If allowed, please include:

- a. 申诉方的名称（可匿名）和联系信息；

Name (which may be anonymous) and contact information of the complainant

- b. 申诉人认为可行的解决措施建议

Measures and suggestions considered feasible by the complainant

5.3 申诉信息的分类 Classification of Appeal

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公司需对接收到的询问和申诉信息进行分类识别，申诉信息分为特殊/重要申诉信息、不予受理信息。

The company needs to classify and identify the received inquiry and appeal information. The appeal information is divided into special / important appeal information and inadmissible information.

5.3.1 特殊或重要申诉信息 Special or Important Appeal Information:

管理不符合宁波容百新能源科技股份有限公司的尽责供应链要求的信息；

Manage information that does not meet the due diligence supply chain requirements of Ningbo Ronbay New Energy Technology Co., Ltd;

对公司的矿物采购涉及公司识别的高风险区域的信息；

The company's mineral procurement involves the information of high-risk areas identified by the company;

对公司的矿物采购不符合公司的供应链政策的信息。

Information that the company's mineral procurement does not comply with the company's supply chain policy.

5.3.2 不予受理信息 Inadmissible information:

与公司的矿产供应链尽责管理无关的投诉；

Complaints that are unrelated to the company's due diligence in the mineral supply chain;

琐碎的、恶意的、无理取闹的或似乎是为了获得竞争优势而产生的投诉；

Complaints that are trivial, malicious, vexatious or appear to be made to gain a competitive advantage;

没有令人信服的客观证据支持的投诉。

There is no convincing objective evidence to support the complaint.

5.4 申诉的处理 Disposition of Appeal

本申诉处理机制通过以下六个步骤开展工作：

The complaint handling mechanism works through the following six steps

步骤一：接受申诉或沟通

Step 1: accept appeal or communication

受理申诉与沟通的工作人员负责记录申诉与沟通内容，并确保把相关内容记录在申诉档案中。

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The staff accepting the appeal and communication are responsible for recording the contents of the appeal and communication and ensuring that the relevant contents are recorded in the appeal file.

步骤二：初步评估

Step 2: preliminary assessment

供应商管理组初步评估申诉与沟通的内容是否符合本申诉与沟通机制的范围，并将相关信息传达给申诉工作处理小组。

The supplier management department evaluate preliminarily whether the contents of appeal and communication meet the scope of this appeal and communication mechanism, and convey relevant information to complaint handling group.

步骤三：申诉确认

Step 3: appeal confirmation

在收到申诉与沟通事项之后的七个工作日内，供应商管理组向申诉人反馈书面回函，以确认收到申诉，并提供解决申诉的步骤和时间。

Within seven working days after receiving the complaint and communication, the supplier management department feedback a written reply to the complainant to confirm the receipt of the complaint and provide the steps and time to solve the complaint.

步骤四：申诉回应

Step 4: appeal response

申诉调查将在接到申诉之后立刻开展，供应商管理组在申诉开始之日起一个月内完成与申诉有关的调查报告，形成回应结论，并组织申诉工作处理小组启动申诉评审会议，由容百商社总经理、质量环安与可持续发展中心副总经理对供应商管理组输出的调查报告进行评审，产品事业部总经理做最终决定，评审会议结束后供应商管理组输出申诉评审表。回应的内容将会有三种方式：

The complaint investigation will be carried out immediately after receiving the complaint. The supplier management department will complete the investigation report related to the complaint within one month from the date of the complaint, form a response conclusion, and organize the complaint handling team to start the complaint review meeting. The general manager of Ronbay Trading Company and the deputy general manager of Quality, Environmental Safety and Sustainable Development Center will review the survey report output by the supplier management department, and the general manager of Product Division will make the final decision. After the review meeting,

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the supplier management department outputs the appeal review form The content of the response will be in three ways:

1. 不符合申诉范围，申诉不成立，驳回；

If it does not meet the scope of appeal, the appeal is not tenable and rejected;

2. 接受申诉，但本公司不存在申诉问题，无需采取纠正或改进措施；

Accept the appeal, but the company has no appeal problem and does not need to take corrective or improvement measures;

3. 接受申诉，确认需要采取遏制、纠正和预防措施。

Accept the appeal, containment, corrective and preventive measures need to be taken.

步骤五：遏制、纠正和预防措施

Step 5: containment, corrective and preventive measures

如申诉方提供的申诉信息表明公司制度、行为违背相关法律法规，供应商管理组应立即将相关信息传达给申诉工作处理小组并立即采取遏制措施减轻影响，同时采取纠正措施以避免供应链不合规。为确保类似情况不再发生，还应采取预防措施以避免再次违规。

If the complaint information provided by the complainant indicates that the company's system or behavior violates relevant laws and regulations, the supplier management department shall immediately convey the relevant information to the complaint handling team and take immediate containment measures to mitigate the impact, while taking corrective measures to avoid supply chain non-compliance. To ensure that similar situations do not happen again, preventive measures should also be taken to avoid repeat violations.

如申诉方对调查报告或纠正措施不满意，供应商管理组将开展进一步的调查和研究，确定需要深入开展的行动方案并予以实施。如申诉方仍就与公司改进行动无法达成一致，可将申诉转交给第三方进行调解或聘请外部专家参与审查及磋商。

If the complainant is not satisfied with the investigation report or corrective measures, the supplier management department will carry out further investigation and research, determine the action plan that needs to be carried out in depth and implement it. If the complainant still fails to reach an agreement with the company on improvement actions, the complainant can refer the complaint to a third party for mediation or hire external experts to participate in review and consultation.

步骤六：监测与评价

Step 6: monitoring and evaluation

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供应商管理组每个季度将收到的申诉、解决以及未决的情况向申诉工作处理小组汇报；每年分析申诉解决的情况以及时限，并评估申诉与沟通机制的有效性。

The supplier management department shall report the received complaints, solutions and pending situations to the complaint handling team; Analyze the situation and time limit of appeal resolution every year, and evaluate the effectiveness of appeal and communication mechanism.

5.5 申诉的记录 Record of Appeal

供应商管理组应将收到的申诉记录在申诉登记册中，包括以下内容：

The supplier management department shall record the received complaints in the complaint register, including the following contents:

何人何时提交申诉；

Who submits the complaint and when;

申诉的类型、问题或主题以及随申诉提交的信息；

The type, question or subject of the complaint and the information submitted with the complaint;

6 申诉人受诬陷或受打击报复的管理 Protection for Appealer

6.1 申诉信息接收后，由供应商管理组负责信息的保存，信息审核的传递，信息的处理和反馈。

After receiving the appeal information, the supply chain management center is responsible for the preservation of the information, the transmission of the information review, the processing and feedback of the information.

6.2 打击报复或指使他人打击报复的，根据容百公司行为准则给予严肃处理，涉嫌违法犯罪的移送司法机关。

Those who retaliate or instigate others to retaliate shall be dealt with seriously according to the code of conduct of Ronbay company, and those suspected of violating the law and committing a crime shall be transferred to the judicial organ.

7 申诉人的保障措施 Appeal's safeguards

7.1 公司对申诉或沟通有关举报供应链尽责管理相关不合规事件的合作伙伴或相关人员，提供保持合作权限以及额外奖励等保障措施。公司对主动申报和沟通并提供有价值线索的合作伙伴，提供豁免权以及保持合作权。

The company provides safeguard measures such as maintaining cooperation authority and additional incentives for partners or relevant personnel who complain or communicate about reporting

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non-compliance events related to responsible management of the supply chain. The company will provide immunity and maintain cooperation rights for partners who actively declare, communicate and provide valuable clues.

7.1.1 无论相关单位是主动还是被动向公司员工及其关联人员提供不正当利益，如果相关单位主动向供应商管理组说明情况，公司将继续保持业务合作关系，并对所说明的违规责任不予追究，免于处罚。

No matter whether the relevant units actively or passively provide illegitimate benefits to the company's employees and their affiliates, if the relevant units actively explain the situation to the Supplier management department , the company will continue to maintain business cooperation, and will not investigate the responsibility for the violation and be exempted from punishment.

7.1.2 如果供应商管理组在调查过程中，相关单位积极配合调查并主动说明存在问题，公司将减轻追究其违规责任，在调查过程中如果主动提供供应商管理组未掌握的供应链尽责管理不合规的信息，在公司权利范围内可免于处罚。

If the relevant units actively cooperate with the investigation and take the initiative to explain the existing problems to the Supplier management department during the investigation process, the company will reduce the liability for violation. If the company proactively provides the non-compliance information of supply chain due diligence management not mastered by the Supplier management department during the investigation, it will be exempted from punishment within the scope of the company's rights.

7.2 供应商管理组对申诉信息严格保密。申诉材料应作为机密级资料严格管理，未经公司申诉工作处理小组批准，任何人不得调阅。严禁将申诉材料转到被申诉方手中，严禁打击报复举报人，保护举报人的合法权益，对严重泄密、导致举报人合法权益受到损害的，移交司法机关处理。

The Supplier management department shall keep the complaint information strictly confidential. The complaint materials shall be strictly managed as confidential materials and shall not be accessed by anyone without the approval of the complaint handling team. It is strictly prohibited to transfer the complaint materials to the respondent, retaliate against the informant, protect the legitimate rights and interests of the informant, and hand over to the judicial organ for handling if the informant's legitimate rights and interests are damaged due to serious disclosure of secrets.