

RONBAY Supplier Code of Conduct V4.0

《RONBAY供应商行为准则》V4.0

RONBAY has a company vision, “To be a socially responsible, healthy corporate citizen of the world.” RONBAY is committed to ensuring that working conditions in RONBAY’s supply chain are safe, that workers are treated with dignity and respect, manufacturing processes are environmentally responsible, and all business operations are conducted ethically. RONBAY’s supplier (“Supplier”) commit, in all of their activities, to operate in full compliance with the laws, rules and regulations of the countries in which they operates.

RONBAY的愿景是“建立具有一流创新能力以及高度商业文明的新能源产业集群”，RONBAY承诺确保在我们的供应链中提供安全的工作环境，给与员工尊严和尊重，采用对环境负责的制造流程，并在经营中遵守商业道德规范。RONBAY的供应商（以下简称“供应商”）在其所有的经营活动中，都有义务完全遵守其所在国家/地区的法律法规来经营。

RONBAY requires that Supplier implement this code using the management systems described below. For RONBAY, we will consider these items in our selection of suppliers and will actively monitor supplier compliance. Any violation of this Code may damage the business relationship between the suppliers and RONBAY, and may even result in the termination of business relationship.

RONBAY要求供应商通过使用下面介绍的管理系统来执行此准则。对于RONBAY，我们将考虑把这些条款作为我们供应商筛选的一部分，我们也将积极地监管供应商的合规性。任何违反本准则的行为可能损害供应商与RONBAY之间的业务关系，甚至导致终止双方的业务关系。

RONBAY may visit (and/or appoint third party inspectors to visit) suppliers with or without notice to assess their compliance with laws and regulations and this Code. If a supplier or its supply chain is reported by a relevant party or identified as violating the Code, the supplier shall complete a written formal initial response within 3 days, submit relevant evidence within 14 days to make an appeal or formulate an effective program to avoid or reduce risk (including specific measures, responsible person and deadline) and confirm that it has complied with the requirements of this Code of Conduct within 6 months, or else RONBAY shall have the right to terminate transactions with the supplier. If RONBAY is unable to use the products due to the supplier's or its supply chain's behavior in violation of the Code, it shall be dealt with in accordance with Article 9.2 of the Product Purchase and Sales Contract.

RONBAY可能会在预先通知或不通知的情况下前往（和/或委派第三方监察人员前往）查看供应商，以评估供应商是否遵守了法律法规及本准则。若供应商或其供应链被相关方举报或被识

别出违反了本准则的行为，需于3日内完成书面正式的初步响应，14日内提交相关证据进行申诉或制定有效的规避或者降低风险的方案（包括具体措施、责任人及纳期），并在6个月内确认已符合本准则行为要求，否则RONBAY有权终止与供应商的交易；若由于供应商或其供应链违反本准则的行为导致RONBAY无法使用供应商所供应产品的情况，按照《产品购销合同》第九条9.2条款处置。

Recognized standards such as Responsible Business Alliance (RBA8.0), Social Accountability 8000 International standard (SA8000), The Universal Declaration Of Human Rights, Foreign Corrupt Practices Act (FCPA), ISO 14001 , International Labor Organization's (ILO) standards , International Bill of Human Rights , UN Guiding Principles on Business and Human Rights , OECD Guidelines for Multinational Enterprises as well as OECD Due Diligence Guidance for Responsible Business Conduct were used as references in preparing this Code and may be useful sources for Supplier.

《RONBAY供应商行为准则》效仿了《责任商业联盟行为准则8.0版（RBA8.0）》，并参考了《社会责任标准（SA8000）》、《世界人权宣言》、《海外反腐败法（FCPA）》、《ISO 14001》、国际劳动组织（ILO）颁布的一系列标准、《国际人权法案》、《联合国工商企业与人权指导原则》、《经合组织跨国企业准则》以及《经合组织负责任商业行为尽责管理指南》，这些标准也可作为供应商信息的来源。

Together we can advance social and environmental responsibility throughout our worldwide supply chain.

请与我们一起，共同推进全球供应链的社会及环境责任。

目录

A. POLICY & COMPLIANCE 政策与合规	5
1) ESG 政策 ESG POLICIES	5
2) 遵守法律法规 COMPLY WITH LAWS AND REGULATIONS	5
B. MANAGEMENT SYSTEM 管理体系	6
1) 公司承诺 COMPANY COMMITMENT	6
2) 管理问责与责任 MANAGEMENT ACCOUNTABILITY AND RESPONSIBILITY	6
3) 法律要求与客户要求 LEGAL AND CUSTOMER REQUIREMENTS	6
4) 风险评估与风险管理 RISK ASSESSMENT AND RISK MANAGEMENT	6
5) 改进目标 IMPROVEMENT OBJECTIVES	7
6) 培训 TRAINING	7
7) 沟通 COMMUNICATION	7
8) 员工反馈、参与和申诉 WORKER FEEDBACK、PARTICIPATION AND GRIEVANCE	7
9) 审核与评估 AUDITS AND ASSESSMENTS	7
10) 纠正行动程序 CORRECTIVE ACTION PROCESS	8
11) 文档和记录 DOCUMENTATION AND RECORDS	8
12) 供应商责任 SUPPLIER RESPONSIBILITY	8
C. LABOR 劳工	9
1) 自由择业 FREELY CHOSEN EMPLOYMENT	9
2) 青年员工 YOUNG WORKERS	10
3) 工作时间 WORKING HOURS	11
4) 薪资福利 WAGES AND BENEFITS	11
5) 人道待遇 HUMANE TREATMENT	11
6) 非歧视 NON-DISCRIMINATION	12
7) 自由结社 FREEDOM OF ASSOCIATION	12
D. HEALTH AND SAFETY 健康与安全	13
1) 职业安全 OCCUPATIONAL SAFETY	13
2) 应急准备 EMERGENCY PREPAREDNESS	13
3) 工伤和疾病 OCCUPATIONAL INJURY AND ILLNESS	14
4) 工业卫生 INDUSTRIAL HYGIENE	14
5) 强体力型工作 PHYSICALLY DEMANDING WORK	14
6) 机器防护 MACHINE SAFEGUARDING	14
7) 公共卫生、饮食和住宿 SANITATION, FOOD, AND HOUSING	15
8) 健康与安全沟通 HEALTH AND SAFETY COMMUNICATION	15
E. ENVIRONMENTAL 环境	16
1) 环境许可与报告 ENVIRONMENTAL PERMITS AND REPORTING	16
2) 预防污染和节约资源 POLLUTION PREVENTION AND RESOURCE REDUCTION	16
3) 有害物质 HAZARDOUS SUBSTANCES	16
4) 废水与固体废物 WASTEWATER AND SOLID WASTE	16
5) 废气排放 AIR EMISSIONS	17

6) 材料限制 MATERIALS RESTRICTIONS	17
7) 水资源管理 WATER MANAGEMENT	17
8) 能源消耗和温室气体排放 ENERGY CONSUMPTION AND GREENHOUSE GAS EMISSIONS	18
9) 循环经济 CIRCULAR ECONOMY	18
10) 生物多样性和保护区 BIODIVERSITY AND PROTECTED AREAS	18
11) 滥伐森林 EXCESSIVE DEFORESTATION	18
12) 噪声和震动 NOISE AND VIBRATION	19
F. ETHICS 道德规范.....	20
1) 诚信经营 BUSINESS INTEGRITY	20
2) 无不正当利益 NO IMPROPER ADVANTAGE	20
3) 信息披露 DISCLOSURE OF INFORMATION	20
4) 知识产权 INTELLECTUAL PROPERTY	20
5) 公平交易、广告和竞争 FAIR BUSINESS, ADVERTISING AND COMPETITION	21
6) 身份保护和无报复政策 PROTECTION OF IDENTITY AND NON-RETALIATION	21
7) 负责任的矿物采购 RESPONSIBLE SOURCING OF MINERALS	21
8) 隐私 PRIVACY	21
G. SOCIETY 社会	22
1) 原住民和少数民族权利 RIGHTS OF INDIGENOUS PEOPLE AND ETHNIC MINORITIES	22
2) 当地社区、社区健康、安全与发展 LOCAL COMMUNITY COMMUNITY HEALTH, SAFETY AND DEVELOPMENT.....	22
3) 文化遗产 CULTURAL HERITAGE	22
H. ENVIRONMENTAL 环境（矿山）	24
1) 空气 AIR	24
2) 噪声和震动 NOISE AND VIBRATION	24
3) 物理不稳定性，土壤侵蚀和土地退化 PHYSICAL INSTABILITY, SOIL EROSION AND LAND DEGRADATION.....	24
4) 土地管理 LAND MANAGEMENT	24
5) 矿物废物管理（尾矿） MINERAL WASTE MANAGEMENT (TAILINGS)	25
6) 矿山关闭计划 MINE CLOSURE PLAN	25
7) 规划和融资回收和关闭（采矿项目结束关闭后的活动） PLANNING AND FINANCING FOR RECOVERY AND CLOSURE (ACTIVITIES AFTER THE COMPLETION AND CLOSURE OF MINING PROJECTS).....	25
I. SOCIETY 社会（矿山）	26
1) 征地安置 LAND ACQUISITION AND RESETTLEMENT	26

A. Policy & Compliance 政策与合规

1) ESG 政策 ESG Policies

Suppliers shall develop a corporate ESG policy approved by senior management, the content of which must align with the core requirements of the UN Guiding Principles on Business and Human Rights and the OECD Guidelines for Responsible Business Conduct. The policy shall include: A clear due diligence framework; Core corporate principles and code of conduct; Specific plans for integrating ESG into business processes. Suppliers must establish a periodic evaluation mechanism to ensure the policy remains effective and up-to-date. Additionally, they shall communicate policy requirements to internal employees, stakeholders, and business partners, while implementing a compliance review mechanism for business partners.

供应商应制定经高层批准的企业ESG政策，其内容需符合《联合国企业与人权指导原则》及《经合组织负责任商业行为指南》的核心要求。该政策应包含：1）明确的尽职调查框架；2）企业核心原则与行为准则；3）ESG融入业务流程的具体方案。供应商须建立定期评估机制，确保政策持续有效并及时更新。同时，需向内部员工、利益相关方及商业伙伴传达政策要求，并建立商业伙伴合规性审查机制。

2) 遵守法律法规 Comply with laws and regulations

Suppliers must comply with the laws and regulations of their respective countries as well as international human rights standards, prioritizing the implementation of stricter norms. In accordance with the UN Guiding Principles on Business and Human Rights, they shall maximize the protection of human rights and the environment. Additionally, they must ensure all permits and licenses are valid and up-to-date, establish a compliance monitoring system, and maintain complete records of violations and corrective actions.

供应商须遵守所在国法律法规及国际人权标准，优先执行更严格的规范，并依据《联合国工商业与人权指导原则》最大限度保护人权与环境。同时，应确保所有许可证件齐全有效，建立合规监控体系，完整记录违规事件及整改情况。

B. Management System 管理体系

Suppliers shall adopt or establish a management system whose scope is related to the content of this Code. The management system shall be designed to ensure: (a) compliance with applicable laws, regulations and customer requirements related to the participant's operations and products; (b) conformance with this Code; and (c) identification and mitigation of operational risks related to this Code. It should also facilitate continual improvement.

供应商应采用或建立范围与本准则内容相关的管理体系。在设计该管理体系时，应确保：(a)符合与供应商的经营和产品相关的适用法律、法规及客户要求；(b)符合本准则；以及(c)识别并减低与本准则相关的经营风险。该体系还应推动持续改进。

该管理体系应包含以下要素 The management system should contain the following elements:

1) 公司承诺 Company Commitment

A corporate social and environmental responsibility policy statements affirming Supplier's commitment to compliance and continual improvement, endorsed by executive management and posted in the facility in the local language.

企业社会和环境责任政策声明，应阐明供应商对合规和持续改进的承诺并由管理层签署，以当地语言印发并张贴于工作场所中。

2) 管理问责与责任 Management Accountability and Responsibility

The Supplier clearly identifies senior executive and company representative responsible for ensuring implementation of the management systems and associated programs. Senior management reviews the status of the management system on a regular basis.

供应商应明确指定由高层管理和公司代表负责确保管理体系和相关方案的实施。高层管理应定期审核管理体系状态。

3) 法律要求与客户要求 Legal and Customer Requirements

A process to identify, monitor and understand applicable laws, regulations and customer requirements, including the requirements of this Code.

用以鉴别、监测和理解适用法律法规及客户要求（包括本准则的要求）的程序

4) 风险评估与风险管理 Risk Assessment and Risk Management

A process to identify the legal compliance, environmental, health and safety and labor practice and ethics risks associated with Supplier's operations. Determination of the relative significance for each risk and implementation of appropriate procedural and physical controls to control the identified risks

and ensure regulatory compliance.

用以识别与供应商经营相关的法律遵从、环境、健康与安全，以及劳动实践和道德风险的程序。确定各风险的相对重要程度，实施适当的程序和实质控制措施，以控制已识别风险并确保合规。

5) 改进目标 Improvement Objectives

Written performance objectives, targets and implementation plans to improve the Supplier's social and environmental performance, including a periodic assessment of Supplier's performance in achieving those objectives.

用于提高供应商社会和环境绩效的书面绩效目标、指标和实施计划，包括对供应商为达成这些目标所取得的绩效进行定期评估。

6) 培训 Training

Programs for training managers and workers to implement Supplier's policies, procedures and improvement objectives and to meet applicable legal and regulatory requirements.

培训管理者和员工以实现供应商的政策、程序和改进目标并符合适用法律法规要求的计划。

7) 沟通 Communication

A process for communicating clear and accurate information about Supplier's policies, practices, expectations and performance to workers and customers.

用以向员工和客户清晰准确地传达有关参与者政策、实践、期望和绩效信息的程序。

8) 员工反馈、参与和申诉 Worker Feedback、Participation and grievance

Ongoing processes to assess employees' understanding of and obtain feedback on practices and conditions covered by this Code and to foster continuous improvement. Establish a secure and supportive atmosphere for employees to voice concerns and offer feedback without apprehension of reprisal.

评估员工对本准则中实践和条件的理解并获得反馈，以及促进持续改进的不间断程序。为员工提供安全的环境以确保员工在不担心打击报复的情况下表达不满和提供反馈意见。

9) 审核与评估 Audits and Assessments

Periodic self-evaluations to ensure conformity to legal and regulatory requirements, the content of the Code and customer contractual requirements related to social and environmental responsibility.

定期进行自我评定，确保符合与社会和环境责任相关的法律和法规要求、本准则中的内容以及客户合同要求。

10) 纠正行动程序 Corrective Action Process

A process for timely correction of deficiencies identified by internal or external assessments, inspections, investigations and reviews.

用以及时纠正内部或外部评估、检查、调查及审核中发现的缺陷的程序。

11) 文档和记录 Documentation and Records

Creation and maintenance of documents and records to ensure regulatory compliance and conformity to company requirements along with appropriate confidentiality to protect privacy.

创建和维护文档和记录，确保遵从法规并符合公司要求和保护隐私的相关保密条款。

12) 供应商责任 Supplier Responsibility

A process to communicate Code requirements to customers and to monitor customer compliance to the Code.

用以向供应商传达准则要求并监督其遵从情况的程序。

C. Labor 劳工

Suppliers are committed to uphold the human rights of workers, and to treat them with dignity and respect as understood by the international community, and not forcing workers to work. This applies to all workers including temporary, migrant, student, contract, direct employees, and any other type of worker. To fulfil its responsibility to respect human rights, a business should have policies and procedures appropriate to its size and environment, including policy commitments to fulfil its responsibility to respect human rights, human rights due diligence procedures to identify, prevent and mitigate human rights impacts, and procedures to take responsibility for how to address human rights impacts and remedy any negative human rights impacts caused or exacerbated by them.

供应商承诺按照国际社会公认准则维护员工人权，并给予其尊严和尊重，不得强迫工人劳动。此处的工人包括临时工、移民、学徒、合同工、直接雇员和任何其他类型的员工。企业为履行尊重人权的责任，应制定与本公司规模和环境相适应的政策和程序，包括履行尊重人权的责任的政策承诺、人权尽责程序以确定，防止和缓解人权影响，并对如何处理人权影响负责和补救其造成或加剧的任何负面人权影响的程序。

劳工标准如下 **The labor standards are :**

1) 自由择业 **Freely Chosen Employment**

Forced, bonded (including debt bondage) or indentured labor, involuntary prison labor, slavery or trafficking of persons shall not be used. This includes transporting, harboring, recruiting, transferring or receiving persons by means of threat, force, coercion, abduction or fraud for labor or services. There shall be no unreasonable restrictions on workers' freedom of movement in the facility in addition to unreasonable restrictions on entering or exiting company-provided facilities. As part of the hiring process, workers must be provided with a written employment agreement in their native language that contains a description of terms and conditions of employment prior to the worker departing from his or her country of origin. All work must be voluntary and workers shall be free to leave work at any time or terminate their employment. Employers and agents may not hold or otherwise destroy, conceal, confiscate or deny access by employees to employees' identity or immigration documents, such as government-issued identification, passports or work permits, unless the holding of work permits is required by law. Workers shall not be required to pay employers or agents recruitment fees or other aggregate fees in excess of one month's salary. All fees charged to workers must be disclosed and fees in excess of one month's salary must be returned to the worker. For foreign workers, standards of

employment and Labour relations are observed that are not inferior to those followed by similar employers in the host country.

不得雇佣被强迫、抵押（包括债役）或用契约束缚的劳工、非自愿的狱中劳工、奴隶或贩卖人口。包括不得通过威胁、强迫、强制、诱拐或欺骗方式运送、窝藏、招聘、转移或接收此类劳工或服务。除了禁止对进出办公场所进行不合理限制以外，还不得对员工在工作场所中的行动自由设置不合理限制。作为招聘流程的一部分，在员工离开其所在国家/地区之前，必须为其提供以其母语书写的书面雇佣协议，其中应包含对雇佣条款与条件的说明。所有工作必须是自愿的，且员工应有权自由随时离开工作岗位或终止雇佣。雇主及代理不得保留或以其他方式损毁、隐匿、没收或拒绝员工查看本人的身份或移民文件，例如政府颁发的身份证明、护照或工作许可，除非依据法律要求必须保留工作许可。不得要求员工向雇主或代理支付金额超过一个月工资作为招聘费或其他费用。必须披露向员工收取的任何费用，且金额超过一个月工资的费用必须返还给员工。对于外籍劳工，遵守不次于东道国类似雇主遵循的就业和劳资关系标准。

2) 青年员工 Young Workers

Child labor is not to be used in any stage of manufacturing. The term “child” refers to any person under the age of 15, or under the age for completing compulsory education, or under the minimum age for employment in the country, whichever is greatest. The use of legitimate workplace learning programs, which comply with all laws and regulations, is supported. Workers under the age of 18 (Young Workers) shall not perform work that is likely to jeopardize their health or safety, including night shifts and overtime. Supplier shall ensure proper management of student workers through proper maintenance of student records, rigorous due diligence of educational partners, and protection of students’ rights in accordance with applicable law and regulations. Supplier shall provide appropriate support and training to all student workers. In the absence of local law, the wage rate for student workers, interns and apprentices shall be at least the same wage rate as other entry-level workers performing equal or similar tasks.

在制造的任何阶段均不得使用童工。“儿童”指未满15岁、低于完成义务教育的年龄或低于国家/地区的最低就业年龄（以最高者为准）的任何人，以年龄最大者为准。支持采用遵守所有法律法规的合法工作场所学徒计划。年龄低于18岁的员工（青年员工）不得从事可能危及健康或安全的工作，包括夜班和加班。供应商应合理维护学生工记录、对导师搭档进行严格的尽职调查，并按照适用法律和法规保护学生工权利，从而确保对学生工进行恰当的管理。供应商应为所有学生工提供适当的支持和培训。如无当地法律规定，学生工、实习生和学徒的工资率至少

应与其他执行相同或相似岗位的初级员工相等。

3) 工作时间 Working Hours

Studies of business practices clearly link worker strain to reduced productivity, increased turnover and increased injury and illness. Workweeks are not to exceed the maximum set by local law. Further, a workweek should not be more than 60 hours per week, including overtime, except in emergency or unusual situations. Workers shall be allowed at least one day off every seven days. Adjust machinery, equipment, working hours, work organization and work processes to suit the physical and mental abilities of workers.

商业实践研究表明，员工过劳与生产率下降、人员流动性增强、伤病人数增加等情况明显相关。周工时不得超过当地法律规定的最大限度。而且，除非遇到紧急或异常情况，一周的工作时间包括加班在内不得超过60个小时。员工每七天至少休息一天。调整机器、设备、工作时间、工作组织和工作过程以适应工人的身体和心理能力。

4) 薪资福利 Wages and Benefits

Compensation paid to workers shall comply with all applicable wage laws, including those relating to minimum wages, overtime hours and legally mandated benefits. In compliance with local laws, workers shall be compensated for overtime at pay rates greater than regular hourly rates. Deductions from wages as a disciplinary measure shall not be permitted. For each pay period, workers shall be provided with a timely and understandable wage statement that includes sufficient information to verify accurate compensation for work performed. All use of temporary, dispatch and outsourced labor will be within the limits of the local law.

向员工支付的报酬应符合所有适用的薪资法律，包括有关最低薪资、加班时间及法定福利的法律。根据当地法律，员工的加班报酬应高于正常的每小时工资水平。禁止以扣减工资作为纪律处分手段。在每个工资结算周期，应及时向员工提供清晰易懂的工资单，有足够的信息来确认付出的劳动所应得的准确报酬。应按照当地法律的限制规定聘用临时工、派遣员工和外包劳工。

5) 人道待遇 Humane Treatment

There is to be no harsh and inhumane treatment including any sexual harassment, sexual abuse, corporal punishment, mental or physical coercion or verbal abuse of workers; nor is there to be the threat of any such treatment. Disciplinary policies and procedures in support of these requirements shall be clearly defined and communicated to workers.

不得对员工实施性骚扰、性虐待、体罚、精神或肉体胁迫或言语侮辱等严苛的非人道待遇；亦不得威胁实施此类行为。支持这些要求的纪律处分政策和程序应清楚地界定并传达给员工。

6) 非歧视 Non-Discrimination

Suppliers should be committed to a workforce free of harassment and unlawful discrimination.

Companies shall not engage in discrimination based on race, color, age, gender, sexual orientation, gender identity and expression, ethnicity or national origin, disability, pregnancy, religion, political affiliation, union membership, covered veteran status, protected genetic information or marital status in hiring and employment practices such as wages, promotions, rewards, and access to training.

Workers shall be provided with reasonable accommodation for religious practices. In addition, workers or potential workers should not be subjected to medical tests or physical exams that could be used in a discriminatory way.

供应商应承诺员工免受骚扰以及非法歧视。公司不得因人种、肤色、年龄、性别、性取向、性别认同和性别表现、种族或民族、残疾、怀孕、宗教信仰、政治派别、社团成员身份、受保护的退伍军人身份、受保护的基因信息或婚姻状况在发放工资、升迁、奖励、培训机会等聘用或雇佣行为中歧视员工。应向员工提供合理的宗教活动安排。此外，不得要求员工或准员工接受可能带有歧视性目的的医疗测试或体检。

7) 自由结社 Freedom of Association

In conformance with local law, participants shall respect the right of all workers to form and join trade unions of their own choosing, to bargain collectively and to engage in peaceful assembly as well as respect the right of workers to refrain from such activities. Workers and/or their representatives shall be able to openly communicate and share ideas and concerns with management regarding working conditions and management practices without fear of discrimination, reprisal, intimidation or harassment. Respect the right of employees of multinational enterprises to establish or join trade unions and representative organizations of their choice.

按照当地法律的要求，供应商应尊重所有员工自由结社及加入工会、集体谈判和参与和平集会的权利，并尊重员工不参加此类活动的权利。员工和/或其代表应能与管理层公开沟通和分享有关工作环境和管理的建议与意见，而无需担心歧视、报复、威胁或骚扰。尊重跨国企业雇员建立或加入自己选择的工会和代表组织的权力。

D. Health and Safety 健康与安全

Suppliers recognize that in addition to minimizing the incidence of work-related injury and illness, a safe and healthy work environment enhances the quality of products and services, consistency of production and worker retention and morale. Suppliers also recognize that ongoing worker input and education is essential to identifying and solving health and safety issues in the workplace.

供应商应了解，除了尽量减少与工作相关的伤病事故以外，建立安全健康的工作环境可提高产品和服务质量，有利于促进生产、提高员工保留率并提升员工士气。供应商还应了解持续的员工投入和教育对于发现和解决工作场所中的健康与安全问题至关重要。

健康与安全标准如下 **The health and safety standards are:**

1) 职业安全 Occupational Safety

Worker exposure to potential safety hazards (e.g., electrical and other energy sources, fire, vehicles, and fall hazards) are to be controlled through proper design, engineering and administrative controls, preventative maintenance and safe work procedures (including lockout/tagout), and ongoing safety training. Where hazards cannot be adequately controlled by these means, workers are to be provided with appropriate, well-maintained, personal protective equipment and educational materials about risks to them associated with these hazards. Workers shall be encouraged to raise safety concerns. Take adequate measures to ensure occupational health and safety in their operations.

应通过正确的设计、工程和管理控制、预防性维护和安全工作流程（包括上锁/挂牌）以及持续的安全培训来控制员工可能遇到的潜在安全危险（如电器和其他能源、火、车辆及坠落危险）。如果无法通过上述方式有效控制危险，应为员工提供适当的、保养良好的个人防护装备和有关上述危险可能导致风险的教育资料。应鼓励员工提出安全疑虑。采取充分措施，在经营中确保职业健康与职业安全。

2) 应急准备 Emergency Preparedness

Potential emergency situations and events are to be identified and assessed, and their impact minimized by implementing emergency plans and response procedures including: emergency reporting, employee notification and evacuation procedures, worker training and drills, appropriate fire detection and suppression equipment, adequate exit facilities and recovery plans. Such plans and procedures shall focus on minimizing harm to life, the environment and property.

应识别并评估紧急情形和紧急事件，并通过实施应急方案及应对程序将其影响降到最低，包括：紧急报告、员工通知和撤离程序、员工训练与演习、适当的火灾侦测及扑灭设备、充足的

出口设施和复原计划。此类计划和程序应尽可能减少对人身、环境和财产的危害。

3) 工伤和疾病 Occupational Injury and Illness

Procedures and systems are to be in place to prevent, manage, track and report occupational injury and illness including provisions to: encourage worker reporting; classify and record injury and illness cases; provide necessary medical treatment; investigate cases and implement corrective actions to eliminate their causes; and facilitate return of workers to work.

应制定程序和体系以预防、管理、跟踪和报告工伤和疾病，包括以下规定：鼓励员工报告；对工伤和疾病案例进行分类和记录；提供必要的医疗服务；调查案例并采取纠正措施以消除影响；帮助员工重返工作。

4) 工业卫生 Industrial Hygiene

Worker exposure to chemical, biological and physical agents is to be identified, evaluated, and controlled. Engineering or administrative controls must be used to control overexposures. When hazards cannot be adequately controlled by such means, worker health is to be protected by appropriate personal protective equipment programs.

应鉴别、评估并控制由化学、生物及物理试剂给员工带来的影响。必须采取工程技术或管理手段来控制危险源过度暴露。无法通过这些方法有效控制危险源时，须通过适当的个人防护装备方案保护员工健康。

5) 强体力型工作 Physically Demanding Work

Worker exposure to the hazards of physically demanding tasks, including manual material handling and heavy or repetitive lifting, prolonged standing and highly repetitive or forceful assembly tasks is to be identified, evaluated and controlled.

应鉴别、评估并控制从事强体力型工作给员工带来的影响，包括人工搬运材料和重复提举重物、长时间站立、高度重复或强力的装配工作。

6) 机器防护 Machine Safeguarding

Production and other machinery shall be evaluated for safety hazards. Physical guards, interlocks and barriers are to be provided and properly maintained where machinery presents an injury hazard to workers.

须对生产设备和其他机械进行安全危害评估。应为可能导致员工受伤的机械提供物理防护装置、连锁装置及屏障，并正确进行维护。

7) 公共卫生、饮食和住宿 Sanitation, Food, and Housing

Workers are to be provided with ready access to clean toilet facilities, potable water and sanitary food preparation, storage, and eating facilities. Worker dormitories provided by the Supplier are to be maintained to be clean and safe, and provided with appropriate emergency egress, hot water for bathing and showering, adequate heat and ventilation, and reasonable personal space along with reasonable entry and exit privileges.

应为员工提供干净的卫生间设施、饮用水及洁净的食物准备、储藏与用餐设施。供应商提供的员工宿舍应保持洁净安全，并提供适当的紧急出口、洗浴热水、充足的供暖和通风，以及合理的出入方便的私人空间。

8) 健康与安全沟通 Health and Safety Communication

Supplier shall provide workers with appropriate workplace health and safety training in their primary language. Health and safety related information shall be clearly posted in the facility.

供应商应向员工提供以员工主要语言授课的适当的工作场所健康与安全培训。应在工作场所清晰张贴健康与安全相关信息。

E. Environmental 环境

Suppliers recognize that environmental responsibility is integral to producing world class products. In manufacturing operations, adverse effects on the community, environment and natural resources are to be minimized while safeguarding the health and safety of the public.

供应商应认识到环境责任是生产世界一流产品的重要部分。在制造作业中，应尽可能减少对社区、环境和自然资源的不利影响，同时保护公众的健康和安全。

环境标准如下 **The environmental standards are:**

1) 环境许可与报告 Environmental Permits and Reporting

All required environmental permits (e.g. discharge monitoring), approvals and registrations are to be obtained, maintained and kept current and their operational and reporting requirements are to be followed.

应获取、维护并更新所有必需的环境许可证（如排放监测）、批准文书及登记证，并遵守其运营和报告要求。

2) 预防污染和节约资源 Pollution Prevention and Resource Reduction

The use of resources and generation of waste of all types, including water and energy, are to be reduced or eliminated at the source or by practices such as modifying production, maintenance and facility processes, materials substitution, conservation, recycling and re-using materials.

应在源头上或通过实践（如改进生产、维护和设施工艺，替换材料、节约资源、材料回收和再利用）减少和消除所有类型的资源耗费和污染（包括水和能源）。

3) 有害物质 Hazardous Substances

Chemicals and other materials posing a hazard if released to the environment are to be identified and managed to ensure their safe handling, movement, storage, use, recycling or reuse and disposal.

应当识别和控制释放到环境中会造成危险的化学物质及其他材料，确保其得到安全处理、运输、存储、使用、回收或再利用和处置。

4) 废水与固体废物 Wastewater and Solid Waste

Supplier shall implement a systematic approach to identify, manage, reduce, and responsibly dispose of or recycle solid waste (non-hazardous). Wastewater generated from operations, industrial processes and sanitation facilities are to be characterized, monitored, controlled and treated as required prior to discharge or disposal. In addition, measures should be implemented to reduce generation of wastewater. Supplier shall conduct routine monitoring of the performance of its wastewater treatment

systems.

供应商应采取系统化的方法来鉴别、管理、减少和负责任地处置或回收固体废物（非有害物质）。作业活动、工业流程和卫生设施产生的废水在排放或处置前，需按要求进行性质识别、监测、控制和处理。此外，还应采取措施减少废水产生。供应商应对其废水处理系统性能进行常规监测。

5) 废气排放 Air Emissions

Suppliers must identify, monitor, and control exhaust emissions—including volatile organic compounds (VOCs), dust, and hazardous gases—generated during production to ensure compliance with regulatory standards. Prior to operation, they must obtain valid emission permits, regularly inspect pollution control equipment, assess emission impacts, and maintain detailed records of emission sources and treatment measures to protect surrounding communities and the ecological environment.

供应商须对生产过程中产生的挥发性有机物、粉尘、有害气体等废气进行识别、监测和控制，确保排放符合标准。运营前须取得排放许可，定期检查治理设备，评估排放影响，并记录排放源及处理情况，以保护周边社区及生态环境。

6) 材料限制 Materials Restrictions

Suppliers are to adhere to all applicable laws, regulations and customer requirements regarding prohibition or restriction of specific substances in products and manufacturing, including labeling for recycling and disposal.

供应商应遵守所有关于禁止或限制在产品 and 制造过程中使用特定物质（包括有关回收和处置的标识）的适用法律法规和客户要求。

7) 水资源管理 Water Management

Suppliers shall implement a water management plan to record, classify and monitor water resources and their use and discharge. Supplier shall implement a systematic approach to prevent contamination of storm water runoff. Supplier shall prevent illegal discharges and spills from entering storm drains. All wastewater must be classified, monitored, controlled and treated as required prior to discharge or disposal. Participants shall routinely monitor the health of their wastewater treatment and control systems to ensure optimal performance and compliance.

供应商应实施水资源管理计划，以记录、分类和监测水资源及其使用和排放情况。供应商应采取系统化的方法来预防暴雨径流污染。供应商应防止非法的排放和泄漏物质进入排水渠。所有

废水在排放或处置前，需按要求对其进行分类、监测、控制和处理。参与者应对其废水处理和控制系统运行状况进行常规监控，以确保最佳性能和合规性。

8) 能源消耗和温室气体排放 Energy Consumption and Greenhouse Gas Emissions

Energy consumption and greenhouse gas emissions are to be tracked and documented, at the facility and/or corporate level. Suppliers are to look for cost-effective methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.

应在工作场所级和/或企业级对能源消耗和温室气体排放进行跟踪和记录。供应商应寻求具有成本效益的方式以提高能源效率并尽可能减少能源消耗和温室气体排放。

9) 循环经济 Circular economy

Suppliers shall prioritize the use of recycled materials in manufacturing processes to minimize reliance on non-renewable resources, reduce emissions, and lessen environmental impacts from waste disposal.

供应商应在生产制造中尽可能使用循环材料，以减少对不可再生资源的依赖，降低排放及废弃物处理的环境影响。

10) 生物多样性和保护区 Biodiversity and protected areas

Suppliers operating in or adjacent to World Heritage Sites, legally protected areas, ecologically sensitive zones, or high biodiversity areas shall conduct environmental risk assessments, implement comprehensive environmental impact evaluations (EIA) and stringent management plans to prioritize minimizing impacts on protected areas, while proactively engaging with regulatory authorities and local communities to ensure full compliance.

供应商若在或邻近世界遗产、法定保护区、生态敏感区或高生物多样性区域运营，须评估环境风险，通过全面环评和严格管理计划优先减少对保护区的损害，并积极对接监管机构及当地社区以确保合规。

11) 滥伐森林 Excessive deforestation

Suppliers must assess whether their operations or projects involve deforestation risks (including land clearance due to infrastructure expansion) and develop effective forest conservation plans.

供应商须评估业务或项目是否存在滥伐森林行为，产生毁林风险（包括因基建扩张导致的土地清理），并制定有效的森林保护方案。

12) 噪声和震动 Noise and vibration

Suppliers shall conduct scoping assessments to evaluate noise and vibration impacts of mining operations on surrounding communities and wildlife. Where significant risks are identified, they must document baseline noise levels, implement management plans compliant with local standards (particularly for residential, educational and commercial zones), and apply vibration mitigation measures for blasting activities in accordance with regulatory requirements. Upon receiving valid complaints, suppliers shall develop mitigation solutions through consultation with stakeholders and technical experts.

供应商应通过范围界定程序评估采矿活动对周边人类及野生动物的噪音/震动影响。若存在显著风险，需记录基线噪声水平，制定管理计划，并确保符合当地标准（尤其是住宅、教育及商业区域）。针对爆破活动，须采取减振措施并满足规范要求。若收到合理投诉，应与利益相关方及专家协商制定缓解方案。

F. Ethics 道德规范

To meet social responsibilities and to achieve success in the marketplace, Suppliers and their agents are to uphold the highest standards of ethics including:

为履行社会责任并确立市场成功地位，供应商应遵循最高标准的道德要求，包括：

1) 诚信经营 Business Integrity

The highest standards of integrity are to be upheld in all business interactions. Suppliers shall have a zero tolerance policy to prohibit any and all forms of bribery, corruption, extortion and embezzlement. All business dealings should be transparently performed and accurately reflected on Supplier's business books and records. Monitoring and enforcement procedures shall be implemented to ensure compliance with anti-corruption laws.

在所有商业互动中都应遵循最高的诚信标准。供应商应采取零容忍政策，禁止任何形式的贿赂、腐败、敲诈勒索和挪用公款行为。所有业务交易均应确保透明并应在供应商业务账目和记录中准确反映。应推行监督和强化程序以确保符合反腐败法的要求。

2) 无不正当利益 No Improper Advantage

Bribes or other means of obtaining undue or improper advantage are not to be promised, offered, authorized, given or accepted. This prohibition covers promising, offering, authorizing, giving or accepting anything of value, either directly or indirectly through a third party, in order to obtain or retain business, direct business to any person, or otherwise gain an improper advantage.

不得承诺、提供、授予、给予或接受贿赂或其他形式的不适当或不正当利益。禁止范围涵盖为获取或保留业务、将业务指派给任何人或以其他方式获取不正当利益，以直接方式或通过第三方的间接方式，承诺、提供、授予、给予或接受任何有价值物品。

3) 信息披露 Disclosure of Information

Information regarding participant labor, health and safety, environmental practices, business activities, structure, financial situation and performance is to be disclosed in accordance with applicable regulations and prevailing industry practices. Falsification of records or misrepresentation of conditions or practices in the supply chain are unacceptable.

依照适用法规和主要的行业惯例公开有关参与者劳工、健康与安全、环境实践、商业活动、组织结构、财务状况和绩效的信息。不允许伪造记录或虚报供应链中的条件或实践。

4) 知识产权 Intellectual Property

Intellectual property rights are to be respected; transfer of technology and know-how is to be done in a

manner that protects intellectual property rights; and, customer information is to be safeguarded.

应尊重知识产权；技术或经验知识的转让应以保护知识产权的方式进行；并且应保护客户信息安全。

5) 公平交易、广告和竞争 Fair Business, Advertising and Competition

Standards of fair business, advertising and competition are to be upheld. Appropriate means to safeguard customer information must be available.

应秉持公平交易、广告和竞争的标准。必须以适当的方式保护客户信息安全。

6) 身份保护和无报复政策 Protection of Identity and Non-Retaliation

Programs that ensure the confidentiality, anonymity and protection of employee whistleblowers are to be maintained, unless prohibited by law. Suppliers should have a communicated process for their personnel to be able to raise any concerns without fear of retaliation.

应制定程序以保护员工举报者并确保其身份的机密性和匿名性，除非法律明令禁止。供应商应制定沟通过程，让员工能够提出疑虑而无需担心遭到报复。

7) 负责任的矿物采购 Responsible Sourcing of Minerals

Suppliers shall have a policy to reasonably assure that the tantalum, tin, tungsten and gold in the products they manufacture does not directly or indirectly finance or benefit armed groups that are perpetrators of serious human rights abuses in the Democratic Republic of the Congo or an adjoining country. Suppliers shall exercise due diligence on the source and chain of custody of these minerals and make their due diligence measures available to customers upon customer request.

供应商应制定政策以合理确保其制造产品中所含的钽、锡、钨和金不会以直接或间接的方式为刚果民主共和国或周边国家/地区中严重侵犯人权的武装团体提供资金或利益。供应商应对这些矿物的来源和产销监管链进行尽职调查，并按照客户要求向客户提供所采取的尽职调查措施。

8) 隐私 Privacy

Suppliers are to commit to protecting the reasonable privacy expectations of personal information of everyone they do business with, including suppliers, customers, consumers and employees. Suppliers are to comply with privacy and information security laws and regulatory requirements when personal information is collected, stored, processed, transmitted, and shared.

供应商应承诺保护所有业务相关人员，包括供应商、客户、消费者和员工的个人信息的合理隐私期望。供应商在收集、存储、处理、传输和共享个人信息时应遵守隐私和信息安全法律及法规要求。

G. Society 社会

社会标准如下 **Society standards are:**

1) 原住民和少数民族权利 Rights of indigenous people and ethnic minorities

Suppliers shall identify indigenous peoples and ethnic minority groups affected by their operations and establish written policies respecting their rights. Through inclusive and transparent consultations, they must assess potential risks to their lands and livelihoods, and develop protective action plans. This includes identifying both existing and potentially affected indigenous communities, and engaging in fair cooperation with them. In their operations, suppliers shall, to the greatest extent practicable, prioritize local employment and collaborate with employee representatives and, where appropriate, relevant government authorities to provide skills training programs.

供应商须识别受业务影响的原住民和少数民族群，并建立尊重其权利的书面政策。应通过包容、透明的协商，评估对其土地、生计的潜在风险，制定保护性行动计划。识别既存的且潜在受企业活动影响的原住居民，并与之合理开展合作。在经营中，在实际可行范围内应尽可能多地雇用当地人员，并与雇员代表以及在适当情况下与相关政府主管部门合作开办培训，以提高技术水平。

2) 当地社区、社区健康、安全与发展 Local community Community health, safety and development

Suppliers shall establish a community impact assessment mechanism to identify the social and environmental impacts of their operations, with public disclosure of assessment results. They must develop community development plans aligned with local needs, establish grievance mechanisms to safeguard residents' rights, and collaborate through regular communication and consultation to formulate preventive and mitigation measures—jointly promoting sustainable socio-economic benefits.

供应商应建立社区影响评估机制，识别经营活动对社会和环境的影响，并公开评估结果。需制定符合当地需求的社区发展计划，设立申诉渠道保障居民权益，通过定期沟通和协商制定预防及缓解负面影响的措施，共同推动可持续的社会经济效益。

3) 文化遗产 Cultural heritage

If a supplier's ESG risk assessment identifies potential impacts on cultural or historical sites, it must establish policies to protect cultural heritage and related cultural rights. This includes identifying and documenting sites, developing relevant procedures, and consulting with stakeholders to formulate

mitigation measures aimed at preventing and minimizing adverse impacts on cultural heritage and associated cultural rights, while ensuring continued access to heritage sites. Where adverse impacts occur, the supplier shall provide remediation and investigate root causes. If assessments confirm no impact, the evaluation process and supporting evidence must be formally documented.

如果供应商的ESG风险评估发现运营可能影响文化或历史遗址，需制定政策保护文化遗产及相关文化权利，包括识别和记录遗址、建立相关程序，并与利益相关者协商制定缓解措施，以预防和减轻对文化遗产和相关文化权利的不利影响，确保其能正常进入文化遗产遗址。若造成不利影响，需提供补救措施并调查原因；若评估确认无影响，需记录评估过程和依据。

以下为针对矿山补充条例

H. Environmental 环境（矿山）

1) 空气 Air

Suppliers operating mines or mineral processing facilities shall develop a dust management plan to control emissions of airborne pollutants, including gases, fumes, vapors, and particulate matter.

若供应商运营矿山或矿物加工场所，需制定扬尘管理计划，以控制气体、烟雾、蒸汽和粉尘等空气污染物的排放。

2) 噪声和震动 Noise and vibration

Noise and vibration impacts may occur throughout all mining phases, which can be mitigated through source control, transmission blocking, blast optimization (e.g., adjusting charge parameters), and operational scheduling. When operating near communities or wildlife habitats, suppliers must conduct Environmental and Social Impact Assessments (ESIA) to quantify noise and vibration levels, while maintaining ongoing engagement with affected stakeholders.

采矿各环节均可能产生明显噪音与振动，可通过源头控制、传播阻断、爆破优化（如调整装药参数）及运营时间规划等措施降低影响。在社区或野生动物栖息地附近运营时，须开展环境与社会影响评估（ESIA），量化噪音与振动的影响程度，并持续与受影响方沟通。

3) 物理不稳定性，土壤侵蚀和土地退化 Physical instability, soil erosion and land degradation

Suppliers must assess potential risks of mining activities to soil health and stability (including erosion issues), develop soil protection and rehabilitation plans, and ensure disturbed lands are restored to their original topography and ecological functions (e.g., slope, terrain, and soil cover).

供应商须评估采矿活动对土壤健康及稳定性的潜在风险（包括侵蚀问题），制定土壤保护及修复方案，确保受扰动土地恢复原有地形与生态功能（如坡度、地形和土壤覆盖）。

4) 土地管理 Land management

Suppliers shall identify land users, rights-holders, and other affected stakeholders potentially impacted by mining or processing activities. Where mineral processing facilities have caused soil contamination unrelated to their own operations, suppliers shall conduct due diligence, implement remediation plans in accordance with established schedules, and regularly report progress to regulatory authorities or the public. For other material soil or land risks identified through assessments, suppliers must develop adaptive management plans incorporating risk control and mitigation measures.

供应商应识别可能受采矿或加工活动影响的土地使用者、权利方及其他相关利益群体。若矿物加工设施已造成非自身活动导致的土壤污染，供应商应开展尽职调查，按计划推进修复工作，并定期向主管部门或公众报告进展。对于评估发现的其他重大土壤或土地风险，供应商需制定适应性管理计划，采取风险管控和缓解措施。

5) 矿物废物管理（尾矿） Mineral waste Management (Tailings)

Suppliers shall develop a mineral waste management plan with endorsement from stakeholders, and engage independent third parties to assess the safety of tailings dams and storage facilities, while establishing dedicated emergency response protocols.

供应商应制定矿物废物管理计划，并获得利益相关方认可。同时，需委托第三方评估尾矿坝及储存设施的安全性，并制定专门的应急响应预案。

6) 矿山关闭计划 Mine closure plan

Suppliers should develop a mine closure and rehabilitation plan from the early stages of operations and update it regularly or when business conditions change. The plan must include: Lifecycle planning of the mine\Engagement of stakeholders throughout the process\A shared closure vision based on community consensus\Long-term environmental monitoring\Land reuse assessment\Phased closure strategies\Measures to mitigate environmental impacts\Protection of affected parties' rights and interests\Post-closure community development opportunities\Financial assurance mechanisms\Contingency plans for unexpected closure. Additionally, suppliers should conduct regular audits of closure-related financial liabilities and ensure that financial assurance measures are in place.

供应商应从运营初期制定矿山关闭及复垦计划，并定期或在业务变动时更新。该计划需包含：矿山生命周期规划、利益相关方全程参与、基于社区共识的闭矿愿景、长期环境监测、土地再利用评估、分阶段闭矿方案、环境影响防控措施、受影响方权益保障、闭矿后社区发展机会、资金保障机制以及突发闭矿预案。此外，供应商应定期审计闭矿财务负债，并确保资金保障措施到位。

7) 规划和融资回收和关闭（采矿项目结束关闭后的活动） Planning and financing for recovery and closure (activities after the completion and closure of mining projects)

Suppliers are required to initiate reclamation and mine closure planning during the exploration stage and formulate specific plans during the project development period.

供应商需在勘探阶段即启动复垦及闭矿规划，并在项目开发期形成具体方案。

I. Society 社会（矿山）

1) 征地安置 Land acquisition and resettlement

Suppliers should formulate documented policies, commit to respecting land rights and interests, give priority to avoiding land acquisition and relocation, prohibit forced eviction, and handle existing land disputes in accordance with the law. During the facility planning stage, the design scheme should be optimized to minimize land occupation and assess the potential impact of relocation. When land acquisition is indeed necessary, it is essential to negotiate with the affected parties to formulate resettlement or livelihood restoration plans, ensuring fair compensation for lost assets and maintaining the social and cultural continuity of the community. The plan must include a clear budget, schedule, equity recognition mechanism and recovery measures for revenue loss.

供应商应制定文件化政策，承诺尊重土地权益，优先避免征地与搬迁，禁止强制驱逐，并依法处理既有土地纠纷。在设施规划阶段应优化设计方案，最大限度减少土地占用，评估潜在搬迁影响。确需征地时，须与受影响方协商制定安置或生计恢复计划，确保公平补偿损失资产，维护社区社会文化延续性。计划须包含明确预算、时间表、权益确认机制及针对收入损失的恢复措施。

References 参考资料

[1] Responsible Business Alliance

《责任商业联盟行为准则8.0版》

<https://www.responsiblebusiness.org/>

[2] SA 8000

《社会责任标准（SA8000）》

www.cepaa.org/

[3] Universal Declaration of Human Rights

《世界人权宣言》

<http://www.un.org/zh/documents/udhr/>

[4] ISO:45001

《职业健康与安全管理体系》

<http://www.iso.org/iso/home.html>

[5] ISO:14001

《环境管理体系》

<http://www.iso.org/iso/home.html>

[6] ILO International Labor Standards

国际劳动组织（ILO）

<http://www.ilo.org/global/lang--en/index.htm>

[7] International Bill of Human Rights

《国际人权法案》

<https://www.ohchr.org/en/>

[8] International covenant on civil and political rights

《公民权利和政治权利国际公约》

<https://www.ohchr.org/>

[9] International Covenant on Economic, Social and Cultural Rights

《经济、社会及文化权利国际公约》

<https://www.ohchr.org/en/>

[10] UN Guiding Principles on Business and Human Rights

《联合国工商企业与人权指导原则》

<https://www.ohchr.org/en/publications>

[11] OECD Guidelines for Multinational Enterprises

《经合组织跨国企业准则》

<https://www.oecd.org/corporate/mne>

[12] OECD Due Diligence Guidance for Responsible Business Conduct

《经合组织负责任商业行为尽责管理指南》

<https://www.oecd.org/investment/due-diligence-guidance-for-responsible-business-conduct.htm>

Supplier Signature 供应商签章 _____