

Guangdong Jiana Energy Technology Co., Ltd.

广东佳纳能源科技有限公司

Supplier Code of Conduct

供应商行为守则

Guangdong Jiana Energy Technology Co., Ltd. (hereinafter referred to as “Jiana Energy”) develops the *Supplier Code of Conduct* (hereinafter referred to as “the Code”) with the aim of cooperating with its partners in preventing and solving social and environmental risks in supply chains, striving to achieve higher standards, building a responsible supply chain partnership, growing together with Jiana Energy, and contributing to achieving sustainable development.

广东佳纳能源科技有限公司（以下简称为“佳纳能源”）制定本《供应商行为守则》（以下简称为“本守则”），旨在与合作伙伴携手预防和解决供应链上的社会和环境风险，并积极促进相关社会与环境问题的解决，争取达到更高的标准，建设负责任的供应链伙伴关系，与佳纳能源共同成长，为实现可持续发展作出贡献。

Jiana Energy believes that compliance, ethical operation and transparency is the foundation of business success. Therefore, in various activities such as exploitation, transportation, transaction, processing and export of raw materials, especially when carrying out the above activities in conflict affected and high risk areas, Jiana Energy hopes all suppliers (hereinafter referred to as “the company”) commit to meeting the following “fundamental requirements” and make efforts in the direction of implementing the standards of “encouraging suggestions”

佳纳能源相信，合规、道德运营和透明是商业成功的基础。因此，在进行原料开采、运输、交易、加工及出口等各项活动中，特别是在受冲突影响和高风险地区开展以上活动时，佳纳能源希望所有供应商（下称“公司”）承诺达到以下“基础性要求”，并以实现“鼓励性建议”的标准为努力方向。

使用说明 Instructions

□ The Code is applicable to all raw material and product suppliers of Jiana Energy and aims at helping all suppliers and partners understand and abide by the responsible and sustainable supply chain standards advocated by Jiana Energy.

本守则适用于佳纳能源所有原料和产品的供应商，旨在帮助所有供应商和合作伙伴了解并遵循佳纳能源所倡导的负责任、可持续供应链标准。

□ “**Fundamental requirements**” refer to relevant requirements of the *Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains* and help better meet the requirements of the *OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas* of the Organization for Economic Cooperation and Development, *UN Principle of Business and Human Rights*, relevant conventions of the International Labor Organization and other international standards, with the purpose of preventing and solving social and environmental risks in supply chains. We expect Jiana Energy and all suppliers to meet those requirements.

“**基础性要求**”指符合《中国负责任矿产供应链尽责管理指南》和《中国对外矿业投资社会责任指引》的相关要求，并有助于更好地满足经济合作与发展组织《关于来自受冲突影响和高风险区域的矿石的负责任供应链尽责管理指南》、联合国《工商业与人权指导原则》、国际劳工组织相关公约等国际性标准的要求，其目的在于预防和解决供应链上的社会和环境风险。我们期望佳纳能源和全体供应商均能达到这些要求。

□ “**Encouraging suggestions**” are standards of conduct which are higher than fundamental requirements and Jiana Energy suggests suppliers make efforts to implement, and they help suppliers and Jiana Energy promote the solution of social and environmental problems and make contributions to sustainable development.

“**鼓励性建议**”指高于基础性要求，是佳纳能源建议供应商努力实现的行为标准，这有助于供应商与佳纳能源一同推动社会和环境问题的解决，为可持续发展作出贡献。

□ Jiana Energy states that it will abide by the Code and wants all its suppliers to make a statement to support the Code; meanwhile it suggests its suppliers convey the Code to their suppliers and it will assist its suppliers in making efforts to meet the requirements of the Code.

佳纳能源声明本公司遵守本守则，并希望佳纳能源所有供应商声明支持本守则，同时建议供应商将本守则传达给其所有供应商，并协助其努力达到其中的要求。

□ In case of any difference in understanding of the Code among different language versions, the Chinese version shall prevail.

本守则在不同语言版本间出现理解差异的情况下，均以中文版为准。

□ Jiana Energy will review and revise the Code regularly and seek for expectations and opinions of interested parties periodically.

佳纳能源将定期审阅与修订本守则，定期征求利益相关者的期待与意见。

Part 1: Human Rights and Labor Rights and Interests

第一篇：人权和劳工权益

1. Serious Violations of Human Rights 严重侵犯人权的行为

Fundamental requirements: In the exploitation, transaction, processing and export of raw materials and other business activities, the company neither tolerates nor support, directly or indirectly in any way, the following behaviors. Any form of torture, violence, inhumanity and degrading treatment; any form of forced or compulsory labor, including any form of human trafficking, bonded labor and prison labor; other serious violations and abuses of human rights; war crimes, crimes against humanity, genocide crimes or other serious violations of the international humanitarian law.

基础性要求：在开展原料开采、交易、处理、出口等经营活动中，公司既不容忍，也不以任何方式直接或间接支持以下行为：任何形式的酷刑、残暴、不人道和有辱人格的待遇；任何形式的强迫或强制劳动，包括任何形式的人口贩运、抵债劳动和监狱劳动；其他严重侵犯和践踏人权的行为；战争罪、反人类罪、种族灭绝罪或其他严重违反国际人道法的行为。

Encouraging suggestions: Considering the complexity and arduousness of serious violations of human rights, the company shall strengthen the cooperation with interested parties, understand risk roots and situations, carry out the due diligence management of human rights, develop appropriate remedial measures or solutions and promote the systematic solution of risks.

鼓励性建议：考虑到严重侵犯人权行为的复杂性和艰巨性，公司宜加强同利益相关方的合作，了解风险的根源和情景，开展人权尽责管理，制定适当的补救措施或解决方案，推动风险的系统性解决。

2. Child Labor 童工

Fundamental requirements: Do not use child labor, especially the worst form of child labor. The minimum age of employment shall be in accordance with the legal provisions of the country of residence or the provisions of No.138 convention of the International Labor Organization on the minimum working age, whichever is higher. The company shall take active and effective actions to prevent children under the age of 18 from engaging in mining or underwater operations, hazardous machinery and tool operations, overload handling and types of work exposed to hazardous substances. Avoid

hindering children from accepting compulsory education and vocational education or causing injuries to children's health, safety and morals.

基础性要求:不使用童工，尤其是最恶劣形式的童工。用工最低年龄参照驻在国的法律规定，或国际劳工组织 138 号公约关于最低工作年龄的规定，以两者中高标准为准。公司应采取积极有效措施，防止18岁以下儿童从事地下采矿或水下作业、危险机械和工具、超负重搬运以及接触危险物质的工种。避免阻碍儿童接受义务教育和职业培训，或对其健康、安全和道德造成伤害。

Encouraging suggestions: The company shall strengthen the cooperation with upstream and downstream firms, government sectors and other interested parties, have a deep understanding of the social and cultural root of child labor, develop remedial actions for child labor and promote the systematic solution of the problem of child labor, and in such process, the company shall give special consideration of the special situation of girls.

鼓励性建议: 公司宜加强与上下游企业及政府部门等相关方合作，深入了解童工产生的社会和文化根源，制定童工补救的解决方案，推动童工问题的系统性解决，在这一过程中公司尤宜考虑女童的特殊情况。

3. Forced or compulsory labor 强迫或强制劳动

Fundamental requirements: The Company promises to oppose forced labor and human trafficking according to the requirements of laws and regulations, and it will not allow to threaten or force anyone to engage in all involuntary work or services by means of any punishment. Except for clear opposition to bonded labor, prison labor and coerced labor, the company acknowledges that employees' freedom of movements is not restricted and employees have the freedom to obtain employment and select jobs. The company will not request employees to keep the "deposit" or identity documents in the company.

基础性要求: 公司承诺按照法律法规的要求，反对强迫劳动和人口贩运，不会允许以任何惩罚来威胁、强迫任何人从事非本人自愿的一切劳动或服务。除了明确反对抵债劳动、监狱劳动、胁迫劳动以外，公司认可员工的移动自由不得受限制，员工有就业和择业的自由。公司也不会要求员工将“保证金”或身份证明文件寄存在公司。

Encouraging suggestions: The company operating in a country or region lack of the governance capacity and having more immigrants may conduct a dialogue with the local trade union and government to promote the solution of problems and shall carefully use a labor intermediary organization involving transnational labor or seriously review the cooperative relationship with the organization.

鼓励性建议: 在缺乏治理能力、外来移民较多的国家或地区运营的公司, 可寻求与当地工会、政府进行对话推动问题的解决, 并应谨慎使用涉及跨国劳工的劳务中介机构或严格审查与其的合作关系。

4. Support of Non-state Armed Groups and Private Security

Forces非国家武装团体、私人安全武装支持

Fundamental requirements: In the exploitation, transportation, transaction, processing and export of raw materials and other business activities, the company will not provide financial, logistical and equipment support for non-state armed groups directly or indirectly, including the following illegal acts or activities: Illegal control of the mining area, or control of transportation routes, mineral resources trading areas and upstream behavior subjects in the supply chain in other ways; illegal taxation, extortion or resources plunder at the entrance or in the transportation route of the mineral area or at the mineral resources trading area; illegal taxation or extortion against intermediaries, export enterprises or international traders.

基础性要求: 公司在原料开采、运输、交易、处理及出口等经营活动中, 不会直接或间接为非国家武装团体提供资金、后勤及设备支持, 包括以下非法行为或活动: 非法控制矿区, 或以其他方式对运输路线、矿产资源交易地以及供应链的上游行为主体进行控制; 在矿区入口、矿区运输路线、矿产资源交易地等进行非法征税、勒索钱财或掠夺资源; 对中间商、出口企业或国际贸易商非法征税或勒索。

Encouraging suggestions: Where applicable, the company is suggested meeting the above requirements and conveying the requirements to interested parties at the source of ores to identify and prevent relevant risks.

鼓励性建议: 在适用的情况下, 建议公司自身做到以上要求, 并传递至矿石源头相关方, 识别和防止相关风险。

5. Bribery, Money Laundering and Taxes 贿赂、洗钱和税费

Fundamental requirements:The company does not offer, promise, give or seek any bribe and it resists bribery. It will not commit bribery to conceal or forge the place of origin of mineral resources and make a false report of the taxes, expenses and royalties to be paid to the government for exploitation, transaction, processing, transportation and export of mineral resources.

The company shall prevent bribery behaviors in all business activities and transactions, including the bribery behaviors of agents and other third parties, and develop a standard and approval procedure for giving and receiving gifts.

The company shall take effective measures to prevent getting involved in money laundering or terrorist financing. It shall ensure to pay to the government all legal taxes, expenses and royalties related to the exploitation, transaction and export of mineral resources.

In transactions involving raw material, companies do not use cash as a settlement method.

基础性要求：公司不提供、承诺、给予或索要任何贿赂，并且抵制索贿。不为掩盖或伪造矿产资源原产地，虚报矿产资源开采、交易、处理、运输、出口等活动应向政府缴纳的税收、费用和特许开采费而行贿。

公司防止一切业务活动和交易中的贿赂行为，包括代理方和其他第三方的贿赂行为，为馈赠、收受礼物制定标准与审批程序。

公司采取有效措施，防止卷入洗钱或为恐怖主义融资。公司确保向政府支付所有与矿产资源开采、交易、出口相关的合法税收、费用和特许费。

公司在涉及到原料的交易中不使用现金作为结算方式。

Encouraging suggestions: The company shall strengthen purchasing, bidding and tendering and sales systems and increase transparency of transactions.

鼓励性建议：公司宜强化采购、招投标和销售制度，增加交易的透明度。

6. Working Hours 工作时间

Fundamental requirements:The company shall take active measures to avoid working hours ' violation of the requirements of laws and regulations. Working hours (including overtime) of each week shall meet the provisions of laws of the host country, conventions or collective bargaining agreements of the International Labor Organization and providing more protection for employees. As the minimum standard, the company shall ensure at least one day off every seven days; overtime shall be voluntary and total working hours in any 7-day period shall not exceed 60 hours.

基础性要求：公司应采取积极的措施，避免工作时间违反法律法规的要求。每周的工作时间（包括加班时间）应符合所在国法律、国际劳工组织公约或集体谈判协议中对员工提供较多保护的条款。作为最低标准，公司应确保每7天应至少有1天休息日；加班应属自愿，且任意为期7天的总工作时间不超过60小时。

Encouraging suggestions: The company may improve production efficiency and reduce overtime and working hours as far as possible by strengthening production management and improving equipment crafts and employee skills. When the company receives rush orders and the customer changes the order requirements at the last minute, the company shall consider the negative impact on working hours.

鼓励性建议：公司可通过加强生产管理、改善设备工艺以及员工技能等方法提高生产效率，尽量减少加班和工作时间。公司在接收加急订单、客户临时改变订单要求时，宜考虑对工作时间的负面影响。

7. Wage and Benefits 工资与福利

Fundamental requirements: The company shall provide employees with wages and benefits according to legal provisions and contract requirements of the country and region where it is located, and especially pay wages in cash, in full amount and on time. The minimum wage paid by the company to employees shall be in accordance with the higher level determined in provisions on the national legal level, industrial level or collective bargaining agreements. Details of wages in various page periods shall be provided in written form.

基础性要求：公司应遵照所在国家和地区的法律规定和合同要求，给员工提供工资及福利，尤应及时足额以现金方式支付工资。公司支付员工的工资最低应遵守满足国家合法水平、行业水平或集体谈判协议中确定的较高水平的条款。各个工资结算期的工资明细应以书面方式提供。

Encouraging suggestions: When developing the wage and benefits system, the company shall consider and reflect the demands of employees and their family members, pay employees the labor remuneration enough to make a decent living and develop a plan to ensure the synchronous growth of employee compensation and benefits and corporate profits.

鼓励性建议: 在制定薪资和福利制度时, 公司宜考虑和反映员工及其家庭成员的需要, 为员工支付维持体面生活的劳动报酬, 并宜制定计划, 确保员工薪酬福利与企业利润同步增长。

8. Discrimination 歧视

Fundamental requirements: Employees shall be respected. In employment, remuneration, accepting training, promotion, terminating labor relations or retirement, employees shall not be discriminated based on gender or sexual orientation, race, color, age, marital status, pregnancy, religion, nationality, disease or disability. No employee shall be insulted or physically punished or harassed or abused physically, sexually, psychologically or verbally. Such respect shall be distinguished from the protection and support of vulnerable groups.

基础性要求: 员工应得到尊重。在雇佣、薪酬、接受培训、晋升、终止劳动关系或退休等方面, 不得存在因性别或性取向、种族、肤色、年龄、婚姻状况、怀孕与否、宗教、国籍、疾病或残疾导致的歧视。任何员工均不应受到侮辱或体罚, 也不应受到身体、性、心理或语言上的骚扰或虐待。应与弱势群体的保护和支持加以区分。

Encouraging suggestions: The company shall contact the local community, trade union, government and social organization, understand the native culture and social norm as well as the culture, religion and traditional custom of minorities, women and families, and promote the inclusiveness and diversity of corporate culture.

鼓励性建议: 公司宜与当地社区、工会、政府以及社会组织接触, 了解本土文化和社会规范, 了解少数民族、妇女与家庭文化、宗教等传统习俗, 促进公司文化的包容性和多元化。

9. Freedom of Association and Collective Bargaining

结社自由和集体协商

Fundamental requirements: The company shall confer rights to employees according to laws of the country and region where it is located, and respect the right of employees to voluntarily select to joint and organize a trade union and the right of collective bargaining.

基础性要求: 公司遵照所在国家和地区法律赋予员工的权利，尊重员工自愿选择加入和组织工会的权利，以及进行集体协商的权利。

Encouraging suggestions: The company shall take into account the institutional background of different countries and regions, understand the local trade union institution and communicate with the local or regional trade union.

鼓励性建议: 公司宜考虑不同国家与地区的制度背景，了解当地工会制度，与当地或区域工会进行交流。

10. Security and Protection 安全与保护

Fundamental requirements: The company shall realize that the role of public or private security forces in the mineral area and surrounding area and along the transportation route in high risk areas is to protect rights and interests according to law only, including protecting miners, maintaining the safety of equipment and facilities and protecting the legal operation and transportation routes in mineral areas from illegal interference.

The company shall support or take measures not to hire public or private security forces confirmed of having seriously violated human rights, and meanwhile, develop cooperation with the local government, international organization and civil society organization and avoid or minimize the adverse impact of public or private security forces hired by the company on the local community or vulnerable groups.

基础性要求: 公司须认识到，在高风险区域的矿区及周边地区、运输道路沿线的公共或私人安全武装的作用仅是依法保障权益，包括保护矿工、维护设备和设施安全、保护矿区合法运营及运输路线不受非法干扰。

公司支持或采取措施不予录用已确认实施过严重侵犯人权行为的公共或私人安全武装，同时与当地政府、国际组织和民间社会组织开展合作，避免或最大限度地降低本公司雇佣的公共或私人安全武装给当地社区或弱势群体带来的不利影响。

Encouraging suggestions: In high risk areas or areas where the government is less able to maintain stability and security, the company shall consider communicating with the local community and vulnerable groups to convey safety knowledge. The company shall consider cooperating with the local government, to promote the transformation from small mines and manual mining to formal economy and improve the community living environment and diversified economic income.

鼓励性建议：在高风险区域或者政府维持稳定、安全能力较弱的地区，公司宜考虑与当地社区和弱势群体进行沟通以传递安全知识。公司宜考虑与当地政府合作，推动小矿山、手采矿转变为正规经济，改善社区居住环境和多元化的经济收入。

Part 2: Health and Safety

第二部分：健康与安全

1. Occupational Health and Safety 职业健康与安全

Fundamental requirements: The company shall ensure safety in workplace and make efforts to provide a clean and safe work environment, to prevent its employees from contacting hazardous machinery, equipment or substances in the circumstances of not guaranteeing safety. The company shall provide employees with appropriate personal protective equipment related to the work, and carry out relevant training and guidance.

基础性要求：公司应保证工作场所安全，并努力提供干净卫生的工作环境。防止在不保证安全的情况下使其员工接触危险机械、设备或物质。应当向员工提供与工作相关且适当的个人防护装备，并开展相关培训和指导。

Encouraging suggestions: The company shall take into account the demands of different kinds of employees such as female employees, pregnant employees and young workers (in the scope of legal types of work) and ensure the health and safety of employees. It shall consider enhancing the health and safety awareness of employees through regular training and putting up posters. It shall also improve the safety standard of equipment and technology and reduce risks.

鼓励性建议：公司宜考虑到女性员工、怀孕员工、青年工人（合法的工种范围）等不同员工的需求，保证员工的健康与安全。公司宜考虑通过定期培训、张贴宣传画等方式，提升员工的健康与安全意识。公司还宜提高设备和工艺的安全标准，降低风险。

2. Industrial Injury and Illness 工伤和疾病

Fundamental requirements: The company shall respect the requirements of laws and regulations and not rescind the labor contract with any worker suffering from injuries in the factory or during work. It shall develop an appropriate procedure and system to prevent, manage, track and report any industrial injury and disease.

基础性要求: 公司应尊重法律法规的要求, 不得在工人在厂内或在工作期间受伤而与其解除劳动合同。公司应制定合适的程序和体系以预防、管理、跟踪和报告工伤和疾病。

Encouraging suggestions: If multiple casualties or work-related accidents arousing social concern are involved, the company shall notify the related government department within 24 hours.

鼓励性建议: 如果涉及到多人伤亡, 或者引起社会关注的工伤事件, 公司宜在24小时内通报给相关政府部门。

3. Machine and Equipment Protection 机器与设备防护

Fundamental requirements: The company shall conduct safety hazard assessment on production equipment and other machinery, provide physical protective devices, interlocking devices and screens for the machinery that may cause injuries to employees, and conduct maintenance accurately.

基础性要求: 公司应对生产设备和其他机械进行安全危害评估, 并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。

Encouraging suggestions: The company shall carry out routine machinery and equipment operation training. If necessary, it shall install monitoring devices for machinery and equipment to understand the operating condition and risk of failure in realtime.

鼓励性建议: 公司宜开展常规性的机器和设备使用培训。在必要的情况下, 宜安装机器、设备的监控装置, 实时了解运行状况和故障风险

4. Small Scale Mining and Manual Mining 小规模采矿与手采矿

Fundamental requirements: If this articles applies, the company shall take active measures, give full play to its own influence, and participate in industrial projects individually or collectively to be committed to continuously improving the conditions for small scale mining and manual mining and provide employees with necessary health and safety protection equipment.

基础性要求: 如适用本条款, 公司应采取积极措施, 充分发挥自身影响力, 单独或参与行业项目以致力于持续改善小规模采矿和手采矿的开采条件, 为员工提供必要的健康和安全防护设备。

Encouraging suggestions:The company shall be committed to improving the operating mode of small scale mining and manual mining, gradually upgrading the mining equipment technology, and minimize employees ' direct contact of hazardous mining machinery and chemicals.

鼓励性建议: 公司宜致力于改善小规模采矿和手采矿作业方式, 逐步升级开采装备和工艺, 尽量减少员工对危险采掘机械、危险化学物质的直接接触。

5. Living Conditions 生活条件

Fundamental requirements: The company shall strive to provide employees with clean bathroom facilities, drinking water and food. In the employee dormitory provided by the company or labor agency, personal safety shall be kept.

基础性要求: 公司应努力为员工提供干净的卫生间设施、饮用水以及清洁食物。公司或劳工代理机构提供的员工宿舍应保持人身安全。

Encouraging suggestions: The company should understand the personal life, health and nutrition of employees, and gradually meet their needs for living space and nutrition.

鼓励性建议: 公司宜了解员工个人生活、健康营养的情况, 逐步满足员工对生活空间和营养的需求。

6. Crisis Management and Response 危机处理与响应

Fundamental requirements: The company shall identify possible crisis in the project and develop a crisis response mechanism and plan to reduce negative effects on the society and environment.

基础性要求：公司应识别项目可能发生的危机情况，并制定危机响应机制和计划，以减少对社会和环境的消极影响。

Encouraging suggestions: The company shall carry out root analysis on the accident, and establish an accident file retention system. The company is encouraged to publicize the accident report and accident root analysis result to Jiana Energy.

鼓励性建议：公司宜对事故开展根源分析，建立事故档案保留制度。鼓励公司对佳纳能源公开事故报告和事故根源分析结果。

Part 3 Community Rights and Interests

第三部分：社区权益

1. Immigrants and Natives 移民和原住民

Fundamental requirements: If this article applies, the company shall have legal documents and permissions for project construction or expansion according to the requirements of laws and regulations. In the expansion or new project activities, the company shall strive to avoid or minimize involuntary resettlement. If the rights and interests of natives are involved, the enterprise shall fully respect the natives' freedom and prior and informed consent right.

基础性要求：如适用本条款，公司应按照法律法规的要求，拥有项目建设或扩增的法律文件和许可。在扩增或新项目活动中应努力做到避免或最小化非自愿移民。如果涉及到原住民权益，企业应充分尊重原住民的自由、事先和知情同意权。

Encouraging suggestions: The company shall understand the natives' expectations at the early, middle and late stage of a project and strive for the natives' support and participation. It shall develop a livelihood recovery plan in the initial phase of the project, establish a reasonable mechanism of appealing and protect the legitimate rights and interests of appellants.

鼓励性建议：公司宜在项目开展前期、中期和后期了解原住民期待，争取原住民的支持和参与。宜在项目初始阶段便制定生计恢复计划。宜设立合理的申诉机制，并保护申诉者正当权益。

2. Community Health and Safety 社区健康与安全

Fundamental requirements: If this article applies, the company shall take full consideration the health and safety risks caused by mineral site selection, exploitation and transportation to the community and residents, safeguard the community members' right to be informed and strive to mitigate risks.

基础性要求: 如适用本条款, 公司应充分考虑矿产选址、开采、运输等活动对社区及民众带来的健康与安全风险, 保障社区民众的知情权, 并努力减缓风险。

Encouraging suggestions: The community shall publicize the effect data of water, atmosphere and solid wastes in real time. It shall open communication channels, understand emotions and opinions of the community and the public and promote the degree of trust in the local community.

鼓励性建议: 社区宜实时公开水、大气以及固体废弃物的影响数据。宜开通沟通渠道, 了解社区和民众的情绪和意见, 提升与当地社区的信任程度。

Part 4: Ecological and Environmental Protection

第四部分: 生态与环境保护

1. Toxic and Hazardous Substances 有毒害物质

Fundamental requirements: The company shall identify and control chemical substances and other materials that will cause danger when being released into the environment and ensure that those substances are disposed of, transported, stored, used and treated safely.

基础性要求: 公司应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, 确保这些物质得到安全处理、运输、存储、使用和处置。

Encouraging suggestions: The company shall use safer and more environmentally friendly chemicals to replace traditional toxic and hazardous chemicals. It shall replace the traditional technology with a safer and more environmentally friendly production technology. It shall use chemicals that have been subject to green certification.

鼓励性建议：公司宜采用更加安全、环保的化学品替代传统的有毒害化学品。宜采用更加安全、环保的生产工艺替代传统工艺。宜采用经绿色认证的化学品。

2. Resource and Energy Utilization 资源和能源利用

Fundamental requirements:The company shall respect the requirements of laws and regulations, take good care of the environment and save resources and energy. It shall reduce and eliminate unnecessary resource consumption at the source or through practice.

基础性要求：公司应尊重法律法规的要求，爱护环境、节约资源和能源。公司应在源头上或通过实践减少和消除不必要的资源耗费。

Encouraging suggestions: The company shall develop an energy saving and emission reduction plan to improve the energy management efficiency. It shall use renewable energy, calculate the total amount of carbon emission and develop an environmental information report; understand and adopt the internationally accepted energy and resource management initiatives, standards and tools.

鼓励性建议：公司宜制定节能减排计划，改善能源管理效率。宜使用可再生能源。宜核算碳排放总量，编制环境信息报告。宜了解和采用国际普遍认可的能源和资源管理倡议、标准及工具。

Part 5: Code of Ethics

第五部分：道德规范

1. Responsible Purchasing 负责任采购

Fundamental requirements: The company shall identify the effects of its purchase of raw materials and/or intermediate products on the society and environment, pay special attention to the risk of human rights in raw materials from the conflict affected and high risk area, and take effective measures to reduce the negative effects of supply chains.

基础性要求：公司应识别自身对原料和/或中间品的采购,对社会和环境产生的影响，尤其重点关注来自受冲突影响和高风险区域的原料的人权风险，采取有效措施降低供应链的负面影响。

Encouraging suggestions: The company shall identify systematic risks at state level of the source of raw materials, and understand the effects of national development level and governance capacity on the above risks. It shall understand the risk of child labor and occupational health and safety caused by different operating modes for big, small and medium mines and manual mining. The company shall review its purchasing practice and supplier performance regularly.

鼓励性建议： 公司宜识别原料来源地在国家层面的系统风险，了解国家发展水平和治理能力对于上述风险的影响。公司宜了解大矿山、中小矿山和手采矿不同作业方式所导致的童工、职业健康与安全等风险。公司宜定期回顾自身采购实践和供应商绩效。

2. Fair Operation and Commercial Integrity 公平运营与商业诚信

Fundamental requirements: If this article applies, the company shall take active measures to prevent any form of bribery, corruption, extortion and embezzlement at the entrance and exit and in transportation routes of the mineral area, and in mineral resources trading areas and any other links. All business transactions shall be reflected in business accounts and records accurately.

基础性要求： 如适用本条款，公司应采取积极措施，在矿区出入口、矿区运输路线、矿产资源交易地以及其他任何环节中，防止任何形式的贿赂、腐败、敲诈勒索和挪用公款行为。所有业务交易均应在业务账目和记录中准确反映。

Encouraging suggestions: The company shall develop cooperation with the local social organization and existing supervisory mechanism and reduce the possibility of bribery and corruption by means of supervision, taking photos and camera shooting.

鼓励性建议： 公司宜与当地社会组织、已有监督机制开展合作，采用人员监督、拍照或摄像等方式，减少贿赂、腐败等可能性。

Part 6: Management Implementation Mechanism

第六部分：管理实施机制

1. Undertaking and Statement 承诺与声明

Fundamental requirements: The company shall make a public statement to support the Code and undertake to abide by the provisions of the Code.

基础性要求：公司应公开声明支持本守则，承诺遵守本守则的规定。

Encouraging suggestions: The company shall make public the actions taken to meet the above requirements and encourage suppliers to support the Code.

鼓励性建议：公司宜公开达到以上要求所开展的行动，并宜鼓励供应商支持本守则。

2. Management System 管理体系

Fundamental requirements:The company shall understand the significance of an appropriate management system to carrying out the responsible practice of purchasing, take active measures and reflect the due diligence management of resources in the company' s operation management.

基础性要求：公司应了解恰当的管理体系对于开展负责任的采购实践的重要意义，采取积极措施，将资源的尽责管理体现在公司运营管理中。

Encouraging suggestions: The company shall establish a supply chain due diligence management system and conduct regular self-assessment on the effectiveness of the management system. It shall establish a supply chain tracking system and a due diligence management information system.

鼓励性建议：公司宜建立供应链尽责管理体系，定期自我评估管理体系的有效性。宜建立供应链追溯系统和尽责管理信息系统。

3. Risk Identification, Prevention and Mitigation

风险识别、防范与减缓

Fundamental requirements:The company shall strive to identify, prevent and mitigate the risks of labor and human rights, health and safety.

基础性要求：公司应与努力识别、防范和减缓劳工与人权、健康与安全等风险。

Encouraging suggestions: The company shall communicate with the social organization, local government, trade union, labor organization and industrial expert, identify and assess risks systematically, classify and grade risks and develop a risk mitigation time planning. The company shall establish a risk early warning system and review the risk identification procedure and prevention and mitigation measures regularly.

鼓励性建议：公司宜与社会组织、当地政府、工会和劳工组织、行业专家交流，系统识别并评估风险，将风险进行分类、分级，制定风险减缓时间规划。公司宜建立风险预警系统。公司宜定期回顾风险识别程序及防范和减缓措施。

4. Assessment and Audit 评估与审计

Fundamental requirements: The company shall strength the self-assessment and management review capacity of supply chain risks.

基础性要求：公司应加强对供应链风险的自我评估和管理评审能力。

Encouraging suggestions: The company shall publicize the self-assessment result, third-party audit result and corrective actions, and participate in the industrial action plan actively.

鼓励性建议：公司宜公开自我评估结果、第三方审计结果和纠正措施。积极参与行业行动计划。

5. Information Transfer and Communication 信息传递与沟通

Fundamental requirements: The company shall make clear and transfer enterprise polices and compliance performance information to employees, suppliers and customers accurately to increase transparency.

基础性要求：公司应清晰并准确向员工、供应商、客户等传递企业政策和合规绩效信息，提高透明度。

Encouraging suggestions: The company shall prepare a supply chain due diligence management progress report or a social responsibility report and disclose the improvement performance regularly. Where appropriate, the company shall consider publicizing relevant information to the society.

鼓励性建议：公司宜编制供应链尽责管理进展报告或社会责任报告，定期披露改进绩效。并在适当的情况下，考虑向社会公开相关信息。