

Supplier Standard for Responsible Cobalt Sourcing

负责任钴采购的供应商标准

1.0 Purpose 目的

This *Supplier Standard for Responsible Cobalt Sourcing* (“Standard”) supplements *Huayou Supplier Code of Conduct* (“Code”) by providing additional detail regarding materials, and the use of materials for goods, sold to Huayou or Huayou’s Suppliers. Huayou’s Suppliers shall meet this Standard to be in compliance with the Code. The terms and conditions of the Code are incorporated in this Standard, and this Standard shall govern and be deemed to modify the Code if there are any conflicting provisions. The Standard shall be incorporated into all legal contracts with suppliers.

此《负责任钴采购的供应商标准》（《标准》）就出售给华友及其供应商的产品所用材料额外进行详细阐释，是对《供应商行为准则》（《准则》）的补充。华友的供应商应遵守此标准以符合准则要求。准则的条款和条件已被纳入此标准之中，若两者出现任何冲突，应以此标准为准，并视作对准则的修改。本标准将纳入所有的供应商法律合同中。

2.0 Scope 范围

This Standard applies to all Huayou suppliers, their subcontractors, and their next- tier suppliers (each a “Supplier”; collectively, “Suppliers”) producing cobalt containing material or goods for use in Huayou’s products or providing services in connection with Huayou’s products that contain cobalt. This Standard describes restrictions applicable to all cobalt containing goods to ensure that the materials, components and procurement and production processes for goods sold to Huayou or Huayou’s Suppliers comply with the provisions of the Huayou Supplier Code of Conduct. Any questions regarding this Standard should be directed to the Corporate Social Responsibility Office at CSR@Huayou.com.

此标准适用于所有华友供应商、分包商及其下级供应商(这里的每一级供应商统称供应商)，其生产的含钴原料或产品用在华友的产品上或者提供与华友的含钴产品相关的服务。此标准为确保出售给华友及其供应商的产品所用的材料、元器件和采购及生产过程符合华友供应商行为准则，对其所有材料可适用的约束进行了阐述。关于此标准有任何问题，可直接联系社会责任办公室，邮箱为 CSR@Huayou.com。

3.0 Supplier Code of Conduct Requirements 供应商行为准则要求

Suppliers shall exercise due diligence in accordance with the *Chinese Due Diligence Guidance for Responsible Mineral Supply Chains* and the *OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas* (the “Chinese Guidance and OECD Guidance”), on their entire supply chain with respect to the sourcing of all cobalt, contained in their products, to determine whether cobalt is from the Democratic Republic of the Congo (the “DRC”) or any other identified high risk areas and, if so, to determine whether the cobalt directly or indirectly finance human rights abuses especially worst forms of child labour.

供应商应按照《中国负责任矿产供应链尽责管理指南》和《经合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》（以下简称《中国指南》和《经合组织指南》）相关要求，就其整个供应链关于钴产品中钴的来源开展尽责管理，确定其中的钴是否来自刚果民主共和国（刚果（金））或者其它被识别的高风险地区。如果是，确定其中的钴是否直接或间接为侵犯人权，尤其是最恶劣形式的童工提供赞助。

Suppliers shall satisfy the reporting and sourcing requirements of this Standard. Huayou reserves the right to audit Suppliers for compliance as described in the *Huayou Supplier Code of*

Conduct. 供应商应满足本标准提到的报告和采购的要求。华友有权根据《华友供应商行为准则》所描述的符合性对供应商进行审核。

4.0 Supplier Responsibility Standards 供应商责任标准

4.1 High-Risk Area Minerals Restriction 高风险地区矿产资源限制

Suppliers that produce goods containing cobalt must adopt *Huayou Supply Chain Policy for a Responsible Global Supply Chain of Cobalt from High-Risk Areas* (the “Supply Chain Policy”) that is consistent with the Code. Suppliers must distribute their cobalt supply chain policy to all of their subcontractors and suppliers that provide materials for the process or manufacture of goods. 生产的产品中含钴的供应商必须采用《来自高风险区域的负责任全球钴供应链政策》（《供应链政策》），该政策与华友为建立负责任的全球钴供应链所制定的《准则》一致。供应商必须向其分包商和为加工和生产产品所提供物料的供应商分发他们的钴供应链政策。

Suppliers may only use cobalt, in processes and goods if the Supplier can reasonably demonstrate that it has exercised due diligence in accordance with the Chinese Guidance/OECD Guidance to identify and address the Worst Forms of Child Labour in the minerals supply chain regarding the source and chain of custody of such cobalt, and satisfied the reporting and sourcing requirements of this Standard. 供应商只有在下列情况下才可以使用钴的加工品和产品，即供应商能合理证明已经按照《中国指南》、《经合组织指南》，针对钴的来源和监管链，识别和回应了矿业供应链中最恶劣形式的童工，并满足标准中对于报告和采购的要求。

If the Supplier cannot reasonably demonstrate that (i) it has exercised due diligence in accordance with the Chinese Guidance and OECD Guidance with respect to any cobalt in any process or goods, and (ii) it has satisfied the reporting and sourcing requirements of this Standard, with respect to such cobalt, then the Supplier shall not use the affected cobalt in any process or goods. 如果供应商无法合理证明 i) 对任何加工或产品中含有的钴，其已经按照《中国指南》和《经合组织指南》开展了尽责管理，并且 ii) 这些钴已满足本标准的报告和采购要求，则供应商不允许在任何加工或产品中使用受影响钴。

The Supplier shall provide to Huayou reasonable documentary evidence of the Supplier’s reporting, sourcing and due diligence activities, and shall make such records available to Huayou upon request. 供应商应向华友提供关于其报告、采购和尽责管理活动的合理的书面证据，且应在华友要求时将此记录提供给华友。

Suppliers shall distribute this Standard to all relevant procurement personnel and factory management for all of the Supplier’s facilities producing goods and must ensure their facilities’ compliance with the obligations and requirements in this Standard. Suppliers that wish to request support or additional training from Huayou may contact CSR@Huayou.com. 供应商应将此标准分发给自己所有生产产品的工厂的相关采购人员及工厂管理层，并确保他们的工厂遵守此标准规定的义务和要求。供应商如果希望得到华友的支持及额外培训，可以发送邮件到 CSR@Huayou.com。

4.2 Due Diligence Declaration 尽责管理声明

The Chinese Guidance establishes a framework for exercising due diligence to determine the source and chain of custody of cobalt. 《中国指南》为运用尽责管理来确认钴的来源和监管链建立了框架。

Relevant due diligence procedures shall be used by the supplier to declare herewith: 供应商应采用相关的尽责管理程序进行如下声明：

- **to be fully committed to ensuring that its use and sale of cobalt do not contribute to the human rights abuses in high risk countries;** 全力保障钴的使用和销售不助长高风险国家的人权侵犯。
- **to exercise due diligence on the source and chain of custody of goods containing cobalt in its supply chain (e.g., by application of a nationally or internationally recognized supply chain due diligence standard such as the Chinese Guidance and OECD Guidance);** 对于供应链中含钴产品的来源和监管链开展尽责管理（例如应用已得到国家和国际认可的供应链尽责管理标准，如《中国指南》和《经合组织指南》）。
- **to make available to Huayou – upon Huayou’s written request – all documentation and supporting evidence that demonstrate its due diligence measures;**经华友书面要求，华友可查阅证明其尽责管理措施的所有文件和证据。
- **to agree that Huayou or a 3rd party appointed by Huayou and reasonably acceptable to supplier, shall be entitled to conduct inspections at supplier’s premises and of supplier’s supply chain, including transportation routes and mine sites of origin, in order to verify supplier’s compliance with the Code with full cooperation and support by supplier.** 供应商在合理的可接受的情况下，应同意华友或华友指定的第三方有权在供应商场地和供应商的供应链进行检查，包括运输路线和矿区源头。并且为了核实供应商对准则的合规性，供应商应全力配合和支持。
- **to immediately notify Huayou in case a supplier should become aware of any relevant warning signs in its supply chain indicating that any goods may not be free of human rights abuses especially free of the worst forms of child labor, as described in the Chinese Guidance and OECD Guidance. Supplier must immediately notify Huayou in writing at CSR@Huayou.com. Such notification must include reasonable tracking information to identify which goods may contain the affected cobalt.** 如果供应商发现供应链中任何相关预警信号表明任何产品涉及《中国指南》和《经合组织指南》中提到的人权侵犯尤其是最恶劣形式的童工问题，必须立即通知华友。供应商必须立即写邮件到 CSR@Huayou.com 通知华友。该通知必须有合理的追踪信息以识别哪些产品中可能含有受影响的钴。
- **Huayou reserves the right to disengage business activity with any supplier who fails to meet the requirements of the Standard.** 对于任何不能满足此标准要求的供应商，华友保留终止与其业务的权利。