

负责任矿产采购的供应商标准

Suppliers Standard for Responsible Mineral Sourcing

Jan 2023

一、目的 Purpose

此《负责任矿产采购的供应商标准》(以下简称《标准》)就出售给上海锦源晟新能源材料有限公司(以下简称“上海锦源晟”)及其供应商的产品所用材料额外进行详细阐释,是对上海锦源晟《供应商行为准则》(以下简称《准则》)的补充)。上海锦源晟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。

Suppliers Standard for Responsible Mineral Sourcing (hereinafter referred to as “Standard”) is a detailed interpretation of the materials sold to Shanghai Jayson New Energy Material Co., Ltd. (hereinafter referred to as “Shanghai Jayson”) by its suppliers. It is a supplementary explanation to the Supplier Code of Conduct (hereinafter referred to as the “Code”) issued by Shanghai Jayson. All suppliers should comply with this standard to meet the requirements of the Code. The terms and conditions of the Code have been incorporated into this Standard. If there is any conflict between the two, this Standard shall prevail and be regarded as a modification of the Code. This Standard will be included in all supplier legal contracts.

二、范围 Scope

此标准适用于所有上海锦源晟合格供应商、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、镍、铜、锂原料或产品用在上海锦源晟的产品上或者提供与上海锦源晟的含钴产品相关的服务。此标准为确保出售给上海锦源晟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上海锦源晟供应商行为准则,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henrychen@shjayson.com

The Standard applies to all Shanghai Jayson qualified suppliers, subcontractors and their sub-suppliers (each of which is collectively referred to as the supplier), which produce cobalt, nickel, copper and lithium containing raw materials or products used by Shanghai Jayson or provide services related to the cobalt-containing products of Shanghai Jayson. This Standard addresses the applicable constraints of all materials in order to ensure that the materials, components, and procurement and manufacturing processes used for the products sold to Shanghai Jayson and its suppliers are in compliance with the Code. Any questions about this Standard, please contact the Social Responsibility Office, directly at henrychen@shjayson.com.

三、供应商行为准则要求 Requirements for Suppliers' Code of Conduct

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职调查指南》(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、镍、铜、锂的来源开展尽责管理,确定其中的钴、镍、铜、锂是否来自刚果民主共和国(以下简称刚果(金))或者其它被识别的高风险地区)。如果是,确定其中的钴、镍、铜、锂是否直接或间接为侵犯人权以及其他的严重问题,尤其是使用最恶劣形式的童工的组织或团伙提供赞助。供应商应满足本标准提到的报告和采购的要求。上海锦源晟有权根据《供应商行为准则》所描述的符合性对供应商进行审核。

Suppliers should follow the China Due Diligence Guidelines for Responsible Mineral Supply Chains and the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (hereinafter referred to as the China Guidance and the OECD Guidance) and implement a due diligence management of the source of cobalt, nickel, copper and lithium throughout the supply chain to determine whether cobalt, nickel, copper and lithium is from the Democratic Republic of Congo (hereinafter referred to as Congo) or other identified high-risk areas. If so, we shall determine whether the cobalt, nickel, copper and lithium is from organizations who directly or indirectly violate the human rights and other serious problems, especially providing funds to the organizations or groups involved in the worst forms of child labor. Suppliers shall meet the reporting and procurement requirements referred to in this Standard. Shanghai Jayson has the right to audit suppliers in accordance with the compliance described in the Code.

四、 供应商责任标准 Standard of Suppliers' Responsibility

4.1 高风险地区矿产资源限制 Limitation of Mineral Resources in High-risk Areas

生产的产品中含钴、镍、铜、锂等的供应商必须采用《负责任矿产供应链尽责管理政策》(以下简称《尽责管理政策》),该政策与上海锦源晟为建立负责任的矿产供应链所制定的《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矿产供应链尽责管理政策。

The supplier of cobalt, nickel, copper and lithium and other metals - containing products must adopt the Due Diligence Policy for a Responsible Mineral Supply Chain (hereinafter referred to as "Due Diligence Policy" or "Policy"). The policy is consistent with the "Guidelines" developed by Shanghai Jayson for the establishment of a responsible mineral supply chain. Suppliers must inform their Mineral Supplier Chain Due Diligence Policy to their subcontractors and suppliers of materials needed in processing and production.

供应商只有在下列情况下才可以使用钴、镍、铜、锂的加工品和产品,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、镍、铜、锂的来源和监管链,识别和回应了矿业供应链中最恶劣形式的童工、侵犯人权以及其他的严重问题,并满足标准中对于报告和采购的要求。如果供应商无法合理证明(1)对任何加工或产品中含有的钴、镍、铜、锂,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 (2) 这些钴、镍、铜、锂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的钴、镍、铜、锂。 供应商应向上海锦源晟提供关于其报告、采购和尽责管理活动的合理的书面证据，且应在上海锦源晟要求时将此记录提供给上海锦源晟。

Suppliers can use cobalt, nickel, copper and lithium processed products and products only when the supplier can reasonably prove that they have identified and responded the worst forms of child labor, human rights violations & other serious problems in the supply chain and meet the reporting and procurement requirements of the Standard in the mining industry in accordance with the China Guideline and the OECD Guidelines for cobalt, nickel, copper and lithium sources and supply chain. If the supplier cannot reasonably prove (1) the cobalt, nickel, copper and lithium contained in any processing or product, and it has performed due diligence in accordance with the China Guideline and the OECD Guideline, and (2) these cobalt, nickel, copper and lithium have met the reporting and procurement of this Standard, the supplier is not permitted to use the affected cobalt, nickel, copper and lithium in any process or product. Suppliers shall provide Shanghai Jayson with reasonable written evidence of their reporting, procurement and due diligence activities and shall provide this record to Shanghai Jayson upon request.

供应商应将此标准分发给自已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上海锦源晟的支持及额外培训，可以发送邮件到henrychen@shjayson.com。

Suppliers should distribute this Standard to the relevant procurement personnel and plant management of all of their own production plants and ensure that their factories comply with the obligations and requirements set forth in this Standard. Suppliers who want to receive support and additional training from Shanghai Jayson can send an email to henrychen@shjayson.com.

4.2 尽责管理声明 Statement of due diligence

《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。供应商应采用相关的尽责管理程序进行如下声明:全力保障钴的使用和销售不助长高风险国家的人权侵犯。对于供应链中含钴、镍、铜、锂产品的来源和监管链开展尽责管理(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》)。 经上海锦源晟书面要求，上海锦源晟可查阅证明其尽责管理措施的所有文件和证据。

The China Guidance sets the framework for the use of due diligence to identify sources and chain of custody. Suppliers should use the relevant due diligence procedures to make the following statements: to guarantee that the use and sale of cobalt does not contribute to human rights violations in high-risk countries; to conduct due diligence of sources and chain of custody of cobalt, nickel, copper and lithium-containing products in the supply chain (e.g. to apply the due diligence standards that have received national and international recognition in the supply chain , such as the China Guidance and the OECD Guidelines). Upon the written request, Shanghai Jayson has right to inspect all documents and evidence proving the supplier's due diligence measures.

供应商在合理的可接受的情况下，应同意上海锦源晟或上海锦源晟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。

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，必须立即通知上海锦源晟。供应商必须立即写邮件到audit@shjayson.com或henrychen@shjayson.com 通知上海锦源晟。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、镍、铜、锂。

对于任何不能满足此标准要求的供应商，上海锦源晟保留终止与其业务的权利。

In a reasonably acceptable situation, the supplier should agree that Shanghai Jayson or a third party designated by Shanghai Jayson has the right to inspect the supply chain of the supplier and the supplier, including the transportation route and the source of the mining area. In order to verify the supplier's compliance with the guidelines, the supplier should fully cooperate and support the inspections. If the supplier finds that any relevant warning signals in the supply chain indicate that any product involves human rights violations mentioned in the China Guidance and the OECD Guidelines, especially the worst forms of child labor, Shanghai Jayson must be notified immediately. Suppliers must immediately send an email to henrychen@shjayson.com to inform the Company. The notice must have reasonable tracking information to identify which products may contain the affected cobalt, nickel, copper and lithium. To those suppliers who fail to meet the requirements of the Standard, Shanghai Jayson reserves the right to discontinue the cooperation.

供应商签章 Supplier Signature _____

上海锦源晟新能源材料有限公司
Shanghai Jayson New Energy Material Co., Ltd.

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