

厦门新能安科技有限公司

供应商行为准则

Ampace Supplier Code of Conduct

Ver 2.0

厦门新能安科技有限公司（以下简称“新能安”或“Ampace”）的愿景是“做世界一流的创新科技公司，为人类的新能源事业做出卓越贡献的同时，为全体员工的精神和物质的福祉而努力奋斗”，新能安承诺践行负责任的社会、环境和道德行为。新能安的供应商（以下简称“供应商”）必须提供安全的工作环境，确保员工受到尊重、享有尊严，公平且遵循道德标准行事，并在任何情况下为新能安生产产品或提供服务时均应采取对环境负责的行为。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/地区的法律法规和本《供应商行为准则》中的原则来经营。

Ampace's vision is "strive to be a global premier innovative technology corporation, deliver excellent contribution to the green energy resolution for mankind, and enrich the spiritual and material wellbeing of our employees.", and Ampace is committed to practicing responsible social, environmental and ethical behaviors. Ampace's suppliers shall provide a safe working environment and ensure that employees are treated with respect, dignity and fairness, act according to ethical standards, and take environmentally responsible actions when producing products or providing services to Ampace. In all of its business activities, suppliers are obliged to fully comply with the laws and regulations of the country/region in which it domiciles and principles set forth in this Supplier Code of Conduct.

新能安要求供应商通过使用下面介绍的管理系统来执行此准则。新能安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，供应商对于新能安查核应给以最高程度配合。如供应商违反本准则、无故拒绝新能安稽查或对于新能安的查核或问卷有虚伪不实或隐匿情事者，新能安有权立即停止与供应商的合作关系。

Ampace requires suppliers to implement this Code by using the management system described below. Ampace may go to (and/ or appoint a third party supervisor to go to) suppliers' premises with or without prior notice to evaluate whether Suppliers has complied with laws and regulations and this Code, suppliers shall provide the highest degree of coordination. In the event that Suppliers violates any term of this Code of Conduct, refuses Ampace's audit request without reasonable cause or provides false statement or hidden facts during Ampace's audit or when filling the questionnaires requested by Ampace, Ampace shall have the right to immediately cease the cooperation relationship with suppliers.

本《供应商行为准则》的制订参考了《责任商业联盟行为准则 (RBA Code of Conduct)》、《社会责任标准 (SA8000)》、《世界人权宣言》、《海外反腐败法 (FCPA)》、《ISO 14001》、《ISO 45001》、《经合组织对受冲突影响和高风险地区矿产负责任供应链的尽职调查指南》以及国际劳工组织 (ILO) 颁布的一系列标准，这些标准也可作为供应商信息的来源。

Ampace Supplier Code of Conduct was formulated by reference to the Code of Conduct for Responsible Business Alliances (RBA CoC), the Social Responsibility Standard (SA8000), the Universal Declaration of Human Rights, the Foreign Corrupt Practices Act (FCPA), ISO 14001, ISO 45001, the OECD Due Diligence Guide for Responsible Mineral Supply Chains in Conflict-Affected and High-Risk Areas and a series of standards issued by the International Labour Organization (ILO), which can also be used by Suppliers as information source.

请与新能安一起，共同推进全球供应链的社会及环境责任。

Please cooperate with Ampace to promote social and environmental responsibility in the global supply chain.

A. 劳工

A. LABOR

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，并致力于促进多元化和包容性的工作环境。此处的员工包括临时工、外籍劳工、学生工、合同工、直接雇员和任何其他类型的员工。

Suppliers are committed to safeguarding the human rights of employees in accordance with internationally accepted standards, treating them with dignity and respect, and promoting a diverse and inclusive working environment. Employees referred to in this Code include temporary employees, immigrants, apprentices, contract employees, direct employees, and other types of employees.

劳工标准如下：

The labor standards are as follows:

1. 禁止强迫劳动

Prohibition of Forced Labor

禁止债役（包括债务质役）或契约劳动、非自愿或剥削性监狱劳动、奴役或贩卖人口等任何形式的强迫劳动，包括通过威胁、武力、胁迫、诱拐或欺诈等手段运送、窝藏、招募、转移或接收人员以获取劳动或提供服务。不得对员工在厂区内的行动自由以及进出公司提供的设施场所（如宿舍、生活区等）设立不合理的限制。提供以员工母语或能理解的语言撰写的书面雇佣协议。外籍员工必须在离开原籍国/地区之前收到雇佣协议，并且在其到达接收国/地区后，除了为符合当地法律和提供同等或更好的条件而做出的变更外，不得改换或变更雇佣协议。所有工作都应是员工自愿的。员工按照合理通知期限（应在雇佣协议中明确规定）提出离职，应允许自由终止聘用合约，并不必支付任何罚款。供应商应保留所有离职员工的相关文件。不得持有或以其他方式销毁、隐藏或没收员工由政府签发的身份证明、护照或工作许可证等证件原件。如雇主为遵守当地法律而持有该证件时，任何时候都不得拒绝员工查阅其证件。不得要求员工向雇主、代理或子代理支付押金、招聘费用或其他相关费用。如果发现员工支付过任何上述费用，应将该费用退还给员工。

Forced labor in any form, including but not limited to, bonded (including debt bondage) or indentured labor, involuntary or exploitative prison labor, slavery or trafficking of persons is not permitted. 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 including, if applicable, workers' dormitories or living quarters. As part of the hiring process, all workers shall be provided with a written employment agreement in their native language, or in a language the worker can understand, that contains a description of terms and conditions of employment. Foreign migrant workers shall receive the employment agreement prior to the worker departing from his or her country of origin and there shall be no substitution or change(s) allowed in the employment agreement upon arrival in the receiving country unless these changes are made to meet local law and provide equal or better terms. All work shall be voluntary, and workers shall be free to leave work at any time or terminate their employment without penalty if reasonable notice is given, which shall be clearly stated in workers' contracts. Suppliers shall maintain documentation on all leaving workers. Employers, agents, and sub-agents' may not hold or otherwise

destroy, conceal, or confiscate identity or immigration documents, such as government-issued identification, passports, or work permits. Notwithstanding the foregoing, employers can only hold documentation if necessary to comply with the local law. In this case, at no time shall workers be denied access to their documents. Workers shall not be required to pay employers' agents or sub-agents' recruitment fees or other related fees for their employment. If any such fees are found to have been paid by workers, such fees shall be repaid to the worker.

2. 未成年工

Young Workers

在任何制造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。当发现有误招童工后，应及时采取补救措施。未成年工（高于法定最低工作年龄但未满18岁）不得从事可能危及健康与安全的工作，包括夜班和加班。应制定程序验证员工的年龄。支持采用遵守所有法律法规的合法工作场所学徒计划。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。如当地法律未作规定，学生工、实习生和学徒的工资至少应达到其他执行相同或相似岗位的初级员工的工资水平。

Child labor shall not 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. If child labor is identified, assistance/remediation shall be provided. 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. Suppliers 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 laws and regulations. Suppliers shall implement an appropriate mechanism to verify the age of workers. The use of legitimate workplace learning programs, which comply with all laws and regulations, is supported. Suppliers 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.

3. 工作时间

Working Hours

除遇到紧急或特殊情况以外，员工每周的工作时间（包括加班时间）不得违反该国家/地区的法律要求。所有加班必须在员工自愿情况下实行。员工每七天至少休息一天。

A workweek shall not exceed the maximum set by local law, except in emergency or unusual situations. All overtime shall be voluntary. Workers shall be allowed at least one day off every seven days.

4. 薪资和福利

Wages and Benefits

向员工支付的报酬应符合所有适用的薪资法律，包括有关最低工资、加班时间及法定福利的法律。所有员工应同工同酬、同资同酬。根据当地法律，员工的加班报酬应高于正常的时薪水平。禁止将扣减工资作为纪律处罚措施。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。

Compensation paid to workers shall comply with all applicable wage laws, including those relating to minimum wages,

overtime hours and legally mandated benefits. All workers shall receive equal pay for equal work and qualification. 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 shall be within the limits of the local law.

5. 不歧视、不骚扰、人道待遇

Non-Discrimination/Non-Harassment/Humane Treatment

应承诺提供员工免受骚扰以及非法歧视的工作场所。不得对员工实施暴力、基于性别的暴力、性骚扰、性虐待、体罚、精神或肉体胁迫、霸凌、公开羞辱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。不得因人种、肤色、年龄、性别、性取向、性别认同和性别表现、种族或国籍、残疾、怀孕、宗教信仰、政治派别、社团成员身份、退伍军人身份、受保护的遗传信息或婚姻状况等在招聘或雇佣过程中（如工资、晋升、奖励和培训机会等）歧视或骚扰员工。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。应为员工的宗教习俗和残疾提供合理便利。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学检查，比如怀孕、童贞检查、乙肝检查等。

Suppliers shall commit to a workplace free of harassment and unlawful discrimination. There shall be no harsh or inhumane treatment including violence, gender-based violence, sexual harassment, sexual abuse, corporal punishment, mental or physical coercion, bullying, public shaming, or verbal abuse of workers; nor is there to be the threat of any such treatment. Companies shall not engage in discrimination or harassment based on race, color, age, gender, sexual orientation, gender identity or 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. Disciplinary policies and procedures in support of these requirements shall be clearly defined and communicated to workers. Workers shall be provided with reasonable accommodation for religious practices and disability. In addition, workers or potential workers should not be subjected to medical tests, including pregnancy or virginity tests, or physical exams that could be used in a discriminatory way.

6. 自由结社与集体谈判

Freedom of Association and Collective Bargaining

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实践的建议与意见，且无需担心歧视、报复、威胁或骚扰。供应商应尊重所有员工自由结社或加入工会、进行集体谈判、参与和平集会以及拒绝参加此类活动的权利。如果结社自由和集体谈判的权利受到适用法律和法规的限制，则应允许员工选举和加入其他合法形式的员工代表组织。

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. In alignment with these principles, suppliers 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. Where the right of freedom of association and collective bargaining is restricted by applicable laws and regulations, workers shall be allowed to elect and join alternate lawful forms of worker representations.

7. 社区关系和原住民权利

Community Relations and Indigenous Rights

应采取措施减少其运营对当地社区的任何负面影响，包括环境、社会、文化和其他生活质量因素。应与受影响社区协商，确定社区需求，制定计划，并投入资源支持社区发展。应实施尊重原住民权利的管理制度，包括自由、事先知情及同意；避免对原住民的土地、生计、资源和文化遗产造成不利影响，以及制定和实施原住民参与计划。

Suppliers shall take measures to reduce any negative impact of its operations on the local community, including environmental, social, cultural and other quality of life factors. Affected communities should be consulted to identify community needs, develop plans, and devote resources to support community development. The Suppliers shall implement a management system that respects the rights of indigenous peoples, including freedom, prior knowledge and consent; To avoid adverse impacts on indigenous peoples' lands, livelihoods, resources and cultural heritage, and to develop and implement indigenous peoples' participation programmes.

8. 第三方招聘代理

Third-party recruitment agents

供应商应确保第三方招聘代理遵循本准则和法律规定。

Suppliers shall ensure that third-party recruitment agents comply with this Code and statutory requirements.

B.健康与安全

B. HEALTH AND SAFETY

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。

Suppliers shall understand that, in addition to minimizing work-related injuries and illnesses, the establishment of a safe and healthy working environment can improve the quality of products and services, which is conducive to promoting production, improving employee retention and morale. Suppliers shall also understand that continuous employee investment and education is critical to identifying and resolving health and safety issues in the workplace.

健康与安全标准如下：

The health and safety standards are as follows:

1. 职业健康与安全

Occupational Health and Safety

应取得、维护并更新所有必要的健康和安全许可，并遵守这些许可的相关规定。应使用控制措施等级识别、评估和减少员工可能遇到的潜在健康与安全危险（化学、电气和其他能源、火灾、车辆及坠落危险等）。如果通过上述方式无法有效地控制危险，应为员工提供适当的、保养良好的个人防护用品以及关于上述危险可能导致的风险的教育培训。应采取促进两性平等的措施，如避免让孕妇和哺乳期女性在可能对其自身或其子女有害的工作环境下工作，并为哺乳期女性提供合理的便利条件。

Suppliers shall obtain and continuously update all necessary health and safety permits, and abide by provisions of these permits. Worker potential for exposure to health and safety hazards (chemical, electrical and other energy sources, fire, vehicles, and fall hazards, etc.) shall be identified and assessed, mitigated using the Hierarchy of Controls. Where

hazards cannot be adequately controlled by these means, workers shall be provided with appropriate, well-maintained, personal protective equipment, and educational materials about risks to them associated with these hazards. Gender-responsive measures shall be taken, such as not having pregnant women and nursing mothers in working conditions, which could be hazardous to them or their child and to provide reasonable accommodations for nursing mothers.

2. 特殊作业管理

Special operation management

供应商应对特殊作业（如高空作业、动火作业、受限空间作业等）建立作业许可证制度并有效实施。这些程序的实施需涵盖工厂内承包商。

Suppliers shall establish a permit system for special operations (such as high-altitude operations, hot-fire operations, restricted space operations, etc.) and implement them effectively. The implementation of these procedures needs to cover contractors in the plant.

3. 工业卫生

Industrial Hygiene

应根据控制措施的等级，识别、评估并控制化学、生物及物理等因素给员工带来的影响。当无法充分控制风险时，应为员工免费配备并让其使用适当的、保养良好的个人防护用品。供应商应为员工提供安全健康的工作环境，定期开展职业健康监护及职业病危害因素监测。供应商应对员工开展职业健康培训，内容应包含在工作场所面临的危险有关的风险。

Worker exposure to chemical, biological, and physical agents shall be identified, evaluated, and controlled according to the Hierarchy of Controls. When hazards cannot be adequately controlled, workers shall be provided with and use appropriate, well-maintained, personal protective equipment free of charge. Suppliers shall provide workers with safe and healthy working environments, which shall be maintained through ongoing, systematic monitoring of workers' health and working environments. Suppliers shall provide occupational health monitoring to routinely evaluate if workers' health is being harmed from occupational exposures. Protective occupational health programs shall be ongoing and include educational materials about the risks associated with exposure to workplace hazards.

4. 强体力型工作

Physically Demanding Work

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。

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 shall be identified, evaluated, and controlled.

5. 机械安全防护

Machine Safeguarding

应对生产设备和其他机械进行安全风险评估。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。

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

6. 公共卫生、饮食和住宿

Sanitation, Food, and Housing

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、充足的照明和良好的通风、用于存放个人和贵重物品的独立安全柜，以及合理的出入方便的私人空间。

Workers shall be provided with ready access to clean toilet facilities, potable water and sanitary food preparation, storage, and eating facilities. Worker dormitories provided by the Participant or a labor agent shall be maintained to be clean and safe, and provided with appropriate emergency egress, hot water for bathing and showering, adequate lighting, and adequate conditioned ventilation, individually secured accommodations for storing personal and valuable items, and reasonable personal space along with reasonable entry and exit privileges.

7. 健康与安全沟通

Health and Safety Communication

应以员工的母语或其能够理解的语言向员工提供适当的工作场所健康与安全信息和培训，内容涵盖员工面临的所有已确定的工作场所危害，包括但不限于机械、电气、化学、火灾和物理危害。应在工厂区域或在员工可明显辨别且可出入的场所清晰张贴健康与安全相关信息，健康信息和培训应包括针对相关人群特定风险的内容，如性别和年龄（如适用）。在员工上岗前对员工进行培训，且在岗期间应定期进行培训。鼓励员工提出健康与安全问题，且无需担心遭到报复。

Suppliers shall provide workers with appropriate workplace health and safety information and training in the language of the worker or in a language the worker can understand for all identified workplace hazards that workers are exposed to, including but not limited to mechanical, electrical, chemical, fire, and physical hazards. Health and safety related information shall be clearly posted in the facility or placed in a location identifiable and accessible by workers. Health information and training shall include content on specific risks to relevant demographics, such as gender and age, if applicable. Training shall be provided to all workers prior to the beginning of work and regularly thereafter. Workers shall be encouraged to raise any health and safety concerns without retaliation.

8. 事故事件与工伤管理

Incidents and occupational injuries management

应制定程序和体系以预防、管理、跟踪和报告员工健康与安全事故及未遂事件，包括以下规定：鼓励员工报告、对员工健康与安全事故及未遂事件进行分类和记录、提供必要的医疗服务、调查案例并采取纠正措施以降低或消除风险以及帮助员工重返工作岗位。在面临紧迫伤害时，员工可自行撤离，并在情况得到缓解之前不予返回。供应商不得因此原因报复、处罚员工。

Procedures and systems shall be in place to prevent, manage, track and report health and safety incidents and attempted incidents, including provisions to encourage worker reporting, classify and record health and safety incidents and attempted incidents, provide necessary medical treatment, investigate cases and implement corrective actions to eliminate their causes, and facilitate the return of workers to work. Suppliers shall allow workers to remove themselves from imminent harm, and not return until the situation is mitigated, without fear of retaliation.

9. 应急准备

Emergency Preparedness

应识别并评估紧急情况 and 事件，并通过实施应急预案及响应规程（包括应急报告、员工通知和疏散规程、员工培训和演练）将其影响降到最低。应急演练应至少每年进行一次，或按照当地法律的规定（以较严格的为准）进行。应急预案还应包括适当的火灾探测和灭火设备、畅通无阻的出口、充足的出口设施、应急人员的联系信息和恢复计划。此类计划和程序应尽可能减少对人身、环境和财产的危害。

Potential emergency situations and events shall 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. Emergency drills shall be executed at least annually or as required by local law, whichever is more stringent. Emergency plans shall also include appropriate fire detection and suppression equipment, clear and unobstructed egress, adequate exit facilities, contact information for emergency responders, and recovery plans. Such plans and procedures shall focus on minimizing harm to life, the environment, and property.

C. 环境

C. ENVIRONMENT

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。

Suppliers shall understand that environmental responsibility is an important part of manufacturing world-class products. During the manufacturing process, adverse impacts on communities, the environment and natural resources shall be minimized while protecting public health and safety.

环境标准如下：

The environmental standards are as follows:

1. 环境许可与报告

Environmental Permits and Reporting

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。

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

2. 污染预防和节约资源

Pollution Prevention and Resource Conservation

应当采取措施从源头上降低或消除污染物的排放、释放以及废弃物的产生，例如增加污染控制设备、改进生产、维护和设施流程，或采取其他措施。应当采取措施有节制地使用自然资源，包括水、化石燃料、矿产和原始森林木材，例如改进生产、维护和设备工艺、使用替代性材料、重复利用、保护资源、回收利用的策略或其他方法。

Emissions and discharges of pollutants and generation of waste shall be minimized or eliminated at the source or by practices such as adding pollution control equipment; modifying production, maintenance, and facility processes; or by

other means. The use of natural resources, including water, fossil fuels, minerals, and virgin forest products, shall be conserved by practices such as modifying production, maintenance and facility processes, materials substitution, re-use, conservation, recycling, or other means.

3. 有害物质

Hazardous Substances

应当识别、控制和管理释放到环境中会造成危险的化学物质、废弃物及其他材料，确保其得到安全处理、运输、存储、使用、回收或再利用和处置。应跟踪和记录有害废弃物数据。

Chemicals, waste, and other materials posing a hazard to humans or the environment shall be identified, labeled, and managed to ensure their safe handling, movement, storage, use, recycling or reuse, and disposal. Hazardous waste data shall be tracked and documented.

4. 固体废弃物

Solid Waste

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（有害废弃物）。应跟踪和记录废弃物数据。

Suppliers shall implement a systematic approach to identify, manage, reduce, and responsibly dispose of or recycle solid waste (non-hazardous). Waste data shall be tracked and documented.

5. 废气排放和噪声

Air Emissions and noise

经营过程中产生的挥发性有机化学物质、气溶胶、腐蚀物、粉尘、消耗臭氧层的物质和燃烧副产物等废气排放，需在排放前按要求进行性质识别、常规监测、控制及处理。破坏臭氧层的物质应按照《蒙特利尔议定书》和适用法规进行有效管理。供应商应对其废气排放控制系统的运行状况进行常规监测。供应商应识别、控制、监测及降低影响厂界噪声等级的噪声源。

Air emissions of volatile organic chemicals, aerosols, corrosives, particulates, ozone depleting substances, and combustion byproducts generated from operations shall be characterized, routinely monitored, controlled, and treated as required prior to discharge. Ozone-depleting substances shall be effectively managed in accordance with the Montreal Protocol and applicable regulations. Suppliers shall conduct routine monitoring of the performance of its air emission control systems. Suppliers shall identify, control, monitor and reduce noise sources that affect the noise level of the factory boundary.

6. 限用物质

Materials Restrictions

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）的适用法律法规和新能安要求。

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

7. 水资源管理

Water Management

应实施水资源管理计划，记录、描述和监测水资源及其使用和排放。寻求节约用水的机会，并控制污染渠道。所有废水在排放或处置前，需按要求进行分类、监测、控制和处理。供应商应对其废水处理和控制系统的运行状况进行常规监控，以确保最佳性能和监管合规。应运用系统方法，防止雨水径流污染。避免违法排放和溢流产生的废水进入雨水排放管道、公共供水系统或公共水域。供应商对水资源管理应保障当地社区每个人获得充足、安全、可接受、价格合理、容易获取的水资源以供个人和家庭使用的权利。供应商应采取综合利用资源、采取措施以防范及应对洪水及干旱。供应商对水资源的利用及水污染的管理应减少、消除对海底及海洋环境的负面影响。

Suppliers shall implement a water management program that documents, characterizes, and monitors water sources, use and discharge; seeks opportunities to conserve water; and controls channels of contamination. All wastewater shall be characterized, monitored, controlled, and treated as required prior to discharge or disposal. Suppliers shall conduct routine monitoring of the performance of its wastewater treatment and containment systems to ensure optimal performance and regulatory compliance. A systematic approach should be used to prevent stormwater runoff pollution. Prevent waste water from illegal discharges and overflows from entering stormwater drains, public water supply systems or public waters. The management of water resources by the Suppliers shall guarantee the right of each person in the local community to obtain adequate, safe, acceptable, reasonably priced and easily accessible water resources for personal and domestic use. The Suppliers shall make comprehensive use of resources and take measures to prevent and deal with floods and droughts. The suppliers' utilization of water resources and management of water pollution shall reduce and eliminate the negative impact on the seabed and Marine environment.

8. 生物多样性

Biodiversity

应根据《生物多样性公约》内容，减少运营、服务和产品对生物多样性的负面影响（包括但不限于对栖息地、野生动物、植物群和生态系统的破坏），并应公开披露带来哪些影响及解决措施。

Suppliers shall adverse impacts of operations, services and products on biodiversity, including but not limited to damage to habitats, wildlife, flora and ecosystems, should be mitigated and publicly disclosed, in accordance with the Convention on Biological Diversity.

9. 能源消耗和温室气体排放

Energy Consumption and Greenhouse Gas Emissions

应根据适用的产品碳足迹指南，计算相关产品的碳足迹。应识别和管理运营过程中温室气体排放，并制定和报告温室气体减排目标。对照科学减排目标，跟踪、记录和公开报告能源消耗和范围 1、范围 2 和范围 3 的重要类别的温室气体排放情况。应寻求提升能源效率，使用清洁能源或其他方式最大程度地减少温室气体排放。

Suppliers shall establish and report against an absolute corporate-wide greenhouse gas reduction goal. Energy consumption and all Scopes 1, 2, and significant categories of Scope 3 greenhouse gas emissions shall be tracked, documented, and publicly reported. Suppliers shall look for methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.

10. 循环经济

Recycling economy

应当采取主动措施，验证或提升回收材料的使用比例，通过实施减量化、再利用、再循环的原则，助力构建资源节约型和环境友好型社会。

Active measures should be taken to verify or increase the use ratio of recycled materials, and help build a resource-saving and environment-friendly society by implementing the principles of reduction, reuse and recycling.

D.道德规范

D. ETHICS

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：

In order to fulfill social responsibilities and establish a successful market position, suppliers shall comply with the highest standards of ethical requirements, including:

1. 商业诚信

Business Integrity

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。

The highest standards of integrity shall 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.

2. 无不正当利益

No 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。应推行监督、记录和强化程序以确保符合反腐败法的要求。

Bribes or other means of obtaining undue or improper advantage shall not 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. Monitoring, record keeping, and enforcement procedures shall be implemented to ensure compliance with anticorruption laws.

3. 信息披露

Disclosure of Information

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。依照适用法规和主要的行业惯例公开有关供应商劳工、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。

All business dealings shall be transparently performed and accurately reflected on the Participant's business books and records. Information regarding participant's labor, health and safety, environmental practices, business activities, structure, financial situation, and performance shall 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.

4. 知识产权

Intellectual Property

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，并且应保护新能安和供应商的信息安全。

Intellectual property rights shall be respected. Transfer of technology and know-how is to be done in a manner that protects intellectual property rights, and customer and supplier information shall be safeguarded.

5. 公平交易、广告和竞争

Fair Business, Advertising and Competition

应秉持公平交易、广告和竞争的标准。

Standards of fair business, advertising, and competition shall be upheld.

6. 身份保护和防止报复

Protection of Identity and Non-Retaliation

应制定程序以保护供应商和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。供应商应制定沟通程序，让员工能够提出疑虑而无需担心遭到报复。

Programs that ensure the confidentiality, anonymity, and protection of supplier and employee whistleblowers² shall be maintained, unless prohibited by law. Suppliers shall have a communicated process for their personnel to be able to raise any concerns without fear of retaliation.

7. 负责任的矿产采购

Responsible Sourcing of Minerals

应遵循《Ampace负责任矿产资源供应链的尽责管理政策》，并制定政策以确保其供应链中的钽、锡、钨、黄金、钴以及其他责任矿产相关原料不会来自高风险地区，其中包括存在以下活动或情况的区域：冲突、最恶劣形式的童工雇佣现象、强迫劳动和贩卖人口、严重侵犯人权的行为（如广泛的性暴力）或根据合理客观的判断存在其他高风险活动（包括严重的健康和安全风险以及不良的环境影响）。供应商应按《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》或同等和公认的尽职调查框架制定其尽职调查政策和管理制度，对这些矿物的来源和产销监管链开展尽职调查，以识别和评估相关风险并采取适当的措施缓解此类风险，并应公开供应链年度尽职调查报告。

The Ampace Responsible Mineral Resources Supply Chain Responsible Management Policy should be followed and policies should be developed to ensure that tantalum, tin, tungsten, gold, cobalt and other responsible mineral-related raw materials in its supply chain do not originate from high-risk areas, including areas where conflict, the worst forms of child labour, forced labour and human trafficking, serious human rights violations (such as widespread sexual violence) or other high-risk activities (including serious health and safety risks and adverse environmental impacts) are reasonably and objectively determined. Suppliers shall develop its due diligence policy and management system in accordance with the OECD Guidelines for Responsible Supply Chain Due Diligence of Ores from Conflict Affected and High Risk Areas or an equivalent and recognized due diligence framework, conduct due diligence on the source and chain of

custody of production and marketing of these minerals to identify and assess related risks and take appropriate measures to mitigate such risks, and shall make public the annual due diligence report of the supply chain.

8. 隐私

Privacy

应承诺保护所有业务相关人员, 包括新能安、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。

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

E. 管理体系

E. MANAGEMENT SYSTEMS

供应商应采用或建立范围与本准则内容相关的管理体系 (如ISO14001/ISO45001/ISO50001)。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。

Suppliers shall adopt or establish a management system of which the scope is related to the content of this Code (e.g. ISO14001/ISO45001/ISO50001). In designing this management system, suppliers shall ensure that: (a) it complies with applicable laws, regulations and client requirements related to suppliers' operations and products; (b) it conforms to this Code; and (c) identifies and reduces operational risks related to this Code. The system shall also be able to promote continuous improvement.

该管理体系应包含以下要素:

The management system shall contain the following elements:

1. 公司承诺

Company Commitment

企业社会和环境责任政策声明, 应阐明供应商对其尽职调查和持续改进的承诺并由管理层签署, 并以员工能够理解的语言通过员工均可访问的渠道传达给员工。

Suppliers shall establish human rights, health and safety, environmental and ethics policy statements affirming Participant's commitment to due diligence and continual improvement, endorsed by executive management. Policy statements shall be made public and communicated to workers in a language they understand via accessible channels.

2. 管理问责与责任

Management Accountability and Responsibility

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

Suppliers shall clearly identify senior executive and company representative(s) responsible for ensuring implementation

of the management systems and associated programs. Senior management reviews the status of the management systems on a regular basis.

3. 法律要求与客户要求

Legal and Customer Requirements

采用或建立用以识别、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。

Suppliers shall adopt or establish a process to identify, monitor and understand applicable laws, regulations, and customer requirements, including the requirements of this Code.

4. 风险评估与风险管理

Risk Assessment and Risk Management

采用或建立用以识别与供应商经营相关的法律合规、环境、健康与安全以及劳动实践和道德风险（包括严重人权和环境影响的风险）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。

Suppliers shall adopt or establish a process to identify the legal compliance, environmental, health and safety, labor practice and ethics risks, including the risks of severe human rights and environmental impacts, associated with Participant's operations. Suppliers shall determine the relative significance for each risk and implement appropriate procedural and physical controls to control the identified risks and ensure regulatory compliance.

5. 改进目标

Improvement Objectives

制定用以提高参与者的社会、环境、健康和安全管理绩效书面绩效目标、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。

Suppliers shall establish written performance objectives, targets and implementation plans to improve the Participant's social, environmental, and health and safety performance, including a periodic assessment of Participant's performance in achieving those objectives.

6. 培训

Training

制定管理人员和员工培训计划，以实施参与者的政策、规程和改进目标，并满足适用的法律和监管要求。沟通建立用以向员工和客户清晰准确地传达有关供应商政策、实践、期望和绩效信息的程序。

Suppliers shall establish programs for training managers and workers to implement Participant's policies, procedures, and improvement objectives and to meet applicable legal and regulatory requirements.

7. 员工和利益相关方的参与和补救措施

Worker/Stakeholder Engagement and Access To Remedy

建立与员工、员工代表以及其他利益相关者进行持续双向沟通的流程，以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。应为员工提供安全的环境，便于其提出申诉和反馈，而不必担心遭到打击报复。

Suppliers shall establish processes for ongoing two-way communication with workers, their representatives, and other stakeholders where relevant or necessary. The process shall aim to obtain feedback on operational practices and conditions covered by this Code, and to foster continuous improvement. Workers shall be given a safe environment to provide grievance and feedback without fear of reprisal or retaliation.

8. 审核与评估

Audits and Assessments

定期进行自我评估，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新能安要求。

Suppliers shall conduct 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.

9. 纠正措施流程

Corrective Action Process

建立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。

Suppliers shall establish a process for timely correction of deficiencies identified by internal or external assessments, inspections, investigations, and reviews.

10. 文档和记录

Documentation and Records

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。

Suppliers shall create and maintain documents and records to ensure regulatory compliance and conformity to company requirements along with appropriate confidentiality to protect privacy.

11. 供应商责任

Suppliers' Responsibility

应建立用以向供应商传达准则要求和监督其遵从情况的程序，并将监督结果分享给新能安。

Suppliers shall establish a process to communicate Code requirements to suppliers and to monitor supplier compliance to the Code.

参考资料

[1] 《责任商业联盟行为准则》 /RBA Code of Conduct

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

[2] 《社会责任标准（SA8000）》 / Social Accountability

www.cepaa.org/

[3] 《世界人权宣言》 /Universal Declaration of Human Rights

<https://www.un.org/zh/about-us/universal-declaration-of-human-rights>

[4] 《职业健康安全管理体系（ISO45001）》 Occupational Health and Safety Management Systems

<https://www.iso.org/standard/63787.html>

[5] 《环境管理体系（ISO14001）》 /Environmental management systems

<https://www.iso.org/iso-14001-environmental-management.html>

[6] 国际劳工组织（ILO） /International Labour Organization

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

[7] 《经合组织对受冲突影响和高风险地区矿产负责任供应链的尽职调查指南》 /The OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas

https://www.oecd.org/en/publications/oecd-due-diligence-guidance-for-responsible-business-conduct_15f5f4b3-en.html