

# 钴供应链尽责管理

## 报告 2021 年



*Report of Due Diligence  
of  
Responsible Cobalt  
Supply Chain 2021*



华友钴业  
HUAYOU COBALT

## 报告说明

### About the Report

#### 报告范围

##### Scope of the Report

本报告的信息和数据主要涵盖了2021年1月1日至2021年12月31日期间公司开展的各项与供应链尽责管理的实践活动。基于报告的延续性和对比性，部分数据和信息不局限于2021年。

The information and data in this report mainly cover various practical activities related to due diligence of responsible supply chain carried out by the Company from January 1, 2021 to December 31, 2021. Based on the continuity and contrast of the report, some data and information are not limited to the year of 2021.

#### 编制原则

##### Compilation principles

本报告参考《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》以及责任矿产倡议（RMI）、责任钴业倡议（RCI）的《钴冶炼厂供应链尽责管理标准》进行编制，符合《中国指南》和《经合组织指南》及《钴冶炼厂供应链尽责管理标准》要求。

This report is compiled with reference to *Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains*, *OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas* (hereinafter referred to as *Chinese Guidelines* and *OECD Guidelines*), *the Standard for Due Diligence of Responsible Supply Chain of Cobalt Smelter* of the Responsible Minerals Initiative (RMI) and the Responsible Cobalt Initiative (RCI). This report meets the requirements of *Chinese Guidelines*, *OECD Guidelines* and *the Standard for Due Diligence of Responsible Supply Chain of Cobalt Smelter*.

#### 内容编制

##### Content compilation

公司遵照《中国指南》和《经合组织指南》的利益相关方参与原则、可持续发展背景为原则，从公司尽责管理按照《钴冶炼厂供应链尽责管理标准》的“五步法”进行阐述，重点报告公司在钴供应链尽责管理的合规与绩效。

The Company follows the principles of stakeholder participation and sustainable development background in *Chinese Guidelines* and *OECD Guidelines*, expounds the Company's due diligence management in accordance with the "five-step method" under *the Standard for Due Diligence of Responsible Supply Chain of Cobalt Smelter*, and focuses on the compliance and performance of the Company's due diligence of responsible cobalt supply chain.

## 发布方式

### Release manner

报告发布周期为每年一次，以网络版的形式发布。网络版可在本公司网站查阅（网址：[www.huayou.com](http://www.huayou.com)）。

The report is released once a year in online version. The online version can be found on our website (website: [www.huayou.com](http://www.huayou.com)).

## 指代说明

### Reference notes

本报告中浙江华友钴业股份有限公司简称为“华友钴业”或“公司”，刚果东方矿业简易股份有限公司简称为“CDM”；卡松波矿业简易股份有限公司简称为“MIKAS”；其他在此处未提及的指代，以正文说明为准。

In this report, Zhejiang Huayou Cobalt Co., Ltd. is referred to as "Huayou Cobalt Company" or "Company", Congo Dongfang International Mining Sprl is referred to as "CDM"; La Miniere De Kasombo SAS is referred to as "MIKAS"; Other references not mentioned here shall be subject to the text.

## 版权说明

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## 公司简介

### Company Profile

浙江华友钴业股份有限公司成立于 2002 年，公司专注于新能源锂电材料和钴新材料的研发、制造，致力于成为全球新能源锂电材料领导者。公司以创造客户价值、引领产业发展为使命，坚定上控资源、下拓市场、中提能力的转型之路，坚持“两新三化”的发展战略。

Zhejiang Huayou Cobalt Co., Ltd. was founded in 2002, focuses on the R & D and manufacturing of new energy lithium battery materials and cobalt new materials and is committed to becoming a global leader in new energy lithium battery materials. With the mission of creating value for the customers and leading industrial development, the Company is committed to the transformation route of controlling resources in upstream, expanding market in downstream and improving capacity in mid-stream. The Company adheres to the development strategy of new energy lithium battery materials and cobalt new materials; high end products, industrial integration and internationalization of operation.

公司总部位于浙江省桐乡市经济开发区。公司深耕国内，在浙江桐乡、衢州、广西玉林、天津、成都布局了生产制造基地，积极拓展海外资源：非洲铜钴资源开发、印度尼西亚镍资源开发、阿根廷及非洲锂资源开发。2021 年成功收购国内领先正极材料厂商之一天津巴莫科技有限责任公司、成都巴莫科技有限责任公司，加速向正极环节渗透。

The Company is headquartered in the Economic Development Zone of Tongxiang City, Zhejiang Province. The Company has worked deeply in China, and has set up production and manufacturing bases in Tongxiang City and Quzhou City of Zhejiang, Yulin City of Guangxi, Tianjin and Chengdu, actively expands overseas resources: copper and cobalt resources development in Africa, nickel resources development in Indonesia, lithium resources development in Argentina and Africa. In 2021, the Company successfully acquired Tianjin B &M Science and Technology Co., Ltd. and Chengdu B &M Science and Technology Co., Ltd. (the leading cathode material manufacturers in China), and just accelerates the penetration into the cathode chain.

经过二十年的发展，公司完成了总部在桐乡、资源保障在境外、制造基地在中国、市场在全球的空间布局；形成了资源、新材料、新能源、循环的业务板块，打造了从钴镍资源开发、冶炼，到锂电正极材料深加工，再到资源循环回收利用的新能源锂电产业生态。目前钴产品的产能规模世界第一。

With development of 20 years, the Company has completed the spatial layout with its headquarter in Tongxiang, oversea resource guarantee, manufacturing base in China and market in the world. The Company has formed a business segment of resources, new materials, new energy and recycling, and created a new energy lithium battery industry ecology covering the development and smelting of cobalt and nickel resources, the deep processing of lithium battery cathode materials and the recycling of resources. At present, the production capacity of cobalt products of the Company ranks first in the world.

## 尽责管理

### Due Diligence Management

华友钴业作为新能源锂电材料行业的重要参与者，公司秉持创新、协调、绿色、开放和共享的发展理念，高度重视企业社会责任治理和可持续发展，对矿产供应链的尽责管理也十分重视。

As an important participant in the new energy lithium battery material industry, Huayou Cobalt Company adheres to the development concept of innovation, coordination, green, openness and sharing, attaches great importance to corporate social responsibility governance and sustainable development, and also attaches great importance to the due diligence of responsible minerals supply chain.

公司从自身的企业社会责任管理体系建设入手，并不断完善地对矿产合作供应商的要求，从基本的矿产供应链政策和供应商行为准则等基本文件的传达，到企业社会责任检查表的填写，再到对关键和核心供应商的现场审核，公司逐步健全矿产供应链企业社会责任管理体系，为产业的可持续发展贡献自己的力量。

The Company starts with building its own corporate social responsibility management system, and constantly improves the requirements for mineral cooperative suppliers. From the transmission of basic documents such as basic minerals supply chain policies and supplier code of conduct, the filling of corporate social responsibility checklist to the on-site audit of key and core suppliers, the Company has gradually improved the corporate social responsibility management system of minerals supply chain in order to contribute to the sustainable development of the industry.

公司的矿产供应链尽责管理以钴产品为切入点。钴作为锂电池的生产中重要的金属材料之一，在全球绿色转型的过程中占据十分重要的地位，而刚果（金）则占有全球超过三分之二以上的钴资源，更是凸显出了该国作为钴矿来源的重要性。然而，刚果（金）由于政治和经济等落后，普遍存在人权风险和贫穷问题，而能否保证公司钴供应链的纯净和可持续性，对整个产业链能否维持可持续发展和赢得客户信任至关重要。

The Company's due diligent of responsible minerals supply chain takes cobalt products as the starting point. As one of the important metal materials in the production of lithium batteries, cobalt occupies a very important position in the process of global green transformation. Congo (DRC) owns more than two-thirds of the global cobalt resources, highlighting the importance of this country as a source of cobalt ore. However, due to the

backwardness of politics and economy, human rights risks and poverty are widespread in Congo (DRC). Whether the purity and sustainability of the Company's cobalt supply chain can be guaranteed is crucial to the sustainable development of the whole industrial chain and winning the trust of customers.

根据《OECD 指南》和《中国指南》，矿产开采、贸易和处理活动本身存在较高的负面影响导致的风险，如采矿过程中存在的人权风险或为冲突提供资金等助长和加剧冲突等风险，企业的矿产供应链环环相扣，互相联系，因此企业的矿产供应链有可能会面临各种风险。即使供应链的各个生产环节分散，企业所处位置独立，依然无法完全避免在矿产各个环节上直接或间接带来的负面影响。因此，企业应采取合理措施，努力开展尽责管理，从而识别、防范或减缓与矿产开采条件相关及与冲突或高风险区域供应商关系相关的任何负面影响风险。

According to *OECD Guidelines* and *Chinese Guidelines*, there are risks caused by fairly high and negative impacts in mineral mining, trading and processing activities, such as human rights risks in the mining process or risks of fuelling and aggravating conflicts such as financing conflicts. The minerals supply chains of enterprises are linked and interconnected. Therefore, the minerals supply chains of enterprises may face various risks. Even if the production links of the supply chain are scattered and the enterprise is located in an independent position, it is still impossible to completely avoid the direct or indirect negative impact on all links of the mineral industry. Therefore, enterprises shall take reasonable measures and strive to carry out due diligence management, so as to identify, prevent or mitigate any negative impact risks related to mineral mining conditions and supplier relations in conflict-affected or high-risk areas.

2021 年，华友钴业继续按照六步法框架、尽责管理程序要求开展钴供应链的尽责管理，负责任钴供应链建设稳步前行。公司社会责任办公室联合采购管理部门共同对供应商进行矿产品意识教育，传达尽责管理政策和要求。同时，公司的品管部、原料采购部以及其他部门联合社会责任办公室及其他相关部门同事，对重点供应商进行现场评估。公司内部对收回的了解你的供应商（KYS）以及网络等平台收集到的信息进行评估和分析，并用供应商风险评估表格对其进行风险评估，并把相应的风险情况与供应商进行沟通，共同确立切实可行的改善行动，再把风险以及风险减缓计划上报公司领导审批。

In 2021, Huayou Cobalt Company continued to carry out due diligence of responsible cobalt supply chain in accordance with the six-step framework and due diligence management procedures, and the building of responsible cobalt supply chain has moved



forward steadily. The corporate social responsibility office cooperates with the procurement management department to carry out mineral product awareness education for suppliers and convey due diligence management policies and requirements. At the same time, the Company's quality control department, raw material procurement department and other departments cooperate with the colleagues of the social responsibility office and other relevant departments to conduct site evaluation on key suppliers. The Company evaluates and analyzes the information collected by Know Your Supplier (KYS) and network platforms, evaluates the risk with the supplier risk evaluation form, communicates the corresponding risk situation with the supplier, jointly establishes practical improvement actions, and then reports the risk and risk mitigation plan to the Company's leaders for approval.

### 六步法框架 Framework of Six-Step Method



01 STEP	02 STEP	03 STEP	04 STEP	05 STEP	06 STEP
建立完善的尽责管理体系 Establish a perfect due diligence management system	供应链风险识别与评估 Risk identification and evaluation of supply chain	制定供应链风险减缓计划 Formulate risk mitigation plan of supply chain	开展独立第三方审计 Conduct independent third-party audit	对供应链尽责管理过程进行报告 Report the process of due diligence of responsible supply chain	开展落地项目 Carry out project implementation

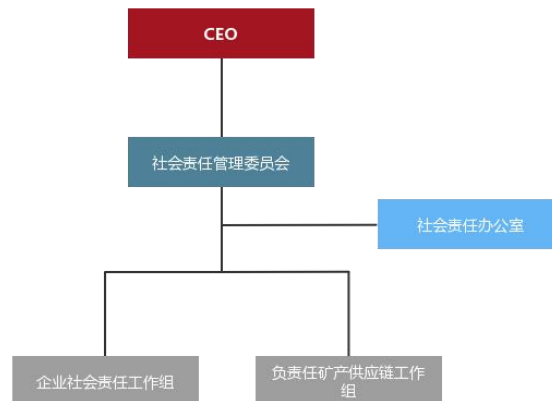
## 第一步：建立完善的尽责管理体系

### Step 1: Establish a perfect due diligence management system

华友从 2016 年开始积极参与钴供应链尽责管理的学习、导入和实施过程，建立了行业首个钴供应链尽责管理体系及相关的程序文件，与《OECD 指南》和《中国指南》的要求保持一致。按照五步法管理框架，建立了行业首个钴供应链尽责管理体系及相关的程序文件，包括《来自高风险区域的负责任全球钴供应链政策》《供应商行为准则》和《负责任钴采购的供应商标准》等。同时，公司设立了总裁直管的社会责任委员会，下设社会责任办公室，配置专人开展供应链的尽责管理工作，每月直接向总裁汇报工作。原料采购部门开展负责任的采购，并受到社会责任办公室的尽责管理的要求。（更多关于华友的可持续发展信息，请查看我们的社会责任报告。）

Since 2016, Huayou Company has actively participated in the learning, introduction and implementation of due diligence of responsible cobalt supply chain, and established the industry's first due diligence management system of cobalt supply chain and relevant procedure documents which are consistent with the requirements of *OECD Guidelines* and *Chinese Guidelines*. According to the five-step management framework, the industry's first due diligence management system of cobalt supply chain and relevant procedure documents have been established, including *the Policies for Responsible Global Cobalt Supply Chain from High-risk Areas*, *the Supplier Code of Conduct*, *the Standard for Supplier of Responsible Cobalt Procurement*, etc. At the same time, the Company has set up a Social Responsibility Committee directly under the President, this Committee consists of a social responsibility office that assigns special personnel to carry out due diligence of the responsible supply chain and reports directly to the President every month. The raw material procurement department carries out responsible procurement and is subject to requirement of the due diligence management of the social responsibility office. (For more information about Huayou Company's sustainable development, please check our social responsibility report.)

尽责管理体系组织架构  
Organizational structure of due diligence management system



CEO

社会责任管理委员会

Social Responsibility Management Committee

社会责任办公室

Social Responsibility Office

企业社会责任工作组

Corporate Social Responsibility Working Group

负责任矿产供应链工作组

Responsible Minerals Supply Chain Working Group

- 钴供应链尽责管理政策
- **Policy for due diligence of responsible cobalt supply chain**

供应商应保持负责任的透明度政策，特别是在处理来自高风险地区和国家的相关矿物，包括钽、锡、钨、黄金，以及钴等。华友认识到在高风险区域从事矿产开采、交易、处理、出口存在可能形成重大负面影响的风险，并认识到我们有尊重人权、不对社会产生负面影响的义务，华友按照中国指南和 OECD 指南要求，建立了钴供应链尽责管理政策，表明了华友开展尽责管理的决心，并展示了华友对待各类风险的态度和措施，华友将广泛传播这个政策，并将这一政策纳入到供应商从高风险区域负责任采购的日常管理里面。

The supplier shall maintain a responsible transparency policy, especially in dealing with relevant minerals (including tantalum, tin, tungsten, gold, cobalt, etc.) from high-risk areas and countries. Huayou Company recognizes that there are risks that may have a significant negative impact when engaging in mineral mining, trading, processing and export in high-risk areas, and that we have the obligations to respect human rights and

have no negative impact on society. Huayou Company has established the policy for due diligence of responsible cobalt supply chain in accordance with the requirements of *Chinese Guidelines* and *OECD Guidelines*, which shows Huayou Company's determination to carry out due diligence management and shows Huayou Company's attitude and measures to deal with various risks. Huayou Company will widely disseminate this policy and incorporate such policy into the daily management of suppliers' responsible procurement from high-risk areas.

- **供应商行为准则**
- **Supplier code of conduct**

华友开展业务的时候，始终给自己设立高标准，包括遵循企业社会责任领域中相关法律法规。相应地，华友对供应商提出同样的期待，因此华友建立了《供应商行为准则》，从劳工与人权、健康与安全等方面对供应商提出期望，同时要求供应商把这些条款传递到他们的供应商。华友将考虑把这些条款作为其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华友之间的业务关系，甚至导致终止双方的业务关系。

Huayou Company always sets high standards for itself when conducting business, including following relevant laws and regulations in the field of corporate social responsibility. Accordingly, Huayou Company has the same expectations for suppliers. Therefore, Huayou Company has established *the Supplier Code of Conduct*, which puts forward expectations for suppliers from the aspects of labor and human rights, health and safety, and requires suppliers to pass these terms to their suppliers. Huayou Company will consider these terms as part of its supplier screening, and we will actively monitor the compliance of suppliers. Any violation of this Code may damage the business relationship between the supplier and Huayou Company, and even lead to the termination of the business relationship between both parties.

- **钴负责任采购的供应商标准**
- **Standard for supplier of responsible cobalt procurement**

在供应商行为准则的基础上，华友针对钴负责任采购的供应商制定了专门的标准，要求钴供应商按照 OECD 指南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被识别的高风险地区。如果是，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。

Based on the supplier code of conduct, Huayou Company has formulated special standards for suppliers of responsible cobalt procurement, requires cobalt suppliers to carry out due diligence management on the source of cobalt in cobalt products in their whole supply chain in accordance with *OECD Guidelines* and determine whether the cobalt comes from identified high-risk areas. If so, the supplier shall provide Huayou Company with reasonable written evidence of its reporting, procurement and due diligence management activities.

如果供应商违反了准则或标准，或其直接或间接子供应商被视为有违反准则或标准，华友可自行决定要求供应商在合理确定的日期之前实施纠正措施，以便供应商优先考虑防止、减轻和影响违反事件，要求相应的供应链参与者处理识别的风险。如果这种违反供应商未按照华友的要求减缓或消除风险或者拒绝采取任何措施，华友可自行决定终止全部或部分合同、协议、采购订单或其他与供应商之间的任何其他安排。

If the supplier violates the Code or the Standard, or its direct or indirect sub-supplier is deemed to have violated the Code or Standard, Huayou Company may, at its discretion, require the supplier to implement corrective measures before a reasonably determined date, so that the supplier can give priority to preventing, mitigating and affecting the violation event, and require the corresponding supply chain participants to deal with the identified risks. Huayou Company may, in its sole discretion, determine to terminate all or any part of contract, agreement, purchase order or any other arrangement with the supplier if such violating supplier fails to mitigate or eliminate risk or refuse to take any measure according to Huayou Company's requirement.

（以上三个文件均可以在华友的官方网站查阅。公司已经将相关的要求融入到公司内部的管理制度，明确了各部门的尽责管理职责和工作内容，同时，公司要求与负责任矿产尽责管理体系相关的所有记录至少保存 5 年。）

**(The above three documents can be available at the official website of Huayou Company. The Company has incorporated relevant requirements into its internal management system, and defined the responsibilities and work contents of due diligence management of each department. At the same time, the Company requires**

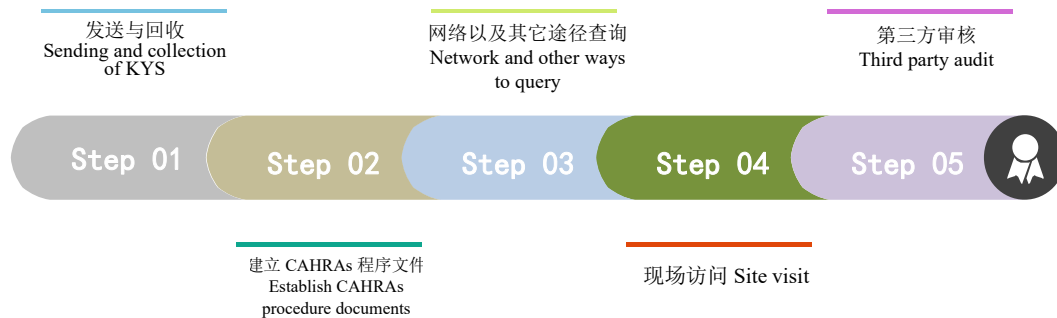
that all records related to the due diligence management system of responsible mineral shall be kept for at least 5 years.)

## 第二步：供应链风险识别与评估

### Step 2: Risk identification and evaluation of supply chain

风险识别和评估是尽责管理的基础，通过对供应链的识别、原料来源的识别、运输路径的识别来确定供应链上存在的风险，并评估风险的等级，为此华友建立了风险识别相关的工作流程和体系，来识别和评估风险：

Risk identification and evaluation is the basis of due diligence management. Through the identification of supply chain, raw material source and transportation path, the risks existing in the supply chain are determined and the risk level is evaluated. Therefore, Huayou Company has established work processes and systems related to risk identification to identify and evaluate risks:



1. 向供应商发送尽责管理问卷调查表（了解你的供应商（KYS），包含供应链地图），以此获取供应商的合规性信息、原料来源信息、运输信息和负责任采购实践信息。2021年，公司继续按照尽责管理程序要求开展钴供应链的尽责管理，社会责任办公室在采购管理部门等帮助下，对多家供应商传达了公司的供应商企业社会责任行为准则及公司的企业社会责任政策，并对重点供应商进行了问卷调查。同时，公司内部对收回的了解你的供应商（KYS）以及网络等平台收集到的信息进行评估和分析，并用供应商风险评估表格对其进行风险评估，并把相应的风险情况与供应商进行沟通，共同确立切实可行的改善行动，并制定风险评估报告。

1. The due diligence management questionnaires (Know Your Supplier (KYS), including the supply chain map) have been sent to the suppliers to obtain the supplier's compliance information, raw material source information, transportation information and responsible procurement practice information. In 2021, the Company continued to carry

out due diligence of responsible cobalt supply chain in accordance with the requirements of due diligence management procedures. With the help of procurement management department and so on, the social responsibility office conveyed the Company's supplier code of conduct for corporate social responsibility and the Company's corporate social responsibility policy to a number of suppliers, and conducted a questionnaire survey on key suppliers. At the same time, the Company evaluated and analyzed the information collected via KYS and network platforms, used the supplier risk evaluation form to evaluate the supplier risk, communicated the corresponding risk situation with the suppliers, jointly established practical and feasible improvement actions, and formulated the risk evaluation report.

2. 建立了 **CAHRAs** 程序文件，通过识别原料来源国家和运输途径国家，评估原料来源国是否是高风险国家和地区。根据 RMI 提供的参考资料：公司更新了 CAHRAs 识别程序，对途径国家进行了 RMI 标准要求的人权自由指数、贪污感知指数及海德堡晴雨表指数分析。

2. **CAHRAs** procedure documents have been established to evaluate whether the raw material source country is a high-risk country and region by identifying the raw material source country and country(ies) along transportation route. According to the reference materials provided by RMI: the Company updated the CAHRAs identification procedure and analyzed the human rights and freedom index, corruption perception index and Heidelberg barometer index required by RMI standards for the countries passing through.

3. 网络以及其它途径查询，识别原料供应商的负面信息和报道，评估是否存在供应链风险。

3. Inquiry was conducted through the Internet and other channels to identify the negative information and reports of raw material suppliers, and evaluate whether there are supply chain risks.

4. 现场访问，通过现场的走访了解供应商对矿料的现场管控情况。

4. Site visit was conducted to know the on-site management and control of mineral materials by suppliers through site visit.

5. 邀请供应商对其供应链做第三方审核。公司已经与独立第三方公司签订了长期协议，对公司的供应链地图里的所有参与方都进行独立审核。当然，如果供应商

本身在我司做尽责管理的时候有仍然处于有效期的第三方审核，我们则邀请供应商提供报告的总结以及整改措施，并对于整改过程进行跟踪。

5. Suppliers were invited to conduct third-party audit on their supply chain. The Company has signed a long-term agreement with an independent third-party company to independently audit all participants in the Company's supply chain map. Of course, if the supplier has a third-party audit that is still valid when the Company is carrying out due diligence management, the Company will invite the supplier to provide the summary of the report and rectification measures, and the rectification process will be tracked.

华友钴业的供应商主要有大型矿山公司（LSM）和贸易商，此外还有一些循环回收料。2021年在整个尽责管理过程中，公司对LSM、国际贸易商、国内贸易商和循环回收料都开展了尽责管理。主要的风险识别情况如下：

The suppliers of Huayou Cobalt Company mainly include large scale mines (LSMs) and traders. In addition, there are some recycled materials. In 2021, in the whole process of due diligence management, the Company carried out due diligence management for LSMs, international traders, domestic traders and recycled materials. The main risks are identified as follows:

供应商 Supplier	原料来源 Source of raw materials	风险识别情况 Risk identification
贸易商 Traders	LSM	贸易商监管链信息提供不足，对供应链可追溯性造成困难 The lack of information provided by traders on the regulatory chain makes it difficult for the traceability of the supply chain
精炼厂/冶炼厂 Refinery/smelter	LSM	厂商自身尽责管理资料不完善，部分未开展供应链审核 The manufacturer's own due diligence management materials are not perfect, and some of them have not carried out supply chain audit
回收料 Recycled material	废电池、边角料、不合格品 Waste batteries, leftover materials and nonconforming products	风险较小，可能存在原料的来源不准（基本认定为LSM来源） The risk is small, and there may be inaccurate sources of raw materials (basically identified as LSM sources)



主要的风险评估及减缓情况为：

The main risk evaluation and mitigation are described as follow:

- 加大公司自有机械化矿山（LSM）的开发力度，华友严格按照尽责管理要求管理，机械化开采，严禁童工进入矿区，同时对人权侵犯、职业健康安全等方面进行管控，并不断完善现场环境，风险相对较小。
- Strengthen the development of the Company's own mechanized mines (LSM). Huayou Company manages in strict accordance with the requirements of due diligence management, and conducts mechanized mining. Child labor is not allowed to enter the mining area. At the same time, the Company controls human rights violations, occupational health and safety, and constantly improves the on-site environment, the risk is relatively small.
- 增加钴回收料的采购，根据 OECD 指南的要求，通过对回收料或者废料进行有效识别，加大采购，风险相对较小。
- Increase the purchase of cobalt recycled materials. According to the requirements of *OECD Guidelines*, the purchase is increased through effective identification of recycled materials or wastes, and the risk is relatively small.
- 对外购机械化开采（LSM）的钴原料加强尽责管理。通过 KYS（了解你的供应商）等文件收集信息并评估，机械化开采的钴供应商一般都拥有自己的矿山，通过机械化手段开采矿料，在人权、职业健康和安全、环境等方面有自己的政策，矿区现场的管理相对较好，童工和人权侵犯等风险较小。
- Strengthen due diligence management of cobalt raw materials purchased from mechanized mining (LSM). Through KYS (Know Your Supplier) and other documents, information is collected and evaluated, the cobalt suppliers through mechanized mining generally have their own mines, and mine mineral materials through mechanized means, have their own policies on human rights, occupational health and safety, environment and other aspects. The management of the mining area is relatively good, and the risks of child labor and human rights violations are relatively small.
- 贸易商分为国际贸易商和国内贸易商，国际贸易商主要从 LSM 采购矿料，在人权、职业健康和安全、环境等方面有自己的政策和管理，风险相对较小。国内的贸易商有些来自 LSM，有些来自冶炼厂，针对国内贸易商主要是要了解清楚矿料来源，

确保没有相关风险。对于不愿意反馈信息、拒不配合审核（不透明）的供应商，华友钴业将与其进行沟通，并给予3个月到6个月的考察期，如其仍不配合，将暂停合作；对于存在重大风险且在规定期限内改善达不到预期的供应商，华友钴业将终止与其的合作。

- Traders include international traders and domestic traders. International traders mainly purchase mineral materials from LSMs. They have their own policies and management on human rights, occupational health and safety, environment and other aspects, and the risk is relatively small. Some domestic traders come from LSMs and some from smelters. For domestic traders, it is mainly to know the source of mineral materials and ensure that there are no relevant risks. For suppliers who are unwilling to feed back information and refuse to cooperate with the audit (such supplier is information-opaque supplier), Huayou Cobalt Company will communicate with them and give them an examination period of 3 to 6 months. If they still do not cooperate, the cooperation will be suspended. Huayou Cobalt Company will terminate its cooperation with the suppliers that have significant risks and fail to improve as expected within the specified period.

### 第三步：制定供应链风险减缓计划

#### Step 3: Formulate risk mitigation plan of supply chain

- 针对机械化开采的大矿山公司：
- For LSMs through mechanized mining:

加强收集供应商的原料来源相关的信息，社会责任办公室加入合同评估流程，与供应商直接开展尽责管理方面的交流，对开采、运输等方面进行风险评估，并制定风险减缓措施，同时，公司供应链工作制定了年度工作督办表，按照下游客户、外方审计要求，对供应商名录、供应商审查、矿山整改记录、组织利益相关方培训、风险减缓工作进行了总体计划安排，持续督促原料采购部、矿区合作社等按照总部供应链工作记录表开展工作并定期反馈记录，保证负责任矿产供应链尽责管理工作程序性落实。加强与供应商的沟通，实施矿山进行现场访问，通过行业推动对供应商开展尽责管理审计。

Strengthen the collection of information related to the source of raw materials of suppliers. The social responsibility office participates in the contract evaluation process, directly carries out exchanges on due diligence management with suppliers, carries out

risk evaluation on mining, transportation and other aspects, and formulates risk mitigation measures. At the same time, for the supply chain work, the Company has formulated an annual work supervision form, made overall plans and arrangements for the supplier list, suppliers review, mine rectification records, organization of stakeholder training, risk mitigation according to the audit requirements of downstream customers and foreign parties, and continuously urged the raw material procurement department and mining cooperatives to carry out their work in accordance with the supply chain work record form of the headquarters and regularly feed back the records, so as to ensure the procedural implementation of the due diligence of the responsible minerals supply chain. Communication with suppliers is strengthened, site visits to implementation mines are conducted, and audit of due diligence of suppliers is promoted through the industry.

邀请其运行尽责管理体系，并对体系的运行效果进行独立的第三方审计，公司对其审计的结果，特别是不符合项的整改持续进行跟踪与监督。

Invite them to operate the due diligence management system and conduct independent third-party audit on the operation effect of the system. The Company will continuously track and supervise the audit results, especially the rectification of nonconformities.

- 针对来源钴手采矿的供应商：
- Suppliers of cobalt from manually mined mines

公司自从 2017 年识别到有部分供应商的钴原料来源是刚果（金）的钴手采矿之后，花费了大量的人力与物力，与各利益相关方（当地政府、手采矿协会、合作社、NGO、行业下游客户等）一起开展负责任钴手采矿的规范项目，通过对指定的手采矿区进行现场的管控和改善，不仅可以杜绝童工等严重的人权侵犯风险，也可以逐步改善手采矿其它的 ESG 风险。

Since 2017 when the Company identified that the cobalt raw materials of some suppliers are cobalt from manually mined mines in Congo (DRC), the Company has spent a lot of manpower and material resources to carry out the standardized project of responsible cobalt from manually mine mines with various stakeholders (local government, manually mined mine associations, cooperatives, NGOs, downstream customers of the industry, etc.). Through on-site control and improvement of the designated manually

mined mine area, it can not only eliminate the risk of serious human rights violations such as child labor, but also gradually improve other ESG risks of manually mined mines.

为了公司业务的可持续性，我司于 2020 年 4 月暂停使用钴手采矿。即便如此，公司仍然继续钴手采矿示范区的规范项目的投入，并持续广泛与行业利益相关方沟通，希望尽早能够形成行业标准，为行业的可持续性以及当地老百姓的生活提高做出应有的贡献。

For the sustainability of the Company's business, the Company suspended the use of cobalt from the manually mined mine in April 2020. Even so, the Company continues to invest in the standardized projects in the cobalt manually mined mine demonstration area, and continues to communicate widely with industry stakeholders, hopes to form industry standards as soon as possible and make due contributions to the sustainability of the industry and the improvement of the lives of local people.

#### **第四步：开展独立第三方审计**

#### **Step 4: Conduct independent third-party audit**

华友积极运行钴供应链尽责管理体系，在行业解决方案没有正式形成之前，我司也积极配合下游客户的供应链审计需求，并与下游企业和客户沟通存在的问题和改进计划，推动供应链尽责管理的全面开展。2021 年，华友接受了包括公司本身尽责管理体系内第三方审计，以及客户委托的第三方审计。

Huayou Company actively operates the due diligence management system of cobalt supply chain. Before the industry solution is formally formed, the Company also actively cooperates with the supply chain audit needs of downstream customers, communicates the existing problems and improvement plans with downstream enterprises and customers, and promotes the comprehensive development of due diligence of responsible supply chain. In 2021, Huayou Company accepted the third-party audit for the Company's own due diligence management system and the third-party audit entrusted by customers.

## RMAP 评估:

### RMAP Evaluation:

公司名称: 浙江华友钴业股份有限公司

Company name: Zhejiang Huayou Cobalt Co., Ltd.

CID 编号: CID003225

CID No.: CID003225

公司地址: 中国浙江省嘉兴桐乡市梧桐东路 18 号

Company address: No. 18, Wuzhen East Road, Tongxiang City, Jiaxing, Zhejiang Province, China

评估原料: 钴

Evaluated raw material: Cobalt

上次 RMAP 评估日期: 2019 年 10 月 16 日-2019 年 10 月 18 日

Last RMAP evaluation date: October 16, 2019 - October 18, 2019

评估期间: 2018 年 9 月 1 日-2019 年 8 月 31 日

Evaluation period: September 1, 2018 to August 31, 2019

评估公司: UL

Evaluation company: UL

公司名称: 衢州华友钴新材料有限公司

Company name: Quzhou Huayou Cobalt New Material Co., Ltd.

CID 编号: CID003255

CID No.: CID003255

公司地址: 中国浙江省衢州高新技术产业园区廿新路 18 号

Company address: No. 18, Nianxin Road, High-tech Industrial Park, Quzhou City, Zhejiang Province, China

评估原料: 钴

Evaluated raw material: Cobalt

上次 RMAP 评估日期: 2019 年 10 月 16 日-2019 年 10 月 18 日

Last RMAP evaluation date: October 16, 2019 - October 18, 2019

评估期间: 2018 年 9 月 1 日-2019 年 8 月 31 日

Evaluation period: September 1, 2018 to August 31, 2019

评估公司: UL

Evaluation company: UL

随着公司钴供应链尽责管理体系的日趋完善, 审计单位记录的不符合项点逐步减少, 且不符合项点集中为行业性问题, 即需要企业供应链上的所有参与者进行独立第三方审计。同时, 公司积极跟进 RMI 审核的不符合项整改计划, 2021 年 11 月公司正式通过 RMI 审核, 进入 RMI 合格冶炼厂名单, 华友钴业能通过 RMI, 是对全行业起到极大推动作用; 原料处于卖方市场, RMI 审核中越上游越不配合, 华友砥砺前行, 开展了供应链从上到下的共同努力, 克服疫情期间的各种困难, 终于取得突破进展并得到审核单位认可。

With the gradual improvement of the Company's due diligence management system of cobalt supply chain, the non-conformity points recorded by the audit organization are gradually reduced, and the non-conformity points mainly exist as industrial problems, that is, all participants in the enterprise's supply chain need to conduct independent third-party audit. At the same time, the Company actively followed up the rectification plan of non-conformities audited by RMI. In November 2021, the Company officially passed the RMI audit and was incorporated into the list of RMI qualified smelters. Huayou Cobalt Company can pass RMI, this has greatly promoted the whole industry; the raw materials are in the seller's market, and the upper upstream does not cooperate with RMI audit. Huayou Company has striven forward, carried out joint efforts from top to bottom of the supply chain, overcome various difficulties during the epidemic, and finally made a breakthrough and was recognized by the audit organization.



## 第五步：对供应链尽责管理过程进行报告

### Step 5: Report the process of due diligence of responsible supply chain

公开报告是钴供应链上下游所有利益相关者的基本责任，使钴的供应链更负责任，这份报告证明了我们的承诺，欢迎大家的反馈，我们也愿意鼓励我们所有的同行和合作伙伴也这样做。华友从 2016 年开始积极参与全球各项钴供应链尽责管理活动和论坛，向全世界推广钴供应链的尽责管理工作通过年度报告的方式公布在我司的官网上（[www.huayou.com](http://www.huayou.com)）。

The public reporting is the basic responsibility of all stakeholders upstream and downstream of the cobalt supply chain to make the cobalt supply chain more responsible.

This Report proves our commitment. We welcome your feedback, and we are also willing to encourage all our peers and partners to do the same. Since 2016, Huayou Company has actively participated in various global activities and forums of due diligence of responsible cobalt supply chain, promoted due diligence of responsible cobalt supply chain to the world, and published this work on our official website ([www.huayou.com](http://www.huayou.com)) in the form of annual report.

管理和实践，同时听取和获得更多关于钴供应链尽责管理方面的经验和想法。尽责管理工作通过年度报告的方式公布在我司的官网上（[www.huayou.com](http://www.huayou.com)）。

With management and practice, the Company also listens to and obtains more experiences and ideas on due diligence of responsible cobalt supply chain. Due diligence management is published on our official website ([www.huayou.com](http://www.huayou.com)) in the form of annual report.

#### **第六步：与利益相关方开展落地项目，解决根本问题**

#### **Step 6: Carry out project implementation with stakeholders and solve fundamental issues**

- 社区太阳能水井捐建。
- **Community solar water wells were donated**

华友分别于 2018 年、2019 年与 2020 年为 KAWAMA 及 KAMATETE 村资助建造的太阳能水井，让村民们喝上放心水、健康水的同时，大幅提高了用水效率，缓解了用水难题。

Huayou Company funded the construction of the solar water wells for KAWAMA and KAMATETE villages in 2018, 2019 and 2020 respectively, which allows the villagers to drink safe and healthy water, greatly improves the water utilization efficiency and solves the problem of water use.

- 热心教育开展捐资助学教育事业。
- **Enthusiastic about education and carry out donating funds to help students with education.**

1. 设立 CDM 助学金，每年从周边学校中筛选学生，资助其入学费用，帮助其缓解就学困难，鼓励其继续努力学习；

1. Establish CDM grants, screen students from surrounding schools every year, subsidize their admission fees, help them alleviate their education difficulties and encourage them to continue to study hard;

2. 定期为科卢韦齐修女学校捐赠物资;

2. Regularly donate materials to the nunnery school at Kolwezi;

3. 向 LUALABA 省教育基金资助; 为鲁库尼孤儿院中心捐赠一批生活物资;

3. Provide fund for LUALABA Provincial Education Fund; donate a batch of living materials to the Lukuni orphanage center;

4. 为鲁库尼福利院接通中压电提供资助, 于今年 6 月份正式通电投入使用, 进一步缓解了周边社区的用电难题, 受到了当地村民的一致赞赏。

4. Provide support for the connection of medium voltage power to Lukuni welfare home, this project has been officially connected and put into use this June, which further alleviates the power consumption problems of surrounding communities and is unanimously praised by local villagers.

- 资助 KAWAMA 村居民义诊

- **Provide fund for free clinic on a volunteer basis for KAWAMA Villagers**

本着造福周边社区的理念, 为需要的村民提供力所能及的医疗帮助, 以及促进与周边居民良好关系的发展, 积极推动 KAWAMA 村社会事业发展和民生进步, 与非政府组织 MOM 诊所合作, 资助 2019 年 12 月 12-13 日在 KAWAMA 村举行了一次义诊活动。

In line with the concept of benefiting the surrounding communities, the Company provides medical help to the villagers as the Company's capacity allows, and promotes development of good relations with surrounding residents, actively promotes the development of social undertakings and the progress of people's livelihood in KAWAMA village. In cooperation with MOM clinic (a NGO), the Company funds a free clinic on a volunteer basis on December 12 to 13, 2019 at KAWAMA Village.



## 申诉机制

### Grievance Mechanism

华友建立了申诉机制并发布与公司的网站 [www.huayou.com](http://www.huayou.com)。目前，任何有关我们的钴供应链尽责管理相关的不满或建议，都可以通过以下途径向我们反馈，我们将及时分析、核查和处理，并反馈相关处理结果。

Huayou Company has established a grievance mechanism and published it on the Company's website at [www.huayou.com](http://www.huayou.com). At present, any dissatisfaction or suggestion related to the due diligence of responsible cobalt supply chain of the Company can be fed back to us through the following ways. We will analyze, verify and deal with it in time and feed back the relevant treatment results.

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China

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**华友钴业**  
**HUAYOU COBALT**

