

浙江中金格派锂电产业股份有限公司

Zhejiang Zhongjin Greatpower Lithium-
Battery Industrial Corporation Co.,Ltd

钴供应链尽责管理报告

(2020 年度)

Due Responsible Management Report
of Cobalt Supply Chain
(The year in 2020)

浙江格派钴供应链尽责管理委员会

Zhejiang Greatpower Due Responsible Management Committee of
Cobalt Supply Chain

2021 年 3 月 18 日

March 18, 2021

第一章 公司简介

Chapter One Company Introduction

- 1、公司名称：浙江中金格派锂电产业股份有限公司

Company name: Zhejiang Zhongjin Greatpower Lithium-Battery Industrial Corporation Co., Ltd

- 2、CID 编号：003526

CID No.: 003526

- 3、公司地址：浙江省绍兴市杭州湾经济技术开发区纬十一路 19 号

Company Address: No. 19 Weishiyi Rd., Hangzhou Bay Economic and Technological Development Zone, Shaoxing City, Zhejiang Province

- 4、使用原料：粗制氢氧化钴

Raw Materials: Crude Cobalt Hydroxide

第二章 RMAP 审核摘要

Chapter Two RMAP Audit Abstract

- 1、上次 RMAP 审核日期：2020 年 7 月 13-14 日

Date of last RMAP Audit: 13-14 July, 2020

- 2、评估期间：2019 年 6 月-2020 年 5 月

Evaluating Period: June, 2019-May, 2020

- 3、评估公司：UL

Assessment Company: UL

- 4、最近评估总结报告链接：<http://www.greatpowercn.com>

Website of the latest assessment summary report:

<http://www.greatpowercn.com>

第三章 供应链尽责管理实践

Chapter Three Supply Chain Responsible Management Practices

1、供应链尽责管理实践

Supply Chain Responsible Management Practices

第 1 步:建立完善的企业管理体系

Step 1: Establish a Elaborate Management System for Enterprise

(1) 负责任矿产供应链尽责管理政策

Due Responsible Management Policy for Mineral Resources

我们认识到在受冲突影响和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不利影响的风险，并认识到我们有尊重人权，不助长冲突和不对环境和社会产生负面影响的义务。我们承诺采纳并广泛传播《中国负责任矿产供应链尽责管理指南》的相关政策。这一政策为矿产资源供应链全过程涉及冲突敏感的采购活动以及供应商的风险意识提供参考。我们承诺遵守联合国相关制裁决议，遵守适用执行此类决议的国内法律，不参与任何会为冲突提供帮助或便利的行为。因此制定了《负责任钴供应链的尽责管理政策》。本供应链政策涵盖了：《中国负责任矿产供应链尽责管理指南》中确定的所有风险，增加了职业健康与安全的政策条款。

We had recognized that engage in mining, trading, processing, and exporting minerals in conflict-affected and high-risk areas may have the major negative impact risk, and recognized that we have obligation to respect human rights, and not to foster conflict and not to exert negative impact on environment and society. We committed to adopt and widely spread relevant policy of Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains. The policy provides

reference for conflict-sensitive procurement activities in the whole supply chain of mineral resources and suppliers' risk awareness. Greatpower commit to abide by relevant United Nations sanctions resolutions, comply with domestic laws applicable to the enforcement of such resolutions, don't engage in any action that would provide offer or convenience for conflict. Consequently we develop a Due Diligence Policy for a Responsible Cobalt Supply Chain. This supply chain policy covers: all risks identified in the Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains, the "Occupational Health and Safety" policy provision has been added.

管理层致力于《负责任钴供应链的尽责管理政策》的实施，本政策已向相关利益者（供应商、员工）广泛传播，可通过网站：<http://www.greatpowercn.com> 查阅。

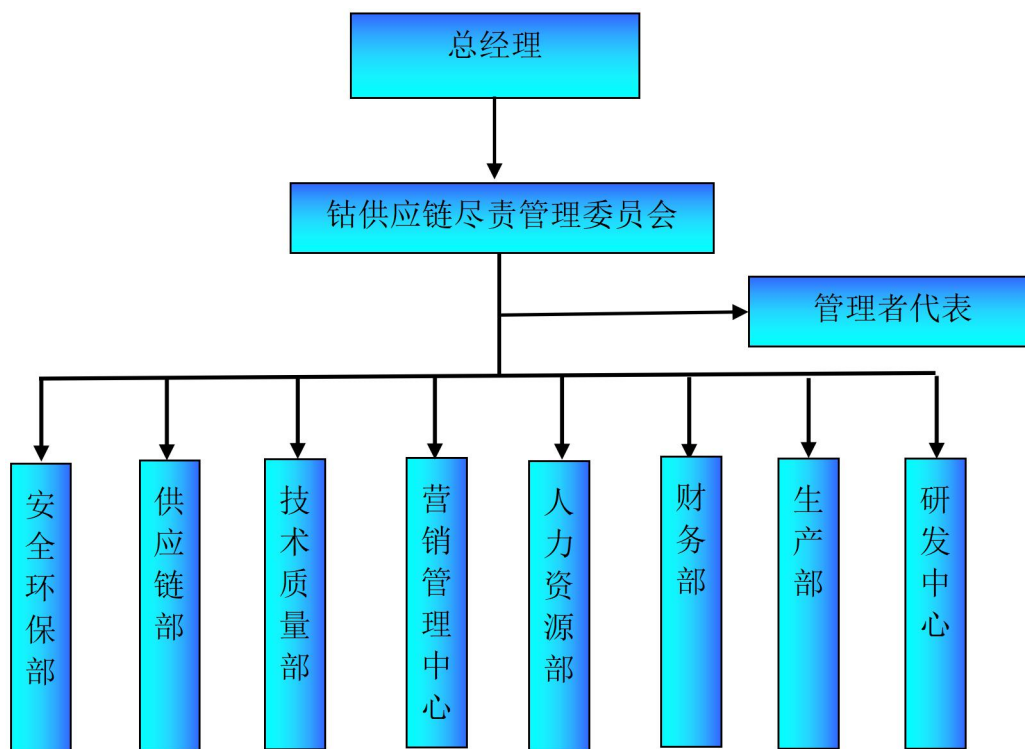
Management is committed to the implementation of the Due Diligence Management Policy for a Responsible Cobalt Supply Chain, this policy has been widely disseminated to relevant stakeholders (suppliers, employees) and can be found on the company's website: <http://www.greatpowercn.com>.

（2）负责任矿产尽责管理体系组织架构与职责

Organizational structure and responsibilities of due diligence management system for responsible mineral supply chains.

（3）浙江格派建立由总经理直管的钴供应链管理小组，总经理为组长，组员包括有供应链管理部、技术质量部、安全环保部、营销管理部、财务部、人力资源部各部门负责人。管理者代表为技术质量部负责人王向阳（xiangyang.wang@greatpowercn.com），组织架构图如下：

Zhejiang Greatpower has established a cobalt supply chain management team directly under the management of the general manager. The general manager is the leader, and the team members include the heads of supply chain management department, technology and quality department, safety and environmental protection department, marketing management department, finance department and human resources department. The management representative is Wang Xiangyang (xiangyang.wang@greatpowercn.com), The organizational chart is as follows:



制定部门职责，确保各部门恪尽职守，执行尽职调查计划并报告所发现的任何示警信号和潜在风险，具体见《负责任矿产供应链尽责管理程序》。

Develop departmental responsibilities to ensure that all departments fulfill their duties, implement due diligence plans and report any red flags and potential risks identified. Department responsibilities have been specified in the Due Diligence Management Process for Responsible Mineral Supply Chain.

编写年度培训和开展丰富多彩的培训，提高全员尽责管理意识。

Prepare annual training and carry out a variety of training to improve the sense of responsible management of all staff.

（4）管控和透明度体系

Governance and transparency systems

公司已建立负责任矿产供应链尽责管理程序的相关文件，使其与《中国负责任矿产供应链尽责管理指南》要求保持一致，并深入贯彻 RMI 和相关方的建议和要求。

The company has established the relevant documents of due diligence management process for responsible mineral supply chain to keep it in line with the requirements of Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains, and thoroughly implement the suggestions and requirements of RMI and relevant parties.

（5）记录保存系统

Record keeping system

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，并在《负责任矿产供应链尽责管理程序》中进行规定。

The company requires that all records related to the due diligence management system for responsible minerals should be kept for at least 5 years and specified in the Due Diligence Management Process for Responsible Minerals Supply Chain.

（6）建立企业申诉机制

Establish company Grievance Management

为了及时发现和处理钴供应链可能存在的各类风险与隐患，保障利益相关方与本公司管理层顺利沟通，建立和谐的利益相关方关系，具体申诉程序以及联系方式（xing@greatpowercn.com）可于公司网站 <http://www.greatpowercn.com> 查阅。

In order to timely discover and deal with all kinds of risks and hidden danger in the Cobalt supply chain, ensure the smooth communication between stakeholders and the management of the company, and establish harmonious stakeholder relationship, concrete procedure of appeal and contact information (xing@greatpowercn.com) can be found on the company website: <http://www.greatpowercn.com>.

第 2 步:供应链风险的识别和评估

Step 2: Supply Chain Risk Identification and Assessment

(1) 浙江格派钴供应链管理小组按照《钴供应链尽责管理程序文件》的标准和要求，组织识别所有供应商和原料，并且获取有关原料和监管链的充分文件，以确定每家直接矿产供应商的身份、业务关系类型和业务运营的和合法性，通过 KYS（了解你的供应商）问卷调查，组织实施基本的供应商调查，根据 KYS 获取的信息，对照相关制裁名单，验明供应商及其受益所有人的身份，当供应商持股超过 50% 的人员被列为（美国财政部 OFAC 制裁名单、欧盟 EEAS 的综合制裁名单、联合国制裁名单）制裁名单时，公司禁止与其进行交易。

Zhejiang Greatpower Cobalt supply chain management group in accordance with the standards and requirements of the "Due Diligence Management Procedure Document for Cobalt Supply Chain", organize the identification of all suppliers and raw materials, and get the full file about raw material and regulation

chain,in order to determine the identity of each mineral suppliers directly,the types of business relations and operations legitimacy, through KYS(Know Your Supplier) questionnaire to organize and conduct a basic Supplier survey.According to the information obtained by KYS,the suppliers and their beneficial owners were identified against the relevant sanctions list. The company is barred from trading with suppliers whose shares are more than 50 percent when they are on the sanctions list(US Treasury Department OFAC sanctions list;The EEAS consolidated sanctions list; UN sanctions list).

浙江格派对所有钴原料进行风险评估，风险类别参考《中国指南》或《经合组织指南》，附加职业健康和生产安全风险。

Zhejiang Greatpower carries out a risk assessment for all Cobalt raw materials according to the "China Guidelines" or the "OECD Guidelines",with additional occupational health and production safety risks.

识别原料来源，形成供应链地图。我司已经整理原产地评定结果，梳理绘制供应链地图。

Identify raw material sources and develop a supply chain map.Our company has sorted out the origin assessment results and mapped the supply chain.

(2) 公司建立的 Q/ZJGP-GL-JZ-019-2020《受冲突影响和高风险地区(CAHRA) 识别程序》为公司建立的负责任矿产供应链风险管理的核心文件，其建立了适当的监管和追溯链，识别供应链中的风险。

Q/ZJGP-GL-JZ-019-2020 Identification Procedures for Conflict-Affected and High-risk Areas (CAHRA) established by the company is the core document

of responsible mineral supply chain risk management. It establishes appropriate supervision or traceability chain and identifies risks in the supply chain.

CAHRAs 识别程序包括使用的资源、评价工具、判定标准。评价工具有全球和平指数、人类发展指数、全球腐败指数、人权指数等。直接审查警示信号或警告标志，这些警示信号或警告标志与《格派负责任全球供应链的尽责管理政策》保持一致。

CAHRAs identification procedures include the resources used, evaluation tools and decision criteria. The evaluation tools include the Global Peace Index, the Human Development Index, Corruption Perceptions Index and the Human Rights Index etc.. Directly reviews the characteristics of warning signals or warning signs, these warning signals or signs are consistent with Greatpower Due Diligence Policy for a Responsible Global Supply Chain.

评价工具：

Evaluation tools:

风险类型 Risk Types	评价工具 Evaluation tools
武装冲突风险 Risk of armed conflict	Global Peace Index—GPI 全球和平指数
良好治理 Good Governance	Corruption Perceptions Index : Global Scores 全球腐败指数
人权风险 Human rights risk	Human Development Index —HDI 人类发展指数
安全卫生 Safety and health	参考公开报道和新闻 Refer to public reports and news

评价标准:

Evaluation standard:

评价工具 Evaluation tools	评判标准 Evaluation standard
全球和平指数(GPI) Global Peace Index	分数高于 2.5 的国家/地区视为 CAHRA Countries with scores higher than 2.5 are considered CAHRA
全球腐败指数(CPI) Corruption Perceptions Index	分数低于 50 的国家/地区视为 CAHRA Countries with scores below 50 are considered CAHRA
人类发展指数 (HDI) Human Development Index	分数低于 0.55 的国家/地区视为 CAHRA Countries with scores below 0.55 are considered CAHRA

(3) 识别原料来源为低风险时, 进行基本的尽职调查即可, 并按要求向供应商传达《格派负责任全球供应链的尽责管理政策》、《供应商行为准则》, 签署后回传我公司进行存档。

When the source of raw materials is identified as low risk,basic due diligence should be done,and the"Responsible Management Policy for Responsible Global Supply Chain"and"Supplier Code of Conduct"should be delivered to the supplier as required,and should be signed and sent back to our company for archiving.

(4) 识别原料来源存在高风险时, 必须完成高风险来源的审计工作, 针对供应链的实际情况进行分析。包括: 评估 CAHRA 的背景、阐明监管链、

评估上游供应商的活动和关系、识别矿石的开采、贸易、处理和出口的地点和定量条件，适用时，进行实地风险评估。

When identifying the source of raw materials with high risk,the audit of high-risk source must be completed.Analyze the actual situation of supply chains.Include:assess the background of CHARA,Clarify the chain of custody,assess upstream vendor activities and relationships,identification of the location and quantitative conditions for the mining,trading,processing and export of ores,where applicable,on-site risk assessment is conducted.

(5) 公司通过实际情况与《格派负责任全球供应链的尽责管理政策》中涵盖的风险进行对比，评估供应链中是否存在风险以及严重性。格派钴供应链识别的风险包括矿山和粗炼厂所在地，刚果民主共和国为高风险区域，触发的示警信号或警告标志包括严重侵犯人权行为、直接或间接支持非法的有组织武装团体和公共或私人安全武装、腐败、洗钱和向政府支付的税收、费用及特许费。针对上述风险格派与供应商正在展开积极沟通，推动供应商以《中国负责任矿产供应链尽责管理指南》为基本框架，并在 RMI 的指导下完善其尽责管理体系。推动供应商自主完成 RMAP 审核。

The company evaluates the existence and severity of risks in the supply chain by comparing the actual situation with the risks covered in the "Responsible Management Policy for Responsible Global Supply Chain". Greatpower risks identified by the Cobalt supply chain include:the Democratic Republic of Congo,where mines and refineries are located,as a high-risk area.Triggered warning signals or warning signs include severe human rights violation,directly or indirectly support illegal organized armed groups and public or private security forces,corruption and money laundering and pay the

government taxes, fees and royalties. In response to the above risks, Greatpower and its supplier are actively communicating to encourage them to improve their accountability management systems under the guidance of RMI and the Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains. And improve suppliers to complete RMAP audit independently.

第 3 步:对识别的风险制定并实施应对政策

Step 3: Develop and Implement Policies to Respond to Identified Risks

浙江格派根据《钴供应链风险缓解程序》对负责任矿产供应链识别的风险进行减缓，风险减缓程序包括：

Zhejiang Greatpower mitigates the risks identified by the responsible mineral supply chain according to the Risk Mitigation Control Procedures for Mineral Supply Chain. The risk mitigation management procedures include:

1、风险减缓策略

Risk Mitigation Strategy

(1) 在整个降低可衡量风险的过程中继续开展贸易；

Continuing to trade throughout the process of reducing measurable risks;

(2) 在不断降低可衡量风险的同时暂时中止贸易；

Suspending trade while reducing measurable risks;

(3) 在风险减缓失败，或公司有理由认为风险减缓措施不可行或无法接受的情况下，终止与供货商合作。

Termination of cooperation with the supplier if risk mitigation fails or if the company has reason to believe that mitigation measures are not feasible or acceptable.

(4) 实施风险管理计划，监测和追踪降低风险措施的绩效，保存好风险降低过程中与供应商或利益相关方的沟通记录，并向指定的高级管理层汇报。

Implement a risk management plan, monitor and track the performance of risk mitigation measures, keep records of communication with suppliers or stakeholders during the risk mitigation process and report to designated senior management.

2、风险减缓计划

Risk Mitigation Plan

(1) 需要管控的风险

Risks that need to be managed

(2) 风险管理预期目标和影响

Expected objectives and impacts of risk management

(3) 可衡量的风险减缓措施及行动情况

Measurable risk mitigation measures and actions

(4) 路线图、时间表及必要的资源配置。

Road map, timetables and necessary resource allocation

3、监测和跟踪风险计划

Monitor and Follow Up the Risk Plan

供应链尽责管理委员会负责监测和跟踪风险管理计划的完成情况，进一步保持持续的风险监测工作，至少 6 个月评估一次风险管控措施的有效性，并根据需要额外开展风险评估。

Supply chain Responsible Management Committee is responsible for monitoring and tracking the completion of risk management plans, further

maintain ongoing risk monitoring ,assess the effectiveness of risk controls at least once every 6 months,and conduct additional risk assessments as needed.

第 4 步:独立第三方评估与审核

Step 4:Independent Third-Party Assessment and Audit

浙江格派积极响应负责任矿产尽责管理要求,参与第三方审核,满足利益相关方对负责任矿产供应链合规、透明的期望。

Zhejiang Greatpower actively responds to due responsible mineral management requirements,participates in third-party audit,and meets stakeholders' expectations of responsible mineral supply chain compliance and transparency.

2020 年我司一直在 RMI 的指导下完善责任矿产尽责管理体系,已接受客户委托 RCS 的第三方审计 2 次。

In 2020,our company has been improving the responsible mineral management system under the guidance of RMI.RCS has been audited two times by the third-party entrusted by the client.

第 5 步:对供应链风险管理过程和结果报告

Step 5:Report the Supply Chain Risk Management Process and Results

浙江格派钴供应链尽责管理报告的发布周期为至少每年一次,可在官网 <http://www.greatpowercn.com> 查阅,欢迎社会各界对我司的钴供应链尽责管理工作提出建议。

The release of Zhejiang Greatpower Cobalt Supply Chain Responsible Management Report is at least once a year,which can be found an its official website:<http://www.greatpowercn.com>, we welcome the community's

suggestions on Cobalt Supply Chain Responsible Management Report of our mines.

第四章 结束语

The fourth chapter Summary

浙江格派将本着高度负责任的态度，同国内外有关方密切合作，积极参与钴行业上下游会议及论坛、协会，与相关方分享和报告供应链尽责管理的进展，并呼吁钴行业相关方能共同行动起来开展尽责管理，共同创建更为持续健康的钴供应链，为锂电新能源行业提供更为可持续、负责任的电池材料。

Zhejiang Greatpower will be in line with the highly responsible attitude, work closely with relevant parties at home and abroad, to actively take part in cobalt industry upstream and downstream meeting and BBS, association, share with related party and report the progress of the responsible supply chain management, and called for cobalt industry related to act together to carry out the duty management, together to create a more sustainable and healthy cobalt supply chain, To provide more sustainable and responsible battery materials for the lithium new energy industry.

浙江格派钴供应链尽责管理委员会

Zhejiang Greatpower Cobalt Supply Chain Responsible Management
committee

2021 年 3 月 18 日

March 18, 2021