



Complaint and Communication Mechanism for Supply Chain Management

供应链管理申诉与沟通机制

In conformity with the principle of “ integrity, trustworthiness and responsibility”, this “Farasis Energy Complaint and Communication Mechanism for Supply Chain Management” is specially established to enhance communication and collaboration with affected areas, upstream and downstream enterprises in the supply chain, government departments, non-governmental organizations, the media and other relevant parties, timely and effectively respond to the concerns of the related parties, and continuously improve the governance capability of the company’s supply chain and information transparency.

为了加强同受影响地区、供应链上下游企业、政府部门、非政府组织、媒体及其他相关各方的沟通与协作，及时、有效回应相关方关切，不断提高公司供应链治理能力和信息透明度，本着“诚实、守信、责任”的原则，专门建立“孚能科技供应链申诉与沟通机制”。

一、Objective of the mechanism

机制目的

To receive, audit, respond to, report and handle the expectations and appeals of the stakeholders for supply chain governance, strengthen communication and collaboration with the external sides, and create a dialogue and negotiation platform to continuously enhance the company’s supply chain management capability.

接收、审核、回应、报告和和处理各利益相关方对供应链治理的期望和诉求，加强同外部的沟通与协作，为持续提升公司供应链治理能力搭建对话和磋商平台。

二、Scope of complaint and communication

申诉与沟通范围

In order to ensure the effective operation of the complaint and communication, this Mechanism only accepts complaints or information provided in real name and with integrity, satisfying the following conditions:

1. Identified risks and challenges associated with the company’s responsible mineral supply chain;
2. The gaps and deficiencies in the due diligence management system and measures of the company’s responsible mineral supply chain;
3. Other relevant recommendations and comments on the responsible mineral supply chain with sufficient supporting evidence.

为确保申诉和沟通机制的有效运行，本机制仅接受实名和诚信提供的申诉或信息，且须满足以下条件：

- 1、已识别的与本公司负责任矿产供应链相关联的风险与挑战；
- 2、本公司负责任矿产供应链尽责管理体系和措施存在的差距和不足；
- 3、其他具有充足证据支持的涉及负责任矿产供应链的相关建议和意见。

三、Chanel for complaint and communication

申诉与沟通渠道

Any complaint and communication information within the above scope can be sent to the email address of the company’s Responsible Sourcing Committee Secretariat (due-diligence@farasisenergy.com.cn).

任何有关上述范围的申诉与沟通信息，请发送至本公司负责任采购委员会秘书处邮箱：due-diligence@farasisenergy.com.cn。

四、Requirements for information submission

信息提交要求

The complaint or communication information submitted must meet the following requirements:



1. Specify the name and the organization (if any) of the complaining party, and whether there needs secrecy; Farasis will keep confidential if needed;

2. If the complaint is submitted by a designated representative, the information and contact of the authorizer must also be provided;

3. Provide details of the complaint and communication as well as supporting evidence(s), which will contribute to the effective solutions to the issues. Suggestions on solutions that the complaining party considers feasible are welcomed.

对于申诉人所提交的申诉或沟通信息, 须满足以下条件:

1、写明申诉人姓名、机构(如有)以及是否要求保密, 如有保密要求则本公司予以保密;

2、如果申诉是由派出代表提交的, 须提供授权人的信息以及联系方式;

3、详细说明申诉或沟通事项, 并提供支持性证据, 这将有助于申诉或沟通的有效解决。欢迎申诉人提供认为可行的解决措施建议。

五、Procedures for complaint and communication

申诉与沟通流程

This Mechanism includes the six steps below:

本申诉与沟通机制通过以下六个步骤开展工作:

Step 1: Acceptance of complaint and communication

步骤一: 接受申诉或沟通

The personnel shall record the content of complaint and communication in the complaint file.

受理申诉与沟通的工作人员负责记录申诉与沟通内容, 并确保把相关内容记录在申诉档案中。

Step 2: Preliminary assessment

步骤二: 初步评估

Conduct a preliminary assessment of whether the content of complaint and communication is in line with the scope of this Mechanism.

初步评估申诉与沟通的内容是否符合本申诉与沟通机制的范围, 并将相关信息传达给公司的相关领导和部门。

Step 3: Confirmation of complaint

步骤三: 申诉确认

Within seven working days after receiving complaint and communication matters, a written letter of reply to the complaining party shall be provided to confirm the complaint has been received and to specify the steps and time for solutions.

在收到申诉与沟通事项之后的七个工作日内, 向申诉人反馈书面回函, 以确认收到申诉, 并提供解决申诉的步骤和时间。

Step 4: Response to complaint

步骤四: 申诉回应

The complaint investigation will be carried out immediately after the receipt of complaint, and the investigation or action report related to the complaint shall be completed within one month after the date of the complaint, with a response conclusion formed. There are three ways for the content of response:

1. If the complaint is not within the scope above, the complaint shall be held untenable and will be rejected;

2. The complaint has been accepted, but the complaint issues for the company don't exist, thus no corrective or improvement measures will be taken;

3. The complaint has been accepted, and it is confirmed that corrective or improvement measures shall be taken.

申诉调查将在接到申诉之后立刻开展, 在申诉开始之日起一个月内完成与申诉有关的调查报告或行动报告, 并形成回应结论。回应的内容将会有三种方式:

1. 不符合申诉范围, 申诉不成立, 驳回;

2. 接受申诉, 但本公司不存在申诉问题, 无需采取纠正或改进措施;

3. 接受申诉, 确认需要采取纠正或改进措施。



Step 5: Improvement actions

步骤五: 改进行动

If the complaining party is not satisfied with the investigation report or action measures, Farasis will conduct further investigations and studies to identify the action plans that need further implementation, and carry them out. If the complaining party still cannot reach agreement on the company's improvement actions, it may refer the complaint to a third party for mediation or engage external experts for review and consultation.

如申诉方对调查报告或行动措施不满意, 公司将开展进一步的调查和研究, 确定需要深入开展的行动方案并予以实施。如申诉方仍就与公司改进行动无法达成一致, 可将申诉转交给第三方进行调解或聘请外部专家参与审查及磋商。

Step 6: Monitoring and evaluation

步骤六: 监测与评价

The company's Responsible Sourcing Committee Secretariat shall quarterly report the complaints, solutions and pending cases to the Committee; analyze the situation and time limit for the complaint resolutions, and assess the effectiveness of the complaint and communication mechanism.

公司负责采购委员会秘书处应每季度将收到的申诉、解决以及未决的情况向委员会汇报; 每年分析申诉解决的情况以及时限, 并评估申诉与沟通机制的有效性。