



# 供方行为准则

## SUPPLIER CODE OF CONDUCT

正泰新能科技股份有限公司（以下简称“本公司”或“我们”）以生产高质量光伏产品而自豪。我们认为，遵循最高的商业道德标准运作业务是我们的社会责任，并要求供方遵守同样的高标准。这种承诺是我们企业价值观以及开展业务的基础。为此，我们要求供方遵守以下标准，即使本准则的要求严于有关法律法规。我们鼓励供方比这些行为准则的要求做得更好。

Chint New Energy Technology Co., Ltd. (hereinafter as “the Company” or “we”) is proud of providing high-quality photovoltaic products. We believe that it is our social responsibility to operate our business in accordance with the highest business ethics standards, and to require our suppliers to comply with the same standards. This commitment is the foundation of the Company’s values and our business. The Company requires our suppliers to comply with this Supplier Code of Conduct (“the Code”), even when the Code exceeds the requirements of applicable laws. Our suppliers are encouraged to satisfy the requirements at a higher level than the Code.

### 1、童工

供方所聘用的劳动者在年龄上必须高于以下要求：(1) 年满 16 周岁；(2) 完成义务教育的年龄；(3) 在工作履行地的最低工作年龄。此外，18 周岁以下的劳动者不得从事危险工作。供方应将每位雇员的出生年月归档，或者使用合法方式确定每位雇员的年龄。

指引：供方须遵守有关最低工作年龄的法律法规。禁止违反当地有关最低工作年龄以及受义务教育年龄的规定而雇用包括学徒或技校生在内的任何年龄的员工。

如果没有独立的文件，供方须通过其它合法、可靠的途径确定雇员的年龄。供方应当妥善保存、复印、留底有关雇员年龄的证明文件。

### 1. Child Labor

Suppliers must engage employees who satisfy the following requirements: (i) older than 16; (ii) the age of completion of compulsory education; or (iii) the minimum age to work in the country where the work is performed. Furthermore, employees under the age of 18 must not perform hazardous work. Suppliers shall keep the records of each employee’s date of birth or confirm the age of each employee in a legal manner.

Guidance: Suppliers shall comply with the laws and regulations regarding the minimum working age. It is prohibited to hire employees of any age, including apprentices or technical school students, in violation of local regulations on the minimum working age and the age of compulsory education.

If there is no independent document, suppliers must confirm the age of employees in other legal and reliable manner. Suppliers shall properly keep records and make copies of the supporting documents related to the employee’s age.

### 2、薪酬

供方须根据适用法律的要求公正地支付工资并提供福利给所有雇员，并不得有失公允。

供方须确保所有支付的工时工资至少满足最低工资或相对较高的当地行业薪酬最低标准。

供方须按法律要求支付加班费及奖金。

供方须支付法律规定的所有福利，不得非法扣减。

供方须以工资单或其他支付凭证等书面形式与所有雇员沟通其在适用法律及在该工作场所有权获得的工资、奖励、福利和奖金。

供方不得将扣除工资作为一项纪律措施。



## 2. Wages and Benefits

Suppliers shall fairly pay wages and provide benefits to all employees in accordance with the requirements of applicable laws.

Suppliers shall pay their employees the wages that satisfy the applicable minimum wages or the local industry minimum wage standard.

Suppliers shall pay their employees the overtime and bonus in accordance with the requirement of applicable laws.

Suppliers shall pay all benefits in accordance with the requirement of applicable laws, without unlawful deduction.

Suppliers must communicate with their employees concerning wages, bonus and benefits that they are entitled to receiving under applicable laws by providing payroll or other payment documentation.

Deductions from wages as a disciplinary measure are not permitted.

## 3、平等、公平待遇

所有雇员都必须受到尊重且享有尊严。不得对雇员进行身体、口头或心理的虐待或胁迫，包括暴力威胁、性骚扰或对进出工作地点及住所的不合理限制等。雇员必须能够自由地向本公司或评估员表达其关切，并参与到对雇员工作环境的审计评估活动当中，而不必担心受到供方管理层的报复。

供方应遵守所有关于劳动纪律的公司内部规章制度和相关法律法规。

供方应遵守所有关于禁止骚扰和虐待的法律。

## 3. Fair Treatment

All employees must be treated with respect and dignity. Suppliers must not engage in or permit physical, verbal, or psychological abuse or coercion, including threats of violence, sexual harassment, or unreasonable restrictions on entering or exiting work and residential facilities. Employees must be free to voice their concerns to the Company, and allowed to participate in the Company's audit process towards employee's working environment, without fear of retaliation by the management.

Suppliers shall comply with the Company's rules concerning labor disciplines and with all applicable laws and regulations.

Suppliers shall comply with all the laws prohibiting harassment and abuse.

## 4、反歧视原则

工作条件必须基于个人的工作能力，而不是个人特征或信仰。供方不得基于种族、肤色、国籍、性别、性取向、宗教、残疾情况、年龄、政治观点、怀孕情况、婚姻/家庭状况或其他类似因素，在招聘过程和工作实践（包括应聘、晋升、工作分配、培训、工资、福利、解雇等）中歧视任何雇员。供方不得要求雇员或应聘者进行可能会用于歧视目的的医学测试。

## 4. Anti-discrimination

Working conditions must be based on an individual's ability to do the job, not on personal characteristics or beliefs. Suppliers must not discriminate on the basis of race, color, national origin, gender, sexual orientation, religion, disability, age, political opinion, pregnancy, marital or family status, or similar factors in hiring and working practices such as job applications, promotions, job assignments, training, wages, benefits, and termination. Suppliers must not subject employees or applicants to medical tests that could be used in a discriminatory manner.

## 5、合法移民

供方只能聘用具有合法工作权利的雇员。如果供方雇用外国雇员或者移民后的群体，则必须完全遵守东道国的移民法和劳动法。

## 5. Immigration Compliance



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Suppliers shall hire employees who have a legal right to work. If suppliers hire foreign or migrant employees, such employees must be hired in full compliance with the immigration and labor laws of the host country.

## 6、工会自由

供方须尊重雇员组建、加入行业组织工会，并依法拥有以和平、合法方式集体谈判的权利。

供方须遵守所有有关工会自由及集体谈判的法律。

供方不得在雇员自由结社或集体谈判时加以骚扰、恐吓或报复。

供方须为雇员的申诉采取保密措施。

## 6. Freedom of Association

Suppliers must respect the rights of employees to establish and join a trade union of their own selection, and the rights of collective bargaining in a peaceful and lawful manner.

Suppliers must comply with all laws governing trade union and collective bargaining.

Employees shall not be subjected to harassment, intimidation or retaliation for the exercise of their rights to join trade union and collective bargaining.

Suppliers must keep their employees' complaints as confidential.

## 7、健康与安全

供方须遵守所有与工作场所的健康及安全有关的法律，并为雇员提供所处工作场地安全操作培训。

职业安全：供方必须对雇员进行安全程序教育，并通过实施包括物理防护、安全屏障和/或工程管控在内的各种手段来防止劳动者遭受潜在的人身安全危害。如果雇员在危险的环境中工作（或以其他方式暴露于危险环境中）或者需要接触危险物品，则必须提前告知他们并提供适当的安全教育。此外，供方必须为雇员提供适当的个人防护装备，并就如何正确使用这些装备进行相关的教育培训。供方必须管理、追踪和及时报告所发生的工伤和职业病。

高强度体力劳动：供方必须不断确定、评估和控制高强度体力劳动的工作量，以确保雇员的健康和安全不会受到损害。

紧急情况的准备和应对：供方必须能够识别紧急情况、做好相应预案并落实，以及培训雇员正确操作相关的应对措施（包括紧急报告、警报系统、员工通知和疏散、员工培训与演习、急救用品、火灾探测与灭火设备、畅通的出口设施等）。

机器维护：供方必须进行定期的机械设备维护工作，必须定期评估生产设备和其他机械的安全隐患。

卫生和住房：供方必须为雇员提供清洁的卫生间设施及饮用水。如果供方提供食堂或其他餐饮设施，则应当保证食物准备、储存和就餐的环境皆干净卫生。如果供方为劳动者提供居住设施，则必须提供清洁安全、可自行出行的住所。

供方须对危险物品和器械的操作进行妥善管理。

## 7. Safety and Health



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Suppliers must comply with applicable laws regarding working conditions and provide employees with the training regarding the safety operation in the workplace.

**Occupational Safety.** Suppliers must educate employees on safety procedures and also control the exposure to potential physical safety hazards by implementing physical guards, barriers, and/or engineering and administrative controls. Employees must be informed and receive appropriate education in advance if they will be working with (or otherwise exposed to) hazardous or dangerous conditions or materials. In addition, employees must be given appropriate personal protective equipment and educated and trained on the proper use of such equipment. Suppliers must manage, track, and report occupational injuries and illnesses.

**Physically Demanding Work.** Suppliers must continually identify, evaluate, and control physically demanding tasks to ensure that employee health and safety is not jeopardized.

**Emergency Preparedness and Response.** Suppliers must identify and plan for emergency situations and implement and train their employees on response systems, including emergency reporting, alarm systems, notification and evacuation procedures, training and drills, first-aid supplies, fire detection and suppression equipment, and unblocked exit facilities.

**Machinery Maintenance.** Suppliers must implement a regular machinery maintenance program. Production and other machinery must be routinely evaluated for safety hazards.

**Sanitation and Housing.** Employees must be provided with reasonable access to clean toilet facilities and potable drinking water. If suppliers provide a canteen or other food accommodations, they must include sanitary food preparation, storage, and eating accommodations. If suppliers provide residential facilities for their employees, they must provide clean and safe accommodations with free movement privilege.

Suppliers must properly manage the operation of dangerous goods and devices.

## 8、自愿雇佣

供方须在自愿的基础上雇用员工，不使用监狱工或奴役工，不得对雇员进行身体伤害或进行其它任何形式的强制性劳动。不得贩卖工人或通过威胁、武力、胁迫、绑架、欺诈等任何其他方式剥削工人。

劳动必须是自愿的，雇员在给出合理通知的情况下也必须能够自由离职并终止其工作状态。

供方不得使用任何强制劳动，无论是囚禁劳动、抵债劳动、契约劳动还是其它形式；禁止强迫加班。供方不得拘禁雇员或约束其行动自由。

供方不得要求雇员交出政府签发的身份证件、护照或工作许可证以作为工作条件，只能在为了完成合法的行政程序以及移民手续的过程中在必要情况下暂时保留雇员的此类文件。

供方不得要求雇员支付与其就业有关的招聘、雇用或其他类似费用；供方必须承担上述费用，已经收取的必须退还。向雇员收取的所有费用都必须对本公司作出披露，并在雇佣之前以劳动者的母语对他们本人予以告知。我们还希望供方保证其使用的第三方劳工中介机构同样遵守本准则的要求和标准。

此外，供方必须确保其每个员工或招聘部门都严格遵守了本准则的要求以及工作履行地和雇员住所地当地中更严格的相关法律法规。

供方向雇员提供的劳动合同中的条款必须清晰且通俗易懂。

## 8. Voluntary Employment



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Suppliers shall hire employees on a voluntary basis, and shall not use prison workers or enslaved workers, and shall not physically injure employees or perform any other form of forced labor. Suppliers must not traffic employees or in any other way exploit employees by means of threat, force, coercion, abduction, or fraud.

Working must be voluntary, and employees must be free to leave work and terminate their employment or other work status with reasonable notice.

Suppliers shall not use forced labor - imprison, debt bondage, indentured, or otherwise. Supplier shall not force overtime work. Suppliers shall not detain employees or restrict their freedom of movement.

Suppliers must not require employees to surrender government issued identification documents, passports, or work permits as a condition of working, and suppliers may only temporarily hold onto such documents to the extent reasonably necessary to complete legitimate administrative and immigration processing.

Employees shall not be required to pay recruitment, hiring, or other similar fees related to their employment. Suppliers must bear or reimburse to their employees the cost of any such fees. All fees and expenses charged to employees must be disclosed to the Company and communicated to employees in their native language in advance of employment. The Company also expects our suppliers to hold their third-party labor agents or brokers to the standards and practices covered by the Code.

Suppliers must ensure that each of its staffing or recruiting agencies complies with the Code and with the more stringent of the applicable laws of the country where work is performed and the employee's home country.

Employees must be provided clear and understandable contracts regarding the terms and conditions of their employment.

### 9、工作时间

供方须遵守所有与常规工作时间、加班时间和福利相关的适用法律。

供方须为所有雇员提供有关薪酬、工作时间（包括加班时间）、工资标准、福利及任何扣减项目的文件。

供方须提供法定休息日、公众假期和带薪假期。

除非在异常或紧急情况下，供方每七天须给雇员至少放一天假，每周工作时间应当遵守当地法律的相关规定。

在任何情况下，劳动者的工作时间都不得超过法律规定的最长时间。

### 9. Working Hours

Suppliers shall comply with all applicable laws related to regular working hours, overtime and benefits.

Suppliers shall provide all employees with documents related to salary, working hours (including overtime), wage standards, benefits and any deductions.

Suppliers must provide rest days, public holidays and paid holidays.

Except in unusual or emergency situations, each employee must be entitled to at least one day off for every seven-day work period.

In all circumstances, working hours must not exceed the maximum amount permitted by law.

### 10、环境

供方必须遵守相关的环境法。我们鼓励供方实施特定的机制，以最大限度地减少供应链系统、生产过程以及产品本身对环境的影响。



环境许可和记录保存：供方必须获得并保存所有必需的环境许可、批准和注册文件，并遵守相关的经营和报告要求。

有效管理和处置有害物质：供方必须有效地识别对环境构成威胁的化学品及其他物质，并对其安全处理、移动、储存和处置等事项予以管理，包括为劳动者提供有关危险物质安全处置的适当培训。供方在还必须监测和控制经营活动中所产生的废水或固体废物，根据相关法律进行处置，此外，供方必须根据法律在排放前对受管制的空气排放物进行定性、监测、控制和处理。

持续的改进措施：我们鼓励供方不断进行改善、减少废物的产生，并欢迎供方提出相关建议和反馈以改进本公司自身的经营和运作。

## 10. Environment

Suppliers must comply with applicable environment protection laws. Suppliers are encouraged to implement a mechanism that are designed to minimize the impact on the environment by the supply chain, the production process, and the products themselves.

Environmental Permits and Recordkeeping. Suppliers must obtain and keep records of all required environmental permits, approvals, and registrations and follow applicable operational and reporting requirements.

Effective Management and Disposal of Hazardous Substances. Suppliers must effectively identify and manage the safe handling, movement, storage, and disposal of chemicals and other substances that pose a threat to the environment, including providing employees with appropriate training on the safe-handling and disposal of hazardous substances. Suppliers must also monitor and control wastewater or solid waste generated from business operations before disposing in accordance with applicable laws. In addition, suppliers must characterize, monitor, control, and treat regulated air emissions before discharging in accordance with applicable laws.

Continuous Improvement. The Company encourages our suppliers to continuously improve and reduce waste. The Company welcomes suggestions and feedback from our suppliers to improve the Company's own operations and processes.

## 11、商业道德

供方须按照本公司制定的供方管理制度、采购制度、财务制度等进行规范操作，并不得开展非公司业务的经济关系。

禁止贿赂：供方不得以任何理由对任何人进行贿赂活动，无论是与政府官员还是私营机构。具体表现形式包括提供、承诺、给予或接受任何有价值的商品或服务，以获取或提供不正当的好处。

反腐败行为：供方必须遵守相关的反腐败法律，不得以本公司名义贿赂政府官员，不得直接或间接向政府官员提供、给予或承诺任何有价值的商品或服务，以鼓励他们从事不正当行为或奖励他们的不正当行为。禁止采取的形式包括但不限于给予现金或现金等价物、礼物、宴请或为娱乐活动买单等。对本条款的适用范围或例外情况有任何疑问必须直接向本公司提出。我们鼓励供方通过以下方式举报其员工或管理层所进行的任何涉及本公司的腐败行为：

举报电话：13806606591

举报邮箱：[cwm@chint.com](mailto:cwm@chint.com)

举报人保护机制：供方必须对身为劳动者的举报人的信息予以保密，禁止对作出举报的劳动者实施打击



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报复。此外，供方必须建立一种机制，可以让劳动者匿名提交申诉。

供方须遵守采购合同中《廉政承诺》内容。

## 11. Ethical Behavior

Suppliers must operate in accordance with the supplier management system, procurement system and financial system adopted by the Company, and shall not carry out activities other than suppliers' business.

No Bribery. Suppliers shall not engage in bribery with anyone for any reason, whether dealings with government officials or the private sector. This includes offering, promising, giving, or accepting anything of value to obtain or provide undue or improper advantages to anyone for any reason.

Anti-Corruption. Suppliers must comply with applicable anti-corruption laws, and never bribe a government official on the Company's behalf. Suppliers shall not offer, give, or promise anything of value, either directly or indirectly, to government officials to encourage them to act improperly or to reward them for doing so. Prohibited payments may take many forms including, but not limited to, cash or cash equivalents, gifts, meals, and entertainment. Any questions regarding the applicability of this provision or exceptions to this provision must be directed to the Company. Suppliers are encouraged to report any corruption behavior of their employees or management that involves the Company, through the following ways:

Reporting phone number: **13806606591**

Reporting email: [cwm@chint.com](mailto:cwm@chint.com)

Whistleblower Protections. Suppliers must protect the whistleblower confidentiality and prohibit retaliation against the employee who reports workplace grievances. Suppliers must establish a mechanism for employees to submit their grievances anonymously.

Suppliers must abide by the "Integrity Commitment" in the procurement contract.

## 12. 管理体系

供方必须制订特定的管理体系以确保遵守相关法律法规和本准则的要求并加以不断改进。

管理层问责制和责任追究：供方必须指定负责人负责落实管理体系和计划，以监督对相关法律和本准则的遵守情况。高级管理层必须定期审查和评估管理体系及计划的质量和效率。我们还希望供方能够确保其上级供方、分包商同样能够遵守本准则所涵盖的各项标准和实践要求。

风险管理：供方必须创建一整套流程来识别与其经营活动、雇员实践相关的环境、健康、安全和道德风险。此外，管理层必须制定适当的流程来控制已经识别的风险，以确保其合规。

加强培训：管理层必须为经理和雇员制定适当的培训计划，以达到本准则和相关法律法规的要求。

注重沟通和雇员反馈：供方必须清楚、准确地就我们的政策、实践和期待与雇员进行沟通和教育。本公司可要求供方将本准则张贴在其雇员可以知悉的位置（并翻译成合适的当地语言）。此外，我们鼓励供方与其合作以评估雇员对本准则的要求和标准的理解。

文件记录：供方必须完全按照相关法律法规的要求以及一定的保密性来创建、保留和处置经营文件，以保护隐私。

## 12. Management System

Suppliers must adopt a management system to ensure compliance with applicable laws and the Code and to facilitate



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continual improvement.

**Management Accountability and Responsibility.** Suppliers must have designated representatives responsible for implementing the management system and program that oversee compliance with applicable laws as well as the Code. Senior management must routinely review and assess the quality and efficiency of the management system and program. The Company also expects our suppliers to hold their suppliers and subcontractors to the standards and practices covered by the Code.

**Risk Management.** Suppliers must establish a process to identify the environmental, health, safety and ethical risks associated with the operational and labor practices. In addition, the management shall develop an appropriate process to control identified risks and ensure regulatory compliance.

**Training.** The management must maintain appropriate training programs for managers and employees to implement the standards in the Code and to comply with applicable legal requirements.

**Communication and Employee Feedback.** Suppliers must clearly and accurately communicate and educate employees concerning the Company's policies, practices and expectations. The Company may require suppliers to post the Code in a location accessible to their employees (translated into the appropriate local language(s)). In addition, the Company encourages suppliers to partner with us to implement a process to assess the employees' understanding of the standards and practices covered by the Code.

**Documentation and Records.** Suppliers must establish, retain and dispose of business records in full compliance with applicable legal requirements along with appropriate confidentiality to protect privacy.

### 13、其他责任

未经本公司允许，供方不得在生产本公司产品或其原料时进行外包；如有外包，外包商必须同意遵守本行为规范。

供方和外包商有义务将本准则的内容与雇员沟通。

供方不得采购或使用冲突矿物，并且将这一要求延伸到下级供方。“冲突矿物”是指锡、钽、钨、金等原产地于刚果民主共和国及周边国家的矿物，这些矿物的销售可能为这些国家持续的武装冲突提供了财力支持。本公司高度重视冲突矿物问题，并采取行动处理这一问题。

### 13. Other Responsibilities

Without the permission of the Company, suppliers shall not outsource the production of the Company's products or raw materials. In case of outsourcing, the outsourcer must agree to abide by the Code.

Suppliers and outsourcers are required to communicate the Code to their employees.

The Supplier shall not purchase and support the use of Conflict Minerals, and this requirement extends to sub-suppliers. The term "Conflict Minerals" are minerals such as tin, tantalum, tungsten and gold that originate in the Democratic Republic of Congo and surrounding countries, the sale of which may provide financial support for ongoing armed conflict in these countries. The Company attaches great importance to the issue of Conflict Minerals and has taken action to address this issue.

### 14、纠正措施

供方对本准则的遵守情况需接受本公司的审查，包括第三方评估机构对工作环境和居住设施的审计检查以及与劳动者进行的保密访谈。供方必须保持透明，并在审查期间向评估者及时开放各种设备、文件记录以及安排与劳动者的会见。我们要求供方及时提供详细的整改计划，并对违反本准则的行为采取纠正措施，我们将跟踪供方的整改工作，并可以（在不承担任何责任的情况下）终止与任何违反本准则（包括拒绝配合审查人员工作）的供方的合作关系。





**ASTRONERGY**

## 14. Corrective Action

Suppliers' compliance with the Code is subject to the Company's review, including third-party auditing of work and residential facilities and conducting confidential employee interviews. Suppliers must be transparent and provide prompt access to their facilities, records and employees during the audit. We require suppliers to promptly provide a detailed remediation plan and take corrective actions for deviations from the Code, and the Company will track suppliers' remediation efforts. Company may (without liability) terminate its relationships with any supplier found to be in violation of the Code, including for denying prompt access to our auditors.

### 15、合规

供方须遵守所有适用法律下的法规要求和行业标准，在法律允许的范围内，保存遵守该法律和标准的文档记录。

正泰新能科技股份有限公司的目标就是致力于：

降低供方的生产成本, 基于生产消费者在可持续发展方面的期望以及不断变化的着重点及需求来开发产品选择可持续的原材料和供方；设计环保产品，把对环境的影响限制到最低，实现资源的良性循环, 得到长远的发展之路！

## 15. Compliance

Suppliers must comply with the regulatory requirements and industry standards under all applicable laws, and keep the records of compliance with such laws and standards to the extent permitted by law.

Chint New Energy Technology Co., Ltd. is committed to the following:

reduce the production costs of suppliers, develop products and select sustainable raw materials and suppliers based on the consumers' expectations for sustainable development and evolving demands; design environment friendly products, minimize the impact on the environment, realize the virtuous cycle of resources and achieve a long-term development.