赣州逸豪优美科实业有限公司

Ganzhou YiHao Umicore Industries Co., Ltd.

申诉机制 Grievance Mechanism

版本号 Version：V2.0 | 首次发布日期 First Release Date：02/08/2025

修订日期 Revision Date：04/18/2026

一、目的 Purpose

为及时识别与处理矿产供应链潜在风险隐患，畅通利益相关方与本公司管理层的沟通渠道，构建多方协作、互利共赢的利益相关方关系，切实保障各相关方的合法权利与诉求，赣州逸豪优美科实业有限公司（以下简称"逸豪优美科"）依据国际尽责管理标准，特制定本申诉机制。通过及时识别和解决申诉问题，降低人权侵犯、环境破坏及商业道德违规风险，同步依托申诉反馈完善风险识别、纠正及预防体系，优化供应链管理体系和尽责管理实践。

To promptly identify and address potential risks within the mineral supply chain, establish smooth communication channels between stakeholders and the company's management, build collaborative and mutually beneficial stakeholder relationships, and effectively safeguard the legitimate rights and demands of all relevant parties, Ganzhou YiHao Umicore Industries Co., Ltd. (hereinafter referred to as "GYHU") establishes this Grievance Mechanism in accordance with international due diligence standards. By identifying and resolving grievances in a timely manner, we aim to mitigate risks related to human rights violations, environmental damage, and business ethics violations, and improve risk identification, correction and prevention systems based on grievance feedback, thereby optimizing our supply chain management system and due diligence practices.

二、申诉渠道 Grievance Channels

1. 线上：专用邮箱 rmi.service@gzhongsheng.com

Online: Dedicated Email: rmi.service@gzhongsheng.com

2. 线下：钴原料供应链尽责管理办

   Offline: Cobalt Raw Material Supply Chain Due Diligence Office

3. 电话/短信：86-797-8256668

   Phone/SMS: +86-797-8256668

三、申诉处理流程 Grievance Handling Process

1. 接收与登记 Receipt and Registration

1) 告知申诉人无需担心打击报复，公司会对申诉人身份严格保密。

   Inform the complainant that they need not fear retaliation; the company will strictly maintain the confidentiality of their identity.

2) 所有申诉由相关部门统一编号并存档，确保可追溯。

   All grievances are assigned a unique reference number and archived by the relevant department to ensure traceability.

3) 分类标记问题类型（人权/环境/合规）。

   Categorize and tag the issue type (Human Rights / Environment / Compliance).

2. 初步评估 Preliminary Assessment（5 个工作日内 within 5 business days）

初步评估申诉内容是否属于本申诉机制受理范围，申诉内容是否清晰，以及证据是否充足、可信。

Conduct a preliminary assessment to determine whether the grievance falls within the scope of this mechanism, if the content is clear, and if the evidence is sufficient and credible.

1) 经审查与评估，如申诉内容不属于本机制受理范畴，向申诉申请方发出驳回申请的决定。

   If, upon review and assessment, the grievance is deemed outside the scope of this mechanism, a decision to reject the application will be communicated to the complainant.

2) 经审查与评估，如申诉申请内容不清晰或证据不充分，要求申诉发起方限期补充相关资料与信息，并将在补充提供材料后进行再次审查。

   If, upon review and assessment, the grievance content is unclear or evidence is insufficient, the complainant will be requested to supplement relevant materials and information within a specified timeframe. A re-review will be conducted upon receipt of the supplementary materials.

3) 经审查与评估，如申诉申请内容清晰、证据充分，向申诉申请方发出受理申诉的决定。

   If, upon review and assessment, the grievance content is clear and evidence sufficient, a decision to accept the grievance will be communicated to the complainant.

3. 解决方案与反馈 Resolution and Feedback

1) 制定整改计划（如赔偿、政策修订、供应链调整），针对所有已受理申诉，同步编制专项纠正与预防措施计划，明确整改目标、执行部门、完成时限、验收标准，15 个工作日内向申诉方反馈初步结果。

   Develop a corrective action plan (e.g., compensation, policy revision, supply chain adjustment). For all accepted grievances, formulate dedicated corrective and preventive action plans simultaneously, clarifying rectification objectives, responsible departments, deadlines and acceptance criteria, and provide preliminary feedback to the complainant within 15 business days.

2) 持续跟踪措施落实，30 日内提供最终处理报告。

   Continuously track the implementation of measures and provide a final resolution report within 30 days.

4. 申诉关闭与救济途径 Grievance Closure and Channels of Redress

1. 申诉方在 15 天内未对最终处理报告提出异议，即视为申诉关闭，并进行存档记录。

If the complainant raises no objections to the final resolution report within 15 days, the grievance will be deemed closed and archived accordingly.

2. 若申诉人与公司就处理结果未能达成一致意见，申诉人可在收到最终答复后 15 个工作日内，向 RMI 独立审查机构或其他合法第三方调解/仲裁机构寻求进一步解决途径，公司予以配合并提供必要说明。

If the complainant fails to reach an agreement with the GYHU on the outcome of the complaint, the complainant may, within 15 working days of receiving the final response, seek further resolution from the RMI Independent Review Panel or other legitimate third-party mediation or arbitration bodies. The Company shall cooperate and provide necessary explanations.

四、改进机制与预防措施 Improvement Mechanism and Preventive Measures

1. 改进机制 Improvement Mechanism

1) 政策修订：根据案例调整尽责管理政策或供应商审核标准。

   Policy Revision: Adjust due diligence policies or supplier audit standards based on case learnings.

2) 公司将邀请有效申诉的提交人参与问题复盘、整改方案研讨与预防措施制定，充分听取申诉人意见与建议；整改完成后向申诉人反馈落实情况，并将典型问题纳入供应链风险评估、流程优化与培训体系，形成预防-整改-复盘-优化的闭环管理，持续完善合规管理机制。

   GYHU will invite submitters of valid grievances to participate in issue reviews, discussions on corrective action plans, and the development of preventive measures, and fully consider their opinions and suggestions. Upon completion of the rectification, GYHU will inform the complainants of the implementation status. Typical issues will be incorporated into supply chain risk assessment, process optimization and training systems, forming a closed-loop management of prevention–correction–review–improvement to continuously enhance the compliance management mechanism.

3) 申诉反馈意见纳入风险识别流程：所有申诉内容、申诉人反馈、整改结论、纠正预防措施执行情况，统一汇总至供应链风险台账。钴原料供应链尽责管理办定期提取申诉相关数据，结合 RMI 风险评估工具开展常态化风险识别，将申诉暴露出的隐患划定风险等级，更新供应链风险清单，并同步同步更新各环节风险防控要点。

   Integrate grievance feedback into risk identification process: All grievance contents, complainant feedback, rectification conclusions and implementation status of corrective and preventive actions shall be summarized into the supply chain risk ledger. The Cobalt Raw Material Supply Chain Due Diligence Office regularly extracts grievance-related data, carries out regular risk identification combined with RMI risk assessment tools, classifies hidden dangers exposed by grievances by risk level, updates the supply chain risk list, and revises risk prevention and control key points for all links in a timely manner.

2. 预防措施 Preventive Measures

1) 风险评估工具：采用 RMI 提供的风险评估模板，提前排查高风险环节。

   Risk Assessment Tools: Utilize risk assessment templates provided by RMI to proactively identify high-risk areas.

2) 透明披露：在企业年度尽责管理报告中公开申诉处理统计与改进成果。

   Transparent Disclosure: Publish grievance handling statistics and improvement outcomes in the company's annual due diligence report.

五、记录与保密 Record Keeping and Confidentiality

1. 记录要求 Record Keeping Requirements

所有申诉需保存完整记录（包括提交时间、内容、处理过程、结果、纠正与预防措施计划、申诉反馈及风险识别应用记录），存档至少 5 年。

Complete records of all grievances (including submission time, content, handling process, outcome) shall be preserved for at least 5 years.

2. 保密原则 Confidentiality Principles

1) 对申诉人身份严格保密，不得对申诉人打击报复，必要时应予以保护措施。

   The identity of the complainant shall be kept strictly confidential. Retaliation against complainants is prohibited; protective measures shall be implemented when necessary.

2) 仅授权人员可访问申诉人信息，未经同意不得向第三方披露。

   Access to complainant information is restricted to authorized personnel only. Disclosure to third parties is prohibited without consent.

3) 对申诉人身份采取加密存储，匿名申诉不记录任何个人信息。

   Complainant identities shall be stored using encryption. Anonymous grievances shall not record any personal information.