

管理目标

MANAGEMENT GOALS

防范或降低已识别的风险，定期核查、跟踪风险缓解策略的效果，充分征询供应商和受影响的利益相关方意见，实现有效的风险闭环管理。

To prevent or reduce identified risks, regularly verify and monitor the effectiveness of risk mitigation measures, thoroughly solicit input from suppliers and affected stakeholders, and achieve effective closed-loop risk management.

四类重点防范风险

FOUR TYPES OF RISKS

01

与矿产开采、运输或贸易有关的严重侵权行为

Serious violations related to mineral extraction, transportation, or trade

02

关于直接或间接支持非国家武装团体

Direct or indirect support to non-state armed groups

03

关于公共或私人安全武装

Engagement with public or private security forces

04

关于行贿受贿及矿产原产地的欺诈性失实陈述、洗钱、向政府支付的税收、费用和特许费

Bribery, fraudulent misrepresentation of mineral origin, money laundering, and payments of taxes, fees, and royalties to governments

源于《中国矿产供应链尽责管理指南》 / Source: Chinese Due Diligence Guidelines for Mineral Supply Chain

风险缓解策略

METHODS OF RISK MITIGATION

- A** 在缓解重大风险的过程中继续交易
Continuing trade throughout the course of major risk mitigation efforts
- B** 在持续缓解重大风险的过程中暂时中止交易
Temporarily suspending trade while pursuing ongoing risk mitigation
- C** 如果缓解风险的努力失败，或企业认为无法缓解风险，或风险无法接受，则终止和供应商的合作关系
Disengaging with a supplier in cases where mitigation measures fail or mitigation appears not feasible or unacceptable

实施要求

ASKS OF IMPLEMENT

- 与利益相关方(供应商)共同推动风险管理计划的实施
Jointly implement the risk management plan, monitor and track performance of risk mitigation measures in cooperation with stakeholders.
- 如发现风险出现重大变化可随时相应调整风险管理计划
If major changes in risks are identified, the plan should be adjusted accordingly.
- 就计划的实施、监督和绩效跟踪与受影响的利益相关方开展合作/协商
Cooperate/consult with affected stakeholders, governments, upstream companies, etc., on implementation and monitoring.
- 考虑通过建立或支持当地社区监督力量
Done by establishing or supporting local community monitoring networks.
- 向制定的高级管理者汇报，并确认是否需要调整计划
Report to designated senior managers and confirm whether the plan needs adjustment.

利益相关方参与

STAKEHOLDER ENGAGEMENT

企业

Enterprise

开采承包商

Mining Contractor

潜在供应商

Potential Supplier

政府

Government

安保服务商

Security Services

社区

Community

供应商

Supplier

员工

Staff

客户

Customer

国际/民间组织

International/Civil Society

持股方

Shareholder

LME

London Metal Exchange

意见反馈与联系

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Luanshya Supply Chain Due Diligence Joint Office

矿产供应链尽责管理六步骤

SIX-STEP DUE DILIGENCE MANAGEMENT FOR MINERAL SUPPLY CHAINS

1

建立尽责管理体系
Establish System

2

风险识别与评估
Risk Identification

3

风险预防和缓解
Risk Mitigation

4

内外部评估报告与沟通
Evaluation & Report

5

适时提供条件进行补救
Cooperate in Remediation