



**KYOCERA Document Solutions Inc.
Supply Chain CSR Procurement
Guideline
(Version 5)**

May 20, 2024

Introduction

Kyocera Group is committed to sustainable management so that both society and Kyocera Group can develop sustainably and aims to provide value that leads to solutions to social issues through business.

In recent years, corporate activities have become increasingly globalized and computerized, and the interest in corporate initiatives for the development of a sustainable society has increased year by year. In addition, international documents such as the "United Nations (UN) Guiding Principles on Business and Human Rights" and "Sustainable Development Goals (SDGs)", the Organization for Economic Cooperation and Development (OECD) "Guidelines for Multinational Enterprises", and the International Labour Organization (ILO) "Declaration on Multinational Enterprises" have been issued and revised, and companies are expected to take responsibility not only for legal compliance but also for responsible corporate behavior. Kyocera Group also participates in the United Nations Global Compact, which sets forth 10 principles on human rights, labor, the environment, and anti-corruption, and has established Kyocera Group CSR Guidelines and Kyocera Group Human Rights Policy. We will continue to actively work to develop a sustainable society through our corporate activities.

As a member of RBA (Responsible Business Alliance/Headquarters: Virginia, USA), a corporate alliance in the supply chain of the electronic industry, Kyocera Document Solutions fully supports the vision and mission of the RBA.

Kyocera Document Solutions also commits to progressively apply the RBA Code of Conduct to its first tier suppliers, to monitor its application to the best of its ability using RBA practices and tools, and to encourage and support its suppliers to do the same, therefore establishing the "Kyocera Document Solutions Supply Chain CSR Procurement Guideline" based upon the RBA Code of Conduct and share it with its suppliers, and work together as a team with associates to implement fair business practices. Kyocera Document Solutions, as the member of Kyocera group, has declared that "To provide opportunities for the material and intellectual growth of all our employees, and through our joint efforts, contribute to the advancement of society and humankind" as its management rationale and has managed its business based on Kyocera Philosophy – the core of management in Kyocera Group which has the criterion of "What is the right thing to do as a human being?". By practicing the Kyocera Philosophy on a daily basis, we will contribute to the Earth, nature and society as well as build mutual trust with stakeholders. That is our basic style for sustainable management.

We would like our suppliers to understand the intent of Guideline and ask for continued cooperation.

We would also ask you to communicate this Guideline to your business partners.

Fundamental Policy for Purchasing

1. We will place emphasis on fairness, and work on building and developing partnerships with suppliers based on the spirit of “benefit to improve oneself for the benefit of others” and a relationship of trust.
2. In purchasing activities, we will abide by the laws of each country, and fulfil our social responsibilities such as preserving the global environment and protecting resources.
3. We will provide fair opportunities to all companies, both inside and outside Japan, and carry out purchasing activities based on fair evaluation criteria.
4. To supply the products which customers are satisfied with, we will continue to work hard with our suppliers to pursue the quality and price as well as to ensure stable supply.

Kyocera Group CSR Guidelines

Introduction

Since its foundation, Kyocera has declared that it will “provide opportunities for the material and intellectual growth of all our employees, and through our joint efforts, contribute to the advancement of society and humankind” as its management rationale and has managed its business based on the Kyocera Philosophy – the core of management in the Kyocera Group. By practicing the Kyocera Philosophy on a daily basis, we will contribute to the sound development of society as well as build mutual trust with stakeholders, and continuously develop the Kyocera Group.

We therefore have established the Kyocera Group CSR Guidelines, which are our standards of corporate conduct, and will act towards the creation of a sustainable society.

These guidelines will apply to Kyocera Corporation and Kyocera Group companies, as well as all executive officers and employees.

1. Basic duties

We shall observe laws, regulations and corporate rules, have unshakable moral values based on the Kyocera Philosophy and perform corporate activities globally, making decisions based on the criterion of “What is the right thing to do as a human being?”

2. Human Rights Initiatives and labor

- 2-1 We shall always be aware of changes in work environments and the characteristics and culture of each country to build up a personnel system that can respond appropriately.
- 2-2 We shall respect the Human Rights Initiatives of employees and not treat them severely or inhumanely, including abuse or any type of harassment.
- 2-3 We shall promote the creation of attractive, rewarding work environments by attempting to share opinions and information with employees.
- 2-4 We shall respect the right of freedom of association based on the laws, regulations and labor practices of each country.
- 2-5 We shall not allow forced labor or child labor.
- 2-6 We shall not engage in unfair and discriminatory treatment.

3. Health and safety

We shall observe laws and regulations related to health and safety, fire control, and undertake health and safety measures more actively and continuously including through the implementation of risk assessment and emergency preparedness to provide work environments that are accident and disaster-free, where employees can work in safety and free from anxiety.

4. Environmental conservation

We shall regard the Kyocera Group Environmental Safety Policy as our guideline for the environmental protection activities to be achieved. We shall perform improvement activities more actively and continuously to contribute to global environmental protection by working in a comprehensive fashion on environmental measures such as environmental preservation, energy conservation, climate change prevention, resource conservation, global environmental product development and biodiversity conservation. At the same time, we shall communicate those efforts widely to society.

5. Fair trade and ethics

- 5-1 We shall compete fairly, transparently and freely, and carry out fair trade.
- 5-2 We shall arrange and manage a clear import and export management system in accordance with related laws and regulations in Japan and overseas.
- 5-3 When procuring materials, we shall conform to laws and regulations, do business faithfully, justly and fairly without abusing any dominant bargaining position, and work to build up partnerships based on mutual trust.
- 5-4 We shall request business partners to understand and cooperate with our CSR activities.
- 5-5 We shall create, protect and utilize intellectual property rights, respect the intellectual property rights of others, and prevent any violation of their rights.
- 5-6 We shall neither offer nor receive inappropriate profits in relationships with stakeholders.
- 5-7 We shall maintain sound and normal relationships with political organizations and the authorities, and shall never offer bribes or illegal political contributions.
- 5-8 We shall steadfastly maintain an attitude of confrontation with antisocial forces and reject any unjust claim.
- 5-9 We shall carry out activities to prevent wrongdoing and also arrange systems to detect and respond to it immediately.
- 5-10 We shall not purchase any materials or products including conflict minerals or metals derived from them that create a source of funds for armed groups causing Human Rights Initiatives violations.

6. Quality and product safety

We shall regard the Kyocera Quality Policy and Kyocera Product Safety Policy as our guidelines to be achieved.

7. Information disclosure

We shall always foster communication with society through appropriate information disclosure and active PR and IR activities; and aim at being a fair, highly transparent and open business enterprise.

- 7-1 We shall strive to disclose information to stakeholders including stockholders and investors quickly, appropriately and fairly; and promote understanding of our management and business activities.
- 7-2 We shall foster fair stock transactions and strive to prevent insider trading such as the buying and selling of stocks based on undisclosed internal information.

8. Information security

We shall be aware that personal information and confidential information are important and strive to prevent information leakages while maintaining and promoting information security.

8-1 We shall be aware that personal information is important information that constitutes privacy, and strive to protect it thoroughly.

8-2 We shall properly manage and protect confidential information received from customers or third parties, and confidential information of companies obtained in the conduct of business, and prevent any leakage or misuse.

9. Business Continuity Plan (BCP)

We shall formulate a BCP and aim for quick recovery and operation even if concerns over supply arise due to disaster, etc.

10. Social contribution

Based on the awareness that a business enterprise is a member of society, we shall do our duty at all times as a corporate citizen that supports the development of local communities and society, and carry out various social contribution activities, not just business.

10-1 We shall actively interact with local people and support activities such as sports to contribute to the development of local communities.

10-2 We shall strive to do our duty as a member of society through various activities that contribute to society such as education, research, culture, the arts, international exchange and cooperation, and environmental protection activities.

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RESPONSIBLE BUSINESS ALLIANCE (RBA) CODE OF CONDUCT

[Version 8.0 (2024)]

The Responsible Business Alliance (RBA) Code of Conduct establishes standards to ensure that working conditions in supply chains are safe, and that business is conducted responsibly, ethically, and with respect for human rights and the environment. The Code may be voluntarily adopted by any business and subsequently applied by that business to its direct and indirect supply chain and subcontractors, including providers of contract labor. To adopt the Code and become a participant ("Participant"), a business shall declare its support for the Code and conduct due diligence in line with the Code and its standards through the establishment of an effective management system. Participants must regard the Code as a total supply chain initiative. At a minimum, Participants shall also require their next tier suppliers to acknowledge and implement the Code. Fundamental to adopting the Code is the understanding that a business, in all of its activities, must operate in full compliance with applicable laws, rules, and regulations*¹. In alignment with internationally recognized standards as listed under the References of this document, and drawing upon best practices in global supply chains, elements of this Code may go beyond legal compliance in order to advance social and environmental responsibility and business ethics. In no case can complying with the Code violate applicable laws. If, however, there are differing standards between the RBA Code and applicable laws, the RBA defines conformance as meeting the strictest requirements.

The provisions of this Code are derived from and respect internationally recognized standards including:

- OECD Guidelines for Multinational
- UN Guiding Principles on Business and Human Rights
- ILO Declaration on Fundamental Principles and Rights at Work
- ILO Fundamental Conventions
- UN Universal Declaration of Human Rights

The Code is made up of five sections:

- Sections A, B, and C: Standards for Labor, Health and Safety, and the Environment, respectively.
- Section D: Standards relating to business ethics.
- Section E: Elements of an acceptable system to manage conformity to this Code.

The RBA is committed to obtaining regular input from stakeholders in the continued development and implementation of the Code of Conduct.

*¹ The Code is not intended to create new and additional third-party rights, including for workers

A. LABOR

Participants commit to respect the human rights of workers, and to treat them with dignity. This applies to direct and indirect suppliers, as well as all workers including temporary, migrant, student, contract, direct employees, and any other type of worker.

The labor standards are as follows:

1) Prohibition of Forced Labor

Forced labor in any form, including but not limited to, bonded (including debt bondage) or indentured labor, involuntary or exploitative prison labor, slavery or trafficking of persons is not permitted. This includes transporting, harboring, recruiting, transferring, or receiving persons by means of threat, force, coercion, abduction or fraud for labor or services. There shall be no unreasonable restrictions on workers' freedom of movement in the facility in addition to unreasonable restrictions on entering or exiting company-provided facilities including, if applicable, workers' dormitories or living quarters. As part of the hiring process, all workers must be provided with a written employment agreement in their native language, or in a language the worker can understand, that contains a description of terms and conditions of employment. Foreign migrant workers must receive the employment agreement prior to the worker departing from his or her country of origin and there shall be no substitution or change(s) allowed in the employment agreement upon arrival in the receiving country unless these changes are made to meet local law and provide equal or better terms. All work shall be voluntary, and workers shall be free to leave work at any time or terminate their employment without penalty if reasonable notice is given, which shall be clearly stated in workers' contracts. Participants shall maintain documentation on all leaving workers. Employers, agents, and sub-agents' may not hold or otherwise destroy, conceal, or confiscate identity or immigration documents, such as government-issued identification, passports, or work permits. Notwithstanding the foregoing, employers can only hold documentation if necessary to comply with the local law. In this case, at no time shall workers be denied access to their documents. Workers shall not be required to pay employers' agents or sub-agents' recruitment fees or other related fees for their employment. If any such fees are found to have been paid by workers, such fees shall be repaid to the worker.

2) Young Workers

Child labor shall not be used in any stage of manufacturing. The term "child" refers to any person under the age of 15, or under the age for completing compulsory education, or under the minimum age for employment in the country, whichever is greatest. Workers under the age of 18 (Young Workers) shall not perform work that is likely to jeopardize their health or safety, including night shifts and overtime. Participants shall ensure proper management of student workers through proper

maintenance of student records, rigorous due diligence of educational partners, and protection of students' rights in accordance with applicable laws and regulations. Participants shall implement an appropriate mechanism to verify the age of workers. The use of legitimate workplace learning programs, which comply with all laws and regulations, is supported. Participants shall provide appropriate support and training to all student workers. In the absence of local law, the wage rate for student workers, interns, and apprentices shall be at least the same wage rate as other entry-level workers performing equal or similar tasks. If child labor is identified, assistance/remediation shall be provided.

3) Working Hours

Working hours shall not exceed the maximum set by local law. Further, a workweek shall not be more than 60 hours per week, including overtime, except in emergency or unusual situations. All overtime shall be voluntary. Workers shall be allowed at least one day off every seven days.

4) Wages and Benefits

Compensation paid to workers shall comply with all applicable wage laws, including those relating to minimum wages, overtime hours and legally mandated benefits. All workers shall receive equal pay for equal work and qualification. Workers shall be compensated for overtime at pay rates greater than regular hourly rates. Deductions from wages as a disciplinary measure shall not be permitted. For each pay period, workers shall be provided with a timely and understandable wage statement that includes sufficient information to verify accurate compensation for work performed. All use of temporary, dispatch and outsourced labor shall be within the limits of the local law.

5) Non-Discrimination/Non-Harassment/Humane Treatment

Participants shall commit to a workplace free of harassment and unlawful discrimination. There shall be no harsh or inhumane treatment including violence, gender-based violence, sexual harassment, sexual abuse, corporal punishment, mental or physical coercion, bullying, public shaming, or verbal abuse of workers; nor is there to be the threat of any such treatment. Companies shall not engage in discrimination or harassment based on race, color, age, gender, sexual orientation, gender identity or expression, ethnicity or national origin, disability, pregnancy, religion, political affiliation, union membership, covered veteran status, protected genetic information or marital status in hiring and employment practices such as wages, promotions, rewards, and access to training. Disciplinary policies and procedures in support of these requirements shall be clearly defined and communicated to workers. Workers shall be provided with reasonable accommodation for religious practices and disability. In addition, workers or potential workers should not be subjected to medical tests, including pregnancy or virginity tests, or physical exams that could be used in a discriminatory way. This was

drafted in consideration of ILO Discrimination (Employment and Occupation) Convention (No.111).

6) Freedom of Association and Collective Bargaining

Open communication and direct engagement between workers and management are the most effective ways to resolve workplace and compensation issues. Workers and/or their representatives shall be able to openly communicate and share ideas and concerns with management regarding working conditions and management practices without fear of discrimination, reprisal, intimidation, or harassment. In alignment with these principles, participants shall respect the right of all workers to form and join trade unions of their own choosing, to bargain collectively, and to engage in peaceful assembly as well as respect the right of workers to refrain from such activities. Where the right of freedom of association and collective bargaining is restricted by applicable laws and regulations, workers shall be allowed to elect and join alternate lawful forms of worker representations.

B. HEALTH AND SAFETY

Participants recognize that in addition to minimizing the incidence of work-related injuries and illnesses, a safe and healthy working environment enhances the quality of products and services, consistency of production and worker retention and morale. Participants also recognize that ongoing worker input and education are essential to identifying and solving health and safety issues in the workplace.

The health and safety standards are as follows:

1) Occupational Health and Safety

Worker potential for exposure to health and safety hazards (chemical, electrical and other energy sources, fire, vehicles, and fall hazards, etc.) shall be identified and assessed, mitigated using the Hierarchy of Controls. Where hazards cannot be adequately controlled by these means, workers shall be provided with appropriate, well-maintained, personal protective equipment, and educational materials about risks to them associated with these hazards. Gender-responsive measures shall be taken, such as not having pregnant women and nursing mothers in working conditions, which could be hazardous to them or their child and to provide reasonable accommodations for nursing mothers.

2) Emergency Preparedness

Potential emergency situations and events shall be identified and assessed, and their impact minimized by implementing emergency plans and response procedures including emergency reporting, employee notification and evacuation procedures, worker training, and drills. Emergency drills shall be executed at least annually or as required by local law, whichever is more stringent. Emergency plans shall also include appropriate fire detection and suppression equipment, clear and unobstructed egress, adequate exit facilities, contact information for emergency responders, and recovery plans. Such plans and procedures shall focus on minimizing harm to life, the environment, and property.

3) Occupational Injury and Illness

Procedures and systems shall be in place to prevent, manage, track and report occupational injuries and illnesses, including provisions to encourage worker reporting, classify and record injury and illness cases, provide necessary medical treatment, investigate cases and implement corrective actions to eliminate their causes, and facilitate the return of workers to work. Participants shall allow workers to remove themselves from imminent harm, and not return until the situation is mitigated, without fear of retaliation.

4) Industrial Hygiene

Worker exposure to chemical, biological, and physical agents shall be identified, evaluated, and controlled according to the Hierarchy of Controls. When hazards cannot be adequately controlled, workers shall be provided with and use appropriate, well-maintained, personal protective equipment free of charge. Participants shall provide workers with safe and healthy working environments, which shall be maintained through ongoing, systematic monitoring of workers' health and working environments. Participants shall provide occupational health monitoring to Responsible Business Alliance Code of Conduct v8.0 5 routinely evaluate if workers' health is being harmed from occupational exposures. Protective occupational health programs shall be ongoing and include educational materials about the risks associated with exposure to workplace hazards.

5) Physically Demanding Work

Worker exposure to the hazards of physically demanding tasks, including manual material handling and heavy or repetitive lifting, prolonged standing, and highly repetitive or forceful assembly tasks shall be identified, evaluated, and controlled.

6) Machine Safeguarding

Production and other machinery shall be evaluated for safety hazards. Physical guards, interlocks, and barriers shall be provided and properly maintained where machinery presents an injury hazard to workers.

7) Sanitation, Food, and Housing

Workers shall be provided with ready access to clean toilet facilities, potable water and sanitary food preparation, storage, and eating facilities. Worker dormitories provided by the Participant or a labor agent shall be maintained to be clean and safe, and provided with appropriate emergency egress, hot water for bathing and showering, adequate lighting, and adequate conditioned ventilation, individually secured accommodations for storing personal and valuable items, and reasonable personal space along with reasonable entry and exit privileges.

8) Health and Safety Communication

Participants shall provide workers with appropriate workplace health and safety information and training in the language of the worker or in a language the worker can understand for all identified workplace hazards that workers are exposed to, including but not limited to mechanical, electrical, chemical, fire, and physical hazards. Health and safety related information shall be clearly posted in the facility or placed in a location identifiable and accessible by workers. Health information and training shall include content on specific risks to relevant demographics, such as

gender and age, if applicable. Training shall be provided to all workers prior to the beginning of work and regularly thereafter. Workers shall be encouraged to raise any health and safety concerns without retaliation.

C. ENVIRONMENT

Across all business functions, Participants recognize that environmental responsibility is integral to producing world-class products. Participants shall identify the environmental impacts and minimize adverse effects on the community, environment, and natural resources, while safeguarding the health and safety of the public.

The environmental standards are as follows:

1) Environmental Permits and Reporting

All required environmental permits (e.g. discharge monitoring), approvals, and registrations shall be obtained, maintained, and kept current and their operational and reporting requirements shall be followed.

2) Pollution Prevention and Resource Conservation

Emissions and discharges of pollutants and generation of waste shall be minimized or eliminated at the source or by practices such as adding pollution control equipment; modifying production, maintenance, and facility processes; or by other means. The use of natural resources, including water, fossil fuels, minerals, and virgin forest products, shall be conserved by practices such as modifying production, maintenance and facility processes, materials substitution, re-use, conservation, recycling, or other means.

3) Hazardous Substances

Chemicals, waste, and other materials posing a hazard to humans or the environment shall be identified, labeled, and managed to ensure their safe handling, movement, storage, use, recycling or reuse, and disposal. Hazardous waste data shall be tracked and documented.

4) Solid Waste

Participants shall implement a systematic approach to identify, manage, reduce, and responsibly dispose of or recycle solid waste (non-hazardous). Waste data shall be tracked and documented.

5) Air Emissions

Air emissions of volatile organic chemicals, aerosols, corrosives, particulates, ozone depleting substances, and combustion byproducts generated from operations shall be characterized, routinely monitored, controlled, and treated as required prior to discharge. Ozone-depleting substances shall be effectively managed in accordance with the Montreal Protocol and applicable regulations. Participants shall conduct routine monitoring of the performance of its air emission control systems.

6) Materials Restrictions

Participants shall adhere to all applicable laws, regulations, and customer requirements regarding the prohibition or restriction of specific substances in products and manufacturing, including labeling for recycling and disposal.

7) Water Management

Participants shall implement a water management program that documents, characterizes, and monitors water sources, use and discharge; seeks opportunities to conserve water; and controls channels of contamination. All wastewater shall be characterized, monitored, controlled, and treated as required prior to discharge or disposal. Participants shall conduct routine monitoring of the performance of its wastewater treatment and containment systems to ensure optimal performance and regulatory compliance.

8) Energy Consumption and Greenhouse Gas Emissions

Participants shall establish and report against an absolute corporate-wide greenhouse gas reduction goal. Energy consumption and all Scopes 1, 2, and significant categories of Scope 3 greenhouse gas emissions shall be tracked, documented, and publicly reported. Participants shall look for methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.

D. ETHICS

To meet social responsibilities and to achieve success in the marketplace, Participants and their agents shall uphold the highest standards of ethics including the following:

1) Business Integrity

The highest standards of integrity shall be upheld in all business interactions. Participants shall have a zero-tolerance policy to prohibit any and all forms of bribery, corruption, extortion and embezzlement.

2) No Improper Advantage

Bribes or other means of obtaining undue or improper advantage shall not be promised, offered, authorized, given, or accepted. This prohibition covers promising, offering, authorizing, giving or accepting anything of value, either directly or indirectly through a third party, in order to obtain or retain business, direct business to any person, or otherwise gain an improper advantage. Monitoring, record keeping, and enforcement procedures shall be implemented to ensure compliance with anticorruption laws.

3) Disclosure of Information

All business dealings shall be transparently performed and accurately reflected on the Participant's business books and records. Information regarding participant's labor, health and safety, environmental practices, business activities, structure, financial situation, and performance shall be disclosed in accordance with applicable regulations and prevailing industry practices. Falsification of records or misrepresentation of conditions or practices in the supply chain are unacceptable.

4) Intellectual Property

Intellectual property rights shall be respected. Transfer of technology and know-how is to be done in a manner that protects intellectual property rights, and customer and supplier information shall be safeguarded.

5) Fair Business, Advertising and Competition

Standards of fair business, advertising, and competition shall be upheld.

6) Protection of Identity and Non-Retaliation

Programs that ensure the confidentiality, anonymity, and protection of supplier and employee whistleblowers*² shall be maintained, unless prohibited by law. Participants shall have a communicated process for their personnel to be able to raise any concerns without fear of retaliation.

*² Whistleblower definition: Any person who makes a disclosure about improper conduct by an employee or officer of a company, or by a public official or official body.

7) Responsible Sourcing of Minerals

Participants shall adopt a policy and exercise due diligence on the source and chain of custody of the tantalum, tin, tungsten, gold, and cobalt in the products they manufacture to reasonably assure that they are sourced in a way consistent with the Organization for Economic Co-operation and Development (OECD) Guidance for Responsible Supply Chains of Minerals from Conflict- Affected and High-Risk Areas or an equivalent and recognized due diligence framework.

8) Privacy

Participants shall commit to protecting the reasonable privacy expectations of personal information of everyone they do business with, including suppliers, customers, consumers, and employees. Participants shall comply with privacy and information security laws and regulatory requirements when personal information is collected, stored, processed, transmitted, and shared.

E. MANAGEMENT SYSTEMS

Participants shall adopt or establish a management system with a scope that is related to the content of this Code. The management system shall be designed to ensure: (a) compliance with applicable laws, regulations and customer requirements related to the participant's operations and products; (b) conformance with this Code; and (c) identification and mitigation of operational risks related to this Code. It shall also facilitate continual improvement.

The management system shall contain the following elements:

1) Company Commitment

Participants shall establish human rights, health and safety, environmental and ethics policy statements affirming Participant's commitment to due diligence and continual improvement, endorsed by executive management. Policy statements shall be made public and communicated to workers in a language they understand via accessible channels.

2) Management Accountability and Responsibility

Participants shall clearly identify senior executive and company representative(s) responsible for ensuring implementation of the management systems and associated programs. Senior management reviews the status of the management systems on a regular basis.

3) Legal and Customer Requirements

Participants shall adopt or establish a process to identify, monitor and understand applicable laws, regulations, and customer requirements, including the requirements of this Code.

4) Risk Assessment and Risk Management

Participants shall adopt or establish a process to identify the legal compliance, environmental, health and safety^{*3}, labor practice and ethics risks, including the risks of severe human rights and environmental impacts, associated with Participant's operations. Participants shall determine the relative significance for each risk and implement appropriate procedural and physical controls to control the identified risks and ensure regulatory compliance.

^{*3} Areas to be included in a risk assessment for environmental health and safety are production areas, warehouse and storage facilities, plant/facilities support equipment, laboratories and test areas, sanitation facilities (bathrooms), kitchen/cafeteria and worker housing/dormitories.

5) Improvement Objectives

Participants shall establish written performance objectives, targets and implementation plans to improve the Participant's social, environmental, and health and safety performance, including a periodic assessment of Participant's performance in achieving those objectives.

6) Training

Participants shall establish programs for training managers and workers

to implement Participant's policies, procedures, and improvement objectives and to meet applicable legal and regulatory requirements.

7) Communication

Participants shall establish process for communicating clear and accurate information about Participant's policies, practices, expectations, and performance to workers, suppliers, and customers.

8) Worker/Stakeholder Engagement and Access To Remedy

Participants shall establish processes for ongoing two-way communication with workers, their representatives, and other stakeholders where relevant or necessary. The process shall aim to obtain feedback on operational practices and conditions covered by this Code, and to foster continuous improvement. Workers shall be given a safe environment to provide grievance and feedback without fear of reprisal or retaliation.

9) Audits and Assessments

Participants shall conduct periodic self-evaluations to ensure conformity to legal and regulatory requirements, the content of the Code, and customer contractual requirements related to social and environmental responsibility.

10) Corrective Action Process

Participants shall establish a process for timely correction of deficiencies identified by internal or external assessments, inspections, investigations, and reviews.

11) Documentation and Records

Participants shall create and maintain documents and records to ensure regulatory compliance and conformity to company requirements along with appropriate confidentiality to protect privacy.

12) Supplier Responsibility

Participants shall establish a process to communicate Code requirements to suppliers and to monitor supplier compliance to the Code.

The following references were used in preparing this Code and may be useful sources of additional information. The following references may or may not be endorsed by each Participant:

Standards and Conventions:

- ILO Fundamental Conventions
 - <https://www.ilo.org/global/standards/introduction-to-international-labour-standards/conventions-and-recommendations/lang--en/index.htm>
 - o Freedom of Association and Protection of the Right to Organise Convention, 1948 (No.87)
 - o Right to Organise and Collective Bargaining Convention, 1949 (No.98)
 - o Forced Labour Convention, 1930 (No.29)
 - o Abolition of Forced Labour Convention, 1957 (No.105)
 - o Minimum Age Convention, 1973 (No.138)
 - o Worst Forms of Child Labour Convention, 1999 (No.182)
 - o Equal Remuneration Convention, 1999 (No.100)
 - o Discrimination (Employment and Occupation) Convention, 1958 (No.111)
 - o Occupational Safety and Health Convention, 1981 (No.155), and the Promotional Framework, 2006 (No.187)
- OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas
 - <https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>
- OECD Guidelines for Multinational Enterprises
 - <https://www.oecd.org/investment/mne/1903291.pdf>
- United Nations (UN) Guiding Principles on Business and Human Rights
 - https://www.ohchr.org/sites/default/files/Documents/Publications/GuidingPrinciplesBusinessHR_EN.pdf
- Universal Declaration of Human Rights
 - <https://www.un.org/en/universal-declaration-human-rights/>
- United Nations Convention Against Corruption
 - <https://www.unodc.org/unodc/en/treaties/CAC/>
- United Nations Convention on the Rights of the Child
 - <https://www.ohchr.org/en/instruments-mechanisms/instruments/convention-rights-child>
- United Nations Convention on the Elimination of All Forms of Discrimination Against Women
 - <https://www.ohchr.org/en/instruments-mechanisms/instruments/convention-elimination-all-forms-discrimination-against-women>
- United Nations Global Compact
 - <https://unglobalcompact.org/>

Other Useful References:

- Dodd-Frank Wall Street Reform and Consumer Protection Act
<https://www.investor.gov/introduction-investing/investing-basics/role-sec/laws-govern-securities-industry#df2010>
- Eco Management & Audit System
https://green-business.ec.europa.eu/eco-management-and-audit-scheme-emas_en
- Ethical Trading Initiative
<https://www.ethicaltrade.org/>
- ILO Code of Practice in Safety and Health
<https://www.ilo.org/safework/lang--en/index.htm>
- ISO 14001 and related standards – Environmental management
- ISO 45001:2018 - Occupational health and safety management systems
- National Fire Protection Association
<https://www.nfpa.org/>
- Social Accountability International (SAI)
<https://sa-intl.org/>
 - SA 8000 <https://sa-intl.org/programs/sa8000/>
- United States Federal Acquisition Regulation
<https://www.acquisition.gov/browse/index/far>

<Document Revision History>

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April 2022, Version 4 (Full revision associated with the official participation of RBA)

July 2022, Version 4.1 (Correction of errors in writing)

May 2024, Version 5 (Revision associated with the enforcement of Version 8.0 of RBA Code of Conduct)