

供应商行为准则

SUPPLIER CODE OF CONDUCT

版本：A/2020 年 8 月

Version: A/August 2021

主要过程：	支撑	文件号：	42.40.10-11.003		版本：
制定部门：	采购	日期：	2021.08	页码	A 1 / 8

目录

TABLE OF CONTENT

供应商在我们的业务发展中发挥着重要的作用	OUR SUPPLIERS PLAY AN IMPORTANT ROLE IN OUR BUSINESS	3
供应商行为准则的适用范围	SCOPE OF APPLICATION OF THE SUPPLIER CODE OF CONDUCT	4
严格遵守供应商行为准则	STRICT ADHERENCE TO THE SUPPLIER CODE OF CONDUCT	4
1.遵守适用法律，履行与协议	1.COMPLY WITH THE APPLICABLE LAWS AND HONOUR YOUR CONTRACTS AND AGREEMENTS!	5
贪污贿赂	CORRUPTION AND BRIBERY	5
卡特尔和反垄断法	CARTEL AND ANTI-TRUST LAW	5
产品责任与产品安全	PRODUCT LIABILITY AND PRODUCT SAFETY	5
假冒伪劣品	COUNTERFEIT, FRAUDULENT AND SUSPECT ITEMS (CFSI)	5
出口管制法和对外贸易	EXPORT CONTROL LAW AND FOREIGN TRADE	6
2.对员工负责！	2. TAKE RESPONSIBILITY FOR YOUR EMPLOYEES!	6
人权	HUMAN RIGHTS	6
员工安全	WORKER'S SAFETY	7
社会平等和结社自由	SOCIAL EQUALITY AND FREEDOM OF ASSOCIATION	7
童工和强迫劳动	CHILD LABOUR, FORCED LABOUR	7
工作时间和工资福利	WORKING HOURS, WAGES AND BENEFITS	7
3.爱护环境，实现可持续发展！	3. TAKE CARE OF THE ENVIRONMENT AND ACT SUSTAINABLY!	7
4.支持以负责任的态度处理专有技术、数据和信息！	4. SUPPORT A RESPONSIBLE HANDLING OF KNOW-HOW, DATA AND INFORMATION!	8
商业秘密的保护	PROTECTION OF BUSINESS SECRETS	8
数据安全	DATA SECURITY	8
5.如发现非法或不道德行为，请立即通过电话或邮件联系我们！	5. PLEASE CALL OR MAIL US IF YOU OBSERVE UNETHICAL OR UNLAWFUL BEHAVIOUR!	8

主要过程:	支撑	文件号:	42.40.10-11.003		版本:	A
制定部门:	采购	日期:	2021.08	页码	2 / 8	

供应商在我们的业务发展中发挥着重要的作用

OUR SUPPLIERS PLAY AN IMPORTANT ROLE IN OUR BUSINESS

经过多年的努力，本集团已发展成为欧洲领先的变压器制造商之一。未来，我们希望进一步巩固和发展我们的领先地位，在全球范围内积极展开竞争。为实现这一目标，我们明确了整个集团的道德标准和行为准则。本集团将致力于保证各项业务活动的可持续性，并遵循诚实守信原则和最高道德标准。

Throughout the last years, our group grew to become one of Europe's leading transformer manufacturers. For the future, we want to uphold and further develop this status and, additionally, compete on a worldwide basis. To support these targets, we defined ethical values for a proper and compliant behaviour in the whole group. We are committed to integrity and sustainability in all business activities and apply to highest ethical standards.

全球客户信赖 SGB-SMIT 集团的产品和声誉。在这其中，供应商（材料供应商、服务提供商等）发挥着重要的作用。供应商的行为对 SGB-SMIT 集团的业务和声誉具有重大的影响。

Customers from all over the world rely on the products and reputation of SGB-SMIT Group. Our suppliers (material suppliers, service providers and others) play an important role in this overall success. Their behaviour has a significant influence on the business and reputation of SGB-SMIT Group.

衷心希望广大供应商能够遵守所有适用法律法规和合同义务。本《供应商行为准则》是供应商行为的依据。We call on our suppliers to comply with all applicable laws, regulations and contractual obligations towards us. This supplier code of conduct defines the basis for this behavior.

2020 年 8 月 1 日，雷根斯堡
Regensburg, 01.08.2020



H. Ketterer, 2020 年 10 月 30 日 09:10 (格林威治标准时间+1)

H. Ketterer (Oct 30, 2020 09:10 GMT+1)

Holger Ketterer
集团首席执行官
Group CEO



H. Uekermann, 2020 年 9 月 30 日 10:15 (格林威治标准时间+2)

H. Uekermann (Sep 30, 2020 10:15 GMT+2)

Dr. Heinrich Uekermann
集团首席财务官
Group CFO



Matthias Gradl, 2020 年 9 月 30 日 10:10 (格林威治标准时间+2)

Matthias Gradl (Sep 30, 2020 10:10 GMT+2)

Matthias Gradl
集团供应链经理
Group Supply Chain Manager

主要过程:	支撑	文件号:	42.40.10-11.003			版本:	A
制定部门:	采购	日期:	2021.08	页码	3 / 8		

供应商行为准则的适用范围

SCOPE OF APPLICATION OF THE SUPPLIER CODE OF CONDUCT

本行为准则适用于 SGB-SMIT 集团的所有供应商。

This "Code of Conduct is applicable to all suppliers of the SGB-SMIT Group.

供应商还必须确保在供应链中遵守本行为准则的原则。

Our suppliers have to ensure the fulfilment of the principles of this Code of Conduct in their supply chain as well.

严格遵守供应商行为准则

STRICT ADHERENCE TO THE SUPPLIER CODE OF CONDUCT

我们要求所有供应商遵守本行为准则的所有原则。

We insist that all of our suppliers follow the principles of this Code of Conduct.

我们有权在所有供应商审核中，审查供应商是否符合本行为准则。对于违反本行为准则的供应商，本集团将采取相应行动，包括暂停或终止与该供应商的业务往来。

We reserve the right to check compliance with this Code in all supplier audits. If any supplier does not fulfil the principles of this Code of Conduct, we may take actions, including the suspension or termination of our activities with this supplier.

主要过程:	支撑	文件号:	42.40.10-11.003			版本:	A
制定部门:	采购	日期:	2021.08	页码	4 / 8		

1. 遵守适用法律，履行与协议

1. COMPLY WITH THE APPLICABLE LAWS AND HONOUR YOUR CONTRACTS AND AGREEMENTS!

供应商应遵守各自营业地所在国家/地区的适用法律。

As our supplier you have to comply with applicable laws in all countries where you have business.

供应商应禁止员工在与本集团的交易中谋取私利。

Instruct your employees to restrain their own private interests while doing business with us.

贪污贿赂

CORRUPTION AND BRIBERY

本集团对贪污贿赂零容忍。本集团要求严格区分个人利益和商业利益。

We do not tolerate any kind of corruption and bribery. We insist on a strict separation of personal and business interests.

供应商的商业决策应杜绝任何形式的贪污和贿赂的影响。供应商应约束员工在法律和社会允许的范围提供或接受礼物、好处、现金或款待，并为员工提供相关培训。我们还希望供应商在其所有实体中实行符合国际公认标准的反贿赂政策。

Your business decisions should never be influenced by any form of corruption or bribery. Oblige and train your employees to take or give any kind of present, benefit, cash or invitation only in a lawful and socially acceptable scope. We also expect that our suppliers have implemented an anti-bribery policy based on internationally recognized standards in all their entities.

卡特尔和反垄断法

CARTEL AND ANTI-TRUST LAW

本集团追求公平竞争。对我们而言，公平公正地对待市场上的所有参与者是十分重要的。

We are committed to fair competition. A fair treatment with full integrity of all participants in the market is very important to us.

所有供应商应坚持自由、纯粹竞争的原则，不得参与任何违反国内或跨国卡特尔法、反垄断法或反竞争法的协定。

Adhere to the principles of free and unadulterated competition. Do not take part in any agreement that is against national or transnational cartel, anti-trust or competition law.

产品责任与产品安全

PRODUCT LIABILITY AND PRODUCT SAFETY

本集团将供应商和客户视为合作伙伴，专注于建立与供应商和客户的长期关系。

We see ourselves as partner of our suppliers and customers and focus on long-term relationships with them.

供应商应致力于提供安全优质的产品，并在整个供应链中确保产品安全和品质。

We expect safe and high-quality products from our suppliers. We expect you to secure this level throughout your whole supply chain.

假冒伪劣品

COUNTERFEIT, FRAUDULENT AND SUSPECT ITEMS (CFSI)

冲突材料

主要过程:	支撑	文件号:	42.40.10-11.003		版本:	A
制定部门:	采购	日期:	2021.08	页码	5 / 8	

CONFLICT MATERIALS

供应商应采取一切合理措施，确保其产品中的钽、锡、钨和金等金属矿物不会直接或间接资助或惠及在刚果民主共和国或邻国严重侵犯人权的武装团体（称为“冲突矿物”）。

Suppliers shall take all reasonable measures to ensure that tantalum, tin, tungsten and gold in the products they manufacture do not directly or indirectly finance or benefit armed groups that are perpetrators of serious human rights abuses in the Democratic Republic of the Congo or an adjoining country (so-called "conflict minerals").

仿冒品

Counterfeit Parts

供应商应制定、实施并维护适合其产品和服务的方法流程，避免交付仿冒零件和材料。同时，供应商应制定有效的流程来检测仿冒零件和材料，标记废弃零件和材料。

We expect our suppliers to develop, implement, and maintain methods and processes appropriate to their products and services to avoid any counterfeit parts and materials into deliverable products. Effective processes should be in place to detect counterfeit parts and materials and mark parts obsolete as appropriate.

出口管制法和对外贸易

EXPORT CONTROL LAW AND FOREIGN TRADE

供应商应遵守现行的经济禁运政策、贸易和进出口管制条例及反恐怖主义条例。

Our suppliers have to comply with current economic embargos or regulations of trade, import or export controls, or regulations for the prevention of financing of terrorism.

2.对员工负责！

2. TAKE RESPONSIBILITY FOR YOUR EMPLOYEES!

供应商应为员工提供健康安全的工作场所，确保员工享有公平平等的劳动条件，不论他们是移民、临时工、实习生还是合同工。

As our supplier, you have to provide a safe and healthy workplace to your employees. You have to ensure fair and equal labour conditions for your employees, no matter if they are migrant, temporary, student or contract workers.

人权

HUMAN RIGHTS

供应商应尊重和支持人权，顾惜和尊重每个人的尊严、隐私和人权。

We expect our suppliers to respect and support human rights. You have to take care for and respect the personal dignity, privacy and personal rights of each individual.

供应商应致力于杜绝工作环境中的骚扰行为，包括性骚扰，不论是直接还是间接的，身体上还是心理上的，言语的还是非言语的。

Every supplier is committed to providing a work environment free from any kind of harassment, including sexual harassment, whether direct or indirect, physical or psychological, verbal or non-verbal.

每位员工都有选择开始或终止雇佣关系的自由。我们希望所有供应商遵守《国际人权公约》。

Every employee shall have the right to be free to enter or terminate its employment. We expect that you respect the International Bill of Human Rights.

主要过程:	支撑	文件号:	42.40.10-11.003		版本:	A
制定部门:	采购	日期:	2021.08	页码	6 / 8	

员工安全

WORKER'S SAFETY

供应商应保障员工安全。为此，供应商应及时发现和消除潜在风险，定期实施系统性健康安全控制措施。
Suppliers shall protect their employees. You have to determine and eliminate potential risks immediately and implement regular and systematic health and safety controls.

社会平等和结社自由

SOCIAL EQUALITY AND FREEDOM OF ASSOCIATION

我们高度重视公平平等和相互尊重的人际关系。每个人都应该享有平等的机会。
We set a high value on a fair, equal and respectful interaction with people. Everyone should have equal opportunities.

供应商应杜绝一切性别、宗教、种族、民族、年龄和性取向歧视，尊重每个人的权利及其社会和文化利益。
As our supplier, you shall not accept any kind of discrimination due to gender, religion, race, ethnic, age or sexual orientation. Respect the rights of all people as well as their social and cultural interests.

供应商应尊重员工组织和加入（或不加入）工会、选择员工代表和参与集体谈判的权利。
Respect the right of all employees to form and join (or not join) a trade union, select their own representatives and to bargain collectively.

童工和强迫劳动

CHILD LABOUR, FORCED LABOUR

禁止使用童工，禁止强迫劳动，禁止任何现代奴役行为！
Do not participate in or benefit from any form of child labour, forced labour or any act of modern slavery.

供应商必须遵守联合国《儿童权利公约》中关于最低用工年龄以及禁止和立即行动消除最恶劣形式童工劳动的规定。未达到义务教育完成年龄或未满十五周岁者不得就业。
As our supplier, you must comply with the UN Convention on the rights of the child concerning minimum age for admission to employment and concerning the prohibition and immediate action for the elimination of the worst Forms of child labour. No individual who is below the age of having completed compulsory education or is below the age of fifteen may be employed.

工作时间和工资福利

WORKING HOURS, WAGES AND BENEFITS

供应商应遵守与员工工资、工作时间、休息时间、公共假日、假期和加班补偿有关的适用法律、行业标准和集体协议。
Comply with applicable laws, industry standards and relevant collective agreements on wages, working hours, breaks, public holidays, leave and compensation in case of overtime.

3. 爱护环境，实现可持续发展！

3. TAKE CARE OF THE ENVIRONMENT AND ACT SUSTAINABLY!

供应商应选择环保高效的经营方式，尽可能减少对环境和人体健康的不利影响。
We expect our suppliers to operate in an environmentally responsible and efficient way. You shall minimize adverse impacts on the environment and health of humans.

供应商应遵守环保有关法律和规则，防止污染，保护资源。
You have to comply with the laws and rules for environmental protection and aim to avoid pollution and secure

主要过程:	支撑	文件号:	42.40.10-11.003		版本:	A
制定部门:	采购	日期:	2021.08	页码	7 / 8	

resources.

4.支持以负责任的态度处理专有技术、数据和信息！

4. SUPPORT A RESPONSIBLE HANDLING OF KNOW-HOW, DATA AND INFORMATION!

商业秘密的保护

PROTECTION OF BUSINESS SECRETS

我们对商业伙伴的商业秘密严格保密，因此希望供应商履行同样的保密义务。供应商应保护 SGB-SMIT 集团及其客户的专有技术和商业秘密，避免未经授权的披露和使用，同时应尊重集团知识产权和受保护内容。

We keep all business secrets of our business partners confidential. We also expect our suppliers to act accordingly. You have to protect the know-how and business secrets of the SGB-SMIT Group or our customers against unauthorized disclosure or usage and you have to respect our rights of intellectual property or protected contents.

数据安全

DATA SECURITY

供应商应遵守数据保护和数据安全规则，在适用法律和政策允许的范围内收集和使用个人资料。

Our suppliers have to comply with the rules of data protection and data security. Collect and use personal data only in compliance with the applicable laws and policies.

5.如发现非法或不道德行为，请立即通过电话或邮件联系我们！

5. PLEASE CALL OR MAIL US IF YOU OBSERVE UNETHICAL OR UNLAWFUL BEHAVIOUR!

供应商在与 SGB-SMIT 集团或其成员业务往来过程中发现违反法律或道德规范的不当行为的，应立即向 SGB-SMIT 集团监察员报告。监察员独立于 SGB-SMIT 集团，负责举报热线。

Every supplier who observes, becomes aware of or knows about inadequate behaviour that may be regarded as a violation of laws or ethical conduct in the business relationship with SGB-SMIT Group or any of its members is required to report this to the Ombudsman of SGB-SMIT Group. The Ombudsman is independent from SGB-SMIT Group and in charge of the Whistleblower Hotline.

有关监察员的联系方式和常见问题，请访问以下链接查询：

Contact details and FAQs regarding the Ombudsman system are available following the link below:

<https://www.sgb-smit.com/sgb-smit-group/procurement/>

主要过程:	支撑	文件号:	42.40.10-11.003		版本:	A
制定部门:	采购	日期:	2021.08	页码	8 / 8	