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RISEN ENERGY CO., LTD.





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# 01 ESG strategy

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ESG strategy

Governance strategy

Climate strategy

Talent development strategy



## ESG strategy

Focus on the field of green new energy. Through technological innovations, create efficient, low-carbon, and sustainable product models, continually improve energy structure, enhance the quality of human life, and create green economic benefits for society.

- **Governance strategy:** Promote the establishment of risk management and control culture throughout the entire value chain
- **Climate strategy:** Accomplish the construction of green energy structure for low-carbon production
- **Talent development strategy:** Differentiated management

## 02 ESG Committee Organization Chart

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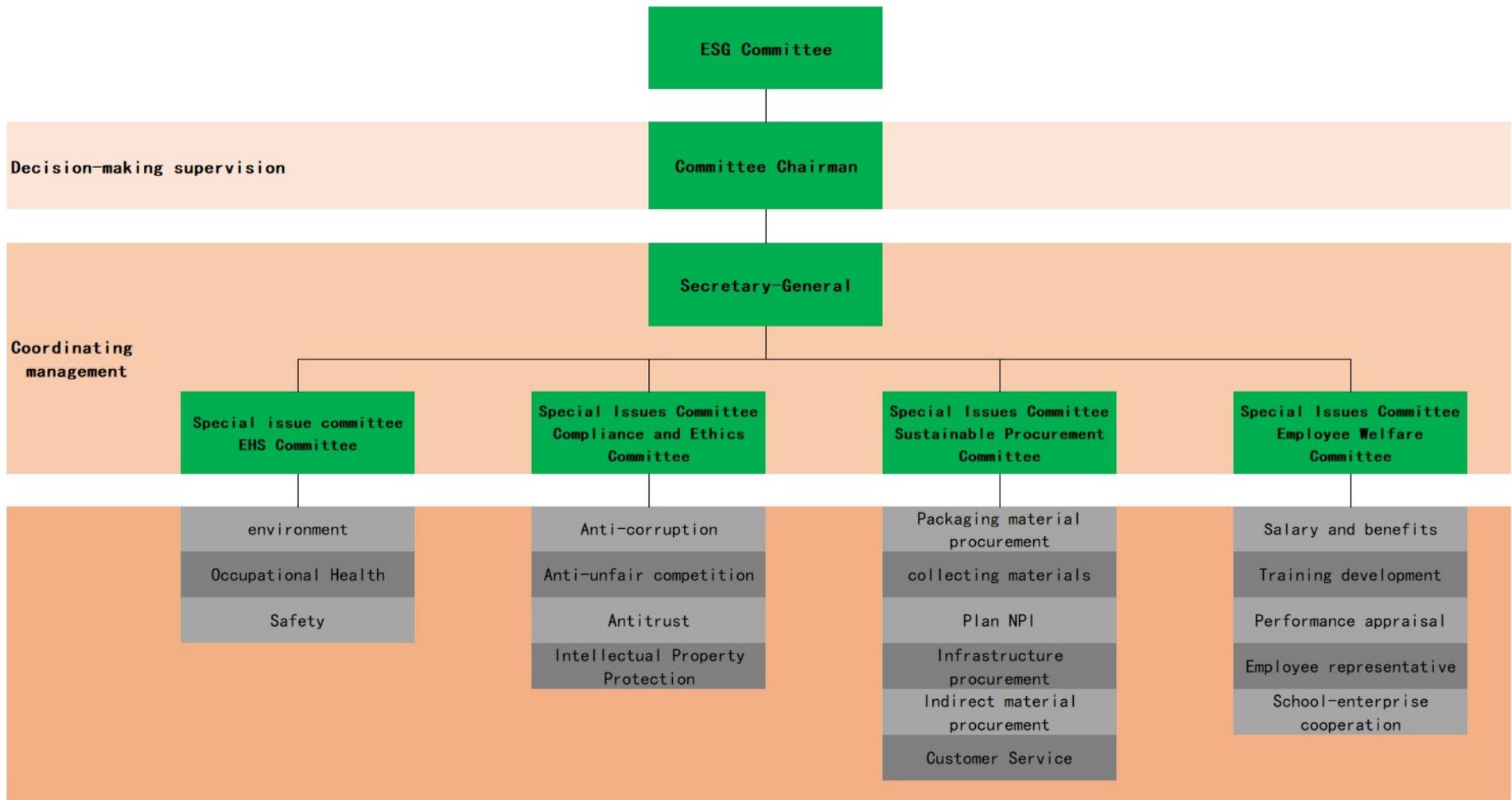
ESG Committee Organization Chart

Responsibility Description





# ESG Committee Organization Chart





## Responsibility Description

### □ Board of Directors Responsibilities

- Planning, formulating and timely adjustment of ESG strategies and goals;
  - Review, make decisions on and approve major ESG issues;
  - Identify, evaluate and determine the company's ESG risks;
  - Ensure the establishment of an effective sustainable development management system and risk monitoring system;
  - Examine and approve the company's annual sustainability report;
  - Undertake management responsibility for the company's sustainable development, provide human, material and financial resources to ensure the implementation of sustainable development guidelines and policies.
- 



## Responsibility Description

### □ ESG Committee Responsibilities

- Coordinate and manage the company's sustainable development work and ensure the effective implementation of the sustainable development management system;
  - Responsible for regularly revising the sustainable development management manual and related procedural documents;
  - Responsible for communicating with internal and external stakeholders;
  - Responsible for identifying the company's major sustainability issues;
- 





## Responsibility Description

### □ ESG Committee Responsibilities

- Responsible for formulating sustainable development risk mitigation measures;
  - Responsible for the compilation and release of sustainability report;
  - Responsible for regularly reporting to the board of directors on the achievement of sustainable development goals and the status of risk management and control;
  - Other sustainable development related issues arranged by the board of directors.
- 



## Responsibility Description

### ▣ Specific Issue Committee Responsibilities

- ESG Committee has 4 sub-committees working on specific issues, EHS Committee, Compliance and Ethics Committee, Sustainable Procurement Committee, and Employee Welfare Committee, which are responsible for the management and implementation of every specific topic, as well as the implementation and promotion of every specific task.



## Responsibility Description

### □ Special Issues Committee Responsibilities

- The representatives of each functional module from each specific issue committee shall regularly report to the leader of specific issue committee on the achievement of the goals and risk control status of the topics they are responsible for;
  - The directors of each specific issue committee shall regularly report to the chairman of the Sustainable Development Committee on the achievement of the goals of each specific topic and the status of risk management and control.
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## 03 Stakeholder Engagement and Appeal Mechanism

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Public platform for stakeholder engagement

Specific platform for stakeholder engagement

Shareholder appeal mechanism



## Public platform for stakeholder engagement

Receiving information from:

- Public mailbox and telephone
- The company's official social media homepage such as WeChat official account, etc.

Information  
reception  
window

Information  
classification,  
record and  
distribution

Correspondin  
g department  
responsible  
for the matter

Respond

Result  
tracking &  
satisfaction  
investigation

Within 1 working day

Within 3  
working days

Within 30 working  
days after responding

## Specific platform for stakeholder engagement



### For employees :

- Contract and employee handbook
- Employee engagement survey
- Employee training
- KPI performance evaluation
- Labor union activities

### For shareholders and investors :

- Information disclosure
- Common contact
- General meeting of shareholders
- Performance report (oral and written)
- Investor communication platform
- Field visit

### For customers (customer service department) :

- Common work contact
- Conduct regular customer satisfaction survey

### For suppliers and partners (Procurement/Marketing department) :

- Common contact
- Regular evaluation

### For government and regulators :

- Information disclosure
- Provide access to company and factory access for external visits and inspections
- Participate in the corresponding regulatory meeting

### For NGOs :

- Information disclosure
- Provide access to company and factory access for external visits and inspections

### For trade associations & industrial peers :

- Regularly organize and participate in industrial seminars
- Attend industrial exhibitions
- Common contact

### For the community :

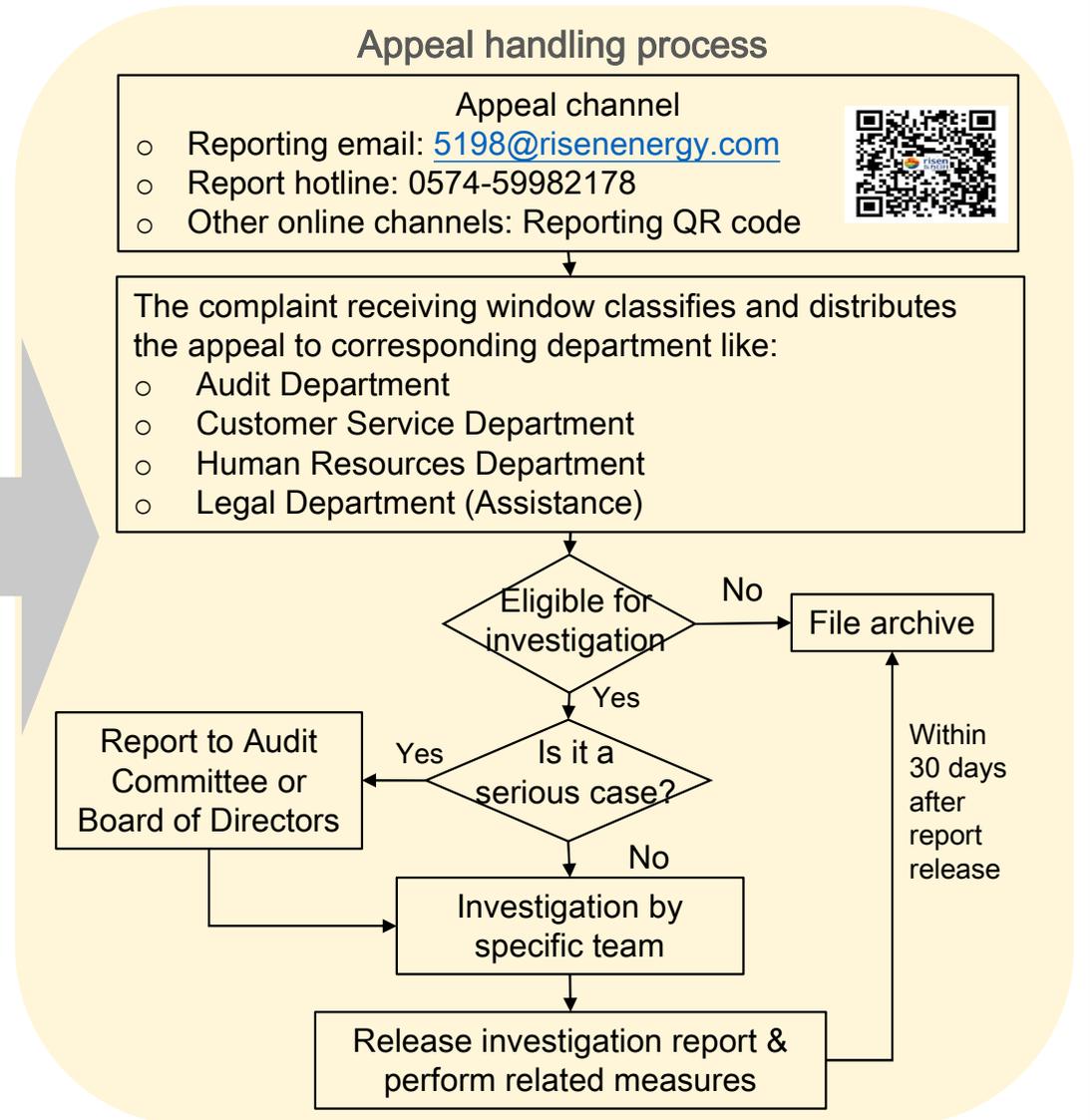
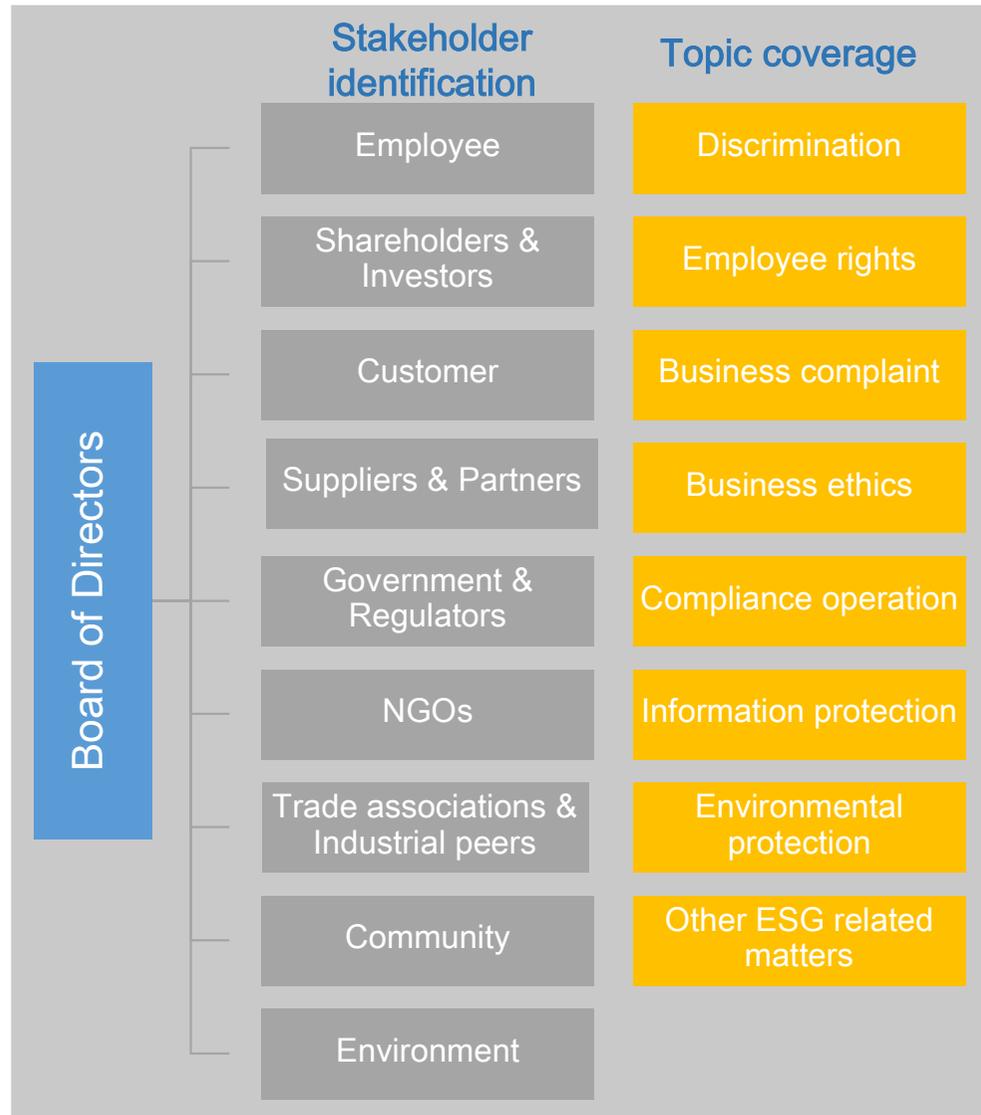
- Regularly organize community activities
- Community satisfaction survey

### For the environment :

- Environmental data monitoring
- Environmental standard compliance management
- Greenhouse Gas Verification

# Stakeholder appeal mechanism

Whistleblower protection mechanism is implemented throughout the entire appeal handling process.



## 04 Social Responsibility Code of Conduct

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General statement

Employee human rights protection

Safety and health

Environmental sustainability

Business ethics

Contribution to society







## General Statement



**Purpose:** Risen Energy is engaged in production and operation in a responsible manner, and strictly abides by corresponding laws and regulations in all business operations. The establishment of this code of conduct aims to provide guidelines and standards for social responsibility compliance in company's business activities, provide basic guidelines for employees' behaviors and ensure the consistency between partners' compliance performance and the value of Risen Energy.



## General Statement

**Purpose:** In addition, Risen Energy is dedicated in reducing or eliminating the legal liability or related penalties caused by non-compliance behaviors, which may result in economic or reputation loss and other negative impacts and risks, to ensure the company's stable and standardized operations, leading the company's sustainable development.

**Application scope:**

- All employees of the company
  - The company's major partners
- 



## Employee human rights protection

The company strictly abides by the requirements from International Labor Organization and Chinese laws and regulations, and respects the human rights of employees, including but not limited to the following rights:

### □ Prohibit forced labor

The company prohibits any forms of bonded or indentured labor, forced labor, slavery or servitude, or human trafficking. All work shall be done on employee's volition, and employees are free to resign or terminate their labor relations after providing reasonable notice.



## Employee human rights protection

### □ Legal employment

Only employees who have legal working rights is eligible to be hired, and employees' working qualifications must be verified through relevant documents. Sign labor contracts with employees with compliance to corresponding laws and regulations of the country where it operates. All work performed by employees shall be based on the employment relationship established through national laws and facts under any circumstance.



## Employee human rights protection



### ▣ Child labor and juvenile labor

Never use or support the use of any child labor under the age of 16. If underage employees are employed, they will be guaranteed in accordance with relevant laws and regulations to ensure that they will not suffer improper physical risks during their employment, thereby harming their physical and mental health.



## Employee human rights protection



### □ Fair and equal treatment

Treat employees with respect and honesty, advocate the equality of opportunity, and eliminate any discrimination or harassment in the workplace (whether based on gender, race, color, religion, ethnicity, social background, age, sexual orientation, national origin, physical condition, political belief or any other characteristics protected by the law). The company does not tolerate any behavior that may constitute discrimination, offense, sexual harassment or other harassment, verbal or physical (or such threats) abuse, insult, or any other form of intimidation of employees.



## Employee human rights protection



### □ Freedom of association and collective bargaining rights

Comply with all applicable laws and regulations, and do not interfere with employees' right to freedom of association and collective bargaining. Employees are free to form, join, or withdraw from trade unions or similar legal organizations.

### □ Working hours

Employees' working and rest hours shall comply with all applicable laws and regulations. Any overtime should be done on employee's own will, and employees' overtime shall be paid in accordance with relevant national regulations.



## Employee human rights protection



### □ Remuneration and Benefits

The company provides employees with remuneration and benefits that meet the requirements of national laws and local regulations and shall inform all employees of labor conditions including remuneration in written form. Without the explicit consent of the relevant employees, their salary shall not be deducted without a legal basis, nor any form of discriminatory practices shall be adopted in matters such as employment and remuneration.





## Safety and health



The company strictly abides by all relevant laws and regulations and spares no effort to ensure the safety and health of employees during all labor practices. In order to ensure a safe working environment, the company formulates and implements corresponding health and safety procedures based on the nature of activities in different facilities and sites. Every employee needs to be familiar with and abide by the company's health and safety policies and all related procedures, and is responsible for strict compliance with relevant safety instructions to maintain the safety and health of themselves and others. Once any accident or potential safety hazard is identified, or any deviation in the implementation of safety instructions, every employee shall immediately report to the relevant supervisor.



## Environmental sustainability



The company is committed to conducting business in an environmentally responsible manner and embracing environmental protection in all business activities. By identifying and assessing the risks that operations may cause to the environment, actively seeking solutions to avoid or reduce the adverse effects of production and business activities on surrounding environment, and at the same time advocate and use various opportunities to expand the space for sustainable development. The company complies with all applicable laws and regulations, and encourages employees or related parties to immediately report to the company when they realize or suspect that a behavior is not responsible for environment or violates applicable laws and regulations.



## Business ethics



Every employee shall follow the highest standards of ethics and integrity when carrying out daily business activities, and conduct business activities in an ethical manner in an open and transparent manner. Any behavior that may damage the company's reputation and interests, and violate ethics and integrity will not be tolerated.



## Business ethics

### □ Anti-corruption and commercial bribery

The highest standards of integrity shall be adopted in all company business interactions. The company has zero tolerance for all forms of bribery, corruption, extortion and embezzlement of public funds. Under any circumstance, the company and its employees shall not directly or indirectly provide, promise to provide, receive or solicit any valuables or benefits in the course of business activities to induce others to act in violation of the law or breach of integrity obligations, to acquire non-legitimate interests for the company or individuals.

Employees must not give money or any valuables to agents, intermediaries, business partners or other third parties, and must not use their work to request, accept, obtain improper benefits or accept the commitment of improper benefits.



## Business ethics



### □ Unfair competition

The company prohibits unfair competition behaviors such as non-fraudulent transactions, commercial defamation, infringement of trade secrets, participation in collusion, and mutual collusion, to create good environment and conditions for fair competition. Treat all partners fairly, and do not abuse their superior position to harm other party's interests or make unreasonable demands to embarrass other party.



## Business ethics



### □ Conflict of interest

Employees must always act in the best interests of the company, and must not use their position or any of the company's property or information for personal gain, and must not improperly benefit any company or individual other than Risen Energy, or cause damage to the company or its customers. Employees should correctly handle the relationship between personal and company interests in accordance with the company's requirements, avoid conflicts of interest, and have the responsibility to formally inform the company's superiors of any conflicts of interest (actual, potential or perceived conflicts of interest).



## Business ethics

### □ Intellectual property

The company respects intellectual property rights and does not engage in or participate in any form of infringement, and takes appropriate measures to ensure and maintain their own intellectual property rights.

### □ Information security and privacy protection

Employees should protect business secrets owned by the company and must not use such information for non-business purposes. Any information related to the company's business, which is not in the public domain is regarded as confidential information, and every employee is obliged to keep confidential of the business secrets and confidential information.



## Business ethics



### □ Information security and privacy protection

The company will adopt a formal and orderly process to ensure the smooth flow of information, and take corresponding measures to ensure and maintain information security.

The company respects the personal privacy rights of employees and other related parties, strictly abides by laws and regulations and company systems in obtaining, storing, using and disclosing personal information, and takes appropriate measures to protect personal information.





## Business ethics



### □ Information disclosure

The company will disclose relevant business activities, structure, financial status and operating performance information in accordance with relevant laws, regulations and regulatory requirements. Ensure the authenticity, accuracy, completeness and timeliness of information disclosure, and must not conceal, forge, or tamper with relevant records, or fabricate, provide, or disclose false reports and related information.



## Business ethics



### □ Appeals and reports

In order to standardize all aspects of the company's operations and deal with the opinions and suggestions of employees and other stakeholders in a timely and effective manner, the company has established and disclosed a multi-channel appeal and reporting mechanism, encouraging employees and other stakeholders to report non-compliance, non-anonymously or anonymously.



## Contribution to society

The company focuses on mutual support and cooperation with local governments (including legislative, administrative and judicial authorities), and actively develops constructive and strategic relationships with the government. The company attaches great importance to taking into account the public interests of the local community, so that the community can benefit from the company's actions. The company earnestly fulfills its social responsibilities, contributes to social and community public welfare undertakings, and shares the fruits of corporate development with the society. In carrying out business activities, avoid infringing on the interests of local communities and the public. The company is willing to listen to the concerns of the local community and actively respond when possible.

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Thanks!

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