

Title: Hamworthy Pumps Supplier Requirements **Document ID.** PR-03 **Rev.** 02

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1.0 General

The purpose of Hamworthy Pumps supplier requirements is to explain in more details of legal, ethical, environmental, and employee related standards, as well as Hamworthy Pumps own expectations from suppliers. Hamworthy Pumps promotes the application of these standards among its suppliers and monitors their actions in this regard.

The supplier specific requirements shall be determined in the agreement between Hamworthy Pumps and the supplier. The supplier shall have the necessary design and/or manufacturing capabilities as required by Hamworthy Pumps. The quality of the supplier's products and services shall fulfil Hamworthy Pumps performance and compliance requirements and shall be delivered in a professional manner. The supplier shall also ensure that the product complies with all applicable environmental and safety regulations and requirements.

The supplier shall not subcontract any major manufacturing process and/or essential part of the supply without the prior written consent of Hamworthy Pumps. The supplier shall ensure that its sub-suppliers (if any) fulfil the requirements of Hamworthy Pumps. The supplier is responsible for the control and continuous improvement efforts of its sub-suppliers. Hamworthy Pumps suppliers shall require that their own suppliers for the production of goods and services conform to the requirements specified herein and shall implement and document appropriate controls. The supplier shall permit Hamworthy Pumps, its authorized representative, the end-customer of Hamworthy Pumps and any certifying or other authority to make inspections and audits at the premises of the supplier and of its sub-suppliers if requested by Hamworthy Pumps.

The supplier shall handle Hamworthy Pumps claims professionally and without any delays.

Hamworthy Pumps 公司对供应商要求的目的是为了更详细地解释法律、道德、环境和雇佣的相关标准，以及 Hamworthy Pumps 公司自身对其供应商的期望。所以 Hamworthy Pumps 公司大力推进其供应商去采用这些标准，并监督它们在这方面的行动。

对供应商的具体要求由 Hamworthy Pumps 公司与供应商双方协议制定。供应商应具备 Hamworthy Pumps 公司所要求的必要设计和/或制造能力。供应商的产品和服务质量应满足 Hamworthy Pumps 公司的性能和合规要求，并应以专业方式交付。供应商还应确保产品符合所有适用的环境和安全法规和要求。

未经 Hamworthy Pumps 公司事先书面同意，供应商不得将任何主要制造工序和/或供应的重要部分转包。供应商应确保其分供应商（如果有）满足

Hamworthy Pumps 公司的要求。供应商负责其子供应商的控制及持续改善工作。Hamworthy Pumps 所有供应商应要求其生产货物和服务的供应商符合本文规定的要求，且应该对子供应商实施和记录适当的控制程序。如果 Hamworthy Pumps 公司提出请求，供应商应允许 Hamworthy Pumps 公司、其授权代表、Hamworthy Pumps 公司的终端客户以及任何核证或其他当局，在供应商及其子供应商的场地进行检查和审计。供应商应专业、无延迟地处理 Hamworthy Pumps 公司的投诉。

2.0 Compliance - Compliance with relevant legislation

The supplier shall comply with all applicable laws and regulations and conform with the requirements of good citizenship in each jurisdiction where the supplier performs its activities. This includes, but is not restricted to, compliance with laws and regulations on competition, corporate governance, taxation, financial disclosure, employee rights, environmental protection, occupational health and safety and export control.

With respect to environmental requirements and regulations, including but not limited to noise and emissions, the supply shall conform to all applicable laws and regulations and to the latest standards for similar Products. Any modification, documentation, approval or procedure required by the applicable laws and regulations shall be the responsibility and at the cost of the supplier.

供应商应遵守稳重所有适用的法律和法规，并符合其所在司法管辖区良好公民资格的要求。包括但不限于遵守竞争、公司治理、税收、财务披露、雇员权利、环境保护、职业健康和安全以及出口管制方面的法律和法规。

对环境要求和法规，包括但不限于噪声和排放，供应过程须符合所有适用法律和法规，并符合同类产品的最新标准。法律、法规要求的任何修改、文件、批准或程序，均由供应商负责，并由供应商自身支付。

2.1 Restricted substances and materials

If applicable, the supplier shall certify and ensure that the Supply does not contain asbestos or any other hazardous material, substance or radioactivity in any form in the basic material or in the components used in the supply.

The supplier shall follow and comply with all relevant laws and regulations related to substance, material and radioactivity restrictions. The supplier shall confirm compliance with CLP (Classification, Labelling and Packaging) and REACH (Registration, Evaluation, Authorisation and Restriction of Chemicals) regulations if applicable.

如有的话，供应商应证明并确保提供的基本材料或使用的部件中不含有任何形式的石棉或任何其他危险材料、物质或无线电活动。

供应商应遵守执行与物质、材料和放射性污染有关的所有相关法律和法规。供应商应确认遵守《化学品注册、评估、授权和限制(CLP,分类、标签和包装老化)》和《化学品注册、评估、授权和限制》(REACH)条例。

2.2 Illicit payments prohibited

The supplier acknowledges the need to fully comply with all applicable laws prohibiting bribery, money laundering and extortion, and also with the standards of conduct and spirit of the OECD Convention on Combating Bribery of Foreign Officials in International Business Transactions and the Commentaries thereon ("OECD Convention", see <http://www.oecd.org> under "Corruption") and the Rules of Conduct to Combat Extortion and Bribery of the International Chamber of Commerce ("ICC Rules", see <http://www.iccwbo.org> under "Anti-Corruption"), the OECD Convention and ICC Rules having been fully read and understood by the supplier.

The supplier represents and warrants that it and its employees, as well as consented assignees, sub-suppliers and alike, if any, do not directly or indirectly promise, offer, pay, solicit or accept bribes or kickbacks of any kind and/or utilize other techniques, such as sub-contracts, purchase orders or consulting agreements to channel payments or other benefits to government officials, to employees of Hamworthy Pumps and/or their relatives or business associates, with the intention to influence or induce the referred owner or employee to use his or her influence to assist the supplier or Hamworthy Pumps in obtaining or retaining business or securing any improper advantage. The supplier acknowledges that such activities may constitute a criminal violation of local laws and regulations punishable by substantial fines and/or imprisonment.

供应商须确认，充分遵守相关禁止贿赂、洗钱和敲诈勒索的法律法规，并遵守经合组织《打击国际商业交易中贿赂外国官员的行为公约》（《经合组织公约》，见 <http://www.oecd.org>,"腐败"类目下)和《打击勒索和贿赂国际行为规则》的行为标准和精神商会("ICC 规则", 见 <http://www.iccwbo.org>,"反腐败"类目下)、经合组织公约和 ICC 规则，供应商须确保已充分阅读和理解。

供应商代表并保证其雇员以及同意的受让人、分供应商等（如有）不直接或间接地承诺、提供、支付或收受任何形式的贿赂或回扣，和/或利用诸如分包合同、采购订单或咨询协议等其他技术将付款或其他福利转给政府官员、Hamworthy Pumps 公司和/或其亲属或商业伙伴，企图利用其影响力帮助供应商或 Hamworthy Pumps 公司 获得或保留业务或获得任何不正当

优势。供应商须知道，此类活动可能构成对地方法律和条例的刑事侵犯，可处以巨额罚款和/或监禁。

2.3 Export control regulations

The supplier shall comply with all applicable export control laws and regulations. The supplier shall obtain all required export licenses or agreements necessary to perform the supplier's obligations under the agreement, as applicable. The supplier shall notify Hamworthy Pumps if any use, sale, import or export by Hamworthy Pumps of supplies to be delivered under the agreement is restricted by any export control laws or regulations applicable to the supplier. The supplier shall ensure that its sub-suppliers (if any) shall comply with these requirements.

The supplier shall be honest and accurate and his business activities transparent, when communicating with Hamworthy Pumps. The accounting records of the supplier shall be accurate and reliable.

供应商应遵守所有适用的出口管制法律法规。若有的话，供应商应按要求取得履行根据协议承担的义务所需的出口许可证或协议。如果有任何产品受到供应商当地出口管制法律或法规限制，应立即通知 Hamworthy Pumps 公司。供应商应确保其分供应商（如果有）也明白并遵守这些要求。

供应商在与 Hamworthy Pumps 公司进行沟通时，应诚实、准确，其业务活动应透明。供应商的会计记录应准确可靠。

3.0 Occupational health and safety

Hamworthy Pumps promotes application by the supplier of the third-party certified Occupational Health and Safety Management System according to relevant OHS standards.

The supplier shall be fully responsible for its liabilities as an employer. The supplier shall have management approved occupational health and safety programmes implemented, the aim of which is to create a hazard-free workplace for its employees.

The supplier shall have a valid and implemented safety plan. The supplier shall have procedures for identifying hazards, and for minimizing and preventing risks. The supplier shall have the necessary instructions and procedures to prepare for, and to respond to emergency situations. The supplier shall record and investigate all emergency situations.

The supplier of complex equipment shall have installation and commissioning instructions, containing clearly stated safety precautions and instructions applicable to the supply. Such installation and commissioning instructions shall be included in the Supply.

The supplier shall have adequate and fully operational safety equipment for the protection of its personnel and facilities. The supplier shall ensure that all tools and equipment used are fully operational and safe. The supplier shall ensure the sufficient competence of its employees to perform their tasks safely, and to respond to emergency situations. Based on the nature of the supplier's operations, the supplier shall ensure that the physical and mental working conditions allow employees to perform their tasks safely and efficiently.

The supplier shall ensure that accidents and near-misses are reported and that appropriate actions are taken as a result of these reports.

The supplier shall be aware of and follow local occupational health and safety legislation and applicable regulations and be able to provide evidence of compliance.

Hamworthy Pumps 公司支持供应商寻求第三方职业健康和安全管理系统认证，并按照相关 OHS 标准执行。

供应商应对其作为服务者时的行为承担全部责任。供应商应实施经管理层批准的职业健康和 安全计划，其目的是为员工创建无危险工作场所。

供应商应当有有效、实用的安全计划。要有识别危险和尽量减少并预防风险的程序。应有必要的指示和程序，准备应对紧急情况且应记录并调查所有紧急情况。

针对供应复杂设备，供应商应当有安装调试工具，载明安全预告和供应适用说明。且需将安装和调试说明一起提供给 Hamworthy Pumps 公司。

供应商应拥有足够且完全可操作的安全设备，以保护其人员和设施。供应商应确保所用工具和设备充分运行和安全，确保其雇员有足够能力安全执行任务，并应对紧急情况。应根据供应商的经营性质，确保员工的身心工作条件能够安全、高效地执行任务。

供应商应报告安全事故和险些发生的安全事故，并针对这些报告采取适当行动。

供应商应了解并遵守当地职业健康与安全法规和适用法规，并能够提供合法证据。

4.0 Social issues - Respect for human rights

The supplier shall support and respect the protection of human rights, as defined in the United Nation's Universal Declaration on Human Rights (see

<http://www.un.org/en/universal-declaration-human-rights/index.html>). The supplier is not allowed to take any action that violates these human rights principles, either directly or indirectly.

供应商应支持并尊重《联合国世界人权宣言》所界定的对人权的保护(见 <http://www.un.org/en/universal-declaration-human-rights/index.html>)。供应商不得采取直接或间接违反这些人权原则的任何行动。

4.1 Freedom from discrimination

The supplier shall promote freedom from discrimination based on race, ethnic or national origin, colour, gender, family status, sexual orientation, creed, disability, age or political beliefs or any other characteristics protected by law. The supplier shall foster equal opportunity.

供应商应促进基于种族、族裔或民族出身、肤色、性别、家庭状况、性取向、信仰、残疾、年龄或政治信仰或任何受法律保护的其他特征的免受歧视。供应商应促进平等的权益。

4.2 Freedom of association and collective bargaining

The supplier shall support basic labour rights as defined by the [International Labour Organization](#). In this respect the supplier shall uphold the freedom of association and the effective recognition of the right to collective bargaining. In the case that these rights are restricted by local law, the supplier shall offer its personnel alternative means to present their views.

供应商应支持国际劳工组织界定的基本劳动权利。在这方面，供应商应维护结社自由和有效承认集体谈判权。当这些权利受当地法律限制时，供应商应提供其他替代手段，以发表意见。

4.3 Compensation

Wages paid for regular working hours, overtime hours and overtime differentials shall meet at least the minimum required by the law. Illegal or unauthorised deductions from wages shall not be allowed.

正常工作时间、超时工时和加班费差额的工资须符合法律规定的最低要求。不得非法或擅自扣减工资。

4.4 Child labour

The supplier shall not be engaged in any practice inconsistent with the laws and regulations regarding child labour. The minimum age for admission to employment or work shall in any case not be less than 15 years. The minimum age for admission to any type of employment or work which by

its nature or the circumstances in which it is carried out is likely to jeopardise the health, safety or morals of young persons shall not be less than 18 years of age.

供应商不得从事与童工法律和规章不符的行为。就业或工作最低年龄不得低于 15 岁。因其性质或所从事的情况而可能危及青年人健康、安全或道德的任何类型的就业或工作的最低年龄不得少于 18 岁。

4.5 Forced labour

The supplier shall not use any form of forced or compulsory labour. Forced or compulsory labour is all work or service which is exacted from any person under the threat of a penalty and for which the person has not offered himself or herself voluntarily.

供应商不得使用任何形式的强迫劳动或强制劳动。强迫劳动或强制劳动是任何人在受到处罚威胁的情况下从事的、并没有自愿提供的工作或服务。

4.5.1 To comply with the Modern Slavery Act 2015 (UK)

The supplier shall affirm that they will conduct their business according to Hamworthy Pumps document HP-POL-04 Anti-Modern Slavery Policy and section 54 (1) of the Modern Slavery Act 2015 (the “Act”), free from ethical ambiguities. This includes Hamworthy Pumps right to audit and inspect the manufacturing facilities. The Modern Slavery Act 2015 document is available at www.gov.uk/hca

The supplier shall support Anti Modern Slavery Policy. Modern slavery is a crime and a violation of fundamental human rights which is constituted in the Modern Slavery Act 2015. This takes many forms, such as slavery, servitude, forced and compulsory labour and human trafficking, all these are abuses of a person’s freedoms and rights.

遵守《2015年现代奴役法》（英国）

供应商应确认将按照 Hamworthy Pumps 文件 HP-POL-04 反现代奴隶制政策和 2015 年《现代奴隶制法案》第 54 条第 1 款开展业务，不可做有道德歧义的事情。此外，Hamworthy Pumps 拥有审核和检查供应商生产设施的权利《2015年现代奴役法》相关文件可在 www.gov.uk/hca 网站查阅下载。

供应商应该支持反现代奴隶制政策。现代奴隶制是一种犯罪行为，是对基本人权的侵犯，这也是在《2015年现代奴役法》里明确条例规定的。

奴隶制·奴役·强迫劳动和人口贩运等多种形式的行为·都是对人的自由和权利的侵犯。

5.0 Innovation and protection of proprietary information

The supplier shall support and encourage innovation in its activities. Hamworthy Pump's intellectual property is one of its most valuable assets, which shall be protected. At the same time, the supplier shall respect the intellectual property rights of others.

The supplier shall sign a written commitment regarding confidentiality/non-disclosure. All communications, information and/or data disclosed by Hamworthy Pumps whether written, visual or oral, shall be confidential. The supplier shall not disclose the confidential information of Hamworthy Pumps to anyone, shall not use it for any other purpose than the one determined by Hamworthy Pumps and shall keep the confidential information in confidence with the same degree of care as is used for its own confidential information and at least with reasonable care. The supplier shall comply with the specific requirements of the applicable confidentiality/non-disclosure agreement.

供应商应当支持和鼓励其活动的创新。Hamworthy Pump 公司的知识产权是其最有价值的资产之一，应受到保护。同时，供应商应尊重他人的知识产权。供应商应签署保密/不公开书面承诺书。Hamworthy Pumps 公司所披露的所有通信、信息和/或数据，无论是书面的、视觉的还是口头的，都应保密。供应商不得向任何人披露 Hamworthy Pumps 公司的机密信息，不得将其用于 Hamworthy Pumps 公司所确定的任何其他目的，并应以与用于其机密信息相同的谨慎程度，至少在合理的谨慎程度下将机密信息保密。供应商应遵守适用保密/保密协议的具体要求。

6.0 Quality

Hamworthy Pumps promotes application by the supplier of a quality management system certified by an accredited certification body. The supplier shall have a quality management system that complies, as a minimum, with the international standard ISO 9001 latest valid edition and which shall be utilized for continual improvement of its operations. The supplier shall immediately notify Hamworthy Pumps if its registrar places the company on probation.

The quality management system of the supplier shall control the design, design validation, materials used and the production process of the supply, shall not amend documents including Engineering drawings without the permission of Hamworthy Pumps, as well as the finishing, final inspection and testing of the products as applicable and the packing for delivery.

The quality management system shall ensure that the product and/or service is in accordance with the agreement, and as a minimum in compliance with all requirements of the specifications, the purchaser's quality instructions, the purchase order, and mandatory legal requirements.

The supplier shall notify Hamworthy Pumps of any changes to the manufacturing process, detailed design, materials and sub-suppliers related to Hamworthy Pumps products prior to the execution of such changes.

As a minimum, the supplier shall demonstrate compliance with management's commitment and with implemented procedures for documentation control, corrective and preventive actions, the handling of non-conformities, traceability, customer property handling and quality plans for specific products or services.

The supplier shall have the readiness to obtain approval(s) from classification societies if requested by Hamworthy Pumps.

Non-frequently used project specific local sub-contractors shall have a quality management system and/or shall have an implemented quality plan for the specified supply.

Hamworthy Pumps 公司推动供应商应用经认证机构认证的质量管理系统。供应商应至少具备符合国际标准 ISO9001 最新有效电子数据的质量管理体系，并应用于持续改进其运营。如果供应商的注册人将公司置于观察期，供应商应立即通知 Hamworthy Pumps 公司。

供应商的质量管理体系应当控制供应的设计、设计价值、使用材料和生产过程，未经 Hamworthy Pumps 公司许可，不得对工程图纸等文件进行修改，不得对适用的产品进行精加工、最终检验、检验和检验，不得对产品进行包装。

质量管理体系应当保证产品和服务符合协议，并至少符合规范、采购人质量指示、采购订单和管理法律要求。

供应商应在作出任何更改之前，应与 Hamworthy Pumps 公司产品有关的制造过程、详细设计、材料和分供应商的任何更改通知 Hamworthy Pumps 公司。

供应商应确保遵守管理层的要求，并遵守文件控制、纠正和预防行动、非一致性处理、可追溯性、客户财产处理和特定产品或服务的质量计划等已实施过程。

如果 Hamworthy Pumps 公司要求，供应商应准备从分类社获得批准。

非经常性项目专项地方分包商应当建立质量管理体系，或者对具体供应项目制定实施质量计划。

7.0 Environment

Hamworthy Pumps promotes application by the supplier of the third-party certified environmental management system complies with the International standard ISO 14001 or equivalent.

Based on its operations and capability, the supplier shall have the readiness and procedures to handle environmental emergency situations. The supplier shall be aware of and follow local environmental legislation and all applicable laws and regulations regarding its products and services and be able to provide evidence of compliance.

The supplier shall be able to provide information of the environmental impacts regarding its operations, products and/or services, including packing material, emissions, and energy consumption, as requested or specified by Hamworthy Pumps.

Non-frequently used, project specific local sub-contractors, shall have an environmental management system and/or shall have an implemented environmental plan for the specified supply.

Consistent with Hamworthy Pumps commitment to contribute to a cleaner, healthier, safer environment, suppliers shall comply with the substance restrictions described in Section 2.0 Compliance.

Hamworthy Pumps 公司鼓励供应商采用第三方认证环境管理系统，符合国际标准 ISO 14001 或等同标准。

供应商应根据其经营和能力，具备应对环境突发事件的准备和程序。供应商应了解并遵守当地环境法规以及有关其产品和服务的所有适用法律和法规，并能够提供遵守情况的证明。

供应商应能提供有关其经营、产品和/或服务的环境影响的信息，包括包装材料、排放和能耗，这是 Hamworthy Pumps 公司所要求或指定的。

非常用的、项目特定的地方分包商，应当有环境管理制度，并/或应当有实施的特定供应环境规划。

按照 Hamworthy Pumps 公司致力于促进更清洁、更健康、更安全的环境，供应商应遵守第 2.0 节履约中所述的物质限制。

8.0 Security

As far as practicable, the supplier shall:

- ensure supply chain processes are protected.
- prevent unauthorized access to, and tampering with, the supply chain's premises, cargo units, goods in transit, and/or the storage facilities.
- have information security management with document classification, access rights, data protection and identity management .
- have a background screening policy for personnel in security critical positions.

Hamworthy Pumps may include additional requirements on security into agreements.

在可行范围内，供应商应：

- 确保供应链流程得到保护。
- 防止未经授权访问和篡改供应链的设备、货物单元、在途货物和/或存储设施。
- 通过文档分类、访问权限、数据保护和身份管理进行信息安全管理
- 为安全关键职位的人员制定背景筛选政策。

Hamworthy Pumps 公司可能在协议中列入关于安全的额外要求。

9.0 Business Continuity Planning

An uninterrupted production of components and/ or services is of vital importance to Hamworthy Pumps as the client, as well as to the supplier itself. To ensure this, supplier should have a Business Continuity Plan or Process to address interruption scenarios such as:

- partial/complete facility fire
- natural catastrophe events
- severe machinery breakdowns
- supply chain dependencies
- utilities needed for production
- authorities imposed stoppages
- strikes, lock-out or
- any other major concerns which may affect the business

不间断地生产部件和/或服务对 Hamworthy Pumps 公司以及供应商本身至关重要。为了确保这一点，供应商应该有业务连续性计划或流程来解

决中断方案，例如：

- 部分/完整设施火灾
- 自然灾害
- 严重机械故障
- 供应链依赖性
- 生产所需-的公用设备
- 当局强行停刊
- 罢工、-封锁或
- 可能影响业务的-任何其他重大问题

10.0 Submitting the necessary information

The supplier shall provide all necessary information to Hamworthy Pumps upon request in order to allow an assessment of the supplier's compliance with these requirements. The supplier shall also inform Hamworthy Pumps of any deficiencies in its performance. Hamworthy Pumps handles this information confidentially.

供应商应向 Hamworthy Pumps 公司提供所有必要信息 以便评估供应商是否遵守这些要求。供应商还应将其业绩方面的任何问题进行通知 Hamworthy Pumps。Hamworthy Pumps 公司会以保密方式处理此信息。

Revision No.	Revision Description and Section modified	Date	Author
00	First Issuance.	3 October 2019	Kelvin Chin
01	Supplier Requirement with Chinese version.	17 October 2019	Kelvin Chin
02	Added 4.5.1 Anti-modern Slavery.	26 May 2020	Kelvin Chin