



THE POLICY STATEMENT ON RESPONSIBLE SOURCING OF MINERALS
负责任矿物采购政策声明

Semiconductor Manufacturing International Corporation (SMIC) is aware that trade in coltan (for tantalum), cassiterite (for tin), wolframite (for tungsten), and gold (collectively “Conflict Minerals”) originating from conflict areas in the Democratic Republic of the Congo and its adjoining nations (collectively “DRC”), and other minerals (such as cobalt, mica, etc.) may support serious human rights abuses.

As a concerned corporate citizen and international listed company, it is our policy to use only “DRC Conflict-Free”** minerals as defined by applicable laws and regulations. To demonstrate compliance with this policy, we have developed and implemented Conflict Minerals procedures that conform to the OECD due diligence guidance. These procedures require that our suppliers undertake reasonable due diligence to ensure that their products do not contain Conflict Minerals that originate from conflict regions in the DRC and other Conflict-Affected and High-Risk Areas, and provide written evidence of at least the following:

1. To the extent practicable, documentation on the parties involved in the supply chain from extraction of the minerals to delivery of the material containing such minerals to SMIC;
2. Documentation on responsible sourcing of minerals, such as a completed Conflict Minerals Report Template (CMRT), Cobalt Reporting Template (CRT), Mica Reporting Template (MRT) and other templates created by the Responsible Minerals Initiative® (RMI).
3. A copy of our suppliers' policy statement on responsible sourcing of minerals, as provided to their customers; and
4. Other available documentation required by SMIC to ensure that the minerals contained into materials are including but not limited to “DRC Conflict-Free”, if any.

SMIC will work with our relevant suppliers to verify on at least an annual basis: (1) their supply chain due diligence; and (2) the accuracy of all documentation they provide to SMIC. If at any point SMIC cannot determine that the minerals provided to us are including but not limited to “DRC Conflict-Free,” we shall promptly suspend engagement with the relevant supplier until the risk has been appropriately mitigated.

As a responsible company concerned with environmentally sound business practices, SMIC seeks suppliers who share our commitment.

Semiconductor Manufacturing International Corporation

Date: 4-Dec-2020



中芯国际集成电路制造有限公司 (SMIC) 意识到原产自刚果民主共和国及其毗邻国家的冲突区域 (统称为“刚果民主共和国”) 的钽铌矿石 (钽)、锡石 (锡)、黑钨矿石 (钨)、和金 (统称为“冲突矿物”), 和其他矿物 (例如: 钴、云母等) 的交易可能支持严重的人权侵犯。

作为一名关注此事的企业公民和国际化上市公司, 我们的政策是: 仅使用符合包括但不限于“刚果民主共和国无冲突矿物” **法律和法规的矿物。为遵守此政策, 我们已经制定并实施符合“经济合作与发展组织 (OECD)” 尽职审查方针的冲突矿物程序。这些程序要求我们的供应商采取合理的尽职审查以确保他们的产品不包含源于刚果民主共和国冲突区域和其他受冲突影响和高风险地区的冲突矿物, 并提供下列书面证明:

1. 在切实可行的范围内, 向中芯国际提供从提取矿物到含有此类矿物的原材料, 整个供应链的各方文件;
2. 负责任矿物采购文件, 如一份填报完整的由“负责任矿物计划 (RMI®)” 组织制定的冲突矿物报告模板 (CMRT)、钴报告模板 (CRT)、云母报告模板 (MRT) 及其他模板等;
3. 我们的供应商应提供一份负责任矿物采购政策声明的副本;
4. 中芯国际要求提供的其他文件, 以确保原材料符合, 包括但不限于“刚果民主共和国无冲突矿物” 法律。

SMIC将与我们的供应商合作, 至少每年验证: (1) 供应链的尽职审查; 及 (2) 所有提供给SMIC的文件的准确性。当SMIC无法判断提供给我们的原材料符合, 包括但不限于“刚果民主共和国无冲突矿物” 的任何时候, 我们将立即中止与相关供应商的合作, 直到风险降低到可接受的范围内。

作为一家维护良好商业行为的负责任公司, SMIC 寻求愿意参与我们承诺的供应商合作。

** ‘DRC Conflict-Free’ is defined to mean the products that do not contain minerals that directly or indirectly finance or benefit armed groups in the Democratic Republic of the Congo or an adjoining country.” - Dodd-Frank Wall Street Reform and Consumer Protection Act

** 刚果民主共和国无冲突矿物 被定义为不含冲突矿物的产品并且不直接或间接融资给刚果民主共和国或相邻国家的武装部队。