

**Rio Tinto Procurement Emerging Markets**  
 力拓采购部新兴市场

Dear Mr. /Ms. XXX,  
 尊敬的 XXX

Rio Tinto Procurement Emerging Markets delegates will propose to visit your premises on **date** to conduct a Pre-qualification Audit.

力拓采购部新兴市场的代表将于 **xx** 访问贵司, 进行相关的资质审核.

We would appreciate your assistance in providing the appropriate personnel from your organisation and following documents to assist us in reviewing our key areas of interest during our prequalification audit.

希望贵司能提供给我司确切的负责联系人以及提前准备以下相关文件来协助我司进行资质审核.

**Key Areas of Interest will include:**

**预审的主要内容包括:**

<b>Category</b> 目录	<b>Summary</b> 内容
Health, Safety and Environment 健康,安全和生产环境	<ul style="list-style-type: none"> <li>• HSE Permits/Authorizations/Compliance 健康, 安全和生产环境的许可/授权/合规</li> <li>• Operational Control: Health &amp; Safety Programs (safety tools, site safety, staff safety) 作业控制: 健康及安全包括安全工具,现场安全情况,员工安全等</li> <li>• Operational Control: Environment Protection 作业控制: 环境保护</li> <li>• Supply Chain HSE Management 供应链 HSE 管理</li> </ul>
Commercial 商业	<ul style="list-style-type: none"> <li>• Business license 营业执照(包括生产许可证)</li> <li>• Certificates 相关证书(如 ISO9000 等)</li> <li>• Organization Chart 组织构架图</li> <li>• Production capacity 产能</li> <li>• Finance information 财务情况</li> <li>• Project Experience 项目经验</li> </ul>

	<ul style="list-style-type: none"> <li>• <b>Project Management</b> 项目管理能力</li> <li>• <b>R&amp;D</b> 产品研发能力</li> <li>• <b>Customer Relationship Management</b> 客户关系管理</li> <li>• <b>Supply Base Management</b> 供应商管理</li> <li>• <b>After Sale Service</b> 售后服务</li> <li>• <b>Training and Development Plans</b> 培训与发展体系</li> <li>• <b>I/E and Logistics</b> 进出口及物流管理</li> <li>• <b>Inventory Material Management</b> 物料库存管理</li> <li>• <b>Legal</b> 法律申诉</li> </ul>
<p>Quality 质量</p>	<ul style="list-style-type: none"> <li>• <b>Documentation</b> 文件管理</li> <li>• <b>Management Responsibility</b> 质量监管能力</li> <li>• <b>Production Resource Management</b> 生产资源管理</li> <li>• <b>Product Realization</b> 产品实现过程管理包括变更管理等</li> <li>• <b>Monitoring and Inspection Equipment Control</b> 监察与检验设备管理</li> <li>• <b>Measurement, Analysis and Improvement</b> 评估,分析和改进</li> </ul>
<p>Human Rights and Business Integrity 人权与商业信誉</p>	<ul style="list-style-type: none"> <li>• <b>Human Rights (child labour, forced labour, staff assessment etc.)</b> 人权,包括童工,强迫劳动,员工评估等</li> <li>• <b>Business Integrity (Bribery and corruption etc.)</b> 商业信誉包括反贪污腐败等</li> </ul>

Please note that taking photographs of your facilities will be required for my report. Please advise ahead of our visit, if there are any issues with taking photographs at your facility.

请知悉，在审核期间,我司将对需要评估的设施进行拍照。因此若贵司对此行为有任何问题，请提前通知。

Best regards,  
此致

**Rio Tinto Procurement Emerging Markets**  
力拓采购部新兴市场

**Rio Tinto personnel conducting this prequalification audit will be:**  
附：力拓负责评估人员资料：

**Rio Tinto contact person NAME**  
力拓联系人姓名

**CONTACT DETAILS**  
联系方式

**FUNCTION**  
职能

**Rio Tinto Procurement Emerging Markets**  
力拓采购部新兴市场

**Rio Tinto's Policy on Compliance with State/Commercial Secret laws in China**

力拓关于遵守中国国家秘密/商业秘密相关法律法规的政策

**We appreciate that you can take the time to meet with us to discuss potential business between our companies. Prior to our meeting we need to draw your attention to Rio Tinto's policy below. Please read and note as follows:**

我们非常感激贵司能抽出时间与我们会面并就双方潜在的商业机会进行商谈。在会议之前，我们提请贵司了解下列力拓政策。请阅读并注意以下信息：

**Rio Tinto's Policy on Compliance with State/Commercial Secret Laws in China**

力拓关于遵守中国国家秘密/商业秘密相关法律法规的政策

Rio Tinto complies with the laws and regulations of the People's Republic of China ("China") and has in place strict guidelines relating to information gathering in China. It is Rio Tinto's expectation that you will not disclose to us any information that may be classified as State secrets or information that has a bearing on State security or national interest pursuant to the applicable laws and regulations of China unless appropriate approval has been properly obtained from the competent authorities. When such information is provided to Rio Tinto, it will only be provided in accordance with the laws and regulations governing State secrets protection in China and you shall also advise Rio Tinto on appropriate measures to safeguard such information for Rio Tinto's reasonable use thereof and the time period of Rio Tinto's obligations to follow the procedures. If you disclose to us any information that may be classified as commercial secrets in China, Rio Tinto assumes that you have obtained the consent of the entity to which the commercial secrets belong before disclosing such commercial secrets to us.

力拓遵守中华人民共和国（“中国”）的法律法规并就其在中国获取有关信息制定了严格的准则。力拓希望您不要将任何根据适用的中国法律法规有可能被认定为国家秘密的信息或者关系国家安全或者国家利益的信息披露给我们，除非您已经事先从有关政府部门获得了适当的批准。当您将该等信息提供给力拓时，该等信息只能根据中国有关保护国家秘密的法律法规提供，并且您应当就力拓合理使用该等信息告知力拓采取适当的措施对该等信息加以保护以及力拓负有采取保护措施义务的期限。如果您将任何在中国可能被认定为商业秘密的信息披露给我们，力拓即假定您将该商业秘密披露给我们之前，该商业秘密所属单位已经同意您将该等商业秘密披露给我们。