

# 东方日升供应商管理责任声明

## Supplier Management Statement

东方日升致力于打造可持续供应链，将可持续发展理念深入我们的上下游企业，不断推进供应商能力建设。我们承诺：通过严格的监督与管理，推动供应商在 ESG 方面不断提升，实现与供应商共同发展的目标。

We are dedicated to building a sustainable supply chain, emphasizing the enhancement of suppliers' capabilities by integrating sustainability principles into our upstream and downstream partnerships. We are committed to promoting continuous improvement in our suppliers' Environmental, Social, and Governance (ESG) performance through rigorous supervision and management, fostering mutual development with our suppliers.

### ■ 供应商监督与审查

#### ■ Supplier Supervision and Audits

东方日升始终致力于在供应链管理中贯彻环境、社会和治理（ESG）标准。设立供应商 ESG 管理计划，由公司董事会负责监督；战略与可持续发展办公室负责供应商 ESG 计划的实施与进展，确保每一环节都符合公司高标准可持续发展要求。

We are committed to integrating ESG (Environmental, Social, and Governance) standards into our supply chain management. A supplier ESG management program has been developed under the oversight of the Company's Board of Directors, with the Strategic and Sustainable Development Office responsible for its implementation. This ensures that our supplier management adheres to the highest standards of sustainable development.

- 持续审查与选择
- Audits and Qualification

我们对供应商的采购实践进行持续审查，排除未达到最低 ESG 要求的供应商，并优先选择 ESG 表现优异的供应商，以推动供应链的整体可持续发展。

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We conduct regular audits of our suppliers' procurement practices to exclude those that do not meet minimum ESG (Environmental, Social, and Governance) requirements. We prioritize suppliers with outstanding ESG performance to enhance the sustainability of our supply chain.

### 东方日升供应商准入标准

#### Supplier Qualification

- 就近原则，推动当地科技进步发展，创造更多就业岗位

We select suppliers based on their geographic proximity to our production or usage sites to foster local technological advancement and stimulate job market activities.

- 现场 QSA 品质系统审核 + QPA 品质制程审核

Conducting On-site Quality System Audit (QSA) and Quality Process Audit (QPA)

- 七步法：ECCB 立项-材料性能测试-组件可靠性测试-小样试用-认证-中、大样试产-参与现场审核

Applying the seven-step methodology: Executive Change Control Board (ECCB) initiates - material performance testing - component reliability testing - sample trial - certification-medium and large sample trial production - on-site audits.

- 审核总分低于 70% 供应商不可准入

Suppliers with an overall audit score below 70% are rejected

- 培训与支持
- Training and Support

为了确保客户和员工能够在供应商 ESG 计划中扮演好各自的角色，东方日升提供系统的培训与指导，向供应商传达了如何有效地融入 ESG 战略到其业务模式中，帮助他们理解

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并执行相关责任与义务。培训覆盖率 100%。

To ensure that our clients and employees understand their roles in the supplier ESG program, we provide systematic training. This training guides our suppliers in effectively integrating ESG strategies into their business models and helps them understand their responsibilities and obligations. We achieve a training coverage rate of 100%.

- **识别重要供应商**
- **Identification of Significant Suppliers**

为有效得进行供应商管理及资源配置，东方日升评估【重要性】、【风险性】、【采购金额】、【环境友好度】，并将国家、行业、商品特定风险纳入风险考量范围，于 2023 年筛选出 98 家重要供应商。

To effectively manage suppliers, we assess their materiality, risk profile, procurement volume, environmental practices, as well as country, industry, and commodity-specific risks. In 2023, we identified 98 significant suppliers.

- **供应商绩效评价**
- **Supplier Assessment**

东方日升采用对照 ISO9001 的现场 QSA 品质系统审核+QPA 品质制程审核对供应商绩效进行评价，评价体系包含以下内容：

With reference to ISO 9001, we implement on-site QSA (Quality System Audit) and QPA (Quality Process Audit) to evaluate suppliers' performance. Our assessment system includes the following components:

案头评估：我们通过供应商提供的文件资料进行案头评估，采用严格的标准和方法，确保信息的准确性和可靠性。

Desk assessments: We conduct desktop assessments by reviewing documents provided by suppliers, using rigorous criteria and methodologies to ensure the accuracy and reliability of the information.

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第三方评估：我们的采购团队或外部顾问会对供应商进行现场评估，全面检查供应商的实际操作情况。

Second-party assessment: Our procurement team or external consultants conduct on-site assessments of suppliers to inspect their actual operations.

第三方评估：我们还会邀请独立认可的审计机构进行供应商现场评估，提供客观公正的第三方视角。

Third-party assessment: We also engage independent accredited auditing bodies to conduct on-site supplier assessments, providing objective and unbiased perspectives.

纠正措施与改进计划：对于发现的问题，我们会制定详细的纠正措施和改进计划，确保供应商能够持续改进并达标。

Corrective action plan (CAP): For identified issues, we will develop a detailed Corrective Action Plan (CAP) to ensure continuous improvement by the supplier and adherence to our standards.

### 东方日升主辅材供应商管理绩效

### Key Performance of Primary and Auxiliary Materials Supplier Management

关键绩效指标 Key Performance Index	2021	2022	2023	单位 Unit
现场审核 On-site audit	44	34	98	次 Times
供应商 ESG 尽职调查数量 Number of suppliers that conduct ESG due	33	33	68	家 No.



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diligence				
淘汰供应商数量 Number of suppliers with terminated cooperation	3	2	6	家 No.
经确认有重大负面环境或社会影响的供应商 Suppliers confirmed as having actual and potentially significant negative ESG impacts	0	0	0	家 No.
适用社会环境标准筛选的新供应商百分比 Number of new suppliers selected by ESG standards	100	100	100	百分比 %

### ■ 供应商发展流程

### ■ Supplier Development Process

东方日升供应商发展流程包括以下内容：

Our supplier development process includes:

- 供应商培训：我们提供有关 ESG 计划和流程的全面培训，帮助供应商提升相关知识和技能。
- Supplier Training: We offer comprehensive training on our ESG programs and processes to enhance suppliers' knowledge and skills.
- 绩效查阅：供应商可以查阅其他供应商的 ESG 绩效表现，以借鉴优秀实践，提高自身水平。
- Access to ESG Benchmarks Against Peers: Suppliers have access to the ESG performance of other suppliers, enabling them to learn from best practices



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and make improvements.

- 问题协助：我们为供应商实施纠正和改进行动提供远程或现场支持，确保问题得到及时解决。
- Supplier Support: We offer remote or on-site support for the implementation of corrective or improvement actions, ensuring timely resolution of issues for our suppliers.
- 技术支持：我们提供深入的技术支持计划，帮助供应商提升能力和 ESG 业绩，推动整体供应链的可持续发展。
- Technical Support: We offer comprehensive technical support programs aimed at enhancing capacity and ESG performance among our suppliers, thereby promoting the sustainable development of our supply chain.

### ■ 关于冲突矿物的采购政策

### ■ Conflict Minerals Policy

我们遵循《OECD 经济合作与发展组织关于来自受冲突影响和高风险区域的矿物的负责任供应链尽职调查指南》，逐步将矿产供应链尽职管理纳入供应商管理工作中并要求核心供应商签署《不使用冲突矿产保证书》。

We adhere to the "OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas". We are progressively integrating due diligence management of the mineral supply chain into our supplier management practices and require our core suppliers to affirm their commitment to the "Guarantee of Non-Use of Conflict Minerals."

风险识别。建立正式的流程/操作程序来跟踪供应链中的矿物并识别和评估来自冲突矿物的风险。具体措施有：

Risk Identification: We have established a formalized process and operating

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procedure to track minerals through the supply chain and identify and assess risks from minerals associated with conflict-affected and high-risk areas, including:

使用该矿物的必要性原因报告。

Require a report on the necessity of using the mineral.

供应链进行尽职调查，包括现场调查、调查问卷、员工访谈等，以识别矿物来源、响应验证、产地确认。

Conducting supply chain due diligence involves on-site surveys, questionnaires, and interviews to identify mineral sources, verify responses, and determine the country of origin.

风险管理。在供应链层面制定管理计划来应对识别出的风险，以减轻或补救来自受冲突地区的矿物的风险。

Risk Management: We develop supply chain-level management plans to address identified risks and mitigate or remediate issues related to minerals from conflict-affected areas.

风险缓解计划：针对识别出的高风险供应商，制定具体的风险缓解计划，包括替代供应商的寻找和供应链的调整。

Risk mitigation plan: We create tailored risk mitigation plans for identified high-risk suppliers, which may include selecting alternative suppliers and adjusting our supply chain as necessary.

补救措施：对于发现存在风险的矿物，立即采取补救措施，如停止采购、重新评估供应商或向受影响的地区提供支持。

Remediation: If high-risk minerals are identified, we will promptly take remedial actions, such as suspending procurement, reassessing suppliers, or providing

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support to affected areas as needed.

东方日升承诺通过严格的监督与管理，推动供应商在 ESG 方面不断提升，实现与供应商共同发展的目标。

We are dedicated to fostering continuous improvement in our suppliers' ESG performance through rigorous supervision and management, aiming for mutual development with our suppliers.