

# 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 Audit and Review

东方日升始终致力于在供应链管理中贯彻环境、社会 and 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；供应商质量管理部负责供应商 ESG 计划的实施与进展，确保每一环节都符合公司高标准的可持续发展要求。对供应商的采购实践审查，以确保公司的做法与其自身的供应商行为准则一致，以避免与环境、社会 and 治理 (ESG) 要求潜在的冲突。

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 Supplier Quality Management Office for its implementation. This ensures that our supplier management adheres to the highest standards of sustainable development. Purchasing practices towards suppliers are reviewed to ensure the alignment of company's practices with its own Supplier Code of Conduct to avoid potential conflicts with ESG requirements.

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。如果供应商无法在设定的时间内达到最低的环境、社会 and 治理 (ESG) 要求，则不允许其参与合作。

We conduct regular audits of our suppliers' procurement practices to exclude those that do not meet minimum ESG (Environmental, Social, and Governance)

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requirements. We prioritize suppliers with outstanding ESG performance to enhance the sustainability of our supply chain. Suppliers are excluded from contracting if they cannot achieve minimum ESG requirements within a set time frame.

### ■ 供应商准入 Supplier Onboarding :

在供应商寻源与准入阶段，我们遵循就近原则，选择符合技术迭代要求的供应商，并依据质量系统审核（QSA）和质量过程审核（QPA）的具体清单对供应商资质进行审核。同时，我们将三体系建设情况、产品质量认证、MSDS 报告等符合 ESG 理念的指标明确纳入筛选标准，对新供应商进行现场审核评分，确保产品质量、生产环节的环境与安全等指标满足公司要求。审核总分低于 70% 的供应商将不予准入。

During the supplier sourcing and onboarding phase, we adhere to the proximity principle, selecting suppliers that meet technical iteration requirements, and audit suppliers' qualifications based on the specific checklists of Quality System Audit (QSA) and Quality Process Audit (QPA). Meanwhile, we explicitly incorporate indicators aligned with ESG concepts, such as the status of three management system establishment, product quality certification, and Material Safety Data Sheet (MSDS) reports, into the screening criteria. We conduct on-site audits and scoring for new suppliers to ensure that indicators such as product quality, environmental and safety standards in production processes meet the company's requirements. Suppliers with an overall audit score below 70% will not be admitted.

在与供应商确认合作后，我们对供应商进行分级管理，将其分为主材和辅材二大类别，并实施针对性的管理措施。我们与光伏、储能板块核心供应商 100% 签署了包括《供应商行为准则》《供应商社会责任承诺书》《供应商职业健康安全环境告知书》《供应商反商业贿赂和反舞弊承诺书》《碳排放管理承诺书》《无冲突矿产宣告书》、ESG 尽职调查表、无冲突矿产调查表（CMRT）等共计 12 项 ESG 相关承诺和协议，通过明确的规范保障，引导供应商践行 ESG 理念。

After confirming cooperation with suppliers, we implement hierarchical management for them, categorizing them into two major types: main materials, and auxiliary materials, and adopt targeted management measures. We have 100%

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signed a total of 12 ESG-related commitments and agreements with core suppliers in the photovoltaic and energy storage sectors, including the Supplier Code of Conduct, Supplier Social Responsibility Commitment, Supplier Occupational Health, Safety and Environment Notification, Supplier Anti-Bribery and Anti-Fraud Commitment, Carbon Emission Management Commitment, Conflict-Free Minerals Declaration, ESG Due Diligence Questionnaire, and Conflict Minerals Reporting Template (CMRT). Through clear normative guarantees, we guide suppliers to practice ESG concepts.

### ■ 供应商考核与退出 Supplier Evaluation and Exit:

我们对供应商供货质量进行严格管控,通过问卷调查与证据文件审查相结合的方式,依据《月度供应商综合评价表》对供应商质量进行月度评估,综合考量供应商技术水平及 ESG 相关因素。对于表现优秀的供应商,我们将采取适当奖励措施以增强其合作粘性;对于考评结果欠佳的供应商,我们将暂停交易并督促支持其整改。同时,我们快速响应国际社会对供应商尽职调查的关注,将《德国供应链尽职调查法》《欧盟电池法规》《企业可持续发展尽职调查指令》以及《工商业与人权指导原则》中的环境与人权审核因素纳入供应商审核表单,确保供应链合规性和可持续性。此外,我们严格控制有害物质的使用,要求供应商每年提供通过有害物质测试的独立第三方检测报告,确保材料符合欧盟 REACH 法规和 RoHS 指令的要求。

We strictly control the quality of supplies from suppliers. By combining questionnaires with review of evidentiary documents, we conduct monthly assessments of supplier quality based on the Monthly Supplier Comprehensive Evaluation Form, comprehensively considering suppliers' technical level and ESG-related factors. For suppliers with excellent performance, we will adopt appropriate incentive measures to enhance cooperation stickiness; for suppliers with poor evaluation results, we will suspend transactions and urge and support their rectification.

Meanwhile, we respond promptly to the international community's attention to supplier due diligence, incorporating environmental and human rights audit factors from the German Supply Chain Due Diligence Act, EU Battery Regulation, Corporate

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Sustainability Due Diligence Directive, and Guiding Principles on Business and Human Rights into the supplier audit forms to ensure supply chain compliance and sustainability. In addition, we strictly control the use of hazardous substances and require suppliers to provide annual independent third-party testing reports on passing hazardous substance tests to ensure that materials comply with the requirements of the EU REACH Regulation and RoHS Directive.

### ■ 奖励惩罚模式 Reward and Penalty Measures

Comprehensive scoring	Assessment rating	Reward and penalty measures
≥ 90	A	<ul style="list-style-type: none"> <li>• Increase order volume</li> <li>• Prioritize business opportunities and raise procurement share</li> <li>• Regularly invite suppliers to Risen Energy Quality Seminars (case-by-case basis)</li> </ul>
80~90	B	<ul style="list-style-type: none"> <li>• Maintain current order volume</li> <li>• Enhance supplier oversight with continuous performance improvement plans</li> </ul>
60~80	C	<ul style="list-style-type: none"> <li>• Reduce order volume</li> <li>• Classify as high-risk suppliers and conduct on-site audits by the Supplier Management Department if necessary</li> </ul>
≤ 60	D	<ul style="list-style-type: none"> <li>• Suspend supply of equivalent products across all bases and mandate rectification with a deadline</li> <li>• Classify as high-risk suppliers, issue warnings from the Supplier Management Department, and suspend procurement</li> </ul>

If a supplier receives a "C" quality rating for 3 consecutive months, or a "D" rating within 1 month, we will cease cooperation and require immediate rectification. Should the supplier fail to meet quality standards in the next assessment period after remediation, the Company will terminate the supplier relationship.

Risen Energy's Supplier Assessment & Incentive-Disciplinary Framework

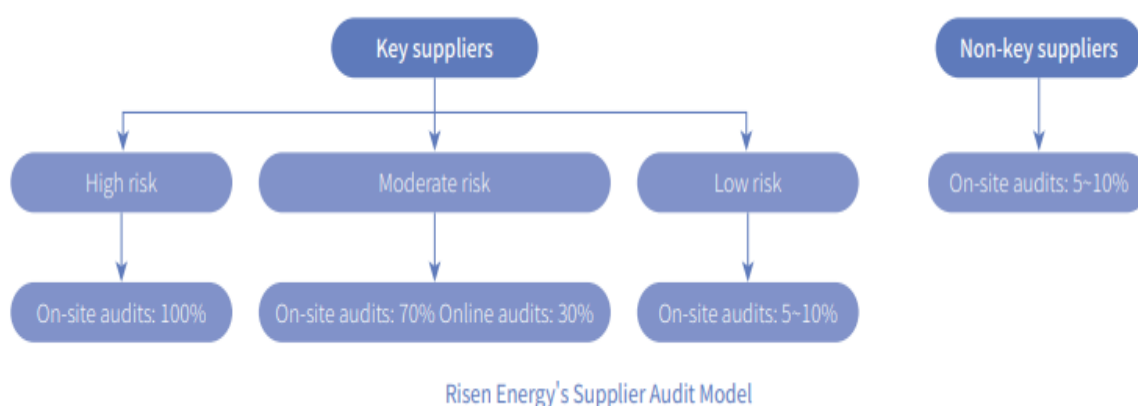
### ■ 供应商审核模式 Supplier Audit Model

每年，我们还会在月度考核的基础上，结合供应商 ESG 尽职调查结果进行 ESG 评分调整，并以此作为评估供应商风险等级的依据，最终汇总形成《供应商年度考核汇总表》。针对不同风险等级的供应商，我们将分别采用现场审核和线上审核的方式（如下图所示）。

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Each year, we integrate monthly assessment results with the suppliers' ESG due diligence findings to adjust supplier ESG scores. These adjusted scores serve as the basis for determining supplier risk ratings and are ultimately consolidated into the Annual Supplier Assessment Summary Sheet. Supplier audits are conducted either on-site or remotely based on risk level (as shown in the figure below)



### ■ 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 Aspects and Methodology of Supplier Screening

我们根据环境、社会与治理（ESG）风险以及业务重要性对供应商进行甄选与管理。评估标准包括：是否存在温室气体排放、资源消耗、污染排放等环境风险；是否存在童工、强迫劳动、歧视、工时与薪酬不合规、职业健康与安全等社会风险；是否涉及腐败、贿赂、利益冲

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突、不正当竞争等治理风险。同时，我们还综合考量供应商在采购体系中的重要性（如采购占比、替代性），以及其所在国家、行业或所供商品可能带来的特定 ESG 风险，确保我们与之合作的供应商符合可持续发展的责任标准。

We select and manage suppliers based on their environmental, social, and governance (ESG) risks, as well as their business relevance. Our evaluation criteria include environmental risks such as greenhouse gas emissions, resource consumption, and pollution; social risks such as child labor, forced labor, discrimination, non-compliance with working hours and wages, and occupational health and safety; and governance risks such as corruption, bribery, conflicts of interest, and anti-competitive behavior. We also consider each supplier's importance within our procurement system—such as purchase volume and substitutability—along with country-specific, sector-specific, and commodity-specific ESG risks. This comprehensive approach ensures that our suppliers align with our commitment to sustainable and responsible business practices.

### ■ 供应商绩效评价 Supplier Assessment

我们通过标准化工具与多元化审核机制，对供应商的 ESG 表现与质量绩效进行综合评估。评估内容涵盖环境、社会、治理和质量管理体系，参照 ISO 9001 要求，结合 QSA（质量体系审核）与 QPA（质量制程审核）方法，并采用 SMETA（Sedex 会员道德贸易审核）等评估方法，确保供应商全面符合我们在可持续发展与业务质量方面的要求。评价体系包含以下内容：

We conduct comprehensive evaluations of our suppliers' ESG performance and quality through standardized tools and diversified audit mechanisms. The assessment covers environmental, social, governance, and quality management systems, following ISO 9001 standards and incorporating QSA (Quality System Audit) and QPA (Quality Process Audit) methodologies. We also apply assessment approaches such as SMETA (Sedex Members Ethical Trade Audit) to ensure our suppliers fully meet our expectations for sustainability and business quality. Our assessment system includes the following components:

- 案头评估 Desk assessments:



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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。

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

- **第三方评估 On-site assessment:**

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，Our procurement team or external consultants conduct on-site assessments of suppliers to inspect their actual operations.

- **第三方评估 Third-party assessment:**

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。2024 年我们亦应下游客户要求对供应商展开第三方 ESG 独立评审，对 5 类上游关键供应商（玻璃、接线盒、电池片、胶膜、边框）各 1 家进行了 SMETA 审核”。

We also engage independent accredited auditing bodies to conduct on-site supplier assessments, providing objective and unbiased perspectives. In 2024, at the request of downstream customers, we also conducted third-party independent ESG reviews on suppliers, and carried out SMETA audits on one supplier each from five categories of key upstream suppliers (glass, junction boxes, solar cells, adhesive films, and frames).

- **纠正措施与改进计划 Corrective Action Plan (CAP):**

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

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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	2024	单位 Unit
现场审核 On-site audit	44	34	98	188	次 Times
供应商 ESG 尽职调查数量 Number of suppliers that conduct ESG due diligence	33	33	68	77	家 No.
淘汰供应商数量 Number of suppliers with terminated cooperation	3	2	6	3	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	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	100	百分比 %

### ■ 供应商发展流程 Supplier Development Process

- 供应商培训 Supplier Training:  
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。



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We offer comprehensive training on our ESG programs and processes to enhance suppliers' knowledge and skills.

- 绩效查阅 Access to ESG Benchmarks Against Peers:

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。

Suppliers have access to the ESG performance of other suppliers, enabling them to learn from best practices and make improvements.

- 问题协助 Supplier Support:

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。

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 Technical Support:

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。

We offer in-depth technical support programs to build capacity and ESG performance among our suppliers, thereby promoting the sustainable development of our supply chain.

### ■ 关于冲突矿产的采购政策 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石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".

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- **风险识别 Risk Identification:**

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产的风险。具体措施有：

We have established a formalized process/operating 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.

- ✓ 响应验证：定期对负责任供应链尽职调查工作的合规性以及响应程序和响应措施的有效性开展独立第三方审计，从而改善冶炼/精炼企业和供应链上游企业的尽职调查实践，这包括在政府的支持下、利益相关方的合作下，通过在行业倡议活动中建立制度化机制进行审计。

Responsiveness verification: conduct independent third party audits on a regular basis of compliance with responsible supply chain due diligence efforts and effectiveness of response procedures and responses to improve due diligence practices for smelter/refinery and supply chain upstream companies, including through the establishment of institutionalized mechanisms in industry initiatives with government support and stakeholder cooperation.

- ✓ 产国确定：公司在识别了供应链所使用的精炼金属的冶炼/精炼企业后，应参与到这些冶炼/精炼企业的供应链之中，并从中获得有关矿产原产国、

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中转国、矿山到冶炼/精炼企业之间运输路线等内容的初步信息。

Country origin determination: After identifying the smelting/refining enterprises of refined metals used in the supply chain, the company shall participate in the supply chain of these smelting/refining enterprises, and obtain preliminary information about the country of origin of minerals, transit countries, transportation routes between mines and smelting/refining enterprises.

### ■ 风险管理 Risk Management:

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。

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 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。

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