

凯莱英医药集团（天津）股份有限公司

供应商 ESG 管理政策

Asymchem Laboratories (Tianjin) Co., Ltd.

Supplier ESG Management Policy

一、 ESG 管理职责

- 1. 最高决策层的责任：**凯莱英医药集团（天津）股份有限公司及其子公司（以下统称“本集团”或“我们”）董事会为最高决策层，执行管理层负责供应商 ESG 计划的实施，确保其职责明确，并在年度 ESG 报告中公示相关承诺与证据。
- 2. 政策与目标：**持续制定和更新供应链 ESG 政策和目标，确保与本集团整体战略一致。
- 3. 风险监督：**监督供应链 ESG 风险的识别、评估和管理。
- 4. 决策审核：**审核和批准重大供应链决策，确保符合 ESG 原则。

I. ESG Management Responsibilities

- 1. Highest Governance Responsibility:** The Board of Directors or Executive Management of Asymchem Laboratories (Tianjin) Co., Ltd. and its subsidiaries (hereinafter collectively referred to as the “Group” or “We”) is entrusted with the implementation of the supplier ESG strategy, ensuring clear delineation of responsibilities and public disclosure of commitments and evidence in the annual ESG report.
- 2. Policies and Objectives:** Continuously evolve supply chain ESG policies and objectives to align with the Group's overarching strategy.
- 3. Risk Supervision:** Oversee the identification, assessment, and management of ESG risks within the supply chain.
- 4. Decision Review:** Scrutinize and sanction significant supply chain decisions to ensure adherence to ESG principles.

二、 供应商采购实践审查

1. **有毒物质排放要求：**向供应商提出减少供应链有毒物质排放的要求，并定期进行审核。
2. **多层供应商管理：**对系统内定义的所有层级供应商每年至少一次或每年定期开展产品质量审核。
3. **原材料质量检查：**定期检查自身原材料的质量，确保符合 ESG 标准。
4. **采购实践审查：**定期审查对供应商的采购实践，确保符合《供应链行为准则》和 ESG 标准。
5. **合同签订条件：**如果供应商无法在设定的时间范围内达到最低 ESG 要求，则不得签订合同或续签合同。

II. Supplier Procurement Practice Review

1. **Toxic Substance Emission Standards:** Establish stringent requirements for suppliers to mitigate toxic emissions within the supply chain and perform regular audits.
2. **Multi-Tier Supplier Oversight:** Conduct annual quality audits for all supplier tiers within the system.
3. **Raw Material Quality Assurance:** Routinely evaluate the quality of raw materials to ensure ESG compliance.
4. **Procurement Practice Compliance:** Periodically review procurement practices to ensure alignment with the "Supply Chain Code of Conduct" and ESG standards.
5. **Contractual Conditions:** Suppliers failing to meet minimum ESG criteria within specified timeframes will be ineligible for contracts or renewals.

三、 供应商选择与合同授予

1. **ESG 评价权重：**在供应商选择和合同授予过程中，通过对 ESG 标准应用最低权重，首选 ESG 表现更好的供应商。
2. **绩效评估：**将供应商的 ESG 绩效作为评估和选择的关键因素之一。

III. Supplier Selection and Contract Award

1. **ESG Evaluation Criteria:** Apply a weighted consideration of ESG performance in the supplier selection and contract award process, favoring suppliers with superior ESG records.
2. **Performance Metrics:** Incorporate ESG performance metrics as a pivotal factor in supplier assessment and selection.

四、 ESG 管理培训

1. **培训对象:** 对本集团的采购人员或员工和所有供应商每年至少一次或每年定期开展 ESG 管理的培训，确保他们对 ESG 理念和实践有深刻理解。
2. **培训内容:** 包括劳工与人权、职业健康与安全、产品和服务质量、商业道德等 ESG 领域的基础知识。此外培训还将扩展至《供应链行为准则》、ESG 行业标准、同业优秀实践及 ESG 技术能力建设。
3. **持续改进:** 持续评估和优化培训内容和方法，以确保培训效果与 ESG 最佳实践保持一致，并适应不断变化的市场需求和监管环境。

IV. ESG Management Training

1. **Training Recipients:** Regular ESG management training is conducted for the Group's procurement staff, employees, and all suppliers at least once a year to ensure a profound understanding of ESG principles and practices.
2. **Training Content:** The training encompasses foundational knowledge in ESG areas such as labor and human rights, occupational health and safety, product and service quality, and business ethics. Additionally, the training will extend to the "Supply Chain Code of Conduct", industry-specific ESG standards, best practices from peer companies, and the development of ESG technical competencies.
3. **Continuous Improvement:** We are committed to the ongoing evaluation and enhancement of our training content and methodologies to ensure alignment with the best ESG practices and adapt to the evolving market demands and regulatory environments.

五、 重要供应商筛选因素

1. **环境因素：** 综合评估供应商的环境影响，重点关注能源消耗、温室气体排放、污染控制和生态环境保护措施。供应商应遵守运营所在地所有适用的环保法律法规，确保其运营活动不会对当地生态环境造成污染。
2. **社会因素：** 深入评估供应商的社会责任履行情况，涵盖人权和劳工权利、工作时间、薪酬、职业健康与安全等。同时，考虑供应商的劳工状况、社区参与、人权记录以及对当地社区的影响。。
3. **公司治理：** 严格考察供应商的治理结构、透明度、道德标准和合规性。特别关注反腐败、反贿赂政策的制定与执行，确保供应商的商业行为符合高标准的道德和法律要求
4. **业务相关性：** 细致分析供应商业务与本集团需求的一致性，考虑支出/数量份额、可替代性以及供应商与本集团业务的协同效应。
5. **风险评估：** 全面识别和评估与供应商相关的国家风险、行业风险和商品特定风险，确保风险可控并最小化对本集团的影响。
6. **环保法律法规遵守：** 所有供应商必须遵守运营所在地的环保法律法规，确保运营活动的环境合规性。
7. **污染物排放控制：** 供应商应有效控制废水、废气污染物排放，并定期进行排放评估，确保达到或超过排放标准。鼓励采取超低排放措施，减少有毒有害物质排放。
8. **固体废物管理：** 供应商必须确保其运营过程中产生的固体废物全部得到合规处置，避免对环境造成污染。
9. **资源与能源效率：** 供应商应采取措施降低生产过程中的能源、水资源消耗和碳排放，提高资源利用效率，这些因素将作为供应商选取的重要考虑因素。

V. Key Supplier Screening Factors

1. **Environmental Impact Assessment:** Holistically evaluate suppliers' environmental footprint, prioritizing energy consumption, greenhouse gas emissions, pollution control, and ecological conservation initiatives. Suppliers must adhere to local environmental protection laws and regulations.

2. **Social Responsibility Evaluation:** In-depth assessment of suppliers' social responsibility practices, encompassing human and labor rights, working hours, remuneration, occupational health and safety, and consideration of labor conditions, community engagement, and human rights records.
3. **Corporate Governance Assessment:** Thorough examination of suppliers' governance frameworks, transparency, ethical benchmarks, and regulatory compliance, with emphasis on anti-corruption and anti-bribery measures.
4. **Business Alignment Analysis:** Detailed analysis of the congruence between suppliers' operations and the Group's requirements, factoring in expenditure/share, substitutability, and synergistic effects.
5. **Risk Assessment:** Comprehensive identification and evaluation of country-specific, industry-wide, and product-related risks associated with suppliers to ensure manageable risks and minimized impact on the Group.
6. **Environmental Legal Compliance:** Suppliers must strictly follow the environmental laws and regulations of their operational regions.
7. **Emission Control Protocols:** Suppliers are expected to effectively manage the discharge of wastewater, exhaust gases, and other pollutants, with regular emission assessments to ensure compliance with or exceedance of standards. Promotion of ultra-low emission strategies to curtail the release of toxic and harmful substances.
8. **Solid Waste Disposal Management:** Suppliers must ensure proper disposal of all solid waste generated in their operations, in full compliance with regulations, to prevent environmental contamination.
9. **Resource and Energy Efficiency:** Suppliers are encouraged to implement measures to reduce energy and water consumption and carbon emissions during production, and to enhance resource utilization efficiency, which are critical in supplier selection.

六、 风险评估

1. **国家风险:** 评估与供应商所在国家的政治、社会、经济、环境或监管情况相关的风险。

2. **行业风险：**考虑供应商所在行业的劳动力状况、能源消耗、资源强度、排放或污染潜力等。
3. **商品特定风险：**分析特定商品的供应链结构、劳工状况、土地使用、资源强度、能源消耗、排放、材料毒性或污染潜力等。

VI. Risk Assessment

1. **Country-Specific Risks:** Evaluate risks associated with the political, social, economic, environmental, or regulatory contexts of the countries in which suppliers operate.
2. **Industry-Specific Risks:** Consider labor conditions, energy consumption, resource intensity, emissions, or pollution potential within the industries suppliers are part of.
3. **Product-Specific Risks:** Analyze the supply chain structure, labor conditions, land use, resource intensity, energy consumption, emissions, material toxicity, or pollution potential for specific products.

七、 风险管理措施

1. **风险识别：**通过问卷调查、现场审核、第三方评估等方式识别供应链 ESG 风险。
2. **风险评估：**对识别的风险进行定性和定量评估，确定风险等级。
3. **风险缓解：**制定风险缓解措施，包括改进供应商管理流程、加强培训、提高透明度等。
4. **持续监控：**建立持续监控机制，定期跟踪和评估风险管理措施的效果。

VII. Risk Management Measures

1. **Risk Identification:** Identify ESG risks within the supply chain through surveys, on-site audits, and third-party assessments.
2. **Risk Assessment:** Perform qualitative and quantitative assessments of identified risks to ascertain risk levels.
3. **Risk Mitigation:** Develop strategies to mitigate risks, including refining supplier management processes, bolstering training programs, and enhancing transparency.

4. **Continuous Monitoring:** Institute ongoing monitoring systems to regularly track and appraise the efficacy of risk management initiatives.

八、 监督与报告

1. **监督机制:** 建立有效的监督机制, 确保供应商遵守 ESG 政策和标准。
2. **报告与沟通:** 定期向利益相关方报告供应链 ESG 管理的进展和成效。

VIII. Supervision and Reporting

1. **Supervision Framework:** Establish a robust framework for the oversight of suppliers to ensure adherence to ESG policies and standards.
2. **Reporting Mechanism:** Provide regular updates to stakeholders regarding the progress and effectiveness of supply chain ESG management.

九、 持续改进与创新

1. **改进计划:** 基于风险评估和监督结果, 制定持续改进计划。
2. **创新驱动:** 鼓励和支持供应商在 ESG 方面的创新实践, 提升整个供应链的可持续性。

IX. Continuous Improvement and Innovation

1. **Improvement Strategies:** Formulate continuous improvement strategies predicated on risk assessments and oversight outcomes.
2. **Innovation Incentives:** Foster and support suppliers in pioneering ESG initiatives to bolster the sustainability of the entire supply chain.

本《供应商 ESG 管理政策》旨在推动本集团供应链的可持续发展, 通过整合环境、社会和治理因素, 提升供应链的整体绩效。我们期望所有相关方积极参与, 共同打造一个负责任、透明和创新的供应链生态系统。本《供应商 ESG 管理政策》以中文编制。如两个版本有任何不相符之处, 应以中文版本为准。



This Supplier ESG Management Policy aims to catalyze sustainable development within the Group's supply chain by integrating environmental, social, and governance considerations, thereby enhancing the overall performance of the supply chain. We anticipate active engagement from all stakeholders in cultivating a responsible, transparent, and innovative supply chain ecosystem. This “Supplier ESG Management Policy” is originally drafted in Chinese. In the case of any discrepancies, the Chinese version of the Policy shall prevail.