

供应链 ESG 计划

Supply Chain ESG Program

厦门海辰储能科技股份有限公司

Xiamen Hithium Energy Storage Technology Co., Ltd.

1. 目的 Purpose

基于厦门海辰储能科技股份有限公司(以下简称“海辰储能”或“公司”)“HIMPACT”可持续发展战略与“合作共赢”核心支柱,公司已将 ESG 深度融入供应链全生命周期管理。本计划旨在构建以供应商为核心的尽职调查与动态管理体系,明确各治理层级权责,确保公司采购实践与《合作伙伴行为准则》、《供应商管理协议》、《供应商合规承诺》高度一致,联合供应链伙伴共筑可持续储能产业生态。

Based on the "HIMPACT" sustainability strategy and the core pillar of "Win-win Cooperation" of Xiamen Hithium Energy Storage Technology Co., Ltd. (hereinafter referred to as "Hithium" or the "Company"), the Company has deeply integrated ESG into the full life cycle management of its supply chain. This plan aims to build a supplier-centric due diligence and dynamic management system, clarify the rights and responsibilities of all governance levels, ensure that the Company's procurement practices are highly consistent with the "Business Partner Code of Conduct", "Supplier Management Agreement", "Supplier Compliance Commitment", and unite with supply chain partners to jointly build a sustainable energy storage industry ecosystem.

2. 适用范围 Scope of application

海辰储能及其全资/控股子公司之采购体系及全体供应链伙伴。

The procurement system and all supply chain partners of Hithium and its wholly-owned/holding subsidiaries.

3. 职责 Responsibilities

3.1 最高责任决策机构

Highest Responsibility and Decision-making Body

海辰储能 ESG 供应链管理体系的最高责任与决策机构为董事会(及其下设的战略与可持续发展委员会)。

The highest responsibility and decision-making body for Hithium's ESG supply chain

management system is the Board of Directors (and its subordinate Strategy and Sustainability Committee).

董事会全面负责审批供应链 ESG 战略规划、基本政策及核心绩效目标，对供应链重大 ESG 风险负有明确、直接和最终治理责任。

The Board of Directors is fully responsible for approving the supply chain ESG strategic planning, basic policies, and core performance targets, bearing clear, direct, and ultimate governance responsibility for major ESG risks in the supply chain.

董事会下设的战略与可持续发展委员会每年至少听取 2 次供应链 ESG 专项评估汇报。

The Strategy and Sustainability Committee under the Board of Directors shall listen to the supply chain ESG special assessment report at least twice a year.

3.2 管理层与负责任采购工作组

Management and Responsible Procurement Working Group

公司设立由高管及分管领导组成的 ESG 委员会，下设“负责任采购工作组”。

负责任采购工作组具体统筹海外客户 ESG 合规要求落地、供应链 ESG 风险筛查、现场审计以及负责任矿产尽调体系的闭环管理。

The Company establishes an ESG Committee composed of senior executives and leaders in charge, under which a "Responsible Procurement Working Group" is set up. The Responsible Procurement Working Group specifically coordinates the implementation of overseas customers' ESG compliance requirements, supply chain ESG risk screening, on-site audits, and the closed-loop management of the responsible mineral due diligence system.

4. 管理措施 Management Measures

4.1 内部采购流程审查与合规一致性机制

Internal Procurement Process Review and Compliance Consistency Mechanism

海辰储能建立由 ESG 管理部与采购中心协同执行的采购流程内部审查与动态绩效管控机制，确保采购决策与《合作伙伴行为准则》高度对齐：

Hithium has established an internal procurement process review and dynamic

performance control mechanism collaboratively executed by the ESG Management Department and the Procurement Center, ensuring that procurement decisions are highly aligned with the "Business Partner Code of Conduct":

4.1.1 部门职责分工与跨部门审查协同

Departmental Division of Responsibilities and Cross-departmental Review Synergy

ESG 管理部：负责制定和更新供应商 ESG 评估规则、组织现场审核或自评问卷发放，并全程跟踪整改复核。

ESG Management Department: Responsible for formulating and updating supplier ESG assessment rules, organizing on-site audits or the distribution of self-assessment questionnaires, and tracking the rectification and review throughout the entire process.

采购中心：负责协助信息收集、确认审核结果，汇总 ESG 审核评分并直接纳入年度综合绩效评价体系。

Procurement Center: Responsible for assisting in information collection, confirming audit results, summarizing ESG audit scores, and directly incorporating them into the annual comprehensive performance evaluation system.

4.1.2 行为准则一致性与冲突避免机制

Code of Conduct Consistency and Conflict Avoidance Mechanism

准则一致性核查：审查小组定期对采购流程（包含准入筛选、成本核算、交期调度及质量协议等）开展内部审查，防范采购团队因极端商务压力（如压低价格或压缩交期）诱发供应商出现超时加班、环保减配或安全隐患，确保采购行为符合公司《合作伙伴行为准则》。

Code Consistency Verification: The review team regularly conducts internal reviews of the procurement process (including admission screening, cost accounting, delivery scheduling, and quality agreements) to prevent the procurement team from inducing suppliers to engage in excessive overtime, environmental protection downgrades, or safety hazards due to extreme commercial pressure (such as driving down prices or compressing delivery times), ensuring that procurement behaviors comply with the Company's "Business Partner Code of Conduct".

20% 定量权重与动态调整：公司将供应商年度 ESG 审核满分设为 100 分，按 20% 权重计入年度综合绩效。评分以自评与现场审核组成的“基准审核分数”为初始参考，并结合“动态绩效调整机制”实施加减分核算（首次整改全部通过奖励加分；整改计划逾期提交、措施延迟或未完成则依规扣分）。

20% Quantitative Weight and Dynamic Adjustment: The Company sets the maximum score for the annual supplier ESG audit at 100 points, which is included in the annual comprehensive performance with a 20% weight. The scoring uses the "benchmark audit score" composed of self-assessment and on-site audit as the initial reference, and implements bonus and penalty point calculations in combination with the "Dynamic Performance Adjustment Mechanism" (bonus points awarded if the first rectification is fully passed; penalty points deducted according to rules if the rectification plan is submitted overdue, measures are delayed, or uncompleted).

零容忍红线风控：针对触发 ESG 管理红线的关键问题（即零容忍项），限制其绩效等级上限并在未按期完成整改时进阶降低绩效等级，确保 ESG 绩效直接影响商业合作与合同授予决策，从根源上消除采购操作与企业 ESG 战略的潜在冲突。

Zero-Tolerance Red Line Risk Control: For key issues triggering ESG management red lines (i.e., zero-tolerance items), the upper limit of their performance rating is restricted, and the performance rating is further downgraded if rectification is not completed on schedule, ensuring that ESG performance directly impacts commercial cooperation and contract awarding decisions, and eliminating potential conflicts between procurement operations and corporate ESG strategies from the root.

4.1.3 审查频次与监督汇报

Review Frequency and Supervision Reporting

内部采购流程审查与动态绩效复核每年至少执行 1 次。

Internal procurement process reviews and dynamic performance reviews shall be executed at least once a year.

审查报告直接提交至董事会战略与可持续发展委员会，查出的问题及整改复核闭环情况须在 180 天内完成汇报。

Review reports shall be submitted directly to the Strategy and Sustainability Committee of the Board of Directors, and the identified issues along with the closed-loop status of rectification reviews must be reported within 180 days.

4.2 供应商 ESG 全生命周期管理计划流程

Supplier ESG Full Life Cycle Management Plan Process

4.2.1 阶段一：风险识别与供应链分类映射

Stage 1: Risk Identification and Supply Chain Classification Mapping

公司建立供应链 ESG 风险识别与分类地图，每年根据采购品类、地理位置及历史合规记录，将供应商划分为高、中、低风险等级。高风险供应商评估重点包括负责任矿产（如锂、铜等）、高能耗耗能环节及劳工密集型工序。

The Company establishes a supply chain ESG risk identification and classification map, categorizing suppliers into high, medium, and low-risk levels annually based on procurement categories, geographical locations, and historical compliance records. The assessment focus for high-risk suppliers includes responsible minerals (such as lithium, copper, etc.), high energy-consuming processes, and labor-intensive processes.

4.2.2 阶段二：准入门槛与最低 ESG 要求

Stage 2: Admission Threshold and Minimum ESG Requirements

最低 ESG 合规门槛设定：公司制定《供应商绩效考核管理规定》，涵盖禁止强迫劳动/童工、基本职业健康安全、合规排污与碳数据披露、反腐败合规等底线要求。所有新供应商准入及旧供应商续约时，必须满足最低要求。

Minimum ESG Compliance Threshold Setting: The Company formulates the "Supplier Performance Assessment Management Regulations", covering bottom-line requirements such as prohibition of forced/child labor, basic occupational health and safety, compliant discharge and carbon data disclosure, and anti-corruption compliance. All new supplier admissions and old supplier contract renewals must meet the minimum

requirements.

纠正期与淘汰（排除机制）：对于初审未能达到最低 ESG 要求但具备改进潜力的基本供应商，公司将下发整改通知并提供纠正机会，明确改进期限为 60 天。若供应商在上述规定的时间内仍无法达到最低 ESG 要求，则将被坚决排除在合同签订范围之外，并从潜在供应商名单及合格供应商名录（AVL）中移除，直至其完成全面纠正并重新通过验证。

Correction Period and Elimination (Exclusion Mechanism): For basic suppliers failing to meet the minimum ESG requirements in the initial review but possessing improvement potential, the Company will issue a rectification notice and provide an opportunity for correction, clearly defining an improvement period of 60 days. If the supplier still fails to meet the minimum ESG requirements within the aforementioned stipulated time, they shall be firmly excluded from the scope of contract signing and removed from the potential supplier list and the Approved Vendor List (AVL) until they complete comprehensive correction and pass verification again.

4. 2. 3 阶段三：综合选择评估与优先考虑机制

Stage 3: Comprehensive Selection Assessment and Priority Consideration Mechanism

公司在供应商选择和合同授予的决策体系中将 ESG 表现设定为独立且具有明确权重的核心评估项：

The Company sets ESG performance as an independent core assessment item with a clear weight in the decision-making system for supplier selection and contract awarding:

评审维度 Assessment Dimension	评估要点与验证依据 Assessment Points and Verification Basis
商业与商务（价格/成本结构） Commercial and Business (Price/Cost Structure)	TCO 总成本、报价合理性、商业条款。 Total Cost of Ownership (TCO), quotation rationality, commercial terms.
技术与质量（质量/交期/研发）	产品性能、合格率、按时交货率、协同研发能力。 Product performance, qualification rate, on-time

评审维度 Assessment Dimension	评估要点与验证依据 Assessment Points and Verification Basis
Technology and Quality (Quality/Delivery/R&D)	delivery rate, collaborative R&D capability.
ESG 可持续发展绩效 ESG Sustainability Performance	ISO 管理体系认证（ISO14001/45001 等）、 清洁能源使用率、减碳目标设定、劳工保障 及 ESG 评分结果。 Compliance system certification (ISO14001/45001, etc.), clean energy usage rate, carbon reduction target setting, labor protection, and ESG scoring results.

倾斜与激励机制：公司实施“ESG 表现优先考虑”政策，包括但不限于：在同等商务条件下优先签订合同、给予 20% 的额外评标加分、延长合同采购周期或优先分配更多采购份额。

Company implements an "ESG Performance Priority Consideration" policy, including but not limited to: prioritizing contract signing under equal commercial conditions, granting 20% extra evaluation bonus points, extending the contract procurement cycle, or prioritizing the allocation of more procurement share.

4.2.4 阶段四：常态化监测、现场审计与纠正预防（CAPA）

Stage 4: Normalized Monitoring, On-site Audit, and Corrective and Preventive Actions (CAPA)

公司每年对上一自然财年或上半年采购额占比 60% 的核心及高风险供应商实施现场 ESG 审计或第三方独立评估。对审计中发现的中低风险问题，供应商须在 90 天内提交 CAPA（纠正与预防措施计划）；对于触发极端合规红线的供应商，启动紧急升级预警，并立即暂停或终止业务合作。

The Company conducts on-site ESG audits or third-party independent assessments on core and high-risk suppliers accounting for at least 60% of the procurement spend in

the previous fiscal year or the first half of the current year. For medium and low-risk issues identified during the audit, suppliers must submit a CAPA (Corrective and Preventive Actions plan) within 90 days; for suppliers triggering extreme compliance red lines, an emergency escalation warning will be initiated, and business cooperation will be immediately suspended or terminated.

4.2.5 阶段五：供应商能力建设与可持续共建计划

Stage 5: Supplier Capacity Building and Sustainable Co-construction Plan

为帮助供应商持续提升 ESG 管理能力，海辰储能定期开展“供应商可持续发展赋能计划”，包括提供碳盘查工具培训、EHS 现场合规指导以及联合减碳创新项目，每年赋能供应商不少于 10 家。

To help suppliers continuously enhance their ESG management capabilities, Hithium regularly carries out the "Supplier Sustainability Empowerment Plan", which includes providing carbon footprint verification tool training, EHS on-site compliance guidance, and joint carbon reduction innovation projects, empowering no less than 10 suppliers annually.

4.3 采购人员及内部利益相关者能力建设计划

Procurement Personnel and Internal Stakeholder Capacity Building Plan

培训覆盖对象：覆盖公司采购部门全体员工、供应链管理人员及跨部门利益相关者（包括但不限于高级管理层、质量工程师、EHS 内审员等，确保培训不局限于中低层）。

Training Target Audience: Covers all employees in the Company's procurement department, supply chain management personnel, and cross-departmental stakeholders (including but not limited to senior management, quality engineers, EHS reviewers, etc., ensuring that training is not limited to middle and lower levels).

培训内容与角色分工：培训内容专门聚焦于采购人员及内部利益相关者在供应商 ESG 项目中所扮演的角色，以及买方日常行动与决策如何影响公司 ESG 目标的实现，包括《供应商管理协议》执行要点、ESG 审计与风险识别技巧、避免商业条款与 ESG 冲突等。

Training Content and Role Division: The training content specifically focuses on the roles played by procurement personnel and internal stakeholders in supplier ESG projects, and how daily buyer actions and decisions affect the realization of the Company's ESG goals, including execution key points of the "Supplier Management Agreement", ESG audit and risk identification skills, avoiding conflicts between commercial terms and ESG, etc.

频次与 KPI 考核：培训每年至少举行 2 次，关键供应商参训率须不低于 90%，考核合格率须达到 95%。

Frequency and KPI Assessment: Training is held at least 2 times a year, with a key supplier participation rate of no less than 90% and an assessment passing rate reaching 95%. The training results will be directly incorporated into the personal annual performance KPI assessment of procurement personnel.

5. 附则 Supplementary Provisions

本计划经董事会授权制定，由董事会战略与可持续发展委员会审阅并批准通过，由 ESG 管理部负责日常管理与解释。倘若本计划因公司需求和 ESG 发展趋势而需作出必要的更改，有关更改将提交至公司董事会战略与可持续发展委员会，以供其审阅，并应至少每三年一次呈予董事会战略与可持续发展委员会，以供其批核。

This plan has been developed with the authorization of the Board of Directors, reviewed and approved by the Board's Strategy and Sustainability Committee, and is subject to day-to-day management and interpretation by the ESG Management Department. Should any necessary amendments be required to this Plan in response to the Company's evolving needs or ESG trends, such amendments shall be submitted to the Board's Strategy and Sustainability Committee for review and shall be presented to the Committee at least once every three years for approval.

厦门海辰储能科技股份有限公司

Xiamen Hithium Energy Storage Technology Co., Ltd.

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