供应商评估与发展计划

治理与监督

鹏鼎已建立供应链责任管理体系，设有专责部门负责供应商管理，并由董事会监督供应商 ESG 管理计划的执行。公司依据《供应（协力厂）商管理作业系统》，系统性管理供应商的产品质量、交期、技术支持、价格及 ESG 表现。为将公司的社会责任理念与要求延伸至供应链，公司制定《供应商社会责任管理作业办法》《供应商冲突矿产管理规范》等制度，要求供应商遵守相关环境、劳工及职业健康安全法规，以及国际企业社会责任标准。

采购实践与供应商筛选

公司持续检视采购实践，以确保采购行为与《供应商社会责任行为准则》保持一致，避免采购活动与 ESG 要求产生潜在冲突。供应商评选及合约授予过程中纳入 ESG 表现，并优先选择 ESG 表现较佳的供应商。

公司要求生产供应商提供《供应商承诺书》或签署《采购订单特殊约定条款》，相关要求涵盖道德行为、人权、环境、职业健康与安全等议题，包括诚信经营、禁止童工、禁止强迫劳动、自由选择职业、生物多样性保护及森林保护等内容。若供应商违反企业社会责任政策，且对环境或社会造成重大影响，公司保留终止或解除合约的权利。

公司每年对供应商进行社会与环境责任（SER）审核，并针对审核发现的问题要求供应商制定改善计划。若供应商未能在规定期限内达到最低 ESG 要求，公司保留终止合约的权利。公司亦定期为采购人员提供诚信、廉洁及供应商社会责任管理等培训，以提升内部人员执行供应商 ESG 管理的能力。

关键供应商识别

公司每年检视关键供应商名单，并依据采购结构、供应商业务影响、ESG 风险及供应链策略进行动态调整，优先对高风险及高影响供应商执行评估、现场审核及改善追踪。

2025 年，公司共有 1,526 家供应商，其中一阶供应商 1,519 家，非一阶供应商 7 家。依供应商重要性区分，一阶关键供应商 150 家，非一阶关键供应商 7 家，共计 157 家关键供应商。

关键供应商筛选原则如下：

（一）业务影响面

1. 采购金额占比高（如前十大供应商）
2. 关键原物料 / 设备供应商（影响产线或产品交付）
3. 单一来源或替代性低之供应商
4. 共同开发 / 策略合作供应商
5. 特殊应用领域（如车用、关键技术）

（二）ESG 风险面

1. 是否发生重大 ESG 事件
2. SER 稽核未通过或未完成改善
3. ESG 评等为高风险
4. 涉及环境、劳工、安全或道德风险

鹏鼎控股（深圳）股份有限公司©著作权所有

（三）区域及物料风险

1. 位于高风险国家 / 地区（如政治、法规、环境风险较高）

2. 原物料来源具高风险

供应商评估与审核流程

公司对供应商实施书面评估及现场评估，所有供应商均须填写供应商自评问卷，内容涵盖公司基本信息、管理体系、风险管理、客户服务、供应商管理、质量管理、制程管理、包装、物流与仓储管理、环境安全与健康管理、绿色产品管理及贸易安全管理等。公司内部人员负责审核问卷内容，并评估供应商在质量、有害物质、环境及社会责任方面的承诺、绩效和潜在风险。

公司每年由内部相关人员对供应商进行现场访视及评估，评估内容参考 ISO 等国际标准。2025 年，公司完成 72 家关键供应商的环境与社会责任（SER）现场审核。

供应商改善行动计划

针对供应商评估及审核中发现的潜在负面影响，公司要求供应商提出改善计划，并持续追踪改善进度。2025 年，共有 26 家供应商被列为黄色等级。2025 年度推动供应商完成改善 428 项缺失，所有改善事项均已于当年度完成，改善完成率为 100%。主要改善议题包括职业健康与安全及工作时间。例如，针对供应商未能充分落实工时法规的情形，公司要求其合理规划生产排程，确保工时安排符合法规及客户要求。2025 年未发生供应商因稽核结果为红灯（Red），改善未通过导致停止交易情形。

供应商发展与支持计划

为了加强供应商在 ESG（环境、社会与治理）方面的执行力，公司每年年初都会制定一套涵盖供应商社会责任行为守则、环保政策及常用品质工具的培训计划。2025 年，公司共举办 6 场相关培训课程，吸引 351 家供应商、共 932 人次参加，其中包括 105 家关键供应商。公司通过供应商大会及培训活动分享产业标杆的 ESG 管理实践与案例，协助供应商了解行业趋势及同业的永续管理方向，并作为其改善 ESG 管理能力的参考。

此外，公司推动绿色供应链环境保护项目，针对重点供应商提供环境管理及技术支持，包括协助供应商建立及取得 ISO 管理体系认证，以及推动节水、节电、减废和减碳等环保项目，以提升供应商的 ESG 管理能力及永续竞争力。

Supplier Assessment and Development Programs

Governance and Oversight

Avary has established a responsible supply chain management system, with dedicated departments responsible for supplier management and the Board of Directors overseeing the implementation of supplier ESG management programs. Under its Supplier (Contractor) Management System, the Company systematically manages suppliers' product quality, delivery, technical support, pricing, and ESG performance. To extend its corporate social responsibility principles and requirements throughout the supply chain, the Company has established policies and procedures including the Supplier Social Responsibility Management Regulations and the Supplier Conflict Minerals Management Regulations. These documents require suppliers to comply with applicable environmental, labor, and occupational health and safety laws and regulations, as well as international corporate social responsibility standards.

Purchasing Practices and Supplier Screening

The Company continuously reviews its purchasing practices to ensure alignment with the Supplier Social Responsibility Code of Conduct and to prevent potential conflicts between its purchasing practices and ESG requirements. ESG performance is incorporated into supplier selection and contract award processes, with preference given to suppliers demonstrating stronger ESG performance.

The Company requires production suppliers to provide a Supplier Commitment Letter or sign the Special Terms and Conditions of Purchase Orders. These requirements cover business ethics, human rights, environmental protection, and occupational health and safety, including business integrity, the prohibition of child labor and forced labor, freely chosen employment, biodiversity conservation, and forest protection. If a supplier violates the Company's corporate social responsibility policies and causes significant adverse environmental or social impacts, the Company reserves the right to terminate or rescind the contract.

The Company conducts annual social and environmental responsibility (SER) audits of suppliers and requires suppliers to develop corrective action plans for issues identified through the audits. If a supplier fails to meet the minimum ESG requirements by the end of the year, the Company reserves the right to terminate the contract. The Company also regularly provides procurement personnel with training on integrity, anti-corruption, and supplier social responsibility management to strengthen their ability to implement supplier ESG management.

Identification of Significant Suppliers

The Company reviews its list of significant suppliers annually and adjusts the list based on its procurement structure, suppliers' impact on the business, ESG risks, and supply chain strategies. Suppliers with higher risk profiles or greater business impacts are prioritized for assessment, on-site audits, and corrective action follow-up.

In 2025, the Company had a total of 1,526 suppliers, comprising 1,519 Tier-1 suppliers and 7 non-Tier-1 suppliers. Based on supplier significance, the Company identified 150 significant Tier-1 suppliers and 7 significant non-Tier-1 suppliers, representing a total of 157 significant suppliers.

The criteria used to identify significant suppliers are as follows:

(I) Impact on business

1. Percentage of procurement amount (e.g., top ten suppliers)

2. Significant raw materials/equipment suppliers (affects production lines or product delivery)

3. Sole-source suppliers or suppliers with low substitutability

4. Joint development/strategic partner suppliers

5. Special applications (e.g., automotive, key technologies)

(II) ESG risks

1. Whether any major ESG events have occurred

2. Failure to pass the SER audit or complete required corrective actions

3. High ESG risk rating

4. Environmental, labor, occupational health and safety, or business ethics risks

(III) Regional, sector, and material risks

1. Located in high-risk countries or regions (e.g., with elevated political, regulatory, or environmental risks)

2. High-risk sectors or raw material sources

Supplier Assessment and Audit Process

The Company conducts both desk-based and on-site supplier assessments. All suppliers are required to complete a supplier self-assessment questionnaire covering company information, management systems, risk management, customer service, supplier management, quality management, process management, packaging, logistics and warehousing, environmental, health and safety management, green product management, and trade security management. The Company's internal personnel systematically review and verify the questionnaire responses and assess each supplier's commitments, performance, and potential risks related to quality, hazardous substance management, environmental responsibility, and social responsibility.

Each year, relevant internal personnel conduct on-site visits and assessments of selected suppliers, with the assessment criteria developed with reference to international standards, such as ISO 14001 and ISO 45001. In 2025, the Company completed on-site social and environmental responsibility (SER) audits of 72 significant suppliers.

Supplier Corrective Action Plan

For potential adverse impacts identified through supplier assessments and audits, the Company requires suppliers to develop corrective action plans and continuously monitors their progress. In 2025, 26 significant suppliers received yellow ratings due to deficiencies identified through the SER audits. The Company supported suppliers in addressing 428 findings, all of which were corrected within the same year, resulting in a corrective action completion rate of 100%.

The main areas for improvement included occupational health and safety and working hours. For example, where suppliers had not fully complied with working-hour requirements, the Company required them to improve production scheduling to ensure that working arrangements complied with applicable laws, regulations, and customer requirements. In 2025, no business relationships were terminated due to suppliers receiving red audit ratings and subsequently failing to complete the required corrective actions.

Supplier Development and Support Programs

To strengthen suppliers' ability to implement ESG management, the Company develops an annual training plan at the beginning of each year. The training covers topics such as the Supplier Social Responsibility Code of Conduct, environmental policies, and commonly used quality management tools. In 2025, the Company conducted six related training sessions, attended by 351 suppliers and a total of 932 participants, including 105 significant suppliers.

Through supplier conferences and training activities, the Company shares ESG management practices and case studies from industry-leading companies. These activities help suppliers understand industry trends and peer approaches to sustainability and provide useful references for improving their ESG management capabilities.

In addition, the Company continues to implement its Green Supply Chain Environmental Protection Project, providing environmental management and technical support to selected key suppliers. The support includes assisting suppliers in establishing management systems and obtaining ISO certification, as well as implementing environmental improvement projects involving water conservation, energy efficiency, waste reduction, and carbon emissions reduction. These initiatives enhance suppliers' ESG management capabilities and long-term sustainability competitiveness.