



LC HEALTHCARE FUND II, L.P.

3rd Environmental and Social Performance Monitoring Report
Reporting Period: January 1, 2023-December 31, 2023
Report Completion: June 2024

ANNUAL ENVIRONMENTAL AND SOCIAL PERFORMANCE MONITORING REPORT

Prepared by Legend Capital for Asian Infrastructure Investment Bank

Abbreviations

AIIB	-	Asian Infrastructure Investment Bank
EHS	-	Environmental, health and safety
ESMS	-	Environmental and social management system
ESG	-	Environmental, social, governance
AESPR	-	Annual Environmental and Social Performance Monitoring Report
E&S		Environmental and Social
GRM	-	Grievance Redress Mechanism
HC	-	Health care
IC	-	Investment committee
LC	-	Legend capital
R&D	-	Research and development

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This is the 3rd annual environmental and social performance monitoring report (AESPR) presenting the status of environmental and social management system (ESMS) implementation for LC Healthcare Fund (hereafter “LC HC II”) from 1 January 2023 to 31 December 2023.

I. ESPR Preparer

Report prepared by: Li Yong, ESMS manager of LC Healthcare Fund II.

E-mail: liyong@legendcapital.com.cn

Signature:

Report Date: June 2024

II. Organizational Structure and Implementation of Environmental and Social Management Systems

The current version of the ESMS was issued in 2020 and there has been no update since then. The organizational structure and responsibilities are elaborated in the Table 1. This ESMS arrangement functioned well and there have been no changes as end of 2023.

Table 1 ESMS Implementation Arrangement

Role	Composition and Responsibilities
ESG Committee	<p>The highest decision-making body for ESG management, chaired by the Firm’s President.</p> <p>Committee Members: Chief Investment Officer, Chief Operating Officer, Managing Directors & heads of the fund teams, General Legal Counsel, and Managing Director in charge of the management consultant team.</p> <p>Responsibilities of ESG Committee:</p> <ul style="list-style-type: none"> - Formulate medium and long-term strategy plans for ESG investing. - Approve the policies, systems and procedures with regards to ESG investing. - Guide and supervise the work of ESG Working Group.
Investment Committee (“IC”) of LC HC II:	<p>The IC of LC HC II is composed for the firm’s President and the Managing Directors of LC HC II. The IC will be responsible for reviewing the screening and due diligence results in relation to E&S.</p>
ESG Working Group	<p>Execution body for ESG management, led by Managing Director in charge of management consultant team.</p> <p>Group Leader: Managing Director in charge of the management consultant team.</p>

	<p>Group Members: ESG coordinators from the fund teams, IR team, legal team, management consultant and financial consultant teams</p> <p>Responsibilities of ESG Working Group</p> <ul style="list-style-type: none"> - Provide decision-making support for the medium and long-term strategy plans in ESG investing management - Provide specialized support to formulate ESG-related policies, systems and procedures - Plan, organize and implement ESG-related research and knowledge management activities - Implement and promote ESG related investing policies and monitor the relevant processes - Fulfil LPs' requirements on ESG surveys and related information disclosure - Work with PRI to implement information disclosure and other requirements.
ESMS Manager of LC HC Fund II	<p>The ESMS Manager will oversee the implementation of the ESMS and ensure that these procedures are integrated with LC HC II's business processes for evaluating a project's financial risks.</p> <p>The responsibilities of the ESMS Manager include:</p> <ul style="list-style-type: none"> • Cooperate with ESMS coordinator to supervise the implementation of ESMS; • Periodically review the operational difficulties or issues arising from ESMS implementation, arrange meetings to propose solutions, and report to ESG Committee for decision making when necessary; • Prepare the Annual Environmental & Social Performance Report to AIIB based on the annual performance reports provided by its investee companies. <p>LC HC II will also ensure that the AIIB is notified if and when the ESMS Manager leaves that position, and will provide the AIIB the name of the new ESMS Manager.</p> <p>The ESMS Manager will maintain a file of qualified environmental and social consultants who can be called upon to assist in conducting environmental and social reviews.</p>
ESMS Coordinator	<ul style="list-style-type: none"> • Evaluate environmental compliance of potential investee company with applicable requirements during due diligence, such as site visits, collection of necessary E&S documentation, and prepare E&S due diligence reports. • Supervise portfolio project's on-going compliance with the applicable requirements on a regular basis, which may include:

	<ul style="list-style-type: none"> • Conducting site visits, monitoring the implementation of E&S action plan (if any) by the investee company, reviewing investee company's annual reports, and recording investee company's E&S on-going performance. • Resolving E&S issues in case of non-compliance, and where needed, preparing a time-bound correction action plan with specific follow-up procedures.
Project manager	<ul style="list-style-type: none"> • Conduct initial E&S risk screening during project identification stage; • Provide necessary support ESMS manager
Legal Department	<ul style="list-style-type: none"> • Ensures that LC HC Fund II's environmental and social requirements are incorporated in legal agreements for each transaction. • Advise if a investee's non-compliance with environmental and social clauses constitutes a breach of contract and is considered an Event of Default under the terms of the legal agreement that requires follow-up by Senior Management.

Table 2 gives contacts of key persons holding responsibility for environmental and social performance. There have been no changes in the personnel responsible for environmental and social management compared to the previous reporting period.

Table 2: Deployment of Environment and Social Management Staff

Name	Position	Contact
Wang Yan	Director of Brand and Public Relations	wangyan@legendcapital.com.cn
Li Yong	Chief Management Consultant/ESMS Manager	liyong@legendcapital.com.cn
Liu Yaxu	Investment analyst/ESMS coordinator	liuyx@legendcapital.com.cn

On September 19th, 2023, an ESMS implementation training session (Table 4) was organized. A total of 8 staff members from the LC ESG Working Group, as well as management consultants, participated in the training. The session focused on building foundational knowledge and practical skills for the effective implementation of ESMS frameworks.

On the April 1st 2024, Healthcare Fund has conducted an In-depth ESG-specific training. The event consisted of interactive workshops and seminars, aimed at strengthening the team's ability to integrate ESG considerations into investment decisions. A special emphasis was placed on E&S management system and ESDD methodology. The training targeted trainees including Healthcare Fund Team, Management Consultants, ESG Working group and Legal Counsel, ensuring that key decision-makers were well-equipped with comprehensive ESG knowledge. Detailed records of the training, including schedule, content, and participant feedback will be maintained and included in the next annual monitoring report.

Table 3: E&S trainings

Training Topics	Time	Training Partner	Training Target	Number of participants
ESG Introductory Training <ul style="list-style-type: none"> Key E&S standards and requirements E&S risks of different industries and countries Methods of ESDD and assessment 	2023.9.19	SynTao Green Finance	ESG Working Group & Management consultants	8
Training Records 				




As the end of 2023, Legend capital had a total of 149 full-time employees, comprising 81 males and 68 females.

III. Summary of Current Operations









AIIB fund has been allocated to 15 investee companies in 2020 (Table 5) and no new invested companies in this reporting period. Environmental and social due diligence (ESDD) has been carried out for all the 15 investee companies prior to the investment. The approved investee companies are categorized as Category B (93%) and Category C (7%). There were no reported significant environmental and social events or grievances




related to land acquisition, resettlement, indigenous peoples issues, labor, or environmental complaints across all investee companies during this reporting period.

Table 5: Summary of the Investee Companies AIIB Funded

S/N	Company Name	Chinese Name	Logo	Business activity	E&S Category	Any significant environmental and social event ¹ during the reporting period? If yes, please specify	Please list any effective grievance or dispute (including court action) regarding land acquisition, resettlement, indigenous, labor, or environmental complaints received during 2023
1	Aidite	爱迪特		Manufacturing of dental device and equipment	B	None	None
2	Birdo	都创		CRO, CDMO and Molecular Blocks	B	None	None
3	Biotheus	普米斯		Biomedicine and precision treatment	B	None	None

¹ Examples of significant incidents such as: chemical and/or hydrocarbon materials spills; fire, explosion of unplanned releases, including during transportation; ecological damage/destruction; local population impact, complaint or protest; failure of emissions or effluent treatment; legal/administrative notice of violation; penalties, fines or increase in pollution charges; negative media attention; chance cultural finds; labor unrest or disputes; local community concerns, or NGO/CSO concerns. Also include information if there are any additional land acquisitions and resettlement impacts.

4	Bioheart	百心安		R&D, and manufacturing of cardiovascular device	B	None	None
5	Biomap	百图生科		Information technology and biotechnology	B	None	None
6	dMed	缔脉		Multi-Therapeutic CRO	C	None	None
7	Innostellar	朗信		Biomedicine and precision therapy	B	None	None
8	Bondent	博恩登特		Dental device manufacturing and service	B	None	None
9	Sciwind	先为达		Development of new biomolecules in metabolic diseases	B	None	None
10	Star Sports	天星		Sports medicine medical device production, research and development, sales	B	None	None
11	Hemo	禾木		Medical device research and development, production and sales	B	None	None

12	Exegenesis	嘉因	 EXEGENESIS BIO	Biomedicine and precision treatment	B	None	None
13	Lynk Pharma	凌科	 LYNK PHARMACEUTICALS	Medicine drug research	B	None	None
14	ForQaly	丰凯利	 丰凯利 FORQALY	Ventricular assist system product development and manufacture	B	None	None
15	HCSci	瀚辰光翼	 HCSCI 瀚辰光翼	R&D, manufacturing, sales and after-sales service of life science and technology equipment, consumables, reagent automation and intelligent solutions	B	None	None

In the reporting period , there are 3 company which had new construction project (table 6), there are no E&S relevant accidents and penalty happened and no significant E&S Impacts and Risks in the reporting period as far as we know based on ESDD.

Table 6: Summary of new construction of portfolio company during the reporting period

S/N	Company name	Project summary	ESDD methods/Date	Is there any E&S relevant accidents or penalty deduction happened?	Is there any significant E&S impact and risks?
1	Birido	CDMO production base of Birido Pharmaceutical (Chongqing Plant)	Legend Capital did not conduct on site visit during the reporting period, the working group did the ESDD through several methods including public information, document review and verify with government departments instead.	There are no E&S relevant accidents and penalty happened in the reporting period base on ESDD	There are no significant E&S Impacts and Risks as far as we know based on ESDD.
2	Biotheus	New R&D building, production building, warehouse, cell therapy and utility station and some ancillary buildings	The working group did several site visits during the construction. Date of last site visit is 2023/11/23	There are no E&S relevant accidents and penalty happened in the reporting period base on ESDD	There are no significant E&S Impacts and Risks as far as we know based on ESDD.

3	Sciwind	Office expansion and decoration project	Since the new construction program mainly includes the office expansion, and the construction period was under 3 months, the working group did the ESDD base on the documents provide by the company.	There are no E&S relevant accidents and penalty happened in the reporting period base on ESDD	There are no significant E&S Impacts and Risks as far as we know based on ESDD.
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IV. Stakeholder Engagement and Grievance Redress

LC HC Fund II has established an external communication mechanism and a dedicated mailbox (grm@legendcapital.com.cn) to receive complaints, which was published on the website of Legend Capital (https://www.legendcapital.com.cn/common_en/index.aspx?nodeid=57). As of the end of this reporting period, no complaints or grievances have been received. The portfolio information of LC HC Fund II was also disclosed on the website (11.pdf ([legendcapital.com.cn](https://www.legendcapital.com.cn))).

The LC website also published AIIB's Project-affected People's Mechanism, https://www.legendcapital.com.cn/common_en/index.aspx?nodeid=57.

V. Gaps and Corrective Measures

No corrective actions were required at fund level during this reporting period.

At investee company level, during the pre-investment environmental and social due diligence, some gaps against the ESMS of LC HC Fund II were identified. Afterwards, LC put forward time-bound improvement action plans to the investee companies. Most of the deficiencies have been corrected in 2021 (see the 1st AESPMR). The remaining areas for improvement are shown in the table below. LC ESMS team will continue to follow up and report to the AIIB in the next annual report.

Table 6: Corrective Actions for Investee Companies

SN	Company Name	Corrective actions required	Timeframe
1	Aidite	None	N/A
2	Birdo	<p>1) provide necessary project information to LC and assist LC conduct ESDD for the proposed Shandong plant once the information is available. Birdo shall take corrective actions if any non-compliance is identified during the ESDD.</p> <p>2) Incorporate the clauses related to minimum space, supply of water, adequate sewage and garbage disposal system, appropriate protection against heat, cold, damp, noise, fire and disease-carrying animals, adequate sanitary and washing facilities, ventilation, cooking and storage facilities natural and artificial lighting, as relevant basic medical services, freedom of movement and of association and good housekeeping into the civil work contract for the new plants.</p> <p>3) disclose the EIA of Shandong Plant on the website of Birdo when it is ready;</p> <p>4) conduct consultation and information disclosure with nearby community and other relevant stakeholders for the Chongqing Plant and Shandong Plant prior to commencement of construction.</p> <p>5) LC will conduct follow-up semi-annual E&S compliance auditing during the construction of</p>	<p>1) Not applicable. Birdo has cancelled the Shandong plant project.</p> <p>2) Done. Relevant clauses are incorporated into the civil work contract of Chongqing plant.</p> <p>3) Not applicable. Birdo has cancelled the Shandong plant project.</p> <p>4) Done. No community in the surrounding. Project information has been disclosed on the entrance of the construction site of Chongqing plant.</p> <p>5) Birdo provided annual E&S performance report for the Chongqing plant in 2023. Birdo has cancelled the Shandong plant project.</p>

		Chongqing Plant and Shandong Plant and report the status in the annual E&S performance monitoring report to AIIB.	
3	Biotheus	establish employment GRM including procedures and timeframe to address the complaints and concerns raised by the employees within 90 days from receiving the corrective action plan from LC.	Done in 2022
4	Bioheart	None	N/A
5	Biomap	<p>1) establish formal GRM form employees and external stakeholders with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclose the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days from receiving the corrective action plan from LC.</p> <p>2) set up EHS related department and establish EHS system covering bio-safety, emergency response, chemical management, waste disposal etc. and provide adequate trainings to the staff once the labs are in use.</p>	<p>1) Done in 2022</p> <p>2) Done in 2022</p>
6	dMed	None	N/A

7	Sciwind	<p>1) The standard operation procedures and regulations regarding to lab management, chemical use management, hazardous waste management and emergency preparedness plan shall be in place prior to operation of the R&D center, which is expected to be in May 2021.</p> <p>2) SciWind shall develop training plan and organize adequate trainings on EHS to the staff prior to operation, which is expected to be in May 2021.</p> <p>3) Establish formal GRM with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclose the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days receiving the recommended corrective action plan from LC.</p> <p>4) Establish employee GRM procedures within 90 days from receiving the recommended corrective action plan from LC.</p>	<p>1) Done in 2022.</p> <p>2) Done in 2022.</p> <p>3) Partially done. The company had contact information on the official website: https://www.sciwind.com.cn/contact/6.html. The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.</p> <p>4) Partially done, the company already completed salary and performance appeal mechanism in the < Performance management system >. It is expected to improve the employee GRM in 2024.</p>
8	Innostellar	None	N/A
9	Bondent	None	N/A
10	Star Sports	None	N/A
11	Hemo	Establish formal GRM with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclosed the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days from receiving the recommended corrective action plan from LC.	<p>1) Partially done, the company had contact information on the official website: http://www.hemochina.com/public/zshz-106.html. The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.</p>



12	Exegenesis	Establish formal GRM with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclosed the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days receiving the recommended corrective action plan from LC.	1) Partially done, the company had contact information on the official website: https://exegenesisbio.com/contact/ . The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.
13	Lynk Pharma	<p>1) Establish formal GRM with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclosed the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days receiving the recommended corrective action plan from LC.</p> <p>2) Purchase spill containment trays and place the waste liquid container on the spill containment trays to prevent accidental spills within 90 days receiving the recommended corrective action plan from LC.</p> <p>3) Develop annual EHS training program within 90 days receiving the recommended corrective action plan from LC and provided adequate trainings on EHS, especially on chemicals management and emergency preparedness to its staff every year.</p> <p>4) establish employment GRM including procedures and timeframe to address the complaints and concerns raised by the employees within 90 days.</p>	<p>1) Partially done, the company had contact information on the official website: https://www.lynkpharma.com/. The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.</p> <p>2) Done. Trays are provided on site.</p> <p>3) Done. See the training records.</p> <p>4) On-going. The internal GRM is expected to be established in the 2024.</p>
14	ForQaly	1) establish formal GRM with clearly defined procedures and timeframe to resolve any	1) Partially done, the company had contact information on the official website: https://www.forqaly.com/ . The fund will continue to

		<p>complaints raised by the affected people and disclose the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days receiving the recommended corrective action plan from LC.</p> <p>2) establish employment GRM including procedures and timeframe to address the complaints and concerns raised by the employees within 90 days.</p>	<p>encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.</p> <p>2) Done in 2023. The internal GRM has been established in the first quarter of 2023 and the company regularly conducts employee satisfaction surveys as a supplement</p>
15	HCSi	None	N/A

Appendix 1 E&S Monitoring Report-Aidite

Company Name	Aidite (Qinhuangdao) Technology Co.		
Main business	Zirconia, glass ceramic, resin and other dental materials, dental digital solutions and services		
Address	No 9. Dushan Road, Economic and Technological Development Zone, Qinhuangdao City, Hebei Province, China		
Website / Homepage	https://www.aidite.com/		
Management staff responsible for environmental and social affairs	Name: Xie Wandong Position: Vice President		
Prepared by	Name: Zhu Menghan Position: Representative for securities affairs Contact information.18833507952		
Reporting Period	Current Period (Jan 1-Dec 31, 2023)		
Number of employees statistics		Male	Female
	Permanent staff	468	345
	Outsourced employees	0	0
	Management	56	20
	Total	524	365
New jobs created during the reporting period	123		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No There was no economic retrenchment in the reporting period.		
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	None		
Whether major environmental and safety accidents/incidents	None		

have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan				
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	None			
Please describe the environmental, health and safety training and fire drills organized during this reporting period	Training Topics	Time	Training Target	Number of participants
	Annual production safety re-education,	11 th Mar 2023	All staff	550
	Safety training for Supervisor	4 th Apr 2023	Team leaders and responsible supervisors from various departments	16
	Emergency response and drill	29 th May 2023	All staff	550

Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Hazardous waste	<p>Category: waste chemical reagents. Generation: 0.052 tons Contracted hazardous waste disposal company: Qinhuangdao Xusankou Hazardous Waste Treatment Co. Photos of the company's temporary storage site:</p>  <p>Category: waste activated carbon. Generation: 0.27 tons Contracted hazardous waste disposal company: Qinhuangdao Xusankou Hazardous Waste Treatment Co. Photos of the company's temporary storage site:</p> 
Implementation of E&S corrective action plan	No corrective action required.

Appendix 2 E&S Monitoring Report-Birdo

Company Name	Birdo (Shanghai) Pharmaceutical Technology Co.		
Main business	CRO, CDMO and Molecular Blocks		
Address	Room 402-A, Building 1, No.1199 Indigo Road, Pudong New Area, Shanghai		
Website / Homepage	https://www.birdotech.com/zh		
Management staff responsible for environmental and social affairs	Name: Wang Shufa Position: Secretary of the Board of Directors		
Prepared by	Name: Wang Shufa Position: Secretary of the Board of Directors Contact: shufa.wang@birdotech.com		
Reporting Period	1 January 2023-31 December 2023		
Number of employees		Male	Female
	Permanent staff	309	159
	Outsourced employees	0	0
	Management	94	26
New jobs created during the reporting period	-139		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	None		
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so, please briefly	None		

explain the causes of the accidents and the treatment plan				
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	None			
Please describe the environmental, health and safety training and fire drills organized during this reporting period	Training Theme	Time	Who to train	Number of people
	OHS system training, safety training of drug theft prevention	2023-01	R&D team leader and experimenter	34
	New safety law, new solid waste law training	2023-02	R&d team leader, security officer, and supply chain, management staff	34
	Hazardous chemical/Hazardous Waste Spill emergency drill	2023-03	Newly graduated R&D personnel	32
	Training on safety precautions and fire safety knowledge after resuming work and production	2023-04	Full R&D staff	24
	Occupational disease related regulations, training on drug theft prevention and	2023-05	Full R&D staff	30

	security in explosive dramas			
	Safety Production Month, Anti Fraud	2023-06	Full staff of pharmaceutical and logistics support department	15
	Occupational health, safety, and environmental management reward and punishment system, training on hazardous chemical safety, and safety training on explosives, drugs, theft prevention, and robbery	2023-07	Full R&D staff	24
	Anti fraud	2023-08	All staff	103
	Management system for occupational disease protective equipment and management system for hazardous reactions in small-scale trials	2023-09	Full R&D staff	13
	Hazardous chemical safety, and Fire safety training	2023-10	Pharmacy/Process/QC	17
	Hazardous chemical safety management, sharing of accident cases, and fire evacuation drills	2023-11	All staff	144
	Standardized training on laboratory safety and hygiene	2023-12	Staff from all departments	62
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Hazardous waste	<u>Birdo (Shanghai) Pharmaceutical Technology Co., Ltd</u> Category: Laboratory waste liquid, hazardous solid waste and waste activated carbon Yield: 121.369t Contracted company for hazardous waste disposal: Shanghai Tianhan Environmental Resources Co., Ltd, Shaanxi Shuifa Environment Co. Photos of the company's temporary storage on site:			



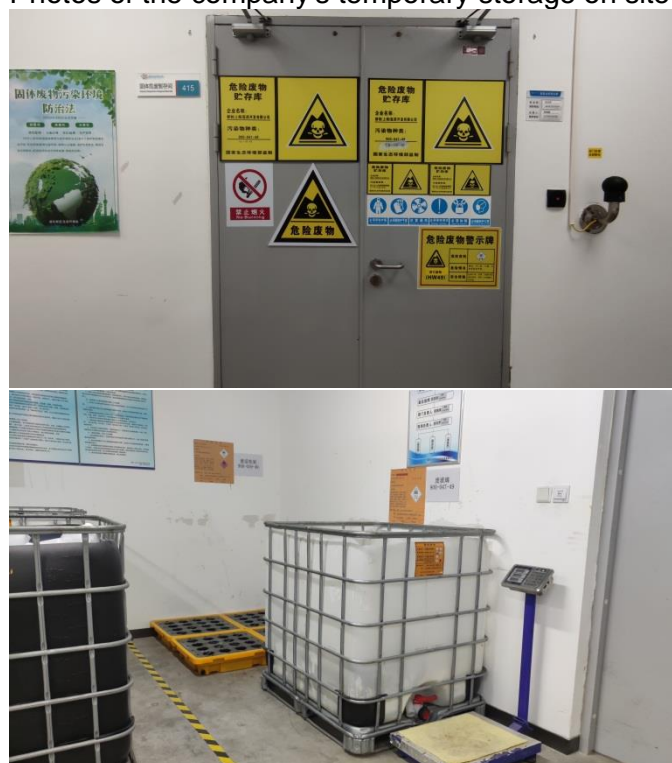
Birdo (Shanghai) Pharmaceutical Development Co., Ltd

Category: Laboratory liquid waste (900-047-49) , Laboratory waste (900-047-49), waste chromatographic column (900-041-49), waste chemical packaging (900-041-49), waste mineral oil (900-249-08), waste activated carbon (900-039-49)

Yield: 236.8542 t

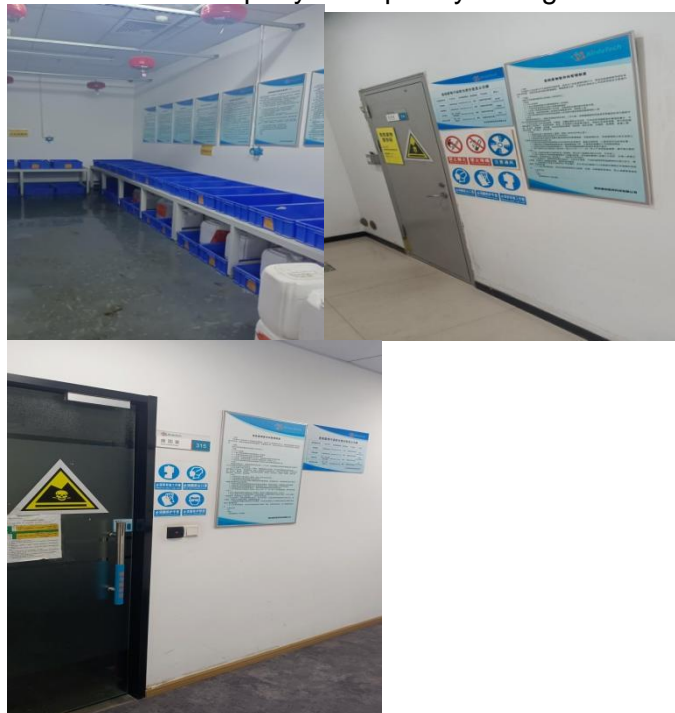
Contracted company for hazardous waste disposal: Shanghai Tianhan Environmental Resources Co., Ltd

Photos of the company's temporary storage on site:





Xi'an Birdo Medical Technology Co, Ltd
 Category: Liquid waste (900-047-49), solid waste (900-47-49), waste activated carbon (900-041-49)
 Yield: 190t
 Contracted company for hazardous waste disposal: Shanxi Shuifa Environment Co, Ltd
 Photos of the company's temporary storage on site:



Birdo (Chongqing) Pharmaceutical Technology Co., Ltd

Category: R&D waste Liquid (900-047-49)/Laboratory contamination (900-047-49)/R&D waste product (900-047-49)/Reagent Bottle (900-047-49)/waste activated carbon (900-039-49)

Yield: 62.315t

Contracted company for hazardous waste disposal: Chongqing Zhongsi Runhe Environmental Protection Technology Co., Ltd/Chongqing Zhongming Gangqiao Environmental Protection Co., Ltd

Photos of the company's temporary storage on site:



Implementation of E&S corrective action plan:

1) Establish dedicated GRM for the construction of new plants before the commencement of construction and ensure the workers of contractor also have access to the GRM.

2) Disclose the EIA of Chongqing plant on the website of Birdo by 30 September 2021.

Birdo had taken corrective action according to the action plan

1) Partially done. The company had contact information on the official website:

<https://www.birdotech.com/zh/contact.html>. The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.

<p>3) provide necessary project information to LC and assist LC conduct ESDD for the proposed Shandong plant once the information is available. Birdo shall take corrective actions if any non-compliance is identified during the ESDD.</p> <p>4) Incorporate the clauses related to minimum space, supply of water, adequate sewage and garbage disposal system, appropriate protection against heat, cold, damp, noise, fire and disease-carrying animals, adequate sanitary and washing facilities, ventilation, cooking and storage facilities natural and artificial lighting, as relevant basic medical services, freedom of movement and of association and good housekeeping into the civil work contract for the new plants.</p> <p>5) disclose the EIA of Shandong Plant on the website of Birdo when it is ready;</p> <p>6) conduct consultation and information disclosure with nearby community and other relevant</p>	<p>2) Done. The EIA was approved by Chongqing Municipal Ecology and Environment Bureau in July 2021. The full EIA was disclosed on: http://sthjj.cq.gov.cn.</p> <p>3) Not applicable. Birdo cancelled the Shandong plant project in 2022.</p> <p>4) Done. EHS clauses have been incorporated into the civil work contract of Chongqing plant.</p> <p>5) Not applicable. Birdo cancelled the Shandong plant project in 2022.</p>
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<p>stakeholders for the Chongqing Plant and Shandong Plant prior to commencement of construction.</p>	<p>6) Done. For Chongqing plant: there is no residents or other plants in the surrounding. Two rounds of information disclosure and public consultation have been done in the EIA process. Project information was disclosed on Chongqing Evening News (19 Jan 2021 and 21 Jan 2021), website of Tongnan District Government (15 Jan 2021 and 9 July 2021) before submission to the Chongqing Ecology and Environment Bureau. The full EIA report was disclosed on the website of Chongqing Ecology and Environment Bureau (21 July 2021). No comments were received during the public notice period. Project information was disclosed on the entrance of the construction site.</p>
<p>7) continue to comply with the regulatory requirements and submit annual E&S report in the agreed format to LC.</p>	<p>7) Done</p>
<p>LC will conduct follow-up semi-annual E&S compliance auditing during the construction of Chongqing Plant and Shandong Plant and report the status in the annual E&S performance monitoring report to AIIB.</p>	<p>8) Birdo provided annual E&S performance report for the Chongqing plant in 2023. Birdo has cancelled the Shandong plant project.</p>

If there are projects under construction during the reporting period, please fill in the following table.

1. Please briefly describe the construction content, start time and expected completion time of the project under construction.

Project Name: CDMO production base of Birdo Pharmaceutical (Chongqing Plant);
Project Location: Chongqing Tongnan High-tech Zone Environmental Protection and Technology Industrial Park

Tongnan Industrial Park: The industrial park, established in 2009, has a planning area of 18 km². No issues regarding critical natural habitats and cultural heritage. The total population of Tongnan District is 0.64 million. Ethnic minority accounts for 0.1% of the total population, including Zhuang, Miao, Hui, Buyi etc. However, No ethnic minority in the project area.

Land acquisition: Birdo obtained the land use right through opening auction in Nov 2020 at price of CNY90,000/mu. The land acquisition was completed in March 2020. No legacy issues or court cases related to the land. The land auction information was disclosed on the website of Chongqing Municipal Government (http://www.cq.gov.cn/zwgk/wlzcwj/zbtb/tjkyq/jygg2/202010/t20201013_7972715.html)

Construction scale: land area of 66675.34 m², about 100 mu.

Construction contents: 3 Class A workshops, 1 hydrogenation workshop, 1 comprehensive building, 1 power workshop, 1 Class A warehouse, 1 Class A 3, 4 warehouse, 1 hazardous waste warehouse (A), 1 Class C warehouse, Class A tank area and supporting loading and unloading area, sewage treatment station, fire pool, accident pool, security guard.

Commencement date: January 2022. One of the workshops is expected to begin trial production in August 2024, while the scheduling for the remaining workshops will be updated in accordance with the company's development plan.

2. Has the project under construction obtained the relevant environmental social permit? If yes, please indicate the approval time and approval body (e.g. environmental impact assessment)

☒ Yes ☐ No

The environmental impact assessment was approved by the Chongqing Ecological Environment Bureau on 6 September 2021.

Approval Document No. Yu (Shi) Huan Zhu [2021] 031.

The land property certificate was obtained in 26 November 2020.

3. Number of construction workers during peak period: 200.

4. Is there a construction camp on site, if so, please provide photos of the construction camp.

☒ Yes ☐ No



5. Please confirm that EHS requirements are incorporated into engineering, procurement, and construction contracts.

☒ Yes ☐ No

6. Please confirm whether the contractor has developed a construction site environmental management plan.

☒ Yes ☐ No

7. Whether to provide personal protective equipment to workers (please attach photos of workers on site construction)

☒ Yes ☐ No



8. Whether EHS-related training is provided to workers on a regular basis (please attach training records)

☒ Yes ☐ No

SN	Topic	Frequency	Participants
1	New Workers Safety Education and training before work	All workers must complete the training before work.	All 274 workers
2	Firefighting training	Twice a year	All 274 workers
3	Safety production training	Quarterly (4 times)	All 274 workers
4	Identifying major accident hazards	Non scheduled	15

Sample training records:



会议签到表					
1名称	都创医药CDMO生产基地项目二标段《生产区建筑工程》				
2议题	市建委2023年安全生产月启动仪式暨项目安全会议				
3时间	2023.6.9 9:30	主持人	项目安全会议		
4	参会人员	姓名	职务	联系电话	备注
	王... ..	项目经理	项目经理		
	李... ..	安全	安全		
	张... ..	技术负责人	技术负责人		
	陈... ..	重庆安泰	安全员		
	罗... ..				
	刘... ..	重庆安泰集团	安全员	1580272029	
	向... ..				
	李... ..				
	李... ..	重庆建工集团	安全员	1305144607	



9. Are real-time monitoring facilities for noise, PM₁₀ and PM_{2.5} installed and connected to the local government's control center?

☒ Yes ☐ No

10. Whether the noise, PM₁₀ and PM_{2.5} monitoring results have exceeded the standard. If so, what corrective measures have been taken

☐ Yes ☒ No

11. Do contractor workers have access to the company's workplace-related grievance mechanisms? If not, how does the company ensure that contractor workers have avenues to raise grievances related to labor and working and employment conditions?



☒ Yes ☐ No

There are "Right protection information" published on the worker's work site. Display basic information of construction, regulatory departments, and labor management personnel clearly. indicate labor laws and regulations, regulatory department complaints channels, labor dispute arbitration, and labor security complaint hotline, etc.

Appendix 3 E&S Monitoring Report-Biotheus

Company Name	Biotheus		
Main business	Mainly engaged in the development and commercialization of innovative biologics, including antibody drugs and cell therapy products		
Address	Headquartered in Zhuhai, Guangdong Province, China		
Website / Homepage	www.biotheus.com		
Management staff responsible for environmental and social affairs	Name: Xu Yingda Position: vice president		
Prepared by	Name: He Bingyan Position: senior director Contact information.13671667349		
Reporting Period	1 Jan to 31 Dec, 2023		
Number of employees		Male	Female
	Permanent staff	112	179
	Outsourced employees	0	0
	Management	36	44
New jobs created during the reporting period	0		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	None		
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so,	None		

please briefly explain the causes of the accidents and the treatment plan				
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
Please describe the environmental, health and safety training and fire drills organized during this reporting period	Training Topics	Time	Training Target	Number of participants
	Training for limited space poisoning	June 2023	Operations and Maintenance Department	7
	Firefighting training	June 2023	All Staff	26
	Fire drill	Nov 2023	All Staff	70
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Hazardous waste	Category: Wastewater treatment sludge, Yield: 4.516t Category: Waste disposable consumables Yield: 3.874t Category: Waste organic solvents Yield: 0.304t Category: Waste film Yield: 4.0457t Category: Waste activated carbon			

	<p>Yield: 0.404t Category: Laboratory waste Yield: 0.03t Contracted company for hazardous waste disposal: Nantong Guoqi Environmental Protection Technology Co., Ltd</p> <p>Photos of the company's temporary storage on site:</p> <div></div>																																																																								
<p>Implementation of E&S corrective action plan:</p> <p>1. keep good records on management of hazardous waste, including amount generated, and duplicate forms for transfer of hazardous waste, and report to LC as part of the annual E&S report.</p> <p>2. continue to comply with the regulatory requirements and submit annual E&S report in the agreed format to LC by end of January each year.</p>	<p>1. Done. Hazardous waste management records were provided to LC.</p> <p>Hazardous waste generation record:</p> <table><tr><th rowspan="2">废物类型</th><th rowspan="2">废物代码</th><th rowspan="2">国家危险废物名录名称</th><th rowspan="2">废物名称</th><th rowspan="2">单位</th><th rowspan="2">有害成分名称</th><th rowspan="2">形态</th><th rowspan="2">危险特性</th><th colspan="2">产生情况</th></tr><tr><th>废物代码</th><th>产废量</th></tr><tr><td>HW49</td><td>772-006-49</td><td>采用物理、化...</td><td>废水处理污泥</td><td>吨</td><td>活性污泥</td><td>半固态</td><td>感染性、毒性</td><td>772-006-49</td><td>4.516</td></tr><tr><td>HW49</td><td>900-039-49</td><td>烟气、VOCs ...</td><td>废活性炭</td><td>吨</td><td>有机试剂、氮...</td><td>固态</td><td>毒性</td><td>900-039-49</td><td>0.404</td></tr><tr><td>HW49</td><td>900-041-49</td><td>含有或沾染毒...</td><td>废一次性耗材</td><td>吨</td><td>一次性手套、...</td><td>固态</td><td>感染性、毒性</td><td>900-041-49</td><td>3.874</td></tr><tr><td>HW49</td><td>900-041-49</td><td>含有或沾染毒...</td><td>废膜</td><td>吨</td><td>膜、细胞、有...</td><td>固态</td><td>感染性、毒性</td><td>900-041-49</td><td>4.0457</td></tr><tr><td>HW49</td><td>900-047-49</td><td>生产、研究、...</td><td>废有机溶剂</td><td>吨</td><td>含甲醇、乙醇...</td><td>液态</td><td>腐蚀性、易...</td><td>900-047-49</td><td>0.304</td></tr><tr><td>HW49</td><td>900-047-49</td><td>生产、研究、...</td><td>实验室废物</td><td>吨</td><td>废耗材、废球...</td><td>固态</td><td>腐蚀性、易...</td><td>900-047-49</td><td>0.03</td></tr></table> <p>2. Done. The E&S report of Biotheus was provided to LC in April 2024.</p>	废物类型	废物代码	国家危险废物名录名称	废物名称	单位	有害成分名称	形态	危险特性	产生情况		废物代码	产废量	HW49	772-006-49	采用物理、化...	废水处理污泥	吨	活性污泥	半固态	感染性、毒性	772-006-49	4.516	HW49	900-039-49	烟气、VOCs ...	废活性炭	吨	有机试剂、氮...	固态	毒性	900-039-49	0.404	HW49	900-041-49	含有或沾染毒...	废一次性耗材	吨	一次性手套、...	固态	感染性、毒性	900-041-49	3.874	HW49	900-041-49	含有或沾染毒...	废膜	吨	膜、细胞、有...	固态	感染性、毒性	900-041-49	4.0457	HW49	900-047-49	生产、研究、...	废有机溶剂	吨	含甲醇、乙醇...	液态	腐蚀性、易...	900-047-49	0.304	HW49	900-047-49	生产、研究、...	实验室废物	吨	废耗材、废球...	固态	腐蚀性、易...	900-047-49	0.03
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If there are projects under construction during the reporting period, please fill in the following table.

<p>1. Please briefly describe the construction content, start time and expected completion time of the project under construction.</p> <ul style="list-style-type: none"> The construction of the R&D building, production building, warehouse, cell therapy and utility station and some ancillary buildings is underway, which was started on June 28, 2021, and completed on March 2023, get the property certificate at April 22, 2023. The internal decoration of Building 4 started in October 2023, and is expected to be completed in May 2024. Trial production will begin in June 2024.

2. Has the project under construction obtained the relevant environmental social permit? If yes, please indicate the approval time and approval body (e.g. environmental impact assessment)

☒ Yes ☐ No

- The Environmental Impact Report for the Phase I of Biotheus Innovative Drug Production Project was approved by the Ecological Environment Bureau of Nantong Economic and Technological Development Zone on August 4, 2021.
- The land use right with an area of 53,320.34 square meters was obtained in 7 April 2021.
- The land was located on the West of Tongsheng Avenue and North of Hexing Road, Nantong Economic and Technological Development Zone, the land was directly purchased from the Nantong government and the land was acquired by the Nantong government 8-9 years ago, so it does not involve any land acquisition and resettlement issues.
- The specific timeline for the implementation of the Project is as follows:
 - April 2021: Completed the land auction and purchase.
 - June 28, 2021: Obtained the construction permit and officially began construction.
 - February 22, 2023: Completed the factory building construction and carried out the five-party acceptance procedure for the factory.
 - April 20, 2023: Obtained the property ownership certificate for the Nantong production base.
 - October 2023: Began the electromechanical and interior construction of the Jinxing project (Building #4).
 - June 2024: Completed electromechanical installation and interior work, with production slated to commence.

3. Number of construction workers during peak period: 300.

4. Is there a construction camp on site, if so, please provide photos of the construction camp.

☒ Yes ☐ No



5. Please confirm that EHS requirements are incorporated into engineering, procurement, and construction contracts.

☒ Yes ☐ No

6. Please confirm whether the contractor has developed a construction site environmental management plan.

☒ Yes ☐ No

7. Whether to provide personal protective equipment to workers (please attach photos of workers on site construction)

☒ Yes ☐ No



8. Whether EHS-related training is provided to workers on a regular basis (please attach training records)

☒ Yes ☐ No



9. Are real-time monitoring facilities for noise, PM₁₀ and PM_{2.5} installed and connected to the local government's control center?

☒ Yes ☐ No

10. Whether the noise, PM₁₀ and PM_{2.5} monitoring results have exceeded the standard. If so, what corrective measures have been taken

☐ Yes ☒ No


11. Do contractor workers have access to the company's workplace-related grievance mechanisms? If not, how does the company ensure that contractor workers have avenues to raise grievances related to labor and working and employment conditions?

☒ Yes ☐ No

Appendix 4 E&S Monitoring Report-Bioheart

Company Name	Shanghai Bio-heart Biological Technology Co., Ltd		
Main business	Research and development of medical devices		
Address	Room 302, Building 9 North, No. 590, Ruiqing Road, Pudong New Area, Shanghai, China		
Website / Homepage	http://www.bio-heart.com/		
Management staff responsible for environmental and social affairs	Name: Wang Yunxin Position: CFO		
Prepared by	Name: Sun Haoxin Position: Investor Relationship Contact: 13584933648		
Reporting Period	1 Jan to 31 Dec, 2023		
Number of employees statistics		Male	Female
	Permanent staff	14	18
	Outsourced employees	0	0
	Management	7	1
New jobs created during the reporting period	N/A		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>According to operational planning, some positions have been reduced. 26 employees have been laid off. The relevant resignation procedures have been handled in accordance with relevant laws and regulations.</p> <p>Reasons for cost-cutting and layoffs: The company is a Hong Kong-listed firm. Due to the sluggish Hong Kong capital market and poor expectations for corporate financing, coupled with the clinical failure of products comparable to Medtronic, with the worst-case scenario being failure to obtain FDA approval, the company's product outlook has worsened. To conserve cash flow and align with the company's operational plans, a decision was made to lay off approximately 26 employees, with a total workforce of 32 employees as of the end of 2023.</p> <p>Compliance with the layoff process: The departure process was handled in accordance with labor laws and regulations. Most employees were compensated according to the N+1 formula, with one month's prior notice. No related labor arbitration incidents occurred afterward.</p>		
Please confirm that the company fully complies with national and	<input checked="" type="checkbox"/> Yes		

local environment, health and safety (EHS) and labor-related laws and regulations.	<input type="checkbox"/> No			
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	None			
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan	None			
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	None			
Please describe the environmental, health and safety training and fire drills organized during this reporting period	Training Topics	Time	Training Target	Number of participants
	Fire Safety training	Oct 24 th 2023	Frontline employee	9
	Safety training	Dec 22 th , 2023	Frontline employee	9
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Hazardous waste	Category: 900-047-49 laboratory waste liquid; 900-041-49 Lab waste glass Amount: 0.3 tons/year Contracted company for hazardous waste disposal: Shanghai Tianhan Environmental Resources Co.			

	
Implementation of E&S corrective action plan.	No corrective action is required based on the ESDD results.


Appendix 5 E&S Monitoring Report-Biomap

Company Name	Biomap (Beijing) Intelligent Technology Co.		
Main business	Biological computing platform		
Address	101, 2 nd floor, Building 10, NO.9 Yongteng North Road , Haidian District, Beijing		
Website / Homepage	www.biomap.com		
Management staff responsible for environmental and social affairs	Name: Zhen Peng Position: Operations Platform Manager		
Prepared by	Name: Zhao Qiurong Position: Investor relations manager Contact: qiurong@biomap.com		
Reporting Period	1 January-31 December 2023		
Number of employees statistics		Male	Female
	Permanent Staff	115	58
	Outsourced employees	0	2
	Management	15	4
New jobs created during the reporting period	26		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	None.		
Please Confirm that the company fully complies	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		

with national and local environment, health and safety (EHS) and labor-related laws and regulations.	
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	None
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan	None
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None

Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None				
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	None				
Please describe the environmental, health and safety training and fire drills organized during this reporting period	Training Topics	Date	Target	Number of participants	
	Laboratory safety inspection	2023/1/9	Securities	4	
	Lab biosafety training	2023/1/10	Lab staffs	11	
	Laboratory safety inspection	2023/1/17	Securities	4	
	Lab biosafety training	2023/3/3	Lab staffs	3	
	ELN and sample inspection training	2023/4/17	Lab staffs	44	

	Lab biosafety training	2023/4/21	Lab staffs	18																																				
	Precautions for holiday safety inspection	2023/4/26	Securities	5																																				
	Lab biosafety training	2023/6/8	Lab staffs	3																																				
	Firefighting and drills	2023/9/21	All staff	45																																				
	Lab Safety Training	On-board time	New staff	-																																				
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No																																							
Hazardous waste	Category, production volume, contracted third party for hazardous waste disposal: <table border="1"> <thead> <tr> <th>S N</th><th>Hazardous Waste Name</th><th>Category of hazardous waste</th><th>Amount produced(tons/year)</th><th>Disposal agency</th></tr> </thead> <tbody> <tr> <td>1</td><td>Lab waste liquid</td><td>HW49</td><td>6.0428</td><td rowspan="3">Beijing Jinyu Mangrove Environmental Protection Technology Co., Ltd</td></tr> <tr> <td>2</td><td>Laboratory contamination</td><td>HW49</td><td>1</td></tr> <tr> <td>3</td><td>Waste reagents and spent reagent bottles</td><td>HW49</td><td>0.25</td></tr> <tr> <td>4</td><td>Class II laboratory waste</td><td>HW01</td><td>2.736</td><td rowspan="3">Zhangjiagang Huarui Hazardous Waste Treatment Center Co., Ltd</td></tr> <tr> <td>5</td><td>General laboratory waste</td><td>HW49</td><td>10.7878</td></tr> <tr> <td>6</td><td>Waste activated carbon</td><td>HW49</td><td>0.2009</td></tr> <tr> <td>7</td><td>Experimental medical waste</td><td>HW01</td><td>3.27</td><td>Beijing Runtai Environmental Protection</td></tr> </tbody> </table>				S N	Hazardous Waste Name	Category of hazardous waste	Amount produced(tons/year)	Disposal agency	1	Lab waste liquid	HW49	6.0428	Beijing Jinyu Mangrove Environmental Protection Technology Co., Ltd	2	Laboratory contamination	HW49	1	3	Waste reagents and spent reagent bottles	HW49	0.25	4	Class II laboratory waste	HW01	2.736	Zhangjiagang Huarui Hazardous Waste Treatment Center Co., Ltd	5	General laboratory waste	HW49	10.7878	6	Waste activated carbon	HW49	0.2009	7	Experimental medical waste	HW01	3.27	Beijing Runtai Environmental Protection
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6	Waste activated carbon	HW49	0.2009																																					
7	Experimental medical waste	HW01	3.27	Beijing Runtai Environmental Protection																																				

				Technology Co., Ltd
	Total		24.2875	
	<p>Temporary storage site for medical waste:</p>  <p>Temporary storage site for hazardous waste:</p> 			
<p>Environmental social corrective action plan implementation:</p> <p>1) establish formal GRM form employees and external stakeholders with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclose the grievances channel to the public, including AIIB's Project-</p>	<ol style="list-style-type: none"> 1) Partially done, the company had contact information on the official website: https://www.biomap.com/cn/. The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms. 2) Done. Beijing Runtai Environmental Protection Technology Co., Ltd, Beijing Jinyu Mangrove Environmental Technology Co. Ltd, Zhangjiagang Huarui Hazardous Waste Treatment Center Co., Ltd and Zhongxin Heshun Environmental Protection (Jiangsu) Co., Ltd were hired to handle the hazardous waste. 3) Done. Various EHS trainings regarding to biosafety, emergency response, safe operations were organized in 2023. 			

<p>affected People's Mechanism within 90 days from receiving the corrective action plan from LC.</p> <p>2) hire a licensed third party to handle the hazardous waste if the lab generates any waste in the list of "National Hazardous Waste List (2021 version, updated from time to time);</p> <p>3) set up EHS related department and establish EHS system covering bio-safety, emergency response, chemical management, waste disposal etc. and provide adequate trainings to the staff once the labs are in use.</p> <p>4) Continue to comply with the regulatory requirements and submit annual E&S report in the agreed format to LC in January each calendar year.</p>	<p>4) Done. The E&S report was provided to LC in March 2024.</p>
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Appendix 6 E&S Monitoring Report-dMed (CAIDYA)

Company Name	dMed Biopharmaceutical Technology (Shanghai) Co.		
Main business	Clinical Phase I-V Clinical R&D Outsourcing Services (CRO)		
Address	Room 301-305, No.298 Xiangke Road, Pudong New Area, Shanghai		
Website / Homepage	https://www.caidya.cn/		
Management staff responsible for environmental and social affairs	Name: Qian Yingshi Position: Vice President, Global Head of Human Resources and Operations		
Prepared by	Name: Yang Miaomiao Position: Human Resources and Operations Contact: 15821446566		
Reporting Period	1 Jan to 31 Dec, 2023		
Number of employees		Male	Female
	Permanent Staff	101	331
	Outsourced employees	0	0
	Management	6	6
New jobs created during the reporting period	-164		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>Reasons for cost-cutting and layoffs: The Pharmacovigilance Department's two-year COVID-19 vaccine pharmacovigilance service project with Pfizer (China) R&D Co., Ltd. was completed on schedule. The project mainly involved handling adverse events related to the vaccine. Due to a significant reduction in project requirements, Pfizer terminated the FSP contract in Q1 2023, affecting approximately 40 employees. As of the end of 2023, the total workforce was 432.</p> <p>Compliance with the layoff process: The company's layoff process complies with relevant labor laws. The company also assisted the laid-off employees by recommending other companies that could take over their roles. Communication with employees was smooth, and severance pay was provided as per regulations. Employees signed departure agreements based on mutually agreed terms. Since the affected team was dedicated to providing specialized resources to the client during a specific period (COVID), employees understood the situation, and as a result, there were no negative impacts on the company's staff.</p>		


Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	None			
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan	None			
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	None			
Please describe the environmental, health and safety training and fire drills organized during this reporting period	Topic	Date	Target	Participants
	Shanghai office Fire Drill	2023.11.16	Shanghai staff	96
	Wuhan office Fire Drill	2023.12.26	Wuhan staff	92
	Beijing office Fire Drill	2023.11.9	Beijing staff	3

Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Hazardous waste	Not applicable
<p>Implementation of E&S corrective action plan:</p> <p>As AIIB invested project, dMed is required to establish formal GRM with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclose the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days from receiving the corrective action plan from LC.</p>	<p>1) Partially done, the company had contact information on the official website: https://www.caidya.com/about-us/esg/. The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.</p>

Appendix 7 E&S Monitoring Report-Sciwind

Company Name	Hangzhou Sciwind Biotechnology Co., Ltd.		
Main business	Development of new biomolecules in metabolic diseases		
Address	1802 Room, West Peak, East International Business Center, 00No.6 Jinsha Avenue, Qiantang District, Hangzhou, China		
Website / Homepage	http://www.sciwind.com.cn/		
Management staff responsible for environmental and social affairs	Name: Pan Hai Position: General Manager		
Prepared by	Name: Fu Chunmei Position: Assistant of General Manager Contact: 13552107101		
Reporting Period	1 Jan-31 Dec, 2023		
Number of employees		Male	Female
	permanent Staff	41	66
	Outsourced employees	0	0
	Management	10	12
New jobs created during the reporting period	34		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	None		
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	None		
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan	None		

Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	None			
Please describe the environmental, health and safety training and fire drills organized during this reporting period	Topic	Date	Target	Participant
	Safety production laws and regulations	2023/7/7	All staff	All staff
	Fire drill	2023/10/24	All staff	All staff
	Laboratory Management Measures	2023/11/13	Laboratory technician	75
	Hazardous waste management	2023/12/14	Laboratory technician	67
	Highly toxic and easily producible drugs management	2023/12/14	Laboratory technician	67
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Hazardous waste	Category: HW49 Production volume: 7.319 tons/year			

	<p>Disposal unit name: Beijing Jinyu Mangrove Environmental Protection Technology Co., Ltd and Beijing Xinxing Zhongcheng Environmental Technology Co., Ltd</p> <p>Photos of the company's temporary storage site:</p> 
<p>Implementation of E&S corrective action plan:</p> <p>1) The standard operation procedures and regulations regarding to lab management, chemical use management, hazardous waste management and emergency preparedness plan shall be in place prior to operation of the R&D center, which is expected to be in May 2021.</p> <p>2) The liquid waste and solid waste from labs are identified as hazardous waste. SciWind shall engage licensed third party to handle the hazardous waste prior to operation.</p> <p>3) SciWind shall develop training plan and organize adequate trainings on EHS to the staff prior</p>	<p>1) Done. The standard operation system was developed in Q1 of 2022, including management, disposal and emergency plans for laboratory hazardous chemicals, solid waste and liquid waste.</p> <p>2) Done. BBMG Environment. Co., Ltd and Beijing Xinxing Zhongcheng Environmental Technology Co., Ltd were engaged to handle the hazardous waste.</p> <p>3) Done. An EHS Specialist has been assigned internally in Q1 of 2022.</p> <p>4) Partially done, the company had contact information on the official website: https://www.sciwind.com.cn/contact/6.html. The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.</p> <p>5) Partially done, the company already completed salary and performance appeal mechanism in the < Performance management system >. It is expected to improve the employee GRM in 2024.</p>

<p>to operation, which is expected to be in May 2021.</p> <p>4) Establish formal GRM with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclose the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days receiving the recommended corrective action plan from LC.</p> <p>5) Establish employee GRM procedures within 90 days from receiving the recommended corrective action plan from LC.</p> <p>6) Ensure the contractors and/or suppliers comply with the national labor laws through complying the terms into the services contract with contractors/suppliers by March 2021.</p>	<p>6) Done. Terms on requirements of national labor laws were included in the contract with contractor/supplier.</p>
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If there are projects under construction during the reporting period, please fill in the following table.

<p>1. Please briefly describe the construction content, start time and expected completion time of the project under construction</p> <p>Yes, Factory expansion and decoration project: 2023.4.30-2023.7.30</p>
<p>2. Has the project under construction obtained the relevant environmental social permit? If yes, please indicate the approval time and approval body (e.g. environmental impact assessment)</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Not applicable, the factory expansion and decoration project do not require environmental social permit.</p>
<p>3. Number of construction workers during peak period: 15</p>

4. Is there a construction camp on site, if so, please provide photos of the construction camp?

☐ Yes ☒ No

5. Please confirm that EHS requirements are incorporated into engineering, procurement and construction contracts.

☒ Yes ☐ No

6. Please confirm whether the contractor has developed a construction site environmental management plan

☒ Yes ☐ No

7. Whether to provide personal protective equipment to workers (please attach photos of workers on site construction)

☒ Yes ☐ No



8. Whether EHS-related training is provided to workers on a regular basis (please attach training records)

☒ Yes ☐ No



9. Are real-time monitoring facilities for noise, PM10 and PM2.5 installed and connected to the local government's control center?

☐ Yes ☒ No

10. Whether the noise, PM10 and PM2.5 monitoring results have exceeded the standard. If yes, what corrective measures have been taken

☐ Yes ☒ No


11. Do contractor workers have access to the company's workplace-related grievance mechanisms? If not, how does the company ensure that contractor workers have channel to raise grievances related to labor and working and employment conditions?

☒ Yes ☐ No

Appendix 8 E&S Monitoring Report-Bondent

Company Name	Shanghai Boendent Technology Co.		
Main business	R&D, production and sales of oral medical devices		
Address	13F, Hope Business Building, No. 655, Fengzhou Road, Jiading New Town, Jiading District, Shanghai		
Website / Homepage	www.bondent.com		
Management staff responsible for environmental and social affairs	Name: Li Yanlong Position: Board Secretary/Vice President		
Prepared by	Name: Chen Litong Position: Investment and Financing Manager Contact: 18225878706		
Reporting Period	1 Jan-31 Dec, 2023		
Number of employees		Male	Female
	permanent Staff	529	375
	Outsourced employees	0	0
	Management	4	2
New jobs created during the reporting period	15		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	None		
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	None		
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan	None		
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None		


Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	None			
Please describe the environmental, health and safety training and fire drills organized during this reporting period	Training Topics	Time	Training Target	No. of participants
	Three levels of employee safety education	Monthly	New employees	41
	Production and operation safety training	2023.06	Enterprise legal person, safety officer	3
	Radiation prevention training	2023.06	Radiologists	2
		2023.07	Radiologists	1
		2023.10	Radiologists	3
		2023.11	Radiologists	1
	Fire drill	2023.04	All staff	52
	Corporate safety training	2023.05	Mangers	10
	Integrated emergency training drill (emergency evacuation, fire extinguishing drill, chemical spill drill, first aid training drill)	2023.04	All staff	233
	Fire safety training for post-processing workshop	2023.11	Post-treatment workshop	27
	Safety and environmental protection policies training	2023.04	All staff	233
	Summer heatstroke prevention training and	2023.07	New employees	6

	onboarding training			
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Hazardous waste	<p>Category: solid waste Amount: 36.479 tons/year Name of disposal unit: Jiangsu Qinyue Environmental Technology Co., Ltd. Photos of the company's temporary storage site:</p> 			
Implementation of E&S corrective action plan:	None			

Appendix 9 E&S Monitoring Report-Innostellar

Company Name	Innostellar Biotechnology Co.		
Main business	Gene therapy innovative drug development, production and sales		
Address	Room B216, No. 1077 Zhangheng Road, Pudong New Area, Shanghai		
Website / Homepage	https://www.innostellarbio.cn/		
Management staff responsible for environmental and social affairs	Name: Huang junwei Position: Director of Engineering management personnel responsible for social affairs		
Prepared by	Name: Yuan weijun Position: President assistant, Deputy Director of Financing Contact: 18600104164		
Reporting Period	Jan 1-Dec 31, 2023		
Number of employees		Male	Female
	permanent staff	52	74
	Outsourced staff	0	0
	Management	16	20
New jobs created during the reporting period	14		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	None		
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	In August 18, 2023, Innostellar supported the "RP Light Love Alliance" National Patient Conference for visually impaired patients and provided corresponding medical support to them		
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the	None		

accidents and the treatment plan				
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	None			
Please describe the environmental, health and safety training and fire drills organized during this reporting period	Training Topics	Time	Training Target	No. of participants
	New Workers Safety Education	2023	All new staff	7
	Fire drill	2023/2/16	All staff in Suzhou office	72
	Fire drill	2023/7/4	All staff in Suzhou office	72
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Hazardous waste	Category: Solid waste and liquid waste Yield: 10.7649 tons solid waste and 93.5 tons of liquid waste Name of disposal unit: Nantong Jiuzhou Environmental Protection Co., Ltd and Shanghai Tianhan Environmental Resources Co., Ltd.			

	<p>Photos of temporary storage site:</p> 
<p>Implementation of E&S corrective action plan:</p> <p>1) The standard operation procedures and regulations regarding to lab management, chemical use management, hazardous waste management and emergency preparedness plan shall be in place prior to operation of the Suzhou R&D center, which is expected to be end of March 2021.</p> <p>2) The liquid waste and solid waste from labs are identified as hazardous waste. Innostellar shall engage licensed third party to handle the hazardous waste prior</p>	<ol style="list-style-type: none"> 1. Done. Management procedures and regulations on laboratory management have been established in June 2021; (relevant regulations was provided to LC). 2. Done. In January 2021, a qualified third party (Shanghai Tianhan Environmental Resources Co., Ltd.) has been hired to deal with hazardous waste; (a contract was provided to LC) 3. Done. EHS-related training has been conducted; (training records was provided to LC) 4. Done. The company's animals room was rental from PharmaLegacy, and the relevant biological waste was also entrusted to the company for processing. The pre clinical animal testing contract has been signed with Joynn Biologics, and Joynn Biologics has been entrusted to deal with the biological medical waste. Innostellar will inspect the compliance with contract clauses.

to operation, which is expected to be end of March 2021.

3) Innostellar shall develop training plan and organize adequate trainings on EHS and bio-safety to the staff prior to operation, which is expected to be end of March 2021.

4) Properly dispose the test animals from pre-clinical trials as bio medical waste.

5) Establish formal GRM with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclose the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days.



5. Done. GRM was established, and the contact information has been disclosed on the company's official website, WeChat and other channels to resolve any complaints raised by those affected if any.

Appendix 10 E&S Monitoring Report-Star Sports

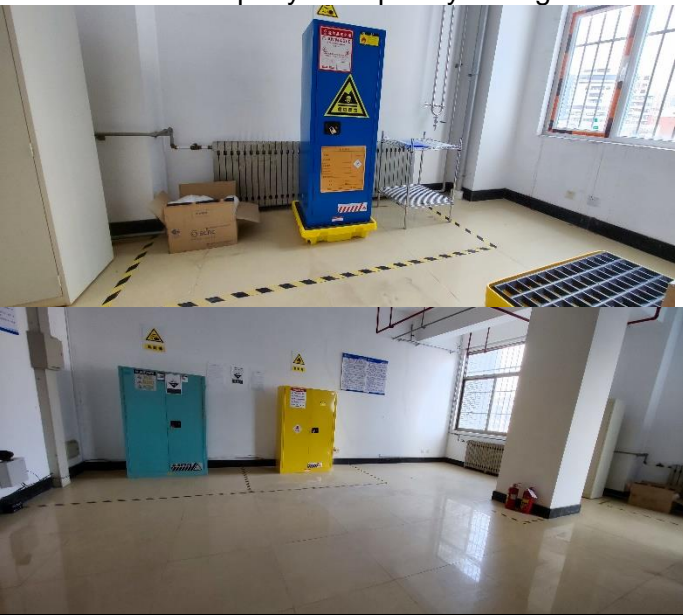
Company Name	Beijing Star Sports Medical Equipment Co.		
Main business	Sports medicine medical device production, research and development, sales		
Address	A018\B018, Building 1, No.25, Jinghai 2nd Road, Yizhuang Economic & Technological Development Zone, Beijing		
Website / Homepage	www.starsportmed.com		
Management staff responsible for environmental and social affairs	Name: Xu Jingtao Position: Human resource director		
Prepared by	Name: Xu Jingtao Position: Human resource director Contact: 13718905797		
Reporting Period	1 Jan-31 Dec, 2023		
Number of employees		Male	Female
	permanent Staff	190	152
	Outsourced	0	0
	Management	20	11
New jobs created during the reporting period	95		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	None		
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	1) Regularly carry out sports medical knowledge popularization activities in the community. 2) Organize sports medical lectures on-line to provide extensive information for sports medicine doctors		
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan	None		
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None		
Please describe any public complaints or grievances received during the reporting period and	None		

indicate how they were resolved and whether any remain unresolved				
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	None			
Please describe the environmental, health and safety training and fire drills organized during this reporting period	Training Topics	Time	Training Target	No. of participants
	EHS Training	April 2023	Personnel from all related departments	31
	Safe production training	Nov 2023	Related Employees	109
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Hazardous waste	None			
Implementation of E&S corrective action plan.	No corrective action plan is required.			

Appendix 11 E&S Monitoring Report-Hemo

Company Name	Hemo (China) Bioengineering Co., Ltd.		
Main business	Medical device research and development, production and sales		
Address	3rd Floor, Block A, Innovation and Entrepreneurship Base, No. 213, Torch Road, Weihai High-tech Zone, Shandong		
Website / Homepage	www.hemochina.com		
Management staff responsible for environmental and social affairs	Name: Xia Jungang Title: Director of Public Affairs		
Prepared by	Name: Wang Xi Position: Public Affairs Manager Contact: 13406318988		
Reporting Period	1 Jan-31 Dec, 2023		
Number of employees		Male	Female
	permanent Staff	53	78
	Outsourced	0	0
	Management	12	9
New jobs created during the reporting period	-11		

Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	<p>Yes, due to the termination of corporation with Simcere Pharmaceutical Group, the clinical support department has been reduced.</p> <p>Seven employees were laid off and have been paid with N+1 compensation in accordance with the Labor Law.</p>
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	Carry out stroke science popularization activities to enhance community residents' awareness of stroke prevention and treatment and contribute to reducing stroke disability and fatality rates.
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan	None
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	<p>The company has set up an employee suggestion box, established regulations for managing employee proposals and appeals, and the Human Resources and Administration Department is responsible for collecting and providing feedback.</p> <p>Currently, no employee complaints have been received.</p>
Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	None

Please describe the environmental, health and safety training and fire drills organized during this reporting period	Training Topics	Time	Training Target	No. of participants
	Fire safety	2023.5.12	All staff	81
	Safety production training	2023.3.21-24	Security Manager	2
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Hazardous waste	<p>Category: acetic acid, perchloric acid Yield: acetic acid 5L, perchloric acid 9L Name of disposal unit: Weihai Environmental Protection Technology Service Co., Ltd. Photos of the company's temporary storage site:</p> 			
<p>Implementation of E&S corrective action plan:</p> <p>1. establish formal GRM with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclosed the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days from receiving the recommended corrective action plan from LC.</p> <p>2. establish employment GRM including procedures and timeframe to address the complaints and concerns raised by the employees within 90 days</p>	<p>1) Partially done, the company had contact information on the official website: http://www.hemochina.com/public/zshz-106.html. The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.</p> <p>2) Done. An employment GRM was established and released in August 2021.</p>			

receiving the recommended corrective action plan from LC. 3. Contract a licensed third party to handle the hazardous waste in line with the national laws and regulations once it generates hazardous waste.	3) Done. Weihai Environmental Protection Technology Service Co., Ltd was contracted to handle the hazardous waste.
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Appendix 12 E&S Monitoring Report-Exegenesis

Company Name	Exegenesis Bio Inc.		
Main business	Biomedicine and precision treatment		
Address	Building 11, Hexiang Technology Center Hangzhou, Zhejiang Province, China		
Website / Homepage	www.exegenesisbio.com		
Management staff responsible for environmental and social affairs	Name: Huang xiaojun Position: Executive Director of Operations		
Prepared by	Name: Qi Jiangming Position: EHS Manager Contact: 0571-87293725		
Reporting Period	1 Jan-31 Dec, 2023		
Number of employees		Male	Female
	permanent Staff	49	48
	Outsourced	0	0
	Management	10	9
New jobs created during the reporting period	None		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	None		
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	None		
Whether major environmental and	None		


<p>safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan</p>				
<p>Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved</p>	None			
<p>Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved</p>	None			
<p>Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures</p>	Training Topics	Time	Training Target	No. of participants
	Hazardous waste management	2023/3/15	warehouse division, engineering division	9
	Hazardous chemical management	2023/3/24	warehouse division, engineering division	12
	Safety warning training	2023/4/10-12	All staff	111
	Safety Month Theme Training - Risk Identification	2023/5/29	warehouse division, engineering division R&D, manufacturing division	11
	Safety Month Theme Training	2023/6/9-13	All staff	91

	Hazard identification and risk identification training	2023/6/20	warehouse division, engineering division R&D, manufacturing division	10
	Biosafety drill training	2023/5/8	R&D, manufacturing division	9
	Emergency drill training	2023/7/21	Department heads and safety officers	16
	Occupational Health Basic Training	2023/7/28	warehouse division, engineering division R&D, manufacturing division	5
	Hazardous chemicals and hazardous waste training	2023/8/30	R&D, manufacturing, warehouse, engineering, clinical division	8
	Safety inspection and basic knowledge training on medical waste	2023/9/26	R&D, manufacturing, warehouse, engineering, division	6
	Operation and emergency response safety of liquid nitrogen tanks	2023/10/27	R&D, manufacturing, warehouse , engineering division	9
	Biosafety Laboratory Safety Training	2023/10/20	R&D, manufacturing, warehouse division	3
	Emergency response of hazardous chemicals and safety training for identifying environmental factors	2023/11/24	R&D, manufacturing, warehouse, engineering, division	7
	Safety performance evaluation system training	2023/12/22	R&D, manufacturing, warehouse, engineering, division	18

<p>Mechanism within 90 days receiving the recommended corrective action plan from LC.</p> <p>2. establish employment GRM including procedures and timeframe to address the complaints and concerns raised by the employees within 90 days receiving the recommended corrective action plan from LC.</p> <p>3. continue to comply with the regulatory requirements and submit annual E&S report in the agreed format to LC by end of January each year.</p>	<p>2) Partially done, the company had contact information on the official website: https://exegenesibio.com/contact/. The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.</p> <div data-bbox="598 448 1125 907"> <div> <p>Contact Information</p> <p>联系方式</p> <p>Exegenesis Bio</p> <p>嘉源生物</p> <p>Mailing Address:</p> <p>收件地址</p> <p>美国办事处:</p> <p>Springhouse Innovation Park Building# 3 727 Norristown Rd, Suite# 360 Lower Gwynedd, PA 19002</p> <p>麻省办事处:</p> <p>81 Hartwell Avenue, Suite# 120 Lexington, MA 02421</p> <p>中国站点:</p> <p>中国, 浙江省, 杭州市, 钱塘区</p> <p>医药港小镇和康科技中心111栋</p> <p>新加坡办事处:</p> <p>6 Raffles Quay, #14-06 Singapore 048580</p> </div> <div> <p>联系我们</p> <p>姓名 *</p> <p>姓 名</p> <p>电子邮箱 *</p> <p>选择相关事项 *</p> <p>其他</p> <p>请详细描述您的需求 *</p> <p>提交</p> </div> </div> <p>3) The E&S report was provided to LC in April 2024.</p>
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Appendix 13 E&S Monitoring Report-Lynk Pharma

Company Name	Lynk Pharmaceutical (Hangzhou) Co., Ltd.		
Main business	Medicine drug research		
Address	Room 402, Building 5, No. 291, Fucheng Road, Qiantang New District, Hangzhou		
Website / Homepage	https://www.lynkpharma.com/		
Management staff responsible for environmental and social affairs	Name: He Xin Position: Head of EHS		
Prepared by	Name: He Xin Position: Head of EHS Contact: 15382377755		
Reporting Period	1 Jan-31 Dec, 2023		
Number of employees		Male	Female
	permanent Staff	36	45
	Outsourced	0	0
	Management	12	6
New jobs created during the reporting period	10		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	None		
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	None		
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan	None		
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None		
Please describe any public complaints or grievances	None		


received during the reporting period and indicate how they were resolved and whether any remain unresolved				
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	Training Topics	Time	Training Target	No. of participants
	Safe production training	2023/8/23	Chemical division	10
Please describe the environmental, health and safety training and fire drills organized during this reporting period	None			
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Hazardous waste	<p>Category: Laboratory Waste Liquid (HW49 900-047-49) Yield: 2.0 tons Name of disposal unit: Hangzhou Lijia Environmental Service Co., Ltd. Photos of the company's temporary storage site:</p> 			
<p>Implementation of E&S corrective action plan:</p> <p>1) establish formal GRM with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclosed the grievances channel to the public, including AIIB's Project-affected People's</p>	<p>1) Partially done, the company had contact information on the official website: https://www.lynkpharma.com/. The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.</p> <p>2) Done. Trays are provided on site.</p>			

<p>Mechanism within 90 days receiving the recommended corrective action plan from LC.</p> <p>2) Purchase spill containment trays and place the waste liquid container on the spill containment trays to prevent accidental spills within 90 days receiving the recommended corrective action plan from LC.</p> <p>3) Develop annual EHS training program within 90 days receiving the recommended corrective action plan from LC and provided adequate trainings on EHS, especially on chemicals management and emergency preparedness to its staff every year.</p> <p>4) establish employment GRM including procedures and timeframe to address the complaints and concerns raised by the employees within 90 days.</p> <p>5) Continue to comply with the regulatory requirements and submit annual E&S report in the agreed format to LC by end of January each year.</p>	<p>3) Done. See the training records.</p> <p>4) On-going. The internal GRM is expected to be established in the 2024.</p> <p>5) The E&S monitoring report was provided to LC in April 2024.</p>
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Appendix 14 E&S Monitoring Report-ForQaly

Company Name	ForQaly Medical Devices (Shanghai) Co., Ltd.		
Main business	Ventricular assist system product development and manufacture		
Address	No. 36, Lane 100, Banxia Road, Pudong New Area, Shanghai		
Website / Homepage	www.forqaly.com		
Management staff responsible for environmental and social affairs	Name: Shi Xuejiao Position: Production Manager		
Prepared by	Name: Zhang Jie Position: President's Office Manager Contact: 13585716290		
Reporting Period	1 Jan-31 Dec, 2023		
Number of employees		Male	Women
	Permanent Staff	53	61
	Outsourced staff	0	1
	Management	4	12
New jobs created during the reporting period	29		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	None		
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting corporate social responsibility	None		
Whether major environmental and	None		

<p>safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan</p>					
<p>Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved</p>	None				
<p>Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved</p>	None				
<p>Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures</p>	None				
<p>Please describe the environmental, health and safety training and fire drills organized during this reporting period</p>	Training theme	Time	Target	No. of participants	
	Daily waste management training	2023/3/16	Production, Quality and Compliance, Products	10	
	Chemical, occupational health protection, and hazardous waste	2023/5/24	Production, Quality and Compliance, Products	10	

	management training															
	Laboratory safety training and emergency drills for chemical spills	2023/8/14	Production Department, Purchasing Department, Products Department, Personnel Administration Department	14												
	Fire emergency evacuation drill	2023/11/9	All Staff	117												
	Fire safety capability improvement and safety training	2023/11/24	Head of each Department,	17												
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No															
Hazardous waste	Shanghai Changying Environmental Service Company was engaged to handle the hazardous waste. <table border="1" data-bbox="531 907 1339 1151"> <thead> <tr> <th>Hazardous waste category code</th><th>Hazardous waste name</th><th>Weight</th></tr> </thead> <tbody> <tr> <td>900-047-49</td><td>Laboratory contaminated solid waste</td><td>1.014t</td></tr> <tr> <td>900-047-49</td><td>Laboratory waste liquid</td><td>0.37025t</td></tr> <tr> <td>900-041-49</td><td>Waste activated carbon</td><td>0.2845t</td></tr> </tbody> </table> <p>Photos of the company's temporary storage site.</p> 				Hazardous waste category code	Hazardous waste name	Weight	900-047-49	Laboratory contaminated solid waste	1.014t	900-047-49	Laboratory waste liquid	0.37025t	900-041-49	Waste activated carbon	0.2845t
Hazardous waste category code	Hazardous waste name	Weight														
900-047-49	Laboratory contaminated solid waste	1.014t														
900-047-49	Laboratory waste liquid	0.37025t														
900-041-49	Waste activated carbon	0.2845t														
Implementation of E&S corrective action plan: 1. establish formal GRM with clearly defined procedures and timeframe to resolve any complaints raised by the affected	1. Partially done, the company had contact information on the official website: https://www.forqaly.com . The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms. 2. Done in 2023, The internal GRM is established in the first quarter of 2023, the company regularly conducts employee satisfaction surveys as a supplement.															

<p>people and disclose the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days receiving the recommended corrective action plan from LC.</p> <p>2. establish employment GRM including procedures and timeframe to address the complaints and concerns raised by the employees within 90 days.</p> <p>3. Keep LC informed when environmental permits are renewed;</p> <p>4. Continue to comply with the regulatory requirements and submit annual E&S report in the agreed format to LC by end of January each year.</p>	<p>3. Done. The certificate of Shanghai Changying Environmental Service Company renewed to 25 Dec 2024.</p> <p>4. The E&S report was provided to LC in April 2024.</p>
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Appendix 15 E&S Monitoring Report-HCSci

Company Name	HC Scientific (Chengdu) L.L.C		
Main business	R&D, manufacturing, sales and after-sales service of life science and technology equipment, consumables, reagent automation and intelligent solutions		
Address	Building H2, Tianfu International Bio-town, No. 17, Huigu West Second Road, Yong'an Town, Shuangliu District, Chengdu, Sichuan		
Website / Homepage	www.hcsci.com		
Management staff responsible for environmental and social affairs	Name: Yang Jingzhong Position: Head of Operations Department		
Prepared by	Name: Feng Haozhou Position: Board Secretary Contact: 15228983680		
Reporting Period	1 Jan-31Dec, 2023		
Number of employees		Male	Female
	permanent Staff	182	78
	Outsourced	0	0
	Management	12	7
New jobs created during the reporting period	81		
Were there any retrenchment during the reporting period, and if so, please briefly describe the layoff program and number of employees	None		
Please confirm that the company fully complies with national and local environment, health and safety (EHS) and labor-related laws and regulations.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Briefly describe the activities that have had a positive impact on the surrounding community during the reporting period, reflecting	None		

corporate social responsibility				
Whether major environmental and safety accidents/incidents have occurred in this reporting period, if so, please briefly explain the causes of the accidents and the treatment plan	None			
Please describe any employee complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please describe any public complaints or grievances received during the reporting period and indicate how they were resolved and whether any remain unresolved	None			
Please indicate whether you received any environmental, health, safety and labor-related non-compliance penalties from regulatory authorities during the reporting period, and if so, briefly explain the reasons and corrective measures	None			
Please describe the environmental, health and safety training and fire	Training Topics	Time	Training Target	No. of participants

drills organized during this reporting period	Training for safety production personnel	2023.9.1-30	Level I Department head	4
	Major accident hazards training	2023.9.20	All staff	239
	Fire safety knowledge learning	2023.11.14	All staff	248
	Level 3 safety education	New employee onboarding	New employees	68
	New employee safety training	2023.3.22-3.23	New employees from all departments	18
	New employee safety training	2023.5.26-5.27	New employees from all departments	18
	New employee safety training	2023.7.21-7.22	New employees from all departments	17
	New employee safety training	2023.11.28-11.29	New employees from all departments	15
Please confirm that the company does not employ child labor and forced labor	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
Hazardous waste	Category: HW06, HW49, HW02 Name of disposal unit: Chengdu Gerun Zhongtian Environmental Protection Technology Co., Ltd.			
Implementation of E&S corrective action plan: 1. report to LC the progress of EHS system development and provide relevant documents as requested; 2. continue to comply with the regulatory requirements and submit annual E&S report in the agreed format to LC by end of January each calendar year. 3. establish employment GRM including procedures and timeframe to address the complaints and concerns raised by	<p>1. Done. The EHS system has been formulated for the management of hazardous chemicals and explosive chemicals. A training plan on EHS for 2022 has been drawn up and various EHS related trainings were organized in 2022. One EHS specialist was hired in 2022.</p> <p>2. Done. The E&S report was provided to LC in April 2024.</p> <p>3. Done. The employee grievance mechanism has been improved, and the employee grievance channels have been supplemented and updated in the employee handbook.</p> <p>4. Partially done, the company had contact information on the official website: http://www.hcsci.com/index.html. The fund will continue to encourage the companies to establish more comprehensive and robust Grievance Redress Mechanisms.</p>			

<p>the employees within 90 days receiving the recommended corrective action plan from LC.</p> <p>4. establish formal GRM with clearly defined procedures and timeframe to resolve any complaints raised by the affected people and disclosed the grievances channel to the public, including AIIB's Project-affected People's Mechanism within 90 days receiving the recommended corrective action plan from LC.</p>	
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