

RBA/供應商行為準則 RBA / Vendor Code of Conduct

台灣半導體股份有限公司暨其關係企業長期以來秉持致力於勞工、職業安全與衛生、環境、道德規範等行動措施，並追求企業永續經營。期望我們往來的供應商及其下級供應商也能確保RBA (負責任商業聯盟)行為準則的執行，以促進利害關係者的福祉，且遵守以下準則：

7.0 版 (2021 年)

責任商業聯盟行為準則

責任商業聯盟 (Responsible Business Alliance, 簡稱 RBA)，前身為電子行業公民聯盟 (Electronic Industry Citizenship Coalition, 簡稱 EICC)，其行為準則確立了一套規範，以確保電子行業或以電子產品為主要組成部份之行業的工作條件及其供應鏈安全無虞、工人得到尊重並富有尊嚴，且商業營運合乎環保性質並遵守道德操守。

所有設計、銷售、製造，或為生產電子產品提供商品和服務的機構都被本準則視之為電子行業的一部份，即本準則的目標對象。電子行業的任何一家企業都可以自願採用本準則，並相應應用到其供應鏈和外包商中，包括提供合約員工的供應商。

要採用本準則並成為其中的參與者（下稱「參與者」），企業應當作出支持本準則的聲明，並按照此提出的管理體系積極貫徹本準則及其規範。

參與者必須在其整個供應鏈中倡議採用本準則。至少，參與者應要求其下一級供應商認同並落實執行本準則。

企業必須在其任何活動是完全遵守經營所在地的當地法律、規則和法規。¹本準則亦鼓勵參與者在遵守法律合規的大前提下，借鑒國際公認的標準，以促進企業擔負起社會與環境責任及遵守商業道德。在任何情況下，遵守本準則不會違反當地法律。但是，如果 RBA 準則與當地法律有不同的標準，RBA 將遵從標準界定為符合最嚴格的規定。本準則根據《聯合國企業和人權指導原則》(UN Guiding Principles on Business and Human Rights)，其中的規條引伸並遵從國際公認的標準，包括國際勞工組織 (「ILO」) 的《工作基本原則與權利宣言》(Declaration on Fundamental Principles and Rights at Work) 和《世界人權宣言》(UN Universal Declaration of Human Rights)。

RBA 承諾會在持續發展和實施《行為準則》的過程中定期收集利益相關者的反饋。

本準則由五個部分組成。A、B 和 C 部分分別概述勞工、健康與安全，以及環境的標準。D 部分新增有關商業道德的標準。E 部分概述能夠貫徹本準則的合宜管理體系所需的要素。

A. 勞工

參與者應根據國際社會公認的準則，承諾維護勞工的人權，並尊重他們。這適用於所有勞工，包括臨時工、移民工、學生、合約勞工、直接僱員以及任何其他類型的勞工。本準則在編寫時使用了參考資料中列出的公認標準，而這些標準同時亦是一種有用的額外資訊來源。

勞工標準：

1) 自由選擇就業

禁止使用強逼、擔保 (包括抵債) 或用契約束縛的勞工、非自願或剝削性監獄勞工、奴役或販賣的人口。這包括為了得到勞工或服務而使用恐嚇、強迫、威脅、綁架或詐騙手段來運送、窩藏、招募、調配或接收勞工。除了禁止對勞工出入工作場所作出不合理限制外，也不應無理地約束勞工在工作場所內的行動自由，適用時包括勞工宿舍或生活住所。作為招聘程序中的必要部份，必須為所有勞工提供用他們母語書寫的僱傭協議，並且在協議中描述僱傭條款及條件。必須在海外移民勞工離開原本的國家前，為其提供僱傭協議，而在其抵達接收國家後，該僱傭協議不得有任何替換或更改，除非有關更改是為了符合當地法律的要求和提供相同或更佳條款而作出則例外。所有工作應當是自願的，勞工擁有隨時自由離職的權利，且如果勞工按照勞工協議給予合理的通知，則有權終止僱傭關係而不受懲罰。僱主、中介人及二級中介人不得扣留或以其他方式毀壞、隱藏、沒收僱員的身份證或入境證件，比如政府頒發的身份證明、護照或工作許可證。僱主只能在法律有要求的情況下才可扣留文件。就算是在此情況下，任何時候也不可拒絕勞工取用其文件。不得要求勞工繳付僱主的中介人或二級中介人的招聘費用或其他與其聘用相關的費用。如發現勞工繳付了任何該等費用，該等費用須退還予相關勞工。

¹本準則無意為第三方 (包括工人在內) 爭取新的、額外的權利。

RBA/ 供應商行為準則

RBA / Vendor Code of Conduct

Taiwan Semiconductor Company has in long term devoted in the right of laboring, career safety and hygiene, environment, moral consensus and other related actions, and persuading the corporate sustainability. In hope of our vendors and its vendors can ensure the implementation of RBA (Responsible Business Alliance, 簡稱RBA) Code of Conduct, to improve the welfare of interested parties and

Version 7.0 (2021)

RESPONSIBLE BUSINESS ALLIANCE CODE OF CONDUCT

The Responsible Business Alliance (RBA), formerly the Electronic Industry Citizenship Coalition (EICC), Code of Conduct establishes standards to ensure that working conditions in the electronics industry, or industries in which electronics are a key component, and its supply chains are safe, that workers are treated with respect and dignity, and that business operations are environmentally responsible and conducted ethically.

Considered as part of the electronics industry for purposes of this Code are all organizations that may design, market, manufacture, or provide goods and services that are used to produce electronic goods. The Code may be voluntarily adopted by any business in the electronics sector and subsequently applied by that business to its supply chain and subcontractors, including providers of contract labor.

To adopt the Code and become a participant ("Participant"), a business shall declare its support for the Code and actively pursue conformance to the Code and its standards in accordance with a management system as herein.

Participants must regard the Code as a total supply chain initiative. At a minimum, Participants shall also require its next tier suppliers to acknowledge and implement the Code.

Fundamental to adopting the Code is the understanding that a business, in all of its activities, must operate in full compliance with the laws, rules, and regulations of the countries in which it operates.¹ The Code also encourages Participants to go beyond legal compliance, drawing upon internationally recognized standards, in order to advance social and environmental responsibility and business ethics. In no case can complying with the Code violate local laws. If, however, there are differing standards between the RBA Code and local law, the RBA defines conformance as meeting the strictest requirements. In alignment with the UN Guiding Principles on Business and Human Rights, the provisions in this Code are derived from and respect internationally recognized standards including the ILO Declaration on Fundamental Principles and Rights at Work and the UN Universal Declaration of Human Rights.

The RBA is committed to obtaining regular input from stakeholders in the continued development and implementation of the Code of Conduct.

The Code is made up of five sections. Sections A, B, and C outline standards for Labor, Health and Safety, and the Environment, respectively. Section D adds standards relating to business ethics. Section E outlines the elements of an acceptable system to manage conformity to this Code.

A. LABOR

Participants are committed to uphold the human rights of workers, and to treat them with dignity and respect as understood by the international community. This applies to all workers including temporary, migrant, student, contract, direct employees, and any other type of worker. The recognized standards, as set out in the References, were used in preparing the Code and may be useful sources of additional information.

The labor standards are:

1) Freely Chosen Employment

Forced, bonded (including debt bondage) or indentured labor, involuntary or exploitative prison labor, slavery or trafficking of persons **is not permitted**. This includes transporting, harboring, recruiting, transferring, or receiving persons by means of threat, force, coercion, abduction or fraud for labor or services. There shall be no unreasonable restrictions on workers' freedom of movement in the facility in addition to unreasonable restrictions on entering or exiting company- provided facilities **including, if applicable, workers' dormitories or living quarters**. As part of the hiring process, **all** workers must be provided with a written employment agreement in their native language that contains a description of terms and conditions of employment. **Foreign migrant workers must receive the employment agreement** prior to the worker departing from his or her country of origin and there shall be no substitution or change(s) allowed in the employment agreement upon arrival in the receiving country unless these changes are made to meet local law and provide equal or better terms. All work must be voluntary, and workers shall be free to leave work at any time or terminate their employment **without penalty if reasonable notice is given as per worker's contract**. Employers, agents, and **sub-agents'** may not hold or otherwise destroy, conceal, or confiscate **identity or immigration documents**, such as government-issued identification, passports, or work permits. **Employers can only hold documentation** if such holdings are required by law. **In this case, at no time should workers be denied access to their documents**. Workers shall not be required to pay employers' agents or **sub-agents'** recruitment fees or other related fees for their employment. If any such fees are found to have been paid by workers, such fees shall be repaid to the worker.

¹ The Code is not intended to create new and additional third-party rights, including for workers.

RBA/供應商行為準則

RBA / Vendor Code of Conduct

2) 年輕勞工

不得在任何製造工序中使用童工。「童工」指僱傭任何未滿 15 歲、或未達強迫教育年齡、或該國家/地區最低就業年齡的人士（三項中取年齡最大者）。參與者應採取適當的機制核實勞工的年齡。符合所有法例與法規的合法職場學習計劃則不在此列。未滿 18 歲的勞工（年輕勞工）不得從事可能會危及其健康或安全的工作，包括夜班或加班。參與者應當適當保管學生記錄、嚴格審核教育合作夥伴，以及按照適用的法例與法規保障學生的權利，從而確保對學生工的管理得當。參與者應當為所有學生工提供適當的支援和培訓。如果沒有當地法律規管，學生工、實習生和學徒的薪資水平應最少與從事同等或相似工作的其他入門級員工相等。如果發現僱用童工，我們將提供協助/補救措施。

3) 工時

根據有關的商業實踐研究，生產力降低、職員流動率上升以及受傷和患病情況的增多與勞工的疲勞度有顯著的關連。因此，工作時數不應超過當地法律規定的最大限度。此外，每週的工作時數不應超過 60 小時（包括加班），緊急或特殊情況除外。任何加班必須是自願的。每七天應當允許勞工至少休息一天。

4) 工資與福利

支付給勞工的工資應當符合所有相關的薪酬法律，包括有關最低工資、加班和法定福利的法律。根據當地法律的規例，勞工的加班工資應高於常規時薪水平。禁止以扣工資作為紀律處分的手段。在每個支薪週期，應及時為勞工提供簡明的工資單據，內含充足的資料證實支付給勞工的薪酬準確無誤。必須按照當地法律聘用臨時工、派遣員和外判工人。

5) 人道的待遇

避免苛刻或非人道地對待員工，包括暴力、性暴力、性騷擾、性侵犯、體罰、心理或生理壓逼、欺凌、公開羞辱或口頭辱罵；也不得威脅進行任何此類行為。有關的紀律政策及程序必須有清晰的定義，並向員工清楚地傳達。

6) 反歧視/反騷擾

參與者應承諾提供一個無騷擾以及無非法歧視的工作場所。公司不得因人種、膚色、年齡、性別、性傾向、性別認同及表現、種族或民族、殘疾、懷孕、信仰、政治立場、團體背景、退伍軍人身份、受保護的基因資料或婚姻狀況等在招聘及實際工作中歧視或騷擾員工，例如因此而影響工資、晉升、獎勵和接受培訓的機會等。應為員工提供適當的場所進行宗教活動。此外，不得讓員工或準員工接受帶有歧視性的醫學檢查（包括驗孕或處女檢驗）或身體檢查。本準則根據《國際勞工組織（就業和職業）歧視公約》（111 號）草擬。

7) 自由結社

根據當地法律，參與者應當尊重所有員工組織和參與他們所選擇的工會、集體談判和參加和平集會的權利，同時也應尊重員工迴避這類活動的權利。員工和/或他們的代表應當能夠在不用擔心歧視、報復、威脅或騷擾的情況下，公開地就工作條件和管理方法與管理層溝通以及分享其想法和憂慮。

B. 健康與安全

參與者應意識到，除了盡量減少與工作相關的傷病發生率外，安全、健康的工作環境有助提高產品和服務的質素、生產的穩定性以及員工的忠誠度和士氣。參與者也應意識到，持續地增強對員工的投入和員工教育是辨識和解決工作場所內健康與安全問題的關鍵。

本準則在起草時參考了公認的管理體系（如 ISO 45001 和國際勞工組織職業安全健康管理系統指引），此類體系亦是有用的額外信息來源。

安全與健康標準：

1) 職業安全

應透過管控層級識別，包括消除危害、替代流程或材料，以妥當設計加以管控、實行工程和行政管制、防護性保養和安全操作程序（包括上鎖掛牌程序）和持續性的安全知識培訓等，識別和評估並減輕工作場的健康及安全隱患（如化學、電力和其他能源、火災、運輸工具和跌倒危險或事故），以免危及職工。若無法透過上述方法有效控制危險源，應為員工提供適宜的、充分保養的個人防護裝備，以及有關這些危險事故和相關風險的教材。亦必須採取合理措施，讓孕婦和哺乳期女性遠離存在高度隱患的工作環境、消除或減輕孕婦和哺乳期女性所承受的任何（包括與分派其工作相關的）職業健康和安全的風險，以及為哺乳期女性提供合理的場所。

RBA/ 供應商行為準則 RBA / Vendor Code of Conduct

2) Young Workers

Child labor is not to be used in any stage of manufacturing. The term “child” refers to any person under the age of 15, or under the age for completing compulsory education, or under the minimum age for employment in the country, whichever is greatest. [Participants shall implement an appropriate mechanism to verify the age of workers.](#) The use of legitimate workplace learning programs, which comply with all laws and regulations, is supported. Workers under the age of 18 (Young Workers) shall not perform work that is likely to jeopardize their health or safety, including night shifts and overtime. Participants shall ensure proper management of student workers through proper maintenance of student records, rigorous due diligence of educational partners, and protection of students' rights in accordance with applicable laws and regulations. Participants shall provide appropriate support and training to all student workers. In the absence of local law, the wage rate for student workers, interns, and apprentices shall be at least the same wage rate as other entry-level workers performing equal or similar tasks. [If child labor is identified, assistance/remediation is provided.](#)

3) Working Hours

Studies of business practices clearly link worker strain to reduced productivity, increased turnover, and increased injury and illness. Working hours are not to exceed the maximum set by local law. Further, a workweek should not be more than 60 hours per week, including overtime, except in emergency or unusual situations. [All overtime must be voluntary.](#) Workers shall be allowed at least one day off every seven days.

4) Wages and Benefits

Compensation paid to workers shall comply with all applicable wage laws, including those relating to minimum wages, overtime hours and legally mandated benefits. In compliance with local laws, workers shall be compensated for overtime at pay rates greater than regular hourly rates. Deductions from wages as a disciplinary measure shall not be permitted. For each pay period, workers shall be provided with a timely and understandable wage statement that includes sufficient information to verify accurate compensation for work performed. All use of temporary, dispatch and outsourced labor will be within the limits of the local law.

5) Humane Treatment

There is to be no harsh or inhumane treatment including [violence, gender-based violence](#), sexual harassment, sexual abuse, corporal punishment, mental or physical coercion, [bullying, public shaming](#), or verbal abuse of workers; nor is there to be the threat of any such treatment. Disciplinary policies and procedures in support of these requirements shall be clearly defined and communicated to workers.

6) Non-Discrimination/Non-Harassment

Participants should be committed to a workplace free of harassment and unlawful discrimination. Companies shall not engage in discrimination [or harassment](#) based on race, color, age, gender, sexual orientation, gender identity and expression, ethnicity or national origin, disability, pregnancy, religion, political affiliation, union membership, covered veteran status, protected genetic information or marital status in hiring and employment practices such as wages, promotions, rewards, and access to training. Workers shall be provided with reasonable accommodation for religious practices. In addition, workers or potential workers should not be subjected to medical tests, [including pregnancy or virginity tests](#), or physical exams that could be used in a discriminatory way. [This was drafted in consideration of ILO Discrimination \(Employment and Occupation\) Convention \(No.111\).](#)

7) Freedom of Association

In conformance with local law, participants shall respect the right of all workers to form and join trade unions of their own choosing, to bargain collectively, and to engage in peaceful assembly as well as respect the right of workers to refrain from such activities. Workers and/or their representatives shall be able to openly communicate and share ideas and concerns with management regarding working conditions and management practices without fear of discrimination, reprisal, intimidation, or harassment.

B. HEALTH AND SAFETY

Participants recognize that in addition to minimizing the incidence of work-related injury and illness, a safe and healthy work environment enhances the quality of products and services, consistency of production and worker retention and morale. Participants also recognize that ongoing worker input and education are essential to identifying and solving health and safety issues in the workplace.

Recognized management systems such as [ISO 45001](#) and ILO Guidelines on Occupational Safety and Health were used as references in preparing the Code and may be useful sources of additional information.

The health and safety standards are:

1) Occupational Safety

Worker potential for exposure to health and safety hazards (chemical, electrical and other energy sources, fire, vehicles, and fall hazards, etc.) are to be identified and assessed, [mitigated using the Hierarchy of Controls, which includes eliminating the hazard, substituting processes or materials](#), controlling through proper design, [implementing](#) engineering and administrative controls, preventative maintenance and safe work procedures (including lockout/tagout), and [providing](#) ongoing [occupational health and safety](#) training. Where hazards cannot be adequately controlled by these means, workers are to be provided with appropriate, well-maintained, personal protective equipment, and educational materials about risks to them associated with these hazards. Reasonable steps must also be taken to remove pregnant women [and nursing mothers](#) from working conditions with high hazards, remove or reduce any workplace health and safety risks to pregnant women and nursing mothers, including those associated with their work assignments, [and provide](#) reasonable accommodations for nursing mothers.

RBA/供應商行為準則

RBA / Vendor Code of Conduct

2) 應急準備

應確認和評估潛在的緊急情況和事件，並透過實施應急方案和應變程序來將其影響降到最低，包括：緊急報告、員工通告和疏散計劃、員工培訓和演習。**應急演習必須最少每年進行一次，或按當地法律要求進行，取較嚴格者。應急計劃亦應包括適當的消防偵測和滅火設備、暢通無阻的緊急出口、充足的逃生出口設施、應急人員的聯絡資料和復原計劃。**這些方案和程序應著重盡量減低對生命、環境和財產的危害。

3) 工傷和職業病

應當制定程序和體系來預防、管理、追蹤和報告工傷和職業病，包括以下規定：鼓勵員工報告；歸類和記錄工傷和職業病案例；提供必要的治療；調查案例並採取糾正措施以杜絕其根源；協助員工返回工作崗位。

4) 工業衛生

應當根據管控層級識別、評估並控制因接觸化學、生物以及物理作用劑給員工帶來的影響。**如果發現任何隱患，參與者應尋找機會消除和/或減少該隱患。如果無法消除或減輕危害，則應透過適當的設計、工程和行政控制措施來消除或控制隱患。**如這些措施無法有效預防危害，應當免費為員工提供和使用適當、妥善保養的個人防護裝備。防護計劃須持續並包括有關這些危害相關風險的教材。

5) 體力勞動工作

應當識別、評估並控制從事重體力勞動給員工帶來的危害，包括以人力搬運物料或重複提舉重物、長時間站立和高度重複性或高強度的組裝工作。

6) 機器防護

應當評估生產設備或其他類型機器的安全隱患。為預防機器對職工可能造成的傷害，應當提供和正確地維護物理防護裝置、連鎖裝置以及屏障。

7) 公共衛生和食宿

應當為員工提供乾淨的洗手間設施、清潔的飲用水、以及衛生的煮食用具、食物儲存設施和餐具。參與者或勞工中介人提供的員工宿舍應當保持乾淨、安全，並提供適當的緊急出口、洗浴熱水、充足的照明供暖和通風設備、獨立安全的場所以供儲存個人和貴重物品，以及適當且出入方便的私人空間。

8) 健康與安全溝通

參與者應當為員工提供以其所講語言或其能夠理解之語言進行的適當職業健康和 safety 資料和培訓，以識別員工面對的所有工作場所危害情況，包括但不限於機械、電力、化學、火災和物理危害。在工作場所的顯眼處張貼健康與安全相關資料，或將有關資料放在員工可看清並可取用的位置。在開始工作前及之後定期培訓所有員工。應鼓勵員工提出**任何健康和 safety 方面的疑慮，確保他們不會受到報復。**

C. 環境

參與者承認環境保護責任是生產世界一流產品不可或缺的一部份。**參與者應查明其製操作業過程對環境的沖擊，並盡量減少該過程對社區、環境和自然資源造成的不良影響，同時保障公眾的健康和 safety。**本準則在起草時參考了公認的管理體系（如 ISO 14001 和生態管理及審核體系（Eco Management and Audit System, EMAS）），此類體系亦是有效的額外信息來源。

環境標準：

1) 環境許可和報告

應獲取所有必需的環境許可證（如排放監控）、批准和登記文件，亦要對之進行維護並時常更新，以及遵守許可證的操作和報告要求。

2) 預防污染和節約資源

應在源頭上或透過實踐（如增設污染控制設備；改良生產、維修和設施程序；或其他方法）盡量減少或杜絕排出和排放污染物以及產生廢物。應節約和實踐（如改良生產、維修和設施程序、替換材料、再用、節約、回收或其他方法）節約自然資源（包括水、化石燃料、礦物和原始森林產品）的消耗。

3) 有害物質

應當識別、標籤和管理對人類或環境造成危害的化學品、**廢物**及其他物質，從而確保這些物質得以安全地處理、運送、儲存、使用、回收或再用及棄置。

4) 固體廢物

RBA/ 供應商行為準則 RBA / Vendor Code of Conduct

2) Emergency Preparedness

Potential emergency situations and events are to be identified and assessed, and their impact minimized by implementing emergency plans and response procedures including emergency reporting, employee notification and evacuation procedures, worker training, and drills. **Emergency drills must be executed at least annually or as required by local law, whichever is more stringent. Emergency plans should also include** appropriate fire detection and suppression equipment, clear and unobstructed egress, adequate exit facilities, **contact information for emergency responders**, and recovery plans. Such plans and procedures shall focus on minimizing harm to life, the environment, and property.

3) Occupational Injury and Illness

Procedures and systems are to be in place to prevent, manage, track and report occupational injury and illness, including provisions to encourage worker reporting, classify and record injury and illness cases, provide necessary medical treatment, investigate cases and implement corrective actions to eliminate their causes, and facilitate the return of workers to work.

4) Industrial Hygiene

Worker exposure to chemical, biological, and physical agents is to be identified, evaluated, and controlled according to the Hierarchy of Controls. **If any potential hazards were identified, participants shall look for opportunities to eliminate and/or reduce the potential hazards. If elimination or reduction of the hazards is not feasible,** potential hazards are to **be controlled** through proper design, engineering, and administrative controls. When hazards cannot be adequately controlled by such means, workers are to be provided with and use appropriate, well-maintained, personal protective equipment **free of charge**. Protective programs shall **be ongoing and** include educational materials about the risks associated with these hazards.

5) Physically Demanding Work

Worker exposure to the hazards of physically demanding tasks, including manual material handling and heavy or repetitive lifting, prolonged standing, and highly repetitive or forceful assembly tasks is to be identified, evaluated, and controlled.

6) Machine Safeguarding

Production and other machinery shall be evaluated for safety hazards. Physical guards, interlocks, and barriers are to be provided and properly maintained where machinery presents an injury hazard to workers.

7) Sanitation, Food, and Housing

Workers are to be provided with ready access to clean toilet facilities, potable water and sanitary food preparation, storage, and eating facilities. Worker dormitories provided by the Participant or a labor agent are to be maintained to be clean and safe, and provided with appropriate emergency egress, hot water for bathing and showering, adequate lighting **and** heat and ventilation, individually secured accommodations for storing personal and valuable items, and reasonable personal space along with reasonable entry and exit privileges.

8) Health and Safety Communication

Participants shall provide workers with appropriate workplace health and safety information and training in the language of the worker or in a language the worker can understand for all identified workplace hazards that workers are exposed to, including but not limited to mechanical, electrical, chemical, fire, and physical hazards. Health and safety related information shall be clearly posted in the facility or placed in a location identifiable and accessible by workers. Training is provided to all workers prior to the beginning of work and regularly thereafter. Workers shall be encouraged to raise **any health and safety concerns without retaliation**.

C. ENVIRONMENT

Participants recognize that environmental responsibility is integral to producing world-class products. **Participants shall identify the environmental impacts and minimize** adverse effects on the community, environment, and natural resources **within their manufacturing operations**, while safeguarding the health and safety of the public. Recognized management systems such as ISO 14001 and the Eco Management and Audit System (EMAS) were used as references in preparing the Code and may be a useful source of additional information.

The environmental standards are:

1) Environmental Permits and Reporting

All required environmental permits (e.g. discharge monitoring), approvals, and registrations are to be obtained, maintained, and kept current and their operational and reporting requirements are to be followed.

2) Pollution Prevention and Resource Reduction

Emissions and discharges of pollutants and generation of waste are to be minimized or eliminated at the source or by practices such as adding pollution control equipment; modifying production, maintenance, and facility processes; or by other means. The use of natural resources, including water, fossil fuels, minerals, and virgin forest products, is to be conserved by practices such as modifying production, maintenance and facility processes, materials substitution, re-use, conservation, recycling, or other means.

3) Hazardous Substances

Chemicals, **waste**, and other materials posing a hazard to humans or the environment are to be identified, labelled, and managed to ensure their safe handling, movement, storage, use, recycling or reuse, and disposal.

4) Solid Waste

RBA/供應商行為準則 RBA / Vendor Code of Conduct

參與者應實施系統性的措施來識別、管理、減少和負責任地棄置或回收固體廢物（無害的）。

5) 廢氣排放

在排放營運過程中產生的揮發性有機化學物質、氣霧劑、腐蝕性物質、微粒、耗蝕臭氧層的物质以及燃燒副產品前，應當按照要求對其歸納特徵分類、例行監察、控制和處理。應依照《蒙特利爾議定書》和適用的法規來有效管理耗損臭氧層的物质。參與者也應當對廢氣排放管制系統的性能進行例行監察。

6) 材料限制

參與者應當遵守所有適用法律法規和客戶要求，禁止或限制在產品和製造過程中納入特定物質（包括回收和棄置標籤）。

7) 水資源管理

參與者應當實施用水管理計劃，以記錄、分類和監察水資源、使用和排放；尋求機會節約用水；以及控制污染渠道。所有污水在排放或棄置前，應當按照要求對其歸納特徵、監察、控制和處理。參與者應當對污水處理和控制系統的性能進行例行監察，以確保達成最佳性能和符合監管規例。

8) 能源消耗和溫室氣體排放

參與者須訂立公司級別的溫室氣體減排目標。能源消耗及所有相關 1 級與 2 級範圍的溫室氣體排放，應追蹤、記錄及公開報告，以達到溫室氣體減排的目標。參與者應當找到方法來改善能源利用效率並盡量減少能源消耗和溫室氣體排放。

D. 道德規範

為履行社會責任並在市場上取得成功，參與者及其代理商必須謹守最高的道德標準，包括：

1) 誠信經營

在所有商業互動關係中都應謹守最高的誠信標準。參與者應採取零容忍政策來禁止任何形式的賄賂、貪污、敲詐勒索和挪用公款。

2) 無不正當收益

不得承諾、提供、批准、給予或收受賄賂或其他形式的不正當收益。此禁令包括承諾、提供、批准、給予或收受任何有價之物（無論是直接還是透過第三方間接地進行），以期獲得或保留業務、將業務轉讓他人或獲取不正當收益。應推行監控、記錄留存以及強制執行程序以確保符合反腐敗法律的要求。

3) 資訊公開

所有的業務來往應具透明度，並準確地記錄在參與者的賬簿和商業記錄上。應當按照適用法規和普遍的行業慣例公開有關參與勞工、健康與安全、環保活動、商業活動、組織架構、財務狀況和業績的資料。不得偽造記錄或虛報供應鏈的狀況或慣例。

4) 知識產權

應當尊重知識產權；須以保護知識產權的方法傳遞技術和生產知識；並必須保護客戶和供應商的資料。

5) 公平交易、廣告和競爭

應謹守公平交易、廣告和競爭標準。

6) 身份保護及防止報復

除非受法律禁止，參與者應當制定程序來保護供應商和員工檢舉者²，並確保其身份的機密性和匿名性。參與者也應制定溝通程序，讓員工可以表達他們的疑慮，而不用害怕遭到報復。

7) 負責任地採購礦物

參與者應就其製造的產品成份中鈹、錫、鎢及金的來源及供應鏈，採納政策並進行盡職調查，以合理保證其來源與經濟合作暨發展組織 (Organising Co-operating and Development, OECD) 關於對出自衝突影響及高風險區域之礦石實施負責任供應鏈的指引，或同等及認可的盡職調查框架一致。

RBA/ 供應商行為準則 RBA / Vendor Code of Conduct

Participants shall implement a systematic approach to identify, manage, reduce, and responsibly dispose of or recycle solid waste (non-hazardous).

5) Air Emissions

Air emissions of volatile organic chemicals, aerosols, corrosives, particulates, ozone depleting substances, and combustion byproducts generated from operations are to be characterized, routinely monitored, controlled, and treated as required prior to discharge. [Ozone-depleting substances are to be effectively managed in accordance with the Montreal Protocol and applicable regulations.](#) Participants shall conduct routine monitoring of the performance of its air emission control systems.

Air emissions of volatile organic chemicals, aerosols, corrosives, particulates, ozone depleting chemicals and combustion by-products generated from operations are to be characterized, routinely monitored, controlled and treated as required prior to discharge. Participant shall conduct routine monitoring of the performance of its air emission control systems.

6) Materials Restrictions

Participants are to adhere to all applicable laws, regulations, and customer requirements regarding the prohibition or restriction of specific substances in products and manufacturing, including labeling for recycling and disposal.

7) Water Management

Participants shall implement a water management program that documents, characterizes, and monitors water sources, use and discharge; seeks opportunities to conserve water; and controls channels of contamination. All wastewater is to be characterized, monitored, controlled, and treated as required prior to discharge or disposal. Participants shall conduct routine monitoring of the performance of its wastewater treatment and containment systems to ensure optimal performance and regulatory compliance.

8) Energy Consumption and Greenhouse Gas Emissions

[Participants are to establish a corporate-wide greenhouse gas reduction goal.](#) Energy consumption and all relevant Scopes 1 and 2 greenhouse gas emissions are to be tracked, documented, [and publicly reported against the greenhouse gas reduction goal.](#) Participants are to look [for methods](#) to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.

D. ETHICS

To meet social responsibilities and to achieve success in the marketplace, Participants and their agents are to uphold the highest standards of ethics including:

1) Business Integrity

The highest standards of integrity are to be upheld in all business interactions. Participants shall have a zero-tolerance policy to prohibit any and all forms of bribery, corruption, extortion and embezzlement.

2) No Improper Advantage

Bribes or other means of obtaining undue or improper advantage are not to be promised, offered, authorized, given, or accepted. This prohibition covers promising, offering, authorizing, giving or accepting anything of value, either directly or indirectly through a third party, in order to obtain or retain business, direct business to any person, or otherwise gain an improper advantage. Monitoring, [record keeping](#), and enforcement procedures shall be implemented to ensure compliance with anti-corruption laws.

3) Disclosure of Information

All business dealings should be transparently performed and accurately reflected on [the](#) Participant's business books and records. Information regarding participant's labor, health and safety, environmental practices, business activities, structure, financial situation, and performance is to be disclosed in accordance with applicable regulations and prevailing industry practices. Falsification of records or misrepresentation of conditions or practices in the supply chain are unacceptable.

4) Intellectual Property

Intellectual property rights are to be respected, transfer of technology and know-how is to be done in a manner that protects intellectual property rights, and customer and supplier information is to be safeguarded.

5) Fair Business, Advertising and Competition

Standards of fair business, advertising, and competition are to be upheld.

6) Protection of Identity and Non-Retaliation

Programs that ensure the confidentiality, anonymity, and protection of supplier and employee whistleblowers² are to be maintained, unless prohibited by law. Participants should have a communicated process for their personnel to be able to raise any concerns without fear of retaliation.

7) Responsible Sourcing of Minerals

Participants shall adopt a policy [and exercise due diligence on the source and chain of custody of](#) the tantalum, tin, tungsten, and gold in the products they manufacture [to reasonably assure that they are sourced in a way consistent with the Organisation for Economic Co-operation and Development \(OECD\) Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas or an equivalent and recognized due diligence framework.](#)

RBA/ 供應商行為準則 RBA / Vendor Code of Conduct

8) 私隱

參與者承諾合理地保護任何與其有業務來往者（包括供應商、客戶、消費者和員工）的個人資料和私隱。參與者應當在收集、儲存、處理、傳播和分享個人資料時遵守私隱和資料安全法律及監管要求。

E. 管理體系

參與者應採用或建立一個其範疇與本準則內容相關的管理體系。管理體系的設計應確保：**(a)** 符合與參與者營運和產品相關的適用法例、法規及客戶要求；**(b)** 符合本準則；以及 **(c)** 識別並減輕與本準則有關的經營風險。管理體系也應當推動持續改進。

管理體系應包含以下要素：

1) 公司承諾

企業的社會及環境責任政策聲明應確定參與者對守法以及持續改進的承諾，並由行政管理層簽署，並以當地語言張貼於工作場所內。

2) 管理職責與責任

參與者應明確指定高級主管和公司代表來負責保證管理體系和相關計劃的實施。高級管理層應定期檢查管理體系的運行情況。

3) 法律和客戶要求

制定程序識別、監察並理解適用的法律法規和客戶要求（包括本準則的要求）。

4) 風險評估和風險管理

制定程序識別與參與者經營相關的守法、環境、健康與安全³ 及勞工活動及道德風險。評定每項風險的級別，實施適當的程序和實質管制來控制已識別的風險和確保遵行監管規例。

5) 改進目標

應制定書面績效目標、指標和實施計劃來提高參與者的社會、環境、**健康及安全表現**，包括對參與者在實現這些目標中取得的成效進行定期審核。

6) 培訓

應為管理層及員工制定培訓計劃，從而實施參與者的政策、程序及改進目標，同時滿足適用之法例與法規的要求。

7) 溝通

制定程序將參與者的政策、實踐、預期和績效清晰準確地傳達給員工、供應商和客戶。

8) 員工意見、參與和申訴

制定持續可行的程序（包括有效的申訴機制）以評估員工對本準則所涵蓋之實踐或違反情況和條件的認知度，並獲取員工在這方面的意見，進而推動持續改進。**必須為員工提供一個安全的環境，讓其安心地提出申訴和意見而不必擔心受到報復。**

9) 審核與評估

定期進行自我評估，從而確保符合法例與法規的要求、本準則內容以及客戶合約中與社會與環境責任相關要求。

10) 糾正措施

制定程序以確保能及時糾正在內外部的評估、檢查、調查和審核中所發現的不足之處。

11) 文檔和記錄

建立並保留文檔和記錄，從而確保符合監管規例與公司的要求，同時應保障私隱的機密性。

²檢舉者的定義：任何揭露公司員工、主管或公務員和政府機構從事不當行為的人。

³生產區域、倉庫和儲存設施、廠房/工作場所支援設備、實驗室和測試區域、衛生設施（浴室）、廚房/食堂和員工住房/宿舍都應納入環境健康與安全風險評估的範圍內。

RBA/ 供應商行為準則 RBA / Vendor Code of Conduct

8) Privacy

Participants are to commit to protecting the reasonable privacy expectations of personal information of everyone they do business with, including suppliers, customers, consumers, and employees. Participants are to comply with privacy and information security laws and regulatory requirements when personal information is collected, stored, processed, transmitted, and shared.

E. MANAGEMENT SYSTEMS

Participants shall adopt or establish a management system with a scope that is related to the content of this Code. The management system shall be designed to ensure: (a) compliance with applicable laws, regulations and customer requirements related to the participant's operations and products; (b) conformance with this Code; and (c) identification and mitigation of operational risks related to this Code. It should also facilitate continual improvement.

The management system should contain the following elements:

1) Company Commitment

Corporate social and environmental responsibility policy statements affirming Participant's commitment to compliance and continual improvement, endorsed by executive management, and posted in the facility in the local language.

2) Management Accountability and Responsibility

The Participant clearly identifies senior executive and company representative(s) responsible for ensuring implementation of the management systems and associated programs. Senior management reviews the status of the management systems on a regular basis.

3) Legal and Customer Requirements

A process to identify, monitor and understand applicable laws, regulations, and customer requirements, including the requirements of this Code.

4) Risk Assessment and Risk Management

A process to identify the legal compliance, environmental, health and safety³ and labor practice and ethics risks associated with Participant's operations. Determination of the relative significance for each risk and implementation of appropriate procedural and physical controls to control the identified risks and ensure regulatory compliance.

5) Improvement Objectives

Written performance objectives, targets and implementation plans to improve the Participant's social, environmental, and health and safety performance, including a periodic assessment of Participant's performance in achieving those objectives.

6) Training

Programs for training managers and workers to implement Participant's policies, procedures, and improvement objectives and to meet applicable legal and regulatory requirements.

7) Communication

A process for communicating clear and accurate information about Participant's policies, practices, expectations, and performance to workers, suppliers, and customers.

8) Worker Feedback, Participation and Grievance

Ongoing processes, including an effective grievance mechanism, to assess workers' understanding of and obtain feedback on or violations against practices and conditions covered by this Code and to foster continuous improvement. **Workers must be given a safe environment to provide grievance and feedback without fear of reprisal or retaliation.**

9) Audits and Assessments

Periodic self-evaluations to ensure conformity to legal and regulatory requirements, the content of the Code, and customer contractual requirements related to social and environmental responsibility.

10) Corrective Action Process

A process for timely correction of **deficiencies identified** by internal or external assessments, inspections, investigations, and reviews.

11) Documentation and Records

Creation and maintenance of documents and records to ensure regulatory compliance and conformity to company requirements along with appropriate confidentiality to protect privacy.

² Whistleblower definition: Any person who makes a disclosure about improper conduct by an employee or officer of a company, or by a public official or official body.

³ Areas to be included in a risk assessment for environmental health and safety are production areas, warehouse and storage facilities, plant/facilities support equipment, laboratories and test areas, sanitation facilities (bathrooms), kitchen/cafeteria and worker housing/dormitories.

RBA / 供應商行為準則 RBA / Vendor Code of Conduct

12) 供應商的責任

制定程序來將本準則的要求傳達給供應商，並監管供應商對本準則的遵行情況。

參考

在起草本準則的過程中使用了以下標準，這些標準可用作有用的額外資訊來源。每位參與者可以支持或不支持以下標準。

多德-弗蘭克華爾街改革與消費者保護法案 <http://www.sec.gov/about/laws/wallstreetreform-cpa.pdf>

生態管理與審核體系 http://ec.europa.eu/environment/emas/index_en.htm

道德貿易倡議 <http://www.ethicaltrade.org/>

國際勞工組織安全與健康施行準則 www.ilo.org/public/english/protection/safework/cops/english/download/e000013.pdf

ILO 國際勞工標準 www.ilo.org/public/english/standards/norm/whatare/fundam/index.htm

ISO 14001 <http://www.iso.org>

國家防火協會 <http://www.nfpa.org>

經濟合作與發展組織對出自衝突影響及高風險區域之礦石實施負責任供應鏈的盡職調查指引

<https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>

經濟合作與發展組織跨國企業指引 <http://www.oecd.org/investment/mne/1903291.pdf>

世界人權宣言 <https://www.un.org/en/universal-declaration-human-rights/>

聯合國反腐敗公約 <https://www.unodc.org/unodc/en/treaties/CAC/>

聯合國兒童權利公約 <https://www.ohchr.org/en/professionalinterest/pages/crc.aspx>

聯合國消除歧視婦女公約

<https://www.ohchr.org/EN/ProfessionalInterest/Pages/CEDAW.aspx>

聯合國全球契約 www.unglobalcompact.org

美國聯邦採購法規 www.acquisition.gov/far/

SA 8000 <https://sa-intl.org/programs/sa8000/>

社會責任國際 (SAI) www.sa-intl.org

一、在本公司要求下，參與監督相關的活動。

二、接受RBA的RBA Audit Assessment Checklist (LQ4PC10)或現場評核作業，並真實完整提供評核所需資源，即時對違反RBA 電子行業行為準則任何不符合項，應採取矯正與預防行動措施。

三、貴司如有發生任何業務變更，應即時、完整的通報本公司。

RBA / 供應商行為準則 RBA / Vendor Code of Conduct

12) Supplier Responsibility

A process to communicate Code requirements to suppliers and to monitor supplier compliance to the Code.

REFERENCES

The following standards were used in preparing this Code and may be useful sources of additional information. The following standards may or may not be endorsed by each Participant.

Dodd-Frank Wall Street Reform and Consumer Protection Act <http://www.sec.gov/about/laws/wallstreetreform-cpa.pdf>
Eco Management & Audit System http://ec.europa.eu/environment/emas/index_en.htm
Ethical Trading Initiative <http://www.ethicaltrade.org/>
ILO Code of Practice in Safety and Health <http://www.ilo.org/public/english/protection/safework/cops/english/download/e000013.pdf>
ILO International Labor Standards <http://www.ilo.org/public/english/standards/norm/whatare/fundam/index.htm>
ISO 14001 <http://www.iso.org>
National Fire Protection Association <http://www.nfpa.org>
OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict- Affected and High-Risk Areas <https://www.oecd.org/daf/inv/mne/OECD-Due-Diligence-Guidance-Minerals-Edition3.pdf>
OECD Guidelines for Multinational Enterprises <http://www.oecd.org/investment/mne/1903291.pdf>
Universal Declaration of Human Rights <https://www.un.org/en/universal-declaration-human-rights/>
United Nations Convention Against Corruption <https://www.unodc.org/unodc/en/treaties/CAC/>
United Nations Convention on the Rights of the Child <https://www.ohchr.org/en/professionalinterest/pages/crc.aspx>
United Nations Convention on the Elimination of All Forms of Discrimination Against Women <https://www.ohchr.org/EN/ProfessionalInterest/Pages/CEDAW.aspx>
United Nations Global Compact www.unglobalcompact.org
United States Federal Acquisition Regulation www.acquisition.gov/far/
SA 8000 <https://sa-intl.org/programs/sa8000/>
Social Accountability International (SAI) www.sa-intl.org

I . Base on the requirement of our company to attend the related events.

II . Accept RBA Audit Assessment Checklist (LQ4PC10) or on-site evaluation, provide truly for all the needed information, and take immediate corrective actions for any non-conformities when violate the RBA code of conduct.

III . Inform our company once there are any changes.

供應商名稱 Vendor Name : _____

簽署人 Signature : _____

職稱 Position : _____

公司地址 Address : _____

公司章 Stamp : _____