



## 供應商行為準則

### Supplier Code of Conduct

環旭電子股份有限公司、其子公司及關係企業（下稱「環旭電子」）是負責任的企業公民，以積極的行動確保商業行為符合專業及道德的最高標準。我們相信公司長期的經營與成功必須仰賴企業的永續發展及其社會責任的體現。而供應鏈是環旭電子商業價值鏈的重要延伸，我們積極投入供應鏈發展以確保供應商、承包商、服務提供商和分包商（以下合稱「供應商」）共同實現永續發展的目標。

Universal Scientific Industrial (Shanghai) Co., Ltd., and its subsidiaries (hereafter referred to as "USI"), being a responsible corporate citizen, have taken proactive measures to ensure the highest standards of professional and ethical business conduct. We believe that USI's long-term operation and success shall rely on the corporate sustainability and realization of corporate social responsibilities. Since the supply chain is a critical extension of USI's business value chain, we are actively devoted to developing supply chain to ensure that our suppliers, contractors, service providers and subcontractors (collectively, "Suppliers") collectively achieve the goal of sustainability.

為了確保供應鏈工作環境的安全、保障員工受到尊重並富有尊嚴、落實環保並遵守道德操守，環旭電子依據母公司「日月光投資控股股份有限公司」之供應商行為準則、責任商業聯盟（Responsible Business Alliance，前身為電子行業公民聯盟，以下簡稱「責任商業聯盟」）之行為準則，並參考「聯合國企業和人權指導原則」（UN Guiding Principles on Business and Human Rights）、國際勞工組織的「工作基本原則與權利宣言」（Declaration of Fundamental Principles and Rights at Work）及「世界人權宣言」（UN Universal Declaration of Human Rights）等國際規範，訂定本供應商行為準則（以下稱「本準則」），要求供應商於勞工、健康與安全、環境、商業道德及管理體系等各方面之商業行為確實符合本準則，並且完全遵守經營所在國家／地區的法律和法規。供應商應要求其供應商、承包商、服務提供商和分包商採用並遵守本準則。供應商對本準則的遵循程度將是環旭電子評估採購決策的考量之一。

Universal Scientific Industrial (Shanghai) Co., Ltd., and its subsidiaries (hereafter referred to as "USI") is fully committed to ensuring safe working conditions, ethical and environmentally responsible business operations, and worker dignity in our business and supply chain. As part of our commitment, we established this Supplier Code of Conduct ("Code") following ASE Technology Holding Co., Ltd. Supplier Code of Conduct. The Code also references the UN Universal Declaration of Human Rights, the UN Guiding Principles on Business and Human Rights, the International Labor Organization's Declaration of Fundamental Principles and Rights at Work, and the Responsible Business Alliance ("RBA", formerly EICC) Code of Conduct. Suppliers are required to comply with this Code and the laws and regulations of the countries/regions in which they operate. USI also expects suppliers to hold their suppliers, contractors, services providers, and subcontractors to adopt and comply with this Code. Suppliers' compliance status



with this Code will be one of the considerations for USI's purchasing evaluation.

本準則由五個章節組成。A、B、C 章節分別概述勞工、健康與安全，以及環境的標準。D 章節列舉商業道德的標準；E 章節概述貫徹本準則的合宜管理體系之所需要素。

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. 勞工 LABOR

供應商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、學生工、合約勞工、直接僱員以及任何其他類型的勞工。本準則在編寫時參考了前述所列出的公認標準，而這些標準都是具有參考價值的額外資訊來源。

Suppliers are expected to uphold the human rights of their workers, and to treat them with dignity and respect as understood by the international community. This applies to all their workers including temporary, migrant, student, contract, direct employees, and any other type of worker. Labor standards suppliers should comply with are referenced from the RBA Code of Conduct.

勞工標準：

The labor standards are:

### (1) 自由選擇職業 Freely Chosen Employment

禁止使用強逼、擔保（包括抵債）或用契約束縛的勞工、非自願或剝削性的監獄勞工、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、調配或接收人員用作勞工或取得服務。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。供應商、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出入境證件，比如政府頒發的身份證明、護照或工作許可證。供應商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。不得要求勞工繳付供應商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。

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. Suppliers, their 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. Suppliers can only hold documentation if such holdings are required by law. In this case, at no time should their workers be denied access to their documents. Workers shall not be required to pay Suppliers' 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.

## (2) 年輕勞工 Young Workers

不得在任何製造工序中使用童工。「童工」指僱傭任何未滿 16 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 )。供應商應採取適當的機制來核實勞工的年齡。符合所有法律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健康或安全的工作，包括夜班或加班。

Child labor is not to be used in any stage of manufacturing. The term "child" refers to any person under the age of 16, or under the age for completing compulsory education, or under the minimum age for employment in the country, whichever is greatest. Suppliers 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.

供應商應當適當保管學生紀錄、嚴格審核教育合作夥伴，以及按照適用的法律與法規保障學生的權利，從而確保對學生工的管理得當。供應商應當為所有學生工提供適當的支援和訓練。如果沒有當地法律的規管，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。

Suppliers 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. Suppliers 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) 工時 Working Hours

根據有關的商業實證研究，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聯。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。所有加班必須是自願的。每週七天應當允許勞工至少休息一天。

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. Suppliers shall allow their workers at least one day off every seven days.

### (4) 工資與福利 Wages and Benefits

支付給勞工的工資應當符合所有相關的薪酬法令，包括有關最低工資、加班和法定福利的法令。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、派遣員和外包員工。

Suppliers shall comply with all applicable wage laws, including those relating to minimum wages, overtime hours and legally mandated benefits. In compliance with local laws, Suppliers shall compensate their workers 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) 人道的待遇 Humane Treatment

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、心理或生理壓迫、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。

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) 反歧視 / 反騷擾 Non-Discrimination/Non-Harassment

供應商應承諾提供一個無騷擾以及無非法歧視的工作場所。供應商不得因人種、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》（No.111）草擬。

In respect to the ILO Discrimination (Employment and Occupation) Convention (No.111), Suppliers should be committed to a workplace free of harassment and unlawful discrimination. Suppliers 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. Suppliers shall provide their workers with reasonable accommodation for religious practices. In addition, their 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.

(7) 自由結社 Freedom of Association

根據當地法律，供應商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。

In conformance with local law, Suppliers 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. Suppliers should ensure their workers and/or their representatives are 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. 健康與安全 HEALTH AND SAFETY

供應商應意識到，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



高產品和服務的素質、生產的穩定性以及員工的忠誠度和士氣。供應商也應意識到，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。

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. Ongoing worker input and education are essential to identifying and solving health and safety issues in the workplace. Suppliers are expected to implement, maintain, and enforce management systems that monitor the health and safety of their workplaces.

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 )，此類體系都是具有參考價值的額外資訊來源。

Recognized management systems such as ISO 45001 and ILO Guidelines on Occupational Safety and Health were used as references in preparing the Code.

安全與健康標準：

The health and safety standards are:

#### (1) 職業安全 Occupational Safety

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所的健康與安全隱患 ( 如化學、電力和其他能源、火災、運載工具和跌倒危險或事故 )，以免危及員工。若無法透過上述方法有效控制危險源，應為員工提供適當的、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。亦必須採取合理的措施，讓孕婦和哺乳期女性遠離存在高度危險的工作環境、消除或減輕孕婦和哺乳期女性所承受的任何 ( 包括與分派予其工作相關的 ) 職業健康和 safety 風險，以及為哺乳期女性提供合理的場所。

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.

## (2) 應急準備 Emergency Preparedness

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。

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) 工傷和職業病 Occupational Injury and Illness

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。

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) 工業衛生 Industrial Hygiene

應當根據管控層級識別、評估並控制因接觸化學、生物以及物理危害因子給員工帶來的影響。如果發現任何隱患，供應商應尋找機會消除和 / 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。於原物料開發與製備過程，應積極尋求低健康危害之材料，以取代可能引發致癌、致突變、致生殖毒性及具生物累積性之高風險化學成分，以符合歐盟規範、客戶要求以及國內法規，使員工遠離化學性暴露職業病風險。

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,

suppliers 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. The protective programs shall be ongoing and include educational materials about the risks associated with these hazards. In accordance with the requirements of European, Customer requirements and domestic regulations, Suppliers should actively seek materials with lower health hazards to replace high-risk chemical components that may cause carcinogenicity, mutagenesis, reproductive toxicity and bioaccumulation during the development and manufacturing process of raw materials in order to protect workers from occupational illness such as chemical exposure.

(5) 體力勞動工作 Physically Demanding Work

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。

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) 機器防護 Machine Safeguarding

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

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) 公共衛生和食宿 Sanitation, Food, and Housing

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。供應商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。

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 Supplier 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) 健康與安全溝通 Health and Safety Communication



供應商應當為員工提供以他們母語或其能夠理解之語言，進行的適當的職業健康和 safety 資料和訓練，以鑑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訓練予所有員工。應鼓勵員工提出任何與健康和 safety 方面的疑慮，確保他們不會受到報復。

Suppliers 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. 環境 ENVIRONMENT

供應商應認同環境保護責任是生產世界級產品不可或缺的一部份。供應商應查明在製造作業過程中對環境的衝擊，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）），此類體系都是具有參考價值的額外資訊來源。

Suppliers recognize that environmental responsibility is integral to producing world-class products. Suppliers 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.

環境標準：

The environmental standards are:

#### (1) 環境許可和報告 Environmental Permits and Reporting

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。

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) 預防污染和節約資源 Pollution Prevention and Resource Reduction

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棄物。應節約和實踐 ( 如改良生產、維修和設施程序、替換材料、再利用、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。

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) 有害物質 Hazardous Substances

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

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

### (4) 固體廢棄物 Solid Waste

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棄物 ( 無害的 )。

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

### (5) 廢氣排放 Air Emissions

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、耗蝕臭氧層的物質以及燃燒副產品前，應當按照要求對其進行分類、例行監察、控制和處理。應依照《蒙特婁議定書》和適用法規來有效管理耗損臭氧層的物質。供應商也應當對廢氣排放管制系統的性能進行例行監察。

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. Suppliers shall conduct routine monitoring of the performance of its air emission control systems.

### (6) 材料控制 Materials Restrictions

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)。

Suppliers 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) 水資源管理 Water Management

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，應當按照要求對其進行分類、監察、控制和處理。供應商應當對污水處理和控制系統的性能進行例行監察，以確保達致最佳性能和符合法規要求。

Suppliers 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. Suppliers shall conduct routine monitoring of the performance of its wastewater treatment and containment systems to ensure optimal performance and regulatory compliance.

#### (8) 能源消耗和溫室氣體排放 Energy Consumption and Greenhouse Gas Emissions

供應商須建立公司範圍內的溫室氣體減量排放目標。能源消耗和所有相關範疇 1 和 2 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。供應商應當尋求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。

Suppliers 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. Suppliers are to look for methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.

#### (9) 生物多樣性、零砍伐、土地保育 Biodiversity, No Deforestation, Land Conservation

供應商應避免在全球或國家重要及具高度保育價值的地區進行營運及商業活動，並關注自身價值鏈營運對生態環境造成的衝擊，透過與有信譽的機構及價值鏈夥伴攜手合作，支持生物多樣性、零砍伐、土地保育、植樹造林或修復自然生態系統。

Suppliers shall avoid operating in areas in close proximity to critical biodiversity and actively manage their value chain's ecological impact, applying mitigation efforts to avoid, minimize, restore, and offset the negative impact. All suppliers are to support promoting biodiversity, no deforestation, land conservation, reforestation, or restoration of natural habitats with reputable organizations or value chain partners.



## D. 道德規範 ETHICS

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

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

### (1) 誠信經營 Business Integrity

在所有商業互動關係中都應謹守最高的誠信標準。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。

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

### (2) 無不正當收益 No Improper Advantage

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程序以確保符合反腐敗法律的要求。

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.

不得誘騙、脅迫或利用其他任何方式使環旭電子人員接受或共同編造虛假議價資料、不當洩漏足以影響交易價格或交易達成之業務資訊，或其他違背職務或有損害環旭電子利益之虞之行為。

Suppliers shall not deceive, coerce, or use any devious scheme to cause USI personnel to accept and/or jointly make up false bargain materials, or to improperly reveal business information that could affect trading price or trading conclusion, or to breach his/her duties to USI or undertake any other behavior which would cause detriment to USI.

供應商同意抵制並主動向環旭電子揭露索賄和收賄人員的行徑。若發現環旭電子人員任何無理不當之要求或不誠信之行為，供應商承諾立即通知該人員部門主管或進行舉報。舉報得以匿名方式為之，惟匿名舉報者應提供具體事證，以利環旭電子調查。

舉報信箱：[ethics@usiglobal.com](mailto:ethics@usiglobal.com)



At the same time, Suppliers undertakes to actively resist and notify USI of any bribes requested or accepted by USI personnel. If Suppliers become aware of any USI personnel's request that is unreasonable and improper, or any unethical behavior, Suppliers undertakes to inform the superior of USI personnel to report on such request or unethical behavior. Supplier may report on an anonymous basis and an anonymous whistleblower shall however provide specific facts to assist USI in the investigation.

Ethics mail box: [ethics@usiglobal.com](mailto:ethics@usiglobal.com)

### (3) 資訊公開 Disclosure of Information

所有的業務來往應具透明度，並準確地記錄在供應商的賬簿和商業紀錄上。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。不得偽造紀錄或虛報供應鏈的狀況或慣例。

All business dealings should be transparently performed and accurately reflected on the Supplier's business books and records. Information regarding supplier'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 is unacceptable.

### (4) 智慧財產權 Intellectual Property

應當尊重智慧財產權；須以保護智慧財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。

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) 公平交易、廣告和競爭 Fair Business, Advertising and Competition

應謹守公平交易、廣告和競爭標準。供應商應遵守所有適用的競爭法令，不得進行圍標、聯合訂價、歧視性定價及其他違反競爭法之行為。

Standards of fair business, advertising, and competition are to be upheld. Suppliers shall be in compliance with all applicable antitrust laws, and shall not engage in collusive bidding, price fixing, price discrimination, or other unfair trade practices in violation of antitrust laws.

### (6) 身份保護及防止報復 Protection of Identity and Non-Retaliation

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

Programs that ensure the confidentiality, anonymity, and protection of supplier and employee whistleblowers are to be maintained, unless prohibited by law. Suppliers should have a



communicated process for their personnel to be able to raise any concerns without fear of retaliation.

#### (7) 負責任地採購礦物 Responsible Sourcing of Minerals

提供給環旭電子產品中所含的金、錫、鈹和鎢須來自於業界公認之組織（如 Responsible Minerals Initiative）所認證之非衝突礦產的冶煉廠。應當制定政策並進行盡職調查，以合理地保證其來源與經濟合作暨發展組織（Organization for Economic Co-operation 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，確保所製造的產品中所含有的金、錫、鈹和鎢不會直接或間接地資助或有益於受衝突影響及高風險區域內嚴重侵犯人權的犯罪武裝團體（以下稱「非衝突礦產」）。應對這些礦物的採購和產銷監管鏈進行盡責調查，遵守環旭電子衝突礦產採購管理政策，並在環旭電子及其客戶查詢/要求時提供其盡責調查之相關資訊。若供應之產品所含礦產非屬非衝突礦產（以下稱「衝突礦產」），同意立即將衝突礦產存在之事實通知環旭電子。

Gold, tin, tantalum and tungsten used for, or incorporated in the products provided by Suppliers to USI are sourced from a smelter or refinery that has been certified as conflict-free smelter by a industrially recognized organization, such as Responsible Minerals Initiative. Suppliers shall adopt a policy and exercise due diligence on the source and chain of custody of the gold, tin, tantalum, and tungsten used for, or incorporated in the products they manufacture to reasonably assure that they are sourced in a way consistent with the Organization 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. And ensure in the products they supply does not finance, or benefit criminal armed groups, directly or indirectly, that commit serious abuse of human rights in the Conflict-Affected and High Risk Areas (“Conflict-Free Minerals”). Suppliers shall exercise due diligence on the purchasing and chain of custody of these minerals, and shall comply with USI Corporate Policy for Conflict Minerals and provide information relevant to the due diligence upon USI’s or its customers’ request. If any goods supplied by Suppliers contain minerals that are not Conflict-Free Minerals (“Conflict Minerals”), Suppliers agree to promptly notify USI of the presence of such Conflict Minerals.

#### (8) 隱私 Privacy

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）的個人資料和隱私。應當在收集、儲存、處理、傳播和分享個人資料時遵守隱私和資訊安全法律及監管要求。

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



transmitted, and shared.

**(9) 避免利益衝突 Avoidance of Conflicts of Interest**

供應商與環旭電子之間的商業往來，應避免所任何可能的利益衝突。可能的利益衝突情形包括（但不限於）環旭電子內部員工或其近親（父母、子女、配偶或兄弟姊妹）在供應商任職，或對供應商有重要投資利益。供應商與環旭電子對口人員不必要或過度頻繁的社交往來也可能構成利益衝突的疑慮或外觀。所以供應商與環旭電子人員的任何接觸必須謹守一般商業往來的分際，且一旦有利益衝突的情形必須立刻報告環旭電子。供應商若有發現任何潛在的利益衝突，必須立即通報環旭電子，並採取適當措施以防止因此所可能導致的不當行為。

Any suspected conflicts of interest involved in the business activities between USI and Supplier shall be avoided. Suspected conflicts of interest include, but not limited to, situations where an USI's employee or his/her close relative (parent, child, spouse or sibling) is employed by Suppliers, or owns significant investment interest in Suppliers. Any unnecessary or over frequently social activities between Suppliers and the counterpart from USI might possibly constitute a concern with, or appearance of conflicts of interest. Therefore, any contact between Suppliers and USI's personnel shall observe the discipline for general business activities, and any conflicts of interest shall be reported to USI immediately once existed. If Suppliers become aware of any potential conflict of interest, Suppliers shall report such incident immediately to USI and take appropriate measures to prevent any possible improper conduct that could be possibly resulted therefrom.

**(10) 遵循進出口相關法規 Comply with Import and Export Laws**

供應商應瞭解並遵循進出口及運送貨品予環旭電子，或代環旭電子進出口及運送貨品所涉及的相關法令，包括原出口國的出口管制與海關法規、目的地國家的進口和海關法規、支付法令要求的關稅和其他稅賦、以及當地運輸的相關法令。供應商應向其員工和外包商提供運作程序及教育訓練以確保他們對前述法規的遵循。

Suppliers shall acknowledge and comply with any and all laws and regulations related to the importation, exportation and transportation of products that are delivered to, or on behalf of USI, including laws and regulations on the export control or customs adopted by the country where the goods are originally exported, laws and regulations on the import and customs adopted by the country of destination, payment for custom duties or other mandatory taxes required by laws, and laws and regulations on local transportation. Operation procedures and training should be provided by Suppliers to their employees, suppliers, contractors, services providers and subcontractors to ensure their compliance with the foregoing laws and regulations.

**(11) 遵守保密義務 Confidentiality Obligations**

供應商承諾對於在交易洽談、合約締結和交易履行過程中所接觸、知悉、持有或取得之

所有與環旭電子經營、生產、銷售、研發、財務、管理等相關之非公開資訊 ( 包括環旭電子及客戶之資料 ) 均為機密資料，無論其形式或媒介為何，亦無論其係有形或無形，或是否載有「機密」、「限閱」或其他同義字，供應商承諾嚴守保密義務，絕不得對外公開、洩漏、散佈或揭露予任何第三者。供應商及其員工出入環旭電子廠區須遵守環旭電子門禁與安全管理之規定，包括且不限於遵照到達時間、路線、處所之要求，不錄音、拍照或攝影，不竊取或夾帶任何資料文件，不擅自延時、逗留或留宿，並接受環旭電子安全警衛及相關人員監督檢查。

Suppliers undertakes that any and all unpublished information (including information of USI or USI's customers), whether in any form or through any medium, tangible or intangible, explicitly classified as confidential, restricted, or others with similar meaning related to USI's operations, production, sales, research and development, finance and management that is accessed, possessed or acquired by, or known to Suppliers in the process of business discussion, conclusion of contract or performance, shall be treated by Suppliers as confidential information. Suppliers undertake to strictly observe the confidentiality obligations, and shall never publish, reveal, leak or distribute confidential information to any 3rd party. Suppliers and their employees shall observe USI's regulations on access and security management, including but not limited requirements of arrival time, route and location, and prohibition against photograph-taking, voice/video-taping, steal or smuggling of information and documents, and overtime, lingering or overnight stay. Suppliers and their employees also agree to be subject to the surveillance and inspection by security guards or other relevant personnel of USI.

#### (12) 遵守誠實守信原則 Honesty and Commitment Fulfillment

供應商與環旭電子交易洽談、合作締結和交易履行過程中，保證所提供的文件資料，包括且不限於登記證明 ( 含特許經營 )、證照、企業及個人簡介資料、住所、產品名稱、規格、品質、服務標準、票據、權證、權利限制等均為真實，絕無虛假、欺瞞、偽造、變造行為。所提供的文件資料如有變更，供應商應在合理的時間盡快通知環旭電子，將誠信原則始終貫徹於交易合約履行的各階段。

Suppliers warrant that any and all information and documents provided to USI in the process of business discussions, conclusion of contract or performance, including but not limited to company registration records (special permission for operation included), company certificates, profile of company and its individuals, residence, product information, specifications, quality, service standards, commercial instruments, and warranties and limitation of rights thereof are true and correct in all aspects, and are not false, cheating or falsified. If there is any change of the documents, Suppliers shall notice USI as soon as possible within a reasonable time, and shall implement principles of good faith at all times throughout the performance of business contract.

## E. 管理體系 MANAGEMENT SYSTEMS



供應商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 ) 符合與供應商營運和產品相關的適用法律、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。

Suppliers 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 supplier'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.

管理體系應包含以下要素：

The management system should contain the following elements:

**(1) 公司的承諾 Company Commitment**

企業的社會及環境責任政策聲明應確定供應商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。

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

**(2) 管理職責與責任 Management Accountability and Responsibility**

供應商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。

The Supplier 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) 法律和客戶要求 Legal and Customer Requirements**

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 )。

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

**(4) 風險評估和風險管理 Risk Assessment and Risk Management**

制定程序識別與供應商經營相關的守法、環境、健康與安全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。

A process to identify the legal compliance, environmental, health and safety and labor practice



and ethics risks associated with Supplier'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) 改進目標 Improvement Objectives

應制定書面績效目標、指標和實施計劃來提高供應商的社會、環境、健康與安全績效，包括對供應商在實現這些目標中取得的成效進行定期審核。

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

(6) 培訓 Training

應為管理層及員工制定培訓計劃，從而實施供應商的政策、程序及改進目標，同時滿足適用之法律法規的要求。

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

(7) 溝通 Communication

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

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

(8) 員工意見、參與和申訴 Worker Feedback, Participation and Grievance

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。

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) 審核與評估 Audits and Assessments

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

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) 糾正措施 Corrective Action Process

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。

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

(11) 文檔和紀錄 Documentation and Records

建立並保留文檔和紀錄，從而確保符合監管規例與公司的要求，同時應保障隱私的機密性。

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

(12) 供應商的責任 Supplier Responsibility

供應商應制定企業的採購政策，以確保致力於負責任之採購與供應鏈的永續性，並應建立程序來將本準則的要求傳達給其供應商，監管其供應商對本準則的遵行情況。

Suppliers shall adopt a corporate procurement policy to ensure the responsible sourcing and the sustainability of its supply chain and shall establish a process to communicate this Code's requirements to suppliers and to monitor suppliers' compliance with this Code.