

瑞昱集團供應商行為準則 Realtek Supplier Code of Conduct

瑞昱半導體股份有限公司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，依據負責任商業聯盟(Responsible Business Alliance, 簡稱RBA) (前身為電子行業公民聯盟(Electronic Industry Citizenship Coalition, 簡稱EICC))，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。

With the aim of ensuring that working conditions in Realtek's supply chains are safe, that workers are treated with respect and dignity, and that business operations are conducted in an environmentally responsible manner and in observation of morality and ethics, Realtek establishes this Supplier Code of Conduct (the "Code") in accordance with the guidelines of the Responsible Business Alliance (RBA, formerly Electronic Industry Citizenship Coalition (EICC)) and in reference of international norms, including UN Guiding Principles on Business and Human Rights, Declaration of Fundamental Principles and Rights at Work, and UN Universal Declaration of Human Rights. Realtek requires its suppliers to conduct business in accordance with this Code with respect to labor, health and safety, environment, business ethics and management system and in full compliance with the laws, rules and regulations of the countries/areas in which they operate.

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 environment, respectively. Section D describes standards relating to business ethics; Section E outlines the elements of an acceptable management system that conforms to the Code.

A. 勞工 Labor

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。

Suppliers should be committed to upholding the human rights of workers, and treating them with dignity and respect in accordance with internationally accepted standards. This applies to all workers including temporary, migrant, student, contract, direct employees, and any other type of worker.

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、非自願或剝削的監獄勞工、奴役或販賣的人口。這包括用恐嚇、強逼、威脅、綁架或詐騙手段運送、窩藏、招募、調配或接受人員用作勞工或取得服務。除了禁止對勞工進出入公司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走動的自由。作為招聘程序中的必要部份，必須在勞工離開原本的國家前，為他們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；而在抵達接收國家後，僱傭協議不得有任何替換或更改，惟有關更改是為了符合當地法律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或終止僱傭關係的權利。僱主或中介人不得扣留或以其他方式毀壞、隱藏、沒收或拒絕僱員取用其身份證或出入境證件，如政府頒發的身份證明、護照或工作許可證，惟法律要求僱主持有其僱員的工作許可證則例外。僱主或中介人不得要求勞工繳付招聘費用或其他與其聘用相關的費用。如發現勞工須繳付任何該等費用，該等費用須交還予有關勞工。

Forced, bonded (including debt bondage) or indentured labor, involuntary or exploitative prison labor, slavery or trafficking of persons is prohibited. This includes transporting, harboring, recruiting, arranging, or receiving persons for labor or services by means of threat, force, coercion, abduction or fraud. There shall be no unreasonable restrictions on workers' freedom of movement in the workplace in addition to unreasonable restrictions on entering or exiting workplace. 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 before the workers leave their home country; there shall be no substitution or change(s) allowed in the employment agreement upon workers' 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 or terminate the employment relationship at any time. Employers or agents may not hold or otherwise destroy, conceal, confiscate or refuse employee's access to their identity or immigration documents, such as government-issued identification, passports, or work permits, unless the law requires employers to hold the work permits of their employees. Employers or agents shall not require workers to pay 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) 青年勞工 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（三項中取其指定年齡最大的一項）。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（青年勞工）不得從事可能會危及其健康或安全的工作，包括夜間值勤或加班。參與者應當透過適當地保管學生記錄、嚴格審核教育合作夥伴和按照適用的法例與法規保障學生的權利，從而確保對學生勞工的管理得當。參與者應當提供適當的支援和訓練予所有學生勞工。如果沒有當地法律的規管，學生勞工、實習生和學徒的薪資水平應最少與從事相同或相似工作的其他入門級員工相等。

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/area, whichever is greatest. 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. 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.

3) 工時 Working Hours

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。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. Therefore, working hours are not to exceed the maximum set by local law. Further, working hours should not be more than 60 hours per week (including overtime), except in emergency or unusual situations. Workers shall be allowed 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、超時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。禁止以扣除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。

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) 人道的待遇 Humane Treatment

避免苛刻和非人道地對待員工，包括任何形式的性騷擾、性侵犯、體罰、精神或身體壓逼或是口頭辱罵；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 shall be no harsh or inhumane treatment of workers, including any form of sexual harassment, sexual abuse, corporal punishment, mental or physical coercion, or verbal abuse; nor shall there 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) 不歧視 Non-Discrimination

參與者應承諾員工免受騷擾以及非法歧視。公司不得因人種、膚色、年齡、性別、性傾向、性別認同及表達、種族或國籍、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員工，例如因此而影響工資、晉升、獎勵和受訓機會等。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驗或身體檢查。

Suppliers should be committed to a workplace free of harassment and unlawful discrimination. Companies shall not engage in discrimination based on race, color, age, gender, sexual orientation, gender identity and expression, ethnicity or national origin, disability, pregnancy, religion, political affiliation, union membership, veteran status, protected genetic information or marital status in hiring and employment practices such as wages, promotions, rewards, and training opportunities. Workers shall be provided with reasonable accommodation for religious practices. In addition, workers or potential workers should not be subjected to medical 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，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。

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. 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. 健康與安全 Health and Safety

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在員工身上投放資源和進行教育是辨識和解決工作場所內健康與安全問題的關鍵。

Suppliers should realize 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. Suppliers should also realize that ongoing worker input and education are essential to identifying and solving health and safety issues in the workplace.

安全與健康標準 The health and safety standards are :

1) 職業安全 Occupational Safety

應透過適當的設計、工程和行政管制、防護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來識別和評估以及控制工作場的安全隱患（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，應為員工提供適當的、保養良好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，從而讓懷孕的婦女／餵哺母乳的母親遠離存在高度危險的工作環境、消除或減少懷孕的婦女和餵哺母乳的母親所承受的任何職業健康和​​安全風險（包括與其工作分派有關者），以及為餵哺母乳的母親提供合理的場所。

Worker potential for exposure to health and safety hazards at workplace (e.g. chemical, electrical and other energy sources, fire, vehicles, and fall hazards or incidents) are to be identified, assessed, and controlled 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 should be provided with appropriate, well-maintained, personal protective equipment, and educational materials about risks to them associated with these hazards. Reasonable measures must also be taken to remove pregnant women/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、員工通告和疏散程序、員工培訓和演習、適當的火警偵測和滅火設備、暢通無阻的出口以及充足的疏散設施和恢復計劃。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, appropriate fire detection and suppression equipment, clear and unobstructed egress, adequate exit facilities, and recovery plans. Such plans and procedures shall focus on minimizing harm to life, 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；調查案例並執行糾正措施以杜絕類似情況；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

應當根據控制層級識別、評估並控制因接觸制化學、生物以及物理作用劑給員工帶來的影響。透過適當設計、工

程和行政控制消除或控制潛在危險。如這些措施無法有效預防危害，應當為員工提供和使用適當、妥善維護的個人防護裝備。防護計劃須包括有關這些危險事故相關風險的教材。

The impact of worker exposure to chemical, biological, and physical agents should be identified, evaluated, and controlled according to the hierarchy of controls. Potential hazards are to be eliminated or controlled through proper design, engineering, and administrative controls. When hazards cannot be adequately prevented by such means, workers should be provided with and use appropriate, well-maintained, personal protective equipment. Protective programs shall include educational materials about the risks associated with these hazards.

5) 體力勞動工作 Physically Demanding Work

應當識別、評估並控制從事體力勞動工作給員工帶來的影響，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。

The impact of 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 should 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。

Production and other machinery shall be evaluated for safety hazards. Physical guards, interlocks, and barriers should 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。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。

Workers are to be provided with ready access to clean toilet facilities, clean drinking water and sanitary food preparation, storage, and eating facilities and utensils. Worker dormitories provided by suppliers or labor agents should 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 and conveniently accessed personal space.

8) 健康與安全資料 Health and Safety Communication

參與者應當為員工提供以其使用的語言或其能夠明白的語言進行的適當職業健康和 safety 資料和訓練，以識別員工面對的所有工作場所危險情況，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識別和易於接觸的位置。在開始工作前及之後定期提供訓練予所有員工。應當鼓勵員工提高安全意識。

Suppliers shall provide workers with appropriate occupational 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 workplace or placed in a location identifiable and accessible by workers. Training shall be provided to all workers prior to the beginning of work and regularly thereafter. Workers shall be encouraged to raise awareness to safety issues.

C. 環境 Environment

參與者承認環境保護責任是生產世界級產品不可或缺的一部份。在製造作業過程中，應盡量減少對社區、環境和自然資源造成的不良影響，同時保障公眾的健康和安全。

Suppliers recognize that environmental responsibility is an indispensable part of producing world-class products. Suppliers shall minimize adverse effects on the community, environment, and natural resources within their manufacturing operations, while safeguarding the health and safety of the public

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物。應節約或透過實踐（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）的耗費。

Emissions and discharges of pollutants and generation of waste should be minimized or eliminated at the source or by practices (e.g. adding/installing 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) should be conserved or reduced by practices (e.g. 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物質及其他物質，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。

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

4) 固體廢物 Solid Waste

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）。

Suppliers should 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、耗蝕臭氧層化學物品以及燃燒副產品前，應當按照要求對其進行分類、例行監察、控制和處理。參與者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 classified, routinely monitored, controlled, and treated as required prior to discharge. Suppliers shall conduct routine monitoring of the performance of their air emission control systems.

6) 物質控制 Materials Control

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）。

Suppliers should 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

參與者應當實施水管理計劃，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。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致最佳性能和符合監管規例。

Suppliers shall implement a water management program that documents, classifies, and monitors water sources, use and discharge; seeks opportunities to conserve water; and controls channels of contamination. All wastewater shall be classified, 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

應當追蹤及記錄工作場所內和／或企業層面的能源消耗和所有相關範圍和溫室氣體排放。參與者應當尋求具成本效益的方法來改善能源利用效率和盡量減少能源消耗和溫室氣體排放。

Energy consumption and all relevant scopes of greenhouse gas emissions are to be tracked and documented at the facility and/or corporate level. Suppliers should look for cost-effective methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions

D. 道德規範 Ethics

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：

To meet social responsibilities and to achieve success in the marketplace, suppliers and their agents must 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。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。
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。應推行監控和強制執行程序以確保符合反腐敗法的要求。
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 and enforcement procedures shall be implemented to ensure compliance with anti-corruption laws.
- 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。
All business dealings should be transparently performed and accurately documented on the supplier's business books and records. Information regarding supplier's labor, health and safety, environmental practices, business activities, organizational structure, financial situation, and performance should 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) 知識產權 Intellectual Property
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。
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 must 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。
Standards of fair business, advertising and competition should be upheld.
- 6) 身份保護及防止報復 Protection of Identity and Non-Retaliation
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，並確保其身份的機密性和匿名性。參與者也應制定溝程序，讓員工可以表達他們的疑慮，而不用害怕遭到報復。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的不正當行為者。
Unless prohibited by law, suppliers should establish a process to protect supplier and employee whistleblowers and ensure their confidentiality and anonymity. Suppliers should have a communication process in place so their employees can raise any concerns without fear of retaliation. 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 government agency.
- 7) 負責任地採購礦物 Responsible Sourcing of Minerals
參與者應當制定政策來合理地確保他們製造的產品中所含有的鈹、錫、鎢和黃金不會直接或間接地資助或有利剛果民主共和國及其鄰國內嚴重侵犯人權的犯罪武裝團體。參與者應對這些礦物的採購和產銷監管鏈進行嚴格的審核，並在客戶查詢時提供有關審核標準的資料。
Suppliers shall have a policy to reasonably assure that the tantalum, tin, tungsten and gold in the products they manufacture does not directly or indirectly finance or benefit armed groups that are perpetrators of serious human rights abuses in the Democratic Republic of the Congo or an adjoining country. Suppliers shall exercise due diligence on the source and chain of custody of these minerals and make their due diligence measures available to customers upon customer request.
- 8) 私隱 Privacy
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。

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

E. 管理體系 Management System

參與者應採用或建立範圍與本準則內容相關的管理體系。在設計該管理體系時，應確保：

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) 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；
compliance with applicable laws, regulations and customer requirements related to the supplier's operations and products;
- (b) 符合本準則；以及
conformance with this Code; and
- (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。
identification and mitigation of operational risks related to this Code. The management system should facilitate continual improvement.

該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。

Corporate social and environmental responsibility policy statements should affirm supplier's commitment to compliance and continual improvement, which is 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

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作情況。

Suppliers should clearly identify senior executive and company representative(s) responsible for ensuring implementation of the management systems and associated programs. Senior management should review the status of the management systems on a regular basis.

3) 法律和客戶要求 Legal and Customer Requirement

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) shall be established.

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

制定程序識別與參與者經營相關的守法、環境、健康與安全以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 shall be established. Define the relative significance for each risk and implement 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參與者的社會和環境責任績效，包括對參與者為達成這些目標所取得的成效進行定期審核。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。

Written performance objectives, targets and implementation plans shall be established to improve the supplier's social, environmental, and health and safety performance, including a periodic assessment of supplier's performance in achieving those objectives. Production areas, warehouse and storage facilities, plant/facilities support equipment, laboratories and test areas, sanitation facilities (bathrooms), kitchen/cafeteria and worker housing/dormitories should be included in environmental, health and safety risk assessment.

6) 培訓 Training

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。

Programs for training managers and workers should be established 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。

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

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

制定持續進行的程序（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，從而推動持續改進。

Ongoing processes should be established (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 promote continuous improvement.

9) 審核與評估 Audits and Assessments

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。

Periodic self-evaluations should be conducted 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 should be established.

11) 文檔和記錄 Documentation and Records

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。

Documents and records should be created and retained 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

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。

A process should be established to communicate Code requirements to suppliers and to monitor supplier compliance with the Code.

Supplier Company : _____ 印(seal) : _____

簽署代理人 Printed Name : _____

簽章 Signature : _____

職稱 Title : _____ 日期 Date : _____