

## 群聯電子 RBA 供應商行為準則 Phison Supplier Code of Conduct

成為群聯電子之供應夥伴，我們承諾在經營公司的業務時，均須完全符合當地所有相關適用的法律與規章。我們進一步地經由簽署此份承諾書，以承諾並確認我們將致力於遵行責任商業聯盟行為準則【簡稱為RBA行為準則。此標準之內容，旨在確保供應鏈提供安全的工作環境、員工受到尊重並賦有尊嚴，且在經營中亦須承擔保責任並遵守道德規範，訂定永續採購政策，同時要求下一階供應商認同並落實執行本規範。

As a supplier of Phison, we are committed to complying with all applicable laws and regulations whereby our business operates. Moreover, we commit and confirm that we'll strive to meet the requirements specified in the Responsibility Business Alliance Code of Conduct (i.e., RBA COC) by signing this certificate of compliance. This Code of Conduct establishes standards to ensure that working conditions are safe, that workers are treated with respect and dignity, that business operations are environmentally responsible and conducted ethically, that a sustainable procurement policy is formulated, and that next-tier suppliers are required to recognize and implement this specification accordingly.

RBA行為準則包含了六大議題，分別是A.勞工、B.健康與安全、C.環境、D.道德規範及E.管理系統 F.供應鏈管理，以下條列該準則之摘要(請連結以下RBA官網，詳閱其內容,並定期注意其更新規定事項 <http://www.responsiblebusiness.org/standards/code-of-conduct/>)。

The RBA COC is constituted of SIX ASPECTS, including A. LABOR, B. HEALTH, and SAFETY, C. the ENVIRONMENT, D. ETHICS, and E. MANAGEMENT SYSTEM and F. SUPPLY CHAIN MANAGEMENT. The following outlined its criteria respectively (Please carefully read the details and should keep the most updated as well at the RBA website: <http://www.responsiblebusiness.org/standards/code-of-conduct/>).

### 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、國外及國內移民勞工、學生、合約勞工、直接僱員以及任何其他類型的勞工。本準則編寫時參考在附錄中列出的公認標準，而這些標準同時亦是一種有用的額外信息來源。

#### 勞工標準：

##### 1) 自由選擇職業

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。這包括使用恐嚇、強迫、威脅、綁架或詐騙手段運送、窩藏、招募、調配或接收的勞工或取得的服務。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。在招聘程序中，必須在國外及國內移民勞工離開原本的國家前，為他們提供其母語書寫的僱傭協議，而該協議裏需列明及口頭解釋關鍵僱傭條款及條件；而在抵達接收國家或地區後，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、護照或工作許可證的原件，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

### A. LABOR

Participants are committed to upholding the human rights of workers and treating 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 the terms and conditions of employment are explained verbally in their native language. Foreign and internal migrant workers must receive the employment agreement prior to the worker departing from his or her country/region of origin and there shall be no substitution or change(s) allowed in the employment agreement upon arrival in the receiving country/region 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 the worker's contract. Employers, agents, and sub-agents may not hold or otherwise destroy, conceal, or confiscate identities or immigration documents, such as the documentation originals of government-issued identification, passports, or work permits. Employers can only hold

交還予有關勞工。

## 2) 青年勞工

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（三項中取其指定年齡最大的一項）。支持遵守所有法律和法規的、合法利用工作場所的學習計畫。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。參與者不得通過勞務仲介商/人力仲介機構招聘、錄用、安置和管理學生工、實習工或學徒工，並應當透過適當地保管學生記錄、嚴格稽核教育合作夥伴、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且符合學習目標。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，且不得有經濟/學術處罰。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。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、超時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、派遣員和外包工人。

## 5) 人道的待遇

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、精神或身體脅迫或是口頭辱罵；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。

## 6) 不歧視/不騷擾

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。

## 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。

documentation if such holdings are required by law. In this case, workers should not be denied access to their documents. Workers shall not be required to pay employers' agent's 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) 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. No agency or intermediary may be used in connection with the recruitment, hiring, arrangement, and management of student workers, interns, or apprentices and Participants shall ensure proper management and conforms with the learning objectives 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 and with no financial/scholastic penalty. 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 the ILO Discrimination (Employment and Occupation) Convention (No.111).

## 7) Freedom of Association

In conformance with local law, participants shall respect the right of

## 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在員工投入和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系統（如 ISO45001 職業安全衛生管理系統和國際勞工組織職業安全健康管理系統指引），此系統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、運載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／哺乳期女性遠離存在高度危險的工作環境、消除或減少懷孕的婦女和哺乳期女性所承受的任何職業健康和​​安全風險（包括與其工作分派相關的），以及為哺乳其女性提供合理的場所。

#### 2) 應急準備

應確認和評估潛在的緊急情況和事件，並通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。

#### 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。

#### 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、

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.

#### 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,

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。

### 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。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。本準則在起草時參考了公認的管理系統(如 ISO 14001 和生態管理及稽核系統(Eco Management and Audit System, EMAS))，此系統亦是有益的額外信息來源。

#### 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。應節約或透過實踐(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)的耗費。

##### 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物質、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、回收或再用及棄置。

##### 4) 固體廢物

參與者應實施系統性的措施來識別、管理、減少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、噴霧劑、腐蝕性物質、懸浮微粒、破壞臭氧層化學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。參與者也應當對廢氣排放管制系統的性能進行例行監控。

##### 6) 水資源管理

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控以確保達致最佳性能和合法性。

##### 7) 能源消耗和溫室氣體排放

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疇 1 和 2 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，包括溫室氣體盤查盤查，建立溫室氣體盤查數據清冊，追蹤溫室氣體排放量的趨勢，分析溫室氣體變化的原因，並且鑑別主要

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.

### 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, labeled, and managed to ensure their safe handling, movement, storage, use, recycling or reuse, and disposal.

#### 4) Solid Waste

Participants shall implement a systematic approach to humans, or the environment to be identified, labeled, and managed to ensure their safe handling, movement, storage, use, recycling or reuse, disposal, 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 their air emission control systems.

#### 6) 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.

排放源及節能減碳空間。

#### 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) 無行正當收益

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，不得承諾、提供、批准、給予或收受賄賂或其他形式的正當收益。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。應實施監控和強制執行程序以確保符合反腐敗法的要求。

##### 2) 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實務公開有關參與勞工、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。

##### 3) 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。

##### 4) 公平交易、廣告和競爭

應謹守公平交易、廣告和競爭標準。

##### 5) 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，並確保其身份的機密性<sup>1</sup>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。

<sup>1</sup>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。

##### 6) 隱私

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）的個人資料和隱私。參與者應當在收集、儲存、處理、傳播和分享個人資料時遵守隱私和資料安全法律及法規要求。

#### E. 管理系統

參與者應採用或建立範圍與本準則內容相關的管理系統。在設計該管理系統時，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。管理系統也應當推動持續改進。

該管理系統應包含以下要素：

**該管理系統應包含以下要素：**

##### 1) 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系統和相關計劃的實施。高級管理層應定期檢查管理系統的運作情況。

##### 2) 法律和客戶要求

制定程序識別、監控並理解適用的法律法規和客戶要求（包括本準則的要求）。所有必需的許可證、執照和監測申報報告均已到位，並及時傳達給政府(如果需要)。

##### 3) 風險評估和風險管理

#### 7) 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, including GHG inventory should be properly recorded, reviewed, and managed and should track the GHG emission trend, analyze reasons for any changes, and identify the main sources of emissions and areas for energy conservation and GHG reduction.

#### 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) 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.

##### 2) Disclosure of Information

All business dealings should be transparently performed and accurately reflected on the Participant's business books and records. Information regarding participants' 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.

##### 3) 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.

##### 4) Fair Business, Advertising and Competition

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

##### 5) Protection of Identity and Non-Retaliation

Programs that ensure the confidentiality, anonymity, and protection of supplier and employee whistleblowers<sup>1</sup> 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.

<sup>1</sup>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.

##### 6) 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) Management Accountability and Responsibility

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

制定程序識別與參與者經營相關的守法<sup>2</sup> 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符合法律法規。

<sup>2</sup> 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。

#### 4) 績效審查與持續改進

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績效審查與持續改進。

#### 5) 訓練

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，同時滿足適用之法律與法規的要求。

#### 6) 溝通

制定程序將參與者的政策、實踐、預期和績效，以其所講語言或其能夠理解之語言，清晰準確地傳達給員工、供應商和客戶。

#### 7) 員工回饋、參與和申訴

制定持續可行的程序（包括有效的申訴機制、徵求和鼓勵勞工參與、提供意見和反饋以進行改進）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回饋，從而推動持續改進，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或恐嚇。

#### 8) 稽核與評估

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。

#### 9) 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、調查和稽核中所發現的不足之處。

#### 10) 文件和記錄

建立並維護程序文件和記錄，從而確保符合法律法規與公司的要求，同時應保護隱私的相關保密條款。

### F. 供應鏈管理

參與者應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。

#### 1) 公司承諾

參與者應制定適當有效經行政管理層批准的行為準則，涵蓋RBA準則的所有要素。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) 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）。

#### 3) 負責任地採購礦物

參與者應制定和實施充分且有效的“衝突礦產供應鏈政策與管理系統”，以合理確保所生產產品中的鉭、錫、鎢和黃金（3TG）以及鈷及雲母的來源符合《經濟合作暨發展組織關於來自受衝突影響和高風險區域的礦石的負責任供應鏈指引》（《Organization for Economic Cooperation and Development, OECD 盡職

#### 2) Legal and Customer Requirements

A process to identify, monitor and understand applicable laws, regulations, and customer requirements, including the requirements of this Code. All required permits, licenses, and test reports are in place and communicated timely to the government (if required)

#### 3) Risk Assessment and Risk Management

A process to identify the legal compliance, environmental, health and safety<sup>2</sup> 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.

<sup>2</sup> 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.

#### 4) Performance Review and Continuous Improvement

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

#### 5) Training

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

#### 6) Communication

A process for communicating clear and accurate explained verbally in their native language information about Participant's policies, practices, expectations, and performance to workers, suppliers, and customers.

#### 7) Worker Feedback, Participation and Grievance

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

#### 8) 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.

#### 9) Corrective Action Process

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

#### 10) 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.

### F. SUPPLY CHAIN MANAGEMENT

Participants shall establish a process to communicate Code requirements to suppliers and to monitor supplier compliance with the Code.

#### 1) Company Commitment

Participants shall establish an adequate and effective Code of Conduct that is endorsed by executive management, covering all elements of the RBA code. 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) Materials Restrictions

Participants shall establish an adequate and effective program in place for Materials Restrictions as a formal part of the procurement and manufacturing processes and 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.

#### 3) Responsible Sourcing of Minerals

Participants shall establish an adequate and effective Conflict Minerals Policy and Management Program that is designed and implemented to reasonably assure that tantalum, tin, tungsten, and gold (3TG) and cobalt and mica in the products they manufacture are sourced in a way

調查指南》) 或同等和公認的盡職調查框架。

#### 4) 因應氣候變遷

參與者應配合群聯電子對於溫室氣體盤查及產品碳足跡等需求，建立溫室氣體盤查數據清冊，妥善保管與管理。為了減少碳足跡，參與者應致力於評估節能減碳措施，設定節能減碳的短中長期目標，以推動及落實各項做法。若再生電力為減碳方案之一，應綜合考量再生電力來源對環境、社會，以及生物多樣性的影響，選擇低負面衝擊的選項。此外建議建立氣候變遷的治理架構與責任單位，訂定氣候變遷管理指標，定期彙報進展，提供必要之產品型溫室氣體數據，並每年提供組織型溫室氣體查驗證書。若有官網等公開平台，則應每年於公開平台揭露其溫室氣體管理，以及節能減碳目標之績效與進度。

#### 5) 遏制潛在的假冒品威脅

參與者應制定建立知名度來打擊假冒品的流程，匯總有關生產、庫存和採購的數據提高公司供應鏈的可見性，以遏制潛在的假冒品威脅。激勵參與者制定高質量標準，以加強品質鑑別與評估並降低假冒產品流入主要供應品的可能性。

#### 6) 供應商的責任

參與者應制定適當且有效的流程，向下一層級供應商傳達 RBA 行為準則及群聯電子的供應鏈行為準則要求，並識別下一層級的主要供應商，確保下一層級的主要供應商已執行本準則，及本準則的實施績效和持續改進。

consistent with the OECD Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (OECD Due Diligence Guidance) or an equivalent and recognized due diligence framework.

#### 4) Response to Climate Change

Participants shall meet Phison's product requirements for GHG inventory and carbon footprints management should be properly recorded, reviewed, and managed. To reduce carbon footprints, suppliers should plan measures for energy conservation and carbon reduction and set short-, medium-, and long-term goals for implementation. If introducing renewable power is one of the carbon reduction measures, Participants should fully consider the impacts of the sources of renewable power on the environment, society, and biodiversity and decide on the sources with low adverse impacts. Participants should also establish climate governance and put in place units in charge of setting climate change management indicators and reporting climate progress and providing necessary product-specific GHG emission statistics on a regular basis. Participants should disclose corporate-level GHG emissions, as well as the achievement of energy conservation and carbon reduction goals, on their official websites, if any, or other public platforms every year.

#### 5) Curb Potential Counterfeit Threats

Participants shall establish visibility within the supply chain process toward combating counterfeits and aggregating data on production, inventory, and purchases to enhance supply chain visibility, helping to curb potential counterfeit threats. Incentivizing high-quality standards for suppliers can take to increase quality identification and assessment and mitigate the probability of counterfeits slipping into main supplies.

#### 6) Supplier Responsibility

Participants shall establish an adequate and effective process to communicate the RBA Code and Phison Supplier Code of Conduct requirements to the next-tier suppliers and identify the next-tier major suppliers to ensure that the next-tier major suppliers implement the Codes and the implementation performance and continuous improvement of the codes.

Signature of Authorized Person: \_\_\_\_\_  
被授權者的簽名

Job Title: \_\_\_\_\_  
職稱

Typed Name of Authorized Person: \_\_\_\_\_  
簽名者名字(打印)

Date: \_\_\_\_\_  
簽署日期

Company Full Name: \_\_\_\_\_  
公司全名

(With Company Seal)  
(加蓋公司章)