

一. 目的 Purpose

為導引研華集團供應商之行為符合準則，並使供應商知悉本公司應遵循之標準，揭露供應商之企業活動無礙於社會公益並依據研華之「誠信經營守則」、國家之相關法律與RBA責任商業聯盟（Responsible Business Alliance）行為準則而訂定。

Advantech outlines the Code of Conduct to educate and guide all suppliers and contractors (Supplier) of Advantech Group (Advantech) to seek the guidance on any questions that may arise in the course of their work. This Advantech Supplier Code of Conduct is implemented in accordance with Commonwealth, Advantech's integrity management rule and the related laws of the countries and RBA (Responsible Business Alliance) Code of Conduct in which we operate.

二. 範圍 Scope

所有研華集團公司的供應商必須遵行符合此行為準則。

All suppliers and contractors (Supplier) of Advantech Group (Advantech) shall follow be compliant with this Code of Conduct.

本準則由五個部分組成。A、B和C部分分別概述勞工、健康與安全，以及環境的標準。D 部分敘述企業倫理的標準；E部分則說明貫徹本準則的合宜管理體系所需的要素。

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 acceptance system to manage conformity to this Code.

三. 實施內容 Operation content

3.1 勞工標準 Labor standards

供應商應依據國際社會公認的標準，承諾維護勞工人權並給予尊嚴。本章適用於所有勞工，包括臨時、移民、學生、約聘、正職勞工以及任何其他類型勞工。

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

3.1.1 自由選擇職業 Freely Chosen Employment

禁止使用強迫、擔保（包括抵債）或用被契約強制工作之勞工、非自願或剝削性之監獄勞工、奴役或販賣之人口。包括使用恐嚇、強迫、威脅、綁架或詐騙手段運送、窩藏、招募、支配或非法買賣的勞工或獲取的服務。除禁止對勞工出入工作場所為不合理限制外，也不應無理約束勞工在工作場所內的行動自由。在招募程序中，勞工離開原生國家前，應提供勞工以其母語書寫的僱傭契約，契約應明訂聘僱條件；勞工抵達接收國家後，除因須符合當地法律要求且提供相同或更佳之勞動條件，該等聘僱契約不得修改。所有工作應屬自願，勞工有隨時自行離職或終止僱傭關係之權。除非法律要求僱主持有，僱主或人力仲介不得扣留或以其他方式毀損、隱藏、扣留或拒絕勞工取得使用其身份證或出入境證件(例如政府發給的身分證明、護照或工作許可證)。僱主或人力仲介不得要求勞工支付招募相關費用。如發現勞工須繳付任何該等費用，應返還勞工。

Forced, bonded (including debt bondage) or indentured labor, involuntary or exploitative prison labor, slavery or trafficking of persons shall not be used. 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. As part of the hiring process, workers must be provided with a written employment agreement in their native language that contains a description of terms and conditions of employment 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. Employers and agents may not hold or otherwise destroy, conceal, confiscate or deny access by employees to their identity or immigration documents, such as government-issued identification, passports or work permits, unless such holdings are required by law. Workers shall not be required to pay employers' or 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.

3.1.2 青年勞工 Young Workers

供應商不得在製造程序中使用童工。「童工」係指未滿15歲、未達義務教育年齡或該國/地區最低就業年齡之人(三項中取其指定年齡最大者)，惟合法實習不在此限。未滿18歲的勞工(青年勞工)不得從事可能危害健康或安全的工作，包括夜班或加班。供應商應妥善保管學生記錄、嚴格審核實習合作夥伴，並依法保障學生權益，以確保學生

勞工管理得宜。供應商應提供學生勞工適當之支援與訓練。除當地法律另有規定外，學生勞工、實習生和學徒薪資應至少與從事相同或近似工作之其他基層員工相同。

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. 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. Participant 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 law and regulations. Participant shall provide appropriate support and training to all student workers, to 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.

3.1.3 工時 Working Hours

根據研究，生產力降低、人員流動率上升及傷病增加與勞工的疲勞程度顯著相關。因此，工作時數不得超過當地法律規定之上限。除緊急或特殊狀況外，每週工作時數（包括加班）不得超過60小時。勞工每七天應至少休息一天。

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. Workers shall be allowed at least one day off every seven days.

3.1.4 工資福利 Wages and Benefits

支付勞工的工資應符合所有相關薪酬法律，包括最低工資、加班和法定福利之法令。依據當地法律規定，勞工加班費應高於正常工時之時薪。禁止以扣薪作為紀律懲處的手段。在每一發薪週期應及時提供勞工淺顯易懂的薪資單，包括證明支付勞工薪酬正確無誤之資料。企業僱用臨時、派遣人員和工作委外時亦應符合當地法律規定。

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.

3.1.5 人道待遇 **Humane Treatment**

避免苛刻和不人道對待勞工，包括任何形式的性騷擾、性侵犯、體罰、精神或身體強制或口頭辱罵；亦不得威脅進行任何此類行為。相關的懲處紀律政策及程序應明確定義，並清楚傳達員工。

There is to be no harsh and inhumane treatment including any sexual harassment, sexual abuse, corporal punishment, mental or physical coercion 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.

3.1.6 無歧視 **Non-Discrimination**

供應商應承諾員工免於騷擾及不受非法歧視。供應商不得因種族、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，於聘僱及實際工作中歧視勞工，致影響其薪資、晉升、獎酬和教育訓練等機會。應為員工提供適當的場所進行宗教活動。此外，不得使員工或準員工接受帶有歧視性的醫學檢驗或健康檢查。

Supplier should be committed to a workforce 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, 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 or physical exams that could be used in a discriminatory way.

3.1.7 自由結社 **Freedom of Association**

供應商應依據當地法律當尊重所有員工組織及參與他們所選擇的工會、團體協商和參加和平集會的權利，同時也應尊重員工迴避此類活動的權利。員工及/或其代表應能在無需擔心被歧視、報復、威脅或騷擾的情況下，公開就勞動條件及管理方法與管理階層進行溝通，並分享其意見和想法。

In conformance with local law, Supplier 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.

3.2 健康與安全 Health and Safety

供應商除盡力降低工作相關的傷病發生率外，亦認同安全、健康的工作環境有助提昇產品和服務品質、生產穩定及勞工的忠誠度和士氣，供應商也應瞭解員工的回饋及教育訓練對鑑別與解決工作場所的健康與安全問題至關重要。

Supplier recognizes 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. Supplier also recognizes that ongoing worker input and education is essential to identifying and solving health and safety issues in the workplace.

3.2.1 職業安全 Occupational Safety

透過適當的設計、工程和管理、預防性保養和安全操作程序（包括上鎖/標示程序）和持續的安全教育訓練，以識別、評估及控制工作場所的潛在風險（如化學品、電力和其他能源、火災、交通工具和跌倒危險或事故），以免危害勞工。若無法透過上述方法有效控制危險源，應為員工提供適當、保養良好的個人防護設備以及相關事故和危害風險的教材。此外，供應商應採取合理的措施，使懷孕的女性／哺乳期婦女遠離存在高風險的工作環境，並消除或降低懷孕女性和哺乳期婦女所可能承受的職業健康和 safety 風險（包括與其工作分派相關之風險），以及為哺乳期婦女提供合適的場所。

Worker potential for exposure to safety hazards (e.g., chemical, electrical and other energy sources, fire, vehicles and fall hazards) are to be identified and assessed, and controlled through proper design, engineering and administrative controls, preventative maintenance and safe work procedures (including lockout/tagout), and ongoing 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/nursing mothers from working condition 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, as well as include reasonable accommodations for nursing mothers.

3.2.2 緊急應變程序 Emergency Preparedness

應確認和評估潛在的緊急情況與事件，並實施緊急應變程序將影響降至

最低，包括緊急通報、告知員工疏散程序、員工訓練與演練、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回復計劃。這些方案和程序應著重在盡量降低對生命、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, the environment and property.

3.2.3 職業傷害和職業病 **Occupational Injury and Illness**

應制定程序和管理體系以預防、管理、追蹤和報告職業傷害及職業病，包括鼓勵員工報告、分類和記錄職業傷害和職業病案例、提供必要治療、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等。

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 return of workers to work.

3.2.4 工業衛生 **Industrial Hygiene**

應依據管理層級識別、評估並控制員工暴露在化學性、生物性及物理性危害帶來的影響。透過適當設計、工程和行政控制消除或控制潛在危險。若該等措施無法有效預防危害，應為員工提供和使用適當、妥善維護的個人防護設備。防護計劃須包括有關相關風險危害教材。

Worker exposure to chemical, biological and physical agents is to 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 controlled by such means, workers are to be provided with and use appropriate, well-maintained, personal protective equipment. Protective programs shall include educational materials about the risks associated with these hazards.

3.2.5 體力勞動 **Physically Demanding Work**

應識別、評估並控制員工暴露在從事體力勞動工作帶來的影響，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。

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.

3.2.6 機器防護 **Machine Safeguarding**

應評估生產設備或其他類型機器的危險因子。為預防機器對職工可能造成的傷害，應當提供和正確之物理防護裝置、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.

3.2.7 公共衛生和食宿 **Sanitation, Food and Housing**

應提供勞工乾淨的洗手間設施、清潔的飲用水、以及衛生的廚具、食物儲存設備和餐具。供應商或人力仲介提供的員工宿舍應維持乾淨、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 heat and ventilation, individually secured accommodations for storing personal and valuable items, and reasonable personal space along with reasonable entry and exit privileges.

3.2.8 健康與安全溝通 **Health and Safety Communication**

供應商應以勞工能夠瞭解的語言提供適當的職業健康和 safety 資料和舉行訓練，以告知勞工可能面臨的工作場所危害，例如機械、電力、化學品、火災和物理危害。在工作場所的明顯處張貼健康與安全相關資料，或將有關資料放在員工可見和易取得之處。在工作開始前後應定期提供所有勞工訓練並鼓勵員工提高安全意識。

Supplier 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 safety concerns.

3.3 環境 **Environmental**

供應商認同環境保護責任為製造世界級產品不可或缺的一環。製造過程中應儘量減少對社區、環境和自然資源造成的負面影響，並保障公眾的

健康和安全。

Supplier recognized that environmental responsibility is integral to producing world class products. In manufacturing operations, adverse effects on the community, environment and natural resources are to be minimized 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.

3.3.1 環保許可及報告 **Environmental Permits and Reporting**

供應商應取得所有法令要求之許可（例如排放監控）、核准和登記，亦應定期維護並更新，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.

3.3.2 污染預防和節約能源 **Pollution Prevention and Resource Reduction**

供應商應從源頭或透過實踐（如增設污染控制設備、改良生產、保養和設施程序或其他方法）儘量減少或消除排出和排放污染物以及產生廢棄物。供應商應節約或透過實踐（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）。

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 process, or by other means. The use of natural resources, including water, fossil fuels, minerals and virgin forest products, is to be conserved or by practices such as modifying production, maintenance and facility processes, materials substitution, re-use, conservation, recycling or other means.

3.3.3 有害物質 **Hazardous Substances**

供應商應鑑別、標示及管理對人類或環境造成危害的化學或其他物質，從而確保這些物質得以安全地處理、運送、儲存、使用、回收或再利用或處置。

Chemicals 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.

3.3.4 固體廢棄物 **Solid Waste**

供應商應有系統化的方法鑑別、管理、減少、處置或回收（無害之）固體廢棄物。

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

3.3.5 廢氣排放 Air Emissions

在排放生產過程產生之揮發性有機物、氣膠污染物、腐蝕性物質、粒狀污染物、臭氧層破壞物質以及燃燒副產物至空氣中前，應依要求進行分類、定期監控、控制和處理。供應商應對廢氣排放監控系統的效能進行定期查核。

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

3.3.6 材料限制 Material Restrictions

供應商應遵守所有法律、規範和客戶要求，在產品製造過程中禁止或限制使用特定物質（包括回收、再利用和處理標示）。

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

3.3.7 水資源管理 Water Management

供應商應當實施水管理計劃，以記錄、分類和監控水資源、使用和排放；尋求機會節約用水；以及控制污染排放。所有污水在排放或處置前，應當按照要求對其進行分類、監控、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控，以確保達到最佳性能和符合監管要求。

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

3.3.8 能源消耗和溫室氣體排放 Energy Consumption and Greenhouse Gas Emissions

應追蹤及記錄工作場廠內和／或企業層面的能源消耗和所有相關範疇 1 和 2 之溫室氣體排放。供應商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 1 and 2 greenhouse gas emissions are to be tracked and documented, at the facility and/or corporate level. Supplier is to look for cost-effective methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.

3.4 企業倫理 Ethics

為履行社會責任並在市場上成功，供應商及其代理商應謹守最高道德標準，包括：

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

3.4.1 誠信經營 Business Integrity

在所有商業互動中均應謹守最高誠信標準。供應商應採取零容忍政策禁止任何形式的賄賂、貪污、勒索和侵占行為。

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

3.4.2 無不正利益 No Improper Advantage

不得承諾、要約、同意、給予或收受賄賂或其他形式的不正利益，包括任何有價之財物（無論係直接或透過第三人間接）之承諾、要約、同意、給予或收受，以期獲得或保有業務、將業務轉讓他人或獲取不正利益。供應商應控管和建立執程序，以確保符合反貪腐法規的要求。本公司透過設置舉報信箱audit.direct@advantech.com.tw，監控和執程序確保符合此項要求。

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 and improper advantage. Monitoring and enforcement procedures shall be implemented to ensure compliance with anti-corruption laws. Advantech monitors and implements procedures to ensure compliance with this requirement by setting up a report mailbox at audit.direct@advantech.com.tw.

3.4.3 資訊公開 Disclosure of Information

所有的業務來往均應透明，並正確記錄參與者的賬冊和商業記錄上。供應商應依據法令和行業慣例揭露勞工、健康與安全、環保活動、商業活動、組織架構、財務狀況和營運績效相關資料，且不得偽造記錄或對供應鏈的狀況或實務為不實陳述。

All business dealings should be transparently performed and accurately reflected on participant's business books and records. Information regarding participant labor, health and safety, environmental practices, business activities, structure, financial situation and performance is to be disclosed in

accordance with applicable regulations and prevailing industry practices. Falsification of records or misrepresentation of conditions or practices in the supply chain are unacceptable.

3.4.4 智慧財產權 Intellectual Property

應尊重智慧財產權；應以保護智財的方式移轉技術和營業祕密；客戶和供應商的資訊應予保密。

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.

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

公平交易、廣告和企業競爭應予維護。

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

3.4.6 身分保護及防止報復 Protection of Identity and Non-Retaliation

除法律禁止，供應商應制定程序來保護供應商和員工之檢舉者¹，並確保其身份不被洩漏。供應商也應制定溝通程序，讓員工可以表達疑慮且不用擔心遭報復。

¹ 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之不正當行為者。

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

¹ Whistleblower definition: Any person who makes a disclosure about improper conduct by an employee or officer of a company, or by a public official or official body.

3.4.7 盡責採購礦物 Responsible Sourcing of Minerals

供應商應制定政策確保其製造之產品所含有的鈹、錫、鎢和黃金不直接或間接地資助剛果民主共和國及其鄰國嚴重侵犯人權的武裝團體。供應商應對這些礦物的來源和控管鏈進行嚴格審核，並在客戶查詢時提供有關調查方法的資料。

Supplier 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. Supplier 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.

3.4.8 個資保護 Privacy

供應商承諾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）的個人資料之秘密。供應商收集、儲存、處理、傳遞和分享個人

資料時應遵守個人資訊保護及資安法令之規定。

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

3.5 管理體系 Management Systems

供應商應就本準則內容建立管理系統。設計管理系統時應確保：(a) 符合與供應商營運和產品相關的法規及客戶要求；(b) 符合本準則，以及 (c) 識別並降低與本準則有關之經營風險。該管理體系應包含下列要素：

Supplier shall adopt or establish a management system whose scope is related to the content of this Code. The management systems 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.

3.5.1 公司承諾 Company Commitment

為確保供應商遵守及持續改善的承諾，管理階層的支持，企業社會及環境責任聲明書應由管理階層簽署後以當地語言於工作場所內公告。

A 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.

3.5.2 管理職責與責任 Management Accountability and Responsibility

供應商應指派高階主管及公司代表負責確管理系統及相關計畫的執行。管理階層應定期審查管理系統狀況。

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 system on a regular basis.

3.5.3 法律和客戶要求 Legal and Customer Requirements

制訂程序識別、控管並確認適用之法令與客戶的要求（包括本準則規定）。

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

3.5.4 風險評估與風險管理 Risk Assessment and Risk Management

供應商應制訂程序以識別與其經營相關的法規²與環境、健康與安全以及勞工實務與企業倫理之風險。評定每項風險的級別，實施適當程序和實質控制以管控經識別的風險並確保符合法令規定。

² 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／宿舍均應列入環境健康與安全風險評估範圍。

A process to identify the legal compliance, environmental, health and safety² 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.

² 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.

3.5.5 改善目標 Improvement Objectives

應制訂書面績效目標、指標和執行計劃以提高供應商的社會和環境責任績效，包括對於達成此等目標所進行定期評估。

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

3.5.6 訓練 Training

供應商應為管理階層及員工制定訓練計劃，協助他們達到公司要求的政策、程序及改善目標，並符合法令要求。

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

3.5.7 溝通 Communication

供應商應將公司的政策、實踐、期待及績效正確傳達給員工、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.

3.5.8 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，從而推動持續改進。

Ongoing processes, including an effective grievance mechanism, to assess employees' understanding of and obtain feedback on or violations against

practices and conditions covered by this Code and to foster continuous improvement.

3.5.9 審核與評估 Audits and Assessments

定期進行自我評估，確保公司符合法令與法規的要求、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.

3.5.10 糾正措施 Corrective Action Process

制定程序以確保能夠及時改善內外部評估、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 review.

3.5.11 文檔和記錄 Documentation and Records

建立並保留檔案和記錄，以確保符合法令督規定與公司要求，同時應保障私隱與機密性。

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

3.5.12 供應商的責任 Supplier Responsibility

制定程序將本準則之規定傳達予供應商，並監督供應商對本準則之遵行。

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

參考資料

REFERENCES

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

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

Dodd-Frank Wall Street Reform and Consumer Protection Act

<http://www.sec.gov/about/laws/wallstreetreform-cpa.pdf>

Eco Management & Audit System

http://ec.europa.eu/environment/emas/index_en.htm

Ethical Trading Initiative

www.ethicaltrade.org/

ILO Code of Practice in Safety and Health

www.ilo.org/public/english/protection/safework/cops/english/download/e000013.pdf

ILO International Labor Standards www.ilo.org/public/english/standards/norm/whatare/fundam/index.htm

ISO 14001

www.iso.org

National Fire Protection Association

www.nfpa.org/catalog/home/AboutNFPA/index.asp

經濟合作與發展組織關於來自受衝突影響和高風險區域礦石的責任供應鏈盡職調查指南

<http://www.oecd.org/corporate/mne/mining.htm>

OECD Guidelines for Multinational Enterprises <http://www.oecd.org/investment/mne/1903291.pdf>

ISO 45001

www.iso.org

OHSAS 18001 <http://www.bsigroup.com/en-GB/ohsas-18001-occupational-health-and-safety/>

Universal Declaration of Human Rights

www.un.org/Overview/rights.html

United Nations Convention Against Corruption <https://www.unodc.org/unodc/en/treaties/CAC/>

United Nations Global Compact

www.unglobalcompact.org

United States Federal Acquisition Regulation

www.acquisition.gov/far/

SA 8000

<http://www.sa-intl.org/index.cfm?fuseaction=Page.ViewPage&PageID=937>

Social Accountability International (SAI)

www.sa-intl.org

供應商行為準則同意書

Agreement for Advantech Supplier Code of Conduct

貴公司 鈞鑒：

研華企業致力於研發、生產、銷售 e World Computing & Web-enabled Automation 之科技產品，本著地球公民之一份心，及美滿人生之企業目的，本公司願為企業社會責任貢獻最大之努力。為此，研華採用 RBA(責任商業聯盟)之行為準則而制定 M-01-A0010 研華供應商行為準則。研華企業的供應商/承攬商，需履行此準則並作出承諾，如涉及違反此承諾，研華企業保有權責得隨時終止或解除採購契約。研華企業也將定期評估供應商對本行為準則的遵循情形，並在選擇合作夥伴關係時考量供應商符合該本準則的進度及表現。

Advantech Group devote technical products of “e World Computing & Web-enabled” in the aspect of research, production and sales and achieve the enterprise aim for happiness and satisfaction in life. Advantech volunteers to do the best in CSR improvement. In order to accomplish these aspects, Advantech establishes M-01-A0010 Advantech Supplier Code of Conduct in accordance with the RBA (Responsible Business Alliance) Code of Conduct. All suppliers and contractors (Supplier) of Advantech Group (Advantech) shall follow be compliant with this Code of Conduct. Advantech reserves the right to terminate the purchasing contract if supplier fails to comply with the Supplier Code of Conduct. Besides, Advantech will periodically assess compliance of the Code by Supplier and when electing business partners, take into account level of conformance and continual performance to the Code.

Supplier company name: _____

Name: _____

Title: _____

Signature: _____

Date: _____