友達光電供應商/外包商行為準則

AUO Supplier/Subcontractor Code of Conduct

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AUO 供應商/外包商行為準則(繁體中文版)

第一條 訂定目的及適用範圍

友達光電重視負責任商業行為與供應鏈永續管理，並致力於確保工作環境安全健康、員工權益受到保障與尊重、製程與產品落實污染預防，及營運活動符合法令與社會責任要求。為建立符合客戶期待、當地法令及友達企業精神之管理原則，友達光電參考國際通行之勞工、健康安全、環境、道德及供應鏈管理實務，包含社會責任標準(SA8000)，世界人權宣言(the Universal Declarations of Human Rights)、以及全球蘇利文原則(Global Sullivan Principles)，訂定企業永續政策與供應商／外包商行為要求，作為推動永續營運與供應鏈管理之依循。

1. 追求企業永續，重視公司經濟、環境、社會之經營
2. 嚴守誠信原則，拒絕不當利益、貪腐、賄賂等行為
3. 關注機會風險，創造客戶、股東、員工及相關利害關係人之最適利益
4. 力守法規承諾，落實國際倡議及標準
5. 卓越技術發展，促進產品創新及升級
6. 強化夥伴合作，發揮價值鏈之加值影響
7. 提升資源使用，創造循環經濟利基

8. 降低環境負荷，減緩氣候變遷及維持生態平衡

9. 尊重維護人權，重視機會平等、多元發展及員工權益

10. 提供友善職場，活化人才及營造健康安全之工作環境

11. 深根公益活動，落實社會關懷

12. 建構互信對話，重視資訊揭露及傳遞

我們的供應商/外包商必須瞭解、遵守並簽署「AUO 供應商/外包商行為準則符合性聲明書」的內容，必要時須提供改善行動或進度報告。其目的除了讓供應商/外包商清楚地了解友達的供應商/外包商行為準則要求，並且必須遵守當地法令，同時確保本身及其供應商/外包商之營運符合性。

第二條 勞工

供應商應根據國際社會公認的準則，承諾維護勞工的人權，維持其尊嚴，並承諾遵守「AUO 供應商/外包商行為準則」、包含但不限於 UFLPA 等國際通行要求。

1. 禁止強迫勞動

禁止使用強逼、擔保（包括抵債）或用契約束縛的勞工、非自願的監獄員工、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

員用作員工或取得服務。除了禁止對員工進出入公司工作場所作出不合理限制外，也不應無理地約束員工在工作場所內走動的自由。作為招聘程序中的必要部份，必須在員工離開原本的國家前，為他們提供用他們母語書寫的書面僱傭協議， 並且在協議中描述僱傭條款及條件。所有工作應當是自願的，員工擁有自由隨時離開工作崗位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、沒收或拒絕員工取用他們的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，除非法律要求僱主必須保留上述文件。不得要求員工向僱主或代理支付招聘費或其他相關費用。若發現員工支付該等費用，費用必須反還給員工。

2. 未成年員工

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、或低於完成義務教育的年齡、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）。符合所有法律法規的合法職場學習計劃則不在此列。未滿 18 歲的員工（未成年工）不得從事可能會危及健康或安全的工作，包括夜間值勤或加班。應當合理維護學生工記錄、嚴格審核教育合作夥伴和按照適用的法律法規保障學生工的權利， 從而確保對學生工的管理得當。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定，學生工、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。如發現童工，應提供協助或補救措施。

3. 工作時間

一週的工作時間不應超過當地法律規定的最大限度。此外，每週的工作時數（包括加班）不應超過 60 小時，緊急或特殊情況除外。員工每七天應當至少休息一天。

4. 薪資和福利

支付給員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、加班時間和法定福利的法令。根據當地法律，員工的加班工資應高於常規工資水平。禁止以扣減工資作為紀律處分的手段。在每個支薪週期，應及時為員工提供清晰易懂的工資單，內含充足的資料證實支付給員工的薪酬準確無誤。必須按照當地法律聘用臨時工、派遣員工和外包員工。

5. 不歧視/不騷擾/人道待遇

承諾員工免受騷擾以及非法歧視。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。

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、受保護的基因信息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和身心障礙狀況提供合理便利。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。

6. 結社自由與集體談判

根據當地法律，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。

7. 私人或公共安全部隊

供應商不應委託或使用私人或公共安全部隊來保護業務項目，如供應商缺乏培訓或控制，安全部隊的部署可能導致侵犯人權。

8. 土地權和強迫驅逐

供應商在收購、開發或以其他方式使用土地、森林和水域時應避免強迫驅逐和剝奪土地、森林和水域。

第三條 健康與安全

1. 職業健康與安全

應透過適當的設計、工程和行政管制、防護保養、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控制工作場的安全隱患（如電力和其他能源、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。應鼓勵員工提出安全疑慮。應採取措施促進性別平等，如防止懷孕和哺乳期婦女在可能對自身或子女有害的條件下工作，並為哺乳期婦女提供合理的便利。

2. 應急準備

應確認和評估潛在的緊急情況和事件，並透過實施應急方案和應變程序來將其影響降到最低，包括：緊急報告、員工通告和疏散計劃、員工培訓和演習、適當的火警偵測和滅火設備、充足的疏散設施和恢復計劃。這些方案和程序應注重於盡量減低對生命、環境和財產的危害。

3. 工傷和疾病

應當制定程序和體係來預防、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。應允許員工在面臨緊迫傷害時自行撤離，並在情況得到緩解之前不予返回，而不必擔心遭到報復。

4. 工業衛生

應當識別、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。必須透過工程和行政管制來防止員工過度接觸這些作用劑。如這些措施無法有效預防危害，應當採用適當的個人防護裝備計劃來保障員工的健康。

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. 機器安全防護

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、連瑣裝置以及屏障。

7. 食品、公共衛生和住房

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。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、供暖和通風設備以及適當且出入方便的私人空間。

8. 健康與安全管理溝通

應當為員工提供以他們母語進行的職業健康和安全訓練， 並在工作場所的顯眼處張貼健康與安全相關資料。

第四條 環境

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（如改良生產、維修和設施程序、替換材料、節約自然資源、物料回收和再用）減少和杜絕任何類型的資源耗費及廢物的產生，包括水和能源。

3. 有害物質

應當識別和管理釋放到四周環境中會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。

4. 固體廢物

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）。應追蹤和記錄廢棄物數據。

5. 廢氣排放

在排放營運過程中產生的揮發性有機化學物質、氣霧劑、腐蝕性物質、微粒、耗蝕臭氧層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。

6. 物質控制

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

7. 水資源管理

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。

8. 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溫室氣體排放(範圍 1、2 和 3)。

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，包括再生能源開放與使用，並採取措施推動整個價值鏈的去碳化。

第五條 道德

1. 商業誠信與無不正常利益

在所有商業互動關係中都應謹守最高的誠信標準。採取零容忍政策來禁止任何形式的賄賂、貪汙、敲詐勒索和挪用公款。所有的業務來往應具透明度，並準確地記錄在賬簿和商業記錄上。不得承諾、提供、授權、給予或接受任何有價之物，以獲得或保留業務、向任何人指導業務或以其他方式獲得不正常利益。供應商應鼓勵勞工/ 員工申報利益衝突，並確保勞工/ 員工明瞭友達政策，以確保符合反貪腐法律並應保留利益衝突申報記錄。推行監控和強制執行程序以確保符合反腐敗法的要求。

2. 資訊揭露

按照適用法規和普遍的行業慣例公開有關參與員工、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。供應商應實施充分且有效的記錄、檢查、調查程序，

不得偽造記錄或虛報供應鏈的狀況或慣例，並且保留違反資訊公開事件的檢查和調查記錄。

3. 智慧財產

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；應制定並實施充分且有效的知識產權政策，防止洩漏或未經授權揭露公司、客戶或供應商的知識產權或商業資訊。

4. 公平交易、廣告和競爭

應制定並實施充分且有效的政策、程序與防範措施，確保始終秉持公平交易、廣告、競爭相關標準。

5. 身份保護及防止報復

除非受法律禁止，應當制定程序來保護供應商/外包商和員工檢舉者，並確保其身份的機密性和匿名性。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。

6. 隱私

承諾合理地保護任何與其有業務來往者（包括供應商/外包商、客戶、消費者和員工） 的個人資料和隱私。在收集、儲存、處理、傳播和分享個人資料時遵守隱私和信息安全法律及監管要求。

7. 生物多樣性

呼應並認知國際生物多樣性、生態系與自然環境保育之重要性，尊重並支持《生物多樣性公約》及《昆明－蒙特婁生物多樣性框架》實現與自然和諧共生願景之精神。供應商應承諾遵守公司全球營運所在地的生物多樣性、生態、自然環境相關法律規範，以達到生物多樣性正面效益之願景。

應建立適當的程序，以確保周界土壤品質與噪音符合當地相關法規的規定

8. 出口管制

供應商應瞭解並遵循進出口相關法規，包括運送產品予友達，或代友達為進出口產品予他人。

第六條 供應鏈管理

1. 公司的承諾

企業的社會及環境責任政策聲明，確定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. 材料物質限制

應遵守有關在產品中以及製造過程中禁用或限用某些特定物質(包括回收和處置標誌)的所有適用法律、法規和客戶要求。

3. 負責任的礦物採購

制定政策來合理地確保他們製造的產品中所含有的鉭、錫、鎢、黃金和鈷不會直接或間接地資助或有益於剛果民主共和國及其鄰國內嚴重侵犯人權的犯罪武裝集體。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。

4. 供應商責任

應善盡負責任商業行為，並將本準則的要求傳達給供應商/外包商並監管供應商/外包商對本準則的遵行情況。供應商遵行友達供應商行為準則的情況應被執行與記錄，且在供應鏈中進一步推行。

5. 供應商的管理職責與責任

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。

6. 法律和客戶要求

制定程序識別、監察並理解適用的法律法規和客戶要求（包括本準則的要求）。

7. 風險評估和風險管理

制定程序識別與參與者經營相關的守法、環境、健康與安全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。

8. 改進目標

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，包括為達成這些目標所取得的成效進行定期審核。

9. 培訓

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法規的要求。

10. 溝通

制定程序將政策、實踐、預期和績效清晰準確地傳達給員工、供應商/外包商和客戶。

11. 員工意見和參與

制定程序持續評估員工對本準則所涵蓋之實踐和條件的認知度，並獲取員工在這方面的意見，從而推動持續改進。

12. 審核與評估

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

13. 糾正措施

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

14. 文檔和記錄

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

15. 資料保護與資訊安全

為保障供應商與客戶隱私及智慧財產，供應商/外包商應強化資訊安全管理，升級資安防護力。供應商應在收集、保留、使用或傳播以及任何其他個人數據處理方面尊重隱私和公民自由。

AUO 供货商/外包商行为准则(简体中文版)

第一条 订定目的及适用范围

友达光电重视负责任商业行为与供应链永续管理，并致力于确保工作环境安全健康、员工权益受到保障与尊重、制程与产品落实污染预防，及营运活动符合法令与社会责任要求。为建立符合客户期待、当地法令及友达企业精神之管理原则，友达光电参考国际通行之劳工、健康安全、环境、道德及供应链管理实务，包含社会责任标准(SA8000)，世界人权宣言(the Universal Declarations of Human Rights)、以及全球苏利文原则(Global Sullivan Principles)，订定企业永续政策与供应商／外包商行为要求，作为推动永续营运与供应链管理之依循。

1. 追求企业永续，重视公司经济、环境、社会之经营

2. 严守诚信原则，拒絶不当利益、贪腐、贿赂等行为

3. 关注机会风险，创造客户、股东、员工及相关利害关系人之最适利益

4. 力守法规承诺，落实国际倡议及标准

5. 卓越技术发展，促进产品创新及升级

6. 强化伙伴合作，发挥价值链之加值影响

7. 提升资源使用，创造循环经济利基

8. 降低环境负荷，减缓气候变迁及维持生态平衡

9. 尊重维护人权，重视机会平等、多元发展及员工权益

10. 提供友善职场，活化人才及营造健康安全之工作环境

11. 深根公益活动，落实社会关怀

12. 建构互信对话，重视信息揭露及传递

我们的供货商/外包商必须了解、遵守并签署《AUO 供货商/外包商行为准则符合性声明书》的内容，必要时须提供改善行动或进度报告。其目的在于使供货商/外包商清楚了解友达的供货商/外包商行为准则要求，并遵守适用法令及相关要求，同时确保其自身及其供货商/外包商之营运符合性。

第二条 劳工

供货商应根据国际社会公认的准则，承诺维护劳工的人权，维持其尊严，并承诺遵守《AUO 供货商/外包商行为准则》，包含但不限于 UFLPA 等国际通行要求。

禁止强迫劳动

禁止使用强逼、担保（包括抵债）或用契约束缚的劳工、非自愿的监狱员工、奴役或贩卖的人口。这包括用恐吓、强逼、威胁、绑架或诈骗手段运送、窝藏、招募、调配或接受人员用作员工或取得服务。除了禁止对员工进出入公司工作场所作出不合理限制外，也不应无理地约束员工在工作场所内走动的自由。作为招聘程序中的必要部份，必须在员工离开原本的国家前，为他们提供用他们母语书写的书面雇佣协议， 并且在协议中描述雇佣条款及条件。所有工作应当是自愿的，员工拥有自由随时离开工作岗位或终止雇佣关系的权利。雇主或中介人不得扣留或以其他方式毁坏、隐藏、没收或拒绝员工取用他们的身份证或出入境证件，如政府颁发的身份证明、护照或工作许可证，除非法律要求雇主必须保留上述文件。不得要求员工向雇主或代理支付招聘费或其他相关费用。若发现员工支付该等费用，费用必须反还给员工。

1. 未成年员工

不得在任何制造工序中使用童工。「童工」指雇佣任何未满 15 岁、或低于完成义务教育的年龄、或该国家/地区最低就业年龄的人士（三项中取其指定年龄最大的一项）。符合所有法律法规的合法职场学习计划则不在此列。未满 18 岁的员工（未成年工）不得从事可能会危及健康或安全的工作，包括夜间值勤或加班。应当合理维护学生工记录、严格审核

教育合作伙伴和按照适用的法律法规保障学生工的权利， 从而确保对学生工的管理得当。应当为所有学生工提供适当的支持和训练。如果没有当地法律的规定，学生工、实习生和学徒的薪资水平应最少与从事相同或相似工作的其他入门级员工相等。如发现童工，应提供协助或补救措施。

2. 工作时间

一周的工作时间不应超过当地法律规定的最大限度。此外，每周的工作时数（包括加班）不应超过 60 小时，紧急或特殊情况除外。员工每七天应当至少休息一天。

3. 薪资和福利

支付给员工的工资应当符合所有相关的薪酬法令，包括有关最低工资、加班时间和法定福利的法令。根据当地法律，员工的加班工资应高于常规工资水平。禁止以扣减工资作为纪律处分的手段。在每个支薪周期，应及时为员工提供清晰易懂的工资单，内含充足的数据证实支付给员工的薪酬准确无误。必须按照当地法律聘用临时工、派遣员工和外包员工。

4. 不歧视/不骚扰/人道待遇

承诺员工免受骚扰以及非法歧视。避免苛刻和非人地道对待员工，包括任何形式的性骚扰、性侵犯、体罚、精神或身体压逼或是口头辱骂；也不得威胁进行任何此类行为。有关的纪

律政策及程序必须有清晰的定义，并向员工清楚地传达。

公司不得因人种、肤色、年龄、性别、性倾向、性别认同及表达、种族或国籍、残疾、怀孕、信仰、政治立场、团体背景、退伍军人身份、受保护的基因信息或婚姻状况等在招聘及实际工作中歧视员工，例如因此而影响工资、晋升、奖励和受训机会等。应为员工提供适当的场所进行宗教活动和身心障碍状况提供合理便利。此外，不得让员工或准员工接受带有歧视性的医学检验或身体检查。

5. 结社自由与集体谈判

根据当地法律，应当尊重所有员工组织和参与他们所选择的工会、集体谈判和参加和平集会的权利，同时也应尊重员工回避这类活动的权利。员工和/或他们的代表应当能够在不用担心歧视、报复、威胁或骚扰的情况下，公开地就工作条件和管理方法与管理层沟通以及分享其想法和忧虑。

6. 私人或公共安全部队

供货商不应委托或使用私人或公共安全部队来保护业务项目，如供货商缺乏培训或控制，安全部队的部署可能导致侵犯人权。

7. 土地权和强迫驱逐

供货商在收购、开发或以其他方式使用土地、森林和水域时应避免强迫驱逐和剥夺土地、森林和水域。

第三条 健康与安全

1. 职业健康与安全

应透过适当的设计、工程和行政管制、防护保养、安全操作程序（包括上锁挂牌程序）和持续性的安全知识培训来控制工作场的安全隐患（如电力和其他能源、火灾、运载工具和跌倒危险或事故），以免危及职工。若无法透过上述方法有效控制危险源，应为员工提供适当的、保养良好的个人防护装备以及有关这些危险事故和相关风险的教材。应鼓励员工提出安全疑虑。应采取措施促进性别平等，如防止怀孕和哺乳期妇女在可能对自身或子女有害的条件下工作，并为哺乳期妇女提供合理的便利。

2. 应急准备

应确认和评估潜在的紧急情况和事件，并透过实施应急方案和应变程序来将其影响降到最低，包括：紧急报告、员工通告和疏散计划、员工培训和演习、适当的火警侦测和灭火设备、充足的疏散设施和恢复计划。这些方案和程序应注重于尽量减低对生命、环境和财产的危害。

3. 工伤和疾病

应当制定程序和体系来预防、管理、追踪和报告工伤和职业病，包括以下规定：鼓励员工报告；归类和记录工伤和职业病案例；提供必要的治疗；调查案例并执行纠正措施以杜绝类似情况；协助员工返回工作岗位。应允许员工在面临紧迫伤害时自行撤离，并在情况得到缓解之前不予返回，而不必担心遭到报复。

4. 工业卫生

应当识别、评估并控制因接触制化学、生物以及物理作用剂给员工带来的影响。必须透过工程和行政管制来防止员工过度接触这些作用剂。如这些措施无法有效预防危害，应当采用适当的个人防护装备计划来保障员工的健康。

5. 体力劳动工作

应当识别、评估并控制从事体力劳动工作给员工带来的影响，包括以人力搬运物料或重复提举重物、长时间站立和高度重复性或高强度的组装工作。

6. 机器安全防护

应当评估生产设备或其他类型机器的安全隐患。为预防机器对职工可能造成的伤害， 应当提供和正确地维护物理防护装置、连琐装置以及屏障。

7. 食品、公共卫生和住房

应当为员工提供干净的洗手间设施、清洁的饮用水、以及卫生的煮食用具、食物储存设施和餐具。提供的员工宿舍应当保持干净、安全，并提供适当的紧急出口、洗浴热水、充足的照明、供暖和通风设备以及适当且出入方便的私人空间。

8. 健康与安全管理沟通

应当为员工提供以他们母语进行的职业健康和安全训练， 并在工作场所的显眼处张贴健康与安全相关资料。

第四条 环境

1. 环境许可和报告

应获取所有必需的环境许可证（如排放监控）、批准和登记文件，亦要对之进行维护并时常更新，以及遵守许可证的操作和报告要求。

2. 预防污染和节约资源

应在源头上或透过实践（如改良生产、维修和设施程序、替换材料、节约自然资源、物料回收和再用）减少和杜绝任何类型的资源耗费及废物的产生，包括水和能源。

3. 有害物质

应当识别和管理释放到四周环境中会造成危害的化学物质及其他物质，从而确保这些物质得以安全地处理、运送、储存、使用、回收或再用及弃置。

4. 固体废物

应实施系统性的措施来识别、管理、减少和负责任地弃置或回收固体废物（无害的）。应追踪和记录废弃物数据。

5. 废气排放

在排放营运过程中产生的挥发性有机化学物质、气雾剂、腐蚀性物质、微粒、耗蚀臭氧层化学物品以及燃烧副产品前，应当按照要求对其进行分类、例行监察、控制和处理。参与者也应当对废气排放管制系统的性能进行例行监察。

6. 物质控制

应当遵守所有适用法律法规和客户要求，禁止或限制在产品和制造过程中纳入特定物质（包括回收和弃置标签）。

7. 水资源管理

应当实施水管理计划，以记录、分类和监察水资源、使用和排放；寻求机会节约用水；以及控制污染渠道。所有污水在排放或弃置前，应当按照要求对其进行分类、监察、控制和

处理。参与者应当对污水处理和控制系统的性能进行例行监察以确保达致最佳性能和符合监管规例。

8. 能源消耗和温室气体排放

应当追踪及记录工作场所内和/或企业层面的能源消耗和温室气体排放(范围 1、2 和 3)。供货商应当寻求具成本效益的方法来改善能源利用效率和尽量减少能源消耗和温室气体排放，包括再生能源开放与使用，并采取措施推动整个价值链的去碳化。

第五条 道德

1. 商业诚信与无不正常利益

在所有商业互动关系中都应谨守最高的诚信标准。采取零容忍政策来禁止任何形式的贿赂、贪污、敲诈勒索和挪用公款。所有的业务来往应具透明度，并准确地记录在账簿和商业记录上。不得承诺、提供、授权、给予或接受任何有价之物，以获得或保留业务、向任何人指导业务或以其他方式获得不正常利益。供货商应鼓励劳工/ 员工申报利益冲突，并确保劳工/ 员工明了友达政策，以确保符合反贪腐法律并应保留利益冲突申报记录。推行监控和强制执行程序以确保符合反腐败法的要求。

2. 信息揭露

按照适用法规和普遍的行业惯例公开有关参与员工、健康与安全、环保活动、商业活动、组织架构、财务状况和业绩的资料。供货商应实施充分且有效的记录、检查、调查程序，不得伪造记录或虚报供应链的状况或惯例，并且保留违反信息公开事件的检查和调查记录。

3. 智慧财产

尊重知识产权；须以保护知识产权的方法传递技术和生产知识；应制定并实施充分且有效的知识产权政策，防止泄漏或未经授权揭露公司、客户或供货商的知识产权或商业信息。

4. 公平交易、广告和竞争

应制定并实施充分且有效的政策、程序与防范措施，确保始终秉持公平交易、广告、竞争相关标准。

5. 身份保护及防止报复

除非受法律禁止，应当制定程序来保护供货商/外包商和员工检举者，并确保其身份的机密性和匿名性。制定沟通程序，让员工可以表达他们的疑虑，而不用害怕遭到报复。

6. 隐私

承诺合理地保护任何与其有业务来往者（包括供货商/外包商、客户、消费者和员工） 的个人资料和隐私。在收集、储存、处理、传播和分享个人资料时遵守隐私和信息安全法律

及监管要求。

7. 生物多样性

呼应并认知国际生物多样性、生态系与自然环境保育之重要性，尊重并支持《生物多样性公约》及《昆明－蒙特娄生物多样性框架》实现与自然和谐共生愿景之精神。供货商应承诺遵守公司全球营运所在地的生物多样性、生态、自然环境相关法律规范，以达到生物多样性正面效益之愿景。

应建立适当的程序，以确保周界土壤质量与噪音符合当地相关法规的规定

8. 出口管制

供货商应了解并遵循进出口相关法规，包括运送产品予友达，或代友达为进出口产品予他人。

第六条 供应链管理

1. 公司的承诺

企业的社会及环境责任政策声明，确定对守法以及持续改进的承诺并由行政管理层签署，并以当地语言张贴于工作场所内。

2. 材料物质限制

应遵守有关在产品中以及制造过程中禁用或限用某些特定物质(包括回收和处置标志)的所有适用法律、法规和客户要求。

3. 负责任的矿物采购

制定政策来合理地确保他们制造的产品中所含有的钽、锡、钨、黄金和钴不会直接或间接地资助或有益于刚果民主共和国及其邻国内严重侵犯人权的犯罪武装集体。对这些矿物的采购和产销监管链进行严格的审核，并在客户查询时提供有关审核标准的数据。

4. 供货商责任

应善尽负责任商业行为，并将本准则的要求传达给供货商/外包商并监管供货商/外包商对本准则的遵行情况。供货商遵行友达供货商行为准则的情况应被执行与记录，且在供应链中进一步推行。

5. 供货商的管理职责与责任

明确指定高级主管和公司代表来负责保证管理体系和相关计划的实施。高级管理层应定期检查管理体系的运作情况。

6. 法律和客户要求

制定程序识别、监察并理解适用的法律法规和客户要求（包括本准则的要求）。

7. 风险评估和风险管理

制定程序识别与参与者经营相关的守法、环境、健康与安全 3 以及劳工活动及道德风险。评定每项风险的级别，实施适当的程序和实质管制来控制已识别的风险和确保遵行监管规例。

8. 改进目标

制定书面绩效目标、指针和实施计划来提高参与者的社会和环境责任绩效，包括为达成这些目标所取得的成效进行定期审核。

9. 培训

为管理层及员工制定培训计划，从而实施参与者的政策、程序及改进目标，同时满足适用之法律法规的要求。

10. 沟通

制定程序将政策、实践、预期和绩效清晰准确地传达给员工、供货商/外包商和客户。

11. 员工意见和参与

制定程序持续评估员工对本准则所涵盖之实践和条件的认知度，并获取员工在这方面的意见，从而推动持续改进。

12. 审核与评估

定期进行自我评估，从而确保符合法律法规的要求、本准则内容以及客户合约中与社会与环境责任相关要求。

13. 纠正措施

制定程序以确保能及时纠正在内外部的评估、检查、调查和审核中所发现的不足之处。

14. 文件和记录

建立并保留文文件和记录，从而确保符合监管规例与公司的要求，同时应保障私隐的机密性。

15. 数据保护与信息安全

为保障供货商与客户隐私及智慧财产，供货商/外包商应强化信息安全管理，升级资安防护力。供货商应在收集、保留、使用或传播以及任何其他个人数据处理方面尊重隐私和公民自由。

AUO Supplier/Subcontractor Code of Conduct (English version)

Article I - Objective and Scope

AUO Corporation values responsible business conduct and sustainable supply chain management and is committed to ensuring a safe and healthy working environment, protecting and respecting employees' rights and interests, implementing pollution prevention in its processes and products, and conducting operations in compliance with applicable laws and social responsibility expectations.

To establish management principles that align with customer expectations, local regulatory requirements, and AUO's corporate values, AUO Corporation refers to internationally recognized standards and practices in labor, health and safety, environmental protection, business ethics, and supply chain management, including SA8000, the Universal Declaration of Human Rights, and the Global Sullivan Principles. Based on these frameworks, AUO has established its Corporate Sustainability Policy and Supplier/Subcontractor Code of Conduct as guidance for promoting sustainable operations and responsible supply chain management.

1. With the "Bright Innovation, Amazing Life" vision, AUO Corporation is committed to business sustainability by balancing economic, environmental, and social needs.
2. We uphold the highest standards of integrity. Any and all forms of bribery, extortion, corruption, and Illegal profits are strictly prohibited.
3. Weighing risk and opportunity, we create benefits for our customers, shareholders, employees, and relevant stakeholders.
4. We operate in full compliance with the laws and regulations, and adhere to internationally recognized standards and initiatives.
5. As the company takes on the mission to be a global leader in green solutions, we foster continuous product innovation and are dedicated to technology advancement.
6. By strengthening partnerships with our value chain, we seek joint value optimization and positive impacts.

7. We believe enhanced resources and greater energy efficiency will stimulate a more circular economy.
8. We wish to reduce adverse environmental impacts, mitigate climate change, and preserve ecological balance.
9. We support the Universal Declarations of Human Rights and place importance on equal opportunities, diversified career development, and labor rights.
10. We promote work-life balance and maintain a comfortable and safe environment to ensure human capital development.
11. With “Integrity & Introspection,” “Caring & Contribution,” "Execution & Excellence," and “Passion & Professionalism” as our core values, we actively engage in corporate citizenship and make valuable contributions to the society.
12. We promote greater transparency and accountability by enabling proactive information disclosure and sharing.

AUO’s suppliers/subcontractors are required to understand, comply with, and sign the Statement of Compliance with the AUO Supplier/Subcontractor Code of Conduct, and to provide corrective action plans or progress reports where necessary. This requirement is intended to ensure that suppliers/subcontractors clearly understand AUO’s Supplier/Subcontractor Code of Conduct requirements, comply with applicable laws and relevant requirements, and maintain operational compliance within their own operations and those of their suppliers/subcontractors.

Article II – Labor

Suppliers shall, in accordance with internationally recognized principles, commit to upholding the human rights of workers, maintaining their dignity, and complying with the AUO Supplier/Subcontractor Code of Conduct, including but not limited to internationally recognized requirements such as the UFLPA.

1. Freely Chosen Employment

   Forced, bonded (including debt bondage) or indentured labor, involuntary 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. 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.

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. 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. Business partners 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. Business partners 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. Working Hours

   Workweeks 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.

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. Non-Discrimination & Humane Treatment

   Business partners should be committed to a workforce free of harassment and unlawful discrimination, 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. Business partners 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.

6. Freedom of Association

   In conformance with local law, business partners 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.

7. Private or Public Security Forces

   Business partners should not commission or use private or public security forces to protect the business project if, due to a lack of training or control on the part of the company, the deployment of the security forces may lead to violations of human rights.

8. Land Rights and Forced Eviction

   Business partners should avoid forced eviction and the deprivation of land, forests and waters in the acquisition, development or other use of land, forests and waters.

Article III - Health and Safety

1. Occupational Safety

   Worker exposure to potential safety hazards (e.g., electrical and other energy sources, fire, vehicles, and fall hazards) are to be 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. Workers shall be encouraged to raise safety concerns without fear of retaliation. Business partners shall take measures to promote gender equality, prevent pregnant and nursing workers from exposure to harmful conditions, and provide reasonable accommodations.

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, appropriate fire detection and suppression equipment, adequate exit facilities 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 safe and timely return of injured workers to work.

4. Industrial Hygiene

   Worker exposure to chemical, biological and physical agents is to be identified, evaluated, and controlled. Engineering or administrative controls must be used to control overexposures. When hazards cannot be adequately controlled by such means, worker health is to be protected by appropriate personal protective equipment programs.

5. Physically Demanding Work

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

6. Machine Safeguarding

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

7. Sanitation, Food, and Housing

Workers are to be provided with ready access to clean toilet facilities, potable water and sanitary food preparation, storage, and eating facilities. Worker dormitories provided by the business partner 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 heat and ventilation, and reasonable personal space along with reasonable entry and exit privileges.

8. Health and Safety Communication

   Business partners shall provide workers with appropriate workplace health and safety training in their primary language. Health and safety related information shall be clearly posted in the facility.

Article IV - Environmental

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

   The use of resources and generation of waste of all types, including water and energy, are to be reduced or eliminated at the source or by practices such as modifying production, maintenance and facility processes, materials substitution, conservation, recycling and re-using materials.

3. Hazardous Substances

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

4. Solid Waste

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

5. Air Emissions

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

6. Materials Restrictions

   Business partners are 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.

7. Water Management

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

8. Energy Consumption and Greenhouse Gas Emissions

   Energy consumption and greenhouse gas emissions are to be tracked and documented, at the facility and/or corporate level.

   Business partners should seek cost effective methods to improve energy efficiency, minimize energy consumption and reduce greenhouse gas emissions. This includes embracing and utilizing renewable energy and implementing measures to promote decarbonization throughout the value chain.

Article V - Ethics

1. Business Integrity & No Improper Advantage

The highest standards of integrity are to be upheld in all business interactions. Business partners shall have a zero tolerance policy to prohibit any and all forms of bribery, corruption, extortion and embezzlement. All business dealings should be transparently performed and accurately reflected on business partner's business books and records. Monitoring and enforcement procedures shall be implemented to ensure compliance with anti-corruption laws.

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.

Business partners should encourage labor/employees to declare conflicts of interest, and ensure that labor/employees are aware of AUO policies to comply with anti-corruption laws. Business partners should also maintain records of conflict of interest declarations.

2. Disclosure of Information

   Business partners should establish and implement comprehensive and effective information disclosure policies, publicly disclosing relevant information about employee engagement, health and safety activities, environmental initiatives, business operations, organizational structure, and financial and annual reports in accordance with applicable laws or industry practices. Business partners should implement adequate and effective recording, inspection, and investigation procedures, should not falsify records or falsely report the status or practices of the supply chain, and keep inspection and investigation records of violations of information disclosure.

3. Intellectual Property

   Respect for intellectual property rights should be upheld, and methods for protecting intellectual property should be employed when transmitting technology and production knowledge. Comprehensive and effective intellectual property policies should be

established and implemented to prevent the leakage or unauthorized disclosure of company, customer, or business partner intellectual property or business information.

4. Fair Business, Advertising and Competition

   Adequate and effective policies, procedures and precautions shall be in place and implemented, to ensure that standards related to fair trade, advertising, and competition are upheld.

5. Protection of Identity and Non-Retaliation

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

6. Privacy

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

7. Biodiversity

   Recognizes and responds to the importance of global biodiversity, ecosystems, and conservation of the natural environment, and we respect and support the spirit of the Convention on Biological Diversity and of the Kunming-Montreal Global Biodiversity Framework to fulfill a shared vision of living in harmony with nature.

   Appropriate procedures should be established to ensure that the soil quality and noise levels in the vicinity comply with local regulatory requirements.

8. Export Controls

   Business partners should understand and comply with import and export regulations, including delivering products to AUO, or importing and exporting products to others on behalf of AUO.

Article VI - Management System

1. Company Commitment

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

2. Material Restrictions

   All applicable laws, regulations, and customer requirements regarding the prohibition or restriction of certain substances (including recycling and disposal markings) in products and during manufacturing processes shall be complied with.

3. Responsible Sourcing of Minerals

   Business partners shall have a policy to reasonably assure that the tantalum, tin, tungsten, gold, and cobalt 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. Business partners 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.

4. Supplier Responsibility

   Responsible business practices should be conducted, and the requirements of this code should be communicated to suppliers/contractors and their compliance with this code should be monitored. The adherence of business partners to AUO's supplier code of conduct should be enforced and documented, and further implementation should be promoted throughout the supply chain

5. Management Accountability and Responsibility

   The business partner 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.

6. Legal and Customer Requirements

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

7. Risk Assessment and Risk Management

   A process to identify the legal compliance, environmental, health and safety and labor practice and ethics risks associated with business partner'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.

8. Improvement Objectives

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

9. Training

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

10. Communication

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

11. Worker Feedback and Participation

    Ongoing processes to assess employees' understanding of and obtain feedback on practices and conditions covered by this Code and to foster continuous improvement.

12. 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.

13. Corrective Action Process

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

14. 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.

15. Data Protection and Data Security

    In order to protect the privacy and intellectual property of suppliers and customers, suppliers/outsourcers should strengthen information security management and upgrade information security protection capabilities. Business partners should respect privacy and civil liberties in respect of the collection, retention, use or dissemination, as well as any other processing of personal data.