



AUO 供應商/外包商行為準則

第一條 訂定目的及適用範圍

友達光電採用「責任商業聯盟(Responsible Business Alliance, RBA)」為企業社會責任政策之推行準則，確保工作環境安全無虞、員工權益受到保障與尊重、製程與產品落實污染預防，及善盡社會責任。為建立符合國際大廠要求、國內員工法令及合乎友達企業精神的企業社會責任政策，我們綜合考慮國際相關標準，包含社會責任標準(SA8000)，世界人權宣言(the Universal Declarations of Human Rights)、責任商業聯盟行為準則(RBA)，以及全球蘇利文原則(Global Sullivan Principles)，訂定**友達光電企業永續政策**。

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/外包商必須瞭解和遵守「責任商業聯盟準則(Responsible Business Alliance, RBA)」的內容，必要時須提供改善行動或進度報告。所有的供應商/外包商均須簽署「AUO 供應商/外包商行為準則符合性聲明書」，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，並且必須遵守責任商業聯盟準則行為準則及當地法令，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 SA 8000 社會責任標準及責任商業聯盟(RBA)行為準則，包含但不限於防止維吾爾族強迫勞動法(UFLPA)之要求。

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. 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）。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（青年勞工）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。

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. 薪資與福利

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. 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。

6. 不歧視

承諾員工免受騷擾以及非法歧視。公司不得因人種、膚色、年齡、性別、性傾向、性別認同及表達、種族或國籍、殘疾、懷孕、信仰、政治立場、團體背景、退伍軍人身份、受保護的基因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。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，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。

第三條 健康與安全

1. 職業安全

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。

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；調查案例並執行糾正措施以杜絕類似情況；協助員工返回工作崗位。

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、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. 健康與安全溝通



應當為員工提供以他們母語進行的職業健康和安全教育訓練，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）

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。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。

第五條 道德

1. 誠信經營

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。推行監控和強制執程序以確保符合反腐敗法的要求。



2. 無不正當利益

不得承諾、提供、批准、給予或收受賄賂或其他形式的的正當收益。此禁令包括無論是直接還是透過第三方間接地承諾、提供、批准、給予或收受任何有價之物，以期獲得或保留業務、將業務轉讓他人或獲取不正當收益。

3. 資訊公開

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。不得偽造記錄或虛報供應鏈的狀況或慣例。

4. 知識產權

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；並必須保護客戶的資料。

5. 公平交易、廣告和競爭

謹守公平交易、廣告和競爭標準。制定保護客戶資料的恰當措施。

6. 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。

7. 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鈹、錫、鎢和黃金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。

8. 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。

第六條 管理體系

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. 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。

3. 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）。

4. 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 3 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。

5. 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。

6. 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。

7. 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。

8. 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。

9. 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。

10. 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。



11. 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。

12. 供應商責任

制定程序來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。



AUO 供货商/外包商行为准则

第一条 订定目的及适用范围

友达光电采用「责任商业联盟(Responsible Business Alliance, RBA)」为企业社会责任政策之推行准则，确保工作环境安全无虞、员工权益受到保障与尊重、制程与产品落实污染预防，及善尽社会责任。为建立符合国际大厂要求、国内员工法令及合乎友达企业精神的企业社会责任政策，我们综合考虑国际相关标准，包含社会责任标准(SA8000)，世界人权宣言(the Universal Declarations of Human Rights)、责任商业联盟(行为准则(RBA)，以及全球苏利文原则(Global Sullivan Principles)，订定**友达光电企业永续政策**。

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，拒绝不当利益、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/外包商必须了解和遵守「责任商业联盟准则(Responsible Business Alliance, RBA)」的内容，必要时须提供改善行动或进度报告。所有的供货商/外包商均须签署「AUO 供货商/外包商行为准则符合性声明书」，其目的除了让供货商/外包商清楚地了解友达的供货商/外包商行为准则要求，并且必须遵守电子行业公民联盟行为准则及当地法令，同时确保本身及其供货商/外包商之营运符合性。

第二条 劳工

供应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 SA 8000 社会责任标准及责任商业联盟(RBA)行为准则，包括但不限于防止维吾尔族强迫劳动法(UFLPA)之要求。

1. 自由选择职业

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。

2. 青年劳工

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、或未达强迫教育年龄、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（青年劳工）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。

3. 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。

4. 薪资与福利

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。

5. 人道的待遇

避免苛刻和非人道对待员工，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。

6. 不歧视

承诺员工免受骚扰以及非法歧视。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。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。

7. 自由结社



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。

第三条 健康与安全

1. 职业安全

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。

2. 应急准备

应确认和评估潜在的紧急情况 and 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



应制定程序和体系以预防、管理、跟踪和报告工伤和疾病，包括以下规定：鼓励员工报告；对工伤和疾病案例进行分类和记录；提供必要的医疗服务；调查案例并采取纠正措施以消除影响；帮助员工重返工作。

4. 工业卫生

应鉴别、评估并控制由化学、生物及物理试剂给员工带来的影响。必须采取工程技术或管理手段来控制危险源过度暴露。无法通过这些方法有效控制危险源时，须通过适当的个人防护装备方案保护员工健康。

5. 体力劳动工作

应鉴别、评估并控制从事强体力型工作给员工带来的影响，包括人工搬运材料和重复提举重物、长时间站立、高度重复或强力的装配工作。

6. 机器防护

须对生产设备和其他机械进行安全危害评估。应为可能导致员工受伤的机械提供物理防护装置、连锁装置及屏障，并正确进行维护。

7. 公共卫生、和食宿

应为员工提供干净的卫生间设施、饮用水及洁净的食物准备、储藏与用餐设施。劳工代理机构提供的员工宿舍应保持洁净安全，并提供适当的紧急出口、洗浴热水、充足的供暖和通风，以及合理的出入方便的私人空间。



8. 健康与安全沟通

应向员工提供以员工主要语言授课的适当的工作场所健康与安全培训。应在工作场所清晰张贴健康与安全相关信息。

第四条 环境

1. 环境许可和报告

应获取、维护并更新所有必需的环境许可证（如排放监测）、批准文书及登记证，并遵守其运营和报告要求。

2. 预防污染和节约资源

应在源头上或通过实践（如改进生产、维护和设施工艺，替换材料、节约资源、材料回收和再利用）减少和消除所有类型的资源耗费和污染（包括水和能源）。

3. 有害物质

应当识别和控制释放到环境中会造成危险的化学物质及其他材料，确保其得到安全处理、运输、存储、使用、回收或再利用和处置。

4. 固体废物

应采取系统化的方法来鉴别、管理、减少和责任地处置或回收固体废物（非有害物质）。

5. 废气排放

经营过程中产生的挥发性有机化学物质、气溶胶、腐蚀物、粉尘、消耗臭氧层的化学品和



燃烧副产物等废气排放，需在排放前按要求进行性质识别、常规监测、控制及处理。应对其废气排放控制系统性能进行常规监测。

6. 材料限制

应遵守所有关于禁止或限制在产品和制造过程中使用特定物质（包括有关回收和处置的标识）的适用法律法规和客户要求。

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。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。

第五条 道德

1. 诚信经营

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。推行监控和强制执行程序以确保符合反腐败法的要求。

2. 无不正当利益

不得承诺、提供、批准、给予或收受贿赂或其他形式的不正当收益。此禁令包括无论是直接还是透过第三方间接地承诺、提供、批准、给予或收受任何有价之物，以期获得或保留业务、将业务转让他人或获取不正当收益。

3. 信息公开

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。不得伪造记录或虚报供应链的状况或惯例。

4. 知识产权

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；并必须保护客户的数据。

5. 公平交易、广告和竞争

谨守公平交易、广告和竞争标准。制定保护客户数据的恰当措施。

6. 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。

7. 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、钨和黄金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。

8. 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。

第六条 管理体系

1. 公司的承诺

企业社会和环境责任政策声明，应阐明对合规和持续改进的承诺并由管理层签署，以当地语言印发并张贴于工作场所中。

2. 管理职责与责任

应明确指定由高层管理和公司代表负责确保管理体系和相关方案的实施。高层管理应定期审核管理体系状态。

3. 法律要求和客户要求

用以鉴别、监测和理解适用法律法规及客户要求（包括本准则的要求）的程序。

4. 风险评估和风险管理

用以识别经营相关的法律遵从、环境、健康与安全³，以及劳动实践和道德风险的程序。



确定各风险的相对重要程度，实施适当的程序和实质控制措施，以控制已识别风险并确保合规。

5. 改进目标

用于提高社会和环境绩效的书面绩效目标、指标和实施计划，包括对为达成这些目标所取得的绩效进行定期评估。

6. 培训

培训管理者和员工以实现政策、程序和改进目标并符合适用法律法规要求的计划。

7. 沟通

用以向员工、供应商和客户清晰准确地传达有关政策、实践、期望和绩效信息的程序。

8. 员工反馈和参与

评估员工对本准则中实践和条件的理解并获得反馈，以及促进持续改进的不间断程序。

9. 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。

10. 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。

11. 文文件和记录



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。

12. 供货商责任

制定程序来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。



AUO Supplier/Subcontractor Code of Conduct

Article I - Objective and Scope,

AUO Corporation (AUO) has adopted Responsible Business Alliance, RBA Code of Conduct as, the principle to establish the AUO CSR Policy. It is to ensure that working conditions are safe, that, workers are treated with respect and dignity, and that business operations are environmentally, responsible and conducted ethically. The Policy is also expected as a guidance to meet local laws and, regulations, customer's requirements, and Company's vision, mission and values. In addition to RBA Code of Conduct standards, we also take considerations of related international standards, such as SA 8000, the Universal Declarations of Human Rights, and Global Sullivan Principles to establish the AUO CSR Policy.

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 vendors and makers shall clearly understand the contents of RBA Code of Conduct and submit the corrective action plans as necessary and update the improvement progress. All AUO vendors and makers shall also sign off the document of "Statement of Compliance with AUO Supplier/Subcontractor Code of Conduct". It is to ensure that all parties including vendors, makers and AUO itself comply with the Code of Conduct, local laws and regulations through the operation.

Article II – Labor

Supplier shall be committed to uphold the human rights of workers, to treat them with dignity and respect as understood by the international community, and to comply with the



requirements of SA 8000 (Social Accountability 8000) standard and RBA Code of Conduct including but not limited to, Uyghur Forced Labor Prevention Act.

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. 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. 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

Studies of business practices clearly link worker strain to reduced productivity, increased turnover and increased injury and illness. 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. Humane Treatment



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.

6. Non-Discrimination

Participants 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.

7. Freedom of Association

In conformance with local law, participants 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.

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.

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 return of 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 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 heat and ventilation, and reasonable personal space along with reasonable entry and exit privileges.

8. Health and Safety Communication

Participant 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

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

6. Materials Restrictions

Participants 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

Participant 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. Participant 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. Participants are to look for cost effective methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.

Article V - Ethics

1. Business Integrity

The highest standards of integrity are to be upheld in all business interactions.

Participants 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 Participant's business books and records.

Monitoring and enforcement procedures shall be implemented to ensure compliance with anti-corruption laws.

2. 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.

3. Disclosure of Information

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.

4. Intellectual Property

Intellectual property rights are to be respected; transfer of technology and knowhow is to be done in a manner that protects intellectual property rights; and, customer information is to be safeguarded.

5. Fair Business, Advertising and Competition

Standards of fair business, advertising and competition are to be upheld. Appropriate means to safeguard customer information must be available.

6. Protection of Identity and Non-Retaliation

Programs that ensure the confidentiality, anonymity and protection of supplier and employee whistleblowers 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.

7. Responsible Sourcing of Minerals

Participants 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. Participants shall exercise due diligence



on the source and chain of custody of these minerals and make their due diligence measures available to customers upon customer request.

8. 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.

Article VI - Management System

1. Company Commitment

A 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. Management Accountability and Responsibility

The Participant 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. Legal and Customer Requirements

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

4. Risk Assessment and Risk Management

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

5. Improvement Objectives

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

6. Training

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

7. Communication

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

8. 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.

9. 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.

10. Corrective Action Process

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

11. 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.

12. Supplier Responsibility

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