

# 中鋼鋁業公司供應商行為準則

## CSAC SUPPLIER CODE OF CONDUCT

本公司長期於社會責任、環境保護、企業道德、經營管理等領域投入高度關注，因此我們期待供應商能採用類同的準則，且所有業務活動皆能符合本準則以及其經營所在國家的法律和規章的要求。

本公司希望供應商確保向其子公司或關係企業以及承包商傳達本行為準則。

本準則各項規定參照國際規範和標準，包括「責任商業聯盟（RBA）行為準則 7.0 版」及「聯合國供應商行為準則Rev.06 版– December 2017」等。

本準則包含五部份：(A) 道德規範、(B) 勞工與人權、(C) 健康與安全、(D) 環境標準、及(E) 管理制度。

C. S. Aluminium Corporation (“CSAC”) has extreme concern the spheres of social responsibility, environmental protection, corporate ethics, and business management for a long time. We expect our suppliers (“Suppliers”) to adopt similar principles as this Supplier Code of Conduct (“Code”) and to cooperate in accordance with the principles set forth in this Code and in full compliance with the laws, rules and regulations of the countries where work is carried out.

CSAC expects Suppliers to ensure that this Code of Conduct is conveyed to their subsidiary and affiliated entities as well as any subcontractors.

The provisions set out in this Code reference international norms and standards including the Responsible Business Alliance (RBA) Code of Conduct v7.0, the UN Supplier Code of Conduct Rev.06 – December 2017 and etc.

The Code comprises standards of five sections, (A) Ethics, (B) Labor & Human Rights, (C) Health & Safety, (D) Environmental Standards, and (E) Management Systems.

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### A 道德規範

本公司希望供應商及其代理商謹守最高的道德標準，履行社會責任並在市場上取得成功。

#### A ETHICS

To perform social responsibilities and to achieve success in the marketplace, Suppliers and their agents need to uphold the highest standards of ethics.

#### A1 誠信經營

於所有商業互動中應秉持最高的誠信標準，遵守所有應適用法律，並以零容忍政策禁止任何形式的賄賂、貪污、敲詐勒索和挪用公款。

#### A1 Business Integrity

The highest standards of integrity need to be upheld in all business interactions. Suppliers shall adhere to all applicable laws and have a zero-tolerance policy to prohibit any and all forms of bribery, corruption, fraud, extortion and embezzlement.

## A2 無不當利益

不得承諾、提供、批准、給予或收受賄賂、任何有價之物或其他形式的不正當收益（無論是直接還是透過第三方間接地進行），以期獲得或保留業務、將業務轉讓他人或獲取不正當收益。

### A2 No Improper Advantage

Do not to promise, provide, approve, give or receive bribes, anything of value, or other forms of improper advantage (whether directly or indirectly through a third party) in order to obtain or retain business, transfer of business to others, or obtain improper advantage.

## A3 資訊公開

所有的業務來往應具透明度，並正確記錄。應當按照適用法規和普遍的行業慣例公開有關參與勞工、健康與安全、環保活動、商業活動、組織架構、財務狀況和業績的資料。

### A3 Disclosure of Information

All business transactions should be transparently performed and accurately recorded accordingly. Information regarding related labor, health and safety, environmental protection activities, business activities, organization structure, financial status and sales performance is to be disclosed in accordance with applicable regulations and prevailing industry practices.

## A4 智慧財產

應尊重智慧財產權，在其受到保護的情況下傳遞技術和專業知識，且提供本公司之貨品或服務，不可侵害他人之智慧財產權；同時須保護本公司所提供的資料，善盡保密義務，不得洩漏或逕自申請智慧財產權。

### A4 Intellectual Property

Intellectual property rights should be respected, technology and know-how should be transmitted in a manner that protects intellectual property rights, and the goods or service provided to CSAC shall not infringe the intellectual property rights of others; meanwhile, Suppliers shall keep the information provided by CSAC confidential, and shall not disclose such information to others and shall not apply such information for intellectual property rights without CSAC's prior consent.

## A5 公平交易與競爭

應謹守符合當地法律和規章的公平交易和競爭標準。

### A5 Fair Trade and Competition

All applicable standards of fair trade and competition are to be upheld and complied with local laws and regulations.

## A6 保護身分與杜絕報復

除非受法律禁止，保護供應商和吹哨人（指任何揭露公司員工、主管或公務員和政府機構的不正當行為者），並確保其身份的機密性之程序應予維持。供應商也應制定溝通程序，讓員工可以表達他們的疑慮，而不用害怕遭到報復。

#### A6 Protection of Identity and Non-Retaliation

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

#### A7 無衝突礦產之來源

供應商應確保製造的產品中所使用的礦產並無直接或間接資助暴力、侵犯人權或犯罪的個人或團體。

#### A7 The Source of Conflict-Free Minerals

Suppliers should ensure that raw minerals for the products are not directly or indirectly funding individual or groups of violence, human rights abuses or other crimes.

#### A8 隱私權

供應商承諾合理地保護任何與其有業務來往者（包括供應商、客戶、消費者和員工）的個人資料和隱私。供應商在蒐集、儲存、處理、利用、傳輸和分享個人資料時將遵守隱私和資料安全法律及監管要求。

#### A8 Privacy

Suppliers commit reasonably protecting personal information and privacy of everyone who deal business with the company, including suppliers, customers, consumers and employees. Suppliers are to comply with all applicable laws and regulatory requirements about privacy and information security when personal information is collected, stored, processed, utilized, transmitted, and shared.

#### A9 利益衝突

供應商須向本公司揭露可能利益衝突的情況，並揭露是否有本公司職員或同本公司簽署合約的專業人員在供應商的業務中存在任何形式的利益或與供應商有任何形式的經濟關係。

#### A9 Conflict of Interest

Suppliers are required to disclose to CSAC any situation that may appear as a conflict of interest, and disclose to CSAC if any CSAC staff or professional under contract with CSAC may have an interest of any kind in the supplier's business or any kind of economic ties with the supplier.

#### A10 未經授權轉包之禁止

本公司員工在未經特別授權下，不得要求供應商將依約應提供的產品或服務轉包給特定第三

方，或指定應向特定第三方購料或採購。供應商若接到類似要求，應立即通報本公司。(投訴專線：(07)8718666轉 6503；投訴電子信箱：[cacau@mail.CSC.com.tw](mailto:cacau@mail.CSC.com.tw))

#### A10 Prohibition of Unauthorized Subcontracting

Without any specific authorization, any employee of CSAC should not request Suppliers to subcontract products or services, or procure materials, from a specific third party.

If Suppliers receive a similar request like above from CSAC's employee(s), please notify CSAC accordingly and immediately (Whistleblower Hotline : +886-7-8718666 ext. 6503; Email : [cacau@mail.CSC.com.tw](mailto:cacau@mail.CSC.com.tw)).

#### A11 遵循進出口相關法規

供應商應瞭解並遵循進出口及運送貨品予本公司或代本公司進出口及運送貨品所涉及的相關法令，包括原出口國的出口管制與海關法規、目的地國家的進口和海關法規、支付法令要求的關稅和其他稅賦、以及當地運輸的相關法令。

#### A11 Complying with Export and Import Regulations

Suppliers shall understand and comply with all relevant laws and regulations, including export control and customs clearance, to deliver products to CSAC, or even on behalf of CSAC to arrange the transportation & shipment as well. This includes export/import control laws and customs laws in both countries, all necessary duties & taxes imposed, and local transportation laws.

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#### B 勞工與人權

本公司希望供應商維護員工的人權，並給予員工應有的尊重、尊嚴及平等對待，包括所有臨時工、外籍勞工、實習生、約聘、正式員工和任何其他類型的員工。

#### B LABOR AND HUMAN RIGHTS

CSAC expects Suppliers to uphold the human rights of workers, and to treat them with dignity, respect and fairness. This applies to all workers including temporary employees, foreign workers, intern, contract or full-time employees, and any other types of workers.

#### B1 自由就業

禁止使用強迫、擔保（包括抵債）或藉由契約束縛的勞工、非自願性或剝削性監獄勞工、奴役或販賣人口，所有工作均為自願性。如依據合約於事前提出合理通知，勞工擁有自由離職權利。

#### B1 Freely Chosen Employment

Forced, bonded (including debt bondage) or indentured labor, involuntary or exploitative prison labor, slavery or trafficking of persons is not permitted. All work must be voluntary, and workers shall be able to terminate employment at any time if reasonable prior notice is given under per worker's

contract.

## B2 禁用童工

本公司希望其供應商不在任何製造過程中僱用童工。「童工」係指年齡在 15 歲到 16 歲之間的兒童、或未達強迫教育年齡、或該國家/地區最低就業年齡的勞工（三項中取其指定年齡最大的一項）。供應商應遵守所在地之所有就業法令。未滿 18 歲的勞工（青年勞工）不得從事可能會危及其健康或安全的工作。

### B2 Prohibition of Child Labor

CSAC expects Suppliers not to employ Child Labor in any stage of manufacturing. Child Labor refers to any work performed by children aged 15~16, or under the age for completing compulsory education, or under the minimum age for employment in the country, whichever is greatest. Suppliers shall comply with all relevant local employment laws and regulations. Workers less than 18 years old (Young Workers) shall not perform work that is likely to jeopardize their health or safety.

## B3 工作時間

工作時間不應超過當地法律規定的最大限度。

### B3 Working Hours

Working hours shall not exceed the maximum limit set by local law.

## B4 薪資

本公司希望其供應商以法定貨幣定期(間隔時間不超過一個月)、全額、直接向有關員工支付薪資。供應商應保留這種支付的適當記錄。僅允許在適用法律、條例或集體協議規定的條件下和範圍內從薪資中扣除款項，供應商在每次支付時會向有關員工說明此類扣款的情況。

### B4 Wages

CSAC expects its Suppliers to ensure the payment of wages in legal tender, (at regular intervals no longer than one month), and wages shall be paid in full and directly to the workers concerned. Suppliers should keep appropriate record of such payments. Deductions from wages are permitted only under conditions and to the extent prescribed by the applicable law, regulations or collective agreements, and Suppliers shall inform the workers concerned of such deductions at the time of each payment.

## B5 人道待遇

本公司希望其供應商禁止任何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、霸凌、公開羞辱或是口頭辱罵；也不得威脅將進行此類行為。

### B5 Humane Treatment

CSAC expects that there is not any harsh or inhumane treatment, including any and all forms of sexual harassment, sexual abuse, corporal punishment, mental or physical coercion, bullying, public

shaming, or verbal abuse of workers; nor is there to be the threat of such treatment.

## B6 反歧視

本公司希望供應商承諾員工免受騷擾及非法歧視。供應商禁止因人種、膚色、年齡、性別、性傾向、性別認同及表現、種族或民族、殘疾、懷孕、信仰、政治立場、團體背景、退伍軍人身份、受保護的基因資料或婚姻狀況等在招聘及實際工作中歧視員工。

### B6 Anti-Discrimination

CSAC expects that Suppliers commit to a workplace free of harassment and unlawful discrimination. Suppliers shall prohibit discrimination or harassment based on race, colour, age, gender, sexual orientation, gender identity and expression, ethnicity or national origin, disability, pregnancy, religion, political affiliation, union membership, veteran status, protected genetic information or marital status in hiring and employment practices.

## B7 結社自由和集體談判

配合當地法律規定，本公司希望供應商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。員工能公開地就工作條件和管理方法與管理階層溝通。

### B7 Freedom of Association and Collective Bargaining

In conformance with local applicable law, CSAC expects Suppliers to respect the right of all workers based on his/her own choice to form and join the union, collective bargaining as well as peaceful rallies, and respect the right of workers to avoid such activities. Workers shall be able to openly communicate with management regarding working conditions and management practices.

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## C1 健康與安全

本公司希望供應商在合理可行的情況下應確保：(a)其控制的工作場所、機械、設備和製造過程安全且無健康風險；(b)其控制的化學、物理和生物物質及製劑，採用適當保護措施，沒有健康風險；(c)提供適當的防護用具，在合理可行的範圍內防止發生事故及對健康產生有害影響的風險。

### C1 HEALTH and SAFETY

CSAC expects Suppliers to ensure, so far as is reasonably practicable, that: (a) the workplaces, machinery, equipment and manufacturing operations under their control are safe and without risk to health; (b) the chemical, physical and biological substances and agents under their control are without risk to health when the appropriate measures of protection are taken; and (c) adequate protective equipment are provided to prevent, so far as is reasonably practicable, risk of accidents or of harmful effects to health.

## C2 緊急應變準備

本公司希望供應商確認和評估潛在的緊急情況和事件，並通過實施緊急應變方案和應變程序

來將其影響降到最低。這些方案和程序應著重於盡量減低對生命、環境和財產 的危害。

#### C2 Emergency Preparedness

CSAC expects Suppliers to identify and assess potential emergency situations and events and their impact minimized by implementing emergency response plans and measures. Such plans and measures shall focus on minimizing harm to life, environment and property.

#### C3 職業傷害與疾病

本公司希望供應商建置適當的程序和系統來預防、管理、追蹤和通報職業傷害與疾病，並鼓勵員工通報、分類和記錄。供應商應提供必要的治療協助，調查案例並採取改善措施，協助員工更快返回工作崗位。

#### C3 Occupational Injury and Illness

CSAC expects that Suppliers will establish appropriate procedures and systems to prevent, manage, track and report occupational injury and illness, and encourage worker to report, classify and record. The Suppliers shall provide necessary medical treatment assistance; investigate the cause of the accident and take improvement measures to help workers return to workplace faster.

#### C4 工業衛生

本公司希望供應商識別並評估化學、生物以及物理危害因子給員工帶來的影響，且透過適當的工程、行政控制及個人防護器具來消除或控制潛在危險。

#### C4 Industrial Hygiene

CSAC expects Suppliers to identify and evaluate the impact of chemical, biological and physical hazards on employees, and to eliminate or control potential hazards through appropriate engineering, administrative control and personal protective equipment.

#### C5 人因危害預防

本公司希望供應商識別、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。

#### C5 Human Factors Prevention

CSAC expects Suppliers to identify, evaluate and control the impact of human factors on workers, including manual handling of materials or repeated lifting of heavy objects, standing for long periods of time, and highly repetitive or intensive assembly work.

#### C6 機器防護

本公司希望供應商評估生產設備或其他類型機器的安全危害。為預防機器對員工可能造成的傷害，應確保防護裝置、連鎖裝置功能正常。

#### C6 Machine Safeguarding

CSAC expects Suppliers to assess the potential hazards of production equipment or other types of

machinery. In order to prevent possible injuries to workers caused by machines, physical guards, and interlocking devices should be provided and properly maintained.

#### C7 環境衛生

本公司希望供應商提供員工乾淨的廁所、清潔的飲用水及衛生的食物、儲存及用餐設施。

##### C7 Sanitation, Food, and Housing

CSAC expects Suppliers to provide workers clean toilet facilities, clean drinking water and sanitary food, storage, and dining facilities.

#### C8 健康與安全溝通

本公司希望供應商以員工使用的語言或其能夠明白的語言，提供適當的職業健康和 safety 訓練。在工作場所的醒目處張貼健康與安全相關資料，或將相關資料放在員工可識別和易於接觸的位置。

##### C8 Health and Safety Communication

CSAC expects Suppliers to provide appropriate training on occupational health and safety in the language used by workers or in the language that they can understand. Post health and safety-related materials in conspicuous places or workplace where workers can identify and access easily.

#### C9 自然災害風險減緩

本公司希望供應商了解工廠所在地可能遭遇的自然災害，如地震、旱災、水災、颱風等，評估人員傷害、財產損失與營運中斷的可能性與嚴重度，根據評估結果，建立適當的防護及應變程序，以減緩自然災害風險。

##### C9 Natural Disaster Risk Mitigation

CSAC expects Suppliers to be aware of possible natural disasters, such as earthquakes, droughts, floods, typhoons, etc. at the factory location, and assess the possibility and severity of personnel injury, property damage, and operational disruptions. Based on the assessment results, the risks of natural disasters should be mitigated through establishing appropriate protection, and emergency response procedures.

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#### D 環境標準

本公司希望供應商了解環境保護責任是生產產品不可或缺的一部份。在製造作業過程中，應盡量減少對社區、環境和自然資源造成不良影響，並遵守相關環境法律。

##### D ENVIRONMENTAL STANDARDS

CSAC expects Suppliers to be aware that the responsibility on environmental protection is an integral part of the production of products. In the process of manufacture, the adverse effects on the community, environment and natural resources should be minimized, while complying with relevant environmental laws.



#### D1 環境許可及合規性

本公司希望供應商獲取所有必需的環境相關許可證、批准和登記文件，亦要對上述文件進行維護並更新，以及遵守許可證的操作和報告要求。

#### D1 Environmental Permits and Compliance

CSAC expects that Suppliers' all necessary environmental-related permits, approvals and registrations shall be obtained, and the above-mentioned documents should be maintained and updated, as well as compliance with the operating and reporting requirement of the permit.

#### D2 化學品

本公司希望供應商識別和管理對環境造成危害的化學物質，從而確保化學物質以安全方式進行運作(係指製造、輸入、輸出、販賣、運送、使用、貯存及廢棄)，並依法如期完成登錄及申報等事宜。

#### D2 Chemical Substances

CSAC expects that Suppliers' chemical substances harmful to the environment shall be identified and managed to ensure the handling of chemical substances can be conducted in a safe manner ("Handling" refers to such activities as the manufacture, import, export, sale, transport, use, storage or discarding of chemical substances.), and the chemical substances shall be reported and registered on schedule in order to comply with regulations.

#### D3 廢水和廢棄物

本公司希望供應商對於操作過程、生產流程和生活產生的廢水和廢棄物，應按照法規要求對其進行鑑別、控制、處理及監測。

#### D3 Wastewater and Waste

CSAC expects that Suppliers' wastewater and waste generated from operations, production and human activities are to be identified, controlled, treated and monitored in compliance with the laws and regulations.

#### D4 空污排放

本公司希望供應商對操作過程、生產流程產生的空氣污染物及破壞臭氧層化學品等，應按照法規要求對其進行鑑別、控制、處理和監測。

#### D4 Air Emissions

CSAC expects that Suppliers' air emissions from operations, production, and ozone depleting chemicals are to be identified, controlled, treated and monitored in compliance with the laws and regulations.

#### D5 水資源管理

本公司希望供應商實施水資源管理計劃，以記錄、分類和監視水資源之使用和排放；尋求機

會節約用水。

#### D5 Water Management

CSAC expects Supplier to implement water management programs to record, classify, and monitor the use and discharge of water sources; seek opportunities for water conservation.

#### D6 能源消耗和溫室氣體排放

本公司希望供應商追蹤、記錄及盤查工作場所內或企業層面的能源消耗和溫室氣體排放。供應商尋求具成本效益的方法來改善能源利用效率，盡量減少能源消耗和溫室氣體排放。

#### D6 Energy Consumption and Greenhouse Gas Emissions

CSAC expects that Suppliers' energy consumption and greenhouse gas emissions shall be tracked, recorded, and checked in the workplace. Suppliers shall look for methods to improve energy efficiency and to minimize their energy consumption and greenhouse gas emissions.

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#### E 管理制度

本公司希望供應商實施管理制度促進相關法律之遵守，並對準則中所列之要求推動持續改善。

#### E MANAGEMENT SYSTEMS

It is the expectation of CSAC that Suppliers shall implement a management system to ensure compliance with applicable laws, conformance with this Code, and facilitate continual improvement.

#### E1 公司承諾

本公司希望供應商配置適當的資源來履行本準則中所列的期望，並傳達本準則中所列之原則予其供應鏈。

#### E1 Company Commitment

CSAC expects Suppliers to allocate appropriate resources to fulfill the expectations listed in this Code, and to convey the principles listed in this Code to their supply chain.

#### E2 管理職責與責任

本公司希望供應商指定權責經理階層及公司代表來負責確保與本準則相關之管理體系和相關計劃的實施。最高管理階層應檢查管理體系的運作情況。

#### E2 Management Accountability and Responsibility

CSAC expects Suppliers to assign executive management and company representative(s) to be in charge of ensuring the implementation of the management systems and relevant programs related to this Code. Top management level shall carry out operational inspections of the management system.

#### E3 法律和準則要件

供應商應遵守所有應適用的品質、健康、安全及環境法規，且應取得、維護、更新必要的

所有許可及登記，包含本準則的要求。

#### E3 Legal and this Code's Requirements

Suppliers shall comply with all applicable laws and regulations about quality, health, safety and the environment. All necessary permits and registrations shall be obtained, maintained and updated, including the requirements of this Code.

#### E4 風險評估和管理

本公司希望供應商有適當的程序來辨認與營運有關的環境、健康、安全與勞工實務和道德風險。判定各項風險相關的重要性並實施適當的程序，以控管已辨認的風險和確保遵行法規。

#### E4 Risk Assessment and Management

CSAC expects Suppliers to have appropriate programs identifying the environmental, health, safety, labor practice and ethics risks associated with supplier's operations. By determining the related significance for each risk and implementing appropriate programs, Suppliers are able to control the identified risks and ensure regulatory compliance.

#### E5 改善目標

本公司希望供應商設立書面的績效目標、指標和施行計劃來提升社會環境責任績效。

#### E5 Improvement Objectives

CSAC expects Suppliers to set up written objectives, targets and implementation plans to improve supplier's performance on social & environmental responsibility.

#### E6 培訓

本公司希望供應商為管理階層及員工制定培訓計劃，從而實施相關政策、程序及改進目標，並滿足適用之法例與法規的要求。

#### E6 Training

CSAC expects Suppliers to develop training programs for management and employees to implement related policies, programs and improvement objectives and to meet applicable legal and regulatory requirements.

#### E7 溝通

本公司希望供應商將所制定程序之政策、實踐、預期和績效清晰準確地傳達給員工和客戶。

#### E7 Communication

CSAC expects Suppliers to convey the policies, practices, expectations and performance of these programs to workers and customers clearly and accurately.

#### E8 審核與評估

本公司希望供應商進行自我評估，從而確保符合法律與法規的要求、本準則內容以及客戶合

約中對社會責任、環境責任、公司治理及道德規範相關要求。

#### E8 Audits and Assessments

CSAC expects that self-evaluations are conducted by Suppliers to ensure conformity to legal and regulatory requirements, the content of this Code, and customer contractual requirements in related to social responsibility, environmental responsibility, corporate governance and code of ethics.

#### E9 供應商責任

本《行為準則》的內容將隨本公司與各別供應商簽訂之契約共同構成雙方合約之一部分，且供應商應確保其符合本《行為準則》規定的原則。

#### E9 Supplier Responsibility

This Code of Conduct and the specific contract signed by CSAC and respective Suppliers collectively constitute the whole contract binding the parties, and Suppliers shall ensure they align with the principles set forth in this Code of Conduct.

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本準則未列舉事宜，均應遵循政府相關法規。

Matters not listed in this Code shall comply with relevant government laws and regulations.